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气候变化框架公约

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作为《京都议定书》缔约方会议的
《公约》缔约方会议
第十二届会议
2016年11月7日至18日，马拉喀什
临时议程项目 X

适应基金董事会的报告

适应基金董事会主席的说明

内容提要

本报告根据第 1/CMP.3 号决定编写，该决定请适应基金董事会向作为《京都议定书》缔约方会议的《公约》缔约方会议(CMP)的每届会议报告其活动情况。本报告所涉时期为 2015 年 8 月 1 日至 2016 年 6 月 30 日。董事会主席将向 CMP 12 口头报告 2016 年 7 月 1 日至 2016 年 10 月 31 日开展的活动。本报告介绍适应基金方面取得的进展，特别是 CMP 委派的各项任务的执行情况，并酌情提出建议 CMP 采取的行动。本报告除其他外，载有一份供 CMP 按照第 1/CMP.3 号决定、第 2/CMP.10 号决定第 8 段以及第 1/CMP.11 号决定第 8 和第 9 段审议的决定草案，以及提请 CMP 注意的有关适应基金董事会所作决定和所采取行动的资料。

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一. 引言

A. 任务

1. 《公约》缔约方会议(COP)第七届会议商定设立适应基金(下称“基金”)。¹ 作为《京都议定书》缔约方会议的《公约》缔约方会议(CMP)第三届会议决定, 适应基金的经营实体为适应基金董事会(下称“董事会”), 配备秘书处和一名临时受托管理人(下称“受托管理人”)为其提供服务。²

2. CMP 在第 1/CMP.3 号决定中请董事会向 CMP 的每届会议报告其活动情况。CMP 还请全球环境基金(环境基金)向董事会提供秘书处服务, 并请国际复兴开发银行(下称“世界银行”)担任基金受托管理人, 这两项均为暂行安排。

B. 本说明的范围

3. 本报告介绍基金取得的进展, 特别是 CMP 委派的各项任务的执行情况, 并酌情提出建议 CMP 采取的行动。除非另有说明, 本报告所涉时期为 2015 年 8 月 1 日至 2016 年 6 月 30 日。

C. 供作为《京都议定书》缔约方会议的《公约》缔约方会议第十二届会议采取行动的提议

4. CMP 不妨注意本报告所载的资料, 并考虑通过一项关于建议写入供 CMP 12 审议通过的适应基金董事会报告的有关决定的要素的决定草案(见附件一), 其内容包括:

(a) 延长暂行机构安排, 继续由环境基金担任董事会的临时秘书处, 为期三年, 从 2017 年 5 月 30 日至 2020 年 5 月 30 日;

(b) 修正经修正和重订的世界银行作为基金临时受托管理人提供服务的条款和条件, 将受托管理人的服务期限延长三年, 从 2017 年 5 月 30 日至 2020 年 5 月 30 日;

(c) 除第 1/CMP.11 号决定第 8 和第 9 段所述资料之外, 将转交 COP 22 (2016 年 11 月)的其他有关基金可向《巴黎协定》提供的增加值的资料。

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

¹ 第 10/CP.7 号决定。

² 第 1/CMP.3 号决定, 第 3 段。

(a) 报告所述期间，认证了 4 家可直接从基金获取资源的国家执行实体，对 1 家的认证工作采用了简化方法，还认证了 2 家区域执行实体。截至本报告提交时，已认证的执行实体总数达到：国家执行实体 24 家，区域执行实体 6 家，多边执行实体 12 家。尤其是，有 4 家来自最不发达国家和 6 家来自小岛屿发展中国家的国家执行实体得到了认证。基金的 42 家认证执行实体中，9 家得到了重新认证：2 家国家执行实体、1 家区域执行实体和 6 家多边执行实体。

(b) 基金信托基金的累计收入已达到 5.469 亿美元，其中 1.966 亿美元来自核证减排量货币化，3.448 亿美元来自额外捐款，还有 560 万美元来自信托基金余额的投资收入(截至 2016 年 6 月 30 日)；

(c) 累计批准项目和方案资金 3.385 亿美元(截至 2016 年 6 月 30 日)；

(d) 将直接获取气候融资准备方案体制化，成为基金业务的一项永久组成部分，并批准了 242,347 美元对几内亚、马拉维、马里、塞拉利昂和津巴布韦的南南合作拨款，还批准了 118,000 美元对贝宁、哥斯达黎加、密克罗尼西亚联邦、巴拿马、塞内加尔和南非的技术援助拨款；

(e) 核可了区域项目和方案试点工程之下的初步设想和预先设想；

(f) 批准了基金的性别政策和行动计划；

(g) 继续讨论基金与绿色气候基金之间的联系；

(h) 截至 2016 年 6 月 30 日，可用于新批准用资项目的资金达 1.686 亿美元；

(i) 批准了执行实体提交的 6 个项目/方案提议，总额 3,680 万美元，其中 4 项由智利、印度(2 项提议)和秘鲁的国家执行实体提交，总额 1,920 万美元。另 2 项批准的提议由区域执行实体提交，总额 1,760 万美元。

(j) 报告所述期间从德国、意大利和比利时瓦隆大区收到捐款 5,980 万美元，包括联合国基金会移交的个人网上捐款 152.8 万美元；

(k) 截至 2016 年 6 月 30 日，共有 1,780 万美元的认捐额没有兑现；

(l) 若《巴黎协定》提前生效，则第 1/CP.21 号决定第 59 和第 60 段以及第 1/CMP.11 号决定第 8 和第 9 段所述的时间表可能会不一致。

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，均在位于德国波恩的《联合国防治荒漠化公约》秘书处所在地举行。议程和议程说明(包括议程项目的背景文件)以及会议的详细报告可查阅基金网站。³

7. 以下各节介绍董事会在报告所述期间开展的主要工作。

选举适应基金董事会主席和副主席

8. 按照第 1/CMP.3 号决定第 13 段，董事会在第 27 次会议上一致选举 Naresh Sharma 先生(尼泊尔，最不发达国家)为董事会主席。董事会在第 26 次会议上选举 Michael Jan Hendrik Kracht 先生(德国，西欧和其他国家)为副主席。

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。在董事中：David Kaluba 先生(赞比亚，非洲国家)接替了 Ezzat Lewis Hannalla Agaiby 先生(埃及)；Mirza Shawkat Ali 先生(孟加拉国，亚洲-太平洋国家)接替了 Nauman Bashir Bhatti 先生(巴基斯坦)；Aram Ter-Zakaryan 先生(亚美尼亚，东欧国家)接替了 Gabriela Popescu 女士(罗马尼亚)；Monika Antosik 女士(波兰，东欧国家)填补了 Laura Dzelzyte Hanning Scarborough 女士(立陶宛)辞职留下的空缺；Lucas di Pietro Paolo 先生(阿根廷，拉丁美洲和加勒比国家)接替了 Philip Weech 先生(巴哈马)；Antonio Navarra 先生(意大利，西欧和其他国家)填补了 Su-Lin Garbett-Shiels 女士(大不列颠及北爱尔兰联合王国)留下的空缺；Naresh Sharma 先生(尼泊尔，最不发达国家)接替了 Mamadou Honadia 先生(布基纳法索)。候补董事中：Admasu Nebebe 先生(埃塞俄比亚，非洲国家)接替了 Zaheer Fakir 先生(南非)；Naser Moghaddasi 先生(伊朗伊斯兰共和国，亚洲-太平洋国家)接替了 W.L. Sumathipala 先生(斯里兰卡)；Ardiana Sokoli 女士(阿尔巴尼亚，东欧国家)接替了 Aram Ter-Zakaryan 先生；Philip Weech 先生(巴哈马，拉丁美洲和加勒比国家)接替了 Jeffery Spooner 先生(牙买加)；Aida Velasco Munguira 女士(西班牙，《公约》附件一所列缔约方(附件一缔约方))接替了辞职的 Hugo Potti Manjavacas 先生(西班牙)；丁丁女士(中国，非《公约》附件一所列缔约方(非附件一缔约方))接替了辞职的黄问航女士(中国)；Chebet Maikut 先生(乌干达，最不发达国家)接替了 Evans Njewa 先生(马拉维)，后者在接替 Adao Soares Barbosa 先生(东帝汶)之后辞职。

10. 董事会全体董事和候补董事名单见附件二。

³ <<http://www.adaptation-fund.org>>。

适应基金董事会 2016 年会议日历

11. 董事会通过了第 27 和第 28 次会议的 2016 年会议日历(见表 1)。项目和方案审查委员会(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。

表 1

适应基金董事会 2016 年会议日历

日期	地点
第 27 次会议, 3 月 17 日和 18 日	德国波恩
第 28 次会议, 10 月 6 日和 7 日	德国波恩

适应基金信托基金的资源情况

12. 截至 2016 年 6 月 30 日, 受托管理人总计售出 2,590 万基金核证减排量, 均价 7.58 美元, 收入 1.966 亿美元。2016 年 6 月 30 日之前的 12 个月内, 核证减排量货币化收入达 230 万美元。截至 2016 年 6 月 30 日, 按照董事会通过的核证减排量货币化准则, 仍有 800 万核证减排量可供出售。迄今为止, 董事会已指示受托管理人向各执行实体转账共 1.698 亿美元。

13. 截至 2016 年 6 月 30 日, 可用于新批准用资项目的资金达 1.686 亿美元;

适应基金董事会的工作计划

14. 董事会在第 27 次会议上通过了 2016 年 7 月 1 日至 2017 年 6 月 30 日财政年度的工作计划。⁴

适应基金董事会、秘书处和受托管理人的预算

15. 董事会在第 27 次会议上审议并批准了用以支持董事会及其秘书处和受托管理人工作至 2017 年 6 月 30 日的资源(见附件三)。⁵ 截至 2016 年 6 月 30 日, 董事会、秘书处和受托管理人 2017 财政年度所需行政预算核定概算为 5,191,837 美元, 比上年增加了 10%。增加的原因是: (1) 为了确保向董事会提供适足的秘书处服务, 需要聘用一名临时人员担任业务助理以及将两个不可续约的职位转为 E 级合约, 因而增加了人事费用; (2) 联合国波恩办公区开始征收一般会议室使用费, 因而增加了董事会会议的费用; (3) 秘书处办公室不可避免地迁往新楼, 导致 2016 财政年度办公场地费用上升, 但由于新楼租金较低, 2017 财政年度办公场地的费用将实现净下降。

⁴ 适应基金董事会第 B.27/33 号决定。

⁵ 适应基金董事会第 B.27/34 号决定。

执行实体的认证

16. 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根据以上第 5(c)段通过的标准, 以获得适应基金的资金”。

17. 董事会认证小组在报告期所述期间举行了 3 次会议。董事会选举 Yuka Greiler 女士(瑞士, 西欧和其他国家)为小组主席, Philip Weech 先生(巴哈马, 拉丁美洲和加勒比国家)为副主席。认证小组由这两名董事加上四名独立专家组成。

18. 按照上文第 16 段所述决定, 董事会在报告所述期间审议了认证小组的建议, 新批准了对 3 家国家执行实体的认证, 即埃塞俄比亚财务和经济发展部、多米尼加共和国的多米尼加一体发展研究所以及印度尼西亚的印尼治理改革伙伴关系, 董事会还新批准了对 2 家区域执行实体的认证, 即加勒比开发银行和中美洲经济一体化银行。报告所述期间, 已认证的执行实体总数达到: 国家执行实体 23 家, 区域执行实体 6 家, 多边执行实体 12 家。尤其是, 有 4 家来自最不发达国家和 5 家来自小岛屿发展中国家的国家执行实体得到了认证。17 家来自最不发达国家和 5 家来自小岛屿发展中国家的国家执行实体已进入认证程序。基金的 41 家认证执行实体中, 9 家得到了重新认证:⁶ 2 家国家执行实体、1 家区域执行实体和 6 家多边执行实体。经认证的执行实体名单载于附件四。

适应基金董事会各委员会

19. 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两次会议, 均在各次董事会会议之前两天举行。Yerima Peter Tarfa 先生(尼日利亚, 非洲国家)当选为审查委主席, Monika Antosik 女士(波兰, 东欧国家)当选为审查委副主席。Tove Zetterström-Goldmann 女士(瑞典, 附件一缔约方)当选为道德财务委主席, Patience Dampsey 女士(加纳, 非附件一缔约方)当选为道德财务委副主席。

