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### Ad Hoc Working Group on Long-term Cooperative Action under the Convention

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Item 4 of the provisional agenda

Adaptation Committee

### Synthesis report on the composition of, and modalities and procedures for, the Adaptation Committee, including linkages with other relevant institutional arrangements

Note by the secretariat\*\*

#### *Summary*

This document synthesizes the views submitted by Parties on the composition of, and modalities for, the Adaptation Committee. It reports on the proposed role, objectives and guiding principles of the Committee, and elaborates on suggested operational modalities and activities to perform the agreed functions of the Adaptation Committee. Following a discussion of the proposed linkages of the Adaptation Committee with other institutional arrangements under and outside the Convention, the document concludes with a synthesis of suggested organizational and governance modalities and procedures, including composition and linkage to the Conference of the Parties and the subsidiary bodies.

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\* The second part of the fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention will be held in conjunction with the second part of the sixteenth session of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol and the thirty-fourth sessions of the Subsidiary Body for Implementation and the Subsidiary Body for Scientific and Technological Advice. The exact dates of the resumed sessions of the ad hoc working groups will be announced in due course.

\*\* This document was submitted after the due date owing to the short interval between the thirteenth and fourteenth sessions of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention.

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## **I. Introduction**

### **A. Mandate**

1. The Conference of the Parties (COP), at its sixteenth session, requested the secretariat to prepare, by the fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA), a synthesis report based on submissions from Parties on the composition of, and modalities and procedures for, the Adaptation Committee, including on proposed linkages with other relevant institutional arrangements.<sup>1</sup>

2. At the same session, the COP requested the AWG-LCA to elaborate on the composition of, and modalities and procedures for, the Adaptation Committee, taking into account submissions from Parties<sup>2</sup> and a synthesis report based on those submissions, for adoption by the COP at its seventeenth session. The COP further requested the AWG-LCA to define, as appropriate, linkages with other relevant institutional arrangements under and outside the Convention, including at the national and regional levels.<sup>3</sup>

### **B. Background**

3. The COP in its decision 1/CP.16 established the Cancun Adaptation Framework with the objective of enhancing action on adaptation. The COP further established the Adaptation Committee to promote the implementation of enhanced action on adaptation in a coherent manner under the Convention, inter alia, through the following functions:

(a) Providing technical support and guidance to the Parties, respecting the country-driven approach, with a view to facilitating the implementation of adaptation activities, including those listed in paragraphs 14 and 15 of decision 1/CP.16, where appropriate;

(b) Strengthening, consolidating and enhancing the sharing of relevant information, knowledge, experience and good practices, at the local, national, regional and international levels, taking into account, as appropriate, traditional knowledge and practices;

(c) Promoting synergy and strengthening engagement with national, regional and international organizations, centres and networks, in order to enhance the implementation of adaptation actions, in particular in developing country Parties;

(d) Providing information and recommendations, drawing on adaptation good practices, for consideration by the COP when providing guidance on means to incentivize the implementation of adaptation actions, including finance, technology and capacity-building and other ways to enable climate-resilient development and reduce vulnerability, including to the operating entities of the financial mechanism of the Convention, as appropriate;

(e) Considering information communicated by Parties on their monitoring and review of adaptation actions, support provided and received, possible needs and gaps and

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<sup>1</sup> Decision 1/CP.16, paragraph 22.

<sup>2</sup> The submissions are compiled in document FCCC/AWGLCA/2011/MISC.1 and Add.1.

<sup>3</sup> Decision 1/CP.16, paragraphs 23 and 24.

other relevant information, including information communicated under the Convention, with a view to recommending what further actions may be required, as appropriate.<sup>4</sup>

### **C. Scope of the note**

4. This document synthesizes the views submitted, on invitation by the COP, by 35 Parties representing 144 Parties. It first provides an overview on how Parties see the role, objectives and guiding principles of the Adaptation Committee (chapter II). In order to allow for a common understanding when developing a draft decision to be adopted at COP 17, modalities are defined as the instruments or means to deliver or operationalize the functions of the Adaptation Committee. Two different types of modalities were discussed by Parties:

(a) Operational modalities, defined as the instruments or means to perform the above-mentioned agreed functions of the Adaptation Committee (see chapter III);

(b) Organizational and governance modalities and procedures, which stipulate and clarify how the operational modalities will be implemented and include the composition of the Committee and its relationship with the COP and the subsidiary bodies (chapter V).

5. Chapter IV discusses the proposed linkages with other institutional arrangements under and outside the Convention.

## **II. Role, objectives and guiding principles of the Adaptation Committee**

6. Several Parties emphasized that the Adaptation Committee should be the overarching body for addressing adaptation under the Convention and should be the primary body for coordination of the currently fragmented adaptation initiatives. They argued that it should play a key role in implementing the Cancun Adaptation Framework and in providing leadership in catalysing and supporting country-driven adaptation actions that enable Parties to effectively prepare for, and respond to, the impacts of climate change. One Party noted that the Committee should not only address adaptation to the adverse effects of climate change but also adaptation to the impact of the implementation of response measures.

7. The Adaptation Committee, noted some Parties, should aim at:

(a) Providing overall policy and strategic advice to the COP on enhancing action on adaptation;

(b) Promoting coherent consideration of matters relating to adaptation under the Convention, including through enhancing coherence across adaptation-related institutions and mechanisms, rationalizing and consolidating the different adaptation work streams and harmonizing adaptation-related COP mandates;

(c) Monitoring and assessing ongoing work on adaptation under and outside the Convention, including on the implementation of adaptation-related provisions of the Convention, including Article 4, paragraph 4, of the Convention.

