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UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

**AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION
UNDER THE CONVENTION**

Seventh session

Bangkok, 28 September to 9 October 2009, and Barcelona 2–6 November 2009

Agenda item 3 (a–e)

Enabling the full, effective and sustained implementation of the Convention through long-term cooperative action now, up to and beyond 2012, by addressing, inter alia:

A shared vision for long-term cooperative action

Enhanced national/international action on mitigation of climate change

Enhanced action on adaptation

Enhanced action on technology development and transfer to support action on mitigation and adaptation

Enhanced action on the provision of financial resources and investment to support action on mitigation and adaptation and technology cooperation

**Ideas and proposals on the elements contained in paragraph 1 of the
Bali Action Plan**

Submissions from intergovernmental organizations

Addendum

1. In addition to the six submissions contained in document FCCC/AWGLCA/2009/MISC.7, four further submissions have been received.
2. As requested by the Ad Hoc Working Group on Long-term Cooperative Action under the Convention, these submissions have been posted on the UNFCCC website.¹ In accordance with the procedure for miscellaneous documents, they are attached and reproduced* in the language in which they were received and without formal editing. The secretariat will continue to post on the relevant web page the submissions received after the issuance of the present document.

¹ <http://unfccc.int/parties_and_observers/igo/items/3714.php>.

* These submissions have been electronically imported in order to make them available on electronic systems, including the World Wide Web. The secretariat has made every effort to ensure the correct reproduction of the texts as submitted.

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PAPER NO. 1: INTERNATIONAL CIVIL AVIATION ORGANIZATION

**UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE
(UNFCCC)**

**THE RESUMED SEVENTH SESSION OF THE AD HOC WORKING GROUP ON LONG-
TERM COOPERATIVE ACTION UNDER THE CONVENTION (AWG-LCA)**

2 to 6 November 2009 - Barcelona, Spain

**Results of the International Civil Aviation Organization's High-level Meeting on International
Aviation and Climate Change**

(Note by the International Civil Aviation Organization (ICAO))

Background

A High-level Meeting on International Aviation and Climate Change was convened at ICAO Headquarters from 7 to 9 October 2009 to review the Programme of Action developed by the GIACC and accepted by the Council (see Appendix A). The Meeting was attended by 339 participants representing 73 States and 26 international organizations. The background to this meeting is as follows.

The International Civil Aviation Organization (ICAO) Assembly, at its 36th Session (Montréal, 18 to 28 September 2007), adopted Resolution A36-22: Consolidated statement of continuing ICAO policies and practices related to environmental protection. Through this Resolution, all ICAO member States recognized the critical importance of ICAO in providing continuous leadership in limiting or reducing greenhouse gas (GHG) emissions from international aviation.

Furthermore, Appendix K, "The ICAO Programme of Action on international aviation and climate change," of the Assembly Resolution requested that the Council facilitate action by States by vigorously developing policy options to limit or reduce the environmental impact of aircraft engine emissions, and developing concrete proposals and providing advice as soon as possible to the Conference of the Parties of the UNFCCC, encompassing technical solutions and market-based measures, while taking into account potential implications of such measures for developing, as well as developed countries (see Appendix B). In order to achieve this, Appendix K of the Resolution requested the ICAO Council to:

- establish a Group on International Aviation and Climate Change (GIACC) for the purpose of developing and recommending an aggressive Programme of Action on International Aviation and Climate Change; and
- convene a high-level meeting to review the Programme of Action recommended by GIACC at an appropriate time, taking into account the fifteenth meeting of the Conference of the Parties (COP15) of the United Nations Framework Convention on Climate Change (UNFCCC).

Key outcomes of the High-level Meeting

The High-level Meeting welcomed the decision of the ICAO Council to fully accept the GIACC's Programme of Action, as an important first step to address GHG emissions from international aviation, and reaffirmed ICAO's leading role in matters involving international civil aviation.

The Meeting successfully approved a Declaration as well as Recommendations (see Appendices C and D respectively) regarding further work by the ICAO Council on international aviation and climate change.

These texts strike a balance between the views of all member States and represent their collective will and determination to act in a coherent and cooperative manner to address international aviation and climate change. It is also a demonstration of the seriousness with which ICAO takes its responsibilities towards environmental protection.

In summary, ICAO and its member States:

- agreed on a global annual fuel efficiency improvement of 2% for the medium-term (up to 2020) and an aspirational global annual fuel efficiency improvement of 2% for the long-term (up to 2050);
- recognized that these goals are unlikely to deliver the level of reduction necessary to stabilize and subsequently reduce aviation's absolute emissions contribution to climate change, and that more ambitious goals will need to be considered to deliver a sustainable path for aviation;
- declared that ICAO and its member States, along with relevant organizations will keep working together to undertake further work on medium and long-term goals, including exploring the feasibility of more ambitious goals, including carbon-neutral growth and emissions reductions;
- agreed that fuel efficiency improvements or other aspirational emission reduction goals would not attribute specific obligations to individual States. The different circumstances, respective capabilities and contribution of developing and developed States to the concentration of aviation GHG emissions in the atmosphere will determine how each State may contribute to achieving the global aspirational goals;
- agreed that ICAO will establish a process to expeditiously develop a framework for market-based measures in international aviation; and
- in order to monitor progress towards reaching the goals, States are encouraged to submit their action plans, outlining their respective policies and actions, and annual reporting on international aviation CO₂ emissions to ICAO.

It should be pointed out that the global annual 2% fuel efficiency goal to 2020 is a very challenging goal for the sector. This is the first time that any sector comes forward with a global sector-wide target for sustained fuel efficiency improvements. Achieving it will require significant resources and investments from governments and the air transport industry and will involve improvements in all aspects of the aviation sector.

Next steps

Next week, the ICAO Council will consider the outcome of the High-level Meeting, including the Declaration and Recommendations approved by the Meeting, and will decide on further action, as appropriate, for the consideration of the 37th Session of the ICAO Assembly in 2010 and beyond.

ICAO will also hold the Conference on Aviation and Alternative Fuels in Rio de Janeiro, Brazil, from 16 to 18 November 2009. The primary objective of the Conference is to develop an ICAO High-level Roadmap on Aviation Alternative Fuels that builds upon the work of the key stakeholders and existing roadmaps to facilitate and accelerate the deployment of sustainable aviation alternative fuels as a key approach to reducing aviation's environmental impact. The High-level Roadmap will describe the elements that need to be further explored over the short, medium, and long-term to enable policy decisions in this area for international aviation.

It is anticipated that this Roadmap, in conjunction with the outcome of the High-level Meeting, will form the official input of ICAO to the UNFCCC COP15.

APPENDIX A

Relevant Excerpts from Council Decision on the work of GIACC (C-DEC 187/14)

Progress report on the Group on International Aviation and Climate Change (GIACC)

(Subject No. 50.3)

1. The Council resumed (187/13) and completed its consideration of the above subject, documented in a paper presented by the Secretary General (C-WP/13347), together with a proposed text of the Council's decision on this subject which had been prepared by the fifteen Council Representatives from States represented on the GIACC and reviewed by a large majority of Council Representatives. The proposed Council decision replaced the action indicated in the executive summary of C-WP/13385.

2. In taking the action proposed by the fifteen Council Representatives from States represented on the GIACC, the Council:

- a) accepted fully the Programme of Action (Attachment A to C-WP/13385) as a positive development to limit or reduce aviation's climate impact;
- b) reaffirmed the critical importance of addressing climate change, and thus recognized the need to strive to find ways and means to limit or reduce the impact of greenhouse gas (GHG) emissions from international civil aviation on the global climate;
- c) underscored that the outcome of the GIACC and this decision of the Council would not prejudice the outcome of the negotiations under the UNFCCC and Kyoto Protocol;
- d) acknowledged the principles and provisions on common but differentiated responsibilities and respective capabilities, and with developed countries taking the lead under the UNFCCC and the Kyoto Protocol;
- e) also acknowledged the principles of non-discrimination and equal and fair opportunities to develop international aviation set forth in the Chicago Convention;
- f) noted that while there was no consensus, some GIACC Members were of the view that the Programme of Action did not address the commitments under Article 2.2 of the Kyoto Protocol;
- g) noted that notwithstanding the substantial fuel efficiency improvements achieved by the aviation sector and the impact of the current economic downturn, the Council recognized that the projected growth of international air traffic would outweigh the gains made by currently projected fuel efficiency improvements resulting in an average year over year increase in total fuel burned;
- h) recommended a strategy for efforts to achieve global aspirational goals. The short term goal to 2012 agreed by the GIACC was for improvements in the in-service fleet average fuel efficiency of international aviation operations at the rate of 2% per annum, calculated on the basis of volume of fuel used per revenue tonne kilometre performed;
- i) supported the GIACC Agreement on goals in the form of fuel efficiency for the medium and longer terms. Specifically, the Council endorsed an annual improvement of 2% over the medium term until 2020. For the long term, the Council endorsed an aspirational global fuel efficiency improvement rate of 2% per annum from 2021 to 2050;

- j) recognized that these goals were established on the basis of forecasts and the Council directed that they be reviewed on a periodic basis in light of scientific and technological advances. To achieve these goals would require a significant investment in technological development;
- k) affirmed that in addition to fuel efficiency goals, the focus was on goals that could indicate stronger ambition. For the medium term, the discussions focused on a goal of carbon neutral growth by 2020. For the long term, there could be discussion of carbon emissions reductions. No consensus existed in either case, but further work was recommended on both medium and long term goals;
- l) recognized that while there was no consensus, some GIACC members were of the view that it would be necessary and feasible to achieve carbon neutral growth in the medium term, relative to a baseline of 2005, and to achieve substantial CO₂ emissions reduction for the long term for global international aviation;
- m) recognized that under the recommended strategy, goals would not attribute specific obligations to individual States. The different circumstances, respective capabilities and contribution of developing and developed States to the concentration of aviation GHG emissions in the atmosphere would determine how each State may contribute to achieving the global aspirational goals;
- n) agreed to adopt the basket of measures developed by GIACC, from which States may choose (<http://www.icao.int/>), covering aircraft-related technology development, improved air traffic management and infrastructure use, more efficient operations, economic/market-based measures, and regulatory measures. The basket includes measures to facilitate access to assistance, particularly for developing countries;
- o) directed that the ICAO Secretariat further develop the initial table showing the basket of measures, and directed that the Secretariat continue to develop, and update as necessary, guidance to States on the adoption of those measures, including measures to assist developing countries, as well as access to financial resources, technology transfer and capacity building;
- p) acknowledged that there remains disagreement on the application of market-based measures across national borders. The Council undertook to establish a process to develop a framework for market-based measures in international aviation, taking into account the conclusions of the High-Level Meeting and the outcome of the UNFCCC COP-15 with a view to complete this process expeditiously;
- q) encouraged States to develop action plans which articulate the proposed approach in that State, and file those plans with ICAO;
- r) directed the Secretariat to develop and implement a mechanism under Article 67 of the Convention to collect annually from States data on traffic and fuel consumption;
- s) would explore approaches for providing technical and financial assistance in the reporting process to developing countries;
- t) directed the Secretariat, working through CAEP, to develop a CO₂ standard for new aircraft types;
- u) directed that the Secretariat report every three years through the Council to the Assembly; and

- v) acknowledged, with thanks, the GIACC for the timely completion of its work, thereby fulfilling its assigned mandate (A36-22 Appendix K).

3. Furthermore, the Council directed that CAEP adjust its activities accordingly and undertake the tasks necessary to deliver the agreed Programme of Action.

4. The President of the Council thanked the fifteen Council Representatives from States represented on the GIACC for having facilitated the work of the Council by providing the text for Council action; the GIACC process had started at the beginning of 2008 and had not been an easy process, but had provided a good product which was today's Council decision. The President invited all Representatives to encourage their authorities to participate in the High-Level Climate Change Meeting which would take place from 7 to 9 October 2009 at ICAO Headquarters, and to provide any papers they wished to submit for that meeting on time for their translation. The minutes recording the Council's discussions on this item (187/13 & 14) would be included in the material to be distributed to the High-Level Meeting. The President trusted that the High-Level Meeting would bring positive results and clear guidance for ICAO in preparation for the COP-15 United Nations Climate Change Conference (Copenhagen, 7 – 18 December 2009) and for its future work related to the environment. The President wished to thank, especially, the Members of the GIACC and the Secretariat who had done excellent work during the GIACC meetings.

APPENDIX B

Appendix K of Assembly Resolution A36-22: Consolidated statement of continuing ICAO policies and practices related to environmental protection

ICAO Programme of Action on international aviation and climate change

Whereas ICAO and its Contracting States recognize the critical importance of providing continuous leadership to international civil aviation in limiting or reducing its emissions that contribute to global climate change;

Whereas the rapid growth of civil aviation has generally increased the aviation industry's contribution to greenhouse gas emissions;

Acknowledging the principles of non-discrimination and equal and fair opportunities to develop international civil aviation set forth in the Chicago Convention, as well as the principles and provisions on common but differentiated responsibilities and respective capabilities under the UNFCCC and the Kyoto Protocol;

Whereas the ICAO Council has developed policy options to limit or reduce the environmental impact of aircraft engine emissions from civil aviation and work is in progress on technology and standards, on operational measures and on market-based measures to reduce emissions;

Noting that, to promote sustainable growth of aviation, a comprehensive approach, consisting of work on technology and standards, and on operational and market-based measures to reduce emissions is necessary;

Noting that emphasis should be on those policy options that will reduce aircraft engine emissions without negatively impacting the growth of air transport especially in developing economies;

Acknowledging the significant progress made in the aviation sector, with aircraft produced today being about 70 percent more fuel efficient per passenger kilometre than 40 years ago, with airlines of some Contracting States achieving net reductions in emissions over the past several years despite a simultaneous increase in operations, and with the commitment of the international airline industry to achieving a further 25 percent fuel efficiency improvement between 2005 and 2020;

Noting that the next generation of aircraft technology and modernization of air traffic systems are expected to deliver additional improvements in flight and fuel efficiency that can be encouraged by ICAO through its Global Air Navigation Plan;

Recognizing that ICAO Standards and goals for NO_x, although intended to address local air quality, will also help reduce the impact of aviation on the climate;

The Assembly:

1. *Requests* that the Council facilitate action by States by vigorously developing policy options to limit or reduce the environmental impact of aircraft engine emissions, developing concrete proposals and providing advice as soon as possible to the Conference of the Parties of the UNFCCC, encompassing technical solutions and market-based measures, while taking into account potential implications of such measures for developing as well as developed countries;

2. *Requests* the Council to:

- a) form a new Group on International Aviation and Climate Change composed of senior government officials representative of all ICAO regions, with the equitable participation of developing and developed countries, with technical support provided by the Committee on Aviation Environmental Protection, for the purpose of developing and recommending to the Council an aggressive Programme of Action on International Aviation and Climate Change, based on consensus, and reflecting the shared vision and strong will of all Contracting States, including:
 - 1) an implementation framework consisting of economically efficient and technologically feasible strategies and measures that Contracting States can use to achieve emissions reductions, encompassing *inter alia*:
 - voluntary measures (e.g. offsetting);
 - effective dissemination of technological advances both in aircraft and in ground based equipment;
 - more efficient operational measures;
 - improvements in air traffic management;
 - positive economic incentives; and
 - market-based measures;
 - 2) identification of means by which progress can be measured;
 - 3) identification of possible global aspirational goals in the form of fuel efficiency for international aviation and possible options for their implementation; and
 - 4) reporting progress resulting from the actions implemented by Contracting States and Stakeholders;
- b) convene at an appropriate time, taking into account the fact that the fifteenth meeting of the Conference of the Parties (COP15) of the UNFCCC will be held in December 2009, a high-level meeting to review the Programme of Action recommended by the Group;

3. *Requests* that the Council, working through the Committee on Aviation Environmental Protection, continue to develop and keep up-to-date the guidance for Contracting States on the application of measures aimed at reducing or limiting the environmental impact of aircraft engine emissions and to conduct further studies with respect to mitigating the impact of aviation and climate change;

4. *Encourages* Contracting States and the Council, taking into account the interests of all parties concerned, including potential impacts on the developing world, to evaluate or continue evaluating the costs and benefits of the various measures, including existing measures, with the goal of addressing aircraft engine emissions in the most cost-effective manner;

5. *Requests* that the Council provide the necessary guidance and direction to ICAO's Regional Offices to assist Contracting States with studies, evaluations and development of procedures, in collaboration with other States in the region, to limit or reduce GHG emissions on a global basis and work together collaboratively to optimize the environmental benefits that can be achieved through their various programmes;

6. *Requests* States to encourage the industry to establish challenging goals to constantly improve its performance in aviation emissions reduction;

7. *Requests* Contracting States to accelerate investments on research and development to bring to market even more efficient technology by 2020;

8. *Requests* States to elaborate and report on a set of actions and plans to reduce by 2020 airspace congestion that is contributing to delays and unnecessary fuel burn;

9. *Request* States to encourage airport operators to improve efficiency of airside operations and to implement ground side efficiency measures to reduce carbon intensity;

10. *Requests* that the Council, working through the Committee on Aviation Environmental Protection:

- a) report on an annual basis on the progress achieved in average in-service fleet fuel efficiency and the aggregate annual amount of fuel burned in international civil aviation working in close cooperation with the industry;
- b) forecast the overall potential for aviation emissions reduction in the in-service fleet; and
- c) evaluate and quantify further reduction opportunities for consideration by the upcoming session of the Assembly;

11. *Requests* the Council to undertake the necessary action in support of the ICAO emissions initiative, including the pursuit of the ICAO objectives to limit or reduce the impact of aircraft emissions, to foster collaboration among its Contracting States, and to monitor and report on progress made in this area. In particular, the Council should:

- a) explore relevant parameters and develop medium and long term technology goals for aircraft fuel burn and report back by the next Assembly;
- b) continue to develop the necessary tools to assess the benefits associated with ATM improvements, and to promote the use of the operational measures outlined in ICAO guidance (Cir 303) as a means of limiting or reducing the environmental impact of aircraft engine emissions;
- c) implement an emphasis on increasing fuel efficiency in all aspects the ICAO's Global Air Navigation Plan;
- d) foster, as appropriate, regional, inter-regional and global initiatives with Contracting States to enhance air traffic efficiencies to reduce fuel consumption;
- e) encourage Contracting States to improve air traffic efficiency, which leads to emissions savings and to report on progress in this area;
- f) request Contracting States to submit an inventory of actions they are taking to reduce aviation emissions in their respective countries; and
- g) promote the use of new procedures and technologies that have a potential to provide environmental benefits on the operation of aircraft;

12. *Requests* the Council to encourage States and stakeholders in promoting and sharing best practices applied at airports in reducing the adverse effects of GHG emissions of civil aviation;

13. *Requests* the Council to encourage States and stakeholders to develop models of flow control and air traffic management that optimize environmental benefits;

14. *Requests* States to:

- a) encourage the necessary research and development to provide more environmentally efficient engine and aircraft designs;

- b) accelerate the development and implementation of fuel efficient routings and procedures to reduce aviation emissions;
- c) accelerate efforts to achieve environmental benefits through the application of satellite-based technologies that improve the efficiency of air navigation and work with ICAO to bring these benefits to all regions and States;
- d) promote effective coordination between their authorities involved in aviation in designing more environmentally beneficial air routes and improved operational procedures for international civil aviation;
- e) reduce legal, security, economic and other institutional barriers to enable implementation of the new ATM operating concepts for the environmentally efficient use of airspace; and
- f) cooperate in the development of a regional measurement and monitoring capability in order to allow for the assessment of the environmental benefits accrued from the measures above;

15. *Encourages* action by Contracting States, and other parties involved, to limit or reduce international aviation emissions through voluntary measures, and to keep ICAO informed, and *requests* the Council to instruct the Secretary General to keep up-to-date guidelines that ICAO has developed for such measures, including a template voluntary agreement, and to make available such experience to all parties concerned.

