



气候变化框架公约

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作为《京都议定书》缔约方会议的
《公约》缔约方会议

第十五届会议

2019年12月2日至13日，圣地亚哥

临时议程项目 X

作为《巴黎协定》缔约方会议的
《公约》缔约方会议

第二届会议

2019年12月2日至13日，圣地亚哥

临时议程项目 X

适应基金董事会的报告

适应基金董事会主席的说明

概要

本报告应第 1/CMP.3 号决定编写，该决定请适应基金董事会向作为《京都议定书》缔约方会议的《公约》缔约方会议(CMP)的每届会议报告其活动情况。本报告涵盖期为 2018 年 7 月 1 日至 2019 年 6 月 30 日。适应基金董事会第 34 次会议后将发布一份增编，涵盖期为 2019 年 7 月 1 日至 2019 年 10 月 11 日。增编将载有董事会根据第 1/CMP.14 号决定第 6 段所载任务编写的报告，这份决定请董事会审议董事会的议事规则、适应基金有关《巴黎协定》的安排和任何其他事项，以确保适应基金顺利地为《巴黎协定》服务；审议在适应基金为《巴黎协定》服务时适应基金从《京都议定书》第六、第十二和第十七条之下的活动获得收益分成的影响；向 CMP 15 作出建议，以期将这些建议转交作为《巴黎协定》缔约方会议的《公约》缔约方会议第二届会议审议。董事会主席将向 CMP 15 口头通报报告期之后开展的活动。本报告提供关于适应基金所取得进展的信息，特别是 CMP 委派的各项任务的执行情况。报告还载有适应基金董事会采取的决定和行动的信息，供 CMP 和 CMA 酌情予以注意。



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简称和缩略语

AfDB	非洲开发银行
AGCID	智利国际发展合作署
附件一缔约方	《公约》附件一所列缔约方
BOAD	西非开发银行
BT FEC	不丹环境养护信托基金
CAF	安第斯开发公司
CDB	加勒比开发银行
CER	核证减排量
CMP	作为《京都议定书》缔约方会议的《公约》缔约方会议
COP	缔约方会议
CSE	生态监测中心
CTCN	气候技术中心和网络
DRFN	纳米比亚沙漠研究基金会
EFC	道德操守和财务委员会
EPIU	环境项目执行股
GCF	绿色气候基金
GEF	全球环境基金
IBRD	国际复兴开发银行
IFAD	国际农业发展基金
LDC	最不发达国家
MIE	多边执行实体
NABARD	[印度]国立农业和农村发展银行
NEMC	国家环境管理委员会
NGO	非政府组织
NIE	国家执行实体
非附件一缔约方	非《公约》附件一所列缔约方
NZD	新西兰元
OSS	撒哈拉和萨赫勒观测站
PCCB	巴黎能力建设委员会
PPRC	项目和方案审查委员会

RIE	区域执行实体
SB	附属机构届会
SBI	附属履行机构
SBSTA	附属科学技术咨询机构
SEK	瑞典克朗
SIDS	小岛屿发展中国家
SPREP	太平洋区域环境方案秘书处
UNDP	联合国开发计划署
UNEP	联合国环境规划署
UNESCO	联合国教育、科学及文化组织
UN-Habitat	联合国人类住区规划署
WFP	世界粮食规划署
WMO	世界气象组织

一. 引言

A. 任务

1. COP 7 商定设立适应基金(下称基金)¹。CMP 3 决定, 基金的经营实体为适应基金董事会(董事会), 由一个秘书处和一个临时托管人(托管人)提供服务²。
2. CMP 请董事会在 CMP 各届会议上报告其开展活动的情况, 还请环境基金向董事会提供秘书处服务, 请国际复兴开发银行(世界银行)担任基金托管人, 这两项均为暂行安排。
3. CMA 1 和 CMP 14 决定, 自 2019 年 1 月 1 日起, 基金应在 CMA 的指导下为《巴黎协定》服务, 并就与《巴黎协定》有关的所有事项向 CMA 负责。CMP 14 还决定, 基金将继续为《京都议定书》服务, 直至《巴黎协定》第六条第 4 款规定的收益分成可用³。

B. 本说明的范围

4. 本报告详细介绍基金取得的进展, 特别是 CMP 委派的各项任务的执行情况, 并提出建议供 CMP 和 CMA 酌情采取行动。由于 CMA 没有就基金需要积极处理的与《巴黎协定》有关的事项向基金提供具体指导, 因此本报告不包括关于这些事项的单独信息。董事会欢迎 CMA 就与《巴黎协定》有关的所有事项提供指导。除非另有说明, 本报告涵盖期为 2018 年 7 月 1 日至 2019 年 6 月 30 日。

C. 作为《京都议定书》缔约方会议的《公约》缔约方会议第十五届会议采取的行动

5. 董事会请 CMP 注意以下按照第 1/CMP.4 号决定第 10 段开展的重要活动、采取的重要行动和作出的重要决定:

(a) 一个 NIE 得到董事会认证, 可接受基金的直接财政支持。这样一来, 已认证的执行实体总共包括 29 个 NIEs, 6 个 RIEs 和 12 个 MIEs, 其中包括来自最不发达国家的 8 个 NIEs 和来自小岛屿发展中国家的 6 个 NIEs。在这得到认证的 47 个执行实体中, 22 个得到重新认证, 其中包括 9 个 NIEs, 3 个 RIEs 和 10 个 MIEs。在本报告期结束时, 董事会正在审议证小组的建议, 即通过无异议决策程序在闭会期间对另外两个 NIEs 进行认证, 预计这将使获得认证的 NIEs 总数达到 31 个;

(b) 适应基金信托基金的累计收入已达到 8.871 亿美元, 其中 2.014 亿美元来自核证减排量货币化, 6.579 亿美元来自额外捐款, 还有 2,780 万美元来自信

¹ 第 10/CP.7 号决定, 第 1 段。

² 第 1/CMP.3 号决定, 第 3 段。

³ 第 13/CMA.1 号决定, 第 1 段; 第 1/CMP.14 号决定, 第 2 段。

托基金余额的投资收入(截至 2019 年 6 月 30 日)。报告所述期间的收入总额为 1.336 亿美元,其中 200 万美元来自核证减排量货币化,1.197 亿美元来自额外捐款,1,190 万美元来自投资收入;

(c) 核准的项目和方案总额累计达到 5.642 亿美元(截至 2019 年 6 月 30 日);⁴

(d) 根据该基金 2018-2022 年第一个中期战略实施了各项活动,包括为创新、学习和项目扩大启动新的赠款供资窗口;在基金的气候资金准备方案下,由智利国家执行实体 AGCID 在智利主办的国家交流项目,基金有 11 个 NIE 参加;与气候基金和非洲开发银行的非洲气候变化基金合作,推动直接获取实体实践共同体举行第一次独立会议;

(e) 准备工作赠款供资决定批准的资金达 167,110 美元,其中 99,910 美元用于南南合作赠款,67,200 美元用于基金环境和社会保障政策及性别政策方面的技术援助赠款(准备工作赠款决定概览附件四表 4);

(f) 正在开展的关于基金与气候基金之间联系的讨论;

(g) 截至 2019 年 6 月 30 日,可用于新批准用资项目的资金达 2.651 亿美元;⁵

(h) 批准了执行实体提交的 6 个单一国家项目/方案提案,总额 3,090 万美元,其中包括亚美尼亚(2 项提案)和多米尼加共和国的 NIEs 提交的三个提案,总额为 1,400 万美元。核准了由一个 RIE 提交的总额为 250 万美元的单一国家提案,用于厄瓜多尔。最后,核准了由 MIEs 提交的总额 1,440 万美元的两个单一国家提案,分别用于孟加拉国和蒙古;

(i) 为五个区域性(多国)项目核准了总额 5,580 万美元的资金,其中 990 万美元用于阿尔巴尼亚、黑山和北马其顿;790 万美元用于贝宁、布基纳法索、科特迪瓦、加纳、马里和多哥;1,400 万美元用于贝宁、布基纳法索、加纳、尼日尔和多哥;1,390 万美元用于智利和厄瓜多尔;1,000 万美元用于毛里求斯和塞舌尔。此外,董事会第 33 次会议回顾 2018 年 3 月第 31 次会议作出的决定,即在 2019 财政年度(2018 年 7 月 1 日至 2019 年 6 月 30 日)为区域项目和方案提供至多 6,000 万美元的资金,注意到 PPRC 建议核准另外三个总额为 3,950 万美元的区域项目,而暂列拨款尚无资金用于这些项目,因此决定将这些项目列入等待名单,待资金具备时可供审议以便闭会期间予以核准。此外,董事会决定在 2020 财政年度(2019 年 7 月 1 日至 2020 年 6 月 30 日)为区域项目和方案提供至多 6,000 万美元的资金;

(j) 收到的捐款共计 1.196 亿美元,来自法国、德国、爱尔兰、意大利、新西兰、瑞典、比利时布鲁塞尔首都区和瓦隆区以及加拿大魁北克省。此外,董事

⁴ 这一数字不包括预期将在报告期结束后立即在闭会期间核准的区域和单一国家项目,总额为 9,300 万美元。预计这些供资决定将使累计项目和方案核准金额增加到 6.572 亿美元。

⁵ 这一数字不包括预期在报告期结束后立即在闭会期间核准的区域和单一国家项目,总额为 9,300 万美元。预计这些供资决定将使可用于新批准用资项目的资金减少到 1.721 亿美元。

会秘书处和托管人准备汇入一笔来自联合国基金会的合计捐款，包括在报告期内提供的各种个人捐款，其中包括在 COP 24 上与维萨公司合作开展募捐运动的成果。

D. 报告期内开展的工作

6. 董事会在报告期内举行了三次会议，每次都在位于德国波恩的《联合国防治荒漠化公约》秘书处所在地举行。议程和议程说明(包括议程项目背景文件)以及会议的详细报告可查阅基金网站。⁶

7. 以下各节介绍董事会在报告期内开展的主要工作。

1. 选举适应基金董事会主席和副主席

8. 根据第 1/CMP.3 号决定第 13 段，董事会第 32 次会议协商一致选举 Sylviane Bilgischer(比利时，附件一缔约方)为主席，Ibila Djibril(贝宁，非洲国家)为副主席。

2. 适应基金董事会人员组成变动

9. 在 CMP 14 的选举后，一些董事会成员和候补成员被替换。董事会成员和候补成员最新名单载于附件一。截至本报告期结束时，非附件一缔约方的一个成员席位以及西欧和其他国家的一个候补成员席位尚未填补。

10. 董事会成员和候补成员的完整名单载于附件一。

3. 适应基金董事会 2019 年会议日历

11. 董事会通过了 2019 年第 33 和第 34 次会议的会议日历(见下表)。PPRC 和 EFC 的会议紧接在两次董事会会议之前。此外，董事会第 33 次会议决定再举行一次会议，专门讨论与第 1/CMP.14 号决定所规定任务的可能的审议和建议有关的事项。

适应基金董事会 2019 年会议日历

会议和日期	地点
第 33 次会议，3 月 21 日至 22 日	波恩
加开会议(33.b)，6 月 28 日至 29 日	波恩
第 34 次会议，10 月 10 日至 11 日	波恩

4. 适应基金信托基金的资源情况

12. 截至 2019 年 6 月 30 日，托管人售出了 2,730 万基金核证减排量，均价 7.37 美元，收入 2.014 亿美元。2019 年 6 月 30 日之前的 12 个月内，核证减排量货币化收入达 200 万美元。截至 2019 年 6 月 30 日，按照董事会通过的核证减排量货币化准则，仍有 1,220 万核证减排量可供出售。迄今为止，董事会已指示托管人向各执行实体转账共 3.502 亿美元。

⁶ <http://www.adaptation-fund.org>.

13. 截至 2019 年 6 月 30 日，可用于新批准用资项目的资金为 2.651 亿美元。⁷

5. 适应基金董事会的工作计划

14. 董事会在第 33 次会议上通过了 2019 年 7 月 1 日至 2020 年 6 月 30 日财政年度的工作计划⁸。

6. 适应基金董事会、秘书处和托管人的预算

15. 董事会在第 33 次会议上审议并批准了用以支持董事会及其秘书处和托管人工作至 2020 年 6 月 30 日的资源(见附件二)⁹。截至 2019 年 6 月 30 日，董事会、秘书处和托管人 2020 财政年度所需行政预算核定概算为 6,423,430 美元，比上年增加了 6%。核定预算用于执行中期战略下的一系列活动，并设立在本报告期内启动的基金评价职能。

7. 执行实体的认证

16. 董事会认证小组在报告期内举行了 3 次会议。董事会选举 Chebet Maikut(乌干达，最不发达国家)为主席，选举 Eleonora Cogo 女士(意大利，西欧和其他国家)为副主席。认证小组由这两名董事和四名独立专家组成。

17. 根据第 1/CMP.3 号决定，董事会在本报告期内审议了认证小组的建议，并核准了另外一个 NIE 的认证，即乌干达水和环境部。在本报告期内，已认证的执行实体共包括 29 个 NIEs, 6 个 RIEs 和 12 个 MIEs, 其中包括认证了来自最不发达国家的 8 个 NIEs 和来自小岛屿发展中国家的 6 个 NIEs。截至 2019 年 6 月 30 日，14 个来自最不发达国家和 7 个来自小岛屿发展中国家的 NIEs 申请已进入认证程序。截至 2019 年 6 月 30 日，在 47 个获得认证的执行实体中，22 个得到重新认证，其中包括 9 个 NIEs, 3 个 RIEs 和 10 个 MIEs。经认证的执行实体名单载于附件三。在报告期结束时，董事会正在审议认证小组的建议，即在闭会期间通过无异议决策程序给予另外两个 NIEs 认证。

18. 2018 年 10 月 9 日和 10 日举行的 EFC 第 23 次会议审议了与反洗钱和打击资助恐怖主义有关的认证标准问题。董事会在 2018 年 10 月 11 日和 12 日第 32 次会议上审议了 EFC 的意见和建议，决定更新认证申请表，纳入反洗钱和打击资助恐怖主义的内容。¹⁰ 认证申请表列入了有关内部管制框架、采购标准以及处理财务管理不善的政策和框架的证明文件的订正例子。¹¹ 认证小组在 2018 年 8 月 23 日至 24 日第 29 次会议上讨论了获得气候基金认证的实体的快速通道认证程序，并报告给了董事会第 32 次会议。¹² 董事会审议了认证小组的分析和

⁷ 这一数字不包括在本报告期结束后立即在闭会期间核准的区域和单一国家项目，总额为 9,300 万美元。预计这些供资决定将使可供作出新供资决定的资金减少到 1.721 亿美元。

⁸ 董事会决定 B.33/49。

⁹ 董事会决定 B.33/50。

¹⁰ 董事会决定 B.32/36。

¹¹ 载于理事会文件 AFB/EFC.23/4 附件 2，可查阅 <https://www.adaptation-fund.org/document/accreditation-standards-related-anti-money-laundering-counteracting-financing-terrorism/>。

¹² 根据董事会文件 AFB/B.32/4。

结论后¹³，决定批准满足下述要求的 NIEs、RIEs 和 MIEs 的快速通道认证程序，即在向基金提交认证申请之前四年内已获得气候基金的认证，满足基金业务政策和准备第 24-32 段所载资格标准。¹⁴

19. 2019 年 3 月 12 日至 13 日，EFC 第 24 次会议讨论了执行实体重组对认证和重新认证进程以及项目执行工作的影响¹⁵。董事会在 2019 年 3 月 14 日至 15 日第 33 次会议上审议了 EFC 的意见和建议，决定批准处理这些影响的程序，要求执行实体尽早向董事会秘书处通报任何重组计划。¹⁶

8. 适应基金董事会各委员会

20. 董事会 2009 年设立的 EFC 和 PPRC 在报告期内举行了两次会议，均安排在董事会会议之前两天举行。Patrick Sieber(瑞士，附件一缔约方)当选 PPRC 主席，Lucas di Pietro Paolo(阿根廷，拉丁美洲和加勒比国家)当选为副主席。Sheida Asgharzadeh Ghahroudi(伊朗伊斯兰共和国，亚太地区)当选 EFC 主席，Mattias Broman(瑞典，附件一缔约方)当选为副主席。

21. EFC 审议了下列事项，并向董事会提出了建议：2018 财年年度业绩报告；与反洗钱/打击资助恐怖主义有关的认证标准；实施实体重组的影响；对战略成果框架和基金层面成效和效率成果框架的审查；项目启动延迟；董事会、秘书处和托管人 2020 财政年度工作计划和行政预算。

22. 截至本报告期结束时，PPRC 共利用两次会议期间和一个闭会期审查期间审查了 23 份单一国家项目概念文件和 27 份完整的单一国家项目提案(代表 36 个单独的项目提案。PPRC 它还审查了区域性(多国)项目和方案的 6 份前期概念文件、5 份概念文件和 11 份完整的项目文件，代表 18 个单独的项目和方案提案。

23. PPRC 还讨论并向理事会通报了关于下述事项的审议结果：创新方案(通过直接获取和通过 MIE 汇总获得小额拨款)，提交材料字数，批准信和对项目和方案评审进程的回顾；候补项目和方案及其优先次序；2020 财政年度区域项目和方案的供资窗口。

9. 适应项目和方案的供资决定

24. 根据第 1/CMP.4 号决定，董事会在报告期内的闭会期间会议上批准了供资总额 3,090 万美元的 6 项单一国家提案和供资总额 6,360 万美元的 5 项区域提案(见附件四)。截至本报告期结束时，等待董事会在闭会期间通过无异议程序决定批准的单一国家提案申请资金额为 4,610 万美元，区域提案申请资金额为 4,690 万美元，该进程将于 2019 年 7 月 8 日完成。

¹³ 载于董事会文件 AFB/B.32/5，可查阅 <https://www.adaptation-fund.org/document/analysis-fast-track-accreditation-process-entities-accredited-green-climate-fund/>。

¹⁴ 董事会决定 B.32/1。

¹⁵ 董事会文件 AFB/EFC.24/3/Rev.1，可查阅 <https://www.adaptation-fund.org/document/implications-reorganization-implementing-entity/>。

