

## ADAPTATION COMMITTEE

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# The State of Adaptation under the United Nations Framework Convention on Climate Change

2013 Thematic Report



United Nations  
Framework Convention on  
Climate Change







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# FOREWORD BY THE CHAIR AND VICE-CHAIR OF THE ADAPTATION COMMITTEE

Adaptation to climate change is a challenge faced by all Parties to the United Nations Framework Convention on Climate Change. 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 all countries.

Established in 2010, the Adaptation Committee seeks to promote enhanced adaptation action both within and outside of the Convention. It is the only Committee under the Convention and the UN at large that comprehensively addresses adaptation to climate change impacts, including by raising the profile of, and ambition for, adaptation at all levels.

As demand for adaptation to climate change has grown, so has the number of instruments, bodies, work programmes and support mechanisms under the Convention. With this publication – the first in a series of reports – the Adaptation Committee aims at providing a snapshot of the state of adaptation under the Convention and how it has evolved up to this point.

We hope that readers - whether from inside or outside the adaptation community, from government, the private sector, research or civil society - will find this publication helpful in understanding the Convention’s evolving adaptation agenda. Where appropriate, we provide pointers to additional information, including updates and official texts. With a deepened understanding of how adaptation is addressed under the Convention, it is our sincere hope that you will join – or strengthen you contribution to – the global effort to respond to the adaptation challenge.



A stylized black ink signature of Margaret Mukahanana-Sangarwe.

Margaret Mukahanana-Sangarwe,  
Zimbabwe  
Chair of the Adaptation Committee



A stylized black ink signature of Christina Chan.

Christina Chan,  
United States of America  
Vice-Chair of the Adaptation Committee



# I. INTRODUCTION

Alongside mitigation, adaptation is one of the major responses for addressing climate change under the United Nations Framework Convention on Climate Change (UNFCCC). Since its inception in 1992, the UNFCCC has shaped and supported global action on adaptation. An overview of relevant adaptation provisions included in the Convention can be found in box 1.<sup>1</sup>

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**Box 1. Adaptation provisions in the Convention**

All Parties are 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)*

All Parties shall “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” *Article 4.1(e)*

All Parties shall “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” *Article 4.1(f)*

“The developed country Parties ... shall also 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 4.4*

“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 ...” *Article 4.8*

“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”. *Article 4.9*

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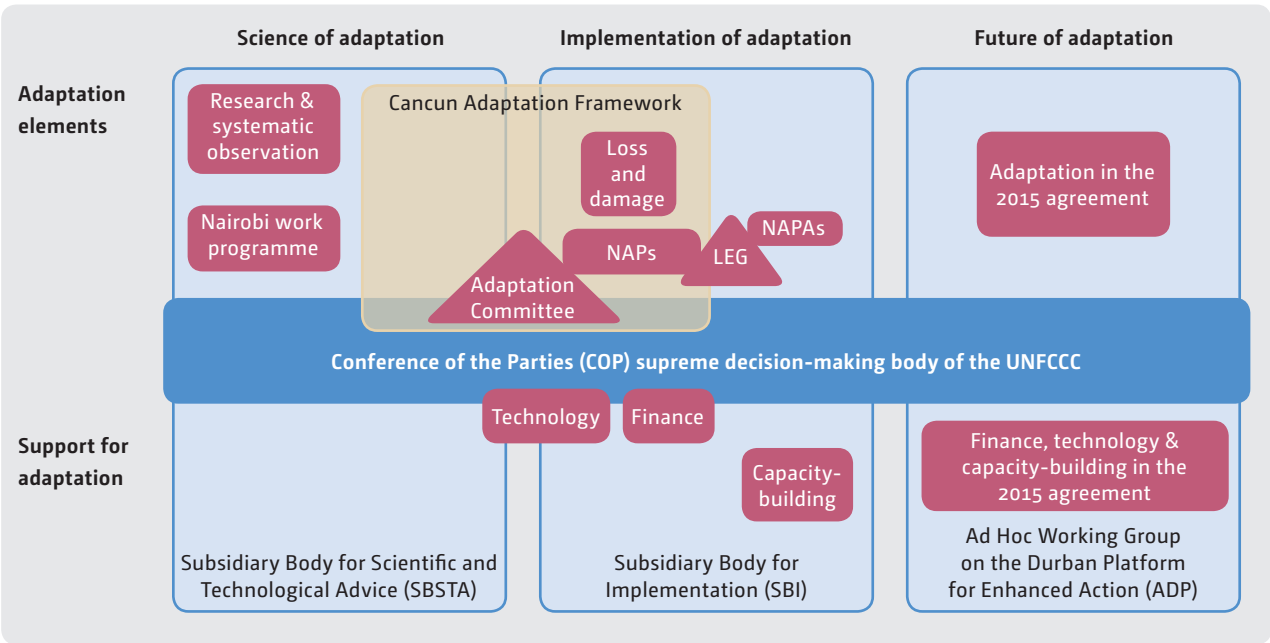
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1 The full text of the Convention is available at <[unfccc.int/6036](http://unfccc.int/6036)>.

In order to promote the implementation of enhanced action on adaptation in a coherent and cohesive manner under the Convention, Parties established the Adaptation Committee in 2010 as the overall advisory body on adaptation to the Conference of the Parties (COP). Since its inaugural meeting in September 2012, the Adaptation Committee has advanced its efforts on providing technical support and guidance to the Parties on adaptation action and on means of implementation as well as its efforts on raising awareness, sharing information and reaching out to stakeholders outside the traditional adaptation community. As part of its work plan, the Adaptation Committee agreed to prepare annual thematic reports to provide information on adaptation to Parties as well as the broader international adaptation community.

With this 2013 thematic report on the State of Adaptation under the Convention, the Adaptation Committee seeks to raise awareness and understanding of the variety of adaptation-related bodies, programmes and workstreams under the Convention and how they contribute jointly to enhanced action on adaptation (see figure 1 for an overview of the existing institutional structure on adaptation under the Convention).

Figure 1. Institutional structure on adaptation under the Convention



This report is structured as follows: section II provides some background on the adaptation challenge. Section III elaborates on the evolution of adaptation under the Convention, while section IV provides some insights on support available for adaptation under the Convention, including finance, technology and capacity-building. Engaging stakeholders is discussed in section V. The report concludes with a description of how the implementation of adaptation-related provisions under the Convention is facilitated by the secretariat (section VI).







## II. THE ADAPTATION CHALLENGE

The climate is changing at a rate unprecedented in recent human history and will continue to do so for the foreseeable future. According to the recently released fifth assessment report of Working Group I of the Intergovernmental Panel on Climate Change (IPCC), the atmosphere and ocean have warmed, the amount of snow and ice has diminished, the global mean sea level has risen and the concentrations of greenhouse gases have increased. As a result of our past, present and expected future emissions of CO<sub>2</sub>, we are committed to climate change, and effects will persist for many centuries even if emissions of CO<sub>2</sub> stop.<sup>2</sup> Adaptation is needed to combat the adverse impacts of climate change that are happening now, to increase resilience to future impacts and to enable climate-resilient socio-economic development. Countries, regions and communities are adapting to present and future impacts by undertaking a comprehensive and iterative process, consisting of:

1. **Assessing impacts, vulnerability and risks.** An initial assessment is needed of the extent to which climate change is impacting/ will impact natural systems, for example by altering water availability thus affecting agriculture and food security; and human societies, for example by increasing temperature thus encouraging the spread of certain climate-sensitive diseases. The capacity of natural systems and societies to adapt to climate change impacts is also assessed.
2. **Planning for adaptation.** Identification of adaptation activities and their appraisal, including through assessing costs and benefits, is undertaken in order to choose appropriately between the options available. Comprehensive planning should ensure avoiding the duplication of activities, preventing maladaptation, and enhancing sustainable development.
3. **Implementing adaptation measures.** Implementation takes place at various levels, including national, regional and local, and through different means, including projects, programmes, policies or strategies. It may be a stand-alone process or be fully integrated or mainstreamed with sectoral policies and sustainable development plans.
4. **Monitoring and evaluating (M&E) adaptation.** The M&E of adaptation can be undertaken throughout the adaptation process and the knowledge and information gained fed back into the process to ensure learning and that future adaptation efforts are successful. While monitoring seeks to keep a record of progress made in implementation, evaluation seeks to determine the effectiveness of the adaptation effort.