APPENDIX C

Declaration by the High-level Meeting¹

The High-Level Meeting on International Aviation and Climate Change, convened by the International Civil Aviation Organization (ICAO) at its Headquarters in Montreal on 7 to 9 October 2009 was attended by Ministers and other high-level officials representing 73 States and 26 international organizations:

Whereas the 36th Session of the ICAO Assembly requested the Council to convene a high-level meeting to review the Programme of Action on International Aviation and Climate Change recommended by the Group on International Aviation and Climate Change, taking into account that the fifteenth meeting of the Conference of the Parties (COP15) of the United Nations Framework Convention on Climate Change (UNFCCC) will be held in December 2009;

Welcoming the Decision of the ICAO Council to fully accept the Programme of Action on International Aviation and Climate Change, which includes global aspirational goals in the form of fuel efficiency, a basket of measures and the means to measure progress, as an important first step in the work of Contracting States at ICAO to address greenhouse gas (GHG) emissions from international aviation;

Reaffirming ICAO as the lead United Nations agency in matters involving international civil aviation, and *emphasizing* ICAO's commitment to provide continuous leadership in addressing international civil aviation matters related to the environment;

Acknowledging the principles and provisions on common but differentiated responsibilities and respective capabilities, and with developed countries taking the lead under the UNFCCC and the Kyoto Protocol;

Also acknowledging the principles of non-discrimination and equal and fair opportunities to develop international aviation set forth in the Chicago Convention;

Reemphasizing the vital role which international aviation plays in global economic and social development and the need to ensure that international aviation continues to develop in a sustainable manner;

Acknowledging that international aviation emissions, currently accounting for less than 2 per cent of total global CO₂ emissions, are projected to grow as a result of the continued development of the sector;

Recognizing that the international aviation sector must play its part to confront the global challenge of climate change, including by contributing to the reduction of global GHG emissions;

Noting the scientific view that the increase in global average temperature above pre-industrial levels ought not to exceed 2°C;

Noting the continuous efforts of the sector to minimise aviation's impact on climate change and the improvement in fuel efficiency achieved over the last 40 years, resulting in aircraft today that are 70 per cent more fuel efficient per passenger kilometre;

Affirming that addressing GHG emissions from international aviation requires the active engagement and co-operation of States and the industry, and noting the collective commitments announced by ACI, CANSO, IATA and ICCAIA on behalf of the international air transport industry to continuously improve CO₂ efficiency by an average of 1.5 per cent per annum from 2009 until 2020, to achieve carbon neutral growth from 2020 and reducing its carbon emissions by 50 per cent by 2050 compared to 2005 levels;

¹ *Subject to the approval of the ICAO Council*

Recognizing the different circumstances among States in their capacity to respond to the challenges associated with climate change and the need to provide necessary support, in particular to developing countries and States having particular needs;

Recognizing that the aspirational goal of 2 per cent annual fuel efficiency improvement is unlikely to deliver the level of reduction necessary to stabilize and then reduce aviation's absolute emissions contribution to climate change, and that goals of more ambition will need to be considered to deliver a sustainable path for aviation;

Declares that:

1. The HLM endorses the ICAO Programme of Action on International Aviation and Climate Change as accepted by the ICAO Council;

2. In pursuing the implementation of the ICAO Programme of Action on International Aviation and Climate Change, States and relevant organizations will work through ICAO to achieve a global annual average fuel efficiency improvement of 2 per cent over the medium term until 2020 and an aspirational global fuel efficiency improvement rate of 2 per cent per annum in the long term from 2021 to 2050, calculated on the basis of volume of fuel used per revenue tonne kilometre performed;

3. Taking into account the relevant outcomes of the 15th Conference of the Parties to the United Nations Framework Convention on Climate Change, and recognizing that this declaration shall not prejudice the outcome of those negotiations, ICAO and its Contracting States, with relevant organizations will also keep working together in undertaking further work on medium and long-term goals, including exploring the feasibility of goals of more ambition including carbon-neutral growth and emissions reductions, taking into account the collective commitments announced by ACI, CANSO, IATA and ICCAIA on behalf of the international air transport industry, the special circumstances and respective capabilities of developing countries and the sustainable growth of the international aviation industry, for consideration by the 37th Session of the ICAO Assembly;

4. Such fuel efficiency improvements or other aspirational emission reduction goals would not attribute specific obligations to individual States. The different circumstances, respective capabilities and contribution of developing and developed States to the concentration of aviation GHG emissions in the atmosphere will determine how each State may contribute to achieving the global aspirational goals;

5. ICAO will establish a process to develop a framework for market based measures in international aviation, taking into account the conclusions of the High-level Meeting and outcome of the UNFCCC COP 15 and bearing in mind relevant ICAO Assembly resolutions and the appendices with a view to complete this process expeditiously;

6. ICAO will regularly report CO₂ emissions from international aviation to the UNFCCC, as part of its contribution to assessing progress made in the implementation actions in the sector based on information approved by its Contracting States;

7. States are encouraged to submit their action plans, outlining their respective policies and actions, and annual reporting on international aviation CO₂ emissions to ICAO;

8. ICAO and its Contracting States will strongly encourage wider discussions on the development of alternative fuel technologies and the promotion of the use of sustainable alternative fuels, including biofuels, in aviation in accordance with national circumstances.

APPENDIX D

Recommendations by the High-level Meeting²

In addition to the recommendations from the GIACC as accepted by the Council, the High-level Meeting on International Aviation and Climate Change recommended, in order to progress the work leading to the upcoming 37th Session of the ICAO Assembly in 2010 and beyond, that the ICAO Council:

1. *Work* expeditiously together with the industry to foster the development and implementation of more energy efficient aircraft technologies and sustainable alternative fuels for aviation;
2. *Seek to develop* a global CO₂ Standard for new aircraft types consistent with CAEP recommendations;
3. *Continue* to maintain and update knowledge of the interdependency between noise and emissions in the development and implementation of measures to address GHG emissions from international aviation;
4. *Continue* to work with relevant organizations on the scientific understanding and on measures to limit the non-CO₂ climate impacts of aviation;
5. *Intensify* its efforts in further development of Standards and Recommended Practices for technological and operational measures to reduce international aviation emissions, with the support and expertise from technical panels and committees of ICAO, in consultation with other relevant organizations, in particular on the development of new guidance on operational measures to reduce international aviation emissions;
6. *Commit*, in cooperation with the industry, to facilitate the implementation of operational changes and the improvement of air traffic management and airport systems aiming to reduce emissions from international aviation sector;
7. *Further elaborate* on measures to assist developing States as well as to facilitate access to financial resources, technology transfer and capacity building including possible application of flexible mechanisms under UNFCCC, such as the Clean Development Mechanism (CDM), to international aviation;
8. *Encourage* States and international organizations to actively participate in the Conference on Aviation and Alternative Fuels in Rio de Janeiro in November 2009 (CAAF2009) to share their efforts and strategies to promote such measures, and bring its results to COP15;
9. *Identify* appropriate standard methodologies and a mechanism to measure/estimate, monitor and verify global GHG emissions from international aviation, and States support the work of ICAO on measuring progress through the reporting of annual data on traffic and fuel consumption;
10. *Request* States to continue to support the efforts of ICAO on enhancing the reliability of measuring/estimating global GHG emissions from international aviation;
11. *Consider* a de-minimis exception for States which do not have substantial international aviation activity levels, in the submission of action plans and regular reports on aviation CO₂ emissions to ICAO;
12. *Consider*, with due priority, the allocation of resources for environment-related activities under the next ICAO Regular Programme budget and analyse the possibility of establishing voluntary contributions;

² Subject to the approval of the ICAO Council

13. *Explore* the relevance of the GIACC's fuel efficiency metric to international business aviation;
14. *Explore* approaches for providing technical and financial assistance in the reporting process to developing countries; and
15. *Invite* the international air transport industry to further elaborate the implementation framework and strategies for the collective commitment of the international air transport industry.

PAPER NO. 2: INTERNATIONAL MARITIME ORGANIZATION

Note by the International Maritime Organization

AD HOC WORKING GROUP ON LONG-TERM COOPERATIVE ACTION UNDER THE CONVENTION (AWG-LCA), resumed seventh session

2 to 6 November 2009 - Barcelona, Spain

CONTROL OF GREENHOUSE GAS EMISSIONS FROM SHIPS ENGAGED IN INTERNATIONAL TRADE IN A POST-2012 REGIME

Introduction

1 In July 2009, at the fifty-ninth session of the Marine Environment Protection Committee (MEPC), IMO's 169 Member States, all of which are Parties to the UNFCCC, agreed by consensus that any regulatory scheme on greenhouse gas (GHG) emissions applied to international shipping should be developed and enacted by IMO as the most competent relevant international body.

2 IMO, as the United Nations Specialized Agency for international maritime matters, is the sole competent international organization with a global mandate to regulate all aspects of international shipping, including reduction or limitation of GHG emissions. As shipping is a global industry and ships are competing in a single global market, it must be regulated at the global level to be environmentally effective (avoid carbon leakage) and to maintain a level playing field for all ships irrespective of flag or ownership. IMO's vision is to eliminate all adverse environmental impact from ships by developing robust and effective regulations that apply universally to all ships.

3 The outcome of MEPC 59 is being reported to the twenty-sixth session of IMO's Assembly that meets from 23 November to 4 December 2009. MEPC is the technical body of the Organization with the authority and mandate to develop the mechanisms needed to achieve reduction or limitation in GHG emissions from international shipping. The 26th session of the Assembly is expected to endorse the action taken by MEPC 59.

UNFCCC and international maritime transport

4 AWG-LCA is considering emissions from international transport (aviation and shipping) as part of the mitigation section under the Bali Action Plan's paragraph 1(b)(iv) on cooperative sectoral approaches and sector specific actions, in order to enhance the implementation of Article 4.1(c) of the UNFCCC.

5 The AWG-LCA has before it four options for regulation of international shipping within a future Copenhagen Agreement and one proposal for a separate COP decision (FCCC/AWGLCA/2009/INF.2/Add.2). All the options recognize IMO's work, and four of them fully identify IMO as the competent body to regulate emissions from international maritime transport. One option advocates a separate treaty under the UNFCCC recognizing work already undertaken by IMO.

6 There are different levels of guidance to IMO in the four options: from the UNFCCC setting the reduction target for international shipping [xx% by 20xx]; via UNFCCC determining IMO's application; to the UNFCCC inviting or encouraging IMO to take further action.

7 AWG-LCA-7 considered international shipping in the Subgroup on Mitigation under the Bali Action Plan's paragraph 1(b)(iv), where there seemed to be a common understanding of the following:

- .1 ship emissions cannot be attributed to any particular economy/country;
- .2 such emissions need to be regulated globally to be effective (avoid carbon leakage), and to create a credible regime; and
- .3 IMO is the competent body to develop and enact GHG regulations for international shipping.

8 The following issues still need to be determined: the reduction target for international shipping; the need for UNFCCC to provide guidance to IMO on principles; and the relation between the two UN bodies and if such guidance is at all appropriate.

9 The UNFCCC negotiations should take full account of IMO's basic principles laid down in the IMO constitutive Convention adopted in 1948, and the relation between international organizations as described under Article 57 of the Charter of the United Nations. UNFCCC may consign obligations to its Parties, and may invite other sovereign international organizations to cooperate or encourage them to take further action.

Outcome of MEPC 59

10 MEPC 59 agreed on a package of technical and operational measures to reduce GHG emissions from international shipping. The measures are intended for trial application until the Committee's 60th session in March 2010, with a view to facilitating decisions on their scope of application and enactment, on the basis of the outcome of the Copenhagen Conference.

11 MEPC 59 also agreed on a work plan for further consideration and development of suitable and efficient market-based instruments to complement the technical and operational measures and to provide economic incentives for the shipping industry. The Committee noted that there was a general preference for the greater part of any funds generated by a market-based instrument under the auspices of IMO to be used for climate change purposes in developing countries through existing or new funding mechanisms under the UNFCCC or other international organizations.

The way ahead post-COP 15

12 Although no mandatory GHG regime for international shipping has been finalized so far, the technical and operational mechanisms needed for its efficient implementation are fully developed, well matured and ready for consideration as mandatory instruments, taking into account the outcome of COP 15. Further work is needed on market-based measures but the foundations are in place and a work plan, culminating in 2011, has been agreed. All the necessary mechanisms are thereby in place or well underway and an agreement on their application is the only aspect pending before a robust and efficient GHG regime, complementing IMO's regime of about 50 international treaties regulating all aspects of shipping, may be agreed to the benefit of the global environment and future generations.

13 IMO will continue its endeavours to reduce any environmental impacts from international shipping, a transport industry that is vital to world trade and sustainable development. IMO is ready to take technical and regulatory action as soon as a decision at COP 15 is taken on a post-2012 regime to combat climate change.

ANNEX

PROGRESS WITHIN IMO ON CONTROL OF GREENHOUSE GAS EMISSIONS FROM SHIPS ENGAGED IN INTERNATIONAL TRADE

Completion of IMO's GHG work plan – finalization of efficient and robust measures to enhance energy efficiency in shipping and to reduce emissions from ships

Introduction

1 Work on the prevention of air pollution and control of greenhouse gas emissions from ships started within the International Maritime Organization (IMO) in the late 1980s. The first steps were outphasing of ozone depleting substances both as refrigerant gases and in fire fighting systems and later, prevention of air pollution in the form of cargo vapours and exhaust gas were targeted by, *inter alia*, adoption of limits for nitrogen oxides and sulphur oxides in ship exhaust gas. In recent years the focus has been on control of greenhouse gas (GHG) emissions from ships.

2 Due to its close connection to global commerce, international shipping plays a vital role in the facilitation of world trade as the most cost and energy effective mode of transport. Shipping is probably also the most international of all the world's industries and the global character of shipping requires global regulation that applies universally to all ships. IMO, as the United Nation's Specialized Agency responsible for the global regulation of all facets pertaining to international shipping, has a key role in ensuring that lives at sea are not put at risk and that the environment is not polluted by ships' operations – as summed up in IMO's mission statement: **Safe, Secure and Efficient Shipping on Clean Oceans.**

IMO's work on control of greenhouse gas emissions from ships

3 IMO's Assembly resolution A.963(23) on IMO Policies and Practices Related to the Reduction of Greenhouse Gas Emissions from Ships, urges the Marine Environment Protection Committee (MEPC) to identify and develop the mechanisms needed to achieve limitation or reduction of Greenhouse Gas (GHG) emissions from international shipping.

4 The Assembly resolution also calls for MEPC to develop a GHG work plan with timetable to guide the development of the needed mechanisms and the Committee adopted it in October 2006. A significant amount of work has been carried out in accordance with the plan and IMO has developed a set of robust and efficient technical and operational measures that will, when fully implemented, result in significant reductions of GHG emissions from ships.

Outcome of MEPC 59

5 More than 900 delegates from all over the world attended the fifty-ninth session of IMO's Marine Environment Protection Committee (MEPC 59), which was held in London from 13 to 17 July 2009. Control of greenhouse gases from international shipping was the paramount item on its agenda.

6 Leading up to MEPC 59, two intersessional meetings were held in addition to the three ordinary sessions, where hundreds of submissions by Member States and observer organizations, four reports by intersessional correspondence groups and a large number of scientific studies, facilitated the work and made the expeditious progress possible. This progress would not have been possible without the active and unreserved involvement of the world's maritime nations and a strong environmental commitment by a united maritime industry.

