



ADAPTATION FUND

AFB/B.28/9
21 December 2016

ADAPTATION FUND BOARD

Twenty-eighth Meeting
Bonn, Germany, 6-7 October 2016

REPORT OF THE TWENTY-EIGHTH MEETING OF THE ADAPTATION FUND BOARD

Introduction

1. The twenty-eighth meeting of the Adaptation Fund Board (the Board) was held at the 'Langer Eugen' United Nations Campus, in Bonn, Germany, from 6 to 7 October 2016, back-to-back with the nineteenth meetings of the Project and Programme Review Committee (PPRC) and the Ethics and Finance Committee (EFC) of the Board.
2. The meeting was broadcast live through the websites of the Adaptation Fund (the Fund) and the United Nations Convention to Combat Desertification (UNCCD). The UNCCD also provided logistical and administrative support for the meetings of the Board and its committees.
3. The list of the members and alternate members who participated in the meeting is attached as Annex I to the present report. A list of accredited observers present at the meeting can be found on the Fund website in document AFB/B.28/Inf.3.

Agenda Item 1: Opening of the meeting

4. The meeting was opened at 9:10 a.m. on Thursday, 6 October 2016, by the Chair, Mr. Naresh Sharma (Nepal, Least Developed Countries).

Agenda Item 2: Organizational matters

a) *Adoption of the agenda*

5. The Board considered the provisional agenda contained in document AFB/B.28/1/Rev.1 and the annotated provisional agenda and provisional timetable contained in document AFB/B.28/2.
6. Two sub-items, one regarding a "dialogue with the Executive Secretary of UNFCCC, Ms. Patricia Espinosa" and the other regarding the "recruitment process for the new Manager of the secretariat", were proposed for consideration under Other Matters.

7. The Board adopted the agenda as orally amended. The agenda is attached in **Annex II** to the present report.

b) Organization of work

8. The Board adopted the organization of work proposed by the Chair.

9. The Board welcomed Mr. Chebet Maikut (Uganda, Least Developed Countries) as a new alternate member of the Board. Mr. Maikut, who had been appointed by intersessional decision B.27-28/6 to replace Mr. Ewans Njewa (Malawi, Least Developed Countries), briefly introduced himself.

10. The following members and alternate members declared conflicts of interest:

- a) Mr. Yerima Peter Tarfa (Nigeria, Africa)
- b) Mr. Aram Ter-Zakaryan (Armenia, Eastern Europe)
- c) Mr. Lucas Di Pietro Paolo (Argentina, Latin America and the Caribbean)
- d) Mr. Emilio L. Sempris Ceballos (Panama, Latin America and the Caribbean)
- e) Ms. Irina Helena Pineda Aguilar (Honduras, Latin America and the Caribbean)
- f) Mr. Chebet Maikut (Uganda, Least Developed Countries)
- g) Ms. Fatuma Mohamed Hussein (Kenya, Non-Annex I Parties)
- h) Ms. Patience Dampsey (Ghana, Non-Annex I Parties)

11. Ms. Marcia Levaggi, the Manager of the Adaptation Fund Board Secretariat (the secretariat), also declared a conflict of interest in relation to the discussion on the letter from Argentina's National Implementing Entity (NIE).

Agenda Item 3: Report on activities of the Chair

12. The Chair reported on activities he had undertaken on the Board's behalf. Since the last Board meeting, he had participated in the Paris Agreement signing ceremony in New York and visited the secretariat in Washington, D.C. to discuss the upcoming United Nations Framework Convention on Climate Change (UNFCCC) Subsidiary Bodies meeting and other developments of the Board and signed agreements with implementing entities for grants approved by the Board. In late March and early April, he had represented the Board at the Post-Paris Least Developed Countries Experts Group meeting and Least Developed Countries Ministerial meeting in Kinshasa, Democratic Republic of the Congo, where the secretariat had made two presentations on the Adaptation Fund and the landscape of adaptation finance in the context of the Paris Agreement. He had then represented the Board during the forty-fourth sessions of the UNFCCC subsidiary bodies in May in Bonn, where he had participated in the contact group that had discussed and agreed on the terms of reference for the Fund's third review, chaired a side event in the margins of the meeting, and chaired the contributors' dialogue hosted by the Swedish Climate Change Ambassador, Ms. Anna Lindstedt, which had showcased the experience of NIEs. He had also met with one of the co-chairs of the Green Climate Fund (GCF) Board, Mr. Zaheer Fakir, and the advisor to the other GCF Board co-chair to discuss potential linkages between the two funds. Finally, he had met with the Canadian

Director for Climate Change in the Ministry of Foreign Affairs to raise awareness on the Fund and its resource mobilization target.

13. The Adaptation Fund Board took note of the report on the activities of the Chair.

Agenda Item 4: Report on activities of the secretariat

14. The Manager of the secretariat reported on the activities of the secretariat during the intersessional period, more fully described in document AFB/B.28/3.

15. Noting the importance of meetings with contributors and potential contributors to the Fund, she reported on a number of such meetings. In May, during the forty-fourth sessions of the UNFCCC subsidiary bodies in Bonn, she had met with representatives of the Ministry of Foreign Affairs of Canada. Following the meetings in Bonn, she had travelled, together with members of the secretariat, to Italy and France for meetings with government representatives involved in climate finance, with the assistance and participation of the Board members from Italy and France. A similar meeting had also been held by conference call with the office of external relations of the Province of Quebec, Canada.

16. During the intersessional period, she had also met with the incoming presidency of the UNFCCC Conference of the Parties (COP) and the lead negotiator for Morocco, Ambassador Aziz Mekouar, respectively at the meeting of the subsidiary bodies and in Rabat, Morocco, to discuss Fund-related issues to be raised at the twenty-second session of the COP (COP 22), most notably the roadmap to serve the Paris Agreement and the Fund's financial sustainability. The meetings in Rabat had also involved a number of other government representatives.

17. She took the opportunity to introduce Ms. Sophie Hans-Moevi, who had joined the secretariat in July as Senior Programme Assistant, and Mr. Matthew Pueschel, Communications Specialist who had been introduced at a previous meeting but was attending his first Board meeting. Noting that the current meeting was her last as the Manager of the secretariat, she then closed her report on a personal note.

18. The Adaptation Fund Board took note of the report on the activities of the secretariat.

Agenda Item 5: Report of the Accreditation Panel

19. The Chair of the Accreditation Panel, Ms. Yuka Greiler (Western European and Others Group), introduced the report of the Panel's twenty-third meeting, held in Washington, D.C., on 29 to 30 August 2016 (document AFB/B.28/4), and the updated accreditation application form (document AFB/B.28/4/Add.1). She noted that the report of the Panel's twenty-second meeting, held in Washington, D.C., on 2 to 3 June 2016, had been submitted to the Board intersessionally (document AFB/B.27-28/02).

20. At its twenty-third meeting, the Panel had started reviewing one new NIE application and six NIE reaccreditation applications, and continued reviewing 10 NIE applications and one regional implementing entity (RIE) application. During the intersessional period, the Board had approved the reaccreditation of the World Meteorological Organization (WMO) as a Multilateral Implementing Entity (MIE) after considering the Panel's recommendation (decision B.27-28/7). Since the Panel's twenty-third meeting, another new application for reaccreditation had been received and one application for accreditation of an NIE had been withdrawn by a designated authority, who had since nominated a replacement entity that was now preparing for accreditation.

21. In all, the Panel was in the process of reviewing accreditation applications of 10 NIEs and one RIE. Describing the general trends in accreditation, she said that the Fund had a total of 42 accredited implementing entities to date, comprising 24 national, six regional and 12 multilateral implementing entities. Of the 24 NIEs, five were from the Asia Pacific region, eight from the African region and 11 from the Latin American and Caribbean region. In addition, 4 NIEs from least developed countries (LDCs) and 6 NIEs from Small Island Developing States (SIDS) were accredited while 17 NIE applicants from LDCs and 5 NIE applicants from SIDS were in the accreditation pipeline. More broadly, a total of 115 designated authorities had nominated 97 implementing entities that had generated 75 applications for accreditation, of which 16 were currently under review.

22. Under other matters at its twenty-third meeting, the Panel had discussed an item on anti-money-laundering and countering the financing of terrorism, and had concluded that new criteria were not needed, as the question was appropriately addressed by the standard legal agreement with accredited implementing entities and the trustee's procedure for transferring funds to implementing entities, which was in line with the World Bank Group procedures. Nevertheless, in the interest of awareness raising, the issue could be taken up with the implementing entities in the context of capacity building activities.

23. The panel had also finalized an accreditation guidance note on the Environmental and Social Policy and Gender Policy, which had been submitted to the Board and approved intersessionally (decision B.27–28/28), and had updated the accreditation application form (document AFB/B.28/4/Add.1), mainly to reflect the new Gender Policy for information to the Board.

24. The Panel's twenty-fourth meeting was scheduled for 31 January to 1 February 2017.

25. The Adaptation Fund Board took note of the report of the Accreditation Panel.

Agenda Item 6: Report of nineteenth meeting of the Project and Programme Review Committee

26. Mr. Yerima Peter Tarfa (Nigeria, Africa) and Ms. Monika Antosik (Poland, Eastern Europe), respectively Chair and Vice-Chair of the PPRC, jointly presented the report (AFB/PPRC. 19/36). Ms. Antosik introduced the report and the first ten recommendations made by the PPRC and Mr. Tarfa presented the remaining recommendations. He also confirmed that only NIEs were eligible for project formulation grants (PFGs) and that the projects approved for India, taken as a whole, did not exceed India's country cap.

27. In response to questions about the high number of recommendations not to approve concept notes and proposals, the representative of the secretariat explained that the low percentage of approved projects at the present meeting resulted from the unprecedented number of proposals and funding requests under consideration, of which many were new proposals that had not been previously submitted to the Board, and some of the proponents were new to the process. Out of the six fully-developed proposals that had not been approved, five had been submitted for the first time.

28. During the first submission of proposals the PPRC often found that there were elements that the proponents had overlooked; out of the four concepts that had not been endorsed, three were first time submissions that had come to the Board with a relatively short development period behind them. There also seemed to have been a rush to submit some of the regional proposals to take advantage of the funding available through the pilot programme. Some of those proposals had not really been

fully-developed and one of the reasons to establish a pipeline was to remove the pressure to submit projects before they were ready.

29. It was asked whether there was a need to provide better guidance to the implementing entities and it was pointed out that the readiness programme was helping the NIEs to prepare better proposals. The representative of the secretariat said that it was a learning process and recalled there were two forms of assistance that the Fund provided for project preparation. NIEs could apply for a PFG of a maximum of US\$ 30,000 which could be approved when the concept proposal was endorsed. That helped the proponent to develop the concept into a fully-developed proposal and to defray costs related, *inter alia*, to project design and stakeholder consultation. Another source of project preparation assistance was available under the readiness programme as project formulation assistance grants (PFAs) to complement the PFG and support NIEs to undertake special technical assessments during project preparation and design. Regional proposals under the pilot programme could be granted PFGs at two stages: at the pre-concept and the concept stages.

30. The Board then approved the following decisions on the matters considered by the PPRC at its nineteenth meeting.

Funding for proposals under the pilot programme for regional activities

31. Having considered the comments and recommendation of the Project and Programme Review Committee (PPRC), the Adaptation Fund Board (the Board) decided:

- a) With regard to the pilot programme approved by decision B.25/28:
 - (i) To prioritize the four projects and 10 project formulation grants as follows:
 - 1. If the proposals recommended to be funded in a given meeting of the PPRC do not exceed the available slots under the pilot programme, all those proposals would be submitted to the Board for funding;
 - 2. If the proposals recommended to be funded in a given meeting of the PPRC do exceed the available slots under the pilot programme, the proposals to be funded under the pilot programme would be prioritized so that the total number of projects and project formulation grants (PFGs) under the programme maximizes the total diversity of projects/PFGs. This would be done using a three-tier prioritization system: so that the proposals in relatively less funded sectors would be prioritized as the first level of prioritization. If there are more than one proposal in the same sector: the proposals in relatively less funded regions are prioritized as the second level of prioritization. If there are more than one proposal in the same region, the proposals submitted by relatively less represented implementing entity would be prioritized as the third level of prioritization;
 - (ii) To request the secretariat to report on the progress and experiences of the pilot programme to the PPRC at its twenty-third meeting; and
- b) With regard to financing regional proposals beyond the pilot programme referred to above:
 - (i) To continue considering regional proposals for funding, within the two categories originally described in document AFB/B.25/6/Rev.2: ones requesting up to

US\$ 14 million, and others requesting up to US\$ 5 million, subject to review of the regional programme;

(ii) To establish two pipelines for technically cleared regional proposals: one for proposals up to US\$ 14 million and the other for proposals up to US\$ 5 million, and place any technically cleared regional proposals, in those pipelines, in the order described in decision B.17/19 (their date of recommendation by the PPRC, their submission date, their lower “net” cost); and

(iii) To fund projects from the two pipelines, using funds available for the respective types of implementing entities, so that the maximum number of or maximum total funding for projects and project formulation grants to be approved each fiscal year will be outlined at the time of approving the annual work plan of the Board.

(Decision B.28/1)

Project/programme proposals

Concept proposals: Proposals from National Implementing Entities (NIEs) - small-size proposals

Namibia (1): Community-based Integrated Farming System for Climate Change Adaptation (Project Concept; Desert Research Foundation of Namibia (DRFN); NAM/NIE/Agri/2015/2; US\$ 750,000)

32. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Endorse the project concept, as supplemented by the clarification response provided by the Desert Research Foundation of Namibia (DRFN) to the request made by the technical review;
- b) Request the secretariat to transmit to DRFN the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) The fully-developed project document should elaborate on the adaptation reasoning of output 1.2., including activity 1.2.2;
 - (ii) The fully-developed project document should confirm that an adequate water use agreement has been established with the neighbouring country for irrigation activities in the Kunene River in Angola;
 - (iii) The fully-developed project document should ensure that the costs related to the activities of bush thinning are not overestimated, as the targeted area covered 200,000 hectares;
 - (iv) The fully-developed project document should demonstrate the cost effectiveness of the project, with inclusion of the alternate options and their related costs;
 - (v) The fully-developed project document should demonstrate complementarities and synergies of the project with other relevant initiatives;

- (vi) A comprehensive consultation process is expected at the fully-developed project document stage, in compliance with the relevant Adaptation Fund policies and guidelines;
- (vii) The fully-developed project document should demonstrate that a proper environmental and social risk assessment has taken place, with adequate categorization of the project as a result of that process;
- c) Approve the Project Formulation Grant of US\$ 30,000;
- d) Request DRFN to transmit the observations under item (b) to the Government of Namibia; and
- e) Encourage the Government of Namibia to submit through DRFN a fully-developed project proposal that would also address the observations under item (b) above.

(Decision B.28/2)

Namibia (2): Pilot desalination plant with renewable power and membrane technology (Project Concept; Desert Research Foundation of Namibia (DRFN); NAM/NIE/Water/2015/1; US\$ 750,000)

33. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Endorse the project concept, as supplemented by the clarification response provided by the Desert Research Foundation of Namibia (DRFN) to the request made by the technical review;
- b) Request the secretariat to transmit to DRFN the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) The fully-developed project document should explain how targeted training will be provided to different categories of stakeholders, depending on the role they can play to ensure the sustainability of the project's outcomes;
 - (ii) The fully-developed project document should include adequate budget for its component 4 on sensitization, which includes capacity building activities that are important for the sustainability of the project;
 - (iii) The fully-developed project document should demonstrate a comprehensive consultation process, following up on the consultation done during the concept development;
 - (iv) The fully-developed project document should provide a copy of the reports on the Environmental Impact Assessments for the two plants, to allow for a better review of the project's potential environmental and social impacts and the planned mitigation measures to minimise these impacts, if any;
 - (v) The fully-developed project document should include an Environmental and Social Management Plan for the whole project identifying key stakeholders and their

respective roles in the implementation and monitoring of such plan, in compliance with the Environmental and Social Policy as well as the Gender Policy of the Fund, and should describe a grievance mechanism that would include NamWater in its quality as the national water company that will run the operations of the two plants;

- c) Approve the Project Formulation Grant of US\$ 30,000;
- d) Request DRFN to transmit the observations under item (b) to the Government of Namibia; and
- e) Encourage the Government of Namibia to submit through DRFN a fully-developed project proposal that would also address the observations under item (b) above.

(Decision B.28/3)

Concept proposals: Proposals from National Implementing Entities (NIEs) - regular proposals

Dominican Republic: Enhancing climate resilience in San Cristóbal Province, Dominican Republic - Integrated Water Resources Management and Rural Development Programme (Project Concept; Dominican Institute of Integral Development (IDDI); DOM/NIE/Water/2016/1; US\$ 9,954,000).

34. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not endorse the project concept, as supplemented by the clarification response provided by the Dominican Institute of Integral Development (IDDI) to the request made by the technical review;
- b) Suggest that IDDI reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) The concept proposal should systematically clarify pressure points within the ecosystems in San Cristobal;
 - (ii) The concept proposal should clarify what needs to be changed in the way the ecosystem is managed to increase water availability, linking that to increasing the carrying capacity of the ecosystem through lowering the irrigation pressure, improving the opportunity and skills around dry season farming, lowering siltation of water systems and increasing the soil moisture content through increased forest cover, as specified in outputs under component 2;
 - (iii) The concept proposal should provide more information on how livestock rearing and involvement in activities related to reducing pressure on natural resources addresses adaptive capacity needs of communities in the project area;
 - (iv) The concept proposal should clarify the language regarding roles of envisaged partnerships to demonstrate cost-effectiveness of the project;

- (v) The concept proposal needs to demonstrate that the project activities align with clear cohesion of the components in a manner that clarifies and strengthens adaptation reasoning;
- c) Not approve the Project Formulation Grant of US\$ 30,000; and
- d) Request IDDI to transmit the observations under item (b) to the Government of Dominican Republic.

(Decision B.28/4)

Indonesia: Building resilience of coastal and small islands villages and their communities to climate change and extreme climate, through applying smart adaptive measures, improvement on policy and institutional coordination (Project Concept; Partnership for Governance Reform in Indonesia (*Kemitraan*); IDN/NIE/Coastal/2016/1; US\$ 4,075,005)

35. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not endorse the project concept, as supplemented by the clarification response provided by the Partnership for Governance Reform in Indonesia (*Kemitraan*) to the request made by the technical review;
- b) Suggest that *Kemitraan* reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) The proposal should clearly demonstrate how the proposed measures are suited and adequate for the identified climate threats;
 - (ii) The proposal should clarify the goals of the proposed project, how the project design is coherent and focused enough and how all the project activities are necessary for fulfilling its objectives;
 - (iii) The proposal should provide information on the expected beneficiaries and the benefits to the vulnerable groups;
 - (iv) An initial consultative process among the key stakeholders (e.g. expected beneficiaries, regional or local government) or vulnerable groups should be carried out;
 - (v) The cost-effectiveness of the proposed approach or the sustainability of concrete outcomes of the project should be demonstrated;
 - (vi) The proposal should clarify the specific circumstances in the different project locations, and how the interventions would be applied differently in different locations;
 - (vii) The proposal should clarify whether the planned research activities can be carried out within the timeline of the project;

- c) Not approve the Project Formulation Grant of US\$ 29,550; and
- d) Request *Kemitraan* to transmit the observations referred to in sub-paragraph (b) to the Government of Indonesia.

(Decision B.28/5)*Concept proposals: Proposals from Regional Implementing Entities (RIEs)*

Ecuador: Increasing adaptive capacity of local communities, ecosystems and hydroelectric systems in the Toachi – Pilatón watershed with a focus on Ecosystem and Community Based Adaptation and Integrated Adaptive Watershed Management (Project Concept; *Banco de Desarrollo de America Latina* (CAF; Development Bank of Latin America); ECU/RIE/Rural/2016/1; US\$ 2,489,373)

36. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not endorse the project concept, as supplemented by the clarification response provided by the *Banco de Desarrollo de America Latina* (CAF; Development Bank of Latin America) to the request made by the technical review;
- b) Suggest that CAF reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board’s decision, as well as the following issues:
 - (i) The proposal should provide more detail about the activities in each project output and component to define the elements of the project design – in other words, including details of the “how” outcomes will be achieved in addition to “what” is being proposed;
 - (ii) The proposal should provide a clearer link between the activities of conservation under component 1 and those related to sustainable farming under component 2;
 - (iii) The proponent should more clearly outline how it will engage, involve and benefit women and other marginalized groups;
 - (iv) The proposal should provide additional detail on the environmental and social screening, which is partially reflected in the matrix that was provided with the revised concept, to comply with the Environmental and Social Policy and the Gender Policy of the Adaptation Fund; and
- c) Request CAF to transmit the observations under item (b) to the Government of Ecuador.

(Decision B.28/6)

Republic of Marshall Islands: Climate Resilient Atolls for Food Security and Community Livelihoods in RMI (Project Concept; Secretariat of the Pacific Regional Environment Programme (SPREP)); MHL/RIE/Agri/2015/1; US\$ 7,484,872.5)

37. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not endorse the project concept, as supplemented by the clarification response provided by the Secretariat of the Pacific Regional Environment Programme (SPREP) to the request made by the technical review;
- b) Suggest that SPREP reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) The proposal should directly address the issues raised in the initial technical review by strengthening and reflecting the responses within the project document text;
 - (ii) The proponent should clearly outline the process by which issues will be resolved in the full proposal development process, namely the identification of project activities, selection of sites, and adherence to the Environmental and Social Policy and the Gender Policy of the Adaptation Fund;
 - (iii) The proponent should ensure that each section is populated in accordance with the Adaptation Fund's review criteria, namely, the sections on cost-effectiveness, the full cost of adaptation reasoning, and project sustainability;
 - (iv) The proposal should ensure coherence and consistency between each of the project components, demonstrating a design that will build towards outcomes directly contributing to resilience, and seek to avoid duplication with other relevant initiatives; and
- c) Request SPREP to transmit the observations under item (b) to the Government of Republic of Marshall Islands.

(Decision B.28/7)

Togo: Increasing the resilience of vulnerable communities in the agriculture sector of Mandouri in Northern Togo (Project Concept; *Banque Ouest Africaine de Développement* (BOAD; West African Development Bank); TGO/RIE/Agri/2016/1; US\$ 10,000,000)

38. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Endorse the project concept, as supplemented by the clarification response provided by the *Banque Ouest Africaine de Développement* (BOAD) to the request made by the technical review;
- b) Request the secretariat to transmit to BOAD a notification of the Board's decision;
- c) Request BOAD to transmit the decision by the Board to the Government of Togo as stated in paragraph (a) above; and

- d) Encourage the Government of Togo to submit through BOAD a fully-developed project proposal that would consider the observations in the review sheet annexed to the notification of the Board's decision.

