



ADAPTATION FUND

AFB/B.28/9
2016 年 12 月 21 日

适应基金董事会
第二十八次会议
德国波恩，2016 年 10 月 6-7 日

适应基金董事会 第二十八次会议报告

简介

1. 适应基金董事会（“董事会”）第二十八次会议于 2016 年 10 月 6-7 日在德国波恩的“Langer Eugen”联合国大厦举行，在此之前，董事会的项目审查委员会（PPRC）、道德与财务委员会（EFC）分别召开了第十九次会议。
2. 本次会议通过适应基金（“基金”）和“联合国防治沙漠化公约”（UNCCD）的网站直播，UNCCD 为董事会及各委员会的会议提供了后勤和行政支持。
3. 本报告附件一为出席本次会议的董事会成员和候补成员名单。如需获准参会的观察员名单，请到适应基金网站查阅 AFB/B.28/Inf.3 号文件。

议程项目 1：会议开幕

4. 2016 年 10 月 6 日星期四上午 9:10，董事会主席 Naresh Sharma 先生（尼泊尔，最不发达国家）宣布会议开幕。

议程项目 2：组织事项

a) 通过议程

5. 董事会审议了 AFB/B.28/1/Rev.1 号文件中的临时议程，AFB/B.28/2 号文件中的临时加注议程以及临时时间表。

6. 会议建议在“其他事项”下增加两项内容，主题分别为“对话《联合国气候变化框架公约》（UNFCCC）的执行秘书长 Patricia Espinosa 女士”、“招聘秘书处负责人新人选的进展”。
7. 董事会通过口头修订后的议程，议程见本报告**附件二**。
- b) *工作安排*
8. 董事会通过主席提出的工作安排。
9. 主席欢迎 Chebet Maikut 先生（乌干达，最不发达国家）作为候补成员加入董事会。根据闭会期间的第 B.27-28/6 号决议，Maikut 先生接替 Ewans Njewa 先生（马拉维，最不发达国家）的席位。Maikut 先生做了简短的自我介绍。
10. 下述董事会成员、候补成员声明存在利益冲突：
 - a) Yerima Peter Tarfa 先生（尼日利亚，非洲）
 - b) Aram Ter-Zakaryan 先生（亚美尼亚，东欧）
 - c) Lucas Di Pietro Paolo 先生（阿根廷，拉丁美洲和加勒比地区）
 - d) Emilio L. Sempris Ceballos 先生（巴拿马，拉丁美洲和加勒比地区）
 - e) Irina Helena Pineda Aguilar 女士（洪都拉斯，拉丁美洲和加勒比地区）
 - f) Chebet Maikut 先生（乌干达，最不发达国家）
 - g) Fatuma Mohamed Hussein 女士（肯尼亚，非附件一缔约方）
 - h) Patience Dampney 女士（加纳，非附件一缔约方）
11. 适应基金董事会秘书处（秘书处）负责人 Marcia Levaggi 女士声明，针对阿根廷国家实体来函的讨论与她有利益冲突。

议程项目 3：主席工作报告

12. 主席报告了他代表董事会开展的工作。自上次董事会会议以来，他参加了在纽约举行的《巴黎协定》签署仪式，在华盛顿与秘书处讨论即将举行的 UNFCCC 附属机构会议以及董事会的一些其他事务，基于董事会批准的赠款，他签署了基金与实施实体的协议。3 月底、4 月初代表董事会参加了在刚果民主共和国首都金沙萨举行的两个会议，即《巴黎协定》签订后的最不发达国家专家组会议和最不发达国家部长级会议。秘书处在会议上两次发言，介绍了适应基金以及《巴黎协定》背景下的适应融资格局。5 月份，主席代表董事会参加了在波恩举行的 UNFCCC 附属机构的第四十四次会议，他参加了联络小组，小组讨论了基金第三次审查的任务大纲并达成一致；在会议间隙主持了一场边会；主持了捐助方对话，由瑞典气候变化大使 Anna Lindstedt 女士主导的此次对话展示了国家实体的经验。他与绿色气候基金（GCF）董事会的联席主席 Zaheer Fakir 先生、另一位联席主席的顾问会谈，讨论两个基金的潜在关系。最后，他还与加拿大外交部主管气候变化的主任会面，介绍了基金的工作和筹资目标。

13. 适应基金董事会把主席的工作报告记录在案。

议程项目 4：秘书处工作报告

14. 秘书处负责人报告秘书处在闭会期间的工作，详细介绍见文件 AFB/B.28/3。

15. 鉴于与基金捐助方和潜在捐助方会谈的重要性，她报告了几次会谈的情况。5 月份 UNFCCC 附属机构四十四次会议期间，她在波恩与加拿大外交部的代表会面。之后，她与秘书处成员到意大利和法国，与两国负责气候融资的政府官员会谈，来自意大利和法国的董事会成员提供了协助并参加了会议。此外，秘书处通过电话会议的方式，与加拿大魁北克省对外关系办公室进行了有关捐助的会谈。

16. 在闭会期间，她分别在附属机构会议、摩洛哥拉巴特与 UNFCCC 缔约方会议（COP）的候任主席、摩洛哥首席谈判官 Aziz Mekouar 大使会面，讨论将在 COP 第二十二次会议（COP22）上提出的与基金相关的问题，其中最重要的即基金服务于《巴黎协定》的路线图和基金的资金可持续性。还有一些政府代表参加了在拉巴特的会谈。

17. 秘书处负责人借此机会介绍了两名员工：高级项目助理 Sophie Hans-Moevi 女士和传播专家 Matthew Pueschel 先生，前者于 7 月份加入秘书处，后者虽然在上次董事会会议上已经介绍过，但此次是他首次参会。秘书处负责人表示，本会是她作为秘书处负责人参加的最后一次会议，她发表个人感言后结束了报告。

18. 适应基金董事会把秘书处的工作报告记录在案。

议程项目 5：认证小组报告

19. 认证小组（“小组”）主席 Yuka Greiler 女士（西欧和其他国家集团）介绍 2016 年 8 月 29-30 日在华盛顿特区召开的第二十三次小组会议的报告（文件 AFB/B.28/4），和认证申请表更新版本（文件 AFB/B.28/4/Add.1）。她说，认证小组于 2016 年 6 月 2-3 日在华盛顿特区召开了第二十二次会议，会议报告已在闭会期间提交给董事会（文件 AFB/B.27-28/02）。

20. 在第二十三次会议上，小组开始审议 1 份国家实体新申请和 6 份国家实体重新认证申请，并继续审议 10 份国家实体申请和 1 份区域实体申请。在闭会期间，董事会审议了小组建议，批准重新认证世界气象组织（WMO）为多边实体（第 B.27-28/7 号决议）。自第二十三次会议以来，小组又收到了一份重新认证申请，指定负责人撤回了一份国家实体认证申请，并推荐了替代实体，后者正在准备申请认证。

21. 小组正在审议的总计有 10 份国家实体申请、1 份区域实体申请。主席介绍了总体认证情况：迄今基金共有 42 个认证的实施实体，其中国家实体 24 个、区域实体 6 个、多边实体 12 个。24 个国家实体中，亚太地区 5 个，非洲地区 8 个，拉美加勒比地区 11 个。4 个国家实体来自最不发达国家（LDC），6 个国家实体来自小岛屿发展中国家（SIDS）。另外认证队列中还有 17 份来自最不发达国家的国家实体认证申请，5 份来自小岛屿发展中国家的国家实体认证申请。更大范围而言，115 位指定负责人共推荐了 97 个实施实体，提交认证申请的有 75 个，其中正在审议的申请有 16 份。

22. 在第二十三次会议的其他事项下，小组讨论了反洗钱和打击资助恐怖主义议题。讨论认为不需要增加新条件，因为与认证实体签署的标准法律协议和受托人向实施实体转账的程序已经妥善涵

盖了相关问题，而且受托人程序遵循了世界银行集团的程序规定。尽管如此，为了增加各方认识，可以在实施实体能力建设活动中增加相关内容。

23. 小组还完成了有关环境和社会政策、性别平等政策的认证指导说明，并已在闭会期间提交获董事会批准（第 B.27–28/28 号决议），小组同时更新了认证申请表（文件 AFB/B.28/4/Add.1），更新主要是反映新的性别平等政策，以便向董事会提供相关信息。

24. 小组第二十四次会议计划于 2017 年 1 月 31 日到 2 月 1 日举行。

25. 适应基金董事会把认证小组的工作报告记录在案。

议程项目 6：项目审查委员会第十九次会议报告

26. 项目审查委员会主席 Yerima Peter Tarfa 先生（尼日利亚，非洲）、副主席 Monika Antosik 女士（波兰，东欧）共同介绍委员会第十九次会议报告（文件 AFB/PPRC. 19/36）。Antosik 女士首先阐述报告和委员会提出的前十项建议，Tarfa 先生报告了其建议并确认，只有国家实体有资格申请项目准备赠款；获批的印度项目总额尚未超出国家上限。

27. 委员会做出了大量不批准概念和提案的建议，针对相关疑问，秘书处代表解释说，本次会议获批项目比例较低，原因在于审议的提案和资金申请数量之多前所未有，其中许多是首次提交给董事会的新提案，一些申请方不熟悉申请流程。6 个未批的完备提案中，5 个为首次提交。

28. 在首次提交的提案中，委员会经常发现申请方忽略了一些内容；未通过的 4 份概念中，3 份是首次提交，而且未留出充足的修订时间。另外为了利用试点方案的现有资金，申请方似乎急于提交区域提案，而一些提案其实并不完备。要知道，建立备选库的原因之一就是消除提交未成熟项目的压力。

29. 有人问是否有必要为实施实体提供更多指导，有人指出准备项目即帮助国家实体制定更完善的提案。秘书处代表说，项目筹备是一个学习过程，并提及基金为项目筹备工作提供两种形式的协助。国家实体可以申请最高 3 万美元的项目准备赠款（PFG），一旦概念提案通过，董事会就会批准赠款，帮助国家实体将概念充实为完备提案，并支付相关成本，如项目设计和利益攸关方磋商费用。另一种协助来自准备项目下的项目准备援助赠款（PFA）。PFA 用以补充 PFG，支持国家实体在项目准备和设计阶段开展特定的技术评估工作。试点方案下的区域提案可以在预概念和概念两个阶段获得 PFG。

30. 之后，针对委员会第十九次会议审议的事项，董事会做出以下决议。

区域项目试点方案的资金供应

31. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

a) 有关第 B.25/28 号决议批准的试点方案：

(i) 按以下原则优先批准 4 个项目和 10 份项目准备赠款：

1. 如果项目审查委员会会议建议投资的提案总额不超过区域方案的可用资金，所有提案将提交给董事会审批，予以投资；

2. 如果委员会会议建议投资的提案总额超过了区域方案的可用资金，将对提案进行优先排序，确保试点方案下的项目总数和 PFG 最大程度体现项目/PFG 的多元化。优先排序将应用三级体系：第一级，投资相对较少部门的提案将获得优先权；第二级，如果同一部门有多个提案，投资相对较少地区的提案将获得优先权；第三级，如果同一地区有多个提案，承担项目相对较少的实施实体将获得优先权；

(ii) 请秘书处委员会第二十三次会议上报告试点方案的进展和经验；

b) 有关上述试点方案之外的区域提案的投资：

(i) 按照文件 AFB/B.25/6/Rev.2 原来规定的两个类别，继续审议区域提案的投资要求：一类申请资金的上限为 1400 万美元，另一类的上限是 500 万美元，以对区域项目群的审议为准；

(ii) 设立两个备选库，收入通过技术审查的区域提案：一类资金上限为 1400 万美元，另一类上限是 500 万美元。将所有通过技术审查的区域提案列入备选库，排序标准按照第 B.17/19 号决议（委员会建议批准的日期，提交提案日期，“净”成本更低）；

(iii) 使用针对各类实施实体的可用资金为备选库中的项目投资，在董事会批准年度工作计划时即列出每个财年最多可批的项目和项目准备赠款的数量或资金总额。

(B.28/1 号决议)

项目/项目群提案

概念提案：国家实体提案 - 小型项目提案

纳米比亚 (1)：基于社区的综合农耕系统，以利于适应气候变化（项目概念；纳米比亚沙漠研究基金 (DRFN)；NAM/NIE/Agri/2015/2；US\$ 750,000）

32. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

a) 通过补充后的项目概念，纳米比亚沙漠研究基金（DRFN）已按照技术审查的要求做出澄清并作为概念补充；

b) 请秘书处向 DRFN 转达董事会决议通知所附的审查报告意见以及下述问题：

(i) 完备提案应阐释产出1.2（包括活动1.2.2）的适应逻辑；

(ii) 就安哥拉库内内河（Kunene）流域的灌溉活动，完备提案应确认已经与邻国签署了适当的用水协议；

(iii) 鉴于目标区域面积为20万公顷，完备提案应确保未高估灌木清理活动的相关费用；

- (iv) 完备提案应提供替代方案和相关费用，证明项目的成本效益；
- (v) 完备提案应证明此项目与其他相关举措互补且有协同效应；
- (vi) 在完备提案阶段，应按照适应基金相关政策和指南，展开全面的磋商活动；
- (vii) 完备提案应证明妥善开展了环境和社会风险评估，并通过此评估确定了项目所属类别；
- c) 批准 30,000 美元的项目准备赠款；
- d) 请 DRFN 将上述（b）段中的意见转达给纳米比亚政府；
- e) 鼓励纳米比亚政府通过 DRFN 提交完备项目提案，提案应落实上文（b）段所述意见。

（B.28/2 号决议）

纳米比亚 (2)：使用可再生能源和膜技术建设咸水淡化厂试点（项目概念：纳米比亚沙漠研究基金 (DRFN)；NAM/NIE/Water/2015/1；US\$ 750,000）

33. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 通过补充后的项目概念，纳米比亚沙漠研究基金（DRFN）已按照技术审查的要求做出澄清并作为概念补充；
- b) 请秘书处向DRFN转达董事会决议通知所附的审查报告意见以及下述问题：
 - (i) 完备提案应解释如何为不同类别的利益攸关方提供针对性培训（根据在确保项目成果可持续性方面发挥的作用划分利益攸关方类别）；
 - (ii) 完备提案应为子项4的宣传活动留出足够预算，其中包括对项目可持续性至关重要的能力建设活动；
 - (iii) 完备提案应证明，在概念阶段的磋商基础上，进一步开展了全面磋商；
 - (iv) 完备提案应提供两个工厂的环境影响评价报告，以便更全面审查项目的潜在环境和社会影响，审查为最小化影响计划采取的减缓措施（如果有的话）；
 - (v) 完备提案应包括整个项目的环境和社会管理计划，其中应罗列关键的利益攸关方并说明各方在实施监测此计划中发挥的作用。编制计划应遵照基金的环境和社会政策、性别平等政策。完备提案还应说明将采取何种申诉机制，纳米比亚供水公司（NamWater）的服务质量应涵盖在内，该公司作为国家供水企业，负责两个工厂的运营；
- c) 批准30,000美元的项目准备赠款；
- d) 请DRFN将上述（b）段中的意见转达给纳米比亚政府；

- e) 鼓励纳米比亚政府通过DRFN提交完备项目提案，提案应落实上文（b）段所述意见。

（B.28/3 号决议）

概念提案：国家实体提案 - 常规提案

多米尼加共和国：加强圣克里斯多堡省的气候韧性 – 水资源管理和农村发展综合项目（项目概念；多米尼加整体发展研究所 (IDDI)；DOM/NIE/Water/2016/1；US\$ 9,954,000）

34. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不通过补充后的项目概念，多米尼加整体发展研究所（IDDI）已按照技术审查的要求做出澄清并作为概念补充；
- b) 建议 IDDI 根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
 - (i) 概念提案应系统阐述圣克里斯多堡省生态系统存在哪些压力；
 - (ii) 概念提案应阐明管理生态系统的方式应做何改变才能增加可用水量，并说明改变与子项 2 所述产出的关联，产出包括通过降低灌溉压力提高生态系统承载能力；围绕旱季农业改善机会和技能；通过增加森林覆盖面积减少水系淤积，同时提高土壤含水量。
 - (iii) 概念提案应更详细说明，禽畜饲养和从事减轻自然资源压力的活动如何有助于满足项目区社区的适应能力需求；
 - (iv) 针对项目所设想合作伙伴的作用，概念提案应采用更明确的语言，证明项目的成本效益；
 - (v) 概念提案应证明，项目活动与各子项间的关系紧密一致，这种关系明确并加强了适应逻辑；
- c) 不批准 30,000 美元的项目准备赠款；
- d) 请 IDDI 将上述第（b）段中的意见转达给多米尼加共和国政府。

（B.28/4 号决议）

印度尼西亚：通过推行智能适应举措、改善政策与机构协调，提高沿海与小岛屿村庄及社区抵御气候变化和极端天气的能力（项目概念；印度尼西亚治理改革合作机构 (*Kemitraan*)；IDN/NIE/Coastal/2016/1；US\$ 4,075,005）

35. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不通过补充后的项目概念，印度尼西亚治理改革合作机构（*Kemitraan*）已按照技术审查的要求做出澄清并作为概念补充；

- b) 建议 *Kemitraan* 根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
- (i) 提案应清楚说明项目措施为何适合并足以应对确定的气候威胁；
 - (ii) 提案应阐明项目目标，项目设计如何具备充足连贯性和针对性，为何所有项目活动对完成项目目标都很必要；
 - (iii) 提案应说明预期受益人和脆弱群体如何受益；
 - (iv) 初步展开磋商活动，磋商对象包括关键的利益攸关方（如预期受益人、地区或地方政府）或脆弱群体；
 - (v) 提案应展示所建议方法的成本效益，或项目具体成果的可持续性；
 - (vi) 提案应阐明不同项目地点的具体状况，以及如何因地制宜的应用干预举措；
 - (vii) 提案应阐明所计划的研究活动是否能在项目期限内开展；
- c) 不批准 29,550 美元的项目准备赠款；
- d) 请 *Kemitraan* 将上述第（b）段中的意见转达给印度尼西亚政府。

(B.28/5 号决议)

概念提案：区域实体提案

厄瓜多尔：提高 Toachi - Pilatón 流域当地社区、生态系统与水电系统的适应能力，重视基于生态系统和社区的适应活动以及适应性流域综合管理（项目概念；拉美开发银行(CAF)；E/Rural/2016/1；US\$ 2,489,373）

36. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不通过补充后的项目概念，拉美开发银行（CAF）已按照技术审查的要求做出澄清并作为概念补充；
- b) 建议 CAF 根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
 - (i) 提案应更详细说明项目每项产出和子项所包涵的活动，以阐明项目设计的要素，即除了建议的“什么”之外，还要详细阐明“如何”取得成果；
 - (ii) 提案应更明确阐明子项 1 中的保护活动与子项 2 下的可持续耕作活动有何关联；
 - (iii) 申请方应更清晰地说明将如何与女性和其他边缘化群体建立联系，如何让其参与项目并受益；
 - (iv) 提案应更详细说明环境和社会甄别情况（修订概念提案中的甄别表格已包括了部分内容），以达到基金的环境和社会政策与性别平等政策的要求；

- c) 请 CAF 将上述第 (b) 段中的意见转达给厄瓜多尔政府。

(B.28/6 号决议)

马绍尔群岛共和国：建设具备气候韧性的环礁，保障粮食安全和社区生计（项目概念；太平洋地区环境规划署秘书处 (SPREP)；MHL/RIE/Agri/2015/1；US\$ 7,484,872.5）

37. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不通过补充后的项目概念，太平洋地区环境规划署秘书处（SPREP）已按照技术审查的要求做出澄清并作为概念补充；
- b) 建议 SPREP 根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
 - (i) 提案应直接回应初步技术审查提出的问题，充实回复并体现于项目文件正文；
 - (ii) 申请方应清楚说明在准备完备提案过程中，将按何种流程开展有关活动，包括确定项目活动、选择地点、遵守适应基金的环境和社会政策以及性别平等政策；
 - (iii) 申请方应确保按照适应基金的审查标准填写各部分内容，具体而言，成本效益、覆盖适应举措的总成本和项目可持续性部分；
 - (iv) 提案应确保项目各子项间的连贯一致性，证明项目设计所产生的成果直接有利于提高韧性，同时应尽力避免与其他相关项目产生重复；
- c) 请 SPREP 将上述第 (b) 段中的意见转达给马绍尔群岛共和国政府。

(B.28/7 号决议)

多哥：提高北部芒杜里地区脆弱农业社区的韧性（项目概念；西非开发银行 (BOAD)；TGO/RIE/Agri/2016/1；US\$ 10,000,000）

38. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 通过补充后的项目概念，西非开发银行（BOAD）已按照技术审查的要求做出澄清并作为概念补充；
- b) 请秘书处向 BOAD 转达董事会决议通知；
- c) 请 BOAD 将上述 (b) 段提及的董事会决议转达给多哥政府；
- d) 鼓励多哥政府通过 BOAD 提交完备项目提案，提案应落实董事会决议通知所附的审查报告意见。

(B.28/8 号决议)

概念提案：多边实体提案

斐济：加强极易受到气候变化和灾害风险威胁的非正式城市住区的韧性（项目概念；联合国人类住区规划署(人居署)；FJI/MIE/Urban/2016/1；US\$ 4,200,000）

39. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 通过补充后的项目概念，联合国人类住区规划署（人居署）已按照技术审查的要求做出澄清并作为概念补充；
- b) 请秘书处向人居署转达董事会决议通知所附的审查报告意见以及下述问题：
 - (i) 完备提案应提供非正式社区所有资产的情况，包括人类、物质、金融、社会、自然和知识资产；
 - (ii) 完备提案中有关非正式住区土地所有权缺乏保障的内容应阐明受益人和投资面临的所有潜在风险；
 - (iii) 完备提案应认识到项目区搬迁安置风险较低并不意味着根本没有风险，因此提案应提出具体的缓解措施；
 - (iv) 完备提案应认识到，社区内部组织焦点小组讨论、进行快速脆弱性评估并非磋商活动，也不能替代与社区和其他参与方的磋商，提案中应认识并说明各参与方的作用；
- c) 请人居署将上述（b）段中的意见转达给斐济政府；
- d) 鼓励斐济政府通过人居署提交完备项目提案，提案应落实上文（b）段所述意见。

（B.28/9 号决议）

所罗门群岛：增强首都霍尼亚拉应对气候变化影响和自然灾害的韧性（项目概念；联合国人类住区规划署(人居署)；SLB/MIE/Urban/2016/1；US\$ 4,400,000）

40. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 通过补充后的项目概念，联合国人类住区规划署（人居署）已按照技术审查的要求做出澄清并作为概念补充；
- b) 请秘书处向人居署转达董事会决议通知所附的审查报告意见以及下述问题：
 - (i) 根据基金相关指南要求，完备提案应阐明，与其他替代方法相比，项目拟用方法更具成本效益；
 - (ii) 完备提案需清楚阐述从有关项目汲取的经验，并说明本项目设计除了挖掘项目互补潜力外，还如何借鉴了这些经验；

- (iii) 完备提案需要说明各行政管理层级（社区和城市层面）磋商活动中参加者的具体作用；
- c) 请人居署将上述（b）段中的意见转达给所罗门群岛政府；
- d) 鼓励所罗门群岛政府通过人居署提交完备项目提案，提案应落实上文（b）段所述意见。

（B.28/10 号决议）*完备提案：国家实体提案 – 常规提案*

安提瓜和巴布达：统筹行动，在西北部麦金农湖区采取具体适应举措，提高社区韧性（完备项目文件；卫生环境部环境处；ATG/NIE/Multi/2016/1；US\$ 9,970,000）

41. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不批准补充后的项目提案，安提瓜和巴布达环境处已按照技术审查的要求做出澄清并作为提案补充；
- b) 建议安提瓜和巴布达环境处根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
 - (i) 要求申请方根据应对环境和社会风险的举措，加强项目各子项间的整合；
 - (ii) 对于贷款活动选择和在项目认可活动中增加新内容，申请方应提供更详细信息，同时加强相应举措或机制，以确保项目遵守基金的环境和社会政策及性别平等政策；
 - (iii) 申请方应进一步解决对边缘和脆弱群体影响更大、以及为生计而迁移人口的问题；
- c) 请安提瓜和巴布达环境处将上述（b）段中的意见转达给安提瓜和巴布达政府。

（B.28/11 号决议）

埃塞俄比亚：气候智能型农村发展综合项目（完备项目文件；埃塞俄比亚财政与经济发展部（MOFEC）；ETH/NIE/Rural/2016/1；US\$ 9,975,486）

42. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不批准补充后的项目提案，埃塞俄比亚财政与经济发展部（MOFEC）已按照技术审查的要求做出澄清并作为提案补充；
- b) 建议MOFEC根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：

- (i) 申请方应考虑使项目更为聚焦，包括明确描述项目目标，说明与预期成果直接相关的一些具体成果，同时审查应与指标对应的具体目标；
 - (ii) 应重新考虑项目资源分配，分配应更符合项目计划取得的成果，项目范围应更为实际，以便产生真正的影响；
 - (iii) 有必要重视项目产出的可持续性，包括继续支持生计渠道多样化的机构安排，地下水所面临气候风险的监测与减缓，以确保供水管理基础设施的可持续性；
 - (iv) 提案应详细阐述确保复制项目产出的机制以及可用于复制活动的资金资源；
- c) 请MOFEC将上述（b）段中的意见转达给埃塞俄比亚政府。

（B.28/12 号决议）

印度：帮助中央邦甘哈-班奇走廊建设社区适应能力，加强生计保障和生态安全（完备项目文件；印度农业和农村发展银行(NABARD)；IND/NIE/Forests/2015/1；US\$ 2,556,093）

43. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 批准补充后的项目提案，印度农业和农村发展银行（NABARD）已按照技术审查的要求做出澄清并作为提案补充；
- b) 批准 NABARD 为实施项目提出的 2,556,093 美元资金申请；
- c) 请秘书处起草 NABARD 作为本项目国家实体的协议。

（B.28/13 号决议）

巴拿马：综合管理水资源以适应气候变化（完备项目文件；自然基金会；PAN/NIE/Water/2016/1；US\$ 9,964,859）

44. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不批准补充后的项目提案，自然基金会已按照技术审查的要求做出澄清并作为提案补充；
- b) 建议自然基金会根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
 - (i) 提案应说明项目打算采用的实施安排，并证明其具备成本效益和效率；
 - (ii) 提案应进一步证明项目遵守《环境和社会政策》第7项原则有关原住民的要求；
 - (iii) 提案应进一步解释项目所遵循的“水-食物-能源-气候之关联”方针；
 - (iv) 提案应进一步证明项目遵循了国家最新的相关政策和规划；

- c) 请自然基金会将上述（b）段中的意见转达给巴拿马政府。

（B.28/14 号决议）

完备提案：区域实体提案 – 常规提案

密克罗尼西亚联邦：提高脆弱岛屿社区抵御气候变化风险的能力（完备项目文件；太平洋地区环境规划署秘书处（SPREP）；FSM/RIE/Coastal/2015/1；US\$ 9,000,000）

45. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不批准补充后的项目提案，太平洋地区环境规划署秘书处（SPREP）已按照技术审查的要求做出澄清并作为提案补充；
- b) 建议 SPREP 根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
 - (i) 提案内容应前后一致，应提供项目计划的道路最终线形的支持文件，并提供基于最终线形的最终环境和社会影响评价以及环境和社会管理计划；
- c) 请 SPREP 将上述（b）段中的意见转达给密克罗尼西亚联邦政府。