Over the years, the Convention has raised awareness and ambition on adaptation and provided the political space for countries to engage and consider various aspects of adaptation. The Convention has also increasingly provided guidance and support to countries to assist them in undertaking the adaptation process, including by:

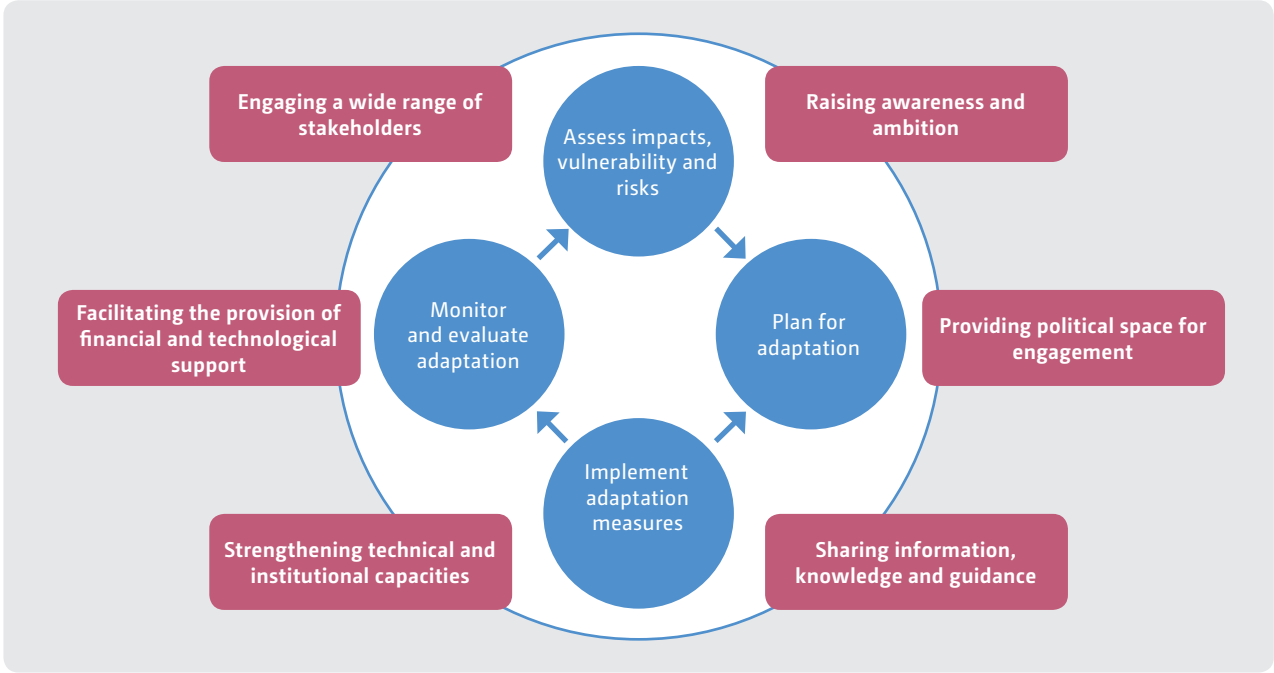
- Sharing information and knowledge, including on best practices and lessons learned;
- Strengthening technical and institutional capacities;
- Facilitating the provision of financial and technological support; and
- Engaging a wide range of stakeholders.

Figure 2 depicts the components of the adaptation process and ways through which the Convention is supporting it.

<sup>2</sup> The fifth assessment report of Working Group I of the IPCC, along with other reports, is available at <[www.ipcc.ch](http://www.ipcc.ch)>.



Figure 2. The role of the Convention in supporting the adaptation process





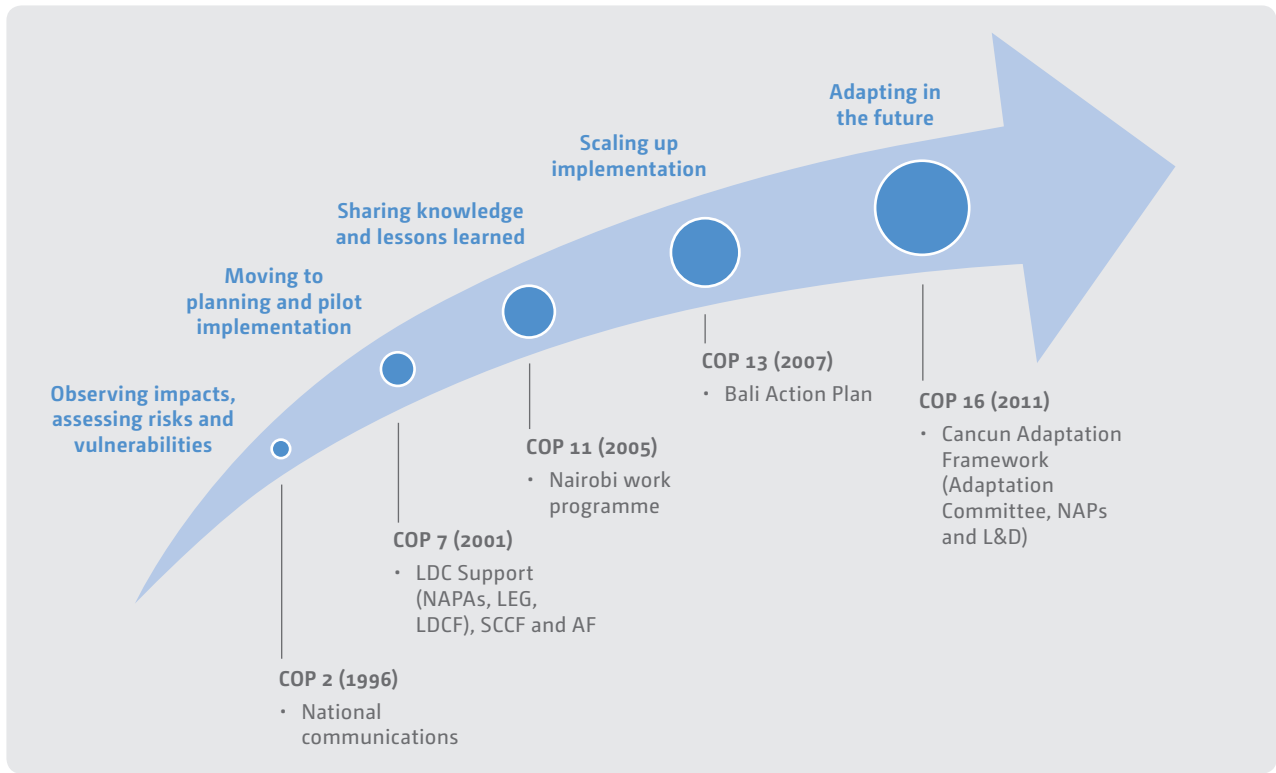




### III. THE EVOLVING ADAPTATION LANDSCAPE UNDER THE CONVENTION

Recognizing and in many cases experiencing first-hand the adverse impacts of climate change, Parties have over the years attached greater significance to the adaptation agenda. Figure 3 lists the adaptation milestones achieved under the Convention so far.

Figure 3. Adaptation milestones under the Convention



#### OBSERVING THE IMPACTS AND ASSESSING RISKS AND VULNERABILITIES

When the Convention entered into force in 1994 the primary focus was on greenhouse gas mitigation. Parties at the time merely considered the question “do we need to adapt?” They carried out impact assessments based on global models, which constructed a range of possible long-term scenarios. Although these scenarios were not sufficiently detailed at the regional or national level, they were instrumental in identifying the key impacts of climate change. Parties reported the findings of their vulnerability and adaptation assessments in their **national communications**.<sup>3</sup> Second-generation assessments complemented the more scenario-based first generation by looking at current climate variability and ways in which people are actually becoming vulnerable and adapting. This approach also includes risk assessment along with more refined climate change scenarios which allow for the consideration of what will happen in the future, given changes in both the natural and the socio-economic environments.

