

**AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION  
UNDER THE CONVENTION  
Resumed seventh session  
Barcelona, 2–6 November 2009**

**Non-paper No. 31\***

20/10/2009

**CONTACT GROUP ON ENHANCED ACTION ON ADAPTATION  
AND ITS MEANS OF IMPLEMENTATION**

**Revised streamlined text on adaptation**

**Non-paper by the co-chairs**

[The Parties to the United Nations Framework Convention on Climate Change, hereinafter referred to as “the Convention”,

PP.1 Being guided by Articles 2, 3.2, 3.3, 4.1, 4.3, 4.4 and 4.7 of the Convention, and the Bali Action Plan adopted as decision 1/CP.13 by the Conference of Parties (COP),

PP.2 Recognizing existing commitments and agreements under Principle 21 of the Stockholm Declaration, the Monterrey Consensus, the Paris Declaration on Aid Effectiveness, the Barbados Programme of Action and the Mauritius Strategy for the Further Implementation of the Programme of Action for the Sustainable Development of Small Island Developing States,

PP.3 Acknowledging the findings of the Fourth Assessment Report of the Intergovernmental Panel on Climate Change,

PP.4 Emphasizing the urgency and immediacy of the climate change problem,

PP.5 Acknowledging the need to accelerate action to address the adverse effects of climate change and the adverse impact of response measures,

PP.6 Recognizing that climate change, arising from the historical cumulative GHG emissions of developed countries, poses a serious threat to the social and economic development of all Parties and constitutes an additional burden on all developing country Parties, especially those that are particularly vulnerable, in reducing poverty, developing strategies to address social vulnerabilities, attaining sustainable development and achieving the United Nations Millennium Development Goals,

PP.7 Further recognizing that adaptation is also an additional burden on developing countries, and that those particularly vulnerable to the adverse impacts of climate change and to the adverse impact of response measures will suffer disproportionately,

PP.8 Noting that environmental, economic and social conditions and levels of development differ among Parties, which will lead to different prioritizations of adaptation activities,

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\* As mandated by Parties in the contact group on adaptation in Bangkok, this streamlined text has been produced by the co-chairs in preparation for the resumed part of the seventh session of the AWG-LCA to take place in Barcelona, 2–6 November 2009. This non-paper supersedes non-paper No. 8. The production of this streamlined text has been informed by discussions and submissions by Parties. In line with the request by the Parties for a shorter and more concise text, the co-chairs have focused on streamlining the text while ensuring that Parties’ positions remain adequately reflected. Given that the preamble was not discussed, only the operative sections have been streamlined. Brackets denote multiple options or text that was opposed in the course of the consideration of non-paper No. 8. Background information on the streamlining is provided in non-paper No. 35.

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PP.9 Recognizing that adaptation occurs at local, regional and national levels, and is an inherent part of development planning and implementation,

PP.10 Noting that adaptation efforts and funds, and mitigation efforts, should be given equal consideration,

PP.11 Recognizing that early and ambitious emission reductions by developed country Parties, and deep cuts in global emissions, will be required to achieve the ultimate objective of the Convention, decrease the effort and funding needed for adaptation, and reduce damage to areas beyond national jurisdictions,

PP.12 Also recognizing that poor mitigation commitments and actions will impose a higher demand on adaptation measures which will require additional funding,

PP.13 Further recognizing the value of leveraging the work of existing organizations and institutions already involved in addressing climate-related risks and opportunities,

**A. Definitions, objectives, [guiding principles,] scope and roles and responsibilities**

*Definitions<sup>1</sup>*

1. Adaptation [shall] [should] encompass action to reduce the vulnerability and build the resilience of ecological and social systems and economic sectors to present and future adverse effects of climate change [and the impact of the implementation of response measures] in order to minimize the threats to life, human health, livelihoods, food security, assets, amenities, ecosystems and sustainable development.

2. Taking into account different national circumstances, levels of risk and exposure to climate change, “particularly vulnerable developing countries” are hereby defined as developing country Parties that are particularly vulnerable to the adverse effects of climate change [and/or to the impact of the implementation of response measures], and least able to adapt, including:

- (a) Least developed countries (LDCs), small island developing States (SIDS) and countries in Africa affected by drought, desertification and floods;
- (b) Those identified in the nineteenth [and twentieth] paragraph[s] of the preamble to the Convention [and in its Article 4.8];
- (c) Countries in Asia; archipelagic countries; countries with unique biodiversity, tropical and mountainous glaciers, and other fragile ecosystems, including terrestrial, highland and other ecosystems such as estuaries, coastal wetlands, mangroves, coral reefs, seagrass beds and sand dunes; countries with populations in mountainous regions with rapidly disappearing glaciers; economically vulnerable countries; [countries with areas of high urban atmospheric pollution] and countries with vulnerable urban populations.

*Objectives*

3. Adaptation requires urgent and immediate, short-, medium- and long-term action, to be implemented through enhanced international cooperation. To this end, a comprehensive adaptation [framework] [programme] is hereby established, with the objectives of:

- (a) Reducing vulnerability and building resilience in all countries to present and future adverse effects of climate change [and to the impact of the implementation of response measures];

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<sup>1</sup> Sub-headings have been introduced solely to enhance the readability of the document.

