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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  
第十六届会议  
2021 年 10 月 31 日至 11 月 12 日，格拉斯哥  
临时议程项目 7(a)  
与适应基金有关的事项  
适应基金董事会的报告(2020 年和 2021 年)

作为《巴黎协定》缔约方会议的  
《公约》缔约方会议  
第三届会议  
2021 年 10 月 31 日至 11 月 12 日，格拉斯哥  
临时议程项目 8(d)  
与资金有关的事项  
与适应基金有关的事项

## 适应基金董事会的报告

### 适应基金董事会主席的说明\*

#### 概要

本报告应第 1/CMP.3 号决定编写，该决定请适应基金董事会向作为《京都议定书》缔约方会议的《公约》缔约方会议(CMP)的每届会议报告其活动情况。它提供从 2020 年 7 月 1 日至 2021 年 6 月 30 日的信息，主要介绍了适应基金方面的进展情况，特别是 CMP 授权的任务的执行情况，以及适应基金董事会的决定和行动情况，这些决定和行动应由 CMP 和作为《巴黎协定》缔约方会议的《公约》缔约方会议(CMA)酌情予以注意。

\* 因提交方无法控制的情况，本文件计划迟于标准发布日期发布。



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## 简称和缩略语

AC	AC	适应委员会
AF	AF	适应基金
AFB	董事会	适应基金董事会
AF-TERG	AF-TERG	适应基金技术评价咨询小组
AGCID	AGCID	智利国际发展合作署
Annex I Party	附件一缔约方	《公约》附件一所列缔约方
BOAD	BOAD	西非开发银行
CAF	CAF	拉丁美洲开发银行
CDB	CDB	加勒比开发银行
CER	CER	核证减排量
CMA	《协定》/《公约》缔约方会议	作为《巴黎协定》缔约方会议的《公约》缔约方会议
CMP	《议定书》/《公约》缔约方会议	作为《京都议定书》缔约方会议的《公约》缔约方会议
COP	缔约方会议	《公约》缔约方会议
COVID-19	COVID-19	2019 冠状病毒病
CPDAE	CPDAE	CPDAE
CSE	CSE	塞内加尔生态监测中心
CTCN	CTCN	气候技术中心和网络
EFC	EFC	道德操守和财务委员会
EMA	EMA	津巴布韦环境管理署
EPIU	EPIU	亚美尼亚环境项目执行股
FAO	粮农组织	联合国粮食及农业组织
FIRCA	FIRCA	农业研究和咨询专业间基金
FNEC	FNEC	国家环境和气候基金
GCF	GCF	绿色气候基金
GEF	环境基金	全球环境基金
IBRD	复兴开发银行	国际复兴开发银行
IE	IE	执行实体
IFAD	农发基金	国际农业和发展基金
IGAD	伊加特	政府间发展组织
IMTA	IMTA	墨西哥水技术学院
Kemitraan	克米特兰	印度尼西亚政府改革伙伴关系
LDC	LDC	最不发达国家
MIE	MIE	多边执行实体
MOWE	MOWE	乌干达水和环境部

MTS	中期战略	2018-2022 年适应基金中期战略
NABARD	NABARD	印度国家农业和农村发展银行
NATURA	NATURA	巴拿马自然基金会
NEMA	NEMA	肯尼亚国家环境管理局
NEMC	NEMC	坦桑尼亚国家环境管理委员会
NGO	NGO	非政府组织
NIE	NIE	国家执行实体
non-Annex I Party	非附件一缔约方	非《公约》附件一所列缔约方
OSS	OSS	突尼斯撒哈拉和萨赫勒观测站
PACT	PACT	伯利兹保护区养护信托基金
PCCB	PCCB	巴黎能力建设委员会
PPRC	PPRC	项目和方案审查委员会
SBI	履行机构	附属履行机构
SCF	SCF	资金问题常设委员会
SIDS	SIDS	小岛屿发展中国家
UNDP	计划署	联合国开发计划署
UNEP	环境署	联合国环境规划署
UNESCO	教科文组织	联合国教育、科学及文化组织
UN-Habitat	人居署	联合国人类住区规划署
WFP	粮食署	世界粮食计划署
WMO	气象组织	世界气象组织

## 一. 导言

### A. 任务

1. COP 7 决定成立适应基金。<sup>1</sup> COP 3 决定，适应基金的经营实体为适应基金董事会(董事会)，由一个秘书处和一个托管人提供服务。<sup>2</sup>
2. CMP 3 请董事会在 CMP 各届会议上报告其活动的情况。它邀请全球环境基金(环境基金)向董事会提供秘书处服务，请世界银行担任适应基金托管人，这两项均为暂行安排。<sup>3</sup>
3. CMA 1 和 CMP 14 决定，自 2019 年 1 月 1 日起，在所有涉及《巴黎协定》的事项上，适应基金应在 CMA 的指导下为《巴黎协定》服务，并对 CMA 负责。CMP 14 还决定，适应基金将继续为《京都议定书》服务，直至《巴黎协定》第六条第四款规定的收益分成可用。<sup>4</sup>

### B. 本报告的范围

4. 本报告详细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，并提出建议供 CMP 和 CMA 酌情采取行动。由于 CMA 没有就适应基金下需要积极处理的与《巴黎协定》有关的事项提供具体指导，因此本报告不包括关于这些事项的单独信息。适应基金董事会欢迎 CMA 就所有此类问题提供指导。除非另有说明，报告所涉时间为 2020 年 7 月 1 日至 2021 年 6 月 30 日。

## 二. 供作为《京都议定书》缔约方会议的《公约》缔约方会议第十六届会议和(或)作为《巴黎协定》缔约方会议的《公约》缔约方会议第三届会议采取行动的提议

5. CMP 和(或)CMA 不妨就第 1/CMP.3 号决定第 1 段所述有资格获得适应基金供助的缔约方的问题提供指导和(或)澄清，这反映在 CMP 4 通过的战略优先事项、政策和指南<sup>5</sup> 的第 5 和第 10 段中。<sup>6</sup> 董事会此前曾邀请 CMP 和(或)CMA 就如何处理《京都议定书》或《巴黎协定》的缔约方，但不是两者都参加的缔约方提出的供资请求的问题，提供指导和(或)澄清。<sup>7</sup> 董事会秘书处收到了一份这样

<sup>1</sup> 第 10/CP.7 号决定，第 1 段。

<sup>2</sup> 第 1/CMP.3 号决定，第 3 段。

<sup>3</sup> 第 1/CMP.3 号决定，第 5(l)、19 和 23 段。

<sup>4</sup> 第 13/CMA.1 号决定，第 1 段；以及第 1/CMP.14 号决定，第 1-2 段。

<sup>5</sup> 可查阅 <https://www.adaptation-fund.org/document/strategic-priorities-policies-and-guidelines-of-the-adaptation-fund-adopted-by-the-cmp-annex-i-to-the-opg/>。

<sup>6</sup> 见第 1/CMP.4 号决定第 6 段和附件四。

<sup>7</sup> 见 FCCC/KP/CMP/2019/4/Add.1–FCCC/PA/CMA/2019/2/Add.1 号文件，附件第 42、43 和 47 段；以及 FCCC/KP/CMP/2020/2–FCCC/PA/CMA/2020/1 号文件，第 5 段和附件九。

的供资申请，同时还收到了一个不是《京都议定书》缔约方但正在批准《巴黎协定》的国家对一个指定机构的提名。<sup>8</sup>

6. CMP 和(或)CMA 不妨注意董事会对附件九所载 CMP 在第三次适应委员会审查期间提供的指导的更新响应。<sup>9</sup>

7. 董事会请 CMP 和(或)CMA 注意报告所述期间的以下关键数字、活动、行动和决定：

(a) 董事会做出了重大决定，将每个国家的筹资准入上限从 1,000 万美元增加到 2,000 万美元，每个合格发展中国家缔约方获得认可的国家执行实体从 1 个增加到 2 个；

(b) 董事会采取了一些进一步加强项目核准和实施的政策决定，包括以下方面的决定：简化项目和方案审查过程；更新关于项目和方案启动延误的政策；以及通过额外审查周期全年提供准备工作赠款；

(c) 适应基金信托基金的累计收入已达到 11.0740 亿美元，其中 2.0838 亿美元来自核证减排量货币化，8.5882 亿美元来自捐款，还有 4,021 万美元来自信托基金余额的投资收入(截至 2021 年 6 月 30 日)。报告所述期间的收入总额为 1.2908 亿美元，其中 364 万美元来自核证减排量货币化，1.2357 亿美元来自额外捐款，187 万美元来自投资收入；

(d) 德国、爱尔兰、意大利、挪威、卡塔尔、西班牙和瑞典，以及比利时的布鲁塞尔首都和瓦隆大区提供了约 1.2357 亿美元的捐款；

(e) 截至 2021 年 6 月 30 日，未缴捐款共计 3,627 万美元；

(f) 截至 2021 年 6 月 30 日，可用于新批准用资项目的资金达 1.9569 亿美元；

(g) 2020 年，在实现 2020-2021 两年期每年 1.2 亿美元的资源动员目标方面，董事会从德国、爱尔兰、意大利和瑞典，以及比利时的瓦隆和布鲁塞尔首都大区获得了 1.16 亿美元的新承诺。此外，欧盟委员会提供了支持，直接向董事会在新的创新机制下批准的一项方案资助 1,000 万欧元。2021 年，卡塔尔提供了一笔捐款，它是向适应基金提供资金支持的第一个《公约》非附件一缔约方；

(h) 董事会认证了 1 个国家执行实体、1 个区域执行实体和 1 个多边执行实体(国家执行实体获准对适应基金资源的直接准入)，使获得认证的执行实体总数达到 33 个国家执行实体(9 个在最不发达国家，7 个在小岛屿发展中国家)，7 个区域执行实体和 14 个多边执行实体。在这 54 个经认证的执行实体中，31 个已获得重新认证(16 个国家执行实体、4 个区域执行实体和 11 个多边执行实体)；

(i) 尽管 COVID-19 大流行带来了挑战，但项目和方案的累计核准额增加了 12%，达到 8.3149 亿美元(截至 2021 年 6 月 30 日)；

<sup>8</sup> 关于适应基金和《巴黎协定》相关问题的现状，见下文第五章。

<sup>9</sup> 第 2/CMP.13 号决定。

(j) 新核准的供资总额达 86.9 亿美元，其中包括具体的单一国家和区域性(多国)提案、中期战略下的赠款提案<sup>10</sup> 和准备工作赠款；

(k) 执行实体提交的 13 个单一国家项目或方案提案获得批准，总额为 6,420 万美元，其中包括国家执行实体为印度尼西亚(4 项提案)和坦桑尼亚联合共和国(2 项提案)提交的 6 项提案，金额为 1,150 万美元，以及多边执行实体提交的 7 项提案，总额为 5,260 万美元，分别为柬埔寨、喀麦隆、埃及、冈比亚、利比里亚、阿拉伯叙利亚共和国和津巴布韦等国核准；

(l) 为三个区域性(多国)项目核准了总额 2,740 万美元的资金，其中 1,390 万美元用于约旦、和黎巴嫩；700 万美元用于泰国和越南；650 万美元用于哈萨克斯坦、吉尔吉斯斯坦、塔吉克斯坦和乌兹别克斯坦；

(m) 自适应基金投入运作以来，已核准的 121 个项目的累计付款达到 4.859 亿美元，其中包括在本报告所述期间支付的 7,620 万美元。共有 76 个项目正在执行中，其中 14 个已开始执行，6 个已完成。按部门划分，赠款金额最多的是拨给农业部门的项目(14.3%)，其次是粮食安全(14.2%)和水管理(12.1%)；

(n) 对基金资金的需求继续增长，目前已提交但未获准的项目和方案提案总额约为 2.79 亿美元(截至 2021 年 6 月 30 日)，与前几年相比继续呈上升趋势；

(o) 中期战略下的活动继续实施，对创新、学习和项目扩大的赠款供资窗口实施了第四和第五个审查周期，董事会核准了另外两个创新小额赠款提案和两个学习补助金提案，总额为 788,322 美元；

(p) 中期战略下的新活动包括：董事会批准用于创新的大笔赠款和加强直接准入的供资窗口；以及董事会在适应基金参与全球适应问题委员会就由当地主导行动的轨道后，批准由地方主导适应行动的原则。适应基金气候创新加速器在 2020 年 11 月成立后开始实施，发出首次征求建议书；

(q) 作为基金知识管理框架的一部分，以英文、法文和西班牙文推出了一个关于解锁适应资金和获得适应基金资源的免费虚拟学习课程；

(r) 关于准备工作赠款的核准供资决定为 59,820 美元，其中包括三笔技术援助赠款；董事会在初步试点阶段成功后批准了新的准备工作一揽子赠款窗口。经认证的国家执行实体的准备活动继续以虚拟形式进行，包括关于项目开发的两次网络研讨会、一次全球认证培训讲习班和一次南南学习国别交流；

(s) 董事会批准了更新的适应基金性别政策和行动计划，<sup>11</sup> 执行实体已经开始使用更新的适应基金项目绩效报告模板，以更系统地跟踪进展情况；

(t) 董事会审议了进一步加强民间社会参与工作的备选方案；

(u) 鉴于 COVID-19 大流行和适应基金业务面临的持续挑战，包括对项目实施和新的方案规划的挑战，董事会对 COVID-19 大流行采取了应对措施，为减轻对适应基金项目组合的影响采取了适应性措施；

<sup>10</sup> 见 <https://www.adaptation-fund.org/document/medium-term-strategy-2018-2022/>。

<sup>11</sup> <https://www.adaptation-fund.org/document/opg-annex4-gender-policy/>。



(v) 为了基金利害关系方和更广泛的气候资金界的利益，适应基金就以下主题进行有针对性的传播和信息传递：适应基金开创性可推广工作的独特价值、适应基金中期战略的实施情况、适应基金应对 COVID-19 的措施以及适应基金在建设更大韧性方面的价值(见附件六)；

(w) 适应基金技术评价咨询小组(AF-TERG)开始执行其评价活动，作为董事会批准的多年战略和工作方案的一部分，包括修订适应基金评估框架和对中期战略的中期审查；

(x) 促进了适应基金与《公约》下其他机构的联系，如适应委员会、气候技术中心和网络、绿色气候基金、全球环境基金、巴黎能力建设委员会和资金问题常设委员会。董事会就适应基金和绿色气候基金之间的联系，包括就促进扩大资助项目和直接获取资金实体实践社区(CPDAE)的框架，进行了讨论。

### 三. 在报告所述期间开展的工作

8. 由于继续存在与 COVID-19 相关的情况，董事会通过在线会议系统举行了两次虚拟会议。议程和议程说明(包括议程项目背景文件)以及会议的详细报告可查阅适应基金网站。<sup>12</sup>

#### A. 选举适应基金董事会主席和副主席

9. 董事会第 36 次会议上以协商一致方式选举<sup>13</sup> Mattias Broman(瑞典，附件一缔约方)为主席，选举 Albara Tawfiq(沙特阿拉伯，亚太国家)为副主席。

#### B. 适应基金董事会的组成

10. 在 COP、CMP 和 CMA 主席团因 COP 26 延期而决定延长《公约》、《京都议定书》和《巴黎协定》等机构的现有成员资格之后，董事会注意到以下指导意见，即：它的成员和候补成员，凡其职位将在 2021 年开放选举的，可继续任期至 2022 年。到本报告所述期间结束时，西欧和其他国家的一个候补成员职位尚未填补。

11. 董事会现任成员和候补成员的名单载于附件一。

#### C. 适应基金董事会 2021 年的会议

12. 董事会通过了 2021 年的会议日历(见下表)。董事会第 36 次会议原定于 2021 年 3 月 22 日至 26 日在波恩举行现场会议，但由于 COVID-19 大流行，会议改成虚拟会议。<sup>14</sup>

<sup>12</sup> <http://www.adaptation-fund.org>。

<sup>13</sup> 根据第 1/CMP.3 号决定，第 13 段。

<sup>14</sup> 根据董事会议事规则第 18 段，会议考虑在波恩的《气候公约》秘书处所在地举行的。

## 适应基金董事会 2021 年的会议

会议和日期	地点
第 36 次会议, 4 月 6 日至 8 日(虚拟)	波恩 <sup>a</sup>
第 37 次会议	
2021 年 10 月 11 日至 15 日, 如果现场举行	波恩 <sup>a</sup>
2021 年 10 月 18 日至 22 日, 如果虚拟举行	波恩 <sup>a</sup>

<sup>a</sup> 根据董事会议事规则第 18 段。

## D. 适应基金信托基金的资源

13. 截至 2021 年 6 月 30 日, 托管人售出了 3,100 万适应基金核证减排量, 均价为每一核证减排量 6.72 美元, 收入 2.0838 亿美元。在报告所述期间, 核证减排量货币化收入达 364 万美元。截至 2021 年 6 月 30 日, 按照董事会通过的核证减排量货币化方案准则, 仍有 1,040 万核证减排量可供出售。<sup>15</sup> 迄今为止, 董事会已指示托管人向各执行实体转账共 4.9105 亿美元。

14. 截至 2021 年 6 月 30 日, 可用于新批准用资项目的资金达 1.9569 亿美元。

## E. 适应基金董事会的工作计划

15. 董事会第 36 次会议通过了 2021 年 7 月 1 日至 2022 年 6 月 30 日财政年度的工作计划。<sup>16</sup>

## F. 适应基金董事会、秘书处和托管人的预算

16. 董事会第 36 次会议审议并批准了用以支持董事会及其秘书处和托管人工作至 2022 年 6 月 30 日的资源(见附件二)。<sup>17</sup> 截至 2021 年 6 月 30 日, 董事会及其秘书处和评价职能、托管人经核准的 2022 财政年度估计行政预算需求为 8,848,404 美元, 比上年增加 18.8%。核定预算用于执行中期战略下的一系列活动, 以及本报告所述期间启动的适应基金评价职能。此外, 董事会批准了 2023 财政年度从 2022 年 7 月 1 日至 2023 年 6 月 30 日的评价职能(AF-TERG 及其秘书处)滚动行政预算, 计 1,293,049 美元。

## G. 执行实体的认证

17. 认证小组在报告所述期间举行了两次会议。董事会选举 Evans Njowa(马拉维, 非附件一缔约方)为主席, Eleonora Cogo(意大利、西欧和其他国家)为副主席。认证小组由这两名董事会成员和四名独立专家组成。

<sup>15</sup> 可查阅 <https://www.adaptation-fund.org/document/cer-monetization-program-guidelines-updated-march-2012/>。

<sup>16</sup> 见董事会 B.36/30 号决定。

<sup>17</sup> 见董事会 B.33/50 号决定。

18. 董事会审议了认证小组的建议，批准了对一个国家执行实体的认证，即洪都拉斯 Mennonite 社会行动委员会，对一个区域执行实体的认证，即国际山区综合发展中心，以及对一个多边执行实体的认证，即联合国工业发展组织。在本报告所述期间结束时，有 33 个国家执行实体、7 个区域执行实体和 14 个多边执行实体，包括最不发达国家的 9 个国家执行实体和小岛屿发展中国家的 7 个国家执行实体。截至 2021 年 6 月 30 日，最不发达国家的 12 个国家执行实体申请者和小岛屿发展中国家的 7 个国家执行实体申请者在继续寻求认证。截至 2021 年 6 月 30 日，在 54 个经认证的执行实体中，31 个(16 个国家执行实体、4 个区域执行实体和 11 个多边执行实体)已获重新认证。经认证的执行实体名单载于附件三。

19. 董事会审议了将执行实体申请者分类区域执行实体的事宜后，批准了核证自我评估的审查程序，以决定执行实体申请者是否有资格申请作为区域执行实体认证，并核准了对区域执行实体的拟议定义。

## H. 适应基金董事会各委员会

20. 在本报告所述期间，董事会 2009 年成立的道德操守和财务委员会(EFC)以及项目和方案审查委员会(PPRC)在董事会第 35 次会议第二部分和第 36 次会议之前的几个星期内，举行了两次会议。在董事会第 2 次会议上，Mohamed Zmerli(突尼斯，非洲国家)当选为 EFC 主席，Sylviane Bilgischer(比利时，非附件一缔约方)当选为副主席；Susana Castro-Acuña Baixauli(西班牙、西欧和其他国家)当选为 PPRC 主席，Ala Druta(摩尔多瓦，东欧国家)当选为副主席。这两个委员会还在闭会期间用虚拟环境进行工作，并向董事会提出了建议。

21. EFC 审议了适应基金 2020 财政年度的年度业绩报告，并就此向董事会提出了建议；就适应基金应对 COVID-19 大流行的情况以及项目启动延迟和提出的备案问题提交了报告；并就以下方面提供了最新情况：资源调动战略和行动计划、将执行实体申请者分类为区域执行实体的情况、董事会及其秘书处和评估职能及托管人 2022 财政年度的工作计划和行政预算，以及 AF-TERG 主席的报告。

22. 在本报告所述期间结束时，PPRC 审查了 9 份单一国家项目构想和 17 份完整的单一国家项目提案，代表 25 个单独的项目提案；区域性(多国)项目和方案的 5 份前期构想、7 份构想和 6 份完整的项目文件，代表 17 个单独的项目和方案提案；6 个关于创新的小额赠款提案和两个学习赠款提案。

23. PPRC 还向董事会提出了关于启动大额创新赠款和加强直接准入窗口的建议。

## I. 适应项目和方案的供资决定

24. 在本报告所述期间的会议上，董事会批准了 13 项单一国家供资提案，总额 6,420 万美元；3 项区域(多国)供资提案，总额为 2,740 万美元(见附件七)。<sup>18</sup> 本报告所述期间为以下国家核准或建议核准单一国家供资提案：柬埔寨、喀麦隆、埃及、冈比亚、印度尼西亚、利比里亚、阿拉伯叙利亚共和国、坦桑尼亚联合共

