



**Conférence des Parties agissant comme  
réunion des Parties au Protocole de Kyoto**

**Seizième session**

Glasgow, 1<sup>er</sup>-12 novembre 2021

**Conférence des Parties agissant comme  
réunion des Parties à l'Accord de Paris**

**Troisième session**

Glasgow, 1<sup>er</sup>-12 novembre 2021

## **Rapport du Conseil du Fonds pour l'adaptation**

### **Note du Président du Conseil du Fonds pour l'adaptation\***

#### *Résumé*

Le présent rapport a été établi comme suite à la décision 1/CMP.3 par laquelle le Conseil du Fonds pour l'adaptation a été prié de faire rapport sur ses activités à chaque session de la Conférence des Parties agissant comme réunion des Parties au Protocole de Kyoto (CMP). Il contient des informations portant sur la période allant du 1<sup>er</sup> juillet 2019 au 30 juin 2020, notamment sur les progrès accomplis par le Fonds pour l'adaptation, en particulier en ce qui concerne la réalisation des tâches dont celui-ci a été chargé par la CMP, et sur les décisions et les dispositions prises par le Conseil du Fonds, dont la CMP et la Conférence des Parties agissant comme réunion des Parties à l'Accord de Paris (CMA) sont invitées à prendre note, selon qu'il conviendra.

\* Le présent rapport a été approuvé par le Conseil sous une forme révisée afin de ne pas dépasser la limite du nombre de mots applicable à la partie principale du document. Le fait que certaines sections figurent dans les annexes ne signifie pas qu'une hiérarchie des questions a été établie dans le présent rapport.



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## Abréviations et acronymes

|                               |   |
|-------------------------------|---|
| BIRD                          | Banque internationale pour la reconstruction et le développement  |
| CMA                           | Conférence des Parties agissant comme réunion des Parties à l'Accord de Paris   |
| CMP                           | Conférence des Parties agissant comme réunion des Parties au Protocole de Kyoto   |
| COP                           | Conférence des Parties à la Convention-cadre des Nations Unies sur les changements climatiques (Conférence des Parties) |
| COVID-19                      | Maladie à coronavirus 2019 (maladie à coronavirus)  |
| FAO                           | Organisation des Nations Unies pour l'alimentation et l'agriculture   |
| FEM                           | Fonds pour l'environnement mondial  |
| FVC                           | Fonds vert pour le climat   |
| OMM                           | Organisation météorologique mondiale  |
| ONG                           | Organisation non gouvernementale  |
| Partie non visée à l'annexe I | Partie non visée à l'annexe I de la Convention  |
| Partie visée à l'annexe I     | Partie visée à l'annexe I de la Convention  |
| PEID                          | Petits États insulaires en développement  |
| PMA                           | Pays les moins avancés  |
| PNUD                          | Programme des Nations Unies pour le développement   |
| PNUE                          | Programme des Nations Unies pour l'environnement  |
| Stratégie à moyen terme       | Stratégie à moyen terme du Fonds pour l'adaptation pour 2018-2022   |
| TERG                          | Groupe technique de référence pour les questions d'évaluation du Fonds pour l'adaptation                                |
| URCE                          | Unité de réduction certifiée des émissions  |

## I. Introduction

### A. Mandat

1. À sa septième session, la COP a décidé de créer le Fonds pour l'adaptation<sup>1</sup>. À sa troisième session, la CMP a décidé que l'entité chargée d'assurer le fonctionnement du Fonds serait le Conseil du Fonds pour l'adaptation, appuyé par un secrétariat et un administrateur<sup>2</sup>.
2. À sa troisième session, la CMP a demandé au Conseil du Fonds pour l'adaptation de faire rapport de ses activités à chaque session. Elle a invité le Fonds pour l'environnement mondial (FEM) à fournir des services de secrétariat au Conseil et la Banque mondiale à remplir les fonctions d'administrateur du Fonds pour l'adaptation, à titre provisoire dans les deux cas<sup>3</sup>.
3. La CMA, à sa première session, et la CMP, à sa quatorzième session, ont décidé que le Fonds pour l'adaptation concourrait à l'application de l'Accord de Paris en suivant les directives de la CMA et en rendant compte à celle-ci pour toutes questions relatives à l'Accord de Paris, à compter du 1<sup>er</sup> janvier 2019. À sa quatorzième session, la CMP a en outre décidé que le Fonds ne concourrait plus à l'application du Protocole de Kyoto une fois que la part des fonds visée au paragraphe 4 de l'article 6 de l'Accord de Paris serait disponible<sup>4</sup>.

### B. Objet du rapport

4. Le présent rapport contient des informations détaillées sur les progrès accomplis par le Fonds pour l'adaptation (ci-après le Fonds), en particulier dans l'exécution des tâches dont celui-ci a été chargé par la CMP, ainsi que des recommandations concernant les mesures que la CMP et la CMA devraient prendre, selon qu'il conviendra. Étant donné que la CMA n'a pas donné au Fonds de directives précises sur les questions relatives à l'Accord de Paris dont il devrait se charger, le présent rapport ne contient pas d'informations distinctes sur ces questions. Le Conseil du Fonds pour l'adaptation (ci-après le Conseil) aimerait que la CMA lui donne des directives sur ces questions. Sauf indication contraire, le présent rapport porte sur la période allant du 1<sup>er</sup> juillet 2019 au 30 juin 2020.

## II. Recommandations concernant les mesures que pourrait prendre la Conférence des Parties agissant comme réunion des Parties au Protocole de Kyoto à sa seizième session ou la Conférence des Parties agissant comme réunion des Parties à l'Accord de Paris à sa troisième session

5. La CMP ou la CMA souhaiteront peut-être fournir des orientations ou des précisions sur la question des Parties pouvant prétendre à recevoir un financement du Fonds mentionnées dans le paragraphe 1 de la décision 1/CMP.3, auquel renvoient les paragraphes 5 et 10 des priorités, politiques et modalités stratégiques du Fonds pour l'adaptation<sup>5</sup> adoptées à la quatrième session de la CMP<sup>6</sup>. Le Conseil a précédemment invité la CMP ou la CMA à fournir des orientations ou des précisions sur la manière de traiter les demandes de financement des Parties qui sont parties, soit au Protocole de Kyoto, soit à l'Accord de Paris,

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<sup>1</sup> Décision 10/CP.7, par. 1.

<sup>2</sup> Décision 1/CMP.3, par. 3.

<sup>3</sup> Décision 1/CMP.3, par. 5(1), 19 et 23.

<sup>4</sup> Décisions 13/CMA.1, par. 1 ; et 1/CMP.14, par. 1 et 2.

<sup>5</sup> À consulter à l'adresse : <https://www.adaptation-fund.org/document/strategic-priorities-policies-and-guidelines-of-the-adaptation-fund-adopted-by-the-cmp-annex-i-to-the-opg/>.

<sup>6</sup> Voir décision 1/CMP.4, par. 6 et annexe IV.

mais pas aux deux<sup>7</sup>. Le secrétariat du Fonds a reçu une demande de financement de ce type, accompagnée de la nomination d'une autorité désignée par un pays qui n'est pas partie au Protocole de Kyoto mais qui était en train de ratifier l'Accord de Paris<sup>8</sup>.

6. La CMP souhaitera peut-être prendre note des incidences que le report de la vingt-sixième session de la COP pourrait avoir sur les élections, la composition et le quorum du Conseil en 2021 si aucune mesure n'est prise, avant la réunion que celui-ci doit tenir en mars 2021, pour régler le problème lié au fait que le règlement intérieur du Conseil<sup>9</sup> ne comporte pas de disposition permettant aux membres et aux membres suppléants de rester en fonction jusqu'à ce que leurs successeurs aient été élus. Si la CMP ne prend aucune mesure d'ici là, le Conseil sera en difficulté car de nombreux sièges seront vacants et le quorum ne pourra être atteint, dans la mesure où la moitié de ses membres doivent être élus à la seizième session de la CMP.

7. Le Conseil invite la CMP ou la CMA à prendre note des principaux chiffres, mesures et décisions, présentés ci-après pour la période considérée :

a) Trois entités d'exécution nationales et une entité d'exécution multilatérale ont été accréditées par le Conseil (les entités nationales ayant obtenu un accès direct aux ressources du Fonds), ce qui porte le nombre total d'entités d'exécution à 32 entités d'exécution nationales (neuf dans les PMA et sept dans les PEID), six entités régionales et 13 entités multilatérales. Sur les 51 entités d'exécution accréditées, 25 ont été réaccréditées (12 entités d'exécution nationales, trois entités régionales et 10 entités multilatérales) ;

b) Au 30 juin 2020, les recettes cumulées du fonds d'affectation spéciale du Fonds pour l'adaptation atteignaient 978,32 millions de dollars des États-Unis (ci-après dollars), dont 204,74 provenant de la monétisation d'unités de réduction certifiée des émissions (URCE), 735,25 de contributions et 38,33 de revenus de placements produits par le solde du fonds d'affectation spéciale. Au cours de la période considérée, les recettes se sont chiffrées à 91,23 millions de dollars, dont 3,33 provenant de la monétisation des URCE, 77,32 de contributions additionnelles et 10,58 de revenus de placements ;

c) Des contributions s'élevant à environ 77,32 millions de dollars ont été reçues d'Allemagne, de Belgique (région de Bruxelles-Capitale et région flamande), d'Espagne, d'Irlande, de Norvège, de Pologne, de Suède et de Suisse. En outre, le secrétariat du Conseil et l'administrateur ont préparé le transfert d'une contribution globale de la Fondation pour les Nations Unies, comprenant divers dons individuels effectués au cours de la période considérée ;

d) Au 30 juin 2020, 21,85 millions de dollars qui avaient été annoncés n'avaient pas été versés ;

e) Le montant cumulé des projets et programmes approuvés avait augmenté de 32 % par rapport à la période précédente pour atteindre 744,58 millions de dollars au 30 juin 2020 ;

f) Les nouvelles approbations de financement, y compris pour des propositions concrètes de projets nationaux et régionaux multinationaux, les propositions de dons dans le cadre de la stratégie à moyen terme<sup>10</sup> et les dons pour le développement de la capacité d'accès direct, atteignent un montant total de 180,5 millions de dollars ;

g) Seize propositions de projets ou de programmes nationaux soumis par des entités régionales ont été approuvées, pour un montant total de 109,8 millions de dollars, dont trois émanant des entités d'exécution nationales de l'Indonésie et de la République-Unie de

<sup>7</sup> Voir le document FCCC/KP/CMP/2019/4/Add.1-FCCC/PA/CMA/2019/2/Add.1, annexe, par. 42, 43 et 47.

<sup>8</sup> Pour l'état d'avancement des questions liées au Fonds pour l'adaptation et à l'Accord de Paris, voir l'annexe IX.

<sup>9</sup> À consulter à l'adresse : <https://www.adaptation-fund.org/document/rules-of-procedure-of-the-adaptation-fund-board-3/>. Pour les dispositions relatives aux élections, voir les paragraphes 2(c à d) et 3 à 9 ; sur le quorum, voir le paragraphe 23.

<sup>10</sup> À consulter à l'adresse : <https://www.adaptation-fund.org/document/medium-term-strategy-2018-2022/>.

Tanzanie (deux propositions), pour un montant de trois millions de dollars. Une proposition de projet national soumise par une entité d'exécution régionale, d'un montant de 9,9 millions de dollars, a été approuvée pour Sainte-Lucie. Enfin, 12 propositions de projets nationaux soumises par des entités multilatérales d'exécution, pour un montant total de 97 millions de dollars, ont été approuvées pour le Congo, El Salvador, la Géorgie, le Lesotho, le Malawi, le Pakistan, la République démocratique populaire lao, la République de Moldova, la Sierra Leone, le Tadjikistan, la Tunisie et le Viet Nam ;

h) Cinq projets régionaux (multinationaux) ont été approuvés et dotés d'un financement de 60 millions de dollars, dont 11,5 millions pour le Bénin, le Burkina Faso et le Niger ; 14 millions de dollars pour l'Argentine et l'Uruguay ; 13,1 millions pour Djibouti, le Kenya, le Soudan et l'Ouganda ; 7,4 millions pour le Chili, la Colombie et le Pérou ; et 13,9 millions pour les Comores, Madagascar, le Malawi et le Mozambique. En outre, rappelant la décision qu'il avait prise d'allouer jusqu'à 60 millions de dollars à des propositions de projets et programmes régionaux pour l'exercice budgétaire 2020 (du 1<sup>er</sup> juillet 2019 au 30 juin 2020)<sup>11</sup>, le Conseil a pris note, pendant la période intersessions entre la première et la deuxième partie de sa trente-cinquième réunion, des recommandations du Comité d'examen des programmes et projets, à savoir approuver un projet régional supplémentaire pour un montant de 6,5 millions de dollars, dont le financement ne pouvait être assuré par les réserves provisoires, et a décidé de placer ce projet sur une liste d'attente afin de le soumettre à approbation entre les sessions sous réserve de la disponibilité des fonds ;

i) Les activités menées dans le cadre de la stratégie à moyen terme se sont poursuivies, avec les deuxième et troisième cycles d'examen des guichets de financement pour l'innovation, l'apprentissage et l'extension des projets et l'approbation par le Conseil des deux premières propositions de dons de faible montant pour l'innovation et de la première proposition de dons pour l'extension de projet, pour un montant total de 560 000 dollars ; le lancement de deux nouveaux programmes d'agrégateurs d'entités d'exécution multilatérales pour l'innovation, d'un montant total de 10 millions de dollars, qui permettent à des entités non accréditées d'obtenir des dons de faible montant pour l'innovation par l'intermédiaire de deux entités multilatérales accréditées ; et la facilitation de la deuxième réunion du Comité des praticiens des entités à accès direct, qui s'est tenue avec la participation du Fonds vert pour le climat (FVC). Cependant, certaines des activités relatives au développement de la capacité d'accès direct et au renforcement des capacités qui avaient été prévues ont dû être reportées en raison de la pandémie de COVID-19 ;

j) Le montant des dons pour la stratégie à moyen terme approuvés se chiffrait à 10 560 250 dollars, dont 461 250 de dons de faible montant pour l'innovation, 10 000 000 pour les agrégateurs d'entités d'exécution multilatérales pour l'innovation et 99 000 pour l'extension de projets ;

k) Le montant des dons pour le développement de la capacité d'accès direct approuvés se chiffrait à 175 000 dollars, dont 100 000 dollars au titre de la coopération Sud-Sud et 75 000 dollars au titre de l'assistance technique à la mise en œuvre de la politique relative aux garanties environnementales et sociales et de la politique relative aux questions de genre (voir le tableau IV.6 pour une vue d'ensemble des décisions relatives aux dons pour le développement de la capacité d'accès direct) ;

l) Les décaissements cumulés pour les 107 projets approuvés depuis le fonctionnement du Fonds ont atteint 411,8 millions de dollars, dont 62,9 ont été décaissés pendant la période considérée. Au total, 59 projets étaient en cours d'exécution, parmi lesquels cinq venaient d'être lancés et un autre s'achevait ;

m) Compte tenu des nombreux obstacles auxquels se sont heurtées les activités du Fonds du fait de la pandémie de COVID-19, notamment pour ce qui est de la mise en œuvre des projets, de l'adoption de nouveaux programmes et de l'organisation de réunions du Conseil en présentiel, des mesures volontaristes ont été prises pour aider les Parties et les

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<sup>11</sup> Décision B.33/12 du Conseil du Fonds pour l'adaptation. Disponible à l'adresse : <https://www.adaptation-fund.org/documents-publications/>.

entités d'exécution à atténuer les effets de la pandémie et à réduire au maximum les problèmes que celle-ci avait causés ;

n) Au 30 juin 2020, 167,2 millions de dollars étaient disponibles pour de nouvelles approbations de financement ;

o) Les besoins de financement et les demandes adressées au Fonds ont continué d'augmenter la valeur des projets et des programmes en préparation qui ont été soumis mais n'ont pas été approuvés, atteignant environ 286 millions de dollars (au 30 juin 2020), ce qui traduit une tendance à la hausse par rapport aux années précédentes ;

p) Un travail de communication a été entrepris à l'intention des partenaires du Fonds et des acteurs du financement de l'action climatique au sens large, avec des messages ciblés mettant en avant le caractère unique et précurseur du Fonds, la mise en œuvre de la stratégie à moyen terme, les mesures prises face à l'épidémie de COVID-19 et le rôle du Fonds dans le renforcement de la résilience de manière plus générale ;

q) Au titre du cadre de gestion des connaissances du Fonds, une formation gratuite a été lancée en ligne en anglais, en espagnol et en français, sur le déblocage du financement de l'adaptation et l'accès au Fonds, et le Fonds a participé aux pistes d'action locales de la Commission mondiale sur l'adaptation ;

r) Le Conseil a examiné les questions liées à l'Accord de Paris<sup>12</sup> ;

s) L'établissement de liens entre le Fonds et d'autres organes relevant de la Convention, dont le Comité de l'adaptation, le Centre-Réseau des technologies climatiques, le FVC, le FEM, le Comité de Paris sur le renforcement des capacités et le Comité permanent du financement, a été encouragé. Le Conseil a eu des discussions sur les liens entre le Fonds et le FVC, notamment s'agissant d'un cadre pour promouvoir l'extension des projets financés ;

t) Le Conseil a pris un certain nombre de décisions concernant l'approbation et la mise en œuvre des projets, notamment afin de rationaliser le processus d'examen des projets et programmes et de mettre à jour la politique relative aux retards dans leur exécution ;

u) L'examen d'ensemble de l'application de la politique relative aux questions de genre et du Plan d'action pour l'égalité des sexes<sup>13</sup> du Fonds a été effectué, le processus de mise à jour de ces documents a été lancé et une étude de cas sur le genre a été publiée<sup>14</sup> ;

v) Le Conseil a examiné les possibilités de renforcer la participation de la société civile à ses travaux ;

w) Au cours de sa première année de fonctionnement, le Groupe technique de référence pour les questions d'évaluation (TERG) du Fonds a mené des activités préparatoires à l'élaboration et à l'approbation de sa stratégie et de son programme de travail pluriannuels, ainsi que du budget biennal correspondant, conformément à son mandat et à ses trois fonctions d'évaluation, de conseil et de contrôle.

<sup>12</sup> Conformément au paragraphe 6 de la décision 1/CMP.14.

<sup>13</sup> Le document final est disponible à l'adresse : <https://www.adaptation-fund.org/document/assessment-report-on-progress-in-the-implementation-of-the-adaptation-funds-gender-policy-and-gender-action-plan/>.

<sup>14</sup> Fonds pour l'adaptation. 2020. *Assessing Progress: Integrating Gender in Adaptation Fund Projects and Programmes*. Washington, D.C. : Fonds d'adaptation. Disponible à l'adresse : <https://www.adaptation-fund.org/document/assessing-progress-integrating-gender-in-adaptation-fund-projects-and-programmes>. Ce document donne une vue d'ensemble des projets relatifs aux questions de genre financés par le Fonds pour l'adaptation, en présentant notamment des études de cas tirées des dossiers du Fonds, afin de permettre aux entités d'exécution de mieux comprendre ces questions et de produire et partager des connaissances sur les bonnes pratiques et les moyens de promouvoir l'égalité des sexes et l'autonomisation des femmes dans les projets financés par l'AF, ce qui permettra d'améliorer les retombées des projets.

### **III. Activités menées pendant la période considérée**

8. Le Conseil a tenu une réunion en présentiel à Bonn et a organisé une réunion à distance sur les procédures par l'intermédiaire d'un système de conférence en ligne, en raison de la pandémie de COVID-19. Les ordres du jour annotés (y compris la documentation de fond sur les points de l'ordre du jour) et les rapports détaillés des réunions sont disponibles sur le site Web du Fonds<sup>15</sup>.

#### **A. Élection du (de la) Président(e) et du (de la) Vice-Président(e) du Conseil du Fonds pour l'adaptation**

9. Pendant la première partie de sa trente-cinquième réunion, le Conseil a élu par consensus<sup>16</sup> Ibila Djibril (Bénin, États d'Afrique) à sa présidence et Mattias Broman (Suède, Parties visées à l'annexe I) à sa vice-présidence.

#### **B. Composition du Conseil du Fonds pour l'adaptation**

10. Un certain nombre de membres et de membres suppléants du Conseil ont été remplacés après leur élection à la quinzième session de la CMP. Un poste de membre suppléant représentant les États d'Europe occidentale et autres États n'avait pas été pourvu à la fin de la période considérée.

11. Le report de la vingt-sixième session de la COP pourrait avoir une incidence sur les élections, la composition et le quorum du Conseil en 2021 en l'absence de mesures prises avant la réunion que celui-ci devrait tenir en mars 2021 pour régler le problème lié au fait que le règlement intérieur du Conseil ne comporte aucune disposition permettant aux membres et aux membres suppléants de rester en fonction jusqu'à ce que leurs successeurs aient été élus.

12. Une liste complète des membres et membres suppléants du Conseil figure à l'annexe I.

#### **C. Réunions du Conseil du Fonds pour l'adaptation en 2020**

13. Le Conseil a adopté un calendrier de réunions pour 2020 (voir le tableau ci-après). Sa trente-cinquième réunion, qui devait initialement se tenir en présentiel les 2 et 3 avril 2020 à Bonn, a été annulée en raison de la pandémie de COVID-19 et remplacée par une réunion virtuelle en deux parties<sup>17</sup>. La première partie, consacrée aux questions de procédure, s'est tenue sous forme virtuelle et a abordé la question de la transition des membres du Bureau, notamment des président(e)s et vice-président(e)s du Conseil, du Comité de l'éthique et des finances et du Comité d'examen des programmes et projets. La deuxième partie de la réunion, initialement prévue les 25 et 26 juin à Bonn, a elle aussi été reportée et s'est tenue en ligne en octobre en raison de la poursuite de la pandémie. Les questions urgentes inscrites à l'ordre du jour du Comité de l'éthique et des finances et du Comité d'examen des programmes et projets ont été examinées par le Conseil pendant la période intersessions entre la première partie et la seconde partie de sa trente-cinquième réunion, et des décisions ont été prises.

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<sup>15</sup> <http://www.adaptation-fund.org>.

<sup>16</sup> Conformément au paragraphe 13 de la décision 1/CMP.3.

<sup>17</sup> Conformément au paragraphe 18 du règlement intérieur du Conseil du Fonds pour l'adaptation, les deux parties de la réunion sont considérées comme s'étant tenues au siège du secrétariat de la Convention-cadre sur les changements climatiques à Bonn.



## Réunions du Conseil du Fonds pour l'adaptation en 2020

| <i>Réunion et dates</i>   | <i>Lieu</i>       |
|---|-------------------|
| Première partie de la trente-cinquième réunion, 2 avril (sous forme virtuelle)          | Bonn <sup>a</sup> |
| Deuxième partie de la trente-cinquième réunion, 15 et 16 octobre (sous forme virtuelle) | Bonn <sup>a</sup> |

<sup>a</sup> Conformément au paragraphe 18 du règlement intérieur du Conseil.

### D. Ressources du fonds d'affectation spéciale du Fonds pour l'adaptation

14. Au 30 juin 2020, l'administrateur avait vendu 28,9 millions d'URCE du Fonds au prix moyen de 7,08 dollars l'unité, ce qui avait rapporté 204,7 millions de dollars. Le produit de la monétisation des URCE s'est chiffré à 3,3 millions de dollars pour la période considérée. Au 30 juin 2020, il restait 11,5 millions d'URCE à vendre, conformément aux directives sur le programme de monétisation des URCE adoptées par le Conseil<sup>18</sup>. À ce jour, le montant total transféré aux entités d'exécution par l'administrateur sur ordre du Conseil s'établit à 413,1 millions de dollars.

15. Au 30 juin 2020, 167,2 millions de dollars étaient disponibles pour de nouvelles approbations de financement.

### E. Plan de travail du Conseil du Fonds pour l'adaptation

16. Au cours de la période intersessions entre la première et la deuxième partie de sa trente-cinquième réunion, le Conseil a adopté son plan de travail pour l'exercice budgétaire allant du 1<sup>er</sup> juillet 2020 au 30 juin 2021<sup>19</sup>.

### F. Budget du Conseil du Fonds pour l'adaptation, du secrétariat et de l'administrateur

17. Au cours de la période intersessions entre la première et la deuxième partie de sa trente-cinquième réunion, le Conseil a examiné et approuvé l'allocation de ressources à l'appui de ses activités et de celles de son secrétariat et de l'administrateur jusqu'au 30 juin 2021 (voir l'annexe II)<sup>20</sup>. Le montant estimatif des dépenses d'administration du Conseil, du secrétariat, de la fonction d'évaluation et de l'administrateur approuvées pour l'exercice budgétaire 2021 s'élevait à 7 438 715 dollars au 30 juin 2020, soit une hausse de 10,6 % par rapport au montant approuvé pour l'exercice précédent. Le budget approuvé permet de financer l'exécution d'une série d'activités dans le cadre de la stratégie à moyen terme ainsi que la fonction d'évaluation du Fonds, qui a été lancée pendant la période considérée. En outre, le Conseil a approuvé le budget glissant de 1 187 071 dollars de sa fonction d'évaluation (le TERG et son secrétariat) pour l'exercice budgétaire 2022 allant du 1<sup>er</sup> juillet 2021 au 30 juin 2022.

### G. Accréditation des entités d'exécution

18. Le Groupe d'experts de l'accréditation s'est réuni deux fois au cours de la période considérée. Le Conseil a élu Eleonora Cogo (Italie, États d'Europe occidentale et autres États) à la présidence et Evans Njewa (Malawi, parties non visées à l'annexe I) à la

<sup>18</sup> À consulter à l'adresse : <https://www.adaptation-fund.org/document/cer-monetization-program-guidelines-updated-march-2012/>.

<sup>19</sup> Voir décision B.33/49 du Conseil du Fonds pour l'adaptation.

<sup>20</sup> Voir décision B.33/50 du Conseil du Fonds pour l'adaptation.

vice-présidence. Ces deux membres du Conseil constituant, avec quatre experts indépendants, le Groupe d'experts de l'accréditation.

