



联合国

FCCC/KP/CMP/2014/6



气候变化框架公约

Distr.: General  
12 November 2014  
Chinese  
Original: English

作为《京都议定书》缔约方会议的《公约》缔约方会议

第十届会议

2014年12月1日至12日，利马

临时议程项目 7(a)

适应基金

适应基金董事会的报告

## 适应基金董事会的报告

### 适应基金董事会主席的说明\*

#### 概要


第 1/CMP.3 号决定请适应基金董事会向作为《京都议定书》缔约方会议的《公约》缔约方会议(《议定书》/《公约》缔约方会议)的每届会议报告其活动情况，本报告就是应此请求编写，所涉期间为 2013 年 8 月 1 日至 2014 年 7 月 31 日。本报告还载有适应基金董事会在第二十四次会议上商定的对第 2/CMP.9 号决定所附适应基金第二次审评的职权范围有关事项的意见。主席将向《议定书》/《公约》缔约方会议第十届会议口头汇报 2014 年 8 月 1 日至 2014 年 11 月 30 日开展的其他活动。本报告介绍了适应基金方面取得的进展，特别是《议定书》/《公约》缔约方会议所委派的各项任务的执行情况，并建议《议定书》/《公约》缔约方会议酌情采取各项行动。本报告除其他外还载有国际复兴开发银行作为适应基金受托管理人经修正重订的服务条款和条件，供《议定书》/《公约》缔约方会议根据第 1/CMP.4 号决定批准，以及适应基金董事会作出的各项决定和采取的各项行动，请《议定书》/《公约》缔约方会议注意。

\* 本文件逾期提交，以纳入适应基金董事会对适应基金第二次审评的职权范围有关事项的意见。这些意见是 2014 年 10 月在德国波恩举行的适应基金董事会第二十四次会议上商定的。

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## 一. 导言

### A. 任务

1. 《公约》缔约方会议(缔约方会议)第七届会议商定设立适应基金(“基金”)。<sup>1</sup> 作为《京都议定书》缔约方会议的《公约》缔约方会议(《议定书》/《公约》缔约方会议)第三届会议决定, 适应基金的经营实体为适应基金董事会(董事会), 配备秘书处和一个临时受托管理人(“受托管理人”)为其提供服务。<sup>2</sup>

2. 《议定书》/《公约》缔约方会议通过第 1/CMP.3 号决定, 请董事会向《议定书》/《公约》缔约方会议的每届会议报告其活动情况。还请全球环境基金向董事会提供秘书处服务, 请国际复兴开发银行(世界银行)担任基金受托管理人, 此二项均为暂行安排。

### B. 本说明的范围

3. 本报告提供基金工作进展情况的资料, 尤其是《议定书》/《公约》缔约方会议所委派任务执行情况的资料, 并酌情提出建议《议定书》/《公约》缔约方会议采取的行动。本报告所涉期间为 2013 年 8 月 1 日至 2014 年 7 月 31 日。

### C. 供作为《京都议定书》缔约方会议的《公约》缔约方会议第十届会议采取行动的建议

4. 《议定书》/《公约》缔约方会议不妨注意本报告所载资料, 并考虑通过一项关于延长世界银行作为适应基金受托管理人的期限并修正其服务条款和条件的决定草案(见附件一)。

5. 董事会请《议定书》/《公约》缔约方会议注意以下根据第 1/CMP.4 号决定第 10 段开展的重要活动、采取的重要行动和作出的重要决定:

(a) 认证了 16 个可以直接从适应基金获得资源的国家执行实体, 包括报告所述期间认证的一个; 还认证了 4 个区域执行实体, 包括报告所述期间认证的两个;

(b) 截至 2014 年 7 月 31 日, 适应基金信托基金的累积收入达到 4.074 亿美元, 其中核证减排量货币化 1.904 亿美元, 额外捐款 2.137 亿美元, 信托基金余额投资收入 320 万美元;

(c) 截至 2014 年 7 月 31 日, 累计批准项目和方案资金 2.262 亿美元;

<sup>1</sup> 第 10/CP.7 号决定。

<sup>2</sup> 第 1/CMP.3 号决定, 第 3 段。

(d) 批准了基金的环境和社会政策；

(e) 批准了 2014 年 5 月 1 日启动的直接获取气候融资准备方案，及其执行安排和向经认证的执行实体划拨资金以开展特定活动的资格标准；

(f) 批准在董事会接连两次会议之间 24 周或以上的闭会期内进行一轮年度闭会期间项目/方案审查；

(g) 截至 2014 年 7 月 31 日，可用于新批准用资项目的资金达 1.508 亿美元；

(h) 批准了 6 项执行实体提交的项目/方案提议，共需资金 4,130 万美元，其中包括卢旺达国家执行实体提交的一项 1,000 万美元的提议。批准的其他 5 项提议由多边执行实体提交，共需资金 3,130 万美元，先前已进入基金所设管道。基金的项目和方案审查委员会(审查委)曾建议批准上述提议，但董事会考虑到 50% 这一上限而未予批准。<sup>3</sup> 到报告所述期末，管道中仍有 5 项提议，共需资金 3,840 万美元；

(i) 设立了 2014 年和 2015 年每个日历年筹资 8,000 万美元的新目标；

(j) 承诺捐款额超过了基金 2012 和 2013 日历年筹资 1 亿美元的目标，总计 1.043 亿美元。截至 2014 年 7 月 31 日，承诺向基金捐款的总额已达 2.241 亿美元，其中未付款项合 1,040 万美元。

## 二. 报告所述期间开展的工作

6. 报告所述期间，董事会举行了两次会议，每次会议都在位于德国波恩的《联合国防治荒漠化公约》秘书处所在地举行的。<sup>4</sup> 会议议程和说明(包括议程项目的背景文件)以及会议的详细报告均可在基金网站上查阅。

7. 以下各节介绍董事会在报告所述期开展的主要工作。

### 选举适应基金董事会主席和副主席

8. 根据第 1/CMP.3 号决定第 13 段，董事会在第二十二次会议上一致选举 Mamadou Honadia 先生(布基纳法索，最不发达国家)为适应基金董事会主席。董事会还在 2014 年 2 月闭会期间一致选举 Laura Dzelzyte 女士(立陶宛，东欧国家)为适应基金董事会副主席。

<sup>3</sup> 适应基金董事会第 B.12/9 号决定。

<sup>4</sup> <<http://www.adaptation-fund.org>>。

### 适应基金董事会人员组成变动

9. 报告所述期间，替换了董事会的一些董事和候补董事。董事 W. L. Sumathipala 先生(斯里兰卡，亚太国家)和候补董事 Ilhomjon Rajabov 先生(塔吉克斯坦，亚太国家)离开了董事会。Nauman Bashir Bhatti 先生(巴基斯坦)当选为亚太国家董事。候补董事的提名工作尚未完成。Anton Hilber 先生(瑞士)辞去了西欧和其他国家董事一职，已由 Yuka Greiler 女士(瑞士)接任。Kotaro Kawamata 先生(日本)辞去了候补董事职位，由 Ana Fornells de Frutos 女士(西班牙)接任《公约》附件一缔约方(附件一缔约方)候补董事。董事的提名工作尚未完成。未列入《公约》附件一缔约方董事 Bruno Sekoli 先生(莱索托)离开了董事会。Boubacar Dembele Sidiki 先生(马里)接替 Sekoli 先生任董事，黄问航女士(中国)任候补董事。我们沉痛地报告，小岛屿发展中国家董事 Peceli Vocea 先生(斐济)已于 2014 年 6 月逝世；其席位的提名工作尚未完成。

10. 董事会所有董事和候补董事的名单见附件二。

### 适应基金董事会 2014 年会议日历

11. 董事会在第二十二次和第二十三次会议上通过了 2014 年会议日历(见下表)。审查委以及道德操守和财务委员会(道德财务委)的会议在董事会每次会议之前举行。

### 适应基金董事会 2014 年会议日历

日期	地点
3 月 20 日至 21 日	德国波恩
10 月 9 日至 10 日	德国波恩

### 适应基金董事会的工作计划

12. 董事会在第二十三次会议上通过了适应基金董事会 2014 年 7 月 1 日至 2015 年 6 月 30 日财政年度的工作计划。<sup>5</sup>

### 适应基金董事会、秘书处和受托管理人的预算

13. 董事会第二十三次会议审议和批准了用以支持董事会及其秘书处和受托管理人工作至 2015 年 6 月 30 日的资源(见附件三)。<sup>6</sup> 2014 年 6 月 30 日，经批准的董事会、秘书处和受托管理人 2015 财政年度行政经费概算为 4,273,658 美元，因董事会会议数量及相关差旅费用减少，批准额度比上年减少了 9%。2014-2015 财政年度期间，向董事会和秘书处额外划拨了 67 万美元的行政预算，用以实施直接获取气候融资准备方案。