3 All national communications submitted so far can be found at <unfccc.int/1408>.

The Convention assisted Parties in their assessments by facilitating the collection and sharing of sound climate data and information based on observations, research and modelling, including through close cooperation with international observation and research programmes and networks as well as through the annual Research Dialogue.<sup>4</sup>

## MOVING TO PLANNING AND PILOT IMPLEMENTATION

With the publication of the third assessment report of the IPCC in 2001, it became clear that mitigation alone would not be sufficient, and Parties began planning and implementing adaptation measures in earnest. The question moved from “do we need to adapt?” to “how do we adapt?”

Recognizing that many developing countries, in particular the least developed countries (LDCs), were already facing a high degree of vulnerability to current climate variability, Parties in 2001 established a work programme to address the specific needs and special situations of LDCs. The work programme included, inter alia, the process of preparing and implementing **national adaptation programmes of action (NAPAs)**, which provide a process for LDCs to identify and communicate priority activities that respond to their urgent and immediate adaptation needs (see box 2) and the establishment of the **Least Developed Countries Expert Group (LEG)** (see *Strengthening technical and institutional capacities* section below). Parties also established a Least Developed Countries Fund (LDCF) initially to support the preparation and implementation of NAPAs and subsequently to support other elements of the LDC work programme (see *Facilitating the provision of financial and technological support* section below). As at May 2013, 49 LDCs had completed and submitted their NAPAs to the UNFCCC secretariat.<sup>5</sup>

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### Box 2. National adaptation programmes of action

NAPAs are action-oriented, country-driven, flexible and based on national circumstances. In order to effectively address urgent and immediate adaptation needs, NAPA documents are presented in a simple format, easily understood both by policy-level decision-makers and the public. The main content of the NAPA document is a list of ranked priority adaptation activities/projects, as well as short profiles of each activity, designed to facilitate the development of project proposals for implementation of the NAPA. The priority sectors/areas addressed in the NAPAs are agriculture and food security, water resources, coastal zones, and early warning and disaster management.

Through an evaluation of the experiences gained from the NAPA process, a number of best practices and lessons learned were identified<sup>6</sup>. Bangladesh’s experience, for example, shows that the NAPA process can be useful for establishing institutional arrangements to address climate change issues in the country. Burkina Faso’s experience shows that well-established institutional arrangements dealing with climate change issues in the country can greatly facilitate NAPA preparation and implementation and foster early strategic thinking for the consideration of medium- and long-term adaptation options. São Tomé and Príncipe’s experience proves that focusing on the most affected development-related sectors is a good way to link the NAPA activities to national development plans. In terms of stakeholder engagement, Kiribati’s experience shows that multi-stakeholder consultations during the NAPA preparation process can significantly help identify nationwide adaptation needs.

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In addition to the specific support for LDCs, all Parties were encouraged to exchange information on their experiences regarding the adverse effects of climate change and on measures to meet their needs arising from these adverse effects. Parties also agreed to provide funding for pilot or demonstration projects to show how adaptation planning and assessment can be practically translated into projects, including in the areas of water resources management, land management, agriculture, health, infrastructure development, fragile

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<sup>4</sup> For more information on research and systematic observation see <unfccc.int/6990>.

<sup>5</sup> This also includes Cape Verde and Maldives, which graduated out of the LDC category in December 2007 and January 2011, respectively. For more information on the NAPAs see <unfccc.int/7567>.

<sup>6</sup> For more information on best practices and lessons learned in addressing adaptation in LDCs see <unfccc.int/6997.php#NAPA>.



ecosystems, and integrated coastal zone management. To channel such funding, Parties established a **Special Climate Change Fund (SCCF)** under the Convention and an **Adaptation Fund** under the Kyoto Protocol (see *Facilitating the provision of financial and technological support* section below).

## SHARING KNOWLEDGE AND LESSONS LEARNED

As planning and implementation of adaptation increased, so did the need for sharing knowledge, lessons learned and good practices with a wide range of stakeholders. Actions in one sector or location can help guide how another sector or location prepares for and responds to new risks emerging due to climate change. In response, Parties in 2005 launched the **Nairobi work programme** on impacts, vulnerability and adaptation to climate change (the Nairobi work programme, see box 3). The objective of the Nairobi work programme has been to assist all Parties, in particular developing countries, to improve their understanding and assessment of impacts, vulnerability and adaptation, and to make informed decisions on practical adaptation actions and measures.<sup>7</sup>

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### Box 3. The Nairobi work programme

The Nairobi work programme has been an important interface between the multilateral Convention process and adaptation stakeholders at large. The Nairobi work programme has played a central facilitative and catalytic role in the development and dissemination of adaptation related information and knowledge. It uses a variety of modalities, including organizing meetings, workshops and focal point forums; preparing technical and synthesis papers, publications on and compilations of adaptation practices and lessons learned; and making calls for action and action pledges. Through its implementation since 2005, the work programme has been effective in engaging a wide range of organizations in the development, dissemination and use of information and knowledge on adaptation, with a view to supporting Parties in their associated adaptation needs relating to information and knowledge. The Nairobi work programme has provided a valuable interface, through which knowledge needs on adaptation identified by Parties and expertise and activities supplied by organizations are identified, shared and communicated widely.

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During 2006-2007, a series of workshops and an expert meeting<sup>8</sup> helped facilitate information exchange to assist developing countries in identifying specific adaptation needs and concerns. Participants at the three regional workshops and the expert meeting highlighted problems in accessing existing funding for adaptation and also called attention to the gap between the available financial support for adaptation and the funds required for facilitating adaptation in developing countries. The importance of coordinated and comprehensive approaches to supporting adaptation in the context of sustainable development was also pointed out, and that adaptation should be considered as a development concern. Participants urged wide stakeholder involvement through participatory approaches and learning from existing practices.

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<sup>7</sup> For more information on the Nairobi work programme see <unfccc.int/5137>.

<sup>8</sup> For more information on the workshops and expert meeting see <unfccc.int/3582>.

## SCALING UP IMPLEMENTATION

The fourth assessment report of the IPCC (AR4), published in 2007, further confirmed that adaptation will be necessary to address impacts resulting from the warming which is already unavoidable due to past emissions. The IPCC further stressed that a wide array of adaptation options is available, but more extensive adaptation than is currently occurring is required to reduce vulnerability to future climate change. Against the backdrop of the AR4, Parties agreed to the **Bali Action Plan** at COP 13 (December 2007), which launched 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.

Following three years of negotiations, Parties in 2010 affirmed that adaptation must be addressed with the same level of priority as mitigation and adopted the **Cancun Adaptation Framework (CAF)**<sup>9</sup> with the objective of enhancing action on adaptation, including through international cooperation and coherent consideration of matters relating to adaptation under the Convention. The question Parties are now addressing is “**how do we integrate adaptation into relevant social, economic and environmental policies and actions?**” In light of different national circumstances and capabilities, Parties agreed that adaptation actions should follow a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems. Examples of adaptation actions that Parties are invited to undertake by the CAF are included in box 4.

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### Box 4. Adaptation actions included in the Cancun Adaptation Framework

The CAF invites Parties to undertake:

- Planning, prioritizing and implementing adaptation actions, including projects and programmes,\* and actions identified in national and subnational adaptation plans and strategies, NAPAs of the LDCs, national communications, technology needs assessments and other relevant national planning documents;
- Impact, vulnerability and adaptation assessments, including assessments of financial needs as well as economic, social and environmental evaluation of adaptation options;
- Strengthening institutional capacities and enabling environments for adaptation, including for climate-resilient development and vulnerability reduction;
- Building resilience of socio-economic and ecological systems, including through economic diversification and sustainable management of natural resources;
- 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;
- 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;
- 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;
- Strengthening data, information and knowledge systems, education and public awareness;
- 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.