19. Le Conseil a examiné les recommandations du Groupe d'experts et approuvé l'accréditation de trois nouvelles entités d'exécution nationales, à savoir l'Agence de gestion de l'environnement du Zimbabwe, le Ministère des finances et du développement économique des Tuvalu et le Fonds interprofessionnel pour la Recherche et le Conseil Agricoles de Côte d'Ivoire, ainsi que d'une entité d'exécution multilatérale, à savoir l'Organisation des Nations Unies pour l'alimentation et l'agriculture (FAO). À la fin de la période considérée, il y avait 32 entités d'exécution nationales, six entités régionales et 13 entités multilatérales, dont neuf entités nationales dans les PMA et sept dans les PEID. Au 30 juin 2020, 11 entités nationales candidates de PMA et sept entités nationales candidates de PEID avaient présenté une demande d'accréditation. Sur les 51 entités d'exécution accréditées au 30 juin 2020, 25 (12 entités nationales, trois entités régionales et 10 entités multilatérales) avaient été réaccréditées. Une liste des entités d'exécution accréditées figure à l'annexe III.

20. La question de l'incidence de l'expiration de l'accréditation des entités d'exécution sur l'exécution des projets et l'accord juridique type du Fonds a été examinée à la trente-quatrième réunion du Conseil les 10 et 11 octobre 2019, et un processus de réaccréditation révisé<sup>21, 22</sup> ainsi qu'un accord juridique type révisé<sup>23</sup> ont été approuvés.

## H. Comités du Conseil du Fonds pour l'adaptation

21. Le Comité de l'éthique et des finances et le Comité d'examen des programmes et projets, créés par le Conseil en 2009, se sont réunis une fois pendant la période considérée, deux jours avant la trente-quatrième réunion du Conseil. Sylviane Bilgischer (Belgique, Parties visées à l'annexe I) a été élue Présidente du Comité de l'éthique et des finances et Mohamed Zmerli (Tunisie, Parties non visées à l'annexe I) Vice-Président. Lucas di Pietro Paolo (Argentine, Parties non visées à l'annexe I) a été élu Président du Comité d'examen des programmes et projets et Susana Castro-Acuña Baixauli (Espagne, États d'Europe occidentale et autres États) Vice-Présidente. Les comités ont également travaillé sous forme virtuelle entre les sessions et ont fait des recommandations au Conseil.

22. Le Comité de l'éthique et des finances a examiné les questions suivantes et a formulé des recommandations à leur propos : le rapport annuel sur les résultats du Fonds pour l'exercice budgétaire 2019 ; la révision de l'outil de suivi des résultats et la mise à jour des orientations sur l'outil révisé ; l'analyse des retards dans le lancement de projets ; l'évaluation des normes d'accréditation du FVC, y compris une analyse des lacunes ; le plan de travail et le budget d'administration du Conseil, du secrétariat, de la fonction d'évaluation et de l'administrateur pour l'exercice budgétaire 2021.

23. À la fin de la période considérée, le Comité d'examen des programmes et projets avait passé en revue, pendant une réunion et deux périodes d'examen intersessions, 11 ébauches et 33 propositions complètes concernant des projets nationaux, soit 29 propositions de projets distincts. Il avait aussi examiné quatre ébauches préliminaires, deux ébauches et six propositions complètes concernant des projets et programmes régionaux multinationaux, soit 12 propositions de projets et programmes distincts.

24. Le Comité d'examen des programmes et projets a examiné et communiqué au Conseil les résultats de ses délibérations concernant le programme sur l'innovation du Fonds. Le Conseil a approuvé deux dons de faible montant pour l'innovation au moyen de l'accès direct et de deux programmes d'agrégateurs d'entités d'exécution multilatérales, mis en œuvre par le PNUD et le PNUE, et a décidé d'adopter à titre pilote un ordre du jour simplifié des réunions du Comité en ce qui concerne les projets et les programmes. Suite au débat du Comité suscité par l'augmentation rapide et importante du volume global des propositions

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<sup>21</sup> Décision B.34/3 du Conseil du Fonds pour l'adaptation.

<sup>22</sup> À consulter à l'adresse : <https://www.adaptation-fund.org/document/re-accreditation-process/>.

<sup>23</sup> À consulter à l'adresse : <https://www.adaptation-fund.org/generic/legal-agreement-between-af-board-and-implementing-entity-amended-in-october-2014/>.

soumises au Fonds, et au document établi par son secrétariat<sup>24</sup>, le Conseil a décidé d'approuver une procédure simplifiée d'examen des propositions de projets et de programmes par le Comité pendant ses réunions<sup>25</sup>.

## **I. Décisions de financement relatives à des projets et programmes d'adaptation**

25. Pendant les réunions tenues au cours de la période considérée, le Conseil a approuvé 16 propositions nationales de financement d'un montant total de 109,8 millions de dollars et cinq propositions multinationales régionales de financement pour un montant total de 60 millions de dollars (voir l'annexe IV). En outre, un projet régional de financement dont le montant s'élevait à 6,5 millions de dollars, dont le financement ne pouvait être assuré dans l'immédiat par les réserves provisoires prévues par le Conseil à sa trente-troisième réunion pour les projets et programmes<sup>26</sup>, a été placé sur une liste d'attente, afin de le soumettre à approbation lorsque les ressources seraient disponibles<sup>27</sup>.

26. Au cours de la période considérée, des propositions nationales ont été approuvées ou recommandées pour approbation en vue d'un financement concernant les pays suivants : Congo, El Salvador, Géorgie, Indonésie, Lesotho, Malawi, Pakistan, République démocratique populaire lao, République de Moldova, République-Unie de Tanzanie, Sainte-Lucie, Sierra Leone, Tadjikistan, Tunisie et Viet Nam. Les propositions régionales qui ont été approuvées ou recommandées pour approbation en vue d'un financement dans le cadre du guichet de financement des projets et programmes régionaux au cours de la période considérée concernaient les pays suivants : Argentine, Bénin, Burkina Faso, Chili, Colombie, Comores, Djibouti, Ghana, Kenya, Madagascar, Malawi, Mozambique, Niger, Ouganda, Pérou, Soudan et Uruguay. La proposition régionale qui a été placée sur une liste d'attente pendant la période considérée et qui sera approuvée lorsque les ressources seront disponibles concerne le Kazakhstan, le Kirghizistan, l'Ouzbékistan et le Tadjikistan.

27. Pendant les réunions qu'il a tenues au cours de la période considérée, le Conseil a approuvé neuf ébauches de projets nationaux pour le Belize, la Gambie, l'Indonésie (quatre ébauches), la Namibie, la République-Unie de Tanzanie et le Viet Nam, représentant un montant total de 30,3 millions de dollars, et a approuvé six dons pour la formulation de projets et deux dons pour l'aide à la formulation de projets soumis par les entités nationales, pour un total de 219 830 dollars.

28. Dans le cadre du guichet de financement des projets et programmes régionaux, le Conseil a approuvé une ébauche de projet d'un montant total de 4,8 millions de dollars pour un projet régional mené au Cambodge, au Myanmar, en République démocratique populaire lao, en Thaïlande et au Viet Nam. Il a aussi approuvé quatre ébauches préliminaires de projets régionaux pour un montant total de 53,7 millions de dollars pour des projets menés dans les pays suivants : Angola et Namibie ; Bénin, Burkina Faso, Côte d'Ivoire, Gambie, Ghana, Guinée, Libéria, Mali, Niger, Nigéria, Sénégal, Sierra Leone et Togo ; Antigua-et-Barbuda, Dominique et Sainte-Lucie ; Azerbaïdjan et République islamique d'Iran. Le Conseil a également approuvé un don d'un montant de 160 000 dollars pour la formulation de projets dont l'ébauche préliminaire ou l'ébauche avait été approuvée. Parmi les propositions complètes et les ébauches et ébauches préliminaires approuvées figurent des projets relatifs à la réduction des risques de catastrophe, à la sécurité alimentaire, à la foresterie, à l'aménagement urbain, à la gestion de l'eau, à la gestion des zones côtières, au développement rural et à l'agriculture (voir les figures IV.1 à IV.3).

<sup>24</sup> Document AFB/B.34/10 du Fonds pour l'adaptation.

<sup>25</sup> Décision B.34/50 du Conseil du Fonds pour l'adaptation.

<sup>26</sup> Décision B.33/12 du Conseil du Fonds pour l'adaptation.

<sup>27</sup> Décision B.35.a-35.b/25 du Conseil du Fonds pour l'adaptation.

29. À sa onzième session, la CMP a demandé au Conseil de lui fournir dans ses rapports des renseignements supplémentaires sur la situation du portefeuille du Fonds, notamment des projets à différents stades d'avancement<sup>28</sup>. Les renseignements demandés figurent à l'annexe V.

30. Comme l'ont suggéré et demandé les organisations de la société civile et les organisations non gouvernementales (ONG) ayant le statut d'observateur, toutes les propositions de projet ou de programme sont publiées, dès leur réception, sur le site Web du Fonds et les acteurs intéressés ont la possibilité de formuler des observations en ligne. Les observations concernant les propositions soumises au Conseil peuvent être adressées au secrétariat<sup>29</sup> par message électronique, sont consultables sur la page du projet correspondant sur le site Web, et sont consignées dans le descriptif de projet correspondant adressé au Comité d'examen des programmes et projets.

## J. Stratégie à moyen terme

31. La stratégie à moyen terme a été approuvée par le Conseil à sa trentième réunion en octobre 2017. Elle s'appuie sur le mandat actuel du Fonds, et sur une analyse de ses principaux avantages et de la façon dont celui-ci peut aider à atteindre les objectifs découlant du Programme de développement durable à l'horizon 2030 et de l'Accord de Paris. La stratégie définit trois axes principaux d'appui aux pays en développement vulnérables : action, innovation et apprentissage et partage. Elle préconise d'accélérer les mesures d'adaptation dans les pays en développement et d'en améliorer la qualité, et d'apporter un appui aux projets et programmes impulsés par les pays, à l'innovation, à l'apprentissage et au partage à tous les niveaux à l'échelle mondiale pour une adaptation efficace. Conformément à la stratégie, toutes les activités doivent être conçues de façon à respecter l'égalité des sexes et à bénéficier aux plus vulnérables. Si le Fonds soutient l'innovation et l'apprentissage depuis son origine, la stratégie envisage un financement ciblé pour ces activités, notamment un appui à la généralisation à d'autres pays ou régions des pratiques et des technologies d'adaptation innovantes qui ont fait leurs preuves.

32. Dans le plan approuvé par le Conseil à sa trente et unième réunion, le secrétariat du Conseil a été prié de faciliter la mise en œuvre de la stratégie et d'établir, pour chaque nouveau type proposé de don et de guichet de financement, un document précisant les objectifs, les critères d'examen, le montant des dons attendus, les modalités d'exécution, le processus d'examen et d'autres caractéristiques pertinentes, pour examen par le Conseil<sup>30</sup>. Au cours de la période considérée, le secrétariat du Conseil a continué de faciliter la mise en œuvre de la stratégie. À sa trente-quatrième réunion, le Conseil a examiné six propositions de dons de faible montant, dont trois propositions d'innovation, une proposition d'apprentissage et deux propositions d'extension, chacune ciblant les entités d'exécution nationales. Pour faire suite aux recommandations du Comité d'examen des programmes et projets, le Conseil a approuvé les deux premières propositions de dons de faible montant pour l'innovation et la première proposition d'extension.

33. Dans le cadre du guichet de financement pour l'innovation, le Conseil a approuvé deux propositions détaillées de programme soumises par le PNUD et le PNUE, pour un montant de cinq millions de dollars chacune, qui visent à créer et à faire fonctionner deux agrégateurs d'entités d'exécution multilatérales pour des dons de faible montant pour l'innovation destinés à des entités non accréditées. Les deux programmes agrégateurs d'entités multilatérales ont été lancés à la Conférence des Nations Unies sur les changements climatiques tenue à Madrid, et ont ouvert des possibilités de financement spéciales à l'appui de l'innovation pour l'adaptation dans des pays en développement non encore pourvus d'entités d'exécution nationales, ainsi que dans le secteur privé. Les décisions de financement approuvées pour des dons effectués dans le cadre de la stratégie s'élevaient à 10 560 250 dollars, dont 10 000 000 sous forme de dons aux agrégateurs d'entités

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<sup>28</sup> Décision 1/CMP.11, par. 11.

<sup>29</sup> Voir <https://www.adaptation-fund.org/contact/>.

<sup>30</sup> Décision B.31/32 du Conseil du Fonds pour l'adaptation.

d'exécution multilatérales pour l'innovation, 461 250 dollars de dons de faible montant pour l'innovation et 99 000 dollars de dons destinés à l'extension des projets.

34. En outre, le secrétariat du Conseil a entrepris l'examen, sur le plan technique, de trois nouvelles propositions de dons de faible montant pour l'innovation et d'une proposition de dons pour l'apprentissage soumises au Conseil pour examen à sa trente-cinquième réunion, qui n'ont pas pu être examinées pendant la période considérée en raison du report de la deuxième partie de sa trente-cinquième réunion et de la décision antérieure du Conseil selon laquelle ces propositions ne seraient examinées que pendant les réunions ordinaires du Conseil<sup>31</sup>.

## **K. Suivi du portefeuille**

35. Au cours de la période considérée, 59 projets étaient en cours d'exécution, parmi lesquels cinq venaient d'être lancés et un autre s'achevait. À la fin de la période faisant l'objet du présent rapport, 411,8 millions de dollars au total avaient été débloqués pour les 107 projets approuvés depuis la mise en place du Fonds, dont 62,9 l'avaient été au cours de la période considérée. Le volume le plus important de fonds approuvés jusque-là sous forme de dons concerne l'Afrique, avec 37 projets représentant 295,3 millions de dollars de dons (40,4 %), suivie par l'Amérique latine et les Caraïbes, avec 27 projets pour un montant total de 215,8 millions de dollars (29,6 %), la région Asie et Pacifique, avec 35 projets pour un montant total de 189,6 millions de dollars (25,9 %), et l'Europe orientale, avec six projets et un financement approuvé s'élevant à 29,8 millions de dollars (4,1 %). Deux programmes d'un montant total de 10 millions de dollars (les programmes d'agrégateurs d'entités d'exécution multilatérales pour l'innovation gérés par le PNUD et le PNUE) fonctionnent à l'échelle mondiale.

36. La plus grande partie des dons a été consacrée à des projets d'adaptation dans le domaine de la réduction des risques de catastrophe, pour un montant approuvé de 140,6 millions de dollars (19,2 %), suivis de près par la sécurité alimentaire, pour un montant de 115,1 millions de dollars (15,8 %), et l'agriculture, pour un montant de 96,5 millions de dollars (13,2 %) (voir la figure IV.3). Le dixième rapport annuel sur les résultats du Fonds, couvrant la période du 1<sup>er</sup> juillet 2019 au 30 juin 2020, sera examiné par le Conseil à sa trente-sixième réunion.

37. Le Fonds suit la répartition par résultats du financement total en fonction de son Cadre stratégique de résultats. Le volume le plus important de fonds a été destiné au résultat 4 du cadre stratégique : « capacité d'adaptation accrue dans les secteurs pertinents en rapport avec le développement et les ressources naturelles » (147,9 millions de dollars, 26,4 %) ainsi qu'au résultat 5 : « renforcement de la résilience des écosystèmes au stress induit par les changements climatiques et la variabilité du climat » (94,7 millions de dollars, soit 17 %).

## **L. Mesures prises face à la maladie à coronavirus 2019**

38. L'apparition de la pandémie de COVID-19 fin 2019 a causé de nombreux problèmes qui étaient difficiles à anticiper et qui ont perturbé le fonctionnement normal du Fonds, notamment s'agissant de la mise en œuvre des projets, de l'adoption de nouveaux programmes et de l'organisation des réunions en présentiel du Conseil et de ses Comités.

39. Compte tenu des restrictions imposées par les pays pour limiter la propagation de la COVID-19, et afin de continuer de fournir un appui aux pays en développement malgré les problèmes entraînés par l'épidémie, le Conseil a pris des décisions extraordinaires pour organiser ses travaux et les mener sous forme virtuelle ainsi que pendant la période intersessions. Dans ce cadre, les travaux suivants du Conseil et de ses Comités ont été menés sous forme virtuelle de mars à juin 2020 :

a) La première partie de la trente-cinquième réunion du Conseil, qui s'est tenue sous forme virtuelle le 2 avril 2020, et au cours de laquelle ont été examinées les questions

<sup>31</sup> Décision B.34/41 du Conseil du Fonds pour l'adaptation.

relatives à la transition entre membres et membres suppléants entrants et sortants du Conseil pour le prochain mandat, y compris les présidents et vice-présidents du Conseil, du Comité de l'éthique et des finances et du Comité d'examen des programmes et projets ;

b) L'examen des propositions de projets et de programmes au cours du cycle d'examen intersessions du Conseil, entre la première et la deuxième partie de sa trente-cinquième réunion, et l'approbation de six nouveaux projets pour un montant total de 31 millions de dollars, parmi lesquels deux projets ayant un accès direct au financement, deux projets de Parties financées pour la première fois (Tunisie et Viet Nam) et le premier projet régional en Asie centrale ;

c) L'approbation par le Conseil de son budget d'administration, de celui de son secrétariat et de celui de l'administrateur pour l'exercice 2021, ainsi que du budget du TERG pour l'exercice 2021-2022, du plan de travail du secrétariat du Conseil ainsi que de la stratégie et du programme de travail du TERG, au cours d'un processus intersessions distinct, mené sous forme virtuelle, qui s'est achevé le 4 juin 2020 ;

d) L'organisation d'une réunion virtuelle de l'équipe spéciale chargée de la mobilisation des ressources du Conseil le 17 juin 2020.

40. Dans le cadre de sa procédure type d'approbation en continu de mesures relatives aux projets ou programmes (telles que les changements importants ou les demandes de prolongation de délais), le Conseil a approuvé, au cours de la période intersessions entre ses trente-quatrième et trente-cinquième réunions, 14 reports de la date d'achèvement de projets, ce qui a permis aux pays et aux entités de disposer de plus de temps pour achever les activités des projets, et deux demandes de changements importants apportés à des projets.

41. Afin de mieux comprendre les incidences de la COVID-19 sur son portefeuille et de continuer à soutenir les pays en développement face aux difficultés qui en découlent, le secrétariat du Conseil a mené une enquête auprès de toutes les entités d'exécution en juin 2020. Les résultats de cette enquête étaient encore en cours d'analyse au moment de l'élaboration du présent rapport mais, d'après un premier examen des réponses, 78 % des entités ayant répondu estimaient que la COVID-19 devrait avoir un impact modéré à élevé sur le portefeuille et 80 % d'entre elles s'attendaient à être confrontées à des problèmes importants de mise en œuvre dans les mois à venir.

42. Le secrétariat du Conseil a pris des mesures volontaristes pour aider les pays et les entités d'exécution à atténuer les effets de la pandémie et à réduire au maximum les problèmes causés, notamment en adoptant les mesures suivantes :

a) En publiant en mars 2020 sur le site Web du Fonds un message encourageant toutes les entités d'exécution à examiner les possibilités de gestion évolutive prévues dans les politiques et directives opérationnelles du Fonds<sup>32</sup> afin d'atténuer par anticipation tout bouleversement dans la mise en œuvre du projet ;

b) En conseillant aux Parties et aux entités d'envisager de demander des reports de la date d'achèvement des projets et de notifier les retards de démarrage des projets au-delà du délai standard de six mois fixé par le Conseil ;

c) En permettant aux entités d'exécution de mettre en œuvre certaines activités de projet sous forme virtuelle, dans la mesure du possible, notamment les réunions de lancement, les activités de supervision et les consultations des partenaires.

43. Malgré les difficultés liées à la pandémie, le réseau des entités d'exécution du Fonds s'est développé, l'accréditation de deux nouvelles entités, à savoir une nouvelle entité d'exécution nationale en Côte d'Ivoire (le Fonds interprofessionnel pour la Recherche et le Conseil Agricoles) et une entité d'exécution multilatérale (la FAO), ayant été approuvée par le Conseil en avril et juin 2020 respectivement, dans le cadre des décisions intersessions, ce qui porte le nombre total d'entités d'exécution à 51. La FAO est la première entité accréditée

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<sup>32</sup> À consulter à l'adresse : <https://www.adaptation-fund.org/document/operational-policies-guidelines-parties-access-resources-adaptation-fund/>.

dans le cadre de la procédure d'accréditation accélérée du Fonds. Entre mars et juin 2020, deux entités d'exécution ont été réaccréditées.

44. Les projets que le Fonds a menés sur le terrain ont aidé les communautés à renforcer leur résilience dans d'autres domaines que l'adaptation aux changements climatiques. Par exemple, un projet mis en œuvre par le PNUD à Sri Lanka a permis de remédier à une pénurie d'équipements médicaux de protection individuelle dans les hôpitaux du pays due à la pandémie, en créant une usine de confection consacrée à la fabrication de vêtements de protection ; et un projet mis en œuvre par la Banque nationale pour l'agriculture et le développement rural de l'Inde a contribué à la production de milliers de masques de protection par des organisations dirigées par des femmes afin de répondre aux besoins de la collectivité dans le contexte de la pandémie.

45. Dans la mesure où les risques liés à la COVID-19 et aux effets de celle-ci touchent les communautés vulnérables aux changements climatiques et compromettent la mise en œuvre des projets, on observe une demande croissante d'apprentissage et de partage, d'innovation et de généralisation des solutions efficaces pour accroître la résilience dans le cadre du Fonds, ce qui rend la stratégie à moyen terme encore plus pertinente.

## Annexe I

### Membres et membres suppléants du Fonds pour l'adaptation au 30 juin 2020

[Anglais seulement]

| <i>Term of office<sup>a</sup></i>                      | <i>Position</i>                           | <i>Name</i>                   | <i>Party</i>               | <i>Constituency</i>                 |                     |
|--|---|-------------------------------|----------------------------|-------------------------------------|---------------------|
| March 2019–March 2021 (elected at CMP 14) <sup>b</sup> | Member                                    | Ibila Djibril                 | Benin                      | African States                      |                     |
|  | Alternate                                 | Mohamed Zmerli                | Tunisia                    | African States                      |                     |
|  | Member                                    | Albara Tawfiq                 | Saudi Arabia               | Asia-Pacific States                 |                     |
|  | Alternate                                 | Ahmed Waheed                  | Maldives                   | Asia-Pacific States                 |                     |
|  | Member                                    | Umayra Tagiyeva               | 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                                 | (vacant)                      | –                          | Western European and other States   |                     |
|  | Member                                    | Nilesh Prakash                | Fiji                       | SIDS                                |                     |
|  | Alternate                                 | Paul Phillip                  | Grenada                    | SIDS                                |                     |
|  | Member                                    | Mattias Broman                | Sweden                     | Annex I Parties                     |                     |
|  | Alternate                                 | Marc-Antoine Martin           | France                     | Annex I Parties                     |                     |
|  | March 2020–March 2021 (elected at CMP 15) | Member                        | Lucas di Pietro Paolo      | Argentina                           | Non-Annex I Parties |
|  |   | Alternate                     | Evans Njewa                | Malawi                              | Non-Annex I Parties |
| Member   |   | Patience Dampthey             | Ghana                      | African States                      |                     |
| Alternate  |   | Fatou Ndeye Gaye              | Gambia                     | African States                      |                     |
| Member   |   | Jong Hun Lee                  | Republic of Korea          | Asia-Pacific States                 |                     |
| Alternate  |   | Sheyda Nematollahi Sarvestani | Iran (Islamic Republic of) | Asia-Pacific States                 |                     |
| Member   |   | Ala Druta                     | Republic of Moldova        | Eastern European States             |                     |
| Alternate  |   | Aram Ter-Zakaryan             | Armenia                    | Eastern European States             |                     |
| Member   |   | Margarita Caso Chavez         | Mexico                     | Latin American and Caribbean States |                     |
| Alternate  |   | Mariana Kasprzyk              | Uruguay                    | Latin American and Caribbean States |                     |
| Member   |   | Claudia Keller                | Germany                    | Western European and other States   |                     |
| Alternate  |   | Susana Castro-Acuña Baixauli  | Spain                      | Western European and other States   |                     |
| Member   |   | Idy Niang                     | Senegal                    | LDCs                                |                     |



| <i>Term of office<sup>a</sup></i> | <i>Position</i> | <i>Name</i>         | <i>Party</i> | <i>Constituency</i> |
|-----------------------------------|-----------------|---------------------|--------------|---------------------|
|                                   | Alternate       | Tshering Tashi      | Bhutan       | LDCs                |
|                                   | Member          | Sylviane Bilgischer | Belgium      | Annex I Parties     |
|                                   | Alternate       | Antonia Sutter      | Switzerland  | Annex I Parties     |
|                                   | Member          | Ali Waqas Malik     | Pakistan     | Non-Annex I Parties |
|                                   | Alternate       | Naima Oumoussa      | Morocco      | Non-Annex I Parties |

<sup>a</sup> Members and alternate members serve for a term of two years and are eligible to serve a maximum of two consecutive terms (see decision 1/CMP.3). Terms as members do not count towards terms as alternate members, and vice versa (see decision 1/CMP.4).