（B.28/15 号决议）

秘鲁：AYNINACUY：加强阿雷基帕大区阿雷基帕、卡伊尤马、Condesuyos、Castilla 和 La Union 各省脆弱高地社区的生计保障（完备项目文件；拉美开发银行（CAF）；PER/RIE/Rural/2015/1；US\$ 2,941,446）

46. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不批准补充后的项目提案，拉美开发银行（CAF）已按照技术审查的要求做出澄清并作为提案补充；
- b) 建议 CAF 根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
 - (i) 尽管就所选项目地点的一些问题提供了补充信息，提案还应进一步阐明项目开始后将如何审议、选择并最后确定项目活动。按照《环境和社会政策》（ESP）要求，对于已确定的风险，要进行与之相称的影响评价。如果具体地点未知，就应在《环境和社会管理计划》（ESMP）包括如何审议项目活动的机制安排，以便在实施项目期间确定风险和影响；
 - (ii) 就本项目将基于或借鉴的项目，提案应介绍这些项目的经验和产出；
 - (iii) 应提供或估算成果框架基线；
 - (iv) 申请方应根据适应基金 ESP 修订《环境管理计划》，针对已确定风险，围绕 ESP 原则准备 ESMP。

- c) 请 CAF 将上述 (b) 段中的意见转达给秘鲁政府。

(B.28/16 号决议)

完备提案：多边实体提案 – 常规提案

老挝人民民主共和国：帮助最脆弱的农村及新兴城市住区提高应对气候变化和灾害的韧性（完备项目文件；联合国人类住区规划署(人居署)；LAO/MIE/DRR/2016/1；US\$ 4,500,000）

47. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 批准补充后的项目提案，联合国人类住区规划署（人居署）已按照技术审查的要求做出澄清并作为提案补充；
- b) 批准人居署为实施项目提出的 4,500,000 美元资金申请；
- c) 请秘书处起草人居署作为本项目多边实体的协议。

(B.28/17 号决议)

巴拉圭：采用生态系统方法降低查科地区因气候变化影响导致的粮食安全脆弱性（完备项目文件；联合国环境规划署 (UNEP)；PRY/MIE/Food/2012/1；US\$7,128,450）

48. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不批准补充后的项目提案，联合国环境规划署（UNEP）已按照技术审查的要求做出澄清并作为提案补充；
- b) 建议 UNEP 根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
 - (i) 提案应充实对基本问题的分析和论证，具体而言，应加强项目文件框架，给出明晰、可实现的项目目标，定义与问题分析相符的项目成果和子项。修订提案时应着眼于可取得的成果；
 - (ii) 项目的成果框架需要进一步强化；
 - (iii) 提案应提供更全面的社区基线信息；
 - (iv) 提案应阐明机构的作用、对项目有何贡献，包括项目执行过程中的协调和结束后的责任；
 - (v) 提案应阐明项目将如何落实奖惩措施；
 - (vi) 提案应进一步加强培训与项目其他内容或实现项目目标之间的联系；
 - (vii) 提案应进一步完善气象监测活动的设计；

- c) 请 UNEP 将上述 (b) 段中的意见转达给巴拉圭政府。

(B.28/18 号决议)

审议区域项目/项目群试点方案的提案

预概念：区域实体提案

贝宁、布基纳法索和尼日尔：在“W”跨边界区的联合管理中采用减缓和适应气候变化的举措：W 区适应项目（项目预概念；撒哈拉与萨赫勒观象台 (OSS)；AFR/RIE/DRR/2016/1；US\$ 5,000,000）

49. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 通过补充后的项目概念，撒哈拉与萨赫勒观象台 (OSS) 已按照技术审查的要求做出澄清并作为概念补充；
- b) 请秘书处向 OSS 转达董事会决议通知所附的审查报告意见以及下述问题：
 - (i) 在概念阶段，提案应密切关注可实现的成果，防范将资源分散于过多活动的风险；
 - (ii) 提案应更加重视具体的适应活动和跨边界做法；
 - (iii) 提案应进一步阐释项目计划提倡的创新解决方案，项目如何符合各国战略和规划，以及项目的可持续性；
 - (iv) 提案应在概念阶段进一步明确项目管理安排中涉及哪些机构；
 - (v) 在概念阶段，提案应清楚说明将如何采取适应和减缓措施（如项目名称所言）；
- c) 请 OSS 将上述 (b) 段中的意见转达给贝宁、布基纳法索和尼日尔政府；
- d) 鼓励贝宁、布基纳法索和尼日尔政府通过 OSS 提交项目概念，提案应落实上文 (b) 段所述意见。

(B.28/19 号决议)

预概念：多边实体提案

科摩罗、马达加斯加、马拉维和莫桑比克：支持非洲东南部的城市建设应对气候变化的能力（项目预概念；联合国人类住区规划署(人居署)；AFR/MIE/DRR/2016/1；US\$ 13,544,055）

50. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 通过补充后的项目预概念，联合国人类住区规划署（人居署）已按照技术审查的要求做出澄清并作为预概念补充；

- b) 鼓励科摩罗、马达加斯加、马拉维和莫桑比克政府通过人居署提交项目概念。

(B.28/20 号决议)

概念：区域实体提案

贝宁、布基纳法索、加纳、尼日尔和多哥：推动西非发展气候智能型农业（项目概念；西非开发银行(BOAD)；AFR/RIE/Food/2015/1；US\$ 14,000,000）

51. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 通过补充后的项目概念，西非开发银行（BOAD）已按照技术审查的要求做出澄清并作为概念补充；
- b) 请秘书处向 BOAD 转达董事会决议通知所附的审查报告意见以及下述问题：
 - (i) 编制完备提案时，申请方应更详细描述项目风险，包括环境和社会风险及相关的减缓措施；
 - (ii) 完备提案应详细说明项目打算开发的观测系统，包括计划如何使用这些系统产生的数据，运行系统的能力，以及系统的可持续性；
- c) 批准 80,000 美元的项目准备赠款；
- d) 请 BOAD 将上述（b）段中的意见转达给贝宁、布基纳法索、加纳、尼日尔和多哥政府。

(B.28/21 号决议)

哥斯达黎加、多米尼加共和国、萨尔瓦多、危地马拉、洪都拉斯、尼加拉瓜和巴拿马：利用生产性投资适应气候变化的倡议（项目概念；中美洲经济一体化银行 (CABEI)；LAC/RIE/Inno/2016/1；US\$ 5,994,625）

52. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不通过补充后的项目概念，中美洲经济一体化银行（CABEI）已按照技术审查的要求做出澄清并作为概念补充；
- b) 建议 CABEI 根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
 - (i) 提案应详细说明将使用何种标准选择可受益于项目的金融中介机构（IFI）和中小微企业（MSME）；
 - (ii) 鉴于CABEI将集项目实施、执行、监测和评估工作于一身，提案应探讨潜在的利益冲突问题；
 - (iii) 提案应回答是否达到覆盖适应举措总成本这一要求；

- (iv) 提案应说明本项目适用的相关技术标准，并证明本提案符合相关标准；
 - (v) 提案应提供更多与关键利益攸关方磋商的证据；
 - (vi) 提案应进一步说明项目的可持续性；
- c) 请 CABI 将上述（b）段中的意见转达给哥斯达黎加、多米尼加共和国、萨尔瓦多、危地马拉、洪都拉斯、尼加拉瓜和巴拿马政府。

（B.28/22 号决议）

概念：多边实体提案

哥伦比亚、厄瓜多尔：通过粮食安全和加强营养活动，帮助两国边境地区的非洲裔和土著社区发展适应能力（项目概念；世界粮食计划署（WFP）；LAC/MIE/Food/2015/1；US\$ 14,000,000）

53. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 通过补充后的项目概念，世界粮食计划署（WFP）已按照技术审查的要求做出澄清并作为概念补充；
- b) 请秘书处向 WFP 转达董事会决议通知所附的审查报告意见以及下述问题：
 - (i) 编制完备提案阶段，应进一步与两国机构磋商，以更好了解两国需求，确定项目可带来的增加值；
 - (ii) 尽管概念提案已经说明，项目收集的气候信息和传统知识将有助于交付子项3的产出，但完备提案应更具体描述子项3各活动与本地区当前已确定的气候威胁的关联；
 - (iii) 一些非气候因素可能会影响项目成果，针对这些因素目前有哪些项目或倡议，完备提案应介绍相关情况；
 - (iv) 完备提案应按照基金的环境和社会政策及相关原则，仔细审查本项目可能带来的环境和社会风险，并确定项目所属的类别；
- c) 批准 80,000 美元的项目准备赠款；
- d) 请 WFP 将上述（b）段中的意见转达给哥伦比亚、厄瓜多尔政府；
- e) 鼓励哥伦比亚、厄瓜多尔政府通过 WFP 提交完备项目提案，提案应落实上文（b）段所述意见。

（B.28/23 号决议）

吉尔吉斯斯坦、塔吉克斯坦和乌兹别克斯坦：在气候变化背景下，提高中亚地区人口防御冰碛湖溃堤型洪水的能力（项目概念；联合国教育、科学及文化组织(UNESCO)；ASI/MIE/DRR/2015/1；US\$ 5,000,000）

54. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不通过补充后的项目预概念，联合国教育、科学及文化组织（UNESCO）已按照技术审查的要求做出澄清并作为概念补充；
- b) 建议 UNESCO 根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
 - (i) 提案应更充分描述项目地的特征，项目希望消除的不足和瓶颈，如何体现为具体适应活动，如何带来经济、社会和环境效益。这么做也有助于更充分地甄别环境和社会风险；
 - (ii) 提案应清楚说明项目执行计划，包括预先选定欧洲大学作为分包方的安排；
 - (iii) 提案应详细介绍项目国最近或正在经历的与冰碛湖溃堤型洪水相关的灾害；
 - (iv) 提案应从财务和人员能力角度阐述项目的可持续性；
 - (v) 即使在编写概念提案阶段，也应进行社区磋商，并在设计项目和审查风险时考虑磋商结果；
- c) 不批准 78,000 美元的项目准备赠款；
- d) 请 UNESCO 将上述（b）段中的意见转达给吉尔吉斯斯坦、塔吉克斯坦和乌兹别克斯坦政府。

（B.28/24 号决议）

毛里求斯、塞舌尔：修复珊瑚礁，恢复海洋生态系统服务，应对气候变化的未来（项目概念；联合国开发计划署 (UNDP)；AFR/MIE/Food/2015/1；US\$ 4,900,000）

55. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 通过补充后的项目概念，联合国开发计划署（UNDP）已按照技术审查的要求做出澄清并作为概念补充；
- b) 请秘书处向 UNDP 转达董事会决议通知所附的审查报告意见以及下述问题：
 - (i) 完备提案应进一步展开讨论，在毛里求斯采取的举措将如何与其他保护措施取得合力，如建立“海洋保护区”，据说如果同时积极开展珊瑚礁恢复活动，其他措施就更有潜力恢复天然珊瑚礁；

- (ii) 完备提案应更充分介绍计划在两国采用的企业主导方法，特别是在塞舌尔；
- (iii) 完备提案应确保，在适应基金提案模板的表格和其他部分阐述风险情况，包括 UNDP 进行社会和环境保障政策审查中确定的风险（尽管风险不大）和需要进一步评估和管理的风险；
- c) 批准 80,000 美元的项目准备赠款；
- d) 鼓励毛里求斯、塞舌尔政府通过 UNDP 提交完备项目提案，提案应落实上文（b）段所述意见。

(B.28/25 号决议)

完备提案：区域实体提案

智利、厄瓜多尔：降低拉美城市城区和城乡结合部的气候脆弱性（完备项目文件；拉美开发银行 (CAF)；LAC/RIE/DRR/2015/1；US\$ 13,910,400）

56. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不批准补充后的项目提案，拉美开发银行（CAF）已按照技术审查的要求做出澄清并作为提案补充；
- b) 建议 CAF 根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
 - (i) 提案应阐释为何选择脆弱性等级较低的城市作为项目地，而非其他更为脆弱的城市；
 - (ii) 提案应提供更多有关两国政府投资的资料，以便能够实质性地比较政府项目和本项目将覆盖的内容，提案应说明两种项目之间如何合作；提案还应进一步澄清为何取消了贷款项目内容，其下原来拟定的一些活动却被纳入到了适应基金项目；
 - (iii) 提案应进一步阐述各种项目活动如何能有助于发展区域做法；
 - (iv) 提案应详细介绍其他正在进行或以往项目的活动、经验或成果，以及如何避免重复活动；
 - (v) 提案应详细说明磋商中脆弱群体得到了多大程度的代表，尤其在所计划项目地点（磋商地点在另一城市）；
 - (vi) 提案应扩大环境和社会风险的考察范围，纳入的活动不应局限于硬件基础设施建设，提案要包括一份环境和社会管理计划，并阐明将使用何种申诉机制；
 - (vii) 提案应详述项目的机构间管理安排；
- c) 请 CAF 将上述（b）段中的意见转达给智利、厄瓜多尔政府。

(B.28/26 号决议)*完备提案：多边实体提案*

柬埔寨、老挝人民民主共和国、缅甸、泰国和越南：大湄公河次区域的地下水资源：协作管理，提高韧性（完备项目文件；联合国教育、科学及文化组织（UNESCO）；ASI/MIE/Water/2015/1；US\$ 4,898,775）

57. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不批准补充后的项目提案，联合国教育、科学及文化组织（UNESCO）已按照技术审查的要求做出澄清并作为提案补充；
- b) 建议 UNESCO 根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
 - (i) 完备提案应进一步解释导致次区域地下水紧缺的与跨境水管理相关的非气候因素，包括大坝的潜在影响；
 - (ii) 应提供四个试点地区的项目受益人估计数目，并阐释项目的经济效益。另外，描述脆弱群体时应说清楚，根据各国情况，哪些群体被视为最脆弱；
 - (iii) 完备提案应展示进行了更全面的潜在受益人磋商，包括脆弱群体和地下水用户；
 - (iv) 提案应充分论证项目所属的环境和社会风险类别，因为项目提供的活动示例涉及潜在风险，如针对性的降低脆弱性举措，改善地下水供应质量举措，以及确定和保护战略性地下水储备；
 - (v) 针对提交提案时尚未确定的地区和活动，提案应说明将使用何种机制审查其环境和社会风险，并明确阐述国家和地区层面在监测和减缓风险方面各自的角色和责任；
- c) 请 UNESCO 将上述（b）段中的意见转达给柬埔寨、老挝人民民主共和国、缅甸、泰国和越南政府。

(B.28/27 号决议)

埃塞俄比亚、肯尼亚和乌干达：提高农业抵御气候灾害的能力 (ACREI)（完备项目文件；世界气象组织 (WMO)；AFR/MIE/Food/2015/2；US\$ 6,800,000）

58. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不批准补充后的项目提案，世界气象组织（WMO）已按照技术审查的要求做出澄清并作为提案补充；
- b) 建议 WMO 根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：

- (i) 鉴于联合国粮食及农业组织（FAO）并非基金认证的实施实体，请明确 FAO 作为执行实体的同时是否还充任实施实体的角色；
- (ii) 董事会第 B23/19 号决议批准了五个适应基金核心指标，本项目应至少包括其中一个指标；
- c) 请 WMO 将上述（b）段中的意见转达给埃塞俄比亚、肯尼亚和乌干达政府。

（B.28/28 号决议）

布隆迪、肯尼亚、卢旺达、坦桑尼亚和乌干达：支持维多利亚湖流域适应气候变化（完备项目文件；联合国环境规划署 (UNEP)；AFR/MIE/Water/2015/1；US\$ 5,000,000）

59. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 不批准补充后的项目提案，联合国环境规划署（UNEP）已按照技术审查的要求做出澄清并作为提案补充；
- b) 建议 UNEP 根据董事会决议通知所附的审查报告意见以及下述问题重新组织提案：
 - (i) “政策、适应研究和经济发展”(PREPARED) 项目正在进行“脆弱性、影响和适应评价”（VIA），提案应总结借鉴此评价的成果，更详细地描述项目产出和活动，尤其是子项 3 和 4，其中要包括目标地点和社区的介绍；
 - (ii) 提案应描述预期其他项目如何处理影响维多利亚湖流域管理的非气候因素，说明相关项目如何解决非气候因素以及针对的是哪些因素；
 - (iii) 应完善环境和社会风险鉴别，并充分证明鉴别遵守了环境和社会政策原则，对原则的理解应依据政策的规定；
 - (iv) 提案应更清楚描述小项目选择和实施的流程，以及本国团队和当地政府部门在流程中发挥的具体作用；
 - (v) 提案应提供全面风险鉴别和保障框架（对含有未定子项的项目的要求）以及环境和社会管理计划；
- c) 请 UNEP 将上述（b）段中的意见转达给布隆迪、肯尼亚、卢旺达、坦桑尼亚和乌干达政府。

（B.28/29 号决议）*其他事项**闭会期间对准备项目下赠款的审议*

60. 委员会主席介绍了“其他事项”下的第一个议题，他提醒董事会成员，根据董事会第二十六次会议决定，委员会可在闭会期间审查准备赠款申请。但是，此决议只针对当时已经在审查的赠款申请。董事会第二十七次会议将准备项目制度化后，预期董事会将继续收到准备赠款申请。他解释说，为了秘书处能继续筛选此类申请，委员会能继续审议，董事会需要做出决议，支持持续进行此项工作。

61. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 请秘书处每年在连续两届董事会会议之间不超过 24 周的闭会时间内继续筛选准备赠款申请；
- b) 尽管上文(a)段有此要求，但所有准备赠款申请皆可提交给董事会的定期会议；
- c) 请委员会在闭会期间对秘书处筛选好的准备赠款申请开展技术审议，并在闭会期间向董事会做出建议；
- d) 按照《程序规则》在闭会期间审批审议过的申请；
- e) 请秘书处向委员会第二十次会议提交申请审查分析报告，并在每年结束闭会申请审查后提交此报告。

(B.28/30 号决议)

撤销布隆迪的准备项目和赠款

62. 委员会主席说，卢旺达的国家实体自然资源部（MINIRENA）获得了用于支持布隆迪国家实体认证的准备赠款，但未使用。布隆迪指定负责人和 MINIRENA 达成一致意见，要求董事会撤销此笔准备赠款。

63. 审议项目审查委员会的意见和建议后，适应基金董事会决定：

- a) 撤销董事会第 B. 24-25/7 号决议批准的用于支持布隆迪国家实体认证的赠款；
- b) 请秘书处通知卢旺达自然资源部（MINIRENA）和布隆迪政府准备赠款已被取消；
- c) 请秘书处通知 MINIRENA，应通过受托人向适应基金信托基金归还赠款及赠款产生的投资收益。MINIRENA 应首先通知秘书处归还金额，同时抄送受托人。

(B.28/31 号决议)

完工项目影响评估

64. 委员会主席说，委员会谈及基金尚无对完工项目进行较长期评估的机制。项目一旦完成，就无从获知项目可持续性情况和项目产生的适应知识。

65. 审议项目审查委员会的意见和建议及其会议讨论后，适应基金董事会决定请秘书处向委员会第二十次会议提出方案，说明如何对完工后的适应基金项目/项目群开展学习活动和影响评估，方案应考虑到正在进行的有关适应基金评估职能的讨论，以及基金第二阶段的评估。

(B.28/32 号决议)

重新思考基金出资需覆盖全部适应成本的要求

66. 委员会主席说，在审议项目提案过程中，委员会一致同意有必要建议董事会思考并澄清需覆盖全部适应成本这一要求的影响。

67. 审议项目审查委员会的意见和建议后，适应基金董事会决定请秘书处澄清全部适应成本条件的适用范围并起草文件，提交委员会第二十次会议审议。

(B.28/33 号决议)

议程项目 7：道德与财务委员会第十九次会议的报告

68. 道德与财务委员会主席 Tove Zetterström-Goldmann 女士（瑞典，附件一缔约方）介绍委员会报告（文件 AFB/EFC.19/13）。之后，针对委员会第十九次会议审议的事项，董事会做出以下决议。

a) *2016 财年绩效报告*

69. 审议道德与财务委员会的意见和建议后，适应基金董事会决定：

a) 批准适应基金 2016 财年绩效报告（见文件 AFB/EFC.19/3）；

b) 针对文件 AFB/EFC.19/3 第 28 段的内容，请秘书处就董事会与实施实体签署的标准法律协议（2015 年 10 月修订）4.03 条款中“重大变化”的范围做出澄清，并提交委员会第二十次会议审议。

(B.28/34 号决议)

b) *对基金的评估*

70. 审议道德与财务委员会的意见和建议后，适应基金董事会决定：

a) 批准评估工作组准备的第二阶段评估任务大纲和建议书征询文件（见文件 AFB/EFC.19/4 的附录 4）。

b) 批准方案 1：“第二阶段评估由独立公司实施，独立审查小组监督”（见文件 AFB/EFC.19/4）；

- c) 请评估工作组在闭会期间推荐独立审查小组人选，供董事会审议，小组应包括三名成员：一名评估专家、一名适应专家（其中一位担任小组组长），还有一名公民社会代表；请秘书处办理相关行政事宜；
- d) 请秘书处发布适应基金第二阶段综合评估的建议书征询文件；
- e) 请秘书处继续探索在第二阶段评估中，与全球环境基金独立评估办公室（GEF-IEO）进一步合作的可能性。

（B.28/35 号决议）

71. 审议道德与财务委员会的意见和建议后，适应基金董事会决定请秘书处充实方案 1 “通过 GEF 独立评估办公室”和方案 2 “通过技术评估咨询小组（TERG）”的内容，包括成本影响，并提交委员会第二十次会议审议。

（B.28/36 号决议）c) *知识管理战略*

72. 委员会主席向董事会简要介绍了知识管理战略的有关事宜，一位成员建议，鉴于基金正在执行的具体适应项目的数量位居各基金前列，战略应包括收集整理气候变化适应活动实质内容的知识。

73. 审议道德与财务委员会的意见和建议后，适应基金董事会决定：

- (a) 批准口头修订后的最新知识管理战略和行动计划（见本次会议报告的附件五）；
- (b) 请秘书处实施战略和行动计划，并向董事会提交年度报告。

（B.28/37 号决议）d) *认证程序的成效和效率*

74. 审议文件 AFB/EFC.19/7 及道德与财务委员会的意见和建议后，适应基金董事会决定：

- a) 对于向适应基金提出重新认证的实施实体，如果其在最近四年得到绿色气候基金（GCF）的认证，其重新认证则适用快速认证通道，内容详见文件 AFB/EFC 19/7；
- b) 请秘书处知会 GCF 秘书处此决议。

（B.28/38 号决议）e) *性别平等政策和行动计划*

75. 审议道德与财务委员会的意见和建议后，适应基金董事会决定批准对《缔约方使用适应基金资源的运行政策与准则》附录 5 的修订，内容见文件 AFB/EFC.19/8/Add.1。

（B.28/39 号决议）

f) *投诉处理机制*

76. 审议道德与财务委员会的意见和建议后，适应基金董事会决定：

(a) 批准临时性投诉处理机制，详见本次会议报告的附件四；

(b) 请秘书处将此决议知会实施实体和指定负责人，并通过适应基金网站和适应基金 NGO 网络对外发布。

(B.28/40 号决议)

g) *落实行为准则*

77. 审议道德与财务委员会的意见和建议后，适应基金董事会决定将行为准则事项列为每次董事会会议的最后一项实质性议程。

(B.28/41 号决议)

h) *财务问题**投资收入*

78. 审议道德与财务委员会的意见和建议后，适应基金董事会决定：

a) 对所有实施实体发起调查，要求其在 2017 年 2 月前向秘书处汇报 2014、2015 和 2016 财年（按照适应基金定义的财年）的各年投资收入（如果有的话）；

b) 基于调查结果，经与受托人磋商，向委员会第二十次会议提交建议书，阐述如何处理实施实体项目赠款产生的投资收入。

(B.28/42 号决议)

i) *其他事项**国家实体提高国家上限的申请*

79. 委员会主席解释说，三个国家实体向董事会主席发来书面申请，要求提高国家上限，以便从适应基金获得资金已达到或接近 1000 万美元上限的国家能够继续提交项目/项目群提案。

80. 审议道德与财务委员会的意见和建议后，适应基金董事会决定：

a) 将在第 B.27/39 号决议所定的中期战略讨论中研究提高国家上限的问题；

b) 请董事会主席回复国家实体有关提高国家上限的来函，告知其第 B.27/39 号决议和本决议。

(B.28/43 号决议)

议程项目 8：资源调动战略

81. 董事会审议资源调动战略（AFB/B.28/8 和 AFB/B.28/8/Add.1）。受副主席邀请，资源调动工作组的共同组长 **Fatuma Mohamed Hussein** 女士（肯尼亚，非附件一缔约方）和 **Antonio Navarra** 先生（意大利，西欧和其他国家集团）发言介绍资源调动战略。

82. **Hussein** 女士说，在闭会期间，工作组与秘书处根据《巴黎协定》内容更新了战略。工作组分析了多种融资情景，包括联络捐助国的必要性，和寻找其他资金渠道的必要性。未来两年的筹资目标依然是每年 8000 万美元，之后将提高到每年 1 亿美元。

83. **Navarra** 先生说，分析显示私人捐助市场对基金而言不是一个可行方案，因此基金只能局限于争取机构或政府捐助的支持。

84. 秘书处代表提醒董事会，筹资目标是最低门槛，并强调与宣传材料中的金额保持一致非常重要。虽然政府将继续是主要资金来源，但是与其他资金渠道保持联系依然重要，以期发现其他筹资途径。基金已经收到了一些地方政府的捐款，如比利时的一些地区，绿色气候基金也可能成为资金来源。联络独立基金会和市场力量会花去秘书处很大一部分预算，而且这些投资不能保证带来收入，因此风险很大。这种做法也许适用于其他组织，但董事会作为政府间机构，很难证明这么做的正当性。

85. 审议文件 AFB/B.28/8 和 AFB/B.28/8/Add.1 后，适应基金董事会决定：

a) 批准更新后的资源调动战略；

b) 请秘书处：

(i) 基于最新战略，并考虑到董事会有关中期战略框架方案的相关决议，起草资源调动行动计划，提交董事会第二十九次会议审议；

(ii) 基于最新战略起草宣传材料。

（B.28/44 号决议）

议程项目 9：赴蒙古项目组合监察团报告

86. 基金知识管理战略要求秘书处实地考察正在实施的项目/项目群，收集分析其中的经验教训，因此，秘书处代表由一名董事会成员陪同，在闭会期间赴蒙古监察项目组合实施情况。秘书处代表提交了监察团报告（见文件 AFB/B.28/5），向董事会报告了监察团的主要发现和总结的经验。

87. 秘书处代表发言结束后，参加监察团的董事会成员又强调了几点内容。监察发现基金的流程很有效率，管理上并不非常繁琐，但依然有改进空间，她建议道德与财务委员会再次审议报告指标，看是否可以简化。该项目对蒙古的重要性显而易见：这是蒙古首次开展适应活动，从项目汲取的经验被推广，并形成政策。她表示有证据说明，基金的适应活动与其他捐助方资助的关注蒙古其他问题（如牧场）的项目相辅相成，合作良好。了解到导致脆弱性的驱动因素令人震惊，蒙古环境退化的主要推手是草场这一自然资源的使用，由于畜牧业的经营方式，草场承受着巨大压力。她说，这说明适应举措和可持续资源管理要双管齐下，更广泛而言，可持续发展目标和遏制气候变化目标要