(Decision B.28/8)

Concept proposals: Proposals from Multilateral Implementing Entities (MIEs)

Fiji: Increasing the resilience of informal urban settlements in Fiji that are highly vulnerable to climate change and disaster risks (Project Concept; United Nations Human Settlements Programme (UN-Habitat); FJI/MIE/Urban/2016/1; US\$ 4,200,000)

39. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Endorse the project concept, as supplemented by the clarification response provided by United Nations Human Settlements Programme (UN-Habitat) to the request made by the technical review;
- b) Request the secretariat to transmit to UN-Habitat the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) The full proposal should provide the full scale of asset portfolio of informal communities in terms of human, physical, financial, social, natural and knowledge assets;
 - (ii) The language in the full proposal related to land tenure insecurity in informal settlements should recognize the full potential risks on the beneficiaries and investments;
 - (iii) The full proposal should recognize that low risk of resettlements in the project area does not imply no risk at all, and therefore, should provide tangible mitigation measures;
 - (iv) The full proposal needs to recognize that focus group discussions for rapid vulnerability assessment in communities in themselves are not a consultative process nor can they substitute consultations with communities and other participants whose roles need to be recognized and specified;
- c) Request UN-Habitat to transmit the observations under item (b) to the Government of Fiji; and
- d) Encourage the Government of Fiji to submit through UN-Habitat a fully-developed project proposal that would address the observations under item (b) above.

(Decision B.28/9)

Solomon Islands: Enhancing urban resilience to climate change impacts and natural disasters: Honiara (Project Concept; United Nations Human Settlements Programme (UN-Habitat); SLB/MIE/Urban/2016/1; US\$ 4,400,000).

40. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Endorse the project concept, as supplemented by the clarification response provided by United Nations Human Settlements Programme (UN-Habitat) to the request made by the technical review;
- b) Request the secretariat to transmit to UN-Habitat the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) The full proposal needs to clarify how the proposed approach is cost effective in comparison to alternative approaches as per the Fund's guidelines;
 - (ii) The full proposal needs to clearly state the lessons from identified projects and show how they have informed its design beyond the complementarity potential;
 - (iii) The full proposal needs to include specific roles of participants in the consultations under each administration level: community; ward; and city-ward;
- c) Request UN-Habitat to transmit the observations under item (b) to the Government of Solomon Islands; and
- d) Encourage the Government of Solomon Islands to submit through UN-Habitat a fully-developed project proposal that would address the observations under item (b) above.

(Decision B.28/10)

Fully-developed proposals: Proposals from National Implementing Entities (NIEs) - regular proposals

Antigua and Barbuda: An integrated approach to physical adaptation and community resilience in Antigua and Barbuda's northwest McKinnon's watershed (Fully-developed Project Document; Department of Environment, Ministry of Health and the Environment; ATG/NIE/Multi/2016/1; US\$ 9,970,000)

41. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not approve the project document, as supplemented by the clarification response provided by the Antigua and Barbuda Department of Environment to the request made by the technical review;
- b) Suggest that the Antigua and Barbuda Department of Environment reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) The proponent is requested to strengthen the integration across components within the project relative to the ways in which environmental and social risks are addressed;

- (ii) With respect to the selection of loan activities and new subjects to the list of acceptable activities, the proponent is requested to add additional detail and strengthen the means or mechanisms through which the project will ensure compliance with the Fund's Environmental and Social Policy and Gender Policy;
 - (iii) The proponent should further address the disproportionate impacts on marginalized and vulnerable groups, as well as issues of resettlement for livelihoods impacts; and
- c) Request the Antigua and Barbuda Department of Environment to transmit the observations under item (b) to the Government of Antigua and Barbuda.

(Decision B.28/11)

Ethiopia: Climate Smart Integrated Rural Development Project (Fully-developed Project Document; Ministry of Finance and Economic Cooperation of Ethiopia (MOFEC); ETH/NIE/Rural/2016/1; US\$ 9,975,486)

42. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not approve the project document, as supplemented by the clarification response provided by Ministry of Finance and Economic Cooperation (MOFEC), Ethiopia to the request made by the technical review;
- b) Suggest that MOFEC reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) The proponent should consider focusing the project by including a clear project objective statement with a limited number of outcomes that link directly to its expected achievement, and review its targets that should correspond to indicators;
 - (ii) The distribution of project resources should be reconsidered so that they better reflect what the project plans to achieve, and so that scope of activities is realistic to have a true impact;
 - (iii) It would be necessary to focus on sustainability of project outputs, including the institutional arrangements that will continue to support the diversification of livelihoods, and also including monitoring and mitigation of climate risks to ground water to ensure the sustainability of the infrastructure for water supply management;
 - (iv) The proposal should elaborate on the mechanisms to ensure replication of the project outputs, and on financial resources available for replication; and
- c) Request MOFEC to transmit the observations under item (b) to the Government of Ethiopia.

(Decision B.28/12)

India: Building Adaptive Capacities of Communities, Livelihoods and Ecological Security in the Kanha-Pench Corridor of Madhya Pradesh (Fully-developed Project Document; National Bank for Agriculture and Rural Development (NABARD); IND/NIE/Forests/2015/1; US\$ 2,556,093)

43. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board decided to:

- a) Approve the project document, as supplemented by the clarification response provided by the National Bank for Agriculture and Rural Development (NABARD) to the request made by the technical review;
- b) Approve the funding of US\$ 2,556,093 for the implementation of the project, as requested by NABARD; and
- c) Request the secretariat to draft an agreement with NABARD as the National Implementing Entity for the project.

(Decision B.28/13)

Panama: Adapting to climate change through integrated water management in Panama (Fully-developed Project Document; *Fundación Natura*; PAN/NIE/Water/2016/1; US\$ 9,964,859)

44. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not approve the project document, as supplemented by the clarification response provided by *Fundación Natura* to the request made by the technical review;
- b) Suggest that *Fundación Natura* reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) The proposal should clarify the implementation arrangements that the programme will follow, and demonstrate their cost-effectiveness and efficiency;
 - (ii) The proposal should demonstrate further compliance with the Environmental and Social Policy Principle 7 on Indigenous Peoples;
 - (iii) The proposal should further explain the "water-food-energy-climate nexus" approach that the programme would follow;
 - (iv) The proposal should further demonstrate compliance of the programme with the relevant latest national policies and plans; and
- c) Request *Fundación Natura* to transmit the observations under item (b) to the Government of Panama.

(Decision B.28/14)

Fully-developed proposals: Proposals from Regional Implementing Entities (RIEs) - regular proposals

Federated States of Micronesia: Enhancing the climate change resilience of vulnerable island communities in Federated States of Micronesia (Fully-developed Project Document; Secretariat of the Pacific Regional Environment Programme (SPREP); FSM/RIE/Coastal/2015/1; US\$ 9,000,000)

45. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not approve the project document, as supplemented by the clarification response provided by the Secretariat of the Pacific Regional Environment Programme (SPREP) to the request made by the technical review;
- b) Suggest that SPREP reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issue:
 - (i) The proposal should provide consistent information throughout the proposal and supporting documents with respect to the final alignment of the road planned by the project, and provide a final environmental and social impact assessment and environmental and social management plan consistent with such final alignment; and
- c) Request SPREP to transmit the observations under item (b) to the Government of the Federated States of Micronesia.

(Decision B.28/15)

Peru: AYNINACUY: Strengthening the livelihoods for vulnerable highland communities in the provinces of Arequipa, Caylloma, Condesuyos, Castilla and La Union in the Region of Arequipa, Peru (Fully-developed Project Document; *Banco de Desarrollo de America Latina* (CAF; Development Bank of Latin America); PER/RIE/Rural/2015/1; US\$ 2,941,446)

46. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not approve the project document as supplemented by the clarification response provided by the *Banco de Desarrollo de America Latina* (CAF; Development Bank of Latin America) to the request made by the technical review;
- b) Suggest that CAF reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) While additional detail has been provided on a number of issues relative to the selected sites, the proposal should further clarify how activities will be reviewed, selected and finalized following project inception. The Environmental and Social Policy (ESP) requires risks identified to be assessed for impacts in a way commensurate to the risks identified. If exact locations are not yet known, the project will require a mechanism as part of the Environmental and Social Management Plan

(ESMP) to review project activities to identify risks and impacts during project implementation;

(ii) The proposal should provide additional information on the lessons learned and products of other projects that the activities will build or draw on;

(iii) The baselines for the results frameworks should be provided or approximated;

(iv) The proponent should revise the Environmental Management Plan to comply with the Adaptation Fund ESP by developing an ESMP that is organized around the ESP principles for which risks have been identified; and

c) Request CAF to transmit the observations under item (b) to the Government of Peru.

(Decision B.28/16)

Fully-developed proposals: Proposals from Multilateral Implementing Entities (MIEs) - regular proposals

Lao People's Democratic Republic: Enhancing the climate and disaster resilience of the most vulnerable rural and emerging urban human settlements in Lao PDR (Fully-developed Project Document; United Nations Human Settlements Programme (UN-Habitat); LAO/MIE/DRR/2016/1; US\$ 4,500,000)

47. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board decided to:

a) Approve the project document, as supplemented by the clarification response provided by United Nations Human Settlements Programme (UN-Habitat) to the request made by the technical review;

b) Approve the funding of US\$ 4,500,000 for the implementation of the project, as requested by UN-Habitat; and

c) Request the secretariat to draft an agreement with UN-Habitat as the Multilateral Implementing Entity for the project.

(Decision B.28/17)

Paraguay: Ecosystem Based Approaches for Reducing the Vulnerability of Food Security to the Impacts of Climate Change in the Chaco region of Paraguay (Fully-developed Project Document; United Nations Environment Programme (UNEP); PRY/MIE/Food/2012/1; US\$ 7,128,450)

48. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

a) Not approve the project document as supplemented by the clarification response provided by the United Nations Environment Programme (UNEP) to the request made by the technical review;

- b) Suggest that UNEP reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
- (i) The proposal should substantiate the basic problem analysis and justification by strengthening the framework of the project document with a clear, achievable objective, defined outcomes and components that address the problem analysis. This should be done with a view to what can be achieved;
 - (ii) The results framework of the project would need to be further strengthened;
 - (iii) The proposal should provide more comprehensive information on baselines at the community level;
 - (iv) The proposal should clarify the institutional roles and contribution to the project, including coordination during and responsibilities after the project;
 - (v) The proposal should clarify what it would do to put incentives and disincentives in place;
 - (vi) The proposal should further strengthen the link between the training component and the rest of the project or the achievement of its objectives;
 - (vii) The proposal should further improve the design of the activity on weather monitoring; and
- c) Request UNEP to transmit the observations under item (b) to the Government of Paraguay.

(Decision B.28/18)

Review of proposals under the pilot programme for regional projects and programmes

Pre-concept proposals: Proposal from a Regional Implementing Entity (RIE)

Benin, Burkina Faso and Niger: Integration of Climate Change Mitigation and Adaptation Measures in the Concerted Management of the W Transboundary Parc: Adapt-W Project (Project Pre-concept; Sahara and Sahel Observatory (OSS); AFR/RIE/DRR/2016/1; US\$ 5,000,000)

49. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Endorse the project pre-concept, as supplemented by the clarification response provided by the Sahara and Sahel Observatory (OSS) to the request made by the technical review;
- b) Request the secretariat to transmit to OSS the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:

- (i) At the concept stage, the proposal should pay close attention to what is achievable, and should address the risk of allocating resources over too large a number of activities;
 - (ii) The proposal should strengthen the focus on concrete adaptation activities and the transboundary approach;
 - (iii) The proposal should further elaborate on the innovative solutions it plans to promote, and the consistence with national strategies and plans, as well as the project's sustainability;
 - (iv) At the concept stage, the proposal should further clarify which institutions will be involved in its management arrangements;
 - (v) At the concept stage, the proposal should clarify how it would integrate adaptation and mitigation as suggested by the title of the project;
- c) Request OSS to transmit the observations under item (b) to the Governments of Benin, Burkina Faso and Niger; and
 - d) Encourage the Governments of Benin, Burkina Faso and Niger to submit through OSS a project concept that would also address the observations under item (b) above.

(Decision B.28/19)

Pre-concept proposals: Proposal from a Multilateral Implementing Entity (MIE)

The Comoros, Madagascar, Malawi and Mozambique: Building Urban Climate Resilience in South-eastern Africa (Project Pre-concept; United Nations Human Settlements Programme (UN-Habitat); AFR/MIE/DRR/2016/1; US\$ 13,544,055)

50. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Endorse the project pre-concept, as supplemented by the clarification response provided by the United Nations Human Settlements Programme (UN-Habitat) to the request made by the technical review; and
- b) Encourage the Governments of the Comoros, Madagascar, Malawi and Mozambique to submit through UN-Habitat a project concept for the Board's consideration.

(Decision B.28/20)

Concept proposals: Proposals from Regional Implementing Entities (RIEs)

Benin, Burkina Faso, Ghana, Niger and Togo: Promoting Climate-Smart Agriculture in West Africa (Project Concept; *Banque Ouest Africaine de Développement* (BOAD; West African Development Bank); AFR/RIE/Food/2015/1; US\$ 14,000,000)

51. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Endorse the project concept, as supplemented by the clarification response provided by the *Banque Ouest Africaine de Développement* (BOAD) to the request made by the technical review;
- b) Request the secretariat to transmit to BOAD the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issue:
 - (i) At the fully-developed project document stage, the proponent should describe in more detail the risks, including environmental and social risks, and their related mitigation measure;
 - (ii) At the fully-developed project document stage the proposal should elaborate on the observation systems planned to be developed through the project, including the intended use of the data produced by those systems, the capacity to operate the systems, and the sustainability of the systems;
- c) Approve the Project Formulation Grant of US\$ 80,000; and
- d) Request BOAD to transmit the observations under item (b) to the Governments of Benin, Burkina Faso, Ghana, Niger and Togo.

(Decision B.28/21)

Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua and Panama: Productive Investment Initiative for Adaptation to Climate Change (Project Concept; Central American Bank for Economic Integration (CABEI); LAC/RIE/Inno/2016/1; US\$ 5,994,625)

52. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not endorse the project concept, as supplemented by the clarification response provided by Central American Bank for Economic Integration (CABEI) to the request made by the technical review;
- b) Suggest that CABEI reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) The proposal should describe the criteria that would be used to select both the Intermediary Financial Institutions (IFIs) and Micro, Small and Medium Enterprises (MSMEs) that would benefit from the project;
 - (ii) The proposal should address the question of potential conflict of interest due to the fact that CABEI will be implementing, executing, monitoring and evaluating its own work;
 - (iii) The proposal should address the criteria of full cost of adaptation reasoning;

- (iv) The proposal should identify any relevant technical standards that would apply to the project, and demonstrate compliance of the proposal with such standards;
 - (v) The proposal should provide further evidence of consultations with key stakeholders;
 - (vi) The proposal should demonstrate further the sustainability of the programme; and
- c) Request CABEL to transmit the observations under item (b) to the Governments of Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua and Panama.

(Decision B.28/22)

Concept proposals: Proposals from Multilateral Implementing Entities (MIEs)

Colombia and Ecuador: Building adaptive capacity through food security and nutrition actions in vulnerable Afro and indigenous communities in the Colombia-Ecuador border area (Project Concept; World Food Programme (WFP); LAC/MIE/Food/2015/1; US\$ 14,000,000)

53. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Endorse the project concept, as supplemented by the clarification response provided by the World Food Programme (WFP) to the request made by the technical review;
- b) Request the secretariat to transmit to WFP the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) During the development of the fully-developed project document, further consultation should be held with binational commissions to better identify their needs and added value to the project;
 - (ii) Although it is explained that climate information and traditional knowledge that will be gathered during the project will help shape the outputs under component 3, in the fully-developed proposal, activities described under that component should be more specifically linked with current climate threats identified for the region;
 - (iii) The fully-developed project document should include a description of the relevant projects or initiatives currently undertaken to address non-climatic drivers that could hamper the project's results;
 - (iv) The fully-developed project document should include a detailed screening of the environmental and social risks that may potentially arise as a consequence of the project and categorize the project accordingly, following the Environmental and Social Policy of the Fund and its related principles;
- c) Approve the Project Formulation Grant of US\$ 80,000;

- d) Request WFP to transmit the observations under item (b) to the Governments of Colombia and Ecuador; and
- e) Encourage the Governments of Colombia and Ecuador to submit through WFP a fully-developed project document that would also address the observations under item (b) above.

(Decision B.28/23)

Kyrgyzstan, Tajikistan and Uzbekistan: Reducing vulnerabilities of populations in Central Asia region from glacier lake outburst floods in a changing climate (Project Concept; United Nations Educational, Scientific and Cultural Organization (UNESCO); ASI/MIE/DRR/2015/1; US\$ 5,000,000)

54. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not endorse the project concept, as supplemented by the clarification response provided by the United Nations Educational, Scientific and Cultural Organization (UNESCO) to the request made by the technical review;
- b) Suggest that UNESCO reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) The proposal should better describe the characteristics of the project sites, and the gaps and bottlenecks that it would hope to address, how it would represent concrete adaptation, and how it would bring about economic, social and environmental benefits. This would also enable better screening of environmental and social risks;
 - (ii) The proposal should clarify the planned execution arrangements, including the use of European universities as preselected subcontractors;
 - (iii) The proposal should elaborate on the recent or on-going GLOF-related activities in the target countries;
 - (iv) The proposal should elaborate on the sustainability from the financial and personnel capacity perspective;
 - (v) Even for the concept-level proposal, community consultations should take place and inform the project design and risk consideration;
- c) Not approve the project formulation grant of US\$ 78,000; and
- d) Request UNESCO to transmit the observations under item (b) to the Governments of Kyrgyzstan, Tajikistan and Uzbekistan.

(Decision B.28/24)

Mauritius and Seychelles: Restoring marine ecosystem services by rehabilitating coral reefs to meet a changing climate future (Project Concept; United Nations Development Programme (UNDP); AFR/MIE/Food/2015/1; US\$ 4,900,000)

55. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Endorse the project concept, as supplemented by the clarification response provided by the United Nations Development Programme (UNDP) to the request made by the technical review;
- b) Request the secretariat to transmit to UNDP the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issue:
 - (i) The fully-developed project document should further expand on how the approach taken in Mauritius will be done in synergy with other conservation measures, such as the establishment of Marine Protected Areas, which are said to have more potential for contributing to natural reef recovery, provided that some active reef restoration is undertaken at the same time;
 - (ii) The fully-developed project document should include a better description of the business oriented approach proposed in the two countries, and particularly in Seychelles;
 - (iii) The fully-developed project document should ensure that, although rated as low, the risks identified during UNDP's Social and Environmental Safeguard Policy screening and requiring further assessment and management are reflected in the table and other sections provided in the Adaptation Fund proposal template;
- c) Approve the Project Formulation Grant of US\$ 80,000; and
- d) Encourage the Governments of Mauritius and Seychelles to submit through UNDP a fully-developed project document that would also address the observations under item (b) above.

(Decision B.28/25)

Fully-developed proposals: Proposal from a Regional Implementing Entity (RIE)

Chile and Ecuador: Reducing climate vulnerability in urban and semi urban areas in cities in Latin America (Fully-developed Project Document; Banco de Desarrollo de America Latina (CAF; Development Bank of Latin America); LAC/RIE/DRR/2015/1; US\$ 13,910,400)

56. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not approve the project document, as supplemented by the clarification response provided by the *Banco de Desarrollo de America Latina* (CAF) to the request made by the technical review;

- b) Suggest that CAF reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
- (i) The proposal should clarify why cities with relatively low vulnerability have been chosen as project sites, as opposed to other, more vulnerable cities;
 - (ii) The proposal should provide additional information related to the regional government investment to allow a meaningful side-by-side comparison of what that investment would cover and what the proposed project would cover, and how the two initiatives would work together; the proposal should also further clarify why a loan project component that originally included some of the activities now proposed for the Adaptation Fund project, was withdrawn;
 - (iii) The proposal should further elaborate how the regional approach can be fostered by various project activities;
 - (iv) The proposal should also elaborate on the activities and lessons or other results from ongoing or past initiatives, and on the avoidance of overlap with them;
 - (v) The proposal should elaborate on how representative the consultations have been of vulnerable groups, especially at the planned project site for which the consultation took place in another city;
 - (vi) The proposal should broaden the focus on environmental and social risks to cover also other activities than the ones aimed at developing hard infrastructure works, include an environmental and social management plan, and explain the grievance mechanism to be used;
 - (vii) The proposal should also elaborate the inter-institutional management arrangements in the project; and
- c) Request CAF to transmit the observations under item (b) to the Governments of Chile and Ecuador.

(Decision B.28/26)

Fully-developed proposals: Proposals from Multilateral Implementing Entities (MIEs)

Cambodia, the Lao People's Democratic Republic, Myanmar, Thailand and Viet Nam: Groundwater resources in Greater Mekong Sub-region: Collaborative management to increase resilience (Fully-developed Project Document; United Nations Educational, Scientific and Cultural Organization (UNESCO); ASI/MIE/Water/2015/1; US\$ 4,898,775)

57. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not approve the fully-developed project document, as supplemented by the clarification response provided by the United Nations Educational, Scientific and Cultural Organization (UNESCO) to the request made by the technical review;

- b) Suggest that UNESCO reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
- (i) The non-climatic factors driving groundwater scarcity in the sub-region, related to transboundary water management, including potential effects of large dams, should be further explained in the fully-developed project document;
 - (ii) The estimate number of beneficiaries of the project in the four pilot areas needs to be provided, and the economic benefits of the project should be explained. Also, the description of the vulnerable groups should clarify which groups are considered the most vulnerable according to each country circumstance;
 - (iii) The fully-developed project document should demonstrate a more comprehensive consultation of potential beneficiaries, including vulnerable groups and groundwater users;
 - (iv) The proposal should substantiate the project categorization for environmental and social risks as there may be potential risks involved in the examples of activities provided, such as targeted vulnerability reduction measures, groundwater supply quality improvement measures, and identification and protection of strategic groundwater reserves;
 - (v) The proposal should describe a mechanism to be put in place for screening environmental and social risks for areas and activities that are unidentified at the time of the proposal submission, and clearly define the roles and responsibilities for monitoring and mitigating the risks at national and regional levels; and
- c) Request UNESCO to transmit the observations under item (b) to the Governments of Cambodia, the Lao People's Democratic Republic, Myanmar, Thailand and Viet Nam.