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- (b) Enabling and supporting the implementation of adaptation action at local, subnational, national, regional and global levels through finance, technology and capacity-building;
- (c) Mobilizing and providing access to means of implementation, including finance, technology and capacity-building, for all developing countries, especially those that are particularly vulnerable;
- (d) Enhancing cooperation among Parties and intergovernmental, non-governmental and regional organizations that are implementing adaptation and related activities, in order to encourage synergy and ensure coherence across adaptation action and under the Convention.

*Guiding principles*

4. The implementation of enhanced action on adaptation, including the implementation of the adaptation [framework] [programme], [shall] [should]:

- (a) Ensure consistency with, and adherence to, the principles of the Convention and commitments thereunder;
- (b) Adhere to the polluter pays principle;
- (c) Follow a country-driven approach to adaptation;
- (d) [Take climate change considerations into account, to the extent feasible, in relevant social, economic and environmental policies and actions] [Integrate adaptation actions into sectoral and national planning];
- (e) Be based on, and guided and informed by the best available science and traditional knowledge, as appropriate;
- (f) Involve all relevant stakeholders through a participatory approach to ensure ownership and inclusiveness.

*Scope*

5. The scope of implementation of the adaptation [framework] [programme] covers the life cycle of adaptation, from vulnerability assessments to planning to implementation, at all levels and on all timescales. The adaptation [framework] [programme] should distinguish between, and balance the need for:

- (a) Adaptation action to short-term climate shocks and adaptation action to long-term shifts in the climate;
- (b) Adaptation action that is integrated into national development and sectoral activities and stand-alone adaptation action that is additional to ongoing development.

6. In the implementation of the adaptation [framework] [programme] as laid out in subsequent sections, including in the provision of means of implementation, priority should be given to the following:

- (a) [All] [Particularly vulnerable] developing countries;
- (b) Particularly vulnerable sectors;
- (c) Particularly vulnerable people, groups and communities;
- (d) Particularly vulnerable ecosystems.

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*Roles and responsibilities*

7. Recognizing that adaptation is a challenge shared by all Parties, and taking into account their common but differentiated responsibilities and respective capabilities:

- (a) All Parties [shall] [should] undertake actions at all levels, including strengthening enabling environments, sharing of data, information and knowledge, and protecting and sustainably managing natural resources and ecosystems, and the goods and services they provide, to facilitate adaptation;
- (b) Developed country Parties [shall] [should] support developing country Parties, especially those that are particularly vulnerable, in their adaptation action, through the provision of means of implementation, including finance, technology and capacity-building;
- (c) Developing country Parties [shall] [should] identify their adaptation priorities and elaborate on these in their adaptation plans referred to in paragraph 9 below, as well as in their national and sectoral development policies, programmes and plans, and other relevant documents and strategies, as appropriate;
- (d) The Convention process [shall] [should]:
  - (i) Facilitate the provision and sharing of knowledge, expertise, information, experience and scientific and technical aspects of adaptation;
  - (ii) Facilitate the matching of adaptation needs prioritized at national level with financial and technological support provided by developed country Parties;
  - (iii) Play a catalytic role in mobilizing actions of relevant stakeholders, and increase synergies and coherence with relevant institutions and frameworks.

**B. Implementation of adaptation action to climate change**

*Planning and preparing for the implementation of adaptation action*

8. All Parties [shall] [should] [may] implement activities, including those related to building capacity, sharing knowledge and strengthening enabling environments (policy, legislative and institutional), that are needed to enable, support, enhance and incentivize the implementation of adaptation actions, projects and programmes.<sup>2</sup>

9. [Particularly vulnerable] [developing country] [all] Parties [shall] [should] [may] formulate and periodically review and update national, and where appropriate regional, adaptation plans as a means of:

- (a) Assessing current and potential impacts of climate change [and/or the impact of the implementation of response measures];
- (b) Identifying, costing and prioritizing their country-specific urgent and immediate, short-, medium- and long-term adaptation needs, including needs related to risk management, reduction and sharing;
- (c) Developing adaptation strategies, programmes and projects.<sup>3</sup>

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<sup>2</sup> A list of possible activities is included in annex I.

<sup>3</sup> Detailed proposed objectives and modalities are included in annex II.

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*Implementation of adaptation action*

10. To enhance adaptation action at national level, all Parties, in line with a country-driven approach and taking into account local and national adaptation plans, as well as gender and ecosystem considerations, [shall] [should] [may] implement specific programmes, projects, activities, strategies and measures, including:<sup>4</sup>

- (a) In the short-term:
  - (i) Action identified in NAPAs and other relevant plans and strategies;
  - (ii) Undertaking sound impact, vulnerability and adaptation assessments, to include costs and benefits, at all appropriate levels, using a range of decision-making tools and methodologies;
  - (iii) Assessing, reducing, managing and sharing urgent and immediate, short-, medium- and long-term risks associated with climate change, including through, inter alia, early warning systems, incorporation of risk management and disaster risk reduction, insurance-related activities [, implementation of the Hyogo Framework for Action] [, and activities addressing loss and damage from the adverse effects of climate change, such as those arising from extreme weather events and gradual changes];
  - (iv) Enhancing, supporting and promoting traditional adaptation methods that have been implemented successfully in the past;<sup>5</sup>
- (b) In the medium-term:
  - (i) Action identified in poverty reduction strategies, national communications, technology needs assessments, integrated climate territorial plans and other relevant strategies, including rural development strategies;
  - (ii) Action to build resilience and enhance adaptive capacity to climate variability and change in economic development activities and institutions, including through economic diversification;
- (c) In the long-term: action identified in national sustainable development strategies.