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

## Annexe II

### Budget approuvé et budget effectif pour l'exercice 2021 et budget approuvé pour l'exercice 2021 du Conseil du Fonds pour l'adaptation, du secrétariat et de l'administrateur, et budget approuvé pour les exercices 2021 et 2022 du Groupe technique de référence pour les questions d'évaluation du Fonds pour l'adaptation et de son secrétariat

[Anglais seulement]

| <i>Budget item</i>                                      | <i>Approved 2020 fiscal year (USD)</i> | <i>Actual 2020 fiscal year (USD)</i> | <i>Approved 2021 fiscal year (USD)</i> | <i>Approved 2022 fiscal year (USD)</i> |
|---|--|--------------------------------------|--|--|
| <b>AFB and its secretariat</b>                          |  |                                      |  |  |
| Personnel   | 2 996 361                              | 2 869 172                            | 3 247 224                              |  |
| Travel  | 415 500                                | 309 692                              | 492 000                                |  |
| General operations                                      | 413 500                                | 328 040                              | 479 700                                |  |
| Meetings  | 229 362                                | 197 358                              | 247 362                                |  |
| <b>Subtotal secretariat administrative services (a)</b> | <b>4 054 723</b>                       | <b>3 704 262</b>                     | <b>4 466 286</b>                       |  |
| Accreditation (b)                                       | 537 900                                | 356 793                              | 548 250                                |  |
| Readiness Programme for Climate Finance (c)             | 654 814                                | 347 348                              | 652 960                                |  |
| <b>Subtotal secretariat (a) + (b) + (c)</b>             | <b>5 247 437</b>                       | <b>4 408 403</b>                     | <b>5 667 496</b>                       |  |
| <b>Evaluation function</b>                              |  |                                      |  |  |
| Personnel   | 376 843                                | 391 793                              | 350 929                                | 358 772                                |
| Travel  | 81 000                                 | 54 678                               | 130 779                                | 134 702                                |
| General operations                                      | 31 000                                 | 43 317                               | 113 320                                | 122 080                                |
| Meetings  | 5 000                                  | 1 728                                | 10 000                                 | 10 000                                 |
| Evaluation  | 300 000                                | 187 595                              | 458 191                                | 561 517                                |
| <b>Subtotal evaluation function</b>                     | <b>793 843</b>                         | <b>679 111</b>                       | <b>1 063 219</b>                       | <b>1 187 071</b>                       |
| <b>Trustee</b>  |  |                                      |  |  |
| Monetization of CERs                                    | 180 000                                | 180 000                              | 180 000                                |  |
| Financial and programme management                      | 225 000                                | 229 000                              | 227 000                                |  |
| Investment management                                   | 192 150                                | 226 000                              | 216 000                                |  |
| Accounting and reporting                                | 40 000                                 | 40 000                               | 40 000                                 |  |
| Legal services  | 45 000                                 | 42 000                               | 45 000                                 |  |
| <b>Subtotal trustee</b>                                 | <b>682 150</b>                         | <b>717 000</b>                       | <b>708 000</b>                         |  |
| <b>Total</b>  | <b>6 723 430</b>                       | <b>5 804 514</b>                     | <b>7 438 715</b>                       |  |

## Annexe III

### Entités d'exécution accréditées<sup>1</sup>

[Anglais seulement]

#### I. National implementing entities

Agency for Agricultural Development (ADA), Morocco  
Agricultural Bank of Niger (BAGRI), Niger  
Bhutan Trust Fund for Environmental Conservation (BT FEC), Bhutan  
Chilean Agency for International Development Cooperation (AGCID), Chile  
Ecological Monitoring Centre (CSE), Senegal  
Department of Environment (DOE), Antigua and Barbuda  
Desert Research Foundation of Namibia (DRFN), Namibia  
Dominican Institute of Integral Development (IDDI), Dominican Republic  
Environmental Management Agency (EMA), Zimbabwe  
Environmental Project Implementation Unit (EPIU), Armenia  
Fundecooperación for Sustainable Development, Costa Rica  
General Directorate of Sectoral and Special Programs and Projects (DIPROSE), Argentina  
Interprofessional Fund for Agricultural Research and Advice (FIRCA), Côte d'Ivoire  
Mexican Institute of Water Technology (IMTA), Mexico  
Micronesia Conservation Trust (MCT), Federated States of Micronesia  
Ministry of Environment (MOE), Rwanda  
Ministry of Finance and Economic Cooperation (MOFEC), Ethiopia  
Ministry of Finance and Economic Development (MFED), Tuvalu  
Ministry of Finance and Economic Management (MFEM), Cook Islands  
Ministry of Planning and International Cooperation (MOPIC), Jordan  
Ministry of Water and Environment (MOWE), Uganda  
National Agency for Research and Innovation (ANII), Uruguay  
National Bank for Agriculture and Rural Development (NABARD), India  
National Environment Management Authority (NEMA), Kenya  
National Environment Management Council (NEMC), United Republic of Tanzania  
National Fund for Environment and Climate (FNEC), Benin  
Natura Foundation, Panama  
Partnership for Governance Reform in Indonesia (Kemitraan), Indonesia  
Peruvian Trust Fund for National Parks and Protected Areas (PROFONANPE), Peru  
Planning Institute of Jamaica (PIOJ), Jamaica  
Protected Areas Conservation Trust (PACT), Belize

<sup>1</sup> Presented in alphabetical order.

South African National Biodiversity Institute (SANBI), South Africa

## **II. Multilateral implementing entities**

African Development Bank (AfDB)

Asian Development Bank (ADB)

European Bank for Reconstruction and Development (EBRD)

Food and Agriculture Organization of the United Nations (FAO)

Inter-American Development Bank (IDB)

International Bank for Reconstruction and Development (IBRD)

International Fund for Agricultural Development (IFAD)

United Nations Development Programme (UNDP)

United Nations Environment Programme (UNEP)

United Nations Educational, Scientific and Cultural Organization (UNESCO)

United Nations Human Settlements Programme (UN-Habitat)

World Food Programme (WFP)

World Meteorological Organization (WMO)

## **III. Regional implementing entities**

Caribbean Development Bank (CDB) (Latin America and the Caribbean)

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

Development Bank of Latin America (CAF) (Latin America and the Caribbean)

Sahara and Sahel Observatory (OSS) (North, West and East Africa)

Secretariat of the Pacific Regional Environment Programme (SPREP) (Pacific)

West African Development Bank (BOAD) (West Africa)

## Annexe IV

## Décisions de financement relatives à des projets adoptées par le Conseil du Fonds pour l'adaptation entre le 1<sup>er</sup> juillet 2019 et le 30 juin 2020

[Anglais seulement]

Table IV.1

### Project-related funding decisions made during the intersessional period between the 33<sup>rd</sup> and 34<sup>th</sup> meetings of the Adaptation Fund Board

| <i>Party/Parties</i>                     | <i>IE</i>  | <i>PPRC document number</i> | <i>Grant size (USD)</i> | <i>Execution cost (USD)</i> | <i>NIE funding (USD)</i> | <i>RIE funding (USD)</i> | <i>MIE funding (USD)</i> | <i>AFB decision</i> | <i>Funding set aside (USD)</i> |
|--|------------|-----------------------------|-------------------------|-----------------------------|--------------------------|--------------------------|--------------------------|---------------------|--------------------------------|
| <b>1. Full proposals: single country</b> |            |                             |                         |                             |                          |                          |                          |                     |                                |
| <b>NIE</b>                               |            |                             |                         |                             |                          |                          |                          |                     |                                |
| Indonesia (1)                            | Kemitraan  | AFB/PPRC.24-25/2            | 835 465                 | 68 373                      | 835 465                  |                          |                          | Approved            | 835 465                        |
| Indonesia (2)                            | Kemitraan  | AFB/PPRC.24-25/3            | 4 127 065               | 353 217                     | 4 127 065                |                          |                          | Not approved        | 0                              |
| <b>RIE</b>                               |            |                             |                         |                             |                          |                          |                          |                     |                                |
| Saint Lucia                              | CDB        | AFB/PPRC.24-25/4            | 9 858 570               | 855 310                     |                          | 9 858 570                |                          | Approved            | 9 858 570                      |
| <b>MIE</b>                               |            |                             |                         |                             |                          |                          |                          |                     |                                |
| Iran (Islamic Republic of)               | UNDP       | AFB/PPRC.24-25/5            | 9 865 651               | 829 839                     |                          |                          | 9 865 651                | Not approved        | 0                              |
| Lao People's Democratic Republic         | UN-Habitat | AFB/PPRC.24-25/6            | 5 500 000               | 481 567                     |                          |                          | 5 500 000                | Approved            | 5 500 000                      |
| Lesotho                                  | WFP        | AFB/PPRC.24-25/7            | 9 999 894               | 875 850                     |                          |                          | 9 999 894                | Approved            | 9 999 894                      |
| Sierra Leone                             | IFAD       | AFB/PPRC.24-25/8            | 9 916 925               | 182 200                     |                          |                          | 9 916 925                | Approved            | 9 916 925                      |
| Tajikistan                               | UNDP       | AFB/PPRC.24-25/9            | 9 996 441               | 776 000                     |                          |                          | 9 996 441                | Approved            | 9 996 441                      |
| Turkmenistan                             | UNDP       | AFB/PPRC.24-25/10           | 7 000 040               | 559 000                     |                          |                          | 7 000 040                | Not approved        | 0                              |
| <b>Subtotal</b>                          |            |                             | <b>67 100 051</b>       | <b>4 981 356</b>            | <b>4 962 530</b>         | <b>9 858 570</b>         | <b>52 278 951</b>        |                     | <b>46 107 295</b>              |
| <b>2. Full proposals: regional</b>       |            |                             |                         |                             |                          |                          |                          |                     |                                |
| <b>RIE</b>                               |            |                             |                         |                             |                          |                          |                          |                     |                                |
| Djibouti, Kenya, Sudan, Uganda           | OSS        | AFB/PPRC.24-25/11           | 13 079 540              | 1 045 860                   |                          | 13 079 540               |                          | Not approved        | 0                              |
| <b>MIE</b>                               |            |                             |                         |                             |                          |                          |                          |                     |                                |
| Chile, Colombia, Peru                    | WMO        | AFB/PPRC.24-25/12           | 7 432 250               | 650 000                     |                          |                          | 7 432 250                | Approved            | 7 432 250                      |
| <b>Subtotal</b>                          |            |                             | <b>20 511 790</b>       | <b>1 695 860</b>            |                          | <b>13 079 540</b>        | <b>7 432 250</b>         |                     | <b>7 432 250</b>               |

| <i>Party/Parties</i>                                    | <i>IE</i> | <i>PPRC document number</i> | <i>Grant size (USD)</i> | <i>Execution cost (USD)</i> | <i>NIE funding (USD)</i> | <i>RIE funding (USD)</i> | <i>MIE funding (USD)</i> | <i>AFB decision</i> | <i>Funding set aside (USD)</i> |
|---|-----------|-----------------------------|-------------------------|-----------------------------|--------------------------|--------------------------|--------------------------|---------------------|--------------------------------|
| <b>3. Concepts: regional</b>                            |           |                             |                         |                             |                          |                          |                          |                     |                                |
| <b>MIE</b>  |           |                             |                         |                             |                          |                          |                          |                     |                                |
| El Salvador, Honduras                                   | WFP       | AFB/PPRC.24-25/13           | 13 900 478              | 1 111 500                   |                          |                          | 13 900 478               | Not endorsed        |                                |
| <b>Subtotal</b>   |           |                             | <b>13 900 478</b>       | <b>1 111 500</b>            |                          |                          | <b>13 900 478</b>        |                     |                                |
| <b>4. Project formulation grants: regional concepts</b> |           |                             |                         |                             |                          |                          |                          |                     |                                |
| <b>MIE</b>  |           |                             |                         |                             |                          |                          |                          |                     |                                |
| El Salvador, Honduras                                   | WFP       | AFB/PPRC.24-25/13/ Add.1    | 80 000                  |                             |                          |                          |                          | Not approved        | 0                              |
| <b>Subtotal</b>   |           |                             | <b>80 000</b>           |                             |                          |                          |                          |                     |                                |
| <b>Total (1+2+3+4)</b>                                  |           |                             | <b>101 592 319</b>      | <b>7 788 716</b>            | <b>4 962 530</b>         | <b>22 938 110</b>        | <b>73 611 679</b>        |                     | <b>53 539 545</b>              |

Table IV.2

**Project-related funding decisions related to waitlisted regional projects or programmes made at the 33<sup>rd</sup> meeting of the Adaptation Fund Board and approved during the intersessional period between its 33<sup>rd</sup> and 34<sup>th</sup> meetings**

| <i>Parties</i>                          | <i>IE</i>  | <i>PPRC document number</i> | <i>Grant size (USD)</i> | <i>NIE funding (USD)</i> | <i>RIE funding (USD)</i> | <i>MIE funding (USD)</i> | <i>AFB decision</i> | <i>Funding set aside (USD)</i> |
|---|------------|-----------------------------|-------------------------|--------------------------|--------------------------|--------------------------|---------------------|--------------------------------|
| <b>Full proposals: regional</b>         |            |                             |                         |                          |                          |                          |                     |                                |
| <b>RIE</b>                              |            |                             |                         |                          |                          |                          |                     |                                |
| Argentina, Uruguay                      | CAF        | AFB/PPRC.24/33              | 13 999 996              |                          | 13 999 996               |                          | Approved            | 13 999 996                     |
| Benin, Burkina Faso, Niger              | OSS        | AFB/PPRC.24/34              | 11 536 200              |                          | 11 536 200               |                          | Approved            | 11 536 200                     |
| <b>MIE</b>                              |            |                             |                         |                          |                          |                          |                     |                                |
| Comoros, Madagascar, Malawi, Mozambique | UN-Habitat | AFB/PPRC.24/37              | 13 997 423              |                          |                          | 13 997 423               | Approved            | 13 997 423                     |
| <b>Total</b>                            |            |                             | <b>39 533 619</b>       |                          | <b>25 536 196</b>        | <b>13 997 423</b>        |                     | <b>39 533 619</b>              |

Table IV.3

**Project-related funding decisions made at the 34<sup>th</sup> meeting of the Adaptation Fund Board**

| <i>Party/Parties</i>                     | <i>IE</i>  | <i>PPRC document number</i> | <i>Grant size (USD)</i> | <i>NIE funding (USD)</i> | <i>RIE funding (USD)</i> | <i>MIE funding (USD)</i> | <i>AFB decision</i> | <i>Funding set aside (USD)</i> |
|--|------------|-----------------------------|-------------------------|--------------------------|--------------------------|--------------------------|---------------------|--------------------------------|
| <b>1. Full proposals: single country</b> |            |                             |                         |                          |                          |                          |                     |                                |
| <b>MIE</b>                               |            |                             |                         |                          |                          |                          |                     |                                |
| Congo                                    | WFP        | AFB/PPRC.25/4               | 9 999 909               |                          |                          | 9 999 909                | Approved            | 9 999 909                      |
| Georgia                                  | IFAD       | AFB/PPRC.25/5               | 4 644 794               |                          |                          | 4 644 794                | Approved            | 4 644 794                      |
| El Salvador                              | UNDP       | AFB/PPRC.25/6               | 8 484 503               |                          |                          | 8 484 503                | Approved            | 8 484 503                      |
| Iran (Islamic Republic of)               | UNDP       | AFB/PPRC.25/7               | 9 865 653               |                          |                          | 9 865 653                | Not approved        | 0                              |
| Malawi                                   | WFP        | AFB/PPRC.25/8               | 9 989 335               |                          |                          | 9 989 335                | Approved            | 9 989 335                      |
| Pakistan                                 | UN-Habitat | AFB/PPRC.25/9               | 6 094 000               |                          |                          | 6 094 000                | Not approved        | 0                              |
| Republic of Moldova                      | IFAD       | AFB/PPRC.25/10              | 6 008 095               |                          |                          | 6 008 095                | Approved            | 6 008 095                      |
| Tunisia                                  | IFAD       | AFB/PPRC.25/11              | 9 997 190               |                          |                          | 9 997 190                | Not approved        | 0                              |
| Turkmenistan                             | UNDP       | AFB/PPRC.25/12              | 7 000 040               |                          |                          | 7 000 040                | Not approved        | 0                              |
| <b>Subtotal</b>                          |            |                             | <b>72 083 519</b>       |                          |                          | <b>72 083 519</b>        |                     | <b>39 126 636</b>              |

|   |                                   |                             |                         |                          |                          |                          | <i>Funding set<br/>aside</i> |                |
|---|-----------------------------------|-----------------------------|-------------------------|--------------------------|--------------------------|--------------------------|------------------------------|----------------|
| <i>Party/Parties</i>  | <i>IE</i>                         | <i>PPRC document number</i> | <i>Grant size (USD)</i> | <i>NIE funding (USD)</i> | <i>RIE funding (USD)</i> | <i>MIE funding (USD)</i> | <i>AFB decision</i>          | <i>(USD)</i>   |
| <b>2. Concepts: single country</b>  |                                   |                             |                         |                          |                          |                          |                              |                |
| <b>NIE</b>  |                                   |                             |                         |                          |                          |                          |                              |                |
| Indonesia (1)   | Kemitraan                         | AFB/PPRC.25/13              | 801 259                 | 801 259                  |                          |                          | Endorsed                     |                |
| Indonesia (5)   | Kemitraan                         | AFB/PPRC.25/14              | 759 966                 | 710 000                  |                          |                          | Endorsed                     |                |
| Belize  | PACT                              | AFB/PPRC.25/15              | 4 000 000               | 4 000 000                |                          |                          | Endorsed                     |                |
| Indonesia (2)   | Kemitraan                         | AFB/PPRC.25/16              | 1 048 636               | 1 048 636                |                          |                          | Not endorsed                 |                |
| Indonesia (3)   | Kemitraan                         | AFB/PPRC.25/17              | 1 125 052               | 1 125 052                |                          |                          | Endorsed                     |                |
| Indonesia (4)   | Kemitraan                         | AFB/PPRC.25/18              | 1 000 000               | 1 000 000                |                          |                          | Endorsed                     |                |
| Namibia   | DRFN                              | AFB/PPRC.25/19              | 4 998 000               | 4 998 000                |                          |                          | Endorsed                     |                |
| United Republic<br>of Tanzania  | NEMC                              | AFB/PPRC.25/20              | 1 000 000               | 1 000 000                |                          |                          | Endorsed                     |                |
| <b>MIE</b>  |                                   |                             |                         |                          |                          |                          |                              |                |
| Gambia  | WFP                               | AFB/PPRC.25/21              | 9 999 984               |                          |                          | 9 999 984                | Endorsed                     |                |
| Kyrgyzstan  | IFAD                              | AFB/PPRC.25/22              | 9 985 526               |                          |                          | 9 985 526                | Not endorsed                 |                |
| Viet Nam  | UN-Habitat                        | AFB/PPRC.25/23              | 6 347 190               |                          |                          | 6 347 190                | Endorsed                     |                |
| <b>Subtotal</b>   |                                   |                             | <b>41 065 613</b>       | <b>14 682 947</b>        |                          | <b>26 332 700</b>        |                              |                |
| <b>3. Project formulation grants/project formulation assistance: single country</b> |                                   |                             |                         |                          |                          |                          |                              |                |
| <b>NIE</b>  |                                   |                             |                         |                          |                          |                          |                              |                |
| Project formulation grant   | Belize                            | PACT                        | AFB/PPRC.25/15/Add.1    | 29 830                   | 29 830                   |                          | Approved                     | 29 830         |
| Project formulation<br>assistance   | Belize                            | PACT                        | AFB/PPRC.25/15/Add.2    | 20 000                   | 20 000                   |                          | Approved                     | 20 000         |
| Project formulation grant   | Namibia                           | DRFN                        | AFB/PPRC.25/19/Add.1    | 30 000                   | 30 000                   |                          | Approved <sup>a</sup>        | 30 000         |
| Project formulation<br>assistance   | Namibia                           | DRFN                        | AFB/PPRC.25/19/Add.2    | 20 000                   | 20 000                   |                          | Approved <sup>a</sup>        | 20 000         |
| Project formulation grant   | United Republic<br>of Tanzania    | NEMC                        | AFB/PPRC.25/20/Add.1    | 30 000                   | 30 000                   |                          | Approved                     | 30 000         |
| <b>Subtotal</b>   |                                   |                             | <b>129 830</b>          | <b>129 830</b>           |                          |                          |                              | <b>129 830</b> |
| <b>4. Full proposals: regional</b>  |                                   |                             |                         |                          |                          |                          |                              |                |
| <b>RIE</b>  |                                   |                             |                         |                          |                          |                          |                              |                |
|   | Djibouti, Kenya,<br>Sudan, Uganda | OSS                         | AFB/PPRC.25/24          | 13 079 540               |                          | 13 079 540               | Approved                     | 13 079 540     |



| <i>Party/Parties</i>                                    | <i>IE</i> | <i>PPRC document number</i> | <i>Grant size (USD)</i> | <i>NIE funding (USD)</i> | <i>RIE funding (USD)</i> | <i>MIE funding (USD)</i> | <i>AFB decision</i> | <i>Funding set aside (USD)</i> |
|---|-----------|-----------------------------|-------------------------|--------------------------|--------------------------|--------------------------|---------------------|--------------------------------|
| <b>MIE</b>  |           |                             |                         |                          |                          |                          |                     |                                |
| Kazakhstan,<br>Kyrgyzstan,<br>Tajikistan,<br>Uzbekistan | UNESCO    | AFB/PPRC.25/25              | 6 500 000               |                          |                          | 6 500 000                | Not approved        | 0                              |
| Armenia,<br>Georgia                                     | UNDP      | AFB/PPRC.25/26              | 7 475 650               |                          |                          | 7 475 650                | Not approved        | 0                              |
| Thailand, Viet<br>Nam                                   | UNEP      | AFB/PPRC.25/27              | 7 000 000               |                          |                          | 7 000 000                | Not approved        | 0                              |
| <b>Subtotal</b>   |           |                             | <b>34 055 190</b>       |                          |                          | <b>13 079 540</b>        |                     | <b>13 079 540</b>              |

**5. Concepts: regional**

|   |        |                |                  |  |  |                  |          |  |
|---|--------|----------------|------------------|--|--|------------------|----------|--|
| <b>MIE</b>  |        |                |                  |  |  |                  |          |  |
| Cambodia, Lao<br>People's<br>Democratic<br>Republic,<br>Myanmar,<br>Thailand, Viet<br>Nam | UNESCO | AFB/PPRC.25/28 | 4 898 775        |  |  | 4 898 775        | Endorsed |  |
| <b>Subtotal</b>   |        |                | <b>4 898 775</b> |  |  | <b>4 898 775</b> |          |  |

**6. Project formulation grants: regional concepts**

|   |        |                      |               |  |  |               |          |               |
|---|--------|----------------------|---------------|--|--|---------------|----------|---------------|
| <b>MIE</b>  |        |                      |               |  |  |               |          |               |
| Cambodia, Lao<br>People's<br>Democratic<br>Republic,<br>Myanmar,<br>Thailand, Viet<br>Nam | UNESCO | AFB/PPRC.25/28/Add.1 | 80 000        |  |  | 80 000        | Approved | 80 000        |
| <b>Subtotal</b>   |        |                      | <b>80 000</b> |  |  | <b>80 000</b> |          | <b>80 000</b> |

**7. Pre-concepts: regional**

|   |     |                |            |  |            |  |          |  |
|---|-----|----------------|------------|--|------------|--|----------|--|
| <b>RIE</b>  |     |                |            |  |            |  |          |  |
| Angola, Namibia   | OSS | AFB/PPRC.25/29 | 11 878 580 |  | 11 878 580 |  | Endorsed |  |
| Benin, Burkina<br>Faso, Côte<br>d'Ivoire,<br>Gambia, Ghana, | OSS | AFB/PPRC.25/30 | 13 955 270 |  | 13 955 270 |  | Endorsed |  |

|   | <i>Party/Parties</i>  | <i>IE</i>  | <i>PPRC document number</i> | <i>Grant size (USD)</i> | <i>NIE funding (USD)</i> | <i>RIE funding (USD)</i> | <i>MIE funding (USD)</i> | <i>AFB decision</i> | <i>Funding set aside (USD)</i> |
|---|---|------------|-----------------------------|-------------------------|--------------------------|--------------------------|--------------------------|---------------------|--------------------------------|
| <b>MIE</b>  | Guinea, Liberia,<br>Mali, Niger,<br>Nigeria, Senegal,<br>Sierra Leone,<br>Togo  |            |                             |                         |                          |                          |                          |                     |                                |
|   | Antigua and<br>Barbuda,<br>Dominica, Saint<br>Lucia   | UN-Habitat | AFB/PPRC.25/31              | 13 966 000              |                          | 13 966 000               |                          | Endorsed            |                                |
|   | Azerbaijan, Iran<br>(Islamic<br>Republic of)  | UN-Habitat | AFB/PPRC.25/32              | 14 000 000              |                          | 14 000 000               |                          | Endorsed            |                                |
| <b>Subtotal</b>   |   |            |                             | <b>53 799 850</b>       |                          | <b>53 799 850</b>        |                          |                     |                                |
| <b>8. Project formulation grants: regional pre-concepts</b> |   |            |                             |                         |                          |                          |                          |                     |                                |
| <b>MIE</b>  | Angola, Namibia   | OSS        | AFB/PPRC.25/29/Add.1        | 20 000                  |                          | 20 000                   |                          | Approved            | 20 000                         |
|   | Benin, Burkina<br>Faso, Côte<br>d'Ivoire,<br>Gambia, Ghana,<br>Guinea, Liberia,<br>Mali, Niger,<br>Nigeria, Senegal,<br>Sierra Leone,<br>Togo | OSS        | AFB/PPRC.25/30/Add.1        | 20 000                  |                          | 20 000                   |                          | Approved            | 20 000                         |
|   | Antigua and<br>Barbuda,<br>Dominica, Saint<br>Lucia   | UN-Habitat | AFB/PPRC.25/31/Add.1        | 20 000                  |                          |                          | 20 000                   | Approved            | 20 000                         |
|   | Azerbaijan, Iran<br>(Islamic<br>Republic of)  | UN-Habitat | AFB/PPRC.25/32/Add.1        | 20 000                  |                          |                          | 20 000                   | Approved            | 20 000                         |
|   | <b>Subtotal</b>   |            |                             |                         | <b>80 000</b>            |                          | <b>40 000</b>            | <b>40 000</b>       |                                |
| <b>Total<br/>(1+2+3+4+5+6+7+8)</b>                          |   |            |                             | <b>206 192 777</b>      | <b>14 812 777</b>        | <b>66 919 390</b>        | <b>119 431 869</b>       |                     | <b>52 496 006</b>              |

| <i>Party/Parties</i>                        | <i>IE</i>               | <i>PPRC document number</i> | <i>Grant size (USD)</i> | <i>NIE funding (USD)</i> | <i>RIE funding (USD)</i> | <i>MIE funding (USD)</i> | <i>AFB decision</i> | <i>Funding set aside (USD)</i> |
|---|-------------------------|-----------------------------|-------------------------|--------------------------|--------------------------|--------------------------|---------------------|--------------------------------|
| <b>9. Innovation small grants</b>           |                         |                             |                         |                          |                          |                          |                     |                                |
| <b>NIE</b>                                  |                         |                             |                         |                          |                          |                          |                     |                                |
| Armenia                                     | EPIU                    | AFB/PPRC.25/38              | 231 250                 | 231 250                  |                          |                          | Approved            | 231 250                        |
| Chile                                       | AGCID                   | AFB/PPRC.25/39              | 230 000                 | 230 000                  |                          |                          | Approved            | 230 000                        |
| United Republic of Tanzania                 | NEMC                    | AFB/PPRC.25/40              | 250 000                 | 250 000                  |                          |                          | Not approved        | 0                              |
| <b>Subtotal</b>                             |                         |                             | <b>711 250</b>          | <b>711 250</b>           |                          |                          |                     | <b>461 250</b>                 |
| <b>10. Innovation MIE aggregator grants</b> |                         |                             |                         |                          |                          |                          |                     |                                |
| <b>MIE</b>                                  |                         |                             |                         |                          |                          |                          |                     |                                |
| Multiregional                               | UNEP                    | AFB/PPRC.25/35              | 5 000 000               |                          |                          | 5 000 000                | Approved            | 5 000 000                      |
| Multiregional                               | UNDP                    | AFB/PPRC.25/36              | 5 000 000               |                          |                          | 5 000 000                | Approved            | 5 000 000                      |
| <b>Subtotal</b>                             |                         |                             | <b>10 000 000</b>       |                          |                          | <b>10 000 000</b>        |                     | <b>10 000 000</b>              |
| <b>11. Project scale-up grants</b>          |                         |                             |                         |                          |                          |                          |                     |                                |
| <b>NIE</b>                                  |                         |                             |                         |                          |                          |                          |                     |                                |
| Rwanda                                      | Ministry of Environment | AFB/PPRC.25/42              | 99 000                  | 99 000                   |                          |                          | Approved            | 99 000                         |
| Senegal                                     | CSE                     | AFB/PPRC.25/43              | 99 937                  | 99 937                   |                          |                          | Not approved        | 0                              |
| <b>Subtotal</b>                             |                         |                             | <b>198 937</b>          | <b>198 937</b>           |                          |                          |                     | <b>99 000</b>                  |
| <b>12. Learning grants</b>                  |                         |                             |                         |                          |                          |                          |                     |                                |
| <b>NIE</b>                                  |                         |                             |                         |                          |                          |                          |                     |                                |
| Senegal                                     | CSE                     | AFB/PPRC.25/45              | 149 993                 | 149 993                  |                          |                          | Not approved        | 0                              |
| <b>Subtotal</b>                             |                         |                             | <b>149 993</b>          | <b>149 993</b>           |                          |                          |                     | <b>0</b>                       |
| <b>Total (1+2+3+4+5+6+7+8+9+10+11+12)</b>   |                         |                             | <b>217 252 957</b>      | <b>15 872 957</b>        | <b>66 919 390</b>        | <b>129 431 869</b>       |                     | <b>63 056 256</b>              |

<sup>a</sup> Subject to IE reaccreditation.