(Decision B.28/27)

Ethiopia, Kenya and Uganda: Agricultural Climate Resilience Enhancement Initiative (ACREI) (Fully-developed Project Document; World Meteorological Organization (WMO); AFR/MIE/Food/2015/2; US\$ 6,800,000)

58. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not approve the fully-developed project document, as supplemented by the clarification response provided by the World Meteorological Organization (WMO) to the request made by the technical review;
- b) Suggest that WMO reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:

- (i) As it is not an accredited implementing entity of the Fund, please clarify whether the role of the Food and Agriculture Organisation (FAO) as an executing entity for the project is proposed to be combined with that of an implementing entity;
 - (ii) Please include at least one of the five Adaptation Fund core indicators as approved by Board Decision B23/19; and
- c) Request WMO to transmit the observations under item (b) to the Governments of Ethiopia, Kenya and Uganda.

(Decision B.28/28)

Burundi, Kenya, Rwanda, Tanzania and Uganda: Adapting to Climate Change in Lake Victoria Basin
(Fully-developed Project Document; United Nations Environment Programme (UNEP);
AFR/MIE/Water/2015/1; US\$ 5,000,000)

59. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Not approve the fully-developed project document, as supplemented by the clarification response provided by the United Nations Environment Programme (UNEP) to the request made by the technical review;
- b) Suggest that UNEP reformulate the proposal taking into account the observations in the review sheet annexed to the notification of the Board's decision, as well as the following issues:
 - (i) Taking stock of the results of the Vulnerability, Impacts and Adaptation Assessment (VIA) under preparation through the Policy, Adaptation Research and Economic Development (PREPARED) project, the proposal should provide more details to the description of outputs and activities of the project, especially in its components 3 and 4, including a description of target sites and communities;
 - (ii) The proposal should describe how non-climatic factors affecting the management of the Lake Victoria Basin are expected to be addressed through other initiatives, specifying how the said initiatives seek to address those factors and which factors they are trying to address;
 - (iii) The environmental and social risk identification should be improved to better demonstrate compliance with the principles of the Environmental and Social Policy, and the principles should be considered in the way specified in the Policy;
 - (iv) The proposal should better describe the process of selection and implementation of the small-scale projects and the specific roles the national teams and local government authorities will play in that process; and
 - (v) The proposal should provide a comprehensive risk identification and safeguarding framework that is required for projects with unidentified sub-projects, as well as an environmental and social management plan (ESMP); and

- c) Request UNEP to transmit the observations under item (b) to the Governments of Burundi, Kenya, Rwanda, Tanzania and Uganda.

(Decision B.28/29)

Other matters

Intersessional review of grants for projects under the Readiness Programme

60. The Chair of the PPRC introduced the first item under other matters and reminded the Board members that at the twenty-sixth meeting of the Board, the Board had decided that the PPRC could review readiness grant proposals intersessionally. He explained however, that this decision had been specific to those grant proposals that had been under review at the time, and that following the institutionalization of the Readiness Programme at the twenty seventh Board meeting, the Board was to expect to continue to receive readiness grant requests. He explained that in order to enable the secretariat to continue to screen such proposals and for the PPRC to continue to review them, the Board would need to make a decision that enabled continuation of such work on an on-going basis.

61. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Request the secretariat to continue to review readiness grant proposals annually, during an intersessional period of less than 24 weeks between two consecutive Board meetings;
- b) Notwithstanding the request in paragraph (a) above, recognize that any readiness grant proposal can be submitted to regular meetings of the Board;
- c) Request the PPRC to consider intersessionally the technical review of such readiness grant proposals as prepared by the secretariat and to make intersessional recommendations to the Board;
- d) Consider such intersessionally reviewed proposals for intersessional approval in accordance with the Rules of Procedure; and
- e) Request the secretariat to present, in the twentieth meeting of the PPRC, and annually following each intersessional review cycle, an analysis of the intersessional review cycle.

(Decision B.28/30)

Cancellation of the Readiness Project and Grant for Burundi

62. The chair of the PPRC explained that the NIE for Rwanda - the Ministry of Natural Resources had received a readiness grant to support NIE accreditation in Burundi, but that the grant had not yet been used. He explained that the Designated Authority (DA) for Burundi and MINIRENA had mutually agreed and requested the board to cancel the readiness grant.

63. Having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided to:

- a) Cancel the grant to support National Implementing Entity Accreditation in Burundi originally approved for implementation by the Board through decision B. 24-25/7;
- b) Request the secretariat to notify the Ministry of Natural Resources of Rwanda (MINIRENA) and the Government of Burundi of the cancellation of the readiness grant; and
- c) Request the secretariat to notify MINIRENA that the grant, including any net investment income earned therefrom, is to be returned to the Adaptation Fund Trust Fund, through the trustee. MINIRENA should first notify the secretariat of the amount to be returned, with copy to the trustee.

(Decision B.28/31)

Impact evaluation of completed projects

64. The Chair of the PPRC explained that the committee had discussed that the Fund had no process for the longer-term evaluation of completed projects. Once a project was closed the knowledge about the sustainability of the project, as well as the knowledge it could generate about adaptation, would be lost.

65. Having considered the comments and recommendation of the Project and Programme Review Committee (PPRC) and the discussion of the PPRC recommendation during the meeting, the Adaptation Fund Board decided to request the secretariat to propose, at the twentieth meeting of the PPRC, options for how post-implementation learning and impact evaluation could be arranged for Adaptation Fund projects and programmes, taking into account ongoing discussions on the evaluation function of the Adaptation Fund, as well as Phase II of the evaluation.

(Decision B.28/32)

Reconsideration of the funding of the full cost of adaptation reasoning

66. The Chair of the PPRC explained that during the discussion of a proposal that was submitted to its review, the committee had agreed that it would be necessary to make a recommendation to the Board to consider and clarify the implications of the full-cost of adaptation reasoning criteria applied by the Board.

67. Having considered the comments and recommendation of the Project and Programme Review Committee (PPRC), the Adaptation Fund Board decided to request the secretariat to prepare a proposal for consideration by the PPRC at its twentieth meeting clarifying the scope of application of the full cost of adaptation reasoning criteria.

(Decision B.28/33)

Agenda Item 7: Report of nineteenth meeting of the Ethics and Finance Committee

68. Ms. Tove Zetterström-Goldmann (Sweden, Annex I Parties), Chair of the EFC, presented the report of the EFC (AFB/EFC.19/13). The Board then approved the following decisions on the matters considered by the EFC at its nineteenth meeting.

a) *Annual performance report for the fiscal year 2016*

69. Having considered the comments and recommendation of the Ethics and Finance Committee (EFC), the Adaptation Fund Board decided to:

a) Approve the Adaptation Fund's annual performance report for the fiscal year 2016 as contained in document AFB/EFC.19/3; and

b) In light of paragraph 28 of document AFB/EFC.19/3, request the secretariat to prepare a proposal for consideration by the EFC at its twentieth meeting clarifying the scope of "material change" under Article 4.03 of the standard legal agreement between the Board and implementing entities (amended in October 2015).

(Decision B.28/34)

b) *Evaluation of the Fund*

70. Having considered the comments and recommendation of the Ethics and Finance Committee (EFC), the Adaptation Fund Board decided to:

a) Approve the terms of reference and request for proposals for Phase II of the overall evaluation, as developed by the evaluation task force and contained in Annex 4 to document AFB/EFC.19/4;

b) Approve Option 1, "Phase II implemented by an independent firm and overseen by an Independent Review Panel", as contained in document AFB/EFC.19/4;

c) Request the evaluation task force to propose, for consideration by the Board during the intersessional period, an independent review panel consisting of three members: (i) an evaluation specialist and (ii) an adaptation specialist, one of which would act as the team leader, and (iii) a representative from civil society, and request the secretariat to proceed accordingly with the necessary administrative arrangements;

d) Request the secretariat to launch the request for proposals to undertake Phase II of the overall evaluation of the Adaptation Fund; and

e) Request the secretariat to explore further collaboration with the Global Environment Facility Independent Evaluation Office (GEF-IEO) with respect to Phase II of the evaluation.

(Decision B.28/35)

71. Having considered the comments and recommendation of the Ethics and Finance Committee (EFC), the Adaptation Fund Board decided to request the secretariat to present further information on Option 1, "Through the GEF Independent Evaluation Office (GEF-IEO)" and Option 2, "Through a Technical Evaluation Reference Group (TERG)" as set out in document AFB/EFC.19/5, including cost implications, for consideration by the EFC at its twentieth meeting.

(Decision B.28/36)

c) *Knowledge management strategy*

72. After the Board had heard the introduction by the Chair of the EFC on the matter of knowledge management strategy, one member suggested that as the Fund was one of the funds with the largest portfolio of concrete adaptation projects under implementation, the strategy should also include collecting knowledge on the substance of climate change adaptation.

73. Having considered the comments and recommendation of the Ethics and Finance Committee (EFC), the Adaptation Fund Board decided to:

- (a) Approve the updated knowledge management strategy and action plan, as orally amended, contained in annex V to the current meeting; and
- (b) Request the secretariat to implement the strategy and the action plan and to report to the Board on an annual basis.

(Decision B.28/37)

d) *Effectiveness and efficiency of the accreditation process*

74. Having considered document AFB/EFC.19/7 as well as the comments and recommendation of the Ethics and Finance Committee (EFC), the Adaptation Fund Board decided to:

- a) Fast-track the re-accreditation of implementing entities accredited with the Green Climate Fund (GCF) within a period of four years prior to the submission of the re-accreditation application to the Adaptation Fund as described in document AFB/EFC 19/7; and
- b) Request the secretariat to communicate that decision to the GCF secretariat.

(Decision B.28/38)

e) *Gender policy and action plan*

75. Having considered the comments and recommendation of the Ethics and Finance Committee (EFC), the Adaptation Fund Board decided to approve the amendments to Annex 5 to the operational policies and guidelines for Parties to access resources from the Adaptation Fund, as contained in document AFB/EFC.19/8/Add.1.

(Decision B.28/39)

f) *Complaint handling mechanism*

76. Having considered the comments and recommendation of the Ethics and Finance Committee (EFC), the Adaptation Fund Board decided to:

- (a) Approve the Ad Hoc Complaint Handling Mechanism (ACHM) contained in annex IV to the report of the current meeting; and

(b) Request the secretariat to communicate that decision to the implementing entities and designated authorities and to disseminate it through the Adaptation Fund website and the Adaptation Fund NGO Network.

(Decision B.28/40)

g) *Implementation of the code of conduct*

77. Having considered the comments and recommendation of the Ethics and Finance Committee (EFC), the Adaptation Fund Board decided to address the item relating to the code of conduct as the last substantive item on its agenda at every Board meeting.

(Decision B.28/41)

h) *Financial issues*

Investment income

78. Having considered the comments and recommendation of the Ethics and Finance Committee (EFC), the Adaptation Fund Board decided to:

a) Launch a survey of all implementing entities asking them to report their yearly investment income for the Adaptation Fund fiscal years 2014, 2015 and 2016, if available, to the secretariat by February 2017; and

b) In consultation with the trustee, present a recommendation to the twentieth meeting of the EFC on an approach to deal with investment income generated by implementing entities on amounts held in respect of project grants, based on the survey results.

(Decision B.28/42)

i) *Other matters*

Requests from National Implementing Entities to increase the country cap

79. The Chair of the EFC explained that three NIEs had sent written requests to the Chair of the Board asking that the cap be increased to allow countries that had already have received funding from the Adaptation Fund near or at the US\$ 10 million limit to submit additional project/programme proposals.

80. Having considered the comments and recommendation of the Ethics and Finance Committee, the Adaptation Fund Board (the Board) decided to:

a) Address the issue of increasing the country cap in any discussion on the medium-term strategy as referred to in decision B.27/39; and

b) Request the Chair of the Board to respond to the letters received from National Implementing Entities regarding an increase in the country cap, referring to decision B.27/39 and the current Board decision.

(Decision B.28/43)

Agenda Item 8: Resource mobilization strategy

81. The Board considered the resource mobilization strategy (AFB/B.28/8 and AFB/B.28/8/Add.1) and at the invitation of the Vice-Chair heard a report on the Resource Mobilization Strategy by the coordinators of the Resource Mobilization Task Force, Ms. Fatuma Mohamed Hussein (Kenya, Non-Annex I Parties) and Mr. Antonio Navarra (Italy, Western European and Others Group).

82. Ms. Hussein said that the task force had worked with the secretariat during the intersessional period to update the strategy in light of the Paris Agreement. Various financing scenarios had been analysed including the need to approach donor countries and the need to look for alternative sources of revenue. The fundraising target had remained US\$ 80 million per year for the present biennium, but would rise to US\$ 100 million for the upcoming years.

83. Mr. Navarra said that the process had shown that the private donor market was not a viable option for the Fund and that it would be restricted to support from institutional or governmental donors.

84. The representative of the secretariat reminded the Board that the funding target was a minimum threshold and stressed that it was important to be consistent when recording amounts being sought in the communications materials. While governments would continue to be the main source of funding it was still useful to maintain contact with other sources of finance in order to identify other fundraising options. The Fund had already received donations from some regional governments, such as those of Belgium and the Green Climate Fund could potentially also become a source of funding. Approaching independent foundations and market sources would take up a very large part of the secretariat's budget. It was also a risky investment as there were no guarantees that it would produce any revenue. While such an approach might be suitable for other organizations, the Board, being an intergovernmental body, would not be able to justify that.

85. Having considered documents AFB/B.28/8 and AFB/B.28/8/Add.1, the Adaptation Fund Board (the Board) decided to:

- a) Approve the updated resource mobilization strategy; and
- b) Request the secretariat to develop:
 - (i) A resource mobilization action plan based on the updated strategy, taking into account the decisions made by the Board regarding the options for a framework for a medium-term strategy, for consideration by the Board at its twenty-ninth meeting; and
 - (ii) Communications materials based on the updated strategy.

(Decision B.28/44)

Agenda Item 9: Report of the portfolio monitoring mission to Mongolia

86. In accordance with the Fund's knowledge management strategy, which called for the secretariat to visit projects and programmes under implementation to collect and analyse the lessons learned through its portfolio, representatives of the secretariat had conducted a portfolio monitoring mission to Mongolia during the intersessional period, accompanied by a Board member. The

representatives of the secretariat presented the report of the mission as contained in document AFB/B.28/5 and reported to the Board on the main findings and lessons learned from the mission.

87. Following the presentation, the Board member who was part of the mission highlighted a number of points. While the mission had revealed that the Fund's processes were efficient and not excessively demanding in terms of administration, there remained room for improvement, and she suggested that the EFC might review the reporting indicators to see whether some could be streamlined. It was also clear that the programme was important for Mongolia: it was one of the country's first adaptation experiences, and lessons learned were being scaled up into policies. She had seen evidence of good complementarity and cooperation between the adaptation activities of the Fund and initiatives funded by donors that focused on other issues of the country, such as grazing. It was also striking to see the drivers of vulnerability, the main driver for environmental degradation in Mongolia being the use of a natural resource, grass, which was under pressure due to the way livestock was managed. That, she said, showed that adaptation measures and sustainable resource management went hand in hand, and more broadly that the Sustainable Development Goals and climate change goals also had to be tackled together. Finally, with the first projects completed or nearing completion, she urged the Fund to seize opportunities for learning by following up on post-implementation impact assessments and lessons learned.

88. The representatives of the secretariat then responded to a number of questions and comments from members. In particular, with respect to the monitoring and evaluation aspects of the Fund and the project, they stressed that current feedback was based on only three Fund-supported projects completed to date, and that a more holistic view of the impact of the projects and programmes and the monitoring and evaluation aspects of the Fund would be gained from Phase II of the evaluation of the Fund, which was a portfolio evaluation. They also noted that another two portfolio monitoring missions were planned and were included in the budget for the current fiscal year.

89. The Adaptation Fund Board took note of the report of the portfolio monitoring mission to Mongolia.

Agenda Item 10: Report of the readiness programme

90. The representative of the secretariat introduced the report of the readiness programme as contained in Annex I of the report on the activities of the secretariat (AFB/B.28/3) and summarized the activities that had taken place during the intersessional period, including most recently, the climate finance readiness workshop held in Rabat, Morocco from 6-8 September 2016. During the reporting period the Fund had gained new partners and strengthened old partnerships and through those partnerships the Fund had been able to leverage US\$ 200,000 in co-financing for readiness events.

91. In response to queries about shortening the time between approval of accreditation and the preparation of proposals by NIEs, and also cooperation with the GCF, the representative of the secretariat said that there were plans to work together with the GCF on readiness events. The secretariat had also reminded the NIEs that when seeking accreditation they should also start considering the projects that they wished to put forward and how those projects would align with their national priorities. When planning readiness activities the secretariat had consulted with participants to identify knowledge gaps to be addressed and had adjusted agendas and focus of the activities accordingly.

92. Satisfaction was expressed at the activities that had been held during the intersessional period and the meeting was informed that the League of Arab States had commented favourably on the workshop that had been held in Rabat.

93. The Adaptation Fund Board took note of the report of the readiness programme contained in Annex I of document AFG/B.28/3

Agenda Item 11: Issues remaining from the twenty-seventh meeting

a) *Strategic discussion on objectives and further steps of the Fund. Potential linkages between the Fund and the Green Climate Fund*

94. The representative of the secretariat introduced the report on linkages between the Fund and the GCF (AFB/B.28/6) and reviewed the activities that had taken place during the intersessional period.

95. At the request of the Vice-Chair, Mr. Ousseynou Nakoulima, representing the GCF, spoke on the efforts conducted at the institutional level between the two Boards and their secretariats, as well as the efforts undertaken at the operational level to enhance complementarity and coherence between the GCF and other funds. He also said that there had been contact between the co-chairs of the GCF and Fund, and those exchanges had reaffirmed the need to enhance the joint work of the two Funds. The GCF was initiating an annual dialogue on complementarity and coherence on 12 December 2016, which would be an opportunity to seek concrete ways to support linkages at the institutional level. Discussions had taken place regarding joint activities to further link the two institutions. He also mentioned that the GCF could learn lessons from the knowledge management of the Adaptation Fund, and that before that could happen, the GCF had to develop its own knowledge management strategy. He reminded the Board that joint work and complementarity between the two Funds were not new: The GCF had built its accreditation framework and standards based upon those of the Adaptation Fund, which was the reason that the GCF had been able to establish its fast-track process. The fact that the GCF had already accredited 32 entities was mainly thanks to that fast-track process of accrediting many NIEs and RIEs of the Adaptation Fund: among 13 national or regional entities accredited with the GCF, nine were previously accredited to the Adaptation Fund and fast-track accredited with the GCF.

96. In responses to queries about the partnership between the GCF and the Adaptation Fund, Mr. Nakoulima said that there were many ways to establish linkages between the two Funds. He gave three examples. First, the GCF Board had recently decided that developing countries could apply for up to US\$ 3 million to support their national adaptation planning processes through the readiness programme of the GCF. That support would be delivered either through accredited partners or delivery partners that complied with fiduciary management capacity requirements. Second, accreditation was one form of partnership, a formal link with a partner that would either supervise or implement projects of behalf of the GCF. The GCF looked at two issues in accreditation: whether the partner met the required technical and fiduciary standards, environmental and social safeguards and the gender policy of the GCF, and why the partner was seeking a relationship with the GCF. He explained that the fit-for-purpose classification was a key concept of the accreditation system. The requirements had been categorized into a number of types that allowed different categories of entities to be accredited in ways that tailored the requirement to the types of activities that the entity wanted to undertake. Third example was enhanced direct access which provided resources to entities accredited to the GCF in order for them to fund small activities that were community-led or were at the local level; most of the direct access entities were interested in that

programme. Most of those activities would be for adaptation; adaptation was important for the GCF, especially small scale activities, and consequently it would be necessary to establish relations with institutions with requisite experience.

97. The Board members touched upon different aspects related to the potential linkages between the two Funds: the need to maintain momentum in investigating a suitable arrangement; the process to be followed; and the question on whether the GCF had all the necessary policies in place. The Board recognized the importance of taking concrete steps of linkages with the GCF and urged the secretariat to update the technical analysis on possible ways to access funding from the GCF including the legal feasibility of a partnership with the GCF. This analysis was requested to be presented at the twenty-ninth meeting of the Board. It was suggested that it might therefore be useful to pursue a two-track approach: The Chair, the Vice-Chair and the secretariat could continue their dialogue with their GCF counterparts, while at the same time investigating the legal issues surrounding linkages with the GCF.

98. Having considered document AFB/B.28/6 and the update provided by the secretariat, the Adaptation Fund Board (the Board) decided to:

- a) Based on decision B.27/37 and GCF Board decision B.13/12, request its representatives to be nominated by the Chair and the Vice-Chair, assisted by the secretariat, to attend an annual dialogue to be initiated by the Green Climate Fund (GCF) at the fifteenth meeting of the GCF Board in order to enhance complementarity;
- b) Request the secretariat to:
 - (i) Continue discussing, with the GCF secretariat, concrete activities in the areas of complementarity and coherence identified by the Board in decision B.25/26; and
 - (ii) In consultation with the trustee, as appropriate, update document AFB/B.26/5, containing further legal, operational and financial analysis on the implications of various linkages with the GCF, for consideration by the Board at its twenty-ninth meeting;
- c) Request the Chair and Vice-Chair to continue consultations with the co-chairs of the GCF on potential linkages between the Adaptation Fund and the GCF; and
- d) Request the Chair and the secretariat to report to the Board at its twenty-ninth meeting on the progress made related to sub-paragraphs a), b) and c).

(Decision B.28/45)

b) Medium-term strategy for the Fund

99. The representative of the secretariat presented document AFB/B.28/7. He explained that the document stemmed from the discussion at the twenty-seventh meeting of the Board, where the Board had considered the issue of the country cap and decided to keep it at its current level, but had requested the secretariat to prepare options for a framework for a medium-term strategy for the Fund (decision B.27/39). He then outlined the outcomes of the work done in that regard.

100. The secretariat had retained the services of an external consultant to carry out the work under the supervision of and in consultation with the secretariat. He joined the meeting by telephone, and the meeting went into a closed session to permit consideration of confidential document AFB/B.28/7/Add.1 and more in-depth discussion on the matter.