¹⁶ 董事会决定 B.33/48。

25. 在本报告所述期间，核准或建议核准供资的单一国家提案的缔约方是：亚美尼亚、孟加拉国、多米尼加共和国、厄瓜多尔、印度尼西亚、老挝人民民主共和国、莱索托、蒙古、圣卢西亚、塞拉利昂和塔吉克斯坦。在本报告所述期间，核准或建议核准区域项目和方案供资窗口供资的区域提案所包括的缔约方是：阿尔巴尼亚、阿根廷、贝宁、布基纳法索、智利、哥伦比亚、科摩罗、科特迪瓦、加纳、马达加斯加、马拉维、马里、毛里求斯、黑山、莫桑比克、尼日尔、北马其顿、秘鲁、塞舌尔、多哥和乌拉圭。

26. 除上文第 24 段所述供资决定以外，董事会在报告期内举行的会议上核准了 12 个单一国家项目概念，所涉国家包括：阿富汗、刚果、基里巴斯、马拉维(两个概念)、巴基斯坦、摩尔多瓦共和国、坦桑尼亚联合共和国(三个概念)、乌干达和津巴布韦，提案总额 6,530 万美元；还为 NIEs 提交项目核准了 3 项项目拟订拨款，总额为 9 万美元。

27. 在区域项目和方案的供资窗口中，除了上文第 24 段提到的供资决定之外，理事会还为以下区域的项目核可了四个项目概念，总额为 4,600 万美元：科特迪瓦和加纳；吉布提、肯尼亚、苏丹和乌干达；约旦和黎巴嫩；哈萨克斯坦、塔吉克斯坦和乌兹别克斯坦。此外，董事会为下述区域的项目核可了五个区域项目前期概念，总额为 5,880 万美元：阿根廷、巴西和巴拉圭；亚美尼亚和格鲁吉亚；伯利兹、危地马拉和洪都拉斯；柬埔寨、尼泊尔、菲律宾和泰国；萨尔瓦多和洪都拉斯。董事会还批准了 417,174 美元的项目拟订拨款，用于核可的前期概念和概念。已获批准的完整提案和已获核可的前期概念和概念所涉部门包括减少灾害风险、粮食安全、林业城市发展、水管理、沿海地区管理、农村发展和农业，见附件四图 1 至图 3。

28. CMP 11 请董事会在提交 CMP 的报告中提供关于基金投资组合情况的进一步信息，包括处于不同发展阶段的项目¹⁷。所要求的这些信息载于附件五。

29. 应民间社会和非政府组织观察员的建议和要求，所有项目和方案提案均原文张贴在基金网站上，感兴趣的利害关系方可在网上就提案发表意见。可通过向秘书处发送电子信息的形式，向董事会提交对有关提案的意见¹⁸，这些意见在网站上张贴于对应项目的页面中，也会列入提交 PPRC 的对应项目文件中。

10. 中期战略

30. 为期五年(2018-2022 年)的项目中期战略已经董事会 2017 年 10 月第 30 次会议批准。中期战略立足于基金现有任务以及对基金推动实现从《2030 年可持续发展议程》和《巴黎协定》中产生的主要目标的主要优势和能力的分析。战略列出为脆弱的发展中国家提供支持的三大支柱：(1) 行动；(2) 创新；(3) 学习和分享。战略呼吁基金加快发展中国家适应行动并提高其质量，为国家驱动的项目和方案、创新以及为促进有效适应进行的多级全球学习和分享提供支持。根据该战略，所有活动的设计都应考虑促进性别平等，并惠及最弱势群体。发展中国家在开展符合其发展需要和目标的高质量适应项目和方案时将得到支持。虽然基金自

¹⁷ 第 1/CMP.11 号决定，第 11 段。

¹⁸ <https://www.adaptation-fund.org/contact/>.

创设以来一直支持创新和学习，但这份战略预想为这些活动提供有针对性的资金，包括在各国或各地区支持推广行之有效的创新适应做法和技术。也将从有效的基金活动和影响主题当中提炼和交流实用的知识和经验教训。

31. 董事会在第 31 次会议上批准了中期战略执行计划。董事会请秘书处为 2018-2022 年期间计划执行工作提供方便，并为提议的每一种新的拨款类型和供资窗口编写具体文件，载入目的、审查标准、预计拨款规模、执行模式、审查程序和其他相关项目，依照执行计划附件所载临时时间表提交董事会审议，同时征求董事会各委员会的意见¹⁹。在报告期内，董事会秘书处继续协助执行该计划。董事会在第 32 次会议上核准了秘书处编写的文件，以便创新、学习和推广的小额拨款窗口投入运作，这些窗口都面向 NIEs。这些窗口在 COP 24 上启动，之后收到了 5 项提案，供董事会第 33 次会议审议。

32. 董事会秘书处呼吁各方主动担任对非认证实体小额创新拨款的 MIE 汇总部门。在收到的有关意向中，董事会在第 32 次会议上决定邀请环境署和开发署担任 MIE 汇总部门，并就汇总部门的设立和运作提交完整提案，供理事会第 34 次会议审议。

33. 在中期战略的学习和共享支柱以及基金气候资金准备方案下，董事会秘书处于 2019 年 5 月举办了一次国家交流会，由智利的国家执行实体 AGCID 主办。这次国家交流会向基金中来自其他国家同时也在实施与农业和水管理有关的适应项目的 11 个 NIEs 介绍了 AGCID 实施的一个名为“增强智利奥希金斯地区小型农业气候变化复原力”的项目，该项目旨在解决农业缺水问题。

11. 对项目组合的监测

34. 在报告期内正在执行的项目有 55 个，包括在此期间开始执行的 9 个项目和这一期间完成的 3 个项目。到报告期结束时，共为自基金开始运作以来获批的 84 个项目拨付资金 3.502 亿美元，包括报告期内拨付的 5,540 万美元。迄今为止，非洲区域获批的资金拨款最多，27 个项目共获得拨款 2.046 亿美元(占 36.5%)；随后是拉丁美洲和加勒比地区，23 个项目共获得拨款 1.761 亿美元(占 31.5%)；亚太地区，30 个项目共获得拨款 1.609 亿美元(占 28.7%)；东欧地区，4 个项目，获批资金共 1,700 万美元(占 3.0%)。

35. 按部门计算，水管理部门的适应项目获得拨款最多，批准资金 8,960 万美元(16.0%)，紧随其后的是农业部门，批准资金 8,200 万美元(14.6%)和粮食安全部门项目，批准资金 7,830 万美元(13.9%)，见附件四图 3。董事会将在第 36 次会议上审议基金第九份年度业绩报告，涵盖期为 2018 年 7 月 1 日至 2019 年 6 月 30 日。

36. 基金跟踪记录按战略成果框架下基金层面成果分列的拨款额。占拨款资金比重最大的是框架下的成果四——“提高相关开发部门和自然资源部门的适应能力”(1.479 亿美元，占 26.4%)；随后是成果五——“提高生态系统对气候变化以及多变性所致压力的适应能力”(9,470 万美元，占 17.0%)。

¹⁹ 董事会决定 B.31/32。

二. 与《公约》之下各机构的业务联系和关系

37. CMP 10 请董事会酌情考虑在适应基金与《公约》组成机构之间建立业务联系的备选办法，同时兼顾这些机构各自的授权任务²⁰。CMP 14 欢迎适应董事会审议并报告与其他基金之间的联系，以确保一致性和互补性²¹；还鼓励董事会继续按照现有任务考虑基金与其他基金之间的联系，并继续努力加强与《公约》之下和之外其他基金的互补性和一致性，包括更好地协调进程和拉动融资。

38. 董事会已采取行动，推动与《公约》之下其他机构之间的联系，例如适应委员会、PCCB、资金问题常设委员会、CTCN、气候基金和环境基金。

39. 2018 年 12 月 13 日，在 COP 24 期间，董事会主席和副主席以及董事会秘书处参加了与气候基金以及环境基金和气候投资基金秘书处的第二次气候资金提供渠道年度对话。按照董事会的授权，董事会秘书处和气候基金秘书处于 2018 年 12 月 12 日组织了各自董事会成员之间的非正式双边会议，包括基金董事会主席和副主席以及气候基金董事会联合主席。董事会秘书处还与气候基金一起组织了一次题为“增强直接获得气候融资能力”的会外活动。

40. 董事会秘书处作为观察员参加了气候基金董事会第 20、21 和 22 次会议；在气候基金董事会第 21 次会议上，基金董事会主席和秘书处主管作为基金代表参加。气候基金的代表参加 2018 年 8 月 28 日至 31 日在美利坚合众国华盛顿特区举行的基金 NIEs 第五次年度研讨会，并以观察员身份参加了 2019 年 3 月 14 日至 15 日举行的董事会第 33 次会议。

41. 2019 年 6 月 5 日至 7 日，董事会秘书处与气候基金和非洲开发银行一道在南非德班促成了直接获得实体实践社区首次正式会议。

42. 董事会秘书处还参加了题为“气候资金架构：加强合作，抓住机遇”的 2018 年资金问题常设委员会论坛(7 月 5 日至 6 日，大韩民国松多)，并作为主讲人和专门小组成员出席了适应委员会关于国家适应目标/指标及其与可持续发展目标和仙台减少灾害风险框架的关系的专家会议(2018 年 7 月 24 日至 25 日，日本东京)。

43. 董事会秘书处在 CTCN 咨询委员会第 12 次会议(2018 年 10 月 4 日，奥地利维也纳)上就基金与 CTCN 接触的办法作了演讲，并为 CTCN “技术需求评估——第三阶段”项目全球启动研讨会(2018 年 10 月 17 日至 18 日，泰国曼谷)的与会者做了远程发言。

44. 在 COP 24 上，董事会秘书处主管作为小组成员参加了 COP 24 关于 2020 年前执行情况和雄心的评估以及与《气候公约》组成机构举行的科罗尼维亚农业联合工作研讨会。董事会秘书处成员参加了为《公约》下设机构举办的 PCCB 性别能力建设技术讲习班。

²⁰ 第 2/CMP.10 号决定，第 6 段。

²¹ 第 2/CMP.14 号决定，第 8 段。

45. 董事会秘书处与《气候公约》秘书处在内罗毕框架伙伴关系的主持下，于 2019 年 3 月 18 日和 19 日在加纳阿克拉非洲气候周活动上举办了一次促进获得适应资金的区域研讨会。

46. 董事会秘书处作为联合组织者、小组成员和主持人参加了在 SB 50 期间举行的适应问题技术专家会议(2019 年 6 月 25 日至 26 日，波恩)。董事会的一名成员和秘书处的一名成员也分别应邀参加了性别和气候变化问题研讨会——性别问题利马工作方案及其性别行动计划的影响——的小组讨论和发言。董事会秘书处以观察员身份参加了 PCCB 第 3 次会议和第八届德班能力建设论坛，并与 PCCB 和 CTCN 一起为提供准备和能力建设支持的组织举办了一次会外活动，以加强为适应气候变化提供这种支持。董事会秘书处在科罗尼维亚研讨会上还介绍了评估适应、适应连带效益和复原力的方法和方针。基金技术评价咨商小组主席作为小组成员和主持人参加了 2019 年关于长期气候融资的会期研讨会。

47. 董事会秘书处由环境基金秘书处主持，该秘书处促进信息和知识的交流，并在需要时提供组织间支持。董事会秘书处作为观察员参加了分别于 2018 年 12 月 18 日至 20 日和 2019 年 6 月 11 日至 13 日举行的环境基金董事会第 55 次和第 56 次会议。

48. 2015 年，董事会考虑在基金与气候基金之间建立业务联系，以便为适应活动输送资源，并确定了两种备选办法：

- (a) 争取被认证为气候基金的资金中介；
- (b) 与气候基金达成谅解备忘录或专门协定。

49. 董事会还考虑了如何通过具体活动加强与气候基金的互补性。根据董事会授权，董事会主席于 2016 年 5 月开始与气候基金董事会的联合主席之一进行对话，讨论两个基金之间的潜在联系；秘书处与气候基金秘书处讨论了启动合作的具体活动，包括但不限于以下领域：准备方面的支持，包括举办联合活动，如区域讲习班或研讨会；基于成果的管理；认证；项目和方案确认。

50. CMP 14 注意到董事会在加强与其他基金合作以确保一致性和互补性方面做出的努力，并鼓励董事会继续努力加强与《公约》之下和之外其他基金的互补性和一致性，包括更好地协调进程和拉动资金。²²

51. 董事会在第 31 次会议上讨论了与气候基金之间进一步的潜在联系，并请气候基金秘书处的一位代表向董事会发言，解释促进与提供气候资金的其他机构之间的互补性和一致性业务框架支柱 1 之下的基金对基金安排的涵义。气候基金秘书处的代表告知董事会，气候基金董事会已经通过了这样一份业务框架，由四个支柱组成：(1) 董事会层面关于基金对基金安排的讨论；(2) 加强基金之间在活动层面的互补性；(3) 促进基金之间在国家方案规划层面的一致性；(4) 通过基金之间开展对话实现在提供气候资金方面的互补性。

52. 董事会在第 32 次会议上回顾董事会 B.30/43 号和 B.31/33 号决定，并考虑到之后董事会秘书处与气候基金秘书处之间的通信，讨论了基金与气候基金之间的潜在联系，作为两个层面上一系列讨论的一部分：(1) 通过董事会主席和副主席

²² FCCC/KP/CMP/2018/4, 第 45-56 段；FCCC/KP/CMP/2018/4/Add.1, 第 18 段。

与气候基金董事会联合主席之间的对话，这既包括仅限两个基金之间的对话，也包括在很多气候基金年度对话范围下进行的对话；(2) 通过董事会秘书处和气候基金秘书处之间正在进行的关于互补性和一致性具体活动的讨论。具体而言，在第 32 次会议上，董事会决定请主席和副主席在董事会秘书处的协助下，继续通过气候基金联合主席与气候基金董事会积极接触，以期探讨加强互补性和一致性的具体步骤，包括基金对基金安排和认证的备选方案。理事会还在 B.32/41 号决定中要求秘书处继续与气候基金秘书处讨论推进 2017 年 11 月年度对话、2018 年 2 月技术研讨会以及 2018 年 5 月和 9 月在 COP 24 会议间隙举行的董事会主席和副主席与气候基金联合主席非正式会议上确定的合作活动。董事会还请秘书处继续探索基金对基金安排的备选方案，包括气候基金 GCF/B.17/08 号文件所载气候基金互补和一致性业务框架支柱 1 所述争取获得气候基金认证的进程。

53. 在第 33 次会议上，董事会因时间未讨论上述活动取得的进展。然而，董事会秘书处和气候基金秘书处为筹备董事会主席和副主席与气候基金联合主席之间的非正式会议，合作确定了基金和气候基金之间潜在安排和合作的初步备选方案范围。结果载于气候基金秘书处与董事会秘书处合作编写的非正式背景说明中，并提供给气候基金联合主席、董事会主席和副主席，以便在非正式会议上讨论。这份说明最初是为各位主席和联合主席审阅而编写的，后来由气候基金秘书处分发给气候基金董事会成员，供气候基金董事会第 22 次会议讨论。背景说明总结了两个基金之间合作的四个潜在选择如下：(1) 基金提供气候基金准备支持类型的援助；(2) 基金管理一个气候基金的资金封套；(3) 基金获得气候基金的认证；(4) 正式确定和扩大两个秘书处之间目前的合作。

54. 在第 22 次会议上，气候基金联合主席向气候基金董事会报告了与基金的接触情况，载于气候基金董事会文件 B.22/09 及其附件 1。根据该文件，两个董事会会在波兰卡托维兹非正式会议上进行的讨论围绕可能影响任何潜在安排选项的两个首要考虑因素进行：

(a) 基金准备在多大程度上接受为气候基金供资编制方案的责任；

(b) 董事会是否以及如何对经核准利用气候基金资金的项目和方案适用气候基金的政策。

55. 气候基金文件 GCF/B.22/09 也提到基金与气候基金达成任何法律安排的法律能力，具体说来，附件 1 第 10 段规定：“第三方组织的独立法律意见可以澄清适应基金(适应基金董事会、适应基金董事会秘书处和适应基金信托基金)的法律能力、人格和结构。”

56. 董事会在第 34 次会议上不妨审议气候基金文件 GCF/B.22/09 及其附件 1 所述基金对基金安排的四个备选方案。

57. 经与气候基金协商，董事会秘书处在信函中还强调了基金与气候基金之间的一致性和互补性。例如，一个关于基金在哥伦比亚项目的播客中有一节专门介绍气候基金如何推广这一项目。董事会秘书处还为 COP 24 制作了一个关于基金总体工作的视频，其中一节介绍基金与气候基金在共享知识和扩大项目方面合作的价值。

A. 区域项目筹资

58. 董事会在 2015 年 4 月第 25 次会议上批准了区域项目和方案试点工程，并于 2015 年 5 月 5 日发起区域提案呼吁。试点工程的总体目标是试行不同的区域方针，在脆弱的发展中国家执行具体的气候变化适应项目，并总结经验教训。这些经验教训将为董事会今后就是否在基金业务中将这种模式常规化作出决定提供参考。试点方案不属于董事会第 12 次会议²³ 对 MIEs 规定的 50% 的资金上限以及董事会第 13 次会议²⁴ 规定的各国 1,000 万美元上限的情况。董事会第 25 次会议规定试点工程资金上限为 3,000 万美元。²⁵

59. 对该方案的兴趣一直很高，在报告期内提交的提案总额为 1.867 亿美元。报告期内批准的总额为 5,570 万美元。董事会第 33 次会议决定在其 2020 财年工作方案中列入 6,000 万美元，用于资助区域项目和方案提案，具体如下：(1) 为不超过 1,400 万美元的区域项目和方案提案供资，金额最多 5,900 万美元；(2) 为编写区域项目和方案概念或完整的项目和方案文件的项目拟订拨款请求供资，金额最多 100 万美元。

B. 气候融资准备方案

60. 在报告期内，董事会批准启动项目扩大赠款，包括申请程序和审查标准，作为中期战略及其实施计划下准备活动的一部分。

61. 在报告期内开展了以下活动：

(a) 第五届 NIE 研讨会(2018 年 8 月 28 日至 31 日，华盛顿特区)；

(b) 为经认证的 NIEs 举办的第七和第八次气候融资网络研讨会，分别侧重于项目执行期间适应项目/方案的变化(2018 年 10 月 25 日)和知识管理系统和产品(2019 年 4 月 25 日)；

(c) 批准了两项南南合作拨款，用于支持发展中国家确定适于担任 NIE 候选机构的国家机构，并编写和提交认证申请：一项在阿富汗，由印度的 NIE 即 NABARD 执行；另一项在毛里求斯，由塞内加尔的 NIE 即 CSE 执行²⁶；