<sup>18</sup> 包括董事会批准的关于印度尼西亚的两项提案，这两项提案须待第 36 次会议上对印度尼西亚的国家执行实体举行重新认证。

和国和津巴布韦。在本报告所述期间，经核准或建议核准在区域项目和方案供资窗口中供资的区域提案包括约旦和黎巴嫩；哈萨克斯坦、吉尔吉斯斯坦、塔吉克斯坦和乌兹别克斯坦；以及泰国和越南。

25. 在报告所述期间的会议上，董事会核准了不丹、海地、黎巴嫩、马来西亚、阿拉伯叙利亚共和国、乌干达、越南和津巴布韦的 8 个单一国家项目构想，总额为 5,270 万美元，并为国家执行实体提交的项目核准了 3 个项目编制赠款和 3 个项目编制援助赠款，总额为 147,000 美元。

26. 在区域项目和方案供资窗口中，董事会核准了 7 个项目构想，总额为 9,340 万美元，用于以下国家的区域项目：安哥拉和纳米比亚；安提瓜和巴布达以及圣卢西亚；阿塞拜疆和伊朗伊斯兰共和国；贝宁、布基纳法索、科特迪瓦、冈比亚、加纳、几内亚、利比里亚、马里、尼日尔、尼日利亚、塞内加尔、塞拉利昂和多哥；佛得角、几内亚比绍、圣多美和普林西比；乍得和苏丹；以及萨尔瓦多和洪都拉斯。此外，它还为以下国家的区域项目核可了共计 3,860 万美元的 3 项区域项目前期构想：喀麦隆、中非共和国、乍得、尼日尔和尼日利亚；几内亚、马里、毛里塔尼亚和塞内加尔；以及印度和斯里兰卡。董事会还对已核可的前期构想和构想批准了 660,000 美元的项目拟订赠款。已核准的完整提案和认可的前期构想和构想包括：农业、海岸带管理、灾害风险减少和预警系统、粮食安全、多部门、农村发展、跨界水管理、城市发展和水管理部门(见图六.1 至六.3)。<sup>19</sup>

27. CMP 11 请董事会在向 CMP 提交的报告中提供关于适应基金项目组合状况(包括处于不同开发阶段的项目)的进一步信息。<sup>20</sup> 所要求的信息载于附件八。

28. 对适应基金供资需求继续增长，目前已提交但未获准的项目和方案提案总额约为 2.79 亿美元(截至 2021 年 6 月 30 日)，与前几年相比继续呈上升趋势(见表 VII.3)。

29. 应民间社会和非政府组织观察员的建议和要求，所有项目和方案提案均原文张贴在适应基金网站上，感兴趣的利害关系方可在网上就提案发表意见。向董事会提交的对提案的评述，可通过电子形式发送给秘书处，<sup>21</sup> 评述可在网站上各自的项目网页上查阅，并被纳入提交 PPRC 的各自的项目文件中。

## J. 对项目组合的监测

30. 报告所述期间有 76 个项目在执行，其中 14 个已开始执行，6 个已完成。到本报告所述期间结束时，共向自适应基金运行以来核准的 121 个项目支付了 4.859 亿美元，其中包括报告所述期间的 7,620 万美元。非洲是迄今批准的赠款资金最多的国家，44 个项目的赠款为 3.356 亿美元(40.9%)；其次是亚太地区，42 个项目的赠款为 2.392 亿美元(29.2%)；拉丁美洲和加勒比，27 个项目的赠款为 2.158 亿美元(26.3%)；以及东欧，6 个项目，核准供资 2,980 万美元(3.6%)。两个总计 1,000 万美元的方案(由计划署和环境署运作的多边执行实体创新汇总方案)在全球运作。

<sup>19</sup> 如上文脚注 17。

<sup>20</sup> 第 1/CMP.11 号决定，第 11 段。

<sup>21</sup> 见 <https://www.adaptation-fund.org/contact/>。

31. 按部门划分，拨给农业部门项目的赠款额最大，核准了 1.188 亿美元 (14.3%)；其次是粮食安全，1.182 亿美元 (14.2%)；水资源管理，1.007 亿美元 (12.1%)；农村发展，9,860 万美元 (11.9%)；减少灾害风险和预警系统，9,830 万美元 (11.8%) (见图六.3)。董事会第 37 次会议将审议适应基金从 2020 年 7 月 1 日至 2021 年 6 月 30 日的第十一次年度业绩报告。

32. 赠款总额的细目，按适应基金一级的结果分列，在适应基金战略成果框架下予以跟踪。最大一笔赠款供资额用于该框架下的结果四——“提高相关发展部门服务和基础设施资产的适应能力” (2.106 亿美元，即占 30.1%)；其次是结果五——“提高生态系统对气候变化和多变性所致压力的韧性” (1.408 亿美元，即占 18.9%)。

## K. 中期战略(2018-2022 年)

33. 中期战略<sup>22</sup> 由董事会 2017 年 10 月第 30 次会议批准，它的基础是：适应基金的现有任务，以及对它在帮助实现《巴黎协定》和《2030 年可持续发展议程》所涉目标方面的主要优势和能力的分析。战略概述了为脆弱的发展中国家提供支持的三大支柱：行动、创新，以及学习和分享。在中期战略下，所有活动都应响应性别平等，并惠及最弱势群体。适应基金自创建以来一直支持创新和学习，中期战略也预想要进行精准供资，以资助这类活动，并支持各国各区域扩大证明有效的创新性适应做法和技术。

34. 在报告所述期间，AF-TERG 对中期战略的中期审查发现，中期战略有效地反映了《巴黎协定》的要务，并将适应基金导向处理气候变化的紧迫性。它还发现，中期战略进一步完善了适应基金的任务，使适应基金能够有效地与《公约》保持一致。<sup>23</sup>

35. 在报告所述期间，董事会继续实施中期战略。在行动、创新、学习和分享的三大战略支柱下，董事会审议并批准了两项针对创新的小额赠款提案和两项针对国家执行实体的学习赠款，总额为 788,322 美元。董事会批准了关于创新和加强直接准入的两个新的大额赠款供资窗口，并批准了关于加强直接准入的原则。在交叉领域，董事会在准备和筹备支持方案下加强了长期的机构和技术能力建设，并通过更新的性别政策和行动计划促进了性别平等。

### 1. 创新

36. 适应基金气候创新加速器方案开始实施，该方案是在 COP 25 上启动的，目的是引入特别融资机会，以在适应创新方面支持尚无国家执行实体的发展中国家，以及私营部门。开发署在报告所述期间发起了第一次征求建议，环境署在报告所述期间发起了第一和第二二次征求建议。创新窗口大额赠款计划是在董事会第 35 次会议第二部分时启动的。

37. 董事会在第 35 次会议的第一和第二部分、第 35 次会议的第二部分和第 36 次会议之间审议了四项关于对创新的小额赠款的新提案。批准的资金决定包括

<sup>22</sup> 可查阅 <https://www.adaptation-fund.org/document/medium-term-strategy-2018-2022/>。

<sup>23</sup> 董事会 AFB/EFC.27/Inf.2 号文件。

499,929 美元对创新的小额赠款，用于安提瓜和巴布达以及多米尼加共和国的项目。<sup>24</sup>

## 2. 学习和分享

38. 《巴黎协定》对适应学习和分享给予了前所未有的重视，特别是发展中国家缔约方开展的并与它们一起进行的适应学习和分享。<sup>25</sup> 在报告所述期间，在学习和分享的支柱下实施了一些相关活动：

(a) 完成了一个虚拟培训课程，针对的是那些对在适应基金求知和学习，以及对如何与适应基金一起制定学习赠款提案感兴趣的国家执行实体。课程有英文、法文和西班牙文；

(b) 一本知识手册，内载从参加课程的国家执行实体收集的经验教训，作为塞内加尔生态监测中心主办的关于减少灾害风险和沿海地区管理专题的国家交流活动的一部分。该手册有英文和法文本；

(c) 一份题为“适应资金中的地方领导”的出版物概述了地方领导的行动和来自适应基金项目组合的干预措施。2021 年 1 月举行虚拟的戈贝索纳全球会议，分享了该出版物的研究结果；

(d) 一次知识博览会，作为生态监测中心举办的关于减少灾害风险和海岸带管理专题的国家交流活动的一部分，与会的国家执行实体有机会分享了在该领域实施适应基金供资的项目期间学到的经验教训和面临的挑战；

(e) 董事会认可在全球气候行动下提出的关于地方主导适应行动的原则，表明适应基金与这些原则保持一致，并表明其继续致力于支持由当地利害关系方驱动的具体适应；

(f) 在第 35 次会议第一和第二部分之间，以及在第 36 次会议上，董事会审议并批准了肯尼亚和塞内加尔的两项学习赠款提案，总额为 288,393 美元。

## 3. 气候资金准备和筹备支持方案

39. 在报告所述期间开展了以下活动：

(a) 2020 年 9 月 1 日至 3 日，作为一项虚拟活动，为经认证的国家执行实体举办了年度气候资金准备和筹备研讨会，32 个经认证的国家执行实体中有 27 个参加了研讨会，总共有近 60 人参加。与会者讨论了分享项目成功的最佳做法、在应对 COVID-19 中的学习、重新认证方面的最佳做法、关于项目扩大的信息，以及创新和学习赠款，并通过 CPDAE 分享了进一步的学习；

(b) 适应基金为国家执行实体举办的第 11 和第 12 次气候资金准备情况网络研讨会分别讨论以下两个专题：气候变化适应推理以支持项目开发和评估更广泛的脆弱性(2020 年 11 月 10 日至 11 日)；了解项目活动筹备中的项目审查标准和脆弱性评估(2021 年 3 月 25 日)；

<sup>24</sup> 董事会 B.35-36/13 和 B.35.a-35.b/72 号决定。

<sup>25</sup> 例如《巴黎协定》第七条第七和第九款。



(c) 核准了三笔技术援助赠款，总计 59,820 美元，以支持贝宁、科特迪瓦和墨西哥的国家执行实体加强其应对和管理环境和社会风险的能力，以及适应项目和方案中以及机构层面的性别考虑；<sup>26</sup>

(d) 在 2018 年 6 月至 2020 年 10 月的初步试点阶段之后，董事会批准了准备工作一揽子赠款窗口；<sup>27</sup>

(e) 编写和分发由适应准备和能力建设资助提供者于 2020 年 9 月 1 日编写的第三份公报，该公报是与 CTCN 和巴黎能力建设委员会合作编写的；

(f) 全球认证培训讲习班于 2020 年 11 月 3 日和 5 日以虚拟形式举行，讨论了缩小获得适应资金方面的差距，并分享了董事会秘书处、认证小组和适应基金执行实体的经验教训；

(g) 支持 CPDAE，这是一项由适应基金的认可国家执行实体和绿色气候基金的直接准入实体驱动的倡议。在适应基金、绿色气候基金和德国国际合作局(落实伙伴)的共同支持下，CPDAE 制订了一项通过绿色气候基金的资源提供资金的提案，以实施 CPDAE 的行动计划。绿色气候基金正在审查和审议该提案；

(h) 2020 年 11 月 4 日与国际气候变化与发展中心联合主办加强地方一级韧性的能力建设圆桌会议，这是巴黎能力建设委员会关于更好地恢复的能力建设势头活动系列的一部分，以阐明对全球踊跃支持现行活动的情况，这些活动正在将世界推向高韧性和低碳的未来；

(i) 2020 年 11 月 30 日、12 月 3 日和 10 日与生态监测中心合作主办虚拟国家交流会，以加强经认可的国家执行实体关于减少灾害风险和海岸带管理专题的南南和点对点学习；

(j) 2021 年 5 月 13 日举行关于加强项目开发和直接准入的区域网络研讨会，作为 2021 年 5 月 11 日至 14 日由多米尼加共和国政府主办的 2021 年《气候公约》拉丁美洲和加勒比气候周的一部分；

(k) 2021 年 6 月 29 日举行亚太和东欧区域网络研讨会，重点讨论了适应基金的项目开发、审查和批准程序。

#### 4. 性别平等与增强妇女和女童权能

40. 就董事会组成中的性别平衡而言，31 个席位中有 16 个(目前有一个空缺)由女性担任。

41. 董事会于 2021 年 3 月批准了最新的适应基金性别政策和性别行动计划。<sup>28</sup>多步骤和参与性进程包括：对性别政策和行动计划的执行进展情况进行独立审查，<sup>29</sup> 针对不同的适应基金利益攸关方(执行实体、董事会成员和候补成员、董事会秘书处和适应基金非政府组织网络)进行量身定做的调查，以及两轮公开征求意见。

<sup>26</sup> 董事会 B.35-36/6、B.35-36/7 和 B.35-36/8 号决定。

<sup>27</sup> 董事会 B.36/25 号决定。

<sup>28</sup> 见 <https://www.adaptation-fund.org/document/opg-annex4-gender-policy/>。

<sup>29</sup> 董事会 AFB/B.34/Inf.9 号文件。

42. 为了帮助加强执行实体将性别因素纳入适应基金项目和方案的能力，继续提供关于性别的技术援助赠款，还有一个关于在项目/方案设计和实施中解决环境、社会和性别因素的电子学习课程。

43. 执行实体已开始使用更新的适应基金项目执行情况报告模板，每年跟踪进展情况并更系统地报告性别问题。更新的模板在保持性别分类信息报告的同时，还提高项目开始、实施和完成时报告性别情况的质量，并分享与执行实体性别响应措施有关的详细经验和教训。汇总信息可查阅适应基金的年度业绩报告。

44. 适应基金 2020 财政年度的年度业绩报告<sup>30</sup> 在性别专题部分报告了 2020 财政年度批准的一些项目的性别敏感和性别响应干预措施。<sup>31</sup>

45. 适应基金继续与其他伙伴组织在性别问题上开展合作，包括绿色气候基金、联合国性别平等和增强妇女权能署以及《气候公约》。董事会的一名成员参加了技术执行委员会的会议，分享了适应基金在《气候公约》进程中将性别观点纳入主流的经验，并与《气候公约》组成机构的参与性别问题协调中心讨论了协同和协作的领域。

## 5. 与民间社会对话

46. 自董事会第 12 次会议以来，董事会与民间社会组织之间的定期对话一直是董事会会议常设议程的一部分，它为董事会提供了一个听取它们的建议、收到对议程上问题的反馈和交换意见的机会。中期战略确认，民间社会以各种方式为论坛作出贡献，包括在资源调动、提供所支持项目的实时更新和评估、收集预期受益者的投入和整合知识管理方面。中期战略申明，尽管目前的做法在透明度，甚至对民间社会组织负责方面相当有效，但仍有改进的余地，董事会的目标是与适应基金非政府组织网络合作，以探索在 2018-2022 年开展更大合作的模式。

47. 在第 36 次会议上，董事会审查了该网络就与民间社会合作问题提出的建议进行的第一轮调查结果。董事会决定继续就此进行讨论，并在其成员和候补成员中进行第二轮调查，并就是否需要有一项关于民间社会与适应基金合作的政策问题进行研究。<sup>32</sup>

## L. 应对 2019 冠状病毒病大流行

48. 随着 COVID-19 大流行的持续，适应基金继续应对与项目实施、新的方案规划、董事会及其委员会的面对面会议以及其他活动等有关的挑战。

49. 尽管面临与 COVID-19 有关的挑战和各国采取的限制性措施，但为了确保继续支持发展中国家，董事会及其各委员会以虚拟形式在闭会期间组织和开展了工作，包括：

<sup>30</sup> 董事会 AFB/EFC.26.b/3 号文件。

<sup>31</sup> 附件五列出了两个例子。2020 年年度执行情况报告和适应基金还列出了进一步的例子和教训。2020 年。评估进展情况：将性别问题纳入适应基金项目和方案。华盛顿特区：适应基金。可查阅 <https://www.adaptation-fund.org/document/assessing-progress-integrating-gender-in-adaptation-fund-projects-and-programmes>。

<sup>32</sup> 董事会 B.36/44 号决定。



(a) 在闭会期间审议项目和方案提案，包括通常没有资格在闭会期间获得批准的提案，如首次提交的提案和小额赠款提案，从而在董事会第 36 和第 37 次会议之间的闭会期间项目审查周期，批准了总额为 3,100 万美元的 6 个新项目，包括 3 个直接准入项目、2 个首次受供资的缔约方(喀麦隆和利比里亚)、1 个创新小额赠款和 1 个学习赠款，并审议了 6 个完整的提案；

(b) 董事会第 36 次会议批准了董事会及其秘书处和托管人 2022 财政年度的行政预算、AF-TERG 及其秘书处 2022-2023 财政年度的行政预算，以及董事会秘书处的行动计划。

50. 作为滚动核准项目或方案有关问题(如实质改变或免费延长项目完成日期的请求)行动的标准程序的一部分，董事会批准了 12 项免费延长项目完成日期的申请，从而使相关国家和实体有更多时间完成项目活动。三项关于对项目进行实质性变更的请求；以及两项由执行实体提供直接项目服务的请求。

51. 鉴于疫情给项目实施带来的不确定性和限制(2020 年 6 月的一项调查也证明了这一点)，并为使执行实体能够继续交付项目和方案，董事会第 35 次会议第二部分批准了一套措施，以支持各国和执行实体减轻 COVID-19 的影响，并将任何相关干扰降至最低，包括：

(a) 对于因 COVID-19 而推迟并将在未来 24 个月内完成的具体适应项目和方案，提供一揽子的项目完成日期免费延长，可达 12 个月；

(b) 创建灵活的实质性变更应用软件，以允许项目预算重新分配达到项目预算总额的 20%，以支付与 COVID-19 有关的费用；

(c) 鼓励各国将更大的韧性纳入未来的适应基金方案规划；

(d) 尽可能让执行实体可以灵活选择以虚拟方式实施某些项目活动，包括项目启动会议、监督活动以及利害关系方咨询等。

52. 根据这些临时规定，董事会秘书处以滚动的方式结清了因 COVID-19 而提出的 13 项免费延长项目完工日期的请求。

53. 尽管面临疫情引起的挑战，但适应基金执行实体网络已扩大到总共 54 个，其中 8 个在报告所述期间重新认证到适应基金。

54. 在项目监测和学习任务方面，适应基金成功地执行了其第一次虚拟的项目监测任务，这是 2020 年 9 月在哥斯达黎加与国家执行实体可持续发展基金会合作资助的一个项目。适应基金正在探索更多的虚拟项目监测任务，如果可能的话，还会与其他执行实体一起进行现场任务。<sup>33</sup>

55. 由于 COVID-19 的风险及影响使气候脆弱社区和项目执行工作受到影响，人们越来越需要学习和分享、创新以及扩大适应基金下提高韧性的成功解决方案，这使中期战略的重要性倍增。

56. 许多项目能够在应对 COVID-19 方面以创新方式进行适应，例如，在印度由适应基金资助的妇女自助团体为与外界隔绝的村庄制作了数以千计的口罩，老挝人民民主共和国的非正规住区获得了改善卫生设施的直接供水，加纳的农民得以

<sup>33</sup> 有关详细信息，见 <https://www.adaptation-fund.org/adaptation-funds-first-virtual-project-visit-a-success/>。

继续向处于隔离状态的社区提供食物。<sup>34</sup> 适应基金目前正在确定在 COVID-19 背景下具有学习经验的项目，这些项目可以通过知识产品进行记录。

## M. 对适应基金的评价

57. 报告所述期间是 AF-TERG 运行的第二年。AF-TERG 第一任主席于 2020 财政年度结束时卸任，从现有的 AF-TERG 成员中选出了一名代理主席。AF-TERG 招聘工作组在 AF-TERG 秘书处的支持下，完成了新主席的遴选工作，于 2020 年 11 月任命。

### 1. 执行适应基金技术评价咨询小组的战略和工作方案

58. 在报告所述期间，AF-TERG 在三个工作要素上取得了进展：适应基金评价框架的审查和修订、适应基金最终评价的综合和中期战略的中期审查。

59. 审查和修订评价框架的目的是：(1) 确定并建议对该框架的必要修订；(2) 提出一份适应基金的框架草案，提交 EFC 审议，以期随后获得董事会的批准。在初创阶段，包括广泛的案头审查和与相关组织同行的面谈，编写了一份初创报告，为修订工作提供信息。在 EFC 第 27 次会议上介绍了最新进展情况。<sup>35</sup> AF-TERG 的分析得出结论：一种新的评价政策工具将作为一个建议的备用方案，作为一个统一框架，指导和整合整个适应基金的所有评价活动。董事会第 36 次会议请 AF-TERG 与董事会秘书处协商，为适应基金编写一份评价政策草案，以取代目前的评价框架，并提交给 EFC 第 28 次会议。<sup>36</sup>

60. AF-TERG 还完成了对适应基金最终评价的第一次综合，对 17 份评价报告进行了分析并提出了 5 项建议，提交给 EFC 第 27 次会议。<sup>37</sup> 董事会注意到综合报告的执行摘要，并请董事会秘书处和 AF-TERG 在更新相关框架/政策、模板和指南，并在规划和实施评价时考虑这五项建议。<sup>38</sup>

61. 对中期战略的中期审查研究了中期战略在适应基金任务方面能起多大的作用，以及能在多大程度上适合于当代和将来的气候融资。中期审查正在跟踪中期战略的执行和进展情况，以便为中期战略剩余时期以及下一次中期战略的制订提出建议。向 EFC 第 27 次会议提交了更新的初步调查结果。<sup>39</sup> 最终报告将提交给 EFC 第 28 次会议。

62. 作为 AF-TERG 与适应基金的主要利益攸关方(如执行和实施实体)继续共同学习的一部分，2020 年 11 月与适应基金非政府组织网络进行了初步磋商，随后与主要利益攸关方进行了更广泛的磋商。

<sup>34</sup> 有关更多示例，请访问适应基金网站：<https://www.adaptation-fund.org/adaptation-fund-projects-build-climate-resilience-while-promoting-sustainable-development/>。