101. Having considered document AFB/B.28/7 and the confidential addendum AFB/B.28/7/Add.1, the Adaptation Fund Board (the Board) decided:

- a) To establish a task force to guide the work of the secretariat on the medium-term strategy for the Fund, composed of three members from Annex I countries and three members from non-Annex I countries to be elected intersessionally;
- b) To request the secretariat to:
 - (i) Arrange, if possible, a meeting of the task force, in the sidelines of the twenty-second session of the Conference of the Parties of the United Nations Framework Convention on Climate Change;
 - (ii) Prepare, under the supervision of the task force mentioned in sub-paragraph (a), elements including options for a medium-term strategy for the Fund, to be considered by the Board at its twenty-ninth meeting, with a view to developing the final strategy by the thirtieth meeting; and
- c) That the medium-term strategy would be developed according to the following options for the framework described in document AFB/B.28/7:
 - (i) Conceptual model: Option 2: Strategy as dynamic;
 - (ii) Structure: Option 1: Strategic choices approach;
 - (iii) Design process: a combination of Options 1 and 2, so that at the initial stage, the first formulation of the strategy would be done engaging a focused group of stakeholders and decision-makers (Option 1) and that at the second stage, a more comprehensive process (Option 2) would be applied.

(Decision B.28/46)

c) *Pending recommendations arising out of the first phase of the overall evaluation*

102. Introducing the item, the Vice-Chair noted that most of the recommendations arising out of Phase I of the overall evaluation were being addressed by the Board committees, the Accreditation Panel or the secretariat, but that some could only be taken up at the Board level. As the Board had decided to discuss those pending recommendations at the current meeting on the recommendation of the EFC (decision B.27/35), he invited the chair of the EFC to guide the discussion on the matter.

103. The EFC Chair explained that the goal was to come up with a way to keep track of progress on addressing the outstanding issues raised in Phase I of the evaluation. One outstanding issue, for instance, was the delegation of more authority to the secretariat, such as the approval of tranches for approved projects and programmes. She proposed that as a first step, the secretariat, in dialogue with the Chairs of the EFC and PPRC, could identify the issues that required follow-up and ensure

that they were included on the appropriate agendas for the next meetings. A short discussion on the matter ensued.

104. The Adaptation Fund Board (the Board) decided to:

- a) Delegate to the secretariat its authority to approve technical review and clearance of the Project Performance Reports (PPRs) prior to authorisation by the Chair of the cash transfer of funding tranches and request the secretariat to notify the Board accordingly; and
- b) Request the secretariat, in consultation with the Chairs of the Board advisory bodies, to prepare a document that outlines pending recommendations arising out of the first phase of evaluation of the Fund, as presented in the management response approved by the Board (decision B.26-27/26) for consideration by the Board and its advisory bodies, as appropriate, at their next meetings.

(Decision B.28/47)

Agenda Item 12: Communications and outreach

105. The representative of the secretariat reported on developments in the communication strategy, which sought to raise awareness about the Fund by telling engaging stories about the activities and effective projects supported by the Fund. During the intersessional period the secretariat had issued eighteen news releases, had developed three project stories and had prepared a variety of short videos. It had also launched, in conjunction with Earth Day and the signing of the Paris Agreement, a photo contest on adapting coasts and watersheds which had received almost 130 submissions, many of which came from projects funded by the Fund. They enabled the Fund to spread the word about its projects effectively through social media during the campaign. The photos were displayed at the Fund's readiness workshop in Washington, DC in July, and would be displayed at COP 22 as part of the Fund's multimedia exhibit. An article was also being prepared for the 10th anniversary of the Fund to highlight its accomplishments.

106. During the intersessional period there had been an 18 per cent increase in visits to the Adaptation Fund's Website and unique visitors were on average 37 per cent higher than in the previous year. Twitter had eclipsed the 6,000 follower mark (an increase of 2,000 in just a year) with more targeted and frequent postings, postings on Facebook were more frequent and engaging, the photo albums had been updated and expanded on Flickr and LinkedIn was now being used to reach climate leaders. An online press release tool was also being used to distribute the Fund's materials, which had enabled the Fund to increase its email list.

107. The Fund would again set up a one-stop micro-site for COP 22 on its website that would be updated with details of the Fund's activities during COP 22, the Fund's activities in Morocco and the Fund's fundraising goals. There would also be a side-event on family and community agriculture, a second francophone side event and a dialogue with contributors, as well as a multimedia exhibit event with striking photos from projects and new videos. This would enable the Fund to comply with UNFCCC's request for a paperless COP, and build on receiving a Green Award for its digital exhibit at COP21 in 2015.

108. In response to a query about the budget for communications, the representative of the secretariat said that four per cent of the secretariat's budget was spend on communications. He also said that the NIEs were a good third party resource when spreading the message of the Fund.

109. It was observed that several stories in the media had been about difficulties that some projects had run into and it was suggested that the NIEs, in conjunction with other stakeholders, should be encouraged to communicate their successes as well. The representative of the secretariat said that two major videos were being developed to be shown during COP22 to highlight effective and innovative Fund projects, including the project in Morocco. One video was focused on the Fund's gender work and would coincide with UNFCCC's Gender Day. The secretariat would undertake outreach activities to multiply showings of these videos at COP22, both at the booth exhibit and through discussion panels and social media. It was pointed out that it had to make clear in the videos that the Fund's projects were not simply regular development projects and that gender issues was not simply related to women. The representative pointed out that the gender video highlighted projects that incorporated all the elements of the Fund's gender policy giving equal opportunities to women and men. Flyers that showed the Fund would serve the Paris Agreement and would remain relevant in the post 2020 period would be created for COP 22 as well. It was also pointed out that many countries had benefitted from the Fund and that it would be useful if they could inform the secretariat of their planned communication activities for COP 22. It would also be useful to establish links with the *Institut de la Francophonie pour le développement durable*. The secretariat pointed out that during COP21 many useful partnerships were formed on social media and through media outreach to multiply the Fund's key messages, and similar activities would be undertaken during COP22. The secretariat also planned to issue regular updates and press releases on the Fund's work, effective projects and programs, fundraising efforts, and progress toward COP22 goals during COP22 to share on its website and digital channels.

110. The Adaptation Fund Board took note of the presentation by the secretariat.

Agenda Item 13: Financial issues

a) Financial status of the Trust Fund and CER monetization

111. At the invitation of the Chair, the representative of the trustee reported on the trustee's activities since the last meeting, including the World Bank Group's recent issuance of the Single Audit of trust funds, and the preparation of the audited financial statements of the Adaptation Fund Trust Fund for fiscal year 2016, which would be ready shortly.

112. He also provided an update on the financial status of the Adaptation Fund Trust Fund and monetization of certified emission reductions (CERs). Since the Fund's inception, total revenue had amounted to US\$ 546.9 million, including US\$ 196.6 million from CER sales, US\$ 344.8 million from donations, and US\$ 5.6 million in investment income generated by the trustee. Funds available for new project and programme approvals had decreased slightly since the previous meeting, to US\$ 168.6 million at the end of June. He reported that opportunistic sales of CERs continued at a modest pace, notwithstanding continued oversupply in the markets and very weak demand from buyers.

113. He also reported on a donation agreement signed with the Walloon Region and the amendment of the agreement with the United Nations Foundation in respect of private donations via the Adaptation Fund website to extend its validity. He said that the trustee would continue to take advantage of opportunities to sell CERs at premium prices through specific over-the-counter sales in fiscal year 2017, and finally to undertake any necessary follow-up pending a decision by the Conference of the Parties Serving as the Meeting of Parties to the Kyoto Protocol (CMP) on the Adaptation Fund Board's recommendation to extend the trustee's mandate upon expiry in May 2017.

114. The Adaptation Fund Board took note of the trustee's report (document AFB/EFC.19/11).

b) *Status of the project/programme pipeline*

115. In light of the report of the PPRC under agenda item 6 the Board deferred consideration of the status of the project/programme pipeline until its twenty-ninth meeting.

Agenda Item 14: Dialogue with civil society organisations

116. The report of dialogue with civil society is contained in **Annex III** to the present report.

Agenda Item 15: Election of officers for the next period of office

117. The Adaptation Fund Board decided:

- a) To elect:
 - (i) Mr. Michael Jan Hendrik Kracht (Germany, Annex I Parties) as the Chair of the Board;
 - (ii) Ms. Fatuma Mohamed Hussein (Kenya, Non-Annex I Parties) as Chair of the Accreditation Panel;
 - (iii) Ms. Yuka Greiler (Western European and Others Group) as Vice-Chair of the Accreditation Panel; and
- b) To elect the remaining officers intersessionally.

(Decision B.28/48)

Agenda Item 16: Date and venue of meetings in 2017

118. At the invitation of the Chair, the Manager of the secretariat recalled that at its twenty-seventh meeting, the Board had decided to hold:

- a) Its twenty-ninth meeting from 14 to 17 March 2017 in Bonn, Germany; and
- b) Its thirtieth meeting from 10 to 13 October 2017 in Bonn, Germany.

Agenda Item 17: Other matters

a) *Dialogue with the Executive Secretary of UNFCCC, Ms. Patricia Espinosa*

119. The Chair invited Ms. Patricia Espinosa, Executive Secretary of the United Nations Framework Convention on Climate Change (UNFCCC), to address the Board. Ms. Espinosa spoke about the challenges and opportunities of adaptation financing and the steps leading to COP 22 in Marrakech.

120. With respect to the challenges and opportunities of adaptation financing, she first outlined the broader context of financing adaptation. The world was in a phase of expanding adaptation to make it an integral part of all development efforts, and of addressing the more transformative changes that were needed to deal with climate change. The Adaptation Fund had made a significant contribution

to implementing concrete adaptation activities to reduce vulnerability, as well as to helping communities and governments learn which tools, technologies and policies could help them reduce their vulnerability. She encouraged the Fund to continue communicating its experience in order to build on that experience and contribute to the negotiation process, which sometimes suffered from a lack of knowledge about what was already being done.

121. The direct access pioneered by the Fund, which was fundamental to giving developing countries the tools to chart their own sustainable development path, was particularly important. She had taken note of the insights that the Fund secretariat had shared in a presentation during the Durban Forum on Capacity-building at the forty-fourth sessions of the subsidiary bodies held in Bonn in May 2016, particularly regarding some of the barriers faced by national institutions when accessing and managing resources. Those, too, were important to communicate as part of the ongoing discussion on building capacity to access financial resources.

122. In terms of the expectations for Marrakech and the opportunities for the Adaptation Fund, she recalled that the agenda for COP 22 covered the issue of how the Fund might serve the Paris Agreement, and urged the secretariat and the Board members to stand ready to support any requests for information or clarification during the discussion on the matter.

123. Speaking about the future of the Adaptation Fund and its resources, she said it was important to bear in mind that the scale of the problem was such that everybody had to take part in, build more partnerships and further increase cooperation. The Fund's insights into mobilizing efforts to respond to the needs of developing countries were an important asset, as was its experience in innovative financing and the policies and programmes that enabled the Fund to run smoothly. Adaptation funding was expected to garner more political attention in Marrakech, and was an important priority for the incoming Moroccan presidency. The in-session workshop on long-term climate finance during the subsidiary body meetings in May had shown that access to adaptation finance remained a challenge, particularly for small island developing states and least developed countries, and the second biennial high-level ministerial dialogue on climate finance in Marrakech would tackle the issues of scaling up adaptation finance, needs for support to developing countries, and cooperation on enhancing enabling environments and support for readiness activities. Ministerial attention would therefore be focused on enhancing the effectiveness of adaptation financing and on the broader partnership needed to achieve that. In that regard, the fragmentation of available support due to multiple funding sources was a challenge that must be addressed to achieve effective, streamlined access to funding.

124. She closed her remarks by thanking the outgoing Manager of the secretariat for playing a key role in getting the Fund up and running smoothly.

125. Ms. Espinosa subsequently responded to some of the questions and comments from members, several of which centred on the Fund's future and its relationship with the GCF, particularly in the context of streamlining access to adaptation funding. While she was new to her position and still had much to learn, she said, it was clear that adaptation financing was the subject of much discussion and a critical issue for COP 22, which was to focus on action and implementation. There were many instruments and entities trying to finance climate change action, resulting in a complex picture that was difficult for ordinary people to understand. The kind of action and policy efforts required to fight climate change and how to mobilize and raise funds for such action remained a challenge to both understand and communicate. Consequently, a more streamlined structure was needed, and would be best achieved by strengthening the entities working in climate finance by building relationships among them. On the other hand, the Paris Agreement would soon come into

force, and the institutional architecture would have to be adapted to it. She closed by saying that adaptation needs were evident and enormous, and that she and her team stood ready to support the Fund.

126. One member asked the Executive Secretary whether it would be possible for a representative of the Fund to participate in the second biennial ministerial high-level dialogue on climate finance to take place at COP 22.

127. Another member asked whether a new United Nations Secretary General with a new agenda might not shift the focus away from climate change. Ms. Espinosa responded that while the signature and ratification of the Paris Agreement in record time had given the issue significant credibility, there were a number of elections around the world that could lead to change, and societies and people had to continue to push for work on climate change. Nevertheless, the climate change agenda had considerable strength, as it was central to managing large threats like hunger, devastation, and displacement of people, and therefore to peoples' everyday lives.

128. At Ms. Espinosa's request, Ms. Dechen Tsering, Coordinator, Finance, Technology and Capacity-building for the UNFCCC Secretariat, addressed a request for clarification regarding which item on the COP 22 agenda related to how the Fund might serve the Paris Agreement. At its twenty-second session, she said, the COP was expected to request the Ad Hoc Working Group on the Paris Agreement (APA) to undertake the necessary preparatory work on the issue. That step was provided for under organizational matters on the COP 22 agenda. She went on to describe possible scenarios for how the APA would in turn take up the issue, but said that in any event, the APA co-chairs would decide on how to proceed on the basis of the interventions made by parties during the discussion on the matter.

129. Following Mr. Tsering's presentation, Ms. Espinosa stressed the importance of active participation by countries at various times during the relevant COP and CMP sessions to ensure that the issue was addressed procedurally and to make specific proposals on how to deal with it in the organization of work. The APA was, however, the body where more substantive discussion would take place, ideally supported by country presentations on why the Fund's involvement was important. All the Board members were therefore encouraged to contact their delegations to ensure active participation in the discussion.

130. The Chair thanked Ms. Espinosa for her contribution to the meeting.

b) Recruitment process for the new Manager of the secretariat

131. The Chair informed the members that he and the Vice-Chair had sent a letter to the Head of the secretariat, Ms. Naoko Ishii, in relation to the recruitment of a new Manager of the secretariat, and had subsequently discussed the terms of reference with her. A vacancy announcement had been posted on 28 September with a 12 October 2016 closing date. The Chair and Vice-Chair would now be involved in the short-listing process and would participate in the interview panel in person, and were currently in discussions with Ms. Ishii regarding the best dates for interviewing candidates.

132. The Adaptation Fund Board took note of the Chair's report on the recruitment process.

Agenda Item 18: Adoption of the report

133. The present report was adopted intersessionally by the Board following its twenty-eighth meeting.

Agenda Item 19: Closure of the meeting

134. The Chair declared the meeting closed at 5:50 p.m. on Friday, 7 October 2016.

ANNEX I

ATTENDANCE AT THE TWENTY-EIGHTH MEETING OF THE ADAPTATION FUND BOARD

MEMBERS		
Name	Country	Constituency
Mr. Yerima Peter Tarfa	Nigeria	Africa
Mr. David Kaluba	Zambia	Africa
Mr. Emilio L. Sempris Ceballos	Panama	Latin America and the Caribbean
Mr. Lucas Di Pietro Paolo	Argentina	Latin America and the Caribbean
Mr. Ahmed Waheed	Maldives	Asia-Pacific
Ms. Monika Antosik	Poland	Eastern Europe
Mr. Aram Ter-Zakaryan	Armenia	Eastern Europe
Mr. Antonio Navarra	Italy	Western European and Others Group
Mr. Hans Olav Ibrek	Norway	Western European and Others Group
Mr. Michael Jan Hendrik Kracht	Germany	Annex I Parties
Ms. Tove Zetterström-Goldmann	Sweden	Annex I Parties
Ms. Fatuma Mohamed Hussein	Kenya	Non-Annex I Parties
Ms. Patience Dampety	Ghana	Non-Annex I Parties
Mr. Naresh Sharma	Nepal	Least Developed Countries
Mr. Paul Elreen Phillip	Grenada	Small Island Developing States

ALTERNATES		
Name	Country	Constituency
Mr. Petrus Muteyauli	Namibia	Africa
Mr. Albara E. Tawfiq	Saudi Arabia	Asia-Pacific
Ms. Ardiana Sokoli	Albania	Eastern Europe
Ms. Umayra Taghiyeva	Azerbaijan	Eastern Europe
Ms. Irina Helena Pineda Aguilar	Honduras	Latin America and the Caribbean
Mr. Marc-Antoine Martin	France	Western European and Others Group
Ms. Yuka Greiler	Switzerland	Western European and Others Group
Mr. Markku Kanninen	Finland	Annex I Parties
Ms. Aida Velasco Munguira	Spain	Annex I Parties
Ms. Margarita Caso Chavez	Mexico	Non-Annex I Parties
Mr. Chebet Maikut	Uganda	Least Developed Countries

ANNEX II

ADOPTED AGENDA OF THE TWENTY-EIGHTH MEETING OF THE ADAPTATION FUND BOARD

1. Opening of the meeting.
2. Organizational matters:
 - a) Adoption of the agenda;
 - b) Organization of work.
3. Report on activities of the Chair.
4. Report on activities of the secretariat.
5. Report of the Accreditation Panel.
6. Report of the nineteenth meeting of the Project and Programme Review Committee (PPRC) on:
 - a) Funding for proposals under the pilot programme for regional activities;
 - b) Overview of project/programme proposals received for consideration;
 - c) Issues identified during project/programme review;
 - d) Project/programme proposals;
 - e) Further study on the adaptation reasoning.
7. Report of the nineteenth meeting of the Ethics and Finance Committee (EFC) on:
 - a) Annual performance report for the fiscal year 2016
 - b) Evaluation of the Fund;
 - c) Knowledge management strategy
 - d) Effectiveness and efficiency of the accreditation process;
 - e) Gender policy and action plan;
 - f) Complaint handling mechanism;
 - g) Implementation of the code of conduct;
 - h) Financial issues.
8. Resource mobilization strategy.

9. Report of the portfolio monitoring mission to Mongolia.
10. Report of the readiness programme.
11. Issues remaining from the twenty-seventh meeting:
 - a) Strategic discussion on objectives and further steps of the Fund. Potential linkages between the Fund and the Green Climate Fund;
 - b) Medium-term strategy for the Fund;
 - c) Pending recommendations arising out of the first phase of the overall evaluation.
12. Communications and outreach.
13. Financial issues:
 - (a) Financial status of the trust fund and CER monetization;
 - (b) Status of the project/programme pipeline.
14. Dialogue with civil society organizations.
15. Election of officers for the next period of office.
16. Date and venue of meetings in 2017 and onwards.
17. Other matters.
18. Adoption of the report.
19. Closure of the meeting.

ANNEX III**DIALOGUE WITH CIVIL SOCIETY, 6 OCTOBER 2016, BONN, GERMANY**

1. The Vice-Chair of the Adaptation Fund Board, Mr. Michael Jan Hendrik Kracht (Germany, Annex I Parties), invited the Board to enter into a dialogue with civil society. The dialogue opened with a tribute to Mr. Alpha Kaloga (Germanwatch) who had recently returned to Conakry, Guinea after many years coordinating Adaptation Fund NGO network.
2. Ms. Lisa Junghans (Germanwatch) provided an update on the monitoring and evaluation tool that had previously been presented to the Board. She explained that at the project design phase it assessed, *inter alia*, how transparent and participatory the process had been; at the project implementation phase it assessed how responsive the process was to local feedback and local concerns, as well as the project's financial accountability and transparency; and at the recent project activities stage it assessed and reported on the planned activities in the project by looking at what had, or had not taken place. The final score was then sent to the implementing entities for their comments after which a summary was posted on the Adaptation Fund NGO-Network website.
3. Mr. Edas Muñoz Galeano, Fundación VIDA, demonstrated the application of the project assessment scorecard criteria to the Adaptations Fund's project in Honduras (HON/MIE/Water/2010/4). At the project design phase the project had been compliant with the criteria, and was mostly compliant at the project implementation phase as it still had another two months to complete the evaluation process and the final audit. He also listed the achievements of the project.
4. Mr. Sönke Kreft (Germanwatch) reported on the strategic dinner, held on Wednesday 5 October 2016 in Bonn, which had discussed the Post Paris Strategy of the Adaptation Fund, the options and potential for innovative sources of finance, and the possibility of accreditation with the Green Climate Fund. Mr. Benito Müller had also explained the crowd financing option using the example of the aviation industry. There was a need to follow up on all options for innovative financing and to have champions in the political process who could stress the added value of the Adaption Fund and draw attention to its successes.
5. Mr. Jean Paul Brice Affana (Germanwatch) said that prioritization among regional projects and programmes should be based on those that met the needs and concerns of local beneficiaries. One way to achieve that was to focus on those countries that did not yet have a project funded through a NIE. He also said that adequate resources had to be allocated to knowledge management strategy or else the Fund's short-term effectiveness and long-term significance would be undermined. The strategy should take up the lesson learned from civil society. A gap analysis should be performed and an enabling environment established that provided civil society with a platform to share its experience and lessons learned. Resource mobilization had to explore new and innovative sources of finance and could gain momentum by highlighting the needs of the most vulnerable communities.
6. Ms. Lisa Elges (Transparency International) welcomed the complaint handling mechanism of the Fund but questioned why it was described as being an ad hoc mechanism when it was fundamental to risk management. It should not be considered complementary. It also had to: ensure confidentiality, permit anonymity, provide for identity protection, support informants in cases of retaliation, have objective criteria for pursuing or rejecting complaints and have a monitoring and evaluation plan. The Fund also had to address how: the mechanism would operate within the

national grievance structures, the secretariat would be responsible for handling any complaints and the mechanism would be promoted and explained in an easily understandable way.

