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**Conference of the Parties serving as the meeting  
of the Parties to the Kyoto Protocol**  
Twelfth session  
Marrakech, 7–18 November 2016

Item X of the provisional agenda

**Report of the Adaptation Fund Board**

**Note by the Chair of the Adaptation Fund Board**

*Summary*

This report has been prepared in response to decision 1/CMP.3, requesting the Adaptation Fund Board to report on its activities at each session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP). It covers the period from 1 August 2015 to 30 June 2016. The Chair of the Board will report orally to CMP 12 on activities carried out from 1 July 2016 to 31 October 2016. The report contains information on progress made with respect to the Adaptation Fund, in particular on the implementation of tasks mandated by the CMP, and recommendations for actions to be taken by the CMP, as appropriate. It contains, inter alia, a draft decision text for consideration by the CMP, in accordance with decision 1/CMP.3, paragraph 8 of decision 2/CMP.10 and paragraphs 8 and 9 of decision 1/CMP.11, and information on decisions and actions taken by the Adaptation Fund Board that are to be noted by the CMP.

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## **I. Introduction**

### **A. Mandate**

1. The Conference of the Parties (COP), at its seventh session, agreed to the establishment of the Adaptation Fund (hereinafter referred to as the Fund).<sup>1</sup> The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), at its third session, decided that the operating entity of the Adaptation Fund would be the Adaptation Fund Board (hereinafter referred to as the Board), serviced by a secretariat and an interim trustee (hereinafter referred to as the trustee).<sup>2</sup>

2. By decision 1/CMP.3, the CMP requested the Board to report on its activities at each session of the CMP. It further invited the Global Environment Facility (GEF) to provide secretariat services to the Board, and the International Bank for Reconstruction and Development (hereinafter referred to as the World Bank) to serve as the trustee for the Fund, both on an interim basis.

### **B. Scope of the note**

3. This report provides information on progress made by the Fund, in particular on the implementation of the tasks mandated by the CMP, and recommendations for actions to be taken by the CMP, as appropriate. Unless otherwise noted, the report covers the period from 1 August 2015 to 30 June 2016.

### **C. Recommendations for action by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its twelfth session**

4. The CMP may wish to take note of the information contained in this report and consider adopting a draft decision on recommended elements for inclusion in the decision on the report of the Adaptation Fund Board to be considered for adoption at CMP 12 (see annex I), which includes:

(a) Renewal of the interim institutional arrangements with the GEF as the interim secretariat of the Board for an additional three years, from 30 May 2017 to 30 May 2020;

(b) Amendment to the amended and restated terms and conditions of services to be provided by the World Bank as an interim trustee of the Fund in order to extend the terms of the trustee's services for an additional three years, from 30 May 2017 to 30 May 2020;

(c) Information in addition to that provided in paragraphs 8 and 9 of decision 1/CMP.11 regarding the value that the Fund may add to the Paris Agreement to be forwarded to COP 22 (November 2016).

5. The Board invites the CMP to take note of the following key events, actions and decisions, taken in accordance with decision 1/CMP.4, paragraph 10:

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<sup>1</sup> Decision 10/CP.7.

<sup>2</sup> Decision 1/CMP.3, paragraph 3.

- (a) Accreditation of four national implementing entities (NIEs) that can directly access resources from the Fund, one of which using a streamlined approach, and accreditation of two regional implementing entities (RIEs), during the reporting period. As at the date of this report, the total number of accredited implementing entities amounts to 24 NIEs, 6 RIEs and 12 multilateral implementing entities (MIEs). In particular, four NIEs from least developed countries (LDCs) and six NIEs from small island developing States (SIDS) were accredited. Out of 42 accredited implementing entities of the Fund, 9 were re-accredited: two NIEs, one RIE and six MIEs;
- (b) Cumulative receipts into the Fund Trust Fund reached USD 546.9 million, comprising USD 196.6 million from the monetization of certified emission reductions (CERs), USD 344.8 million from additional contributions and USD 5.6 million from investment income earned on Trust Fund balances (as at 30 June 2016);
- (c) Cumulative project and programme approvals reached USD 338.5 million (as at 30 June 2016);
- (d) Institutionalization of the readiness programme for direct access to climate finance as a permanent component of the Fund's operations and approval of USD 242,347 in South-South cooperation grants for Guinea, Malawi, Mali, Sierra Leone and Zimbabwe, and USD 118,000 in technical assistance grants for Benin, Costa Rica, Micronesia (Federated States of), Panama, Senegal and South Africa;
- (e) Endorsement of the first concepts and pre-concepts under the Pilot Programme for Regional Projects and Programmes;
- (f) Approval of the gender policy and action plan of the Fund;
- (g) Ongoing discussion on linkages between the Fund and the Green Climate Fund (GCF);
- (h) Funds available for new funding approvals amounted to USD 168.6 million as at 30 June 2016;
- (i) Approval of six project/programme proposals submitted by implementing entities, with the total amount of USD 36.8 million, including four proposals submitted by NIEs for Chile, India (two proposals) and Peru, totalling USD 19.2 million. The other two approved proposals were submitted by RIEs, totalling USD 17.6 million;
- (j) Contributions received during the reporting period amounted to USD 59.8 million, from Germany, Italy and the Walloon Region of Belgium, including USD 1.528 million pertaining to private online donations transferred by the United Nations Foundation;
- (k) As at 30 June 2016, a total of USD 17.8 million in pledges was outstanding;
- (l) The fact that, in case of an early entry into force of the Paris Agreement, the timelines given in paragraphs 59 and 60 of decision 1/CP.21 and paragraphs 8 and 9 of decision 1/CMP.11 may not align.

## II. Work undertaken during the reporting period

6. The Board held two meetings during the reporting period, each convened at the premises of the secretariat of the United Nations Convention to Combat Desertification in Bonn, Germany. The agendas and annotations (including background documentation on the agenda items) and detailed reports on the meetings are available at the Fund's website.<sup>3</sup>

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<sup>3</sup> <<http://www.adaptation-fund.org>>.

7. The following sections describe the major work undertaken by the Board during the reporting period.

*Election of the Chair and Vice-Chair of the Adaptation Fund Board*

8. In accordance with decision 1/CMP.3, paragraph 13, the Board, at its 27<sup>th</sup> meeting, elected by consensus Mr. Naresh Sharma (Nepal, LDCs) as Chair of the Board. At its 26<sup>th</sup> meeting, the Board elected Mr. Michael Jan Hendrik Kracht (Germany, Western European and other States) as Vice-Chair of the Board.

*Changes in the composition of the Adaptation Fund Board*

9. During the reporting period, a number of members and alternate members of the Board were replaced. Among the members: Mr. David Kaluba (Zambia, African States) replaced Mr. Ezzat Lewis Hannalla Agaiby (Egypt); Mr. Mirza Shawkat Ali (Bangladesh, Asia-Pacific States) replaced Mr. Nauman Bashir Bhatti (Pakistan); Mr. Aram Ter-Zakaryan (Armenia, Eastern European States) replaced Ms. Gabriela Popescu (Romania); Ms. Monika Antosik (Poland, Eastern European States) filled the vacancy left by Ms. Laura Dzelzyte Hanning Scarborough (Lithuania), who resigned; Mr. Lucas di Pietro Paolo (Argentina, Latin American and Caribbean States) replaced Mr. Philip Weech (Bahamas); Mr. Antonio Navarra (Italy, Western European and other States) filled the vacancy left by Ms. Su-Lin Garbett-Shiels (United Kingdom of Great Britain and Northern Ireland); and Mr. Naresh Sharma (Nepal, LDCs) replaced Mr. Mamadou Honadia (Burkina Faso). Among the alternate members: Mr. Admasu Nebebe (Ethiopia, African States) replaced Mr. Zaheer Fakir (South Africa); Mr. Naser Moghaddasi (Islamic Republic of Iran, Asia-Pacific States) replaced Mr. W.L. Sumathipala (Sri Lanka); Ms. Ardiana Sokoli (Albania, Eastern European States) replaced Mr. Aram Ter-Zakaryan; Mr. Philip Weech (Bahamas, Latin American and Caribbean States) replaced Mr. Jeffery Spooner (Jamaica); Ms. Aida Velasco Munguira (Spain, Parties included in Annex I to the Convention (Annex I Parties)) replaced Mr. Hugo Potti Manjavacas (Spain) who resigned; Ms. Ding (China, Parties not included in Annex I to the Convention (non-Annex I Parties)) replaced Ms. Wenhong Huang (China), who resigned; and Mr. Chebet Maikut (Uganda, LDCs) replaced Mr. Evans Njewa (Malawi), who resigned after replacing Mr. Adao Soares Barbosa (Timor-Leste).