<sup>5</sup> 适应基金董事会第 B.23/20 号决定。

<sup>6</sup> 适应基金董事会第 B.23/21 号决定。

### 执行实体的认证

14. 第 1/CMP.3 号决定第 30 段规定,“为了提交项目提议,缔约方和执行实体应符合适应基金董事会……通过的标准,以获得适应基金的资金”。

15. 报告所述期间,认证小组举行了 3 次会议。董事会选举 Angela Churie-Kallhauge 女士(瑞典,西欧和其他国家)为主席,Philip Weech 先生(巴哈马,拉丁美洲和加勒比国家)为副主席。这两位董事会成员加上四位独立专家组成认证小组。

16. 根据以上第 14 段所指决定,董事会于报告所述期间审议了认证小组的建议,并批准认证了两个新的国家执行实体,即秘鲁国家公园信托基金和纳米比亚保护区与沙漠研究基金会;批准认证了两个新的区域执行实体,即太平洋区域环境方案秘书处和拉丁美洲开发银行;以及一个新的多边执行实体,即欧洲复兴开发银行。在本报告发布时,经认证的执行实体总数为:国家执行实体 17 个,区域执行实体 4 个,多边执行实体 11 个。经认证的执行实体名单见本报告附件四。

### 适应基金董事会各委员会

17. 董事会 2009 年设立的道德财务委和审查委在报告所述期间举行了 3 次会议,均在各次董事会会议之前两天举行。Ezzat Lewis Hannalla Agaiby 先生(埃及,非洲国家)当选为审查委主席,Markku Kanninen 先生(芬兰,西欧和其他国家)当选为副主席。Su-Lin Garbett-Shiels 女士(大不列颠及北爱尔兰联合王国,附件一缔约方)当选为道德财务委主席,Irina Helena Pineda Aguilar 女士(洪都拉斯,拉丁美洲和加勒比国家)当选为副主席。

18. 道德财务委审议了下列事项,并向董事会提出了建议:对腐败零容忍的政策;基金运作的风险管理;申诉处理机制;筹资活动和战略;多边执行实体 50% 上限的执行情况;年度报告;项目业绩报告;对基金的总体评估;核心指标方法;核证减排量货币化;董事会和秘书处以及受托管理人的预算。

19. 截至报告所述期末,审查委审议了 10 个项目设想和 10 个详尽提议,共 20 个各不相同的拟议项目,审议工作是在两次会议上和一次闭会审议期间进行的。审查委还讨论了多项问题并向董事会传达了审议结果,这些问题涉及闭会期间审议和批准项目/方案提议的工作、使用多边实施实体和执行伙伴对行政费用的可能影响,以及在网站上公布审查委报告的事宜。

### 适应项目和方案的供资决定

20. 第 1/CMP.4 号决定第 10 段,“请适应基金董事会开始酌情处理申请资金的项目,活动或方案提议,并向作为《京都议定书》缔约方会议的《公约》缔约方会议报告进展情况”。

21. 根据上文第 20 段所述的规定，董事会在报告所述期间的适应基金董事会会议上和闭会期间批准了 6 项供资提议，总额达 4,130 万美元(见附件五)。报告所述期间，审查委建议批准的两个提议加入了管道，截至报告所述期末，管道内共有提议 5 个，项目资金总额达 3,840 万美元。以下缔约方的供资提议在报告所述期间得到了批准：古巴、危地马拉、缅甸、卢旺达、塞舌尔和乌兹别克斯坦。值得指出的是，除卢旺达的项目是由国家执行实体执行外，这些项目均由多边执行实体提出，于 2012 年和 2013 年进入了管道(见下文第 26 段)。可用于这 5 个多边执行实体提议的资金由捐款缔约方按照 2013 年间作出的承诺，特别是在《议定书》/《公约》缔约方会议第九届会议上作出的承诺提供。

22. 除上述供资决定外，董事会还在报告所述期间的董事会会议上核可了 7 个项目设想，资金总额 4,060 万美元，并在国家执行实体提交的项目中，批准了 6 个项目拟订拨款，总额达 179,100 美元。报告所述期间项目设想得到核可的国家为：哥斯达黎加、印度、印度尼西亚、约旦和摩洛哥。

23. 经批准的详尽提议与核可的项目设想涉及以下部门：农业、粮食安全、沿海管理、农村发展和水资源管理。

24. 应民间社会和非政府组织观察员的建议和要求，所有项目/方案提议均原文张贴在适应基金网站上，感兴趣的利益攸关方可以在网上就提议发表意见。

#### 项目/方案管道

25. 对由多边执行实体执行的项目/方案，董事会决定维持 50% 的供资上限不变。

26. 董事会第十九次会议上，建议批准的由多边执行实体执行的项目/方案已经达到上限。董事会为审查委建议提交董事会批准、但超出信托基金可用资源 50% 上限的详尽提案设立了一条管道。到报告所述期末，已有 5 项建议的提议进入管道，所需资金总额达 3,840 万美元，待资金可用时由董事会批准。管道中各项提议的优先顺序如下：伯利兹、加纳、马里、尼泊尔和印度尼西亚。如以上第 21 段所述，先前进入管道的 5 个项目和方案已在报告所述期间得到了资金。另有一个项目或能得到报告所述期间新到的资金，但须先完成行政手续并与执行实体订立法律协定。

#### 对项目组合的监测

27. 报告所述期间，董事会审议了基金第四次年度业绩报告，涵盖了 2014 财政年度(2013 年 7 月 1 日至 2014 年 6 月 30 日)。截至 2014 年 7 月，已有 24 个项目开始执行，包括 2014 财政年度的两个项目。本报告所述期间，向各项目转款总计 9,600 万美元，包括 2014 财政年度的 3,970 万美元。迄今为止，亚太区域获得拨款最多，共有 13 个项目，拨款总额为 7,980 万美元(占 36%)，<sup>7</sup>紧随其后的是

<sup>7</sup> 亚太区域包括太平洋岛屿国家的项目。

拉丁美洲和加勒比，共有 10 个项目，拨款总额为 7,030 万美元(占 31%)，以及非洲，也有 10 个项目，拨款总额为 7,010 万美元(占 31%)。按部门计算，农业部门的适应项目获得拨款最多，批准资金 3,860 万美元(占 17%)，紧随其后的是水资源管理部门，批准金额 3,390 万美元(占 15%)。

28. 基金还跟踪记录适应基金战略成果框架(战略成果框架)下各项基金级成果拟议拨款额的分配情况。占拟议拨款资金比重最多的是战略成果框架成果五，“提高生态系统应对气候变化以及多变性所导致的压力的恢复力”(4,940 万美元，29%)，以及成果四，“提高相关开发部门和自然资源部门的适应能力”(4,880 万美元，28%)。

#### 对适应基金的第二次审评

29. 对适应基金的首次审评在《议定书》/《公约》缔约方会议第八届会议上完成。当时，《议定书》/《公约》缔约方会议“关切地注意到由于目前在核证的减排量的价格和适应基金在《京都议定书》第二个承诺期及以后的存续方面存在的不确定性而产生的与适应基金资金的可持续性、充足性和可预测性有关的问题”。<sup>8</sup>《议定书》/《公约》缔约方会议还请“适应基金董事会向附属履行机构第三十八届会议报告基金的资源状况、资金流的趋势，以及这些趋势可查明的原因”。<sup>9</sup>董事会在受托管理人的支助下准备了所要求的资料，并已提交附属履行机构审议。

30. 根据第 1/CMP.9 号决定第 7 段，董事会在第二十四次会议上决定提供对适应基金第二次审评的职权范围有关事项的意见，供《议定书》/《公约》缔约方会议第十届会议审议(见附件六)。

《议定书》/《公约》缔约方会议第八届会议通过对《京都议定书》的修正案：《京都议定书》其他机制的收益分成

31. 第 1/CMP.8 号决定通过的《京都议定书》修正案根据《京都议定书》第十二条第 8 款的规定，将收益分成保持在为项目活动发放的核证减排量的 2%，最不发达国家缔约方免除收益分成。此外，该修正案还写明，“适应基金为了第二承诺期应通过对如下活动征收 2% 的收益分成得到进一步加强：首次分配数量单位国际转让，以及在缔约方先前持有的分配数量单位或清除量单位转换为减排量单位之后立即为依据第六条项目发放的减排量单位”。