7. Mr. Kreft also spoke on project delays and said that the NGO network would prepare a paper analyzing the reasons for project delays. The issue was linked to knowledge management and gap analysis. A number of project performance reports (PPRs) were missing from the Fund's website; and 83 per cent of projects and programmes were missing at least one PPR. Many projects also did not have a project website. Those issues should be addressed in the knowledge management discussion. He said there were a number of reasons for project delays and that they could be grouped into good or bad reasons depending on whether they related to improving a project or not.
8. Mr Hountondji Kodjo Edzromi Mawuse (JVE Benin) spoke on the Adaptation Fund's project in Benin (BEN/NIE/Coastal/2012/1). He said that the key reasons for the failure of the NIE to successfully develop the project for approval had been: government intrusion in the selection process, lack of serious consultations, institutional instability at the NIE, insufficient technical competence at the NIE, and a lack of data to justify the project as an adaptation project. The lessons for other countries and NIEs were to: avoid politicizing a project and involve stakeholders with technical expertise in project concept development. A reliable data base on climate change issues should also be set up that was publically accessible to help identify and justify suitable adaptation projects. Finally there was also a need to continue to organize and build the capacity of civil society as part of project design, preparation and implementation.
9. It was pointed that governments had both political and technical responsibilities and that it would be useful to hear from the representatives of government. It was difficult to separate political interests from the process; when that happened it could lead to lack of political will to support a project. There had to be a way to engage politicians at different levels. The presentation of the lessons learned had been important and there was a need to go into the gaps identified in more depth. There should also be links from the websites of the projects to that of the Adaptation Fund. Concern was also expressed at the possibility that an anonymous complaints handling mechanism might encourage frivolous or even unfounded complaints. It was suggested that there also seemed to be a duplication of effort by the Fund and civil society, with both making mid-term evaluations of the projects. It was asked whether any synergies could be achieved between the two processes. Adaptation was an evolving concept that was sometimes difficult to understand; projects still had to be developed despite that uncertainty.
10. Mr. Mawuse said that as civil society was there to help countries when things were difficult; it should also have input into the concrete proposals and should be consulted about them. Ms. Elges said that anonymity was an essential requirement for the complaints handling mechanism but a process could be put in place to weed out frivolous complaints from genuine complaints. The key point was that the secretariat had to have the necessary capacity to handle those complaints.
11. The Vice-Chair thanked those members of civil society in attendance for their presentations.

ANNEX IV

Ad Hoc Complaint Handling Mechanism (ACHM)**What is the ACHM?**

1. The Ad Hoc Complaint Handling Mechanism (ACHM) is complementary to the Adaptation Fund's risk management framework, including the grievance mechanism required for accreditation of Implementing Entities.
2. The Adaptation Fund (Fund) makes the ACHM available to Implementing Entities and members of the communities that are adversely affected by the implementation of project/programmes funded by the Fund. The purpose of the ACHM is to assist in responding to complaints raised against project/programmes funded by the Fund through a participatory approach.
3. Complainants and implementing entities should use the implementing entity's grievance mechanism as a first step. However, the ACHM can be used in cases where the Parties have failed to reach a mutually satisfactory solution through the implementing entities' grievance mechanism within a year. The ACHM requires a written submission of a complaint by at least one of the Parties.
4. The Adaptation Fund Board secretariat (secretariat) will independently manage all aspects related to complaint handling, under the oversight of the Ethics and Finance Committee (EFC) of the Adaptation Fund Board (Board).¹
5. The ACHM builds on alternative dispute resolution techniques². Main features of the ACHM are to effectively facilitate dialogue among stakeholders, mediate/assist in resolving issues raised, and develop and share lessons to improve future operations.

How does it function?

6. **Receipt:** Within **5 business-days** of receiving a complaint, after determining whether the complaint is not excluded from the process as per below, the Manager of the secretariat informs the Parties of the receipt of the complaint.
7. In the course of information sharing between the Parties, the secretariat ensures that names and other identifiers are redacted if confidentiality is requested.

¹ See Adaptation Fund risk management framework, available at <https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/>.

² These include facilitation, mediation, cooperative or interest-based problem-solving, neutral evaluation, joint fact-finding, negotiation, conciliation, arbitration etc.

8. **Assessment and Agreement:** The secretariat, based on consultations with the Parties prepares a draft assessment report laying out the concerns and expectations of the Parties within 20 business-days. The Parties can provide comments to this report within 10 business-days.

9. The secretariat incorporates relevant comments into a public Final Assessment Report, annexing the Parties comments and the complaint. The secretariat will design and include, in consultation with the Parties and based on their good faith, an agreed upon strategy towards the mutual understanding of the issues (confirming or dispelling complaints) and potential acceptable ways forward in order to reach solutions. The strategy will be based on alternative dispute resolution techniques. The Final Assessment Report is submitted to the EFC, which will make a recommendation for approval by the Board, as per the Fund's risk management framework.

10. **Non-objection by EFC on the Final Assessment Report:** The secretariat confirms that the agreement of the Parties is included in the Report. The secretariat then promptly circulates this report to the EFC by email and seeks their absence of objection within 14 business-days. If the objection is raised, the secretariat informs the Parties that the secretariat will cease all dispute resolution activities with regard to such complaint.

11. In case the non-objection is provided, the secretariat in consultation with the Parties and their participation implements the strategy. Relevant trust building measures or dispute resolution activities can be based on specific issues raised, or grouping of issues, addressing them independently one from the other, or holistically covering all aspects of the complaint.

12. **Implementation and Monitoring:** The ACHM requires trust building measures, and continued good faith engagement. Hence, it cannot be time bound. The secretariat will prepare and submit the update reports on the implementation of the agreed-upon dispute resolution strategy proposed in the Final Assessment Report. The Update Reports are submitted to the EFC. The cost for ACHM activities is covered by the Fund.

13. The ACHM is not a guarantee to achieving resolution. If within two Update Reports the ACHM was not able to implement any activity part of the dispute resolution strategy, the Manager of the Fund's secretariat in consultation with the EFC Chair may decide to suspend or terminate the dispute resolution activities.

14. In case the dispute resolution activities are suspended, the secretariat informs the Parties that the ACHM will temporarily cease with regard to such complaint and the reasons behind the suspension.

15. The Manager of the secretariat in consultation with the Parties revisits the decision to suspend dispute resolution activities on a bi-monthly basis. In doing so, the secretariat seeks the Parties' good faith agreement to reengage. The ACHM resumes such activities if the Manager of the secretariat in consultations with the Parties deems that conditions are met to do so.

16. **Remedy and Incentive:** In case such activities are to be terminated because of the lack of cooperation by any of the Parties, the secretariat may refer the complaint to the EFC, who may recommend to the Board the measures included in the Risk Management Framework.

17. **Resolution:** Once all matters are deemed resolved or dispute resolution activities are terminated, the secretariat issues a Final Resolution Report, making mention of any interim solutions reached in the process.

18. The secretariat will include in the Final Resolution Report a succinct analysis of systemic policy-related aspects that may have led to the complaint or its lack of resolution. Such aspects may include Policy compliance, institutional capacity, environmental and social risk management framework, weakness in supervision, technical expertise, disclosure and consultations, or other relevant aspects.

19. This report is shared with the Parties to provide their comments within **14 business-days**. The secretariat incorporates any relevant comments in the Final Resolution Report, annexes the Parties' comments, and submits the report to the Board.

Who can complain, can it be confidential?

20. Any individual, or their representative(s), living in an area where impacts of a Fund-supported project may occur, can bring a written complaint forward to the secretariat.

21. If complainants believe that there may be a risk of retaliation for raising their concerns, they can request confidentiality. Confidentiality includes names, addresses, pictures and any other identifying information. This provision also applies to complainants' representatives or any other individual believed to be, at present time or in the future, at risk of retaliation.

22. Confidentiality can be requested at any time and is provided throughout the process. Except the secretariat, no one will have access to confidential information.

How and when to complain?

23. Complaints will be submitted in writing in any UN language.³ However, when a complaint is not submitted in English and for the purposes of translation, additional time may be required to prepare the draft assessment report referenced in paragraph 8.

24. Contact information to submit a complaint are as follows: 1- by electronic email to complaints@adaptation-fund.org; or 2- by hard copy to Adaptation Fund Board secretariat, 1818 H Street NW, N7-700, Washington, DC 20433, USA.

25. Complaints will indicate names and addresses of the complainants. They will also indicate whether representative(s) are appointed, listing the representative(s) names and addresses.

26. Complaints will include any information relevant to the project (i.e., title, location, sector, description ...) including the project activities believed to be the actual or potential source of the harm, the nature of the harm attributed to those activities

27. Complaints can be sent up to the date of the submission of the final evaluation report of the project concerned.

Exclusions

28. Complaints with any of the following characteristics are excluded from the ACHM:
- a) Anonymous complaints (confidential complaints are different and provided for as per above);
 - b) Frivolous, malicious, or vexatious complaints⁴;
 - c) Complaints from executing entities or their staff against the implementing entity with which they are contracting related to a contract between the executing entity and the implementing entity;

³ The official languages of the UN are Arabic, Chinese, English, French, Russian and Spanish.

⁴ The generally accepted meanings of the terms “frivolous, malicious and vexatious” are as follows: (i) frivolous-trivial, trifling or futile, not serious; (ii) malicious-bearing active ill-will or spite, or having wrongful intention toward any other; and (iii) vexatious-causing or tending to cause irritation, frustration or distress, or not having sufficient grounds for action and seeking only to cause annoyance. The factors which may indicate that a complaint is frivolous, malicious or vexatious include the complaint: fails to identify clearly the substance or precise issues which require to be addressed; complains solely about trivial matters to an extent out of proportion to their significance; is part of a “tit for tat” complaint; continually changes, apparently to prolong the engagement with the ACHM; adds no new information from a complaint which has already been addressed by the ACHM; is made by a person who makes excessive contact or unreasonable demands, including abusive behavior and threats.

- d) Complaints related to activities that have no relevance to the Fund-supported project; or,
- e) Complaints related to matters already addressed in the context of an earlier complaint and for which a solution was agreed upon, unless this complaint is based on new facts not known at the time of the initial complaint.

Disclosure

29. In accordance with Implementing Entities' fiduciary duties to comply with the standard on transparency, anti-corruption measures, and self-investigative authority, the Adaptation Fund will maintain a page on its website, the Accountability Register, relevant to the grievance mechanisms of the Implementing Entities. This page will list each Implementing Entities' grievance mechanisms as well as this ACHM.

30. In the interest of transparency, the Adaptation Fund also dedicates on its Accountability Register a page for each complaint received where all relevant documents are disclosed, including final assessment reports, public notices, update reports, and final resolution reports. This page is cross-linked to the project's page.

31. Implementing Entities are encouraged to link the Adaptation Fund's Accountability Register to their website.

ANNEX V**KNOWLEDGE MANAGEMENT STRATEGY AND ACTION PLAN**

Knowledge Management Strategy

1 VISION

1. The Adaptation Fund (the Fund) aims to be a key institution generating, managing and sharing knowledge in adaptation and climate finance, and facilitating the access and use of that knowledge by other stakeholders.
2. The objective of the knowledge management strategy is to help enhance recipient countries' knowledge to reduce vulnerability and increase adaptive capacity, especially of the most vulnerable communities.

2 GOALS

- To have the knowledge infrastructure and operational framework for knowledge management in place.
- To be a key knowledge facilitator with processes in place to promote collaboration with key stakeholders via in person and virtual collaboration mechanisms in a user-friendly way.
- To have mechanisms in place that enable the Fund to extract, analyze, learn and share lessons from the projects and programs it finances, hence contributing to the improvement of the design and effectiveness of adaptation projects and programmes.
- To have systems and processes in place for sharing the Fund's own data, information and knowledge to reduce vulnerability and increase adaptive capacity of the developing countries, ultimately contributing to position climate change adaptation as a global priority.
- To enable countries and institutions with knowledge management tools and strategies to promote knowledge capture and sharing on adaptation and climate finance issues.
- To influence the adaptation and climate change space through the knowledge captured, shared and transferred.
- To enhance the transparency of the Fund through the generation and sharing of knowledge and lessons learnt on its key processes.

3 VALUE OF KNOWLEDGE MANAGEMENT

3. Implementation and Monitoring of a KM strategy takes resources, both monetary and people. Ongoing measurements of the Fund's KM achievements will show that dedicating time and resources towards knowledge management are worth the investment. The Fund's KM programme should be monitored and evaluated based on two criteria:

Efficiency

- Capitalize on lessons learned to minimize errors and duplication in the design of new projects, and optimize the Fund's operational procedures
- Increase the efficiency of ground level action based on lessons learned from the implementation of concrete adaptation projects
- Reduce the loss of knowledge once a Board member or a secretariat staff leaves the job
- Reduce new staff/board member on-boarding time
- Improve donor coordination
- Provide easy-to-retrieve information for the Fund's clients and other stakeholders
- Generate and share knowledge that would help increase efficiency of the broader climate finance instruments and tools currently deployed.

Effectiveness

- Increase projects' capacity to address adaptation issues
- Increase number of successfully accredited National Implementing Entities
- Increase beneficiaries' satisfaction with their engagement on Fund-related issues
- Generate new knowledge and data sets that are valuable for the adaptation community, for example as a basis for new approaches
- Increase the impact of climate change adaptation activities on the ground level

Target audience

4. The relevant stakeholders for the Fund include:

- Civil society, communities and individuals related to individual projects
- Adaptation Fund Board members, the secretariat and the Trustee
- Experts, academia, think tanks and private firms
- Institutions that may wish to pursue accreditation, already accredited entities that can help share best practices, experiences and knowledge already learned
- Beneficiary and contributor government representatives
- Other climate and environment funds

5. The target audience also includes the media and general public to promote increased awareness and understanding of importance of adaptation and climate change.

4 KNOWLEDGE MANAGEMENT FRAMEWORK

6. Knowledge Management can be a key differentiator in public sector organizations. Knowledge can and should be captured down to the lowest level of abstraction. Measuring knowledge is a combination of qualitative and quantitative improvements. The present framework will help generate and share knowledge to benefit all Fund stakeholders including, at the internal level, to the secretariat and Board. The Fund can achieve significant wins, including transferring learnings from one country to another to improve processes, capitalizing on key lessons learned from its pioneering modalities and funding mechanisms, reduced ramp up time for new hires, reduction in the amount of time spent locating information, to name a few.

7. The strategic components are presented in the following broad headings:

- I. Capture and Transfer Knowledge related to the Concept of Adaptation, Accreditation, Direct Access and the monetization of Certified Emissions Reduction.
- II. Fostering Broader Knowledge Sharing with countries and all climate change stakeholders including CSOs, Governments, other Funds, Research institutions amongst others.
- III. Equipping the Fund with a more supportive knowledge-sharing and learning infrastructure and system
- IV. Promoting a supportive knowledge sharing and learning culture within the Fund

Capture and Transfer Knowledge related to Adaptation, Accreditation, Direct Access and the monetization of Certified Emissions Reduction

8. The Adaptation Fund is one of the funds with the largest portfolio of concrete adaptation projects under implementation, and as such, has a potential for playing a central role in the efforts of sharing and improving the knowledge on adaptation in its different aspects, including its reasoning, theoretical and technical approaches and measures in relevant sectors, as well as the coordination arrangements set up by countries in order to address the identified adaptation issues.

9. The Adaptation Fund accredited entities have clearly expressed that the thorough Accreditation process has helped them identify gaps that were not obvious to the entity beforehand. The process has represented an important opportunity to build institutional capacity by enhancing good practices within the entity's policies and procedures. It also improved the ability to show case the institutional capacity as well as enhancing the internal knowledge management.

10. Direct Access is a key strategic advantage for the Adaptation Fund. Capturing the Fund's experience will allow the Fund to showcase and transfer knowledge to all of its stakeholders around the Direct Access modality, including the accreditation of National Implementing Entities, the process of identification, selection and development of projects at the national level, the implementation of projects through that modality and lessons learned for their replication and scaling up. This is a key component of creating the foundation for a strong KM program based on principles of country ownership, transparency, collaboration, and relevance.

11. Since the establishment of the CER monetization, the Fund has generated USD 196 million through CER sales. In the context of the Financing Mechanism of the Paris Agreement the Fund can capture and transfer knowledge as it has the most valuable experience in monetizing carbon credits for funding climate adaptation.

Fostering Broader Knowledge Sharing with Stakeholders

Implementation of adaptation projects

12. There is a clear opportunity to learn from partners and institutions to capture and transfer key project knowledge. Some types of knowledge assets include lessons learned, technical knowledge, administrative and institutional knowledge. The Fund must first establish the key types of knowledge assets it wishes to have captured and shared. Then the Fund must establish a clear process around when this knowledge should be captured and who will capture this knowledge. There are several existing knowledge gaps that countries should identify in the early stages of the project implementation as to what are the key information, data and lessons that will help them to increase the impact of the project.

Transfer and share knowledge on adaptation issues

Knowledge activities

13. Once knowledge is captured and processes are established this knowledge must then be shared. Regional events and knowledge activities should be conducted on a regular basis. Activities could include webinars, workshops, virtual conferences and products (i.e. videos, field visit/project photos, interactive educational games, case studies, online libraries of information on events, field studies, project evaluations and conferences, trip reports and thought leadership/field experience blogs from Implementing Entities and/or secretariat staffs) to support:

- Knowledge transfer on how to generate, analyze and share data, information and knowledge
- Raising awareness on adaptation issues among different audiences

Partnerships to transfer and share knowledge

14. These are developed with Civil Society Organizations, multilateral institutions, other funds and networks which are also generating knowledge activities on a regular basis. These partnerships aim at enhancing learning and knowledge sharing on adaptation issues/topics.

Provide guidance to countries on KM activities

15. The Adaptation Fund Board secretariat is in a unique position to provide support to the recipient countries to enable them to carry out their KM activities, including through the Climate Finance Readiness programme. In order to do so these are the proposed steps to be undertaken:

KM Toolkit for projects: Optimize the KM toolkit that exists today to improve collaboration and further promote KM capture on projects.

Workshopping the KM strategy: Roll out of the KM strategy at readiness workshops

Project web pages: Provide guidance through collaborative development of the project specific webpages and promote the dissemination of such information among beneficiaries, partners and other institutions working on adaptation.

Equipping the Fund with a More Supportive Knowledge-Sharing and Learning Infrastructure and System

16. The Fund could establish a supportive infrastructure and processes to achieve its knowledge management goals. Key areas could include a strong technology KM portal, specific knowledge management tools for collaboration and sound Information Management through people, technology and process enhancements, as well as more immediate and less resource-intensive opportunities such as private Facebook groups for NIEs to openly share best practices and lessons learned.

17. A best in class KM platform should include content management system functions such as version control, workflows, notifications, archival, records management and robust search capabilities. The collaboration component will allow for editing, revision management, discussion forms, communities of practice designed to enable collaborative work.

18. The Fund currently has several knowledge platforms in place namely the Adaptation Fund website⁵, the Climate Finance Ready website⁶, the Financial Intermediary Funds (FIF) platform and the Accreditation Workflow online system. There is an opportunity to optimize these tools and identify synergies among them. There is a level of time and resourcing that needs to be allocated to sound Information Management, hence the need for optimizing the tools and technology that are currently in place.

19. The Adaptation Fund website, which is a well-established interface, and the Climate Finance Ready website should serve as the primary knowledge engagement platforms. Other KM tools can be explored, such as Collaboration 4 Development, which is a social collaboration platform for knowledge sharing managed by the World Bank, and also has content management built in. Some immediate improvements could include:

- Enhancing shareability of the most critical content on social media, e.g project pages, press releases and announcements;
- Pilot a Community of Practice for NIEs, which could later be widened to all Adaptation Fund stakeholders;
- Improving social collaboration and networking possibilities on the Climate Finance Ready website.

⁵ <http://www.adaptation-fund.org>

⁶ <http://climatefinanceready.org/>

Promoting a Supportive Knowledge Sharing and Learning Culture within the Fund

Collect, organize and analyze project/programme data, information and knowledge

20. The Adaptation Fund Board secretariat will play a key role in continued gathering the information generated at the project level, organizing that information and analyzing the lessons learned at a portfolio level. To facilitate its retrieval, the information collected will be organized around key themes, identified by the Board as the learning themes of the Fund.

21. In order to do this the following steps and options will be considered:

Thematic Learning: Identification of the Fund's learning themes to include as part of the tagging system in portfolio monitoring missions and project performance reports (PPRs), mid-term reviews or mid-term evaluations (MTRs/MTEs) and final evaluations (FEs), including project completion reports for grant activities under the readiness programme. Analyze the data and the experiences from the projects (including analysis of PPRs, MTEs, FEs) to highlight lessons learned on each of the main learning themes and facilitate their dissemination.

Project Highlights: The secretariat will continue to produce communication material – fact sheets, publications, stories, videos, photo galleries. The secretariat should act as the knowledge facilitator to ensure relevant stakeholders are sharing knowledge that is captured at the project level. Additional relevant info on learning can also be added to the AF's existing project webpages.

Publications: The secretariat will begin producing at least one publication per year based on key topics and learning captured on key projects. Ongoing topics should include key projects portfolio assessment which can include benchmarking programs and projects, averages, successes, learning, and making the Annual Performance Report more visible to promote opportunities, partnerships and other key knowledge areas.

Knowledge-base for the AF projects: Optimize the website to have a knowledge repository of project retrospectives and lessons learned. This area of the website will complement the information available in the project database and will be ideally built using the same technical platform for ease of integration.

22. The secretariat will look for practical 'low-hanging' fruit to enhance the Fund's current KM platforms, such as further leveraging the Adaptation Fund website to include learning sections or adding best practices/lessons learned components to the project webpages and establishing a community of practice through the Fund's existing channels such as Facebook.

5 EXPECTED RESULTS

23. Some of the key measures of success will be more enabled institutions that are able to navigate bottlenecks related to the accreditation process and the identification, development and implementation of adaptation projects. Lessons from adaptation project implementation, including through direct access, can be a key benefit for countries to learn and improve their processes including related to a specific sector or region and have a strong community of practice where they can share and transfer knowledge.

24. Internally, the Fund will have a robust website which is a knowledge repository with search capabilities allowing for reduced ramp up time for new hires, time saved when searching for information as well as more reuse of information that already exists.

6 ENABLING FACTORS

25. The Knowledge Management program will require strong leadership and a dedicated knowledge management focal point. Additionally, it will require strong partnerships with institutions, implementing entities and countries. Realizing the resource limitations, there is no need for a full time knowledge manager at the present time; however a strong focal point will be essential for a KM program to be successful and is built to scale.