11. To enhance adaptation action at regional level, all Parties [shall] [should] [may] implement specific programmes, projects, activities, strategies and measures, including coordinated adaptation action where appropriate, especially between countries with shared natural resources, aimed at enhancing collective adaptation action without compromising the sovereignty of countries.

12. To enhance adaptation action at international level, all Parties [shall] [should] [may] implement specific programmes, projects, activities, strategies and measures, including:

- (a) Enhancing the scope of activities undertaken under the Nairobi work programme, building upon its outcomes and lessons learned, with a view to promoting understanding

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<sup>4</sup> Two proposals were made that action related to technology transfer and capacity-building, which is currently included in section C, be included in section B.

<sup>5</sup> One proposal suggested that this sub-paragraph be moved to section A on principles.

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of impacts, vulnerability and adaptation to climate change, and developing it into a hub of knowledge and information sharing and capacity-building;<sup>6</sup>

- (b) Establishing a three-year cooperative work programme to provide a bridge between short-term action and medium- and long-term action, with a view to:
  - (i) Catalysing rapid learning about adaptation good practice by supporting enhanced implementation of projects, programmes and policies in vulnerable regions, sectors, communities and ecosystems within all developing countries;
  - (ii) Supporting the implementation of NAPAs and their preparation where appropriate;
  - (iii) Strengthening observation systems, creating databases for climate data, and undertaking downscaling and targeted capacity-building for long-term planning;
  - (iv) Encouraging projects related to microinsurance and global risk pooling;
- (c) Activities related to national, regional and international migration and displacement or planned relocation of persons affected by climate change, while acknowledging the need to identify modalities of inter-state cooperation to respond to the needs of affected populations who either cross an international frontier as a result of, or find themselves abroad and are unable to return owing to, the effects of climate change;
- (d) [Action identified in decisions 5/CP.7 and 1/CP.10].
- (e) [Action to minimize adverse social, environmental and economic impacts on developing countries identified in Article 4.8 and 4.9 of the Convention;]<sup>7</sup>

**C. Means of implementation**

*Activities to be supported by means of implementation*

13. The provision of means of implementation for developing countries, primarily financial resources, technology transfer, and capacity-building, is a commitment under the Convention in accordance with its relevant articles that must be urgently fulfilled by developed country Parties. In accordance with the relevant Convention Articles and COP decisions, developing country Parties,<sup>8</sup> especially those that are particularly vulnerable [Parties with economies in transition] [and other Annex I country Parties with special circumstances] [shall] [should] be provided with financial resources from the Convention Adaptation Fund and with technology and capacity-building to support:

- (a) Planning for and implementation of urgent and immediate, short-, medium- and long-term adaptation action at national, regional and international level, including priorities identified in NAPAs and national adaptation plans as well as activities related to knowledge and data sharing; research and systematic observation; disaster risk reduction and to promoting enabling environments as elaborated in section B above;
- (b) The International Mechanism to Address Loss and Damage Risks as elaborated in section D below;

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<sup>6</sup> One proposal suggested that this paragraph be considered by the contact group on enhanced action on capacity-building.

<sup>7</sup> One proposal suggested that this paragraph be moved to section A.

<sup>8</sup> [Those Parties eligible to borrow from the World Bank (IBRD and/or IDA) or eligible recipients of UNDP technical assistance through its country indicative planning figure (IPF).]

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- (c) Institutional arrangements at national, regional and international level and under the Convention as elaborated in section E below;
- (d) [Assessing delivery of means of implementation for adaptation] [Monitoring and review of adaptation action and support] as elaborated in section F below.

*Finance*<sup>9</sup>

14. The provision of financial support [shall] [should] be guided by the following:<sup>10</sup>
- (a) Financial support [shall] [must] be substantially scaled-up, new, adequate, predictable, sustainable, stable, timely, sufficient, commensurate, country and demand driven and additional to, and separate from, resources provided by developed country Parties to meet their official development assistance (ODA) targets;
  - (b) Access to financial support [shall] [must] be simplified and expeditious, allowing for direct access by developing country Parties, and not be dependent on the completion of national adaptation plans;
  - (c) Financial support [shall] [should] be provided to all developing country Parties, especially those that are particularly vulnerable:<sup>11</sup>
    - (i) Based on mandatory contributions from developed country Parties and other developed Parties included in Annex I to the Convention [as payment of their adaptation debt];
    - (ii) As grants [and concessional loans] based on entitlements to receive regular, continuous instalments;
    - (iii) [Through a programmatic approach and for project-based, stand-alone adaptation action going beyond the integration of adaptation into sustainable development plans;]
    - (iv) To [meet] [assist in meeting] the agreed full costs [and agreed full incremental costs] of adaptation action incurred by such Parties, without requiring co-financing;
  - (d) Financial support should be provided through the enhanced financial architecture and be under the authority and guidance of, and fully accountable to, the COP;
  - (e) [In accordance with commitments of Parties and guidance provided by the COP, complementarity and coherence between adaptation funding provided under the Convention and bilateral and multilateral adaptation funding provided outside the Convention [shall] [should] be ensured;]

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<sup>9</sup> Former paragraphs 22, on the scale of funding for adaptation, and 23, on the sources of funding for adaptation, have been transferred to the contact group on enhanced action on the provision of financial resources and investment in line with the understanding reached in Bangkok. Textual changes proposed by Parties regarding those two paragraphs are highlighted in the appendix to this paper and those amended paragraphs can also be found in non-paper No. 34, annex 12.