(d) 批准了三项技术援助拨款，以支持三个国家的 NIE，分别为亚美尼亚的 EPIU、不丹的 BTFEC 和多米尼加共和国的多米尼加一体化发展机构增强在适应项目和方案中以及在机构层面处理和管理环境和社会风险以及考虑性别问题的能力²⁷；

²³ 董事会决定 B.12/9。

²⁴ 董事会决定 B.13/23。

²⁵ 董事会决定 B.25/28。

²⁶ 董事会决定 B.32-33/8 和 B.32-33/9。

²⁷ 董事会决定 B.32-33/5，经由 B.32-33/7 号决定。

(e) 在阿克拉举行的 2019 年非洲气候周期间，为中部非洲国家举办了一次区域气候融资准备研讨会(2019 年 3 月 18 日至 19 日)，以促进通过基金直接获取模式获取适应资金；

(f) 由智利获得认证的 NIE 即 AGCID 在智利奥希金斯地区联合主办的国家经验交流会(2019 年 5 月 5 日至 11 日)。为期五天的国家交流汇聚了来自非洲、拉丁美洲和加勒比以及亚洲和太平洋的 12 个经基金认证的 NIEs，以分享水和农业专题下的知识和经验，并吸取基金在智利资助项目的经验教训；

(g) 与气候基金以及非洲开发银行非洲气候变化基金合作资助的直接获取实体实践社区首次面对面会议(2019 年 6 月 5 日至 7 日)。会议使直接获取实体实践社区能够推进社区治理框架和解决实体查明的差距和挑战行动计划方面的工作，以期加强基金 NIEs 和气候基金直接获取实体获取和规划气候资金的能力。

C. 对适应基金的评价

62. 在报告期内，基金以技术评价咨商小组的形式设立了独立的评价职能。在 2018 年 3 月第 31 次会议上，董事会核准了小组的职权范围，并设立了一个由成员和候补成员组成的征聘工作组。根据这些条款，咨商小组将由一名主席和四名成员组成，并由一个小型、专门的秘书处提供支持。在报告所述期间，征聘工作组在该秘书处的支持下，登广告招聘工作组主席一职，并挑选了一名首选候选人。董事会于 2019 年 1 月通过闭会期间决定任命了咨商小组主席²⁸。随后，咨商小组秘书处与新任命的小组主席一道，征聘了一名评价干事来协调技术评价咨商小组秘书处。小组主席及其秘书处与征聘工作组协商，在报告期结束前不久公布了其余四个小组成员职位，并征聘了四名首选候选人。

D. 宣传

63. 在报告期内，董事会通过各种平台传播关于基金工作源源不断的信息，包括 20 篇新闻稿、一篇项目报道(另外两篇报道正在进行中)和三篇电子通讯。为一家外部网站撰写了一篇综合的影响较大的文章。制作了三个视频和基金的三份初始播客(包括一个西班牙语播客)以及七个小册子。早先出版的一些信息材料被翻译成多种语言。中期战略中所列的许多主题在传播信息和报道以及重要活动和运动中都有提及。董事会秘书处还为纽约电影学院访问提供便利，以便拍摄一部关于基金在伯利兹项目的纪录片，目的是向更广泛的受众宣传可持续海洋生态系统和气候行动。

64. 在报告期内，基金的数字渠道继续蓬勃发展。与前一报告期相比，网站用户(93,764 对 55,325)、网络会话(145,380 对 97,685)和页面访问量(706,794 对 555,290)都显著增加。在社交媒体方面，基金在推特上的追随者达到近 13,000 名，在本报告所述期间增加了约 3,400 人，曝光量达 571,400 个。基金在脸书上的粉丝数量已经增加到将近 11,500 人，在 Flickr 上发布了八个新的相册，并建立了一个新的声音云音频故事频道。

²⁸ 董事会决定 B.32-33/15。

65. 世界各地关于基金的新新闻报道有 593 篇，大多数报道是用英语(384 篇)、西班牙语(118 篇)和法语(81 篇)写成的。基金在卡托维兹举行的 COP 24 上进行了有力和积极的宣传。基金举办了一次多媒体展览，展示基金项目及其开创性的直接获取能力建设工作的照片和视频，并提供宣传材料。董事会还创建了 COP 24 基金活动网站，在会议之前和会议期间供读者查阅。网站浏览量达 3,704 次，比上一年为 COP 23 所创建网站的浏览量增加了 26%。与前一年相比，COP 24 期间的主题标签#AFAdaptTogether 大大增加了网站(60,000 次浏览)和推特(624 次点赞)的受众数量。基金组织了一次会外活动，请 NIE 伙伴和非政府组织讲述基金的项目创新和可复制性，董事会主席宣布了三个新的创新供资窗口。

66. 基金还组织了两次媒体活动，展示项目伙伴、基金项目的可扩展性和新赠款，并帮助促进成功的公开捐助者对话，对话中宣布对基金近 1.29 亿美元新的认捐。发言者包括：《气候公约》执行秘书帕特里夏·埃斯皮诺萨，斐济总理兼 COP 23 主席乔萨亚·沃伦盖·姆拜尼马拉马，瑞典环境大臣卡罗琳娜·斯库格，比利时瓦隆大区预算、财政、能源、气候和机场部长让-吕克·克吕克，比利时布鲁塞尔首都区政府负责住房、生活质量、环境和能源事务的部长塞利娜·弗勒莫时，卢旺达环境部长万桑·比鲁塔，德国联邦环境、自然保护和核安全部国际和欧洲政策、气候政策司长卡斯滕·扎赫，法国财政部气候、环境和农业负责人阿德里安·扎哈楚克，欧盟委员会气候行动司长总干事拉法埃莱·毛罗·彼得里乔尼，出席 COP 24 的新西兰代表团团长安娜·布罗德赫斯特，意大利环境、土地和海洋部可持续发展、能源和气候司长弗朗切斯科·布拉卡梅拉，牙买加经济增长和创造就业部气候变化司适应问题高级技术干事勒-安妮·罗佩尔；INDIGO 南非公司项目经理埃琳·洛里默和董事会主席维克托·比尼亚斯。

67. 在 COP 24、SB 50 和其他重大气候会议上举行了许多其他会外活动和会议，来自各种气候基金、NIEs、民间社会组织和缔约方的发言者出席了会议。董事会还与法语国家可持续发展研究所合作，在 COP 24 期间在法语国家馆为法语国家组织了一次法语会外活动，主题是适应方面的创新和知识。

E. 参加会议和活动情况

68. 董事会董事和秘书处参加了若干活动以宣传基金的经验，这些活动包括对智利和卢旺达项目场地的实地访问。除董事会和秘书处组织的董事会会议、认证小组会议和准备相关活动(如上文第 60 和 61 段所述)以外，秘书处和董事会还参加了下列活动：

(a) 资金问题常设委员会论坛“气候资金架构：加强合作，抓住机遇”(2018 年 7 月 5 日至 6 日，松多)；

(b) 适应委员会：国家适应目标/指标及其与可持续发展目标和仙台减少灾害风险框架之间关系(2018 年 7 月 24 日至 25 日，东京)；

(c) 适应问题区域技术专家会议(第二十七次亚洲太平洋气候变化研讨会)(2018 年 7 月 26 日至 27 日，东京)；

(d) SB 48.2 及巴黎协定特设工作组第一届会议第六期会议(2018 年 9 月 4 日至 9 日，曼谷)；

(e) 2018 年纽约市气候周(2018 年 9 月 27 日至 28 日，美国纽约)；

- (f) CTCN 咨询委员会第 12 次会议(2018 年 10 月 4 日, 维也纳);
- (g) CTCN “技术需要评估第三期”项目全球启动研讨会(2018 年 10 月 17 日至 18 日, 曼谷);
- (h) 最不发达国家集团磋商研讨会(2018 年 11 月 14 日至 15 日, 埃塞俄比亚的斯亚贝巴);
- (i) 非洲绿色增长论坛和非洲绿色增长投资论坛(2018 年 11 月 26 日至 30 日, 卢旺达基加利);
- (j) C40 城市资金设施工厂(2018 年 11 月 28 日至 29 日, 德国柏林);
- (k) 城市气候资金领导联盟、项目预先准备实践者论坛(2018 年 11 月 30 日, 柏林);
- (l) COP 24 和 CMP 14(2018 年 12 月 2 日至 14 日, 卡托维兹);
- (m) 与《气候公约》组成机构举行的科罗尼维亚农业联合工作研讨会(2018 年 12 月 3 日, 卡托维兹);
- (n) COP 24 关于 2020 年前执行工作和雄心的盘点(2018 年 12 月 5 日);
- (o) 拉丁美洲和加勒比可持续发展第四次年会: “推动拉丁美洲和加勒比的适应和气候融资”(2019 年 2 月 22 日至 23 日, 美国康涅狄格州纽黑文);
- (p) SB 50(2019 年 6 月 17 日至 27 日, 波恩);
- (q) 性别与气候变化研讨会——性别问题利马工作方案及其性别行动计划的影响(2019 年 6 月 16 日至 18 日, 波恩);
- (r) 关于评估适应、适应连带效益和复原力的方法和方针的科罗尼维亚农业联合工作研讨会(2019 年 6 月 17 日至 18 日, 波恩);
- (s) 第 8 届德班能力建设论坛和 PCCB 第 3 次会议(2019 年 6 月 20 日至 22 日, 波恩);
- (t) 适应问题技术专家会议(2019 年 6 月 25 日至 26 日, 波恩);
- (u) 2019 年 ICLEI 韧性城市(2019 年 6 月 26 日至 28 日, 波恩);
- (v) 气候基金董事会第 20、第 21 和第 22 次会议;
- (w) 环境基金理事会第 55 和第 56 次会议

F. 与民间社会组织的对话

69. 董事会在第 12 次会议上启动了与民间社会组织的定期对话会议, 以便听取这些组织的建议、获取对董事会议程上各项问题的反馈, 并交流意见。这些对话会议是董事会议程的一部分。基金 2018-2022 年中期战略指出, 民间社会以各种方式为基金做出贡献, 包括资源调动、所支持项目的实时更新和评估、预期受益者的投入以及知识管理。报告指出, 尽管目前的做法在透明度乃至对民间社会组织的负责方面相当有效, 但仍有改进的余地, 董事会的目标是与适应基金非政府组织网络合作, 探索在 2018-2022 年期间加强合作的模式。

70. 应适应基金非政府组织网络的邀请，董事会秘书处参加了 COP 24 后举行的网络战略研讨会。这为适应基金非政府组织网络提供了一个机会，以便向董事会秘书处建议如何使该网络更积极地参与董事会会议和基金的工作。在作为 2019 年 3 月 14 日董事会第 33 次会议一部分的定期对话会议上，一些建议也传达给了董事会，董事会适当审议了这些建议。

71. 在第 33 次会议上，董事会讨论了民间社会的参与，并决定与民间社会协商，借鉴其他气候基金的经验，探讨进一步加强民间社会参与和介入理事会工作的备选方案。²⁹

三. 向适应基金董事会执行任务提供的支持

72. CMP 5 鼓励附件一缔约方和国际组织除了清洁发展机制项目活动的收益分成以外，向适应基金提供资金。³⁰ CMP 7 继续鼓励附件一缔约方和国际组织提供资金³¹。

73. 董事会在第 22 次会议上核准了一项供资战略，在第 28 次会议上核准了经修订的资源筹集战略，并在第 29 次会议上核准了一项资源筹集行动计划。董事会是在 COP 24 和 CMP 14 期间与捐款方举行了一次对话会议。这次对话首次向观察员开放，吸引了大量观众。计划在 COP 25 和 CMP 15(2019 年 12 月)期间再举行一次会议。

74. 鉴于成功实现并超过了通过附件一缔约方及其区域捐款，在 2012 年 3 月 16 日至 2013 年 12 月 31 日期间筹集 1 亿美元的初步筹资目标，董事会设立了第二个筹资目标——在 2014 年 1 月 1 日至 2015 年 12 月 31 日的两年期内每年筹集 8,000 万美元——和第三个筹资目标——在 2016 年 1 月 1 日至 2017 年 12 月 31 日的两年期内每年筹集 8,000 万美元。

75. 董事会在第 31 次会议上听取了筹资工作组在董事会会议期间举行的一次会议的成果报告及报告所载的一项建议，随后决定为 2018 年 1 月 1 日至 2019 年 12 月 31 日两年期制订每年筹集 9,000 万美元的新的筹资目标。³² 工作组讨论了围绕特别专题或主题筹集额外资金的可能性，这些专题包括基金中期战略的创新支柱。工作组审查了正在进行的筹资活动和针对新捐助方的外联战略。

76. 在报告期内，基金在 2018 年收到创纪录的 1.29 亿美元新认捐额，超过了 2018 年的目标。这些认捐来自欧盟委员会(1,000 万欧元，相当于 1,140 万美元)和比利时布鲁塞尔首都区政府(50 万欧元(50 万美元))。法国(1,500 万欧元(1,710 万美元))。德国(7,000 万欧元(7,960 万美元))。爱尔兰(30 万欧元(30 万美元))。意大利(700 万欧元(790 万美元))。新西兰(300 万新西兰元(200 万美元))、瑞典

²⁹ 董事会决定 B.33/54。

³⁰ 第 4/CMP.5 号决定第 9 段。

³¹ 第 6/CMP.7 号决定第 5 段。

³² 董事会决定 B.31/31。

(5,000 万瑞典克朗(550 万美元))和比利时瓦隆大区(400 万欧元(450 万美元))³³。2019 年,在报告期内,除上述捐款外,基金还收到加拿大魁北克省政府的 220 万美元,加拿大。董事会感谢所有这些国家政府在帮助基金实现 2018 年和 2019 年资源调动目标方面发挥的作用。董事会还确认 COP 23 主席国斐济、COP 24 主席国波兰、《气候公约》和董事会秘书处以及托管人对其资源调动努力提供的支持。基金捐助者和捐助额的完整名单载于附件七中“CER 销售收入和捐赠”的一节。

77. 在 COP 24 上,基金与《气候公约》秘书处和维萨公司合作,组织了一个创新的捐款平台,COP 与会者可以通过在交互式显示屏上的阅读传感器上点击通用维萨信用卡,帮助为基金筹集资源,显示屏描绘了生态系统和社区在每次连续点击时加强气候复原力的情况。维萨公司为每次点击向基金捐款 3 欧元(3.4 美元)。这场运动很受欢迎,总共有近 20,000 次点击,为基金带来了 67,453 美元。

78. 董事会的筹资工作得到资源筹集工作组的支持,工作组成员包括 Albara E. Tawfiq(沙特阿拉伯,亚洲-太平洋国家)、Lucas di Pietro Paolo(阿根廷,拉丁美洲和加勒比国家)、Aram Ter-Zakaryan(亚美尼亚,东欧国家)、David Kaluba(赞比亚,非洲国家)、Marc-Antoine Martin(法国,附件一缔约方)和 Sylviane Bilgischer(比利时,附件一缔约方)。

79. 2012 年,基金通过与联合国基金会合作设立的一个在线渠道,为私营部门和个人向基金捐款提供机会。在报告期内,基金定期在社交媒体渠道上宣传捐款的可能性以及基金的筹集目标和成果。

80. 根据第 1/CMP.3 号决定第 18 段,董事会秘书处专职官员小组由 10 名专业工作人员组成,即经理、两名高级气候变化专家、两名业务干事(认证;准备工作协调员)、一名通信干事、一名知识管理干事、两名业务分析员(法律和认证;成果管理制)和一名财务分析师。小组还有一名高级方案助理和三名短期顾问(通信和业务支助)。在报告期内征聘了一名评价干事来协调一个小型专门秘书处,以支持由技术评价咨商小组开展的新的评价职能。在本报告期结束时,将由德国政府出资的一名初级专业人员(气候变化分析员)正要加入秘书处。截至编写本报告时,业务分析员(法律和认证)职位正被改划为业务干事职位,一个短期顾问职位正被改划为长期顾问。

四. 适应基金和《巴黎协定》

81. 在通过《巴黎协定》的第 1/CP.21 号决定中,COP 认识到,该基金可为《巴黎协定》提供服务,但须遵守 CMP 和 CMA 的有关决定³⁴。COP 请 CMP 审议这一问题,并向 CMA 1 提出一项建议。³⁵ CMP 11 启动了这一进程,建议 CMA 1 考虑基金可为《巴黎协定》提供服务。CMP 还请 COP 22 要求《巴黎协定》特设

³³ 截至 2019 年 6 月 30 日,几乎全部认捐资金已汇入适应基金信托基金,只有欧盟委员会的认捐额除外,这一笔也正准备汇入。

³⁴ 第 1/CP.21 号决定,第 59 段。

³⁵ 第 1/CP.21 号决定,第 60 段。

工作组开展有关这一问题的必要筹备工作并向 CMP 转交一项建议，供其最迟在 CMP 15(2019 年 11 月)上审议并通过。³⁶ 这些规定为考虑使基金成为《巴黎协定》的服务机构之一确立了路线图。

82. CMA 1 和 CMP 14 决定，自 2019 年 1 月 1 日起，基金应在《巴黎协定》所有相关事项上接受 CMA 的指导并对其负责，一旦《巴黎协定》第六条第 4 款规定的收益分成到位，基金应专门为《巴黎协定》服务。关于资金来源，CMP14 按照 CMA 1 的建议，决定基金应继续获得《京都议定书》第六、第十二和第十七条之下活动的收益分成(如果有的话)。CMA 1 决定基金应由《巴黎协定》第六条第 4 款建立的机制所得的收益分成以及各种自愿性公共和私人资金来源提供资金。关于董事会成员组成，CMP 14 请 SBI 50(2019 年 6 月)考虑在董事会任职的资格要求，并向 CMP 15(2019 年 12 月)提出一项建议³⁷。

83. CMP 14 请董事会审议以下事项，并向 CMP 15 提出建议，以将建议转交 2019 年 12 月 CMA 2: (1) 董事会议事规则；(2) 基金关于《巴黎协定》的安排；(3) 确保基金顺利为《巴黎协定》服务的任何其他事项；(4) 当基金为《巴黎协定》服务时，基金接受《京都议定书》第六条、第十二条和第十七条之下活动收益分成的影响³⁸。

84. 董事会在 2019 年 3 月 14 日至 15 日第 33 次会议上讨论了 CMP 14 和 CMA 1 的决定产生的问题³⁹，决定设立一个工作组，就第 1/CMP.14 号决定布置的任务向董事会秘书处提供指导，并在订于 2019 年 10 月 10 日至 11 日举行的第 34 次会议之外加开一次会议，讨论这一事项。⁴⁰