26. Recipient countries, through their Implementing Entities or executing entities, will need to play an active role in knowledge development and transfer. Some key areas include:

- Compiling data and generate lessons learned from the projects during the implementation phase. The secretariat will provide templates and a toolkit as well as knowledge days at regional events to share localized knowledge at the regional level as well as virtually via knowledge days and webinars.
- Sharing this information with the relevant stakeholders: 1) with the secretariat that will act as central repository and hub, 2) with the projects beneficiaries and other local, national and global stakeholders that may benefit from this information.
- At project completion, hand over the project knowledge products to successors/partners to ensure long term impact on beneficiaries and allow other stakeholders to take ownership of the knowledge generated. The information could be hosted on the Fund's website which will serve as the centralized source of information.
- Participating in writeshops organized by the secretariat or other stakeholders, present when appropriate and create 2-4 min videos on topic specific best practices and learning which can be uploaded on the Adaptation Fund tools.

27. In order to help countries to carry out these tasks, without overburdening the project teams with reporting requests, the secretariat will collect data and lessons learned using reporting mechanisms already in place (such as the project-level Project/Program Performance Reports and Fund-level Annual Performance Report, Financial Intermediary Funds platform). The secretariat will also facilitate tools that can help countries to share their experience with relevant stakeholders.

28. The secretariat currently has a small team and members have several responsibilities. Any recommendations that are an extra step will be challenging to implement. Activities must be embedded into the current workflow as much as possible.

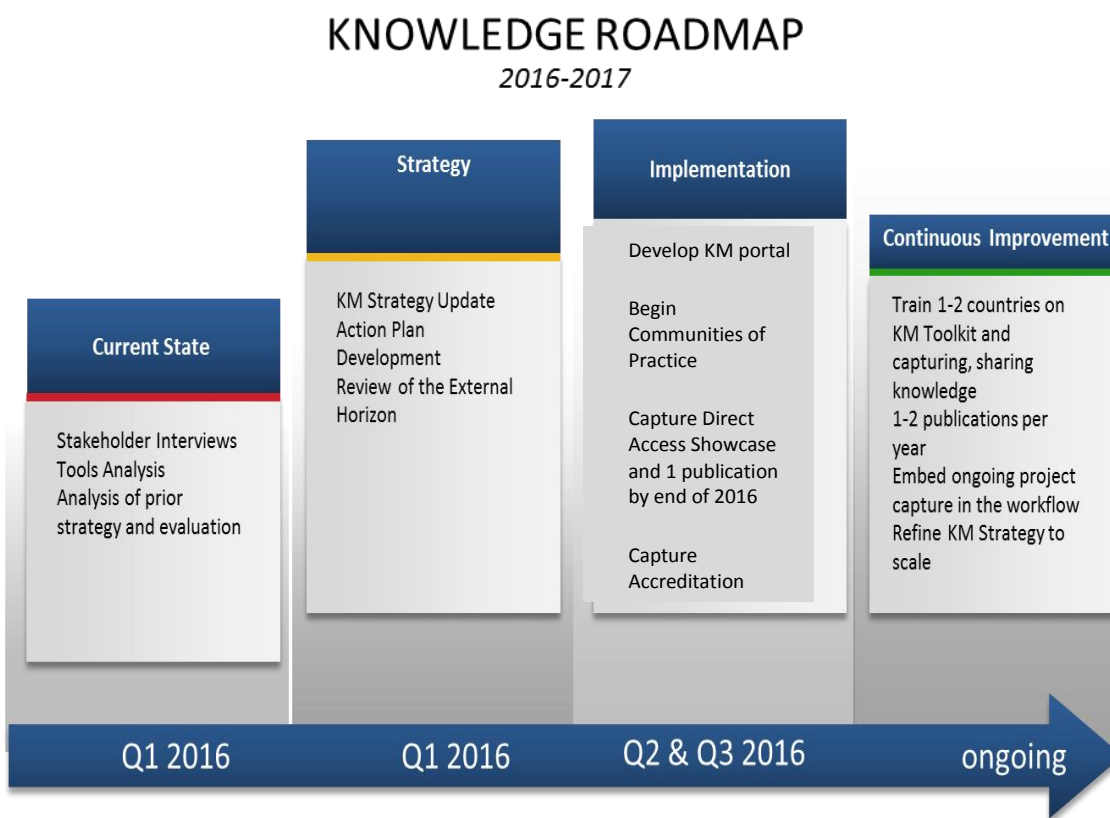
29. Knowledge Management is a journey which requires time, budget and a dedicated focus. An action plan related to Information Management and Collaboration has been laid out in the following section, bearing in mind the opportunities and limitations of the Fund.

Knowledge Management Action Plan

1 OBJECTIVE

30. The Fund will strive to improve the design and effectiveness of adaptation projects and programmes by creating mechanisms that enable it to extract, analyze, learn and share lessons from the projects and programmes it finances.

31. The Fund will also share its own data, information and knowledge to reduce vulnerability and increase adaptive capacity of the countries, ultimately contributing to position climate change adaptation as a global priority.



2 ACTION PLAN

32. Culture is one of the most critical elements in implementing KM. An ideal KM culture is characterized by trust, openness, teamwork, collaboration, risk taking, tolerance for mistakes, autonomy, common language, courage, and time for learning.

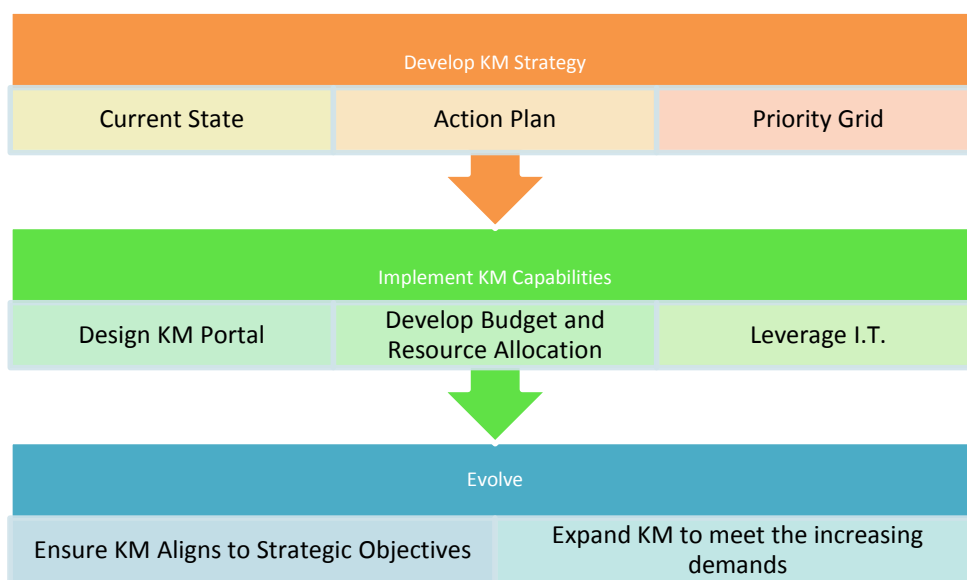
33. The following action plan has been developed based on essential steps that would be needed to update and implement a scalable knowledge management strategy at the Fund. It will provide a

framework and accountability tool for the full operationalization of the Fund's Knowledge Management Strategy by setting clear (time-bound) goals and priorities.

2.1.1 Action: Update the Knowledge Management Strategy

34. The key focus of any Knowledge Management program is to support the business objectives. The Knowledge Management strategy which was originally approved in 2011 has been updated based on the critical business needs, resources and budget. This should be revisited every 24 months to ensure the strategy remains relevant and evolves as the organization's needs evolve.

2.1.2 Action: Develop a Knowledge Framework



2.1.3 Action: Establish a Knowledge Management Team

35. The secretariat has a KM Coordinator. The coordinator's role will be to advocate for the program and work with the management team and ensure KM initiatives are made visible at the secretariat and externally. The focal point must ensure that the KM work be equally focused on both internal processes and knowledge processes while working with implementing entities and countries on knowledge programs and initiatives.

36. Each team within the secretariat (i.e. project/programme review and monitoring, accreditation, communications) should have a KM Champion to ensure cross functional collaboration and help promote engagement in the various KM initiatives on an ongoing basis. A KM Advisory Group should be established and members can be the KM Champions from each team.

2.1.4 Action: Form a Core Coalition Team

37. A core team of knowledge champions will be essential to scale the program. This team can comprise of key members in implementing entities as well as staff of the secretariat. The team members should have a good mix of business knowledge, technical competence and social capital.

These members should be able to influence communities and help drive adoption of proposed initiatives and social collaboration initiatives and communities of practice.

2.1.5 Action: Establish Roles and Responsibilities

Roles and Responsibilities	Resource Commitment/Activities
<p>KM Coordinator: This is a critical role in the KM program. The person will be a key evangelist, and work closely with the core KM team members and partners, senior leaders as well as facilitate the design and implementation of KM initiatives.</p>	<p>Time: 20-25% per KM initiative/project and leading KM updates, meetings. Key activities: Coordination and managing KM Learning activities Communicating and promoting benefits of KM Facilitating/coordinating the collection of KM success stories and promoting the organizations image as a KM Leader in their domain</p>
<p>KM Advisory Group: This key team will engage and work with leaders and staff to provide ongoing guidance and advice for the KM efforts.</p>	<p>Time: 1-3 hours a month the first year, then 1-3 hours a quarter Key activities: Advise, Brainstorming</p>
<p>AFB staff and core coalition team: Once the KM program is underway, all members should act as knowledge workers on their respective initiatives. An incentive program is listed below to incentivize participation.</p>	<p>Time: Varies based on the project Key activities: Contribute, review and use the knowledge that has been created</p>

2.1.6 Action: Establish a Holistic Knowledge Base

38. Currently there is no centralized, searchable repository at the secretariat. The FIF platform is a comprehensive database for all projects/programmes. The Climate Finance Ready website includes information related to climate finance readiness, including the direct access process, information that is generated by the secretariat or by other institutions, thanks to the partnership established with the CDKN. The Adaptation Fund website also includes plenty of information. As such, the need for the establishment of new online knowledge base is still to be demonstrated.

Activities:

- Further optimize and develop the Climate Finance Ready website to include collaboration via a tool like Collaboration 4 Development or some social collaboration platform.
- Evaluate and enhance the Information Architecture to ensure the existing platforms can form a holistic knowledge base promoting both content and collaboration.
- Add likes, sharing (in the case of the AF website) and comments features (for the Climate Finance Ready platform), and other key capability to encourage more participation.

Some key topics should include:

Thematic Learning: Identification of the Fund's learning themes to include as part of the tagging system of project documents and reports. Analyze the data and the experiences from the projects to highlight lessons learned on each of the main learning themes and facilitate their dissemination.

Project Highlights: The secretariat will continue to produce communication material – fact sheets, publications, videos, photo galleries - that captures and disseminates project's lessons learned, to be posted on the project's page of the Fund's website.

Publications: The secretariat will begin producing 1 publication per year based on key topics and lessons learned captured on key projects. The secretariat will continue to provide input into the development relevant publications by external stakeholders and continue its portfolio monitoring missions (2-3 missions/year) to visit projects and capture lessons, to be shared through reports, videos, webinars, conferences, etc.

Knowledge Base for the AF projects: The FIF platform and the Adaptation Fund website allow for project related documentation to be uploaded. The secretariat should be a filter in the documentation upload process. This would allow for the development and coordinated effort by the secretariat to conduct assessments and develop publications generated by projects which are currently not accessible. The Adaptation Fund website could serve as knowledge repository which would then serve to be a holistic system and additional publications can also be housed here and surfaced by all users. Information needs to be made consumable. Currently there are several Excel spreadsheets on the Fund's website project pages and it is hard to find and consume information that may exist. That information will need to be extracted and shared, e.g. through infographics. Creating a video library with 2-5 min videos that can be sent in by the project teams via smart phones might also serve to be a faster way for people to share more information which is consumable.

2.1.7 Action: Develop a Taxonomy for Information Management at the Secretariat Level

39. At the secretariat level there is a legacy shared drive ("P" Drive), however there is no process or prioritization in place around capturing and archiving information. An organizational taxonomy should be developed for the proposed tool which will establish core content around business topics. Each team can have their own area however in evaluating the current legacy shared drive it was observed that documents do not have a consistent naming convention. Some best practices related to naming documents/files exist and can be learned from.

Activities:

- Further organize the "P Drive" or introduce a new content management system, such as Box.
- Look inward - establish trends and common terms that are used by teams and create a standard to reduce variations.
- Evaluate website and internal search results to understand what users search for to ensure that the inward search aligns with user needs.
- Be consistent with format, syntax.
- Avoid abbreviation with file naming.

2.1.8 Action: Knowledge Tools Mapping

40. To fulfill the need for a harmonized Knowledge Management and collaboration platform that would help ensure the Fund has best in class tools to promote knowledge sharing, there are several existing tools that are available to the Fund and a determination must be made on using a centralized platform that can serve the broader needs.

41. Among existing technologies, the following tools can be explored.

Tool	Usage
<p>Collaboration 4 Development Platform - The World Bank</p>	<p>This is an existing tool that is used by the World Bank built on Jive. Jive allows for both social collaboration, people location, following and trending events, built in gamification as well as internal and external sharing. It is a social collaboration platform and does also have content management built in.</p> <p>The content management system is based on groups and communities that will allow document sharing; however is not a holistic system with robust workflows. It can however integrate with other content management systems and can serve as a holistic system through such integrations. Given this is an existing system there is support for the tool and IT can assist as need be should the Fund choose to adopt this system.</p>
<p>Box.com</p>	<p>The secretariat needs to have an internal content management system which provides mobile access, workflows, version control and robust search. Box.com is used by some staff and this could be made the content management system for the team. It is a cloud based solution which is inexpensive given the size of the team and will integrate with Jive if desired.</p> <p>Box offers Box Sync which will allow for files to be visible offline when staff is travelling and also syncs files from hard drives to the system and can allow for both enterprise storage and a personal back up of hard drives.</p> <p>Additionally, Box features Box Edit which is a collaborative way to work collectively on content in real time as well as commenting ability on content and documents.</p> <p>The existing content from the legacy shared drive could be copied into Box, which could then be a key system that can be used by the team, making use of its features described above.</p>

Action: The secretariat should consider an organization wide adoption to use Box as a complement to the P drive. This would allow the secretariat to better organize information and a tool such as Collaboration 4 Development would be an external and internal platform for knowledge exchange.

2.1.9 Action: Adaptation, Accreditation, Direct Access Modality and CER Monetization Knowledge Capture and Transfer

42. The area of Adaptation, the Accreditation process, Direct Access modality and CER Monetization combined are key features of the Fund. It is a competitive advantage and key differentiator in the climate finance architecture. The Fund has now reached a critical mass having had several multilateral regional and national institutions complete the accreditation process and implementing more than fifty projects and programmes on the ground. Capturing and transferring knowledge on adaptation is therefore timely and has to be done in a regular manner, with at least one knowledge product a year, looking at specific themes or approaches. In the case of Direct Access, this should be an initiative that is repeated every 18-24 months as we continue gathering lessons from the modality. Lessons from the re-accreditation process could also be gathered, as Implementing Entities that were accredited in the early operationalization of the Fund have now reached the point of seeking re-accreditation. In the context of the Paris Agreement and the Sustainable Development Mechanism to be established, the Fund, as the sole institution with a demonstrated experience in the monetization of proceeds from a similar internationally-agreed mechanism, i.e. the Clean Development Mechanism, will have invaluable lessons to share with the climate negotiations community.

Activities:

- Showcase best practices on Adaptation, Accreditation, Direct Access and CER Monetization integrating key topics including what is direct access, success of the modality, lessons learned, challenges, obstacles, innovation, from the perspective of countries (including IEs), CSOs, accreditation panel experts, the Adaptation Fund Board secretariat, among others. Innovative approaches, techniques and coordination settings from adaptation projects will be captured through targeted studies, analyses and publications, initiated by the secretariat or prepared in partnership with specialized institutions, including academic, think tanks or NGOs. The lessons learned on this or the other three areas could also be captured via write shops coordinated by the secretariat which will bring both practitioners and AF staff together to collaborate and develop key output on various AF Projects.
- Publish volumes on Adaptation, the Accreditation, Direct Access and CER Monetization Experiences.

43. Lessons Learned and other key knowledge assets should be showcased on the Adaptation Fund website, Climate Finance Ready platform and also published in key journals or produced as publications. This information should be in print as well as small video interviews where possible.

Resources: Stakeholder interviews, Implementing Entities, AFB secretariat staff, Accreditation Panel members, Board members, AF Trustee.

Output: one publication showcasing the experience of the Fund in the monetization of CERs, one publication on a thematic aspect of adaptation, one publication on the direct access modality.

2.1.10 Action: Capturing Readiness Knowledge

44. The Fund will continue the key sharing of knowledge experiences and lessons done via the readiness workshops related to accreditation and project preparation to capture key information, data and lessons. The information captured should be made more visible on the Fund's communication and information dissemination portals as it will continue to enable countries to gain useful information, bottlenecks, strengths and learning of how countries cope with standards.

Activities:

- Further develop the NIE Community of Practice and explore, when feasible and relevant, new social collaboration communities around key topics, e.g. invite various institutions to a social community to share their experience with accreditation process and project preparation/implementation. The most effective way to capture this information will be during the events (workshops, seminars and webinars) organized by the secretariat, as the information gathered will be contextual and timely. This will allow appreciation of the opportunities available to those organizations that would want to seek accreditation with the Fund and also enable the carrying out of trend analyses to further enhance the accreditation process.
- To capture past knowledge the appointed person for this task can use a series of retrospective questions that are included in annex 3 to this document, to understand the journey, challenges as well as capture testimonials for institutions that were successful. There may be political sensitivity for institutions that were unsuccessful with accreditation and one should still approach them to attempt to capture past knowledge. This can be done via interviews or via community admin through the suggested social collaboration community. This can also be done as part of workshop clinics follow ups under the readiness programme for those entities that participated in the workshop.
- The output should yield a comprehensive assessment of what the benefit of having an accredited entity is.

2.1.11 Action: Capturing Knowledge from the Implementation of Adaptation Projects

45. There is a clear opportunity to learn from each implementing entity and country on key project knowledge. This knowledge includes lessons learned, technical knowledge, administrative and institutional knowledge. There are several existing knowledge gaps and countries should identify in the early stage of the project implementation what are the key information, data and lessons that will help them to increase the impact of the project.

46. The key goal is to establish a mechanism that would help capturing knowledge on an ongoing basis and present case studies from the institutions perspective. There is no better way for further adoption than peer to peer learning.

Activities:

- Organization of writeshops (on ground level best practices, or themes) to generate an initial substantial amount of knowledge that could help catalyze the production of best practices documents.

- Identify and promote regional activities including relevant adaptation, climate change related seminars, conferences where implementing entities have story telling sessions and present findings on various projects. These should be captured via video when possible.
- Capture various case studies and publish findings and analysis from diverse regions and sectors. An academic institution or think tank partner can be key resource in accomplishing this.
- This exercise should be carried out by the implementing entity, jointly with the government and the secretariat. Progress report on the achievement of the project learning objectives should be done through the Fund's project reporting systems already in place, such as the PPRs, the MTRs/MTEs and the FEs.
- The secretariat analyzes existing yearly reports to create summary of key learning in a consumable format that can be shared with the Board through the Annual Performance Report.
- There is information captured which is published on the Climate Finance Ready platform ran in partnership with CDKN and the input from the Fund will be enhanced among others through a workflow process that will include a representative of the secretariat as a member of an Editorial Board to be established for the platform.

2.1.12 Action: Social Collaboration

47. Collaboration is a core component of knowledge management. Given the geographically diverse ecosystem a social collaboration platform can serve to be a cost effective way to capture, transfer and share knowledge.

Actions:

- Continue the webinar series that the secretariat has started as part of the Readiness Programme and make the audio proceeds available to the public through the different AF platforms
- Explore the options for developing and using a social collaboration tool that can be integrated with the Climate Finance Ready platform allowing networks and promoting a few communities of practice when relevant
- Develop these communities of practice through robust platforms. A community admin toolkit is included in annex 4.

48. A social collaboration tool could engage internal/external stakeholders.

- **Organize conversations around themes:** Have knowledge jams around specific areas of interest to keep conversations related to relevant topics.
- **Mild Moderation:** Moderation can be tricky with social collaboration tools. Effective methods include posing questions, facilitate conversations are suggested but no policing of conversations.
- **Gamification:** Consider using the rewards and incentives to engage staff. Social is new to many and not comfortable for many. By using Gamification tools such as likes, comments you can encourage participation.

A community admin guide has been included in Annex 4. The community admin does not need to be the KM coordinator but can be the communications officer or any other staff within the secretariat.

2.1.13 Action: Enhance the Climate Finance Ready Platform



49. Indicative activities to be explored in an expanded version of the platform could include:
- Summaries and linkages to high quality third party literature (e.g. research reports) on readiness activities for the Fund.
 - Videos from third parties which can be used as training for entities seeking accreditation - e.g. a set of videos on YouTube which explain each of the Fund's fiduciary standards and elements of the Fund's Environmental and Social Policy, and IFS Performance Standards.
 - Survey of the Fund's Designated Authorities, and NIE representatives to assess the interest in an e-learning course to share key lessons learned on readiness and make specific experts available through interactive chats and webinars during this period – the survey would lead to a feasibility report making recommendations for next steps and if a substantial interest was identified, a part-time online e-learning advisor could be recruited to work with the platform's editorial board to create an interactive platform and run the course.
 - Enhanced capacity for running a discussion space on LinkedIn, integrally linked to the Climate Finance Ready platform to encourage readers to share links and resources, and boosting the activity on these linked interactive platforms in the run-up to and after key in-person meetings.

Coordination of web content

50. Representatives from the Fund and CDKN, all of whom should be experts with familiarity in climate finance, should discuss regularly, through the editorial board to be set up.

2.1.14 Action: Provide Countries Guidance on KM Activities

51. The secretariat is in a unique position to provide support to the recipient countries to enable them to carry out their KM activities.

Activities:

- Utilize the social collaboration features proposed under 2.1.11 and invite stakeholders to participate and consume content and share context and participate in discussions.
- There are some existing guidelines in the RBM Document from 2011 related to developing a KM Strategy. These should be extracted as a KM toolkit, updated and made more user friendly.
- Consider adding a 1-2 day regional event on helping countries develop their KM strategy and teach them how to capture lessons learned that can be very advantageous for reuse. These can be part of the readiness seminars. Conduct one at the NIE annual readiness seminar and/or some of the upcoming regional events.
- Design an NIE Community of Practice (CoP) to evolve naturally
- Create opportunities for open dialogue within and with outside perspectives
- Welcome and allow different levels of participation
- Focus on value of the CoP
- Combine familiarity and excitement
- Find and nurture a rhythm for the CoP

Output: Develop an NIE CoP which has a community admin and aim to have a good number of members participating in the community.