<sup>10</sup> Several proposals were made for this paragraph or aspects of it to be considered as part of the discussions on finance.

<sup>11</sup> Several proposals were made to add specific country groups.

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- (f) Of the adaptation funding available:
  - (i) [Seventy] [xx] per cent should be earmarked for LDCs, SIDS and countries in Africa affected by drought, desertification and floods;
  - (ii) [Thirty] [xx] per cent should be earmarked for disaster reduction and preparedness.

*Technology*<sup>12</sup>

15. In furthering the objective of the adaptation [framework] [programme] and the implementation of adaptation action, developed country Parties, in partnership with developing country Parties, [shall] [should] support, inter alia, research and development, deployment, diffusion and transfer of and access to appropriate technologies for adaptation, especially in particularly vulnerable developing countries, including related knowledge, expertise, capacity-building and strengthening of enabling environments to ensure the successful adoption of such technologies.

*Capacity-building*

16. In furthering the objective of the adaptation [framework] [programme] and the implementation of adaptation action, developed country Parties, in partnership with developing country Parties, [shall] [should] support capacity-building, inter alia, for:

- (a) Operational planning of adaptation, including capacity for detailed project design, costing of adaptation action, increasing adaptive capacity and implementation of adaptation actions;
- (b) Systematic observation, data collection and archiving, analysis, modelling and dissemination, including the use of climatic information and model outputs in national and sectoral planning;
- (c) Improved disaster risk reduction and emergency response capabilities, including early warning systems and governance structures that encourage efficient use and coordination of local, national, regional and international resources;
- (d) Analysing institutional vulnerabilities in developing countries in order to build and strengthen national institutional capacities in specialized areas, such as modelling, adaptation planning and implementation;
- (e) Education, training and public awareness, in line with Article 6 of the Convention.

**D. [Risk management and risk reduction strategies, including risk sharing and transfer mechanisms such as insurance: International Mechanism to Address Loss and Damage Risks]<sup>13</sup>**

17. An international mechanism to address the unavoidable loss and damage from the adverse effects of climate change [and the impact of the implementation of response measures] is hereby established.

18. The purpose of the international mechanism shall be: to support developing country Parties, especially those that are particularly vulnerable, in building resilience by addressing the risks associated with climate-related extreme weather events; and to provide compensation and rehabilitation for loss and

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<sup>12</sup> Several proposals were made that discussions on technology and capacity-building be moved into the respective group discussions.

<sup>13</sup> Several proposals were made that paragraphs in this section be moved to section B, C or E.



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damage resulting from climate-related slow-onset events, including sea level rise, increasing temperatures and ocean acidification.

19. The international mechanism shall consist of the following components:
  - (a) An International Insurance Facility to address risks associated with climate-related extreme weather events incorporating measures to reduce, manage and prevent risk;
  - (b) A Compensation and Rehabilitation component for climate-related slow onset events.
20. The international mechanism shall be funded through the financial mechanism of the Convention.
21. The international mechanism shall be subject to the authority and guidance of the COP and be supervised by an executive board as established in section E below.
22. The COP shall elaborate modalities and procedures for the international mechanism, consistent with the principles and objectives of the Convention.
23. Participation under the international mechanism, including in the components mentioned above, may involve private and/or public entities, and shall be subject to whatever guidance may be provided by the executive board of the mechanism.
24. As provided by Article 7.2(a) of the Convention, the COP shall periodically review the operation of the international mechanism. Such reviews shall be coordinated with other pertinent reviews under the Convention. The first review should take place no later than 2015 and must be informed by the experiences and observations of Parties, the findings of the Fifth Assessment Report of the IPCC and other relevant scientific information.]

**E. Institutional arrangements**

*Institutional arrangements under the Convention*

25. Taking into account the objectives and principles underlying the implementation of the adaptation [framework] [programme], the objectives of institutional arrangements under the Convention shall be:
  - (a) To support and promote the implementation of the adaptation [framework] [programme] in all countries, particularly developing country Parties, at the most appropriate level, recognizing the important roles of state and regional governments;
  - (b) To guide and coordinate adaptation actions at the international and regional levels in support of country-driven priorities, including cooperative action by all Parties and by relevant international, regional and national organizations and institutions;
  - (c) To ensure the provision of financial resources, technology and capacity-building by developed country Parties;
  - (d) To continue to work cooperatively with other organizations on the broad range of initiatives required to address adaptation;
  - (e) To ensure that a coherent and coordinated effort is made to support developing country Parties in building their resilience to the impacts of climate change and avoiding climate change related disasters.
26. In order to support the implementation of the adaptation [framework] [programme], [existing institutional arrangements and expertise under the Convention [shall][should] be enhanced to the extent possible, and] the new institutional arrangements mentioned below [shall][should] be established under

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the Convention.<sup>14</sup> Any institutional arrangements under the Convention shall operate under the authority and guidance of, and be fully accountable to, the COP, and shall have an equitable and geographically balanced representation of [all] Parties with a majority of non-Annex I Parties<sup>15</sup> within a transparent and efficient system of governance.<sup>16</sup>