10. The complete list of Board members and alternate members is contained in annex II.

*Calendar of meetings of the Adaptation Fund Board in 2016*

11. The Board adopted a calendar of meetings for 2016 (see table 1) for its 27<sup>th</sup> and 28<sup>th</sup> meetings. Meetings of the Project and Programme Review Committee (PPRC) and the Ethics and Finance Committee (EFC) immediately preceded each Board meeting.

Table 1

**Calendar of meetings of the Adaptation Fund Board in 2016**

<i>Dates</i>	<i>Location</i>
27 <sup>th</sup> meeting, 17 and 18 March	Bonn, Germany
28 <sup>th</sup> meeting, 6 and 7 October	Bonn, Germany

*Resources in the Adaptation Fund Trust Fund*

12. As at 30 June 2016, the trustee had sold 25.9 million Fund CERs at an average price of USD 7.58, generating revenues of USD 196.6 million. Receipts from the monetization of CERs amounted to USD 2.3 million during the 12-month period ending on 30 June 2016. As at 30 June 2016, 8.0 million CERs were still available to be sold, in accordance with the

CER monetization guidelines adopted by the Board. The Board has instructed the trustee to transfer a total of USD 169.8 million to implementing entities to date.

13. Funds available for new funding approvals amounted to USD 168.6 million as at 30 June 2016.

*Workplan of the Adaptation Fund Board*

14. The Board, at its 27<sup>th</sup> meeting, adopted its workplan for the fiscal year from 1 July 2016 to 30 June 2017.<sup>4</sup>

*Budget of the Adaptation Fund Board, secretariat and trustee*

15. At its 27<sup>th</sup> meeting, the Board considered and approved resources to support the work of the Board and its secretariat and the trustee through to 30 June 2017 (see annex III).<sup>5</sup> The estimated administrative budget requirement approved for the fiscal year 2017 for the Board, the secretariat and the trustee is USD 5,191,837 as at 30 June 2016, representing an increase of 10 per cent from the approved amount for the previous year. This increase was due to the following: (1) personnel cost increases due to the need to hire a temporary replacement for the Operations Associate, as well as the need to convert two non-renewable positions into Grade E term contracts, in order to ensure the provision of adequate secretariat services to the Board; (2) increased costs of the Board meetings due to a fee introduced for the usage of common conference rooms at the United Nations Campus in Bonn; and (3) increased costs of office space for the fiscal year 2016 as a result of an unavoidable move of the secretariat offices to a new building, where the lease cost is lower, resulting in a net saving in the office space cost for the fiscal year 2017.

*Accreditation of implementing entities*

16. Decision 1/CMP.3, paragraph 30, provides that “in order to submit a project proposal, Parties and implementing or executing entities shall meet the criteria adopted by the Adaptation Fund Board in accordance with paragraph 5(c) above, in order to access funding from the Adaptation Fund”.

17. The Board’s Accreditation Panel met three times during the reporting period. The Board elected Ms. Yuka Greiler (Switzerland, Western European and other States) as Chair and Mr. Philip Weech (Bahamas, Latin American and Caribbean States) as Vice-Chair. The Accreditation Panel is constituted by these two Board members, along with four independent expert members.

18. In line with the decision referred to in paragraph 16 above, during the reporting period, the Board considered the recommendations of the Accreditation Panel and approved the accreditation of three additional NIEs, namely the Ministry of Finance and Economic Development of Ethiopia, the Dominican Institute of Integral Development of the Dominican Republic and the Partnership for Governance Reform in Indonesia (Kemitraan) of Indonesia, and two additional RIEs, namely the Caribbean Development Bank and the Central American Bank for Economic Integration (CABEI). During the reporting period, the total number of accredited implementing entities amounted to 23 NIEs, 6 RIEs and 12 MIEs. In particular, four NIEs from LDCs and five NIEs from SIDS were accredited. Seventeen NIEs from LDCs and five NIEs from SIDS are in the accreditation pipeline. Out

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<sup>4</sup> Adaptation Fund Board decision B.27/33.

<sup>5</sup> Adaptation Fund Board decision B.27/34.

of 41 accredited implementing entities of the Fund, 9 were re-accredited:<sup>6</sup> two NIEs, one RIE and six MIEs. A list of the accredited implementing entities is contained in annex IV.

#### *Adaptation Fund Board committees*

19. The EFC and the PPRC, established by the Board in 2009, met twice during the reporting period, scheduling their meetings two days prior to the subsequent Board meetings. Mr. Yerima Peter Tarfa (Nigeria, African States) was elected as Chair and Ms. Monika Antosik (Poland, Eastern European States) was elected as Vice-Chair of the PPRC. Ms. Tove Zetterström-Goldmann (Sweden, Annex I Parties) was elected as Chair and Ms. Patience Dampney (Ghana, non-Annex I Parties) was elected as Vice-Chair of the EFC.

20. The EFC considered and made recommendations to the Board on the following items: the approval of the gender policy and action plan; the direct project services charged by the United Nations Development Programme; the complaint handling mechanism; the annual report; the project performance reports; the overall evaluation of the Fund; the investment income; and the budget and workplan of the Board, secretariat and trustee.

21. As at the end of the reporting period, the PPRC had reviewed 13 single-country project concepts and 17 fully developed proposals for single-country projects, representing 21 distinct proposed projects, reviewed during two meetings and one intersessional review period. It also reviewed, for the first time, 13 pre-concepts and two concepts for regional (multi-country) projects, representing 10 distinct proposed projects, under the Pilot Programme for Regional Projects and Programmes. It also discussed and conveyed the outcomes of its deliberations to the Board on issues related to the continuation of the call for proposals under the Pilot Programme for Regional Projects and Programmes, and an analysis of climate adaptation reasoning in project and programme proposals approved by the Board.

#### *Funding decisions on adaptation projects and programmes*

22. By decision 1/CMP.4, paragraph 10, the CMP requested “the Adaptation Fund Board to start processing proposals for funding projects, activities or programmes, as applicable, and to report back on progress made to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol”.

23. In line with the provision referred to in paragraph 22 above, the Board approved six single-country proposals for funding for a total amount of USD 36.9 million during the Board meetings held during the reporting period and intersessionally (see annex V). During the reporting period, proposals that were approved amounted to USD 19.2 million. As at the end of the reporting period, proposals recommended for approval amounting to USD 17.7 million awaited intersessional Board decision through a two-week non-objection process, which was to be completed by 5 July 2016.

24. The Parties whose proposals were approved or recommended for approval for funding over the reporting period are: Chile, India (two proposals), Niger, Peru and Uganda. It should be noted that the projects in Niger and Uganda, recommended for approval during the intersessional period, are the first two such projects submitted through RIEs. The other projects are implemented by NIEs.

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<sup>6</sup> The re-accredited implementing entities are: the Asian Development Bank, the Centre de Suivi Ecologique, the International Fund for Agricultural Development, the Planning Institute of Jamaica, the United Nations Development Programme, the United Nations Environment Programme, the United Nations Human Settlements Programme, the World Bank and the World Food Programme.