Follow 1-2 specific projects and evaluate how the KM toolkit is being used and then made modifications to adapt to the user needs as necessary.

2.1.15 Monitoring the Success of the KM Strategy

52. The Fund must develop a framework for measuring the effectiveness of the capture and sharing of knowledge. There are two major types of measures namely Common Measures which give an indirect indication of knowledge sharing and reuse. These allow tracking most popular issues and any usability issues. Monitoring of this first category should start shortly after the launch of knowledge initiatives. Output Metrics measure the output and outcome at the project and even task level. Some uses of this at the Fund can be reuse of a best practice capture, whitepaper, prior project work and its effectiveness on a future project. Outcome and output metrics provide a holistic view of the engagement, adoption and acceptance of the knowledge management strategy.

Sample Measures

Categories	Measures
Adoption & Engagement	Number of knowledge assets (best practices, lessons learned, white papers, examples) submitted Number of assets reviewed/validated Number of assets shared/uploaded Number of assets downloaded/accessed
Efficiency	Total cost/resource/time of the knowledge transfer program Total cost of the transfer program as a percentage of savings generated from adoption of knowledge transfer
Return on Knowledge	Evidence of adoption of best practices Number of articles/best practices that become standard operating procedures or featured Time saved/cycle time reductions achieved through adoption of identified articles/postings Cost avoidance/savings achieved through adoption

2.2 Budget

53. Delivering a Knowledge Management program requires a budget, which could be significantly lowered if existing World Bank technologies such as Collaboration 4 Development are leveraged. Additionally, the partnership with CDKN on the existing platform helps in maintaining reasonable costs. KM budgets involve technology, processes, new roles and governance. Since the Adaptation Fund will not have a dedicated headcount towards KM, the use of Consultants will be sought as needed.

54. Some of the main expenditures will be as follows:

- Coordination with teams to leverage existing technologies
- Delivering early quick wins
- Rolling out the Action Plan. This can also be made cost effective by including it as part of the readiness workshops
- Travel budget
- Purchase of technologies/IT fees, if needed
- Services of an experienced consultant

55. The estimated budget is \$40,000 (\$25,000 FY 17 and \$15,000 FY 18) to include consultants, technology, process changes and related fees to accomplish all key action items in the proposed plan. This includes any new technology purchase if it is not possible to leverage existing technology as the secretariat can opt for a cloud based solution which will be cost beneficial given the size of the staff.

2.3 Critical Success Factors

- Plan KM implementation as an division/organizational change program
- Map out stakeholders and the various audience segments and ensure that all of them have been addressed
- Implement KM as a holistic system, containing all necessary elements- people, process and technology
- Not stop KM implementation until KM is fully embedded into the Fund's processes, accountabilities and governance
- Ongoing sponsorship from Management key to embed the required change, and have a steering committee to ensure the support and communication
- Ensure KM implementation is focused on solving real, pressing business issues- pick the most critical pain points first.
- Change Management
- Resources and Governance
- Metrics and Measurement

2.4 Getting started

56. The secretariat will begin on implementing the updated KM initiatives at the earliest. Information Management will be reassessed with a main goal of switching from legacy systems to a robust content management system. KM tools are not the solution to knowledge management however they are a key component to ensure robust systems are in place to support the needs of the team.

Getting Started	Action Required	Resources	Notes
Promote knowledge management via workshops	Workshops, socializing and finding key collateral	KM Focal Point, KM Consultant	Ongoing with timelines and begin with tacit knowledge capture workshops while KM system is being developed.
Develop a Knowledge Management System	Leverage a World Bank system or buy a KM system	IT, KM Consultant, Vendor Support	Migration of legacy information and harmonization of knowledge base.
Pilot Program	Identify 4 critical areas where KM can help. Adaptation, Direct Access process, CER monetization and Accreditation knowledge sharing for example.	KM Focal Point, stakeholders	Key step to socialize and show the value of KM.
Community(ies) of Practice	Develop a centralized place for groups to collaborate and exchange	KM focal point, KM champions from each team	Valuable to have strong onboarding and centralized content and collaboration.

	content. C4D for example.		
Engagement	Community admin toolkit guidelines, best practices for staff	KM Team Engagement measures and tips	Topics must be relevant to discussion, not to be left to chance.

57. The table below summarizes the KM Strategy components, the relevant corresponding actions and an estimated timeline.

Strategic Component	Action	Resources	Timeline
1. Promoting a supportive knowledge sharing and learning culture within the Fund	Establish a Knowledge Management Team	Management, KM coordinator, KM focal points	Q1 - FY17
	Form a Core Coalition Team	KM coordinator, KM focal points, select IEs, Board members, civil society	Q1 - FY17
	Establish Roles and Responsibilities	KM coordinator, KM focal points, select IEs, Board members, civil society	Q1 - FY17
	Monitoring Success of the KM Strategy	KM coordinator, RBM team, Core coalition team	Continuous
2. Equipping the Fund with a more supportive knowledge-sharing and learning infrastructure and system	Establish a Holistic Knowledge Base	KM Advisory Group, IT	Q2-3 - FY17
	Develop a Taxonomy	KM Advisory Group	Q2-3 - FY17
	Knowledge Tools Mapping	KM Advisory Group, IT	Q1-2 - FY17
	Social Collaboration	KM Advisory Group, IT	Q2-3 - FY17
	Enhancement of the Climate Finance Ready platform	KM Advisory Group, CDKN	Q1-2 - FY17
3. Capture and Transfer Knowledge related to Adaptation, Accreditation, Direct Access and the monetization of Certified Emissions Reduction.	Adaptation, Accreditation, Direct Access Modality and CER Monetization Knowledge Capture and Transfer	KM Advisory Group, Trustee, IEs	Q3-4 - FY17
	Capturing Readiness Knowledge	KM Advisory Group	Q1-2 - FY18
4. Fostering Broader Knowledge Sharing with countries and all climate	Capturing knowledge and lessons from Implementing Adaptation Projects	KM Advisory Group, IEs	Continuous

change stakeholders including CSOs, Governments, other Funds, Research institutions amongst others.	Provide Countries Guidance on KM Activities	KM Advisory Group	Q2-3 - FY17
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58. Upon approval of the updated Strategy and Action Plan, the secretariat will implement the key action items and report regular progress.

ANNEXES TO THE KNOWLEDGE MANAGEMENT STRATEGY AND ACTION PLAN

Annex 1: Guiding Principles for the Fund KM Implementation

The following are the main principles to be adopted as the foundation upon which building the Fund KM strategy:

- **Transparency:** The Fund is committed to be fully transparent in its operation and facilitate easy access to public data and information.
- **Accountability:** As an institution that uses public funds, the Fund is accountable for maximizing the impact of the resources available. The KM efforts, by capturing and sharing lessons learned, will contribute to enable the Fund to ultimately deliver its mission.
- **Committed Management:** While appropriate technology is essential, a key to successful knowledge management is a committed leadership that values, analyzes, creates and encourages the creation of knowledge, its dissemination and use, By adopting a KM Strategy at the beginning of its operations, the Board underlines the importance for the Fund of managing knowledge at a project as well as institutional level.
- **Capitalize on project and institutional experience.** The Fund will try to harvest knowledge and information generated by the projects to inform the decision of the Board. It will also try to capitalize on the institutional experience to set up and make operational a new institution with many innovative features.
- **Participation and Collaboration.** Recognizing the complexity of climate change adaptation, the Fund will proactively collaborate and seek synergies with their stakeholders in generating and sharing knowledge at local and global level.
- **Demand-driven:** Recognizing its unique nature the Fund will shape its KM efforts and activities mainly in response to its stakeholders' knowledge demands.
- **Flexibility.** The KM strategy, as any strategy, is a live document that should adapt to the changes and unforeseen events that may occur during its implementation.
- **Cost-effectiveness:** While creating the action plan, the cost-benefit of each KM activity and product will be evaluated in order to identify a realistic plan of action, prioritizing the activities that could generate the greatest impact for each dollar invested.

Annex 2: Adaptation Fund Knowledge Processes



(a) **Capture.** The secretariat identifies, collects and organize relevant data, information and knowledge available (internally and externally), contributing to build an updated and systematized body of knowledge accessible online to all Fund's stakeholders;

(b) **Learn.** Learning is regarded as crucial component of the strategy as it supports the development of capacity and contributes to create a knowledge culture within the Fund and among its stakeholders.

(c) **Share.** The Fund will share knowledge generated by its projects and by its own processes, with key stakeholders, in a mutual exchange of ideas and information.

(d) **Transfer/Reuse.** New knowledge products will distill and present in a coherent manner the knowledge generated by the individual projects. This step allows users to understand more clearly what the Fund experience brings to the discussion of adaptation issues. This step concludes the KM process and seeks to enhance adaptation projects effectiveness. Evidence-based results and lesson learned through the KM activities will inform strategies and policies at project level as well as institutional level.

Annex 3: Community Admin Guide

2.4.1 Community Admin Focus	2.4.2 Key Activities
2.4.3 Speed	2.4.4 Develop an expectation that community members, including subject matter 2.4.5 Experts and admins will respond to questions within 48 hours
2.4.6 Simplicity	2.4.7 Ease of navigation- when implementing changes structure and look and feel should be the same throughout the communities promote familiarity and cross pollination across communities. 2.4.8 Ease of use- easy to join communities. 2.4.9 The ability to communicate with others— especially subject matter expert (promote ask an expert)
2.4.10 Monitor (ongoing key role) 2.4.11	2.4.12 Monitoring discussion forums to ensure that questions receive timely responses; 2.4.13 Monitoring collaboration processes to see whether members are using them as intended; 2.4.14 Encouraging members to leverage network content and resources; 2.4.15 Communicating the value and purpose of the network to business leaders and sponsors, 2.4.16 Subject matter experts, and members; 2.4.17 Seeking feedback on the direction of the network; and working with network sponsors to ensure that the network’s focus continues to reflect the needs of members and the business.
2.4.18 Communication (CRITICAL)	2.4.19 Are community members aware of new items- a quarterly update?
2.4.20	2.4.21

Annex 4: Template for Identifying and Capturing Lessons Learned

Purpose of Document

This is a template to help the Adaptation Fund identify and capture lessons learned from projects, processes and other business activities. The template is meant to be used as a jumping off point, not an exact model to follow. The specific questions you should include when using this template should depend on the objectives of the project, process or activity you are capturing lessons learned from, the type and complexity of the information being collected and the needs of the target audience that will access and reuse the lessons.

Lessons Learned Template

- *Topic/Title of Lesson Being Captured:*
- *Business Unit/Department/Process Affected by Lesson:*
- *Date:*
- *Interviewee:*
- *Interviewer:*

Overview of Project/Process/Business Activity

- *Please describe the project, process or business activity under discussion*

What were the objectives and/or the planned outcomes of the above activity?

- *Objectives/Planned Outcomes*

Were there any relevant deviations or pitfalls from the process, objectives or planned outcomes?

Deviations/Pitfalls to Note

What was achieved? What was not achieved?

Overall, was the activity successful? Why or why not?

What were the biggest challenges you faced when executing this activity?

How did you overcome these challenges?

What behaviors, from yourself or others involved, contributed to the activities success or lack thereof?

What behaviors, from yourself or others involved, would you not recommend for someone repeating the activity?

Process

Please give an overview/describe the process followed to execute this activity.

What was the original timeline of completion for the process? What was the actual timeline of completion for the project? Please describe the reasons that caused any deviation to the timeline.

What components were critical in making this process successful?

What roles/who was critical in making this process successful?

What resources, tools or templates did you use in this process that you would recommend others use in the future when repeating the process?

What resources, tools or templates need to be created, edited or improved before they can be used when executing this process again in the future? Please describe with your proposed idea or solution for each.

Key Takeaways

How can others repeat and/or achieve success when executing the same or a similar activity?

How can others avoid similar disappointments when executing the same or a similar activity (if applicable)?

Overall, what overall best practice advice would you give someone executing the same activity?

Annex 5: Exit Interview Template

Purpose of Document

This is a template to help the Adaptation Fund identify and capture best practices and advice from individuals leaving the organization. The template is meant to be used as a jumping off point, not an exact model to follow. The specific questions you should include when using this template should depend on the objectives of the project, process or activity you are capturing, the type and complexity of the information being collected and the needs of the target audience that will access and reuse the information.

Exit Interview Template (to be used with colleagues or Board members)

- *Topic/Title of Lesson Being Captured:*
- *Business Unit/Department/Process Affected by Lesson:*
- *Date:*
- *Interviewee:*
- *Interviewer:*

Background

Background info of interviewee

What makes you successful in this role?

What were the challenges you faced?

How did you overcome these challenges?

Resources

What key resources or tools have you used?

Of these tools, which are some that you recommend others use in the future?

What tools did you need that you didn't have?

Key Takeaways

What is some advice to anyone stepping into this role?

Annex 6: Story Telling Template

(This template is designed to be used at face to face events such as seminars, webinars and workshops to transfer tacit knowledge. The stories should be recorded via video and transcribed and made available via the central repository.)

Goal: Sharing our knowledge through stories and past projects.

Theme: Identify content gaps/costs/peak experiences

Instructions to participants:

Please share a story/ experience of really complex challenge, how you found the information to work on this challenge, highlighting what you were/were not able to find. Please share what worked and knowledge gaps from your perspective. In conclusion, please tell us what you would like to see changed and share any ideas that you might have to facilitate that change.

As you think about the experience, please use this guide to help you.

- Title of story.
- Name of original teller.
- Landscape: set the scene in time and space.
- Dwelling place: describe the precise location where action occurred.
- Characters: provide a cast list, descriptive attributes and roles in story
- Challenge: report the problem or task that triggered the action
- Action: describe the sequence of events before, during and after your turning point
- Turning point: pinpoint the moment when the change happens
- Resolution: relate ending, including moral, lesson learned or message
- Key visual hooks: supply mnemonics to assist partner retelling the story

Annex 7: A Look at the External Horizon

Knowledge Management provides the strategic framework to manage explicit knowledge and content, in order to manage information more easily accessible and reusable. Additionally, KM provides structure and a dedicated focus to capturing tacit knowledge and promoting collaboration.

One of the main drivers in adoption of successful KM programs has been the shift in organizational culture. It is intended to break down silos. Some noteworthy initiatives include “Project Exodus”, a US Army KM initiative that promotes KM practices and techniques as well as collaboration between novices with experts. It concentrates on the capture and application of knowledge, especially tacit knowledge, to leverage organizational learning and enhance organizational competencies across the entire US Department of Defense (E-Government Institute, 2004). The European Union introduced a “good practice framework” which began sharing examples of knowledge discovery and transfer at local, regional, national and international levels. (Europa, 2005).

There are some formal and informal knowledge management maturity levels, and it is essential to keep the context in mind when examining organizations at various stages in their KM maturity and evolution. Several of their practices, while extremely effective, may not align to the Adaptation Fund’s readiness or current culture in its present state. However, by review various case studies and best practices; this will enable a sound planning process.

Objectives

Effective knowledge sharing requires a strong communication of **people, process and technology**. There is a need for clear accountability, resource allocation and a strong focus on change management. This section includes an analysis of future trends and innovative trends in the field.

It examines some a few organizations and their approach to knowledge management. These organizations were selected to highlight various industries, scope and size, who have established Knowledge Management programs and have been benchmarked by regional KM programs. To ensure key learning opportunities are evaluated, this section reviews the World Bank Group (WBG), UNDP and DFID who are more closely aligned to the Adaptation Fund in scope and other organizations whose experience offers valuable learning opportunities related to their KM journey namely Government of Alberta, Canada, Swiss Development Cooperation, NHS Scotland and Kenyan Ministry of Health.

I. The World Bank Group

The World Bank Group (WBG) is a very large organization with a well-established knowledge management team and a budget of over 600 million dollars a year towards knowledge sharing activities. While the scope and size of this organization far exceeds the Adaptation Fund, the WBG’s KM strategy and tools are selected for review as there are potential opportunities to leverage some of the relevant tools, as well as replicate some key initiatives that will align with the Adaptation Fund’s knowledge management program objectives.

Strategy and Approach at WBG⁷

World Bank president and knowledge management sponsor, James D. Wolfensohn, former President of the World Bank, envisioned a “knowledge” bank to enable it to play “a leading role in [a] new knowledge partnership.” World Bank aspired to use knowledge management to increase employee effectiveness and efficiency across the organization. Knowledge management would be rolled out in stages: The first focus was on making knowledge easily accessible to World Bank staff. Secondly knowledge distribution would be expanded to external clients and partners; and lastly external knowledge would be incorporated into its system, thereby defining itself as a clearinghouse for sustainable development knowledge.

World Bank defined four areas of knowledge management to be enabled:

- Information
- Personal thinking
- Discussion
- Knowledge synthesis.

The Bank appointed a role of Program Director for knowledge management to drive the organizational strategy and an institutional task force to define an implementation road map. World Bank Initially identified 80 domains of expertise and built global “communities of practice” from informal communities around each domain to share information and build knowledge. Each community was charged with establishing a help desk, creating an expert directory, gathering relevant project history including best practices and lessons learned, and setting up electronic bulletin boards with the help of a full-time knowledge manager and operational staff. A dedicated knowledge management staff oversaw the development and establishment of an enterprise-wide integrated knowledge management framework and classification system.

Relevant learning for the Adaptation Fund

The Adaptation Fund is in a position to potentially leverage some key IT tools uses by the WBG. One of the key platforms that the Adaptation Fund should look more closely as is Collaboration for Development (C4D). The C4D platform is both an internal and external platform. Select communities of practice are open to external users while others are internal only. They have also used this as a way to engage alumni in contributing tacit knowledge via this platform.

Some of the key features of this application include centralization, ability to follow users, gamification features such as likes and endorsements and does require authentication to login in. The tool is mobile optimized and is considered very user friendly.

⁷ See <http://www.kmbestpractices.com/world-bank.html>.

WELCOME TO COLLABORATION FOR DEVELOPMENT (C4D)

A secure social collaboration platform focused on development issues, hosted by the World Bank Group. C4D enables online brainstorming, consultations, discussions, knowledge-sharing and learning among people working on similar topics—from education to mega-disasters.

upgraded

BROWSE COMMUNITIES BY TOPIC

• Agriculture	• Gender	• Poverty
• Climate Change	• Governance	• Public Private Partnerships
• Education	• Health, Nutrition & Population	• Social Protection & Labor
• Energy & Extractives	• Information and Communications	• Trade & Competitiveness
• Environment & Natural Resources	• Jobs	• Transportation & ICT
• Fragility, Conflict & Violence	• Knowledge & Learning	• Urban, Rural & Social Dev
• Finance & Markets	• Macroeconomics & Fiscal Mgmt	• Water

RECENT ACTIVITY Filter ▾

Social News

- kamyogo joined [Global Forum on Law, Justice and Development \(GFLJD\)](#)
- theanykdi and javy joined [Knowledge Hubs](#)
- 883743 joined [Collab4Dev Community Managers Roundtable](#)
- 914706 joined [Public Procurement Knowledge Exchange Platform](#)
- 1274060 joined [Africa Knowledge Hub - #AKHNetwork](#)

QUICK LINKS

- LOG IN/REGISTER
- POPULAR COMMUNITIES
- YOUR EXPERIENCE
- EDIT YOUR PROFILE
- EMAIL NOTIFICATIONS

MY GROUPS

GUIDELINES FOR GENERAL USE – PLATFORM

C4D is a community of communities where development practitioners collaborate around projects, share and discuss knowledge, crowd source ideas and work together to end extreme poverty and increase shared prosperity.

C4D is a professional, multi-cultural environment with common goals. While using this platform it is advised to adhere to the following and please behave accordingly:

- Be respectful of others and their opinions
- Feel free to ask questions and be ready to answer questions as well
- Please avoid posting content that promotes or sells products

The WBG is developing a body of knowledge and practice that recognizes the importance of local conditions and tacit knowledge to support “adaptive” practitioners. It aims to encourage institutions and partners worldwide to capture and share tacit and implicit knowledge, and evidence from research and evaluation and facilitate this knowledge from and to front-line implementers.

A key learning for the Adaptation Fund is a clear approach to the role the Fund will play in knowledge related activities as well as the types of knowledge related products. At the WBG, the role the WBG plays as that of a knowledge institution includes three functions: *producing and disseminating* high-quality global and country knowledge; *working with clients to customize* policies and programs to meet specific challenges, and *connecting* government, civil society and private sector. In reviewing the lessons learned by the WBG, they realize that they should focus on “how to” options rather than diagnostics and “what to do” recommendations, stay engaged in adaptive during implementation using e.g., programmatic approaches, keep in focus countries’ mid-term development agenda and focus on multi-sectoral development solutions.

II. Government of Alberta, Canada

The Alberta Government Knowledge Management Framework is robust and provides a holistic approach to Information Management and Collaboration. Some of the reasons that it is very good example for consideration is the comprehensive picture of the vision, aims and objectives for knowledge management in the Public Health area.

The Government of Alberta’s KM Framework emphasizes an “all-of-government” approach to addressing public health issues making it relevant to a variety of government departments. The Alberta KM Framework contains strategies that echo the four key elements found as identified in the

literature: Culture, Content, Process and Technology. Moreover, some of the outcomes of the Alberta KM Framework overlap with the strategic objectives of the Government.