8. The Committee, suggested a few Parties, should further provide a platform for advocacy on adaptation and for understanding the challenges and opportunities in, and need for, integrating adaptation into relevant decision-making processes, policies and actions.

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<sup>4</sup> Decision 1/CP.16, paragraph 20.

9. Principles guiding the design and operation of the Adaptation Committee were suggested by several Parties and include:

- (a) Avoiding duplication, maximizing coherence and enhancing synergy through developing modalities in parallel with and with reference to, and building upon, those being developed for existing expert groups, institutions and mechanisms under and outside the Convention;
- (b) Ensuring consistency with the country-driven approach to adaptation;
- (c) Utilizing sound scientific analysis and the increasing body of research, information and knowledge;
- (d) Performing its functions and providing support in accordance with the principle of common but differentiated responsibilities and respective capabilities, and with specific national and regional development priorities, objectives and circumstances;
- (e) Taking into account and giving special consideration to the urgent and immediate needs and capacity constraints of LDCs, small island developing States (SIDS), countries in Africa affected by drought, desertification and floods, and other vulnerable countries.

### **III. Operational modalities and activities to perform the functions of the Adaptation Committee**

10. Parties expressed support for the five functions of the Adaptation Committee that were agreed upon at COP 16. Some emphasized the need to further build upon those agreed functions. Paragraphs 11–22 below provide the views of Parties on specific operational modalities and proposed activities to be taken up in the Committee's future work programme for each of the five agreed functions.

#### **A. Provision of technical support and guidance to the Parties**

11. Taking into account paragraphs 14 and 15 of decision 1/CP.16, many Parties noted the following areas in which the Adaptation Committee should provide scientific advice, technical support and guidance:

- (a) Planning, prioritizing and implementing adaptation actions, including the formulation and implementation of national adaptation plans (NAPs):
  - (i) Providing advice on, and support for, the development of country-driven national and sectoral adaptation strategies and the prioritization and implementation of adaptation actions, including through the preparation of guidelines;
  - (ii) Supporting implementation of adaptation projects, programmes and actions, upon request, through facilitating technical backstopping for funding proposals and advising on channels through which funding can be accessed in the most expedited manner;
  - (iii) Conducting periodic reviews of the information, tools, policies and measures that enable effective adaptation and the associated lessons learned, good practices, gaps and constraints;
  - (iv) Establishing methodologies to guide Parties included in Annex I to the Convention (Annex I Parties) in implementing those policies and measures that meet

both the need to reduce emissions and the need to minimize adverse social, environmental and economic impacts on developing country Parties;

(b) Impact, vulnerability and adaptation assessments:

(i) Facilitating targeted research and knowledge generation on the impacts of, and vulnerability and adaptation to, climate change and on the development of relevant methods and tools and providing technical assistance to developing country Parties undertaking such assessments;

(ii) Undertaking a review of assessment methods, tools and techniques with a view to refining existing databases and compendia maintained by the secretariat;

(iii) Assessing, based on inputs from Parties and other relevant data, adaptation needs and adaptive capacity, including as they relate to finance, technology and capacity-building;

(iv) Facilitating the economic, social and environmental evaluation of adaptation options, including the development of evaluation methodologies;

(c) Strengthening institutional capacities and enabling environments for adaptation:

(i) Assisting Parties in establishing national-level institutional arrangements, regional centres and networks and in improving the flow of information between the Convention process and national and regional activities;

(ii) Developing a work programme to facilitate capacity-building at various levels and for different stakeholders, including capacity-building for national institutions to benefit from direct access modalities for adaptation funding;

(iii) Supporting existing institutions in order to consolidate achievements and build capacities;

(iv) Strengthening public policy through establishing guidelines, identifying priorities and generating decision-making tools for officials active in different sectors and at different levels of government, and strengthening the legislative framework through advising on adaptation policy;

(d) Integrating adaptation actions into sectoral and national planning and risk management strategies: developing strategies and guidelines and synthesizing good practices;

(e) Building the resilience of socio-economic and ecological systems: considering, in the framework of joint work between the Convention and the Convention on Biological Diversity (CBD), the role of protected areas and landscape approaches.

12. Additional areas mentioned in which the Adaptation Committee should also provide technical support and guidance include:

(a) Enhancing climate change related disaster risk reduction strategies and sharing and transfer mechanisms such as insurance;

(b) Transferring technologies and associated capacity-building;

(c) Strengthening data, information and knowledge systems, education and public awareness;

(d) Improving climate-related research and systematic observation for climate data collection, archiving, analysis and modelling;

(e) Other areas, as appropriate.

13. The following general operational modalities were suggested by one Party to deliver technical support and guidance: training workshops, technical guidance materials, targeted reports and other publications. Guidance should be provided directly to Parties upon request, according to the Party. Reports and other publications should be considered by subsidiary bodies. The focal points of the Nairobi work programme on impacts, vulnerability and adaptation to climate change should be used by the Adaptation Committee as points of contact with relevant organizations.

## **B. Sharing of relevant information, knowledge, experience and good practices**

14. A range of activities are suggested by several Parties to strengthen, consolidate and enhance the sharing of relevant information, knowledge, experiences and good practices, including the following:

(a) Preparing a sector-wise compendium of existing adaptation tools and approaches, including tools such as indicators and metrics, with a view to guiding Parties in selecting proven approaches that can be replicated in other regions and other sectors;

(b) Promoting, sharing and improving access to relevant knowledge, experience, expertise on climate change science, effective adaptation practices, including from local and community-based adaptation initiatives, and innovative and efficient adaptation technologies;

(c) Facilitating interaction between experts and creating a network of national, regional and global centres of information on adaptation in order to enhance the flow of information and to allow for the collection and compilation of relevant data and best practices, on which different adaptation stakeholders could draw.