<sup>35</sup> 董事会 AFB/EFC.27/7 号文件。

<sup>36</sup> 董事会 B.36/32 号决定。

<sup>37</sup> 董事会 AFB/EFC.27/8 号文件。

<sup>38</sup> 董事会 B.36/33 号决定。

<sup>39</sup> 董事会 AFB/EFC.27/Inf.2 号文件。

63. 在 EFC 第 27 次会议上, AF-TERG 提出了咨询小组的构想, 以支持适应基金所有主要利益相关方参与 AF-TERG 的工作内容。关于评价政策工作的第一次咨询小组会议于 2021 年 6 月 18 日以虚拟形式举行。

## 2. 适应基金技术评价咨询小组的预算

64. 董事会批准了拟议的修订预算 1,300,829 美元, 用于支付 AF-TERG 及其秘书处 2022 财政年度的业务费用, 还批准了拟议预算 1,293,049 美元, 用于支付 AF-TERG 及其秘书处 2023 财政年度的业务费用。<sup>40</sup>

## N. 参加会议和活动情况

65. 除了董事会的会议、认证小组的会议以及董事会及其秘书处组织的与准备工作有关的活动外, 适应基金还组织了其他虚拟活动, 以展示其经验和执行其任务, 例如对哥斯达黎加的项目地点进行了一次虚拟的实地访问。董事会及其秘书处和(或)AF-TERG 还参加了附件四所列的其他相关会议和活动。

## 四. 为适应基金董事会执行任务提供的支持

66. CMP 5 鼓励附件一缔约方和国际组织除了清洁发展机制项目活动的收益分成以外, 向适应基金提供资金。<sup>41</sup> CMP 7 继续鼓励附件一缔约方和国际组织提供资金。<sup>42</sup>

67. 在报告所述期间, 董事会根据 2017-2020 年资源调动战略(2016 年 10 月批准)<sup>43</sup> 和资源调动行动计划(2017 年 3 月批准), 为执行任务调动资源并得到了支持。<sup>44</sup>

68. 在 2020-2021 年现两年期, 为了满足日益增长的资源需求, 董事会第 35 次会议第二部分批准了每年 1.2 亿美元的新资源调动目标, 但有一项谅解, 即这是一个指示性目标, 超过这一目标的支持将受到欢迎。<sup>45</sup>

69. 2020 年 12 月, 适应基金举行了一次虚拟的捐助方对话, 以提振适应资金方面的雄心, 这次活动适逢《巴黎协定》签署五周年和 2020 年气候雄心峰会。在这次对话期间, 适应基金得到了德国、爱尔兰、意大利和瑞典, 以及比利时的瓦隆和布鲁塞尔首都大区的认捐, 为 2020 年筹集了 1.16 亿美元的新捐款。总计差不多达到了设定的目标, 在 COVID-19 疫情这样严峻的经济年度里, 这是一项了不起的努力。

70. 除了对适应基金信托基金的捐款外, 欧盟委员会还支持董事会履行其任务, 直接资助董事会在创新机制(适应基金—开发署创新小额赠款汇集平台)下批准的

<sup>40</sup> 董事会 B.36/31 号决定。

<sup>41</sup> 第 4/CMP.5 号决定, 第 9 段。

<sup>42</sup> 第 6/CMP.7 号决定, 第 5 段。

<sup>43</sup> 董事会 B.28/44 号决定。

<sup>44</sup> 董事会 B.29/41 号决定。

<sup>45</sup> 董事会 B.35.b/22 号决定。

一个方案，其形式是欧盟委员会与开发署之间的合同安排，该安排于 2020 年 12 月完成。

71. 2021 年 1 月，卡塔尔作为对适应基金的新捐助国，通过卡塔尔发展基金成为第一个向适应基金提供资金支持的非附件一缔约方。适应基金的捐助方和金额的完整清单载于附件十的“捐款”项下。

72. 在第 36 次会议上，AFB 审议了对 2017-2020 年资源调动活动的更新，<sup>46</sup> 并决定请董事会秘书处与董事会资源调动工作队协商，编写 2021-2024 年资源调动战略草案和资源调动行动计划草案，并提交董事会第 37 次会议审议。<sup>47</sup>

73. 董事会决定，<sup>48</sup> 在适应基金传播和外联活动中强调，总体适应供资需求是如何随着适应基金的战略优先事项以及由于 COVID-19 大流行的影响而增加的。根据该决定，适应基金派代表出席了 2021 年 3 月 31 日由即将上任的 COP 26 主席召开的气候和发展部长会议，与会者一致认为，迫切需要增加适应和韧性方面的资金，扩大使用直接准入模式，增加达到地方层面的资金比例，以增强最脆弱国家和社区的能力。

74. 除了在政府的供资外，董事会还就捐款领域的其他来源，如基金会、慈善组织、非营利组织、私人和私营部门公司等，采取了进一步的行动。2020 年 12 月，董事会根据资源调动工作队的建议，在闭会期间审议并批准了程序步骤，借以接受来自政府供资以外的来源的捐款。<sup>49</sup> 来自政府资金以外来源的捐款包括通过 2012 年建立的联合国基金会在线捐款链接<sup>50</sup> 提供的捐款。适应基金还定期促进私营部门和个人利用向适应基金信托基金捐款的这个机会。

75. 董事会表示适应基金致力于履行其任务，以满足发展中国家对具体适应行动日益增长的需求，因此决定将所有符合条件的发展中国家缔约方的上限从每一国家 1,000 万美元修订为 2,000 万美元，这样任何缔约方都可以从适应基金获得总额高达 2,000 万美元的资金。<sup>51</sup> 董事会还决定允许每个国家最多认证两个国家执行实体，并大力鼓励各国利用适应基金的直接准入模式。<sup>52</sup>

76. 董事会在进一步采取步骤，积极地向现有和潜在的捐助方通报即将到来的机会，为董事会执行其任务提供支持，包括将与 COP 26 一起召开的 2021 年捐助方对话。

## 五. 适应基金和《巴黎协定》

77. 自 2019 年 1 月 1 日起，适应基金就与《巴黎协定》有关的所有事项，在 CMA 的指导下并对 CMA 负责，开始为《巴黎协定》服务，并在《巴黎协定》第

<sup>46</sup> 董事会 AFB/EFC.27/10 号文件。

<sup>47</sup> 董事会 B.36/36 号决定。

<sup>48</sup> 董事会 B.35.b/22 号决定。

<sup>49</sup> 董事会 B.35-36/9 号决定。

<sup>50</sup> <https://www.adaptation-fund.org/donate/>。

<sup>51</sup> 董事会 B.36/41 号决定。

<sup>52</sup> 董事会 B.36/42 号决定。

六条第四款下的收益分成可获得时，将专门为《京都议定书》服务。<sup>53</sup> 关于资金来源，CMP 14 和 CMA 1 决定，适应基金将继续从《京都议定书》第六、第十二和第十七条下的活动中收取收益份额(如可获得)；并将由《巴黎协定》第六条第四款所设机制的收益份额以及各种自愿的公共和私人来源提供资金。<sup>54</sup>

78. 关于董事会成员的问题，CMA 1 请 CMP 确保属于《巴黎协定》缔约方的发展中国家缔约方和发达国家缔约方有资格成为董事会成员，CMP 14 注意到这一决定，请 SBI 50 审议董事会的成员资格问题，并向 CMP 15 提出一项建议。<sup>55</sup> SBI 50 和 SBI 51 审议了这一事项，但未能完成各自的审议。<sup>56</sup> SBI 51 同意在 SBI 52 上继续审议这一事项，<sup>57</sup> 但因疫情而推迟到 2021 年。由于 SBI 在 2021 年届会第一期会议上没有审议董事会的成员问题，<sup>58</sup> 因此预期将在随后的一届会议上审议。<sup>59</sup>

79. AFB 在提交 CMP/CMA 的 2019 年和 2020 年报告中，向 CMP 和 CMA 报告了对第 1/CMP.14 号决定第 6 段所载任务相关事项的审议情况，包括适应基金在《巴黎协定》方面的安排；董事会的议事规则；为保证适应基金顺利服务于《巴黎协定》的其他事项；以及适应基金在为《巴黎协定》服务时从《京都议定书》第六、第十二和第十七条下的活动获得收益分成的影响。<sup>60</sup>

80. 在 2019 年和 2020 年提交给 CMP/CMA 的报告中，董事会请 CMP 和(或)CMA 就有资格获得适应基金供资缔约方的事项提供额外指导。<sup>61</sup> 有资格获得适应基金供资的缔约方的问题涉及适应基金的战略优先事项、政策和准则第 5 和第 10 段，这反映了第 1/CMP.3 号决定第 1 段，其中指出，特别容易受到气候变化不利影响的《京都议定书》发展中国家缔约方有资格获得适应基金的供资，以帮助它们承担适应费用。董事会秘书处收到了一个签署但尚未加入《巴黎协定》的《公约》缔约方的正式信函，表明有兴趣获得适应基金供资并提名指定机构。截止收到信函之日，该国不能被认为有资格获得适应基金的供资，因为它不是《京都议定书》的缔约国。

81. 董事会指出，有人提问，一旦该国完成批准程序并成为《巴黎协定》的缔约方，是否可以被认为有资格获得适应基金的资金？在上一个报告所述期间，一个缔约方表示有兴趣获得适应基金的资金，但被认为没有资格获得适应基金的资金，因为它是《巴黎协定》的缔约方，但不是《京都议定书》的缔约方。据此，

<sup>53</sup> 根据第 13/CMA.1 号决定，第 1 和第 3 段；以及第 1/CMP.14 号决定，第 1-2 段。

<sup>54</sup> 第 13/CMA.1 号决定，第 2 和第 5 段；以及第 1/CMP.14 号决定，第 3 段。

<sup>55</sup> 第 13/CMA.1 号决定，第 4 段；以及第 1/CMP.14 号决定，第 5 段。

<sup>56</sup> FCCC/SBI/2019/9, 第 85 段。

<sup>57</sup> FCCC/SBI/2019/20, 第 74 段。

<sup>58</sup> 联合召集人关于适应基金第四次审查的非正式说明，可查阅 <https://unfccc.int/sites/default/files/resource/IN.SBI2021.i14b.3.pdf>。

<sup>59</sup> SBI 主席的情景说明(2021 年 5 月 7 日)，可查阅 [https://unfccc.int/sites/default/files/resource/2021\\_sbi\\_scenario\\_note.pdf](https://unfccc.int/sites/default/files/resource/2021_sbi_scenario_note.pdf)。

<sup>60</sup> 见文件 FCCC/KP/CMP/2019/4/Add.1–FCCC/PA/CMA/2019/2/Add.1, 第十二至第十三节，以及 FCCC/KP/CMP/2020/2–FCCC/PA/CMA/2020/2, 附件九。

<sup>61</sup> 见文件 FCCC/KP/CMP/2019/4/Add.1–FCCC/PA/CMA/2019/2/Add.1, 第十二至第十三节，以及 FCCC/KP/CMP/2020/2–FCCC/PA/CMA/2020/2, 第 5 段和附件九。

董事会在该报告中依然请 CMP 和(或)CMA 就第 1/CMP.3 号决定第 1 段所述有资格获得适应基金供资的缔约方的问题提供指导和(或)澄清,这反映在 CMP 4 通过的战略优先事项、政策和指南的第 5 和第 10 段中。

82. 关于在中期战略所反映的战略愿景基础适应基金为《巴黎协定》服务的作用,AF-TERG 对中期战略中期审查发现,该战略回应了《巴黎协定》所要求的雄心和紧迫性,有助于在气候融资的范围内将适应基金界定和定位为一个快速、灵活、催化和创新的基金。<sup>62</sup> 最终报告将提交给 EFC 第 28 次会议。

## 六. 适应基金与《公约》之下各机构之间的业务联系和关系

83. 董事会采取行动,促进与《公约》下其他机构的联系,如适应基金、CTCN、绿色气候基金、环境基金、巴黎能力建设委员会和资金问题常设委员会。<sup>63</sup>

84. 适应基金与其他多边气候基金(绿色气候基金、环境基金和气候投资基金)一起参加了 2020 年 11 月 23 日以虚拟方式举行的第四次与气候资金交付渠道的年度对话。在对话期间,各基金交流了与应对 COVID-19 大流行有关的经验,以及在支持发展中国家应对额外挑战时吸取的经验教训。2019 年还在各基金之间开展盘点工作,评估绿色气候基金合作路线图六项活动的实施进展情况,该路线图是在与气候资金交付渠道举行的第三次年度对话中产生的。此外,为加强其互补性和连贯性,所有基金的秘书处商定了一项筹备 COP 26 的联合倡导和传播计划,主要目标是确保适应和缓解之间的资金平衡;缩小国家需求的资金差距;以及对绿色和韧性复苏的愿景。四个气候基金的联合通讯已经发布。

85. 如 COP 25 所发起的那样,适应基金继续与绿色气候基金合作,共同支持 CPDAE。这两个秘书处在 2020 年全年与 CPDAE 委员会一起举行了多次特别会议,讨论为 CPDAE 行动计划争取资金,包括制定一项供资提案,提交给绿色气候基金。适应基金还支持行动计划的实施,为 CPDAE 主席和委员会聘请一名兼职支持人员,在适应基金网站上维持一个临时寄存 CPDAE 内容和其他在线材料的网页,以及支持制定 CPDAE 的传播战略和其他传播材料。

86. 适应基金作为努力尽量提高它对发展中国家的影响和尽量增强它们的长期韧性的一部分,与绿色气候基金共同制定了一个试点框架,以扩大两个基金之间的项目和方案,例如利用绿色气候基金的资源扩大适应基金的项目。该框架的目标是:(1) 解释“扩大”在与绿色气候基金方案规划和项目审批流程(包括项目审批流程和简化审批流程)统一时意味着什么,并帮助确定参考方法的原则,包括在绿色气候基金业务框架内酌情与适应基金和其他气候基金的协同作用;(2) 确立一种方法,以确定符合潜在增加额外资源条件的项目;(3) 确定激励措施并列出好处,以鼓励国家及其指定机构和国家指定机构,以及执行实体和绿色气候基金认证的实体通过绿色气候基金继续扩大适应基金的成功项目;以及(4) 确定程序和步骤,以便实施在该方法下要扩大的项目开发。

<sup>62</sup> 董事会 AFB/EFC.27/Inf.2 号文件。

<sup>63</sup> 根据第 2/CMP.10 号决定,第 6 段;以及第 2/CMP.14 号决定,第 8 段。



87. 根据适应基金和绿色气候基金之间的业务联系，这两个基金继续在认证领域开展工作，以探索在快速追踪已获其他基金认证或重新认证的实体申请人方面的互补性机会。董事会秘书处将继续与绿色气候基金就当前绿色气候基金重新认证程序的方法和范围进行交流，<sup>64</sup> 以确定一个战略方式，完成两个基金的政策差距评估和兼容。

88. 董事会通过秘书处，在一次以地方主导的气候行动为重点的活动期间，与绿色气候基金一起进行增强的直接准入试点。

89. 董事会第 36 次会议审议了它一直为加强适应基金与绿色气候基金的互补所作的努力，并请其主席和副主席在绿色气候基金秘书处的协助下继续与绿色气候基金董事会积极合作，以进一步探讨这两个基金之间的互补性和一致性，并采取具体步骤推进 GCF/B.22/09 号文件及其附件一所述基金对基金安排的备选方案。董事会还请其秘书处继续与绿色气候基金讨论，以推进 2020 年 11 月年度对话中确定的合作活动，并推进 2019 年路线图的六项活动。<sup>65</sup>

90. 董事会秘书处以观察员参加了绿色气候基金董事会分别于 2020 年 8 月 18 日至 21 日、2020 年 11 月 9 日至 13 日、2021 年 3 月 16 日至 19 日和 2021 年 6 月 28 日至 7 月 1 日举行的第 26、第 27、第 28 和第 29 次会议。

91. 董事会秘书处由全球环境基金秘书处主持，促进信息和知识的交流，并在需要时提供组织间支持。董事会秘书处以观察员身份参加了分别于 2020 年 12 月 7 日至 11 日和 2021 年 6 月 14 日至 18 日虚拟举行的全球环境基金理事会第 59 和第 60 次会议，以及关于为环境基金信托基金第八次补充资源的以虚拟形式举行的第一次会。2021 年 5 月，在环境基金以虚拟形式与民间社会就适应基金支持民间社会和地方社区的问题磋商期间，适应基金还分享了自己的观点。环境基金首席执行官兼主席卡洛斯·曼努埃尔·罗德里格斯在董事会第 36 次会议上向董事会发表了讲话，并与董事会进行了对话，包括关于如何加强适应基金与环境基金之间的互补性和一致性的对话。<sup>66</sup>

92. 作为与《气候公约》附属机构合作的一部分，秘书处作为讨论嘉宾参加了关于可持续土地和水资源管理的科罗尼维亚农业联合工作讲习班的第一部分，包括综合流域管理战略，以确保粮食安全。该讲习班以虚拟形式与附属机构 2021 年届会第一期会议同时举行。秘书处就适应基金为确保粮食安全开展的与可持续土地和水管理，包括与流域综合管理战略有关的工作情况，做了介绍，并向与会者作了更新。

<sup>64</sup> 气候基金董事会文件 GCF/B.24/06 和 GCF/B.28/12。

<sup>65</sup> 董事会 B.36/40 号决定。

<sup>66</sup> 讨论概要载于董事会 AFB/B.36/10 号文件。

## Annex I

# Adaptation Fund Board members and alternate members as at 30 June 2021

[English only]

<i>Term of office<sup>a</sup></i>	<i>Position</i>	<i>Name</i>	<i>Party</i>	<i>Constituency</i>
March 2019– March 2022 (elected at CMP 14) <sup>b</sup>	Member	Ibila Djibril	Benin	African States
	Alternate	Mohamed Zmerli	Tunisia	African States
	Member	Albara Tawfiq	Saudi Arabia	Asia-Pacific States
	Alternate	Ahmed Waheed	Maldives	Asia-Pacific States
	Member	Umayra Tagiyeva	Azerbaijan	Eastern European States
	Alternate	Monika Antosik	Poland	Eastern European States
	Member	Victor Viñas	Dominican Republic	Latin American and Caribbean States
	Alternate	Yadira Gonzales Columbié	Cuba	Latin American and Caribbean States
	Member	Eleonora Cogo	Italy	Western European and other States
	Alternate	(vacant)	–	Western European and other States
	Member	Nilesh Prakash	Fiji	SIDS
	Alternate	Paul Phillip	Grenada	SIDS
	Member	Mattias Broman	Sweden	Annex I Parties
	Alternate	Marc-Antoine Martin	France	Annex I Parties
	Member	Lucas di Pietro Paolo	Argentina	Non-Annex I Parties
	Alternate	Evans Njewa	Malawi	Non-Annex I Parties
March 2020– March 2023 (elected at CMP 15)	Member	Patience Dampney	Ghana	African States
	Alternate	Fatou Ndeye Gaye	Gambia	African States
	Member	Ji Young Choi	Republic of Korea	Asia-Pacific States
	Alternate	Sheyda Nematollahi Sarvestani	Iran (Islamic Republic of)	Asia-Pacific States
	Member	Ala Druta	Republic of Moldova	Eastern European States
	Alternate	Aram Ter-Zakaryan	Armenia	Eastern European States
	Member	Margarita Caso Chávez	Mexico	Latin American and Caribbean States
	Alternate	Mariana Kasprzyk	Uruguay	Latin American and Caribbean States
	Member	Claudia Keller	Germany	Western European and other States
	Alternate	Susana Castro-Acuña Baixauli	Spain	Western European and other States



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

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

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

## Annex II

**Approved and actual budget for fiscal year 2021 and approved budget for fiscal year 2022 for the Adaptation Fund Board, its secretariat and the trustee, and for fiscal years 2022–2023 for the Technical Evaluation Reference Group of the Adaptation Fund and its secretariat**

[English only]

<i>Budget item</i>	<i>Approved 2021 fiscal year (USD)</i>	<i>Actual 2021 fiscal year (USD)</i>	<i>Approved 2022 fiscal year (USD)</i>	<i>Approved 2023 fiscal year (USD)</i>
AFB and its secretariat				
Personnel	3 247 224	2 934 717	4 111 220	
Travel	492 000	(10 068)	456 000	
General operations	479 700	333 289	508 875	
Meetings	247 362	124 140	236 980	
Subtotal secretariat administrative services (a)	4 466 286	3 382 078	5 313 075	
Accreditation (b)	548 250	422 225	608 550	
Readiness Programme for Climate Finance (c)	652 960	84 098	756 950	
Subtotal secretariat (a)+(b)+(c)	5 667 496	3 888 401	6 678 575	
Evaluation function				
Personnel	350 929	422 195	408 083	414 197
Travel	130 779	0	134 702	138 744
General operations	113 320	49 429	136 327	126 564
Meetings	10 000	0	10 000	10 200
Evaluation	458 191	295 568	611 717	603 344
Subtotal evaluation function	1 063 219	767 192	1 300 829	1 293 049
Trustee				
Monetization of CERs	180 000	170 000	180 000	
Financial and programme management	227 000	320 000	320 000	
Investment management	216 000	245 000	245 000	
Accounting and reporting	40 000	60 000	60 000	
Legal services	45 000	55 000	56 000	
Subtotal trustee	708 000	850 000	861 000	
Total	7 438 715	5 505 593	8 840 404	

## Annex III

### Accredited implementing entities<sup>1</sup>

[English only]

#### I. National implementing entities

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

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

Protected Areas Conservation Trust (PACT), Belize

South African National Biodiversity Institute (SANBI), South Africa

## **II. Multilateral implementing entities**

African Development Bank (AfDB)

Asian Development Bank (ADB)

European Bank for Reconstruction and Development (EBRD)