20. 道德财务委审议了下列事项, 并向董事会提出了建议: 性别政策和行动计划的批准; 联合国开发计划署收费的直接项目服务; 申诉处理机制; 年度报告; 项目业绩报告; 对基金总体的评估; 投资收入; 董事会、秘书处和受托管理人的预算和工作计划。

21. 截至本报告期末, 审查委在两次会议和一次闭会审议期间审议了 13 个单一国家项目设想和 17 个单一国家项目的详尽提议, 涉及 21 个不同的拟议项目。审查委还在区域项目和方案试点工程之下首次审议了区域(多国)项目的 13 个预先

⁶ 重新获得认证的执行实体是: 亚洲开发银行、生态后续行动中心、国际农业发展基金、牙买加规划局、联合国开发计划署、联合国环境规划署、联合国人类住区规划署、世界银行和世界粮食计划署。

设想和 2 个设想，涉及 10 个不同的拟议项目。审查委还讨论了与继续呼吁在区域项目和方案试点工程之下提交提议有关的问题并向董事会传达了讨论结果，以及对董事会已批准项目和方案提议中气候适应论证的分析。

适应项目和方案的供资决定

22. CMP 在第 1/CMP.4 号决定第 10 段中，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”。

23. 根据上文第 22 段所述规定，董事会在报告所述期间举行的董事会会议上和闭会期间批准了 6 项单一国家申请经费的提议，总额达 3,690 万美元(见附件五)。报告所述期间，批准的提议金额达到 1,920 万美元。截至本报告期末，建议批准的提议金额达 1,770 万美元，等待董事会在闭会期间通过为期两周的不反对进程批准，这一进程最晚将于 2016 年 7 月 5 日完成。

24. 报告期所述期间批准供资或建议批准供资的提议来自以下缔约方：智利、印度(两项提议)、尼日尔、秘鲁和乌干达。应当指出，尼日尔和乌干达的项目已被推荐在闭会期间予以批准，这两个项目是首批通过区域执行实体提交的此类项目。其他项目均由国家执行实体执行。

25. 除上文第 24 段所载供资决定外，董事会还在报告所述期间举行的董事会会议上和闭会期间核可了安提瓜和巴布达、几内亚比绍、印度、老挝人民民主共和国、巴拿马、秘鲁和塞内加尔的 7 个项目设想，总金额 3,590 万美元，并在国家执行实体提交的项目中，批准了 4 个项目的拟定拨款，总金额 118,400 美元。报告所述期间，董事会核可了 6 个设想，总金额 2,590 万美元。截至本报告提交时，尚有另一个金额 1,000 万美元的设想已被推荐核可，等待委员会在闭会期间通过为期两周的不反对进程作出决定，这一进程最晚将于 2016 年 7 月 5 日完成。

26. 在区域项目和方案试点工程下，已经核可 1 个设想，金额为 500 万美元，是布隆迪、肯尼亚、卢旺达、乌干达和坦桑尼亚联合共和国的一项区域项目。此外，还核可了 8 个预先设想，总金额 6,180 万美元，按照计划，这些项目将惠及非洲、亚洲以及拉丁美洲和加勒比的 24 个国家。董事会还对已核可的预先设想和设想批准了 18 万美元的项目拟定拨款。

27. 经批准的详尽提议和经核可的项目设想涉及以下部门：农业、减灾、粮食安全、海岸管理、农村发展和水资源管理(见附件八图 5)。

28. CMP 11 请董事会在向 CMP 提交的报告中提供关于基金投资组合状况(包括处于不同开发阶段的项目)的进一步信息。⁷ 所要求的信息载于附件七(表 2-6)。

⁷ 第 1/CMP.11 号决定，第 11 段。

29. 应民间社会和非政府组织的建议和要求，所有项目/方案提议均原文张贴在基金网站上，感兴趣的利益攸关方可在网上就提议发表意见。可通过向秘书处发送电子信息的形式，向董事会提交有关提议的意见，⁸ 这些意见张贴网站上对应项目的页面上，也会包括在提交审查委的项目文件之中。

延长暂行机构安排

30. CMP 10 决定将与秘书处和受托管理人的暂行安排延长至 2017 年 6 月。⁹

31. 按照上文第 30 段所述决定，向董事会提供秘书处服务的暂行安排将于 CMP 12 后很快到期。因此，董事会请 CMP 通过附件一中所提议的决定，将环境基金向董事会提供秘书处服务的安排延长至 2020 年 5 月 30 日。

32. CMP 作出上文第 30 段所述决定后，世界银行执行董事作为基金的受托管理人决定第三次延长世界银行作为临时受托管理人的任务(至 2017 年 5 月 30 日)，并授权世界银行在市场条件和其他条件允许时将额外的碳计入量货币化。这一任务将于 CMP 12 后很快到期，各缔约方将在本届会议审议其延长问题。

33. 因此，董事会请 CMP 审议并通过一项包括附件一决定草案案文中所载要素的决定。这一修正将经 CMP 通过并随后经世界银行作为受托管理人同意后生效。

对项目组合的监测

34. 报告所述期间，有 9 个项目开始执行，有 3 个项目得到完成，正在执行的项目共有 41 个。整个报告所述期间，向各项目拨款总计 2,480 万美元，使基金的拨款总额达到 1.7126 亿美元，受惠项目 50 个。迄今为止，非洲国家获得的拨款最多，16 个项目共获得拨款 1.169 亿美元(占 35%)，紧随其后的是亚洲—太平洋国家，21 个项目共获得拨款 1.137 亿美元(占 34%)，以及拉丁美洲和加勒比国家，14 个项目共获得拨款 1.013 亿美元(占 30%) (见附件八图 4)。按部门计算，农业部门适应项目获得的拨款最多，获批资金 6,200 万美元(占 18%)，紧随其后的是粮食安全部门，获批资金 5,840 万美元(占 17%) (见附件八图 5)。董事会将在第 28 次会议上审议基金第六次年度业绩报告，对应的时期是 2015 年 7 月 1 日至 2016 年 6 月 30 日。

35. 基金还跟踪记录按战略成果框架下基金级成果分列的拟议拨款额。占拟议拨款资金比重最大的是战略成果框架成果五——“提高生态系统对气候变化以及多变性所致压力的抗御能力”(7,770 万美元，27.5%)，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”(7,490 万美元，26.5%)。

⁸ <<https://www.adaptation-fund.org/contact/>>。

⁹ 第 2/CMP.10 号决定，第 8 段。

与《公约》之下各机构的业务联系和关系

36. CMP 10 请董事会酌情考虑在适应基金与《公约》组成机构之间建立业务联系的备选办法，同时兼顾到这些机构各自的授权任务。¹⁰

37. 董事会已采取行动，强化与《公约》之下其他机构之间的联系，例如绿色气候基金、适应委员会、融资问题常设委员会以及气候技术中心和网络。秘书处作为观察员参加了绿色气候基金董事会第 12 和第 13 次会议以及环境基金理事会第 50 次会议。秘书处还参加了适应委员会第 9 次会议以及该委员会举办的适应论坛。COP 20 请融资问题常设委员会审议基金与《公约》之下其他机构未来可能的体制联系和关系的有关问题。秘书处与《气候公约》秘书处推动融资问题常设委员会该议程项目的联合召集人与董事会代表在德班加强行动平台问题特设工作组第二届会议期间举行了磋商，特设工作组第二届会议于 2015 年 8 月 31 日 9 月 4 日在波恩举行。

38. 秘书处还作为小组成员参加了附属机构第四十四届会议期间举办的德班能力建设论坛第 5 次会议：“提高《巴黎协定》执行能力”（2016 年 5 月）。

39. 秘书处是为董事会提供秘书处服务的专职官员团队，设在环境基金秘书处内，负责促进信息和知识交流，并在需要时提供相互支助。

40. 绿色气候基金秘书处和环境基金秘书处已经参加了秘书处举办的许多准备方案全球和区域研讨会。

41. 2015 年，董事会考虑在基金与绿色气候基金之间建立业务联系，以便为适应活动输送资源，并查明了两种备选办法：

- (a) 争取被认证为绿色气候基金的金融中介；
- (b) 与绿色气候基金达成谅解备忘录或专门协定。

42. 董事会还考虑了如何通过具体活动加强与绿色气候基金的互补性。董事会讨论了这些备选办法之后，请主席和副主席与融资问题常设委员会进行磋商、开始与绿色气候基金董事会就两个基金之间的潜在联系开展对话，并请绿色气候基金董事会尽快审议两个基金之间的互补性问题。董事会还请秘书处酌情与受托管理人磋商，以便进一步从法律、业务和财务角度分析与绿色气候基金的各项联系的影响。最后，董事会请秘书处与绿色气候基金秘书处讨论启动合作的具体工作，包括但不限于以下领域：准备方面的支持，包括在区域内举办讲习班或研讨会等联合活动；成果管理制；认证；项目/方案确认。目前正在进行磋商。

43. 董事会主席依照董事会的任务，在附属机构第四十四届会议期间与绿色气候基金的联合主席之一进行了会面。他们就基金之间的互补性以及基金对绿色气候基金的增加值问题交换了意见。绿色气候基金董事会在第 13 次会议上决定，请

¹⁰ 第 2/CMP.10 号决定，第 6 段。

其联合主席在第 15 次会议上与各气候融资交付渠道开展年度对话，并从该次会议开始，每年在绿色气候基金在大韩民国松岛总部举行董事会会议期间继续举行这种对话，并与其他基金举行年度对话，以提高活动层面的互补性。¹¹

区域项目和方案试点工程

44. 董事会在第 25 次会议上批准了区域项目和方案试点工程(下称“试点工程”)，资金上限为 3,000 万美元。¹² 试点工程的总体目标是试行不同的区域方针，在脆弱的发展中国家执行具体的气候变化适应项目，并总结经验教训。这些经验教训有助于董事会今后就是否在适应基金业务中将这种模式常规化作出决定。

45. 试点工程包含以下重点专题领域：

- (a) 粮食安全；
- (b) 减灾和预警系统；
- (c) 跨界水管理。

46. 除这三个领域外，作为跨领域的第四个专题，该试点工程力求支持那些在适应融资方面有所创新以便产生变革性影响的活动。该试点工程鼓励多边执行实体和区域执行实体开发适应气候变化的创新解决办法，包括新方针、技术和机制。提议必须介绍项目/方案的创新之处。该试点工程不属于多边执行实体 50%上限和 1,000 万美元国家上限的考虑范围。¹³

47. 提议征集从 2015 年 5 月 5 日开始。正如所预期的，各方对该工程兴致盎然，报告所述期间，处于预先设想、设想和详尽阶段的提议的金额达 1.88 亿美元。董事会在第 27 次会议上讨论了该试点方案的未来，讨论过程中考虑了有关经验、可用资源有限的情况以及其他因素，例如持支持态度的国家对该工程的期望、该工程的范围、区域方案的定义以及无意中鼓励申请方出于融资窗口技术原因而将多个单一国家项目捆绑成区域方案的风险。董事会随后决定，继续在试点工程下审议区域提议，并在第 28 次会议上再次审议该事项，审议工作将以秘书处将拟订的提案为基础，并考虑审查委的讨论情况，包括各提议的优先次序、项目拟定支助以及为没有现成资金可用的项目建立管道等考虑因素。