Figure 2: Alberta Government Knowledge Management Framework

Knowledge management is a systematic approach to ensuring ready and available access to knowledge and collective expertise in order to carry out the business of the Government of Alberta through capturing sharing, using, and leveraging what people know.				
DESIRED OUTCOME	READY AND AVAILABLE ACCESS TO KNOWLEDGE AND COLLECTIVE EXPERTISE IN ORDER TO CARRY OUT THE BUSINESS OF THE GOVERNMENT OF ALBERTA.			
PRINCIPALS	Integration into Day-to-Day operations	Learning Environment	Intentional Sharing	Access Corporate Memory
	Knowledge management becomes part of the way we do business	Learning and development is supported and encouraged for all roles in the organization.	Knowledge transfer is a priority, occurs openly and becomes part of the expected set of behaviours	Knowledge is documented and shared in order to access corporate memory.
ENABLING FACTORS (What do you need to make this happen?)	<ul style="list-style-type: none"> • Linked to long-term objectives • Is part of business and operational strategies • Accountability in all roles 	<ul style="list-style-type: none"> • Create a partnership culture encouraging learning and collaboration • Value openness, questioning and exploring • Learning/ teaching organization 	<ul style="list-style-type: none"> • Modeling the way • Integrate into culture • Integrated into business processes • Link knowledge sharing and learning into performance 	<ul style="list-style-type: none"> • Document lessons learned • Benchmark best practices/ processes • Communities of practice • Leverage databases, information and technology
STRATEGIES (Focus Areas)	PEOPLE			
	INFORMATION			
	PROCESS			
	TECHNOLOGY			
SUPPORTING LINKAGES	<ul style="list-style-type: none"> • Ministry and Government business plans • Ministry human resource plans • Succession management initiatives • Ministry business planning processes 	<ul style="list-style-type: none"> • Alberta service learning information • Ministry guidelines and practices • APS Human Resources Plan 	<ul style="list-style-type: none"> • Coaching and mentoring program • Information Management Framework • Performance management process • Leadership development activities 	<ul style="list-style-type: none"> • Corporate and Ministry KM initiatives • Information Management Framework • Information technology

Government of Alberta, April 2004

Relevant Learning for the Adaptation Fund

Establishing a strategic framework that looks at the secretariat, as well as Implementing partners is key. Syed-Ikhsan & Rowland (2004) emphasize the importance of partnerships: “the answer to KM in the public sector lies not in a standardized approach to the management of technology, but in a partnership between managers, professionals and service users that is built on a sharing of knowledge and its use and creation” (as cited in Haynes, 2005, p.134).

III. *Swiss Development Cooperation*

Networks and Collaboration are a key area of knowledge management and are often overlooked by KM professionals as they tend to focus on Information Management. While Information management is relevant it is merely the beginning of a Knowledge Management Strategy. Estimates show that 90% of knowledge is tacit knowledge and organizations. The Swiss Development Cooperation has a robust knowledge management program and provides a very good example of strong network and collaboration programs. Learning and networking are at the core of knowledge work in the Swiss Agency for Development and Cooperation (SDC):

The main goals are to:

- Ensure access to knowledge and information the ability to use it to the benefit of countries and people in the South and East, and
- Promote knowledge sharing among collaborators and partners to enhance effective innovative programs and policies.

**"The cheapest way to learn
is to learn from the
experiences of others."**

and

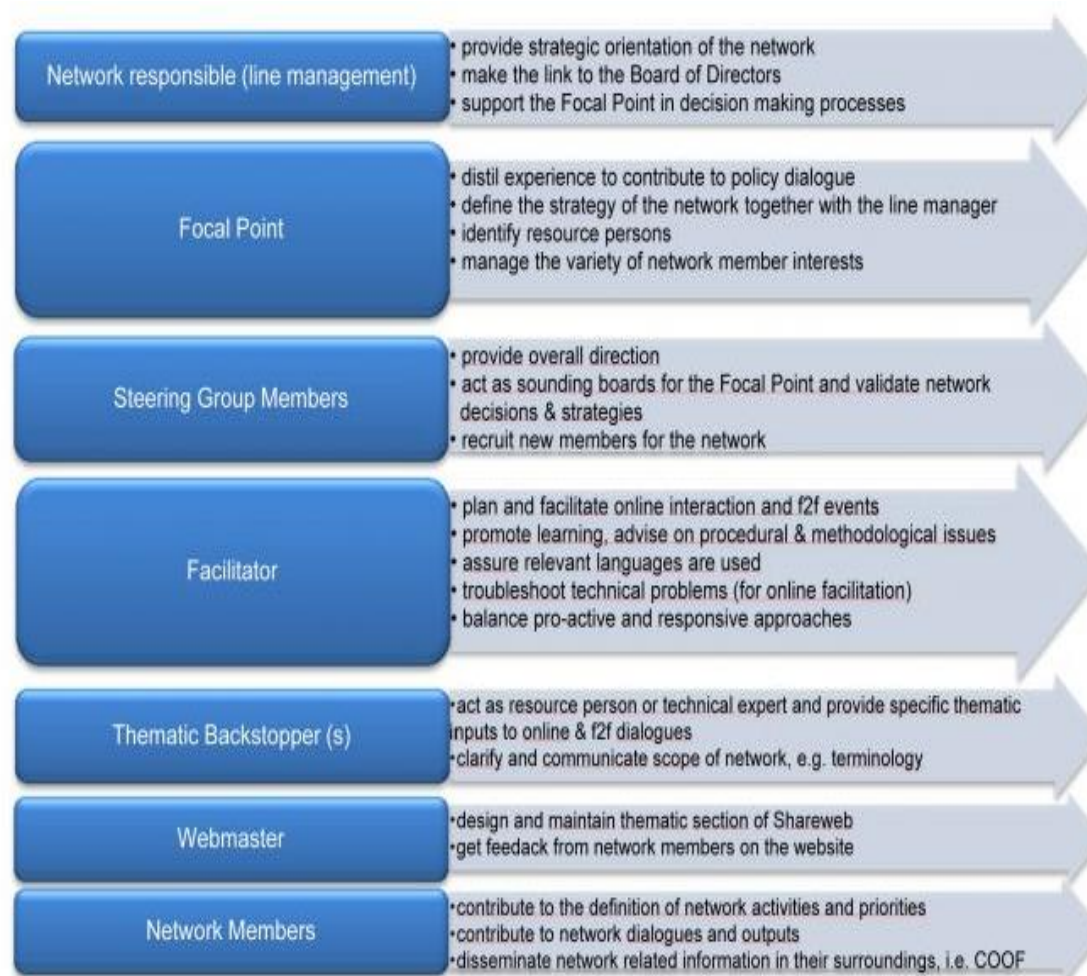
and

Approach to Networks

In examining roles and responsibilities at SDC we learn that there is an institutional mandate of the SDC thematic networks is to **exchange knowledge and experience** in various thematic areas and upgrade the thematic **competence** of its members. The SDC has a Focal Point who has a leading role. Since these are open ended networks, the local points can design the role themselves based on the network strategy.

Details on the network and some examples of posts and knowledge sharing are available at: <https://www.sdc-learningandnetworking-blog.admin.ch/category/sdc-networks/>.

The various roles used by the SDC in collaboration and networks are listed in the visual representation.



Strategy at the SDC

In 2008 SDC adopted a new organizational structure where SDC collaborators working in sectorial (technical) operations or policy dialogue on focus themes are linked through thematic learning networks. The responsibilities for the technical quality of operations and policy dialogue are rooted in the operational/geographic line. The responsibilities for sectorial (technical) policy work and for the learning networks on focus themes have been decentralized. Most regional operational divisions are responsible for one of SDC's focus themes.

Relevant Learning for the Adaptation Fund

The SDC provides various how to guides and a knowledge management toolkit to provide guidance on how to use key KM processes. This is applicable to the Adaptation Fund to enable implementing partners as well as various countries key tools so to enable knowledge capture at every level. This is a scalable solution that will help all relevant stakeholders begin some key knowledge management initiatives.

The SDC has several lessons learned related to communities of practices and they should be included in the Adaptation Fund's Knowledge Community. The SDC has a strong focus on sharing

knowledge and expertise. Their prior work with smaller countries and insights will be a valuable asset for the KM focal point at the Adaptation Fund.

IV. Kenya Ministry of Health

In 2010, the Kenya Division of Reproductive Health (DRH) undertook updating the public facing portal that had not been updated since 2006. Updating the portal was a cumbersome process with multiple sources of information and various stakeholders. Additionally, several DRH staff and other health professionals were unaware of the website. As a result, the Kenyan health professionals lacked centralized access to high-quality, up-to-date policies and guidelines in reproductive health, and the general public lacked information about DRH programs and services.

Approach

- The technical staff identified four objectives for the redesigned DRH portal:
- To promote the DRH's programmatic and technical strengths
- To promote information sharing among partners on best practices in reproductive health and family planning
- To provide health professionals, the public, and the media with easy-to find information about the DRH its services
- To enhance internal and external DRH communication.

Using GoToMeeting, a virtual meeting tool, the K4Health staff trained two DRH staff and three FHI 360-Kenya staff on how to use the toolkit content management software to revise page text and remove or upload documents as needed to keep the toolkit current. Several national guidelines and strategy documents were launched at the same time, including the first national guidelines on reproductive tract cancers and a cervical cancer strategic plan. DRH staff distributed bookmarks to improve awareness about the revamped website.

What worked well

“Good leadership and having a participatory process are critical ingredients for developing an online Toolkit,” he notes, “because these ensure quality and broad based information that fulfill the needs of the users.”

Other elements of the project that facilitated success include:

- Effective technical support from staff
- Commitment of the leadership team to revamp content and partnership with key focal points and technical staff
- Open communication and trust among all partners

Challenges and obstacles

- Due to competing responsibilities and priorities, staffs were delayed by several months in reviewing the website content.
- Staff turnover at FHI 360 in the middle of the project also caused delays.
- The original six-month time frame allotted to the project had to be extended to 12 months.

- Using GoToMeeting to conduct training was an economical choice, but some face-to-face training would have been helpful.
- Staff turnover at DRH has been an ongoing issue. Staff who had received training on how to use the website content management system has now left their positions. New DRH staff will need to be trained so the DRH can continue to update and maintain the site.

Key Learning for the Adaptation Fund

The Adaptation Fund needs an Omni channel strategy for KM initiatives and visibility. The website and CKD network are two opportunities. The Kenyan team's journey can be valuable to ensure focus on end users and approach with any activities related to the website. Some of the key learnings related to website and KM portal rework include:

1. Collaborate at all levels developing a good knowledge portal/internal or external requires good leadership and commitment, and the process should be participatory.
2. Take time to develop page text and select the best resources. Allocate sufficient time in the project schedule for developing content for web pages and for selecting and reviewing new resources.
3. Plan for maintenance. Ensure that work plans and job descriptions are revised to include maintenance of the portal, in addition to creating or redesigning the portal.

V. *NHS Scotland*

NHS Health Scotland is a national Health Board working with the public and private sectors working to reduce health inequalities and improve health. The NHS Scotland already has a strong national knowledge infrastructure in the form of the Knowledge Network from NHS Education for Scotland, the guidelines and evidence summaries from Healthcare Improvement Scotland, and the library services workforce.

A key aim of the Knowledge into Action Strategy is to strengthen the role of NHSS librarians in providing expert evidence search and summary services to support frontline practice, service improvement and transformation. In addition to building this support within individual Boards, the strategy aims to establish a national role for the NHSS librarian network in providing evidence summaries to supporting health and social care development priorities across Scotland.

Approach



How we are implementing Knowledge into Action

1. Finding and combining knowledge from research and experience, know what, know where and know who.
2. Packaging knowledge in easy-to-use formats in day-to-day practice – e.g. decision aids, pathways, mobile apps.
3. Sharing and spreading knowledge through people networks – e.g. communities of practice and social networking.
4. Developing capability, training health and social care staff to find, share and use knowledge for themselves.
5. Using technology – a national plan to improve access and enable the workforce to use technology to transform care.
6. Becoming knowledge brokers; librarians and other knowledge brokers working together as a network to implement Knowledge into Action.

Key Learning for the Adaptation Fund

The NHS Scotland developed clear and concise messaging to ensure both direct and indirect stakeholders understood the focus, strategy and key priorities for the program. The one pager below promotes the what, why and how for the Knowledge into Action initiative.

This was circulated and forwarded and allowed for better adoption and reporting related to these key initiatives. It was particularly beneficial developing more local KM Champions and needed awareness.



Please forward to your networks

What is Knowledge into Action?

Knowledge into Action (K2A) is the strategy to help Scotland's health and social services to apply knowledge into frontline practice and service improvement.

What are we planning to achieve?

The vision is of a network of knowledge brokers, working closely with practitioners, planners and policy makers, to provide a portfolio of services which help to translate knowledge into frontline practice and service improvement.

How will we achieve this vision?

NES, HIS, and Social Services partners are delivering a national knowledge implementation plan for health and social services for 2013-16 which will be approved by the Knowledge Advisory Board. This plan includes five workstrands to develop knowledge into action support, and four national projects to apply knowledge support to deliver impact in priority areas.

What are the K2A work strands?

These workstrands are developing the resources, tools and skills that will help practitioners to apply knowledge in practice.

- (1) **The knowledge broker network:** We are developing capabilities across the network of people who collaborate with frontline staff to help them to apply knowledge in practice - e.g. librarians, learning and development staff, researchers.
- (2) **Creating connections:** We are developing collaborative processes to coordinate knowledge support within and across organisations to local and national projects that apply knowledge to health and social services priorities.
- (3) **Capacity and capability:** We are developing organisational and workforce skills and behaviours in finding, sharing and using knowledge to support service improvement.
- (4) **Actionable knowledge:** We are developing tools and processes for packaging and sharing knowledge in formats that makes it easy for practitioners to apply in practice.
- (5) **Technology Enabled Learning:** This national strand aims to enable the workforce to use technology to transform care, supported by an integrated platform to deliver knowledge and learning to frontline staff in the workplace.

What are the 4 national priorities for Knowledge into Action?

- 1. Early Years
- 2. Person Centred Care
- 3. Adverse Events
- 4. People with Multiple Conditions (click picture for more information)



What's the 'portfolio of services'?

A range of tools and processes to help sharing and use of knowledge - e.g. communities of practice, clinical pathways, care bundles, expert evidence search, mobile apps, evidence summaries.

Read the full strategic papers:

- [Getting knowledge into action to improve healthcare quality: report of a strategic review and recommendations.](#)
- [A strategy and action plan for embedding knowledge into practice in Scotland's Social Services 2012-2015](#)

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Annex 8: Trends in Knowledge Management

When devising a KM Strategy there are some major advances to consider and account for in the approach. Some of the most applicable ones for the Adaptation Fund to consider are highlighted below:

Big Data

Big Data refers to big data analytics related to the large amounts of data particularly in governments and the public sector. The process of seeking insights, by combining these data points and analyzing them. There is a very good example of the possibilities and potential of leveraging transaction data to forecast change is provided by an MIT study⁹⁰ and is titled 'The Future of Prediction: How Google Searches Foreshadow Housing Prices and Sales'.

Big Data is important to the Adaptation Fund given the number of project reports that are produced. It is important to use metadata to improve findability and to understand which knowledge products are currently being used, searched for and where there are gaps. This is important as information must be useful and ideally reusable. By assessing these trends on a regular basis it will allow the Adaptation Fund to refine knowledge products, understand areas where there is additional demand and allocate knowledge resources more effectively.

Social Media

Social Media has become one of the main ways people communicate via tools such as Facebook, Twitter, and LinkedIn. This is now a powerful way for governments to engage a whole community of people. Social Media usage can be a very powerful tool for governments and does require a strategy. The UK Cabinet Office is a good example. In the summer of 2012, the Cabinet Office and the DCLG published 100 a useful list of sources of information on how best to use social media. The advice published by the Government Digital Service¹⁰¹ is a useful starting point. This was produced as part of the UK Government ICT strategy.

The Adaptation Fund uses social media tools such as Facebook and Twitter and these tools this should be continued. People consume knowledge in various ways and usage of such tools should be optimized. Social media should focus on engagement and adoption and continue to help with brand awareness and key messaging.

BYOD: Bring your own device

There has been an explosion in the use of smart devices particularly with smartphones and tablets. Staff is now able to do a significant amount of work while traveling or working remotely via these devices. BYOD policies allow for employees to use these devices with the appropriate permissions. BYOD is considered one of the leaders in new trends and has to be considered as part of a KM Strategy as it relates to capturing tacit knowledge, accessing explicit knowledge as well as social collaboration.

The Adaptation Fund must ensure that new knowledge tools or current tools should cater to these needs to ensure that information is available at the right time in the right format.

Gamification

Gamification is a powerful enabler in knowledge management. Essentially, gamification takes the essence of games: fun, play and passion and applies them to real world, non-game situations. In business, this can mean designing solutions that uses these principles to improve the efficiency of tasks such as back office tasks to make them more engagement. Utilizing them in career development, training activities also engage individuals towards a community concept. Some of the main tools in social collaboration overlay such concepts in their tools through likes, comments, badges, leaderboards etc. Companies such as Bunch Ball are doing extensive key work in this field.

The Adaptation Fund should consider this as they look at any social collaboration tool as well as the website and social media tools. The ability to comment, share, rate and like information are valuable motivators for peer recognition.

Polarities in developing a knowledge management program

The exploration of challenges and trends in Knowledge Management has revealed a series of polarities on various levels that cannot be solved and that drive the development of Knowledge Management in organizations. Some of those are adapted from a publication by Spencer, Roduner and Deppeler in Agridea.

Integrate of KM into the strategy and key processes – & – Act flexibility and independent as change agent

Work bottom-up and 'build on champions' – & – ensure and make use of top down 'management support'

Ensure accountability – & – Dare to try out

Make meaningful recording of what is known – & – Create genuine exchange and learning processes

Serve the need for simplicity and clarity – & – Foster openness for complex issues and the unknown

Access to lots of information (open access) – & – Access to specific information (filtering)

ANNEX VI

AFB 28 Funding Decisions: October 7, 2016)

	Country/Title	IE	Document Ref	Project	NIE	RIE	MIE	Set-aside Funds	Decision
1. Projects and Programmes: Single-country									
	Antigua and Barbuda	ABED	AFB/PPRC.19/15	9,970,000	9,970,000				Not approved
	Ethiopia	MOFEC	AFB/PPRC.19/16	9,975,486	9,975,486				Not approved
	India	NABARD	AFB/PPRC.19/17	2,556,093	2,556,093			2,556,093	Approved
	Panama	Fundación Natura	AFB/PPRC.19/18	9,964,859	9,964,859				Not approved
	Micronesia (Fed. Sts of)	SPREP	AFB/PPRC.19/19	9,000,000		9,000,000			Not approved
	Peru	CAF	AFB/PPRC.19/20	2,941,446		2,941,446			Not approved
	Lao People's Democratic Republic	UN-Habitat	AFB/PPRC.19/21	4,500,000			4,500,000	4,500,000	Approved
	Paraguay	UNEP	AFB/PPRC.19/22	7,128,450			7,128,450		Not approved
	Sub-total			56,036,334	32,466,438	11,941,446	11,628,450	7,056,093	
2. Project Formulation Grants: Single country									
	Namibia (1)	DRFN	AFB/PPRC.19/6/Add.1	30,000	30,000			30,000	Approved
	Namibia (2)	DRFN	AFB/PPRC.19/7/Add.1	30,000	30,000			30,000	Approved
	Dominican Republic	IDDI	AFB/PPRC.19/8/Add.1	30,000	30,000				Not approved
	Indonesia	Kemitraan	AFB/PPRC.19/9/Add.1	29,550	29,550				Not approved
	Sub-total			119,550	119,550			60,000	
3. Concepts: Single-country									
	Namibia (1)	DRFN	AFB/PPRC.19/6	750,000	750,000				Endorsed
	Namibia (2)	DRFN	AFB/PPRC.19/7	750,000	750,000				Endorsed
	Dominican Republic	IDDI	AFB/PPRC.19/8	9,954,000	9,954,000				Not endorsed
	Indonesia	Kemitraan	AFB/PPRC.19/9	3,808,416	3,808,416				Not endorsed
	Ecuador	CAF	AFB/PPRC.19/10	2,489,373		2,489,373			Not endorsed
	Marshall Islands	SPREP	AFB/PPRC.19/11	7,484,873		7,484,873			Not endorsed
	Togo	BOAD	AFB/PPRC.19/12	10,000,000		10,000,000			Endorsed
	Fiji	UN-HABITAT	AFB/PPRC.19/13	4,200,000			4,200,000		Endorsed
	Solomon Islands	UN-HABITAT	AFB/PPRC.19/14	4,395,877			4,395,877		Endorsed
	Sub-total			43,832,539	15,262,416	19,974,246	8,595,877		
4. Projects and Programmes: Regional									
	Chile, Ecuador	CAF	AFB/PPRC.19/30	13,910,400		13,910,400			Not approved

	Burundi, Kenya, Rwanda, Tanzania, Uganda	UNEP	AFB/PPRC.19/31	5,000,000			5,000,000		Not approved
	Cambodia, Lao People's Democratic Republic, Myanmar, Thailand, Vietnam	UNESCO	AFB/PPRC.19/32	4,898,775			4,898,775		Not approved
	Ethiopia, Kenya, Uganda	WMO	AFB/PPRC.19/33	6,800,000			6,800,000		Not approved
Sub-total				30,609,175		13,910,400	16,698,775		
5. Project Formulation Grants: Regional Concepts									
	Benin, Burkina Faso, Ghana, Niger, Togo	BOAD	AFB/PPRC.19/25/Add.1	80,000		80,000		80,000	Approved
	Colombia, Ecuador	WFP	AFB/PPRC.19/27/Add.1	80,000			80,000	80,000	Approved
	Kyrgyzstan, Tajikistan, Uzbekistan	UNESCO	AFB/PPRC.19/28/Add.1	78,000			78,000		Not approved
	Mauritius, Seychelles	UNDP	AFB/PPRC.19/29/Add.1	80,000			80,000	80,000	Approved
Sub-total				318,000		80,000	238,000	240,000	
6. Concepts: Regional									
	Benin, Burkina Faso, Ghana, Niger, Togo	BOAD	AFB/PPRC.19/25	14,000,000		14,000,000			Endorsed
	Guatemala, El Salvador, Honduras, Nicaragua, Costa Rica, Panama and Dominican Republic	CABEI	AFB/PPRC.19/26	5,994,625		5,994,625			Not endorsed
	Colombia, Ecuador	WFP	AFB/PPRC.19/27	14,000,000			14,000,000		Endorsed
	Kyrgyzstan, Tajikistan, Uzbekistan	UNESCO	AFB/PPRC.19/28	5,000,000			5,000,000		Not endorsed
	Mauritius, Seychelles	UNDP	AFB/PPRC.19/29	4,900,000			4,900,000		Endorsed
Sub-total				43,894,625		19,994,625	23,900,000		
7. Pre-concepts: Regional									
	Benin, Burkina Faso and Niger	OSS	AFB/PPRC.19/23	4,542,250		4,542,250			Endorsed
	Madagascar, Malawi, Mozambique and Union of Comoros	UN-HABITAT	AFB/PPRC.19/24	13,544,055			13,544,055		Endorsed
Sub-total				13,544,055			13,544,055		
8. Total (8 = 1 + 2 + 3 + 4 + 5+6+7)				188,354,278	47,848,404	65,900,717	74,605,157	7,356,093	