15. In terms of operational modalities, a few Parties suggested that the Adaptation Committee function as a clearing house that would develop and maintain appropriate sharing mechanisms. Other modalities proposed for generating and sharing knowledge include: calls for action, developing web portals, commissioning reports and publications, organizing workshops and expert meetings, and recommending to the Subsidiary Body for Scientific and Technological Advice (SBSTA) work to be undertaken under the Nairobi work programme.

## **C. Promotion of synergy and strengthening of engagement with organizations, centres and networks**

16. In terms of the third function, several Parties highlighted the need for building strong linkages with other relevant institutional arrangements to promote synergy and mutual cooperation (see chapter IV for more details). To that effect, Parties suggested convening regular meetings and workshops, developing joint work programmes, engaging in stakeholder consultations across countries and sectors, and, based on an analysis of adaptation activities, recommending areas in need of further international coordination and cooperation.

**D. Provision of information and recommendations for consideration by the Conference of the Parties when providing guidance on means to incentivize the implementation of adaptation actions**

17. With regard to the fourth function of the Adaptation Committee, several Parties pointed out that the Committee should not have an operational role in relation to the Green Climate Fund or any operating entity of the financial mechanism, such as on issues related to the prioritization of funds or on initiatives to be funded, but that it should rather support the COP in its work.

18. The following activities were suggested by some Parties in relation to providing information and recommendations to the COP for its consideration when providing guidance on the means of implementation, including finance, technology and capacity-building:

(a) Synthesizing information and knowledge about good adaptation practices from existing resources, including the Nairobi work programme, based on which the Committee could, for example, provide guidance on how the operating entities could encourage the replication and scaling up of good practices;

(b) Conducting reviews of portfolios of adaptation projects, programmes and actions with a view to identifying best practices, lessons learned and remaining gaps and needs and providing advice and recommendations on eligibility criteria, the formulation of programmes on adaptation, implementation procedures and the equitability of resource allocation;

(c) Establishing a vulnerability index based on each country's degree of vulnerability to the adverse effects of climate change with a view to setting priorities in providing support for developing countries.

19. In addition, some other Parties suggested activities in relation to providing information and recommendations directly to institutions responsible for providing the means of implementation, including the following:

(a) Providing guidance to financial and governance structures created under the Green Climate Fund and the Adaptation Fund with a view to ensuring coherence on modalities and means for addressing adaptation issues;

(b) Developing eligibility criteria for adaptation funding;

(c) Elaborating guidelines for the Adaptation Fund on how to prioritize projects;

(d) Supporting the Green Climate Fund, including through:

(i) Assessing adaptation project proposals, providing review comments and recommendations for improving the proposals of developing countries, and providing funding recommendations;

(ii) Providing advice on priorities for the allocation of adaptation resources and on the scale of resources needed;

(e) Directing financial and technological resources to adaptation activities in the countries that are most adversely affected by climate change.

20. Operational modalities suggested by one Party include the production of targeted reports and technical papers.



## **E. Consideration of information communicated by Parties on their monitoring and review of adaptation actions, support provided and received, possible needs and gaps and other relevant information**

21. The Adaptation Committee, suggested several Parties, should play a role in collating, analysing and disseminating information related to the monitoring and evaluation of adaptation actions and support communicated by Parties, Convention bodies and programmes, and information provided by Parties in accordance with paragraph 33 of decision 1/CP.16, including through the following:

- (a) Observing trends and experiences with adaptation with a view to highlighting areas to which the COP should pay extra attention;
- (b) Reviewing scientific and technological needs and short-term/long-term guidelines and measuring progress in the implementation of adaptation actions;
- (c) Conducting gap analyses and needs assessments and identifying priority issues or sectors for which policy papers can be prepared;
- (d) Developing a “live” monitoring system for adaptation, with benchmarks for critical steps, to identify bottlenecks and delays;
- (e) Developing criteria for assessing the efficiency of adaptation actions as well as specific reporting requirements, including performance indicators, for those receiving financial support and who would subsequently report on the efficiency of the action undertaken and on support received;
- (f) Analysing the adequacy of resources allocated for adaptation in relation to the financial and technology needs of developing countries.

22. Based on the above, the Adaptation Committee, according to some Parties, should recommend to the COP action that would enhance the implementation of adaptation.

## **IV. Linkages with other relevant institutional arrangements**

23. A majority of Parties emphasized that in fulfilling its functions, the Adaptation Committee should work closely with, and establish strong and effective links with, bodies and programmes set up under the Convention as well as relevant experts, institutions and other stakeholders outside the Convention, where appropriate. They stated that such linkages are critical for avoiding duplication of effort, maximizing coherence and synergy, ensuring the efficiency and effectiveness of the outcomes and facilitating an effective learning-by-doing approach to adaptation.

### **A. Under the Convention**

24. In order to perform its work effectively, the Adaptation Committee, according to many Parties, should develop linkages with other relevant institutional arrangements and should work closely and in a coordinated manner with all existing and newly established work programmes, bodies and institutions under the Convention that have a role to play in adaptation, including:

- (a) The Nairobi work programme;
- (b) The Least Developed Countries Expert Group (LEG), national adaptation programmes of action and NAPs;

(c) The Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) and the development of revised guidelines for national communications from both Annex I Parties and Parties not included in Annex I to the Convention (non-Annex I Parties);

(d) The work programme on loss and damage;

(e) The financial mechanism, including related institutions and funds such as the Green Climate Fund, the Adaptation Fund and its Board, the Standing Committee, the Global Environment Facility, the Least Developed Countries Fund and the Special Climate Change Fund;

(f) The Technology Mechanism, including the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN).