¹¹ 绿色气候基金第 B.13/12 号决定。

¹² 适应基金董事会第 B.25/28 号决定。

¹³ 适应基金董事会 AFB/B.25/6/Rev.2 号文件。

气候融资准备方案

48. 报告所述期间，董事会完成了准备方案第二阶段的执行工作，预算为 56.5 万美元。¹⁴ 第二阶段将进一步增加和扩大执行实体在第一阶段取得的福利和增益。

49. 报告所述期间，开展了以下活动：¹⁵

- (a) 第二届国家执行实体研讨会 (2015 年 7 月 28 日至 30 日，华盛顿特区)；
- (b) 与海因里希·伯尔基金会和西非国家经济共同体合作举办的西非国家气候融资准备讲习班 (2015 年 9 月 22 日至 24 日，阿布贾)；
- (c) 关于利害关系方磋商专题的首届气候融资网络研讨会(2015 年 11 月 19 日)；
- (d) 关于知识管理专题的第二届气候融资网络研讨会 (2016 年 4 月 28 日)；
- (e) 与法语国家发展研究所和摩洛哥气候变化能力中心合作举办的非洲法语国家气候融资准备讲习班 (2016 年 5 月 3 日至 5 日，摩洛哥卡萨布兰卡)；
- (f) 与基金的区域执行机构之一——中美洲经济一体化银行合作举办的拉丁美洲和加勒比国家气候融资准备讲习班(2016 年 6 月 7 日至 9 日，特古西加尔巴)；
- (g) 同气候与发展知识网络协作，支持和维护关于直接获取资金的知识交流平台“climatefinanceready.org”，以传播有关直接获取资金的内容以及国家执行实体的经历；
- (h) 批准了 5 项南南合作拨款，用于支持发展中国家确定适于担任国家执行实体候选机构的国家机构，并编写和提交认证申请，在几内亚、马里和塞拉利昂，由塞内加尔的国家执行实体——生态后续行动中心执行；在马拉维和津巴布韦，由肯尼亚的国家执行实体——国家环境管理局执行；
- (i) 批准了 6 项技术援助拨款，用于帮助国家执行实体加强其处理和管理环境和社会风险的能力，这些国家执行实体位于塞内加尔(生态后续行动中心)、贝宁(国家环境基金)、巴拿马(自然基金会)、哥斯达黎加(合作基金)、密克罗尼西亚联邦(密克罗尼西亚保护信托)和南非(南非国家生物多样性研究所)。

50. 董事会在第 27 次会议上决定将准备方案体制化，并将之纳入基金的工作方案，2017 财政年度的预算为 616,500 美元。¹⁶ 该方案目标保持不变，维持董事会

¹⁴ 适应基金董事会第 B.25/27 号决定。

¹⁵ <<https://www.adaptation-fund.org/readiness/news-seminars/>>。

¹⁶ 适应基金董事会第 B.27/38 号决定。

在第 21 次会议上决定的目标：增加申请认证的国家实体的数量，并增加向董事会提交的高质量提议的数量。¹⁷

51. 2017 财政年度的执行工作于 2016 年 7 月 1 日开始，包括提供小额额外拨款，用于支持南南合作、项目拟定援助以及执行基金环境和社会政策及性别政策的技术援助。¹⁸

52. CMP 11 认可并肯定直接获取气候融资准备方案的工作，包括准备方案第二阶段的批准和南南合作赠款的批准，¹⁹ 以及秘书处为组织国家执行实体研讨会所作的努力²⁰ 准备方案自 2014 年 5 月启动以来，在实现其两项主要目标即增加国家执行实体数量和增加执行实体提交的优质项目和方案数量方面，已经推进了其工作。2014 年 5 月，已获认证的国家执行实体数量为 13 家，截至 2016 年 7 月，已增加至 24 家；其中 4 家是最不发达国家的实体，6 家是小岛屿发展中国家的实体。同样，执行实体每年提交的项目和方案提议数量也增加了。基金已将其气候融资准备小额拨款组合的金额从 2014 年 12 月的 20 万美元增加至 2016 年 7 月的 59 万美元，有迹象表明，随着国家执行实体需求的增长，这一金额将继续增加。4 个最不发达国家收到了南南合作拨款，2 个最不发达国家和 1 个小岛屿发展中国家收到了技术援助拨款。此外，上文提到的讲习班有针对性地向 28 个最不发达国家和 19 个小岛屿发展中国家提供认证支助。另外，基金 2017 财政年度的工作计划包括一次气候融资准备讲习班，这一单项活动将有针对性地向全球所有的最不发达国家提供认证和项目支助。

对适应基金的总体评估

53. 报告所述期间，基金完成了独立总体评估的第一阶段(流程评估)，²¹ 评估认为基金是一个有效的学习型机构。评估着重指出，基金率先使用超过 6 年的模式(直接供资)是气候融资领域的一项重大创新，符合各国的需求，这种模式可成为一种高度相关、有效和高效的挑战适应融资的手段。第二，评估扼要指出，基金的设计和业务流程均具有较高的效率，基本上符合《气候公约》的指南和各国的适应优先事项，其业务流程的演变也是适当的，反映出基金致力于不断改善其业务。最后但同样重要的是，评估认为，基金的资源分配流程是高效的。董事会批准了对评估第一阶段的管理层答复，²² 答复由董事会主席起草。

¹⁷ 适应基金董事会第 B.21/28 号决定。

¹⁸ 适应基金董事会 AFB/B.27/7 号文件。

¹⁹ 第 1/CMP.11 号决定，第 4(a)段。

²⁰ 第 1/CMP.11 号决定，第 10 段。

²¹ <<https://www.adaptation-fund.org/document/independent-evaluation-of-the-adaptation-fund-first-phase-evaluation-report/>>。

²² <<https://www.adaptation-fund.org/document/approval-of-the-afb-chair-management-response-to-the-evaluation-of-the-fund-stage-1/>>。

54. 董事会讨论了对基金评估第二阶段(评价项目/方案)的备选办法, 并设立了一个评估工作队, 负责拟订职权范围以及征集评估第二阶段提议的请求, 在此过程中通过基金的非政府组织网络征求民间社会组织的意见, 并与独立评估组织(包括环境基金独立评估办公室)合作。董事会还请秘书处进一步调查独立审评小组的往届成员是否可以再次任职, 并继续与环境基金独立评估办公室开展讨论, 将对基金评估第二阶段的更新的备选办法提交道德财务委第 19 次会议。

55. 董事会请秘书处立足于之前与基金评估框架有关的工作, 拟订向基金提供评估职能的备选办法, 供道德财务委第 19 次会议审议。

宣传工作

56. 报告所述期间, 董事会已加大努力传播与基金工作有关的新闻和介绍, 编写了 23 条有关基金方案和活动新闻稿, 2 份全彩页(关于蒙古和乌拉圭的多语种)实地项目介绍。此外, 在基金的 YouTube 频道²³上新增了 20 条视频, 涉及基金的各个项目、国家执行实体、准备和其他知名活动。优化了基金的网站和社交媒体, 访问量和关注人数均创新高。2015 年 8 月, 基金实施了一项更以内容为本、更新更频繁和更有针对性的网络和社交媒体外联战略, 此后基金推特账号的关注人数增加了 1,700 人。还制作并分发了若干新的外联材料、手册和传单, 介绍基金的事件、活动和成果、其直接供资模式、国家项目实例、服务的气候部门和受益方以及气候融资准备方案。董事会还改进了网站以改善用户体验, 包括建立了新闻、活动和项目版面以及广受好评的 COP 专页, 介绍基金的所有活动、资料、与 COP 21 有关的成果以及有待采取的后续步骤。

57. 董事会秘书处设计并完成了全球沿岸和分水岭适应气候变化影响摄影比赛, 该赛事吸引了 127 幅参赛作品, 拍摄了全球各地的国家执行实体、多边执行实体、各国政府、私营部门和广大公众的适应努力, 比赛结果公布在网络、社交媒体以及基金在华盛顿特区主办的全球准备活动上。秘书处还更新了照片分享网站 Flickr 上的页面, 增添了若干新的国家项目相册以及摄影比赛的获奖作品。秘书处还增加了媒体外联努力, 进一步强调基金及其当前项目与工作的价值, 在各种媒体渠道实现了新闻报道植入, 例如: Devex、世界资源学会、汤森路透基金会、碳情播报、美国之音、法国国际广播电台、Eco 非政府组织业务通讯、《气候公约》气候变化演播室、全非新闻、非洲沿岸新闻、塞内加尔广播电视一台、加纳新闻、气候之路、哥伦比亚国家广播电台、洪都拉斯美洲广播电台、秘鲁 RPP 新闻台、智利新闻台和 Rancaguino 新闻、阿根廷的亲民广播电台、思潮新闻和潘帕斯电视台以及厄瓜多尔的墨丘利新闻和电讯报。还编写了多套有针对性的访谈要点和讲话稿, 为媒体访谈或高曝光度出镜作准备。秘书处扩大了电子传播范围和媒体列表, 并编写了突出介绍基金方案和活动的电子通讯和通告。秘书处还加强了与国家执行实体和其他伙伴的接触, 以相互推广产品和项目活动。

²³ <<https://www.youtube.com/user/AdaptationFund>>.

58. 董事会董事和秘书处参加了若干活动以宣传基金的经验，这些活动包括：对阿根廷(2015年11月2日至6日)、乌拉圭(2015年11月9日至13日)和蒙古(2016年6月13日至17日)项目场地的实地访问；COP 21和CMP 11(2015年11月30日至12月12日，巴黎)；绿色气候基金董事会第12和第13次会议；适应委员会第9次会议(2016年3月1日至3日，波恩)以及该委员会召开的适应论坛(2016年5月12日，荷兰鹿特丹)；世界资源学会与海外发展研究所联合举办的“投资我们期望的未来：气候变化和可持续发展融资”会议(2016年3月21日至23日，美利坚合众国塔里敦)；气候融资准备讲习班(2015年3月24日至26日，巴拿马城)；联合国欧洲经济委员会适应气候变化全球流域网络第3次会议(2016年4月6日和7日，瑞士日内瓦)；气候融资准备讲习班(2016年5月3日至5日，卡萨布兰卡)；2016年适应未来会议(2016年5月10日至13日，鹿特丹)；气候融资准备讲习班(2016年6月7日至9日，特古西加尔巴)；以及附属履行机构(履行机构)和附属科学技术咨询机构(科技咨询机构)第四十四届会议(2016年5月，波恩)。

59. 秘书处在大洋洲22峰会(2016年4月11日至13日，努美阿)以及气候与发展知识网络和秘鲁环境部举办的可盈利项目拟订南南学习交流会(2016年5月31日至6月3日，利马)上作了远程陈述。秘书处在COP 21上举办了全面的多媒体展示以大规模介绍其项目，并在COP 21、附属机构第四十四届会议和适应未来会议期间与来自国家执行实体、区域执行实体和多边执行实体的主旨发言者举行了引人注目的会外活动，以分享有关基金价值和项目成功的观点和实例。此外，秘书处于2015年11月和2016年4月举办了头两场全球国家执行实体网络研讨会，以分享全球各地在认证和项目拟订进程方面的经验教训，基金及其伙伴就利害关系方参与和项目知识分享等关键主题作了陈述。

60. 秘书处继续执行其气候融资准备方案的宣传和外联战略，并通过同气候与发展知识网络共同建立的微型网站“气候融资准备”(<http://www.climatefinanceready.org>)，继续发展与该组织的战略伙伴关系。秘书处正在更新2012年批准的基金知识管理战略，以及2016年至2018年行动计划。该项战略和行动计划将于2016年10月提交董事会第28次会议批准。

61. 秘书处更新和扩充了其在Twitter(推特)、Facebook(脸书)、YouTube和Flickr等主要社交媒体频道上的活动，并使用最新的多媒体工具增加受众和传播信息，除此之外，还在其网络中增加了LinkedIn(领英)这一新的社交媒体频道，借以进一步触及高层伙伴和气候变化界的利害关系方，并分享引领思想的事例和文章。

62. 秘书处继续完善其网站，编写有针对性、吸引人、便于用户查阅的文字和视频内容。使用频率和访问量均较过去有显著提高。例如，2015年10月至2016年2月，独立访客数增长了36%，主页浏览量几乎翻倍，用户人均页面浏览量大幅上升，跳出率极低，反映出网站有吸引力并能提供有益的信息，显示出访客会停留在网站页面上阅读内容。

与民间社会组织的对话

63. 董事会在第 12 次会议上启动了与民间社会组织的定期对话会议，以便听取这些组织的提议、获取对董事会议程上各项问题的反馈，并交流意见。这些对话会议是董事会议程的一部分。

三. 为帮助适应基金董事会执行其任务而提供的支持

64. CMP 在第 4/CMP.5 号决定第 9 段中鼓励《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，CMP 还在第 6/CMP.7 号决定第 5 段中继续鼓励附件一缔约方和国际组织提供资金。