25. In addition to the funding decisions referred to in paragraph 24 above, the Board endorsed seven project concepts for Antigua and Barbuda, Guinea-Bissau, India, Lao People's Democratic Republic, Panama, Peru and Senegal, for a total amount of USD 35.9 million, at its meetings during the reporting period and intersessionally, and approved four project formulation grants for those projects that had been submitted by NIEs, for a total amount of USD 118,400. Six concepts amounting to USD 25.9 million were endorsed by the Board during the reporting period. Another concept amounting to USD 10.0 million was recommended for endorsement as at the date of this report and awaited intersessional Board decision through a two-week non-objection process to be completed by 5 July 2016.

26. Under the Pilot Programme for Regional Projects and Programmes, one concept amounting to USD 5 million was endorsed, for a regional project in Burundi, Kenya, Rwanda, Uganda and United Republic of Tanzania. In addition, eight pre-concepts for a total amount of USD 61.8 million were endorsed, for projects planned to benefit 24 countries in Africa, Asia, and Latin America and the Caribbean. The Board also approved USD 180,000 in project formulation grants for endorsed pre-concepts and concepts.

27. The sectors represented in the approved fully developed proposals and endorsed concepts included: agriculture, disaster risk reduction, food security, coastal management, rural development and water resources management (see figure 5 in annex VIII).

28. CMP 11 requested the Board to provide, in its reports to the CMP, further information on the status of the portfolio of the Fund, including projects at different stages of development.<sup>7</sup> The requested information is contained in annex VII (tables 2–6).

29. Responding to the suggestions and requests made by civil society and non-governmental organization (NGO) observers, all project/programme proposals are posted on the Fund's website as they are received, and interested stakeholders may post online comments pertaining to the proposals. Comments on proposals submitted to the Board can be sent by electronic message to the secretariat,<sup>8</sup> and are available on the respective project page on the website and included in the respective project document submitted to the PPRC.

#### *Renewal of the interim institutional arrangements*

30. CMP 10 decided to extend to June 2017 the interim arrangements with the secretariat and the trustee.<sup>9</sup>

31. As per the decision mentioned in paragraph 30 above, the interim arrangements for the provision of secretariat services to the Board will expire shortly after CMP 12. Thus, the Board invites the CMP to adopt the decision proposed in annex I to extend the arrangements with the GEF for the provision of secretariat services to the Board until 30 May 2020.

32. Further to the decision of the CMP mentioned in paragraph 30 above, the Executive Directors of the World Bank as trustee of the Fund decided to extend the mandate of the World Bank as interim trustee for a third time (to 30 May 2017), and authorize the World Bank to monetize the share of proceeds from additional carbon credits, as and when market and other conditions allow. This mandate will expire shortly after CMP 12, and its renewal will need to be considered by the Parties at this session.

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<sup>7</sup> Decision 1/CMP.11, paragraph 11.

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

<sup>9</sup> Decision 2/CMP.10, paragraph 8.

33. Hence, the Board invites the CMP to consider and adopt a decision containing the elements found in the draft decision text in annex I. This revision will be effective upon adoption by the CMP, and subsequently by agreement of the World Bank as trustee.

*Portfolio monitoring*

34. Over the course of the reporting period, 9 projects started implementation and 3 projects were completed, leading to 41 projects being under implementation. A total of USD 24.8 million was disbursed to projects throughout the reporting period, taking the total amount disbursed by the Fund to USD 171.26 million to 50 projects. The largest amount of grant funding approved thus far has been to the African States, with 16 projects totalling USD 116.9 million in grants (35 per cent), followed closely by the Asia-Pacific States, with 21 projects totalling USD 113.7 million in grants (34 per cent), and the Latin American and Caribbean States, with 14 projects totalling USD 101.3 million (30 per cent) (see figure 4 in annex VIII). By sector, the largest grant amount has gone to adaptation projects in the agriculture sector, with USD 62 million approved (18 per cent), followed closely by the food security sector, with USD 58.4 million approved (17 per cent) (see figure 5 in annex VIII). The sixth annual performance report of the Fund, corresponding to the period 1 July 2015 to 30 June 2016, will be considered by the Board at its 28<sup>th</sup> meeting.

35. The Fund also tracks the breakdown of the proposed grant amount by Fund level outcome, under its Strategic Results Framework (SRF). The largest amount of grant funding proposed is channelled towards outcome five of the SRF, “Increased ecosystem resilience in response to climate change and variability-induced stress” (USD 77.7 million, 27.5 per cent), and outcome four, “Increased adaptive capacity within relevant development and natural resource sectors” (USD 74.9 million, 26.5 per cent).

*Operational linkages and relations with institutions under the Convention*

36. CMP 10 requested the Board to consider options for developing operational linkages, as appropriate, between the Fund and constituted bodies under the Convention, taking into consideration the mandates of the respective bodies.<sup>10</sup>

37. The Board has taken action to promote linkages with other bodies under the Convention, such as the GCF, the Adaptation Committee, the Standing Committee on Finance (SCF) and the Climate Technology Centre and Network. The secretariat participated, as an observer, in the 12<sup>th</sup> and 13<sup>th</sup> meetings of the Board of the GCF, as well as the 50<sup>th</sup> meeting of the Council of the GEF. The secretariat also participated in the 9<sup>th</sup> meeting of the Adaptation Committee and in the Adaptation Forum that the committee organized. COP 20 requested the SCF to consider issues related to possible future institutional linkages and relations among the Fund and other institutions under the Convention. The secretariat and the UNFCCC secretariat facilitated a consultation between the co-facilitators of that SCF agenda item and representatives of the Board during the second session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action, which was held from 31 August to 4 September 2015 in Bonn.

38. The secretariat also participated, as a panellist, in the 5<sup>th</sup> meeting of the Durban Forum on Capacity-building: “Enhancing Capacity to Implement the Paris Agreement”, organized during the forty-fourth sessions of the subsidiary bodies (May 2016).

39. The secretariat, a dedicated team of officials providing secretariat services to the Board, is hosted by the GEF secretariat, which promotes exchange of information and knowledge, and provision of cross-support, when needed.

<sup>10</sup> Decision 2/CMP.10, paragraph 6.

40. The secretariats of the GCF and the GEF have participated in many of the readiness programme global and regional seminars organized by the secretariat.

41. In 2015, the Board considered establishing an operational linkage between the Fund and the GCF for channelling resources for adaptation, and identified two options:

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

42. The Board also considered how to enhance complementarity with the GCF through concrete activities. Following a discussion on these options, the Board requested its Chair and Vice-Chair to initiate consultations with the SCF, to start a dialogue with the Board of the GCF on potential linkages between the two funds and to request that the issue of complementarity between the two funds be considered by the Board of the GCF as soon as possible. The Board also requested the secretariat, in consultation with the trustee, as appropriate, to present further legal, operational and financial analysis on the implications of various linkages with the GCF. Finally, the Board requested its secretariat to discuss with the GCF secretariat concrete activities to initiate collaboration, including, but not limited to, the following areas: readiness support, including by organizing joint activities such as workshops or seminars in regions; results-based management; accreditation; and project/programme identification. Consultations are under way.

43. Following the mandate by the Board, the Board's Chair met with one of the GCF Co-Chairs in the margins of the forty-fourth sessions of the subsidiary bodies. They exchanged views on complementarity between the funds and the added value of the Fund for the work of the GCF. At its 13<sup>th</sup> meeting, the Board of the GCF decided to request its Co-Chairs to initiate an annual dialogue with climate finance delivery channels, commencing at, and in conjunction with, its 15<sup>th</sup> meeting, and thereafter annually and in conjunction with a Board of the GCF meeting to be held at the GCF headquarters in Songdo, Republic of Korea, and with other funds in order to enhance complementarity at the activity level.<sup>11</sup>

#### *Pilot Programme for Regional Projects and Programmes*

44. At its 25<sup>th</sup> meeting, the Board approved the Pilot Programme for Regional Projects and Programmes (hereinafter referred to as the pilot programme) up to a cap of USD 30 million.<sup>12</sup> The overall goal of the pilot programme is to pilot different regional approaches to implementing concrete climate change adaptation projects in vulnerable developing countries and to compile the lessons learned. Such lessons would inform the Board's later decisions on whether to make such a modality a more regular part of the Fund's operations.