32. 《气候公约》秘书处董事会第二十次会议上作了陈述。提出有必要请《议定书》/《公约》缔约方会议作出澄清，明确对减排量单位转换征收收益分成的时间安排和程序/责任问题。董事会尤其要：(a) 决定是否持有新收益账户，以及是否请清洁发展机制执行董事会作出安排，以便使用清洁发展机制的登记册；

<sup>8</sup> 第 3/CMP.8 号决定，第 4 段。

<sup>9</sup> 第 3/CMP.8 号决定，第 5 段。



(b) 确定负责将分配数量单位和减排量单位货币化的适当实体。陈述中指出，若指定受托管理人作为这一实体，董事会需请受托管理人提供有关服务，并与受托管理人谈判商定向适应基金提供服务的修正条款和条件。董事会已指定受托管理人为这一实体并提出了有关请求，详见下文和附件一。

#### 国际援助透明度倡议

33. 董事会在第二十一次会议上商定了在 2013 年 9 月底之前公布国际援助透明度倡议达标数据的执行计划。基金于 2014 年 4 月在登记册中公布了项目数据，这样就将基金数据公布在了国际援助透明度倡议的平台上，并可供检索。

#### 基金的环境和社会政策

34. 董事会在第二十二次会议上批准了经修正的基金环境和社会政策(“政策”)提议草案，该草案吸纳了公开征集评论后收到的意见。为了实施这一政策，董事会还批准了对基金供缔约方从适应基金获取资金的实施政策和准则、其相关的模板和指南的修正。最后，董事会批准采取分级方法处理经认证的执行实体和实施实体，以及正在接受审查的申请方，并批准修正认证申请程序，在其中纳入政策的各项要求。<sup>10</sup> 这一政策旨在加强和精简在基金政策和程序中对环境和社会保障机制的应用。董事会还决定，聘用两名环境和社会政策专家，协助秘书处和认证小组实施这一政策。目前，秘书处正在撰写一份指导文件，以让执行实体更好地理解政策的各项原则，以及如何在认证程序以及项目/方案周期中予以应用。

#### 直接获取气候融资准备方案

35. 董事会在第二十二次会议上批准了直接获取气候融资准备方案第一阶段，前提是该方案要遵循基于业绩的供资原则。<sup>11</sup> 董事会在第二十三次会议上，还批准了方案的实施安排和资格标准，以向经认证的执行实体划拨资金，供其开展具体活动并制订活动时间表。这一方案旨在增加申请认证的国家实体数量和获得认证后合理时间内向董事会提交的优质提议的数量。<sup>12</sup>

36. 报告所述期间，开展了以下活动：

(a) 首届直接获取气候融资准备研讨会 (2014 年 5 月 1 日至 2 日在美利坚合众国华盛顿特区举行)。此届会议重点在于召集气候融资准备方面的专家和思想领袖，分享经验并详细规划该方案的前进之路；

(b) 向经认证的国家执行实体发放南南合作拨款，以协助潜在的国家实体申请方准备认证申请材料(2014 年 5 月)。提交材料的截止日期为 2014 年 8 月 15 日；

<sup>10</sup> 适应基金董事会第 B.22/23 号决定。

<sup>11</sup> 适应基金董事会第 B.22/24 号决定。

<sup>12</sup> 适应基金董事会第 B.21/28 号决定。

(c) 与海因里希一波尔基金会、气候与发展知识网络和肯尼亚国家环境管理局合作举行的非洲国家执行实体讲习班(2014年7月2日至4日在肯尼亚内罗毕举行)。讲习班侧重于让非洲已经得到认证的国家执行实体分享经验;

(d) 第二届直接获取气候融资准备研讨会(2014年7月15日至17日在华盛顿特区举行)。此届会议重点讨论整个项目周期的准备问题。

### 宣传工作

37. 报告所述期间, 董事会加大努力宣传了有关基金工作的新闻和事例。基金的网站和社交媒体得到了改善, 访问量和关注者人数均创下记录。编制并散发了介绍基金活动和成果、直接获取模式和新的直接获取气候融资准备方案的外联材料。秘书处应董事会请求, 与潜在的私营部门伙伴和协作者展开了对话。

38. 董事会董事和秘书处参加了若干活动, 宣传基金的经验。秘书处应巴哈马政府邀请, 组织了为期一天的题为“支持加勒比区域直接获取气候融资”的讲习班。讲习班让来自4个不是附件一缔约方的《京都议定书》缔约方的代表以及加勒比开发银行的一名代表互动并学习认证程序。董事会或其秘书处参加的其他活动包括: 在德国科隆举行的2014年碳博览会; 在瑞士日内瓦举行的开放知识论坛; 在华盛顿特区举行的圣母全球适应指数2013年年度会议; 在尼泊尔加德满都举行的第八届社区适应会议; 在意大利罗马举行的首届联合国世界粮食计划署适应基金讲习班; 在巴西福塔莱萨举行的第三届国际气候变化适应大会; 在牙买加蒙特哥贝举行的第二届《气候公约》融资问题常设委员会论坛暨2014年气候投资基金伙伴关系论坛; 在波恩举行的《气候公约》附属机构第四十届会议; 分别在法国巴黎、印度尼西亚巴厘和大韩民国松岛举行的第五次、第六次和第七次绿色气候基金董事会会议, 以及在波恩举行的第五、第六和第七次融资问题常设委员会会议。

### 适应基金信托基金的资源

39. 截至2014年6月30日, 受托管理人已按照6.70欧元的平均价格售出了2,070万单位的适应基金核证减排量, 收入达1.904亿美元。到2014年6月30日的12个月中, 核证减排量货币化收入达210万美元。截至2014年6月30日, 根据适应基金董事会通过的核证减排量货币化准则, 仍有850万单位的核证减排量待售。截至2014年6月30日, 董事会已指示受托管理人向各执行实体转款9,950万美元。

40. 截至2014年6月30日, 可用于新批准用资项目的资金达1.508亿美元。

### 与民间社会组织的对话

41. 董事会在第十二次会议上发起了与民间社会组织的定期对话会议, 以便听取他们的提议、对包括董事会议程在内的各项问题的反馈, 并交流意见。这些对话会议是董事会议程的一部分。

### 修正世界银行作为适应基金临时受托管理人的服务条款和条件

42. 世界银行作为适应基金临时受托管理人的任务于 2015 年 5 月 30 日到期。适应基金董事会在 2014 年 3 月的第二十三次会议上审议了这一问题，决定请求将世界银行作为受托管理人的任务延长两年。

43. 根据第 1/CMP.8 号决定通过的《京都议定书》多哈修正案，《议定书》/《公约》缔约方会议决定，“适应基金为了第二承诺期应通过对如下活动征收 2% 的收益分成得到进一步加强：首次分配数量单位国际转让，以及在缔约方先前持有的分配数量单位或清除量单位转换为减排量单位之后立即为依据第六条项目发放的减排量单位”。《议定书》/《公约》缔约方会议第九届会议通过了第 1/CMP.9 号决定，其中表示，《议定书》/《公约》缔约方会议：

“请适应基金董事会考虑为上文第 8 段所述 2% 的收益分成货币化作出安排，包括负责将收益分成货币化的一个或多个适当实体，并向作为《京都议定书》会议的《公约》缔约方会议第十届会议提出建议，供其审议；

“还请适应基金董事会制定并批准负责管理上文第 8 段所述 2% 收益分成的受托人的法律安排，提交作为《京都议定书》缔约方会议的《公约》缔约方会议批准”。

44. 适应基金在第二十三次会议上审议了这些事项，并决定建议《议定书》/《公约》缔约方会议选择世界银行作为负责将分配数量单位和减排量单位收益分成货币化的实体。只有作出附件一所载的对世界银行作为适应基金受托管理人服务条款和条件的修正，才能让这种货币化成为可能。

45. 因此，适应基金董事会建议《议定书》/《公约》缔约方会议以附件一所载的案文为基础通过一项决定。附件一所载案文为对第 1/CMP.4 号决定附件三附录所载条款和条件的修正。这一修正将经《议定书》/《公约》缔约方会议通过并随后经世界银行作为受托管理人同意后生效。