25. In addition, one Party mentioned capacity-building, the New Delhi work programme on Article 6 of the Convention and research and systematic observation.

26. Several Parties stated that linkages between the above institutions and the Adaptation Committee can be achieved through employing a range of general modalities, including:

(a) Promoting the flow of information and interaction, including through requesting reports from other groups on their adaptation actions and providing guidance on actions that could be undertaken to strengthen coherence and integration, including, where relevant, through the identification of joint programmes and activities;

(b) Convening consultations and joint meetings and ensuring regular thematic coordination with other relevant mechanisms and bodies, including an annual meeting of the chairs and co-chairs of the other thematic bodies under the Convention, in order to avoid duplication of effort and to ensure that all critical aspects of adaptation are addressed;

(c) Assessing and proposing ways to rationalize adaptation under the Convention and strengthening coherence among the various bodies and agenda items that either focus solely on adaptation or have elements concerning adaptation;

(d) Giving guidance, recommendations and relevant information arising from its work to relevant thematic bodies under the Convention, including the financial mechanism, for their consideration.

27. Paragraphs 28–42 below provide specific suggestions on how the Adaptation Committee can link with specific programmes, bodies and institutions.

#### **1. Nairobi work programme**

28. Several Parties highlighted the importance of building a strong two-way relationship between the Adaptation Committee and the Nairobi work programme because of the latter's role in facilitating the sharing of information and knowledge, engaging stakeholders and catalysing adaptation action, which relate to many functions of the Committee.

29. On the one hand, the Nairobi work programme could:

(a) Provide, based on information and knowledge gathered, inputs to the work of the Adaptation Committee;

(b) Report to the Committee on its activities and convey recommendations on adaptation.

30. On the other hand, the Adaptation Committee could:

(a) Serve as a forum for substantive discussions on scientific and technical issues and as a coordinating mechanism for the Nairobi work programme;

(b) Guide the Nairobi work programme, including through designing its current and future workplans and calls for action, and conducting and monitoring specific activities;

(c) Review information and recommendations by the Nairobi work programme and recommend further action, including to the Subsidiary Body for Implementation (SBI) and the COP, on ways to further advance the provision of scientific advice and technical support to Parties;

(d) Support and provide relevant advice to the secretariat in the implementation of the Nairobi work programme, for example in support of the organization of workshops and other relevant activities by providing input to the development of the agenda, advising on the focus of the meeting and identifying expert participants.

## **2. Least Developed Countries Expert Group**

31. In the light of overlapping mandates in the area of medium- and long-term adaptation planning and implementation, several Parties noted the need for ensuring collaboration and complementarity between the LEG and the Adaptation Committee. For example, while the Adaptation Committee could develop strategic priorities, policies and guidelines of how adaptation should be supported under the Convention, the LEG could provide direct and practical support to Parties when developing and implementing adaptation activities.

32. The LEG's long-standing experience in working closely with LDC Parties and in building effective partnerships with a wide range of relevant organizations could, suggested several Parties, serve as a good example for collaboration between the LEG and the Adaptation Committee. Subject to the availability of additional resources, while the focus of the LEG is on LDC Parties, it could be asked to offer its support to other developing countries that wish to avail themselves of the modalities of the national adaptation plans.

33. Some Parties noted that other areas in which the two bodies should link include: consideration of submissions from Parties, stakeholder engagement and the provision of technical support and advice to the LEG.

## **3. Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention**

34. Collaboration and coordination with the CGE, noted several Parties, should focus, in the context of functions one and five of the Committee, on matters related to vulnerability and adaptation assessments, and on the reporting, collection and review of information, including information contained in national communications.

35. In order to avoid duplication and to enhance rationalization, some Parties suggested that the CGE focus on providing support on greenhouse gas inventories and mitigation, that the provision of support on vulnerability and adaptation assessments should be incorporated into similar work under the LEG and that the Adaptation Committee should provide broader guidance on vulnerability and adaptation reporting by Parties.

## **4. Work programme on loss and damage**

36. The Adaptation Committee should also, noted several Parties, take into account the work programme on loss and damage and its outcomes in order to recommend further action. Depending on specific activities to be undertaken under the work programme, an exchange of information and guidance on the overall needs for, costs of, and limits to

adaptation, in particular related to LDCs and SIDS, should be ensured. One Party suggested that the Adaptation Committee should also oversee the establishment of an international mechanism to address social, economic and environmental loss and damage.

## **5. Financial mechanism**

37. The Adaptation Committee, pointed out many Parties, should have close linkages with institutional arrangements under the financial mechanism that support adaptation actions. The proposed linkages range from information-sharing to coordination and collaboration to directly contributing to the work of the respective institutions.

38. In addition to those modalities and activities suggested by some Parties in the context of the Committee performing function four (see para. 19 above), the following activities and modalities for the Adaptation Committee were proposed in the context of linkages with other relevant institutional arrangements:

(a) Conveying information, advice, guidance and recommendations to the operating entities of the financial mechanism on the equitability of resource allocation for adaptation, eligibility criteria, adequacy of implementation procedures, compliance with the provision of financial resources and measures to address gaps, needs and discrepancies;

(b) Providing advice and guidance to the COP and Parties, as necessary, on how fast-start finance should support adaptation actions.