\*Including in the areas of water resources; health; agriculture and food security; infrastructure; socioeconomic activities; terrestrial, freshwater and marine ecosystems; and coastal zones.

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9 The full text of the CAF (decision 1/CP.16, section II) is available at <[unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf](http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf)>.

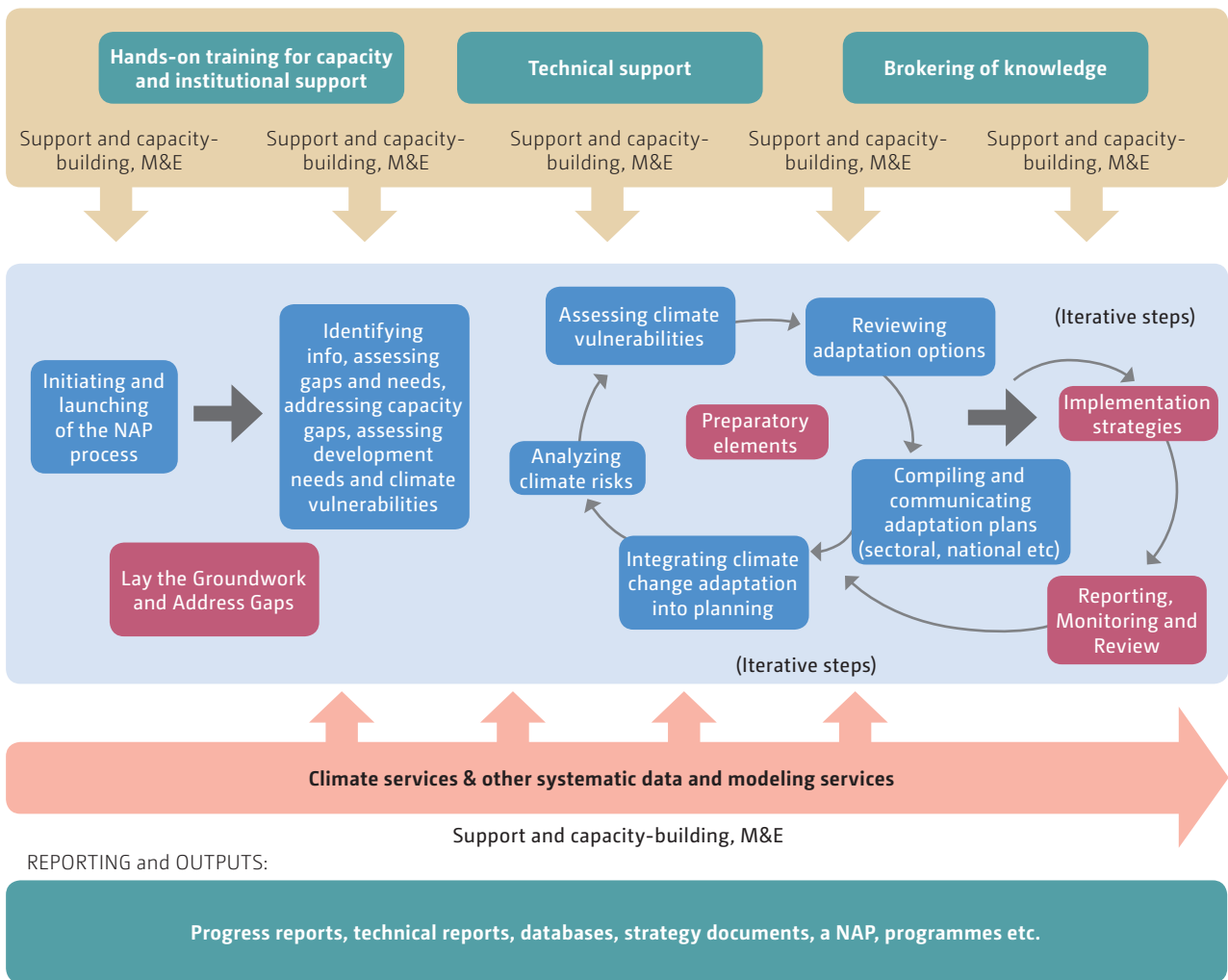


Following the NAPA process, Parties recognised the need for LDCs to also identify medium- and long-term adaptation needs and to develop and implement strategies and programmes to address those needs. Consequently, the CAF established a **process for LDCs to formulate and implement national adaptation plans (NAPs)**. An invitation was also extended to other developing countries to employ the modalities formulated to support their own NAPs. COP 17 in 2011 adopted initial guidelines, which were further developed by the LEG into full technical guidelines.<sup>10</sup> The guidelines consist of the following four main elements:

1. Laying the groundwork and addressing gaps;
2. Preparatory elements;
3. Implementation strategies; and
4. Reporting, monitoring and review.

An example of how the NAP process could progress in a country is shown in figure 4.

Figure 4. An example of how the National Adaptation Plan process could progress for a country



Source: LEG. 2012. The National Adaptation Plan Process. A Brief Overview. Available at <[http://unfccc.int/files/adaptation/application/pdf/nap\\_overview.pdf](http://unfccc.int/files/adaptation/application/pdf/nap_overview.pdf)>.

10 The technical guidelines are available in English, French and Portuguese along with other information material at <[unfccc.int/7279](http://unfccc.int/7279)>.

LDCs are supported in undertaking their NAP process through an LDCF-funded global support programme, which seeks to strengthen institutional and technical capacities for the iterative development of comprehensive NAPs in LDCs.

Over the years, adaptation stakeholders recognized that adaptation planning and implementation is not always planned and implemented most efficiently at the national level. Taking into account specific local circumstances, a number of additional adaptation approaches have been developed, for example, for communities and for ecosystems (see box 5).

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**Box 5. Community-based and ecosystem-based adaptation**

**Community-based adaptation (CBA)** focuses on enabling communities, especially those that are poor, depend on natural resources and occupy areas already prone to climatic shocks such as floods or droughts, to enhance their own adaptive capacity, empowering them to increase their resilience to the impact of climate change. CBA projects can generate knowledge on how to achieve adaptation at the local level. Through annual conferences, knowledge and experiences are shared amongst practitioners, policymakers, researchers, funders and the communities at risk.\*

**Ecosystem-based adaptation (EbA)** uses a strategy that recognises and integrates biodiversity and ecosystems services. The underlying principle is that healthy ecosystems can play a vital role in maintaining and increasing resilience to climate change and in reducing climate-related risk and vulnerability. Examples of such approaches include flood defence through the maintenance and/or restoration of wetlands, and the conservation of agricultural biodiversity in order to support crop and livestock adaptation to climate change.†

\* See more information at <[www.iied.org/community-based-adaptation-cba-conference-archive](http://www.iied.org/community-based-adaptation-cba-conference-archive)>.

† See more information at <[www.ebaflagship.org](http://www.ebaflagship.org)>.

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Besides adaptation planning and action, the CAF also established a work programme to address **loss and damage associated with climate change impacts**<sup>11</sup> in developing countries that are particularly vulnerable to the adverse effects of climate change. As part of the work programme, Parties identified the following three thematic areas around which activities under the work programme were structured:

1. Assessing the risk of loss and damage associated with the adverse effects of climate change and current knowledge on the same;
2. A range of approaches to address loss and damage associated with the adverse effects of climate change, including impacts related to extreme weather events and slow onset events;
3. The role of the Convention in enhancing implementation of approaches to address loss and damage associated with the adverse effects of climate change.

At COP 18 in 2012, Parties agreed that comprehensive, inclusive and strategic responses were needed, and further agreed to establish institutional arrangements at COP 19 to address loss and damage associated with the adverse effects of climate change.