Table IV.4

**Project-related funding decisions made during the intersessional period between the 34<sup>th</sup> and 35<sup>th</sup> meetings of the Adaptation Fund Board**

| <i>Party</i>                               | <i>IE</i> | <i>PPRC document number</i> | <i>Grant size (USD)</i> | <i>NIE funding (USD)</i> | <i>RIE funding (USD)</i> | <i>MIE funding (USD)</i> | <i>AFB decision</i> | <i>Funding set aside (USD)</i> |
|--|-----------|-----------------------------|-------------------------|--------------------------|--------------------------|--------------------------|---------------------|--------------------------------|
| Project formulation grants: single country |           |                             |                         |                          |                          |                          |                     |                                |
| Indonesia (1)                              | Kemitraan | AFB/PPRC.25/13/Add.1        | 30 000                  | 30 000                   |                          |                          | Approved            | 30 000                         |
| Indonesia (5)                              | Kemitraan | AFB/PPRC.25/14/Add.1        | 30 000                  | 30 000                   |                          |                          | Approved            | 30 000                         |
| Indonesia (3)                              | Kemitraan | AFB/PPRC.25/17/Add.1        | 30 000                  | 30 000                   |                          |                          | Approved            | 30 000                         |
| <b>Total</b>                               |           |                             | <b>90 000</b>           | <b>90 000</b>            |                          |                          |                     | <b>90 000</b>                  |

*Note:* Recalling AFB decisions B.34/13, B.34/14 and B.34/17, by which the AFB endorsed the concept notes contained in documents AFB/PPRC.25/13, AFB/PPRC.25/14 and AFB/PPRC.25/17 as supplemented by the clarification responses provided by Kemitraan to the request made by the technical review, the AFB decided to approve the project formulation grants of USD 30,000.

Table IV.5

**Project-related funding decisions made during the intersessional period between the first and second part of the 35<sup>th</sup> meeting of the Adaptation Fund Board**

| <i>Party/Parties</i>                     | <i>IE</i>  | <i>PPRC document number</i> | <i>Grant size (USD)</i> | <i>NIE funding (USD)</i> | <i>RIE funding (USD)</i> | <i>MIE funding (USD)</i> | <i>AFB decision</i> | <i>Funding set aside (USD)</i> |
|--|------------|-----------------------------|-------------------------|--------------------------|--------------------------|--------------------------|---------------------|--------------------------------|
| <b>1. Full proposals: single country</b> |            |                             |                         |                          |                          |                          |                     |                                |
| <b>NIE</b>                               |            |                             |                         |                          |                          |                          |                     |                                |
| Indonesia (1)                            | Kemitraan  | AFB/PPRC.26.a-26.b/2        | 963 455                 | 963 455                  |                          |                          | Not approved        | 0                              |
| Indonesia (2)                            | Kemitraan  | AFB/PPRC.26.a-26.b/3        | 1 125 015               | 1 125 015                |                          |                          | Not approved        | 0                              |
| Indonesia (3)                            | Kemitraan  | AFB/PPRC.26.a-26.b/4        | 710 000                 | 710 000                  |                          |                          | Not approved        | 0                              |
| Indonesia (4)                            | Kemitraan  | AFB/PPRC.26.a-26.b/5        | 5 972 670               | 5 972 670                |                          |                          | Not approved        | 0                              |
| United Republic of Tanzania (1)          | NEMC       | AFB/PPRC.26.a-26.b/6        | 1 400 000               | 1 400 000                |                          |                          | Not approved        | 0                              |
| United Republic of Tanzania (2)          | NEMC       | AFB/PPRC.26.a-26.b/7        | 1 200 000               | 1 200 000                |                          |                          | Approved            | 1 200 000                      |
| United Republic of Tanzania (3)          | NEMC       | AFB/PPRC.26.a-26.b/8        | 1 280 000               | 1 280 000                |                          |                          | Not approved        | 0                              |
| United Republic of Tanzania (4)          | NEMC       | AFB/PPRC.26.a-26.b/9        | 1 000 000               | 1 000 000                |                          |                          | Approved            | 1 000 000                      |
| <b>RIE</b>                               |            |                             |                         |                          |                          |                          |                     |                                |
| Kiribati                                 | SPREP      | AFB/PPRC.26.a-26.b/10       | 9 974 655               |                          | 9 974 655                |                          | Not approved        | 0                              |
| <b>MIE</b>                               |            |                             |                         |                          |                          |                          |                     |                                |
| Cambodia                                 | UN-Habitat | AFB/PPRC.26.a-26.b/11       | 5 000 000               |                          |                          | 5 000 000                | Not approved        | 0                              |
| Cameroon                                 | IFAD       | AFB/PPRC.26.a-26.b/12       | 9 982 000               |                          |                          | 9 982 000                | Not approved        | 0                              |

| <i>Party/Parties</i>                                    | <i>IE</i>  | <i>PPRC document number</i> | <i>Grant size (USD)</i> | <i>NIE funding (USD)</i> | <i>RIE funding (USD)</i> | <i>MIE funding (USD)</i> | <i>AFB decision</i> | <i>Funding set aside (USD)</i> |
|---|------------|-----------------------------|-------------------------|--------------------------|--------------------------|--------------------------|---------------------|--------------------------------|
| Pakistan  | UN-Habitat | AFB/PPRC.26.a-26.b/13       | 6 094 000               |                          |                          | 6 094 000                | Approved            | 6 094 000                      |
| Tunisia   | IFAD       | AFB/PPRC.26.a-26.b/14       | 9 997 190               |                          |                          | 9 997 190                | Approved            | 9 997 190                      |
| Viet Nam  | UN-Habitat | AFB/PPRC.26.a-26.b/15       | 6 345 292               |                          |                          | 6 345 292                | Approved            | 6 345 292                      |
| Zimbabwe  | UNESCO     | AFB/PPRC.26.a-26.b/16       | 5 000 000               |                          |                          | 5 000 000                | Not approved        | 0                              |
| <b>Subtotal</b>   |            |                             | <b>66 044 277</b>       | <b>13 651 140</b>        | <b>9 974 655</b>         | <b>42 418 482</b>        |                     | <b>24 636 482</b>              |
| <b>2. Full proposals: regional</b>                      |            |                             |                         |                          |                          |                          |                     |                                |
| <b>MIE</b>  |            |                             |                         |                          |                          |                          |                     |                                |
| Jordan, Lebanon   | UN-Habitat | AFB/PPRC.26.a-26.b/17       | 13 968 139              |                          |                          | 13 968 139               | Not approved        | 0                              |
| Kazakhstan,<br>Kyrgyzstan,<br>Tajikistan,<br>Uzbekistan | UNESCO     | AFB/PPRC.26.a-26.b/18       | 6 500 000               |                          |                          | 6 500 000                | Waitlisted          | 0                              |
| Thailand, Viet Nam                                      | UNEP       | AFB/PPRC.26.a-26.b/19       | 7 000 000               |                          |                          | 7 000 000                | Not approved        | 0                              |
| <b>Subtotal</b>   |            |                             | <b>27 468 139</b>       |                          |                          | <b>27 468 139</b>        |                     |                                |
| <b>Total (1+2)</b>                                      |            |                             | <b>93 512 416</b>       | <b>13 651 140</b>        | <b>9 974 655</b>         | <b>69 886 621</b>        |                     | <b>24 636 482</b>              |

Figure IV.1  
**Fully developed project and programme proposals approved by the Adaptation Fund Board between 1 July 2019 and 30 June 2020, shares by sector**

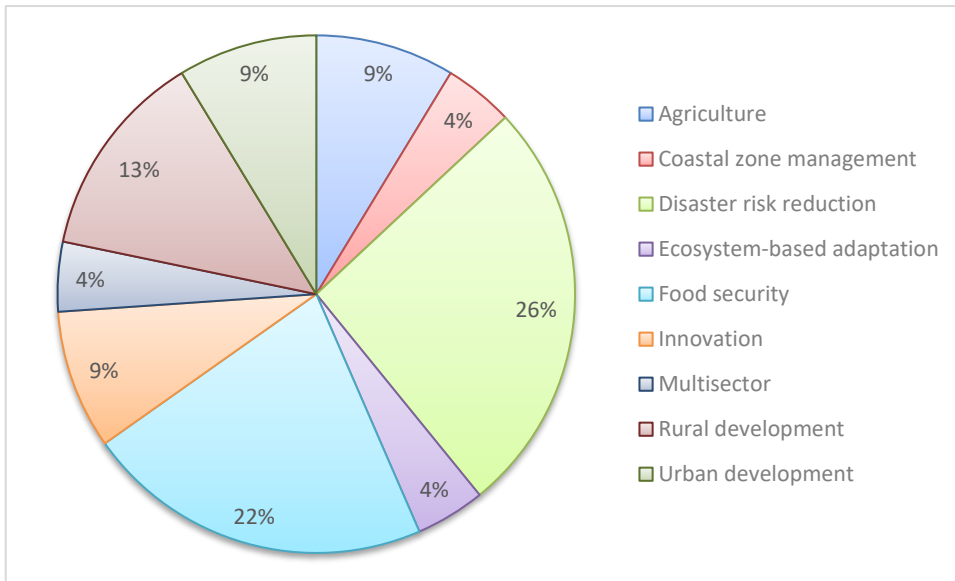


Figure IV.2  
**Project and programme pre-concepts and concepts endorsed by the Adaptation Fund Board between 1 July 2019 and 30 June 2020, shares by sector**

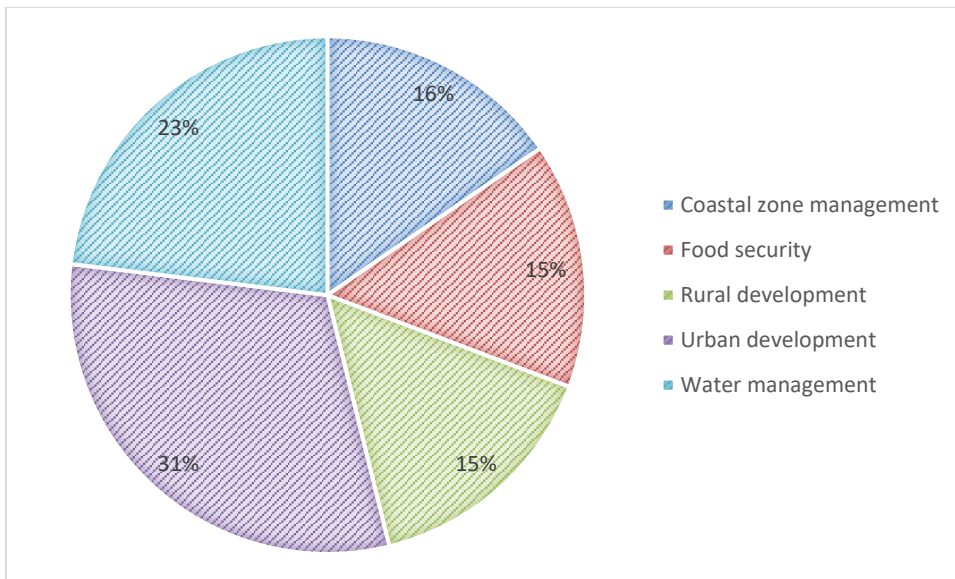


Figure IV.3

**Status of the portfolio of projects and programmes approved by the Adaptation Fund Board as at 30 June 2020 by allocated amount, by sector**

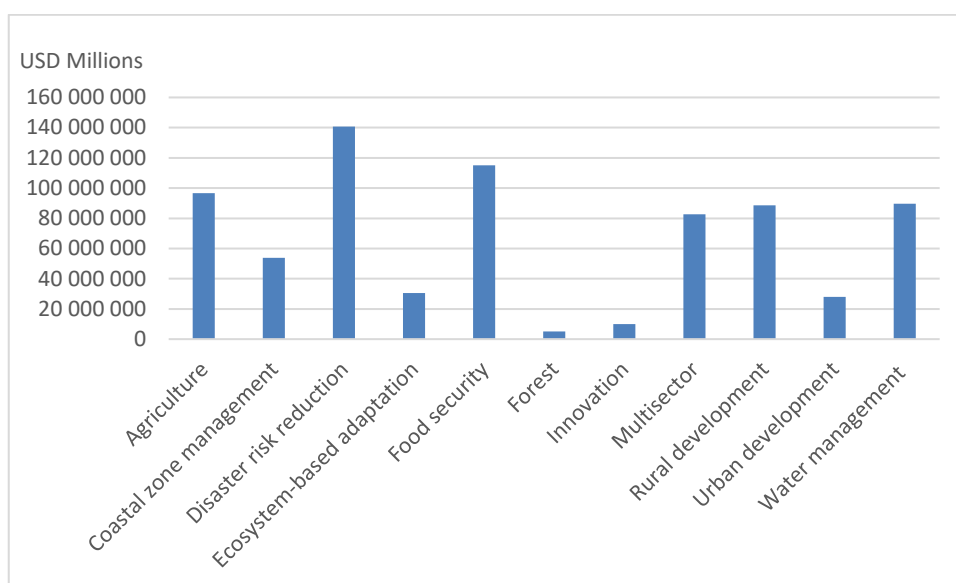


Table IV.6

**Funding decisions made by the Adaptation Fund Board for projects under the Readiness Programme for Climate Finance during the reporting period**

| <i>Party</i>                          | <i>IE</i> | <i>PPRC document reference</i> | <i>Requested amount (USD)</i> | <i>NIE funding (USD)</i> | <i>Set-aside funds (USD)</i> | <i>AFB decision</i> |
|---------------------------------------|-----------|--------------------------------|-------------------------------|--------------------------|------------------------------|---------------------|
| <b>Technical assistance grants</b>    |           |                                |                               |                          |                              |                     |
| Uganda                                | MOWE      | AFB/PPRC.25-26.3               | 25 000                        | 25 000                   | 25 000                       | Approved            |
| United Republic of Tanzania           | NEMC      | AFB/PPRC.25-26.4               | 25 000                        | 25 000                   | 25 000                       | Approved            |
| Zimbabwe                              | EMA       | AFB/PPRC.25-26.2               | 25 000                        | 25 000                   | 25 000                       | Approved            |
| <b>Subtotal</b>                       |           |                                | <b>75 000</b>                 | <b>75 000</b>            | <b>75 000</b>                |                     |
| <b>South–South cooperation grants</b> |           |                                |                               |                          |                              |                     |
| Botswana                              | NEMA      | AFB/PPRC.25-26.5               | 50 000                        | 50 000                   | 50 000                       | Approved            |
| Mozambique                            | NEMA      | AFB/PPRC.25-26.6               | 50 000                        | 50 000                   | 50 000                       | Approved            |
| <b>Subtotal</b>                       |           |                                | <b>100 000</b>                | <b>100 000</b>           | <b>100 000</b>               |                     |
| <b>Total</b>                          |           |                                | <b>175 000</b>                | <b>175 000</b>           | <b>175 000</b>               |                     |

## Annexe V

## Situation du portefeuille du Fonds pour l'adaptation

[Anglais seulement]

Table V.1

Status of the portfolio of projects and programmes approved by the Adaptation Fund Board as at 30 June 2020

| <i>Party</i>                | <i>Project</i>   | <i>IE</i> | <i>Approved amount<br/>(USD)</i> | <i>Amount transferred<br/>(USD)</i> | <i>Approval date</i> | <i>Project status</i> |
|-----------------------------|--|-----------|----------------------------------|-------------------------------------|----------------------|-----------------------|
| Senegal                     | Adaptation to coastal erosion in vulnerable areas  | CSE       | 8 619 000                        | 8 619 000                           | 17/9/2010            | 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                           | 17/9/2010            | 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           | 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 the Anseba region of 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           | Closed                |
| United Republic of Tanzania | Implementation of concrete adaptation measures to reduce vulnerability of livelihood and economy of coastal communities in the United Republic of 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           | 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           | 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                           | 18/3/2011            | Under implementation  |
| Guatemala                   | Climate change resilient production landscapes and socioeconomic networks advanced in Guatemala  | UNDP      | 5 425 000                        | 5 425 000                           | 22/6/2011            | Closed                |



| <i>Party</i>     | <i>Project</i>  | <i>IE</i>                                   | <i>Approved amount<br/>(USD)</i> | <i>Amount transferred<br/>(USD)</i> | <i>Approval date</i> | <i>Project status</i> |
|------------------|---|---|----------------------------------|-------------------------------------|----------------------|-----------------------|
| Mongolia         | Ecosystem-based adaptation approach to maintaining water security in critical water catchments in Mongolia  | UNDP  | 5 500 000                        | 5 500 000                           | 22/6/2011            | 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                           | 22/6/2011            | Closed                |
| Madagascar       | Promoting climate resilience in the rice sector through pilot investments in Alaotra-Mangoro region   | UNEP  | 5 104 925                        | 5 104 925                           | 22/6/2011            | Under implementation  |
| Cook Islands     | Strengthening the resilience of the islands and communities of Cook Islands to climate change   | UNDP  | 5 381 600                        | 5 381 600                           | 15/9/2011            | Closed                |
| Georgia          | Developing climate-resilient flood and flash flood management practices to protect vulnerable communities of Georgia                                | UNDP  | 5 316 500                        | 5 316 500                           | 16/9/2011            | 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                           | 16/9/2011            | Closed                |
| Samoa            | Enhancing resilience of Samoa's coastal communities to climate change   | UNDP  | 8 732 350                        | 8 732 351                           | 16/9/2011            | Closed                |
| Uruguay          | Building resilience to climate change and variability of vulnerable smallholders  | National Agency for Research and Innovation | 9 967 678                        | 9 967 678                           | 14/12/2011           | Under implementation  |
| Myanmar          | Addressing climate change risks for water resources and food security in the dry zone of Myanmar  | UNDP  | 7 909 026                        | 7 909 026                           | 27/2/2012            | 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                           | 15/3/2012            | Under implementation  |
| Ghana            | Increased resilience to climate change in northern Ghana through management of water resources and diversification of livelihoods                   | UNDP  | 8 293 972                        | 6 187 351                           | 16/3/2012            | Under implementation  |
| Egypt            | Building resilient food security systems to benefit the southern Egypt region   | WFP   | 6 904 318                        | 6 904 318                           | 28/6/2012            | Under implementation  |
| Lebanon          | Climate-smart agriculture: enhancing adaptive capacity of the rural communities in Lebanon  | IFAD  | 7 860 825                        | 1 589 200                           | 28/6/2012            | Under implementation  |
| Djibouti         | Developing agropastoral shade gardens as an adaptation strategy for poor rural communities  | UNDP  | 4 658 556                        | 4 658 556                           | 28/6/2012            | 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                           | 28/6/2012            | Under implementation  |

| <i>Party</i> | <i>Project</i>   | <i>IE</i>   | <i>Approved amount<br/>(USD)</i> | <i>Amount transferred<br/>(USD)</i> | <i>Approval date</i> | <i>Project status</i> |
|--------------|--|---|----------------------------------|-------------------------------------|----------------------|-----------------------|
| 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                           | 28/6/2012            | 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                           | 29/6/2012            | Under implementation  |
| Cambodia     | Enhancing climate resilience of rural communities living in protected areas of Cambodia  | UNEP  | 4 954 273                        | 4 954 273                           | 29/6/2012            | Under implementation  |
| Argentina    | Increasing climate resilience and enhancing sustainable land management in the south-west of the Buenos Aires province                           | IBRD  | 4 296 817                        | 4 296 817                           | 29/6/2012            | 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 adaptive capacity and increasing resilience of small-size agriculture producers in the north-east of Argentina                         | General Directorate of Sectoral and Special Programs and Projects | 5 640 000                        | 5 640 000                           | 4/4/2013             | Under implementation  |
| Belize       | Belize Marine Conservation and Climate Adaptation Initiative   | IBRD  | 6 000 000                        | 5 464 967                           | 5/4/2013             | 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                           | 4/7/2013             | Under implementation  |
| Kenya        | Integrated programme to build resilience to climate change and adaptive capacity of vulnerable communities in Kenya                              | NEMA  | 9 998 302                        | 8 911 082                           | 1/11/2013            | Under implementation  |
| Rwanda       | Reducing vulnerability to climate change in north-west Rwanda through community-based adaptation   | Ministry of Environment   | 9 969 619                        | 9 969 619                           | 1/11/2013            | Under implementation  |
| Uzbekistan   | Developing climate resilience of farming communities in the drought-prone parts of Uzbekistan  | UNDP  | 5 415 103                        | 3 925 914                           | 10/2/2014            | Under implementation  |
| India        | Climate-smart actions and strategies in the north-western Himalayan region for sustainable livelihoods of agriculture-dependent hill communities | NABARD  | 969 570                          | 504 871                             | 20/3/2014            | Under implementation  |
| Morocco      | Climate change adaptation project in oasis zones   | Agency for Agricultural Development                               | 9 970 000                        | 9 120 350                           | 7/10/2014            | Under implementation  |
| South Africa | Building resilience in the greater uMngeni catchment in 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  |

| <i>Party</i>        | <i>Project</i>   | <i>IE</i>  | <i>Approved amount<br/>(USD)</i> | <i>Amount transferred<br/>(USD)</i> | <i>Approval date</i> | <i>Project status</i> |
|---------------------|--|--|----------------------------------|-------------------------------------|----------------------|-----------------------|
| India               | Enhancing adaptive capacity and increasing resilience of small and marginal farmers in the Purulia and Bankura districts of West Bengal  | NABARD   | 2 510 854                        | 1 255 427                           | 10/10/2014           | Under implementation  |
| Costa Rica          | Reducing 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 flor 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 Timboubou   | UNDP   | 8 533 348                        | 7 331 866                           | 25/3/2015            | Under implementation  |
| India               | Climate proofing of watershed development projects in the states of Tamil Nadu and Rajasthan   | NABARD   | 1 344 155                        | 940 908                             | 9/4/2015             | Under implementation  |
| India               | Building adaptive capacities of the small inland fishermen community for climate resilience and livelihood security in Madhya Pradesh  | NABARD   | 1 790 500                        | 895 260                             | 10/4/2015            | Under implementation  |
| Jordan              | Increasing the resilience of poor and vulnerable communities to climate change   | Ministry of Planning and International Cooperation         | 9 226 000                        | 4 706 391                           | 10/4/2015            | 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                           | 9/10/2015            | Under implementation  |
| Chile               | Enhancing resilience to climate change of small agriculture in the Chilean region of O'Higgins   | AGCID  | 9 960 000                        | 5 878 885                           | 9/10/2015            | 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                           | 5/7/2016             | 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                           | 5/7/2016             | Under implementation  |
| Paraguay            | Ecosystem-based approaches to reducing the vulnerability of food security to the impacts of climate change in the Chaco region of Paraguay   | UNEP   | 7 128 450                        | 961 591                             | 4/10/2016            | Under implementation  |
| Panama              | Adapting to climate change through integrated water management in Panama   | Natura Foundation  | 9 977 559                        | 5 531 462                           | 5/10/2016            | Under implementation  |
| Antigua and Barbuda | An integrated approach to physical adaptation and community resilience in Antigua and Barbuda's north-west McKinnon's watershed  | Department of Environment                                  | 9 970 000                        | 7 288 750                           | 5/10/2016            | Under implementation  |