*Option 1*

An adaptation committee to provide guidance, expertise and assistance to developing country Parties in the identification and prioritization of adaptation actions and in matching those actions with financial and technological support provided by developed countries. The committee shall comprise the following:

- (a) [A Facilitative Branch responsible for assessing ongoing work and promoting understanding of the scientific and methodological basis of adaptation. The Branch shall interact with Parties, agencies and international institutions engaged in adaptation; analyse existing work and identify best practices; identify gaps and enhance action to respond to those gaps; and monitor compliance by Parties of their commitments to support adaptation;]
- (b) A Technical Advisory Branch for advising on technical matters arising from the work of the adaptation committee and supporting the International Mechanism referred to in section D above;
- (c) [A Clearing House and Information Dissemination Branch responsible for disseminating information generated by the Facilitative and Technical Advisory branches to users at the national level.]

*Option 2*

A Subsidiary Body for Adaptation, the function of which is to enhance urgent action on adaptation, focusing on the provision of financial resources and technical support to enable and support adaptation actions in developing countries. The Subsidiary Body shall, inter alia, provide technical advice; enhance technology development and transfer; and plan, organize, coordinate, monitor and evaluate international actions on adaptation to climate change, including on the means of implementation.

*Option 3<sup>17</sup>*

An expert [group][body] on adaptation under the [Subsidiary Body for Adaptation] [adaptation committee] to:

- (a) Enhance the implementation of adaptation action by monitoring adaptation needs of developing countries, including needs for finance, technology and capacity-building; overseeing the creation of the necessary funds and insurance mechanisms; and ensuring the effectiveness of funds allocated to adaptation;
- (b) Develop guidance for formulating national adaptation strategies, and provide relevant support for particularly vulnerable developing countries.

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<sup>14</sup> Note that despite being presented as options, the institutional arrangements presented here are not intended to be mutually exclusive. The detailed proposed functions of these arrangements are contained in annex III.

<sup>15</sup> The composition of the Adaptation Fund Board was highlighted as a model.

<sup>16</sup> One proposal referred to a Convention Adaptation Fund, which is being discussed by the contact group on enhanced action on the provision of financial resources and investment.

<sup>17</sup> One proposal was made that options 3, 4 and 5 be discussed by the contact group on enhanced action on the provision of financial resources and investment.

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*Option 4*

An adaptation advisory panel evolving from the Least Developed Countries Expert Group to develop guidance for formulating national adaptation strategies, and provide support for particularly vulnerable developing countries in elaborating these strategies.

*Option 5*

A [facilitative] mechanism under the Convention to:

*Option 5.1*

Design and implement a new work programme on adaptation;

*Option 5.2*

Enhance and support the implementation of adaptation action by monitoring the level of adaptation of developing countries; assessing capacity-building; overseeing the creation of the necessary funds and insurance mechanisms; and ensuring the effectiveness of funds allocated to adaptation;

*Option 5.3*

Enable and support the creation of partnerships among Parties or companies and research institutions of developed and developing countries for developing and transferring technologies for adaptation and implementing adaptation activities;

*Option 6<sup>18</sup>*

A Financial and Technology Mechanism on Adaptation to ensure the implementation of commitments for the provision of financial resources and to address all aspects of cooperation on technology research, development, diffusion, and transfer. An Executive Body on Finance and Technology for Adaptation (EBFTA) shall be established under the mechanism to govern an Adaptation Fund, also to be created under the Convention. The EBFTA shall be supported by four technical panels on:

- (a) Research and development;
- (b) Capacity-building;
- (c) Transfer of technologies for adaptation;
- (d) Observation systems and information management.

*Option 7*

An Executive Board to supervise the International Mechanism referred to in section D above. The Board shall be supported by a technical advisory group established under the Technical Advisory Branch of the Adaptation Committee. The group shall provide advice and guidance on existing and innovative approaches to risk management, risk transfer and risk sharing, including insurance, and recommend appropriate financial compensation payments to the Board once identified and verified climate risk factor thresholds have been exceeded.

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<sup>18</sup> One proposal was made to establish an Executive Body on Technology; however, no additional details on its proposed functions or form were provided and it has therefore not been included in this list.

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*Institutional arrangements at national level*

27.

*Option 1*

All Parties should promote the efforts of national coordinating mechanisms, entities and focal points through utilizing existing capacities and expertise at national and, where relevant, the regional levels, and through cooperation between developed country Parties and developing countries in efforts to enhance the capacities of such institutions.

*Option 2*

Parties [should] [may] designate a national focal point for adaptation, with specific arrangements to be decided by each Party, to enable the effective implementation of the adaptation [framework] [programme], in particular the development and implementation of national adaptation plans. Particularly vulnerable developing countries shall be provided with financial and technical assistance to support the work of the national adaptation focal points.

*Option 3*

National coordinating [bodies] [entities] [centres and networks] should be established, or enhanced where they already exist, to address all aspects of the means of implementation for adaptation, including gender-balanced participation, and to strengthen the institutional capacity of national focal points and all stakeholders.