7 The Committee noted that 2009 is a crucial year in the climate change negotiations, culminating at the UN Climate Change Conference in December. It is expected that the Conference will adopt a new and ambitious post-2012 treaty to combat climate change, a treaty that will be agreed by the 192 Parties to the UNFCCC of which 169 are IMO Members.

Message from Mr. Yvo de Boer

8 The Committee noted with appreciation a statement by the Executive Secretary of the UNFCCC Secretariat, Mr. Yvo de Boer, providing information on the ongoing UNFCCC negotiations and a clear indication on what was expected of IMO in its reporting to COP 15. He stated that - "Copenhagen is the moment when humanity has the opportunity to rise to the challenge and decisively deal with climate change." Mr. de Boer noted that progress within IMO had been made on technical and operational measures but that the overall emissions were still growing. He went on to say:

"One political difficulty is that the Convention is based on the principle of common but differentiated responsibilities. Industrialised countries must lead in reducing emissions, while developing countries need support to engage in mitigation actions. The IMO, on the other hand, is based on equal treatment for all ships. Innovative thinking is needed to reconcile these principles and it can be done. For example, raising funds for adaptation and mitigation in developed and developing countries through a global cap on bunker fuels and deploying revenues from auctioning emission rights mainly in developing countries have both been mentioned as ways to reconcile the principles of the UNFCCC and the IMO. A global cap on bunker fuels would be in line with the "equal treatment" principle of the IMO. Using the obtained revenues to assist developing countries in addressing climate change would be in line with the provisions of the climate change Convention. The amounts that could be generated by maritime transport in reducing its carbon footprint are substantial with estimates over four billion US dollars per year.

I hope that this MEPC meeting can succeed in recommending a package of measures for international shipping that fits in with the proposals of governments in the negotiations. I hope that at the end of your meeting, you can agree a package of technical and operational measures to adopt that will result in a significant reduction of emissions with an implementation deadline. I hope you can also finalize work on developing a market-based mechanism for international shipping. Informing COP 15 on practical actions for regulating international bunker fuels would thus make a significant contribution to an effective agreed outcome in Copenhagen. Parties to the UNFCCC are looking forward to receiving input from the work of IMO. This week, there is no question that you can make a major step towards that."

Agreed package of reduction measures

9 MEPC 59 agreed to circulate a package of technical and operational measures to reduce GHG emissions from international shipping and also agreed on a work plan for further consideration and development of suitable and efficient market-based instruments to complement the technical and operational reduction measures and to provide economic incentives for the shipping industry.

10 MEPC 59 further agreed that any regulatory scheme to control GHG emissions from international shipping should be developed and enacted by IMO as the most competent international body.

11 The measures are intended for voluntary application until the Committee's sixtieth session in March 2010, with a view to facilitating decisions on their scope of application and enactment and taking into account the outcome of the Copenhagen Conference.

Message by the IMO Secretary-General

12 Speaking at the close of MEPC 59, IMO Secretary-General Efthimios E. Mitropoulos congratulated delegates for driving forward the Committee's agreed action plan on greenhouse gas emissions from ships, which "deserves to be recognized as compelling proof that IMO can, indeed, be entrusted with the regulation of international shipping on the issue of climatic change – an unequivocal message that needs to be heard, and fully understood, all over the globe." He went on to urge delegates to promote the successful outcome of the session, by briefing their colleagues and, through them, the competent Ministers in their home countries (e.g. of Transport, Mercantile Marine, Environment and Foreign Affairs), in particular those who will participate in COP 15, and by publicizing it widely among all concerned so that "the complexities of this most international of all industries are duly taken into account when shaping official policies and positions on the issue at hand – both at Copenhagen and at the post-Copenhagen rounds of consultations at IMO."

13 Mr. Mitropoulos reiterated his belief that "the time for apportioning blame as to who is responsible for the state of the planet has passed. Now it was time for action. Developed and developing countries, industrialized and emerging economies alike were left with no option other than to get together and, together, work out solutions that would serve well the good cause of reversing the route to planet destruction."

Greenhouse gas Study 2009

14 MEPC 59 was notably assisted in its work by the **Second IMO GHG Study 2009**, which is the most comprehensive and authoritative assessment of the level of greenhouse gas emitted by ships, as well as the potential for reduction. The Study also evaluates the different policy options for control of GHG emissions from ships currently under consideration within IMO and other organizations. The Second IMO GHG Study 2009 will be submitted to appropriate bodies of the UNFCCC and may be found at: http://www.imo.org/home.asp?topic_id=1823

15 The Committee noted that the Second IMO GHG Study 2009 came to the following main conclusions, as outlined in its executive summary:

- International shipping was estimated to have emitted 870 million tonnes, or about 2.7% of the global emissions of CO₂ in 2007.
- Exhaust gases were the primary source of emissions from ships. Carbon dioxide was the most important GHG emitted by ships. Both in terms of quantity and of global warming potential, other GHG emissions from ships were less important.
- Mid-range emissions scenarios showed that, by the year 2050, in the absence of regulations, ship emissions could grow by 200% to 300% (compared to the emissions in 2007) as a result of the growth in world trade.
- A significant potential for reduction of GHG emissions through technical and operational measures had been identified. Together, if implemented, these measures could increase efficiency and reduce the emissions rate by 25% to 75% below the current levels. Many of these measures appeared to be cost-effective, although non-financial barriers may discourage their implementation.
- A number of policies to reduce GHG emissions from ships were possible. The report analysed options relevant to the current IMO debate. The report found that market-based measures were cost-effective policy instruments with a high environmental effectiveness.

Such instruments captured the largest amount of emissions under the scope, allowed both technical and operational measures in the shipping sector to be used, and could offset emissions in other sectors. A mandatory limit on the Energy Efficiency Design Index for new ships was a cost-effective solution that could provide an incentive to improve the design efficiency of new ships. However, its environmental effect was limited because it only applied to new ships and because it only incentivized design improvements and not improvements in operations.

- Shipping had been shown, in general, to be an energy-efficient means of transportation compared to other modes.
- The emissions of CO₂ from shipping would lead to positive “radiative forcing” (a metric of climate change) and to long-lasting global warming. In the shorter term, the global mean radiative forcing from shipping was negative and implied cooling; however, regional temperature responses and other manifestations of climate change may nevertheless occur. In the longer term, emissions from shipping would result in a warming response as the long-lasting effect of CO₂ would overwhelm any shorter-term cooling effects.
- If the climate was to be stabilized at no more than 2°C warming over pre-industrial levels by 2100 and emissions from shipping continue as projected in the scenarios that were given in the report, then they would constitute between 12% and 18% of the global total CO₂ emissions in 2050 that would be required to achieve stabilization (by 2100) with a 50% probability of success.

Technical and operational reduction measures

16 MEPC 59 finalized a package of technical and operational measures to reduce GHG emissions from international shipping, aimed at improving the energy efficiency for new ships through improved design and propulsion technologies and for all ships, new and existing, primarily through improved operational practices.

17 The measures are intended to be used for trial purposes on a voluntary basis until MEPC 60 in March 2010, when they will be refined, as necessary, with a view to facilitating decisions on their scope of application and enactment, taking into account the outcome of the Copenhagen Conference. The measures include:

- .1 interim guidelines on the method of calculation and voluntary verification of the **Energy Efficiency Design Index (EEDI)** for new ships, which is intended to stimulate innovation and technical development of all elements influencing the energy efficiency of a ship from its design phase. The index would cover 87% of emissions from new ships – the reduction level is not yet agreed upon and will be considered in detail by MEPC 60, but a relative reduction of 15 to 30% is possible depending on ship type and size; and

- .2 guidance on the development of a **Ship Energy Efficiency Management Plan** (SEEMP) for new and existing ships, which incorporates best practices for fuel-efficient ship operation, as well as guidelines for voluntary use of the **Energy Efficiency Operational Indicator** for new and existing ships. The indicator enables operators to measure the fuel efficiency of a ship in operation and to gauge the effect of any changes in operation, e.g. improved voyage planning or more frequent propeller cleaning, or introduction of technical measures such as waste heat recovery systems or a new propeller. The Study indicates that a 20% reduction on a tonne mile basis by mainly operational measures is possible and would be cost-effective even with the current fuel prices. The SEEMP will assist the shipping industry in achieving this potential.

18 The IMO Secretariat will undertake further work and assess in more detail the reduction potential of the technical and operational measures finalized by MEPC 59, both in relative (tonne-mile) and total terms. This information will assist the Committee at its next session in March 2010 when making a final decision on the reduction levels, and it will also be provided to COP 15 for information.

Market-based mechanisms

19 The Committee recognized that the technical and operational measures would not be sufficient to satisfactorily reduce the amount of GHG emissions from international shipping in view of the growth projections of human population and world trade. Therefore, market-based mechanisms have been considered in line with the GHG work plan. A market-based mechanism would serve two main purposes: off-setting of growing ship emissions and providing a fiscal incentive for the maritime industry to invest in more fuel efficient ships and technologies and to operate ships in a more energy efficient manner.

20 The Committee agreed by overwhelming majority that a market-based instrument was needed as part of a comprehensive package of measures for regulation of GHG emissions from international shipping. The Committee further agreed that any regulatory GHG regime applied to international shipping should be developed and enacted by IMO as the sole competent international organization with a global mandate to regulate all aspects of international shipping. As shipping is a global industry and ships are competing in a single global market, it must be regulated at the global level to be environmentally effective and to maintain a level playing field for all ships, irrespective of flag or ownership.

21 An in-depth discussion on market-based measures was held and the Committee agreed on a work plan culminating in 2011 for its further consideration of the topic. It was agreed to fully take into account discussions and submissions to date, as well as relevant outcomes of the United Nations Climate Change Conference (COP 15) in December 2009.

22 The Committee noted that there was a general preference for the greater part of any funds generated by a market-based instrument under the auspices of IMO, to be used for climate change purposes in developing countries through existing or new funding mechanisms under the UNFCCC or other international organizations.

23 To facilitate further progress at MEPC 60, the IMO Secretariat will undertake further work and assess the possible effects of a market-based instrument. The work will assess in detail the potential reduction levels, directly and through off-setting, resulting from a market-based instrument for shipping and the potential generation of funds that would be used for climate change purposes in developing countries. This information will also be submitted to COP 15 and will form a useful basis for future decisions in both fora.

The way ahead post-COP 15

24 A recurring debate within IMO has been how the wording of Article 2.2 of the Kyoto Protocol should be interpreted and if the UNFCCC principle of ‘common but differentiated responsibility’ should apply to a GHG regime for international shipping rather than IMO’s basic principle of equal or non-discriminatory regulation of all ships in international trade, irrespective of flag or ownership. The Committee agreed to defer this debate until the outcome of COP 15 is known and will consider application issues, as well as the legal aspects, in March 2010.

25 Although no mandatory GHG regime for international shipping has been agreed, the technical and operational mechanisms needed are fully developed, well matured and ready for consideration as mandatory instruments, taking into account the outcome of COP 15. Further work is needed on market-based measures but the foundation is in place and a work plan, culminating in 2011, has been agreed. All the necessary mechanisms are thereby in place or well underway, an agreement on their application is the only aspect pending before a robust and efficient GHG regime, complementing IMO’s regime of about 50 international treaties regulating shipping, may be agreed to the benefit of the global environment and future generations.

26 The Committee agreed that any possible impacts on the shipping sector, including but not limited to, the overall impact of any of the mechanisms on the maritime sectors of developing countries, should be duly considered prior to making further decisions on the energy efficiency measures.

27 IMO will continue its endeavours to reduce any environmental impacts from international shipping, a transport industry that is vital to world trade and sustainable development. IMO is ready to take technical and regulatory action as soon as a decision at COP 15 is taken on a post-2012 regime to combat climate change. IMO will continue to keep UNFCCC and its subsidiary bodies updated on the progress made.

PAPER NO. 3: : INTERNATIONAL TELECOMMUNICATION UNION

Submission from the International Telecommunication Union to the Ad Hoc Working Group on Long-Term Collaborative Action under the Convention (AWG-LCA)

The International Telecommunication Union (ITU) welcomes the opportunity to submit this supplemental input concerning the important role that Information and Communication Technologies (ICTs) can play as a cross-sectoral tool to tackle Climate Change in the framework of the AWG-LCA and the Bali Plan of Action.

ITU is the UN specialized agency for information and communication technologies and telecommunication issues.

ICTs can be a major cross-sectoral tool to reduce greenhouse gas (GHG) emissions. A recent study estimated that ICTs could help reduce total global emissions by 15 percent in 2020, representing carbon savings five times higher than the estimated emissions for the whole ICT sector in 2020¹. Moreover, radio-based remote sensors and telecommunication infrastructure form the backbone of the Global Observing System (GOS), which is employed for climate monitoring (including CO₂ emission monitoring), prediction of climate change and development of adaptation/mitigation programmes. ITU, as the steward of the radio-frequency spectrum and satellite orbits, provides the necessary radio-frequency spectrum and protection from interference to remote sensing systems.

ITU has been asked by its Member States to significantly enhance efforts to raise public and policymaker awareness of the critical role of ICTs in addressing climate change in the run-up to COP-15, to be held in Copenhagen in December 2009. Building on this mandate, ITU has submitted written input to the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA). You may download the submission from the UNFCCC website:

<http://unfccc.int/resource/docs/2009/smsn/igo/052.pdf>

Reviewing the current revised negotiating text (FCCC/AWGLCA/2009/INF.1) we have noted that the critical role of ICTs in combating climate change is not currently reflected in the draft sections on: A shared vision for long-term cooperative action; Cooperative sectoral approaches and sector-specific actions; or Capacity-building.

In this regard, ITU respectfully requests consideration of the following input for inclusion in revisions to the draft text (FCCC/AWGLCA/2009/INF.1):

I. Shared vision for long-term cooperative action (paragraphs 1-9, page 5)

Suggested addition:

Information and Communication Technologies (ICT) can be powerful enablers to achieve cuts in emissions; used as monitoring tools on a global basis, provide information for developing adaptation/mitigation plans; contribute to adaptation and mitigation efforts, and thereby are a vital means to achieve the ultimate objective of the convention.

D. Cooperative sectoral approaches and sector-specific actions (page 130)

Suggested amendment:

x.1 Cooperative sectoral approaches and sector-specific actions” shall be focused on the enhanced implementation of Article 4.1 (c) of the Convention, on:

(a) The development, application and diffusion, including transfer, of technologies, practices and processes that control, reduce or prevent anthropogenic emissions of greenhouse gases not controlled by the Montréal Protocol, in all relevant sectors, including, but not limited to, energy, transport, industry,

¹ The Climate Group’s SMART 2020 report, researched by McKinsey and Company.

agriculture, forestry, health, tourism, [and] waste management sectors, and information and communication technologies;

3. Capacity-building (paragraphs 199-201, page 196)

Suggested addition:

Capacity-building on the potential of ICTs related to climate monitoring, prediction of climate change, adaptation and mitigation, are used in the preparation and implementation of National Adaptation/Mitigation Plans.

PAPER NO. 4: UNITED NATIONS UNIVERSITY

In Search of Shelter: Mapping the Effects of Climate Change on Human Migration and Displacement

Paper submitted to the UNFCCC for the

6th session of the Ad Hoc Working Group on Long-Term Cooperative Action under the Convention (AWG-LCA 6) from 1 until 12 June in Bonn

by the United Nations University (UNU)

2 June 2009

This submission was prepared by the United Nations University Institute for Environment and Human Security (UNU-EHS), in close cooperation with CARE, Columbia University, and in collaboration with the UNHCR and the World Bank. The empirical results are based on the European Commission FP7 Project “Environmental Change and Forced Migration Scenarios” (EACH-FOR) in which UNU-EHS was a partner.

Keywords: Migration and displacement, climate adaptation, climate change

PLEASE COMMENT: This submission has benefited from the feedback and ideas of many different experts and delegations. We welcome your comments.

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Executive Summary

The impacts of climate change are already causing displacement and migration. Although the exact number of people that will be on the move by mid-century is uncertain, the scope and scale could vastly exceed anything that has occurred before. People in the least developed countries and island states will be affected first and worst.

The consequences for almost all aspects of development and human security could be devastating. There may also be substantial implications for political stability.

Most people will seek refuge in their own countries while others will cross borders in search of better conditions. Some migration and displacement may be prevented through the implementation of adaptation measures. However, poorer countries are under-equipped to support widespread adaptation; and migration could be the only option for many people in the South.

Nature and purpose of this report

This report explores how environmental shocks and stresses, especially those related to climate change, can push people to leave their homes in search of “greener pastures” ... or

just to survive. In order to make informed decisions, policymakers and development actors need a better understanding of the linkages between environmental change, displacement and migration. This report, therefore, offers:

- *empirical evidence* from a first-time global survey of environmental change and migration;
- *original maps* illustrating how, and where, the impacts of climate change may prompt significant displacement and migration;
- *policy recommendations* that reflect the collective thinking of key multi-lateral and

Policy decisions made today will determine whether migration becomes a matter of choice for people — an adaptation option — or a matter of mere survival, due to a collective failure by the international community to provide adequate alternatives.

research institutions, as well as non-governmental organizations working directly with many of the world’s most vulnerable populations.

Key findings

- Climate change is already contributing to displacement and migration. Although economic and political factors are the dominant drivers of displacement and migration today, climate change is already having a detectable effect.
- The breakdown of ecosystem-dependent livelihoods is likely to remain the premier driver of long-term migration during the next two to three decades. Climate change will exacerbate this situation unless vulnerable populations, especially the poorest, are assisted in building climate-resilient livelihoods.
- Disasters continue to be a major driver of shorter-term displacement and migration. As climate change increases the frequency and intensity of natural hazards such as cyclones, floods, and droughts, the number of temporarily displaced people will rise. This will be especially true in countries that fail to invest now in disaster risk reduction and where the official response to disasters is limited.
- Seasonal migration already plays an important part in many families’ struggle to deal with environmental change. This is likely to become even more common, as is the practice

of migrating from place to place in search of ecosystems that can still support rural livelihoods.