Food and Agriculture Organization of the United Nations (FAO)

Inter-American Development Bank (IDB)

International Bank for Reconstruction and Development (IBRD)

International Fund for Agricultural Development (IFAD)

United Nations Development Programme (UNDP)

United Nations Educational, Scientific and Cultural Organization (UNESCO)

United Nations Environment Programme (UNEP)

United Nations Human Settlements Programme (UN-Habitat)

United Nations Industrial Development Organization (UNIDO)

World Food Programme (WFP)

World Meteorological Organization (WMO)

## **III. Regional implementing entities**

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

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

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

International Centre for Integrated Mountain Development (ICIMOD) (Asia-Pacific)

Sahara and Sahel Observatory (OSS) (Africa)

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

West African Development Bank (BOAD) (Africa)

## Annex IV

### Participation in meetings and events

[English only]

In addition to AFB meetings, Accreditation Panel meetings and readiness-related events organized by the AFB and its secretariat (as described in chap. III of the main report), the AFB, its secretariat and/or the AF-TERG organized and/or participated in the following meetings and events:

(a) Webinar entitled “Adaptation Fund Engagement Pathways: First Steps for Women’s Organizations”, hosted by the Women’s Environment and Development Organization (8 July 2020, virtual);

(b) Webinar entitled “Adaptation Fund Projects in South and South-East Asia: Insights from CSO Perspectives”, co-hosted by the Adaptation Fund NGO Network, Development Alternatives, Climate Action Network South Asia and Climate Action Network Southeast Asia (14 July 2020, virtual);

(c) Launch of the French version of the e-learning course on direct access designed to help countries and stakeholders unlock climate finance co-organized by the Francophonie Institute for Sustainable Development (21 July 2020, virtual);

(d) Webinar entitled “Water and Climate Coordination: Climate Finance”, organized by the Global Water Partnership in partnership with UNDP-Cap-Net, Alliance for Global Water Adaptation and Stockholm International Water Institute (23 July 2020, virtual);

(e) Adaptation Fund: Innovation for Adaptation to Climate Change event at World Water Week (25 August 2020, virtual);

(f) Daring Cities Conference: Multi-level governance as key to successful climate action, organized by International Urban Cooperation Programme (26 October 2020, virtual);

(g) “Finance for nature-based climate change adaptation” session co-hosted by ICLEI Africa, the City of Kigali and the Government of Rwanda at Local Climate Solutions for Africa 2020 (3–12 November 2020, virtual);

(h) Micronesia Sub-Regional Workshop for the Engagement of the Private Sector, co-organized by the Government of Nauru, Nauru Chamber of Commerce and the Pacific Islands Forum (11–12 November 2020, virtual);

(i) Adaptation Fund Climate Innovation Accelerator virtual joint launch by UNDP, UNEP-CTCN and the AF (18 November 2020, virtual);

(j) “Hard talk: committing to locally led adaptation” session as part of the event titled “Reforming climate finance to support locally led adaptation: principles for moving to business and usual” co-hosted by the World Resources Institute and the International Institute for Environment and Development at London Climate Action Week 2020 (18 November 2020);

(k) “Fourth Annual Dialogue with Climate Finance Delivery Channels, organized by the GCF” (24 November 2020, virtual);

(l) UNFCCC Climate Dialogues, Technology Day (30 November 2020, virtual);

(m) “Pathways for a green recovery” subplenary at the 4th City-to-City Event, organized by the International Urban Cooperation (3 December 2020, virtual);

(n) UNFCCC Climate Dialogues, Adaptation Fund Event entitled “Serving the Paris Agreement through financing adaptation action, innovation and learning” (3 December 2020, virtual);

(o) The 59<sup>th</sup> and 60<sup>th</sup> meetings of the GEF Council (7–11 December 2020 and 14–18 June 2021, respectively);

- (p) Adaptation Fund Contributor Dialogue for Ambition in Adaptation Finance, held in conjunction with the 2020 Climate Ambition Summit (14 December 2020, virtual);
- (q) 4<sup>th</sup> meeting of the Facilitative Working Group of the Local Communities and Indigenous Peoples Platform (16 December 2020, virtual);
- (r) Virtual workshop on financing transboundary water cooperation and basin development, organized by the United Nations Economic Commission for Europe (16–17 December 2020, virtual);
- (s) Local Leadership in Adaptation Finance: Learning from Locally-led Action in Adaptation Fund Projects and Programmes as part of the Gobeshona Conference, organized by the International Centre for Climate Change and Development (18 January 2021, virtual);
- (t) Adaptation Innovation Marketplace launch, organized by UNDP (19 January 2021, virtual);
- (u) Meeting of the Alliance for Hydromet Development (19 January 2021, virtual);
- (v) Climate Adaptation Summit 2021 Anchoring Event – “Money and Power Where It Matters: Mobilising for Locally Led Adaptation” (25–26 January 2021, virtual);
- (w) Inception workshop of the project “Enhancing Adaptive Capacity of Andean Communities through Climate Services in Peru, Colombia and Chile” (2–4 February 2021, virtual);
- (x) Meeting of the NGO Committee on Financing for Development (3 February 2021, virtual);
- (y) GEF Introduction Seminar 2021 (22–25 February 2021, virtual);
- (z) Access to climate finance workshop by the International Institute for Environment and Development (23 February 2021, virtual);
- (aa) Technical workshop on quantity, quality and composition of climate finance (26 February 2021, virtual);
- (bb) Launch of the Spanish version of the e-learning course on direct access designed to help countries and stakeholders unlock climate finance (2 March 2021, virtual), co-organized by the Spanish Institute for Development and Cooperation;
- (cc) 7th Asia-Pacific Climate Change Adaptation Forum, organized by the Asia Pacific Adaptation Network (8–12 March 2021, virtual);
- (dd) Climate and Development Expert Roundtable, organized by the World Resources Institute (17 March 2021, virtual);
- (ee) Climate and Development Ministerial, organized by the Government of the United Kingdom of Great Britain and Northern Ireland in its capacity as incoming Presidency of COP 26 (31 March 2021, virtual);
- (ff) Session for the Asia-Pacific region on Emerging lessons from the Adaptation Fund Climate Innovation Accelerator organized by UNEP-CTCN (13 April 2021, virtual);
- (gg) United Nations Economic and Social Council 2021 Financing for Development Forum, “Financing Nature-based Solutions is Path to Holistic and Equitable Recovery from Pandemic” (14 April 2021, virtual);
- (hh) 2nd meeting of the PCCB Network (18 April 2021, virtual);
- (ii) Webinar entitled “Funding Gender-Just Climate Solutions – Understanding the Multilateral Climate Funds”, organized by the women and gender constituency (29 April 2021, virtual);
- (jj) AC Task Force on National Adaptation Plans meeting (30 April 2021, virtual);
- (kk) Webinar entitled “Emerging lessons from the Adaptation Fund Climate Innovation Accelerator”, session for the Africa region (4 May 2021, virtual);
- (ll) 2nd UNFCCC Capacity-building Talk (10 May 2021, virtual);

(mm) Workshop entitled “Enhancing Access to Climate Finance through the Adaptation Fund”, organized by the Secretariat of the Pacific Regional Environment Programme (13 May 2021, virtual);

(nn) 10th Durban Forum on Capacity-building (2 June 2021);

(oo) First meeting of the informal coordination group for capacity-building under the Convention and the Paris Agreement (8 June 2021, virtual);

(pp) 5th meeting of the PCCB (9–11 June 2021, virtual);

(qq) “Locally led action principles – How can we see them driving real impact?” session held during the 15<sup>th</sup> International Conference of Community-based Adaptation to Climate Change (16 June 2021, virtual);

(rr) 5<sup>th</sup> Meeting of the Facilitative Working Group of the Local Communities and Indigenous Peoples Platform (21–24 June 2021);

(ss) The 5<sup>th</sup> European Climate Change Adaptation Conference (22 June 2021);

(tt) The 26<sup>th</sup>, 27<sup>th</sup>, 28<sup>th</sup> and 29<sup>th</sup> GCF Board meetings (18–21 August 2020, 9–13 November 2020, 16–19 March 2021, and 28 June–1 July 2021, respectively).

## Annex V

### Examples of two gender-sensitive and -responsive interventions of projects approved during the reporting period

[English only]

1. The following showcases two examples of AF-funded projects that have integrated gender considerations into project design and implementation.

2. Project in El Salvador for enhancing climate resilience of rural communities and ecosystems in Ahuachapán-Sur, with 30,211 direct beneficiaries in San Francisco Menendez, of which 51 per cent are women (6,396 households out of which 1,152 are headed by women) and 34,492 women in the wider Ahuachapán-Sur region:

(a) The project aims to ensure women's participation in community restoration activities by ensuring that dissemination of the call for proposals reaches women-led associations that are active in the area and including a local stakeholder map that is gender sensitive in all community restoration plans to include women's priorities and views in land management. It includes capacity-building for all 16 cooperatives favouring women producers in the area and training of local women's associations so that they become active participants in the climate change monitoring process and have the capacity to understand the information being derived from it;

(b) The project also aims to ensure that women play an important role in the development of local seed banks and will be represented within each seed bank guardianship committee established, considering that women have an important role in the collection of seeds as a means to rescue ancestral knowledge. While establishing a council for dialogue at the territorial level to strengthen local governance, the project will ensure women's participation and representation, with at least 30 per cent of council members being women.

3. Project in Sierra Leone for promoting climate resilience in the cocoa and rice sectors, which directly benefits 50,000 smallholder farmers, rice producers and cocoa producers, of which at least 40 per cent are women and 40 per cent are youth. Considering that women and youth are key actors of the rice and cocoa chain but have limited access to land and few land rights and are often not sufficiently represented in land decision-making institutions, the project launched several gender-responsive activities: actively involving women and youth in all components and levels of decision-making within the project; encouraging the submission of business proposals from women-led groups; requiring female-headed households with recognized access entitlement to farm tree crops as primary farmers to comprise 30 per cent of the selected beneficiaries; setting 10 per cent of the female quota for vulnerable women without recourse to necessary land security needed for tree crop farming; ensuring women hold at least 30–40 per cent of leadership posts in the farmer apex organizations and project management teams; setting access to land by women and youth as a precondition for a community selection and participation; considering women's available time and venue constraints in organizing meetings or events; training illiterate rural women in setting up small businesses in rural solar electrification; establishing day-care facilities for women; and ensuring men's inclusion in sensitization activities.



## Annex VI

### Communications

[English only]

1. When approving its new resource mobilization target for the biennium 2020–2021, the AFB also requested its secretariat to highlight, in its communications and outreach activities, how the overall adaptation funding needs according to the strategic priorities of the AF as set out in its MTS have increased and how this is reflected in the increased need for support by the AF. The AF highlighted record demand for projects and showcased its work in the growing number of programmes through targeted communication products for its virtual Contributor Dialogue and other high-profile events. This contributed to the AFB, raising USD 16 million in new pledges and almost meeting its resource mobilization target of USD 120 million.
2. During the reporting period the AFB, supported by its secretariat, produced and disseminated a steady stream of quality content about the work of the AF that continued to raise the profile of the AF and keep it in relevant news cycles. Strong growth took place across the diverse communications platforms and innovative multimedia products of the AF to expand its reach to targeted audiences.
3. Targeted communication products included 17 original press releases, two graphic project stories in multiple languages, four original stories with media partner Climate Home News, 10 videos, four Flickr photo albums, five podcasts and six brochures. The AF also innovated by producing engaging video, such as its first 360-degree video and drone footage of AF projects.
4. The communication products highlighted key timely themes of the work of the AF in implementing its MTS, including innovation and learning, readiness, accreditation, results-based management, locally led adaptation, nature-based solutions, youth engagement, regional approaches, and ways projects have adapted and built broader resilience amid the COVID-19 pandemic.
5. The AF was also featured in 458 press stories around the world (a significant increase from 400 in the previous year), including 71 in Spanish and 39 in French.
6. To allow AF stakeholders to follow the work of the AFB, the AF made available eight video recordings of the AFB meetings in the reporting period (from the second session of the 35<sup>th</sup> meeting and the 36<sup>th</sup> meeting) and implemented several website upgrades to enhance its user-friendliness.
7. The AF digital channels continued to grow during the reporting period, including the number of AF website users (24 per cent increase over 2020), page views (12.4 per cent increase) and new users (23.3 per cent increase). In social media, the AF reached nearly 18,000 followers on Twitter (an increase of 2,733 followers from 2020) and had 712,000 impressions while posting 617 tweets during the year. Facebook followers reached nearly 12,000, while LinkedIn followers grew to 1,648. The reach of AF news, video and podcasts was further multiplied by partners such as the UNFCCC, Climate Home News and IEs.
8. The AF collaborated with partners on joint communication materials, such as for the launch of the Adaptation Fund Climate Innovation Accelerator, as well as joint outreach with other climate funds to build resilience amid the pandemic.

## Annex VII

## Project-related funding decisions made by the Adaptation Fund Board between 1 July 2020 and 30 June 2021

[English only]

Table VII.1

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

<i>Party/Parties</i>	<i>IE</i>	<i>PPRC document number</i>	<i>Grant size (USD)</i>	<i>Execution cost (USD)</i>	<i>NIE funding (USD)</i>	<i>RIE funding (USD)</i>	<i>MIE funding (USD)</i>	<i>AFB decision</i>	<i>Funding set aside (USD)</i>
<b>1. Full proposals: single-country</b>									
<b>NIE</b>									
Indonesia (1)	Kemitraan	AFB/PPRC.26.a-26.b/23	963 456	84 358	963 456			Not approved	0
Indonesia (2)	Kemitraan	AFB/PPRC.26.a-26.b/24	1 125 015	98 503	1 125 015			Approved	1 125 015
Indonesia (3)	Kemitraan	AFB/PPRC.26.a-26.b/25	820 444	85 000	820 444			Not approved	0
Indonesia (4)	Kemitraan	AFB/PPRC.26.a-26.b/26	5 972 670	559 018	5 972 670			Approved	5 972 670
United Republic of Tanzania (1)	NEMC	AFB/PPRC.26.a-26.b/27	1 400 000	120 000	1 400 000			Not approved	0
United Republic of Tanzania (3)	NEMC	AFB/PPRC.26.a-26.b/28	1 280 000	103 051	1 280 000			Approved	1 280 000
<b>MIE</b>									
Cambodia	UN-Habitat	AFB/PPRC.26.a-26.b/29	5 000 000	437 700			5 000 000	Waitlisted	0
Cameroon	IFAD	AFB/PPRC.26.a-26.b/30	9 982 000	500 000			9 982 000	Approved	9 982 000
Egypt	WFP	AFB/PPRC.26.a-26.b/37	3 094 962	246 900			3 094 962	Approved	3 094 962
Liberia	IFAD	AFB/PPRC.26.a-26.b/38	9 592 082	372 594			9 592 082	Approved	9 592 082
Zimbabwe	UNESCO	AFB/PPRC.26.a-26.b/31	5 000 000	437 789			5 000 000	Not approved	0
<b>Subtotal</b>			<b>44 230 629</b>	<b>3 044 913</b>	<b>11 561 585</b>		<b>32 669 044</b>		<b>31 046 729</b>
<b>2. Concepts: single-country</b>									
<b>NIE</b>									
Bhutan	BT FEC	AFB/PPRC.26.a-26.b/44	9 950 535	600 000	9 950 535			Endorsed	
Uganda	MOWE	AFB/PPRC.26.a-26.b/41	2 249 000	30 668	2 249 000			Endorsed	
Zimbabwe	EMA	AFB/PPRC.26.a-26.b/42	4 989 915	437 789	4 989 915			Endorsed	
<b>MIE</b>									
Haiti	UNESCO	AFB/PPRC.26.a-26.b/39	9 890 000	785 000			9 890 000	Endorsed	

<i>Party/Parties</i>	<i>IE</i>	<i>PPRC document number</i>	<i>Grant size (USD)</i>	<i>Execution cost (USD)</i>	<i>NIE funding (USD)</i>	<i>RIE funding (USD)</i>	<i>MIE funding (USD)</i>	<i>AFB decision</i>	<i>Funding set aside (USD)</i>
Malaysia	UN-Habitat	AFB/PPRC.26.a-26.b/43	10 000 000	875 576			10 000 000	Endorsed	
Syrian Arab Republic	UN-Habitat	AFB/PPRC.26.a-26.b/40	10 000 000	875 900			10 000 000	Endorsed	
<b>Subtotal</b>			<b>47 079 450</b>	<b>3 604 933</b>	<b>17 189 450</b>		<b>29 890 000</b>		

### 3. Project formulation grants/project formulation assistance: single-country

<b>NIE</b>									
<b>Project formulation grant</b>	Bhutan	BTFEC	AFB/PPRC.26.a-26.b/44/Add.1	30 000		30 000		Approved	30 000
<b>Project formulation assistance</b>	Bhutan	BTFEC	AFB/PPRC.26.a-26.b/44/Add.2	20 000		20 000		Approved	20 000
<b>Project formulation grant</b>	Uganda	MOWE	AFB/PPRC.26.a-26.b/41/Add.1	27 000		27 000		Approved	27 000
<b>Project formulation assistance</b>	Uganda	MOWE	AFB/PPRC.26.a-26.b/41/Add.2	20 000		20 000		Approved	20 000
<b>Project formulation grant</b>	Zimbabwe	EMA	AFB/PPRC.26.a-26.b/42/Add.1	30 000		30 000		Approved	30 000
<b>Project formulation assistance</b>	Zimbabwe	EMA	AFB/PPRC.26.a-26.b/42/Add.2	20 000		20 000		Approved	20 000
<b>Subtotal</b>				<b>147 000</b>		<b>147 000</b>			<b>147 000</b>

### 4. Full proposals: regional

<b>MIE</b>									
	Jordan, Lebanon	UN-Habitat	AFB/PPRC.26.a-26.b/32	13 973 509	1 223 210		13 973 509	Waitlisted	0
	Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan	UNESCO	AFB/PPRC.26.a-26.b/18	6 500 000	90 275		6 500 000	Approved	6 500 000
	Thailand, Viet Nam	UNEP	AFB/PPRC.26.a-26.b/33	7 000 000	612 903		7 000 000	Waitlisted	0
<b>Subtotal</b>				<b>27 473 509</b>	<b>1 926 388</b>	<b>0</b>	<b>0</b>	<b>27 473 509</b>	<b>6 500 000</b>

### 5. Concepts: regional

<b>RIE</b>									
	Angola, Namibia	OSS	AFB/PPRC.26.a-26.b/34	11 880 000	1 005 000		11 880 000	Endorsed	
	Benin, Burkina Faso, Côte d'Ivoire, Gambia, Ghana, Guinea, Liberia,	OSS	AFB/PPRC.26.a-26.b/35	14 000 000	1 093 270		14 000 000	Endorsed	

	Party/Parties	IE	PPRC document number	Grant size (USD)	Execution cost (USD)	NIE funding (USD)	RIE funding (USD)	MIE funding (USD)	AFB decision	Funding set aside (USD)
MIE	Mali, Niger, Nigeria, Senegal, Sierra Leone, Togo									
	Antigua and Barbuda, Saint Lucia	UN-Habitat	AFB/PPRC.26.a-26.b/36	13 662 863	1 106 730			13 662 863	Endorsed	
	Cabo Verde, Guinea-Bissau, Sao Tome and Principe	IFAD	AFB/PPRC.26.a-26.b/45	14 000 000	826 770			14 000 000	Endorsed	
Subtotal				53 542 863	4 031 770		25 880 000	27 662 863		
6. Project formulation grants: regional concepts										
MIE	Angola, Namibia	OSS	AFB/PPRC.26.a-26.b/34/Add.1	80 000			80 000		Approved	80 000
	Benin, Burkina Faso, Côte d'Ivoire, Gambia, Ghana, Guinea, Liberia, Mali, Niger, Nigeria, Senegal, Sierra Leone, Togo	OSS	AFB/PPRC.26.a-26.b/35/Add.1	80 000			80 000		Approved	80 000
	Antigua and Barbuda, Saint Lucia	UN-Habitat	AFB/PPRC.26.a-26.b/36/Add.1	80 000				80 000	Approved <sup>a</sup>	80 000
MIE	Cabo Verde, Guinea-Bissau, Sao Tome and Principe	IFAD	AFB/PPRC.26.a-26.b/45/Add.1	100 000				100 000	Approved	100 000
	Subtotal			340 000			160 000	180 000	340 000	
	Total (1+2+3+4+5+6)			172 813 451	12 608 004	28 898 035	26 040 000	117 875 416	38 033 729	
7. Small grants for innovation										
NIE	Antigua and Barbuda	DOE	AFB/PPRC.26.a-26.b/47	250 000	2 715	250 000			Deferred	0
	Dominican Republic	IDDI	AFB/PPRC.26.a-26.b/48	249 929	3 404	249 929			Approved	249 929
	Uganda	MOWE	AFB/PPRC.26.a-26.b/49	250 000	20 000	250 000			Not approved	0
Subtotal				749 929	26 119	749 929	249 929			
8. Learning grants										
NIE										

<i>Party/Parties</i>	<i>IE</i>	<i>PPRC document number</i>	<i>Grant size (USD)</i>	<i>Execution cost (USD)</i>	<i>NIE funding (USD)</i>	<i>RIE funding (USD)</i>	<i>MIE funding (USD)</i>	<i>AFB decision</i>	<i>Funding set aside (USD)</i>
Senegal	CSE	AFB/PPRC.26.a-26.b/51	144 848	7 000	144 848			Approved	144 848
<b>Subtotal</b>			<b>144 848</b>	<b>7 000</b>	<b>144 848</b>				<b>144 848</b>
<b>Total (1+2+3+4+5+6+7+8)</b>			<b>173 708 228</b>	<b>12 641 123</b>	<b>29 792 812</b>	<b>26 040 000</b>	<b>117 875 416</b>		<b>38 428 506</b>