| <i>Party</i>                     | <i>Project</i>  | <i>IE</i>                                    | <i>Approved amount<br/>(USD)</i> | <i>Amount transferred<br/>(USD)</i> | <i>Approval date</i> | <i>Project status</i> |
|----------------------------------|---|--|----------------------------------|-------------------------------------|----------------------|-----------------------|
| 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                           | 7/10/2016            | Under implementation  |
| Lao People's Democratic Republic | Enhancing the climate and disaster resilience of the most vulnerable rural and emerging urban human settlements in the Lao People's Democratic Republic                       | UN-Habitat                                   | 4 500 000                        | 2 376 150                           | 7/10/2016            | Under implementation  |
| Ethiopia                         | Climate-smart integrated rural development project  | Ministry of Finance and Economic Cooperation | 9 987 910                        | 4 354 692                           | 17/3/2017            | Under implementation  |
| Honduras                         | Ecosystem-based adaptation of communities in the central forest corridor in Tegucigalpa   | UNDP   | 4 379 700                        | 941 122                             | 17/3/2017            | Proposal approved     |
| Micronesia (Federated States of) | Enhancing the climate resilience of vulnerable island communities in Federated States of Micronesia   | SPREP  | 9 000 000                        | 1 248 486                           | 17/3/2017            | Under implementation  |
| Peru                             | Strengthening the livelihoods of vulnerable highland communities in the provinces of Arequipa, Caylloma, Condesuyos, Castilla and La Union in the region of Arequipa in Peru  | CAF  | 2 723 561                        | 923 255                             | 17/3/2017            | Proposal approved     |
| Regional                         | Agricultural Climate Resilience Enhancement Initiative  | WMO  | 6 222 000                        | 3 400 000                           | 17/3/2017            | Proposal approved     |
| Regional                         | Adapting to climate change in the Lake Victoria basin   | UNEP   | 5 000 000                        | 1 260 692                           | 5/7/2017             | Proposal approved     |
| Regional                         | Building adaptive capacity through food and nutrition security and peacebuilding actions in vulnerable African and indigenous communities in the Colombia-Ecuador border area | WFP  | 14 000 000                       | 1 568 042                           | 5/7/2017             | Under implementation  |
| Senegal                          | Reducing vulnerability and increasing resilience of coastal communities in the Saloum Islands (Dionewar and Fadial)   | CSE  | 1 351 000                        | 520 000                             | 5/7/2017             | 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                     | Pa Enea Action for Resilient Livelihoods  | Ministry of Finance and Economic Management  | 2 999 125                        | 1 341 455                           | 22/3/2018            | Under implementation  |
| Iraq                             | Building resilience of the agriculture sector to climate change in Iraq   | IFAD   | 9 999 660                        | 1 300 800                           | 22/3/2018            | Proposal approved     |

| <i>Party</i>                     | <i>Project</i>  | <i>IE</i>                                   | <i>Approved amount<br/>(USD)</i> | <i>Amount transferred<br/>(USD)</i> | <i>Approval date</i> | <i>Project status</i> |
|----------------------------------|---|---|----------------------------------|-------------------------------------|----------------------|-----------------------|
| Micronesia (Federated States of) | Practical solutions for reducing community vulnerability to climate change in Federated States of Micronesia  | Micronesia Conservation Trust               | 970 000                          | 478 573                             | 22/3/2018            | 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                             | 16/7/2018            | Under implementation  |
| Regional                         | Promoting climate-smart agriculture in West Africa  | BOAD  | 14 000 000                       | 5 664 000                           | 16/7/2018            | 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                           | 16/7/2018            | 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                                   | 16/7/2018            | Proposal approved     |
| Armenia                          | Artik city closed stonepit waste 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                                   | 15/3/2019            | Proposal approved     |
| Dominican Republic               | Enhancing climate resilience in the San Cristóbal province of the Dominican Republic – integrated water resources management programme  | Dominican Institute of Integral Development | 9 173 910                        | 0                                   | 15/3/2019            | Proposal approved     |
| Regional                         | Integrated climate-resilient transboundary flood risk management in the Drin River basin in the Western Balkans   | UNDP  | 9 150 000                        | 0                                   | 15/3/2019            | Proposal approved     |
| Bangladesh                       | Adaptation initiative for climate vulnerable offshore small islands and riverine charland in Bangladesh   | UNDP  | 9 212 322                        | 0                                   | 15/3/2019            | Proposal approved     |
| Indonesia                        | Community adaptation for forest-food-based management in Saddang watershed ecosystem  | Kemitraan                                   | 835 465                          | 584 826                             | 8/7/2019             | Proposal approved     |
| Regional                         | Enhancing adaptive capacity of Andean communities through climate services  | WMO   | 7 432 250                        | 2 229 600                           | 8/7/2019             | Proposal approved     |
| Lesotho                          | Improving adaptive capacity of vulnerable and food insecure populations in Lesotho  | WFP   | 9 999 894                        | 3 274 057                           | 8/7/2019             | Proposal approved     |

| <i>Party</i>                     | <i>Project</i>   | <i>IE</i>  | <i>Approved amount<br/>(USD)</i> | <i>Amount transferred<br/>(USD)</i> | <i>Approval date</i> | <i>Project status</i> |
|----------------------------------|--|------------|----------------------------------|-------------------------------------|----------------------|-----------------------|
| Lao People's Democratic Republic | Building climate and disaster resilience capacities of vulnerable small towns in the Lao People's Democratic Republic                                  | UN-Habitat | 5 500 000                        | 804 392                             | 8/7/2019             | Proposal approved     |
| Sierra Leone                     | Promoting climate resilience in the cocoa and rice sectors as an adaptation strategy in Sierra Leone   | IFAD       | 9 916 925                        | 987 350                             | 8/7/2019             | Proposal approved     |
| Tajikistan                       | An integrated landscape approach to enhancing the climate resilience of small-scale farmers and pastoralists in Tajikistan                             | UNDP       | 9 996 441                        | 1 076 804                           | 8/7/2019             | Proposal approved     |
| Saint Lucia                      | Building resilience for adaptation to climate change and climate vulnerabilities in agriculture  | CDB        | 9 858 570                        | 0                                   | 8/7/2019             | Proposal approved     |
| Regional                         | Climate change adaptation in vulnerable coastal cities and ecosystems of the Uruguay River   | CAF        | 13 999 996                       | 2 799 999                           | 15/7/2019            | Proposal approved     |
| Regional                         | Integration of climate change adaptation measures in the concerted management of the WAP transboundary complex   | OSS        | 11 536 200                       | 1 696 450                           | 15/7/2019            | Proposal approved     |
| Regional                         | Building urban climate resilience in south-eastern Africa  | UN-Habitat | 13 997 423                       | 3 188 521                           | 15/7/2019            | Under implementation  |
| Regional                         | Strengthening drought resilience of smallholder farmers and pastoralists in the IGAD region  | OSS        | 13 079 540                       | 2 100 000                           | 11/10/2019           | Proposal approved     |
| Malawi                           | Adapting to climate change through integrated risk management strategies and enhanced market opportunities for resilient food security and livelihoods | WFP        | 9 989 335                        | 2 502 333                           | 11/10/2019           | Proposal approved     |
| Democratic Republic of the Congo | Building adaptive capacity to climate change in vulnerable communities living in the Congo River basin   | WFP        | 9 999 909                        | 1 996 677                           | 11/10/2019           | Proposal approved     |
| Georgia                          | Dairy Modernization and Market Access: Adaptation Component  | IFAD       | 4 644 794                        | 973 737                             | 11/10/2019           | Proposal approved     |
| El Salvador                      | Enhancing climate resilience of rural communities and ecosystems in Ahuachapán-Sur, El Salvador  | UNDP       | 8 484 503                        | 1 718 487                           | 11/10/2019           | Proposal approved     |
| Republic of Moldova              | Talent Retention for Rural Transformation – Adapt  | IFAD       | 6 008 095                        | 881 221                             | 11/10/2019           | Proposal approved     |
| Global                           | Special financing window in support of innovation for adaptation   | UNEP       | 5 000 000                        | 713 900                             | 11/10/2019           | Proposal approved     |
| Global                           | AF–UNDP Innovation Small Grant Aggregator Platform   | UNDP       | 5 000 000                        | 1 088 393                           | 11/10/2019           | Proposal approved     |
| United Republic of Tanzania      | Enhancing climate change adaptation for agropastoral communities in Kongwa district  | NEMC       | 1 200 000                        | 0                                   | 1/6/2020             | Proposal approved     |
| United Republic of Tanzania      | Enhancing climate change resilience of coastal communities of Zanzibar   | NEMC       | 1 000 000                        | 0                                   | 1/6/2020             | Proposal approved     |

| <i>Party</i> | <i>Project</i>  | <i>IE</i>  | <i>Approved amount<br/>(USD)</i> | <i>Amount transferred<br/>(USD)</i> | <i>Approval date</i> | <i>Project status</i> |
|--------------|---|------------|----------------------------------|-------------------------------------|----------------------|-----------------------|
| Pakistan     | Enhancing community, local and national-level urban climate change resilience to water scarcity, caused by floods and droughts in Rawalpindi and Nowshera in Pakistan           | UN-Habitat | 6 094 000                        | 0                                   | 1/6/2020             | Proposal approved     |
| Tunisia      | Economic, social and solidarity insertion for resilience in the Governorate of Kairouan   | IFAD       | 9 997 190                        | 0                                   | 1/6/2020             | Proposal approved     |
| Viet Nam     | Enhancing the resilience inclusive and sustainable eco-human settlement development through small-scale infrastructure interventions in the coastal regions of the Mekong Delta | UN-Habitat | 6 345 292                        | 0                                   | 1/6/2020             | Proposal approved     |
| <b>Total</b> |   |            | <b>557 183 626</b>               | <b>338 776 602</b>                  |                      |                       |

*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) AFB-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 V.2  
**Breakdown of the status of the portfolio of projects and programmes approved by the Adaptation Fund Board as at 30 June 2020**

| <i>Status</i>        | <i>Number of projects/programmes</i> | <i>Total value (USD)</i> |
|----------------------|--------------------------------------|--------------------------|
| Not started          | 31                                   | 247 566 391              |
| Under implementation | 59                                   | 392 234 840              |
| Completed            | 17                                   | 100 805 370              |

Table V.3  
**Active pipeline of project and programme proposals submitted to the Adaptation Fund Board but not approved as at 30 June 2020**

| <i>Party</i>   | <i>IE</i>  | <i>Grant size (USD)<sup>a</sup></i> |
|--|--|-------------------------------------|
| <b>1. Full proposals: single country<sup>b</sup></b> |  |                                     |
| <b>NIE</b>   |  |                                     |
| Indonesia (1)  | Kemitraan  | 963 455                             |
| Indonesia (2)  | Kemitraan  | 1 125 015                           |
| Indonesia (3)  | Kemitraan  | 710 000                             |
| Indonesia (4)  | Kemitraan  | 5 972 670                           |
| United Republic of Tanzania (1)                      | NEMC   | 1 400 000                           |
| United Republic of Tanzania (2)                      | NEMC   | 1 280 000                           |
| Bhutan   | Bhutan Trust Fund for Environmental Conservation | 9 950 000                           |
| <b>RIE</b>   |  |                                     |
| Kiribati   | SPREP  | 9 974 655                           |
| <b>MIE</b>   |  |                                     |
| Cambodia   | UN-Habitat                                       | 5 000 000                           |
| Cameroon   | IFAD   | 9 982 000                           |
| Zimbabwe   | UNESCO   | 5 000 000                           |
| Liberia  | IFAD   | 9 909 679                           |
| Egypt  | WFP  | 3 094 962                           |
| Afghanistan  | UNDP   | 9 432 556                           |
| Iran (Islamic Republic of)                           | UNDP   | 9 865 653                           |
| Turkmenistan   | UNDP   | 7 000 040                           |
| <b>Subtotal</b>                                      |  | <b>90 660 685</b>                   |
| <b>2. Concepts: single country<sup>b</sup></b>       |  |                                     |
| <b>NIE</b>   |  |                                     |
| Uganda   | MOWE   | 2 249 000                           |
| Zimbabwe   | EMA  | 5 000 000                           |
| Belize   | PACT   | 4 000 000                           |
| Indonesia (5)  | Kemitraan  | 1 048 636                           |
| Indonesia (6)  | Kemitraan  | 1 000 000                           |
| Namibia  | DRFN   | 4 998 000                           |
| <b>MIE</b>   |  |                                     |
| Haiti  | UNESCO   | 9 890 000                           |
| Malaysia   | UN-Habitat                                       | 10 000 000                          |
| Gambia   | WFP  | 9 999 984                           |
| Kyrgyzstan   | IFAD   | 9 985 526                           |
| <b>Subtotal</b>                                      |  | <b>58 171 146</b>                   |
| <b>Total (1+2)</b>                                   |  | <b>148 831 831</b>                  |
| <b>3. Full proposals: regional<sup>c</sup></b>       |  |                                     |
| <b>MIE</b>   |  |                                     |
| Jordan, Lebanon                                      | UN-Habitat                                       | 13 968 139                          |
| Thailand, Viet Nam                                   | UNEP   | 7 000 000                           |
| Angola, Mozambique, Namibia, South Africa, Zimbabwe  | UNESCO   | 14 000 000                          |
| Armenia, Georgia                                     | UNDP   | 7 475 650                           |



|  |  |            |                    |
|--|--|------------|--------------------|
|  | Kazakhstan, Kyrgyzstan, Tajikistan,<br>Uzbekistan  | UNESCO     | 6 500 000          |
| <b>Subtotal</b>                              |  |            | <b>48 943 789</b>  |
| <b>4. Concepts: regional<sup>c</sup></b>     |  |            |                    |
| <b>RIE</b>                                   |  |            |                    |
|  | Benin, Burkina Faso, Côte d'Ivoire,<br>Gambia, Ghana, Guinea, Liberia, Mali,<br>Niger, Nigeria, Senegal, Sierra Leone,<br>Togo | OSS        | 13 662 863         |
|  | Angola, Namibia  | OSS        | 14 000 000         |
| <b>MIE</b>                                   |  |            |                    |
|  | Antigua and Barbuda, Saint Lucia   | UN-Habitat | 14 000 000         |
|  | Cabo Verde, Guinea-Bissau, Sao Tome<br>and Principe  | IFAD       | 14 000 000         |
|  | Cambodia, Lao People's Democratic<br>Republic, Myanmar, Thailand, Viet Nam   | UNESCO     | 4 898 775          |
|  | El Salvador, Honduras  | WFP        | 13 900 478         |
| <b>Subtotal</b>                              |  |            | <b>74 462 116</b>  |
| <b>5. Pre-concepts: regional<sup>c</sup></b> |  |            |                    |
| <b>MIE</b>                                   |  |            |                    |
|  | Azerbaijan, Iran (Islamic Republic of)   | UN-Habitat | 14 000 000         |
| <b>Subtotal</b>                              |  |            | <b>14 000 000</b>  |
| <b>Total (3+4+5)</b>                         |  |            | <b>137 405 905</b> |

<sup>a</sup> 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.

<sup>b</sup> Single-country proposals that were submitted between 1 July 2019 and 30 June 2020 but not yet approved by the AFB or cancelled by the proponent by the end of that period.

<sup>c</sup> Regional proposals that were submitted between 1 July 2019 and 30 June 2020 but not yet approved by the AFB or cancelled by the proponent by the end of that period.

Table V.4

**Active pipeline of single-country and regional proposals for Adaptation Fund projects and programmes under development**

|   | <i>Number submitted by NIEs</i> | <i>Total value submitted by (USD)</i> | <i>Number submitted by RIEs</i> | <i>Total value submitted by (USD)</i> | <i>Number submitted by MIEs</i> | <i>Total value (USD)</i> | <i>Total number submitted</i> | <i>Total value (USD)</i> |
|---|---------------------------------|---------------------------------------|---------------------------------|---------------------------------------|---------------------------------|--------------------------|-------------------------------|--------------------------|
| <b>Single-country projects and programmes</b> |                                 |                                       |                                 |                                       |                                 |                          |                               |                          |
| Concept submitted, not endorsed               | 1                               | 1 048 636                             | 0                               |                                       | 1                               | 9 985 526                | 2                             | 11 034 162               |
| Concept submitted, endorsed                   | 7                               | 13 684 277                            | 0                               |                                       | 2                               | 16 347 174               | 9                             | 30 031 451               |
| Full proposal submitted, not approved         | 7                               | 15 578 205                            | 1                               | 9 974 655                             | 5                               | 36 847 693               | 13                            | 62 400 553               |
| <b>Regional projects and programmes</b>       |                                 |                                       |                                 |                                       |                                 |                          |                               |                          |
| Pre-concept submitted, not endorsed           |                                 |                                       | 0                               | 0                                     |                                 |                          |                               |                          |
| Pre-concept submitted, endorsed               |                                 |                                       | 2                               | 25 833 850                            | 2                               | 27 966 000               | 4                             | 53 799 950               |
| Concept submitted, not endorsed               |                                 |                                       | 0                               | 0                                     | 1                               | 13 900 478               | 1                             | 13 900 478               |
| Concept submitted, endorsed                   |                                 |                                       | 0                               | 0                                     | 1                               | 4 898 775                | 1                             | 4 898 775                |
| Full proposal submitted, not approved         |                                 |                                       |                                 |                                       | 3                               | 28 443 789               | 3                             | 28 443 789               |
| <b>Total</b>                                  | <b>15</b>                       | <b>30 311 118</b>                     | <b>3</b>                        | <b>35 808 505</b>                     | <b>15</b>                       | <b>138 379 435</b>       | <b>33</b>                     | <b>204 499 058</b>       |

*Note:* This table includes regional proposals that were under review at the end of the reporting period.

Table V.5  
**Active pipeline of Adaptation Fund Medium-Term Strategy grant proposals submitted in the reporting period**

|                                | <i>Party</i>        | <i>IE</i>                                   | <i>Name</i>   | <i>Grant size (USD)</i> |
|--------------------------------|---------------------|---|---|-------------------------|
| <b>Innovation small grants</b> |                     |   |   |                         |
| <b>NIE</b>                     | Antigua and Barbuda | Department of Environment                   | Innovative technologies for improved water availability to increase food security in Antigua and Barbuda  | 250 000                 |
|                                | Dominican Republic  | Dominican Institute of Integral Development | Strengthening of a replicable micro ecosystem of accelerated technological innovation for adaptation and mitigation to climate change in the Dominican Republic | 249 929                 |
|                                | Kenya               | NEMA  | Adaptation villages; panacea for sustained village-based resilience-building  | 250 000                 |
|                                | Uganda              | MOWE  | Enhancing sustainable wetlands restoration through community-based climate change adaptive livelihood options in the Okole wetland system in the Lira district  | 250 000                 |
| <b>Subtotal</b>                |                     |   |   | <b>999 929</b>          |
| <b>Learning grants</b>         |                     |   |   |                         |
| <b>NIE</b>                     | Kenya               | NEMA  | Learning grant for Kenya  | 149 650                 |
|                                | Senegal             | CSE   | Learning grant for Senegal  | 144 848                 |
| <b>Subtotal</b>                |                     |   |   | <b>294 498</b>          |
| <b>Project scale-up grants</b> |                     |   |   |                         |
| <b>NIE</b>                     | Senegal             | CSE   | Project scale-up grant for Senegal  | 99 937                  |
| <b>Subtotal</b>                |                     |   |   | <b>99 937</b>           |
| <b>Total</b>                   |                     |   |   | <b>1 394 364</b>        |

## Annexe VI

### **Rapport financier du fonds d'affectation spéciale du Fonds pour l'adaptation au 30 juin 2020, établi par l'administrateur : supplément au rapport du Conseil du Fonds pour l'adaptation à la Conférence des Parties agissant comme réunion des Parties au Protocole de Kyoto et à la Conférence des Parties agissant comme réunion des Parties à l'Accord de Paris<sup>1</sup>**

[Anglais seulement]

#### **I. Introduction**

1. This report is produced by the World Bank as 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 CMP.
2. 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)."
3. The information contained in this Financial Report is based on financial information as of June 30, 2020.

#### **II. Adaptation Fund Trust Fund Summary as of June 30, 2020**

##### *Certified Emission Reduction (CER) Sales and Donations*

4. Cumulative resources pledged to AF Trust Fund including CER sales proceeds was USD 997.09 million as of June 30, 2020. Of this, USD 204.74 million was received into the AF Trust Fund through CER sales proceeds and USD 735.25 million in donations, totalling a cumulative receipt of USD 939.99 million as of June 30, 2020. Resources not yet received from Donors is USDeq. 57.10 million, which includes USDeq. 41.63 million in donations receivable under signed agreements and USDeq. 15.47 million in pledges.
5. An amount of USD 0.64 million was received from CER sales during the second quarter of calendar year 2020.

##### *Investment Income*

6. As of June 30, 2020, the AF Trust Fund earned investment income of approximately USD 38.33 million on the liquidity balances in the AF Trust Fund. The AF Trust Fund liquid portfolio has returned 2.10% for fiscal year 2020.

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<sup>1</sup> Reproduced as received from the AFB secretariat, with certain formatting modifications.

***Funding Approvals***

7. Cumulative net funding decisions made by the AF Board through June 30, 2020 totalled USD 808.13 million, of which USD 744.58 million represents approvals for projects and programs.

***Cash Transfers***

8. The Trustee has transferred a total of USD 467.80 million up to June 30, 2020, including USD 413.13 million related to projects and programs.

***Funds Held in Trust***

9. Funds Held in Trust<sup>2</sup> reflect proceeds from CER monetization, donations received and investment income, less cash transfers made to date. Funds Held in Trust as of June 30, 2020 amounted to USD 510.52 million, including USD 3 million set aside for operational reserve.

***Funds available for AF Board funding decisions***

10. Funds available to support AF funding decisions amounted to USD 167.19 million as of June 30, 2020.

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

### III. AF Trust Fund Summary – Inception through June 30, 2020

*In USD millions*

|   | Total         | % of Total    |
|---|---------------|---------------|
| <b><u>CER Sales Proceeds, Pledges and Donations</u></b> |               |               |
| CER Sales Proceeds                                      | 204.74        | 20.5%         |
| Donations   | 776.88        | 77.9%         |
| Pledges   | 15.47         | 1.6%          |
| <b>Total CER Sales Proceeds and Donations</b>           | <b>997.09</b> | <b>100.0%</b> |

|  |                 |               |
|--|-----------------|---------------|
| <b><u>Cumulative Resources</u></b>                     |                 |               |
| <u>Resources received</u>                              |                 |               |
| CER Sales Proceeds                                     | 204.74          | 19.8%         |
| Donations  | 735.25          | 71.0%         |
| Investment Income earned                               | 38.33           | 3.7%          |
| <b>Total Resources Received</b>                        | <b>978.32</b>   | <b>94.5%</b>  |
| <u>Resources not yet received</u>                      |                 |               |
| Donations not yet received                             | 41.63           | 4.0%          |
| Pledges  | 15.47           | 1.5%          |
| <b>Total resources not yet received</b>                | <b>57.10</b>    | <b>5.5%</b>   |
| <b>Total Potential Resources (A) (in USD millions)</b> | <b>1,035.42</b> | <b>100.0%</b> |

|   |               |               |
|---|---------------|---------------|
| <b><u>Cumulative Funding Decisions</u></b>  |               |               |
| Programs and Projects (MIE)   | 446.10        | 55.2%         |
| Programs and Projects (NIE)   | 179.61        | 22.2%         |
| Programs and Projects (RIE)   | 118.88        | 14.7%         |
| Administrative Budget   | 63.55         | 7.9%          |
| <b>Total Funding Decisions Net of Cancellations (B)</b>                           | <b>808.13</b> | <b>100.0%</b> |
| <b>Total Potential Resources Net of Funding Decisions (A) - (B)</b>               | <b>227.29</b> |               |
| <b>Total Potential Resources Net of Funding Decisions and Operational Reserve</b> | <b>224.29</b> |               |

|  |               |  |
|--|---------------|--|
| <b><u>Funds Available</u></b>                              |               |  |
| Funds Held in Trust with no restrictions                   | 507.52        |  |
| Approved Amounts Pending Cash Transfers                    | 340.33        |  |
| <b>Total Funds Available to Support AF Board Decisions</b> | <b>167.19</b> |  |

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

#### CER SALES PROCEEDS

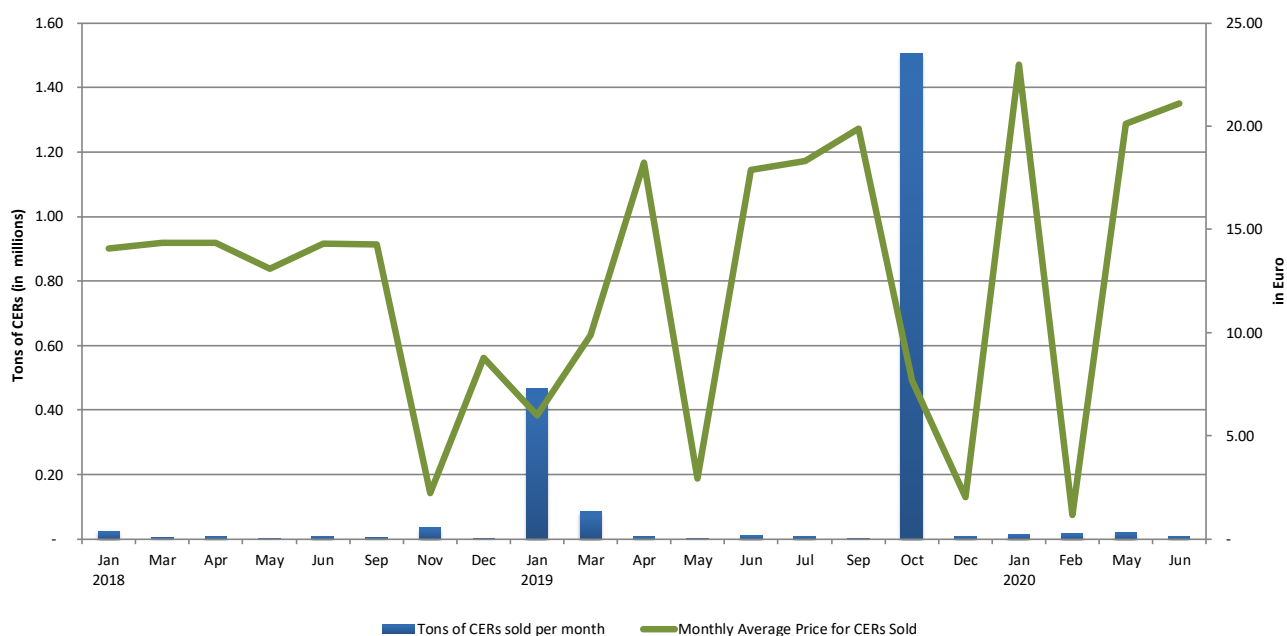
This table shows the proceeds from CER sales received into the AF Trust Fund. See Annex for more details.

The Trustee has generated revenues of USD 204.74 million through CER sales since the start of the CER monetization program in May 2009.