45. The pilot programme consists of the following thematic focal areas:

- (a) Food security;
- (b) Disaster risk reduction and early warning systems;
- (c) Transboundary water management.

46. In addition to those three areas, as a cross-cutting fourth theme, the pilot programme would seek to support activities that represent innovation in adaptation finance towards transformational impact. The pilot programme encourages MIEs and RIEs to develop innovative solutions to climate change adaptation, including new approaches, technologies

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<sup>11</sup> GCF decision B.13/12.

<sup>12</sup> Adaptation Fund Board decision B.25/28.

and mechanisms. Proposals must describe the innovative aspects of the project/programme. The pilot programme is outside the consideration of the 50 per cent cap on MIEs and the USD 10 million country cap.<sup>13</sup>

47. The call for proposals was launched on 5 May 2015. Interest in the programme turned out to be significant, as expected, with proposals at pre-concept, concept and fully developed stages amounting to USD 188 million during the reporting period. At its 27<sup>th</sup> meeting, the Board discussed the future of the pilot programme in the light of the experiences and the limited amount of resources available, as well as other factors such as the expectations towards the programme among proponent countries, the scope of the programme, the definition of regional programmes and the risk of inadvertently encouraging bundling single-country projects into regional programmes only for financing window technical reasons. The Board then decided to continue consideration of regional proposals under the pilot programme, and to take the matter up again at its 28<sup>th</sup> meeting, based on a proposal to be developed by the secretariat and following discussion by the PPRC, including considerations of prioritization among proposals and project formulation support, as well as establishment of a pipeline for projects for which funds are not readily available.

*Readiness programme for climate finance*

48. During the reporting period, the Board concluded implementation of phase II of the readiness programme with a budget of USD 565,000.<sup>14</sup> Phase II will further increase and expand the benefits and the gains to implementing entities achieved in phase I.

49. Over the reporting period, the following activities were carried out:<sup>15</sup>

- (a) A second NIE seminar (28–30 July 2015, Washington, D.C.);
- (b) A climate finance readiness workshop for West Africa (22–24 September 2015, Abuja) in partnership with the Heinrich Böll Stiftung and the Economic Community of West African States;
- (c) A first climate finance webinar (19 November 2015) on the topic of stakeholder consultation;
- (d) A second climate finance webinar (28 April 2016) on the topic of knowledge management;
- (e) A climate finance readiness workshop for African francophone countries (3–5 May 2016, Casablanca, Morocco) in partnership with the Institut de la Francophonie pour le Développement and the Morocco Climate Change Competences Centre;
- (f) A climate finance readiness workshop for Latin American and Caribbean States (7–9 June 2016, Tegucigalpa) in partnership with CABEL, an RIE of the Fund;
- (g) The support and maintenance of the knowledge exchange platform for direct access “climatefinanceready.org”, in collaboration with the Climate and Development Knowledge Network (CDKN) to disseminate content on direct access and NIE adaptation stories;
- (h) The approval of five South–South cooperation grants to support developing countries in identifying suitable national institutions as NIE candidates and in preparing and submitting an application for accreditation, in Guinea, Mali and Sierra Leone implemented

<sup>13</sup> Adaptation Fund Board document AFB/B.25/6/Rev.2.

<sup>14</sup> Adaptation Fund Board decision B.25/27.

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

by the Senegalese NIE Centre de Suivi Ecologique (CSE), and in Malawi and Zimbabwe implemented by the Kenyan NIE, the National Environment Management Authority;

(i) The approval of six technical assistance grants to help NIEs to strengthen their capability to address and manage environmental and social risks in Senegal (CSE), Benin (National Environment Fund), Panama (Fundación Natura), Costa Rica (Fundecooperacion), Federated States of Micronesia (Micronesia Conservation Trust) and South Africa (South African National Biodiversity Institute).

50. At its 27<sup>th</sup> meeting, the Board decided to institutionalize the readiness programme and to integrate it into the Fund's workplan with a budget of USD 616,500 for the fiscal year 2017.<sup>16</sup> The objectives of the programme remained unchanged as decided by the Board at its 21<sup>st</sup> meeting: to increase the number of applicant national entities seeking accreditation and to increase the number of high-quality proposals submitted to the Board.<sup>17</sup>

51. Implementation for the fiscal year 2017 started on 1 July 2016, and includes the provision of additional funding for small grants to support South–South cooperation, project formulation assistance, and technical assistance for implementation of the environmental and social policy and the gender policy of the Fund.<sup>18</sup>

52. CMP 11 recognized and acknowledged the work of the readiness programme for direct access to climate finance, including the approval of phase II of the readiness programme and the approval of South–South cooperation grants,<sup>19</sup> and also the efforts of the secretariat in organizing workshops for NIEs.<sup>20</sup> Since its launch in May 2014, the readiness programme has advanced work on its two main objectives of increasing the number of NIEs and increasing the number of quality projects and programmes submitted by implementing entities. The number of accredited NIEs had increased from 13 in May 2014 to 24 by July 2016; four of these are for LDCs and six are for SIDS. Since 1 July 2015, the Fund received seven NIE applications, five of them from LDCs. Similarly, there has been an increase in the number of project and programme proposals submitted by implementing entities each year. The Fund had an increase in the value of its climate finance readiness small grant portfolio from USD 200,000 in December 2014 to USD 590,000 in July 2016, and indications are that this will continue to grow, with increasing demand from NIEs. Four LDCs received South–South cooperation grants and two LDCs and one SIDS received grants for technical assistance. In addition, the workshops mentioned above targeted accreditation support provided to 28 LDCs and 19 SIDS. Further, the Fund's 2017 fiscal year workplan includes a climate finance readiness workshop targeting accreditation and project support for all LDCs globally in a single event.

#### *Overall evaluation of the Adaptation Fund*

53. During the reporting period, the Fund finalized the first stage of an independent overall evaluation (process evaluation)<sup>21</sup> that characterized the Fund as a learning and effective institution. This evaluation highlights that the modality that the Fund pioneered in for more than six years (direct access) was a major innovation in climate finance and is appropriate to meeting countries' needs, and that such a modality can be a highly relevant, effective and efficient means of challenging adaptation finance. Second, the evaluation

<sup>16</sup> Adaptation Fund Board decision B.27/38.

<sup>17</sup> Adaptation Fund Board decision B.21/28.

<sup>18</sup> Adaptation Fund Board document AFB/B.27/7.

<sup>19</sup> Decision 1/CMP.11, paragraph 4(a).

<sup>20</sup> Decision 1/CMP.11, paragraph 10.

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

outlines that the Fund's design and operational processes are efficient and largely consistent with UNFCCC guidance and national adaptation priorities, and that the evolution of its operational processes has been appropriate, demonstrating its commitment to continuous improvement of its operations. Last but not least, the Fund's resource allocation process was assessed as being efficient. The Board approved a management response<sup>22</sup> to the first stage of the evaluation that was drafted by its Chair.

54. The Board discussed options for the second stage of the evaluation of the Fund (assessment of projects/programmes), and established an evaluation task force to develop terms of reference and a request for proposals for the second stage of the evaluation, with inputs from civil society organizations through the Fund's NGO network and in coordination with independent evaluation organizations (including the GEF Independent Evaluation Office (GEF-IEO)). The Board also requested the secretariat to further investigate the availability of the previous Independent Review Panel members and continue discussions with the GEF-IEO, and to present updated options for the second stage of the evaluation of the Fund to the 19<sup>th</sup> meeting of the EFC.

55. The Board requested the secretariat to prepare options for providing the Fund with an evaluation function, building upon previous work related to the evaluation framework of the Fund, for consideration at the 19<sup>th</sup> meeting of the EFC.