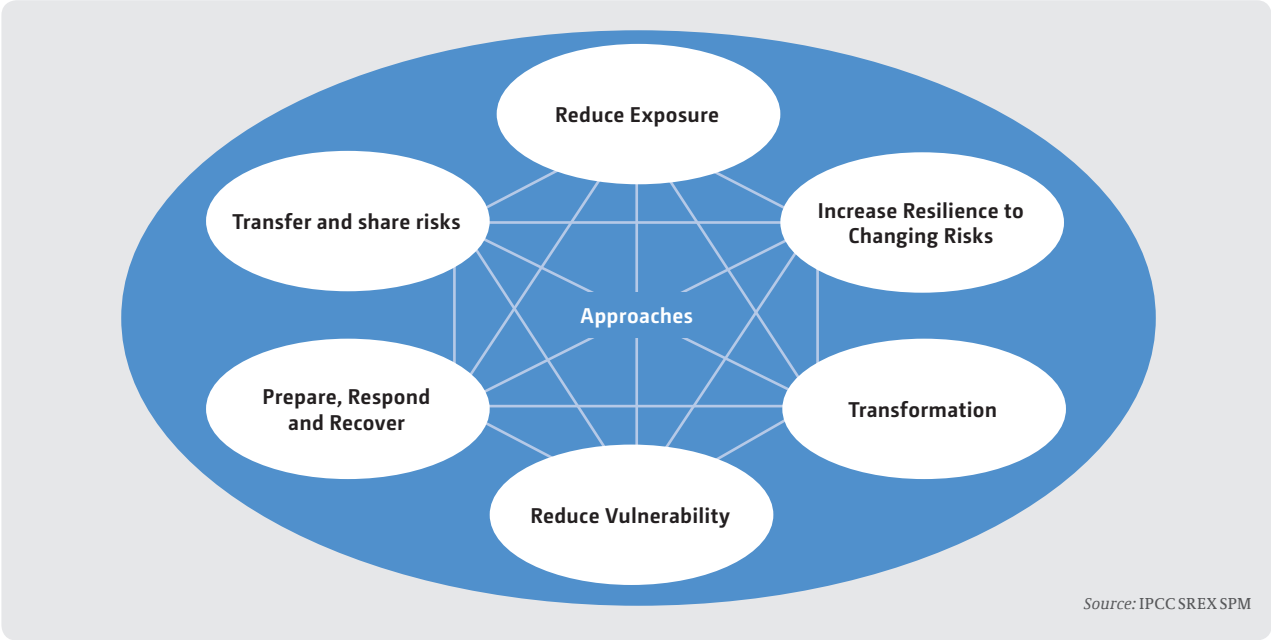
Within the context of discussions under that work programme, particularly in relation to approaches to address loss and damage, a number of complementary adaptation and disaster risk management approaches were highlighted that can reduce the risks of climate extremes and disasters, and increase resilience to remaining risks as they change over time (see figure 5).

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11 For more information on the work programme, including meetings held and documents prepared, see <[unfccc.int/6056](http://unfccc.int/6056)>.



Figure 5. Adaptation and disaster risk management approaches for a changing climate



COORDINATING THE EVOLVING AND EXPANDING ADAPTATION AGENDA

The CAF acknowledged the need to strengthen and better utilize existing institutional arrangements and expertise under the Convention, including to facilitate coordination of the expanding adaptation agenda with a view to enhancing coherence and synergy. It established the **Adaptation Committee**<sup>12</sup> as the overall advisory body to the COP on adaptation. The Committee’s objective is to enhance action on adaptation, including through:

- Providing technical support and guidance to the Parties;
- Sharing relevant information, knowledge, experience and good practices;
- Promoting synergy among national, regional and international organizations, centres and networks;
- Providing information and recommendations on finance, technology, capacity-building and other ways to enable climate-resilient development;
- Considering information on the monitoring and review of adaptation actions, support provided and received.

The Adaptation Committee met for the first time in September 2012. Since then, it has undertaken a variety of activities in line with its three-year workplan.<sup>13</sup> It is enhancing coherence under the Convention and national adaptation planning and raising awareness and ambition with regard to adaptation actions, including through annual adaptation fora – the first of which will be held during COP 19 in Warsaw in November 2013.

12 For more information on the Adaptation Committee, including its activities and members, see <unfccc.int/6053>.

13 The Adaptation Committee’s three-year work plan is available at <unfccc.int/7517>.

## EMBARKING ON MONITORING AND EVALUATING ADAPTATION

The CAF requested Parties to provide information on adaptation support provided and received, as well as on adaptation activities undertaken, including on progress made and lessons learned. Reporting, monitoring and reviewing of adaptation is also an essential element of the NAP guidelines. Furthermore, the Adaptation Committee’s first workshop focused on the monitoring and evaluation (M&E) of adaptation. It elaborated on the definition of success, on aligning different project and national-level assessments, and on ways to encourage learning as a core objective of M&E.

## ADAPTING IN THE FUTURE

The adaptation agenda under the Convention has come a long way during the past 15 years; starting with early V&A assessments determining the need for adaptation; followed by initial project planning and pilot implementation; understanding how to undertake adaptation; then scaled-up national planning and implementation; to finally the M&E of adaptation activities and support.

During this time, developing countries communicated their adaptation needs through national communications and NAPAs providing political impulse and direction to other UN agencies, multilateral development banks (MDB) and regional organizations who in turn established programmes to address those needs. Many UN agencies such as UNDP, UNEP, FAO and WHO or MDBs such as the World Bank have now dedicated adaptation portfolios providing support to Parties.<sup>14</sup>

Building upon the experience gained and lessons learned so far, adaptation to climate change will be an essential pillar of the future climate regime that is currently being negotiated for adoption in 2015 and which will shape adaptation under the Convention beyond 2020.



14 For more information see the Gateway to the UN Systems work on climate change at <[www.un.org/climatechange/adaptation](http://www.un.org/climatechange/adaptation)>.