## IV. CER SALES AND MONTHLY AVERAGE PRICE

| Calendar Year    | CER balance a/ | CER sales         | Proceeds USD (millions) |
|------------------|----------------|-------------------|-------------------------|
| <b>2009-2018</b> | 12,400,187     | 26,753,350        | 199.57                  |
| <b>2019</b>      |                |                   |                         |
| Q1               | 12,000,126     | 549,451           | 1.49                    |
| Q2               | 12,174,665     | 18,440            | 0.36                    |
| Q3               | 12,445,244     | 11,508            | 0.24                    |
| Q4               | 11,127,219     | 1,515,101         | 2.07                    |
| <b>2020</b>      |                |                   |                         |
| Q1               | 11,229,556     | 29,916            | 0.38                    |
| Q2               | 11,539,271     | 28,833            | 0.64                    |
| <b>Total</b>     |                | <b>28,906,599</b> | <b>204.74</b>           |

a/ in registries at period-end



11. This chart presents the number of tons of CERs sold per month and the monthly average price obtained by the Trustee for a ton of CER sold between January 2018 and June 2020. During fiscal year 2020, the Trustee sold 1.59 million tons of CERs and generated USD 3.33 million in CER proceeds. The average price achieved during fiscal year 2020 was EUR 1.91 or USD 2.10 per ton.

## DONATIONS

| Donor                             | Currency | Pledged Donation<br>in Currency of<br>Contribution | Effective<br>(or signed)<br>Donation | Receipts in<br>Currency of<br>Contribution | Receipts in USD<br>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      | 8,950,000  | 8,950,000                            | 8,950,000                                  | 9,694,153             |
| Belgium (Walloon Region)          | EUR      | 16,300,000   | 12,500,000                           | 12,500,000                                 | 14,230,700            |
| Belgium (Brussels Capital Region) | EUR      | 5,667,412  | 5,667,412                            | 5,667,412                                  | 6,583,094             |
| 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      | 340,000,000  | 340,000,000                          | 340,000,000                                | 396,326,600           |
| Ireland                           | EUR      | 900,000  | 900,000                              | 900,000                                    | 1,030,730             |
| 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      | 105,000,000  | 105,000,000                          | 105,000,000                                | 12,641,381            |
| Poland                            | USD      | 1,000,000  | 1,000,000                            | 1,000,000                                  | 1,000,000             |
| Spain                             | EUR      | 45,880,000   | 45,880,000                           | 45,880,000                                 | 58,032,212            |
| Sweden                            | SEK      | 1,405,000,000                                      | 1,405,000,000                        | 1,015,000,000                              | 127,554,626           |
| Switzerland b/                    | USD      | 77,668   | 77,668                               | 77,668                                     | 77,668                |
| Switzerland                       | CHF      | 28,000,000   | 28,000,000                           | 28,000,000                                 | 29,435,485            |
| United Kingdom                    | GBP      | 10,000,000   | 10,000,000                           | 10,000,000                                 | 15,915,000            |
| United Nations Foundation         | USD      | -  | 67,433                               | 67,433                                     | 67,433                |
| Others                            | GBP      | -  | 326                                  | 326  | 504                   |
| Others                            | EUR      | -  | 412                                  | 412  | 566                   |
| <b>Total Donations Received</b>   |          |  |                                      |  | <b>735,247,142</b>    |

a/ Represents actual USD receipts.

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

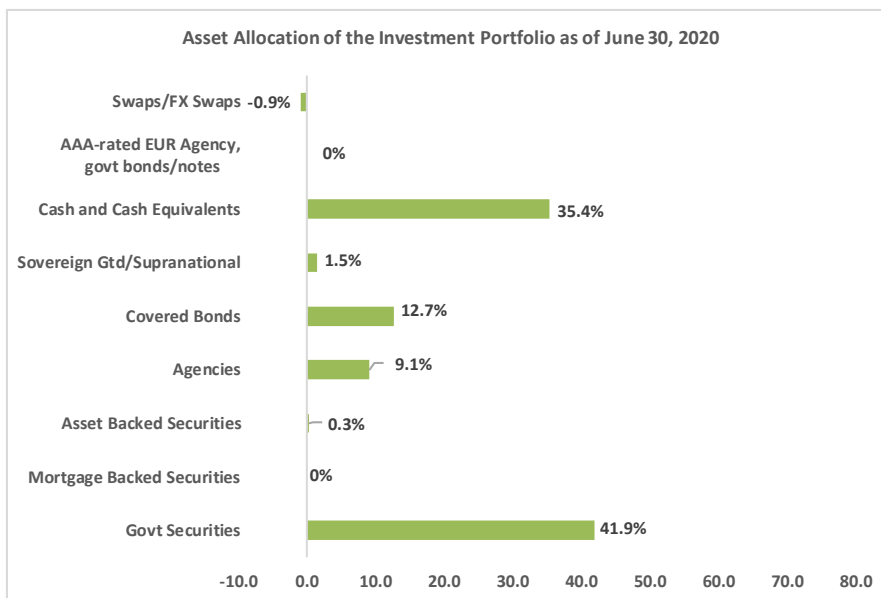


## V. Asset Mix and Investment Income

### ASSET MIX

12. 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.

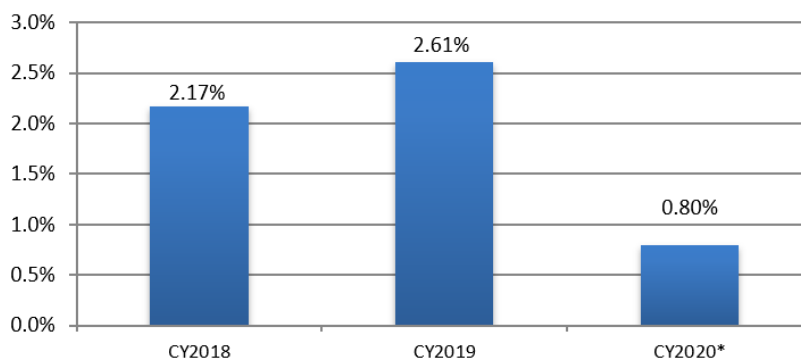
13. The portfolio allocation by asset class has the largest allocations to government securities and money-market instruments.



*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.*

### INVESTMENT RETURNS

The AF Trust Fund liquid portfolio earned approximately USD 38.33 million in investment income since inception. The portfolio returns during fiscal year 2020 was 2.10%.



\*non-annualized

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

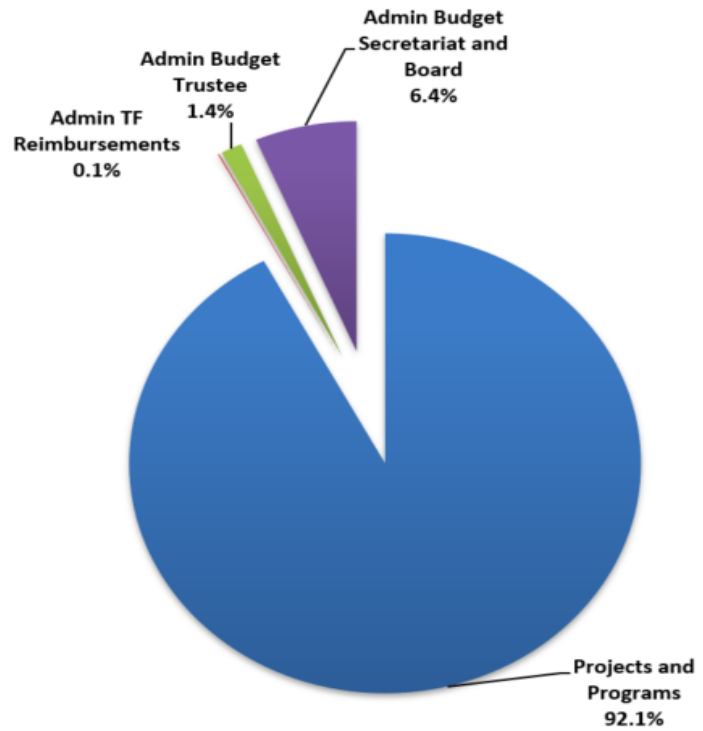
(In USD Millions)

| <u>1. Programs and Projects</u> | <u>MIE/RIE/NIE</u> | <u>MIE</u> | <u>RIE</u> | <u>NIE</u> | <b>744.58</b> |
|---------------------------------|--------------------|------------|------------|------------|---------------|
| Antigua and Barbuda             | ABED               | -          | -          | 10.00 a/   |               |
| Argentina                       | UCAR               | -          | -          | 5.38 a/    |               |
| Argentina                       | WB                 | 4.30       | -          | -          |               |
| Armenia                         | EPIU               | -          | -          | 1.46 a/    |               |
| Armenia                         | EPIU               | -          | -          | 2.54 a/    |               |
| Bangladesh                      | UNDP               | 10.00      | -          | -          |               |
| Belize                          | WB                 | 6.00       | -          | -          |               |
| Belize                          | PACT               | -          | -          | 0.05 a/ d/ |               |
| Benin                           | FNE                | -          | -          | 0.03 a/    |               |
| Cambodia                        | UNEP               | 4.95       | -          | -          |               |
| Chile                           | AGCI               | -          | -          | 9.99 a/    |               |
| Colombia                        | UNDP               | 8.52       | -          | -          |               |
| Congo                           | WFP                | 10.00      | -          | -          |               |
| 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       | -          | -          |               |
| El Salvador                     | UNDP               | 8.48       | -          | -          |               |
| Eritrea                         | UNDP               | 6.52       | -          | -          |               |
| Ethiopia                        | MOFEC              | -          | -          | 9.99       |               |
| Fiji                            | UN HABITAT         | 4.24       | -          | -          |               |
| Georgia                         | UNDP               | 5.32       | -          | -          |               |
| Georgia                         | IFAD               | 4.64       | -          | -          |               |
| 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          | -          | -          | 0.87 a/    |               |
| Indonesia                       | KEMITRAAN          | -          | -          | 0.03 a/    |               |
| Indonesia                       | KEMITRAAN          | -          | -          | 0.03 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       | -          | -          |               |
| Lao, PDR                        | UN HABITAT         | 5.50       | -          | -          |               |
| Lebanon                         | IFAD               | 7.86       | -          | -          |               |
| Lesotho                         | WFP                | 10.00      | -          | -          |               |
| Madagascar                      | UNEP               | 5.10       | -          | -          |               |
| Malawi                          | WFP                | 9.99       | -          | -          |               |
| 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/    |               |
| Moldova                         | IFAD               | 6.01       | -          | -          |               |
| Mongolia                        | UNDP               | 5.50       | -          | -          |               |
| Mongolia                        | UN HABITAT         | 4.50       | -          | -          |               |
| Morocco                         | ADA                | -          | -          | 10.00 a/   |               |
| Myanmar                         | UNDP               | 7.91       | -          | -          |               |

| <b>1. Programs and Projects</b>                                       | <b>MIE/RIE/NIE</b> | <b>MIE</b> | <b>RIE</b> | <b>NIE</b>  | <b>744.58</b> |
|---|--------------------|------------|------------|-------------|---------------|
| <i>(continued)</i>  |                    |            |            |             |               |
| Namibia   | DRFN               | -          | -          | 5.03 a/     |               |
| Namibia   | DRFN               | -          | -          | 0.03 a/     |               |
| Namibia   | DRFN               | -          | -          | 0.05 a/ d/  |               |
| Nepal   | WFP                | 9.53       | -          | -           |               |
| Nicaragua   | UNDP               | 5.50       | -          | -           |               |
| Niger   | BOAD               | -          | 9.91       | -           |               |
| Pakistan  | UNDP               | 3.91       | -          | -           |               |
| Pakistan  | UN HABITAT         | 6.09       | -          | -           |               |
| 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           | -          | -          | 10.10 a/ c/ |               |
| Samoa   | UNDP               | 8.73       | -          | -           |               |
| Senegal   | CSE                | -          | -          | 8.26        |               |
| Senegal   | CSE                | -          | -          | 1.38 a/     |               |
| Seychelles  | UNDP               | 6.46       | -          | -           |               |
| Sierra Leone  | IFAD               | 9.92       | -          | -           |               |
| 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       | -          | -           |               |
| St. Lucia   | CDB                | -          | 9.86       | -           |               |
| Tajikistan  | UNDP               | 10.00      | -          | -           |               |
| Tanzania  | UNEP               | 5.01       | -          | -           |               |
| Tanzania  | NEMC               | -          | -          | 1.23 a/     |               |
| Tanzania  | NEMC               | -          | -          | 0.03 a/     |               |
| Tanzania  | NEMC               | -          | -          | 1.03 a/     |               |
| Tanzania  | NEMC               | -          | -          | 0.03 a/     |               |
| Tunisia   | IFAD               | 10.00      | -          | -           |               |
| Turkmenistan  | UNDP               | 2.93       | -          | -           |               |
| Uganda  | OSS                | -          | 7.75       | -           |               |
| Uruguay   | ANII               | -          | -          | 10.00 a/    |               |
| Uzbekistan  | UNDP               | 5.42       | -          | -           |               |
| Vietnam   | UN HABITAT         | 6.35       | -          | -           |               |
| Regional  |                    | 76.23      | 66.95      | - a/ b/     |               |
| Accreditation Support   |                    | -          | -          | 0.94        |               |
| Technical Assistance  |                    | -          | -          | 0.46        |               |
| Innovation  |                    | 10.00      | -          | 0.46        |               |
| Sub-Total by IE type  |                    | 446.10     | 118.88     | 179.61      |               |
| <b>% Total Programs and Projects</b>                                  |                    | <b>60%</b> | <b>16%</b> | <b>24%</b>  |               |
| <b>2. Administrative Budget</b>                                       |                    |            |            |             | <b>63.55</b>  |
| AF Administrative Trust Fund  |                    |            |            |             | 0.69          |
| Administrative Budget - Trustee                                       |                    |            |            |             | 10.91         |
| Administrative Budget - AF Board and Secretariat                      |                    |            |            |             | 51.94         |
| <b>3. Total Funding Decisions (3 = 1 + 2)</b>                         |                    |            |            |             | <b>808.13</b> |
| a/ Includes approved Project Formulation Grant amounts                |                    |            |            |             |               |
| b/ Includes approved regional projects                                |                    |            |            |             |               |
| c/ Includes approved grant application to develop a scale-up proposal |                    |            |            |             |               |
| d/ Includes approved Project Formulation Assistance amounts           |                    |            |            |             |               |

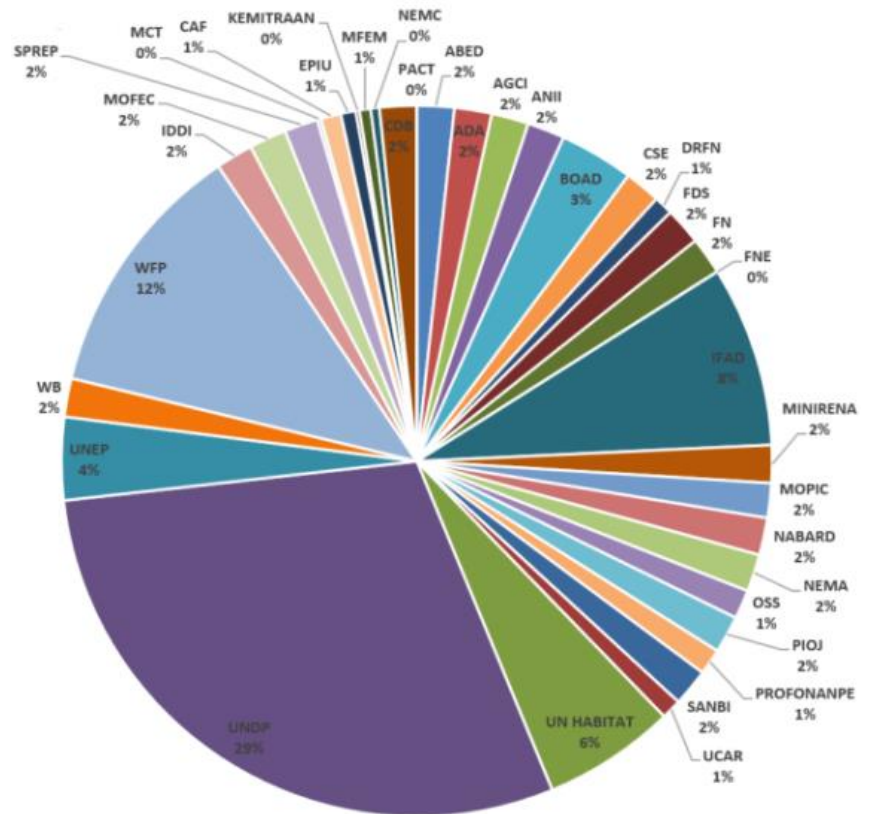
## CUMULATIVE FUNDING DECISIONS

Since inception to June 30, 2020 funding approvals made by the AF Board amounted to USD 808.13 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 744.58 million.



## VII. Funds available

*In USD millions*

|   | As of June 30, 2020<br>(a) | As of June 30, 2019<br>(b) | Change since last report<br>(a) - (b) |
|---|----------------------------|----------------------------|---------------------------------------|
| <b>1. Cumulative Receipts</b>   | <b>978.32</b>              | <b>887.11</b>              | <b>91.22</b>                          |
| a. Cash receipts from CER proceeds  | 204.74                     | 201.42                     | 3.33                                  |
| b. Cash receipts from Donors and Other Sources                                    | 735.25                     | 657.93                     | 77.32                                 |
| c. Investment Income earned   | 38.33                      | 27.76                      | 10.58                                 |
| <b>2. Cumulative Cash Transfers</b>   | <b>467.80</b>              | <b>398.07</b>              | <b>69.73</b>                          |
| a. Projects and Programs  | 413.13                     | 350.20                     | 62.94                                 |
| b. Operational Expense  | 54.67                      | 47.87                      | 6.79                                  |
| <b>3. Funds Held in Trust ( 3 = 1 - 2 )</b>                                       | <b>510.52</b>              | <b>489.04</b>              | <b>21.49</b>                          |
| <b>4. Operational Reserve</b>   | <b>3.00</b>                | <b>3.00</b>                | <b>-</b>                              |
| <b>5. Funding Decisions Pending Cash Transfer</b>                                 | <b>340.33</b>              | <b>220.98</b>              | <b>119.35</b>                         |
| <b>6. Funds available to support AF Board funding decisions ( 6 = 3 - 4 - 5 )</b> | <b>167.19</b>              | <b>265.06</b>              | <b>(97.86)</b>                        |

*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 |
|-------------|------------------|-------------|-----------|--------------------------------|---|------------|------------|
| <b>2009</b> | 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  | 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  |            |
| <b>2010</b> | 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  |
| <b>2011</b> | 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         | -         | -                              | -   | -          | -          |
| <b>2012</b> | Q1               | Exchange    | 40,000    | 6.21                           | 7.79  | 311,400    | 418,332    |
|             |                  | OTC         | -         | -                              | -   | -          | -          |
|             | 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      |
| <b>2013</b> | 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    |
|             | 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  |
| <b>2014</b> | 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> |             |                   |                                |   |                    |                    |
| <b>2015</b>  | 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    | -                 | -                              | -   | -                  | -                  |
| <b>2016</b>  | 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    | -                 | -                              | -   | -                  | -                  |
| <b>2017</b>  | 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  | 498,932            | 584,781            |
|              |                    | Exchange    | -                 | -                              | -   | -                  | -                  |
| <b>2018</b>  | 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    | -                 | -                              | -   | -                  | -                  |
| <b>2019</b>  | 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    | -                 | -                              | -   | -                  | -                  |
|              | Q3                 | OTC         | 11,508            | 0.21                           | 18.64   | 214,493            | 240,063            |
|              |                    | Exchange    | -                 | -                              | -   | -                  | -                  |
|              | Q4                 | OTC         | 1,515,101         | 0.21                           | 1.25  | 1,886,588          | 2,065,652          |
|              |                    | Exchange    | -                 | -                              | -   | -                  | -                  |
| <b>2020</b>  | Q1                 | OTC         | 29,916            | 0.27                           | 11.34   | 339,331            | 378,092            |
|              |                    | Exchange    | -                 | -                              | -   | -                  | -                  |
|              | Q2                 | OTC         | 28,833            | 0.31                           | 20.41   | 588,604            | 641,576            |
|              |                    | Exchange    | -                 | -                              | -   | -                  | -                  |
| <b>Total</b> |                    |             | <b>28,906,599</b> |                                |   | <b>153,798,370</b> | <b>204,741,876</b> |

a/ net of EUR 10,000 exchange fees

## Glossary

| Implementing Entity | Official Name of the Entity  |
|---------------------|--|
| ABED                | Antigua and Barbuda Department of Environment  |
| ADA                 | Agence pour le Developpement Agricole – Morocco  |
| AGCI                | Agencia de Cooperacion Internacional - Chile   |
| ANII                | Agencia Nacional de Investigaci3n e Innovaci3n – Uruguay   |
| BOAD                | West African Development Bank  |
| CAF                 | Development Bank of Latin America  |
| CDB                 | Caribbean Development Bank   |
| 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                  | Fundaci3n 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   |
| PACT                | Protected Areas Conservation Trust   |
| PIOJ                | Planning Institute of Jamaica  |
| PROFONANPE          | Peruvian Trust Fund for National Parks and Protected Areas   |
| 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 – International Bank for Reconstruction and Development and International Development Association |
| WMO                 | World Meteorological Organization  |
| WFP                 | United Nations World Food Program  |



| Term                                      | Definition   |
|---|--|
| <b>Cash and Investments</b>               | The Trust Fund's share in the co-mingled cash and investment pool.   |
| <b>Cash Contribution</b>                  | Contribution or Installment provided in the form of cash, including promissory note encashments  |
| <b>Cash Transfer</b>                      | Cash payment made to an Implementing Partner under a Financial Procedures Agreement  |
| <b>Contribution</b>                       | The funds provided and to be provided by a Contributor to a Trust Fund, as specified in the Contribution Agreement/Arrangement, or in the Instrument of Commitment   |
| <b>Contribution Agreement/Arrangement</b> | An agreement or arrangement between a World Bank entity, as Trustee, and a Contributor, setting forth specific terms for the receipt and use of a specific Contribution for a specific Trust Fund  |
| <b>Contribution Paid-In</b>               | Contribution or Installment provided in the form of cash, Promissory Note or other instruments acceptable to the Trustee   |
| <b>Contribution Receivable</b>            | Any portion of a Contribution that is not a Qualified Contribution to be received in the form of Cash or Promissory Note.  |
| <b>Financial Intermediary Fund (FIF)</b>  | Financial arrangements that leverage a variety of public and private resources in support of global development initiatives and partnership. These Funds involve financial engineering or complex finance schemes, or where the Bank provides a specified set of administrative, financial or operational services |
| <b>Financial Procedures Agreement</b>     | An agreement or arrangement between a World Bank entity, as Trustee, and Partner Entity for the commitment and transfer of funds by the Trustee to the Partner Entity under terms that do not involve Bank responsibility post-transfer  |
| <b>Funding Availability</b>               | Assets available to support funding decisions, as calculated under a specific basis of commitment.   |
| <b>Funds Held in Trust</b>                | Cash and Investments plus unencashed Promissory Note balance   |
| <b>Implementing Entity (IE)</b>           | Any agency receiving funds from a FIF, which is responsible for managing those funds for project activities as approved by the governing body  |
| <b>Investment Income</b>                  | Returns (realized and unrealized) on cash and investments, allocated to individual Trust Funds   |
| <b>Pledge</b>                             | A Contributor's expression of its intention to make a Contribution   |
| <b>Promissory Note (if applicable)</b>    | A document consisting of a promise to pay that is non-interest bearing and payable on demand   |

## Annexe VII

### **Liens opérationnels et relations entre le Fonds pour l'adaptation et d'autres institutions relevant de la Convention**

*[Anglais seulement]*

1. The AFB has taken action to promote linkages with other bodies under the Convention, such as the Adaptation Committee, the Climate Technology Centre and Network, the GCF, the GEF, the PCCB and the Standing Committee on Finance.<sup>1</sup>
2. On the margins of the Madrid Conference, on 11 December 2019 the third annual dialogue on climate finance delivery channels took place, chaired by the GCF Executive Director and attended by the Chair of the AFB, the Manager of the AFB secretariat, the Head of the Climate Investment Funds, the incoming Co-Chair of the GCF Board, and the Chief Executive Officer and Chairperson of the GEF. They discussed how climate funds can strategically and synergistically support enhanced post-2020 ambition, and how key learnings and priorities for further discussion and resolution can be identified by a technical working group that will run at least through 2020 and report periodically to the heads of the Funds. A road map for 2020 of prioritized actions for enhancing collaboration among the Funds, including a time frame, has been developed and shared.
3. The AFB secretariat organized together with the GCF a side event at the 2<sup>nd</sup> Capacity-building Hub to launch CPDAE, entitled “Strengthening Access to Climate Finance: Community of Practice for Direct Access Entities”.
4. The Chair of the AFB together with a Co-Chair of the Climate Technology Centre and Network, a Co-Chair of the PCCB and AFB secretariat representatives participated in a side event for raising awareness of available readiness and capacity-building support for adaptation and increasing the accessibility of information on available support, entitled “Enhancing the Delivery of Readiness and Capacity Building Support for Climate Change Adaptation”.
5. The AFB secretariat organized the AF gender side event entitled “Advancing Gender Equality and Women’s Empowerment in Climate Finance” in collaboration with the GCF, the GEF and the UNFCCC secretariat. The Manager of the AFB secretariat also joined as a panellist a side event organized by the GCF Independent Integrity Unit entitled “Scaling-up climate action: Best practices and joint actions to strengthen results and integrity across trust funds”; the other panellists represented the Climate Investment Funds, the GCF Independent Integrity Unit and the GEF.
6. The AFB secretariat participated as an observer in the 23<sup>rd</sup>, 24<sup>th</sup> and 25<sup>th</sup> meetings of the GCF Board, held in Songdo, the Republic of Korea, from 6 to 8 July 2019 and 12 to 14 November 2019, and Geneva, Switzerland, from 10 to 12 March 2020, respectively.
7. In early August 2019, a representative of the GCF secretariat attended the sixth NIE seminar of the AF in Saint John’s, Antigua and Barbuda, and the 2<sup>nd</sup> meeting of the CPDAE Committee, held in conjunction. The Manager and representatives of the AFB secretariat attended the GCF Global Programming Conference held in Songdo from 19 to 23 August 2019, and held bilateral meetings with the GCF secretariat. The Manager represented the AFB on a panel on “Investing in Institutional Transformation: Direct Access Capabilities for Scaling-Up” and on a panel in the session in which CPDAE was introduced to direct access entities accredited by the GCF.
8. The AFB secretariat also participated in an NDC Partnership consultation meeting from 27 to 28 February 2020 in New York City, the United States of America, where the Manager took part in a panel discussion on approaches to increasing investment in NDCs to

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<sup>1</sup> As per decisions 2/CMP.10, para. 6; and 2/CMP.14, para. 8.

realize ambition, together with representatives of the NDC Partnership Hub and the German Agency for International Cooperation.