#### *Communications*

56. The Board increased its efforts to disseminate news and stories about the Fund's work during the reporting period, producing 23 news story releases on Fund programmes and activities and two full-colour field project stories (on Mongolia and Uruguay in multiple languages). In addition, 20 new videos for the Fund's YouTube channel<sup>23</sup> were created about Fund projects, NIEs, readiness and other high-profile events. The Fund's website and social media were improved, and registered record numbers of visits and followers. The number of Fund followers on Twitter has grown by 1,700 since a new, more content-based, more frequent and targeted web and social media outreach strategy was implemented in August 2015. Several new outreach materials, brochures and flyers illustrating the Fund's events, activities and results, its direct access modality, country project examples, climate sectors and beneficiaries served, and the readiness programme for climate finance were also created and disseminated. The Board also enhanced its website to make it more user friendly, including by creating news, events and project sections, in addition to a well-received COP-specific section on all of the Fund's activities, information and results related to COP 21 and the next steps to be taken.

57. The Board secretariat developed and completed a Global Photo Contest on Adapting Coasts and Watersheds to the Effects of Climate Change, which attracted 127 photographic submissions on adaptation efforts from NIEs, MIEs, country governments, the private sector and the general public, from all over the world, with the results displayed on the web, social media and at a global readiness event hosted by the Fund in Washington, D.C. The secretariat additionally updated its Flickr photograph-sharing site, adding several new photographic albums of country projects, as well as the winning entries from the contest. The secretariat also increased its media outreach efforts to further highlight the value of the Fund and its ongoing projects and work, achieving media story placements in press avenues such as Devex, the World Resource Institute (WRI), the Thomson Reuters Foundation, Carbon Pulse, Voice of America, Radio France International, the Eco NGO newsletter, the

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

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

UNFCCC Climate Change Studio, AllAfrica, RivesAfricaines, RTS1 Senegal Radio and TV, News Ghana, La Ruta del Clima, Radio Nacional de Colombia, Radio America-Honduras, RPP Noticias-Peru, La Noticia and El Rancaguino-Chile, Radio Cordial, Corrientes de Pensamiento and Pampero TV in Argentina, and El Mercurio and El Telegrafo in Ecuador. Many targeted sets of talking points and speeches were also created as preparation for media interviews or high-profile appearances. The secretariat increased its electronic distribution and media lists, as well as producing electronic newsletters and notices highlighting stories on the Fund's programmes and activities. The secretariat further enhanced its engagement with NIEs and other partners, to cross-promote products and project activities.

58. Board members and the secretariat participated in a number of events to showcase the Fund's experience, which included: field visits to project sites in Argentina (2–6 November 2015), Uruguay (9–13 November 2015) and Mongolia (13–17 June 2016); COP 21 and CMP 11 (30 November–12 December 2015, Paris); the 12<sup>th</sup> and 13<sup>th</sup> meetings of the Board of the GCF; the 9<sup>th</sup> meeting of the Adaptation Committee (1–3 March 2016, Bonn), as well as the Adaptation Forum convened by the Committee (12 May 2016, Rotterdam, the Netherlands); the “Investing in the Future We Want: Finance for Climate Change and Sustainable Development” meeting (21–23 March 2016, Tarrytown, United States of America), jointly organized by WRI and the Overseas Development Institute; the climate finance readiness workshop (24–26 March 2015, Panama City); the 3<sup>rd</sup> meeting of the United Nations Economic Commission for Europe on the global network of basins working on climate change adaptation (6 and 7 April 2016, Geneva, Switzerland); the climate finance readiness workshop (3–5 May 2016, Casablanca); the adaptation futures 2016 conference (10–13 May 2016, Rotterdam); the climate finance readiness workshop (7–9 June 2016, Tegucigalpa); and the forty-fourth sessions of the Subsidiary Body for Implementation (SBI) and the Subsidiary Body for Scientific and Technological Advice (SBSTA) (May 2016, Bonn).

59. The secretariat also gave remote presentations at the Oceania 22 Summit (11–13 April 2016, Noumea) and at the South–South learning exchange on bankable project development organized by CDKN and the Ministry of the Environment of Peru (31 May–3 June 2016, Lima). The secretariat organized a comprehensive multimedia exhibit at COP 21 to showcase its projects on a large scale, and held high-profile side events with featured speakers from NIEs, RIEs and MIEs at COP 21, the forty-fourth sessions of the subsidiary bodies and the adaptation futures conference to share perspectives and examples of the Fund's value and project successes. In addition, the secretariat held its first two global webinars for NIEs in November 2015 and April 2016, to share lessons learned from all over the world on the accreditation and project development processes, with presentations from the Fund and its partners on key themes such as stakeholder involvement and sharing knowledge in projects.

60. The secretariat continued to implement its communications and outreach strategy for the readiness programme on climate finance, as well as its strategic partnership with CDKN, through the joint microsite “Climate Finance Ready” (<http://www.climatefinanceready.org>). The secretariat is also in the process of updating the Fund's knowledge management strategy, which was previously approved in 2012, along with an action plan covering the period 2016–2018. The strategy and action plan will be submitted to the Board for approval at its 28<sup>th</sup> meeting in October 2016.

61. In addition to updating and expanding activities on its primary social media channels, Twitter, Facebook, YouTube and Flickr, and growing its audiences and disseminating information with the latest multimedia tools, the secretariat added a new social media channel, LinkedIn, to its network as a way to further reach high-level partners and

stakeholders in the climate change community and to share thought leadership stories and releases.

62. The secretariat continued to improve its website, producing targeted and compelling user-friendly written and visual content. Usage and visits are significantly higher than previously. For example, unique visitors were up by 36 per cent in the period between October 2015 and February 2016, with home-page views nearly doubling, with page views per user being considerably higher and with an extremely low bounce rate, which reflects that the site is engaging and informative, indicating that viewers are staying to read the content.

*Dialogue with civil society organizations*

63. The Board, at its 12<sup>th</sup> meeting, initiated regular dialogue sessions with civil society organizations in order to listen to their proposals, to receive feedback on the issues comprising the Board agenda and to exchange views. These sessions are part of the Board's agenda.

### **III. Support provided to the Adaptation Fund Board for the implementation of its mandate**

64. In decision 4/CMP.5, paragraph 9, the CMP encouraged Parties included in Annex I to the Convention and international organizations to provide funding to the Adaptation Fund, which will be additional to the shares of the proceeds from clean development mechanism project activities. Further, by decision 6/CMP.7, paragraph 5, the CMP continued to encourage the provision of funding by Annex I Parties and international organizations.

65. At its 22<sup>nd</sup> meeting, the Board approved a fundraising strategy. The Board held two sessions of the dialogue with donors in the margins of COP 21 and CMP 11 and SBI 44 and SBSTA 44. Another session is scheduled to take place in the margins of COP 22 and CMP 12.

66. Pledges made by Annex I Parties and regions within them during COP 19 and CMP 9 surpassed the first fundraising target of USD 100 million established by the Board for the period from 16 March 2012 to 31 December 2013, with USD 31.8 million received before COP 19 and CMP 9 and the equivalent of circa USD 72.2 million pledged during it. During the reporting period, all remaining pledges made towards the resource mobilization target were deposited into the Trust Fund.

67. Contributions made by Annex I Parties and their regions towards the second resource mobilization target of USD 160 million established by the Board for the period from 1 January 2014 to 31 December 2015 totalled USD 136.7 million. Pledges equivalent to circa USD 17.7 million are still outstanding. At its 27<sup>th</sup> meeting, the Board decided to set a new resource mobilization target of USD 80 million per year for the biennium 2016–2017, and to update the composition of the resource mobilization task force to continue implementing the resource mobilization strategy.<sup>24</sup> The task force is composed of Ms. Patience Dampety (Ghana, non-Annex I Parties), Ms. Fatuma Hussein (Kenya, non-Annex I Parties), Mr. Michael Kracht (Germany, Annex I Parties), Mr. Marc-Antoine Martin (France, Western European and other States), Mr. Antonio Navarra (Italy, Western European and other States), Mr. Lucas Di Pietro Paolo (Argentina, Latin American and Caribbean States), Mr. Aram Ter-Zakaryan (Armenia, Eastern European States) and Ms.

<sup>24</sup> Adaptation Fund Board decision B.27/36.

Tove Zetterström-Goldmann (Sweden, Annex I Parties). Mr. Michael Jan Hendrik Kracht was replaced as a co-coordinator of the task force by Mr. Navarra, while Ms. Hussein continued as its other co-coordinator.