## 三. 向适应基金董事会执行任务提供的支持

46. 第 4/CMP.5 号决定第 9 段“鼓励《公约》附件一所列缔约方和国际组织，除了清洁发展机制项目活动的收益分成以外，向适应基金提供资金”。此外，《议定书》/《公约》缔约方会议通过第 6/CMP.7 号决定第 5 段继续鼓励附件一缔约方和国际组织提供资金。

47. 董事会在第二十二次会议上，批准了一项筹资战略。2013 年 12 月在波兰华沙举行的《公约》缔约方会议第十九届会议暨《议定书》/《公约》缔约方会议第九届会议期间，以及 2014 年 6 月在波恩举行的《气候公约》附属机构第四十届会议期间，董事会与捐款方举行了两次讨论会。计划将在秘鲁利马举行《公约》缔约方会议第二十届会议暨《议定书》/《公约》缔约方会议第十届会议期间再举行一次讨论会。

48. 捐款缔约方在《公约》缔约方会议第十九届会议暨《议定书》/《公约》缔约方会议第九届会议期间的认捐额超过了董事会设定的在 2012 年 3 月 16 日至 2013 年 12 月 31 日期间筹集 1 亿美元的目标。在《公约》缔约方会议第十九届会议暨《议定书》/《公约》缔约方会议第九届会议前，已收到捐款 3,180 万美元，会议期间认捐额约合 7,220 万美元。截至本报告发布时，为达到筹资目标而认捐的金额中，已有 9,420 万美元存入了信托基金。然而，因为仍有约合 1,040 万美元的认捐额未付，筹资目标尚未达到。在 2014 年 1 月 1 日至 2014 年 12 月 31 日的筹资目标方面，尚未收到任何捐款。

49. 董事会在第二十三次会议上，决定延长筹资特别工作组的任期，以继续实施筹资战略，2014 年和 2015 年的筹资目标是每个日历年筹集 8,000 万美元。<sup>13</sup> 特别工作组的成员有：Ana Fornells de Frutos 女士（西班牙，附件一缔约方），Angela Churie-Kallhauge 女士（瑞典，西欧和其他国家）、Su-Lin Garbett-Shiels 女士（联合王国，西欧和其他国家）、Laura Dzelzyte 女士（立陶宛，东欧国家）、Jeffery Spooner 先生（牙买加，拉丁美洲和加勒比国家）和 Mamadou Honadia 先生（布基纳法索，最不发达国家），增加新成员 Marc-Antoine Martin 先生（法国，附件一缔约方），并延长 Zaheer Fakir 先生（南非，非洲国家）的协调员任期。

50. 报告所述期间，基金收到了以下各方的捐款：奥地利，50 万欧元（合 69.025 万美元）；芬兰，500 万欧元（合 680 万美元）；法国，53,340 美元；德国，3,000 万欧元（合 4,080 万美元）；挪威，1,500 万挪威克朗（合 240 万美元）；瑞士，1,000 万瑞士法郎（合 1,090 万美元）；以及比利时的布鲁塞尔首都大区，50 万欧元（合 68.025 万美元）。

51. 董事会感谢奥地利、芬兰、德国、挪威、瑞典、瑞士和比利时布鲁塞尔首都大区的政府支持基金达到 2012 至 2013 年筹资目标。董事会还肯定了波兰任《公约》缔约方会议第十九届会议暨《议定书》/《公约》缔约方会议第九届会议主席时对基金筹资工作的支持，以及适应基金董事会秘书处、受托管理人和《气候公约》秘书处提供的支持。

52. 根据第 1/CMP.3 号决定第 18 段，适应基金董事会秘书处的专职官员小组由 4 名专业工作人员组成，即：秘书处主管、一名高级气候变化专家、一名适应干事和一名业务干事（监测和认证），另外还有一名方案助理、一名初级专业协理，一名长期顾问（宣传）和一名短期顾问（业务支持）。

<sup>13</sup> 适应基金董事会第 B.23/25 号决定。

## Annex I

[English only]

### **Amended and restated terms and conditions of services to be provided by the International Bank for Reconstruction and Development as trustee for the Adaptation Fund**

#### **I. Recitals**

- (a) A clean development mechanism (CDM) was established under Article 12 of the Kyoto Protocol to the United Nations Framework Convention on Climate Change (the Convention) (the Kyoto Protocol).
- (b) The Conference of the Parties decided in its decision 10/CP.7 that an adaptation fund (the Adaptation Fund) shall be established to finance concrete adaptation projects and programmes in developing country Parties that are Parties to the Kyoto Protocol, as well as activities identified in decision 5/CP.7, paragraph 8.
- (c) The decision was further endorsed by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) through its decision 28/CMP.1.
- (d) In decision 1/CMP.3, the CMP decided that the Adaptation Fund shall finance concrete adaptation projects and programmes that are country driven and are based on the needs, views and priorities of eligible Parties, and that the Adaptation Fund Board shall be established as the operating entity of the Adaptation Fund.
- (e) The CMP, in its decision 1/CMP.3, invited the International Bank for Reconstruction and Development (the World Bank) to serve as the trustee for the Adaptation Fund (the World Bank in such capacity, the Trustee) on an interim basis, and requested the Adaptation Fund Board to present the necessary legal arrangements to be concluded between the CMP and the trustee, for adoption by the CMP at its fourth session.
- (f) The CMP and the World Bank concluded the legal arrangements necessary for the World Bank to serve as Trustee on an interim basis by way of adopting and accepting the terms and conditions of services to be provided by the International Bank for Reconstruction and Development as trustee for the Adaptation Fund (the Terms and Conditions) as contained in the appendix to annex III to decision 1/CMP.4.
- (g) The Terms and Conditions were amended twice to extend the term of the Trustee's services thereunder on an interim basis, as set out in decision 5/CMP.6, paragraph 1, and decision 1/CMP.9, paragraph 1.
- (h) The CMP, in its decision 1/CMP.9, requested the Adaptation Fund Board to develop and approve the legal arrangements with the trustee regarding the services for the 2 per cent share of proceeds levied in accordance with decision 1/CMP.8, paragraph 21, for approval by the CMP.
- (i) The Adaptation Fund Board has developed and approved the legal arrangements with the Trustee for approval by the CMP, which are proposed to be concluded between the CMP and the Trustee by amending and restating the Terms and Conditions.
- (j) The CMP and the World Bank wish to amend and restate the Terms and Conditions as follows.

## **II. Terms and conditions**

### **A. Role and responsibilities of the Trustee**

1. The World Bank shall act as the Trustee on an interim basis in accordance with the Terms and Conditions set forth herein.
2. The Trustee shall comply with the principles and modalities for operations stipulated in the relevant decisions of the CMP and decisions of the Adaptation Fund Board. The Trustee shall be closely consulted in the development of decisions, taken by the CMP or the Adaptation Fund Board after the effective date of the Terms and Conditions, which relate in any way to the functions of the Trustee performed or to be performed, and the Terms and Conditions stipulated below shall be applicable. The Trustee shall perform its functions under the Terms and Conditions in accordance with the applicable provisions of the World Bank's Articles of Agreement, by-laws, policies and procedures.
3. The CMP hereby: (1) confirms its designation, under its decision 1/CMP.3, of the Adaptation Fund Board as its designee and delegatee in respect of the Adaptation Fund, acting under the authority and guidance of the CMP; and (2) imbues the Adaptation Fund Board with the capacity, power and authority to render decisions and provide instructions, directions and guidance to the Trustee hereunder and to cause to be effectuated the sale or disposal, for the purpose of monetization (Sale), of certified emission reductions (CERs), assigned amount units (AAUs) or emission reduction units (ERUs) collected as the share of proceeds for the Adaptation Fund (any such CERs, AAUs or ERUs, hereinafter referred to individually or collectively as the Share of Proceeds), pursuant to paragraphs 24, 25, 26, 27 and 28 below.
4. The Trustee, in the performance of its functions under the Terms and Conditions, shall be accountable to the Adaptation Fund Board.
5. Without prejudice to any other provisions of the Terms and Conditions, the Trustee shall, in performing its functions under the Terms and Conditions, act upon decisions, instructions, directions or guidance of the CMP or the Adaptation Fund Board (or such other person designated in writing by the Adaptation Fund Board for that purpose (Authorized Designee)) only if such decisions, instructions, directions or guidance are provided to the Trustee in writing. The Trustee shall not be responsible for inquiring or investigating if any decisions, instructions, directions or guidance of the Adaptation Fund Board or, as the case may be, any Authorized Designees, do not contravene an existing decision or act of the CMP, and shall have no liability for relying in good faith on any written decision, instruction, direction or guidance of the CMP, Adaptation Fund Board or any Authorized Designees, without further inquiry or investigation on its part or otherwise for any actions taken, or omitted to be taken, in good faith.
6. The CMP acknowledges that the Trustee may disclose information obtained by it in connection with its functions under the Terms and Conditions, if such disclosure is required or otherwise necessary in carrying out the services and activities set out herein, in accordance with the World Bank's policies and procedures.
7. The Trustee shall establish a trust fund for the Adaptation Fund (the Trust Fund), and shall hold in trust, as a legal owner, and administer the funds, assets and receipts, which constitute the Trust Fund, on behalf of the Adaptation Fund supervised and managed by the Adaptation Fund Board.
8. For the purpose of the monetization of the Share of Proceeds for the Adaptation Fund, the Trustee, in its capacity as agent of the CMP, is hereby authorized by the CMP to administer Sales of the Share of Proceeds under the instructions, direction and guidance of

the Adaptation Fund Board consistent with its responsibility for the monetization of the Share of Proceeds, pursuant to paragraphs 24, 25, 26, 27 and 28 below.