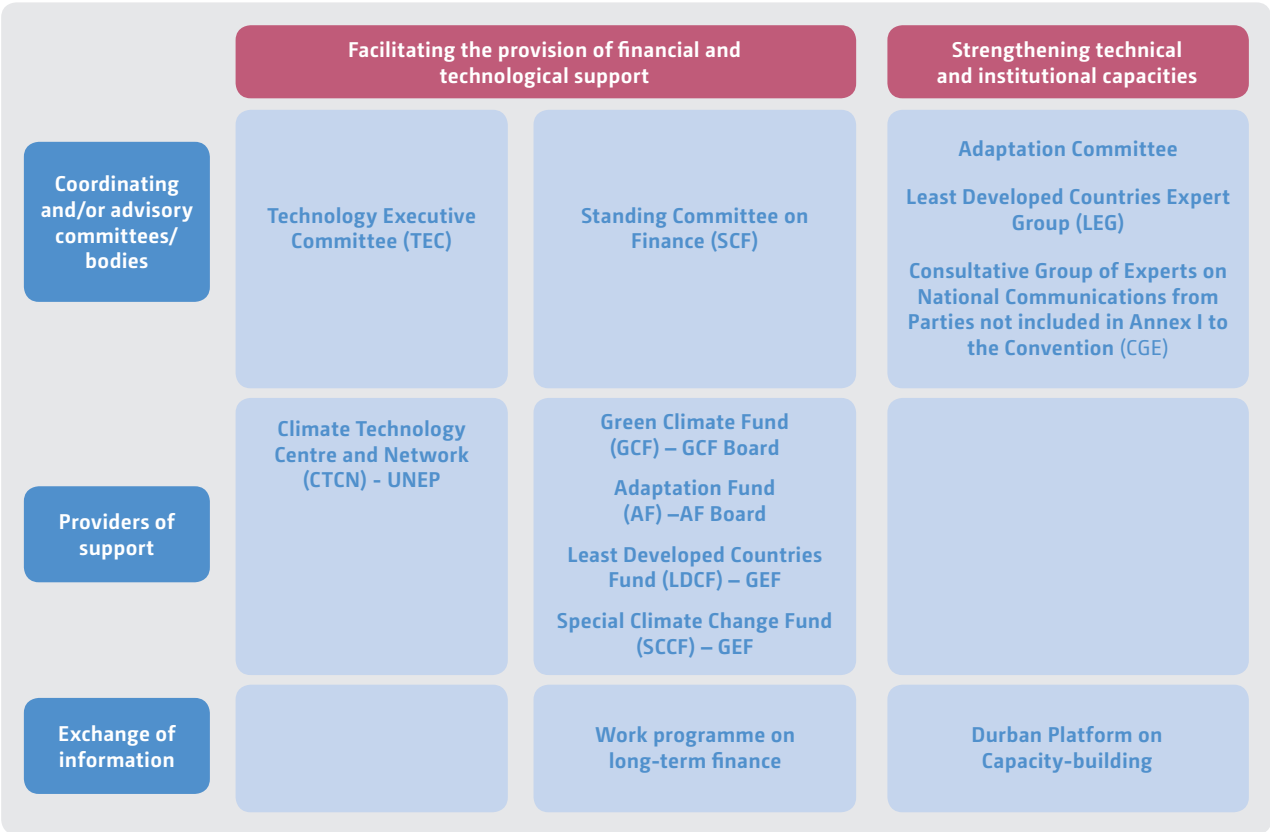




# IV. SUPPORTING ADAPTATION

Over the years, a number of committees, bodies and support outlets and providers have been created under or designated by the Convention (see figure 6) to facilitate the provision of financial and technological support and to strengthen technical and institutional capacities with a view to enhancing adaptation actions, in particular in developing countries.

Figure 6. Overview of adaptation support



## STRENGTHENING TECHNICAL AND INSTITUTIONAL CAPACITIES

Building and strengthening technical and institutional capacities at local, national and regional levels is vital to enable developing countries to adapt to climate change. The need for capacity-building has long been recognized under the Convention. In order to assist developing countries in the preparation of their national communications, including V&A assessments, Parties in 1999 established the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE). Over the years, the CGE has developed extensive training materials and has undertaken numerous regional hands-on training workshops on V&A assessments.<sup>15</sup>

As capacity-building was later required not only for V&A assessments but also for planning and implementation, Parties in 2001 established the **LDC Expert Group (LEG)**. While, initially, the LEG’s focus was on providing technical support and advice to the

15 For more information on the CGE, including links to adaptation training materials, see <unfccc.int/2608>.



LDCs on the formulation and implementation of NAPAs, it now provides support to the NAP process as well. As part of its work programme, the LEG has organized a variety of regional training workshops to build technical capacities, and has produced a number of publications, including step-by-step guides and collections of best practices and lessons learned.<sup>16</sup>

Recognizing that technical and institutional capacities need strengthening beyond the LDCs and national planning, Parties in 2010 established the **Adaptation Committee**. Providing technical support and guidance to the Parties as well as advising the COP on means of implementation (finance, technology and capacity-building) are important functions of the Committee.

In order to improve the monitoring and review of the effectiveness of capacity-building within the international climate change process, Parties established in 2011 the **Durban Forum on Capacity-building**.<sup>17</sup> It is an annual, in-session event that brings together stakeholders involved in building capacity in developing countries, including in the area of adaptation.

## FACILITATING THE PROVISION OF FINANCIAL AND TECHNOLOGICAL SUPPORT

Financial support is vital in order for developing countries to plan for and implement adaptation measures. The Convention in its Article 11 defined a **financial mechanism** to provide financial resources from developed countries to support actions by developing countries in addressing climate change. Countries entrusted the operation of the financial mechanism to the **Global Environment Facility** (GEF) on an ongoing basis, subject to review every four years.

Based on guidance from the Convention, the GEF operates three funds supporting adaptation to a varying degree: these are the **GEF Trust Fund**,<sup>18</sup> the **LDCF** and the **SCCF** (mentioned above). The GEF Trust Fund supports enabling activities, i.e. mainly V&A assessments as part of the national communications.<sup>19</sup> The LDCF supports the preparation and implementation of NAPAs, other aspects of the LDC work programme and more recently in 2011 it was requested to consider how to enable activities for the preparation of the NAP process.<sup>20</sup> The first project in support of the NAP process was approved in May 2013: a UNDP-UNEP global support programme for LDCs. Finally, the SCCF is partly designed to finance adaptation activities that increase resilience to the impacts of climate change, through a focus on adaptation responses particularly in water resources, land, agriculture, health, infrastructure development, disaster preparedness, and in fragile ecosystems and coastal zones. Most recently in 2012, the SCCF was requested to consider how to enable activities for the preparation of the NAP process for interested developing country Parties that are not LDC Parties.<sup>21</sup> The SCCF is yet to provide funding for the preparation of the NAPs process.

The **Adaptation Fund** under the Kyoto Protocol was set up to support adaptation projects and programmes in developing countries that are particularly vulnerable to the adverse effects of climate change. In contrast to the voluntary pledges of the LDCF and the SCCF, the Adaptation Fund is sourced through a 2 per cent levy on proceeds (CERs) from Clean Development

<sup>16</sup> For more information on the LEG, including links to workshops and publications, see <unfccc.int/4727>.

<sup>17</sup> For more information on capacity-building see <unfccc.int/1033>.

<sup>18</sup> Under the Trust Fund, the GEF has operated a Strategic Priority on Adaptation (SPA), which supported pilot and demonstration projects that addressed adaptation and at the same time generated global environmental benefits. The funding of USD 50 million has been allocated and the portfolio is complete.

<sup>19</sup> For more information on adaptation funding under the GEF see <thegef.org/gef/adaptation>.

<sup>20</sup> For more information on the LDCF, including relevant decisions, see <unfccc.int/4723>.

<sup>21</sup> For more information on the SCCF, including relevant decisions, see <unfccc.int/3657>.

Mechanism projects as well as from other voluntary sources. The Adaptation Fund is not managed by the GEF but has its own Board instead.<sup>22</sup>

Together, these funds assist developing country Parties in reducing their vulnerability and increasing the resilience of vulnerable populations and sectors. Examples of projects funded include *Reducing Climate Change-induced Risks and Vulnerabilities from Glacial Lake Outbursts in Bhutan* (LDCF); *Climate Resilience through Conservation Agriculture in Moldova* (SCCF) and *Developing Agro-Pastoral Shade Gardens as an Adaptation Strategy for Poor Rural Communities in Djibouti* (Adaptation Fund). The table below provides an overview of the active adaptation funds.

**Table.** Overview of active adaptation funds\*

	LDCF	SCCF Adaptation	Adaptation Fund
In operation	Since 2002	Since 2004	Since 2009
Cumulative pledges (USD)	779.5 million (as of 31 August 2013)	220 million (as of 31 August 2013)	325 million, including 188 million from CER proceeds
Funding approved for projects (USD)	642.54 million (12.2 for NAPA preparation, 628.15 for NAPA implementation and 2.19 for preparation of NAP process) (as of 4 October 2013)	201.75 million (as of 4 October 2013)	190 million
Number of projects	174 (169 national, 1 regional and 4 global) (as of 4 October 2013)	50 (39 national, 9 regional and 2 global) (as of 4 October 2013)	29 (29 national)
Number of benefitting countries (excluding global projects)	51 for NAPA preparation and 46 for NAPA implementation (as of 4 October 2013)	64 (as of 4 October 2013)	28

\* Information for the LDCF and SCCF was obtained from document GEF/LDCF.SCCF.15/03 *Progress report for the LDCF and the SCCF* available at <[www.thegef.org/gef/node/10001](http://www.thegef.org/gef/node/10001)>. Information for the Adaptation Fund (AF) on funds approved, projects and beneficiaries was obtained from the AF's project website available at <[www.adaptation-fund.org/funded\\_projects/interactive](http://www.adaptation-fund.org/funded_projects/interactive)> accessed on 4 October 2013 and from the AF Board's report to the COP serving as the Meeting of the Parties to the Kyoto Protocol available at <[unfccc.int/resource/docs/2013/cmp9/eng/02.pdf](http://unfccc.int/resource/docs/2013/cmp9/eng/02.pdf)>.