85. 董事会于 2019 年 6 月 28 日至 29 日加开了一次会议(AFB.B.33.b)，讨论与第 1/CMP.14 号决定第 6 段所载任务有关的事项⁴¹，并就下述问题作出决定：(1) 世界银行作为临时托管人提供托管服务的条款和条件；(2) 与环境基金关于向董事会提供秘书处服务的谅解备忘录；(3) 董事会的议事规则；(4) 当基金为《巴黎协定》服务时，基金接受《京都议定书》第六条、第十二条和第十七条之下活动收益分成的影响；(5) 确保基金顺利为《巴黎协定》服务的任何其他事项⁴²。董事会将在第 34 次会议上审议这一事项，并在本报告增编中介绍审议结果和建议。

³⁶ 第 1/CMP.11 号决定，第 8 和第 9 段。

³⁷ 第 13/CMA.1 号决定，第 1-3 和第 5 段；第 1/CMP.14 号决定，第 1-3 和第 5 段。

³⁸ 第 1/CMP.14 号决定，第 6 段。

³⁹ 根据董事会文件 AFB/B.33/11，可查阅 <https://www.adaptation-fund.org/document/decisions-cmp14-cma1-related-adaptation-fund-relevant-matters-considered-adaptation-fund-board/>。

⁴⁰ 董事会决定 B.33/52。

⁴¹ 董事会审议了 AFB/B.33.b/3 号文件，可查阅 <https://www.adaptation-fund.org/document/matters-related-mandate-contained-paragraph-6-decision-1-cmp-14/>。

⁴² 董事会文件 AFB/B.33.b/4，可查阅 <https://www.adaptation-fund.org/document/decisions-of-the-additional-meeting-33-b-of-the-adaptation-fund/>。

Annex I

Adaptation Fund Board members and alternate members

[English only]

<i>Term of office^a</i>	<i>Position</i>	<i>Name</i>	<i>Country</i>	<i>Constituency represented</i>	
Mar. 2018– Mar. 2020 (elected at CMP 13) ^b	Member	David Kaluba	Zambia	African States	
	Alternate	Admasu Nebebe Gedamu	Ethiopia	African States	
	Member	Mirza Shawkat Ali	Bangladesh	Asia-Pacific States	
	Alternate	Massoud Rezvanian Rahaghi (replaced by Sheida Asgharzadeh Ghahroudi)	Islamic Republic of Iran	Asia-Pacific States	
	Member	Aram Ter-Zakaryan	Armenia	Eastern European States	
	Alternate	Ardiana Sokoli	Albania	Eastern European States	
	Member	Lucas di Pietro Paolo	Argentina	Latin American and Caribbean States	
	Alternate	Philip Weech	Bahamas	Latin American and Caribbean States	
	Member	Barbara Schäfer (replaced by Claudia Keller)	Germany	Western European and other States	
	Alternate	Aida Velasco (replaced by Susana Castro-Acuña Baixauli)	Spain	Western European and other States	
	Member	Chebet Maikut	Uganda	LDCs	
	Alternate	Naresh Sharma (replaced by Tshering Tashi (Bhutan))	Nepal	LDCs	
	Member	Sylviane Bilgischer	Belgium	Annex I Parties	
	Alternate	Yuka Greiler (replaced by Patrick Sieber)	Switzerland	Annex I Parties	
	Mar. 2019– Mar. 2021 (elected at CMP 14)	Member	Charles Mutai	Kenya	Non-Annex I Parties
		Alternate	Ding	China	Non-Annex I Parties
Member		Ibila Djibril	Benin	African States	
Alternate		Mohamed Zmerli	Tunisia	African States	
Member		Albara E. Tawfiq	Saudi Arabia	Asia-Pacific States	
Alternate		Ahmed Waheed	Maldives	Asia-Pacific States	
Member		Umayra Taghiyeva	Azerbaijan	Eastern European States	
Alternate		Monika Antosik	Poland	Eastern European States	
Member		Victor Viñas	Dominican Republic	Latin American and Caribbean States	
Alternate		Yadira Gonzales Columbié	Cuba	Latin American and Caribbean States	
Member		Eleonora Cogo	Italy	Western European and other States	
Alternate		Nomination pending		Western European and other States	
Member		Nilesh Prakash	Fiji	SIDS	
Alternate		Paul Elreen Phillip	Grenada	SIDS	

<i>Term of office^a</i>	<i>Position</i>	<i>Name</i>	<i>Country</i>	<i>Constituency represented</i>
	Member	Mattias Broman	Sweden	Annex I Parties
	Alternate	Marc-Antoine Martin	France	Annex I Parties
	Member	Nomination pending		Non-Annex I Parties
	Alternate	Evans Njewa	Malawi	Non-Annex I Parties

^a Members and alternate members will serve for a term of two years and be eligible to serve a maximum of two consecutive terms (see decision 1/CMP.3). At CMP 7, half of the members of the Board and their alternate members from the same group continue to serve in office for one additional and final year. The terms as members do not count towards the terms as alternate members, and terms as alternate members do not count towards the terms as members (see decision 1/CMP.4).

^b The term of office of a member or an alternate will start at the first meeting of the Board in the calendar year following his or her election and end immediately before the first meeting of the Board in the calendar year in which the term ends (see decision 4/CMP.5).

Annex II

Approved and actual budget for the 2019 fiscal year and approved budget for the 2020 fiscal year of the Adaptation Fund Board, secretariat and trustee

[English only]

<i>Budget item</i>	<i>Approved 2019 fiscal year (USD)</i>	<i>Actual 2019 fiscal year (USD)</i>	<i>Approved 2020 fiscal year (USD)</i>
Board and its secretariat			
Personnel	2 924 519	2 606 753	2 996 361
Travel	422 000	377 431	415 500
General operations	333 284	349 490	413 500
Meetings	250 800	237 749	229 362
Sub-total secretariat administrative services (a)	3 930 603	3 571 423	4 054 723
Accreditation (b)	546 040	431 215	537 900
Readiness Programme for Climate Finance (c)	624 550	446 012	654 814
Sub-total secretariat (a) + (b) + (c)	5 101 193	4 448 650	5 247 437
Evaluation function			
Personnel	301 272	60 816	376 843
Travel	76 000	7 388	81 000
General operations	–	–	31 000
Meetings	5 000	–	5 000
Evaluation	–	–	300 000
Sub-total evaluation function	382 272	68 204	793 843
Trustee			
Monetization of certified emissions reductions	180 000	180 000	180 000
Financial and programme management	225 000	198 000	225 000
Investment management	131 250	156 158	192 150
Accounting and reporting	30 000	30 000	40 000
Legal services	20 000	20 000	45 000
External audit	–	–	–
Sub-total trustee	586 250	584 158	682 150
Grand total	6 069 715	5 101 012	6 423 430

Annex III

Accredited implementing entities¹

[English only]

A. National implementing entities

AGCID (Chile)
Agency for Agricultural Development (Morocco)
Agencia Nacional de Investigación e Innovación (Uruguay)
Banque Agricole du Niger (Niger)
BTFEC (Bhutan)
CSE (Senegal)
Department of Environment (Antigua and Barbuda)
Dominican Institute of Integral Development (Dominican Republic)
DRFN (Namibia)
EPIU (Armenia)
Fundación Natura (Panama)
Fundecooperación para el Desarrollo Sostenible (Costa Rica)
Mexican Institute of Water Technology (Mexico)
Micronesia Conservation Trust (Federated States of Micronesia)
Ministry of Finance and Economic Management (Cook Islands)
Ministry of Natural Resources (Rwanda)
Ministry of Water and Environment (Uganda)
Micronesia Conservation Trust (Federated States of Micronesia)
Ministry of Finance and Economic Development (Ethiopia)
Ministry of Finance and Economic Management (Cook Islands)
Ministry of Planning and International Cooperation (Jordan)
NABARD (India)
National Environment Fund (Benin)
National Environment Management Authority (Kenya)
NEMC (United Republic of Tanzania)
Partnership for Governance Reform in Indonesia (Indonesia)
Peruvian Trust Fund for National Parks and Protected Areas (Peru)
Planning Institute of Jamaica (Jamaica)
Protected Areas Conservation Trust (Belize)
South African National Biodiversity Institute (South Africa)
Unidad para el Cambio Rural (Argentina)

B. Multilateral implementing entities

AfDB
Asian Development Bank
European Bank for Reconstruction and Development
IBRD
IFAD
Inter-American Development Bank
UNDP
UNEP
UNESCO
UN-Habitat
WFP
WMO

¹ Presented in alphabetical order.

C. Regional implementing entities

BOAD (Western Africa)

CAF (Latin America and the Caribbean)

CDB (Latin America and the Caribbean)

Central American Bank for Economic Integration (Latin America and the Caribbean)

OSS (Northern, Western and Eastern Africa)

SPREP (Pacific)

Annex IV

Project-related funding decisions by the Adaptation Fund Board between 1 July 2018 and 30 June 2019

[English only]

Table 1

Project-related funding decisions made during the intersessional period between the 31st and 32nd meetings of the Board

(United States dollars)

<i>Region/country</i>	<i>Implementing entity</i>	<i>Document reference</i>	<i>Total funding requested</i>	<i>NIE</i>	<i>RIE</i>	<i>MIE</i>	<i>Decision</i>	<i>Funding set aside</i>
Projects and programmes: single-country, full proposals								
Armenia	EPIU	AFB/PPRC.22-23/5	1 435 100	1 435 100			Not approve	0
Ecuador	CAF	AFB/PPRC.22-23/6	2 489 373		2 489 373		Approve	2 489 373
Togo	BOAD	AFB/PPRC.22-23/7	10 000 000		10 000 000		Not approve	0
Cameroon	IFAD	AFB/PPRC.22-23/8	9 982 000			9 982 000	Not approve	0
Mongolia	UN-Habitat	AFB/PPRC.22-23/9	4 495 235			4 495 235	Approve	4 495 235
Sub-total			28 401 708	1 435 100	12 489 373	14 477 235		6 984 608
Projects and programmes: regional, full proposals								
Benin, Burkina Faso, Ghana, Niger, Togo	BOAD	AFB/PPRC.22-23/12	14 000 000		14 000 000		Approve	14 000 000
Chile, Ecuador	CAF	AFB/PPRC.22-23/13	13 910 400		13 910 400		Approve	13 910 400
Benin, Burkina Faso, Niger	OSS	AFB/PPRC.22-23/14	11 536 200		11 536 200		Not approve	0
Madagascar, Malawi, Mozambique and Comoros	UN-Habitat	AFB/PPRC.22-23/16	13 997 423			13 997 423	Not approve	0
Sub-total			53 444 023	0	39 446 600	13 997 423		27 910 400

Project formulation grants: regional concepts							
Djibouti, Kenya, Uganda, Sudan	OSS	AFB/PPRC.22- 23/15/Add.1	80 000		80 000	Approve	80 000
Côte d'Ivoire, Ghana	UN-Habitat	AFB/PPRC.22- 23/10/Add.1	100 000			Approve	100 000
Kazakhstan, Tajikistan, Uzbekistan	UNESCO	AFB/PPRC.22- 23/11/Add.1	77 200			Approve	77 200
Sub-total			257 200	0	80 000		177 200
Concepts: single country							
Uganda	AfDB	AFB/PPRC.22-23/4	2 249 000			Not endorse	-
Sub-total			2 249 000				2 249 000
Concepts: regional							
Djibouti, Kenya, Sudan, Uganda	OSS	AFB/PPRC.22-23/15	13 079 540		13 079 540	Endorse	'
Côte d'Ivoire, Ghana	UN-Habitat	AFB/PPRC.22-23/10	14 000 000			Endorse	-
Kazakhstan, Tajikistan, Uzbekistan	UNESCO	AFB/PPRC.22-23/11	5 000 000			Endorse	-
Sub-total			32 079 540	0	13 079 540		19 000 000
Grand total			116 431 471	1 435 100	65 095 513		49 900 858
							35 152 208

Table 2
Project-related funding decisions made at the 32nd meeting of the Board

(United States dollars)

<i>Country</i>	<i>Implementing entity</i>	<i>Document reference</i>	<i>Total funding requested</i>	<i>NIE</i>	<i>RIE</i>	<i>MIE</i>	<i>Decision</i>	<i>Funding set aside</i>
Projects and programmes: single-country, full proposals								
Indonesia (1)	Kemitraan	AFB/PPRC.23/7	835 465	835 465			Not approve	0
Armenia (1)	EPIU	AFB/PPRC.23/8	2 506 000	2 506 000			Not approve	0
Armenia (2)	EPIU	AFB/PPRC.23/9	1 498 100	1 498 100			Approve	1 498 100
Dominican Republic	IDDI	AFB/PPRC.23/10	9 953 692	9 953 692.35			Not approve	0
Indonesia (2)	Kemitraan	AFB/PPRC.23/11	4 127 065	4 127 065			Not approve	0
Namibia	DRFN	AFB/PPRC.23/12	5 000 000	5 000 000			Not approve	0
Turkmenistan	UNDP	AFB/PPRC.23/14	7 000 040			7 000 040	Not approve	0
Sub-total			30 920 362	23 857 322		7 000 040		
Concepts: single country								
Indonesia (1)	Kemitraan	AFB/PPRC.23/15	984 000	984 000			Not endorse	-
Indonesia (2)	Kemitraan	AFB/PPRC.23/16	999 989	999 989			Not endorse	-
Indonesia (3)	Kemitraan	AFB/PPRC.23/17	998 000	998 000			Not endorse	-
Indonesia (4)	Kemitraan	AFB/PPRC.23/18	598 724	598 724			Not endorse	-
Bhutan	BT FEC	AFB/PPRC.23/19	10 000 000	10 000 000			Not endorse	-
Kiribati	SPREP	AFB/PPRC.23/20	8 218 875		8 218 875		Endorse	-
Lao People's Democratic Republic	UN-Habitat	AFB/PPRC.23/21	5 500 000			5 500 000	Endorse	-
Pakistan	UN-Habitat	AFB/PPRC.23/22	6 094 000			6 094 000	Not endorse	-
Sudan	UN-Habitat	AFB/PPRC.23/23	9 982 000			9 982 000	Not endorse	-
Uganda	AfDB	AFB/PPRC.23/24	2 249 000			2 249 000	Endorse	-
Malawi	WFP	AFB/PPRC.23/25	9 989 335			9 989 334	Endorse	-
Zimbabwe	UNESCO	AFB/PPRC.23/26	9 982 000			9 982 000	Not endorse	-
Sub-total			65 595 923	13 580 713	8 218 875	53 795 735		

Country	Implementing entity	Document reference	Total funding requested	NIE	RIE	MIE	Decision	Funding set aside
Project formulation grants: single country								
Indonesia (3)	Kemitraan	AFB/PPRC.23/15/Add.1	30 000	30 000			Not approve	0
Indonesia (4)	Kemitraan	AFB/PPRC.23/16/Add.1	30 000	30 000			Not approve	0
Indonesia (5)	Kemitraan	AFB/PPRC.23/17/Add.1	30 000	30 000			Not approve	0
Indonesia (6)	Kemitraan	AFB/PPRC.23/18/Add.1	30 000	30 000			Not approve	0
Bhutan	BT FEC	AFB/PPRC.23/19/Add.1	30 000	30 000			Not approve	0
Sub-total			150 000	150 000				
Projects/programmes: regional, full proposals								
Benin, Burkina Faso, Côte d'Ivoire, Ghana, Mali and Togo	WMO	AFB/PPRC.23/27	7 920 000			7 920 000	Approve	7 920 000
Mauritius, Seychelles	UNDP	AFB/PPRC.23/28	10 000 000			10 000 000	Approve	10 000 000
Sub-total						17 920 000		17 920 000
Concepts: Regional								
Chile, Colombia, Peru	WMO	AFB/PPRC.23/29	7 398 000			7 398 000	Endorse	-
Sub-total			7 398 000					
Project formulation grants: regional, concepts								
Chile, Colombia, Peru	WMO	AFB/PPRC.23/29/Add.1				79 974	Approve	79 974
Sub-total						79 974		79 974
Pre-concepts: regional								
Argentina, Brazil, Paraguay	UN-Habitat	AFB/PPRC.23/30	14 000 000			14 000 000	Endorse	-
Armenia, Georgia	UNDP	AFB/PPRC.23/31	4 990 000			4 990 000	Endorse	-
Cambodia, Nepal, Thailand, Philippines	UNDP	AFB/PPRC.23/32	13 662 863			13 662 863	Endorse	-
El Salvador, Honduras	WFP	AFB/PPRC.23/33	13 900 478			13 900 478	Endorse	-
Lebanon, Jordan	UN-Habitat	AFB/PPRC.23/34	14 000 000			14 000 000	Endorse	-
Sub-total			60 553 341	0	0	72 562 466		
Grand total			182 734 600	37 586 924	8 300 000	146 777 690		19 515 074

Table 3
Project-related funding decisions made at the 33rd meeting of the Board
 (United States dollars)

<i>Country/region</i>	<i>Implementing entity</i>	<i>Document reference</i>	<i>Total funding requested</i>	<i>NIE</i>	<i>RIE</i>	<i>MIE</i>	<i>Decision</i>	<i>Funding set aside</i>
Full proposals: single-country								
Indonesia (1)	Kemitraan	AFB/PPRC.24/8	835 465	835 465			Not approve	0
Armenia	EPIU	AFB/PPRC.24/9	2 506 000	2 506 000			Approve	2 506 000
Dominican Republic	IDDI	AFB/PPRC.24/10	9 953 692	9 953 692			Approve	9 953 692
Indonesia (2)	Kemitraan	AFB/PPRC.24/11	4 127 065	4 127 065			Not approve	0
Saint Lucia	CDB	AFB/PPRC.24/12	9 858 570		9 858 570		Not approve	0
Bangladesh	UNDP	AFB/PPRC.24/13	9 995 369			9 995 369	Approve	9 995 369
Cambodia	UN-Habitat	AFB/PPRC.24/14	5 000 000			5 000 000	Not approve	0
Georgia	IFAD	AFB/PPRC.24/15	4 644 794			4 644 794	Not approve	0
Islamic Republic of Iran	UNDP	AFB/PPRC.24/16	9 865 651			9 865 651	Not approve	0
Lao People's Democratic Republic	UN-Habitat	AFB/PPRC.24/17	5 500 000			5 500 000	Not approve	0
Lesotho	WFP	AFB/PPRC.24/18	9 999 891			9 999 891	Not approve	0
Sierra Leone	IFAD	AFB/PPRC.24/19	9 916 925			9 916 925	Not approve	0
Tajikistan	UNDP	AFB/PPRC.24/20	9 996 441			9 996 441	Not approve	0
Turkmenistan	UNDP	AFB/PPRC.24/21	7 000 040			7 000 040	Not approve	0
Uganda	AfDB	AFB/PPRC.24/22	2 249 000			2 249 000	Not approve	0
Sub-total			101 448 903	17 422 222	9 858 570	74 168 111		22 455 061
Concepts: single-country								
United Republic of Tanzania (1)	NEMC	AFB/PPRC.24/23	1 400 000	1 400 000			Endorse	-
United Republic of Tanzania (2)	NEMC	AFB/PPRC.24/24	1 200 000	1 200 000			Endorse	-
United Republic of Tanzania (3)	NEMC	AFB/PPRC.24/25	1 280 000	1 280 000			Endorse	-
Afghanistan	UNDP	AFB/PPRC.24/26	9 432 556			9 432 556	Endorse	-
Congo	WFP	AFB/PPRC.24/27	9 932 901			9 932 901	Endorse	-
Malawi	AfDB	AFB/PPRC.24/28	4 662 000			4 662 000	Endorse	-
Republic of Moldova	IFAD	AFB/PPRC.24/29	6 035 421			6 035 421	Endorse	-