39. Furthermore, some Parties proposed consolidating links structurally, including through joint membership, and designating the Adaptation Committee to function as the technical panel or advisory body to the various adaptation funds, in particular the Green Climate Fund.<sup>5</sup> In its function as a technical panel/advisory body, some Parties noted that the Adaptation Committee should:

(a) Provide strategic scientific and technical advice on policies, operational strategies and projects under the Green Climate Fund;

(b) Provide advice and technical recommendations for reviews and the assessment of submitted adaptation projects, programmes and actions;

(c) Maintain a database of institutions, networks and individual scientists that could provide the necessary expertise and advice to the Board of the Green Climate Fund.

40. With respect to the Standing Committee, some Parties noted the possibility of joint membership and the possibility of the Adaptation Committee requesting information and input from the Standing Committee with a view to reviewing and ensuring compliance with Article 4, paragraph 4, of the Convention.

## **6. Technology Mechanism**

41. Cooperation and collaboration between the Adaptation Committee and the Technology Mechanism should be fostered, according to several Parties, with a view to enhancing the development and transfer of technologies for adaptation.

42. In this regard it was suggested that the Adaptation Committee could:

(a) Provide a framework for information exchange on the transfer of technologies for adaptation;

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<sup>5</sup> Note that according to the terms of reference for the design of the Green Climate Fund as contained in appendix III of decision 1/CP.16, the COP decided that the Transitional Committee shall develop and recommend for its approval at COP 17 operational documents that address, inter alia, mechanisms to ensure the provision of appropriate expert and technical advice, including from relevant thematic bodies established under the Convention.

- (b) Advise the Technology Executive Committee<sup>6</sup> on developing better means to enhance the research, development, demonstration, deployment, diffusion and transfer of technologies for adaptation;
- (c) Provide adaptation-relevant information and guidance on technology needs assessments and technology action plans and road maps;
- (d) Follow the guidance, procedures and advice provided by the Technology Mechanism to assess and evaluate the technologies of adaptation projects;
- (e) Make recommendations on enabling measures related to technologies for adaptation based on input provided by the TEC and the CTCN.

## B. Outside the Convention

43. Besides linking to institutional arrangements under the Convention, many Parties suggested that the Adaptation Committee draw upon the extensive experience of and efforts undertaken by relevant national, regional and international actors, including:

- (a) Intergovernmental and other international organizations and programmes;<sup>7</sup>
- (b) Regional and national centres, agencies or hubs of adaptation;
- (c) The UNFCCC roster of experts and the Nairobi work programme partner organizations;
- (d) Universities and research organizations;
- (e) Civil society, including community-based organizations, indigenous groups, and organizations focusing on gender, children and youth;
- (f) The private sector.

44. Some Parties stated that the proposed links should seek to enhance the sharing of relevant information, knowledge and experiences, inform adaptation processes taking place outside the Convention and facilitate the identification of opportunities for, and ways to overcome, constraints to adaptation.

45. In terms of activities, some Parties suggested that the Adaptation Committee review and assess what actors outside the Convention are doing with respect to adaptation, with a view to identifying gaps and priority areas in which improved communication and coordination would help to catalyse enhanced action and leverage resources. Some Parties stated that the Committee should also consider the provision of guidance and advice through the COP, including:

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<sup>6</sup> Note that the COP in its decision 1/CP.16, paragraph 125, decided that the TEC shall elaborate its modalities and procedures taking into account the need to achieve coherence and maintain interactions with other relevant institutional arrangements under and outside of the Convention; these modalities and procedures shall be considered by the COP at its seventeenth session.

<sup>7</sup> Including CBD, the Food and Agriculture Organization of the United Nations, the Global Framework for Climate Services, the Intergovernmental Panel on Climate Change, international financial organizations, the International Fund for Agricultural Development, international scientific programmes such as the Programme of Research on Climate Change Vulnerability, Impacts and Adaptation (PRO-VIA), the International Strategy for Disaster Reduction and its Hyogo Framework for Action, the United Nations Convention to Combat Desertification and other United Nations agencies such as the United Nations Development Programme and the United Nations Environment Programme.

(a) On how the Convention could strengthen linkages with, and among, other institutional arrangements;

(b) To multilateral financial institutions and other channels, regarding the review and assessment of implemented adaptation projects and remaining gaps and needs;

(c) To regional centres and networks, including on how they can be strengthened and on how cooperation can be enhanced in order to improve the dissemination of knowledge and the implementation of adaptation actions.

46. Some Parties noted that operational modalities and procedures for linking with institutional arrangements outside the Convention need to be a part of the design of the Adaptation Committee and should include the following:

(a) Systems for promoting synergies and coherence in the implementation of multilateral agreements;

(b) Mechanisms that encourage the direct engagement of subject matter experts, such as joint programmes of work, joint meetings, meetings of chairs/leads or joint membership.

## **V. Organizational and governance modalities and procedures**

47. Some Parties stated that organizational and governance modalities and procedures for the Adaptation Committee should be based on the principles of good governance and transparency common to all agreed institutions and mechanisms under the Convention and should allow for efficient and effective operations.

### **A. Governance, reporting and responsibilities**

48. The Adaptation Committee, noted the majority of Parties, should operate under the authority and guidance of, and be fully accountable to, the COP, as it was established to promote coherence in the implementation of enhanced action on adaptation across the Convention process, and its agreed functions span those of both the SBI and the SBSTA.