Despite these funding avenues under the Convention and Kyoto Protocol, challenges to financing adaptation persist. For example, according to the GEF, the supply of resources continues to fall short of current and projected demand.<sup>23</sup> Likewise as the proceeds from CDM are decreasing, so does the availability of resources under the Adaptation Fund. According to the Adaptation Fund Board, at current CER prices and estimated CER issuance levels, it is estimated that the Adaptation Fund would receive only approximately the equivalent of USD 18–34 million in cumulative additional revenue to 2020.<sup>24</sup>

In light of the call of developing countries for long-term, scaled-up, predictable, new and additional finance, Parties established the **Green Climate Fund (GCF)** as part of the Cancun Agreements in 2010. The GCF was designated to be another operating entity of the financial mechanism in addition to the GEF. Parties decided that a significant share of new multilateral funding for adaptation should flow through the GCF. Funding for adaptation will be provided via a thematic window.<sup>25</sup>

22 For more information on the Adaptation Fund see <[www.adaptation-fund.org](http://www.adaptation-fund.org)>.

23 See t GEF/LDCF.SCCF.14/03, *Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund* available at <<http://bit.ly/1bjpUnl>>.

24 For more information see <[unfccc.int/resource/docs/2013/cmp9/eng/02](http://unfccc.int/resource/docs/2013/cmp9/eng/02)>.

25 For more information on the GCF see <[gcfund.net](http://gcfund.net)>.



Issues related to sourcing the GCF are currently being discussed, including under the **work programme on long-term finance**.<sup>26</sup> The aim of the work programme is to inform developed country Parties in their efforts to identify pathways for mobilizing scaled-up climate finance to USD 100 billion per year by 2020, of which an equal amount is sought for funding adaptation, from public, private and alternative sources in the context of meaningful mitigation actions and transparency on implementation. A **Standing Committee on Finance** (SCF) was established in 2010 to assist the COP in improving coherence and coordination in the delivery of climate change financing, rationalizing the financial mechanism, mobilizing financial resources, and in the measurement, reporting and verification of the support provided to developing countries. Results of this work are expected to make adaptation finance more effective, including simplified access for developing countries.

Needs-based **technology transfer** is important for helping countries adapt to climate change. Most adaptation measures involve some form of technology, which in the broadest sense, includes not just material and equipment but also diverse forms of knowledge. Promoting the development and diffusion of technologies, know-how, and practices for adaptation are important activities for improving and enabling adaptation.

In order to enhance action on technology development and transfer, countries in 2010 established a **Technology Mechanism** under the Convention consisting of a **Technology Executive Committee** (TEC)<sup>27</sup> and a **Climate Technology Centre and Network** (CTCN).<sup>28</sup> Among other functions, the TEC is to provide an overview of technological needs and analysis of policy and technical issues related to the development and transfer of technologies for adaptation; to recommend actions to promote technology development and transfer; and promote and facilitate collaboration on the development and transfer of technologies for adaptation between governments, the private sector, non-profit organizations, and academic and research communities.

The objective of the CTCN is to stimulate technology cooperation, to enhance the development and transfer of technologies and to assist developing countries at their request. The CTCN seeks to build or strengthen countries' capacity to identify technology needs, to facilitate the preparation and implementation of technology projects and strategies to support action on adaptation and enhance climate-resilient development. The CTCN is hosted by UNEP, as the leader of a consortium of partner organizations which was selected by Parties in 2012.

## STRENGTHENING LINKAGES BETWEEN THE ADAPTATION COMMITTEE AND OTHER BODIES UNDER THE CONVENTION

Promoting coherence of adaptation action under the Convention is paramount to the work of the Adaptation Committee. The Committee has thus embarked on establishing relationships with other Convention bodies such as the LEG, SCF, TEC and CTCN, the CGE and the Board of the GCF. This endeavour has led to a variety of initial activities, including cross-participation in meetings and working groups and various ways to keep each other abreast of recent developments.

More recently, the Adaptation Committee identified specific tasks around which it collaborates with others. For example, the Committee is working with the LEG on the review of existing guidelines for national adaptation planning and the development of *NAP Central* (the main information portal for supporting the NAP process) or with the TEC on a TEC workshop on technologies for adaptation, with a view to developing technology briefs on adaptation.

<sup>26</sup> For more information on the work programme see <unfccc.int/6814>.

<sup>27</sup> For more information on the Technology Mechanism and the TEC see <unfccc.int/ttclear/pages/tec\_home.html>.

<sup>28</sup> For more information on the CTCN see <unfccc.int/ttclear/templates/render cms\_page?TEM\_tcn>.

Collaboration between the different adaptation-related bodies and work programmes is expected to intensify throughout 2014, including through the Adaptation Committee’s task-force on NAPs, which will bring together representatives of the Adaptation Committee, LEG, SCF, TEC and GCF-Board.









## V. ENGAGING STAKEHOLDERS

Recognizing that successful implementation of adaptation actions depends on a wide engagement of stakeholders, Parties have invited relevant multilateral, international, regional and national organizations, the public and private sectors, civil society and other relevant stakeholders to undertake and support adaptation in a coherent and integrated manner.

For example, the Nairobi work programme has established an extensive network of adaptation stakeholders, which are represented by over 270 partner organizations.

Multilaterally, the United Nations agencies have worked together to support adaptation as “One UN” in developing countries through forming partnerships with a multitude of stakeholders and undertaking joint initiatives. The engagement of the other two Rio Conventions – the Convention on Biological Diversity and the United Nations Convention to Combat Diversification – is facilitated through the Joint Liaison Group and the Rio Conventions Pavilion.<sup>29</sup>

The engagement of stakeholders, including vulnerable groups and communities, should ensure a gender-sensitive (see box 6), participatory and fully transparent approach to adaptation.

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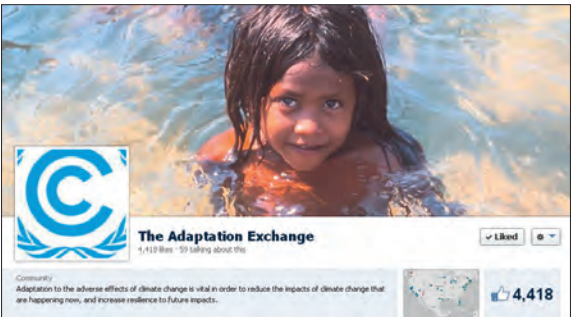
**Box 6. Integrating gender considerations into adaptation**

The integration of gender considerations into adaptation can assist in making adaptation effective and implementable on the ground. Mainstreaming a gender-sensitive approach helps to ensure that adaptation activities do not exacerbate inequality and other forms of vulnerability. Furthermore, it can ensure the equal participation of men and women in decision-making and implementation, and help to fulfil the specific needs of the most vulnerable.

Participatory approaches are an important part of the integration of gender considerations into adaptation planning and implementation. They can ensure that vulnerable groups, for example women, are part of stakeholder consultation processes, and that their perspectives are taken into consideration. Integrating the perspectives of gender experts, women’s groups and other groups that represent the vulnerable communities is also necessary. It is important to continue to promote awareness on climate change and gender issues, in order to enhance participation. Outreach to decision makers is particularly necessary to ensure that the often disproportionate burden placed upon women at the community level, as a result of climate change, is understood.

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In recent years, stakeholders are increasingly engaged through social media. For example, Twitter users can actively engage in discussions on technology and long-term finance. The *Adaptation Exchange* page on Facebook is intended to provide an open space for dialogue on adaptation to the impacts of climate change across all sectors, levels, scales, and stages of adaptation planning and implementation. It encourages the sharing of stories, difficulties, solutions, successes and learning, as well as adaptation needs among its over 4000 followers.