9. The Trustee shall be responsible only for performing those duties and responsibilities specifically and expressly set forth in the Terms and Conditions and shall not be subject to any other duties or responsibilities (express or implied), including, without limitation, any duties or obligations that might otherwise apply to a fiduciary or trustee under general principles of equity, trust or fiduciary obligations and/or any other legal or equitable principles. To the extent that Sales of the Share of Proceeds are conducted by the Trustee pursuant to paragraphs 24, 25, 26, 27 and 28 below, the Trustee shall not be responsible for the legality, validity or enforceability of any such Sales of the Share of Proceeds, the value obtained from such Sales of the Share of Proceeds (including any reduction in the value of the CERs, AAUs or the ERUs from the time they are credited to the CDM Account (as defined in paragraph 24 below) to the time such Sales are consummated) or any expenses or liabilities incurred in connection with such Sales.

10. The Trustee shall not be liable for any failure to carry out its obligations under the Terms and Conditions where such failure is a result of a Force Majeure Event and, for so long as such circumstances continue, shall be relieved of its obligations under the Terms and Conditions which it has been prevented from fulfilling as a result of that Force Majeure Event without liability; provided that the Trustee shall, notwithstanding that it is relieved from its obligations hereunder, take all reasonable and practical steps to minimize any loss and/or disruption resulting from any such Force Majeure Event. For the purpose of this paragraph, "Force Majeure Event" means any event beyond the reasonable control of the person affected including, without limitation, labor dispute, act of God, war, act or circumstance of terrorism, riot, civil commotion, malicious damage, accident, breakdown of essential computer software, hardware or system failure, fire, flood and/or storm and other unforeseen circumstances materially and adversely affecting the performance of the functions of the Trustee under the Terms and Conditions.

11. The CMP acknowledges that the World Bank shall have the right to engage in any of the types of activities described in the Terms and Conditions for its own account or for the account of clients other than the Adaptation Fund whether acting as trustee, adviser or in any other capacity vis-à-vis such clients. The CMP agrees that the World Bank, in carrying out such activities for its own account or for the account of others, may decide to adopt approaches and courses of actions, which differ from the approaches and courses of action that the Trustee decides to take in performing the services for the Adaptation Fund described in the Terms and Conditions. In engaging in such activities for its own account or for the account of others, the World Bank will put in place measures designed to avoid or mitigate conflicts of interest arising from its functions under the Terms and Conditions relating to the Sale of the Share of Proceeds for the Adaptation Fund.

12. If a decision by the CMP or the Adaptation Fund Board after the effective date of the Terms and Conditions relates to the functions of the Trustee performed or to be performed under the Terms and Conditions, such a decision shall be developed in close consultation with the Trustee. In the absence of such consultation with and the agreement of the Trustee, the Trustee shall not be bound by any decision of the CMP or the Adaptation Fund Board, to the extent that such a decision relates to the functions of the Trustee performed or to be performed under the Terms and Conditions.

13. The CMP agrees that the Trustee shall be fully indemnified, out of the assets held for the Adaptation Fund, including the Trust Fund resources, for any liabilities, claims, losses, costs and expenses, including attorneys' fees and expenses, incurred by the Trustee in connection with or in any way arising out of its activities as Trustee, including but not limited to any activities of the Trustee in connection with the Sale or the facilitation of the Sale of the Share of Proceeds. Such indemnity shall not include any liabilities, claims,

losses, costs or expenses incurred by the Trustee as a direct result of its own gross negligence or willful misconduct.

14. The privileges and immunities accorded to the World Bank shall apply to the property, assets, archives, operations and transactions of the Trust Fund. Nothing in the Terms and Conditions shall be considered a waiver of any privileges or immunities of the World Bank under its Articles of Agreement or any applicable law, all of which are expressly reserved.

15. The CMP agrees that the Trustee shall be reimbursed annually from the assets held for the Adaptation Fund, including the Trust Fund resources, for the fees, costs and expenses incurred by it in connection with performing its functions under the Terms and Conditions, including, without limitation, the costs and expenses incurred in connection with the establishment and administration of the Trust Fund, the Sale of the Share of Proceeds, and any and all services provided hereunder, including attorneys' fees and expenses and external auditors' costs, costs of insurance policies and relevant service providers' fees. For this purpose, the Trustee shall submit to the Adaptation Fund Board a proposal for mutual agreement for the services and activities to be provided by the Trustee and estimated fees, costs and expenses to carry out such services and activities for the initial and/or upcoming fiscal year, as applicable. Upon approval by the Adaptation Fund Board of such a proposal, the Trustee shall deduct and transfer the amount of the estimated fees, costs and expenses to its own account from the Trust Fund resources or such other assets held for the Adaptation Fund; provided that the amount of the fees, costs and expenses transferred may be subject to an end of year adjustment based on actual costs and expenses incurred, as such an arrangement may be agreed between the Adaptation Fund Board and the Trustee in connection with the aforementioned proposal.

16. In order to enable the Trustee to carry out its functions enumerated in the Terms and Conditions, the Trustee shall be entitled to attend any meetings of the Adaptation Fund Board and, as an observer, any meetings of the CMP which may concern the operations and activities of the Adaptation Fund. Further, the CMP hereby requests the secretariat servicing the Adaptation Fund Board in accordance with decision 1/CMP.3, and the secretariat of the Convention (the UNFCCC secretariat), to cooperate fully with the Trustee.

## **B. Administration of the Trust Fund**

17. The Trustee shall receive and hold in the Trust Fund any proceeds from the Sale of the Share of Proceeds conducted pursuant to paragraphs 24, 25, 26, 27 and 28 below. If requested by the Adaptation Fund Board, the Trustee may accept, on terms mutually agreed between the Trustee and the Adaptation Fund Board, contributions from donors to support the operations of the Adaptation Fund. For the avoidance of doubt, no Share of Proceeds shall be held in the Trust Fund.

18. Subject to paragraphs 2 and 12 above, the Trustee shall administer the funds, assets and receipts of the Trust Fund only for the purpose of, and in accordance with, the Terms and Conditions and the relevant decisions of the CMP and the Adaptation Fund Board.

19. In accordance with decision 1/CMP.3, paragraph 21, and in conformity with the administrative and investment arrangements of the Trustee, the Trustee shall hold the funds, assets and receipts that constitute the Trust Fund separate and apart from the funds of the World Bank. The Trustee shall establish and maintain separate records and accounts to identify the resources of the Trust Fund, the commitments financed out of the Trust Fund, and the receipts and transfers of funds in the Trust Fund.



20. The Trustee shall invest the funds held in the Trust Fund, pending their transfer under paragraphs 15 above and 22 below, in accordance with the Trustee's policies and procedures for the investment of trust funds administered by the World Bank, including commingling of the resources of the Trust Fund for administrative and investment purposes with other trust fund assets maintained by the World Bank. The commingling of Trust Fund resources for administrative and investment purposes should not affect the amount of resources from proceeds of monetization of the Share of Proceeds available in the Trust Fund for transfer of funds for Adaptation Fund operations, activities, projects and programmes. The Trustee shall credit all income from such investment to the Trust Fund to be used for the same purposes as other funds held in the Trust Fund. The CMP acknowledges that no warranty is given by the Trustee as to the performance or profitability of the investment of the funds held in the Trust Fund.