65. 董事会在第 22 次会议上批准了一项筹资战略。董事会在 COP 21 和 CMP 11 以及履行机构和科技咨询机构第四十四届会议期间与捐款方举行了两次对话会议。计划在 COP 22 和 CMP 12 期间再举行一次会议。

66. 附件一缔约方及其所在区域在 COP 19 和 CMP 9 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 亿美元的第一个筹资目标，在 COP 19 和 CMP 9 之前已收到捐款 3,180 万美元，会议期间认捐额约合 7,220 万美元。报告所述期间，为达到筹资目标而认捐的金额已全部存入信托基金。

67. 董事会设定的第二个筹资目标是从 2014 年 1 月至 2015 年 12 月 31 日筹集 1.6 亿美元，附件一缔约方及其区域为实现这一目标已捐款 1.367 亿美元。仍有约合 1,770 万美元的认捐额未到位。董事会在第 27 次会议上决定设立新的筹资目标，即 2016 至 2017 年每年筹资 8,000 万美元，并决定更新筹资特别工作队的成员组成，以继续执行筹资战略。²⁴ 该工作队的成员有：Patience Dampney 女士(加纳，非附件一缔约方)、Fatuma Hussein 女士(肯尼亚，非附件一缔约方)、Michael Kracht 先生(德国，附件一缔约方)、Marc-Antoine Martin 先生(法国，西欧和其他国家)、Antonio Navarra 先生(意大利、法国，西欧和其他国家)、Lucas Di Pietro Paolo 先生(阿根廷，拉丁美洲和加勒比国家)、Aram Ter-Zakaryan 先生(亚美尼亚，东欧国家)和 Tove Zetterström-Goldmann 女士(瑞典，附件一缔约方)。Navarra 先生接替 Michael Jan Hendrik Kracht 先生任工作队联合协调员，另一名联合协调员继续由 Hussein 女士担任。

68. 报告所述期间，基金收到了以下政府的捐款：比利时(合 170 万美元)、德国(合 5,460 万美元)、意大利(合 220 万美元)以及比利时瓦隆大区(合 140 万美元)。

69. 董事会感谢德国、意大利和比利时瓦隆大区政府帮助基金达到 2014 至 2015 年筹资目标，感谢比利时和比利时瓦隆大区政府帮助基金达到 2012 至 2013 年筹

²⁴ 适应基金董事会第 B.27/36 号决定。

资目标。董事会肯定了法国担任 COP 21 和 CMP 11 主席期间对筹资工作的支持，还肯定了基金秘书处、受托管理人和《气候公约》秘书处的支持。

70. 基金捐款方完整名单及实际捐款额载于附件六。

71. 按照第 1/CMP.3 号决定第 18 段，基金秘书处的专职官员团队包括 7 名专业工作人员，即秘书处主管、2 名气候变化专家、2 名业务干事(认证和准备协调员)、1 名业务分析员(法务和认证)以及 1 名初级专业协理。还包括 1 名业务协理、2 名短期顾问(宣传和业务支持)以及 1 名短期临时人员²⁵ (准备支持)。正在招聘接替业务干事(目前长期休假)的人选。

四. 适应基金和《巴黎协定》

72. COP 在第 1/CP.21 号决定中认识到基金可根据 CMP 和作为《巴黎协定》缔约方会议的《公约》缔约方会议(CMA)的相关决定，为《协定》服务。²⁶ COP 还请 CMP 审议这一问题，并向 CMA 1 提出一项建议。²⁷ CMP 11 已启动这一进程，建议 CMA 1 审议基金可为《巴黎协定》服务的事宜。CMP 还请 COP 22 请《巴黎协定》特设工作组(APA)开展有关这一问题的必要筹备工作并向 CMP 转交一项建议，供其最迟在 CMP 15 上审议并通过。²⁸ 这些规定建立了考虑使基金成为《巴黎协定》的服务机构之一的路线图。

73. 董事会第 27 次会议在议程项目 13 “《联合国气候变化框架公约》缔约方会议第二十一届会议(COP 21)和作为《京都议定书》缔约方会议的《公约》缔约方会议第十一届会议(CMP 11)上产生的问题”下审议了这一事项。²⁹ 董事会就上述讨论所概述的进程的后续步骤问题与《气候公约》秘书处交换了意见。这些后续步骤涉及 COP 22 和 APA。有人提出，可否让 APA 将此事项纳入其议程，并在其首届会议第二期会议上开始对此事项进行讨论。³⁰ 因此，董事会主席和副主席请求在 2016 年 5 月 APA 1 期间或尽早与 APA 联合主席举行会议。

74. 董事会还希望提请 CMP 注意一个可能对第 1/CMP.11 号决定第 8 和第 9 段所述进程有潜在影响的问题。已签署《巴黎协定》的国家很多，因而该协定有可能在 2020 年之前生效，进而导致第 1/CMP.11 号决定第 8 和第 9 段所述的两项时间表出现不一致。若《巴黎协定》提前生效，则 CMA 1 可于 2017 年或 2018 年召开。若按照第 1/CMP.11 号决定第 9 段的规定，APA 有关基金服务《巴黎协定》

²⁵ 此处“临时人员”指实习生。

²⁶ 第 1/CP.21 号决定，第 59 段。

²⁷ 第 1/CP.21 号决定，第 60 段。

²⁸ 第 1/CMP.11 号决定，第 8 和第 9 段。

²⁹ 适应基金董事会 AFB/B.27/10/Rev.1 号文件，第 94-106 段。

³⁰ 适应基金董事会 AFB/B.27/10/Rev.1 号文件，第 96 段。

事宜的筹备工作、随后向 CMP 提出建议以及 CMP 对这一事项的审议工作均在 2019 年完成，则 CMA 1 也许无法按照第 1/CMP.11 号决定第 8 段和第 1/CP.21 号决定第 60 段审议基金服务《巴黎协定》的事宜。因此，董事会认为，CMP 应尽快按照 COP 第 1/CP.21 号决定第 60 段的请求提出一项建议，且不得晚于 2017 年，以便 CMA 1 能够审议这项建议。

75. 董事会还讨论了应将哪些问题纳入董事会提交 CMP 12 的报告，以便为有关基金服务《巴黎协定》事宜的讨论提供资料。董事会提出了以下事项：对基金的评估，包括第一阶段的成果以及第二阶段的启动；基金的收入状况；准备方案的情况，包括初步结果和能力建设成果；认证进程和为加强效力和效率所采取的步骤；请求指导如何向《巴黎协定》过渡；基金提供的比较优势；以及各基金之间的一致和协作问题。³¹ 为便于参考，其中一些事项已写入本报告附件一所载的决定草案增编，CMP 不妨考虑将其作为与审议第 1/CP.21 号决定第 59 和第 60 段之下问题有关的资料，转交 COP 22。

³¹ 适应基金董事会 AFB/B.27/10/Rev.1 号文件，第 103 段。

附件一

关于建议写入供作为《京都议定书》缔约方会议的《公约》
缔约方会议第十二届会议审议通过的适应基金董事会报告的
有关决定的要素的决定草案

[English only]

The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Recalling decisions 1/CMP.3 and 2/CMP.10, paragraph 8,

Also recalling decision 1/CMP.11, paragraphs 8 and 9,

1. *Decides* to extend to 30 May 2020 the interim arrangements with the secretariat of the Adaptation Fund Board and the trustee of the Adaptation Fund;
2. *Invites* the Conference of the Parties to the United Nations Framework Convention on Climate Change at its twenty-second session, when considering the invitation of decision 1/CMP.11, paragraph 9, to include the information on the added value of the Adaptation Fund for the operationalization of the Paris Agreement, as contained in the addendum.

Addendum

Added value of the Adaptation Fund for the operationalization of the Paris Agreement: information relevant for the process outlined in paragraphs 59 and 60 of decision 1/CP.21 and paragraphs 8 and 9 of decision 1/CMP.11

1. When adopting the Paris Agreement, the Conference of the Parties (COP) recognized that the Adaptation Fund (hereinafter referred to as the Fund) may serve the Paris Agreement subject to relevant decisions by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) and the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA). It further invited the CMP to consider this issue and make a recommendation at CMA 1.¹ CMP 11 started the process by recommending that CMA 1 consider that the Fund may serve the Paris Agreement. It further invited COP 22 (November 2016) to request the Ad Hoc Working Group on the Paris Agreement (APA) to undertake the necessary preparatory work concerning this issue and to forward a recommendation to the CMP for consideration and adoption no later than at CMP 15.² These provisions established a road map for Parties to consider making the Fund one of the institutions serving the Paris Agreement. Here, the Adaptation Fund Board (hereinafter referred to as the Board) presents elements that the CMP may wish to consider forwarding to the COP in order to inform the deliberations of the APA on this matter, as per paragraph 9 of decision 1/CMP.11.

How can the Fund advance the operationalization of the different components of the Paris Agreement? What value may the Fund add to the Paris Agreement?

2. The Paris Agreement, in its Article 2, included adaptation and finance as key components of the global response to climate change, alongside mitigation. These components are supported by capacity-building, as per Article 11 of the Paris Agreement. The Fund, as a fully operational financial mechanism for concrete adaptation projects and programmes that also offers targeted readiness support for developing countries' national entities to access climate change adaptation finance, can contribute to advancing the operationalization of the Paris Agreement. The Fund is already contributing to closing the adaptation gap by funding its portfolio. The information below elaborates on the added value of the Fund for the operationalization of the Paris Agreement and for the contribution towards the objective of the Paris Agreement, as outlined in Article 2 and relevant Articles on adaptation, finance and capacity-building.

Adaptation

3. The Paris Agreement recognized adaptation as a global challenge and established a global goal on adaptation of enhancing adaptive capacity, strengthening resilience and

¹ Decision 1/CP.21, paragraphs 59 and 60.

² Decision 1/CMP.11, paragraphs 8 and 9.

reducing vulnerability to climate change.³ It also recognized the importance of support and taking into account the needs of developing countries.⁴ The Paris Agreement established a “global stocktake” process to assess the collective progress made towards achieving the purpose of the Paris Agreement, including adaptation and finance (means of implementation).⁵

4. Among the intended nationally determined contribution (INDCs) communicated to the UNFCCC secretariat as at 4 April 2016, 137 Parties out of 161 included an adaptation component. Parties highlighted their common determination to strengthen national adaptation efforts in the context of the Paris Agreement. Some stressed that adaptation is their main priority for addressing climate change, in particular as they see it as strongly linked to national development, sustainability and security. Many Parties underlined the need for international finance, technology transfer and capacity-building support for adaptation, in line with the Convention.⁶

5. The Fund is a fully operational financial mechanism dedicated to supporting concrete and tangible interventions to address climate change adaptation and to build resilience. It has allocated USD 337 million to 52 concrete adaptation projects/programmes in 46 countries, including for six small island developing States (SIDS) and four least developed countries (LDCs). The portfolio of the Fund benefits 3.57 million direct beneficiaries in the most vulnerable communities in developing countries. It covers most sectors related to adaptation, namely coastal zone management, sustainable agriculture, water management, urban and rural development, and disaster risk reduction. The projects/programmes funded are of a value up to USD 10 million, which is replicable and scalable with funding from other sources. Three projects/programmes funded by the Fund in Nicaragua, Pakistan and Senegal, have already achieved completion, and 11 have completed their midterm evaluation.

6. The Fund provides country-driven access to its resources through its direct access modality, which also contributes to building in-country institutional capacity for the overall management of projects/programmes during the process. Direct access represents 33 per cent of the Fund portfolio. Seventeen national implementing entities (NIEs) are currently implementing projects funded by the Fund, and one has completed its first project (Centre de Suivi Ecologique, Senegal).

7. The Fund project review cycle is swift and can be completed in nine weeks. The Fund has all its policies and procedures in place, including operational policies and guidelines for Parties to access its funding, a zero-tolerance policy on fraud and corruption, a risk management framework, an environmental and social policy, a gender policy and action plan, and a number of guidance documents to facilitate compliance with the policies mentioned above. All these documents are available at the Fund’s website.⁷

8. The Board decided to carry out an overall evaluation of the Fund in two stages. The first stage was completed in 2015. It highlighted that the modality that the Fund pioneered in for more than six years (the direct access modality) was a major innovation in climate finance and is appropriate for meeting country needs, and that such a modality can be a

³ Paris Agreement, Article 7.