齐头并进。最后，随着第一批项目完工或接近完工，她敦促基金抓住学习机遇，跟进完工项目的影响评估，汲取总结其中经验。

88. 之后秘书处代表回应了成员的一些问题和意见。有关基金和项目的监测评估情况，秘书处代表强调目前的反馈意见仅基于迄今完成的三个基金支持项目，有关项目/项目群的影响和基金的监测评估情况，要等基金的第二阶段评估，即对项目组合的评估结束后才能获得全面了解。秘书处代表说，还计划组织两次项目组合监察团，费用已列入本财年预算。

89. 适应基金董事会将赴蒙古项目组合监察团报告记录在案。

议程项目 10：准备项目报告

90. 秘书处代表介绍了准备项目报告，内容详见秘书处工作报告的附录 1（AFB/B.28/3），并总结了闭会期间的活动，包括近期即 2016 年 9 月 6-8 日在摩洛哥拉巴特举行的气候融资准备研讨会。在此报告覆盖的时段，基金迎来了新合作伙伴，加强了原有的合作关系，通过这些合作，基金为准备活动筹集了 20 万美元的共同融资。

91. 针对缩短国家实体从通过认证到准备提案之间的时间、以及与 GCF 合作的询问，秘书处代表回应说，已有计划与 GCF 就准备活动展开合作。秘书处也提醒国家实体，在申请认证时就要开始考虑打算开展的项目，以及项目如何与自己国家的优先重点保持一致。在筹备准备活动时，秘书处会先与参加者沟通，了解存在的知识缺口，并据此调整活动的日程和重点。

92. 有人对闭会期间举办的活动表示满意，会议得知，阿拉伯国家联盟赞扬了在拉巴特召开的研讨会。

93. 适应基金董事会将准备项目报告（见文件 AFG/B.28/3 附录 1）记录在案。

议程项目 11：第二十七次会议遗留问题

a) *对基金目标和下一步工作的战略讨论：基金与绿色气候基金的潜在关系*

94. 秘书处代表介绍了基金与 GCF 之间关系的报告（AFB/B.28/6），并回顾了闭会期间的活动。

95. 受副主席之邀，Ousseynou Nakoulima 先生代表 GCF 介绍了双方董事会和秘书处在机构层面所做的努力，以及在运行层面加强 GCF 和其他基金的互补性和协调性的努力。他说，GCF 的联席主席和基金主席进行了沟通，重申了加强双方合作的必要性。GCF 将在 2016 年 12 月 12 日开展有关互补性和协调性的年度对话，这是一个寻求具体办法支持机构层面联系的良好时机。双方已经就开展共同活动加深双方联系进行了讨论。他提到，GCF 可以学习适应基金知识管理的经验，但在此之前，GCF 必须先制定自己的知识管理战略。他提醒董事会，两个基金的合作和互补并不新鲜：GCF 的认证框架和标准就源于适应基金，这也是 GCF 为何能够建立快速认证程序。GCF 已经认证了 32 个实体，这一成绩主要归功于快速认证了许多适应基金的国家实体和区域实体：GCF 认证的 13 个国家或区域实体中，9 个已经通过适应基金认证，因此在 GCF 获得了快速认证。

96. 有人问及 GCF 和适应基金的合作关系，Nakoulima 先生回应说两个基金有很多办法建立关系。他举了三个例子。首先，GCF 董事会最近决定，发展中国家可以通过 GCF 的准备项目申请资金支持其国内适应规划工作，最高申请额为 300 万美元。这一支持可通过认证合作伙伴或达到受托管理

能力要求的交付合作伙伴提供。第二，认证也是一种合作方式，是与代表 GCF 监督或实施项目的合作伙伴的正式联系。GCF 在认证时考察两方面问题：合作伙伴是否达到了 GCF 的技术和受托标准、环境和社会保障及性别平等政策要求，以及合作伙伴为何寻求与 GCF 建立关系。他解释说，切合所需的分类是认证系统的一个关键概念。划分各种要求，形成不同类别，这样就可以认证不同类别的实体，以切合这些实体打算执行的活动的要求。第三是加强版的直接使用资金机制，该机制为获得 GCF 认证的实体提供资金，支持这些实体资助社区主导的或在地方层面开展的小规模活动；大部分参加直接使用资金机制的实体对此感兴趣。这些大部分是适应活动；适应对 GCF 是个重要议题，特别是小规模活动，因此与拥有相关重要经验的机构建立联系很有必要。

97. 就两家基金间的潜在关系，董事会成员展开了多方面讨论：继续花力气研究适合安排的必要性；需要遵循的流程；GCF 是否已经制定了所有必要政策。董事会认识到，与 GCF 建立具体的联系很重要，因此敦促秘书处就使用 GCF 资金的可能办法更新技术分析，包括与 GCF 建立伙伴关系的法律可能性，并将分析结果提交董事会第二十九次会议审议。有人认为双管齐下是行之有效的办法：一方面主席、副主席和秘书处继续与 GCF 相应方面对话，另一方面围绕基金与 GCF 的关系研究法律问题。

98. 审议文件 AFB/B.28/6 及秘书处汇报的最新进展后，适应基金董事会决定：

- a) 基于基金第 B.27/37 号决议和 GCF 董事会第 B.13/12 号决议，主席和副主席提名代表，在秘书处协助下，代表将参加 GCF 在其董事会第十五次会议上发起的年度对话，此对话旨在增强基金间的互补性；
- b) 请秘书处：
 - (i) 根据董事会第 B.25/26 号决议确定的互补性和协调性领域，继续与 GCF 秘书处讨论可开展的具体活动；
 - (ii) 更新文件 AFB/B.26/5，从法律、业务和金融角度进一步分析适应基金与 GCF 各种关系的影响，可根据需要与受托人磋商，并提交董事会第二十九次会议审议；
- c) 请主席和副主席继续与 GCF 的联席主席磋商，探讨适应基金和 GCF 之间的潜在关系；
- d) 请主席和秘书处向董事会第二十九次会议报告上文 a)、b) 和 c)段下工作的进展。

(B.28/45 号决议)

b) *基金的中期战略*

99. 秘书处代表介绍文件 AFB/B.28/7 的内容。他解释说，此文件源于董事会第二十七次会议的讨论，当时董事会审议了国家上限，并决定保留目前上限，同时要求秘书处起草基金的中期战略框架方案（B.27/39 号决议）。然后他概要阐述了此方面的工作成果。

100. 秘书处聘请了一位外部顾问开展此项工作，秘书处负责指导并提供咨询意见。该顾问通过电话加入会议后，会议转为非公开形式，以便于审议机密文件 AFB/B.28/7/Add.1，深入探讨相关事宜。

101. 审议文件 AFB/B.28/7 和机密附件 AFB/B.28/7/Add.1 后，适应基金董事会决定：

- a) 成立工作组，指导秘书处制定基金的中期战略，附件一国家和非附件一国家各派出三名成员组成工作组，成员在闭会期间选出；
- b) 请秘书处：
 - (i) 如果可能，在第二十二届 UNFCCC 缔约方会议的间隙安排一次工作组会议；
 - (ii) 在上述 a) 段提及的工作组指导下，起草基金的中期战略要点，包括各种方案，提交董事会第二十九次会议审议，目标是在第三十次会议上完成战略终稿；
- c) 起草中期战略要根据文件 AFB/B.28/7 所描述的框架方案：
 - (i) 概念模型：方案 2：动态战略
 - (ii) 结构：方案 1：战略选择方针；
 - (iii) 设计过程：综合采用方案 1 和 2，在起步阶段，通过与一些主要利益攸关方和决策者磋商初步制定战略（方案 1）；在第二阶段，采用更全面的流程（方案 2）。

(B.28/46 号决议)

c) *第一阶段全面评估的待决建议*

102. 副主席介绍此项议程，他说董事会各委员会、认证小组和秘书处已处理了第一阶段全面评估的大部分建议，但有一些必须在董事会层面讨论。根据道德与财务委员会的建议，董事会决定在此次会议上审议待决建议（B.27/35 号决议），因此他邀请该委员会的主席主持此议程讨论。

103. 委员会主席解释说，如何跟踪第一阶段评估发现的未决问题的解决进展，是本节讨论的主要目的。例如，是否授予秘书处更多权利，如批准已批项目/项目群的分批资金，就是一个未决问题。她建议，第一步工作，由秘书处和道德与财务委员会、项目审查委员会主席协商，确定需要跟进的问题，确保这些问题列入以后会议的适当议程。之后大家进行了简短讨论。

104. 适应基金董事会决定：

- a) 授予秘书处批准技术审查和核准项目绩效报告（PPR）的权利，但应知会董事会相关事项，之后主席批准转账分批资金；
- b) 请秘书处根据董事会批准的管理层回复内容（B.26-27/26 号决议），经与董事会各顾问机构主席磋商，总结基金第一阶段评估的未决建议，起草文件提交董事会及其顾问机构的下次会议审议。

(B.28/47 号决议)

议程项目 12: 沟通与外联

105. 秘书处代表报告了执行沟通战略的进展，战略致力于通过生动介绍基金支持的活动和卓有成效的项目，提高基金的知名度。在闭会期间，秘书处发布了十八条新闻稿，撰写了三份项目专题报告，并制作了多个短视频。在庆祝“地球日”和签署《巴黎协定》之际，秘书处发起有关沿海和流域适应活动的摄影大赛，并收到近 130 份作品，其中许多来自基金出资支持的项目。利用大赛契机，基金借助社交媒体成效地宣传了项目。参赛作品在 7 月份华盛顿特区举办的基金准备研讨会上展览，并将在 COP 22 上作为基金的多媒体展品展示。此外，基金成立 10 周年在即，秘书处正在撰文历陈基金取得的成就。

106. 在闭会期间，适应基金网站访问量增加了 18%，其中独立访问者比前一年平均增加 37%。在推特上更有针对性、更为频繁的发文，使得关注人数超过 6 千人（仅仅 1 年间增加了 2 千人）；脸书上的发文也更频繁、更吸引人；Flickr 上的相册得到更新并扩充；领英被用来联系气候领域领导者。基金使用在线新闻稿发布工具推送基金材料后，电子邮件列表规模得以扩大。

107. 基金将再次在网站上设立 COP22 一站式微型网站，详细介绍 COP 22 期间基金的活动，基金在摩洛哥的活动和筹资目标。COP 22 期间，基金将举办有关家庭与社区农业的会外活动，第二届法语会外活动，与捐助方的对话，以及包括精彩的项目摄影作品和新视频的多媒体展览。基金在 2015 年 COP21 的数字展览获得了绿色奖项，目前所计划的这些活动也都符合 UNFCCC 召开无纸化 COP 的要求。

108. 有人问及沟通工作的预算，秘书处代表说，秘书处预算的 4% 用于沟通。他还表示，在宣传基金工作方面，国家实体是很好的第三方资源。

109. 有人指出，媒体上有一些报道讨论某些项目碰到的困难，并建议国家实体与其他利益攸关方一道，同时积极宣传项目的成就。秘书处代表说，目前正在制作两个将在 COP 22 播放的重要视频，视频将突出展示卓有成效、勇于创新的基金项目，其中包括摩洛哥的项目。一个视频重点介绍基金的性别平等工作，将在 UNFCCC 的“性别平等日”发布。秘书处将开展外联活动，争取在 COP 22 多次播放这些视频，不仅在展台，而且也在讨论组和社交媒体上播放。有人建议，视频必须明确指出基金项目并非单纯的常规发展项目，性别平等也不仅关乎女性。秘书处代表说，基金性别平等政策强调给予男女平等机会，性别主题视频重点介绍的项目完全达到了这一要求。秘书处还将为 COP 22 制作传单，强调基金将服务于《巴黎协定》，基金在 2020 年后的时期依然能发挥作用。会议指出，许多国家受益于基金，这些国家最好能告知秘书处它们为 COP 22 计划的宣传活动。与法语国家可持续发展学院（*Institut de la Francophonie pour le développement durable*）建立联系也很有助益。秘书处指出，COP21 期间通过社交媒体建立了许多有益的伙伴关系，使得基金的重要信息得到了广泛传播，因此秘书处计划在 COP22 期间也开展类似活动。此外，秘书处还计划在 COP22 期间通过网站和数字渠道，围绕基金的工作、卓有成效的项目/项目群、筹资工作和实现 COP22 目标的进展等内容定期发布更新和新闻稿。

110. 适应基金董事会将秘书处的发言记录在案。

议程项目 13: 财务问题

a) 信托基金的财务状况和 CER 货币化

111. 应董事会主席邀请，受托人代表报告了上次会议以来受托人的工作，其中包括世界银行集团最近发布信托基金单一审议报告，即将完成经审计的 2016 财年适应基金信托基金财务报表的编制工作。

112. 受托人代表介绍了适应基金信托基金和核证减排量（CER）货币化的最新财务状况。自成立以来，基金总收入达到 5.469 亿美元，其中 1.966 亿美元来自 CER 销售，3.448 亿美元来自捐款，以及受托人经营所得的 560 万美元投资收入。截至 6 月底，可用于新项目/项目群的资金为 1.686 亿美元，比上次会议时略有减少。他说，虽然 CER 市场依然供给过剩，买方需求极弱，但 CER 的销售依然缓步伺机进行。

113. 受托人报告，与瓦隆尼亚区的捐资协议签订完成，并且修订了与联合国基金的协议，延长协议有效期限，以支持从基金网站募集私人捐款。他说，2017 财年，受托人会继续寻找机会，通过专门的场外交易溢价销售 CER。最后一点，根据协议，受托人为适应基金提供的服务将于 2017 年 5 月到期，适应基金董事会已经建议延长受托人的服务期限，取决于作为《京都议定书》缔约方会议的《公约》缔约方会议（CMP）的决议，受托人将承担任何必要的跟进工作。