*Institutional arrangements at regional level*

28. Regional [adaptation] centres, including virtual centres, networks, organizations, initiatives and coordinating [bodies] [entities],<sup>19</sup> should be strengthened to the extent possible and, where necessary, established in developing country regions [under the authority of the Subsidiary Body for Adaptation] to facilitate action on adaptation. Regional centres should be designated by the countries they serve and be guided by and complement national adaptation action and priorities. Parties could use them as a source of guidance, information and expertise. Regional centres should operate with a view to.<sup>20</sup>

- (a) Facilitating sharing of knowledge and information between regions and centres at all levels;
- (b) Organizing and delivering information between the Convention process and national focal points;
- (c) Providing technical support, backstopping and capacity-building;
- (d) Enhancing the implementation of adaptation action, particularly at the regional level through cross-border projects and programmes, where appropriate;
- (e) Facilitating development, diffusion and transfer of technologies for adaptation.

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<sup>19</sup> The proposed functions for the various proposed concepts do not differ hence they are not separated.

<sup>20</sup> More detailed proposed functions of regional centres are contained in annex V.

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*Institutional arrangements at international level*

29. [An international adaptation centre should be established to share site-specific adaptation experiences and lessons learned, and to coordinate, facilitate and assess national and regional adaptation programmes and actions under the guidance of the COP.]

**F. [Assessing delivery of means of implementation for adaptation] [Monitoring and review of adaptation action and support]**

30. In order to ensure transparency, mutual accountability and robust governance, and to facilitate sharing of experiences and information on support delivered [and action implemented], all Parties, with additional financial and technical support provided to developing country Parties, should monitor, review and report on:

- (a) [Adaptation action at national, regional and international level;]
- (b) Adaptation action supported by means of implementation provided under the adaptation [framework] [programme];
- (c) Support provided and received;
- (d) Progress, experiences and lessons learned from measures taken to adapt to climate change [and to the impact of the implementation of response measures].

31. To the extent possible, Parties should use existing national and other relevant monitoring and evaluation systems as well as reporting mechanisms under the Convention such as national communications.

32. [The COP] [A [mechanism][system] for monitoring, reporting [verification] [review]] [A compliance mechanism] [The Adaptation Committee] [shall] [should]:

- (a) Monitor, review and assess, on an annual basis and in a consistent, measurable, reportable and verifiable manner, the delivery of means of implementation, including finance, technology and capacity-building by developed country Parties, including the details of measures taken in accordance with Article 4, paragraphs 3, 4 and 5, of the Convention, in order to ensure compliance of developed country Parties with their commitments under the Convention;
- (b) Maintain a global overview of adaptation actions, including of those that have trans-boundary implications, and of progress, best practices and trends relating to adaptation support including funding needs, available resources and identified insufficiencies and discrepancies between support pledged and received, based on information provided by Parties in their national communications and national adaptation plans, and by reports from other relevant organizations, as appropriate, with a view to recommending what further action may be needed.]

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**Annex I**

**Activities to plan and prepare for the implementation of adaptation action (paragraph 8)**

- (a) Promote the integration of adaptation concerns into national, subnational, and sectoral sustainable development; public policies, tools and strategies; programmes and priorities; planning processes and poverty reduction plans, at the local, national, regional and international levels and across sectors, developing national adaptation plans as appropriate, and reviewing and reporting on these activities;
- (b) Integrate sustainable development into economic diversification strategies;
- (c) Provide incentives to adaptation through, inter alia, regulatory policies, legislative changes, removal of barriers, well-functioning markets that provide a foundation for increased flows of investment, involving women as active participants, and other supportive approaches;
- (d) Minimize incentives that encourage maladaptation and unsustainable land uses, and reduce negative economic incentives (e.g. tax breaks) for vulnerable activities;
- (e) Creating legal and regulatory conditions that facilitate adaptation, including disaster resilience (for example, building codes, land-use planning, risk-sharing tools, and strengthening policy coherence among sectors);
- (f) Support the supply and availability of climate information (including through research and systematic observation), tools, methods and models, particularly in the most vulnerable countries;
- (g) [Engage in] [Enhance] education and training programmes, research and public awareness-raising, including public and stakeholders education and continued outreach;
- (h) Share knowledge, information, data and experience among public and private stakeholders, including through appropriate arenas and fora, and utilizing the services of relevant institutions at local, national, regional and international levels, consistent with international agreements;
- (i) Enhance or develop the needed information and knowledge base (both biophysical and socio-economic), including improving scientific research, data systems and data collection, to support adaptation and catalyze adaptation investments. This includes enhancing observations and data, and making that data available, to inform assessment and planning for adaptation and provide inputs for approaches such as parameterized insurance;
- (j) Integrate knowledge, experiences and lessons learned from existing activities, including those carried out at the community level as well as activities from ongoing initiatives such as the Nairobi Work Programme, into adaptation planning;
- (k) Improve knowledge of the socio-economic aspects of climate change and promote the integration of socio-economic information into impact and vulnerability assessments;
- (l) Exchange experiences and opportunities relating to the development and dissemination of measures, methodologies and tools aimed at increasing economic resilience;
- (m) Exchange experiences and lessons learned in economic diversification, including ways to develop institutional capacity, and improve understanding of how economic diversification can be integrated into sustainable development plans, especially those that promote sustainable economic growth and eradication of poverty;

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- (n) Elaborate best practices that can guide immediate actions with an eye to building long-term resilience to extreme events and disasters, including through implementation of the Hyogo Framework for Action;
- (o) Educating stakeholders at all levels about adaptation options and the benefits of reducing vulnerability to climate-related risks;
- (p) Using meteorological, earth-observation and socio-economic information, and local and indigenous knowledge to best coordinate disaster planning and response;
- (q) Establishing systems of accountability such as institutional checks and balances and open administrative systems. Establishing the rule of law through means and processes for enforcement;
- (r) Improving the environment for doing business – particularly for small and medium enterprises – by combating corruption and reducing bureaucratic barriers (i.e. red tape) to private-sector business activity;
- (s) Improving availability and application of climate and environmental information, including but not limited to remote sensing, and decision-making tools;
- (t) Clarifying and securing land tenure and planning – i.e. allocation, ownership and control over lands and resources;
- (u) Strengthening environmental and natural resources management and enforcement.