⁴ Paris Agreement, Article 7.

⁵ Paris Agreement, Article 14, paragraph 1.

⁶ FCCC/CP/2016/2, paragraphs 59–74.

⁷ <<https://www.adaptation-fund.org/documents-publications/>>.

highly relevant, effective and efficient means of challenging adaptation finance. Second, the evaluation outlined that the Fund's design and operational processes are efficient and largely coherent with UNFCCC guidance and national adaptation priorities, and that the evolution of its operational processes has been appropriate, demonstrating its commitment to continuous improvement of its operations. Third, the evaluation found that the Fund allowed countries to advance important measures at national and subnational levels, with links to national policymaking. In addition, the evaluation found that the policies adopted by the Fund created a solid foundation for operational success. In terms of accreditation, the evaluation concluded that the Fund has developed thorough and reasonable accreditation requirements and that it continues to improve its processes. For the project/programme review cycle, a conclusion was that the Board secretariat and the Project and Programme Review Committee had developed an efficient project/programme proposal review process. Last but not least, the Fund resource allocation process was assessed as efficient. The second stage of the evaluation will be launched during the next reporting period (from 1 July 2016 to 30 June 2017). Civil society organizations and international evaluation bodies are currently being involved in the preparation of the terms of reference for the second stage of the evaluation.

9. Considering all of the above, the Fund is already contributing to the operationalization of the adaptation objectives of the Paris Agreement and to the implementation of the adaptation actions included in developing country INDCs by funding its portfolio of concrete adaptation projects/programmes.

Finance

10. The provision of scaled-up finance under the Paris Agreement aims to achieve a balance between adaptation and mitigation, taking into account country-driven strategies, and the priorities and needs of developing country Parties, especially those that are particularly vulnerable to the adverse effects of climate change and have significant capacity constraints, such as the LDCs and SIDS.⁸ The Paris Agreement also recognized the need for public and grant-based resources for adaptation.⁹ In their INDCs, many Parties underlined the need for international finance for adaptation, in line with the Convention.

11. Further, the Paris Agreement assigned to adaptation a share of the proceeds of the sustainable development mechanism that it established.¹⁰ This may be a market mechanism with similarities to the clean development mechanism. The Fund, if it serves the Paris Agreement, may draw resources for sustainable adaptation financing for vulnerable communities in developing countries.

12. The evaluation of the Fund in its first stage concluded that the Fund is closing the adaptation gap by contributing to funding concrete adaptation projects. The Fund has mobilized over USD 500 million since its inception, and has allocated USD 338.5 million for concrete adaptation and readiness projects/programmes. Forty-four per cent of the amount allocated has already been disbursed. The Board has set up a resource mobilization target of USD 80 million per year for the biennium 2016–2017. The Fund has a system of tried and tested policies and procedures already in place, and its risk management framework has the potential to review the accreditation status at any time during the

⁸ Paris Agreement, Article 9, paragraph 4.

⁹ Paris Agreement, Article 9, paragraph 4.

¹⁰ Paris Agreement, Article 6, paragraphs 4 and 6.

accreditation period. The measures recommended may include policy/procedure enhancements, and suspension or cancellation of the accreditation. The Board is supported by a secretariat, a dedicated team of 11 people, including the Manager, officers and consultants working at the secretariat's headquarters, hosted within the World Bank as part of the Global Environment Facility on an interim basis.

13. The expertise of the Fund has been shared with other climate funds, and its direct access model has proven replication value for other climate financing organizations. The Board of the Green Climate Fund (GCF) decided to "fast track" accreditation of implementing entities accredited by the Board. As at the date of this report, among the GCF 10 NIEs and 3 regional implementing entities (RIEs) accredited as at 1 June 2016, 7 NIEs and 2 RIEs were fast-track accredited by the Board of the GCF due to their prior accreditation with the Fund.¹¹ The Fund is the first climate fund to engage in enhanced direct access. Allowing national institutions to directly access adaptation finance promotes country-owned and -driven processes, with the strengthening of local institutions in project identification and implementation and in resource mobilization.

14. In addition to contributions by developed countries and subnational governments, the Fund is funded by a share of the proceeds of the clean development mechanism under the Kyoto Protocol. At CMP 8, Parties decided that for the second commitment period of the Kyoto Protocol, the Fund shall be further augmented through a 2 per cent share of the proceeds levied under the joint implementation and emissions trading mechanisms.¹² The Fund has experience of, and expertise in, monetizing carbon assets for funding adaptation and has the systems in place to continue receiving funding from innovative sources for that. The Fund has proven experience in monetizing carbon credits for funding adaptation through systems that are operational. The Fund has raised USD 196 million from the sale of certified emission reductions since May 2009.

15. It is evident from the record number of project and programme proposals received from vulnerable developing countries in 2015 and 2016 that the demand for the Fund's resources is rapidly increasing. In particular, the number of proposals submitted through NIEs and RIEs has reached new levels as an increasing number of those entities have gained momentum in developing project proposals. As at 30 June 2016, the active pipeline of single-country projects and programmes under development by NIEs and RIEs (projects that have been submitted during the latest 12-month period but not yet approved) nearly matched the funds available for such entities, while there are also signs of increasing demand for projects implemented by multilateral implementing entities. The limited funding envelope of the Pilot Programme for Regional Projects and Programmes (USD 30 million) met with a demand of nearly three times that volume in funding proposals. This demand for both single-country and regional projects and programmes compared to the resources available underlines the ongoing financial uncertainty of the Fund.

16. The Fund is a fully operational mechanism that provides funding for adaptation in developing countries. The demand for its funding is higher than ever. However, the sustainability and predictability of its financial flows are not secured due to the reliance on voluntary contributions from developed countries. Its experience in monetizing carbon assets can contribute to the operationalization of the sustainable development mechanism of the Paris Agreement.

¹¹ <http://www.greenclimate.fund/documents/20182/319135/GCF_Completing_a_fast-track_accreditation_application_v3.0_May_2016.pdf/7001d3be-e344-4643-b6e4-5b80e853b279>. <<http://www.greenclimate.fund/partners/accredited-entities>>.

¹² Decision 1/CMP.8, paragraphs 20–22.

Capacity-building

17. Capacity-building under the Paris Agreement should enhance the ability of developing countries to take effective climate change action, including adaptation, and facilitate access to climate finance. Capacity-building should be country driven, responsive to national needs and foster country ownership.¹³

18. The Fund has a successful track record of building institutional capacity through the direct access modality. This happens throughout the process, from accreditation to implementation and evaluation of nationally designed projects and programmes, as a number of representatives of applicant entities have acknowledged. The report on stage I of the overall evaluation has recognized the Fund as a learning institution.

19. The Fund also offers capacity-building support for accreditation and project development through its readiness programme. The programme supports NIEs in accessing funds for adaptation, including through South–South cooperation, and provides technical assistance grants for environmental and social safeguards and gender considerations.

20. The readiness programme has also contributed to establishing a community of practice among NIE practitioners. This community meets annually at the Board secretariat’s headquarters in Washington, D.C., to address matters of common interest, to exchange knowledge and lessons learned, and to share experiences. Aside from this NIE gathering, the Fund convenes regional workshops and webinars in partnership with other institutions.

21. Through its direct access modality and readiness programme, the Fund contributes to building the capacity of national institutions in developing countries, in line with Article 11 of the Paris Agreement.

22. Moving forward, the process for the Fund to serve the Paris Agreement will contribute to speeding up the operationalization of the Paris Agreement, including its provisions on adaptation, finance, capacity-building and the sustainable development mechanism.

¹³ Paris Agreement, Article 11.

Annex II

Adaptation Fund Board members and alternate members

[English only]

<i>Term of office^a</i>	<i>Position</i>	<i>Name</i>	<i>Country</i>	<i>Constituency represented</i>
March 2015	Member	Mr. Yerima Peter Tarfa	Nigeria	African States
to	Alternate member	Mr. Petrus Muteyauli	Namibia	African States
March 2017	Member	Mr. Ahmed Waheed	Maldives	Asia-Pacific States
(Elected at CMP 10) ^b	Alternate member	Mr. Albara E. Tawfiq	Saudi Arabia	Asia-Pacific States
	Member	Ms. Monika Antosik	Poland	Eastern European States
	Alternate member	Ms. Umayra Tagiyeva	Azerbaijan	Eastern European States
	Member	Mr. Emilio Luis Sempris Ceballos	Panama	Latin American and Caribbean States
	Alternate member	Ms. Irina Helena Pineda Aguilar	Honduras	Latin American and Caribbean States
	Member	Mr. Antonio Navarra	Italy	Western European and other States
	Alternate member	Mr. Marc-Antoine Martin	France	Western European and other States
	Member	Mr. Paul Elreen Phillip	Grenada	Small island developing States
	Alternate member	Mr. Samuela Vakaloloma Lagataki	Fiji	Small island developing States
	Member	Ms. Tove Zetterström-Goldmann	Sweden	Annex I Parties
	Alternate member	Mr. Markku Kanninen	Finland	Annex I Parties
	Member	Ms. Patience Dampney	Ghana	Non-Annex I Parties
	Alternate member	Ms. Margarita Caso	Mexico	Non-Annex I Parties
March 2016	Member	Mr. David Kaluba	Zambia	African States
to	Alternate member	Mr. Admasu Nebebe Gedamu	Ethiopia	African States
March 2018	Member	Mr. Mirza Shawkat Ali	Bangladesh	Asia-Pacific States
(Elected at CMP 11)	Alternate member	Mr. Naser Moghaddasi	Islamic Republic of Iran	Asia-Pacific States

<i>Term of office^a</i>	<i>Position</i>	<i>Name</i>	<i>Country</i>	<i>Constituency represented</i>
	Member	Mr. Aram Ter-Zakaryan	Armenia	Eastern European States
	Alternate member	Ms. Ardiana Sokoli	Albania	Eastern European States
	Member	Mr. Lucas di Pietro Paolo	Argentina	Latin American and Caribbean States
	Alternate member	Mr. Philip S. Weech	Bahamas	Latin American and Caribbean States
	Member	Mr. Hans Olav Ibrekk	Norway	Western European and other States
	Alternate member	Ms. Yuka Greiler	Switzerland	Western European and other States
	Member	Mr. Naresh Sharma	Nepal	Least developed countries
	Alternate member	Mr. Chebet Maikut	Uganda	Least developed countries
	Member	Mr. Michael Jan Hendrik Kracht	Germany	Annex I Parties
	Alternate member	Mr. Aida Velasco Munguira	Spain	Annex I Parties
	Member	Ms. Fatuma Hussein	Kenya	Non-Annex I Parties
	Alternate member	Ms. Ding	China	Non-Annex I Parties

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

^a 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 CMP 7, 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).

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

Annex III

Approved fiscal year 2016 budget, actual fiscal year 2016 budget and approved fiscal year 2017 budget of the Adaptation Fund Board, its secretariat and the trustee

[English only]

(United States dollars)

		<i>Approved</i>	<i>Actual</i>	<i>Approved</i>
		Fiscal year 2016	Fiscal year 2016	Fiscal year 2017
Board and secretariat				
01	Personnel	1 704 295	1 446 590	1 825 247
02	Travel	434 000	256 753	548 000
03	General operations	345 870	372 925	306 090
04	Meetings	340 000	125 180	363 000
Sub-total secretariat administrative services (a)		2 824 165	2 201 448	3 042 337
05	Overall evaluation (b)	200 000	5 801	400 000
06	Accreditation (c)	460 000	226 230	464 000
Sub-total secretariat “(a), (b) and (c)”		3 484 165	2 433 479	3 906 337
07	Readiness programme (d)	565 000	276 311	616 500
Sub-total secretariat (a) + (b) + (c) + (d)		4 049 165	2 709 790	4 522 837
Trustee				
01	CER monetization	203 000	203 000	203 000
02	Financial and programme management	225 000	225 000	225 000
03	Investment management	115 000	110 636	115 000
04	Accounting and reporting	56 000	56 000	56 000
05	Legal services	20 000	20 000	20 000
06	External audit	50 000	50 000	50 000
Sub-total trustee		669 000	664 000	669 000
Grand total all components		4 718 165	4 560 821	5 191 837

^a This increase is justified by the conversion of two current non-renewable staff positions to Grade E level term contracts and the temporary replacement of the Operations Associate who is currently on extended sick leave.