114. 适应基金董事会将受托人的报告（文件 AFB/EFC.19/11）记录在案。

b) 项目/项目群备选库状况

115. 鉴于议程项目 6 项目审查委员会的报告，董事会决定将项目/项目群备选库状况的审议推迟到第二十九次会议进行。

议程项目 14：与公民社会组织的对话

116. 与公民社会的对话内容见本报告的附件三。

议程项目 15：选举下一任官员

117. 适应基金董事会决定：

a) 选举：

(i) Michael Jan Hendrik Kracht 先生（德国，附件一缔约方）为董事会主席；

(ii) Fatuma Mohamed Hussein 女士（肯尼亚，非附件一缔约方）为认证小组主席；

(iii) Yuka Greiler 女士（西欧和其他国家集团）为认证小组副主席；

b) 在闭会期间选举其他官员。

（B.28/48 号决议）

议程项目 16：2017 年董事会会议的日期和地点

118. 应主席之邀，秘书处负责人回顾了董事会在第二十七次会议上的有关决定：

- a) 2017 年 3 月 14-17 日在德国波恩举办第二十九次会议；
- b) 2017 年 10 月 10-13 日在德国波恩举办第三十次会议。

议程项目 17：其他事项

a) *对话 UNFCCC 的执行秘书长 Patricia Espinosa 女士*

119. 主席邀请 UNFCCC 执行秘书长 Patricia Espinosa 女士发言。Espinosa 女士阐述了适应融资面临的挑战和机遇，以及在马拉喀什召开 COP 22 前的一些工作。

120. 关于适应融资的挑战和机遇，她首先谈到了适应融资的大背景。在目前阶段，各方既要在全球推广适应活动，使之成为发展工作的有机组成部分，同时为了应对气候变化，全球又面临着更具变革性的转变。适应基金通过开展具体的适应项目做出了重大贡献，不仅降低了脆弱性，而且帮助社区和政府了解哪些工具、技术和政策有助于降低脆弱性。她鼓励基金继续宣传其经验，这么做不仅可使之发扬光大，而且有利于推动谈判进程，谈判有时候难以推进就是因为大家不了解已经取得的成果。

121. 基金首创直接使用资金机制，意义尤为重大。这一机制给予了发展中国家规划其可持续发展道路的工具。2016 年 5 月在波恩举行的附属机构四十四次会议期间，Espinosa 女士聆听了基金秘书处在“能力建设德班论坛”上的演讲，注意到了其中的深刻见解，尤其是关于国家机构获取和管理资金方面遇到的一些障碍。在目前所进行的为直接使用资金而进行能力建设的讨论中，交流这些信息至关重要。

122. 谈到对马拉喀什会议的期望和适应基金的机遇，她说 COP 22 议程涵盖了基金如何为《巴黎协定》服务的问题，因此敦促秘书处和董事会成员做好准备，以便在讨论此问题时能提供所需信息或进行澄清。

123. 谈及适应基金的未来和资金，她说，大家需要切记气候变化这一问题涉及的规模之大，需要每个人参与，建立更多伙伴关系，进一步加强合作。而基金拥有重要资产，包括其动员各方力量以响应发展中国家需求的洞见，创新融资的经验，以及基金顺利运作凭借的政策和规划。马拉喀什会议上，适应融资预期将获得更多政治关注，也将是摩洛哥担任下一任主席国期间的优先重点。5 月份附属机构会议期间举办的长期气候融资研讨会显示，获取适应融资依然存在困难，特别是小岛屿发展中国家和最不发达国家。第二届双年度气候融资高级别部长对话将在马拉喀什举办，届时将讨论的问题包括扩大适应融资，支持发展中国家的必要性，为建设更有利环境和支持准备活动开展合作的必要性。部长会议将重点关注加强适应融资的效益和实现这一目标需要建立的广泛伙伴关系。资金源自多种渠道，导致现有的支持零落分割，为建立有效而简便的获取资金机制，这一状况必须得到改变。

124. 最后，她向即将离任的秘书处负责人致意，感谢她为基金的顺利成立和运行做出的重要贡献。

125. 接下来 Espinosa 女士回应了成员的问题和意见，其中一些问题围绕基金的未来和与 GCF 的关系，特别是在要简化获取适应资金机制这一背景下。Espinosa 女士说，虽然她履新不久，有待学习的事情还很多，但有一点很清楚，即适应融资是大家广泛讨论的主题，也是聚焦行动和实施的 COP 22 的一个主要议题。由于为应对气候变化提供资金的机制和实体众多，其复杂程度使得普通人难以理解。而抵御气候变化所需的行动和政策努力，如何为这些行动筹集资金，都面临着挑战，需要各方理解沟通。建立一个更为精简的结构正是为此，而要做到这一点，帮助气候融资领域的机构建立合作关系、强化机构力量是最佳途径。另一方面，《巴黎协定》即将生效，体制结构必须做出相应改变。她最后表示，适应需求鲜明而巨大，她和她的团队都非常愿意支持基金的工作。

126. 一位成员询问执行秘书长，基金是否可以派一名代表参加 COP 22 期间举办的第二届双年度气候融资高级别部长对话。

127. 另一位成员问道，联合国新任秘书长有着崭新议程，气候变化是否有可能不再是重点。Espinosa 女士回答说，在创纪录的短时间内签署和批准《巴黎协定》，就证明了各国对气候变化问题非常重视，但一些国家面临的政府选举可能带来变数，社会各方和人民必须继续努力推动气候变化议程。不过气候变化议程本身就非常有力，因为应对饥饿、灾难和流离失所等威胁都离不开气候变化因素，抵御气候变化对人民的日常生活至关重要。

128. 应 Espinosa 女士要求，UNFCCC 秘书处负责资金、技术和能力建设的负责人 Dechen Tsering 女士回答了 COP 22 哪项议程讨论基金如何服务于《巴黎协定》的问题。她说，COP 22 计划要求《巴黎协定》特设工作组（APA）为此做必要准备。这一工作列在 COP 22 议程的组织事项下。她阐述了 APA 如何处理这一问题的可能情景，但表示，不论哪种情景，APA 联席主席都会根据缔约方对此问题的意见，决定下一步如何进行。

129. Tsering 女士说完后，Espinosa 女士强调，各国在 COP 和 CMP 各个相关会议上积极参与非常重要，一方面要确保这一问题从程序上得到讨论，另一方面要就如何在工作安排中得到体现提出具体建议。不过，APA 会进行更实质性的讨论，如果有阐明基金参与重要性的国别演讲提供支持就最理想。她鼓励所有董事会成员联络各国代表，确保各国积极参与讨论。

130. 主席感谢 Espinosa 女士为会议所做的贡献。

b) 招聘秘书处负责人新人选的进展

131. 主席说，他与副主席就招聘秘书处负责人一事致函秘书处主任 Naoko Ishii 女士，之后与她讨论了任务大纲。招聘信息于 2016 年 9 月 28 日发布，截止日为 2016 年 10 月 12 日。主席和副主席将参与短名单选择并亲自参与面试，目前正与 Ishii 女士商量合适的面试候选人时间。

132. 适应基金董事会将主席有关招聘进展的报告记录在案。

议程项目 18：通过报告

133. 董事会在第二十八次会议结束后通过本报告。

议程项目 19：会议闭幕

134. 主席于 2016 年 10 月 7 日星期五下午 5:50 宣布会议闭幕。

附件一

适应基金董事会第二十八次会议参会人员名单

成员		
姓名	国家	代表区域
Yerima Peter Tarfa 先生	尼日利亚	非洲
David Kaluba 先生	赞比亚	非洲
Emilio L. Sempris Ceballos 先生	巴拿马	拉丁美洲和加勒比地区
Lucas Di Pietro Paolo 先生	阿根廷	拉丁美洲和加勒比地区
Ahmed Waheed 先生	马尔代夫	亚太地区
Monika Antosik 女士	波兰	东欧
Aram Ter-Zakaryan 先生	亚美尼亚	东欧
Antonio Navarra 先生	意大利	西欧和其他国家集团
Hans Olav Ibrenk 先生	挪威	西欧和其他国家集团
Michael Jan Hendrik Kracht 先生	德国	附件一缔约方
Tove Zetterström-Goldmann 女士	瑞典	附件一缔约方
Fatuma Mohamed Hussein 女士	肯尼亚	非附件一缔约方
Patience Dampney 女士	加纳	非附件一缔约方
Naresh Sharma 先生	尼泊尔	最不发达国家
Paul Elreen Phillip 先生	格林纳达	小岛屿发展中国家

候补成员		
姓名	国家	代表区域
Petrus Muteyauli 先生	纳米比亚	非洲
Albara E. Tawfiq 先生	沙特阿拉伯	亚太地区
Ardiana Sokoli 女士	阿尔巴尼亚	东欧
Umayra Taghiyeva 女士	阿塞拜疆	东欧
Irina Helena Pineda Aguilar 女士	洪都拉斯	拉丁美洲和加勒比地区
Marc-Antoine Martin 先生	法国	西欧和其他国家集团
Yuka Greiler 女士	瑞士	西欧和其他国家集团
Markku Kanninen 先生	芬兰	附件一缔约方
Aida Velasco Munguira 女士	西班牙	附件一缔约方
Margarita Caso Chavez 女士	墨西哥	非附件一缔约方
Chebet Maikut 先生	乌干达	最不发达国家

附件二

已通过的董事会第二十八次会议议程

1. 会议开幕
2. 组织事项：
 - a) 通过议程
 - b) 工作安排
3. 主席工作报告
4. 秘书处工作报告
5. 认证小组报告
6. 项目审查委员会第十九次会议报告：
 - a) 区域项目试点方案的资金供应；
 - b) 收到的项目/项目群提案概述；
 - c) 项目/项目群审查发现的问题；
 - d) 项目/项目群提案；
 - e) 进一步研究覆盖适应总成本要求
7. 道德与财务委员会第十九次会议的报告：
 - a) 2016财年绩效报告；
 - b) 对基金的评估；
 - c) 知识管理战略；
 - d) 认证程序的成效和效率；
 - e) 性别平等政策和行动计划；
 - f) 投诉处理机制；
 - g) 落实行为准则；
 - h) 财务问题

8. 资源调动战略
9. 赴蒙古项目组合监察团报告
10. 准备项目报告
11. 第二十七次会议遗留问题：
 - a) 对基金目标和下一步工作的战略讨论：基金与绿色气候基金的潜在关系；
 - b) 基金的中期战略；
 - c) 第一阶段全面评估的待决建议
12. 沟通与外联
13. 财务问题
 - (a) 信托基金的财务状况和 CER 货币化；
 - (b) 项目/项目群备选库状况
14. 与公民社会组织的对话
15. 选举下一任官员
16. 2017 年董事会会议的日期和地点
17. 其他事项
18. 通过报告
19. 会议闭幕

附件三

与公民社会组织的对话（德国波恩，2015 年 10 月 6 日）

1. 适应基金董事会副主席 Michael Jan Hendrik Kracht 先生（德国，附件一缔约方）邀请董事会与公民社会组织对话。对话伊始，大家首先致意最近返回几内亚首都科纳克里的 Alpha Kaloga 先生（德国观察），感谢他多年来负责协调适应基金 NGO 网络的工作。
2. 来自德国观察的 Lisa Junghans 女士报告了上次会议曾向董事会介绍的监测与评估工具的最新情况。她介绍了此工具的功能：在项目设计阶段，主要评估项目的透明和参与程度；在项目实施阶段，评估项目对当地反馈和顾虑的响应程度，以及项目的财务问责制和透明度；针对最近的项目活动进展，评估并报告项目完成或未完成哪些计划的活动。实施实体将收到最后得分并可发表意见，之后评估摘要会在适应基金 NGO 网络网站发布。
3. 来自 VIDA 基金会的 Edas Muñoz Galeano 先生演示了适应基金洪都拉斯项目（HON/MIE/Water/2010/4）应用项目评估记分卡的结果。该项目在设计阶段符合标准，在实施阶段也基本符合标准，完成评估和最终审计还需要两个月时间。他同时介绍了项目取得的成绩。
4. 来自德国观察的 Sönke Kreft 先生报告了 2016 年 10 月 5 日（星期三）波恩战略晚宴的内容。晚宴讨论了适应基金在《巴黎协定》生效后的战略，新型融资渠道的各种办法与潜力，以及寻求绿色气候基金认证的可能性。Benito Müller 先生以航空工业为例介绍了众筹融资办法。现在需要跟进所有新型融资机制的可能性，同时适应基金应在政治进程中拥有自己的支持倡导者，以便能够强调适应基金的增加值，引领各方关注基金取得的成果。
5. 来自德国观察的 Paul Brice Affana 先生说，确定区域项目/项目群的优先级别应基于哪些项目符合当地受益人的需求和关切点。要做到这点，一个办法就是优先考虑还没有国家实体执行的项目的国家。他还表示，应为知识管理战略提供充足资金，否则基金的短期成效和长期意义都会被削弱。战略应反映公民社会的经验。应进行差距分析，营造有利环境，为公民社会提供一个交流经验和教训的平台。资源调动工作应探索新型融资渠道，可以通过凸显最脆弱社区的需求加强筹资势头。
6. 来自透明国际的 Lisa Elges 女士欢迎对风险管理至关重要的投诉处理机制，但不明白为何这一机制冠以临时性名称。投诉处理不能被视作补充机制。该机制还应该做到：确保保密性，允许匿名投诉，保护举报人身份，发生报复行为时为举报人提供支持，设定受理或拒绝投诉的客观标准，以及设立监测和评估计划。基金还应该解决以下问题：如何在各国申诉体系内执行基金的投诉机制，秘书处如何负责处理投诉，以及如何以通俗易懂的形式宣传介绍投诉机制。
7. Kreft 先生就项目拖延问题发言，他说 NGO 网络将起草文件，分析项目拖延的原因。此问题涉及到知识管理和差距分析。基金网站上的项目绩效报告（PPR）不全；83%的项目/项目群至少短缺一份 PPR。许多项目没有项目网站。这些问题应在讨论知识管理时解决。他说造成项目拖后有多种原因，取决于是否有助于完善项目，这些原因可分为正负两组。
8. 来自贝宁 JVE 的 Hountondji Kodjo Edzromi Mawuse 先生介绍了适应基金在贝宁的项目（BEN/NIE/Coastal/2012/1）。他说国家实体未能成功开发项目的主要原因有以下这些：政府干涉选择过程，缺乏认真的磋商活动，国家实体的组织机构不稳定，国家实体的技术能