21. The funds held in the Trust Fund may be freely exchanged by the Trustee into other currencies as may facilitate their administration and transfer.

22. The Trustee shall, subject to the availability of resources held in the Trust Fund, record commitments and make transfers of funds from the Trust Fund in the manner agreed between the Trustee and the Adaptation Fund Board, and only at, and in accordance with, the written direction provided to the Trustee by the Adaptation Fund Board or any Authorized Designee. Upon the transfer of funds, the Trustee shall not have any responsibility for the use of the Trust Fund funds transferred and activities carried out therewith, including but not limited to any responsibility with respect to supervising, monitoring, reporting on or verifying activities carried out with the Trust Fund funds transferred by the Trustee herein.

23. 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 Share of Proceeds 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).

### **C. Sales of Share of Proceeds**

24. The CMP hereby authorizes the Sale of the Share of Proceeds from the account established and maintained at the CDM registry for the Adaptation Fund to hold and transfer the Share of Proceeds to assist in meeting the costs of adaptation in accordance with Article 12, paragraph 8, of the Kyoto Protocol (the CDM Account) in the manner set forth hereunder.

25. The Sale of the Share of Proceeds from the CDM Account shall be administered under the instructions, direction and guidance of the Adaptation Fund Board consistent with its responsibility to supervise and manage the Adaptation Fund and for the monetization of the Share of Proceeds.

26. Pursuant to the authority provided under paragraph 3 above, the Adaptation Fund Board may cause to be entered into any and all contracts necessary for the Sale of the Share of Proceeds from the CDM Account by granting to the Trustee any necessary power of attorney on behalf of the CMP, so that the Trustee may execute contracts of Sale with the relevant third-party Share of Proceeds purchasers and such other contracts necessary in

connection with the Sale or the facilitation of the Sale of the Share of Proceeds, at the direction of the Adaptation Fund Board pursuant to paragraph 28 below.

27. Pursuant to the authority provided under paragraph 8 above, and in furtherance of paragraphs 24, 25 and 26 above, the Trustee may, at the direction of the Adaptation Fund Board pursuant to paragraph 28 below: (1) cause the transfer of the title to the Share of Proceeds to the relevant third-party purchasers, or the cancellation of the Share of Proceeds, upon receipt of payment in respect of the transfer or cancellation; (2) enter into arrangements with the CDM Registry Administrator to effectuate such transfers or cancellations of the Share of Proceeds; (3) engage with relevant service providers for the purposes of execution, clearance, settlement and other logistic matters in connection with the Sale or the facilitation of the Sale of the Share of Proceeds; and (4) take other such actions as necessary to effectuate the Sale of the Share of Proceeds for the benefit of the Adaptation Fund.

28. Sale of the Share of Proceeds and transfer of title or cancellation of the Share of Proceeds in respect of such Sale pursuant to paragraphs 24, 25, 26 and 27 above shall be effected by the Trustee only in accordance with the guidelines agreed in writing between the Trustee and the Adaptation Fund Board.

#### **D. Dispute resolution: notices**

29. The CMP and the Trustee shall, to the extent possible, strive to resolve promptly and amicably questions of interpretation and application of the Terms and Conditions and settle any disputes, controversy or claim arising out of or relating to the Terms and Conditions.

30. Any dispute, controversy or claim arising out of or relating to the Terms and Conditions, which has not been settled by agreement between the CMP and the Trustee, shall be submitted to arbitration in accordance with the Arbitration Rules of the United Nations Commission on International Trade Law (UNCITRAL) in force on the effective date of the Terms and Conditions, and the following provisions: (1) the appointing authority shall be the Secretary-General of the Permanent Court of Arbitration; and (2) the language of the arbitral proceedings shall be English.

31. Any arbitral award under paragraph 30 above shall be final and binding upon the CMP and the Trustee. The provisions set forth in paragraphs 29 and 30 above shall be in lieu of any other procedure for the settlement of disputes between the CMP and the Trustee.

32. Any notice or request required or permitted to be given or made under the Terms and Conditions and any other agreement between any of the parties contemplated by the Terms and Conditions shall be in writing. Any such notice or request shall be deemed to have been duly given or made once it has been delivered by hand, mail, facsimile or, if so designated by the parties, by other electronic means, to the World Bank or the UNFCCC secretariat, in the case of the CMP, to which it is required or permitted to be given or made at such party's address designated by notice to the World Bank or in the case of the CMP, the UNFCCC Secretariat, giving such notice or making such a request. Deliveries made by facsimile or other electronic means shall also be confirmed by mail.

#### **E. Amendment and termination**

33. Any amendment to the Terms and Conditions shall become effective only upon approval and acceptance by the CMP and the World Bank.

34. The Trustee's role as trustee servicing the Adaptation Fund under the Terms and Conditions shall be automatically terminated on 30 May 2017, unless the CMP and the

Trustee affirmatively agree in writing to extend beyond this date the term of the Trustee's services under the Terms and Conditions.

35. Notwithstanding paragraph 34 above, the CMP may at any time terminate the appointment of the Trustee as trustee servicing the Adaptation Fund under the Terms and Conditions. The Trustee's role as trustee servicing the Adaptation Fund shall be terminated three months after receipt by the Trustee of the notice in writing of the termination of the appointment.

36. Notwithstanding paragraph 34 above, the Trustee may at any time terminate its role as trustee servicing the Adaptation Fund by giving the CMP notice in writing no less than three months prior to any session of the CMP. The Trustee's role as trustee servicing the Adaptation Fund shall be terminated immediately after the session of the CMP which immediately follows the notice by the Trustee. In the event that no session of the CMP is held within 12 months of the Trustee giving notice, however, the Trustee's role shall be terminated 12 months after the Trustee has given notice.

37. Following termination of the Trustee's role as trustee servicing the Adaptation Fund pursuant to paragraphs 34, 35 or 36 above, the Trustee shall carry on no business for the Adaptation Fund except for the purpose of winding up its affairs. The Trustee shall take all necessary action for winding up its affairs in an expeditious manner, and for meeting the commitments already made by the Trustee and the transfer of any remaining funds, assets and receipts in the Trust Fund, as directed by the Adaptation Fund Board. The CMP hereby mandates that in such circumstances the Adaptation Fund Board shall provide such direction to the Trustee without undue delay. All of the powers and rights of the Trustee under the Terms and Conditions, including the right to be reimbursed for the fees, costs and expenses incurred under paragraph 15 above, shall continue until the affairs of the Trustee shall have been wound up.

## **F. Effectiveness**

38. The Terms and Conditions or any amendments to the same shall become effective and constitute an agreement between the CMP and the World Bank upon decisions by the CMP and the World Bank to approve and accept the Terms and Conditions or any amendments to the same.

## Annex II

[English only]

**Adaptation Fund Board members and alternate members**

<i>Term of office<sup>a</sup></i>	<i>Position</i>	<i>Name</i>	<i>Country</i>	<i>Constituency represented</i>
March 2013 to March 2015	Member	Mr. Yerima Peter Tarfa	Nigeria	African States
	Alternate member	Mr. Petrus Muteyauli	Namibia	African States
(CMP 8 to CMP 10) <sup>b</sup>	Member	Mr. Ezzat Lewis Hannalla Agaiby	Egypt	African States
	Alternate member	Mr. Zaheer Fakir	South Africa	African States
	Member	Mr. Mohamed Shareef	Maldives	Asia-Pacific States
	Alternate member	Mr. Alamgir Mohammed Monsurul Alam	Bangladesh	Asia-Pacific States
	Member	Mr. Nauman Bashir Bhatti	Pakistan	Asia-Pacific States
	Alternate member	-	-	Asia-Pacific States
	Member	Mr. Valeriu Cazac	Moldova	Eastern European States
	Alternate member	Ms. Medea Inashvili	Georgia	Eastern European States
	Member	Ms. Laura Dzelzyte	Lithuania	Eastern European States
	Alternate member	Mr. Aram Ter-Zakaryan	Armenia	Eastern European States
	Member	Mr. Philip S. Weech	Bahamas	Latin American and Caribbean States
	Alternate member	Mr. Jeffery Spooner	Jamaica	Latin American and Caribbean States
	Member	Mr. Raúl Pinedo	Panama	Latin American and Caribbean States
	Alternate member	Ms. Irina Helena Pineda Aguilar	Honduras	Latin American and Caribbean States
Member	Ms. Yuka Greiler	Switzerland	Western European and other States	
Alternate member	Mr. Hans Olav Ibrekk	Norway	Western European and other States	