49. In this regard, several Parties noted the following responsibilities of the COP with respect to the Adaptation Committee:

(a) Deciding on the overall policies of the Adaptation Committee;

(b) Developing terms of reference for the Adaptation Committee that are sufficiently broad to cover the specific needs and concerns of developing country Parties as stipulated in Article 4, paragraph 8, of the Convention;

(c) Clearly delineating the mandates and decision-making powers of the Adaptation Committee and interacting institutions as well as their already defined relationships with the COP, thus preserving the role of the COP as the chief decision-making body of the Convention and ensuring institutional consistency;

(d) Drawing on advice and recommendations provided by the Adaptation Committee when developing guidance to Parties as well as institutions and mechanisms that are accountable to the COP, including the financial mechanism.

50. While the majority of Parties view the Adaptation Committee as a constituted body under the Convention, a few Parties view it as a subsidiary body pursuant to Article 7, paragraph 2(i), of the Convention. As a subsidiary body, it should follow the modalities and

procedures of subsidiary bodies; its membership should be open to all Parties and its meetings should be held in plenary sessions.

51. Parties differ in their views on which body the Adaptation Committee should regularly report to on its activities, progress in implementing its work programme and recommendations. While many Parties support reporting directly to the COP on an annual basis, others prefer periodical reporting through the subsidiary bodies to the COP or reporting to the SBI.

52. In the view of some Parties, reporting to the subsidiary bodies would allow for:

(a) Uniform reporting lines from the different institutional arrangements to the COP, which would ensure coherence and efficiency;

(b) Thorough consideration of issues that are of importance to Parties, which would lead to better integration and internal coordination;

(c) The necessary flexibility and continuous flow of information, as the subsidiary bodies meet biannually;

(d) Making use of the authority of existing bodies; that is, the subsidiary bodies would draw from reports of the Adaptation Committee in drafting their conclusions, which could then be included in decisions by the COP.

53. In addition to regular reports, several Parties noted that the Adaptation Committee should prepare annual/biennial reports on the status of adaptation, drawing on information provided by Parties in their national communications, reports of relevant organizations and the outcomes of workshops and other activities organized under the Convention, including under the Nairobi work programme, in order to inform the deliberations of the COP. Such reports could cover experiences, lessons learned, gaps and needs, areas requiring further attention and recommendations, including on the possibilities for enhanced cooperation among Parties.

54. Through its reporting, the Adaptation Committee, according to many Parties, should provide recommendations to the COP for its consideration, including on the outcomes of its functions and activities (see chapters III and IV) and on further action to be undertaken by the SBI and the SBSTA. While several Parties suggested that the Committee could request the subsidiary bodies to fulfil certain activities where relevant, other Parties noted that the Committee should be responsive to mandates and requests from the subsidiary bodies and, upon their request, advise them on matters related to its core functions.

55. Many Parties elaborated on activities that the Adaptation Committee could undertake, reports on which would be sent to the COP for its approval, and on activities that could be delegated to the Committee for its decision-making and subsequent reporting to the COP for information-sharing only, similar to other bodies under the Convention.

56. In terms of activities that require COP adoption or approval, the Adaptation Committee, many Parties noted, should establish, taking into account the draft rules of procedure of the COP, as applicable, standard operating procedures or rules of procedure that specify decision-making and communication procedures as well as modalities and procedures to optimize its operations, including monitoring and evaluation mechanisms.

57. Regarding activities that require only information-sharing, the Adaptation Committee, according to many Parties, should develop a strategic mid-term work

programme with annual workplans<sup>8</sup> that specify how its functions will be carried out, what resources are required and how performance and impacts will be measured.

58. In addition, many Parties proposed that the Adaptation Committee may establish subcommittees, panels, thematic advisory groups or task-focused ad hoc working groups to assist in performing its functions and achieving its objectives. Such subgroups could focus, for example, on financing adaptation, technologies for adaptation, developing an insurance-based risk-sharing mechanism and disseminating information.

## **B. Composition**

59. The majority of Parties made suggestions on the specific composition of the membership, the necessary expertise that members of the Adaptation Committee should have and other aspects such as elections and terms of office.

### **1. Members representing Parties**

60. All Parties called for a fair, equitable, representative and balanced representation of membership consistent with other Convention institutions and mechanisms. Composition and membership, according to many, should guarantee an appropriate balance between different regions, subregions, groups, interests and themes, should recognize the importance and urgency of adaptation, especially for particularly vulnerable developing countries, and should enable effective and productive outcomes.

61. In order to function in an effective and efficient manner, several Parties proposed that the Adaptation Committee be composed of a relatively small number of experts. While some Parties did not propose a specific number of members, the proposals of other Parties gave a range from 11 to 60 members. Several Parties stressed that the Committee should have a majority of members representing developing country Parties because of the diversity in national circumstances and because developing country Parties are suffering most from the adverse effects of climate change and thus have the greatest adaptation needs. Other Parties, on the other hand, suggested having an equal number of members from developing and developed country Parties. In light of their specific vulnerability, several countries suggested having a designated membership for LDCs and SIDS. In addition, many Parties called for achieving gender balance among the members, in accordance with decision 36/CP.7. An overview of the different membership proposals is provided in the table below.

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<sup>8</sup> One Party is of the view that the workplans of the Adaptation Committee should be approved by the subsidiary bodies, which should also be responsible for the Committee's terms of reference.