- Glacier melt will affect major agricultural systems in Asia. As the storage capacity of glaciers declines, short-term flood risks increase. This will be followed by decreasing water flows in the medium- and long-term. Both consequences of glacier melt would threaten food production in some of the world's most densely populated regions.
- Sea level rise will worsen saline intrusions, inundation, storm surges, erosion, and other coastal hazards. The threat is particularly grave vis-à-vis island communities. There is strong evidence that the impacts of climate change will devastate subsistence and commercial agriculture on many small islands.
- In densely populated deltas alone (Ganges, Mekong, and Nile), a sea level rise of 1 meter may affect 23.5 million people and reduce the land currently under intensive agriculture by at least 1.5 million hectares. A sea level rise of 2 meters would impact 10.8 million people and render at least 969 thousand more hectares of agricultural land unproductive.
- Many people won't be able to flee far enough to adequately avoid the negative impacts of climate change—unless they

receive support. Migration requires resources (including financial, social, and political capital) that the most vulnerable populations frequently don't have. Case studies indicate that poorer environmental migrants can find their destinations as precarious as the places they left behind.

1. Introduction

Until recently, climate change research and negotiations have focused almost exclusively on the imperative of reducing greenhouse gas emissions that drive global warming. Scientific findings suggest that climatic changes are accelerating.¹ Now, however, it is clear that emissions reductions efforts have been too little, too late. Therefore, the challenges and complex politics of adaptation are joining those of mitigation at the centre of policy debates.

This makes it important for the international community to speed up learning about effective adaptation. One of the most important tasks will be to quickly improve understanding of how climate change and other environmental changes affect human migration and displacement, and identify and implement ways to help affected people adapt to these changes. In any given location, migration already represents an adaptation strategy. But forced migration and displacement may well be indicators of a failure of adaptive capacity.

1.1. Migration and global environmental change

Our world has experienced profound climatic changes before. What appears to be different

this time is that one species, humans, is contributing to the change, and that climate change is impacting the ecosystems upon which almost all life including humans depend.

Environmentally-induced migration and displacement has the potential to become a phenomenon on a scale and scope not experienced in human memory. Its effects on the global economy, international development, and national budgets could have significant implications for almost all dimensions of human security and wellbeing, in addition to political and state security.

Migration—whether permanent or temporary, internal or international—has always been a possible adaptation strategy for people facing environmental changes. Pre-history and history are marked by (episodic and localised) migration and displacement from one climate zone to another, as people sought out environments that would support survival as well as aspirations to a more stable existence. Some waves of migration and displacement have been associated with cultural collapse, as familiar landscapes no longer provided safe or supporting habitats and livelihoods for people.

Today, environmental change, including climate change, presents a new threat to

human security and a new situation for human mobility. By 2050 when human population is projected to peak, some 9 billion people will live on Earth. The majority of them will live in urban areas with crushing environmental footprints. Many megacities are located in areas prone to sea level rise. Climate change will visit urban and rural areas alike with increasingly frequent and violent hazard events. Flooding, intense storms, or droughts, or more gradual but significant changes in regional climates place great stress on livelihood systems. These pressures will contribute to migration and displacement, along with myriad other factors.

In coming decades, climate change will motivate or force millions of people to leave their homes in search of viable livelihoods and safety. Although the precise number of migrants and displaced people may elude science for some time, all available estimates suggest their numbers will be in the tens of millions or more. The mass of people on the move will likely be staggering and surpass any historical antecedent.

Most people will seek refuge in their own countries while others will cross borders in search of better conditions. Some migration and displacement will be prevented through adaptation measures, including changes in

agricultural productivity and integrated water management. However, poorer countries are under-equipped to implement wide-spread adaptation activities; and migration will be the only option for many people in the South. Our responses to climate change today will help determine whether migration will be a matter of choice in a wider range of adaptation options, or whether forced migration and displacement will be a matter of mere survival due to a collective failure to provide adequate adaptation alternatives.

1.2 New thinking and the contribution of this report

New thinking and practical approaches are needed to address the threats that environmental change including climate change poses for migration and displacement. Migration is a significant—and growing—response to climate change, yet neither the literature on climate change nor on human mobility yet fully reflects this adaptation option, its impacts, or policy alternatives. Policy-makers require better information, empirical data, and analysis of both the threats and potential solutions. This report seeks to respond to that need, and helps to fill the gaps by providing:

1. Eight new regional maps of climate change impacts and population

distributions, representing some of the major processes associated with climate change, and some of the major human-ecological systems where these changes could prompt migration and displacement. Presenting recent country case studies, the paper looks at current patterns of climate change and migration for glacial melt and the major river systems in Asia, drying trends in Central America and Western Africa, flooding and sea level rise in major deltas of the world, and sea level rise in low-lying Small Island developing states.²

2. Empirical evidence from a first-time global survey of environmental change and migration, which reveals some patterns and interactions between changing climatic conditions and human mobility.

3. Policy reflections on climate change, migration, and displacement, recognizing that migration may be one of the most profound expressions of adaptation or failure to adapt.

What this report does not do: This report does not attempt to provide estimates of the numbers of people that may move or be forced to move in response to environmental factors including climate change. The report does not

attempt to indicate specific geographical destinations for migrants in the future. The report does not attempt to draw causal relationships between climate change and migration or displacement, but rather relies on current scientific and empirical understanding of environmental processes and how these processes can affect human mobility. The authors hope that this report will be useful in discussions of where migration and displacement pressures are currently and where they may emerge in the future, related to phenomena such as glacial melting, drying trends, extreme events like flooding, and sea level rise. The report is intended to present plausible future developments which provide decision makers a basis for focusing their discussions on the role of human mobility in adaptation.

2. Adaptation or a failure to adapt?

2.1 Multiple drivers

Today, environmental change including climate change contributes to human mobility embedded in linked environmental and social processes³. Social system characteristics including social networks play a mediating role in how environmental change affects whether people move away or stay at home.⁴ Migration can represent a response to changing environmental

and economic conditions, such as a farmer's choice to migrate due to failing crops and insecure livelihood prospects. Migration can also exacerbate environmental and economic problems in receiving areas. For example, urban areas attract migrants seeking better lives. High in-migration contributes to crowding and environmental/sanitation issues in slums. Studies also point towards urbanization as a force driving regional warming (heat islands) which can exacerbate drying trends, among other problems.⁵ Some of these cities, such as Dhaka, Buenos Aires, Rio de Janeiro, Shanghai and Tianjin, Alexandria and Cairo, Mumbai and Kolkata, Jakarta, Tokyo and Osaka-Kobe, Lagos, Bangkok, New York City, and Los Angeles, are located in areas exposed to sea level rise. Sea level rise could motivate resettlement, forced migration, or other forms of human mobility.⁶

Environmental change has a multiplier effect on other migration drivers.⁷ As an illustration, land degradation in Niger has undermined the resilience of farmers to recurring drought.⁸ More erratic weather, rising sea level and other climate change impacts will exacerbate both migration pressures and environmental degradation.⁹

What is certain from empirical and theoretical research on environmentally-induced migration, in all its varieties, is that environmental change is one of many contributing factors.

Text Box: How many people will environmental and climate change uproot?

Estimates of the numbers of migrants and projections of future numbers are divergent and controversial, ranging from 25 to 50 million by the year 2010¹⁰ to almost 700 million by 2050.¹¹ IOM takes the middle road with an estimate of 200 million environmentally-induced migrants by 2050.¹² The first controversy concerns the categorization of people made mobile by environmental factors including climate change. Some refer to “environmental refugees” while others refute that the word “refugee” has a specific legal meaning in the context of the 1951 Geneva Convention Relating to the Status of Refugees.¹³ Terms such as “environmental migrants” and “environmentally motivated migrants” have been introduced.¹⁴

2.2 Climate change and migration: Framing the issue

Terms and concepts such as environmental or climate change migration, environmentally-induced or forced migration, ecological or environmental refugees, and climate change refugees are used throughout the emerging literature, with no general agreement on precise definition.¹⁵ The main reason for the lack of definitions for migration caused in part by environmental change and degradation is

linked to two issues: the challenge of isolating environmental factors from other migration drivers, and the possible institutional and governance implications of defining this range of environmentally-related migration.¹⁶

This report relies on a working definition provided by the International Organization for Migration (IOM) for “environmentally-induced migrants” including those made mobile in part due to climate change: “Environmental migrants are persons or groups of persons who, for compelling reasons of sudden or progressive changes in the environment that adversely affect their lives or living conditions, are obliged to leave their habitual homes, or choose to do so, either temporarily or permanently, and who move either within their country or abroad.”¹⁷

3. Mapping migration and climate change: data and methodologies

3.1 Data sets

A list of data sets utilized in map production can be found in the Technical Annex. One issue that needs to be addressed wherever climate change projections are employed is which models and scenarios to use, and what specific variable (e.g. temperature or

precipitation) is of greatest interest. While recognizing that changing temperatures will have wide-ranging ramifications for many tropical and sub-tropical regions, especially where temperatures may exceed tolerances for specific crops, we felt that precipitation change is likely to have greater impacts on livelihoods.

Once that decision was made, additional choices presented themselves. In the maps presenting drying trends, we chose to use data on projected changes in runoff by Nohara et al (2006) published in the IPCC Fourth Assessment Report (AR4), Working Group 2 Synthesis report (see Technical Annex references). These data were produced using an ensemble of climate models, and correspond broadly to the pattern of changing precipitation minus evaporation found in other ensemble modeling approaches.¹⁸ Ensembles are generally more reliable than single model runs, since they average out the extremes. Runoff change was chosen rather than change in precipitation alone, or precipitation *minus* evaporation (P-E), because runoff represents the water that is effectively available for a range of human purposes, including crop growth and irrigation, and also for aquatic ecosystems, which are important for freshwater fisheries. However, as stated, whether one uses runoff or P-E, the patterns

are broadly similar: (1) wet areas are getting wetter; (2) dry areas are getting drier; and (3) subtropical dry zones are expanding poleward.

In terms of sea level rise, the IPCC AR4 projected potential eustatic (meaning produced by the melting glaciers rather than thermal expansion) sea level rise of 0.8–1m this century. However, recent research suggests that the upper bound for sea level rise may be closer to 2m.¹⁹ For this reason, we provide 1m and 2m bands for each delta area represented in section 4.3.

3.2 Mapping

The maps in this report represent the integration, at scales ranging from continental to small islands, of geospatial datasets such as population (size, density, and distribution), hydrology (Asian river basins, highly populated river deltas), projected sea level rise (1 and 2 meters), agriculture (rain-fed agricultural land and areas in pasture), projected changes in runoff, and cyclones. These databases were compiled from different sources and integrated using GIS techniques. Calculations of populations at risk were made using zonal statistics. More information about data sources and methodologies used can be found in the Technical Annex.

This superimposing of populated areas and current and projected environmental hazards seeks to provide an initial identification of populations and livelihoods potentially at risk of climate change impacts. This first "layer" of vulnerability²⁰ could be considered part of the context that shapes migration decisions to a greater or lesser extent.

3.3 Fieldwork

The extent of human-induced environmental degradation has been documented in a wide range of publications. The most commonly discussed environmental change resulting from human activities is climate change, but there are many other signs of environmental change, including soil fertility depletion, deforestation, and desertification. At the same time, humans face massive social, political, and economic changes today as a result of globalization and technological change.

Although there is substantial information about environmental change, natural hazards, migration, and economic development, systematic empirically- based knowledge about the links between environmental change processes and migration remains scarce. To help fill this gap, the European Commission funded the Environmental Change and Forced

Migration Scenarios Project (EACH-FOR) to explore the role environmental changes play in shaping migration decisions. This was done through the systematic overview and analysis

of relevant natural and human-made environment degradation processes, as well as the socio-economic and demographic contexts in the regions studied in the project. The

project undertook fieldwork in twenty-three sites around the world.

4. Impacts of climate change and implications for human mobility

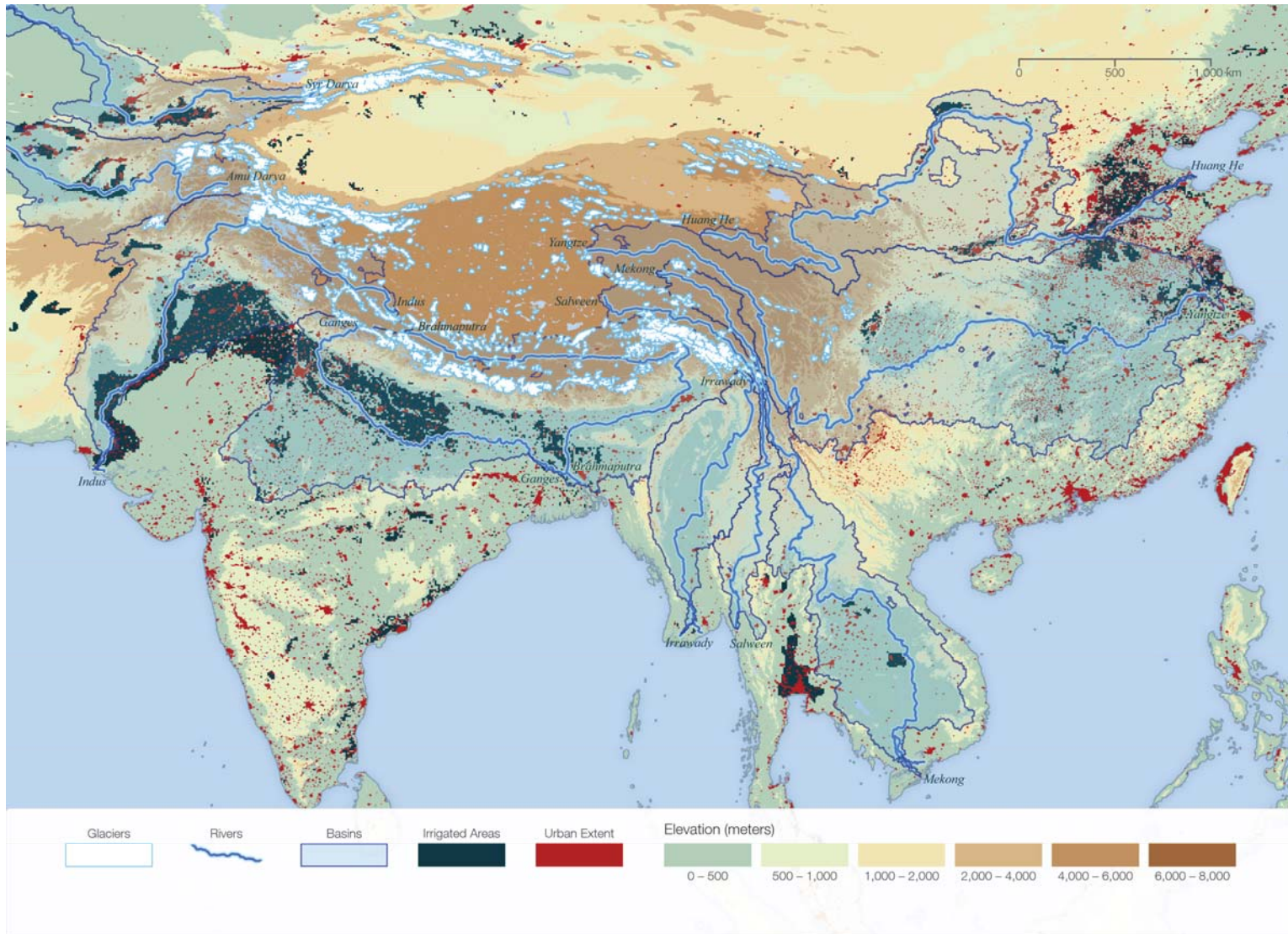
This section explores the regional dynamics of climate change processes and human mobility, looking at glacial melt, drying trends, flooding and sea level rise in some of the world's hotspot areas. The key contribution of this report is the combination of unique maps of climate change-related trends and population distribution patterns, and fieldwork exploring the impacts of environmental change on migration, particularly the EACH-FOR project.

The point of departure for this paper is the underlying hypothesis that environmental change affects human mobility most directly through livelihoods which are dependent on

ecosystem services, such as agriculture, herding, and fishing. This hypothesis was formed after a series of field investigations where researchers assessed the nature of the linkages between environmental stressors and migration. In the EACH-FOR project, the majority of migrants interviewed indicated that if the environment had affected a decision to migrate, it was most often because environmental changes had made it difficult for the individual or family to earn a living. These observations led to the formulation of the hypothesis above.

In this section, the reader follows a journey from the water towers of Asia—the Himalayan

glaciers—to the drylands of Central America and Western Africa (the Sahel), then on to three of the world's major deltas (the Ganges, the Mekong, and the Nile). The journey ends with some of the low lying island states of Tuvalu and the Maldives. Each area highlighted in this section has one map accompanied by a box explaining some of the key messages of each map, followed by findings from the field about the relationship between climate change, migration, and displacement.



What does this map tell us?

The map depicts glaciers (light blue) in the Himalayas and the major rivers that flow from them. These rivers support large irrigated areas (dark blue) and major population centers (red), yet the glaciers that feed them are in retreat. Reductions of river flows will affect irrigated areas, but the potential for migration out of agricultural areas is hard to predict, and will depend on adaptation responses such as dam construction and more efficient irrigation technologies. Broader impacts on food security for this highly populous region could be significant. In the absence of diversification and adaptation/mitigation measures, as water resources gradually diminish agriculture livelihoods will become unsustainable, and people may be forced to leave. Paradoxically, measures to store water and ward off a water crisis related to shrinking glaciers could result in further displacement and resettlement.