9. At the Madrid Conference, a representative of the AFB secretariat participated as a panellist in the Koronivia joint work on agriculture workshop on improved nutrient use and manure management towards sustainable and resilient agricultural systems, held in conjunction with the fifty-first sessions of the subsidiary bodies with constituted bodies under the Convention.

10. The AFB secretariat is hosted by the GEF secretariat, which promotes exchange of information and knowledge and provision of inter-organizational support, when needed. The AFB secretariat participated as an observer in the 57<sup>th</sup> and 58<sup>th</sup> meetings of the GEF Council from 17 to 19 December 2019 and 2 to 3 June 2020, respectively.

11. The AFB continued to consider establishing an operational linkage between the AF and the GCF for channelling resources for adaptation, and identified two options:<sup>2</sup>

- (a) Seeking accreditation as a financial intermediary with the GCF;
- (b) Entering into a memorandum of understanding or an ad hoc agreement with the GCF.

12. In addition, to further enhance complementarities with the GCF, the AFB secretariat has continued collaboration with the GCF secretariat on the identified specific activities in the areas of, including, but not limited to, readiness support, including by organizing joint activities such as regional workshops or seminars; results-based management; accreditation; and project and programme identification.

13. The GCF operational framework on complementarity and coherence with other climate finance delivery channels<sup>3</sup> consists of four pillars: (1) board-level discussions on fund-to-fund arrangements; (2) enhanced complementarity between funds at the activity level; (3) promotion of coherence between funds at the national programming level; and (4) complementarity at the level of delivery of climate finance through an established dialogue between funds.

14. At its 34<sup>th</sup> meeting, the AFB continued discussion on the potential linkages between the AF and the GCF at two levels: (1) through a dialogue between the Chair and Vice-Chair of the AFB 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) through ongoing discussions between the secretariats of the AFB and the GCF on specific activities related to complementarity and coherence. The AFB was informed that the GCF secretariat had sought external legal services in relation to potential agreements between the GCF and the AF for the transfer of financial resources from the GCF to the AF. Considering the four options for fund-to-fund arrangements described in GCF Board document GCF/B.22/09 and its annex 1, AFB members raised some issues and concerns, including the need for further analysis of the legal and practical implications of the four options; the need for further clarification on liability issues, since the two Funds have different legal structures; and the consequences of the proposed plans for the rules of procedure and overall operations of the AF.

15. The four potential options for collaboration between the two Funds were prepared for the informal Board-level meeting of the two Funds held on 12 December 2018 on the margins of COP 24: (1) AF providing GCF readiness-type assistance; (2) AF management of a GCF funding envelope; (3) accreditation of the AF with the GCF; and (4) formalization and expansion of current cooperation between the secretariats. At the 22<sup>nd</sup> meeting of the GCF Board, the GCF Co-Chairs reported to the GCF Board on the engagement with the AF that

<sup>2</sup> CMP 14 noted the efforts of the AFB to enhance cooperation with other funds so as to ensure coherence and complementarity, and encouraged the AFB to continue its efforts to enhance complementarity and coherence with other funds under and outside the Convention, including to better align processes and leverage financing (see documents FCCC/KP/CMP/2018/4, paras. 45–56, and FCCC/KP/CMP/2018/4/Add.1, para. 18).

<sup>3</sup> See <https://www.greenclimate.fund/document/gcf-b17-08>.

the Boards' discussion at the informal meeting had centred on two overarching considerations that could have an impact on any potential arrangement options:<sup>4</sup>

(a) The degree to which the AF is prepared to accept liability for programming GCF funding;

(b) If and how the AFB will apply GCF policies to projects and programmes approved using GCF funds.

16. After considering the AFB secretariat's ongoing efforts to enhance complementarity between the GCF and the AF, at its 34<sup>th</sup> meeting the AFB decided to:

(a) Continue consideration of the above-mentioned four options for fund-to-fund arrangements from the perspective of whether they cover all potentially feasible options for operational linkages between the GCF and the AF;

(b) Take note that an independent legal analysis is being undertaken by the GCF with a view to producing, as its expected outcome, an independent legal opinion for the GCF to determine whether any potential legal arrangements between the GCF and the AF are implementable;

(c) Request the AFB secretariat to report to the AFB at its 35<sup>th</sup> meeting any available information related to the above-mentioned legal analysis to be received from the GCF secretariat;

(d) Defer its consideration of the four options pending the issuance by the GCF of the above-mentioned legal opinion;

(e) Request the Chair and Vice-Chair of the AFB to continue to actively engage, assisted by the AFB secretariat, in a structured conversation with the GCF Board with a view to exploring and taking steps towards advancing the options for fund-to-fund arrangements described in GCF Board document GCF/B.22/09 and its annex 1;

(f) Request the AFB secretariat to continue discussions with the GCF secretariat to advance the collaborative activities identified at the annual dialogue in November 2017, the technical workshop in February 2018 and the informal meetings between the Chair and Vice-Chair of the AFB and the Co-Chairs of the GCF in May and September 2018 and on the margins of COP 24;

(g) Request the AFB Chair and secretariat to report to the AFB at its 35<sup>th</sup> meeting on the progress of the activities referred to in paragraph 16(e–f) above.<sup>5</sup>

17. With regard to the issue referred to in paragraph 15(b) above of if and how the AFB will apply GCF policies for projects and programmes approved using GCF funds, GCF Board document GCF/B.22/09 indicates:

“The GCF and AF boards have developed a number of policies related to the development and implementation of funded activities, including fiduciary standards and environment, social and gender safeguards. Both Funds also have processes for assessing organizations that receive funding from them, and requirements for Fund policies and standards to be applied through and passed down to executing entities by such organizations in their management and administration of funds. Ultimately, both Funds are evolving, and each Fund may be in the process of or has a plan to develop or update core policies. It will be important to consider how these policies are imperative for or at least relevant to enabling the existing and future cooperation between the two Funds. Reaching an agreement between the boards as to how instances of policy non-alignment (or lack of relevant policies) will be handled, and where responsibility lies for the application of each policy, will facilitate the envisaged cooperation.”<sup>6</sup>

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<sup>4</sup> See GCF Board document GCF/B.22/09 and annex 1, available at <https://www.greenclimate.fund/boardroom/meeting/b22>.

<sup>5</sup> AFB decision B.34/47.

<sup>6</sup> GCF Board document GCF/B.22/09, annex 1, para. 7.

18. The same document also mentions the legal capacity of the AF to enter into any legal arrangement with the GCF:

“An independent legal opinion from a third-party organization could provide clarity to legal capacity, personality and structure of the AF (AFB, AFB Secretariat and AF trust fund).”<sup>7</sup>

19. The AFB secretariat was informed by the GCF secretariat that the GCF had sought the provision of external legal services in relation to potential legal agreements between the GCF and the AF for the transfer of financial resources from the GCF to the AF. The legal questions were as follows:

(a) Do paragraphs 33–34 of the Governing Instrument for the GCF allow other existing funds under the UNFCCC, and other funds, entities and channels of climate change financing outside the GCF to access resources of the GCF?

(b) Are financial transfers of GCF resources only permitted under section V.C–V.D of the Governing Instrument?

(c) Can the GCF enter into legal arrangements with the AF and, if so, what are the potential liability consequences, and related mitigation measures, for a breach by the AF of such legal agreements (e.g. because of non-compliance with a policy requirement of the GCF)?<sup>8</sup>

20. The relevant report is contained in annex III to GCF Board document GCF/B.24/Inf.08. The summary opinion excerpted from that document is as follows:

“Paragraphs 33 and 34 of the Governing Instrument for the GCF

In the opinion of the [GCF] Secretariat:

Paragraphs 33 and 34 of the Governing Instrument do not in themselves provide a route for financial transfer of GCF resources to other funds, entities and channels of climate change financing outside the GCF;

Section V.D (Access modalities and accreditation) of the Governing Instrument sets out the main modalities through which resources can be accessed from the GCF;

Section V.C (Operational modalities: Funding windows and fund structure) of the Governing Instrument also permits access to GCF resources for the purposes of readiness, preparatory support, capacity-building, technology development and transfer, and private sector financing;

Taken together, the above-mentioned provisions of the Governing Instrument allow other existing funds under the UNFCCC and other funds, entities and channels of climate change financing outside the GCF, to access GCF resources under Sections V.D and V.C of the Governing Instrument. In the opinion of the [GCF] Secretariat, alternative modalities could be established under Sections V.D and V.C of the Governing Instrument, specifically for entities referred to in paragraphs 33 and 34 of the Governing Instrument.”

“Legal Arrangements with the Adaptation Fund

In the opinion of the [GCF] Secretariat:

(a) The World Bank, in its capacity as trustee of the AF, (and not the AF, or AF Board) is the legal owner of the funds contributed to the AF;

(b) The AF Board, as the entity within the AF governance structure with legal capacity to enter into contracts, would be the natural contract counterparty for any contractual arrangement with GCF;

<sup>7</sup> GCF Board document GCF/B.22/09, annex 1, para. 10.

<sup>8</sup> GCF Board document GCF/B.24/Inf.08, annex III, para. 10.

(c) The AF Board is also the entity which concludes legal arrangements for the implementation of its own projects;

(d) In the event of a breach by the AF of legal arrangements concluded between the GCF and the AF Board, the legal liability of the AF Board can be addressed in the relevant legal arrangements; and

(e) The GCF would need to ensure that it had appropriate dispute resolution procedures in its contractual arrangements in order to obtain suitable enforcement against the AF, if necessary.

In light of paragraph 13(a) above, appropriate legal arrangements will need to be entered into ex ante with the World Bank, in its capacity as trustee of the AF, in the event that GCF wishes to ensure that, from a legal perspective, the liability of the AF board (for breach of contract, or other applicable claim) is enforceable against the funds contributed to the AF and held by the World Bank as follows:

(a) While various theoretical legal instruments could be deployed to implement the foregoing matter, the practicality of such instruments will be subject to discussions with both the AF board and the World Bank;

(b) The members of the AF board benefit from personal immunity in Germany in respect of acts performed in their official capacity as members of the AF board; and

(c) The AF board will be responsible for the acts of its committees, secretariat, accreditation panel, members and employees, if such acts were undertaken in performance of relevant AF functions and within the official capacity of the relevant body or individual.”

“Next steps

In line with the updated work plan adopted by the Board adopted at its twenty-third meeting (B.23), the mandate pursuant to paragraphs 33 and 34 of the Governing Instrument and subsequent decisions, including decision B.20/05, is to be considered by the Board within the context of the update of the 2020–2023 Strategic Plan for the GCF. In this context, the Board may wish to provide further strategic direction on the pursuit of fund-to-fund arrangements, in particular with the Adaptation Fund, considering the opinion provided in paragraphs 12–15 on legal arrangements. The Board could do this in parallel with also providing further strategic direction on the pursuit of complementarity in programming. As noted in the 2018 Annual Update on Complementarity and Coherence and inputs shared at B.22, areas of overlap between the GCF and AF could be considered for more targeted synergies (e.g. areas such as micro-scale adaptation projects) while ensuring that no additional layers are created (e.g. entities having to access GCF resources through AF and having to comply with different policies).”

21. As part of the complementarity and coherence of the GCF and the AF, both Fund’s secretariats have been engaged in a continuous discussion to promote scaling up of projects. A framework document is currently being drafted for consideration by the AFB that sets out a structured approach to collaboration between the GCF and the AF on project and programme scale-up in the context of a broader set of efforts to ensure complementarity and coherence between the two Funds. The two secretariats are also jointly providing support to CPDAE, which consists of accredited NIEs of the AF and accredited direct access entities of the GCF. CPDAE provides an avenue for knowledge exchange, learning and experience sharing, collaboration and peer support within the community of NIEs and direct access entities to increase the effectiveness of entities in accessing resources and implementing adaptation and mitigation projects and programmes through direct access.

22. The AF became a member of the PCCB Network on 14 April 2020, the objective of which is to foster synergies and enhance coherence and coordination of capacity-building efforts for climate action. The AFB secretariat participated in the inaugural meeting of the PCCB Network, held virtually on 26 June 2020.

23. The AFB secretariat also participated in the 4<sup>th</sup> meeting of the PCCB, held from 22 to 25 June 2020.

## A. Financing for regional projects

24. Regional projects and programmes started as a pilot programme in April 2015 upon approval by the AFB with the goal of piloting different regional approaches to implementing specific climate change adaptation projects in vulnerable developing countries and gathering lessons learned. At its 28<sup>th</sup> meeting, in October 2016, the AFB decided to continue financing regional proposals beyond the pilot programme and to approve the maximum total funding for regional projects and programmes annually.<sup>9</sup>

25. Interest in regional projects and programmes has remained high, with proposals totalling USD 154.6 million submitted during the reporting period. The total amount approved during the reporting period was USD 60.0 million, which exhausted the funding provisionally set aside by the AFB for regional activities at its 33<sup>rd</sup> meeting.<sup>10</sup>

## B. Readiness Programme for Climate Finance

26. Over the reporting period, the following activities took place:

(a) The annual Climate Finance Readiness Seminar for accredited NIEs for 2019, held in St. John's, Antigua and Barbuda, from 5 to 9 August 2019 and co-hosted by the accredited NIE for Antigua and Barbuda, the Department of Environment. The Seminar included gender training drawing on the AF gender policy, participation by the AF-TERG, and a full day to discuss innovation in adaptation and accessing AF innovation grants, a new funding window under the MTS;

(b) The ninth and tenth climate finance webinars for accredited NIEs, at which the topics "Evidence-based interventions – Assessing vulnerability and feasibility for sustained local-level resilience: experiences and lessons learned from Adaptation Fund" (on 24 October 2019) and "Managing project extensions through adaptive management during project implementation" (from 22 to 23 April 2019) were discussed;

(c) The approval of two South–South cooperation grants to support developing countries in identifying suitable national institutions as NIE candidates and in preparing and submitting an application for accreditation in Botswana and Mozambique, both implemented by the NIE for Kenya;<sup>11</sup>

(d) The approval of three technical assistance grants to support the NIEs for Uganda, the United Republic of Tanzania and Zimbabwe in strengthening their ability to address and manage environmental and social risks as well as gender considerations in adaptation projects and programmes and at the institutional level;<sup>12</sup>

(e) The approval of the first project scale-up grant under the MTS implemented by the accredited NIE of Rwanda to develop a scale-up proposal for its project entitled "Reducing Vulnerability to Climate Change in North West Rwanda through Community Based Adaptation";

(f) A meeting of the CPDAE Committee in St. John's from 2 to 3 August 2019 on the margins of the 2019 Climate Finance Readiness Seminar for accredited NIEs. The Committee advanced work on its action plan and governance charter, and developed procedures for inviting members to join CPDAE and changes of Committee membership, and its communication and operational procedures;

(g) A regional accreditation training workshop for developing countries from 2 to 3 September 2019 in Bangkok, Thailand, held as part of Asia-Pacific Climate Week, which

<sup>9</sup> AFB decision B.28/1.

<sup>10</sup> AFB decision B.33/12.

<sup>11</sup> AFB decisions B.34–35/8 and B.34–35/9.

<sup>12</sup> AFB decisions B.34–35/7, B.34–35/6 and B.34–35/5.

took place from 2 to 6 September 2019, and linked to an event held by the NDC Partnership on 6 September 2019 entitled “Expanding access to global climate funds in the Asia Pacific”. The AF, the NDC Partnership and the GCF collaborated to host both the AF and NDC Partnership events.

## **C. Evaluation of the Adaptation Fund**

27. Under the guidance of the recruitment working group of the AF-TERG, the AF-TERG secretariat completed the selection process for the four AF-TERG members, and Nancy MacPherson, Mutizwa Mukute, Andy Rowe and Claudio Volonte were appointed on 1 July 2019. The AF-TERG secretariat hired financial administrative support at the same time, and in August 2019 a data analyst was hired to complete the team.

### **1. Foundational work**

28. During its first year of operation the AF-TERG carried out activities to set the basis for its multi-year work programme.

29. The AF-TERG, supported by its secretariat, had its first in-person meeting in St. John’s from 4 to 10 August 2019 on the margins of the annual Climate Finance Readiness Seminar for accredited NIEs. The AF-TERG set-up, mandate, communication channels and expectations were discussed. Preliminary work took place on the AF-TERG work programme, with a focus on evaluative components and products. AF-TERG members also engaged with NIE representatives, answering their evaluation questions in a session at the Seminar.

30. The Chair, three members and secretariat coordinator of the AF-TERG had a second short in-person meeting on 3 October 2019 to further discuss work programme development during their engagement at the Evaluation for Transformative Change Conference in Prague, Czechia.

31. The AF-TERG hired four consultants in October 2019 to execute three studies that would inform the work programme:

(a) An evaluability assessment of the AF projects and portfolio to explore the extent to which projects have in place structures, processes and resources capable of supporting robust monitoring, evaluation and learning;

(b) An ex post evaluation study to map the landscape of approaches currently being used and develop a Fund-specific approach to conducting ex post evaluations, five years after closure, with a focus on process, impact, sustainability and learning of funded projects and programmes;

(c) A study aimed at identifying and assessing innovative monitoring, evaluation and learning practices in the climate adaptation space, and providing advice on how innovative monitoring, evaluation and learning approaches, processes and technological developments could inform innovative thinking and monitoring, evaluation and learning practices in relation to the AF.

32. The results of the three studies, contained in working documents, have informed the development of the AF-TERG strategy and work programme.

33. From November 2019 to February 2020, the AF-TERG Chair and members held a series of consultations with the AFB secretariat Manager and staff to deepen understanding of the AF strategies, policies and position in the global climate finance architecture. It was also discussed how the AF-TERG will relate to the AFB secretariat through its three functions of evaluation, advice and oversight. Meanwhile, consultations took place with AFB members and observers through online on-demand interviews and follow-up online interviews between the AF-TERG and members and interviewees.

34. In collaboration with the AFB secretariat, the AF-TERG secretariat developed a dedicated section for the AF-TERG on the AF website that was launched on 27 November 2019. The AF-TERG secretariat also started using social media for communication, including



Issuu, Instagram, LinkedIn, Twitter and YouTube. With the support of a graphical editor, the AF-TERG developed a logo and branding guidance. The new AF-TERG branding was introduced to the EFC as part of the presentation on the administrative budget for the AF-TERG for the fiscal years 2021–2022.

35. In response to a request from the AFB secretariat, the AF-TERG Chair and members provided input on the draft updated AF gender policy with a focus on the evaluability of the policy and gender action plan, and on the draft updated AF gender action plan.

36. The AF-TERG secretariat coordinator and staff participated, as observers, in the 33<sup>rd</sup> meeting of the Accreditation Panel on 6 and 7 February 2020.

37. The AF-TERG prepared an internal document that contains the theory of change of the AF-TERG and is a working interpretation of what the evaluation function is about. In the spirit of guiding its work for the benefit of the AF, the AF-TERG also developed a set of 10 principles that will guide its work, including the work that it commissions. These internal documents informed the development of the AF-TERG strategy and work programme and will be reviewed periodically for relevance, effectiveness and clarity.

38. The AF-TERG prepared a gap analysis of the current evaluation framework and terms of reference for reviewing it to inform future revision of the framework.

## 2. Strategy and work programme of the Technical Evaluation Reference Group of the Adaptation Fund

39. A proposed AF-TERG strategy and multi-year work programme<sup>13</sup> with corresponding proposed budget were presented to the EFC virtually on 4 May 2020 and subsequently, as recommended by the EFC, approved by the AFB.<sup>14</sup>

40. The approved multi-year work programme responds to the broad mandate and three functions of the AF-TERG: evaluation, advisory and oversight. The work elements laid out in the work programme will be managed and implemented in three workstreams that broadly correspond to the three functions of the AF-TERG. The advisory and oversight functions will span the three workstreams, while the evaluation function is embedded in workstream 1:

- (a) Workstream 1: conducting strategy and programme evaluations;
- (b) Workstream 2: enhancing monitoring, evaluation and learning capacity and tools;
- (c) Workstream 3: cogenerated evaluative knowledge and insights.

41. The first element of work after approval of the AF-TERG strategy and work programme was the development of terms of reference for the review and revision of the AF evaluation framework. The objectives are to identify and propose necessary revisions to the evaluation framework and produce a draft AF evaluation framework to be presented to the EFC for its consideration with a view to its subsequent approval by the AFB.

## 3. Budget of the Technical Evaluation Reference Group of the Adaptation Fund

42. The AFB approved the proposed two-year budget to cover the costs of the operations of the AF-TERG and its secretariat for the fiscal years 2021–2022:<sup>15</sup> USD 1,063,219 for 1 July 2020 to 30 June 2021, comprising USD 605,028 for general operations and USD 458,191 for evaluations, and USD 1,187,071 for 1 July 2021 to 30 June 2022, comprising USD 625,554 for general operations and USD 561,517 for evaluations.<sup>16</sup>

## D. Communications

43. During the reporting period, the AFB supported by its secretariat continued to raise the profile of the AF and its work by developing and disseminating frequent, relevant and

<sup>13</sup> AFB document AFB/EFC.26.a-26.b/3.

<sup>14</sup> AFB decision B.35.a-35.b/29.

<sup>15</sup> AFB document AFB/EFC.26.a-26.b/1.

<sup>16</sup> AFB decision B.35.a-35.b/27.

timely content, including news releases, project stories, videos, social media posts, e-newsletters and innovative multimedia communication products. This included producing and disseminating 23 original press releases on AF work; four project stories in multiple languages; 10 videos; five Flickr photo albums; and five enterprise stories on AF-related themes and diverse projects through a pilot project with Climate Home News to help extend the reach of the AF to key target audiences. Several brochures, posters, branded materials and talking points were also produced – they supported key themes and messages at events such as the Madrid Conference and webinars. Messaging around themes such as the value of the pioneering scalable work of the AF, the MTS, and the response to the COVID-19 crisis and the value of the AF in building broader resilience was developed and included in communication products and stories.

44. The AF digital channels continued to thrive during the reporting period. The number of website users and page views held strong, reaching 630,839 views. In terms of social media, the AF reached nearly 15,000 followers on Twitter, an increase of over 2,000 followers over the last reporting period and had over 715,000 impressions – an increase of nearly 150,000 over the previous reporting period. Facebook followers reached 11,633 and the AF continues to disseminate its messages and stories through Facebook and LinkedIn. Many stories, videos and posts from implementing partners on AF-funded projects throughout the world were shared.

45. The AF was featured in nearly 400 press stories around the world, including 78 in Spanish (51 per cent more than in the previous reporting period) and 60 in French (also an increase). The AF had a strong communications presence at the Madrid Conference: a multimedia exhibit was organized featuring photos of innovation and youth engagement in projects and videos of AF projects and its pioneering direct access work, as well as digital postcards and other branded materials. A section on the Madrid Conference was created on the AF website to highlight its activities and to share brochures and stories focusing on new tools such as e-learning and innovation grants, which garnered a 36 per cent increase in web users over the same conference period as in the previous year. The AFB organized a well-attended media event on these themes, and several video interviews with international organizations to further promote AF work during the Madrid Conference.

46. Numerous other side events and meetings were held in relation to the AF at the Madrid Conference, supported by flyers, photography and social media, in multiple languages. These included events on emerging tools and grants, a side event in French with the Institute of the French-speaking world for Sustainable Development, and an event in Spanish with NIEs from Spanish-speaking countries. Multiple press releases were produced during the conference, highlighting AF work on knowledge, gender and innovation and new pledges received by it, among other topics.

47. The AF continued to innovate in communications, piloting and producing a new 360-degree video of a project visit in Antigua and Barbuda, organizing training on enhancing presentations for AF staff (including developing new PowerPoint templates and supporting materials) and developing a new podcast on relevant themes.

## **E. Knowledge management**

48. The Paris Agreement places unprecedented emphasis on adaptation learning and sharing, especially by and with developing country Parties.<sup>17</sup> Aligned with this emphasis, the MTS includes learning and sharing as one of its three pillars. During the reporting period, a number of relevant activities were implemented, inter alia:

(a) Completing the English and French versions of the virtual learning course aimed at IEs seeking accreditation or reaccreditation with the AF and accredited entities preparing to submit project proposals for funding. The course is highly interactive, featuring various learning methods, case studies and quizzes and users are awarded a certificate of completion. The English version of the course was successfully launched at a side event at the Madrid Conference. The French version was made available in June 2020, announced

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<sup>17</sup> For example, Article 7, paras. 7 and 9, of the Paris Agreement.

through a press release. At the time of the preparation of this report, the Spanish version of the course was in the final stages of release;

(b) A case study on gender in AF projects and programmes, which offers an overview of gender in AF-funded projects, including case studies drawn from the portfolio, so as to advance understanding among IEs as well as generate and share knowledge on good practices and methodologies in promoting gender equality and women's empowerment in projects that will enhance project impact.

## **F. Gender equality and empowerment of women and girls**

49. Since the adoption of its gender policy and action plan in 2016, efforts have continued under the AF to proactively address gender equality and women's empowerment through purposeful planning and targeted interventions in adaptation action. Advancing gender equality and empowerment of women and girls is one of the cross-cutting themes of the MTS, which reaffirms gender as an integral part of the AF work and programme.

50. After around three years of implementation of the AF gender policy and gender action plan, the process of updating them started in May 2019. An overall review of the implementation of the gender policy and gender action plan was conducted from May to September 2019 to assess, inter alia, how the gender policy and gender action plan have so far been implemented compared with relevant international best practices; what the main challenges, gaps and good or best practices have been; and how efforts and work to improve gender equality and women's empowerment can be enhanced. The AFB secretariat conducted a survey of AF IEs, AFB members and alternates, the AFB secretariat, and the Adaptation Fund NGO Network and associate civil society organizations. The outcome document of the review of the progress of implementation of the gender policy and gender action plan was published as an information document at the time of the 34<sup>th</sup> meeting of the AFB.<sup>18</sup> The AFB is supposed to consider the updated gender policy and gender action plan between its 35<sup>th</sup> and 36<sup>th</sup> meetings.