**Membership proposals for the Adaptation Committee<sup>a</sup>**

| <i>Proposed option by number of Parties</i> | <i>Some</i> | <i>Some</i> | <i>Some</i>    | <i>Some</i>  | <i>Few</i> | <i>Few</i> | <i>1</i>  | <i>1</i>  | <i>1</i>       | <i>1</i>  | <i>1</i>  | <i>1</i>  |           |
|---|-------------|-------------|----------------|--------------|------------|------------|-----------|-----------|----------------|-----------|-----------|-----------|-----------|
| <i>Group/constituency</i>                   |             |             |                |              |            |            |           |           |                |           |           |           |           |
| Annex I Parties                             | 2           | 9           | 9              |              |            | 4          | 2         | 4         |                | 4         | 8         | 6         |           |
| Non-Annex I Parties                         | 2           |             |                |              |            | 4          | 2         | 4         |                |           |           |           |           |
| Developed countries                         |             |             |                | 6-9          |            |            |           |           | 10             |           |           | 25        |           |
| Developing countries                        |             |             |                | 6-9          |            |            |           |           |                |           |           | 30        |           |
| Economies in transition                     |             |             |                |              |            |            |           |           |                |           |           | 5         |           |
| Africa                                      | 2           | 3           | 5 <sup>b</sup> |              | 4          | 4          | 3         | 2         | 5              | 2         | 5         | 4         |           |
| Asia  | 2           | 3           | 5 <sup>b</sup> |              | 4          | 4          | 3         | 2         | 4              | 2         | 4         | 4         |           |
| GRULAC                                      | 2           | 3           | 5 <sup>b</sup> |              | 4          | 4          | 3         | 2         | 4              | 2         | 3         | 4         |           |
| Eastern Europe                              | 2           |             |                |              | 4          | 4          | 3         | 2         |                |           |           |           |           |
| WEOG  | 2           |             |                |              | 4          | 4          | 3         | 2         |                |           |           |           |           |
| Least developed countries                   | 1           | 1           |                |              |            | 2          | 1         | 1         | 5 <sup>c</sup> |           | 2         | 1         |           |
| SIDS  | 1           | 1           |                |              |            | 2          | 1         | 1         | 4              | 1         | 2         | 1         |           |
| <b>Total</b>                                | <b>16</b>   | <b>20</b>   | <b>24</b>      | <b>12-18</b> | <b>20</b>  | <b>32</b>  | <b>21</b> | <b>20</b> | <b>32</b>      | <b>11</b> | <b>24</b> | <b>20</b> | <b>60</b> |

*Abbreviations:* GRULAC = Latin America and the Caribbean, SIDS = small island developing States, WEOG = Western Europe and Others.

<sup>a</sup> Note that some Parties suggested having unlimited membership.

<sup>b</sup> Should include at least one member from a least developed country Party.

<sup>c</sup> Should include members from least developed country Parties that speak English, French or Portuguese.

**Qualifications and criteria for membership**

62. Given the functions of the Adaptation Committee, Parties underlined the necessity of placing a special emphasis on the expertise of the Adaptation Committee members. Having sufficient technical, policy, legal, social and financial experience, knowledge and expertise in the impacts of, and vulnerability and adaptation to, climate change was cited by many as being a key criteria for membership.

63. Specific areas of expertise called for by several Parties include expertise on: modelling and research; assessment of impacts, vulnerability and risks; disaster risk reduction; formulation, prioritization, implementation and support of adaptation policies and actions at different levels and in different sectors; and development cooperation. Members should further be aware of the different social, economic and ecological dimensions of adaptation, including gender, rural and urban aspects. One Party further proposed that members have facilitative skills that would enable them to share information, make recommendations and review progress.

64. Finally, members, as highlighted by the majority of Parties, should serve in their personal expert capacity, have the highest standards of independence, impartiality and competence and be bound by the rules of procedure of the Committee.

**Election of members**

65. All Parties agreed that members should be nominated by their respective group or constituency and be thereafter elected to the Committee by the COP.

**Term of office**

66. A term of two-years, with members eligible to serve a maximum of two consecutive terms in office, is the preferred duration of membership for a majority of Parties, although a tenure of three years was suggested by several Parties. Some Parties proposed a staggered membership, whereby half the members would be elected initially for a term of three years and half the members would be elected for a term of two years, in order to ensure continuity. Thereafter, the COP would elect members for a term of two years.

67. If a member of the Adaptation Committee resigns or is otherwise unable to complete the assigned term of office or to perform the functions of that office, some Parties suggested that the Committee may decide, bearing in mind the proximity of the next COP session, to request the group or constituency that had nominated the member to nominate another member to replace the said member for the remainder of that member's mandate. Members would remain in office until their successors are elected or replaced.

68. Several Parties proposed that, in order to ensure continuity of the process, each member have an alternate member from the same regional group or constituency and that the alternate members be given the same opportunity to attend meetings of the Adaptation Committee, in effect doubling the membership. Several Parties also recommended that the alternate members serve the same term of office as a member, and that the terms served as an alternate not count towards the term served as a member.

## **2. Members representing non-Party stakeholders**

69. In order to function effectively and efficiently, the Adaptation Committee should, suggested many Parties, draw upon the expertise of relevant non-Party stakeholders, including those who are actively engaged in the adaptation process and have relevant expertise and experience (for examples, see chapter IV.B). Parties suggested different ways of engaging non-Party stakeholders, including through electing members representing observer organizations to the Committee (e.g. one Party proposed the election of six non-governmental advisory members) or inviting them on an as needed basis to participate in deliberations on specific agenda items or in specific thematic or regional meetings.

## **C. Chairmanship**

70. Many Parties prefer a rotating chairmanship (Chair/Vice-Chair) rather than a shared chairmanship (two Co-Chairs). They suggested that the Committee annually elect a Chair and a Vice-Chair from among its members, with one being from an Annex I Party and the other being from a non-Annex I Party, and that the positions of Chair and Vice-Chair would alternate annually between a member from an Annex I Party and a member from a non-Annex I Party. A few Parties suggested that the chairmanship only alter every two years, in line with the proposed two-year work programme cycle. Instead of drawing from Committee members, one Party suggested inviting the Chairs of the subsidiary bodies to chair the Adaptation Committee.