68. During the reporting period, the Fund received contributions from the Governments of Belgium (USD equivalent 1.7 million), Germany (USD equivalent 54.6 million), Italy (USD equivalent 2.2 million) and the Walloon Region in Belgium (USD equivalent 1.4 million).

69. The Board would like to express its gratitude to the Governments of Germany, Italy and the Walloon Region in Belgium for their support to the Fund in meeting its 2014–2015 resource mobilization target and to the Governments of Belgium and the Walloon Region in Belgium for their provision of support to the Fund in meeting its 2012–2013 resource mobilization target. The Board also recognizes the support of the French presidency of COP 21 and CMP 11 in its resource mobilization efforts, the Fund secretariat, the trustee and the UNFCCC secretariat.

70. A full list of contributors to the Fund together with the actual contribution amounts is contained in annex VI.

71. In accordance with decision 1/CMP.3, paragraph 18, the dedicated team of officials at the Fund secretariat comprises seven professional staff members, namely the secretariat's manager, two senior climate change specialists, two operations officers (accreditation and readiness coordinators), one operations analyst (legal and accreditation) and a junior professional associate. It also comprises an operations associate, two short-term consultants (communications and support to operations) and one short-term temporary<sup>25</sup> (support to readiness). A replacement for the operations associate (currently on extended leave) is being recruited.

#### **IV. The Adaptation Fund and the Paris Agreement**

72. By decision 1/CP.21, the COP recognized that the Fund may serve the Paris Agreement, subject to relevant decisions of the CMP and the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA).<sup>26</sup> The COP further invited the CMP to consider this issue and make a recommendation at CMA 1.<sup>27</sup> CMP 11 started the process by recommending that CMA 1 consider that the Fund may serve the Paris Agreement. The CMP further invited COP 22 to request the Ad Hoc Working Group on the Paris Agreement (APA) to undertake the necessary preparatory work concerning this issue and to forward a recommendation to the CMP for its consideration and adoption no later than at CMP 15.<sup>28</sup> These provisions established a road map for consideration of making the Fund one of the institutions serving the Paris Agreement.

73. At its 27<sup>th</sup> meeting, the Board considered this matter under its agenda item 13 “Issues arising from the twenty-first session of the Conference of the Parties to the United Nations Framework Convention on Climate Change (COP21) and the eleventh session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP11)”.<sup>29</sup> The Board exchanged views with the UNFCCC secretariat on the next steps of the process outlined in the above-mentioned decisions. These next steps involve COP 22

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<sup>25</sup> In this context, the term “temporary” refers to an intern.

<sup>26</sup> Decision 1/CP.21, paragraph 59.

<sup>27</sup> Decision 1/CP.21, paragraph 60.

<sup>28</sup> Decision 1/CMP.11, paragraphs 8 and 9.

<sup>29</sup> Adaptation Fund Board document AFB/B.27/10/Rev.1, paragraphs 94–106.

and the APA. The possibility for the APA to incorporate this matter into its agenda and start a discussion at the second part of its first session was raised.<sup>30</sup> Therefore, the Chair and Vice-Chair of the Board requested a meeting with the APA Co-Chairs in the margins of APA 1 in May 2016 or at the earliest opportunity.

74. The Board would also like to bring to the attention of the CMP an issue that may potentially affect the process outlined in the paragraphs 8 and 9 of decision 1/CMP.11. If the Paris Agreement enters into force before 2020, a possibility suggested by the high number of signatures, the timelines outlined in paragraphs 8 and 9 of decision 1/CMP.11 may not align. In case of an early entry into force of the Paris Agreement, CMA 1 may take place in 2017 or 2018. If the preparatory APA work concerning the Fund serving the Paris Agreement, its ensuing recommendation to the CMP and consideration of the matter by the CMP are concluded in 2019, as per paragraph 9 of decision 1/CMP.11, CMA 1 may not be in a position to consider that the Fund may serve the Paris Agreement, as per paragraph 8 of decision 1/CMP.11 and paragraph 60 of decision 1/CP.21. Hence, the Board is of the view that the CMP should issue a recommendation pursuant to the invitation of the COP in paragraph 60 of decision 1/CP.21 at the earliest opportunity and no later than in 2017 in order for it to be considered at CMA 1.

75. The Board also addressed the question of which issues should be included in the Board's report at CMP 12, informing the discussion on the Fund serving the Paris Agreement. The following matters were proposed: the evaluation of the Fund, including the outcome of phase I and the launch of phase II; the status of the Fund's income; the readiness programme, including preliminary results and capacity-building achievements; the accreditation process and steps taken to enhance effectiveness and efficiency; a request for guidance on how to transition to the Paris Agreement; the comparative advantage offered by the Fund; and the issue of coherence and collaboration among funds.<sup>31</sup> For ease of reference, some of these matters are included in the addendum to the draft decision contained in annex I to this report, which the CMP may wish to consider forwarding to COP 22 as information relevant for the consideration of the issue under paragraphs 59 and 60 of decision 1/CP.21.

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<sup>30</sup> Adaptation Fund Board document AFB/B.27/10/Rev.1, paragraph 96.

<sup>31</sup> Adaptation Fund Board document AFB/B.27/10/Rev.1, paragraph 103.

## Annex I

### **Draft decision on recommended elements for inclusion in the decision on the report of the Adaptation Fund Board to be considered for adoption by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its twelfth session**

[English only]

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

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

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

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

## Addendum

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

1. When adopting the Paris Agreement, the Conference of the Parties (COP) recognized that the Adaptation Fund (hereinafter referred to as the Fund) may serve the Paris Agreement subject to relevant decisions by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) and the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA). It further invited the CMP to consider this issue and make a recommendation at CMA 1.<sup>1</sup> CMP 11 started the process by recommending that CMA 1 consider that the Fund may serve the Paris Agreement. It further invited COP 22 (November 2016) to request the Ad Hoc Working Group on the Paris Agreement (APA) to undertake the necessary preparatory work concerning this issue and to forward a recommendation to the CMP for consideration and adoption no later than at CMP 15.<sup>2</sup> These provisions established a road map for Parties to consider making the Fund one of the institutions serving the Paris Agreement. Here, the Adaptation Fund Board (hereinafter referred to as the Board) presents elements that the CMP may wish to consider forwarding to the COP in order to inform the deliberations of the APA on this matter, as per paragraph 9 of decision 1/CMP.11.

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

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

#### *Adaptation*

3. The Paris Agreement recognized adaptation as a global challenge and established a global goal on adaptation of enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change.<sup>3</sup> It also recognized the importance of support and

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<sup>1</sup> Decision 1/CP.21, paragraphs 59 and 60.

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

<sup>3</sup> Paris Agreement, Article 7.

taking into account the needs of developing countries.<sup>4</sup> The Paris Agreement established a “global stocktake” process to assess the collective progress made towards achieving the purpose of the Paris Agreement, including adaptation and finance (means of implementation).<sup>5</sup>

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

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

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

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

8. The Board decided to carry out an overall evaluation of the Fund in two stages. The first stage was completed in 2015. It highlighted that the modality that the Fund pioneered in for more than six years (the direct access modality) was a major innovation in climate finance and is appropriate for meeting country needs, and that such a modality can be a highly relevant, effective and efficient means of challenging adaptation finance. Second, the evaluation outlined that the Fund’s design and operational processes are efficient and largely coherent with UNFCCC guidance and national adaptation priorities, and that the evolution of its operational processes has been appropriate, demonstrating its commitment to continuous improvement of its operations. Third, the evaluation found that the Fund

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<sup>4</sup> Paris Agreement, Article 7.

<sup>5</sup> Paris Agreement, Article 14, paragraph 1.

<sup>6</sup> FCCC/CP/2016/2, paragraphs 59–74.