^b This increase is justified by the increased cost of office space as a result of the unavoidable move of the secretariat offices to a new building.

^c This decrease is due to lower rentals costs in the new office space.

^d This increase is justified by the increased costs for the Adaptation Fund Board meetings due to the introduction of a fee for the usage of common conference rooms at the United Nations Campus in Bonn.

^e Sum of minor expenses taken out of the approved budget for phase II of the overall evaluation in order to conclude phase I. These expenses include costs incurred for a consultant to present the findings of phase I of the overall evaluation to the Adaptation Fund Board at its 26th meeting. Phase II of the overall evaluation initially scheduled for the fiscal year 2016 will now be implemented in the fiscal year 2017. See paragraph 15 of this document.

^f Estimated costs for phase II of the overall evaluation initially scheduled for the fiscal year 2016, which will now be implemented in the fiscal year 2017. The increase in estimated costs to USD 400,000 is because phase II also focuses on evaluating projects and not only the Adaptation Fund processes as was the case in phase I.

Annex IV

List of accredited implementing entities

[English only]

A. National implementing entities

Agencia de Cooperación Internacional de Chile (Chile)
 Agencia Nacional de Investigación e Innovación (Uruguay)
 Agency for Agricultural Development (Morocco)
 Centre de Suivi Ecologique (Senegal)
 Department of Environment (Antigua and Barbuda)
 Desert Research Foundation of Namibia (Namibia)
 Dominican Institute of Integral Development (Dominican Republic)
 Fundación Natura (Panama)
 Fundecooperacion para el Desarrollo Sostenible (Costa Rica)
 Mexican Institute of Water Technology (Mexico)
 Micronesia Conservation Trust (Federated States of Micronesia)
 Ministry of Finance and Economic Development (Ethiopia)
 Ministry of Natural Resources (Rwanda)
 Ministry of Planning and International Cooperation (Jordan)
 National Bank for Agriculture and Rural Development (India)
 National Environment Fund (Benin)
 National Environment Management Authority (Kenya)
 Partnership for Governance Reform in Indonesia (Indonesia)
 Peruvian Trust Fund for National Parks and Protected Areas (Peru)
 Planning Institute of Jamaica (Jamaica)
 Protected Areas Conservation Trust (Belize)
 South African National Biodiversity Institute (South Africa)
 Unidad para Cambio Rural (Argentina)

B. Multilateral implementing entities

African Development Bank (AfDB)
 Asian Development Bank (ADB)
 European Bank for Reconstruction and Development (EBRD)
 Inter-American Development Bank (IDB)
 International Fund for Agricultural Development (IFAD)
 United Nations Development Programme (UNDP)
 United Nations Educational, Scientific and Cultural Organization (UNESCO)
 United Nations Environment Programme (UNEP)
 United Nations Human Settlements Programme (UN-Habitat)
 World Bank (International Bank for Reconstruction and Development)
 World Food Programme (WFP)
 World Meteorological Organization (WMO)

C. Regional implementing entities

Caribbean Development Bank (Latin America and the Caribbean)
 Central American Bank for Economic Integration (Latin America and the Caribbean)
 Corporación Andina de Fomento (Latin America and the Caribbean)
 Observatoire du Sahara et du Sahel/Sahara and Sahel Observatory (North, West and East Africa)

Secretariat of the Pacific Regional Environment Programme (Pacific)
West African Development Bank (West Africa)

Annex V

Project funding approvals by the Adaptation Fund Board between 1 July 2015 and 30 June 2016

[English only]

Figure 1
Adaptation Fund Board 26 project-related funding decisions

(United States dollars)

	Country/Title	IE	Document Ref	Project	NIE	RIE	MIE	Set-aside Funds	Decision
1. Projects and Programmes: Single-country									
	India (2)	NABARD	AFB/PPRC.17/11	969,570	969,570			969,570	Approved
	Namibia (1)	DRFN	AFB/PPRC.17/12	989,140	989,140				Not approved
	Namibia (2)	DRFN	AFB/PPRC.17/13	750,000	750,000				Not approved
	Namibia (3)	DRFN	AFB/PPRC.17/14	750,000	750,000				Not approved
	Chile	AGCI	AFB/PPRC.17/15	9,960,000	9,960,000			9,960,000	Approved
	India (3)	NABARD	AFB/PPRC.17/16	1,344,155	1,344,155			1,344,155	Approved
	Namibia (4)	DRFN	AFB/PPRC.17/17	6,000,000	6,000,000				Not approved
	Peru (2)	PROFONANPE	AFB/PPRC.17/18	6,950,239	6,950,239				Not approved
	Niger	BOAD	AFB/PPRC.17/19	9,990,000		9,990,000			Not approved
	Albania	WB	AFB/PPRC.17/20	6,303,850			6,303,850		Not approved
	Sub-total			44,006,954	12,273,725			12,273,725	
2. Project Formulation Grants: Single country									
	India (1)	NABARD	AFB/PPRC.17/6/Add.1	28,400	28,400			28,400	Approved
	Senegal	CSE	AFB/PPRC.17/7/Add.1	30,000	30,000			30,000	Approved
	Sub-total			58,400	58,400			58,400	
3. Concepts: Single-country									
	India (1)	NABARD	AFB/PPRC.17/6	2,514,561	2,514,561				Endorsed
	Senegal	CSE	AFB/PPRC.17/7	1,256,983	1,256,983				Endorsed
	Ecuador	CAF	AFB/PPRC.17/8	2,489,373		2,489,373			Not endorsed
	Guinea Bissau	BOAD	AFB/PPRC.17/9	9,979,000		9,979,000			Not endorsed
	Peru (1)	CAF	AFB/PPRC.17/10	2,236,925		2,236,925			Not endorsed
	Sub-total			18,476,842	3,771,544			0	

	Country/Title	IE	Document Ref	Project	NIE	RIE	MIE	Set-aside Funds	Decision
4. Pre-concepts: Regional									
	Benin, Burkina Faso, Ghana, Niger, Togo	BOAD	AFB/PPRC.17/21	14,000,000		14,000,000			Endorsed
	Chile, Ecuador	CAF	AFB/PPRC.17/22	11,216,508		11,216,508			Not endorsed
	Burundi, Kenya, Rwanda, Tanzania, Uganda	UNEP	AFB/PPRC.17/23	5,000,000			5,000,000		Endorsed
	Colombia, Ecuador	WFP	AFB/PPRC.17/24	14,000,000			14,000,000		Not endorsed
	Cuba, Dominican Republic, Jamaica	UNDP	AFB/PPRC.17/25	4,969,367			4,969,367		Endorsed
	Ethiopia, Kenya, Uganda	WMO	AFB/PPRC.17/26	5,000,000			5,000,000		Not endorsed
	Mauritius, Seychelles	UNDP	AFB/PPRC.17/27	4,900,000			4,900,000		Endorsed
	Sub-total			28,869,367	0	14,000,000	14,869,367	0	
5. Project Formulation Grants: Regional									
	Benin, Burkina Faso, Ghana, Niger, Togo	BOAD	AFB/PPRC.17/21/Add.1	20,000		20,000		20,000	Approved
	Chile, Ecuador	CAF	AFB/PPRC.17/22/Add.1	20,000		20,000			Not approved
	Burundi, Kenya, Rwanda, Tanzania, Uganda	UNEP	AFB/PPRC.17/23/Add.1	20,000			20,000	20,000	Approved
	Cuba, Dominican Republic, Jamaica	UNDP	AFB/PPRC.17/25/Add.1	20,000			20,000	20,000	Approved
	Mauritius, Seychelles	UNDP	AFB/PPRC.17/27/Add.1	20,000			20,000	20,000	Approved
	Sub-total			80,000	0	20,000	60,000	80,000	
6. Total (6 = 1 + 2 + 3 + 4 + 5)				91,491,563				12,412,125	

Abbreviations: AGCI = Agencia de Cooperación Internacional de Chile, BOAD = West African Development Bank, CAF = Corporación Andina de Fomento, CSE = Centre de Suivi Ecologique, DRFN = Desert Research Foundation of Namibia, IE = implementing entity, MIE = multilateral implementing entity, NABARD = National Bank for Agriculture and Rural Development, NIE = national implementing entity, PROFONANPE = Peruvian Trust Fund for National Parks and Protected Areas, Ref = reference, RIE = regional implementing entity, UNDP = United Nations Development Programme, UNEP = United Nations Environment Programme, WB = World Bank, WFP = World Food Programme, WMO = World Meteorological Organization.

Figure 2
Adaptation Fund Board 27 project-related funding decisions
 (United States dollars)

	Country/Title	IE	Document Ref	Project	NIE	RIE	MIE	Set-aside Funds	Decision
1. Projects and Programmes: Single-country									
	Peru (2)	PROFONANPE	AFB/PPRC.18/13	6,950,239	6,950,239			6,950,239	Approved
	Niger	BOAD	AFB/PPRC.18/14	9,911,000		9,911,000			Not approved
	Albania	WB	AFB/PPRC.18/15	6,000,000			6,000,000		Not approved
Sub-total				22,861,239	6,950,239	9,911,000	6,000,000	6,950,239	
2. Project Formulation Grants: Single country									
	Federated States of Micronesia	MCT	AFB/PPRC.18/4/Add.1	30,000	30,000				Not approved
	Antigua and Barbuda	ABED	AFB/PPRC.18/7/Add.1	30,000	30,000				Not approved
	Panama	Fundación Natura	AFB/PPRC.18/8/Add.1	30,000	30,000			30,000	Approved
Sub-total				90,000	90,000			30,000	
3. Concepts: Single-country									
	Federated States of Micronesia	MCT	AFB/PPRC.18/4	1,000,000	1,000,000				Not endorsed
	Antigua and Barbuda	ABED	AFB/PPRC.18/7	10,000,000	10,000,000				Not endorsed
	Panama	Fundación Natura	AFB/PPRC.18/8	9,952,121	9,952,121				Endorsed
	Guinea Bissau	BOAD	AFB/PPRC.18/9	9,979,000			9,979,000		Endorsed
	Peru (1)	CAF	AFB/PPRC.18/10	2,236,925			2,236,925		Endorsed
	Togo	BOAD	AFB/PPRC.18/11	10,000,000			10,000,000		Not endorsed
	Lao People's Democratic Republic	UN-Habitat	AFB/PPRC.18/12	4,500,000				4,500,000	Endorsed
Sub-total				47,668,046	20,952,121	22,215,925	4,500,000	0	
4. Project Formulation Grants: Regional Concepts									
	Benin, Burkina Faso, Ghana, Niger, Togo	BOAD	AFB/PPRC.18/22/Add.1	80,000			80,000		Not approved
	Burundi, Kenya, Rwanda, Tanzania, Uganda	UNEP	AFB/PPRC.18/23/Add.1	80,000				80,000	Approved
Sub-total				160,000	0	80,000	80,000	80,000	
5. Concepts: Regional									
	Benin, Burkina Faso, Ghana, Niger, Togo	BOAD	AFB/PPRC.18/22	14,000,000			14,000,000		Not endorsed
	Burundi, Kenya, Rwanda, Tanzania, Uganda	UNEP	AFB/PPRC.18/23	5,000,000				5,000,000	Endorsed
Sub-total				19,000,000	0	14,000,000	5,000,000	0	

	Country/Title	IE	Document Ref	Project	NIE	RIE	MIE	Set-aside Funds	Decision
6. Project Formulation Grants: Regional Pre-concept									
	Colombia, Ecuador	WFP	AFB/PPRC.18/18/Add.1	20,000			20,000	20,000	Approved
Sub-total				20,000	0	0	20,000	20,000	
7. Pre-concepts: Regional									
	Chile, Ecuador	CAF	AFB/PPRC.18/16	13,910,400		13,910,400			Endorsed
	Cambodia, Lao People's Democratic Republic, Myanmar, Thailand, Viet Nam	UNESCO	AFB/PPRC.18/17	4,542,250			4,542,250		Endorsed
	Colombia, Ecuador	WFP	AFB/PPRC.18/18	14,000,000			14,000,000		Endorsed
	Comoros, Madagascar, Malawi, Mozambique	UN-Habitat	AFB/PPRC.18/19	15,088,553			15,088,553		Not endorsed
	Ethiopia, Kenya, Uganda	WMO	AFB/PPRC.18/20	6,800,000			6,800,000		Endorsed
	Kyrgyzstan, Tajikistan, Uzbekistan	UNESCO	AFB/PPRC.18/21	5,000,000			5,000,000		Endorsed
Sub-total				59,341,203	0	13,910,400	45,430,803	0	
8. Total (8 = 1 + 2 + 3 + 4 + 5+6+7)				149,140,488	27,992,360	60,117,325	61,030,803	7,080,239	

Abbreviations: ABED = Antigua and Barbuda Environment Division, BOAD = West African Development Bank, CAF = Corporación Andina de Fomento, IE = implementing entity, MCT = Micronesia Conservation Trust, MIE = multilateral implementing entity, NIE = national implementing entity, PROFONANPE = Peruvian Trust Fund for National Parks and Protected Areas, Ref = reference, RIE = regional implementing entity, UNEP = United Nations Environment Programme, UNESCO = United Nations Educational, Scientific and Cultural Organization, UN-Habitat = United Nations Human Settlements Programme, WB = World Bank, WFP = World Food Programme, WMO = World Meteorological Organization.