## **D. Meetings, conduct of work and documentation**

71. According to the majority of Parties, the first meeting of the Adaptation Committee should be convened soon after the election of its members and meetings should be held twice a year. Several Parties highlighted that the Adaptation Committee should retain the flexibility to adjust the number of meetings to suit its needs and its ability to fulfil its functions. One Party suggested that the LEG might provide a useful model for the Adaptation Committee in terms of meeting arrangements and frequency.

72. In terms of the agenda, some Parties suggested that it be prepared by the Chair and the Vice-Chair or by the Co-Chairs. In doing so, they would solicit input from other Committee members and would consult with Parties and other stakeholders. A few Parties suggested that the provisional agenda, together with relevant substantive documentation, would be circulated by the secretariat to Committee members, observers and all UNFCCC focal points at least one month prior to the meeting in order that the latter can present their comments to their representatives no later than two weeks before the meeting. A few Parties proposed that Parties that are not members of the Committee would be given the

opportunity to request specific agenda items to be placed on the agenda and to participate as active observers in the meeting once their item is under discussion.

73. For purposes of efficiency and cost-effectiveness, several Parties proposed that the Committee meet in conjunction with the meetings of the subsidiary bodies. In general, meetings would take place in the country of the headquarters of the secretariat, except when COP or subsidiary body sessions take place in another country, in which case the Committee would meet there.

74. Regarding the constitution of a quorum for meetings, Parties submitted different views, ranging from a simple majority of members present at the meeting to at least two thirds of the members, representing a majority of members from Annex I Parties and a majority of members from non-Annex I Parties.

75. The Chair, suggested one Party, should prepare a draft report after each meeting, circulate it to members for review and/or comment and, taking into account those considerations, finalize the report.

76. Meetings of the Adaptation Committee, according to the majority of Parties, should be open to attendance, as observers, by all Parties and accredited observers, except where otherwise decided by the Committee. Participation in Committee discussions by non-member Parties, accredited observers and experts should be based on the approval of, or invitation by, the Committee.

77. In addition to regular face-to-face meetings, some Parties suggested that the Adaptation Committee seek innovative ways of conducting its work that would make best use of resources, for example videoconferencing and electronic exchange, where appropriate, or that it delegate some of its work to regional workshops of adaptation experts.

78. While the working language of the Adaptation Committee was suggested by one Party to be English, several Parties emphasized that the outputs of its work, including decisions made at its meetings, be translated into all six United Nations official working languages.

79. In order to enhance inclusiveness and transparency, some Parties suggested that meetings be webcast, unless otherwise decided by the Committee, and that relevant meeting documentation and reports be made publically available through the UNFCCC website.

## **E. Decision-making**

80. The majority of Parties called for decisions to be made by consensus of the members representing Parties. One Party highlighted that consensus should be understood as no objection rather than unanimity.

81. If all efforts to reach consensus have been exhausted and no agreement has been reached, some Parties suggested that decisions be taken by members representing Parties either:

(a) By a simple majority vote of the members present and voting, on the basis of one member, one vote, with, in the event that there is a tie, the vote of the Chair counting as double;

(b) By a two-thirds majority vote of the members present and voting, on the basis of one member, one vote;

(c) By a three-quarter majority vote of the members present and voting, on the basis of one member, one vote;

(d) By another voting procedure to be decided by the Committee.

82. It was suggested that if a member were to be absent from a meeting, the member could propose, in writing via a letter or email, that his or her vote be transferred to another member of his or her regional group or constituency.

## **F. Secretariat and budget**

83. The majority of Parties, in line with decision 1/CP.16, paragraph 35, noted that the Adaptation Committee should be supported by the secretariat when needed and as appropriate. In that respect, some Parties called for the establishment of a dedicated unit within the secretariat and on the Executive Secretary of the UNFCCC to arrange for the provision of the staff and services required for the servicing of the Committee from within available resources.

84. The secretariat, as secretariat to the Adaptation Committee and as guided and instructed by the Committee, should, according to some Parties, be responsible for the daily operations of the Committee and should undertake the following functions with a view to supporting and facilitating the work of the Committee:

- (a) Making arrangements for the meetings of the Committee;
- (b) Providing secretarial assistance and support to the work of the Committee and assisting the Chair/Co-Chairs in preparing, facilitating and coordinating their work and meetings;
- (c) Developing the work programme, the annual administrative budget and other strategies, policies and guidelines, as appropriate;
- (d) Undertaking research and analysis, including organizing, compiling and providing feedback and recommendations on criteria, priorities and cycles of adaptation activities and priority programmes;
- (e) Preparing an annual consolidated report of both the Nairobi work programme, including on thematic and operational aspects of activities and lessons learned, and the Adaptation Fund, including on administrative and financial aspects of its portfolio;
- (f) Contributing to the dissemination of strategies and to communication;
- (g) Acting as liaison between the Committee and Parties, and with national and regional centres;
- (h) Performing any other functions assigned by the Committee.

85. Parties suggested different ways of allocating resources for the operation of the Adaptation Committee: either through the COP, the financial mechanism or the regular budget of the secretariat. Financial resources would be made available to support agreed activities and meetings of the Committee, including the participation of members from developing country Parties and other Parties eligible for support as per Convention practice. Regular calls for support should be made.

## **G. Review**

86. In order to ensure the efficiency and effectiveness of the Committee, some Parties suggested that its terms of reference, including its objective and functions, as well as the performance of the Committee, should be reviewed by the COP or the subsidiary bodies two, three or five years after its inception and every three years, or periodically, thereafter.

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