<i>Country/region</i>	<i>Implementing entity</i>	<i>Document reference</i>	<i>Total funding requested</i>	<i>NIE</i>	<i>RIE</i>	<i>MIE</i>	<i>Decision</i>	<i>Funding set aside</i>
Pakistan	UN-Habitat	AFB/PPRC.24/30	6 094 000			6 094 000	Endorse	-
Viet Nam	UN-Habitat	AFB/PPRC.24/31	5 754 840			5 754 840	Not endorse	-
Zimbabwe	UNESCO	AFB/PPRC.24/32	4 817 400			4 817 400	Endorse	-
Sub-total			50 609 118	3 880 000		46 729 118		
Project formulation grants: single-country								
United Republic of Tanzania (1)	NEMC	AFB/PPRC.24/23/Add.1	30 000	30 000			Approve	30 000
United Republic of Tanzania (2)	NEMC	AFB/PPRC.24/24/Add.1	30 000	30 000			Approve	30 000
United Republic of Tanzania (3)	NEMC	AFB/PPRC.24/25/Add.1	30 000	30 000			Approve	30 000
Sub-total			90 000	90 000				90 000
Full Proposals: regional								
Argentina, Uruguay	CAF	AFB/PPRC.24/33	13 999 996		13 999 996		Waitlist (3)	0
Benin, Burkina Faso, Niger	OSS	AFB/PPRC.24/34	11 536 200		11 536 200		Waitlist (1)	
Albania, North Macedonia, Montenegro	UNDP	AFB/PPRC.24/35	9 927 750			9 927 750	Approve	9 927 750
Madagascar, Malawi, Mozambique, Comoros	UN-Habitat	AFB/PPRC.24/37	13 997 423			13 997 423	Waitlist (2)	0
Thailand, Viet Nam	UNEP	AFB/PPRC.24/38	7 000 000			7 000 000	Not approve	0
Sub-total			56 461 369		25 536 196	30 925 173		9 927 750
Concepts: regional								
Jordan, Lebanon	UN-Habitat	AFB/PPRC.24/39	14 000 000			14 000 000	Endorse	-
Sub-total			14 000 000			14 000 000		
Project formulation grants: regional concepts								
Jordan, Lebanon	UN-Habitat	AFB/PPRC.24/39/Add.1	80 000			80 000	Approve	80 000
Sub-total			80 000			80 000		80 000
Pre-concepts: regional								
Belize, Guatemala, Honduras	UNEP	AFB/PPRC.24/40	12 260 500			12 260 500	Endorse	-
Sub-total			12 260 500			12 260 500		
Grand total			234 949 890	21 392 222	35 394 766	178 162 902		32 552 811

Figure 1

Fully developed project and programme proposals approved by the Adaptation Fund Board between 1 July 2018 and 30 June 2019, by sector

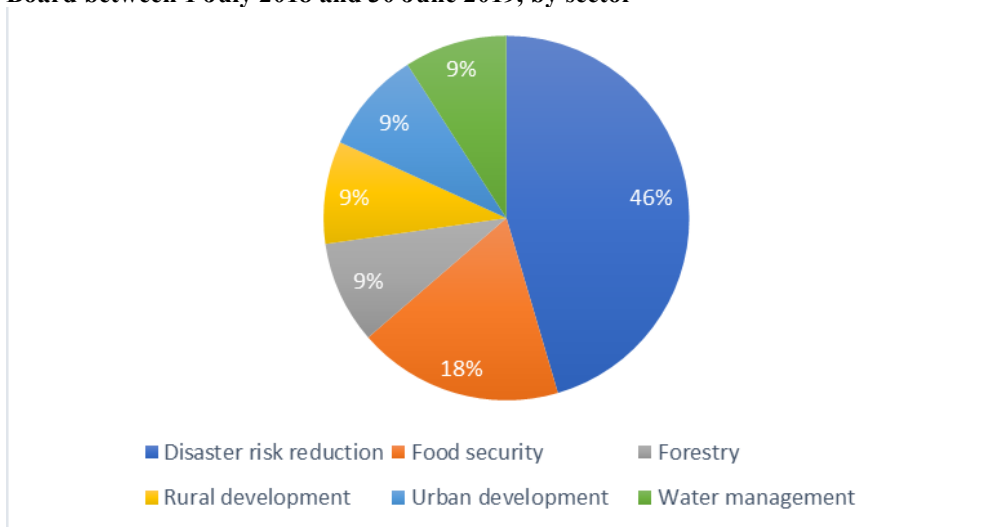


Figure 2

Project and programme pre-concepts and concepts endorsed by the Adaptation Fund Board between 1 July 2018 and 30 June 2019, by sector

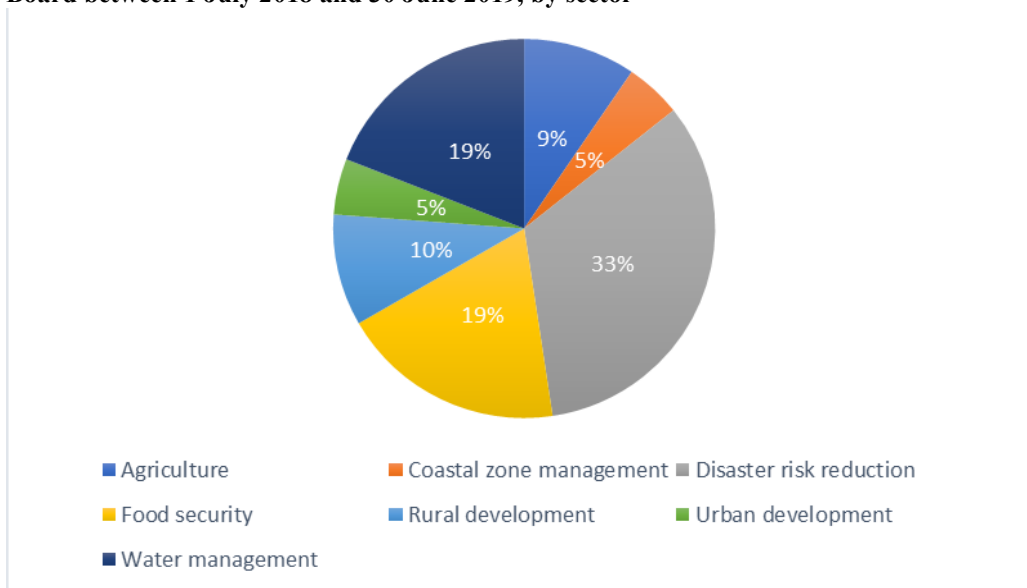


Figure 3

Status of the portfolio of projects/programmes approved by the Adaptation Fund Board as at 30 June 2019 by allocated amount, per sector

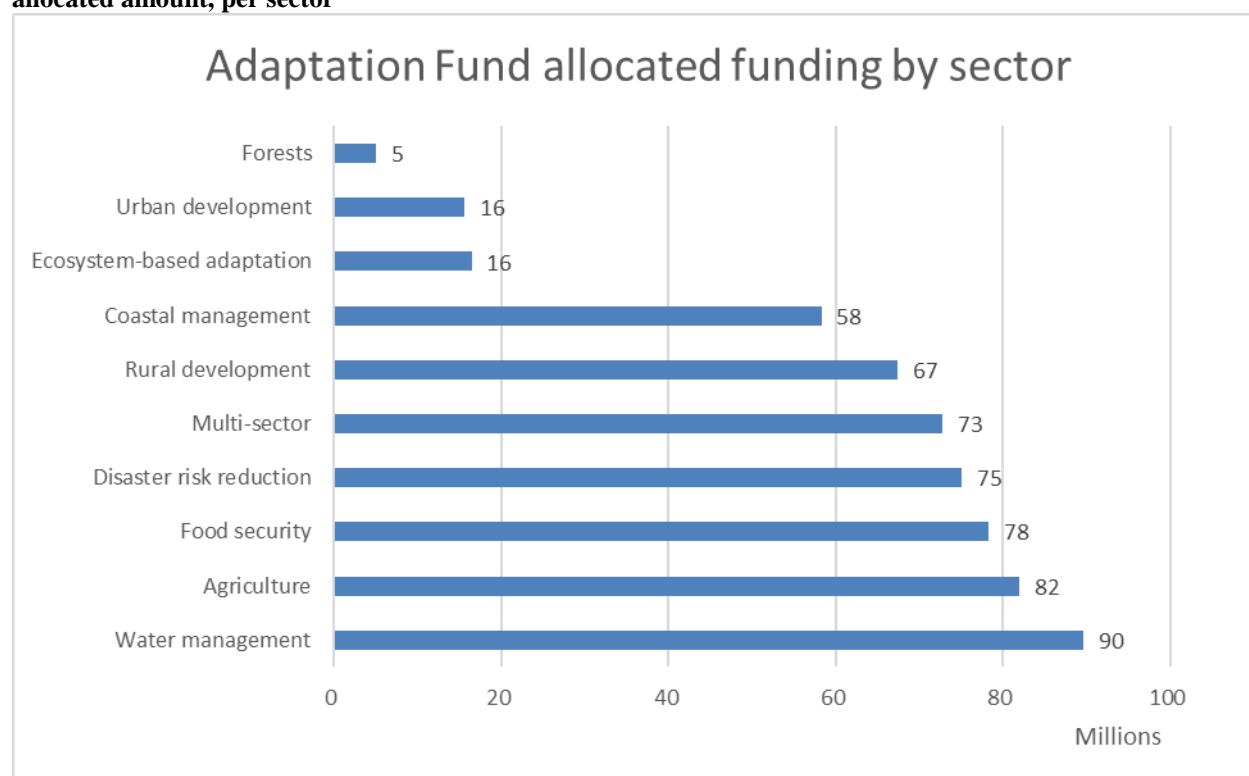


Table 4

Funding decisions made for projects under the Readiness Programme for Climate Finance during the reporting period

(United States dollars)

Country	Implementing entity	Document reference	Requested amount	NIE	Set-aside funds	Decision
Technical assistance grants						
Armenia	EPIU	AFB/PPRC.23-24/4	19 500	19 500	19 500	Approved
Bhutan	BTFEC	AFB/PPRC.23-24/2	25 000	25 000	25 000	Approved
Dominican Republic	IDDI	AFB/PPRC.23-24/3	22 700	22 700	22 700	Approved
Sub-total			67 200	67 200	67 200	
South-South cooperation grants						
Afghanistan	NABARD (India)	AFB/PPRC.23-24/5	50 000	50 000	50 000	Approved
Mauritius	CSE (Senegal)	AFB/PPRC.23-24/6	49 910	49 910	49 910	Approved
Sub-total			99 910	99 910	99 910	

Annex V

Status of the portfolio of the Adaptation Fund

[English only]

Table 1

Status of the portfolio of approved projects/programmes by the Adaptation Fund Board as at 30 June 2019

(United States dollars)

<i>Country</i>	<i>Project title</i>	<i>Implementing entity</i>	<i>Approved amount</i>	<i>Amount transferred</i>	<i>Approval date</i>	<i>Project status</i>
Senegal	Adaptation to coastal erosion in vulnerable areas	CSE	8 619 000	8 619 000	17/09/2010	Project closed
Honduras	Addressing climate change risks on water resources in Honduras: increased systemic resilience and reduced vulnerability of the urban poor	UNDP	5 620 300	5 620 300	17/09/2010	Project closed
Turkmenistan	Addressing climate change risks to farming systems in Turkmenistan at national and community level	UNDP	2 929 500	2 929 500	15/12/2010	Project closed
Mauritius	Climate change adaptation programme in the coastal zone of Mauritius	UNDP	9 119 240	6 593 941	15/12/2010	Under implementation
Eritrea	Climate change adaptation programme In water and agriculture in Anseba Region, Eritrea	UNDP	6 520 850	6 520 850	15/12/2010	Under implementation
Solomon Islands	Enhancing resilience of communities in Solomon Islands to the adverse effects of climate change in agriculture and food security	UNDP	5 533 500	5 533 500	15/12/2010	Project closed
United Republic of Tanzania	Implementation of concrete adaptation measures to reduce vulnerability of livelihood and economy of coastal communities in Tanzania	UNEP	5 008 564	5 008 564	15/12/2010	Under implementation
Pakistan	Reducing risks and vulnerabilities from glacier lake outburst floods in Northern Pakistan	UNDP	3 906 000	3 906 000	15/12/2010	Project closed
Nicaragua	Reduction of risks and vulnerability based on flooding and droughts in the Estero Real River watershed	UNDP	5 500 950	5 500 950	15/12/2010	Project closed
Ecuador	Enhancing resilience of communities to the adverse effects of climate change on food security, in Pichincha Province and the Jubones River basin	WFP	7 449 468	7 449 468	18/03/2011	Under implementation

<i>Country</i>	<i>Project title</i>	<i>Implementing entity</i>	<i>Approved amount</i>	<i>Amount transferred</i>	<i>Approval date</i>	<i>Project status</i>
Guatemala	Climate change resilient production landscapes and socioeconomic networks advanced in Guatemala	UNDP	5 425 000	5 425 000	22/06/2011	Project closed
Mongolia	Ecosystem-based adaptation approach to maintaining water security in critical water catchments in Mongolia	UNDP	5 500 000	5 500 000	22/06/2011	Under implementation
Maldives	Increasing climate resilience through an Integrated Water Resource Management Programme in HA. Ihavandhoo, ADh. Mahibadhoo and GDh. Gadhdhoo Island	UNDP	8 989 225	8 989 225	22/06/2011	Project closed
Madagascar	Promoting climate resilience in the rice sector through pilot investments in Alaotra-Mangoro region	UNEP	5 104 925	5 104 925	22/06/2011	Under implementation
Cook Islands	Akamatutu'anga i te iti tangata no te tuatau manakokore ia e te tau'i'anga reva – strengthening the resilience of our islands and our communities to climate change	UNDP	5 381 600	5 381 600	15/09/2011	Project closed
Georgia	Developing climate resilient flood and flash flood management practices to protect vulnerable communities of Georgia	UNDP	5 316 500	5 316 500	16/09/2011	Project closed
Papua New Guinea	Enhancing adaptive capacity of communities to climate change-related floods in the North Coast and Islands Region of Papua New Guinea	UNDP	6 530 373	6 530 373	16/09/2011	Project closed
Samoa	Enhancing resilience of Samoa's coastal communities to climate change	UNDP	8 732 350	8 732 351	16/09/2011	Project closed
Uruguay	Building resilience to climate change and variability in vulnerable smallholders	Agencia Nacional de Investigación e Innovación	9 967 678	9 967 678	14/12/2011	Under implementation
Myanmar	Addressing climate change risks on water resources and food security in the dry zone of Myanmar	UNDP	7 909 026	7 909 026	27/02/2012	Under implementation
Colombia	Reducing risk and vulnerability to climate change in the region of La Depresión Momposina in Colombia	UNDP	8 518 307	7 789 648	15/03/2012	Under implementation
Ghana	Increased resilience to climate change in Northern Ghana through the management of water resources and diversification of livelihoods	UNDP	8 293 972	6 187 351	16/03/2012	Under implementation
Egypt	Building resilient food security systems to benefit	WFP	6 904 318	6 904 318	28/06/2012	Under

<i>Country</i>	<i>Project title</i>	<i>Implementing entity</i>	<i>Approved amount</i>	<i>Amount transferred</i>	<i>Approval date</i>	<i>Project status</i>
	the Southern Egypt region					implementation
Lebanon	Climate smart agriculture: enhancing adaptive capacity of the rural communities in Lebanon (AgriCAL)	IFAD	7 860 825	1 589 200	28/06/2012	Under implementation
Djibouti	Developing agro-pastoral shade gardens as an adaptation strategy for poor rural communities	UNDP	4 658 556	4 658 556	28/06/2012	Under implementation
Mauritania	Enhancing resilience of communities to the adverse effects of climate change on food security in Mauritania	WFP	7 803 605	7 803 605	28/06/2012	Under implementation
Jamaica	Enhancing the resilience of the agricultural sector and coastal areas to protect livelihoods and improve food security	Planning Institute of Jamaica	9 965 000	5 980 360	28/06/2012	Under implementation
Sri Lanka	Addressing climate change impacts on marginalized agricultural communities living in the Mahaweli River Basin of Sri Lanka	WFP	7 989 727	6 568 567	29/06/2012	Under implementation
Cambodia	Enhancing climate resilience of rural communities living in protected areas of Cambodia	UNEP	4 954 273	4 954 273	29/06/2012	Under implementation
Argentina	Increasing climate resilience and enhancing sustainable land management in the southwest of the Buenos Aires Province	IBRD	4 296 817	4 296 817	29/06/2012	Under implementation
Cuba	Reduction of vulnerability to coastal flooding through ecosystem-based adaptation in the south of Artemisa and Mayabeque provinces	UNDP	6 067 320	6 067 320	14/12/2012	Under implementation
Seychelles	Ecosystem based adaptation to climate change in Seychelles	UNDP	6 455 750	4 763 636	20/12/2012	Under implementation
Argentina	Enhancing the adaptive capacity and increasing resilience of small-size agriculture producers of the northeast of Argentina	Unidad para el Cambio Rural	5 640 000	5 640 000	04/04/2013	Under implementation
Belize	Belize Marine Conservation and Climate Adaptation Initiative	IBRD	6 000 000	5 464 967	05/04/2013	Under implementation
Nepal	Adapting to climate induced threats to food production and food security in the Karnali region of Nepal	WFP	9 527 160	2 341 906	04/07/2013	Under implementation
Kenya	Integrated programme to build resilience to climate change & adaptive capacity of vulnerable communities In Kenya	National Environment Management Authority	9 998 302	8 911 082	01/11/2013	Under implementation