4.1 Glacier melt and major irrigated agricultural systems in Asia

Globally, glaciers are retreating at alarming rates.²¹ Glaciers are slow moving masses of ice that store accumulated snowfall over decades and even centuries. Glaciers flow down mountainsides, melting at the lower ends while

more snow accumulates at the upper ends. Because of this constant regeneration through winter snow pack, they store water during winter months and feed rivers during summer months, regulating the flow downstream.²² Shrinking glaciers provide a one-time “dividend” of water release to downstream regions.²³ As the storage capacity of the glaciers is lost, flooding in the medium term will likely become a much larger threat. This affects not only agriculture, but the urban areas on the deltas as well. Higher flows of water can also tempt farmers to plant more crop area or more water-intensive crops in the near term, creating a potentially larger case of vulnerability post-glacier. Once the glacier disappears, it no longer releases water during the summer months. The disappearance of glaciers implies not only decreased water supply and untimely flows—coming in the wrong (non-cropping) season. Timing is as critical as the reduction. The only alternative for seasonal water storage are dams, which are costly to construct and have significant environmental and social impacts, frequently resulting in the displacement of thousands or in rare cases millions of people.²⁴

The Himalayas are known as the Water Tower of Asia. The glacier-fed rivers originating

from the Himalaya mountain ranges surrounding the Tibetan Plateau comprise the largest river run-off from any single location in the world.²⁵ The rivers that drain these mountains move through some of the most populous areas in the world. In the year 2000, the river basins of the Indus, Ganges, Brahmaputra, Irrawaddy, Salween, Mekong, Yangtze, and Huang He (Yellow) Rivers collectively supported a population of 1.4 billion people, or almost a quarter of the world’s population.

Himalayan glaciers are already in retreat.²⁶ The dependence on glacier runoff under future climate change scenarios makes the downstream populations particularly vulnerable to declines in glacier extent. The Indus River valley supports one of the largest irrigation works in the world (16.2m ha). Approximately 90 percent of Pakistan’s crop production is grown under irrigation, and all of the water comes from barrages along the Indus. The Ganges, Yangtze, and Yellow Rivers also have large areas under irrigation—7.9m ha, 5.4m ha, and 2.0m ha, respectively.

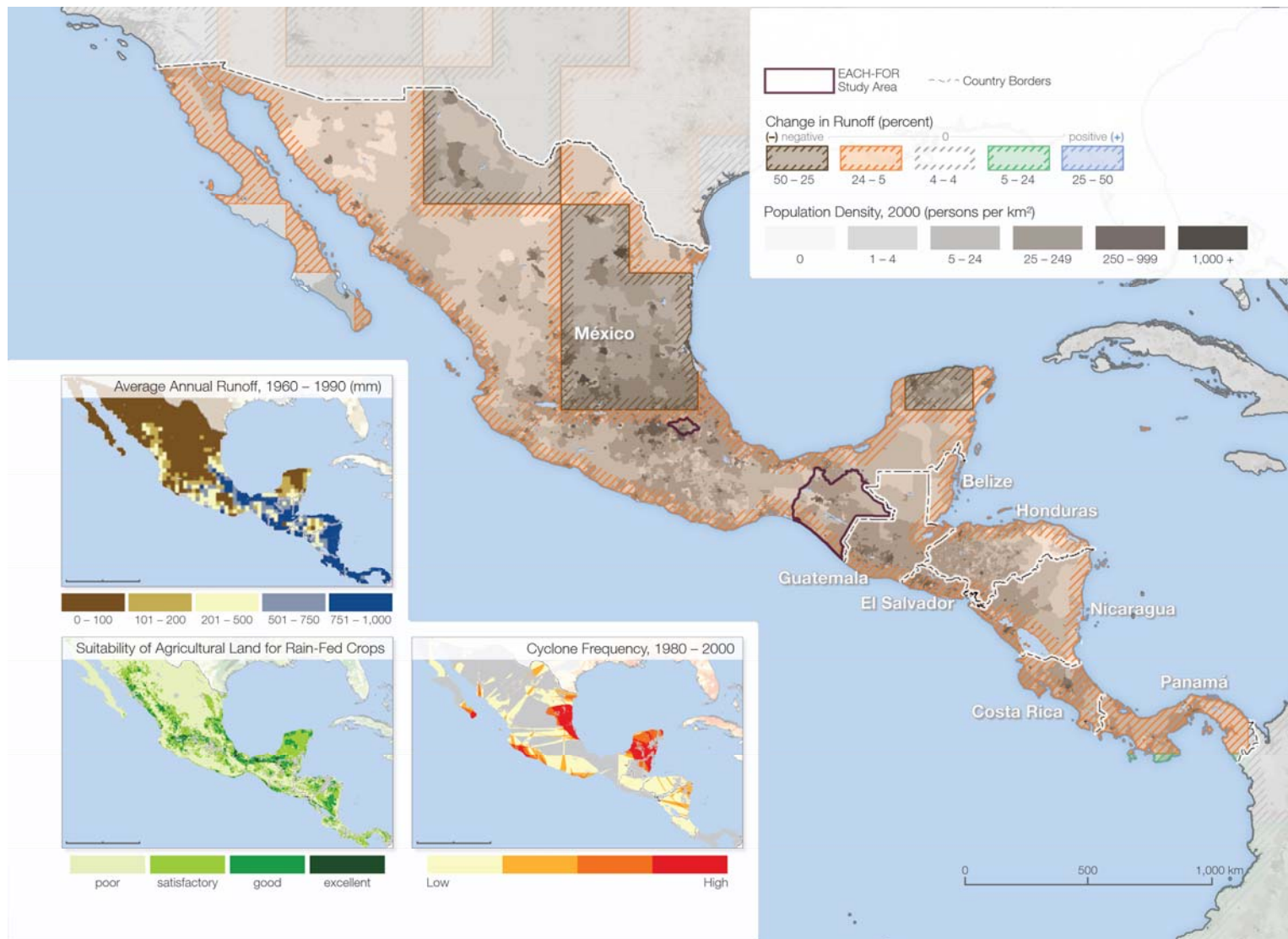
Hydropower installations along the Mekong and Yangtze are also significant suppliers of

electricity to urban markets. The recently completed Three Gorges Dam on the Yangtze, the world's largest hydroelectric installation, will have a power generation capacity of 22,500 MW once all generators are installed, more than 20 times the capacity of an average coal-fired or nuclear power plant. The project, however, has already displaced an estimated 1–2 million people.²⁷ Plans are underway to add significant hydropower generating capacity to the Mekong over the coming decades. Under scenarios of rapid glacier melt it is likely that hundreds more water retention dams will be constructed. Collectively these will have significant impacts on downstream flow regimes and deltas, which are already starved of flood waters and replenishing sediment.²⁸ Population displacement and resettlement will become larger issues in these areas at significant scales.

As a result of the intensification of cultivation in irrigated areas and power generation, many millions indirectly depend on the food and energy resources generated by these great rivers. But the rivers also provide direct livelihoods to all those employed in irrigated agriculture, small-scale fishing, and aquaculture, and they are at the heart of cultural traditions. For example, to Hindus the Ganges is sacred, and is personified in Mother Gaṅgā (Gaṅgā Mātā), representative of life-giving maternal waters.²⁹ Changes in the rivers and livelihoods dependent on them could bring profound economic, cultural, and demographic impacts.

Should flow reductions and water scarcity become more acute, the potential for migration out of irrigated areas could be significant.³⁰ Although destination areas are hard to predict, it is likely that most migrating or displaced

people would move to small to medium sized cities inland, and a smaller number would move to large megacities along the coasts or on the main branches of river systems (e.g., Delhi).³¹ Movement from interior to coastal areas—a pattern that has been prevalent in China since the early 1980s—will result in larger populations vulnerable to sea level rise, and possibly to extreme floods from upstream regions, as the regulating effect of glaciers diminish.³² Furthermore, many of the cities of South Asia lack the capacity to absorb significant migration streams. There is potential for significant water saving efficiencies in irrigated areas of Asia, and if properly implemented this may forestall displacements of farmers.³³



What does this map tell us?

The main map depicts projected changes in runoff by the year 2080. Runoff is a measure of water availability, and represents the amount of rainfall that runs off the land surface after accounting for evaporation, plant transpiration, and soil moisture replenishment. According to the projection, a result of multiple models, Mexico and Central America, will be widely affected by declines. The map also outlines the Mexican states of Tlaxcala and Chiapas, where EACH-FOR conducted research. The top left inset map shows average annual runoff for the 1960–1990 period, a baseline against which future declines will be applied. The top right inset map shows lands suited for rain-fed agriculture, which will be particularly affected by the progressive drying in the region. Migration is widespread in these regions. Circular, temporary, and seasonal migration has traditionally been a means of coping with climate variability in drylands. Internal and international migration out of areas dependent on rain-fed agriculture is a distinct possibility. The inset on the lower right depicts cyclone frequency in the 1980–2000 period, with portions of the Yucatan and Veracruz in Mexico being hardest hit. Some models show the number of category 4 and 5 hurricanes increasing in the Caribbean.

4.2. Drying trends

Mexico and Central America: Migration as a coping strategy for drought and disaster

Multiple climate-related hazards threaten Mexico and Central America. This region is known for the severity of cyclone events, with Hurricane Mitch in 1998 leaving devastation in its wake particularly in Honduras and Nicaragua, and Hurricane Stan in 2005 affecting Mexico and Guatemala. Tropical storm Noel in 2007 caused heavy flooding in the state of Tabasco, where up to 80 percent of the state was inundated. Several coastal regions in Mexico will face sea level rise, particularly low lying areas of the Gulf Coast and the Caribbean.³⁴

Of particular concern, however, is the likelihood that the region will see secular declines in precipitation over the course of this century. Results of modeling conducted for the IPCC AR4 shows that runoff in this region will likely decline by at least 5 percent to a maximum of more than 70 percent, with the declines getting progressively worse in the semi-arid and arid north.³⁵ Given the region's mountainous topography, extensive irrigation is only practicable in the coastal plains, and

most small holder farmers are still heavily dependent on rain-fed agriculture. However, even large-scale irrigated areas, such as those in the breadbasket of Mexico in Sonora and Sinaloa states, will be affected as average reservoir levels decline. Already, summer droughts during El Niño and La Niña events can lead to serious deficits in reservoir levels and in rain-fed maize production. During 1997, the estimated cost of climate anomalies associated with El Niño were US\$900 million, with the agriculture sector particularly affected, and 20,000 sq. km were affected by a severe drought.³⁶

In the case of Guatemala, analysis of records suggests that reduction in annual rainfall since the 1970s has been a result of higher intensity of the so-called midsummer drought.³⁷ This is a less wet period in the bimodal rainy season typical of southern Mexico and Central America that occurs in July and August.³⁸ It is extremely relevant because this can determine the level of success (or failure) of rain-fed agriculture, which is predominant in the region. Simulation of future rainfall in a study on future vulnerability of water resources in two river basins in Guatemala, a dry and a wet one, concurred with the analysis of records in that the midsummer drought is expected to be more intense for the dry river basin.³⁹

The region confronts other environmental problems today, problems that will likely be exacerbated by climate change. Processes of slow-onset land degradation including deforestation, soil erosion, and desertification already affect large parts of the Mexico and Central America. For example, according to a government report, 85 percent of Mexican territory is affected by soil erosion.⁴⁰ In the fragile arid and semi-arid ecosystems of northern and north-western Mexico more than 60 percent of the land is considered to be in a total or accelerated state of erosion. Formerly fertile lands in the mountainous regions of central Mexico, a densely populated area, and in the tropical south and southeast are increasingly prone to land degradation and deforestation.

There are linkages among environmental degradation, climate change, and migration in Central America. Following hurricanes or storms, poor slums built in steep ravines are exposed to higher landslide risks. These families are usually the first victims in extreme rainfall events. One expert noted that “slum dwellers remain in dangerous locations even when they are aware of the high risk they face—they have nowhere to go. In fact, many of them are already past immigrants who

moved from rural areas looking for a better opportunity in the large cities.”⁴¹

EACH-FOR studies were conducted in the hurricane-prone Chiapas state of Southern Mexico, and in Tlaxcala state, a highly desertified state in Central Mexico. Both areas are considered very vulnerable to the effects of climate change, particularly in combination with deforestation, erosion, and underlying poverty and social vulnerability.⁴²

Fieldwork substantiates that migration is already a response in Mexico to changing environmental conditions, the 1980s agricultural crisis, and liberalization of the economy.⁴³ When Hurricane Stan passed through Chiapas, many people were surprised by the violence of its impact. One interviewee noted, “The river took away our homes and properties; we also were close to being taken away. My two children were asleep when the storm came...and if I had not been alert, they also would have been taken away by the river.”⁴⁴ Yet when very low-income villagers were asked whether migration was an option for them, most respondents underlined that they have no other place to go. Nevertheless, for those who are better off or who have relatives abroad, migration is an option.

Another study found that “recurring natural disasters in the past 10 years, combined with the presence of relatives who emigrated due to disasters in the past, were shown to increase the desire of farmers to emigrate.”⁴⁵ The same study found that those individuals who diversify their livelihood strategies are less likely to migrate,⁴⁶ and that in those areas where governments invest more in disaster risk management, people are less likely to migrate, no matter their poverty status⁴⁷

Some studies have shown links between desertification and migration in Mexico,⁴⁸ noting the impacts on agricultural livelihoods. In dryland areas such as Tlaxcala which depends on rain-fed agriculture, the majority of interviewees complained of shifting rainfall periods, which increases uncertainty, and declining crop yields and incomes. The area of Tlaxcala is projected to have a 10–20 percent decline in runoff in association with climate change. This indirect link between climatic changes and migration was noted frequently in fieldwork, mostly related to unreliable harvests linked to changing rainfall patterns. Return migration, and seasonal migration as a livelihood diversification strategy have been documented in this area. Two interviewees noted:

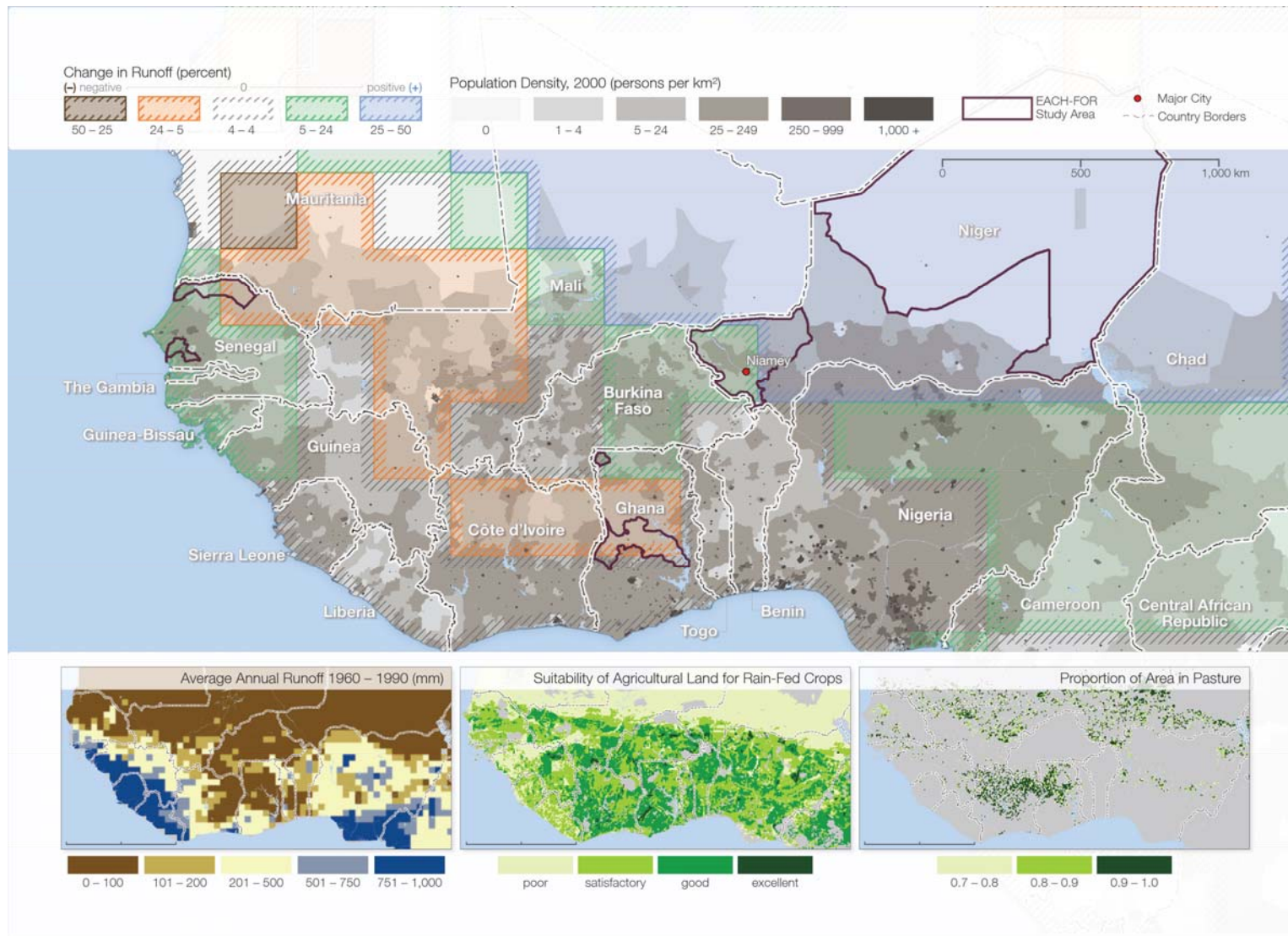
“...when our harvest is bad, we have to rely on ourselves. Many of us had to leave, to Canada or the United States. I went several times to Canada in the 1990s... the money I made there—good money, not pesos—was a big help for my family over here. Without that source it would have become extremely difficult.”