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

Table VII.2

**Project-related funding decisions made during the second session of the 35<sup>th</sup> meeting of the Adaptation Fund Board**

<i>Party/Parties</i>	<i>IE</i>	<i>PPRC document number</i>	<i>Grant size (USD)</i>	<i>Execution cost (USD)</i>	<i>NIE funding (USD)</i>	<i>RIE funding (USD)</i>	<i>MIE funding (USD)</i>	<i>AFB decision</i>	<i>Funding set aside (USD)</i>
<b>1. Full proposals: single-country</b>									
<b>NIE</b>									
Indonesia (1)	Kemitraan	AFB/PPRC.26.b/4	963 456	84 358	963 456			Not approved	0
Indonesia (2)	Kemitraan	AFB/PPRC.26.b/5	824 835	72 221	824 835			Not approved	0
<b>MIE</b>									
Côte d'Ivoire	IFAD	AFB/PPRC.26.b/6	6 000 000	108 597			6 000 000	Not approved	0
Gambia	WFP	AFB/PPRC.26.b/7	10 000 000	874 590			10 000 000	Waitlisted	0
Kyrgyzstan	IFAD	AFB/PPRC.26.b/8	9 999 313	464 957			9 999 313	Not approved	0
<b>Subtotal</b>			<b>27 787 604</b>	<b>1 604 723</b>	<b>1 788 291</b>		<b>25 999 313</b>		<b>0</b>
<b>2. Full proposals: regional</b>									
<b>MIE</b>									
Angola, Mozambique, Namibia, South Africa, Zimbabwe	UNESCO	AFB/PPRC.26.b/9	14 000 000	1 330 000			14 000 000	Not approved	0
<b>Subtotal</b>			<b>14 000 000</b>	<b>1 330 000</b>			<b>14 000 000</b>		<b>0</b>
<b>3. Concepts: regional</b>									
<b>MIE</b>									
El Salvador, Honduras	WFP	AFB/PPRC.26.b/10	11 886 691	950 475			11 886 691	Endorsed	
<b>Subtotal</b>			<b>11 886 691</b>	<b>950 475</b>			<b>11 886 691</b>		
<b>4. Project formulation grants: regional concepts</b>									
<b>MIE</b>									
El Salvador, Honduras	WFP	AFB/PPRC.26.b/10/Add.1	80 000				80 000	Approved	80 000
<b>Subtotal</b>			<b>80 000</b>				<b>80 000</b>		<b>80 000</b>
<b>5. Pre-concepts: regional</b>									

<i>Party/Parties</i>	<i>IE</i>	<i>PPRC document number</i>	<i>Grant size (USD)</i>	<i>Execution cost (USD)</i>	<i>NIE funding (USD)</i>	<i>RIE funding (USD)</i>	<i>MIE funding (USD)</i>	<i>AFB decision</i>	<i>Funding set aside (USD)</i>
<b>RIE</b>									
Costa Rica, Dominican Republic	CAF	AFB/PPRC.26.b/11	13 919 202	1 513 150		13 919 202		Not endorsed	
<b>MIE</b>									
Cameroon, Chad, Central African Republic, Niger, Nigeria	WMO	AFB/PPRC.26.b/12	10 620 000	855 000			10 620 000	Not endorsed	
India, Sri Lanka	WFP	AFB/PPRC.26.b/13	13 995 524	1 119 100			13 995 524	Endorsed	
<b>Subtotal</b>			<b>38 534 726</b>	<b>3 487 250</b>		<b>13 919 202</b>	<b>24 615 524</b>		
<b>6. Project formulation grants: regional pre-concepts</b>									
<b>MIE</b>									
Cameroon, Chad, Central African Republic, Niger, Nigeria	WMO	AFB/PPRC.26.b/12/Add.1	20 000				20 000	Not approved	0
India, Sri Lanka	WFP	AFB/PPRC.26.b/13/Add.1	20 000				20 000	Approved	20 000
<b>Subtotal</b>			<b>40 000</b>				<b>40 000</b>		<b>20 000</b>
<b>Total (1+2+3+4+5+6)</b>			<b>92 329 021</b>	<b>7 372 448</b>	<b>1 788 291</b>	<b>13 919 202</b>	<b>76 621 528</b>		<b>100 000</b>
<b>7. Small grants for innovation</b>									
<b>NIE</b>									
Antigua and Barbuda	DOE	AFB/PPRC.26.b/15	250 000	20 000	250 000			Not approved <sup>a</sup>	0
<b>Subtotal</b>			<b>250 000</b>	<b>20 000</b>	<b>250 000</b>				<b>0</b>
<b>Total (1+2+3+4+5+6+7)</b>			<b>92 579 021</b>	<b>7 392 448</b>	<b>2 038 291</b>	<b>13 919 202</b>	<b>76 621 528</b>		<b>100 000</b>

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

Table VII.3

**Project-related funding decisions made during the intersessional period between the 35<sup>th</sup> and 36<sup>th</sup> meetings of the Adaptation Fund Board**

<i>Party/Parties</i>	<i>IE</i>	<i>PPRC document number</i>	<i>Grant size (USD)</i>	<i>Execution cost (USD)</i>	<i>NIE funding (USD)</i>	<i>RIE funding (USD)</i>	<i>MIE funding (USD)</i>	<i>AFB decision</i>	<i>Funding set aside (USD)</i>
<b>1. Full proposals: single-country</b>									
<b>MIE</b>									
Cambodia	UN-Habitat	AFB/PPRC.26.a-26.b/29	5 000 000	437 700			5 000 000	Approved	5 000 000
Gambia	WFP	AFB/PPRC.26.b/7	10 000 000	874 590			10 000 000	Approved	10 000 000
<b>Subtotal</b>			<b>15 000 000</b>	<b>1 312 290</b>			<b>15 000 000</b>		<b>15 000 000</b>

<i>Party/Parties</i>	<i>IE</i>	<i>PPRC document number</i>	<i>Grant size (USD)</i>	<i>Execution cost (USD)</i>	<i>NIE funding (USD)</i>	<i>RIE funding (USD)</i>	<i>MIE funding (USD)</i>	<i>AFB decision</i>	<i>Funding set aside (USD)</i>
<b>2. Full proposals: regional</b>									
<b>MIE</b>									
Jordan, Lebanon	UN-Habitat	AFB/PPRC.26.a-26.b/32	13 973 509	1 223 210			13 973 509	Approved	13 973 509
Thailand, Viet Nam	UNEP	AFB/PPRC.26.a-26.b/33	7 000 000	612 903			7 000 000	Approved	7 000 000
<b>Subtotal</b>			<b>20 973 509</b>	<b>1 836 113</b>			<b>20 973 509</b>		<b>20 973 509</b>
<b>Total (1+2)</b>			<b>35 973 509</b>	<b>3 148 403</b>			<b>35 973 509</b>		<b>35 973 509</b>
<b>3. Small grants for innovation</b>									
<b>NIE</b>									
Antigua and Barbuda	DOE	AFB/PPRC.26.a-26.b/47	250 000	2 715	250 000			Approved	250 000
<b>Subtotal</b>			<b>250 000</b>	<b>2 715</b>	<b>250 000</b>				<b>250 000</b>
<b>Total (1+2+3)</b>			<b>36 223 509</b>	<b>3 151 118</b>	<b>250 000</b>		<b>35 973 509</b>		<b>36 223 509</b>

Table VII.4

**Project-related funding decisions made during the 36<sup>th</sup> meeting of the Adaptation Fund Board**

<i>Party/Parties</i>	<i>IE</i>	<i>PPRC document number</i>	<i>Grant size (USD)</i>	<i>Execution cost (USD)</i>	<i>NIE funding (USD)</i>	<i>RIE funding (USD)</i>	<i>MIE funding (USD)</i>	<i>AFB decision</i>	<i>Funding set aside (USD)</i>
<b>1. Full proposals: single-country</b>									
<b>NIE</b>									
Belize	PACT	AFB/PPRC.27/7	4 000 000	350 230	4 000 000			Not approved	0
Indonesia (1)	Kemitraan	AFB/PPRC.27/5	963 456	84 358	963 456			Approved <sup>a</sup>	0
Indonesia (2)	Kemitraan	AFB/PPRC.27/6	824 835	72 221	824 835			Approved	0
United Republic of Tanzania	NEMC	AFB/PPRC.27/8	1 400 000	120 000	1 400 000			Approved	1 400 000
<b>MIE</b>									
Djibouti	IFAD	AFB/PPRC.27/9	5 339 285	465 000			5 339 285	Not approved	0
Syrian Arab Republic	UN-Habitat	AFB/PPRC.27/10	9 997 156	719 519			9 997 156	Approved	9 997 156
Zimbabwe	UNESCO	AFB/PPRC.27/11	5 000 000	437 789			5 000 000	Approved	5 000 000
<b>Subtotal</b>			<b>27 524 732</b>	<b>2 249 117</b>	<b>7 188 291</b>		<b>20 336 441</b>		<b>16 397 156</b>
<b>2. Concepts: single-country</b>									
<b>MIE</b>									
Lebanon	FAO	AFB/PPRC.27/12	2 139 174	187 301			2 139 174	Endorsed	
Viet Nam	FAO	AFB/PPRC.27/13	3 580 000	313 500			3 580 000	Endorsed	
Yemen	UN-Habitat	AFB/PPRC.27/14	10 000 000	875 576			10 000 000	Not endorsed	

<i>Party/Parties</i>	<i>IE</i>	<i>PPRC document number</i>	<i>Grant size (USD)</i>	<i>Execution cost (USD)</i>	<i>NIE funding (USD)</i>	<i>RIE funding (USD)</i>	<i>MIE funding (USD)</i>	<i>AFB decision</i>	<i>Funding set aside (USD)</i>
<b>Subtotal</b>			<b>15 719 174</b>	<b>1 376 377</b>			<b>15 719 174</b>		
<b>3. Full proposals: regional</b>									
<b>RIE</b>									
Angola, Namibia	OSS	AFB/PPRC.27/15	11 941 038	920 183		11 941 038		Not approved	0
									<b>MIE</b>
Côte d'Ivoire, Ghana	UN-Habitat	AFB/PPRC.27/16	13 951 160	1 195 600			13 951 160	Not approved	0
<b>Subtotal</b>			<b>25 892 198</b>	<b>2 115 783</b>		<b>11 941 038</b>	<b>13 951 160</b>		<b>0</b>
<b>4. Concepts: regional</b>									
<b>MIE</b>									
Azerbaijan, Iran (Islamic Republic of)	UN-Habitat	AFB/PPRC.27/17	14 000 000	1 110 000			14 000 000	Endorsed	
Chad, Sudan	FAO	AFB/PPRC.27/18	14 000 000	1 225 000			14 000 000	Endorsed	
<b>Subtotal</b>			<b>28 000 000</b>	<b>2 335 000</b>			<b>28 000 000</b>		
<b>5. Project formulation grants: regional concepts</b>									
<b>MIE</b>									
Azerbaijan, Iran (Islamic Republic of)	UN-Habitat	AFB/PPRC.27/17/Add.1	80 000				80 000	Approved	80 000
Chad, Sudan	FAO	AFB/PPRC.27/18/Add.1	100 000				100 000	Approved	100 000
<b>Subtotal</b>			<b>180 000</b>				<b>180 000</b>		<b>180 000</b>
<b>6. Pre-concepts: regional</b>									
<b>RIE</b>									
Guinea, Mali, Mauritania, Senegal	OSS	AFB/PPRC.27/19	14 000 000	1 119 458		14 000 000		Endorsed	
									<b>MIE</b>
Cameroon, Central African Republic, Chad, Niger, Nigeria	WMO	AFB/PPRC.27/20	10 620 000	855 000			10 620 000	Endorsed	
Costa Rica, Panama	UNEP	AFB/PPRC.27/21	10 693 000	855 000			10 693 000	Not endorsed	
<b>Subtotal</b>			<b>35 313 000</b>	<b>2 829 458</b>		<b>14 000 000</b>	<b>21 313 000</b>		
<b>7. Project formulation grants: regional pre-concepts</b>									
<b>RIE</b>									
Guinea, Mali, Mauritania, Senegal	OSS	AFB/PPRC.27/19/Add.1	20 000			20 000		Approved	20 000
									<b>MIE</b>

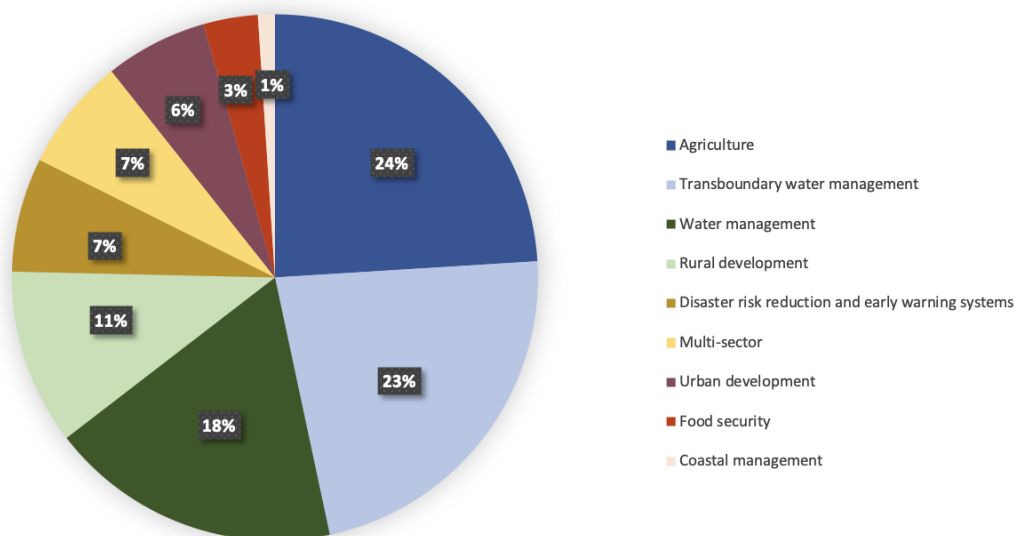


<i>Party/Parties</i>	<i>IE</i>	<i>PPRC document number</i>	<i>Grant size (USD)</i>	<i>Execution cost (USD)</i>	<i>NIE funding (USD)</i>	<i>RIE funding (USD)</i>	<i>MIE funding (USD)</i>	<i>AFB decision</i>	<i>Funding set aside (USD)</i>
Cameroon, Central African Republic, Chad, Niger, Nigeria	WMO	AFB/PPRC.27/20/Add.1	20 000				20 000	Approved	20 000
Costa Rica, Panama	UNEP	AFB/PPRC.27/21/Add.1	20 000				20 000	Not approved	0
<b>Subtotal</b>			<b>60 000</b>			<b>20 000</b>	<b>40 000</b>		<b>40 000</b>
<b>Total (1+2+3+4+5+6+7)</b>			<b>132 689 104</b>	<b>10 905 735</b>	<b>7 188 291</b>	<b>25 961 038</b>	<b>99 539 775</b>		<b>16 617 156</b>
<b>8. Small grants for innovation</b>									
<b>NIE</b>									
Bhutan	BT FEC	AFB/PPRC.27/23	250 000	20 000	250 000			Not approved	0
Dominican Republic	IDDI	AFB/PPRC.27/24	248 734	3 388	248 734			Not approved	0
Zimbabwe	EMA	AFB/PPRC.27/25	249 970	19 988	249 970			Not approved	0
<b>Subtotal</b>			<b>748 704</b>	<b>43 376</b>	<b>748 704</b>				<b>0</b>
<b>9. Learning grants</b>									
<b>NIE</b>									
Kenya	NEMA	AFB/PPRC.27/27	143 545		143 545			Approved	143 545
<b>Subtotal</b>			<b>143 545</b>		<b>143 545</b>				<b>143 545</b>
<b>Total (1+2+3+4+5+6+7+8+9)</b>			<b>133 581 353</b>	<b>10 949 111</b>	<b>8 080 540</b>	<b>25 961 038</b>	<b>99 539 775</b>		<b>16 760 701</b>

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

Figure VII.1

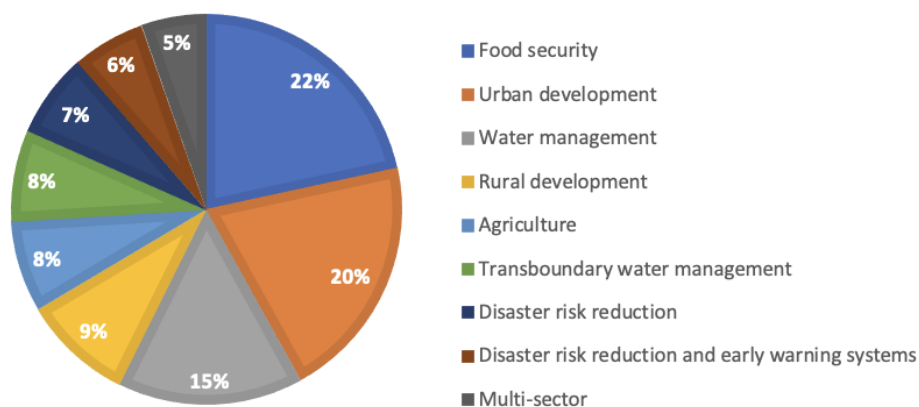
**Fully developed project and programme proposals approved by the Adaptation Fund Board between 1 July 2020 and 30 June 2021, shares by sector**



*Note:* The thematic areas for regional proposals are food security, disaster risk reduction and early warning systems, transboundary water management and innovation in adaptation finance.

Figure VII.2

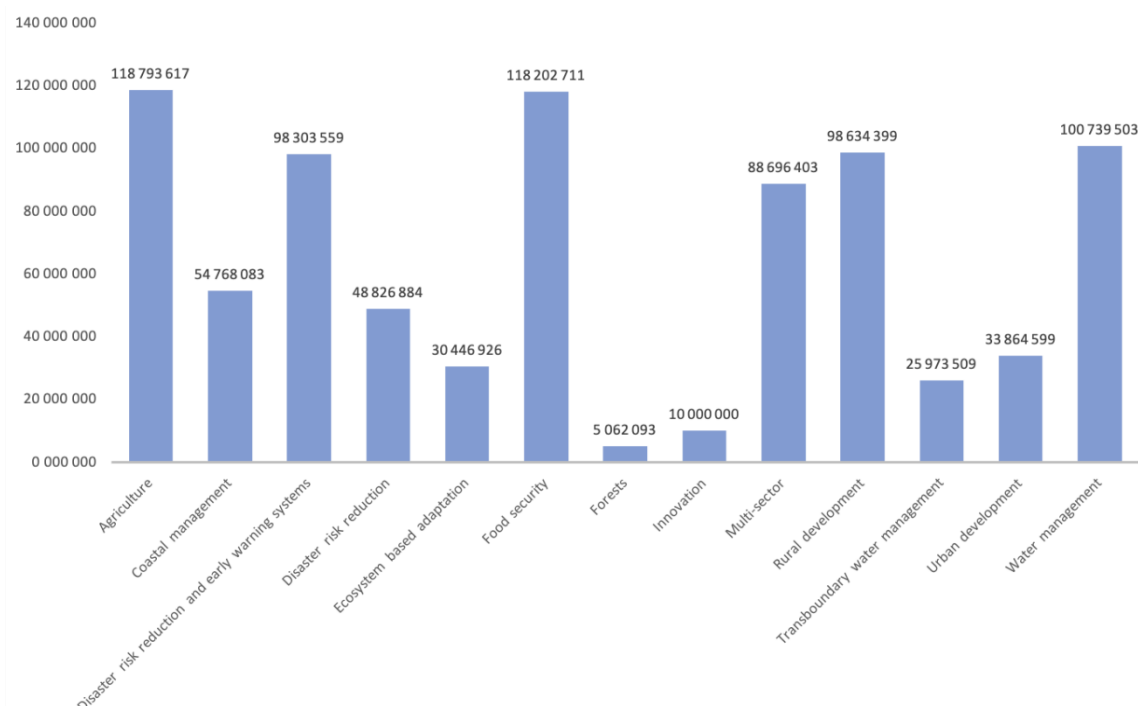
**Project and programme pre-concepts and concepts endorsed by the Adaptation Fund Board between 1 July 2020 and 30 June 2021, shares by sector**



*Note:* The thematic areas for regional proposals are food security, disaster risk reduction and early warning systems, transboundary water management and innovation in adaptation finance.

Figure VII.3

**Status of the portfolio of projects and programmes approved by the Adaptation Fund Board as at 30 June 2021 by allocated amount, by sector**



*Note:* The thematic areas for regional proposals are food security, disaster risk reduction and early warning systems, transboundary water management and innovation in adaptation finance.