力不足，缺乏数据证明项目的适应性质。可供其他国家和国家实体汲取的教训包括：避免项目政治化，让具有技术专长的利益攸关方参与项目概念编制。应该建立一个对外公开的可靠的气候变化问题数据库，以帮助发现、确证合适的适应项目。最后一点，在项目设计、准备和实施工作中，还需要继续利用和建设公民社会能力。

9. 有人提出，政府负有政治和技术双重责任，听取政府代表的意见没有坏处。很难在项目发展过程中排除政治因素，如果这么做，可能会导致项目得不到政治支持。应该想办法与各个层面的政府人员沟通。提出的经验教训很重要，有必要更深入研究存在的差距。项目网站应该设立适应基金的链接。有人担心，匿名投诉处理机制可能会鼓励琐屑无聊甚至毫无根据的投诉。有人指出，基金和公民社会都在对项目进行中期评估，工作似乎有所重叠，并询问两者是否可以产生合力。适应是一个还在演进中的概念，因此有时难以理解，但尽管存在这一不确定性，项目还是要开展。
10. **Mawuse** 先生说，公民社会随时准备帮助遇到困难的国家，因此应该征求公民社会对具体提案的意见，公民社会有权提出建议。**Elges** 女士表示，匿名是投诉处理机制的基本要求，不过可以采取措区分琐屑无聊的投诉和真正投诉。关键是秘书处必须有所需的能力处理相关投诉。
11. 副主席感谢公民社会成员参会发言。

附件四

临时性投诉处理机制 (ACHM)**何为ACHM？**

1. 临时性投诉处理机制（ACHM）是对适应基金风险管理框架的补充，实施实体获得认证所需的申诉机制也涵盖其下。
2. 适应基金的 ACHM 适用于实施实体和受到基金资助项目/项目群负面影响的社区成员。ACHM 旨在通过参与式举措，协助处理针对基金资助的项目/项目群的投诉。
3. 投诉者和实施实体应首先利用实施实体的申诉机制。如果相关方未能在一年内通过实施实体的申诉机制获得满意的解决方案，就可使用 ACHM，但需至少一方向 ACHM 提交书面投诉。
4. 有关投诉的诸项事宜均由适应基金董事会秘书处（秘书处）在适应基金董事会（董事会）的道德与财务委员会（委员会）监督下独立办理。¹
5. ACHM 基于替代性争议解决方法²。ACHM 的主要功能在于促进利益攸关方之间有效对话，协调/协助解决提出的问题，总结分享经验以完善未来的项目。

ACHM如何运作？

6. **受理：**在收到投诉的 **5 个工作日内**，对照下文规定确定投诉不属排除范围后，秘书处负责人通知相关方收到投诉。
7. 如果投诉方要求保密，秘书处应确保与相关方分享的信息中删除了姓名和其他表明身份的内容。
8. **评估与同意：****20 个工作日内**，基于与相关方的磋商，秘书处撰写评估报告草案，阐明相关方的顾虑和期望。相关方可在 **10 个工作日内**，提出对报告的意见。

¹ 参见适应基金风险管理框架 <https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/>。

² 包括调停、调解、通过合作或基于利益解决问题、中立评价、联合真相调查、谈判、和解、仲裁等方法。

9. 秘书处汇总各方意见，完成公开的最终评估报告，并将各方意见和投诉作为附件。秘书处通过与相关方磋商，基于各方善意，设计拟定各方同意的战略，促成各方对问题的共同理解（确认或撤销投诉），或者为达成解决方案各方接受的下一步可能举措。战略将基于替代性争议解决方法。最终评估报告提交给委员会，委员会将根据基金的风险管理框架，提出建议请董事会批准。
10. **委员会对最终评估报告的不反对意见：**秘书处确认报告包括相关方的同意意见。然后秘书处立即通过电子邮件发送报告给委员会，委员会可在 **14 个工作日**内提出反对意见。如果委员会表示反对，秘书处即通知相关方，秘书处将停止所有有关此投诉的争议解决活动。
11. 如果委员会给出不反对意见，秘书处与相关方磋商，与相关方一起实施战略。相关的建立信任举措或解决争议活动可基于提出的具体问题或某类问题，可以单独针对一个问题，也可全方位针对投诉的各个方面。
12. **实施和监测：**ACHM 要求采取建立信任的举措和持续的真诚合作，因此不能设定时限。秘书处将起草提交更新报告，汇报最终评估报告中各方同意的争议解决战略的实施进展。更新报告提交给委员会。ACHM 活动的费用由基金承担。
13. ACHM 并不保证解决问题。如果 ACHM 未能在两次更新报告的期限内实施争议解决战略的任何活动，秘书处负责人会与委员会主席咨商，决定暂停或终止争议解决活动。
14. 如果暂停争议解决活动，秘书处将通知相关方有关投诉的 ACHM 将暂停以及暂停原因。
15. 秘书处负责人每两个月与相关方沟通，重新审视暂停争议解决活动的决定。秘书处此举旨在寻求相关方重新开始解决争议的真诚意愿。如果秘书处负责人通过与相关方磋商，认为已达到恢复条件，即恢复 ACHM 活动。
16. **补救与激励：**如果由于任何一方缺乏合作而终止争议解决活动，秘书处可将投诉转呈委员会，委员会可向董事会建议采取风险管理框架中的措施。
17. **解决：**一旦所有事宜解决或者争议解决活动终止，秘书处发布最终解决报告，说明过程中达成的临时解决方案。
18. 在最终解决报告中，秘书处将包括一份简要分析，说明哪些系统性的政策相关领域可能导致了投诉或投诉未得到解决。这些领域可包括政策合规、机构能力、环境和社会风险管理框架、监督薄弱环节、技术专长、披露和磋商或其他相关方面。
19. 该报告发送给相关方，相关方可在 **14 个工作日**内提出意见。秘书处在最终解决报告中汇总相关意见，并将相关方意见作为报告附件，提交报告给董事会。

谁可投诉，可以保密吗？

20. 居住在基金支持项目可能产生影响地区的任何个人或其代表均可向秘书处提交书面投诉。
21. 如果投诉者认为表达其关切可能带来报复风险，可要求保密。保密范围包括姓名、地址、照片和其他任何表明身份的内容。这一条款也适用于投诉者代表或其他现在或将来可能面临报复风险的任何个人。
22. 在任何时候都可提出保密要求，整个过程中都可提供保密性。除了秘书处外，没有其他人可以看到保密信息。

如何及何时投诉？

23. 投诉应使用联合国语言³以书面方式提交。如果投诉语言不是英语，考虑到翻译需求，起草第8段的评估报告草案就可能需要更多时间。
24. 提交投诉的联系信息如下：1、发送电子邮件到 complaints@adaptation-fund.org；或 2、邮寄信函至“适应基金董事会秘书处，1818 H Street NW, N7-700, Washington, DC 20433, USA”。
25. 投诉中应标明投诉者的姓名和地址，说明是否指定了代表，并列出发表的姓名和地址。
26. 投诉中应包括所有项目相关信息（即项目名称、地址、所属部门、描述……），说明哪些项目活动是危害的实际或潜在来源，这些活动造成的危害的性质。
27. 在有关项目的最终评估报告提交前，皆可投诉。

排除规定

28. ACHM 不受理具有下列特征的投诉：
- a) 匿名投诉（保密投诉不同，按上文所述受理）；
 - b) 琐屑无聊、出于恶意或无理取闹的投诉⁴；

³ 联合国的官方语言为阿拉伯文、中文、英文、法文、俄文和西班牙文。

⁴ “琐屑无聊、出于恶意或无理取闹”一般认同的意义如下：(i) 琐屑无聊——琐碎、微不足道或徒劳无用，非严肃之举；(ii) 出于恶意——心怀恶念或怨恨，对其他人抱有不公正打算；(iii) 无理取闹——引起或易于

- c) 执行实体或其员工针对与其签订合同的实施实体的投诉，且投诉涉及执行实体与实施实体之间的合同；
- d) 投诉涉及的活动与基金支持的项目无关；
- e) 投诉涉及事宜已经在以前的投诉中处理，并且各方达成了解决方案，除非投诉基于上次投诉未发现的新情况。

披露

29. 鉴于实施实体负有达到透明度、反腐败举措和自我调查能力标准的信托责任，适应基金将在其网站开辟有关实施实体申诉机制的“问责簿”（Accountability Register）页面。该页面将列出实施实体的申诉机制以及本 ACHM。

30. 为了确保透明公开，适应基金“问责簿”专门为每起投诉设立页面，披露所有相关文件，包括最终评估报告、公告、更新报告和最终解决报告，并相互链接该页面与项目页面。

31. 鼓励实施实体在其网站设立适应基金“问责簿”链接。

引起愤怒、沮丧或苦恼情绪，或没有足够理由采取行动，或纯粹为了引起烦恼。以下因素可能表明投诉属琐碎无聊、出于恶意或无理取闹类别：投诉未能清楚指明要解决的实质问题或具体问题；投诉内容均为细枝末节，无关紧要；属于针锋相对的投诉；投诉内容不断变化，意图明显在于拖长与 ACHM 打交道的的时间；ACHM 已经处理过的投诉，新投诉未增加任何新内容；投诉者过度联络或做出不合理要求，包括侮辱性和威胁性行为。

附件五

知识管理战略和行动计划

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 showcase 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;

⁵ <http://www.adaptation-fund.org>

⁶ <http://climatefinanceready.org/>

- 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.

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.

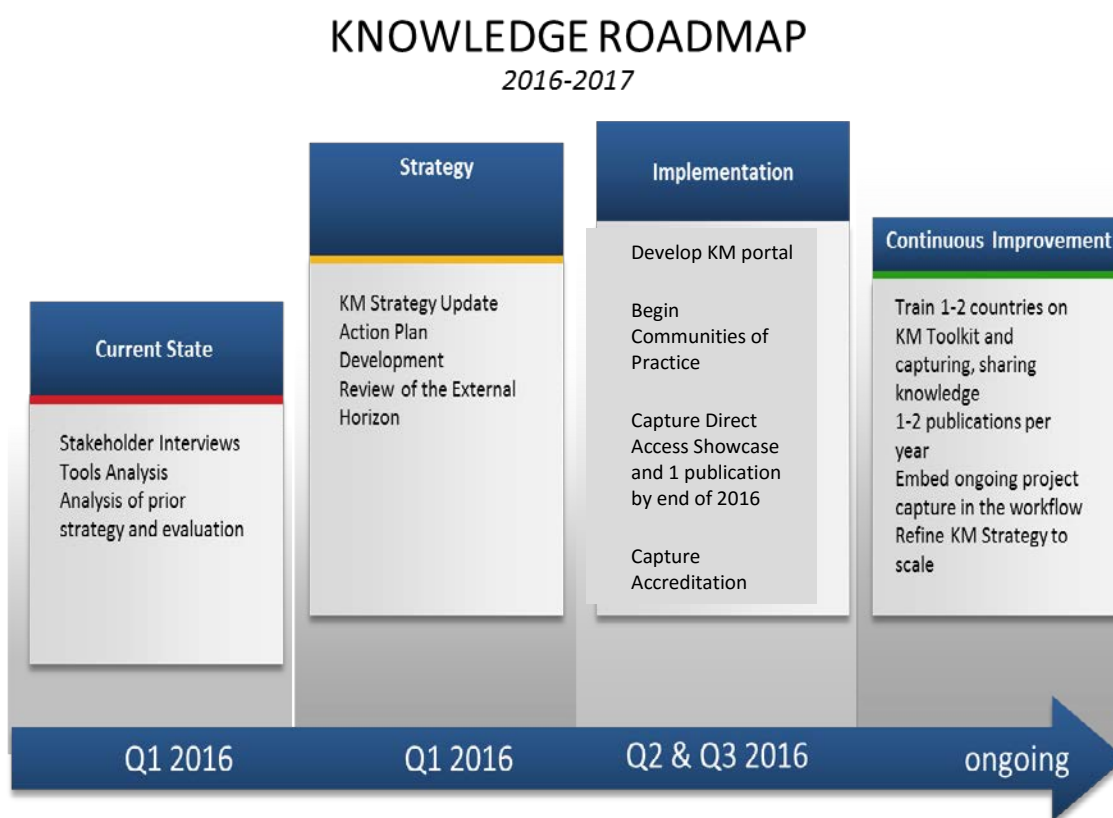
29. Knowledge Management is a journey which requires time, budget and a dedicated focus. An action plan related to Information Management and Collaboration has been laid out in the following section, bearing in mind the opportunities and limitations of the Fund.

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.