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

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

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

#### *Finance*

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

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

12. The evaluation of the Fund in its first stage concluded that the Fund is closing the adaptation gap by contributing to funding concrete adaptation projects. The Fund has mobilized over USD 500 million since its inception, and has allocated USD 338.5 million for concrete adaptation and readiness projects/programmes. Forty-four per cent of the amount allocated has already been disbursed. The Board has set up a resource mobilization target of USD 80 million per year for the biennium 2016–2017. The Fund has a system of tried and tested policies and procedures already in place, and its risk management framework has the potential to review the accreditation status at any time during the accreditation period. The measures recommended may include policy/procedure enhancements, and suspension or cancellation of the accreditation. The Board is supported by a secretariat, a dedicated team of 11 people, including the Manager, officers and consultants working at the secretariat's headquarters, hosted within the World Bank as part of the Global Environment Facility on an interim basis.

13. The expertise of the Fund has been shared with other climate funds, and its direct access model has proven replication value for other climate financing organizations. The

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<sup>8</sup> Paris Agreement, Article 9, paragraph 4.

<sup>9</sup> Paris Agreement, Article 9, paragraph 4.

<sup>10</sup> Paris Agreement, Article 6, paragraphs 4 and 6.

Board of the Green Climate Fund (GCF) decided to “fast track” accreditation of implementing entities accredited by the Board. As at the date of this report, among the GCF 10 NIEs and 3 regional implementing entities (RIEs) accredited as at 1 June 2016, 7 NIEs and 2 RIEs were fast-track accredited by the Board of the GCF due to their prior accreditation with the Fund.<sup>11</sup> The Fund is the first climate fund to engage in enhanced direct access. Allowing national institutions to directly access adaptation finance promotes country-owned and -driven processes, with the strengthening of local institutions in project identification and implementation and in resource mobilization.

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

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

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

#### *Capacity-building*

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

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<sup>11</sup> <[http://www.greenclimate.fund/documents/20182/319135/GCF\\_Completing\\_a\\_fast-track\\_accreditation\\_application\\_v3.0\\_May\\_2016.pdf/7001d3be-e344-4643-b6e4-5b80e853b279](http://www.greenclimate.fund/documents/20182/319135/GCF_Completing_a_fast-track_accreditation_application_v3.0_May_2016.pdf/7001d3be-e344-4643-b6e4-5b80e853b279)>.<<http://www.greenclimate.fund/partners/accredited-entities>>.

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

<sup>13</sup> Paris Agreement, Article 11.

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

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

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

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

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

## Annex II

## Adaptation Fund Board members and alternate members

[English only]

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

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

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

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

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

## Annex III

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

[English only]

(United States dollars)

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

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

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

<sup>c</sup> This decrease is due to lower rentals costs in the new office space.

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

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

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

## Annex IV

### List of accredited implementing entities

[English only]

#### A. National implementing entities

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

#### B. Multilateral implementing entities

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

#### C. Regional implementing entities

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

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

## Annex V

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

[English only]

Figure 1  
Adaptation Fund Board 26 project-related funding decisions

(United States dollars)

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

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

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

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

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

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

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

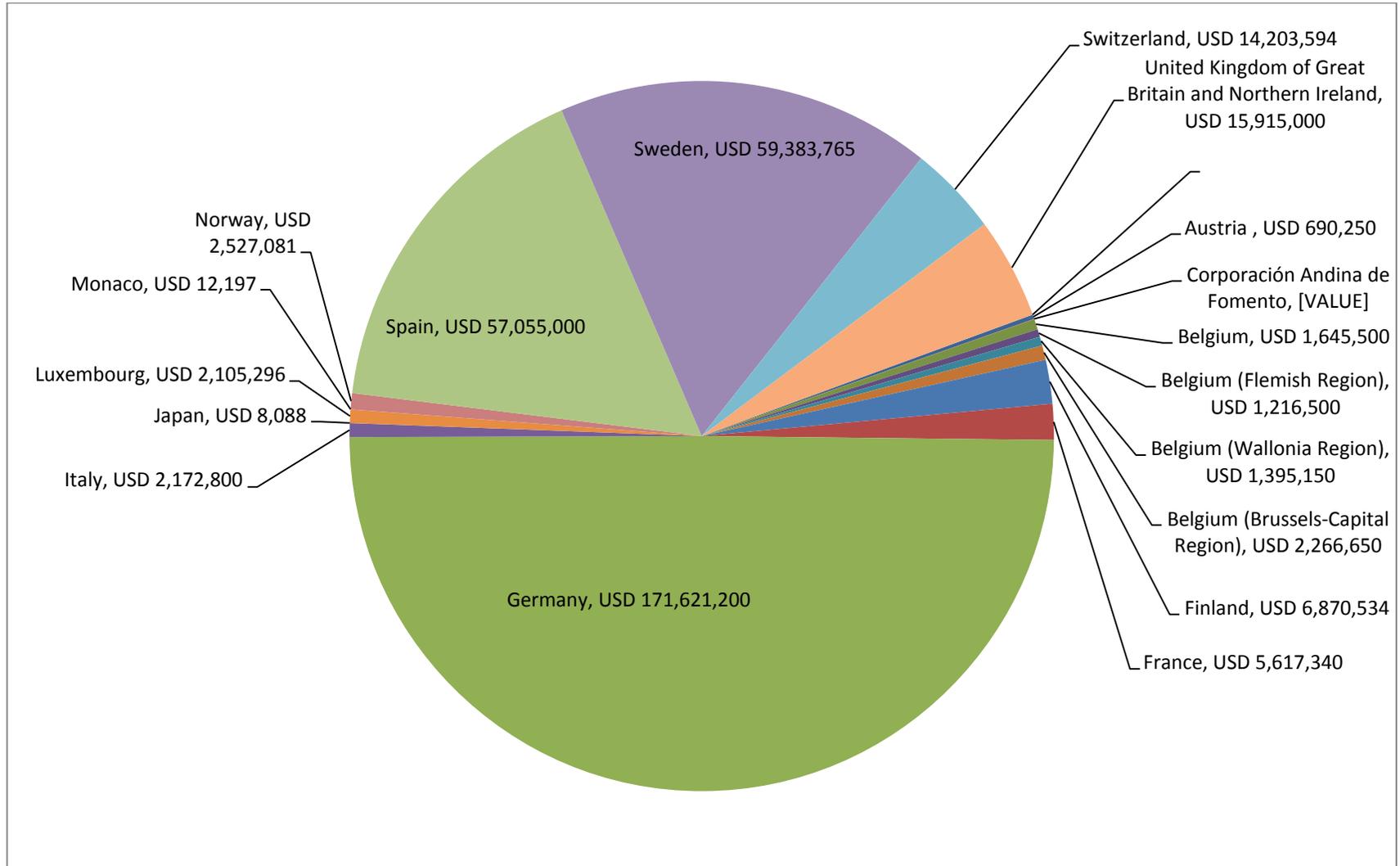
## Annex VI

### Contributors to the Adaptation Fund

[English only]

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

**Figure 3**  
Actual contributions to the Adaptation Fund



## Annex VII

## Status of the portfolio of the Adaptation Fund

[English only]

Table 2

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

<i>Number</i>	<i>Country</i>	<i>Project/programme title</i>	<i>Implementing entity</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project/programme status</i>
1	Senegal	Adaptation to coastal erosion in vulnerable areas	CSE	8 619 000	8 619 000	17 September 2010	Completed
2	Honduras	Addressing climate change risks on water resources in Honduras: increased systemic resilience and reduced vulnerability of the urban poor	UNDP	5 620 300	5 620 300	17 September 2010	Under implementation
3	Nicaragua	Reduction of risks and vulnerability based on flooding and droughts in the Estero Real River watershed	UNDP	5 500 950	5 500 950	15 December 2010	Completed
4	Pakistan	Reducing risks and vulnerabilities from glacier lake outburst floods in northern Pakistan	UNDP	3 906 000	3 906 000	15 December 2010	Completed
5	Ecuador	Enhancing resilience of communities to the adverse effects of climate change on food security in Pichincha Province and the Jubones River basin	WFP	7 449 468	6 751 451	18 March 2011	Under implementation
6	Eritrea	Climate change adaptation programme in water and agriculture in Anseba Region, Eritrea	UNDP	6 520 850	5 144 303	18 March 2011	Under implementation
7	Solomon Islands	Enhancing resilience of communities in Solomon Islands to the adverse effects of climate change in agriculture and food security	UNDP	5 533 500	5 533 500	18 March 2011	Under implementation
8	Mongolia	Ecosystem based adaptation approach to maintaining water security in critical water catchments in Mongolia	UNDP	5 500 000	4 968 853	22 June 2011	Under implementation
9	Maldives	Increasing climate resilience through an integrated water resource management programme in HA. Ihavandhoo, ADh. Mahibadhoo and GDh.	UNDP	8 989 225	8 989 225	22 June 2011	Under implementation