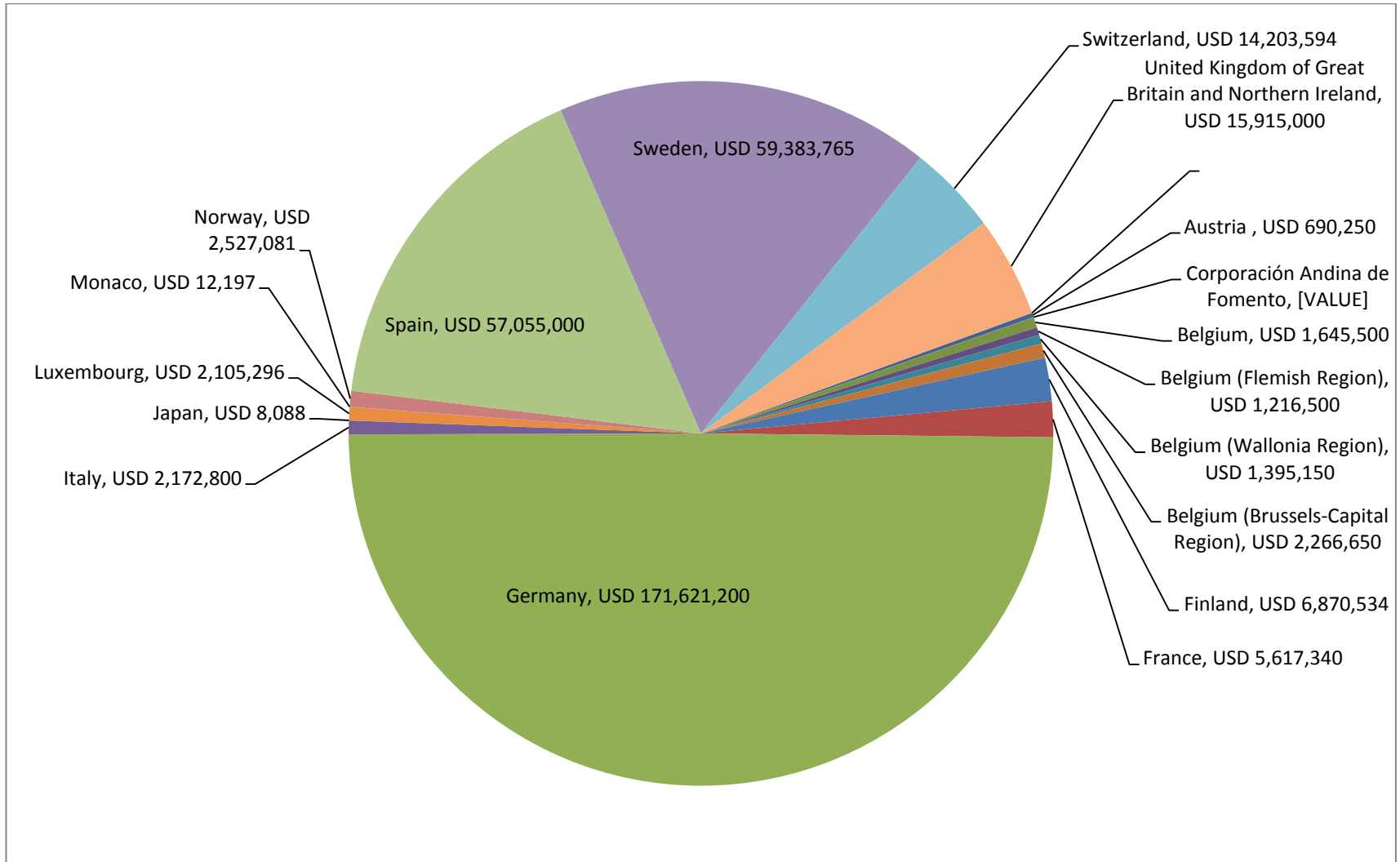
Annex VI

Contributors to the Adaptation Fund

[English only]

Austria
Belgium
Belgium (Flemish Region)
Belgium (Wallonia Region)
Belgium (Brussels-Capital Region)
Corporación Andina de Fomento
Finland
France
Germany
Italy
Japan
Luxembourg
Monaco
Norway
Spain
Sweden
Switzerland
United Kingdom of Great Britain and Northern Ireland
Others

Figure 3
Actual contributions to the Adaptation Fund



Annex VII

Status of the portfolio of the Adaptation Fund

[English only]

Table 2

Status of the active portfolio of approved projects/programmes by the Adaptation Fund Board as at 30 June 2016

<i>Number</i>	<i>Country</i>	<i>Project/programme title</i>	<i>Implementing entity</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project/programme status</i>
1	Senegal	Adaptation to coastal erosion in vulnerable areas	CSE	8 619 000	8 619 000	17 September 2010	Completed
2	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 September 2010	Under implementation
3	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 December 2010	Completed
4	Pakistan	Reducing risks and vulnerabilities from glacier lake outburst floods in northern Pakistan	UNDP	3 906 000	3 906 000	15 December 2010	Completed
5	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	6 751 451	18 March 2011	Under implementation
6	Eritrea	Climate change adaptation programme in water and agriculture in Anseba Region, Eritrea	UNDP	6 520 850	5 144 303	18 March 2011	Under implementation
7	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	18 March 2011	Under implementation
8	Mongolia	Ecosystem based adaptation approach to maintaining water security in critical water catchments in Mongolia	UNDP	5 500 000	4 968 853	22 June 2011	Under implementation
9	Maldives	Increasing climate resilience through an integrated water resource management programme in HA. Ihavandhoo, ADh. Mahibadhoo and GDh.	UNDP	8 989 225	8 989 225	22 June 2011	Under implementation

<i>Number</i>	<i>Country</i>	<i>Project/programme title</i>	<i>Implementing entity</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project/programme status</i>
		Gadhoo Island					
10	Turkmenistan	Addressing climate change risks to farming systems in Turkmenistan at national and community level	UNDP	2 929 500	2 708 790	22 June 2011	Under implementation
11	Mauritius	Climate change adaptation programme in the coastal zone of Mauritius	UNDP	9 119 240	3 710 877	16 September 2011	Under implementation
12	Georgia	Developing climate resilient flood and flash flood management practices to protect vulnerable communities of Georgia	UNDP	5 316 500	5 316 500	14 December 2011	Under implementation
13	United Republic of Tanzania	Implementation of concrete adaptation measures to reduce vulnerability of livelihood and economy of coastal communities in Tanzania	UNEP	5 008 564	4 553 294	14 December 2011	Under implementation
14	Cook Islands	Strengthening the resilience of our islands and our communities to climate change	UNDP	5 381 600	4 512 080	14 December 2011	Under implementation
15	Uruguay	Uruguay: helping small farmers adapt to climate change	ANII	9 967 678	5 739 544	14 December 2011	Under implementation
16	Samoa	Enhancing resilience of Samoa's coastal communities to climate change	UNDP	8 732 351	4 527 475	14 December 2011	Under implementation
17	Madagascar	Madagascar: promoting climate resilience in the rice sector	UNEP	5 104 925	3 197 224	14 December 2011	Under implementation
18	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	5 537 734	16 March 2012	Under implementation
19	Cambodia	Enhancing climate resilience of rural communities living in protected areas of Cambodia	UNEP	4 954 273	3 086 352	28 June 2012	Under implementation
20	Colombia	Reducing risk and vulnerability to climate change in the region of La Depression Momposina in Colombia	UNDP	8 518 307	4 893 900	28 June 2012	Under implementation
21	Djibouti	Developing agro-pastoral shade gardens as an adaptation strategy for poor rural communities in Djibouti	UNDP	4 658 556	3 492 556	28 June 2012	Under implementation
22	Egypt	Building resilient food security systems to benefit the Southern Egypt Region	WFP	6 904 318	3 905 765	28 June 2012	Under implementation
23	Jamaica	Enhancing the resilience of the agricultural sector and coastal areas to protect livelihoods and improve	PIOJ	9 965 000	5 980 360	28 June 2012	Under implementation

<i>Number</i>	<i>Country</i>	<i>Project/programme title</i>	<i>Implementing entity</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project/programme status</i>
		food security					
24	Lebanon	Climate smart agriculture: enhancing adaptive capacity of the rural communities in Lebanon (AgriCAL)	IFAD	7 860 825	1 589 200	28 June 2012	Not started
25	Mauritania	Enhancing resilience of communities to the adverse effects of climate change on food security in Mauritania	WFP	7 803 605	3 930 312	28 June 2012	Under implementation
26	Sri Lanka	Addressing climate change impacts on marginalized agricultural communities living in the Mahaweli River Basin of Sri Lanka	WFP	7 989 727	2 801 000	14 December 2012	Under implementation
27	Argentina	Increasing climate resilience and enhancing sustainable land management in the southwest of the Buenos Aires Province	WB	4 296 817	584 154	14 December 2012	Under implementation
28	Argentina	Enhancing the adaptive capacity and increasing resilience of small-size agriculture producers of the northeast of Argentina	UCAR	5 640 000	4 314 261	4 April 2013	Under implementation
29	Guatemala	Climate change resilient production landscapes and socioeconomic networks advanced in Guatemala	UNDP	5 425 000	1 238 046	14 September 2013	Under implementation
30	Rwanda	Reducing vulnerability to climate change in north west Rwanda through community based adaptation	MINIRENA	9 969 619	6 874 413	1 November 2013	Under implementation
31	Cuba	Reduction of vulnerability to coastal flooding through ecosystem-based adaptation in the south of Artemisa and Mayabeque provinces	UNDP	6 067 320	2 250 719	20 February 2014	Under implementation
32	Seychelles	Ecosystem based adaptation to climate change in Seychelles	UNDP	6 455 750	1 272 217	20 February 2014	Under implementation
33	Uzbekistan	Developing climate resilience of farming communities in the drought prone parts of Uzbekistan	UNDP	5 415 103	1 424 612	20 February 2014	Under implementation
34	Myanmar	Addressing climate change risks on water resources and food security in the dry zone of Myanmar	UNDP	7 909 026	2 456 700	27 February 2014	Under implementation
35	Belize	Implement priority ecosystem-based marine conservation and climate adaptation measures to strengthen the climate resilience of the Belize barrier reef system	WB	6 000 000	3 109 310	18 August 2014	Under implementation
36	India	Conservation and management of coastal resources	NABARD	689 264	161 367	10 October 2014	Under