“My grandfather has worked on our lands, my father—and so do I. But times have changed...the rain is coming later now, so that we produce less. The only solution is to go away, at least for a while. Each year I’m

working for three to five months in Wyoming. That’s my main source of income. But leaving my village forever? No. I was raised here and here I will stay.”⁴⁹

The relevance of circular and temporary migration and remittances to cope with unreliable income from agriculture has often been highlighted in the environment-migration literature but not always sufficiently considered in adaptation and mitigation policies.

Mexico and Central America constitute an area of well-established internal and international migration dynamics.⁵⁰ It is difficult to project what effects drying trends associated with climate change may have on current and future migration patterns, but it is clear that environmental factors like desertification and extreme events already contribute to the complex pattern of internal and international migration in the region. The ability for some to migrate seasonally, send remittances, and return home is already an example of migration as an adaptation strategy to deteriorating environmental conditions.



What does this map tell us?

The main map depicts projected declines in runoff by the year 2080 superimposed on population density. Runoff is a measure of water availability, and represents the amount of rainfall that runs off the land surface after accounting for evaporation, plant transpiration and soil moisture replenishment. The maroon outlined areas depict EACH-FOR study areas. The upper left inset map shows average annual runoff for the 1960–1990 period, a baseline against which future declines are compared. The center inset map provides the area suitable for rain-fed agriculture, which largely reflects the population density map. The right inset map shows pasture lands distribution, an important livelihood for many in the Sahel. In this region of scarce water resources and high climate variability, any decline in runoff or change in rainfall patterns will adversely affect the livelihoods of subsistence farmers and pastoralists. Projected drying trends in a context of poverty, inequality, limited diversification options, and erratic government support could contribute to change current migration patterns to a more in areas like the Sahel, current migration patterns into a more permanent, long-term dynamic.

The Sahel: Pressure on agricultural livelihoods and creeping onward migration

Land degradation, desertification, and deforestation are factors that potentially result in mobility as a household adaptation strategy.⁵¹ Land degradation, as defined by Article 1 of the Convention to Combat Desertification, is defined as a “reduction or loss of biological or economic productivity of ecosystems resulting from climatic variations, land uses and a combination of processes such as: soil erosion, deterioration of soil properties and long-term vegetation loss.” Thus, losses of land productivity are inextricably linked to climate change.

Although precise estimates of the land affected by degradation are difficult to obtain, some estimates suggest that more than one-third of drylands are affected by land degradation.⁵² Land degradation is a major concern in West Africa, where about 65 percent of the cultivable lands have degraded.⁵³ From 2000–2005, West and Central Africa lost 1.36m ha of forest cover per year, or a total of 67,800 sq km.⁵⁴ More than 300 million people in the region already face water scarcity, and areas experiencing water shortages are likely to increase by almost a third by 2050.⁵⁵

West Africa is made up of a diversity of ecosystems, ranging from more tropical humid in the South to arid in the North. While

climate change projections of seasonal or annual precipitation are uncertain, the projected increase in intensity of rainfall events, superimposed on the region’s already high climate variability, is likely going to lead to increased frequency of droughts and floods. Water shortage and land degradation affect large areas of the Sahel, a region south of the Sahara and north of the humid zone that spans west to east across nine countries from Mauritania and Senegal to Sudan. In the Sahelian zone of Western Africa, two different drought events—a large drought from 1968–74 and a slightly less intense one from 1982–84—were among the worst on record.⁵⁶ During the first drought, more than 100,000 people died, most of whom were children.⁵⁷ By 1974, more than 750,000 people in Mali, Niger and Mauritania were totally dependent on food aid.⁵⁸ These droughts and consequent land degradation are now understood to have been caused in part by a pattern of warming of the tropical oceans which itself may have been driven by anthropogenic climate change.⁵⁹ Such environmental pressures could grow in the future with climate change.

Forty-four percent of West Africa's population work in the agricultural sector, most of them at a subsistence level.⁶⁰ Despite the high dependence on agriculture in this climatically

variable region, the actual areas under irrigation are among the lowest on a per-area basis for any region in the world. For example, in Senegal in 2005, only 67,000 ha was irrigated out of 8.8m ha, or less than 1 percent of the total.⁶¹ Although the Sahel has seen a "greening" since the mid-1980s drought, at 2.6 percent the region still has the second highest population growth rate in the world (after Central Africa).⁶² This population growth combined with climatic trends and land degradation could lead to:

- declining per capita production for the agriculture, including animal husbandry
- shortage of fuelwood
- declining rainfall in some regions with consequences for rain-fed and irrigated agriculture
- food shortages and famines in drought years
- movement to urban areas or to more fertile farming areas, such as recently opened areas in the Savannah zone owing to the eradication of river blindness.⁶³

Migration, particularly circular mobility, is a traditional coping mechanism in the region, representing a livelihood diversification strategy.⁶⁴ But in some areas these traditional patterns have changed in recent decades.⁶⁵ Each location has its specific characteristics, but migration and pressures on water and land

systems are common denominators. A significant proportion of environmental migrants are displaced due to land degradation and drought in the Sahel, though drought-induced migration is often only temporary. Generally, there is a large migration movement to the coastal and urban agglomerations, and to the coastal states.⁶⁶

One study of the impact of climate change on drylands in West Africa noted that between 1960 and 2000, deteriorating situations due to rainfall decreases, land degradation, and violence in the arid and semi-arid areas of Senegal, Mali, Burkina Faso and Niger resulted in a rapid intra-country migration southward and a swelling of big cities like Dakar, Bamako, Ouagadougou, Niamey and Kano.⁶⁷ Estimates for Burkina Faso suggest that close to half of the adult population born there has moved for at least part of the year to coastal states like Ivory Coast and Ghana.⁶⁸

Even those not directly dependent on natural resources for their livelihoods can be affected by desertification and motivated to migrate. One migrant from the Difa region in Niger remarked, "I used to live in the Lake Chad region where my activities were not directly related to the Lake. I used to be a merchant. However, when the lake dried out, people depending on it left for other countries and

therefore, my business was negatively affected and I had to leave for Nigeria."⁶⁹

Traditionally pastoralism has represented an important mechanism for adjusting to climate variability, since pastoralists can move their herds along with the rainfall.⁷⁰ A symbiotic relationship often formed between herders and agriculturalists, with agriculturalists receiving animal manure to fertilize their crops in return for allowing livestock to graze on plant stubble. However, as the Sahel has become more densely settled, increasingly severe conflicts over land and water resources have erupted between pastoralists and sedentary farmers.⁷¹

In Senegal, fieldwork revealed that environmental changes negatively affect agricultural livelihoods, and contribute to migration through different mechanisms. For areas where irrigated agriculture is possible, farmers living close to the Senegal River expect their way of life will continue to be possible and therefore do not intend to migrate in the future. But in areas like the Peanut Basin, where land degradation is severe, interviewees said they plan to move away if agricultural livelihoods do not improve. Most migrants who already migrated said they would return home to the countryside if agricultural livelihoods improved. In Senegal

experts observe an increasing movement of people back to the countryside due to the global economic crisis. However, that coping mechanism is running into counter-pressures because areas people are returning to are in many cases already degraded. Conflict over access to land seems to be increasing.⁷²

Some farmers do manage to find alternative livelihoods that allow them to return home. In Niger, a returned migrant from the village Talcho, Filingue (Tilabéri, Niger) remarked, “I lost hope in producing crops, since the soil got too poor due to the droughts. I used to be a farmer in my home town. Therefore I first went to Lomé (Togo) and then Libya. Now, I have decided to return back to Niger where I will start a new business with the money I managed to collect in Libya.”⁷³

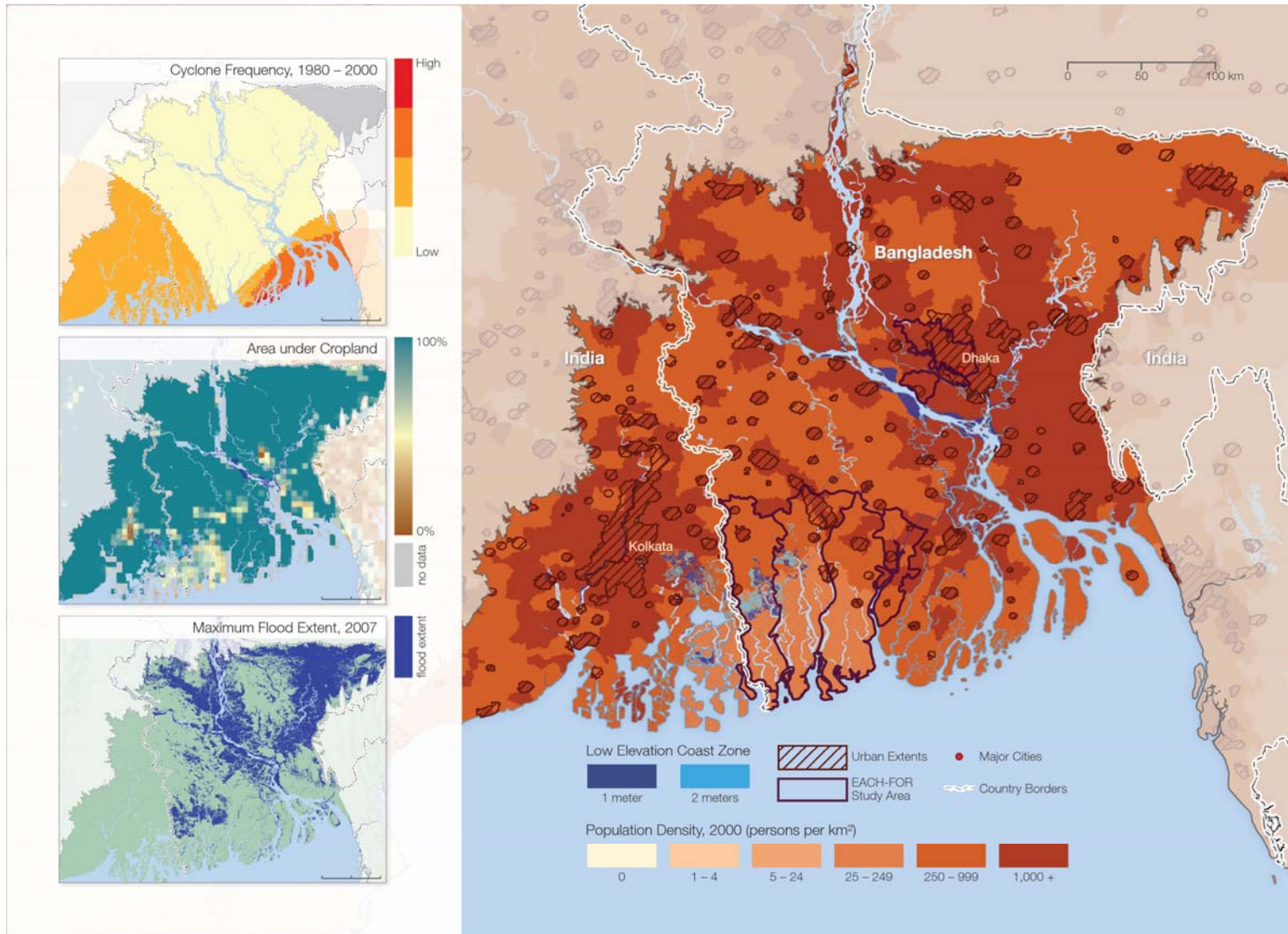
Rather than returning after migrating, the trend goes in the opposite direction.⁷⁴ People increasingly migrate step-by-step in pursuit of environments that will support them. The residents of the village Caré in the Tilabéri region of Niger is now home to migrants from another village called Farka where soil degradation has made crop cultivation impossible. A migrant remarked: “We were farmers in Farka, but the production level worsened too much and the harvest got completely unreliable due to the rain fall

shortage and soil degradation. We had no alternative revenues. Therefore, we had to flee this village in the year 1987...there is no other reason why we left the original village; if this deterioration in the land quality had not happened, we would have stayed. Currently in Caré we are suffering from similar problems and might therefore leave the village for another as well. We have never planned to leave, but we just ‘crept’ after our living.”⁷⁵

In another study in Burkina Faso, researchers found that people from drier regions are more likely to migrate temporarily and to a lesser extent permanently to other rural areas (rural-rural migration), compared with people from wetter areas. A rainfall deficit increases the rural-rural migration but decreases migration to abroad. No rush to cities has been observed during periods of drought.⁷⁶ A fisherman in the village of Sirba (Tilabéri, Niger) recounts, “I have been suffering from the rain water shortage which made the river very shallow and decreased my fish production, which had negative implications on my income. If the situation does not improve, I might leave for another country like some of my friends and relatives did; they left for Nigeria and Burkina Faso and settled there.”⁷⁷ Studies in other regions support this finding, and suggest that environmental conditions often play a more direct role in short-term moves rather than

long-term ones.⁷⁸ And yet, if environmental changes render “home” unlivable, short-term migration can develop into a pattern of creeping onward movement.

Robert Ford of the Centre for GIS Training and Remote Sensing, National University of Rwanda noted, “Those of us living with these issues here in Africa are already seeing some major movements of people. In many parts of Africa, people living on the margin seem to quickly pick up signals that indicate whether on balance life is better by going to the city or returning to the land. That this much ferment is happening now, before climate change really hits, tells me that we had better get prepared”.⁷⁹



What does this map tell us?

The main map depicts areas of sea level rise at 1 and 2 meters (dark and light gray, respectively) on a population density map with urban extents delineated. It also shows the regions of the EACH-FOR study areas in the lower delta. The Ganges delta supported a population of 144 million in 2000, out of which 9.4 million lived in areas that would be inundated by a 2 meter sea level rise. The top left inset map shows those areas most frequently impacted by tropical cyclones. Low elevation areas in the southeastern corner of the delta are most affected. The bottom left inset map depicts the area affected by the 2007 flood. The middle inset map shows the distribution of agricultural lands. The delta has 8 million ha of agricultural lands, of which 170 thousand ha would be inundated by a 2 meter sea level rise. In the Ganges Delta, living with varying water levels is a way of life. Migration, particularly towards coastal urban centers, has emerged as a coping mechanism when extreme events endanger life and livelihoods. With projected sea level rise, combined with the possibility of more intense flooding, migration may become a necessity for many communities, at least for parts of the year.

4.3. Flooding and sea level rise in densely populated deltas: Ganges, Mekong, Nile

The Ganges Delta: Temporary migration as a survival strategy

Including the Ganges, Bangladesh contains seven major and over two hundred minor rivers, all of which define the delta geography of Bangladesh and the way of life of its people. Bangladesh is one of the most densely populated countries in the world, and a large part of its people depends on natural resources for their livelihoods. Although flooding is a part of the livelihood structure and culture, climate change will accelerate change in this already dynamic environment and leave millions of Bangladeshis exposed to increased flooding, severe cyclones, and sea level rise impacts.⁸⁰

More than 5 million Bangladeshis live in areas highly vulnerable to cyclones and storm surges, and over half the population lives within 100 km of the coast, most of which is less than 12 meters above sea level.⁸¹ Flooding currently displaces about 500,000 people every year. In 2007, two extreme weather events devastated the country: Flooding caused 3,363 deaths and affected 10 million

people as well as reducing crop yields by 13 percent. Just months later, Cyclone Sidr destroyed 1.5 million houses, large areas of cropland and mangrove forests, and affected 30 out of 64 districts in the country. Millions experienced food insecurity (*monga*) and required evacuation, shelter and relief assistance.⁸² As devastating as these cyclones were, early warning systems were successful in preventing the deaths of many thousands more. In 1970 cyclones caused the deaths of an estimated 300,000, and in 1991 another 140,000 people died.⁸³

The Bangladesh EACH-FOR case study revealed that flooding and bank erosion are a complex mix of natural and socioeconomic processes contributing to population displacement.⁸⁴ Combined with sea level rise, storm surges linked to cyclones could temporarily inundate large areas of Bangladesh—one study suggested that up to 25 percent of the country could experience such a scenario.⁸⁵

Temporary migration linked to flooding and other disasters, frequently to Dhaka and other urban centers, is viewed as both a coping and survival strategy to escape riverbank erosion, the devastation of cyclones, and food insecurity. Almost all areas in Bangladesh are

densely populated and under cultivation, and many locations are vulnerable to similar environmental risks. There are no guarantees of finding employment or housing in the place of destination.