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**Annex II**

**Objectives and modalities of national adaptation plans, programmes and activities (paragraph 9)**

- (a) [Catalyse] [Support] actions in and across different sectors, promoting efficient and effective use of the financial resources for adaptation provided by developed country Parties under the Convention;
- (b) Indicate areas of immediate action and support in terms of means of implementation;
- (c) Develop plans in a flexible fashion such that they can be updated on the basis of new information and learning;
- (d) Inform domestic action and the [provision] [allocation] of increased international financial support, possibly forming a component of a country's sustainable development plan and low-emission development strategies;
- (e) Be used to report on the effectiveness of adaptation actions in meeting stated objectives;
- (f) [Include] [Enable] regional assessments of vulnerability and impacts of adaptation actions and measures undertaken between countries and in the context of shared and transboundary resources;
- (g) Take into account land degradation;
- (h) Be consistent with, or incorporate elements of, national risk management plans and disaster risk reduction;
- (i) Systematically integrate risk reduction measures in national, subnational and sectoral development planning and programming;
- (j) Include [at least] [inter alia]:
  - (i) Vulnerability assessments;
  - (ii) Prioritization of actions;
  - (iii) Financial needs assessments;
  - (iv) Capacity-building and response strategies;
  - (v) Means for integrating adaptation actions into [thematic areas] [sectoral] and national planning;
  - (vi) Identification of specific projects and programmes;
  - (vii) Identification of means to incentivize the implementation of adaptation actions;
  - (viii) Ways to enable climate-resilient development and reduce vulnerability;
  - (ix) Disaster risk reduction, management strategies, preparedness and extreme weather forecast contingency plans;
  - (x) Means to diversify the economy as an adaptation strategy;
  - (xi) Strengthened risk observation, risk analysis and risk information dissemination;
  - (xii) Early warning systems;
  - (xiii) Emergency response and recovery;
  - (xiv) Risk transfer mechanisms, including insurance.



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**Annex III**

**Possible tasks of institutional arrangements (paragraph 26)<sup>1</sup>**

- (a) Developing broad guidance for developing national adaptation strategies, and providing support for particularly vulnerable countries, and those least able to adapt, in developing these strategies;
- (b) Strengthening, consolidating and enhancing the sharing of information, knowledge, experience and good practices, at local, national, regional and international levels, consistent with relevant international agreements, through creating [arenas][platforms] and by creating forums where different public and private stakeholders can discuss concrete challenges, recognizing the role of national focal points;
- (c) Disseminating information through regional centres;
- (d) Assisting particularly vulnerable developing countries, to, inter alia, develop guidelines for undertaking vulnerability and adaptation assessments, the preparation of national adaptation plans, and integrating adaptation actions into sectoral and national planning; and identifying sources of funding and technical assistance to support specific adaptation actions;
- (e) Encouraging [international organizations and institutions to support (through their programmes on, inter alia, financial cooperation, capacity-building and institution-strengthening mechanisms)] the integration of adaptation into local, national and regional development plans, including funding for adaptation activities, strategies, programmes, and priorities;
- (f) Providing advice and technical support to Parties;
- (g) Designing and implementing a new work programme on adaptation;
- (h) Enhancing scientific monitoring activities to develop ways and means to adapt to the effects of climate change on the ocean;
- (i) Enabling and supporting the creation of partnerships among companies and research institutions of developed and developing countries, and the Parties, for adaptation technologies and the implementation of adaptation activities;
- (j) Achieving accessibility, affordability, appropriateness and adaptability of the technologies required by developing countries for enhanced action on mitigation and adaptation;
- (k) Developing non-exclusive and additional mechanisms for the transfer of adaptation technologies;
- (l) Achieving adequacy and predictability of funds for technology transfer;
- (m) Achieving removal of barriers for technology development and transfer;
- (n) Supporting the development and enhancement of endogenous capacities and technologies of developing country Parties;
- (o) Overseeing [the level of adaptation][adaptation needs] of developing countries, assessing capacity-building needs including finance, technology and capacity-building;

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<sup>1</sup> This list incorporates tasks associated with different proposed institutional arrangements.

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- (p) Enabling direct access to funding by the recipients, and ensuring the provision of new and additional, adequate and predictable financing resources for technology transfer;
- (q) Receiving and evaluating financial support applications from developing countries for implementation of adaptation projects, programmes and actions;
- (r) Planning, organizing, coordinating, monitoring and evaluating international actions on adaptation to climate change, including on the means of implementation;
- (s) Monitoring compliance with commitments and pledges made by developed country Parties, and other Parties who voluntarily elect to do so, to provide financial support to particularly vulnerable developing countries;
- (t) Overseeing the creation of the necessary funds and insurance mechanisms, and the effectiveness of funds allocated to adaptation, including to enable and support the creating of partnerships among companies and research institutions of developed and developing countries for adaptation technologies and the implementation of adaptation activities;
- (u) Achieving provision of full costs and full incremental costs, as per Article 4.3 of the Convention;
- (v) Ensuring the full, effective, and sustained implementation of the Convention, related to the implementation of commitments for the provision of financial resources. This is mandated under Articles 4.1, 4.3, 4.4, 4.5, 4.8 and 4.9 of the Convention in accordance with Article 11 defining the financial mechanism under the Convention.