Table VII.5

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

Party	IE	PPRC document reference	Requested amount (USD)	NIE funding (USD)	Funding set aside (USD)	AFB decision
<b>Technical assistance grants</b>						
Côte d'Ivoire	FIRCA	AFB/PPRC.26-27.2	24 820	24 820	24 820	Approved
Mexico	IMTA	AFB/PPRC.26-27.3	25 000	25 000	25 000	Approved
Benin	FNEC	AFB/PPRC.26-27.4	10 000	10 000	10 000	Approved
<b>Subtotal</b>			<b>59 820</b>	<b>59 820</b>	<b>59 820</b>	

## Status of the portfolio of the Adaptation Fund

[English only]

Table VIII.1

Status of the portfolio of projects and programmes approved by the Adaptation Fund Board as at 30 June 2021

<i>Party</i>	<i>Project</i>	<i>IE</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project status</i>
Senegal	Adaptation to coastal erosion in vulnerable areas	CSE	8 619 000	8 619 000	17/9/2010	Closed
Honduras	Addressing climate change risks on water resources in Honduras: increased systemic resilience and reduced vulnerability of the urban poor	UNDP	5 620 300	5 620 300	17/9/2010	Closed
Turkmenistan	Addressing climate change risks to farming systems in Turkmenistan at national and community level	UNDP	2 929 500	2 929 500	15/12/2010	Closed
Mauritius	Climate change adaptation programme in the coastal zone of Mauritius	UNDP	9 119 240	9 119 240	15/12/2010	Closed
Eritrea	Climate change adaptation programme in water and agriculture in the Anseba region of Eritrea	UNDP	6 520 850	6 520 850	15/12/2010	Under implementation
Solomon Islands	Enhancing resilience of communities in Solomon Islands to the adverse effects of climate change in agriculture and food security	UNDP	5 533 500	5 533 500	15/12/2010	Closed
United Republic of Tanzania	Implementation of concrete adaptation measures to reduce vulnerability of livelihood and economy of coastal communities in the United Republic of Tanzania	UNEP	5 008 564	5 008 564	15/12/2010	Closed
Pakistan	Reducing risks and vulnerabilities from glacier lake outburst floods in northern Pakistan	UNDP	3 906 000	3 906 000	15/12/2010	Closed
Nicaragua	Reduction of risks and vulnerability based on flooding and droughts in the Estero Real River watershed	UNDP	5 500 950	5 500 950	15/12/2010	Closed
Ecuador	Enhancing resilience of communities to the adverse effects of climate change on food security in Pichincha province and the Jubones River basin	WFP	7 449 468	7 449 468	18/3/2011	Closed
Guatemala	Climate change resilient production landscapes and socioeconomic networks advanced in Guatemala	UNDP	5 425 000	5 425 000	22/6/2011	Closed
Mongolia	Ecosystem-based adaptation approach to maintaining water security in critical water catchments in Mongolia	UNDP	5 500 000	5 500 000	22/6/2011	Under implementation

<i>Party</i>	<i>Project</i>	<i>IE</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project status</i>
Maldives	Increasing climate resilience through an integrated water resource management programme in HA. Ihavandhoo, ADh. Mahibadhoo and GDh. Gadhdhoo Island	UNDP	8 989 225	8 989 225	22/6/2011	Closed
Madagascar	Promoting climate resilience in the rice sector through pilot investments in Alaotra-Mangoro region	UNEP	5 104 925	5 104 925	22/6/2011	Closed
Cook Islands	Strengthening the resilience of the islands and communities of Cook Islands to climate change	UNDP	5 381 600	5 381 600	15/9/2011	Closed
Georgia	Developing climate-resilient flood and flash flood management practices to protect vulnerable communities of Georgia	UNDP	5 316 500	5 316 500	16/9/2011	Closed
Papua New Guinea	Enhancing adaptive capacity of communities to climate change-related floods in the north coast and islands region of Papua New Guinea	UNDP	6 530 373	6 530 373	16/9/2011	Closed
Samoa	Enhancing resilience of Samoa's coastal communities to climate change	UNDP	8 732 351	8 732 351	16/9/2011	Closed
Uruguay	Building resilience to climate change and variability of vulnerable smallholders	National Agency for Research and Innovation	9 967 678	9 967 678	14/12/2011	Under implementation
Myanmar	Addressing climate change risks for water resources and food security in the dry zone of Myanmar	UNDP	7 909 026	7 909 026	27/2/2012	Closed
Colombia	Reducing risk and vulnerability to climate change in the region of La Depresión Momposina in Colombia	UNDP	8 518 307	8 518 307	15/3/2012	Closed
Ghana	Increased resilience to climate change in northern Ghana through management of water resources and diversification of livelihoods	UNDP	8 293 972	8 293 972	16/3/2012	Under implementation
Egypt	Building resilient food security systems to benefit the southern Egypt region	WFP	6 904 318	6 904 318	28/6/2012	Under implementation
Lebanon	Climate-smart agriculture: enhancing adaptive capacity of the rural communities in Lebanon	IFAD	7 860 825	4 009 943	28/6/2012	Under implementation
Djibouti	Developing agropastoral shade gardens as an adaptation strategy for poor rural communities	UNDP	4 658 556	4 658 556	28/6/2012	Closed
Mauritania	Enhancing resilience of communities to the adverse effects of climate change on food security in Mauritania	WFP	7 803 605	7 803 605	28/6/2012	Closed
Jamaica	Enhancing the resilience of the agricultural sector and coastal areas to protect livelihoods and improve food security	Planning Institute of Jamaica	9 965 000	5 980 360	28/6/2012	Under implementation
Sri Lanka	Addressing climate change impacts on marginalized agricultural communities living in the Mahaweli River basin of Sri Lanka	WFP	7 989 727	7 989 727	29/6/2012	Under implementation

<i>Party</i>	<i>Project</i>	<i>IE</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project status</i>
Cambodia	Enhancing climate resilience of rural communities living in protected areas of Cambodia	UNEP	4 954 273	4 954 273	29/6/2012	Under implementation
Argentina	Increasing climate resilience and enhancing sustainable land management in the south-west of the Buenos Aires province	IBRD	4 296 817	4 296 817	29/6/2012	Closed
Cuba	Reduction of vulnerability to coastal flooding through ecosystem-based adaptation in the south of Artemisa and Mayabeque provinces	UNDP	6 067 320	6 067 320	14/12/2012	Under implementation
Seychelles	Ecosystem-based adaptation to climate change in Seychelles	UNDP	6 455 750	6 455 750	20/12/2012	Under implementation
Argentina	Enhancing adaptive capacity and increasing resilience of small-size agriculture producers in the north-east of Argentina	General Directorate of Sectoral and Special Programs and Projects	5 640 000	5 640 000	4/4/2013	Closed
Belize	Belize Marine Conservation and Climate Adaptation Initiative	IBRD	6 000 000	6 000 000	5/4/2013	Under implementation
Nepal	Adapting to climate-induced threats to food production and food security in the Karnali region of Nepal	WFP	9 527 160	7 131 724	4/7/2013	Under implementation
Kenya	Integrated programme to build resilience to climate change and adaptive capacity of vulnerable communities in Kenya	NEMA	9 998 302	9 998 302	1/11/2013	Under implementation
Rwanda	Reducing vulnerability to climate change in north-west Rwanda through community-based adaptation	Ministry of Environment	9 969 619	9 969 619	1/11/2013	Closed
Uzbekistan	Developing climate resilience of farming communities in the drought-prone parts of Uzbekistan	UNDP	5 415 103	5 415 103	10/2/2014	Under implementation
India	Climate-smart actions and strategies in the north-western Himalayan region for sustainable livelihoods of agriculture-dependent hill communities	NABARD	969 570	969 570	20/3/2014	Under implementation
Morocco	Climate change adaptation project in oasis zones	Agency for Agricultural Development	9 970 000	9 650 682	7/10/2014	Under implementation
South Africa	Building resilience in the greater uMngeni catchment in South Africa	South African National Biodiversity Institute	7 495 055	7 495 055	10/10/2014	Under implementation
India	Conservation and management of coastal resources as a potential adaptation strategy for sea level rise	NABARD	689 264	689 264	10/10/2014	Under implementation
India	Enhancing adaptive capacity and increasing resilience of small and marginal farmers in the Purulia and Bankura districts of West Bengal	NABARD	2 510 854	2 134 226	10/10/2014	Under implementation
Costa Rica	Reducing vulnerability by focusing on critical sectors (agriculture, water resources and coastlines) in order to reduce the negative impacts of climate change and improve the resilience of these sectors	Fundecooperación for Sustainable Development	9 970 000	9 970 000	10/10/2014	Under implementation
South Africa	Taking adaptation to the ground: a small grants facility for enabling local-level responses to climate change	South African National Biodiversity Institute	2 442 682	2 442 682	10/10/2014	Under implementation

<i>Party</i>	<i>Project</i>	<i>IE</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project status</i>
Mali	Programme support for climate change adaptation in the vulnerable regions of Mopti and Timbuctou	UNDP	8 533 348	8 533 348	25/3/2015	Under implementation
India	Climate proofing of watershed development projects in the states of Tamil Nadu and Rajasthan	NABARD	1 344 155	1 344 155	9/4/2015	Under implementation
India	Building adaptive capacities of the small inland fishermen community for climate resilience and livelihood security in Madhya Pradesh	NABARD	1 790 500	895 240	10/4/2015	Under implementation
Jordan	Increasing the resilience of poor and vulnerable communities to climate change	Ministry of Planning and International Cooperation	9 226 000	7 255 924	10/4/2015	Under implementation
Peru	Adaptation to the impacts of climate change on Peru's coastal marine ecosystems and fisheries	Peruvian Trust Fund for National Parks and Protected Areas	6 950 239	4 680 074	9/10/2015	Under implementation
Chile	Enhancing resilience to climate change of small agriculture in the Chilean region of O'Higgins	AGCID	9 960 000	9 960 000	9/10/2015	Under implementation
Niger	Enhancing resilience of agriculture to climate change to support food security in Niger through modern irrigation techniques	BOAD	9 911 000	1 376 000	5/7/2016	Under implementation
Uganda	Enhancing resilience of communities to climate change through catchment-based integrated management of water and related resources in Uganda	OSS	7 751 000	6 300 000	5/7/2016	Under implementation
Paraguay	Ecosystem-based approaches to reducing the vulnerability of food security to the impacts of climate change in the Chaco region of Paraguay	UNEP	7 128 450	2 479 357	4/10/2016	Under implementation
Panama	Adapting to climate change through integrated water management in Panama	NATURA	9 977 559	9 358 845	5/10/2016	Under implementation
Antigua and Barbuda	An integrated approach to physical adaptation and community resilience in Antigua and Barbuda's north-west McKinnon's watershed	Department of Environment	9 970 000	8 399 000	5/10/2016	Under implementation
India	Building adaptive capacities of communities, livelihoods and ecological security in the Kanha-Pench Corridor of Madhya Pradesh	NABARD	2 556 093	2 556 093	7/10/2016	Under implementation
Lao People's Democratic Republic	Enhancing the climate and disaster resilience of the most vulnerable rural and emerging urban human settlements in the Lao People's Democratic Republic	UN-Habitat	4 500 000	3 920 648	7/10/2016	Under implementation
Ethiopia	Climate-smart integrated rural development project	Ministry of Finance and Economic Cooperation	9 987 910	9 987 910	17/3/2017	Under implementation
Honduras	Ecosystem-based adaptation of communities in the central forest corridor in Tegucigalpa	UNDP	4 379 700	1 886 099	17/3/2017	Under implementation

<i>Party</i>	<i>Project</i>	<i>IE</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project status</i>
Micronesia (Federated States of)	Enhancing the climate resilience of vulnerable island communities in the Federated States of Micronesia	Secretariat of the Pacific Regional Environment Programme	9 000 000	3 248 396	17/3/2017	Under implementation
Peru	Strengthening the livelihoods of vulnerable highland communities in the provinces of Arequipa, Caylloma, Condesuyos, Castilla and La Union in the region of Arequipa in Peru	CAF	2 941 446	2 941 446	17/3/2017	Under implementation
Regional	Agricultural Climate Resilience Enhancement Initiative	WMO	6 222 000	6 120 000	17/3/2017	Under implementation
Regional	Adapting to climate change in the Lake Victoria basin	UNEP	5 000 000	3 249 021	5/7/2017	Under implementation
Regional	Building adaptive capacity through food and nutrition security and peacebuilding actions in vulnerable African and indigenous communities in the Colombia-Ecuador border area	WFP	14 000 000	8 559 239	5/7/2017	Under implementation
Senegal	Reducing vulnerability and increasing resilience of coastal communities in the Saloum Islands (Dionewar and Fadial)	CSE	1 351 000	933 376	5/7/2017	Under implementation
Solomon Islands	Enhancing urban resilience to climate change impacts and natural disasters: Honiara	UN-Habitat	4 395 877	2 202 550	10/10/2017	Under implementation
Fiji	Increasing the resilience of informal urban settlements in Fiji that are highly vulnerable to climate change and disaster risks	UN-Habitat	4 235 995	1 797 380	10/10/2017	Under implementation
Guinea-Bissau	Scaling up climate-smart agriculture in east Guinea-Bissau	BOAD	9 979 000	3 034 000	10/10/2017	Under implementation
Namibia	Pilot rural desalination plants using renewable power and membrane technology	DRFN	4 999 674	4 733 086	13/10/2017	Under implementation
Cook Islands	Pa Enua Action for Resilient Livelihoods	Ministry of Finance and Economic Management	2 999 125	2 999 125	22/3/2018	Under implementation
Iraq	Building resilience of the agriculture sector to climate change in Iraq	IFAD	9 999 660	1 300 800	22/3/2018	Under implementation
Micronesia (Federated States of)	Practical solutions for reducing community vulnerability to climate change in the Federated States of Micronesia	Micronesia Conservation Trust	970 000	776 883	22/3/2018	Under implementation
Mongolia	Flood resilience in Ulaanbaatar ger areas – climate change adaptation through community-driven small-scale protective and basic services interventions	UN-Habitat	4 495 235	4 181 369	16/7/2018	Under implementation
Regional	Promoting climate-smart agriculture in West Africa	BOAD	14 000 000	5 664 000	16/7/2018	Under implementation
Regional	Reducing climate vulnerability and flood risk in coastal urban and semi-urban areas in cities in Latin America	CAF	13 910 400	4 219 288	16/7/2018	Under implementation
Ecuador	Increasing adaptive capacity of local communities, ecosystems and hydroelectric systems in the Río Blanco upper watershed (Toachi-Pilatón watershed) with a focus on	CAF	2 489 373	646 368.08	16/7/2018	Proposal approved



<i>Party</i>	<i>Project</i>	<i>IE</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project status</i>
	ecosystem- and community-based adaptation and integrated adaptive watershed management					
Armenia	Artik city closed stonepit waste and flood management pilot project	EPIU	1 435 100	1 111 464	12/10/2018	Under implementation
Regional	Integrating flood and drought management and early warning for climate change adaptation in the Volta basin	WMO	7 920 000	4 286 400	12/10/2018	Under implementation
Regional	Restoring marine ecosystem services by rehabilitating coral reefs to meet a changing climate future	UNDP	10 000 000	3 333 113	12/10/2018	Under implementation
Armenia	Strengthening land-based adaptation capacity in communities adjacent to protected areas in Armenia	EPIU	2 506 000	2 246 877	15/3/2019	Under implementation
Dominican Republic	Enhancing climate resilience in the San Cristóbal province of the Dominican Republic – integrated water resources management programme	Dominican Institute of Integral Development	9 953 692	3 981 476.64	15/3/2019	Under implementation
Regional	Integrated climate-resilient transboundary flood risk management in the Drin River basin in the Western Balkans	UNDP	9 927 750	3 160 384.5	15/3/2019	Under implementation
Bangladesh	Adaptation initiative for climate-vulnerable offshore small islands and riverine char land in Bangladesh	UNDP	9 995 369	2 588 075	15/3/2019	Proposal approved
Indonesia	Community adaptation for forest-food-based management in the Saddang watershed ecosystem	Kemitraan	835 465	584 826	8/7/2019	Under implementation
Regional	Enhancing adaptive capacity of Andean communities through climate services	WMO	7 432 250	2 229 600	8/7/2019	Under implementation
Lesotho	Improving adaptive capacity of vulnerable and food-insecure populations in Lesotho	WFP	9 999 894	3 274 057	8/7/2019	Under implementation
Lao People's Democratic Republic	Building climate and disaster resilience capacities of vulnerable small towns in the Lao People's Democratic Republic	UN-Habitat	5 500 000	804 392	8/7/2019	Under implementation
Sierra Leone	Promoting climate resilience in the cocoa and rice sectors as an adaptation strategy in Sierra Leone	IFAD	9 916 925	987 350	8/7/2019	Under implementation
Tajikistan	An integrated landscape approach to enhancing the climate resilience of small-scale farmers and pastoralists in Tajikistan	UNDP	9 996 441	1 076 804	8/7/2019	Proposal approved
Saint Lucia	Building resilience for adaptation to climate change and climate vulnerabilities in agriculture in Saint Lucia	CDB	9 858 570	4 271 552	8/7/2019	Proposal approved
Regional	Climate change adaptation in vulnerable coastal cities and ecosystems of the Uruguay River	CAF	13 999 996	2 799 999	15/7/2019	Proposal approved
Regional	Integration of climate change adaptation measures in the concerted management of the W-Arly-Pendjari transboundary complex	OSS	11 536 200	1 696 450	15/7/2019	Under implementation

<i>Party</i>	<i>Project</i>	<i>IE</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project status</i>
Regional	Building urban climate resilience in south-eastern Africa	UN-Habitat	13 997 423	3 188 521	15/7/2019	Under implementation
Regional	Strengthening drought resilience of smallholder farmers and pastoralists in the IGAD region	OSS	13 079 540	2 100 000	11/10/2019	Under implementation
Malawi	Adapting to climate change through integrated risk management strategies and enhanced market opportunities for resilient food security and livelihoods	WFP	9 989 335	2 502 333	11/10/2019	Under implementation
Democratic Republic of the Congo	Building adaptive capacity to climate change in vulnerable communities living in the Congo River basin	WFP	9 999 909	1 996 677	11/10/2019	Proposal approved
Georgia	Dairy modernization and market access: adaptation component	IFAD	4 644 794	973 737	11/10/2019	Under implementation
El Salvador	Enhancing climate resilience of rural communities and ecosystems in Ahuachapán-Sur, El Salvador	UNDP	8 484 503	1 718 487	11/10/2019	Proposal approved
Republic of Moldova	Talent retention for rural transformation – Adapt	IFAD	6 008 095	881 221	11/10/2019	Under implementation
Global	Special financing window in support of innovation for adaptation	UNEP	5 000 000	713 900	11/10/2019	Under implementation
Global	AF–UNDP Innovation Small Grant Aggregator Platform	UNDP	5 000 000	1 088 393	11/10/2019	Under implementation
United Republic of Tanzania	Enhancing climate change adaptation for agropastoral communities in Kongwa district	NEMC	1 200 000	360 102	1/6/2020	Proposal approved
United Republic of Tanzania	Enhancing climate change resilience of coastal communities of Zanzibar	NEMC	1 000 000	243 023	1/6/2020	Proposal approved
Pakistan	Enhancing community, local and national level urban climate change resilience to water scarcity, caused by floods and droughts in Rawalpindi and Nowshera in Pakistan	UN-Habitat	6 094 000	439 860	1/6/2020	Under implementation
Tunisia	Economic, social and solidarity insertion for resilience in the Governorate of Kairouan	IFAD	9 997 190	2 278 477	1/6/2020	Proposal approved
Viet Nam	Enhancing the resilience inclusive and sustainable eco-human settlement development through small-scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam	UN-Habitat	6 345 292	516 048	1/6/2020	Under implementation
Indonesia	Safekeeping–surviving–sustaining towards resilience: 3S approach to building coastal city resilience to climate change impacts and natural disasters in Pekalongan City, Central Java Province	Kemitraan	5 972 670	2 518 797	23/9/2020	Proposal approved
Cameroon	Increasing local communities’ resilience to climate change through youth entrepreneurship and integrated natural resources management	IFAD	9 982 000	1 260 000	23/9/2020	Proposal approved
United Republic of Tanzania	Strategic water harvesting technologies for enhancing resilience to climate change in rural communities in semi-arid areas of Tanzania	NEMC	1 280 000	0	23/9/2020	Proposal approved

<i>Party</i>	<i>Project</i>	<i>IE</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project status</i>
Indonesia	Adapting to climate change through sustainable integrated watershed governance in indigenous people of Ammatoa Kajang Customary Area in Bulukumba Regency, South Sulawesi Province, Indonesia	Kemitraan	1 125 015	398 029	23/9/2020	Under implementation
Egypt	Building resilient food security systems to benefit the southern Egypt region – Phase 2	WFP	3 094 962	760 654	23/9/2020	Proposal approved
Liberia	Building climate resilience in Liberia's cocoa and rice sectors	IFAD	9 592 082	1 792 592	23/9/2020	Proposal approved
Regional	Reducing vulnerabilities of populations in the Central Asia region from glacier lake outburst floods in a changing climate	UNESCO	6 500 000	830 033	15/10/2020	Under implementation
Cambodia	Climate change adaptation through protective small-scale infrastructure interventions in coastal settlements of Cambodia	UN-Habitat	5 000 000	1 064 998	26/1/2021	Proposal approved
Regional	Increasing the resilience of both displaced persons and host communities to climate change-related water challenges in Jordan and Lebanon	UN-Habitat	1 397 350.9	0	11/3/2021	Proposal approved
Regional	Mekong EbA South: Enhancing climate resilience in the Greater Mekong subregion through ecosystem-based adaptation in the context of South–South cooperation	UNEP	7 000 000	834 690	11/3/2021	Proposal approved
Gambia	Rural integrated climate adaptation and resilience-building project	WFP	10 000 000	959 736	11/3/2021	Proposal approved
Zimbabwe	Strengthening local communities' adaptive capacity and resilience to climate change through sustainable groundwater utilization in Zimbabwe	UNESCO	5 000 000	0	8/4/2021	Proposal approved
United Republic of Tanzania	Bunda climate resilience and adaptation project	NEMC	1 400 000	0	8/4/2021	Proposal approved
Syrian Arab Republic	Increasing the climate change resilience of communities in eastern Ghouta in rural Damascus to water scarcity challenges through integrated natural resource management and immediate adaptation interventions	UN-Habitat	9 997 156	0	8/4/2021	Proposal approved
<b>Total</b>			<b>830 523 995.19</b>	<b>485 895 373.41</b>		

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

Table VIII.2

**Breakdown of the status of the portfolio of projects and programmes approved by the Adaptation Fund Board as at 30 June 2021**

<i>Status</i>	<i>Number of projects/programmes</i>	<i>Total value (USD)</i>
Not started	22	159 313 730
Under implementation	76	523 247 839.19
Completed	23	147 962 426