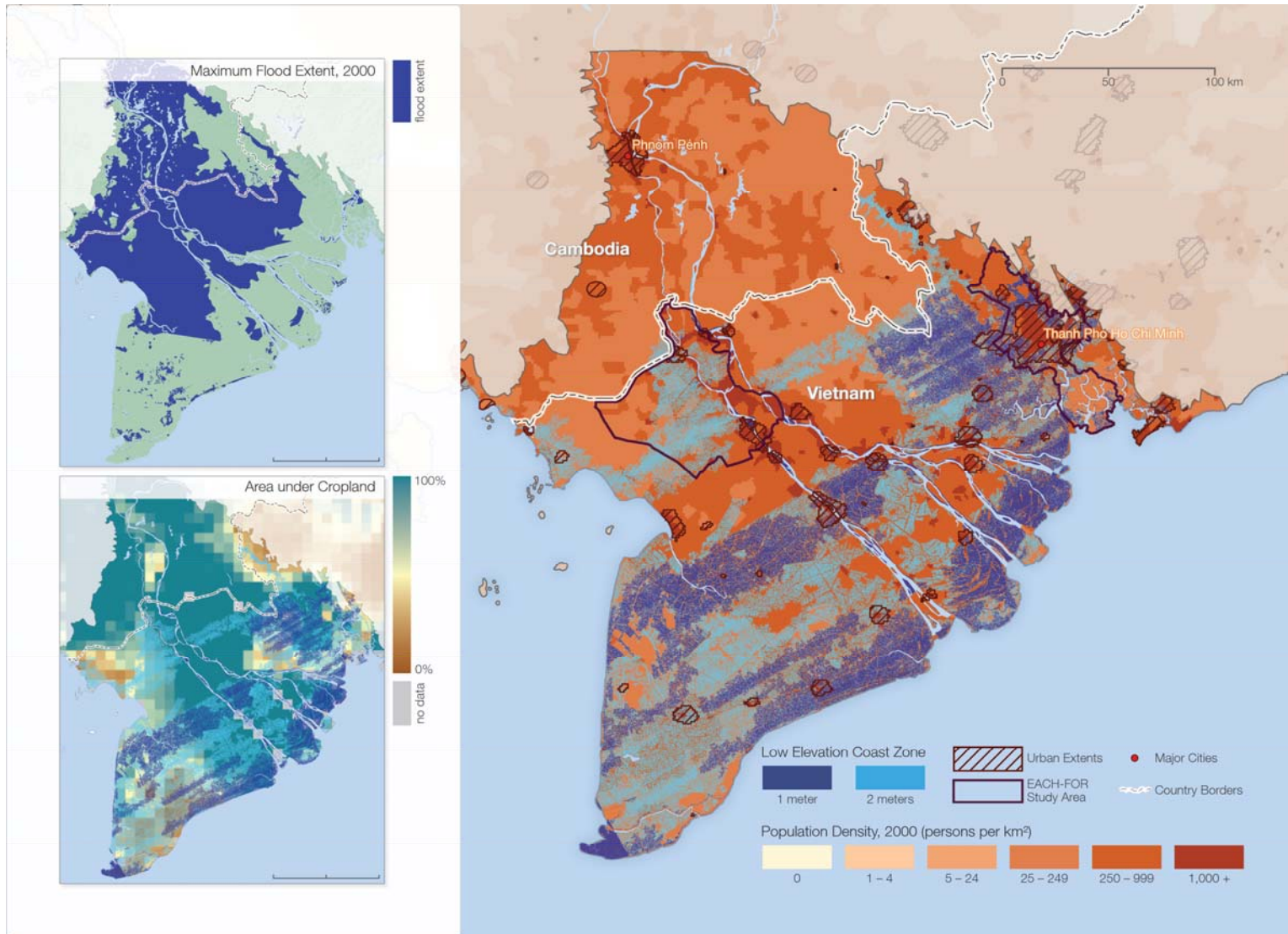
For coastal fishing villages, cyclones, storm surges, and sea level rise pose a formidable adaptation challenge. One fisherman interviewed by a journalist during the 2008 cyclone season noted, “The sea has been coming closer and closer,” then added in Bengali, “Allah jane ke hobe. Sahbi shesh ho jabe.” [God only knows what will happen. Everything will come to an end.] In spite of accelerated erosion related to stronger and higher tides, villagers are determined to stay and pursue their livelihoods as long as

possible. The same journalist interviewed another fisherman who said, “We can’t do anything else, which is why we think twice about migrating from here. We know the end is coming, but what work will we find to feed our families elsewhere?”⁸⁶

Even if the causes of migration are similar from one person to the next, people opt for different strategies in terms of destination and timing of migration. But there might be a moment when they will not be able to adapt any more. In 20 or 30 years Bangladesh may see mass movement of people from flood-prone areas, possibly to urban centers. The current structures and organizations to help the victims of disasters will not be enough to cope with the increase of migration flows in the

future. Given the political instability of the region, population movements associated with climate change could become an issue for regional security.

However, adaptation strategies could reduce the environmental vulnerability and increase the resilience of local populations. EACH-FOR research suggests that the population is already working to adapt to the new situation, mainly by leaving agriculture for other livelihoods such as shrimp farming.⁸⁷ The worsening of the environmental situation in the Ganges delta, however, could render migration as one of the most realistic options available for some Bangladeshi people.



What does this map tell us?

The main map depicts areas of sea level rise at 1 and 2 meters (dark and light gray, respectively) on a population density map with urban extents delineated. It also shows the regions of the EACH-FOR study areas. The Mekong delta supported a population of 28.5 million in 2000, out of which 14.2 million lived in areas that would be inundated by a 2m sea level rise. The upper left inset map shows (in purple) the area flooded in the year 2000 when unusually widespread monsoon floods deluged nearly 800,000 sq. km of land in Cambodia, Vietnam, Thailand, and Laos. The inset map below it shows the distribution of agricultural lands. The delta has 3 million ha of agricultural lands, of which 905 thousand ha would be inundated by a 2 meter sea level rise. Resettlement programs are already underway in some deltas, and could become more widespread under certain sea level rise scenarios.

The Mekong Delta: Living with floods and resettlement

Environmental degradation, particularly impacts caused by flooding, is a contributing factor to rural out migration and displacement in the Mekong Delta of Vietnam. The Vietnamese portion of the Mekong Delta is home to 18 million people, or 22 percent of

Vietnam's population. It provides 40 percent of Vietnam's cultivated land surface and produces more than a quarter of the country's GDP. Half of Vietnam's rice is produced in the Mekong Delta, 60 percent of its fish-shrimp harvest, and 80 percent of Vietnam's fruit crop. Ninety percent of Vietnam's total national rice export comes from the Mekong.

Flooding plays an important role in the economy and culture of the area. People live with and depend on flood cycles, but within certain bounds. For example, flood depths of between half a meter up to three meters are considered part of the normal flood regime upon which livelihoods depend. These are so-called "nice floods" [ngập nông] by Vietnamese living in the delta, such as upstream in the An Giang Province. Flood depths beyond this such as between three and four meters [ngập vừa], however, challenge resilience capacities of affected people and often have harrowing effects on livelihoods.

Floods exceeding the four meter mark, called "ngập sâu" for severe flooding, have increased in magnitude and frequency in Vietnam in recent decades.⁸⁸ In Phnom Penh (Cambodia) one migrant from the Delta noted, "Flooding occurs every year at my former living place. I could not grow and harvest crops. Life

therefore was very miserable. Besides, my family did not know what else we could do other than growing rice and fishing. Flooding sometimes threatened our lives. So we came here to find another livelihood."⁸⁹

Another migrant said, "My family had crop fields but in recent years, floods occurred very often so the crop was not stable. In addition, the price of fertilizer increased very fast, and the diseases of the rice plant are too much, so the crop yield was nothing. Even sometimes the yield was not enough to cover the amount required for living."⁹⁰

"Natural hazards, in combination with the stress placed on the environment due to rapid socioeconomic development within Vietnam and upstream South-east Asian countries, overlaid with the threats posed to Vietnam by climate change, places Vietnam's natural resources and those who depend upon them for their livelihoods in a precarious position. In the face of environmental stressors, people in the Mekong Delta adapt in various ways. One type of adaptation mechanism may be migration, particularly in light of the rapid socio-economic changes that Vietnam is currently experiencing, which create stronger pull factors towards urban environments."⁹¹

Fieldwork from the EACH-FOR project indicated that lack of alternative livelihoods, deteriorating ability to make a living in the face of flooding, together with mounting debt, can contribute to the migration “decisions” in the Mekong Delta. People directly dependent on agriculture for their livelihood (such as rice farmers) are especially vulnerable when successive flooding events destroy crops. This can trigger a decision to migrate elsewhere in search of an alternative livelihood. During the flooding season, people undertake seasonal labor migration and movement towards urban centers to bolster livelihoods. As an extreme coping mechanism, anecdotal information from fieldwork pointed to human trafficking as one strategy adopted by some families who have suffered from water-related stressors.

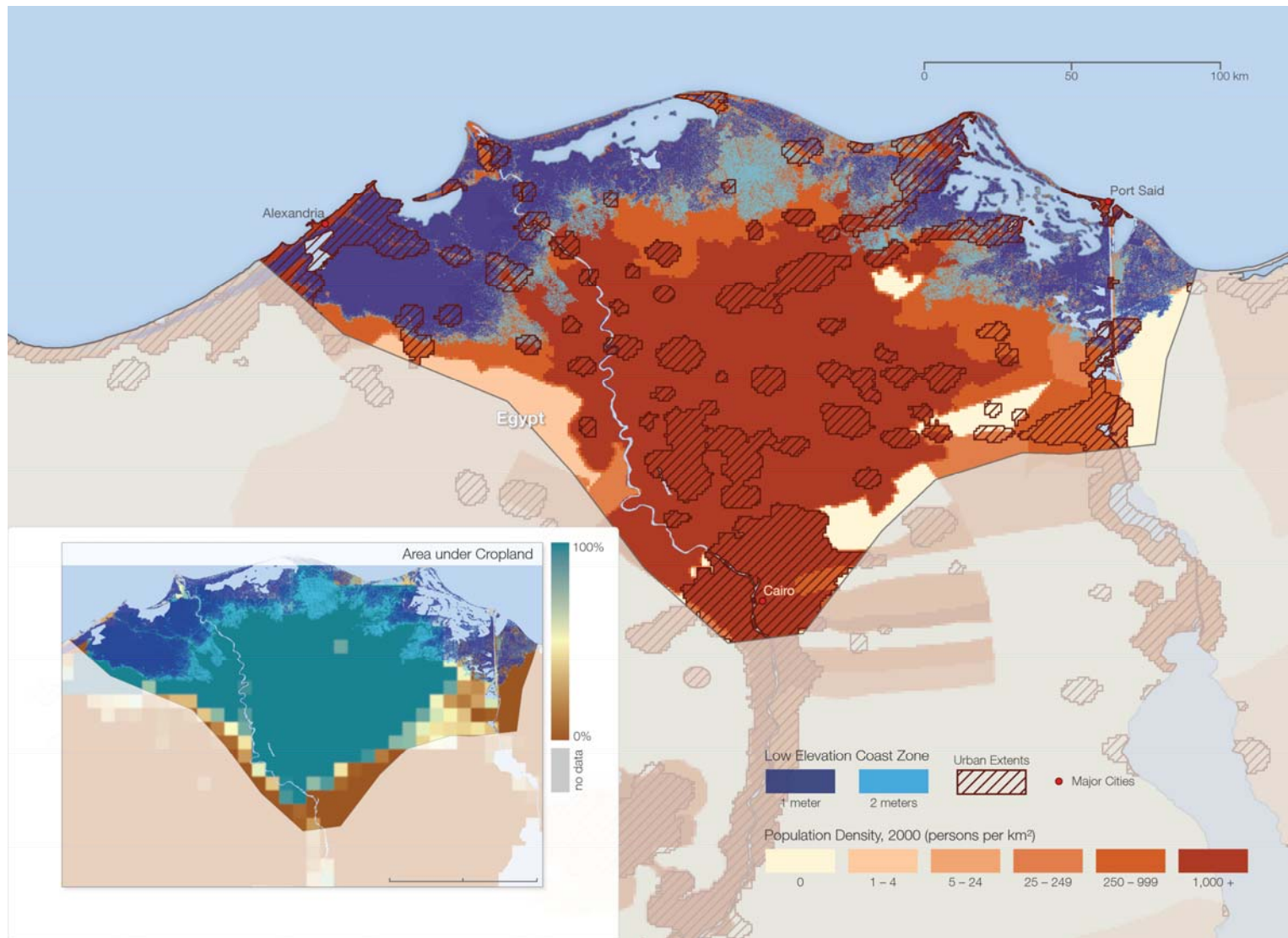
A migrant interviewee referred to the financial vulnerability of her family related to flooding, “Disasters occurred so often - my family lost the crop, my family had to borrow money to spend. Now, my family is not able to pay off

the loan so I have to come here to work to help my family to pay the loan.”⁹²

The government in Vietnam has a program known as “living with floods.”⁹³ This program may become more important as the impacts of climate change become more pronounced. The government, as part of this flood management strategy, is currently resettling people living in vulnerable zones along river banks in the An Giang province⁹⁴ Almost 20,000 landless and poor households in this province are targeted for relocation by 2020. Households are selected for resettlement based on a number of factors related to the environment, such as living in an area at risk of natural calamities (flooding, landslides) or river bank erosion. These resettlement programs allow families to take up a five year interest free loan to enable them to purchase a housing plot and basic house frame. Households then often need a further loan to complete building the house.⁹⁵ The clusters provide few infrastructure services like access to schools, health, or water

and sewage treatment facilities.⁹⁶ People planned for relocation are usually the landless who have nowhere else to move if their houses collapse and are often too poor to move to urban areas. For these people, social networks provide the link to livelihoods—most rely on day-to-day employment as laborers. Although the “residential clusters” are usually located only 1–2 kilometers away from the former residence, moving people out of established social networks threatens their livelihoods and contributes to a sense of isolation. The resettlement clusters are not yet planned in a way that allows participation of potential residents.

The Vietnamese strategy of “living with floods” will combine resettlement, shifting livelihoods (i.e. from rice to fishery-based jobs), and some migration. In the future one out of every ten Vietnamese may face displacement by sea level rise in the Mekong Delta.⁹⁷



What does this map tell us?

The main map depicts areas of sea level rise at 1 and 2 meters (dark and light brown, respectively) on a population density map with urban extents delineated. It also shows the boundary of the Nile delta. The Nile delta supported a population of 40.2 million in 2000, of which 10.7 million lived in areas that would be inundated by a 2 meter sea level rise. The inset map shows the distribution of agricultural lands. The delta has 1.5 million ha of agricultural lands, of which 395 thousand ha would be inundated by a 2 meter sea level rise. These processes could compress people into a smaller livable area and contribute to deteriorating living standards.

The Nile Delta: Moving between desertification and sea level rise

In Egypt slow-onset events like sea level rise and desertification affect the Nile Delta.⁹⁸ The total area of the Arab Republic of Egypt is about one million km², most of which has an arid and hyper-arid climate. The most productive zones in Egypt are the Nile Delta and Nile Valley (3 percent of the total land). Projected increases in sea levels will pressure a quickly growing population into more concentrated areas. Desertification and soil degradation claim large swaths of land on the Eastern and Western Nile Delta. Large swaths of land may be rendered unusable by the dual

climate change-related forces of desertification and sea level rise. In the future, sea level rise could affect an additional 16 percent of the population.⁹⁹

The overall area influenced by the active encroachment of sand and sand dunes is estimated to be roughly 800,000 hectares.¹⁰⁰ Land productivity has diminished by about 25 percent compared to its original productivity.¹⁰¹ The annual erosion rate has been estimated between 0.8 and 5.3 ton/ha/year.¹⁰² Desertification and land degradation drive some people to migrate internally in search of livelihoods.

The government of Egypt combats desertification through an internal migration scheme related to the Mobarak National Project in the Western and Eastern Delta. The program was initially designed to alleviate environmental programs but also unemployment, poverty, and overpopulation in Cairo, Beheira, Kafr El-Sheikh, and Qalioubia. This project aimed to create an internal urban-to-rural migration flow towards the edges of the Delta.

People who were resettled in the *Eastern* Delta were mainly unemployed young men from urban slums. In contrast, the people who moved to the *Western* Delta were mainly

farmers affected by a law that favored land owners who could easily drive away share croppers from desirable agricultural areas. After eviction, the share croppers were moved by the government to the Western Delta.

The program allocated each sharecropper/farmer in the Eastern and Western Delta a land parcel of 10,500 m², and often additional migrants came to work as peasants in these areas. Soon, however, reclaimed areas began to manifest soil and water salinity problems. When it became too expensive to dig new wells for groundwater, many landowners sold their land and evicted the migrant peasants. One farmer remarked, "When I left my original village called Bassioun-Gharbia in Mid-Delta, I started working in a newly reclaimed land in the desert. After a while the land was affected by the problem of ground water salinity. The owner of the land decided to sell the land...I had to leave the land and then I came here to Embaba, a desert location in Western Cairo."¹⁰³ The new immigrants received shelter and agricultural extension and veterinary services from the government and NGOs. Government funding provided migrants with pesticides and artificial crop pollination. Yet initial investments and incentives to encourage poor people to migrate to new areas tapered off with time. The

Western and Eastern Delta lack access to potable water, proper infrastructure, public facilities, schools, health care, and well-functioning sewage systems. Consequently, many migrants did not stay and others are expected to leave either to other regions or to return to their original regions. Today, only half of designated resettlement land has been utilized.

What do these maps tell us?

These maps (here and on page 28) depict the areas of the capitals of Tuvalu (Funafuti) and the Maldives (Malé) that will be affected by a 1m (dark blue) and 2m (light blue) sea level rise. Low lying islands face multiple challenges of development, storm surges and cyclones, coastal erosion, and the specter of sea level rise. For some 40 small island developing states, sea level rise could submerge entire parts of sovereign nations. The process of resettlement may in the long run be a central adaptation measure. Yet if entire sovereign states are submerged by rising seas, resettlement poses significant geopolitical questions and highlights the need for effective international cooperation.