<i>Number</i>	<i>Country</i>	<i>Project/programme title</i>	<i>Implementing entity</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project/programme status</i>
		Gadhoo Island					
10	Turkmenistan	Addressing climate change risks to farming systems in Turkmenistan at national and community level	UNDP	2 929 500	2 708 790	22 June 2011	Under implementation
11	Mauritius	Climate change adaptation programme in the coastal zone of Mauritius	UNDP	9 119 240	3 710 877	16 September 2011	Under implementation
12	Georgia	Developing climate resilient flood and flash flood management practices to protect vulnerable communities of Georgia	UNDP	5 316 500	5 316 500	14 December 2011	Under implementation
13	United Republic of Tanzania	Implementation of concrete adaptation measures to reduce vulnerability of livelihood and economy of coastal communities in Tanzania	UNEP	5 008 564	4 553 294	14 December 2011	Under implementation
14	Cook Islands	Strengthening the resilience of our islands and our communities to climate change	UNDP	5 381 600	4 512 080	14 December 2011	Under implementation
15	Uruguay	Uruguay: helping small farmers adapt to climate change	ANII	9 967 678	5 739 544	14 December 2011	Under implementation
16	Samoa	Enhancing resilience of Samoa's coastal communities to climate change	UNDP	8 732 351	4 527 475	14 December 2011	Under implementation
17	Madagascar	Madagascar: promoting climate resilience in the rice sector	UNEP	5 104 925	3 197 224	14 December 2011	Under implementation
18	Papua New Guinea	Enhancing adaptive capacity of communities to climate change-related floods in the North Coast and Islands Region of Papua New Guinea	UNDP	6 530 373	5 537 734	16 March 2012	Under implementation
19	Cambodia	Enhancing climate resilience of rural communities living in protected areas of Cambodia	UNEP	4 954 273	3 086 352	28 June 2012	Under implementation
20	Colombia	Reducing risk and vulnerability to climate change in the region of La Depression Momposina in Colombia	UNDP	8 518 307	4 893 900	28 June 2012	Under implementation
21	Djibouti	Developing agro-pastoral shade gardens as an adaptation strategy for poor rural communities in Djibouti	UNDP	4 658 556	3 492 556	28 June 2012	Under implementation
22	Egypt	Building resilient food security systems to benefit the Southern Egypt Region	WFP	6 904 318	3 905 765	28 June 2012	Under implementation
23	Jamaica	Enhancing the resilience of the agricultural sector and coastal areas to protect livelihoods and improve	PIOJ	9 965 000	5 980 360	28 June 2012	Under implementation

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

<i>Number</i>	<i>Country</i>	<i>Project/programme title</i>	<i>Implementing entity</i>	<i>Approved amount (USD)</i>	<i>Amount transferred (USD)</i>	<i>Approval date</i>	<i>Project/programme status</i>
		as a potential adaptation strategy for sea level rise					implementation
37	India	Enhancing adaptive capacity and increasing resilience of small and marginal farmers in Purulia and Bankura districts of west Bengal	NABARD	2 510 854	376 628	10 October 2014	Under implementation
38	Costa Rica	Reducing the vulnerability by focusing on critical sectors (agriculture, water resources, and coastlines) in order to reduce the negative impacts of climate change and improve the resilience of these sectors	FUNDE-COOPE-RACION	9 970 000	1 621 559	10 October 2014	Under implementation
39	Kenya	Integrated programme to build resilience to climate change & adaptive capacity of vulnerable communities in Kenya	NEMA	9 998 302	4 956 906	10 October 2014	Under implementation
40	South Africa	Building resilience in the Greater uMngeni catchment	SANBI	7 495 055	852 328	10 October 2014	Under implementation
41	South Africa	Taking adaptation to the ground: a small grants facility for enabling local level responses to climate change	SANBI	2 442 682	190 986	10 October 2014	Under implementation
42	Ghana	Increased resilience to climate change in northern Ghana through the management of water resources and diversification of livelihoods	UNDP	8 293 972	575 965	5 March 2015	Under implementation
43	Mali	Programme support for climate change adaptation in the vulnerable regions of Mopti and Timbuktu	UNDP	8 533 348	4 374 194	25 March 2015	Under implementation
44	Nepal	Adapting to climate induced threats to food production and food security in the Karnali region of Nepal	WFP	9 527 160	2 341 906	1 April 2015	Not started
45	Indonesia	Adapting to climate change for improved food security in West Nusa Tenggara province	WFP	5 995 666	0	11 May 2015	Not started
46	Jordan	Increasing the resilience of poor and vulnerable communities to climate change impacts in Jordan through implementing innovative projects in water and agriculture in support of adaptation to climate change	MOPIC	9 226 000	1 865 193	10 April 2015	Not started
47	Morocco	Climate changes adaptation project in oasis zones – PACC-ZO	ADA	9 970 000	2 907 922	10 April 2015	Under implementation
48	India	Building adaptive capacities of small inland fishers	NABARD	1 790 500	447 620	10 April 2015	Under

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## Annex VIII

### Sectoral and geographical breakdowns of the Adaptation Fund's portfolio of projects and programmes

[English only]

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

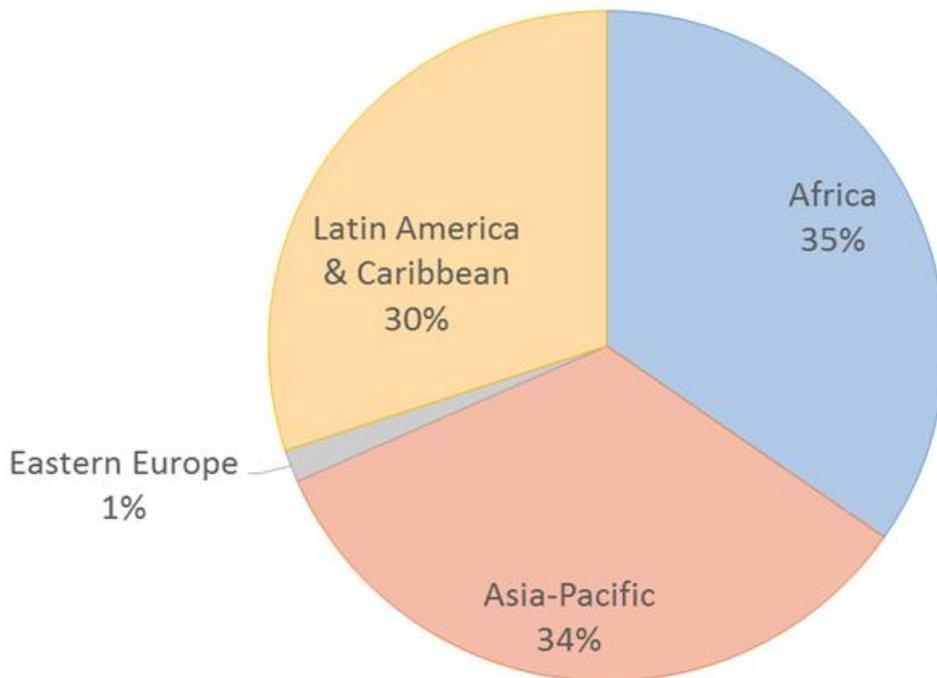


Figure 5  
**Sectoral breakdown of the Adaptation Fund's portfolio of projects and programmes**