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<sup>29</sup> For more information see <[www.riopavilion.org](http://www.riopavilion.org)> and the joint 2012 publication “The Rio Conventions – Action on Adaptation” available at <[unfccc.int/resource/docs/publications/rio\\_20\\_adaptation\\_brochure.pdf](http://unfccc.int/resource/docs/publications/rio_20_adaptation_brochure.pdf)>.





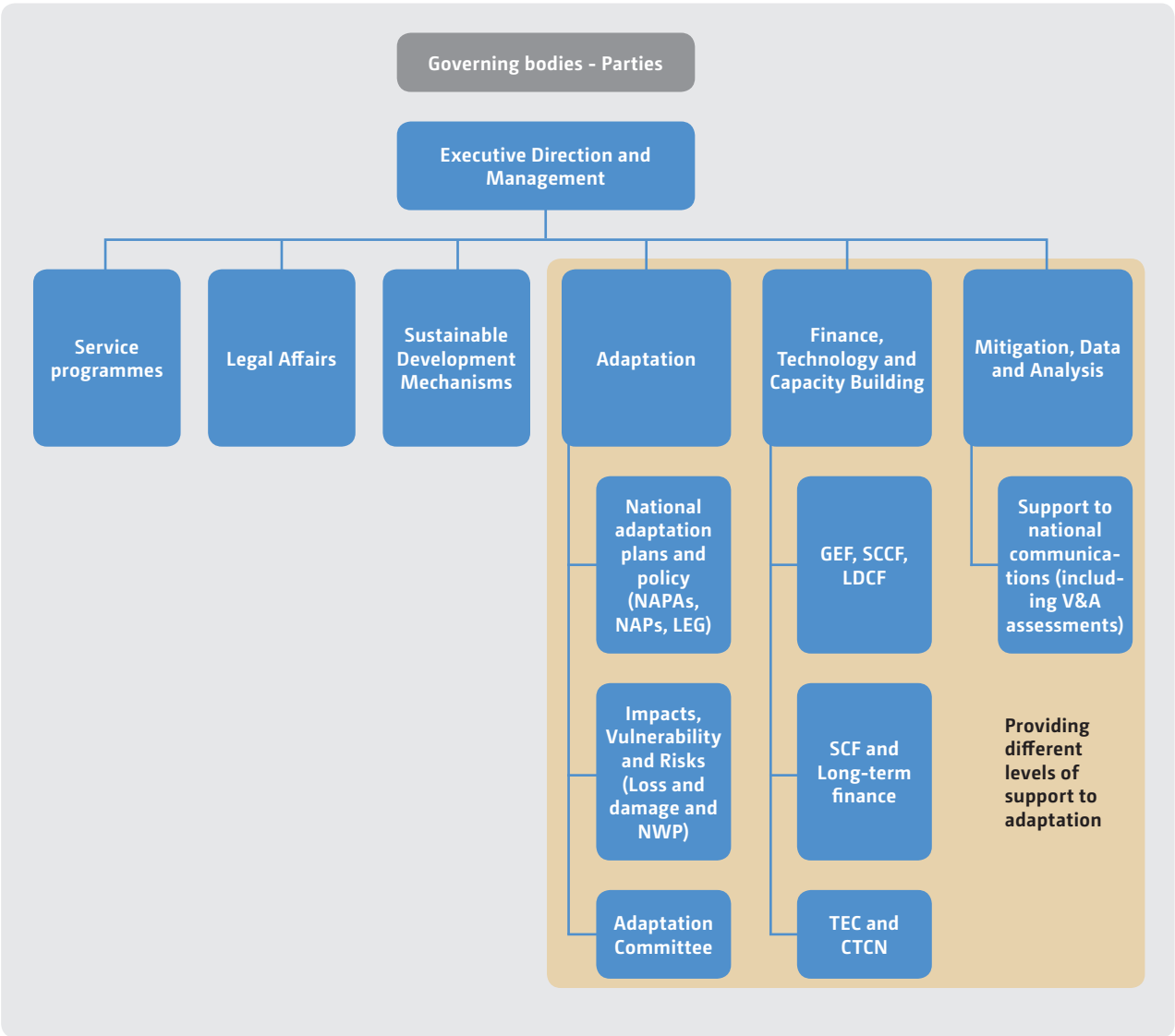


## VI. FACILITATING ADAPTATION UNDER THE CONVENTION – THE SECRETARIAT

Support to the implementation of the various adaptation workstreams and bodies is provided through a number of programmes within the Secretariat (see figure 7). The Secretariat facilitates negotiation sessions; organizes expert, technical and training workshops and meetings; prepares analytical and technical documentation; and keeps a repository of information on adaptation, including through a variety of databases.<sup>30</sup>

Most of the support comes from the Adaptation programme within the Secretariat, which supports the implementation of the CAF and other efforts to enhance action on adaptation under the Convention, including through facilitating the work of the Adaptation Committee

Figure 7. Secretariat’s support to adaptation



30 For more information on the Secretariat see <unfccc.int/1629>.

in exercising its functions, supporting the process for the formulation and implementation of NAPs, and facilitating the implementation of the work programme on loss and damage. In addition, the programme supports the implementation of the Nairobi work programme, NAPAs and the work of the LEG.

Action on the means of implementation for adaptation is supported by the Finance, Technology and Capacity-building (FTC) programme. Finally support to the national communications, including V&A assessments is provided by the Mitigation, Data and Analysis (MDA) programme.



# LIST OF ABBREVIATIONS

AR4	Fourth assessment report of the IPCC
CAF	Cancun Adaptation Framework
CBA	Community-based adaptation
CDM	Clean Development Mechanism
CERs	Certified Emission Reductions
CGE	Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention
CO <sub>2</sub>	Carbon dioxide
COP	Conference of the Parties
CTCN	Climate Technology Centre and Network
EbA	Ecosystem-based adaptation
FAO	Food and Agriculture Organization of the United Nations
FTC	Finance, Technology and Capacity-building programme
GCF	Green Climate Fund
GEF	Global Environment Facility
IPCC	Intergovernmental Panel on Climate Change
LDCF	Least Developed Countries Fund
LDCs	Least developed countries
LEG	Least Developed Countries Expert Group
M&E	Monitoring and evaluation
MDA	Mitigation, Data and Analysis programme
MDB	Multilateral development bank
NAPAs	National Adaptation Programmes of Action
NAPs	National Adaptation Plans
SCCF	Special Climate Change Fund
SCF	Standing Committee on Finance
TEC	Technology Executive Committee
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
V&A	Vulnerability and adaptation
WHO	World Health Organization



# MEMBERS OF THE ADAPTATION COMMITTEE

Name	Country
Ms. Margaret Mukahanana-Sangarwe, <i>Chair</i>	Zimbabwe
Ms. Christina Chan, <i>Vice Chair</i>	United States of America
Mr. Amjad Abdulla	Maldives
Mr. Quamrul Chowdhury	Bangladesh
Mr. Tomasz Chruszczow	Poland
Mr. Luke Daunivalu	Fiji
Mr. Andro Drecun	Montenegro
Mr. Juan Pablo Hoffmaister	Bolivia
Mr. Fredrick Kossam	Malawi
Mr. Clifford Mahlung	Jamaica
Mr. Naser Moghaddasi	Iran
Ms. Renske Peters (replaces Ms. Annemieke Nijhof)	Netherlands
Mr. Klaus Radunsky	Austria
Mr. Eisaku Toda (replaces Mr. Naoya Tsukamoto)	Japan
Ms. Sumaya Ahmed Zakieldeen	Sudan
Mr. Zemmouri Zoubir	Algeria



Members of the Adaptation Committee and experts during a field trip to the Netherlands

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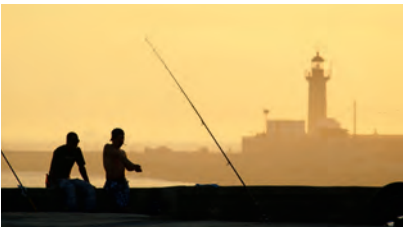
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