4.4. Sea level rise and small island developing countries

Tuvalu & Maldives

With the dual processes of sea level rise and desertification, the question arises where people in the densely-populated Nile Delta will go? EACH-FOR research suggested that many people do not want to migrate away from their lands of origin. One interviewee living along the Nile River noted, “I would have a reason to move because of the water shortage and soil degradation...and crop yields are declining. However, I cannot leave my Small island states are particularly vulnerable to sea level rise associated with climate change. The IPCC 4th Assessment Report noted (2007):

Sea level rise is expected to exacerbate inundation, storm surges, erosion and other coastal hazards, thus threatening vital infrastructure, settlements and facilities that support the livelihood of island communities. (...) There is strong evidence that under most climate change scenarios, water resources in small islands are likely to be seriously compromised. (...) Climate change is likely to heavily impact coral reefs, fisheries and other marine-based resources. (...) It is very likely that subsistence and commercial agriculture on small islands will be adversely affected by climate change.¹⁰⁵

land. I have inherited this land from my father a long time ago and cannot just leave it. I got used to the place, I have my big family and my friends here. I have never left this place, I have never gone to Cairo before, so how shall I simply leave it now and migrate to somewhere else? We will have to economize in our consumption and hope that things will get better”.¹⁰⁴

This map shows Fongafale, which is one of the islands that forms Funafuti, capital of Tuvalu. As one of the smallest and most remote low-lying atoll countries on earth, Tuvalu exemplifies a country whose existence could be threatened by sea level rise. Tuvalu is increasingly portrayed in public and media discourse as a clear case of environmental factors, particularly climate change, driving or even forcing migration. Tuvalu’s atoll territory covers over 750,000 km² yet only 26 km² of this is dry land ranging from an average of one level above sea level to a high point of 5 meters above sea level. It is the fourth smallest country in the world after Vatican City, Monaco, and Nauru, and is home to about 9,500 people.



Its low elevation makes Tuvalu highly vulnerable to sea level rise, storm surges, “king tides”, and other climatic events which affect the entire population of the country (all Tuvaluans live on the coastline). Tuvalu’s environmental problems are further compounded by water shortage, waste disposal and demographic pressures. Local knowledge of global warming is variable, but the frequent saltwater flooding, accelerated coastal erosion and increased difficulty to grow vegetables and plants have all become day-to-day challenges and empirical evidence of a changing environment. The adaptive capacity of many Tuvaluans is already exceeded with storm surges and king tides. With the possibility of sea level rise of one meter in this century, even if the surface area is not completely submerged, the question arises

how long people there can remain and lead normal lives.

Migration patterns in Tuvalu follow two paths: from outer islands to Funafuti, and from Tuvalu to Fiji and New Zealand. Currently about 3,000 Tuvaluans have migrated to Auckland, New Zealand, many of whom were prompted at least in part by concerns about the environment. One interviewee noted his decision to migrate is out of fear that Tuvalu will be flooded: “I don’t want to wake up one morning with the island washed away, look what happened in the Solomon Islands! I prefer to leave now before I have no other choice: I don’t know what can happen to our country, so I will apply for the Pacific Access Category as soon as I will have enough money.”¹⁰⁶

Uncertainties about the future seem to be pre-eminent migration drivers, even more than actual environmental concerns. Almost all migrants interviewed in New Zealand indicated that climate change and rising sea levels had contributed to their decision to migrate. All interviewees noted a concern that their country could be inundated permanently. One migrant noted, “When I left, it was clear that it would be going worse year after year...I return once a year, because I still have family in Tuvalu. Maybe they’ll come as well to New

Zealand, one day. That depends on how bad it gets ... I don’t know if Tuvalu will disappear or what (*sic*), but I don’t think people have a future in Tuvalu, it’s going to get worse.”¹⁰⁷

Although media reports have suggested a nation-wide resettlement agreement made between New Zealand and Tuvalu, currently there are labor migration agreements with New Zealand, but not explicit policies to accept Pacific Islanders who have been displaced due to rising sea levels. Interviews from fieldwork revealed mixed views on migration, ranging from the most common perception of resignation and despair, to hope that the international community will rally to effectively battle climate change and prevent sea level rise and other harrowing consequences. Residents of Tuvalu reflected:

“This is my country. I’m ready to die here. I know some people who are leaving, but I don’t want to go with them. I want to stay here.”¹⁰⁸

“I don’t want to leave, if we all leave, Tuvalu is going to die, and I don’t want that. We need to be here, this is where we need to be.”¹⁰⁹

“The international community needs to do something to help us. We’re not responsible

for climate change, so our country cannot disappear. The other countries need to fix this problem.”¹¹⁰

Some believe that climate negotiations that set aside sufficient adaptation financing could preempt a need to migrate due to changing climate and sea level rise:

“If we have enough resources to adapt, Tuvalu can be salvaged. It’s all a matter of money, you know. I don’t think Tuvalu will disappear, there’s no need to migrate. It’s not God’s plan for Tuvalu to move.”¹¹¹

Since Tuvalu joined the United Nations in 2000, it has played an active role in the Association of Small Island States (AOSIS), and has used international fora like the climate negotiations to attract the world’s attention to the specific vulnerabilities of small island states and the need to identify acceptable adaptation alternatives in good time.



The Maldives is an atoll country comprised of 1,200 islands and 298,968 inhabitants in 2006.¹¹² The highest point above sea level in its territory is 2.3 meters above sea level, and it is considered the lowest lying country in the world. Male, the capital city, concentrates 35 percent of the country's population, and is one of the most densely populated cities on earth and a tourism hub. The city is surrounded by a 3.5 meters high sea wall¹¹³, credited with saving the capital from the more destructive effects of the 2004 Tsunami¹¹⁴.

As the map indicates, sea level rise of one meter would inundate areas of built infrastructure and threaten tourism areas as well as living area for the local population. Coastal mangroves which provide protection

from storm surges would be damaged with a sea level rise, contributing to declining fishery yields. Sea level rise poses a threat to the tourism industry that comprises the most important income source for the Maldives, but this is not the only risk. Maldives's government has identified a number of vulnerabilities: land loss and beach erosion, infrastructure and settlement damage, damage to coral reefs, agriculture and food security, water resources, and lack of capacity to adapt (both financial and technical)¹¹⁵. The newly elected president of the Maldives Mohamed Anni Nasheed made international headlines in 2008 when he announced the "Safer Islands Plan" which includes internal resettlement from smaller, less populated islands to larger islands with better natural protection and enhanced coastal defenses. The plan even addressed the possible relocation of all Maldives population to another country, including India or Iceland.

Permanent Representative of the Maldives to the United Nations, H.E. Ahmed Khaleel noted, "Migration and resettlement from smaller to larger islands has become an important prerequisite for development and for our survival," he said. "My government fully understands the difficulties and the enormity of implementing this formidable task."¹¹⁶

To find adaptation alternatives for the approximately forty countries whose existence is threatened by rising sea levels, international cooperation and assistance is needed. One researcher at the recent climate negotiations in Poznan, Poland (COP 14) noted, "So few of the migrants we encountered in our fieldwork worldwide were able to migrate internationally—the vast majority face a situation where they 'only make it' to the next livable place. This will increasingly require countries to work together, especially developing countries".¹¹⁷

5. Conclusions

Climate change is happening with greater speed and intensity than initially predicted.^{118,119} Safe levels of atmospheric greenhouse gases may be far lower than previously thought, and we may be closer to an irreversible tipping point than had been anticipated.¹²⁰ Meanwhile, global CO₂ emissions are rising at steeper and steeper rates.¹²¹ The situation is clearly headed in the wrong direction and going there quickly.

Emissions reductions efforts have been too little, too late. Therefore, the challenges and complex politics of adaptation are joining those of mitigation at the centre of policy debates. One of the most important issues to address is how climate change will effect human migration and displacement—and what we will do about it.

There are many messages to be taken from the empirical evidence and maps presented in this Report. The following are especially important:

Environmental change, displacement and migration

The reasons why people migrate are complex

but typically reflect a combination of environmental, economic, social, and/or political factors. The influence of environmental change is discernible and growing. Current and projected estimates vary widely, with figures ranging from 25 to 50 million by the year 2010 to almost 700 million by 2050. The International Organisation for Migration (IOM) takes the middle road with an estimate of 200 million environmentally induced migrants by 2050.

Livelihoods and human mobility

Environmental change is most likely to trigger long-term migration when it undermines the viability of ecosystem-dependent livelihoods such as rain-fed agriculture, herding and fishing. The degradation of soil, water and forest resources—as well as the direct impacts of climate change (e.g. shifting rainfall)—play especially important roles in shaping emergent patterns of human mobility.

Differentiated vulnerability

People's vulnerability to environmental change depends on their exposure, sensitivity and adaptive capacity. As a result, degree of vulnerability varies widely within countries, communities, and even households. For instance, poor people's exposure to the

impacts of climate change is often higher than others because economic and political forces confine them to living in high-risk landscapes (e.g. steep hillsides prone to slippage). Meanwhile, one of the most important factors shaping adaptive capacity is people's access to and control over natural, human, social, physical, political and financial resources. Their striking lack of these things is a major reason why poor people—especially those in marginalised social groups—are much more vulnerable to the impacts of climate change than others.

Women contend with an especially wide array of constraints on their adaptive capacity. Gendered roles, as well as cultural prescriptions and prohibitions, make it far more difficult for most women and female-headed households to migrate in response to environmental change.

Effective public action & the risk of maladaptation

Some forms of environmental change, including sea level rise and glacier melt, may require large-scale government action. However, interventions can leave people no better off, or even worse, than before. Resettlement programs can help protect the physical integrity of people affected by erosion or other environmental risks, but can

carry high costs including social disarticulation, lost livelihoods and loss of employment networks, and reduced access to social services. Effective public action will lower the risk of mal-adaptation if ways are found to allow affected people to participate in planning and implementing relocation and related activities. Investments in adaptation should consider possible impacts on human mobility, such as the potential that water retention systems like large dams can have to displace people.

Importance of inclusive, transparent, and accountable adaptation processes

The scale of current and projected environmental changes necessitates a crucial role for the public sector, particularly central governments. Yet we have learned from experience that benefits can be maximised and risks reduced if vulnerable populations are meaningfully involved in the planning, implementation, monitoring and evaluation of coordinated responses to environmental change.

This points towards one of the most important conclusions to draw from this report: the scope and scale of challenges we face may be unprecedented, but we already have many of the resources we need—including knowledge, skills, and relationships—to address the

adaptation needs of those who migrate in part due to environmental factors, and to protect the dignity and basic rights of persons threatened by displacement from environmental change.

6. Policy recommendations

The impacts of climate change are already resulting in displacement and migration. Although the exact number of people that will be on the move by mid-century is uncertain, the scope and scale could vastly exceed any historical antecedent. People in the least developed countries and island states will be affected first and worst. New thinking and practical approaches are needed to address the threats that climate-related migration poses to human security. These include the following principles and commitments for action at international and national levels:

Avoid dangerous climate change

Reduce greenhouse gas emissions to safe levels.

The international community has until December 2009, at the Conference of Parties to the United Nations Framework Convention on Climate Change (UNFCCC), to agree on a way forward. If this deadline isn't met, we will almost surely shoot past any safe emissions scenario and commit future generations to a much more dangerous world in which climate change-related migration and displacement, on a truly massive scale, is unavoidable.

Focus on human security

Protect the dignity and basic rights of persons displaced by climate change.

Climate-related migration should be treated, first and foremost, as a "human security" issue. Sensationalist warnings must not be permitted to trigger reactionary policies aimed at blocking the movement of "environmental refugees" without genuine concern for their welfare.

Invest in resilience

Increase people's resilience to the impacts of climate change so that fewer are forced to migrate.

The breakdown of natural-resource dependent livelihoods is likely to remain the premier driver of long-term migration during the next two to three decades. Climate change will exacerbate the situation unless vulnerable populations, especially the poorest, are assisted in building climate-resilient livelihoods. This will require substantial investment in:

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- in situ adaptation measures including, for instance, water-wise irrigation systems, low/no-till agricultural practices, income diversification, and disaster risk management;
- the power of women and other marginalized social groups to overcome the additional barriers they face to adaptation; and
- inclusive, transparent, and accountable adaptation planning with the effective participation of especially vulnerable populations.

Prioritize the world's most vulnerable populations

Establish mechanisms and binding commitments to ensure that adaptation funding reaches the people that need it most.

Negotiations under the United Nations Framework Convention on Climate Change (UNFCCC) are currently focused on how to generate sufficient funds for adaptation in developing countries and how the funds should be managed. These are important questions. However, it is equally important to determine how funds will be channeled so that they reach the people who need them most. Objective criteria for assessing vulnerability to

the negative impacts of climate change—including people’s risk of displacement—should be developed to guide priority assistance.

Include migration in adaptation strategies

Recognize and facilitate the role that migration will inevitably play in individual, household and national adaptation strategies.

For millennia, people have engaged in long and short-term migration as an adaptive response to climatic stress. Millions of individuals and households are employing a variant of this strategy today. Human mobility—permanent and temporary, internal and cross border— must be incorporated into rather than excluded from international and national adaptation plans. This can be done in a variety of ways at a number of levels and may include:

- measures to facilitate and strengthen the benefits of migrant remittances;
- the rights-based resettlement of populations living in low-lying coastal areas and small island states.¹²²

Resettlement meeting international human rights standards (as reflected inter alia in the Guiding Principles on Internal Displacement)

can be costly; and international agreements must address how these and related needs will be met. Existing mechanisms for adaptation funding, which rely on voluntary contributions, have failed to deliver. Therefore, future agreements under the UN Framework Convention on Climate Change must establish binding commitments for historic high emitters. These funds, which may be generated through a number of innovative mechanisms, must be new and additional to existing commitments, such as those for Official Development Assistance.

Close the gaps in protection

Integrate climate change into existing international and national frameworks for dealing with displacement and migration.

The unique challenges posed by climate change must be factored into norms and legal instruments dealing with displacement and migration. Especially important conundrums surround:

- *disappearing states and non-viable homelands.* Unlike people displaced by conflict or persecution who may one day return home, many of those displaced by the chronic impacts of climate change (e.g.

inadequate rainfall and sea level rise) will require permanent resettlement.

- *irrevocably deteriorating living conditions.* Climate change will result in cases that do not fit into current distinctions between voluntary and forced migration. At present, people who move due to gradually worsening living conditions may be categorized as “voluntary migrants” and denied rights to protection.

In order to satisfactorily address such challenges, duty-bearers will need clear guidelines for protecting the rights of environmentally-induced migrants.

Strengthen the capacity of national and international institutions to protect the rights of persons displaced by climate change.

Institutions tasked with protecting the basic rights of migrants and displaced persons are already under-funded and overstretched. Climate change will add to their strain, making the practice of protection even more difficult. The international community must, therefore, begin substantial discussions about how to realize its duties to protect migrants and displaced persons under conditions of radical environmental change.

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Technical Annex

This technical annex provides details on the data sets used for the maps in this report and, where appropriate, the methods for making map calculations.

1. Glacier melt and major irrigated agricultural systems in Asia

This map combines glacier data from Armstrong et al. (2009) with river networks from ESRI (2008) and irrigated areas from FAO (2007) and FAO & IIASA (2006). Watershed boundaries (drainage basins) are from USGS HydroSHEDS 2007 (Lehner et al. 2006). Urban extents, representing circa 1995 urban areas, are from CIESIN (2009a).

Areas under irrigation and population totals for the different drainage basins dependent on glacier runoff were derived by compiling zonal statistics based on a grid of each drainage basin using Spatial Analyst in ArcMap 9.3.

2. Mexico and Central America: Migration as a Coping Strategy for Drought and Disaster

This map combines runoff change data from Nohara et al (2006) that were used in the IPCC’s Fourth Assessment Report. The population density map is from CIESIN (2009b). The runoff data are from Fekete et al (2000). The suitability of rain-fed agricultural land is from FAO (2007). Cyclone hazard frequency is from CHRR et al (2005).

3. West Africa: Pressure on Agricultural Livelihoods and Creeping Onward Migration

This map combines runoff change data from Nohara et al (2006) that were used in the IPCC’s Fourth Assessment Report. The grid representing runoff change was “grown” using standard raster-based methods (each new grid was assigned the maximum value of adjacent grid cells) so that it extended to or beyond the coastline, for better visualization. The population density map is from CIESIN (2009b). The runoff data are from Fekete et al (2000). The suitability of rain-fed agricultural land is from FAO (2007). The data on the proportion of area in pasture land are from Ramankutty et al (2008). The pasture map represents areas where the proportion of pasture is 70 percent or higher.

4. Flooding and Sea Level Rise in Densely Populated Deltas: Ganges, Mekong, and Nile

These maps combine the following data sets. Geographic representation of the delta areas (delta masks) are from Kettner (2009). The population density map represents year 2000 population and is from CIESIN (2009b). Urban extents are from CIESIN (2009a). Data on sea level rise was developed from CGIAR's Shuttle Radar Topography Mission (SRTM) 90 meter data set (Jarvis et al. 2008). The data on the proportion of area under crop land are from Ramankutty et al. (2008). Cyclone hazard frequency is from CHRR et al (2005).

For the Ganges map, we provide a map of flood extent for the 2007 flood from UNOSAT (courtesy of Einar Bjorgo and Luca Dell'Oro). For the Mekong map we provide an inset of flood extent for the year 2000 from the Dartmouth Flood Observatory (2006).

In order to produce estimates of the year 2000 population that would be affected by a 1 and 2 meter sea level rise, we created a delta grid from Kettner (2009), then we took the year 2000 population grid from CIESIN (2009c) and, using ArcMap 9.3's zonal statistics, we calculated zonal statistics for the population that fell within the mask for 1- and 2 meter sea level rise based on CGIAR's SRTM data (Jarvis et al. 2008).

5. Sea Level Rise and Small Island Developing Countries

Data on sea level rise was developed from CGIAR's Shuttle Radar Topography Mission 90 meter data set (Jarvis et al. 2008), and converted to KML. The images of the islands representing the capitals of the Maldives (Male) and of Tuvalu (Funafuti) were downloaded/extracted from Google Earth.

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