<i>Country</i>	<i>Project title</i>	<i>Implementing entity</i>	<i>Approved amount</i>	<i>Amount transferred</i>	<i>Approval date</i>	<i>Project status</i>
Rwanda	Reducing vulnerability to climate change in North West Rwanda through community based adaptation	Ministry of Natural Resources	9 969 619	9 969 619	01/11/2013	Under implementation
Uzbekistan	Developing climate resilience of farming communities in the drought prone parts of Uzbekistan	UNDP	5 415 103	3 925 914	10/02/2014	Under implementation
India	Climate smart actions and strategies in north western Himalayan region for sustainable livelihoods of agriculture-dependent hill communities	NABARD	969 570	504 871	20/03/2014	Under implementation
Morocco	Climate changes adaptation project in oasis zones – PACC-ZO	Agency for Agricultural Development	9 970 000	9 120 350	07/10/2014	Under implementation
South Africa	Building resilience in the greater uMngeni catchment, South Africa	South African National Biodiversity Institute	7 495 055	2 588 273	10/10/2014	Under implementation
India	Conservation and management of coastal resources as a potential adaptation strategy for sea level rise	NABARD	689 264	574 525	10/10/2014	Under implementation
India	Enhancing adaptive capacity and increasing resilience of small and marginal farmers in Purulia and Bankura districts of West Bengal	NABARD	2 510 854	1 255 427	10/10/2014	Under implementation
Costa Rica	Reducing the vulnerability by focusing on critical sectors (agriculture, water resources and coastlines) in order to reduce the negative impacts of climate change and improve the resilience of these sectors	Fundecooperación for Sustainable Development	9 970 000	6 733 657	10/10/2014	Under implementation
South Africa	Taking adaptation to the ground: a small grants facility for enabling local-level responses to climate change	South African National Biodiversity Institute	2 442 682	2 307 018	10/10/2014	Under implementation
Mali	Programme support for climate change adaptation in the vulnerable regions of Mopti and Timbuctou	UNDP	8 533 348	7 331 866	25/03/2015	Under implementation
India	Climate proofing of watershed development projects in the states of Tamil Nadu and Rajasthan	NABARD	1 344 155	940 908	09/04/2015	Under implementation
India	Building adaptive capacities of small inland fishermen community for climate resilience and livelihood security, Madhya Pradesh, India	NABARD	1 790 500	895 260	10/04/2015	Under implementation

<i>Country</i>	<i>Project title</i>	<i>Implementing entity</i>	<i>Approved amount</i>	<i>Amount transferred</i>	<i>Approval date</i>	<i>Project status</i>
Jordan	Increasing the resilience of poor and vulnerable communities to climate change	Ministry of Planning and International Cooperation of Jordan	9 226 000	4 706 391	10/04/2015	Under implementation
Peru	Adaptation to the impacts of climate change on Peru's coastal marine ecosystems and fisheries	Peruvian Trust Fund for National Parks and Protected Areas	6 950 239	2 979 902	09/10/2015	Under implementation
Chile	Enhancing resilience to climate change of the small agriculture in the Chilean region of O'Higgins	Agencia de Cooperación Internacional de Chile	9 960 000	5 878 885	09/10/2015	Under implementation
Niger	Enhancing resilience of agriculture to climate change to support food security in Niger, through modern irrigation techniques	BOAD	9 911 000	1 376 000	05/07/2016	Proposal approved
Uganda	Enhancing resilience of communities to climate change through catchment-based integrated management of water and related resources in Uganda	OSS	7 751 000	3 900 000	05/07/2016	Under implementation
Paraguay	Ecosystem based approaches for reducing the vulnerability of food security to the impacts of climate change in the Chaco region of Paraguay	UNEP	7 128 450	961 591	04/10/2016	Under implementation
Panama	Adapting to climate change through integrated water management in Panama	Fundación Natura	9 977 559	5 531 462	05/10/2016	Under implementation
Antigua and Barbuda	An integrated approach to physical adaptation and community resilience in Antigua and Barbuda's Northwest McKinnon's watershed	Department of Environment of Antigua and Barbuda	9 970 000	7 288 750	05/10/2016	Under implementation
India	Building adaptive capacities of communities, livelihoods and ecological security in the Kanha-Pench Corridor of Madhya Pradesh	NABARD	2 556 093	1 643 339	07/10/2016	Under implementation
Lao People's Democratic Republic	Enhancing the climate and disaster resilience of the most vulnerable rural and emerging urban human settlements in Lao PDR	UN-Habitat	4 500 000	2 376 150	07/10/2016	Under implementation
Ethiopia	Climate smart integrated rural development project	Ministry of Finance and Economic Cooperation	9 987 910	4 354 692	17/03/2017	Under implementation
Honduras	Ecosystem-based adaptation at communities of the central forest corridor in Tegucigalpa	UNDP	4 379 700	941 122	17/03/2017	Proposal approved
Federated States of Micronesia	Enhancing the climate resilience of vulnerable island communities in Federated States of Micronesia	SPREP	9 000 000	1 248 486	17/03/2017	Under implementation

<i>Country</i>	<i>Project title</i>	<i>Implementing entity</i>	<i>Approved amount</i>	<i>Amount transferred</i>	<i>Approval date</i>	<i>Project status</i>
Peru	AYNINACUY: Strengthening the livelihoods of vulnerable highland communities in the provinces of Arequipa, Caylloma, Condesuyos, Castilla and La Union in the Region of Arequipa, Peru	CAF	2 723 561	923 255	17/03/2017	Proposal approved
Regional	Agricultural Climate Resilience Enhancement Initiative	WMO	6 222 000	3 400 000	17/03/2017	Proposal approved
Regional	Adapting to climate change in Lake Victoria Basin	UNEP	5 000 000	1 260 692	05/07/2017	Proposal approved
Regional	Building adaptive capacity through food and nutrition security and peacebuilding actions in vulnerable Afro and indigenous communities in the Colombia-Ecuador border area	WFP	14 000 000	1 568 042	05/07/2017	Under implementation
Senegal	Reducing vulnerability and increasing resilience of coastal communities in the Saloum Islands (Dionewar and Fadiol)	CSE	1 351 000	520 000	05/07/2017	Under implementation
Solomon Islands	Enhancing urban resilience to climate change impacts and natural disasters: Honiara	UN-Habitat	4 395 877	813 750	10/10/2017	Under implementation
Fiji	Increasing the resilience of informal urban settlements in Fiji that are highly vulnerable to climate change and disaster risks	UN-Habitat	4 235 995	599 127	10/10/2017	Under implementation
Guinea-Bissau	Scaling up climate-smart agriculture in East Guinea-Bissau	BOAD	9 979 000	3 034 000	10/10/2017	Proposal approved
Namibia	Pilot rural desalination plants using renewable power and membrane technology	DRFN	4 999 674	4 123 228	13/10/2017	Under implementation
Cook Islands	“Akamatutu’anga kia Tukatau te Ora’anga ite Pa Enuu” Pa Enuu Action for Resilient Livelihoods	Ministry of Finance and Economic Management	2 999 125	1 341 455	22/03/2018	Under implementation
Iraq	Building resilience of the agriculture sector to climate change in Iraq	IFAD	9 999 660	1 300 800	22/03/2018	Proposal approved
Federated States of Micronesia	Practical solutions for reducing community vulnerability to climate change in the Federated States of Micronesia	Micronesia Conservation Trust	970 000	478 573	22/03/2018	Under implementation
Mongolia	Flood resilience in Ulaanbaatar Ger areas – climate change adaptation through community-driven small-scale protective and basic-services interventions	UN-Habitat	4 495 235	985 661	16/07/2018	Under implementation

<i>Country</i>	<i>Project title</i>	<i>Implementing entity</i>	<i>Approved amount</i>	<i>Amount transferred</i>	<i>Approval date</i>	<i>Project status</i>
Regional	Promoting climate-smart agriculture in West Africa	BOAD	14 000 000	5 664 000	16/07/2018	Proposal approved
Regional	Reducing climate vulnerability and flood risk in coastal urban and semi urban areas in cities in Latin America	CAF	13 910 400	1 387 567	16/07/2018	Proposal approved
Ecuador	Increasing adaptive capacity of local communities, ecosystems and hydroelectric systems in the Río Blanco upper watershed (Toachi-Pilatón watershed) with a focus on ecosystem and community based adaptation and integrated adaptive watershed management	CAF	2 304 975	0	16/07/2018	Proposal approved
Armenia	Artik city closed stonepit wastes and flood management pilot project	EPIU	1 435 100	253 524	12/10/2018	Proposal approved
Regional	Integrating flood and drought management and early warning for climate change adaptation in the Volta Basin	WMO	7 920 000	1 995 000	12/10/2018	Proposal approved
Regional	Restoring marine ecosystem services by rehabilitating coral reefs to meet a changing climate future	UNDP	10 000 000	3 333 113	12/10/2018	Proposal approved
Armenia	Strengthening land-based adaptation capacity in communities adjacent to protected areas in Armenia	EPIU	2 309 710	0	15/03/2019	Proposal approved
Dominican Republic	Enhancing climate resilience in San Cristóbal Province, Dominican Republic – integrated water resources management programme	IDDI	9 173 910	0	15/03/2019	Proposal approved
Regional	Integrated climate-resilient transboundary flood risk management in the Drin River basin in the Western Balkans	UNDP	9 150 000	0	15/03/2019	Proposal approved
Bangladesh	Adaptation initiative for climate vulnerable offshore small islands and riverine charland in Bangladesh	UNDP	9 212 322	0	15/03/2019	Proposal approved
Total			557 183 626	338 776 602		

Note: This table does not include projects that have not yet received project approval, including (1) projects that have been submitted for approval, but not (yet) approved; (2) Board-endorsed concepts and pre-concepts; and (3) other submissions that are at the concept or pre-concept stage (i.e. have not yet been endorsed).

Table 2
Breakdown of the status of the portfolio of approved projects/programmes by the Adaptation Fund Board as at 30 June 2019

(United States dollars)

<i>Status</i>	<i>Number of projects/programmes</i>	<i>Total value</i>
Not started	17	127 631 338
Under implementation	55	357 066 990
Completed	12	72 490 298

Table 3
Active pipeline of project and programme proposals submitted to the Adaptation Fund but not approved as at 30 June 2019

(United States dollars)

<i>Country</i>	<i>Agency</i>	<i>Financing requested (USD)</i>	<i>Stage</i>
NIE proposals			
Bhutan	BT FEC	10 000 000	Concept
Indonesia (1)	Kemitraan	835 465	Full proposal (recommended for approval) ^{a, b}
Indonesia (3)	Kemitraan	998 000	Concept
Indonesia (4)	Kemitraan	598 724	Concept
Namibia	DRFN	5 000 000	Full proposal
United Republic of Tanzania (1)	NEMC	1 400 000	Concept (endorsed)
United Republic of Tanzania (2)	NEMC	1 200 000	Concept (endorsed)
United Republic of Tanzania (3)	NEMC	1 280 000	Concept (endorsed)
Sub-total NIEs		21 312 189	
RIE proposals			
Kiribati	SPREP	8 218 875	Concept (endorsed)
Togo	BOAD	10 000 000	Full proposal
Saint Lucia	CDB	9 858 570	Full proposal (recommended for approval) ^b
Sub-total RIEs		28 077 445	
MIE proposals			
Cameroon	IFAD	9 982 000	Full proposal
Afghanistan	UNDP	9 432 556	Concept (endorsed)
Cambodia	UN-Habitat	5 000 000	Full proposal
Congo	WFP	9 932 901	Concept (endorsed)
Georgia	IFAD	4 644 794	Full proposal
Islamic Republic of Iran	UNDP	9 865 651	Full proposal
Lao People's Democratic Republic	UN-Habitat	5 500 000	Full proposal (recommended for approval) ^b
Lesotho	WFP	9 999 891	Full proposal (recommended for approval) ^b
Malawi	WFP	9 989 335	Concept
Malawi	AfDB	4 662 000	Concept (endorsed)
Pakistan	UN-Habitat	6 094 000	Concept (endorsed)
Republic of Moldova	IFAD	6 035 421	Concept (endorsed)
Sierra Leone	IFAD	9 916 925	Full proposal (recommended for approval) ^b

Country	Agency	Financing requested (USD)	Stage
Sudan	UN-Habitat	9 982 000	Concept
Tajikistan			Full proposal (recommended for approval) ^b
Turkmenistan	UNDP	9 996 441	
Uganda	AfDB	7 000 040	Full proposal
Viet Nam	UN-Habitat	2 249 000	Full proposal
Zimbabwe	UNESCO	5 754 840	Concept
		4 817 400	Concept (endorsed)
Sub-total MIEs		140 855 195	
Total, all implementing entities		190 244 829	

Note: Single-country proposals that had been submitted to the Fund between 1 July 2018 and 30 June 2019 but not yet approved by the Adaptation Fund Board or cancelled by the proponent by the end of that period.

^a These single-country proposals were recommended for approval as at the date of this report and await intersessional decision through a two-week non-objection process, to be completed by 8 July 2019.

Table 4

Active pipeline of project and programme proposals submitted to the Adaptation Fund but not approved as at 30 June 2019

(United States dollars)

Countries	Agency	Financing requested ^a	Stage
RIE proposals			
Djibouti, Kenya, Sudan, Uganda	OSS	13 079 540	Full proposal
Argentina, Uruguay	CAF	13 999 996	Full proposal (recommended for approval) ^b
Benin, Burkina Faso, Niger	OSS	11 536 200	Full proposal (recommended for approval) ^b
Sub-total		38 615 736	
MIE proposals			
Côte d'Ivoire, Ghana	UN-Habitat	14 000 000	Concept (endorsed)
Kazakhstan, Tajikistan, Uzbekistan	UNESCO	5 000 000	Concept (endorsed)
Madagascar, Malawi, Mozambique, Comoros	UN-Habitat	13 997 423	Full proposal (recommended for approval) ^b
Thailand, Viet Nam	UNEP	7 000 000	Full proposal
Jordan, Lebanon	UN-Habitat	14 000 000	Concept (endorsed)
Belize, Guatemala, Honduras	UNEP	12 260 500	Pre-concept (endorsed)
Chile, Colombia, Peru	WMO	7 398 000	Full proposal (recommended for approval) ^b
Argentina, Brazil, Paraguay	UN-Habitat	14 000 000	Pre-concept (endorsed)
Armenia, Georgia	UNDP	4 990 000	Pre-concept (endorsed)
Cambodia, Nepal, Thailand, Philippines	UNDP	13 662 863	Pre-concept (endorsed)
El Salvador, Honduras	WFP	13 900 478	Pre-concept (endorsed)
Sub-total		120 209 264	
Total, all implementing entities		158 825 000	

Note: Regional proposals that had been submitted to the Fund between 1 July 2018 and 30 June 2019 but not yet approved by the Board or cancelled by the proponent by the end of that period.

^a Funding request amounts are as in the latest submission of the proposal. Only proposals that had been endorsed by the governments of all prospective recipient countries are included.

^b These regional proposals were under review at the end of the reporting period.

Table 5

Overview of active pipeline of single-country and regional proposals under development

(United States dollars)

	<i>Submitted by NIEs</i>	<i>Total value</i>	<i>Submitted by RIEs</i>	<i>Total value</i>	<i>Submitted by MIEs</i>	<i>Total value</i>	<i>Total</i>	<i>Total value</i>
Single-country projects and programmes								
Concept submitted, not endorsed	3	11 596 724	0	0	3	25 726 175	6	37 322 899
Concept submitted, endorsed	3	3 880 000	1	8 218 875	6	40 974 278	10	53 073 153
Full proposal submitted, not approved	1	5 000 000	1	10 000 000	6	38 741 485	8	53 741 485
Regional projects and programmes								
Pre-concept submitted, not endorsed	-	-	0	0				
Pre-concept submitted, endorsed	-	-	0	0	4	46 553 341	4	46 553 341
Concept submitted, not endorsed	-	-	0	0	0	0		0
Concept submitted, endorsed	-	-	0	0	3	33 000 000	3	33 000 000
Full proposal submitted, not approved	-	-	1	11 536 200	1	7 000 000	2	18 536 200
Total	7		3		23	191 995 279	33	242 227 078

Note: This table includes single-country and regional proposals that were under review at the end of the reporting period.

Annex VI

Guidance of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fourteenth session and response by the Adaptation Fund Board

[English only]

CMP decision

Board response

Decision 1/CMP.14: Matters relating to the Adaptation Fund

Paragraph 6

Also requests the Adaptation Fund Board to consider the rules of procedure of the Board, the arrangements of the Adaptation Fund with respect to the Paris Agreement and any other matter so as to ensure the Adaptation Fund serves the Paris Agreement smoothly; to consider the implications of the Adaptation Fund receiving the share of proceeds from activities under Articles 6, 12 and 17 of the Kyoto Protocol when the Adaptation Fund serves the Paris Agreement; and to make recommendations to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fifteenth session with a view to the recommendations being forwarded to the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement for consideration at its second session (December 2019);

Refer to paragraphs 39–59 in chapter II (“Operational linkages and relations with institutions under the Convention”) of this document. The Board started its consideration of these matters at its 33rd meeting in March 2019 and decided to address these issues in the addendum of its report to CMP 15. The Board requested its secretariat to consult with the UNFCCC secretariat, the interim trustee (the World Bank) and the GEF secretariat on relevant matters, and to prepare its possible consideration and recommendation, to be considered by the Board at its 34th meeting in October 2019. The Board also decided to establish a task force to guide this work and to hold an additional meeting to discuss these matters. The additional meeting was held on 28 and 29 June 2019.