51. In terms of gender balance in the composition of the AFB, 15 seats out of 31 (one seat is vacant) are held by females.

52. As part of its Readiness Programme, the AF has continued to provide technical assistance grants for its NIEs to help them strengthen their capacity to integrate gender considerations into the projects supported by the AF. In addition, through readiness workshops, the AF has helped raise awareness on gender and to enable exchange of experience and knowledge related to gender mainstreaming among its IEs and stakeholders. During the reporting period, the AFB secretariat held a gender training session for AF NIEs during the sixth annual Climate Finance Readiness Seminar for accredited NIEs. The training focused on integrating gender considerations throughout the project cycle and enhancing understanding of the latest project performance report template, the update of which includes strengthened tracking of the implementation of and reporting on gender and environmental and social safeguards.

53. To further enhance systematic reporting on gender considerations, a gender scorecard is being developed to be used by the AFB secretariat at the portfolio level to track, aggregate and report on efforts to integrate gender at the project proposal development stage and gender outcomes at project completion. In addition, the AF project performance report template – a core part of its results-based management at the project and programme level – was updated in February 2019. The template is expected to help IEs track progress and report on gender more systematically on an annual basis. While the updated template maintains reporting on gender-disaggregated information from the previous template, it will help to strengthen the quality of reporting on gender at the start, during implementation and at completion of the project. It also includes a new section on lessons learned, which enables qualitative reporting beyond gender-disaggregated data to detail the experience of implementing gender-

<sup>18</sup> AFB document AFB/B.34/Inf.9.

responsive measures. All the annual project performance reports submitted by IEs are available on the AF website.

54. As stated in the annual performance report of the AF for the fiscal year 2019,<sup>19</sup> which contains a gender-dedicated section, strengthening capacity-building is one important aspect in the current portfolio of AF-approved projects and programmes, and females account for 50.5 per cent of the project beneficiaries, which received training on climate change resilience and other subjects that can strengthen their livelihood diversification.

55. During the reporting period, as part of capacity-building efforts under the AF, a self-paced e-learning course consisting of two modules – one on accreditation and the other on addressing environmental and social and gender considerations in project and programme design and implementation – was developed. The course is expected to help enhance understanding of how to integrate gender considerations into AF projects and programmes among AF designated authorities, IEs, IE candidates and other stakeholders.

56. As a knowledge product, the case study referred to in paragraph 48(b) above on gender in selected AF projects and programmes was conducted to capture lessons learned and identify challenges and opportunities relevant to improving gender mainstreaming efforts in AF projects and programmes.

57. As part of collaboration and communication efforts on gender, the AFB secretariat continued collaboration with other institutions, including the Climate Investment Funds, the GCF, the GEF and the UNFCCC secretariat, with a view to collaborating on gender and exchanging knowledge and lessons learned from implementing gender policy in collaboration with other funds. The AFB secretariat made a submission to the Adaptation Committee on 15 July 2019 in response to its call for submissions on how to mainstream gender considerations in national adaptation planning and implementation. The submission contained information on experience under the AF, such as work and efforts in incorporating gender considerations into its operations, including the MTS, accreditation, Readiness Programme and project development, knowledge management and communications; and challenges reported by IEs in incorporating gender considerations into adaptation projects financed by the AF. On the margins of the Madrid Conference, the AFB secretariat organized a gender side event on advancing gender equality and women's empowerment in climate finance in collaboration with the GEF, the GCF and the UNFCCC secretariat.

## **G. Participation in meetings and events**

58. The AFB and its secretariat participated in a number of events to showcase experience under the AF, which included field visits to project sites in Cook Islands and Samoa. In addition to AFB meetings, Accreditation Panel meetings and readiness-related events (as described in para. 26 above) organized by the AFB and its secretariat, the AFB, its secretariat and/or the AF-TERG participated in:

- (a) London Climate Week (1–4 July 2019, London, United Kingdom of Great Britain and Northern Ireland);
- (b) The GCF Global Programming Conference (19–23 August 2019, Songdo);
- (c) MERL Tech DC 2019 (5–6 September 2019, Washington, D.C., United States);
- (d) The United Nations Secretary-General's Climate Action Summit (22–24 September 2019, New York City);
- (e) Building a Resilient Future Day, hosted by the Global Resilience Partnership (22 September 2019, New York City);
- (f) The Evaluation for Transformative Change Conference (30 September to 4 October 2019, Prague);

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<sup>19</sup> AFB document AFB/EFC.25/Rev.1.

- (g) The International Symposium and High-level Event on Action for Climate Empowerment (14–15 October 2019, Pamhagen, Austria);
- (h) The United Nations Climate Change Conference in Madrid (2–13 December 2019);
- (i) The tenth session of the World Urban Forum (9–13 February 2020, Abu Dhabi, United Arab Emirates);
- (j) Alliance for Hydromet Development and Systematic Observations Financing Facility workshops (25–26 February 2020, Offenbach, Germany);
- (k) The NDC Partnership consultation meeting: a panel discussion on accelerating technical assistance and capacity development for investment readiness (27–28 February 2020, New York City);
- (l) The 17<sup>th</sup> meeting of the Adaptation Committee (24–27 March 2020, virtual);
- (m) The Adaptation Futures 2020 pre-conference webinar series, co-hosted by The Energy and Resources Institute and the World Adaptation Science Programme, session on adaptation with a human face (28–30 April 2020, virtual);
- (n) The Global Dialogue on Responding to the COVID-19 Pandemic and Economic Crisis: Building Back Better Aligned to the Sustainable Development Goals and the Paris Agreement, session entitled “Toward Recovery and Long-term Resilience”, co-hosted by the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety of Germany and the World Resources Institute (4 May 2020, virtual);
- (o) Lessons from Adaptation Leaders: A Grassroots-Donor Dialogue on Locally Led Action, co-hosted by the AF in collaboration with the World Resources Institute, Climate Wise Women and the Global Resilience Partnership (21 May 2020, virtual);
- (p) A webinar on building resilience in the agriculture sector in Africa in the light of the COVID-19 pandemic: experience from the AF project implemented by OSS in Uganda, co-hosted by the AF in collaboration with OSS (28 May 2020, virtual);
- (q) June Momentum for Climate Change, including a panel discussion on 4 June 2020 on effective delivery of needs-based climate finance (1–10 June 2020, virtual);
- (r) A webinar on Panama on the road to climate change adaptation, hosted by Natura Foundation Panama (18 June 2020, virtual);
- (s) A webinar on stepping up knowledge exchange between climate adaptation knowledge platforms, hosted by the University of Oxford and the Stockholm Environment Institute (30 June 2020, virtual);
- (t) The 23<sup>rd</sup>, 24<sup>th</sup> and 25<sup>th</sup> GCF Board meetings;
- (u) The 57<sup>th</sup> and 58<sup>th</sup> meetings of the GEF Council.

## H. Dialogue with civil society organizations

59. Regular dialogue between the AFB and civil society organizations has continued to take place as part of the standing agenda for the AFB meetings since its 12<sup>th</sup> meeting, providing an opportunity for the AFB to listen to their proposals, receive feedback on issues on the agenda and exchange views. The MTS affirms that civil society contributes to the AF in a variety of ways, including in terms of resource mobilization, providing real-time updates on and assessments of supported projects, input from intended beneficiaries, and knowledge management. It states that, although current practices are reasonably effective in terms of transparency and even accountability to civil society organizations, there is still scope for improvement, and the AFB aims to work with the AF NGO Network to explore modalities for even greater collaboration in 2018–2022.

60. Following an invitation from the AF NGO Network, the AFB secretariat attended the Network’s strategy workshop held after the Madrid Conference. This provided an opportunity for the Network to suggest to the AFB secretariat possible ways to make the

Network's engagement more active in AFB meetings and AF work. Some of the suggestions were also communicated to the AFB during an informal meeting with the Network on 9 October 2019 and the regular dialogue session as part of the 34<sup>th</sup> AFB meeting on 10 October 2019, and the AFB duly considered the suggestions.

61. At its 34<sup>th</sup> meeting, the AFB reviewed the recommendations on its engagement with civil society put forward by the Network. The AFB decided to continue the discussion thereon and to conduct a survey among its members and alternates.<sup>20</sup>

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<sup>20</sup> AFB decision B.34/51.

## Annexe VIII

### Appui apporté à l'exécution du mandat du Conseil du Fonds pour l'adaptation

[Anglais seulement]

1. CMP 5 encouraged Annex I Parties and international organizations to provide funding to the AF, additional to the shares of proceeds from clean development mechanism project activities.<sup>1</sup> CMP 7 continued to encourage the provision of funding by Annex I Parties and international organizations.<sup>2</sup>
2. The AFB approved a fundraising strategy at its 22<sup>nd</sup> meeting, a revised resource mobilization strategy at its 28<sup>th</sup> meeting and a resource mobilization action plan at its 29<sup>th</sup> meeting. It held a dialogue session with donors on the margins of the Madrid Conference. As in the previous year, the dialogue was open to observers and it attracted a large audience. In 2020, as COP 26 has been postponed to November 2021 owing to the COVID-19 pandemic, a dialogue event is being considered to be held in conjunction with another international event or as a stand-alone session.
3. Having successfully met and surpassed its initial fundraising target of USD 100 million for 16 March 2012 to 31 December 2013 through contributions from Annex I Parties and regional governments, the AFB set a second resource mobilization target of USD 80 million per year for the biennium 1 January 2014 to 31 December 2015, and a third target of USD 80 million per year for the biennium 1 January 2016 to 31 December 2017.
4. At its 31<sup>st</sup> meeting, considering a report on the outcome of a meeting of the resource mobilization task force and its recommendations, the Board set a new resource mobilization target of USD 90 million per year for the biennium 1 January 2018 to 31 December 2019.<sup>3</sup> The task force had discussed the possibility of mobilizing additional funding on the basis of special themes or topics, such as the innovation pillar of the MTS. It had reviewed ongoing resource mobilization activities and outreach strategies targeting new contributors.
5. During the reporting period, in 2019 the AF received the equivalent of USD 74.4 million in single-year pledges of new contributions, and its first multiannual financial pledge, made by the Government of Sweden, of 520 million Swedish kronor, equivalent to USD 54.2 million, of which the first annual contribution is USD 13.5 million. The single-year pledges and contributions and the first annual contribution of the contribution of the Government of Sweden made in 2019 amount to around USD 90 million,<sup>4</sup> which corresponds to the target of USD 90.0 million for 2019, although this is substantially below the pledges received in 2018 of USD 129.0 million. The single-year pledges made in 2019 came from the Brussels-Capital Region of Belgium (EUR 0.4 million, equivalent to USD 0.5 million), Germany (EUR 30.0 million, equivalent to USD 33.6 million), Ireland (EUR 0.3 million, equivalent to USD 0.3 million), Norway (140 million Norwegian kroner, equivalent to USD 15.6 million), Poland (USD 1.0 million), Spain (EUR 2.0 million, equivalent to USD 2.2 million), Switzerland (15.0 million Swiss francs, equivalent to USD 15.3 million) and the Walloon Region of Belgium (EUR 3.8 million, equivalent to USD 4.2 million).<sup>5</sup> In addition, the provincial Government of Quebec had made a contribution (3 million Canadian dollars, equivalent to USD 2.2 million) earlier during 2019. The AFB would like to express its

<sup>1</sup> Decision 4/CMP.5, para. 9.

<sup>2</sup> Decision 6/CMP.7, para. 5.

<sup>3</sup> AFB decision B.31/31.

<sup>4</sup> This includes USD 79.5 million in received contributions on pledges made in 2019, and equivalent to USD 10.6 million (based on the United Nations operational rate as at 30 June 2020) in outstanding pledges.

<sup>5</sup> As at 30 June 2019, most of the pledged funds had been transferred to the AF Trust Fund, with the exception of that from the Walloon Region of Belgium, and second instalments (out of two) from Norway and Spain. Also, a pledge made in 2018 by the European Commission in the amount of EUR 10 million was outstanding.

gratitude to all these Governments for their role in helping the AF to meet its 2019 resource mobilization target. The AFB also recognizes the support provided for its resource mobilization efforts by the Chilean Presidency of COP 25, the UNFCCC and the AFB secretariat and the trustee. A full list of the contributors to the AF and amounts is contained in annex VI under “CER sales proceeds”.

6. The resource mobilization efforts of the AFB were implemented with the support of the resource mobilization task force, composed of Sylviane Bilgischer (Belgium, Annex I Parties), Lucas di Pietro Paolo (Argentina, Latin American and Caribbean States), David Kaluba (Zambia, African States), Marc-Antoine Martin (France, Annex I Parties), Albara E. Tawfiq (Saudi Arabia, Asia-Pacific States) and Aram Ter-Zakaryan (Armenia, Eastern European States). Following the end of the 2018–2019 resource mobilization period, the task force was supposed to consider a new period and target for 2020 and beyond at the meeting of the AFB that was scheduled for March–April 2020. As that meeting could not take place as planned, the task force held a virtual meeting in June 2020. As a result, the task force requested the AFB secretariat to continue communication with prospective contributor governments in order to support its recommendation to the AFB to have an informed target and timeline.

7. In 2012, an opportunity was introduced for the private sector and individuals to make donations to the AF through an online channel established in collaboration with the United Nations Foundation. During the reporting period, the AF periodically promoted the possibility of donating via social media channels alongside the AF resource mobilization goals and results.

8. The dedicated team of officials at the AFB secretariat<sup>6</sup> is comprised of 11 professional staff members, namely the manager, two senior climate change specialists, two operations officers (accreditation; readiness coordinator), a communications officer, a knowledge management officer, a governance specialist (legal and accreditation), a programme analyst, a financial analyst and a junior professional officer (climate change analyst), the latter funded by the Government of Germany. It also has a senior programme assistant, an extended-term consultant (project and results-based management) and three office-based short-term consultants (communications, accreditation and readiness, operations support). During the reporting period, an evaluation officer coordinated a small dedicated secretariat to support the new evaluation function operated by the AF-TERG, with two office-based short-term consultants.

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<sup>6</sup> As per decision 1/CMP.3, para. 18.



## Annexe IX

### Fonds pour l'adaptation et Accord de Paris

[Anglais seulement]

1. The AF started serving the Paris Agreement under the guidance of and accountable to the CMA with respect to all matters relating to the Paris Agreement from 1 January 2019 and will exclusively serve the Paris Agreement once the share of proceeds under Article 6, paragraph 4, of the Paris Agreement becomes available.<sup>1</sup> Regarding the source of finance, CMP 14 and CMA 1 decided that the AF would continue to receive the share of proceeds, if available, from activities under Articles 6, 12 and 17 of the Kyoto Protocol, and that it would be financed from the share of proceeds from the mechanism established by Article 6, paragraph 4, of the Paris Agreement and from a variety of voluntary public and private sources.<sup>2</sup> With regard to AFB membership, CMP 14 requested SBI 50 to consider the eligibility for membership on the AFB and forward a recommendation to CMP 15.<sup>3</sup>

2. At its 34<sup>th</sup> meeting, on 10 and 11 October 2019, the AFB discussed matters related to the mandate contained in paragraph 6 of decision 1/CMP.14, considering the documents<sup>4</sup> prepared by the AFB secretariat, in consultation with relevant stakeholders, including the World Bank as the interim trustee, the GEF as the interim secretariat, and the UNFCCC secretariat, under the guidance of the task force established at the 33<sup>rd</sup> meeting. The documents were prepared to help the AFB to complete necessary work and to report to CMP 15 on the tasks mandated by decision 1/CMP.14 and were not intended to influence or prejudice any future decisions by Parties on relevant matters. The matters considered by the AFB consist of the arrangements of the AF with respect to the Paris Agreement; the rules of procedure of the AFB; any other matter so as to ensure the AF serves the Paris Agreement smoothly; and implications of the AF receiving the share of proceeds from activities under Articles 6, 12 and 17 of the Kyoto Protocol when the AF serves the Paris Agreement.

3. Regarding the arrangements of the AF with respect to the Paris Agreement, the AFB considered the legal arrangements for the trustee services and the secretariat services to the AFB: the amendment of the terms and conditions of services to be provided by the World Bank as trustee for the AF (the terms and conditions); and the amendment of the memorandum of understanding between the CMP and the GEF Council regarding secretariat services to the AFB. The AFB recalled the legal advice from the UNFCCC secretariat sought at its additional meeting that the CMA would not need to be a signing party to the memorandum of understanding and the terms and conditions during the transitional period when the AF serves both the Kyoto Protocol and the Paris Agreement. The AFB decided to submit its recommendation to CMP 15 to adopt them for a timely extension of the arrangement for the trustee services and the secretariat services to the AFB beyond May 2020.<sup>5</sup>

4. The draft amendment of the terms and conditions for the trustee services<sup>6</sup> was prepared by the World Bank as interim trustee, in consultation with the AFB secretariat and the UNFCCC secretariat under the guidance of the AFB task force. The amendment is mainly related to the extension of the trustee services and removal of the automatic termination clause (Article 34). Other amendments are related to correcting the number of amendments to the terms and conditions and including the relevant CMP decisions by which the amendments in section 1, subparagraph (g), were adopted. The amended and restated terms

<sup>1</sup> As per decisions 13/CMA.1, paras. 1 and 3; and 1/CMP.14, paras. 1–2.

<sup>2</sup> Decisions 13/CMA.1, paras. 2 and 5; and 1/CMP.14, para. 3.

<sup>3</sup> Decision 1/CMP.14, para. 5.

<sup>4</sup> AFB documents AFB/B.34/9, AFB/B.34/9/Add.1/Rev.1, AFB/B.34/Add.3, AFB/B.34/Add.4, AFB/B.34/9/Add.5, AFB/B.34/9/Add.6, AFB/B.34/Inf.7, AFB/B.34/Inf.8, AFB/B.34/Inf.10 and AFB/B.34/Inf.11.

<sup>5</sup> AFB decision B.34/49, para. 106(a–b).

<sup>6</sup> AFB document AFB/B.34/9/Add.1/Rev.1.

and conditions for the services to be provided by the World Bank as interim trustee for the AF<sup>7</sup> were mutually adopted by CMP 15<sup>8</sup> and the World Bank in January 2020.

5. The draft amendment of the memorandum of understanding between the CMP and the GEF for secretariat services to the AFB was prepared by its secretariat in consultation with the GEF secretariat and the UNFCCC secretariat under the guidance of the AFB task force. The amendment of the memorandum of understanding is related to adding the recital of paragraph 1 of decision 13/CMA.1 and paragraph 2 of decision 1/CMP.14 in the preamble; adding reference to decisions 1/CMP.14 and 13/CMA.1 in Article 1; replacing reference to decision 1/CMP.3 with “decisions of the CMP and the CMA” in Articles 2(l) and 7; correcting the typing error in Article 6 by adding “from” after “withdraw”; and deleting the outdated and completed task of the CMP 6 review of the memorandum of understanding. The amended and restated memorandum of understanding between the CMP and the Council of the GEF regarding secretariat services to the Board<sup>9</sup> was adopted by CMP 15<sup>10</sup> and the GEF Council at its 59<sup>th</sup> meeting in December 2019.

6. With respect to the rules of procedure of the AFB, the AFB affirmed its conclusion at its additional meeting held in June 2019 that, considering the AF is in a transitional period where it serves both the Kyoto Protocol and the Paris Agreement until it starts to exclusively serve the Paris Agreement, many provisions of the current rules of procedure could be unaffected, while some provisions were linked to expected CMP 15 decisions, such as the eligibility for membership on the AFB, which was expected to be considered at SBI 51 and decided at CMP 15. The AFB deemed it prudent to determine the revision of the rules of procedure after relevant SBI considerations and CMP decision(s) were adopted on the issues that may affect some of the provisions of the rules of procedure, including the eligibility for AFB membership. The addendum to the report of the AFB to CMP 15<sup>11</sup> includes the consideration by the AFB of the provisions of the rules of procedure that are closely linked to anticipated CMP decisions related to, inter alia, eligibility for AFB membership; the provisions that are not closely linked to anticipated CMP decisions and that may be revised with updates in line with decisions 1/CMP.14 and 13/CMA.1; and other issues related to the rules of procedure for which it was not clear whether they would need adjustment or not, such as section XVII (amendments to rules of procedure) and section XIX (overriding authority of the Kyoto Protocol). The AFB included the summary of its consideration of its rules of procedure<sup>12</sup> in the addendum to its report to CMP 15.

7. With respect to the implications of the AF receiving the share of proceeds from activities under Articles 6, 12 and 17 of the Kyoto Protocol when the AF serves the Paris Agreement, the AFB recalled the trustee’s report made at the additional meeting in June 2019 that continued monetization of the remaining Kyoto Protocol carbon assets (CERs as clean development mechanism share of proceeds) would be possible, provided that the amendment of the terms and conditions is adopted by the CMP and the World Bank, as the amendment of the terms and conditions maintains the authorization of the trustee to continue to sell these CMP assets. The AFB included the summary of its consideration of this matter<sup>13</sup> in the addendum to its report to CMP 15.

8. With respect to any other matter so as to ensure the AF serves the Paris Agreement smoothly, the AFB reviewed the existing AF instruments, policies and guidelines: SPPG; operational policies and guidelines; code of conduct of the AFB;<sup>14</sup> zero tolerance policy for

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<sup>7</sup> FCCC/KP/CMP/2019/4/Add.1–FCCC/PA/CMA/2019/2/Add.1, annex I.

<sup>8</sup> Decision 3/CMP.15, para. 6.

<sup>9</sup> FCCC/KP/CMP/2019/4/Add.1–FCCC/PA/CMA/2019/2/Add.1, annex III.

<sup>10</sup> Decision 3/CMP.15, para. 7.

<sup>11</sup> FCCC/KP/CMP/2019/4/Add.1–FCCC/PA/CMA/2019/2/Add.1.

<sup>12</sup> AFB document AFB/B.33.b/3, annex I.

<sup>13</sup> AFB document AFB/B.34/9/Add.5.

<sup>14</sup> Available at <https://www.adaptation-fund.org/wp-content/uploads/2014/09/CODE-OF-CONDUCT.pdf>.

the AFB;<sup>15</sup> general guidelines for committees;<sup>16</sup> terms of reference for the PPRC;<sup>17</sup> terms of reference for the EFC;<sup>18</sup> terms of reference for the establishment of the AFB Accreditation Panel;<sup>19</sup> risk management framework for the AF;<sup>20</sup> environmental and social policy;<sup>21</sup> gender policy and action plan (2017–2019);<sup>22</sup> open information policy;<sup>23</sup> ad hoc complaint handling mechanism;<sup>24</sup> resource mobilization strategy;<sup>25</sup> MTS;<sup>26</sup> and methodologies for reporting AF core impact indicators.<sup>27</sup> The AFB concluded that most of the AF policies, guidelines and core instruments do not appear to require immediate major revisions as they serve their purpose well and are undergoing or will go through an update process as scheduled and/or when the need arises; and it may be prudent not to amend the operational policies and guidelines and SPPG now because some of their provisions are closely linked to the issue of eligibility for AFB membership, which was expected to be decided on at CMP 15. The SBI considered the matter of ensuring that developing country Parties and developed country Parties that are Parties to the Paris Agreement are eligible for membership of the AFB,<sup>28</sup> and concluded that it would continue its consideration of the matter at SBI 52.<sup>29</sup>

9. At its 34<sup>th</sup> meeting, the AFB took note of the report of its secretariat on the issue of the Parties eligible for funding from the AF, which is related to paragraphs 5 and 10 of the SPPG, which reflect paragraph 1 of decision 1/CMP.3. The AFB secretariat reported that it had recently received an official letter from the national Government of a country on its interest in accessing AF funding and nominating a designated authority: the country is not a Party to the Kyoto Protocol, and has signed the Paris Agreement but is not yet a Party to the Agreement as, according to the Government, it is undergoing the ratification process domestically. The country could not be considered eligible for funding from the AF as of the date of receipt of the letter because it was not a Party to the Kyoto Protocol. The AFB noted that the following question could arise: when the country completes the ratification process for the Paris Agreement and becomes a Party to the Paris Agreement, could it be considered eligible for funding from the AF or not? Although the number of countries that are a Party to either the Paris Agreement or the Kyoto Protocol, but not a Party to both, could decrease over time, in the meantime requests for funding from a country that is a Party to the Kyoto Protocol but not to the Paris Agreement, or vice versa, could be received. In this regard, the AFB included in the addendum to its report to CMP 15 a request for additional guidance and/or clarification from the CMP and/or the CMA on the matter of the Parties eligible for funding from the AF that could help in addressing such requests. Accordingly, the AFB has included in this report its invitation to the CMP and/or the CMA to provide guidance and/or clarification on the issue of the Parties eligible for funding from the AF as referred to in paragraph 1 of decision 1/CMP.3, which is reflected in paragraphs 5 and 10 of the SPPG, adopted at CMP 4.<sup>30</sup>

<sup>15</sup> Available at <https://www.adaptation-fund.org/document/zero-tolerance-policy-for-the-board/>.

<sup>16</sup> Available at <https://www.adaptation-fund.org/generic/pprc-terms-of-reference/>.

<sup>17</sup> Available at <https://www.adaptation-fund.org/wp-content/uploads/2014/09/General-Guidelines-for-Committees.pdf>.

<sup>18</sup> Available at <https://www.adaptation-fund.org/about/governance/board/>.

<sup>19</sup> Amended in May 2020, available at <https://www.adaptation-fund.org/about/governance/accreditation-panel/>.

<sup>20</sup> Available at <https://www.adaptation-fund.org/document/risk-management-framework/>.

<sup>21</sup> Available at <https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/>.

<sup>22</sup> In the process of being updated.

<sup>23</sup> As footnote 21 above.

<sup>24</sup> As footnote 21 above.

<sup>25</sup> Available at <https://www.adaptation-fund.org/document/resource-mobilization-strategy-3/>.

<sup>26</sup> Available at <https://www.adaptation-fund.org/document/medium-term-strategy-2018-2022/>.

<sup>27</sup> Available at <https://www.adaptation-fund.org/document/core-indicator-methodologies/>.

<sup>28</sup> Per decision 1/CMP.14, para. 5.

<sup>29</sup> FCCC/SBI/2019/20, para. 74.

<sup>30</sup> AFB decision B.34/49, para. 106(f).