Table VIII.3

**Active pipeline of project and programme proposals submitted to the Adaptation Fund Board but not approved as at 30 June 2021**

<i>Party</i>	<i>IE</i>	<i>Grant size (USD<sup>d</sup>)</i>
<b>1. Full proposals not approved: single country<sup>b</sup></b>		
<b>NIE</b>		
Belize	PACT	4 000 000
Uganda	MOWE	2 249 000
<b>MIE</b>		
Côte d'Ivoire	IFAD	6 000 000
Djibouti	IFAD	5 339 285
Haiti	UNESCO	9 890 000
Kyrgyzstan	IFAD	9 999 313
<b>Subtotal</b>		<b>37 477 598</b>
<b>2. Endorsed concepts: single country</b>		
<b>NIE</b>		
Bhutan	Bhutan Trust Fund for Environmental Conservation	9 950 535
Zimbabwe	EMA	4 989 915
<b>MIE</b>		
Lebanon	FAO	2 139 174
Malaysia	UN-Habitat	10 000 000
Syria Arab Republic	UN-Habitat	10 000 000
Viet Nam	FAO	3 580 000
<b>Subtotal</b>		<b>40 659 624</b>
<b>3. Not endorsed concepts: single country</b>		
<b>MIE</b>		
Yemen	UN-Habitat	10 000 000
<b>Subtotal</b>		<b>10 000 000</b>
<b>4. Full proposals not approved: regional<sup>c</sup></b>		
<b>RIE</b>		
Angola, Namibia	OSS	11 941 038
Benin, Burkina Faso, Côte d'Ivoire, Gambia, Ghana, Guinea, Liberia, Mali, Niger, Nigeria, Senegal, Sierra Leone, Togo	OSS	14 000 000
<b>MIE</b>		
Angola, Mozambique, Namibia, South Africa, Zimbabwe	UNESCO	14 000 000
Cambodia, Lao People's Democratic Republic, Thailand, Viet Nam	UNESCO	4 898 775
Côte d'Ivoire, Ghana	UN-Habitat	13 951 160
<b>Subtotal</b>		<b>58 790 973</b>
<b>5. Endorsed concepts: regional</b>		

	<i>Party</i>	<i>IE</i>	<i>Grant size (USD<sup>a</sup>)</i>
<b>MIE</b>			
	Antigua and Barbuda, and Saint Lucia	UN-Habitat	13 662 863
	Azerbaijan, Iran (Islamic Republic of)	UN-Habitat	14 000 000
	Cabo Verde, Guinea-Bissau, Sao Tome and Principe	IFAD	14 000 000
	Chad, Sudan	FAO	14 000 000
	El Salvador, Honduras	WFP	11 886 691
	<b>Subtotal</b>		<b>67 549 554</b>
<b>6. Endorsed pre-concepts: regional</b>			
<b>RIE</b>			
	Guinea, Mali, Mauritania, Senegal	OSS	14 000 000
<b>MIE</b>			
	Cameroon, Central African Republic, Chad, Niger, Nigeria	WMO	10 620 000
	India, Sri Lanka	WFP	13 995 524
	<b>Subtotal</b>		<b>38 615 524</b>
<b>7. Not endorsed pre-concepts: regional</b>			
<b>RIE</b>			
	Costa Rica, Dominican Republic	CAF	13 919 202
<b>MIE</b>			
	Costa Rica, Panama	UNEP	10 693 000
	<b>Subtotal</b>		<b>24 612 202</b>
	<b>Total (1+2+3+4+5+6+7)</b>		<b>277 705 475</b>
<b>8. Small grants for innovation not approved</b>			
<b>NIE</b>			
	Bhutan	Bhutan Trust Fund for Environmental Conservation	250 000
	Dominican Republic	Dominican Institute of Integral Development	248 734
	Uganda	MOWE	250 000
	Zimbabwe	EMA	249 970
	<b>Subtotal</b>		<b>998 704</b>
	<b>Total (1+2+3+4+5+6+7+8)</b>		<b>278 704 179</b>

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

<sup>b</sup> Single-country proposals that were submitted between 1 July 2020 and 30 June 2021 but not yet approved by the AFB or cancelled by the proponent by the end of that period.

<sup>c</sup> Regional proposals that were submitted between 1 July 2020 and 30 June 2021 but not yet approved by the AFB or cancelled by the proponent by the end of that period.

Table VIII.4

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

	<i>Number submitted by NIEs</i>	<i>Total value (USD)</i>	<i>Number submitted by RIEs</i>	<i>Total value (USD)</i>	<i>Number submitted by MIEs</i>	<i>Total value (USD)</i>	<i>Total number submitted</i>	<i>Total value (USD)</i>
<b>Single-country projects and programmes</b>								
Concept submitted, not endorsed	0	—	0	—	1	10 000 000	1	10 000 000
Concept submitted, endorsed	3	17 189 450	0	—	5	35 609 174	8	52 798 624

	<i>Number submitted by NIEs</i>	<i>Total value (USD)</i>	<i>Number submitted by RIEs</i>	<i>Total value (USD)</i>	<i>Number submitted by MIEs</i>	<i>Total value (USD)</i>	<i>Total number submitted</i>	<i>Total value (USD)</i>
Full proposal submitted, not approved	6	8 972 191	0	–	6	41 338 598	12	50 310 789
<b>Regional projects and programmes</b>								
Pre-concept submitted, not endorsed	–	–	1	13 919 202	2	21 313 000	3	35 232 202
Pre-concept submitted, endorsed	–	–	1	14 000 000	2	24 615 524	3	38 615 524
Concept submitted, not endorsed	–	–	0	–	0	–	0	0
Concept submitted, endorsed	–	–	2	25 880 000	5	67 549 554	7	93 429 554
Full proposal submitted, not approved	–	–	1	11 941 038	4	48 924 669	5	60 865 707
<b>Total</b>	<b>9</b>	<b>26 161 641</b>	<b>5</b>	<b>65 740 240</b>	<b>25</b>	<b>249 350 519</b>	<b>39</b>	<b>341 252 400</b>

Table VIII.5

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

<i>Party</i>	<i>IE</i>	<i>Name</i>	<i>Grant size (USD)</i>
<b>Small grants for innovation</b>			
<b>NIE</b>			
Bhutan	Bhutan Trust Fund for Environmental Conservation	Building adaptive capacity through innovative management of pests/disease and invasive alien species in Bhutan to enhance sustainable agro-biodiversity and livelihoods	250 000
Dominican Republic	Dominican Institute of Integral Development	Strengthening of a replicable micro ecosystem for accelerated development of technologies for climate change adaptation of the Dominican Republic – phase I – disruptive modular dynamic floating breakwater technology	248 734
Uganda	MOWE	Enhancing sustainable wetlands restoration through community-based climate change adaptive livelihood options in Okole wetland system, Lira District	250 000
Zimbabwe	EMA	Accelerating climate change resilience through climate-smart agriculture and landscape management project in Matobo District, Zimbabwe	249 970
<b>Total</b>			<b>998 704</b>

## Annex IX

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

[English only]

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#### *CMP decision*

#### *AFB response*

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Decision 2/CMP.13: Third review of the Adaptation Fund

Paragraph 7:

Encourages the Adaptation Fund Board:

(a) To consider options for improvement of efficiency with regard to the operation of the Adaptation Fund

The efficiency of the operations of the AF has been recognized by previous independent evaluations, including the second phase of the overall evaluation, finalized in June 2018, which found (1) the AF is efficient in managing accreditation and project cycle processes. Even as the volume of accreditation applications and project proposals has increased, the AFB secretariat has maintained its efficiency; (2) the AF has a clear advantage in efficient project approval processes. Compared with other climate funds, it has the smallest secretariat, which is indicative of cost efficiency; and (3) projects in general are delivered on time, although implementation delays affect overall time frames and can lead to revisions of activities.

The MTS further builds on these strengths and identifies opportunities to advance the effectiveness, efficiency and sustainability of the AF by scaling up adaptation action, accelerating innovation in adaptation, and using learning and sharing to enhance the processes and activities of the AF.

During the MTS period, the AFB has streamlined its operational processes whenever possible, including during the COVID-19 pandemic:

- The AFB took a number of policy decisions regarding project approval and implementation to respond to the rapid increase in the volume of proposals being submitted to the AF, including to streamline the project and programme review process and update the policy for project and programme delays. The AF also improved its processes for collecting and addressing comments to funding proposals from civil society during its proposal review process;
- On accreditation and readiness, the AFB approved a revised reaccreditation process and a revised standard legal agreement with accredited IEs, and further clarified the definition and process for accrediting RIEs. The AFB also made available additional support for the accreditation of NIEs through the new readiness package grant as a standing window under the Readiness Programme and to further streamline the review and approval process of readiness grants;
- In its response to COVID-19, the AFB has adopted dedicated measures to mitigate the impacts of the pandemic on the portfolio of the AF. These measures support countries and IEs with additional flexibility and guidance on managing COVID-19-related project delays and change to achieve their originally set objectives. Countries are also encouraged to consider matters related to COVID-19 in their future programming of funding from the AF, in order to achieve a broader resilience

<i>CMP decision</i>	<i>AFB response</i>
(b) To continue to engage with subnational actors and the private sector through, inter alia, microfinance schemes, weather-based insurance arrangements, involvement with local industry groups and farmers in adaptation projects, and public-private partnerships	<p>The AFB has continued to engage with subnational actors and the private sector through its portfolio of projects and programmes, which includes the use of microfinance schemes, weather-based insurance arrangements, involvement with local industry groups and farmers in adaptation projects (e.g. see projects in Djibouti, Argentina, Georgia, Peru and Senegal). In addition, the AF is closely collaborating with the WMO on the theme of climate services.</p> <p>As part of the implementation of its MTS, the AFB supports countries in scaling up effective adaptation projects and programmes with support from other climate funds and finance channels, including the private sector.</p> <p>The new innovation facility of the AF that was established under the MTS provides further opportunities for subnational and private sector actors to engage in proposals for innovation funding. In addition to innovation, the AFB has also approved a new funding window for enhanced direct access to support projects that further devolve decision-making to local levels.</p> <p>Overall, AF operations have evolved to expand support for adaptation action that meaningfully involves local-level actors and devolves decision-making through direct access and enhanced direct access. The AF is a leader in the area of locally led adaptation action and engages in relevant networks to develop and disseminate lessons learned and best practices</p>
(c) To consider voluntary tracking of climate finance mobilized, where appropriate	<p>The AFB has been tracking voluntary co-financing on the project level through project documents and annual project performance reports.</p> <p>The topic of mobilized or leveraged finance is currently being considered in the AFB in its work on further defining the scope of application of the criterion on the full cost of adaptation reasoning in project proposals, taking into consideration the programmatic developments of the AF. The AFB will consider options at its 37th and 38th meetings</p>
(d) To continue the efforts to enhance complementarity and coherence with other funds both under and outside the Convention	<p>The AF continues to actively engage with other climate funds under the Convention, including the GCF and the GEF. With the GCF, the AF has been working on multiple areas of complementarity, including piloting a joint framework for scaling up adaptation interventions jointly supporting the CPDAE, and advancing the options for fund-to-fund arrangements. With the GEF, the AFB engaged in a dialogue with the Chief Executive Officer and Chairperson of the GEF, Mr. Rodriguez, who proposed areas for further cooperation. The AF has been engaging with the GCF, GEF and Climate Investment Funds during the annual dialogues of climate finance delivery channels and resulting joint activities, such as a joint statement on climate-resilient recovery from the COVID-19 pandemic</p>
Paragraph 8: Requests the Adaptation Fund Board:	
(a) To consider lessons learned from the Adaptation Fund's engagement with private sector stakeholders in adaptation projects at the local level, including in the decision-making processes of the Adaptation Fund and in communications with donors	<p>The AFB captures and considers lessons learned from the project level as part of all project proposals and reports, as well as on the AF level through its annual performance reports.</p> <p>The work by the AFB of sharing lessons and knowledge has been further strengthened through the MTS, with learning and sharing being one of the three strategic pillars. Lessons from engaging with local-level actors, including the private sector, in project design and implementation are captured and disseminated in knowledge products such as on locally led AF projects, on integrating gender into AF projects and on capacity-building and readiness for direct access.</p> <p>These lessons have been informing the decision-making of the AFB, resulting in decisions, inter alia, to approve new funding windows on innovation and enhanced direct access that allow subnational and private sector actors to engage</p>



<i>CMP decision</i>	<i>AFB response</i>
	<p>in AF-funded activities. These experiences and lessons also inform the Contributor Dialogues and exchanges with other climate funds.</p> <p>The AFB has also endorsed the principles for locally led adaptation action set forth by the Global Commission on Adaptation and decided that the AF would participate in the learning community of practice on locally led action (AFB decision B.35-36/14)</p>
(b) To monitor and assess project approval time under the Readiness Programme, identifying any linkages of this time to the introduction of the Adaptation Fund's environmental and social policy, and to take measures to reduce the time, as necessary, while continuing to implement its environmental and social safeguards and gender policy	Under the MTS, the Readiness Programme has further expanded support to IEs to increase their capacity for complying with the requirements of the environmental and social policy and the gender policy of the AF, both through organized training and targeted small grants for project formulation assistance. The AF has also produced and updated the relevant guidance documents. The AFB has observed increased capacity among all IEs to comply with the comprehensive safeguard policies of the AF. Through this support, the development and implementation of projects and programmes continues in a timely manner. The AFB further enhanced the approval of readiness grants through the decision to consider readiness grant proposals during all intersessional periods between AFB meetings in addition to during AFB meetings
(c) To continue to provide information on project approval time	Project approval time continues to be a standard indicator tracked by the AFB through the approval and publication of annual performance reports that are prepared by the AFB secretariat
(d) To continue monitoring the adaptation impacts and results of the Adaptation Fund, including using local and sector-specific metrics	The results-based management system of the AF combines the goals of collecting locally and sectorally relevant information on impacts and results, and collecting results-related information that can be aggregated at the AF level across projects, regions and sectors. In addition to the results-based management framework, the AF-TERG supports the AFB on assessing longer term impact of AF interventions. The AFB considered the AF-TERG's progress update on the review and revision of the evaluation framework as well as the synthesis of AF final evaluations
(e) To report on progress made on the mandates arising from this decision in the future reports of the Adaptation Fund to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol	The AFB remains committed to reporting on any relevant developments in relation to the elements of the CMP decision on the third review of the AF, including to inform the fourth review of the AF
Paragraph 8:	
Requests the Adaptation Fund Board:	
(a) To consider lessons learned from the Adaptation Fund's engagement with private sector stakeholders in adaptation projects at the local level, including in the decision-making processes of the Adaptation Fund and in communications with donors	<p>The AFB captures and considers lessons learned from the project level as part of all project proposals and reports, as well as on the AF level through its annual performance reports.</p> <p>The work by the AFB of sharing lessons and knowledge has been further strengthened through the MTS, with learning and sharing being one of the three strategic pillars. Lessons from engaging with local-level actors, including the private sector, in project design and implementation are captured and disseminated in knowledge products such as on locally led AF projects, on integrating gender into AF projects and on capacity-building and readiness for direct access.</p> <p>These lessons have been informing the decision-making of the AFB, resulting in decisions, inter alia, to approve new funding windows on innovation and enhanced direct access that allow subnational and private sector actors to engage in AF-funded activities. These experiences and lessons also inform the Contributor Dialogues and exchanges with other climate funds.</p>

<i>CMP decision</i>	<i>AFB response</i>
	The AFB has also endorsed the principles for locally led adaptation action set forth by the Global Commission on Adaptation and decided that the AF would participate in the learning community of practice on locally led action (AFB decision B.35-36/14)
(b) To monitor and assess project approval time under the Readiness Programme, identifying any linkages of this time to the introduction of the Adaptation Fund's environmental and social policy, and to take measures to reduce the time, as necessary, while continuing to implement its environmental and social safeguards and gender policy	Under the MTS, the Readiness Programme has further expanded support to IEs to increase their capacity for complying with the requirements of the environmental and social policy and the gender policy of the AF, both through organized training and targeted small grants for project formulation assistance. The AF has also produced and updated the relevant guidance documents. The AFB has observed increased capacity among all IEs to comply with the comprehensive safeguard policies of the AF. Through this support, the development and implementation of projects and programmes continues in a timely manner. The AFB further enhanced the approval of readiness grants through the decision to consider readiness grant proposals during all intersessional periods between AFB meetings in addition to during AFB meetings
(c) To continue to provide information on project approval time	Project approval time continues to be a standard indicator tracked by the AFB through the approval and publication of annual performance reports that are prepared by the AFB secretariat
(d) To continue monitoring the adaptation impacts and results of the Adaptation Fund, including using local and sector-specific metrics	The results-based management system of the AF combines the goals of collecting locally and sectorally relevant information on impacts and results, and collecting results-related information that can be aggregated at the AF level across projects, regions and sectors. In addition to the results-based management framework, the AF-TERG supports the AFB on assessing longer term impact of AF interventions. The AFB considered the AF-TERG's progress update on the review and revision of the evaluation framework as well as the synthesis of AF final evaluations
(e) To report on progress made on the mandates arising from this decision in the future reports of the Adaptation Fund to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol	The AFB remains committed to reporting on any relevant developments in relation to the elements of the CMP decision on the third review of the AF, including to inform the fourth review of the AF

## Annex X

### **Financial report of the Adaptation Fund Trust Fund as at 30 June 2021, prepared by the trustee: supplemental report to the Adaptation Fund Board report to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol and to the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement<sup>1</sup>**

[English only]

#### **I. Introduction**

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

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

11. The information contained in this Financial Report is based on financial information as of June 30, 2021.

#### **II. Adaptation Fund Trust Fund Summary as of June 30, 2021**

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

12. Cumulative resources pledged to AF Trust Fund including CER sales proceeds amounted to USD 1,103.47 million as of June 30, 2021. Of this, USD 208.38 million was received through CER sales proceeds and USD 858.82 million in donations, totalling cumulative receipts of USD 1,067.20 million as of June 30, 2021. Resources not yet received from Donors amounted to USDeq. 36.27 million in donations receivable undersigned agreements.

13. An amount of USD 3.64 million was received from CER sales during fiscal year 2021.

##### ***Investment Income***

14. As of June 30, 2021, the AF Trust Fund earned investment income of USD 40.21 million on the liquid balances in the AF Trust Fund. The AF Trust Fund liquid portfolio has returned 0.44% for fiscal year 2021.

##### ***Funding Approvals***

15. Cumulative net funding decisions made by the AF Board through June 30, 2021 totalled USD 908.71 million, of which USD 836.13 million represents approvals for projects and programs.

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

***Cash Transfers***

16. The Trustee has transferred a total of USD 553.29 million up to June 30, 2021, including USD 491.05 million related to projects and programs.

***Funds Held in Trust***

17. Funds Held in Trust<sup>2</sup> reflect proceeds from CER monetization, donations received and investment income, less cash transfers made to date. Funds Held in Trust as of June 30, 2021 amounted to USD 554.11 million, including USD 3 million set aside for operational reserve.

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

18. Funds available to support AF funding decisions amounted to USD 195.69 million as of June 30, 2021.

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

### III. AF Trust Fund Summary – Inception through June 30, 2021

*In USD millions*

	Total	% of Total
<b><u>CER Sales Proceeds, Pledges and Donations</u></b>		
CER Sales Proceeds	208.38	18.9%
Donations	895.09	81.1%
Pledges	-	0.0%
<b>Total CER Sales Proceeds and Donations</b>	<b>1,103.47</b>	<b>100.0%</b>
<b><u>Cumulative Resources</u></b>		
<b><u>Resources received</u></b>		
CER Sales Proceeds	208.38	18.2%
Donations	858.82	75.1%
Investment Income earned	40.21	3.5%
<b>Total Resources Received</b>	<b>1,107.40</b>	<b>96.8%</b>
<b><u>Resources not yet received</u></b>		
Donations not yet received	36.27	3.2%
Pledges	-	0.0%
<b>Total resources not yet received</b>	<b>36.27</b>	<b>3.2%</b>
<b>Total Potential Resources (A) (in USD millions)</b>	<b>1,143.67</b>	<b>100.0%</b>
<b><u>Cumulative Funding Decisions</u></b>		
Programs and Projects (MIE)	526.72	58.0%
Programs and Projects (NIE)	190.38	21.0%
Programs and Projects (RIE)	119.03	13.1%
Administrative Budget	72.58	8.0%
<b>Total Funding Decisions Net of Cancellations (B)</b>	<b>908.71</b>	<b>100.0%</b>
<b>Total Potential Resources Net of Funding Decisions (A) - (B)</b>	<b>234.96</b>	
<b>Total Potential Resources Net of Funding Decisions and Operational Reserve</b>	<b>231.96</b>	
<b><u>Funds Available</u></b>		
Funds Held in Trust with no restrictions	551.11	
Approved Amounts Pending Cash Transfers	355.42	
<b>Total Funds Available to Support AF Board Decisions</b>	<b>195.69</b>	

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

#### CER SALES PROCEEDS

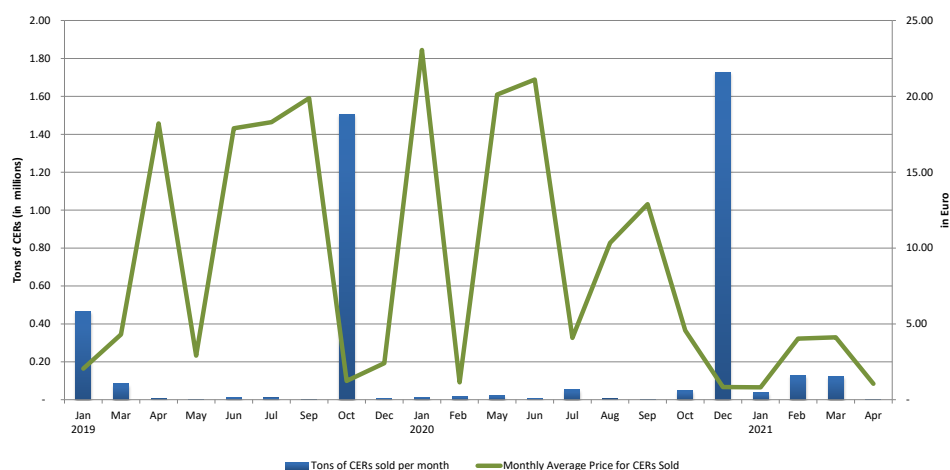
This table shows the proceeds from CER sales received into the AF Trust Fund. See Annex for more details.