<i>Number</i>	<i>Country</i>	<i>Project/programme title</i>	<i>Implementing entity</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project/programme status</i>
		as a potential adaptation strategy for sea level rise					implementation
37	India	Enhancing adaptive capacity and increasing resilience of small and marginal farmers in Purulia and Bankura districts of west Bengal	NABARD	2 510 854	376 628	10 October 2014	Under implementation
38	Costa Rica	Reducing the vulnerability by focusing on critical sectors (agriculture, water resources, and coastlines) in order to reduce the negative impacts of climate change and improve the resilience of these sectors	FUNDE-COOPE-RACION	9 970 000	1 621 559	10 October 2014	Under implementation
39	Kenya	Integrated programme to build resilience to climate change & adaptive capacity of vulnerable communities in Kenya	NEMA	9 998 302	4 956 906	10 October 2014	Under implementation
40	South Africa	Building resilience in the Greater uMngeni catchment	SANBI	7 495 055	852 328	10 October 2014	Under implementation
41	South Africa	Taking adaptation to the ground: a small grants facility for enabling local level responses to climate change	SANBI	2 442 682	190 986	10 October 2014	Under implementation
42	Ghana	Increased resilience to climate change in northern Ghana through the management of water resources and diversification of livelihoods	UNDP	8 293 972	575 965	5 March 2015	Under implementation
43	Mali	Programme support for climate change adaptation in the vulnerable regions of Mopti and Timbuktu	UNDP	8 533 348	4 374 194	25 March 2015	Under implementation
44	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	1 April 2015	Not started
45	Indonesia	Adapting to climate change for improved food security in West Nusa Tenggara province	WFP	5 995 666	0	11 May 2015	Not started
46	Jordan	Increasing the resilience of poor and vulnerable communities to climate change impacts in Jordan through implementing innovative projects in water and agriculture in support of adaptation to climate change	MOPIC	9 226 000	1 865 193	10 April 2015	Not started
47	Morocco	Climate changes adaptation project in oasis zones – PACC-ZO	ADA	9 970 000	2 907 922	10 April 2015	Under implementation
48	India	Building adaptive capacities of small inland fishers	NABARD	1 790 500	447 620	10 April 2015	Under

<i>Number</i>	<i>Country</i>	<i>Project/programme title</i>	<i>Implementing entity</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project/programme status</i>
		for climate resilience and livelihood security, Madhya Pradesh					implementation
49	India	Climate smart actions and strategies in north western Himalayan Region for sustainable livelihoods of agriculture-dependent hill communities	NABARD	969 570	165 933	9 October 2015	Not started
50	Chile	Enhancing resilience to climate change of the small agriculture in the Chilean region of O'Higgins	AGCI	9 960 000	1 909 974	9 October 2015	Not started
51	India	Climate proofing of watershed development projects in the States of Rajasthan and Tamil Nadu	NABARD	1 344 155	470 454	9 October 2015	Not started
52	Peru	Adaptation to the impacts of climate change on Peru's coastal marine ecosystem and fisheries	PROFO-NANPE	6 590 239	0	18 March 2016	Not started
Total				337 230 037			

Abbreviations: ADA = Agency for Agricultural Development, AGCI = Agencia de Cooperación Internacional de Chile, ANII = Agencia Nacional de Investigación e Innovación, CSE = Centre de Suivi Ecologique, IFAD = International Fund for Agricultural Development, FUNDECOOPERACION = Fundecooperacion Para el Desarrollo Sostenible, MINIRENA = Ministry of Natural Resources of Rwanda, MOPIIC = Ministry of Planning and International Cooperation of Jordan, NABARD = National Bank for Agriculture and Rural Development, NEMA = National Environment Management Authority, PIOJ = Planning Institute of Jamaica, PROFONANPE = Peruvian Trust Fund for National Parks and Protected Areas, SANBI = South African National Biodiversity Institute, UCAR = Unidad para el Cambio Rural, UNDP = United Nations Development Programme, UNEP = United Nations Environment Programme, WB = World Bank, WFP = World Food Programme.

Table 3
Breakdown of the status of the active portfolio of approved projects/programmes by the Adaptation Fund Board as at 30 June 2016

<i>Status</i>	<i>Number of projects/programmes</i>	<i>Total value (USD)</i>
Not started	8	51 293 615
Under implementation	41	267 910 472
Completed	3	18 025 950

Table 4
Active pipeline of single-country project and programme proposals submitted to the Adaptation Fund during the fiscal year 2016 (1 July 2015 to 30 June 2016)

<i>Country</i>	<i>Agency</i>	<i>Financing requested (USD)</i>	<i>Stage</i>
<i>NIE proposals</i>			
Antigua and Barbuda	ABED	9 970 000	Concept
Belize	PACT	4 000 000	Concept
India	NABARD	2 514 561	Concept
Federated States of Micronesia	MCT	1 000 000	Concept
Namibia	DRFN	750 000	Concept
Panama	Fundación Natura	9 952 121	Concept (endorsed)
Benin	FNE	8 913 255	Full proposal
Namibia	DRFN	6 000 000	Full proposal
Namibia	DRFN	1 500 000	Full proposal
Senegal	CSE	1 351 000	Full proposal
Total		46 700 937	
<i>RIE proposals</i>			
Ecuador	CAF	2 489 373	Concept
Guinea-Bissau	BOAD	9 979 000	Concept (endorsed)
Marshall Islands	SPREP	7 560 000	Concept
Peru	CAF	2 236 925	Concept (endorsed)
Togo	BOAD	10 000 000	Concept
Federated States of Micronesia	SPREP	8 967 600	Full proposal
Niger	BOAD	9 911 000	Full proposal
Uganda	OSS	7 751 000	Full proposal
Total		58 894 898	
<i>MIE proposals</i>			
Lao People's Democratic Republic	UN-Habitat	4 500 000	Full proposal
Albania	WB	6 000 000	Full proposal
Total		10 500 000	
Total all implementing entities		116 095 835	

Note: Single-country proposals that had been submitted to the Adaptation Fund between 1 July 2015 and 30 June 2016 but not yet approved by the Adaptation Fund Board nor cancelled by the proponent by the end of that period. Funding request amounts as in the latest submission of the proposal. Only proposals that have been endorsed by the government of the prospective recipient country are included.

Abbreviations: ABED = Antigua and Barbuda Environment Division, BOAD = West African Development Bank, CAF = Corporación Andina de Fomento, CSE = Centre de Suivi Ecologique, DRFN = Desert Research Foundation of Namibia, FNE = National Environment Fund, MCT = Micronesia Conservation Trust, MIE = multilateral implementing entity, NABARD = National Bank for Agriculture and Rural Development, NIE = national implementing entity, OSS = Observatoire du Sahara et du Sahel/Sahara and Sahel Observatory, PACT = Protected Areas Conservation Trust, RIE = regional implementing entity, SPREP = Secretariat of the Pacific Regional Environment Programme, UN-Habitat = United Nations Human Settlements Programme, WB = World Bank.

Table 5
Active pipeline of regional project and programme proposals submitted to the Adaptation Fund during the fiscal year 2016 (1 July 2015 to 30 June 2016)

<i>Countries</i>	<i>Agency</i>	<i>Financing requested (USD)</i>	<i>Stage</i>
<i>RIE proposals</i>			
Chile, Ecuador	CAF	13 910 400	Pre-concept (endorsed)
Benin, Burkina Faso, Ghana, Niger, Togo	BOAD	14 000 000	Concept
Total		27 910 400	
<i>MIE proposals</i>			
Cambodia, Lao People's Democratic Republic, Myanmar, Thailand, Viet Nam	UNESCO	4 542 250	Pre-concept (endorsed)
Colombia, Ecuador	WFP	14 000 000	Pre-concept (endorsed)
Cuba, Dominican Republic, Jamaica	UNDP	4 969 367	Pre-concept (endorsed)
Ethiopia, Kenya, Uganda	WMO	6 800 000	Pre-concept (endorsed)
Kyrgyzstan, Tajikistan, Uzbekistan	UNESCO	5 000 000	Pre-concept (endorsed)
Comoros, Madagascar, Malawi, Mozambique,	UN-Habitat	15 088 553	Pre-concept
Mauritius, Seychelles	UNDP	4 900 000	Pre-concept (endorsed)
Burundi, Kenya, Rwanda, Uganda, United Republic of Tanzania	UNEP	5 000 000	Concept (endorsed)
Total		60 300 170	
Total all implementing entities		88 210 570	

Note: Regional proposals that had been submitted to the Adaptation Fund between 1 July 2015 and 30 June 2016 but not yet approved by the Adaptation Fund Board nor cancelled by the proponent by the end of that period. Funding request amounts as in the latest submission of the proposal. Only proposals that have been endorsed by the governments of all prospective recipient countries are included.

Abbreviations: BOAD = West African Development Bank, CAF = Corporación Andina de Fomento, MIE = multilateral implementing entity, RIE = regional implementing entity, UNDP = United Nations Development Programme, UNEP = United Nations Environment Programme, UNESCO = United Nations Educational, Scientific and Cultural Organization, UN-Habitat = United Nations Human Settlements Programme, WFP = World Food Programme, WMO = World Meteorological Organization.

Table 6
Overview of the active pipeline of single-country and regional proposals under development

<i>Status</i>	<i>Submitted by NIEs</i>	<i>Total value (USD)</i>	<i>Submitted by RIEs</i>	<i>Total value (USD)</i>	<i>Submitted by MIEs</i>	<i>Total value (USD)</i>	<i>Total</i>	<i>Total value (USD)</i>
Single-country projects and programmes								
Concept submitted, not endorsed	6	18 984 561	3	20 049 373	0	0	9	39 033 934
Concept submitted, endorsed	1	9 952 121	2	12 215 925	1	4 500 000	4	26 668 046
Full proposal submitted, not approved	4	17 764 255	3	26 629 600	1	6 000 000	8	50 393 855
Regional projects and programmes								
Pre-concept submitted, not endorsed	-	-	0	0	1	15 088 553	1	15 088 553
Pre-concept submitted, endorsed	-	-	1	13 910 400	6	40 211 617	7	54 122 017
Concept submitted, not endorsed	-	-	1	14 000 000	0	0	1	14 000 000
Concept submitted, endorsed	-	-	0	0	1	5 000 000	1	5 000 000
Full proposal submitted, not approved	-	-	0	0	0	0	0	0

Abbreviations: MIE = multilateral implementing entity, NIE = national implementing entity, RIE = regional implementing entity.

Annex VIII**Sectoral and geographical breakdowns of the Adaptation Fund's portfolio of projects and programmes**

[English only]

Figure 4
Geographical breakdown of the Adaptation Fund's portfolio of projects and programmes

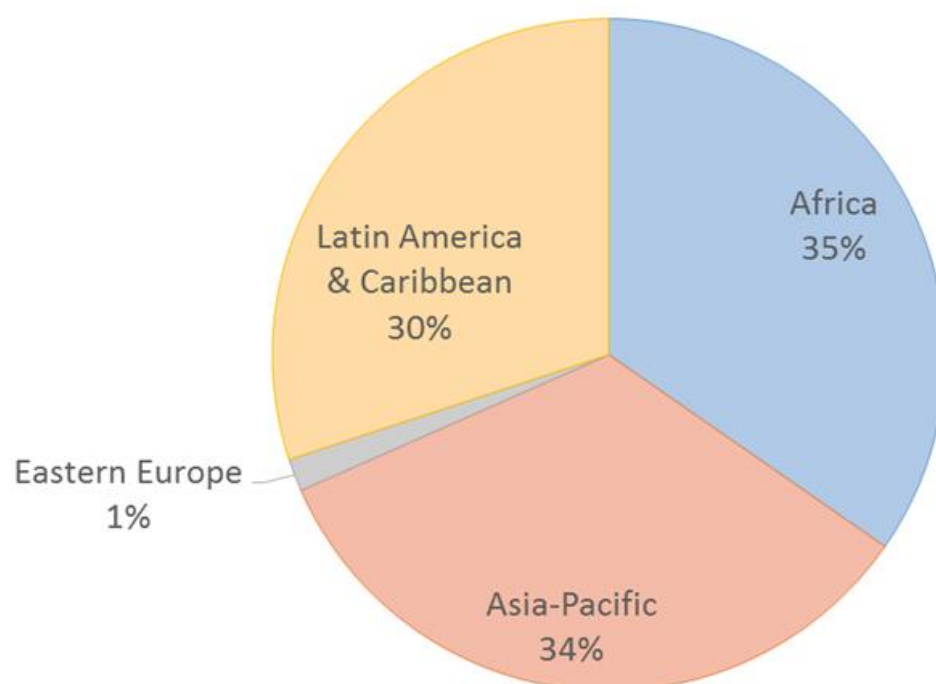


Figure 5
Sectoral breakdown of the Adaptation Fund's portfolio of projects and programmes