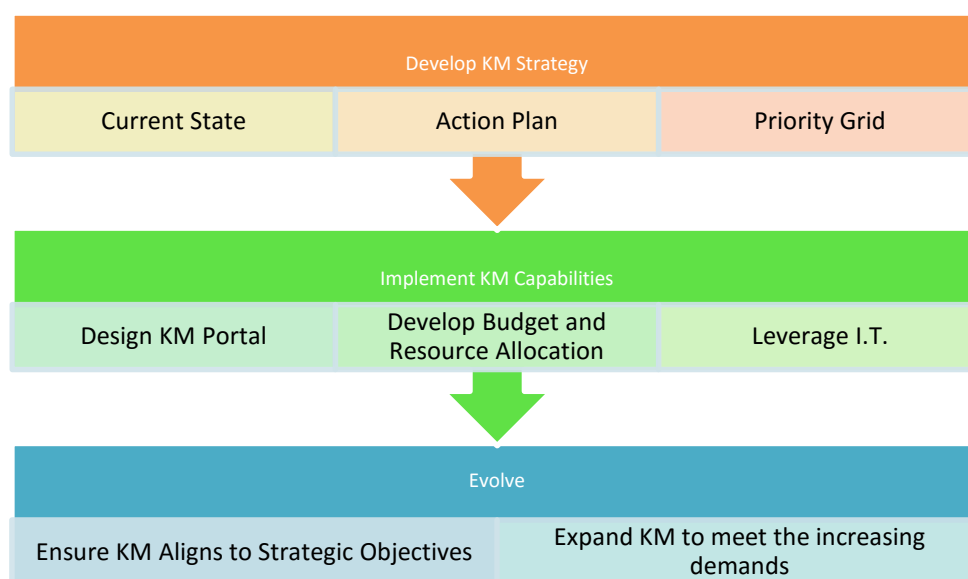
33. The following action plan has been developed based on essential steps that would be needed to update and implement a scalable knowledge management strategy at the Fund. It will

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
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.	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
KM Advisory Group: This key team will engage and work with leaders and staff to provide ongoing guidance and advice for the KM efforts.	Time: 1-3 hours a month the first year, then 1-3 hours a quarter Key activities: Advise, Brainstorming
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.	Time: Varies based on the project Key activities: Contribute, review and use the knowledge that has been created

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
Collaboration 4 Development Platform - The World Bank	<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>
Box.com	<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</p>

	be used by the team, making use of its features described above.
--	--

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	KM focal point, KM champions from each team	Valuable to have strong onboarding and centralized content and

	and exchange content. C4D for example.		collaboration.
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
--	---	-------------------	-------------

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.

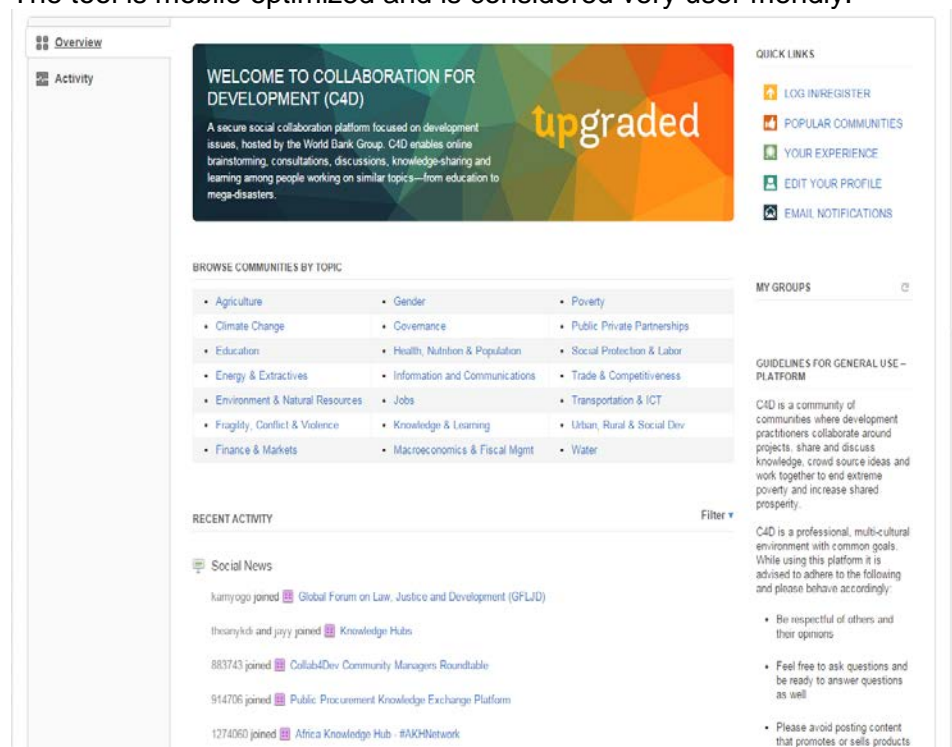
The Bank appointed a role of Program Director for knowledge management to drive the organizational strategy and an institutional task force to define an implementation road map. World Bank Initially identified 80 domains of expertise and built global "communities of practice" from informal communities 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.

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

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.



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 and
innovative programs and policies.

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

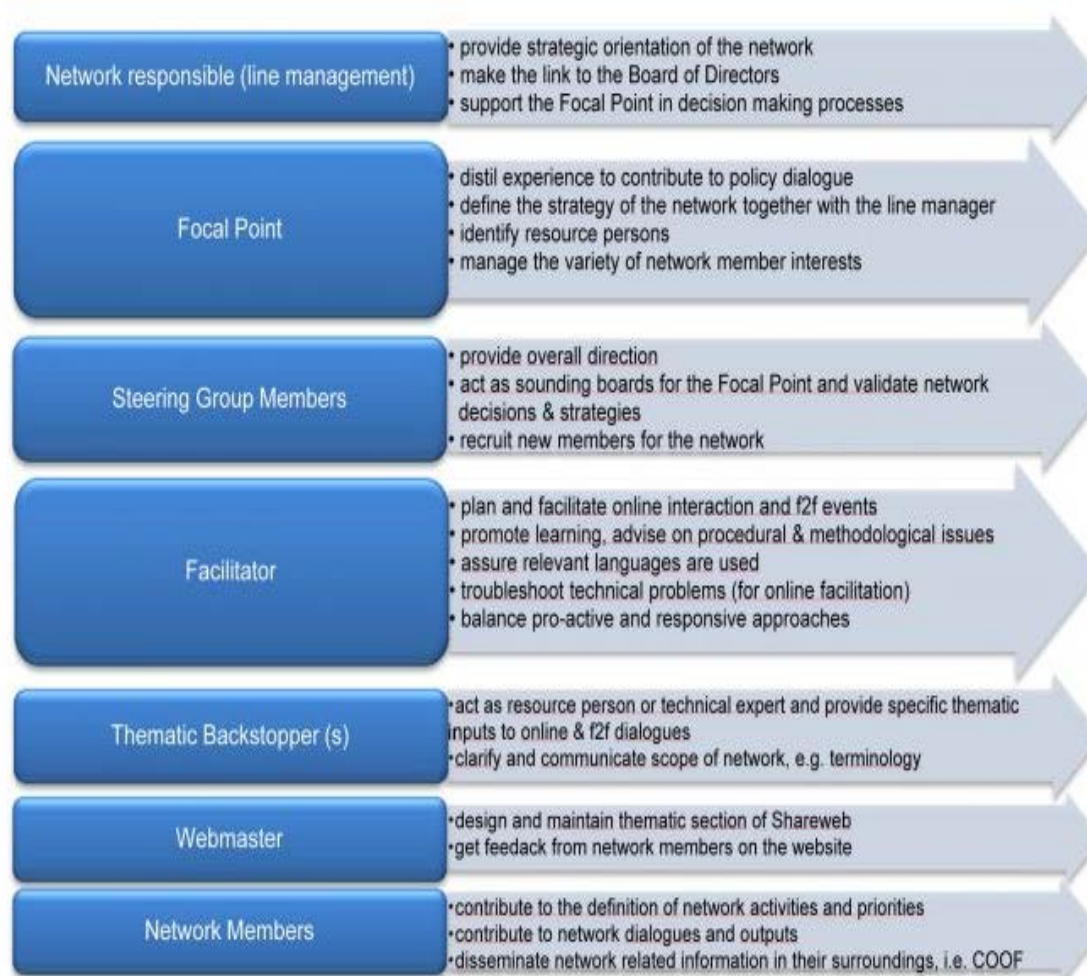
and

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



Knowledge into Action

for Scotland's Health and Social Care

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](#)

Contact:

Dr Ann Wales ann.wales@nes.scot.nhs.uk
Dr Karen Ritchie karenritchie@nhs.net

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 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)

附件六

适应基金董事会第二十八次会议投资决议：2016年10月7日

	国家/名称	实施实体	文件编号	项目	国家实体	区域实体	多边实体	预留资金	决议
1.									
项目和项目群：单一国家									
	安提瓜和巴布达	ABED	AFB/PPRC.19/15	9,970,000	9,970,000				未批准
	埃塞俄比亚	MOFEC	AFB/PPRC.19/16	9,975,486	9,975,486				未批准
	印度	NABARD	AFB/PPRC.19/17	2,556,093	2,556,093			2,556,093	已批准
	巴拿马	Fundación Natura	AFB/PPRC.19/18	9,964,859	9,964,859				未批准
	密克罗尼西亚联邦	SPREP	AFB/PPRC.19/19	9,000,000		9,000,000			未批准
	秘鲁	CAF	AFB/PPRC.19/20	2,941,446		2,941,446			未批准
	老挝人民民主共和国	UN-Habitat	AFB/PPRC.19/21	4,500,000			4,500,000	4,500,000	已批准
	巴拉圭	UNEP	AFB/PPRC.19/22	7,128,450			7,128,450		未批准
小计				56,036,334	32,466,438	11,941,446	11,628,450	7,056,093	
2.									
项目准备赠款：单一国家									
	纳米比亚 (1)	DRFN	AFB/PPRC.19/6/Add.1	30,000	30,000			30,000	已批准
	纳米比亚 (2)	DRFN	AFB/PPRC.19/7/Add.1	30,000	30,000			30,000	已批准
	多米尼加共和国	IDDI	AFB/PPRC.19/8/Add.1	30,000	30,000				未批准
	印度尼西亚	Kemitraan	AFB/PPRC.19/9/Add.1	29,550	29,550				未批准
小计				119,550	119,550			60,000	
3. 概念：单一国家									
	纳米比亚 (1)	DRFN	AFB/PPRC.19/6	750,000	750,000				已通过
	纳米比亚 (2)	DRFN	AFB/PPRC.19/7	750,000	750,000				已通过
	多米尼加共和国	IDDI	AFB/PPRC.19/8	9,954,000	9,954,000				未通过
	印度尼西亚	Kemitraan	AFB/PPRC.19/9	3,808,416	3,808,416				未通过
	厄瓜多尔	CAF	AFB/PPRC.19/10	2,489,373		2,489,373			未通过
	马绍尔群岛	SPREP	AFB/PPRC.19/11	7,484,873		7,484,873			未通过
	多哥	BOAD	AFB/PPRC.19/12	10,000,000		10,000,000			已通过
	斐济	UN-HABITAT	AFB/PPRC.19/13	4,200,000			4,200,000		已通过
	所罗门群岛	UN-HABITAT	AFB/PPRC.19/14	4,395,877			4,395,877		已通过
小计				43,832,539	15,262,416	19,974,246	8,595,877		

4. 项目和项目群：区域									
	智利、厄瓜多尔	CAF	AFB/PPRC.19/30	13,910,400		13,910,400			未批准
	布隆迪、肯尼亚、卢旺达、坦桑尼亚、乌干达	UNEP	AFB/PPRC.19/31	5,000,000			5,000,000		未批准
	柬埔寨、老挝、缅甸、泰国、越南	UNESCO	AFB/PPRC.19/32	4,898,775			4,898,775		未批准
	埃塞俄比亚、肯尼亚、乌干达	WMO	AFB/PPRC.19/33	6,800,000			6,800,000		未批准
小计				30,609,175		13,910,400	16,698,775		
5. 项目准备赠款：区域概念									
	贝宁、布基纳法索、加纳、尼日尔、多哥	BOAD	AFB/PPRC.19/25/Add.1	80,000		80,000		80,000	已批准
	哥伦比亚、厄瓜多尔	WFP	AFB/PPRC.19/27/Add.1	80,000			80,000	80,000	已批准
	吉尔吉斯斯坦、塔吉克斯坦、乌兹别克斯坦	UNESCO	AFB/PPRC.19/28/Add.1	78,000			78,000		未批准
	毛里求斯、塞舌尔	UNDP	AFB/PPRC.19/29/Add.1	80,000			80,000	80,000	已批准
小计				318,000		80,000	238,000	240,000	
6. 概念：区域									
	贝宁、布基纳法索、加纳、尼日尔、多哥	BOAD	AFB/PPRC.19/25	14,000,000		14,000,000			已通过
	危地马拉、萨尔瓦多、洪都拉斯、尼加拉瓜、哥斯达黎加、巴拿马、多米尼加共和国	CABEI	AFB/PPRC.19/26	5,994,625		5,994,625			未通过
	哥伦比亚、厄瓜多尔	WFP	AFB/PPRC.19/27	14,000,000			14,000,000		已通过
	吉尔吉斯斯坦、塔吉克斯坦、乌兹别克斯坦	UNESCO	AFB/PPRC.19/28	5,000,000			5,000,000		未通过
	毛里求斯、塞舌尔	UNDP	AFB/PPRC.19/29	4,900,000			4,900,000		已通过
小计				43,894,625		19,994,625	23,900,000		
7. 预概念：区域									
	贝宁、布基纳法索、尼日尔	OSS	AFB/PPRC.19/23	4,542,250		4,542,250			已通过
	马达加斯加、马拉维、莫桑比克、科摩罗	UN-HABITAT	AFB/PPRC.19/24	13,544,055			13,544,055		已通过
小计			2	13,544,055			13,544,055		
8. 总计 (8 = 1 + 2 + 3 + 4 + 5 + 6 + 7)				188,354,278	47,848,404	65,900,717	74,605,157	7,356,093	