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**Annex IV**

**Detailed functions of centres (paragraph 28)**

- (a) [Facilitating][Assisting] the development and implementation of national adaptation [action[s]] [plans] in all vulnerable developing country Parties, through promoting research, knowledge sharing, training, capacity-building and the voluntary development, diffusion and transfer of adaptation technology, consistent with relevant international agreements;
- (b) Facilitating the implementation of adaptation actions, capacity-building, knowledge sharing, technology development, diffusion and transfer;
- (c) [Assisting and raising funds for] [Financing the planning] Planning, designing, implementing, monitoring and evaluating adaptation activities, and facilitating informed decision-making at all levels, including the national and regional levels, especially between countries with shared natural resources, taking gender considerations into account;
- (d) Assisting Parties to build endogenous capacity for, inter alia: developing analytical tools; undertaking adaptation research and implementation activities; research, development, deployment and transfer of adaptation technologies; awareness-raising; support for pilot projects; and publication of studies on adaptation;
- (e) Exchanging lessons learned and best practices, and, based on the best scientific evidence available, enhancing the assessment of the vulnerability of oceans and coasts to the effects of climate change in order to facilitate the implementation of adaptation measures;
- (f) Contributing to the effectiveness of actions implemented by the relevant bodies established to enhance action on technology transfer;
- (g) Coordinating and disseminating free and timely dissemination of information related to systematic observation and regional impacts and response modelling, for improved vulnerability and adaptation assessments;
- (h) Collecting, analysing and disseminating information on past and current practical adaptation actions and measures, including projects, short- and long-term strategies, and local and indigenous knowledge;
- (i) Enhancing the capacity of national-level interdisciplinary resource groups that include representatives from universities, scientific research institutions, government, industry and NGOs;
- (j) Developing a training programme that allows urban planners to integrate climate risk management into long-term development planning;
- (k) Generating and sharing knowledge, and enabling transformation of this knowledge into action;
- (l) Strengthening institutions and aiding in development of knowledge platform to enable sharing of research, expertise and data;
- (m) Engaging science and policy communities in dialogues to promote effective decision-making related to environment and development issues;
- (n) Seeking opportunities and partnerships to build capacity for the use of vulnerability and adaptation assessment methods and tools through new education programmes and advanced study institutions;

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- (o) Studying the stresses generated by climate change and variability, and estimation of past, current and future climate-related risks (e.g. sea level rise, intensification of storms, especially sand storms.) as well as risks to human health;
- (p) Assisting with the formulation and dissemination of guidance for the development of national adaptation plans;
- (q) Providing guidance to the financial mechanism on appropriate criteria for approval and disbursement of financing for adaptation;
- (r) Provide feedback to the Adaptation Committee on gaps at the national and regional levels that need to be addressed.

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**Appendix**

**Paragraphs to be taken up by the contact group on enhanced action on the provision of financial resources and investment (Non-paper No. 34, annex 12)**

1. The scale of financial flows to support adaptation in developing countries must be [at least USD 67 billion] [within a minimum range of USD 50–86 billion] [in the range of USD 70–140 billion] [at least [0.5] [0.7] [1.5] per cent of the GDP of [developed country Parties] [Annex I Parties] in line with their commitments in Article 4.3] per year [by 2020] [from 2012] and be regularly updated in the light of new emerging science, financial estimates and the degree of emission reductions achieved.
2. Sources of financial support for [adaptation] [the Convention Adaptation Fund] [shall] [may] include:
  - (a) Assessed contributions from developed country Parties and other developed Parties included in Annex II to the Convention, taking into account [their adaptation debt and] the need for MRV;
  - (b) Auctioning of assigned amounts and/or emission allowances from developed country Parties;
  - (c) [Levies on carbon dioxide emissions from Annex I Parties in a position to do so;]
  - (d) [Taxes on carbon-intensive products and services from Annex I Parties;]
  - (e) [[Levies on] [Shares of proceeds from measures to limit or reduce emissions from] international aviation, in the order of USD 4–5 per international airline ticket, and maritime transport;]
  - (f) [Shares of proceeds on [the clean development mechanism (CDM), and extension of shares of proceeds to joint implementation and emissions trading] [the flexibility mechanism];]
  - (g) Levies on international transactions among Annex I Parties;
  - (h) Fines for non-compliance of Annex I Parties and with commitments of Annex I Parties and Parties with commitments inscribed in Annex B to the Kyoto Protocol (Annex B Parties);
  - (i) [Additional ODA] [ODA additional to ODA targets] [provided through bilateral, regional and other multilateral channels (in accordance with Article 11.5 of the Convention)];
  - (j) Provision of resources in accordance with Article 11.5 of the Convention;
  - (k) A levy of 2 per cent on capital transfers between entities in Annex I Parties to be collected by the Annex I Party concerned and remitted in full to the Convention Adaptation Fund.

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