Decision 2/CMP.14: Report of the Adaptation Fund Board

Paragraph 9

Encourages the Adaptation Fund Board to continue, in line with its existing mandate, its consideration of linkages between the Adaptation Fund and other funds;

Refer to paragraphs 39–59 in chapter II (“Operational linkages and relations with institutions under the Convention”) of this document. At its 32nd meeting, recalling its decisions B.30/43 and B.31/33 and taking into consideration the subsequent correspondence between the secretariats of the Board and the GCF, the Board discussed the matter of the potential linkages between the Fund and the GCF, as part of a series of discussions at two levels: (1) through a dialogue between the Board’s Chair and Vice-Chair and the Co-Chairs of the GCF Board, both exclusively and in the context of the annual dialogue among a larger group of climate funds; and (2) and through ongoing discussions between the secretariats of the Fund and the GCF on specific activities related to complementarity and coherence. Specifically, at the 32nd meeting, the Board decided to request that the Chair and the Vice-Chair, assisted by the Board secretariat, continue actively engaging with the GCF Board through its Co-Chairs with a view to exploring specific steps to enhance complementarity and coherence, including options for fund-to-fund arrangements and accreditation. The Board also decided to request that its secretariat continue discussions with the GCF secretariat to advance the collaborative activities identified.

The secretariats of the Board and the GCF, in preparation for the informal meetings between the Board’s Chair and Vice-Chairs and the Co-Chairs of the GCF, collaborated to identify an initial scope

of options for potential arrangements and collaboration between the Fund and the GCF. The outcome was given in an informal background note prepared by the GCF secretariat in collaboration with the Board secretariat and shared with the GCF Co-Chairs and Board's Chair and Vice-Chair for discussion at the informal meeting. This note summarized four potential options for collaboration between the two funds as follows: (1) Fund providing GCF readiness-type assistance; (2) Fund management of a GCF funding envelope; (3) accreditation of the Fund with the GCF; (4) formalization and expansion of current cooperation between the two secretariats.

Paragraph 10

Also encourages the Adaptation Fund Board to continue its efforts to enhance complementarity and coherence with other funds both under and outside the Convention, including to better align processes and leverage financing;

Refer to paragraphs 39–59 in chapter II (“Operational linkages and relations with institutions under the Convention”) of this document. Following decisions by the Board, during COP 24, the Chair and Vice-Chair of the Board, supported by the Board secretariat, joined the second annual dialogue of climate finance delivery channels with the GCF, the GEF and the Climate Investment Funds. As mandated by the Board, the secretariats of the Fund and the GCF organized, on 12 December 2018, an informal bilateral meeting between members of their respective Boards, including the Chair and Vice-Chair of the Board, and the Co-Chairs of the GCF Board.

Paragraph 11

Requests the Adaptation Fund Board to report on any outcomes related to paragraphs 9 and 10 above to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fifteenth session (December 2019);

Refer to paragraphs 39–59 in chapter II (“Operational linkages and relations with institutions under the Convention”) of this document.

Annex VII

Financial report of the Adaptation Fund Trust Fund as at 30 June 2019, prepared by the trustee: supplemental report to the Adaptation Fund Board Report to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fifteenth session*

[English only]

**Adaptation Fund Trust Fund
Financial Report
Prepared by the Trustee**

As of June 30, 2019

Supplemental Report for the Adaptation Fund Board Report to CMP 15

* Reproduced as received from the Adaptation Fund secretariat, with certain formatting modifications.

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Introduction

This report is produced by the World Bank as interim trustee (“Trustee”) for the Adaptation Fund (AF), in accordance with the Trustee’s role in the Adaptation Fund Trust Fund as set forth under paragraph 23 in the Appendix of Decision 1/CMP.4 of the CMP¹.

The information contained in this Financial Report is based on financial information as of June 30, 2019.

Adaptation Fund Trust Fund Summary as of June 30, 2019

Certified Emission Reduction (CER) Sales and Donations

Cumulative resources received into the AF Trust Fund through CER sales proceeds and donations was USDeq. 859.35 million as of June 30, 2019.

Since the start of the CER monetization program in May 2009, the Trustee has generated revenues of USDeq. 201.42 million through CER sales, USDeq. 2.02 million of which were from CER sales for the period July 1, 2018 to June 30, 2019 (fiscal year 2019). As of June 30, 2019, cumulative donations received amounted to USDeq. 657.93 million.

Investment Income

As of June 30, 2019, the AF Trust Fund earned investment income of approximately USD 27.76 million on the liquid balances in the Trust Fund. The AF Trust Fund liquid portfolio has returned 2.44% for fiscal year 2019.

Funding Approvals

Cumulative net funding decisions made by the AF Board through June 30, 2019 totaled USD 619.05 million, of which USD 564.20 million represents approvals for projects and programs.

Cash Transfers

The Trustee has transferred a total of USD 398.07 million up to June 30, 2019, including USD 350.20 million related to projects and programs.

Funds Held in Trust

Funds Held in Trust² reflect proceeds from CER monetization, donations received and investment income, less cash transfers made to date. Funds Held in Trust as of June 30, 2019 amounted to USDeq. 489.04 million, of which the amount set aside for operational reserve is USD 3 million.

Funds available for AF Board funding decisions

Funds available to support AF funding decisions amounted to USD 265.06 million as of June 30, 2019.

¹ The decision states that: “The Trustee shall prepare and furnish the Adaptation Fund Board with financial reports of the Trust Fund annually (or at any other such frequency agreed between the Trustee and the Adaptation Fund Board), and provide records and accounts of the Trust Fund for audit by its external auditors annually (or at any other such frequency agreed between the Trustee and the Adaptation Fund Board), in accordance with the policies and procedures of the Trustee. Furthermore, the Trustee shall prepare and furnish the Adaptation Fund Board with reports on the sale of the CERs for the Adaptation Fund and on the status of commitments and transfers of Trust Fund funds annually (or at any other such frequency agreed between the Trustee and the Adaptation Fund Board).”

² Funds Held in Trust represents balance of cash, investments and unencashed promissory notes (if any) as of the reporting date.

1. AF Trust Fund Summary – Inception through June 30, 2019

In USD millions

	Total	% of Total
<u>CER Sales Proceeds, Pledges and Donations</u>		
CER Sales Proceeds	201.42	23.1%
Donations	657.93	75.5%
Pledges	12.38	1.4%
Total CER Sales Proceeds and Donations	871.73	100.0%

<u>Cumulative Resources</u>		
<u>Resources received</u>		
CER Sales Proceeds	201.42	22.4%
Donations	657.93	73.1%
Investment Income earned	27.76	3.1%
Total Resources Received	887.11	98.6%
<u>Resources not yet received</u>		
Donations not yet received	-	0.0%
Pledges	12.38	1.4%
Total resources not yet received	12.38	1.4%
Total Potential Resources (A) (in USD millions)	899.49	100.0%

<u>Cumulative Funding Decisions</u>		
Programs and Projects (MIE)	317.57	51.3%
Programs and Projects (NIE)	176.26	28.5%
Programs and Projects (RIE)	70.36	11.4%
Administrative Budget	54.85	8.9%
Total Funding Decisions Net of Cancellations (B)	619.05	100.0%
Total Potential Resources Net of Funding Decisions (A) - (B)	280.44	
Total Potential Resources Net of Funding Decisions and Operational Reserve	277.44	

<u>Funds Available</u>		
Funds Held in Trust with no restrictions	486.04	
Approved Amounts Pending Cash Transfers	220.98	
Total Funds Available to Support AF Board Decisions	265.06	

Note: sub-totals may not add up to due to rounding

2. CER Sales Proceeds and Donations

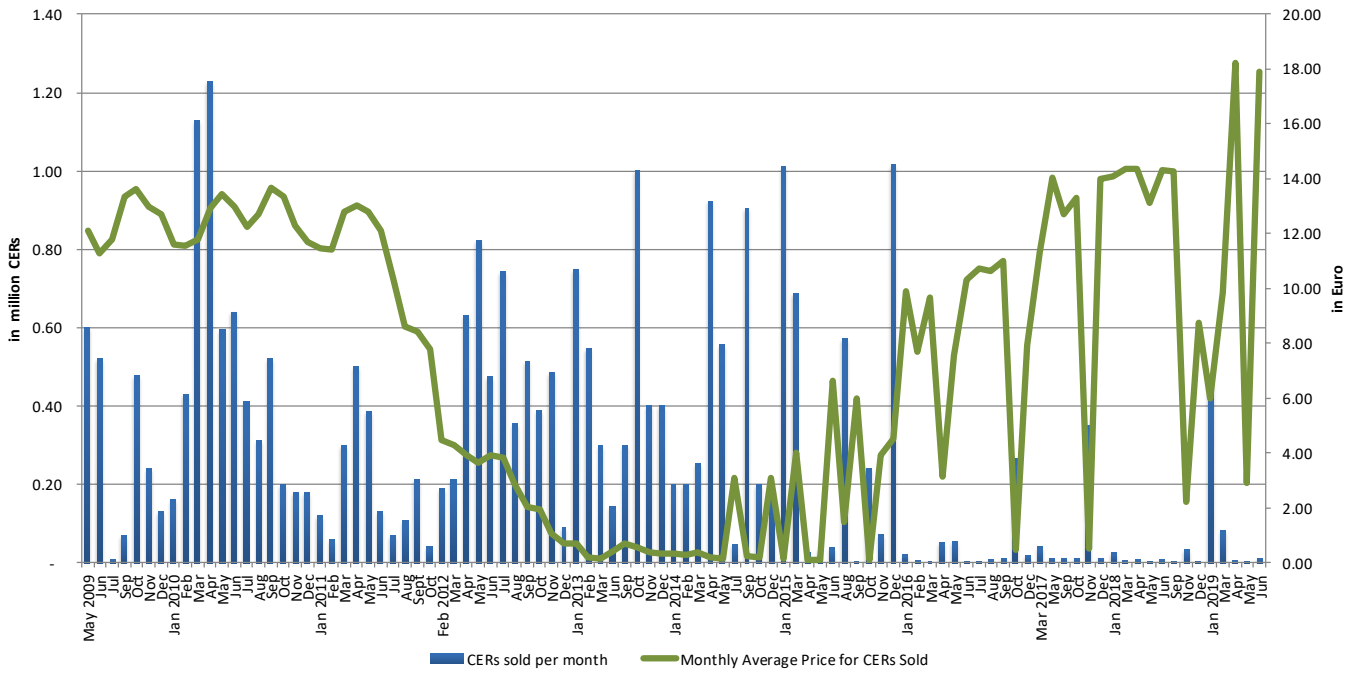
CER SALES PROCEEDS

This table shows the proceeds from CER sales received into the Adaptation Fund Trust Fund.

The Trustee has generated revenues of USDeq. 201.42 million through CER sales since the start of the CER monetization program in May 2009.

Calendar Year		CER balance a/	CER sales	Proceeds USD (millions)
2009	Q2	5,044,100	1,120,000	18.55
	Q3	5,461,361	80,000	1.52
	Q4	5,225,632	850,000	16.06
2010	Q1	4,161,678	1,720,000	27.95
	Q2	2,174,188	2,465,000	41.84
	Q3	1,306,693	1,240,000	20.92
2011	Q4	1,888,232	560,000	9.51
	Q1	3,005,041	480,000	8.18
	Q2	3,403,530	1,015,000	18.59
2012	Q3	4,966,292	390,000	4.80
	Q4	6,255,615	40,000	0.42
	Q1	7,514,701	400,000	2.31
	Q2	7,034,418	1,931,000	9.41
2013	Q3	6,280,769	1,614,000	6.22
	Q4	8,217,077	965,000	1.71
	Q1	9,035,889	1,498,000	0.25
	Q2	10,528,786	144,303	0.08
2014	Q3	10,932,978	300,000	0.29
	Q4	9,749,545	1,800,000	1.18
	Q1	8,582,226	655,000	0.29
	Q2	8,502,467	1,478,000	0.34
2015	Q3	8,626,126	950,594	0.26
	Q4	7,882,366	389,680	0.11
	Q1	7,099,207	1,696,880	3.18
	Q2	8,079,205	97,415	0.28
2016	Q3	7,889,286	574,273	0.13
	Q4	7,042,550	1,327,170	1.37
	Q1	7,300,935	29,438	0.30
	Q2	8,011,907	108,188	0.52
2017	Q3	8,397,741	23,988	0.29
	Q4	9,066,407	286,362	0.22
	Q1	9,753,492	40,047	0.56
	Q2	10,464,502	10,647	0.16
2018	Q3	10,894,235	11,039	0.17
	Q4	11,042,347	373,491	0.58
	Q1	11,283,138	29,450	0.51
	Q2	11,727,548	18,468	0.32
2019	Q3	12,281,769	3,514	0.06
	Q4	12,400,187	37,403	0.11
	Q1	12,000,126	549,451	1.49
	Q2	12,174,665	18,440	0.36
Total			27,321,241	201.42

a/ in registries at period-end



CER SALES VS. MONTHLY AVERAGE PRICE

This chart presents the number of CERs sold per month and the monthly average price obtained by the Trustee for CERs sold between May 2009 and June 2019. During fiscal year 2019, the Trustee sold 0.61 million CERs and generated USDeq. 2.02 million in CER proceeds. The average price achieved during fiscal year 2019 was EUR 2.93 per ton.

DONATIONS

Donor	Currency	Pledged Donation in Currency of Contribution	Effective (or signed) Donation	Receipts in Currency of Contribution	Receipts in USDeq. a/
Austria	EUR	500,000	500,000	500,000	690,250
Belgium	EUR	1,500,000	1,500,000	1,500,000	1,645,500
Belgium (Flanders)	EUR	7,250,000	7,250,000	7,250,000	7,806,813
Belgium (Walloon Region)	EUR	12,500,000	12,500,000	12,500,000	14,230,700
Belgium (Brussels Capital Region)	EUR	5,266,375	5,266,375	5,266,375	6,134,208
Canada (Quebec)	CAD	3,000,000	3,000,000	3,000,000	2,242,035
Corporacion Andina de Fomento	USD	56,000	56,000	56,000	56,000
European Commission	EUR	10,000,000	-	-	-
Finland b/	USD	67,534	67,534	67,534	67,534
Finland	EUR	5,000,000	5,000,000	5,000,000	6,803,000
France b/	USD	53,340	53,340	53,340	53,340
France	EUR	20,000,000	20,000,000	20,000,000	22,621,950
Germany	EUR	310,000,000	310,000,000	310,000,000	362,771,600
Ireland	EUR	600,000	600,000	600,000	697,866
Italy	EUR	21,000,000	21,000,000	21,000,000	24,294,300
Japan b/	USD	8,088	8,088	8,088	8,088
Luxembourg	EUR	2,000,000	2,000,000	2,000,000	2,105,296
Monaco	EUR	10,000	10,000	10,000	12,197
New Zealand	NZD	3,000,000	3,000,000	3,000,000	1,969,800
Norway b/	USD	87,700	87,700	87,700	87,700
Norway	NOK	15,000,000	15,000,000	15,000,000	2,439,381
Spain	EUR	45,880,000	45,000,000	45,000,000	57,055,000
Sweden	SEK	885,000,000	885,000,000	885,000,000	114,017,895
Switzerland b/	USD	77,668	77,668	77,668	77,668
Switzerland	CHF	13,000,000	13,000,000	13,000,000	14,125,926
United Kingdom	GBP	10,000,000	10,000,000	10,000,000	15,915,000
United Nations Foundation	USD	-	1,528	1,528	1,528
Others	GBP	-	326	326	504
Others	EUR	-	412	412	566
Total Donations Received					657,931,645

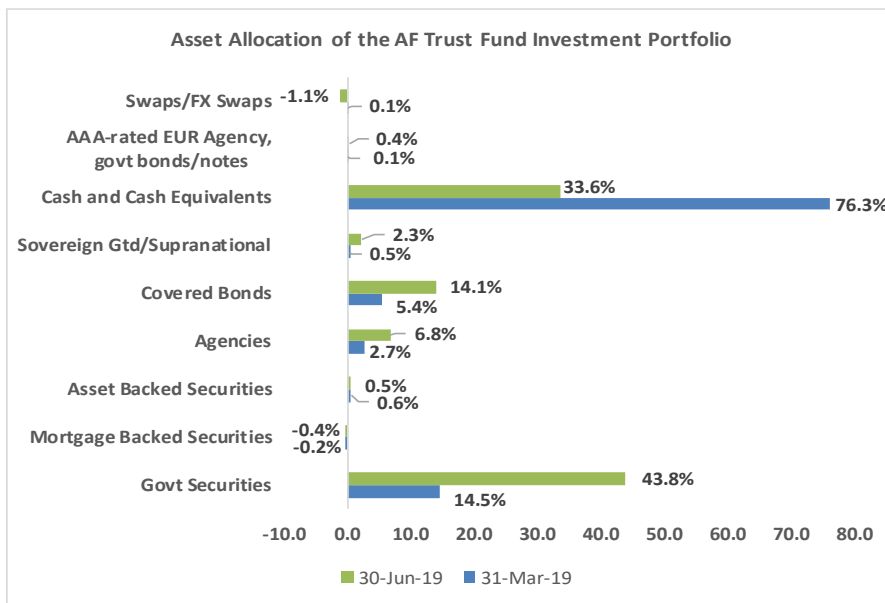
a/ Represents actual USD receipts.

b/ Donation corresponds to the Donor's pro-rata share of the balance in the Administrative Trust Fund

3. Asset Mix and Investment Income

ASSET MIX

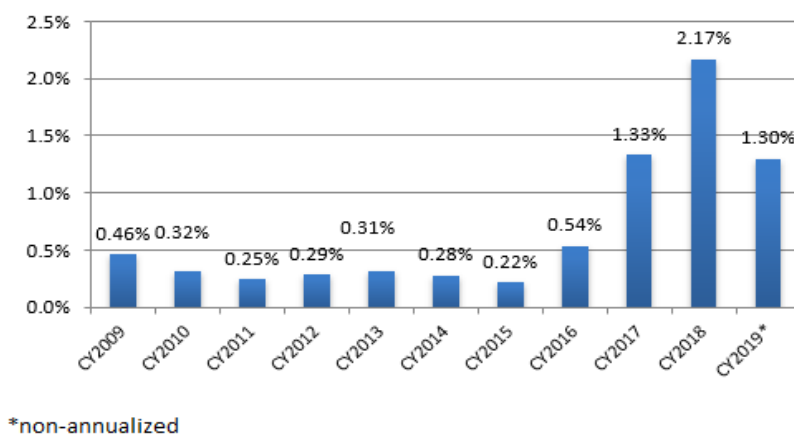
The undisbursed cash balance of the Adaptation Fund Trust Fund is maintained in a commingled investment portfolio (“Pool”) for all trust funds managed by IBRD. Funds are managed such that the expected maximum loss, as measured by the CVaR, in the worst 1% of cases will not exceed 0.25% at the portfolio’s investment horizon. The portfolio allocation by asset class has the largest allocations to government securities and money-market instruments.