<i>Term of office<sup>a</sup></i>	<i>Position</i>	<i>Name</i>	<i>Country</i>	<i>Constituency represented</i>
	Member	Ms. Su-Lin Garbett-Shiels	United Kingdom of Great Britain and Northern Ireland	Western European and other States
	Alternate member	Mr. Marc-Antoine Martin	France	Western European and other States
	Member	-	-	Small island developing States
	Alternate member	Mr. Paul Elreen Phillip	Grenada	Small island developing States
	Member	Mr. Mamadou Honadia	Burkina Faso	Least developed countries
	Alternate member	Mr. Adao Soares Barbosa	Timor-Leste	Least developed countries
	Member	-	-	Annex I Parties
	Alternate member	Ms. Ana Fornells de Frutos	Spain	Annex I Parties
	Member	Ms. Angela Churie-Kallhauge	Sweden	Annex I Parties
	Alternate member	Mr. Markku Kanninen	Finland	Annex I Parties
	Member	Ms. Margarita Caso Chavez	Mexico	Non-Annex I Parties
	Alternate member	Ms. Patience Damptey	Ghana	Non-Annex I Parties
	Member	Mr. Boubacar Dembele Sidiki	Mali	Non-Annex I Parties
	Alternate member	Ms. Wenhong Huang	China	Non-Annex I Parties

*Abbreviation:* CMP = The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol.

<sup>a</sup> Members and alternate members shall serve for a term of two years and shall be eligible to serve a maximum of two consecutive terms (see decision 1/CMP.3). At the seventh session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, half of the members of the Adaptation Fund Board, and their alternate members from the same group, shall continue to serve in office for one additional and final year. The terms as members do not count towards the terms as alternate members, and terms as alternate members do not count towards the terms as members (see decision 1/CMP.4).

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

## Annex III

[English only]

### Actual fiscal year 2014 and approved fiscal year 2015 budget of the Adaptation Fund Board and the secretariat, and the trustee

(United States dollars)

	<i>Approved FY 2014</i>	<i>Actual estimated FY 2014</i>	<i>Approved FY 2015</i>
<b>Board and secretariat</b>			
01 Personnel	1 239 491	1 199 074	1 451 938
02 Travel	773 400	352 036	414 000
03 General operations	263 870	175 634	293 870
04 Meetings	630 000	276 847	340 000
<b>Subtotal secretariat administrative services (a)</b>	<b>2 906 761</b>	<b>2 003 591</b>	<b>2 499 808</b>
05 Overall evaluation (b)	-	-	335 000
06 Accreditation (c)	432 000	373 577	460 000
<b>Subtotal secretariat (a) + (b) + (c)</b>	<b>3 338 761</b>	<b>2 377 167</b>	<b>3 294 808</b>
07 Readiness programme (d)	236 150	86 101	433 850 <sup>a</sup>
<b>Subtotal secretariat (a) + (b) + (c) + (d)</b>	<b>3,805,761</b>	<b>2,463,268</b>	<b>3,410,658</b>
<b>Trustee</b>			
01 Certified emission reduction monetization	455,000	387,393	246,000
02 Financial and programme management	210,000	210,655	210,000
03 Investment management	70,000	98,850	101,000
04 Accounting and reporting	56,000	48,804	56,000
05 Legal services	20,000	20,299	40,000
External counsel <sup>b</sup>	-	145,044	150,000
06 External audit	60,000	44,536	60,000
<b>Subtotal trustee</b>	<b>871,000</b>	<b>955,581</b>	<b>863,000</b>
<b>Grand total all components</b>	<b>4,676,761</b>	<b>3,418,849</b>	<b>4,273,658</b>

*Abbreviation:* FY = fiscal year.

<sup>a</sup> The unspent portion of the readiness programme budget in FY 2014 will also be carried over to FY 2015 in addition to this amount.

<sup>b</sup> The amount approved by the Board for FY 2015 was used in FY 2014 instead, further to the request by the Board to prepare draft arrangements for the monetization of AAUs and ERUs for submission to CMP 10 (Adaptation Fund Board document AFB/B.23/7).

## Annex IV

[English only]

### List of accredited implementing entities

(In alphabetical order)

#### A. National implementing entities (NIEs)

1. Agencia de Cooperación Internacional de Chile (Chile)
2. Agencia Nacional de Investigación e Innovación (Uruguay)
3. Agency for Agricultural Development (Morocco)
4. Centre de Suivi Ecologique (Senegal)
5. Desert Research Foundation of Namibia (Namibia)
6. Fundecooperación para el Desarrollo Sostenible (Costa Rica)
7. Mexican Institute of Water Technology (Mexico)
8. Ministry of Natural Resources (Rwanda)
9. Ministry of Planning and International Cooperation (Jordan)
10. National Bank for Agriculture and Rural Development (India)
11. National Environment Fund (Benin)
12. National Environment Management Authority (Kenya)
13. Peruvian Trust Fund for National Parks and Protected Areas (Peru)
14. Planning Institute of Jamaica (Jamaica)
15. Protected Areas Conservation Trust (Belize)
16. South African National Biodiversity Institute (South Africa)
17. Unidad para Cambio Rural (Argentina)

#### B. Multilateral implementing entities (MIEs)

1. African Development Bank (AfDB)
2. Asian Development Bank (ADB)
3. European Bank for Reconstruction and Development (EBRD)
4. Inter-American Development Bank (IDB)
5. International Fund for Agricultural Development (IFAD)
6. United Nations Development Programme (UNDP)
7. United Nations Educational, Scientific and Cultural Organization (UNESCO)
8. United Nations Environment Programme (UNEP)
9. United Nations World Food Programme (WFP)

10. World Bank (International Bank for Reconstruction and Development)
11. World Meteorological Organization (WMO)

**C. Regional implementing entities (RIEs)**

1. Corporación Andina de Fomento (Latin America and the Caribbean)
2. Observatoire du Sahara et du Sahel/Sahara and Sahel Observatory (North, West and East Africa)
3. Secretariat of the Pacific Regional Environment Programme (the Pacific)
4. West African Development Bank (West Africa)



## Annex V

[English only]

## Project funding approvals by the Board between 1 August 2013 and 31 July 2014

(United States dollars)

## AFB 22 Funding Decisions (30 October 2013)

	Country/Title	IE	Document Ref	Project	Fee	NIE	RIE	MIE	IE fee %	Set-aside Funds	Decision
<b>1. Projects and programmes</b>											
	Benin	FNE	AFB/PPRC.13/9	8,244,255	669,000	8,913,255			8.1%		Not approved
	Kenya	NEMA	AFB/PPRC.13/10	9,279,556	720,331	9,999,886			7.8%		Not approved
	Rwanda	MINIRENA	AFB/PPRC.13/11	9,366,982	602,637	9,969,619			6.4%	9,969,619	Approved
	Nepal	WFP	AFB/PPRC.13/12	8,780,793	746,367			9,527,160	8.5%		Placed in pipeline
	<b>Subtotal</b>			<b>35,671,586</b>	<b>2,738,335</b>	<b>28,882,760</b>		<b>9,527,160</b>	<b>7.7%</b>	<b>9,969,619</b>	
<b>2. Project formulation grant</b>											
	Chile	AGCI	AFB/PPRC.13/4/Add.1	30,000		30,000					Not approved
	Costa Rica	Fundecooperación	AFB/PPRC.13/5/Add.1	30,000		30,000				30,000	Approved
	Jordan	MOPIC	AFB/PPRC.13/6/Add.1	29,500		29,500				29,500	Approved
	<b>Subtotal</b>			<b>89,500</b>		<b>89,500</b>				<b>59,500</b>	
<b>3. Concepts</b>											
	Chile	AGCI	AFB/PPRC.13/4	9,170,000	800,000	9,970,000			8.7%		Not endorsed
	Costa Rica	Fundecooperación	AFB/PPRC.13/5	9,220,000	750,000	9,970,000			8.1%		Endorsed
	Jordan	MOPIC	AFB/PPRC.13/6	8,503,000	723,000	9,226,000			8.5%		Endorsed
	Morocco	ADA	AFB/PPRC.13/7	10,000,000	0	10,000,000			0.0%		Not endorsed
	Indonesia	WFP	AFB/PPRC.13/8	5,477,000	463,375			5,940,375	8.5%		Endorsed
	<b>Subtotal</b>			<b>42,370,000</b>	<b>2,736,375</b>	<b>39,166,000.0</b>		<b>0</b>	<b>6.5%</b>		
<b>4. Total (4 = 1 + 2 + 3)</b>				<b>78,131,086</b>	<b>5,474,709.8</b>	<b>68,138,260.3</b>		<b>9,527,160</b>	<b>7.0%</b>	<b>10,029,119</b>	