The Trustee has generated revenues of USD 208.38 million through CER sales since the start of the CER monetization program in May 2009.

## IV. CER SALES AND MONTHLY AVERAGE PRICE

Calendar Year	CER balance a/	CER sales	Proceeds USD (millions)
<b>2009-2018</b>	12,400,187	26,753,350	199.57
<b>2019</b> Q1	12,000,126	549,451	1.49
Q2	12,174,665	18,440	0.36
Q3	12,445,244	11,508	0.24
Q4	11,127,219	1,515,101	2.07
<b>2020</b> Q1	11,229,556	29,916	0.38
Q2	11,539,271	28,833	0.64
Q3	11,756,301	59,912	0.35
Q4	10,300,157	1,774,791	2.01
<b>2021</b> Q1	10,131,730	288,717	1.27
Q2	10,421,087	1,600	0.00
<b>Total</b>		<b>31,031,619</b>	<b>208.38</b>

a/ in registries at period-end



19. This chart presents the number of tons of CERs sold per month and the monthly average price obtained by the Trustee for a ton of CER sold between January 2019 and June 2021. During fiscal year 2021, the Trustee sold 2.13 million tons of CERs and generated USD 3.64 million in CER proceeds. The average price achieved during fiscal year 2021 was EUR 1.43 or USD 1.71 per ton.

## DONATIONS

Donor	Currency	Pledged Donation in Currency of Contribution	Effective (or signed) Donation	Receipts in Currency of Contribution	Receipts in USD a/
Austria	EUR	0.50	0.50	0.50	0.69
Belgium	EUR	1.50	1.50	1.50	1.65
Belgium (Flanders)	EUR	8.95	8.95	8.95	9.69
Belgium (Walloon Region)	EUR	20.10	20.10	16.30	18.83
Belgium (Brussels Capital Region)	EUR	5.85	5.85	5.85	6.81
Canada (Quebec)	CAD	3.00	3.00	3.00	2.24
Corporacion Andina de Fomento	USD	0.06	0.06	0.06	0.06
Finland b/	USD	0.07	0.07	0.07	0.07
Finland	EUR	5.00	5.00	5.00	6.80
France b/	USD	0.05	0.05	0.05	0.05
France	EUR	20.00	20.00	20.00	22.62
Germany	EUR	390.00	390.00	390.00	455.68
Ireland	EUR	1.20	1.20	1.20	1.40
Italy	EUR	51.00	51.00	51.00	61.01
Japan b/	USD	0.01	0.01	0.01	0.01
Luxembourg	EUR	2.00	2.00	2.00	2.11
Monaco	EUR	0.01	0.01	0.01	0.01
New Zealand	NZD	3.00	3.00	3.00	1.97
Norway b/	USD	0.09	0.09	0.09	0.09
Norway	NOK	155.00	155.00	155.00	18.43
Poland	USD	1.00	1.00	1.00	1.00
Qatar	USD	0.50	0.50	0.50	0.50
Spain	EUR	48.00	48.00	47.00	59.41
Sweden	SEK	1,405.00	1,405.00	1,145.00	142.21
Switzerland b/	USD	0.08	0.08	0.08	0.08
Switzerland	CHF	28.00	28.00	28.00	29.44
United Kingdom	GBP	10.00	10.00	10.00	15.92
United Nations Foundation	USD	-	0.07	0.07	0.07
Others	GBP	-	0.00	0.00	0.00
Others	EUR	-	0.00	0.00	0.00
<b>Total Donations Received</b>					<b>858.82</b>

a/ Represents actual USD receipts.

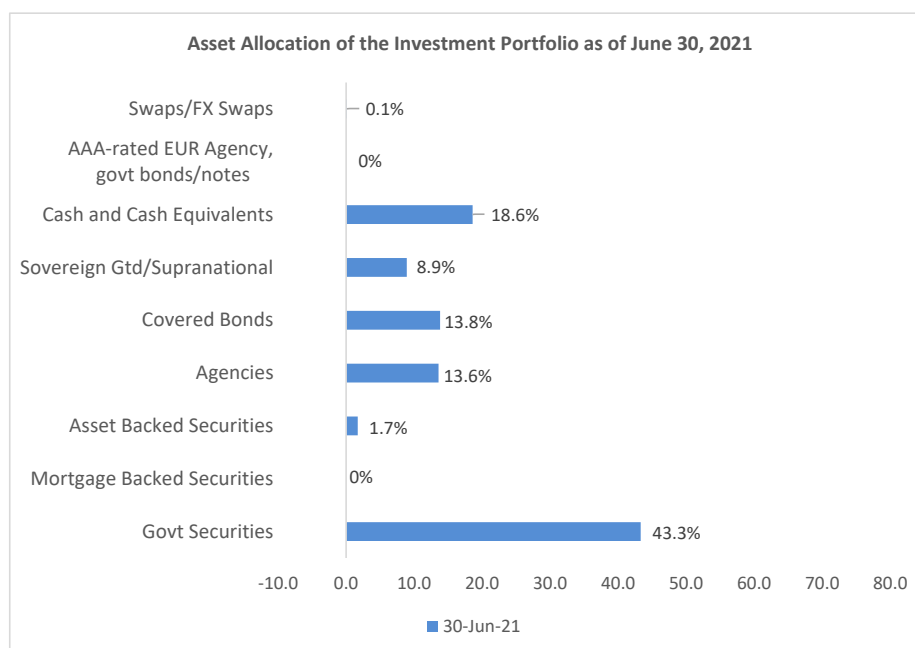
b/ Donation corresponds to the Donor's pro-rata share of the balance in the Administrative Trust Fund

## V. Asset Mix and Investment Income

### ASSET MIX

20. The undisbursed cash balance of the AF Trust Fund is maintained in a commingled investment portfolio (“Pool”) for all trust funds managed by IBRD. Funds are managed such that the expected maximum loss, as measured by the CVaR, in the worst 1% of cases will not exceed 0.25% at the portfolio’s investment horizon.

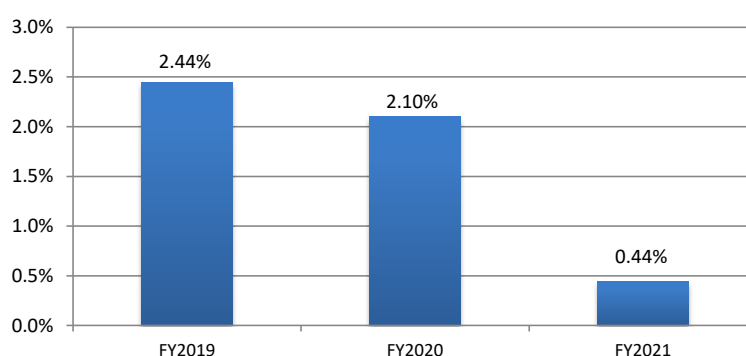
21. The portfolio allocation by asset class has the largest allocations to government securities and money-market instruments.



*Note:* The negative position in swaps is primarily due to changes in foreign currency exchange (FX) rates in cross currency basis swaps. Such swap instruments are used to implement currency hedges on bond positions within the portfolio. These hedges remain in place.

### INVESTMENT RETURNS

The AF Trust Fund liquid portfolio earned USD 40.21 million in investment income since inception. The portfolio returns during fiscal year 2021 was 0.44%.





## VI. Cumulative Funding Decisions as of June 30, 2021 (breakdown by types of Implementing Entities)

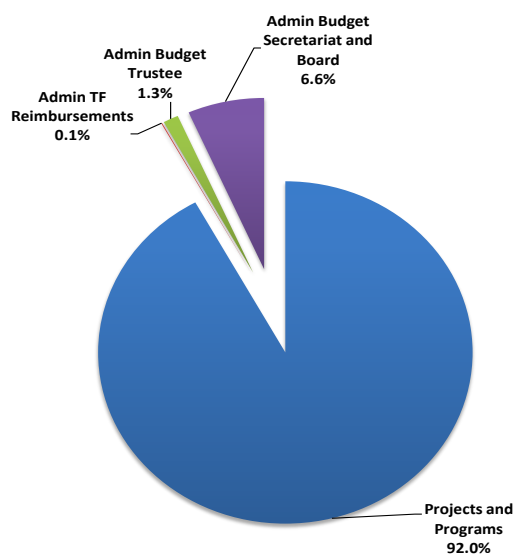
(In USD Millions)

<u>1. Programs and Projects</u>	<u>MIE/RIE/NIE</u>	<u>MIE</u>	<u>RIE</u>	<u>NIE</u>	<b>836.13</b>
Antigua and Barbuda	ABED	-	-	10.00 a/	
Argentina	UCAR	-	-	5.38 a/	
Argentina	WB	4.30	-	-	
Armenia	EPIU	-	-	4.00 a/	
Bangladesh	UNDP	10.00	-	-	
Belize	WB	6.00	-	-	
Belize	PACT	-	-	0.05 a/ d/	
Benin	FNE	-	-	0.03 a/	
Bhutan	BTFEC	-	-	0.05 a/ d/	
Cambodia	UNEP	4.95	-	-	
Cambodia	UN HABITAT	5.00	-	-	
Cameroon	IFAD	9.98	-	-	
Chile	AGCI	-	-	9.99 a/	
Colombia	UNDP	8.52	-	-	
Congo	WFP	10.00	-	-	
Cook Islands	UNDP	5.38	-	-	
Cook Islands	MFEM	-	-	3.00	
Costa Rica	FDS	-	-	10.00 a/	
Cuba	UNDP	6.07	-	-	
Djibouti	UNDP	4.66	-	-	
Dominican Republic	IDDI	-	-	9.98 a/	
Ecuador	WFP	7.45	-	-	
Ecuador	CAF	-	2.49	-	
Egypt	WFP	10.00	-	-	
El Salvador	UNDP	8.48	-	-	
Eritrea	UNDP	6.52	-	-	
Ethiopia	MOFEC	-	-	9.99	
Fiji	UN HABITAT	4.24	-	-	
Gambia	WFP	10.00	-	-	
Georgia	UNDP	5.32	-	-	
Georgia	IFAD	4.64	-	-	
Ghana	UNDP	8.29	-	-	
Guatemala	UNDP	5.43	-	-	
Guinea Bissau	BOAD	-	9.98	-	
Honduras	UNDP	10.00	-	-	
India	NABARD	-	-	9.98 a/	
Indonesia	KEMITRAAN	-	-	8.08 a/	
Iraq	IFAD	10.00	-	-	
Jamaica	PIOJ	-	-	10.00 a/	
Jordan	MOPIC	-	-	9.26 a/	
Kenya	NEMA	-	-	10.00	
Lao, PDR	UN HABITAT	10.00	-	-	
Lebanon	IFAD	7.86	-	-	
Lesotho	WFP	10.00	-	-	
Liberia	IFAD	9.59	-	-	
Madagascar	UNEP	5.10	-	-	
Malawi	WFP	9.99	-	-	
Maldives	UNDP	8.99	-	-	
Mali	UNDP	8.53	-	-	
Mauritania	WFP	7.80	-	-	
Mauritius	UNDP	9.12	-	-	
Micronesia	SPREP	-	9.00	-	
Micronesia	MCT	-	-	1.00 a/	
Moldova	IFAD	6.01	-	-	
Mongolia	UNDP	5.50	-	-	
Mongolia	UN HABITAT	4.50	-	-	
Morocco	ADA	-	-	10.00 a/	
Myanmar	UNDP	7.91	-	-	

<b>1. Programs and Projects</b>	<b>MIE/RIE/NIE</b>	<b>MIE</b>	<b>RIE</b>	<b>NIE</b>	<b>836.13</b>
<i>(continued)</i>					
Namibia	DRFN	-	-	5.11 a/ d/	
Nepal	WFP	9.53	-	-	
Nicaragua	UNDP	5.50	-	-	
Niger	BOAD	-	9.91	-	
Pakistan	UNDP	3.91	-	-	
Pakistan	UN HABITAT	6.09	-	-	
Panama	FN	-	-	10.00 a/	
Papua New Guinea	UNDP	6.53	-	-	
Paraguay	UNEP	7.13	-	-	
Peru	PROFONANPE	-	-	6.95	
Peru	CAF	-	2.94	-	
Rwanda	MINIRENA	-	-	10.10 a/ c/	
Samoa	UNDP	8.73	-	-	
Senegal	CSE	-	-	9.64 a/	
Seychelles	UNDP	6.46	-	-	
Sierra Leone	IFAD	9.92	-	-	
Solomon Islands	UNDP	5.53	-	-	
Solomon Islands	UN HABITAT	4.40	-	-	
South Africa	SANBI	-	-	10.00 a/	
Sri Lanka	WFP	7.99	-	-	
St. Lucia	CDB	-	9.86	-	
Syria	UN HABITAT	10.00	-	-	
Tajikistan	UNDP	10.00	-	-	
Tanzania	UNEP	5.01	-	-	
Tanzania	NEMC	-	-	5.00 a/	
Tunisia	IFAD	10.00	-	-	
Turkmenistan	UNDP	2.93	-	-	
Uganda	OSS	-	7.75	-	
Uganda	MWE	-	-	0.05 a/ d/	
Uruguay	ANII	-	-	10.00 a/	
Uzbekistan	UNDP	5.42	-	-	
Vietnam	UN HABITAT	6.35	-	-	
Zimbabwe	UNESCO	5.00	-	-	
Zimbabwe	EMA	-	-	0.05 a/ d/	
Regional		104.19	67.10	- a/ b/	
Accreditation Support		-	-	0.94	
Technical Assistance		-	-	0.52	
Innovation & Learning		10.00	-	1.25	
Sub-Total by IE type		526.72	119.03	190.38	
<b>% Total Programs and Projects</b>		<b>63%</b>	<b>14%</b>	<b>23%</b>	
<b>2. Administrative Budget</b>					<b>72.58</b>
AF Administrative Trust Fund				0.69	
Administrative Budget - Trustee				11.92	
Administrative Budget - AF Board and Secretariat				59.98	
<b>3. Total Funding Decisions (3 = 1 + 2)</b>					<b>908.71</b>
a/ Includes approved Project Formulation Grant amounts					
b/ Includes approved regional projects					
c/ Includes approved grant application to develop a scale-up proposal					
d/ Includes approved Project Formulation Assistance amounts					

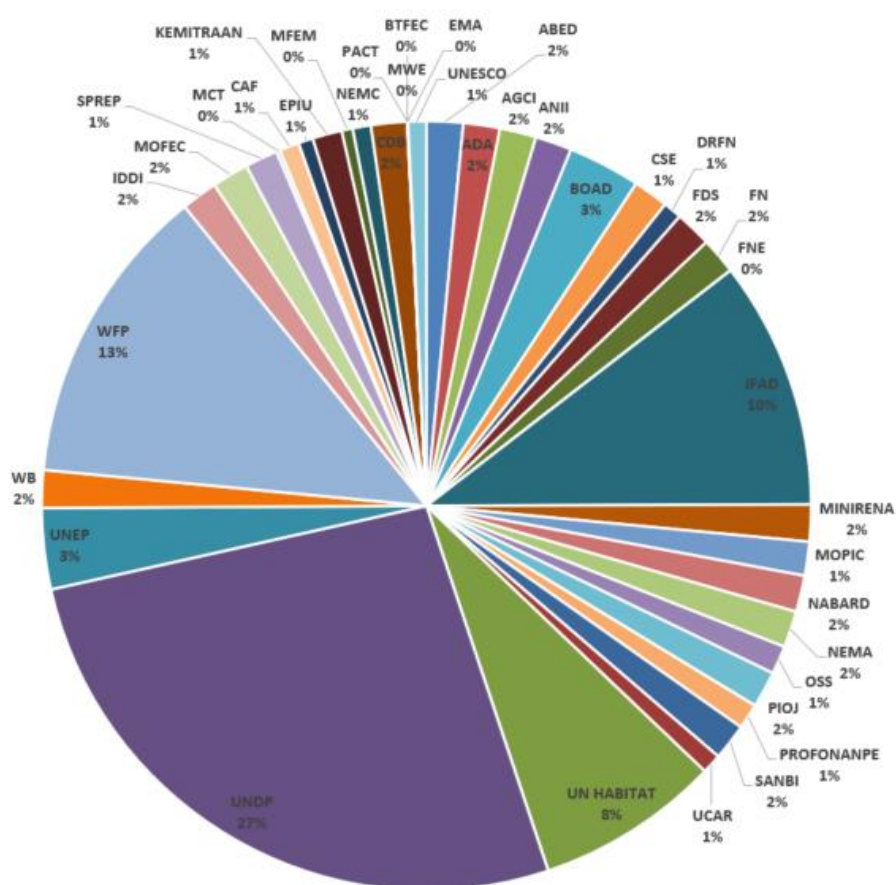
## CUMULATIVE FUNDING DECISIONS

Since inception to June 30, 2021, funding approvals made by the AF Board amounted to USD 908.71 million.



## FUNDING DECISIONS BY NIE/RIE/MIE

Funding decisions by NIE/RIE/MIE show the cumulative funding decisions related to programs and projects. To date, cumulative funding decisions to NIEs/RIEs/MIEs amount to USD 836.13 million.



## VII. Funds available

*In USD millions*

	As of June 30, 2021 (a)	As of June 30, 2020 (b)	Change since last report (a) - (b)
<b>1. Cumulative Receipts</b>	<b>1,107.40</b>	<b>978.32</b>	<b>129.08</b>
a. Cash receipts from CER proceeds	208.38	204.74	3.64
b. Cash receipts from Donors and Other Sources	858.82	735.25	123.57
c. Investment Income earned	40.21	38.33	1.87
<b>2. Cumulative Cash Transfers</b>	<b>553.29</b>	<b>467.80</b>	<b>85.49</b>
a. Projects and Programs	491.05	413.13	77.91
b. Operational Expense	62.25	54.67	7.58
<b>3. Funds Held in Trust ( 3 = 1 - 2 )</b>	<b>554.11</b>	<b>510.52</b>	<b>43.59</b>
<b>4. Operational Reserve</b>	<b>3.00</b>	<b>3.00</b>	<b>-</b>
<b>5. Funding Decisions Pending Cash Transfer</b>	<b>355.42</b>	<b>340.33</b>	<b>15.09</b>
<b>6. Funds available to support AF Board funding decisions ( 6 = 3 - 4 - 5 )</b>	<b>195.69</b>	<b>167.19</b>	<b>28.50</b>

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

## Annex – Detailed CER Monetization Record

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

	Calendar Quarter	Sale Method	Quantity	Quarterly Average Price Achieved by the Trustee	Total Euro	Actual USD
	(continued)					
2015	Q1	OTC	1,696,880	1.70	2,886,627	3,175,996
		Exchange	-	-	-	-
	Q2	OTC	97,415	2.56	249,430	279,669
		Exchange	-	-	-	-
	Q3	OTC	574,273	0.20	113,720	130,493
		Exchange	-	-	-	-
2016	Q4	OTC	1,327,170	0.95	1,260,042	1,371,219
		Exchange	-	-	-	-
	Q1	OTC	72,135	4.16	299,802	327,512
		Exchange	-	-	-	-
	Q2	OTC	65,491	6.75	442,164	499,286
		Exchange	-	-	-	-
2017	Q3	OTC	23,988	10.93	262,117	293,240
		Exchange	-	-	-	-
	Q4	OTC	286,362	0.73	208,473	223,416
		Exchange	-	-	-	-
	Q1	OTC	40,047	13.00	520,486	562,913
		Exchange	-	-	-	-
2018	Q2	OTC	10,647	14.00	149,098	163,450
		Exchange	-	-	-	-
	Q3	OTC	11,039	12.71	140,325	168,532
		Exchange	-	-	-	-
	Q4	OTC	373,491	1.34	498,932	584,781
		Exchange	-	-	-	-
2019	Q1	OTC	29,450	14.05	413,633	506,386
		Exchange	-	-	-	-
	Q2	OTC	18,468	14.26	263,435	315,047
		Exchange	-	-	-	-
	Q3	OTC	3,514	14.25	50,080	58,508
		Exchange	-	-	-	-
2020	Q4	OTC	37,403	2.72	101,580	114,445
		Exchange	-	-	-	-
	Q1	OTC	549,451	2.39	1,313,449	1,490,948
		Exchange	-	-	-	-
	Q2	OTC	18,440	17.17	316,563	355,134
		Exchange	-	-	-	-
2021	Q3	OTC	11,508	18.64	214,493	240,063
		Exchange	-	-	-	-
	Q4	OTC	1,515,101	1.25	1,886,588	2,065,652
		Exchange	-	-	-	-
	Q1	OTC	29,916	11.34	339,331	378,092
		Exchange	-	-	-	-
2022	Q2	OTC	28,833	20.41	588,604	641,576
		Exchange	-	-	-	-
	Q3	OTC	59,912	5.03	301,524	349,949
		Exchange	-	-	-	-
	Q4	OTC	1,774,791	0.94	1,671,840	2,014,753
		Exchange	-	-	-	-
2023	Q1	OTC	288,717	3.66	1,055,443	1,270,750
		Exchange	-	-	-	-
	Q2	OTC	1,600	1.05	1,682	2,000
		Exchange	-	-	-	-
Total			31,031,619		156,828,858	208,379,327
a/ net of EUR 10,000 exchange fees						

**Glossary**

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

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