Note: The negative position in swaps is primarily due to changes in foreign currency exchange (FX) rates in cross currency basis swaps. Such swap instruments are used to implement currency hedges on bond positions within the portfolio. These hedges remain in place. Mortgage Backed Securities allocation includes To-Be-Announced (TBA) contracts for which only Mark-to-Market (MTM) is used to calculate the value of the position which, as a result, could be negative.

INVESTMENT RETURNS

The AF Trust Fund liquid portfolio earned approximately USD 27.76 million in investment income since inception. The portfolio return during fiscal year 2019 was 2.44%, with the largest contributors to investment performance being money market instruments and sovereign bonds.



4. Cumulative Funding Decisions (breakdown by NIEs, RIEs and MIEs)

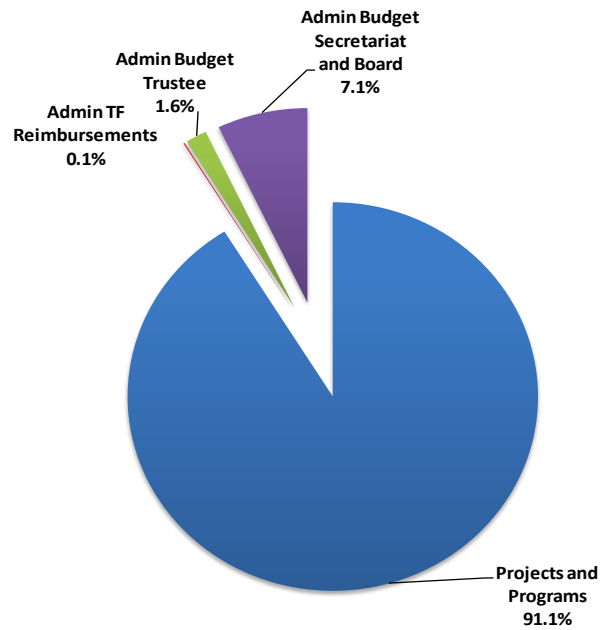
In USD millions

1. Programs and Projects	MIE/RIE/NIE	MIE	RIE	NIE	564.20
Antigua and Barbuda	ABED	-	-	10.00 a/	
Argentina	UCAR	-	-	5.67 a/	
Argentina	WB	4.30	-	-	
Armenia	EPIU	-	-	1.46 a/	
Armenia	EPIU	-	-	2.54 a/	
Bangladesh	UNDP	10.00	-	-	
Belize	WB	6.00	-	-	
Benin	FNE	-	-	0.03 a/	
Cambodia	UNEP	4.95	-	-	
Chile	AGCI	-	-	9.99 a/	
Colombia	UNDP	8.52	-	-	
Cook Islands	UNDP	5.38	-	-	
Cook Islands	MFEM	-	-	3.00	
Costa Rica	FDS	-	-	10.00 a/	
Cuba	UNDP	6.07	-	-	
Djibouti	UNDP	4.66	-	-	
Dominican Republic	IDDI	-	-	9.98 a/	
Ecuador	WFP	7.45	-	-	
Ecuador	CAF	-	2.49	-	
Egypt	WFP	6.90	-	-	
Eritrea	UNDP	6.52	-	-	
Ethiopia	MOFEC	-	-	9.99	
Fiji	UN HABITAT	4.24	-	-	
Georgia	UNDP	5.32	-	-	
Ghana	UNDP	8.29	-	-	
Guatemala	UNDP	5.43	-	-	
Guinea Bissau	BOAD	-	9.98	-	
Honduras	UNDP	5.62	-	-	
Honduras	UNDP	4.38	-	-	
India	NABARD	-	-	1.37 a/	
India	NABARD	-	-	0.69	
India	NABARD	-	-	2.54 a/	
India	NABARD	-	-	1.82 a/	
India	NABARD	-	-	0.97	
India	NABARD	-	-	2.58 a/	
Indonesia	KEMITRAAN	-	-	0.03 a/	
Indonesia	KEMITRAAN	-	-	0.03 a/	
Iraq	IFAD	10.00	-	-	
Jamaica	PIOJ	-	-	10.00 a/	
Jordan	MOPIC	-	-	9.26 a/	
Kenya	NEMA	-	-	10.00	
Lao, PDR	UN HABITAT	4.50	-	-	
Lebanon	IFAD	7.86	-	-	
Madagascar	UNEP	5.10	-	-	
Maldives	UNDP	8.99	-	-	
Mali	UNDP	8.53	-	-	
Mauritania	WFP	7.80	-	-	
Mauritius	UNDP	9.12	-	-	
Micronesia	SPREP	-	9.00	-	
Micronesia	MCT	-	-	1.00 a/	
Mongolia	UNDP	5.50	-	-	
Mongolia	UN HABITAT	4.50	-	-	
Morocco	ADA	-	-	10.00 a/	
Myanmar	UNDP	7.91	-	-	

1. Programs and Projects	MIE/RIE/NIE	MIE	RIE	NIE	564.20
<i>(continued)</i>					
Namibia	DRFN	-	-	5.03 a/	
Namibia	DRFN	-	-	0.03 a/	
Nepal	WFP	9.53	-	-	
Nicaragua	UNDP	5.50	-	-	
Niger	BOAD	-	9.91	-	
Pakistan	UNDP	3.91	-	-	
Panama	FN	-	-	10.00 a/	
Papua New Guinea	UNDP	6.53	-	-	
Paraguay	UNEP	7.13	-	-	
Peru	PROFONANPE	-	-	6.95	
Peru	CAF	-	2.94	-	
Rwanda	MINIRENA	-	-	10.00 a/	
Samoa	UNDP	8.73	-	-	
Senegal	CSE	-	-	8.62	
Senegal	CSE	-	-	1.38 a/	
Seychelles	UNDP	6.46	-	-	
Solomon Islands	UNDP	5.53	-	-	
Solomon Islands	UN HABITAT	4.40	-	-	
South Africa	SANBI	-	-	7.53 a/	
South Africa	SANBI	-	-	2.47 a/	
Sri Lanka	WFP	7.99	-	-	
Tanzania	UNEP	5.01	-	-	
Tanzania	NEMC	-	-	0.03 a/	
Tanzania	NEMC	-	-	0.03 a/	
Tanzania	NEMC	-	-	0.03 a/	
Turkmenistan	UNDP	2.93	-	-	
Uganda	OSS	-	7.75	-	
Uruguay	ANII	-	-	10.00 a/	
Uzbekistan	UNDP	5.42	-	-	
Regional		54.68	28.29	- a/ d/	
Africa		-	-	0.86 b/ c/	
Asia		-	-	0.17 b/ c/	
Caribbean		-	-	0.10 b/ c/	
Central America		-	-	0.05 c/	
South America		-	-	0.03 c/	
Oceania		-	-	0.03 c/	
Sub-Total by IE type		317.57	70.36	176.26	
% Total Programs and Projects		56%	12%	31%	
2. Administrative Budget					54.85
AF Administrative Trust Fund e/				0.69	
Administrative Budget - Trustee				10.17	
Administrative Budget - AF Board and Secretariat				43.99	
3. Total Funding Decisions (3 = 1 + 2)					619.05
a/ Includes approved Project Formulation Grant amounts.					
b/ Represents accreditation support					
c/ Represents technical assistance					
d/ Includes approved regional projects					
e/ Represents reimbursable contributions from UNEP and Australia to the Administrative Trust Fund					

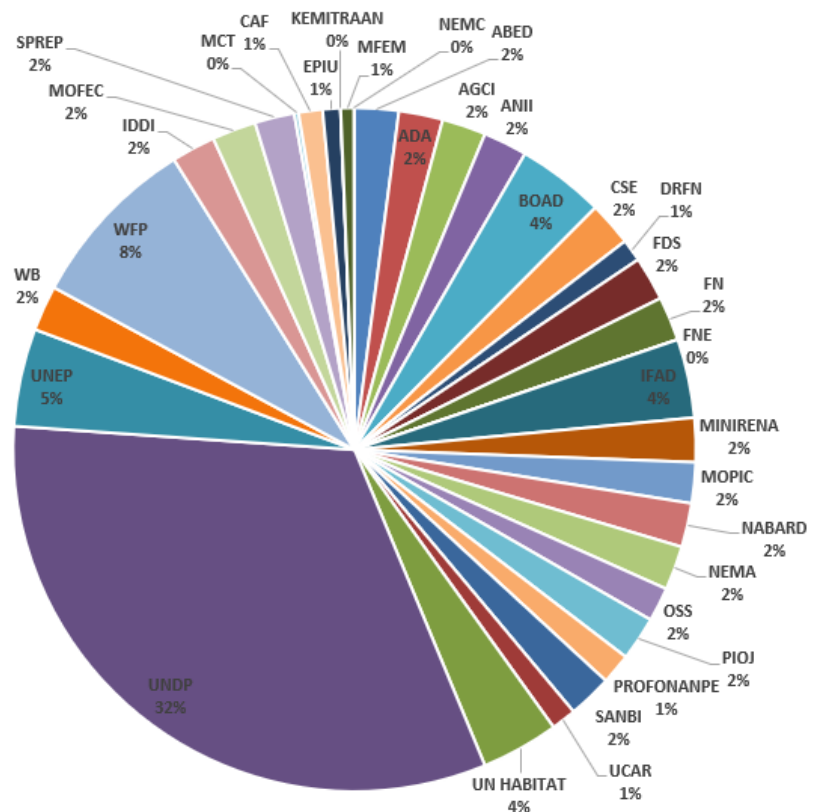
CUMULATIVE FUNDING DECISIONS

Since inception to June 30, 2019 funding approvals made by the AF Board amounted to USD 619.05 million.



FUNDING DECISIONS BY NIE/RIE/MIE

Funding decisions by NIE/RIE/MIE show the cumulative funding decisions related to programs and projects. To date, cumulative funding decisions to NIEs/RIEs/MIEs amount to USD 564.20 million.



5. Funds Available

In USD millions

	As of June 30, 2019 (a)	As of June 30, 2018 (b)	Change since last report (a) - (b)
1. Cumulative Receipts	887.11	753.51	133.60
a. Cash receipts from CER proceeds	201.42	199.40	2.02
b. Cash receipts from Donors and Other Sources	657.93	538.29	119.65
c. Investment Income earned	27.76	15.82	11.94
2. Cumulative Cash Transfers	398.07	336.56	61.51
a. Projects and Programs	350.20	294.84	55.36
b. Operational Expense	47.87	41.72	6.15
3. Funds Held in Trust (3 = 1 - 2)	489.04	416.95	72.09
4. Operational Reserve	3.00	3.00	-
5. Funding Decisions Pending Cash Transfer	220.98	188.24	32.74
6. Funds available to support AF Board funding decisions (6 = 3 - 4 - 5)	265.06	225.70	39.35

Note: sub-totals may not add up due to rounding

Annex – Detailed CER Monetization Record

	Calendar Quarter	Sale Method	Quantity	Quarterly Average Market Price	Quarterly Average Price Achieved by the Trustee	Total Euro	Actual USD
2009	Q2	OTC	1,100,000	11.62	11.85	13,030,000	18,244,887
		Exchange	20,000	11.62	10.79	215,700	302,455
	Q3	OTC	-	-	-	-	-
		Exchange	80,000	12.74	13.16	1,044,000	a/ 1,519,280
	Q4	OTC	400,000	12.72	12.41	4,965,000	7,372,659
		Exchange	450,000	12.72	13.02	5,860,600	8,689,141
2010	Q1	OTC	1,300,000	11.69	11.93	15,505,000	21,219,352
		Exchange	420,000	11.69	11.59	4,867,200	6,734,673
	Q2	OTC	1,570,000	13.02	13.17	20,684,500	26,768,710
		Exchange	895,000	13.02	13.07	11,693,600	15,068,497
	Q3	OTC	700,000	12.90	13.51	9,454,000	12,049,753
		Exchange	540,000	12.90	12.67	6,839,600	8,866,433
	Q4	OTC	-	-	-	-	-
		Exchange	560,000	12.47	12.48	6,991,500	9,511,362
2011	Q1	OTC	300,000	11.89	12.83	3,847,500	5,437,099
		Exchange	180,000	11.89	11.44	2,059,000	2,746,051
	Q2	OTC	500,000	12.49	13.02	6,509,000	9,357,538
		Exchange	315,000	12.49	12.53	3,946,900	5,662,845
	Q3	Auction	200,000	12.49	12.52	2,504,000	3,567,699
		OTC	-	-	-	-	-
	Q4	Exchange	390,000	9.07	8.81	3,434,600	4,803,998
		OTC	-	-	-	-	-
	Q1	Exchange	40,000	6.21	7.79	311,400	418,332
		OTC	-	-	-	-	-
2012	Q2	Exchange	400,000	4.16	4.37	1,748,100	2,306,972
		OTC	250,000	3.82	3.67	921,500	1,158,337
	Q3	Exchange	1,681,000	3.82	3.81	6,411,770	8,251,269
		OTC	-	0.18	-	-	-
	Q4	Exchange	1,614,000	2.91	2.95	5,006,550	6,224,091
		OTC	6,000	0.18	1.05	6,300	8,027
	Q1	Exchange	959,000	0.18	1.38	1,317,480	1,698,951
		OTC	1,498,000	0.16	0.13	190,280	254,006
2013	Q2	Exchange	-	-	-	-	-
		OTC	144,303	0.28	0.43	62,050	82,030
	Q3	Exchange	-	-	-	-	-
		OTC	300,000	0.60	0.71	212,000	286,740
	Q4	Exchange	-	-	-	-	-
		OTC	1,800,000	0.45	0.49	868,000	1,181,238
2014	Q1	Exchange	-	-	-	-	-
		OTC	655,000	0.31	0.36	216,900	293,664
	Q2	Exchange	-	-	-	-	-
		OTC	1,478,000	0.14	0.19	259,230	335,597
	Q3	Exchange	-	-	-	-	-
		OTC	550,594	0.16	1.37	129,644	165,652
	Q4	Exchange	-	-	-	-	-
		OTC	789,680	0.07	1.35	166,494	208,182
		Exchange	-	-	-	-	-

	Calendar Quarter	Sale Method	Quantity	Quarterly Average Market Price	Quarterly Average Price Achieved by the Trustee	Total Euro	Actual USD
	<i>(continued)</i>						
2015	Q1	OTC	1,696,880	0.02	1.70	2,886,627	3,175,996
		Exchange	-	-	-	-	-
	Q2	OTC	97,415	0.45	2.56	249,430	279,669
		Exchange	-	-	-	-	-
	Q3	OTC	574,273	0.49	0.20	113,720	130,493
		Exchange	-	-	-	-	-
	Q4	OTC	1,327,170	0.59	0.95	1,260,042	1,371,219
		Exchange	-	-	-	-	-
2016	Q1	OTC	72,135	0.40	4.16	299,802	327,512
		Exchange	-	-	-	-	-
	Q2	OTC	65,491	0.41	6.75	442,164	499,286
		Exchange	-	-	-	-	-
	Q3	OTC	23,988	0.39	10.93	262,117	293,240
		Exchange	-	-	-	-	-
	Q4	OTC	286,362	0.33	0.73	208,473	223,416
		Exchange	-	-	-	-	-
2017	Q1	OTC	40,047	0.28	13.00	520,486	562,913
		Exchange	-	-	-	-	-
	Q2	OTC	10,647	0.23	14.00	149,098	163,450
		Exchange	-	-	-	-	-
	Q3	OTC	11,039	0.20	12.71	140,325	168,532
		Exchange	-	-	-	-	-
	Q4	OTC	373,491	0.18	1.34	498,949	584,781
		Exchange	-	-	-	-	-
2018	Q1	OTC	29,450	0.18	14.05	413,633	506,386
		Exchange	-	-	-	-	-
	Q2	OTC	18,468	0.21	14.26	263,435	315,047
		Exchange	-	-	-	-	-
	Q3	OTC	3,514	0.29	14.25	50,080	58,508
		Exchange	-	-	-	-	-
	Q4	OTC	37,403	0.27	2.72	101,580	114,445
		Exchange	-	-	-	-	-
2019	Q1	OTC	549,451	0.24	2.39	1,313,449	1,490,948
		Exchange	-	-	-	-	-
	Q2	OTC	18,440	0.22	17.17	316,563	355,134
		Exchange	-	-	-	-	-
Total			27,321,241			150,769,371	201,416,492

a/ net of EUR 10,000 exchange fees

Glossary

Term	Definition
ABED	Antigua and Barbuda Department of Environment
ADA	Agence pour le Developpement Agricole – Morocco
AGCI	Agencia de Cooperacion Internacional - Chile
ANII	Agencia Nacional de Investigación e Innovación – Uruguay
BOAD	West African Development Bank
CAF	Development Bank of Latin America
CSE	Centre de Suivi Ecologique - Senegal
DRFN	Desert Research Foundation Namibia
EPIU	Environmental Project Implementation Unit - Armenia
FDS	Fundecooperacion Para el Desarrollo Sostenible – Costa Rica
FN	Fundación Natura - Colombia
FNE	Fonds National pour l’Environnement – Benin
IDB	Inter-American Development Bank
IDDI	Dominican Institute of Integral Development
IFAD	International Fund for Agricultural Development
KEMITRAAN	Partnership for Governance Reform in Indonesia
MFEM	Ministry of Finance and Economic Management – Cook Islands
MIE	Multilateral Implementing Entity
MINIRENA	Ministry of Natural Resources - Rwanda
MOFEC	Ministry of Finance and Economic Cooperation – Ethiopia
MOPIC	Ministry of Planning and International Cooperation – Jordan
NABARD	National Bank for Agriculture and Rural Development – India
NEMA	National Environment Management Authority - Kenya
NEMC	National Environment Management Council - Tanzania
NIE	National Implementing Entity
OSS	Sahara and Sahel Observatory
PIOJ	Planning Institute of Jamaica
PROFONANPE	Fondo de Promoción de las Áreas Naturales Protegidas del Perú
RIE	Regional Implementing Entity
SANBI	South African National Biodiversity Institute
SPREP	Secretariat of the Pacific Regional Environment Programme
UCAR	Unidad para el Cambio Rural – Argentina
UN HABITAT	United Nations Human Settlements Program
UNDP	United Nations Development Program
UNEP	United Nations Environment Program
UNESCO	United Nations Educational Scientific and Cultural Organization
WB	World Bank
WMO	World Meteorological Organization
WFP	United Nations World Food Program