## AFB 23 Funding Decisions (19 March 2014)

	Country/Title	IE	Document Ref	Project	Fee	NIE	RIE	MIE	IE fee %	Set-aside Funds	Decision
<b>1. Projects and programmes</b>											
	India (4)	NABARD	AFB/PPRC.14/9	544,333	46,268	590,601			8.5%		Not approved
	India (5)	NABARD	AFB/PPRC.14/10	571,877	48,610	620,487			8.5%		Not approved
	Kenya	NEMA	AFB/PPRC.14/11	9,278,085	720,217	9,998,302			7.8%		Deferred
	Indonesia	WFP	AFB/PPRC.14/12	5,525,959	469,707			5,995,666	8.5%		Placed in pipeline
	<b>Subtotal</b>			<b>15,920,254</b>	<b>1,284,802</b>	<b>11,209,390</b>		<b>5,995,666</b>	<b>8.1%</b>	<b>0</b>	
<b>2. Project formulation grant</b>											
	India (1)	NABARD	AFB/PPRC.14/4/Add.1	29,900		29,900				29,900	Approved
	India (2)	NABARD	AFB/PPRC.14/5/Add.1	30,000		30,000				30,000	Approved
	India (3)	NABARD	AFB/PPRC.14/6/Add.1	29,700		29,700				29,700	Approved
	Morocco	ADA	AFB/PPRC.14/7/Add.1	30,000		30,000				30,000	Approved
	<b>Subtotal</b>			<b>119,600</b>		<b>119,600</b>				<b>119,600</b>	
<b>3. Concepts</b>											
	India (1)	NABARD	AFB/PPRC.14/4	1,131,000	96,000	1,227,000			8.5%		Endorsed
	India (2)	NABARD	AFB/PPRC.14/5	1,601,718	136,146	1,737,864			8.5%		Endorsed
	India (3)	NABARD	AFB/PPRC.14/6	2,335,053	198,480	2,533,533			8.5%		Endorsed
	Morocco	ADA	AFB/PPRC.14/7	9,188,940	781,060	9,970,000			8.5%		Endorsed
	Federated States of Micronesia	SPREP	AFB/PPRC.14/8	8,668,125	711,875	9,380,000	9,380,000		8.2%		Not endorsed
	<b>Subtotal</b>			<b>22,924,836</b>	<b>1,923,561</b>	<b>24,848,397</b>	<b>9,380,000</b>	<b>0</b>	<b>8.4%</b>		
<b>4. Total (4 = 1 + 2 + 3)</b>				<b>38,964,690</b>	<b>3,208,363</b>	<b>36,177,387</b>	<b>9,380,000</b>	<b>5,995,666</b>	<b>8.2%</b>	<b>119,600</b>	

## AFB Intersessional Decisions

	Country/Title	IE	Document Ref	Project	Fee	NIE	RIE	MIE	IE fee %	Set-aside Funds	Decision	Date
<b>1. Projects and Programmes</b>												
	Guatemala	UNDP	AFB/PPRC.10/12	5,000,000	425,000			5,425,000	8.5%	5,425,000	Approved	19 Sep 2013
	Uzbekistan	UNDP	AFB/PPRC.11/8	4,990,878	424,225			5,415,103	8.5%	5,415,103	Approved	20 Feb 2014
	Cuba	UNDP	AFB/PPRC.10/10	5,592,000	475,320			6,067,320	8.5%	6,067,320	Approved	20 Feb 2014
	Seychelles	UNDP	AFB/PPRC.10/15	5,950,000	505,750			6,455,750	8.5%	6,455,750	Approved	20 Feb 2014
	Myanmar	UNDP	AFB/PPRC.10/14	7,289,425	619,601			7,909,026	8.5%	7,909,026	Approved	27 Feb 2014
	Fiji	UNDP	AFB/PPRC.14-15/2	5,280,000	448,800			5,728,800	8.5%		Not approved	15 Jul 2014
	Mauritania	WMO	AFB/PPRC.14-15/3	1,990,764	169,216			2,159,980	8.5%		Not approved	15 Jul 2014
	<b>Subtotal</b>			<b>36,093,067</b>	<b>3,067,912</b>	<b>0</b>	<b>0</b>	<b>39,160,979</b>	<b>8.5%</b>	<b>31,272,199</b>		

## Annex VI

[English only]

### **Views of the Adaptation Fund Board on the matters included in the terms of reference for the second review of the Adaptation Fund**

1. With reference to decision 1/CMP.9 inviting the Adaptation Fund Board to provide its views on the second review of the Adaptation Fund, based on the terms of reference annexed to decision 2/CMP.9, the Board wishes to put forward the following submission.

2. In just a few short years, the Adaptation Fund has built a focused, effective and transparent climate adaptation financing instrument that directly aids the most vulnerable communities in developing countries. It is the only climate adaptation fund that includes these vulnerable communities as a strategic priority. In addition to pioneering direct access to funding, the Adaptation Fund is seeing preliminary results from its project portfolio, including allocating USD 265 million specifically towards measures that increase ecosystem and human resilience to climate change and variability-induced stress, and increase adaptive capacity within relevant development and natural resource sectors. Examples of work in these areas include restoration of ecosystem services, development of early warning systems to enable households to respond to disaster risks, diversified livelihoods for vulnerable farmers, investments in coastal protection infrastructure and increased access to irrigation and water production schemes.<sup>1</sup>

3. The Board has worked to keep the Adaptation Fund innovative and improve its systems, processes and effectiveness. As the Adaptation Fund has matured, the Board has reduced its meetings from four times per year to twice per year, undertaking a greater portion of its work and decisions intersessionally. The Board has also worked to build more partnerships, including at its twenty-fourth meeting (October 2014), agreeing to partner with the Climate Technology Centre and Network to link technical assistance with project financing from the Adaptation Fund. In addition, the Board launched a pilot programme on regional projects, not to exceed USD 30 million, to enable a greater number of partnerships among regional, multilateral and national implementing entities and other national institutions, including engaging other bodies under the Convention.

4. The Board launched a readiness programme, based on feedback from countries and the Adaptation Fund's experience with the accreditation process, that promotes lessons learned and exchange of best practices with regard to the full climate financing cycle, from accreditation to project design, proposal and implementation. Through this, the Adaptation Fund has established an engaged network of direct access practitioners, including civil society, that has fostered dialogue and greater collaboration, and contributed to increased coherence and streamlined approaches to climate finance readiness.<sup>2</sup>

5. The recent developments in the carbon market have resulted in the Adaptation Fund's primary revenue streams being significantly diminished.<sup>3</sup> In the light of the growing demand for support, which exceeds the present resources available and which is reflected in the pipeline of projects awaiting support, the Board has discussed, in its resource

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<sup>1</sup> See infographic at <<https://adaptation-fund.org/content/adaptation-fund-infographic>>. Also see Adaptation Fund Board document AFB/EFC.15/3.

<sup>2</sup> See details at <<https://adaptation-fund.org/node/3944>>.

<sup>3</sup> See Adaptation Fund Board document AFB/EFC.15/6.

mobilization task force, the need to generate additional revenue to continue the Adaptation Fund's critical climate adaptation work in the most vulnerable developing countries and explore various options. The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) may wish to consider and provide further guidance to the Adaptation Fund on resource mobilization.

6. During the past year the Board has, through its secretariat, engaged with other climate funds, including the Global Environment Facility, the Green Climate Fund (GCF) and the Climate Investment Funds, both in terms of sharing lessons from the Adaptation Fund and collaborating through the Adaptation Fund's readiness programme. It will continue this engagement, including with other funds and the private sector as well as with other financing institutions at the regional level. The CMP may wish to provide guidance on the Adaptation Fund's institutional linkages with the GCF.

7. Finally, the Adaptation Fund Board secretariat undertakes portfolio monitoring field visits to projects under implementation.<sup>4</sup> The Board would like to extend an invitation to interested Parties and stakeholders who may wish to join one of the Adaptation Fund's field visits to witness at first-hand the results on the ground of projects being implemented with Adaptation Fund support.

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<sup>4</sup> Lessons learned from these visits are reflected in Adaptation Fund Board documents AFB/EFC.15/4/Rev.1, AFB/EFC.14/4 and AFB/EFC.10/5.