



ADAPTATION FUND

AFB/EFC.24/7  
5 March 2019

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Ethics and Finance Committee  
Twenty-fourth meeting  
Bonn, Germany, 12-13 March 2019

Agenda item 7 b)

## **WORK PLAN FOR FISCAL YEAR 2020**

## Background

1. At its thirty-first meeting, the Adaptation Fund Board (the Board) approved the work plan for the fiscal year 2019 (FY19: 1 July 2018 – 30 June 2019). The present document summarizes the actions and decisions taken by the Board in the period 1 July 2018 – 11 March 2019 (the reporting period) in compliance with the approved work plan for FY19. During the period covered, the Board convened at its thirty-second meeting, which took place on 11-12 October 2018. This document presents a proposed work plan for FY20, prepared by the secretariat and in accordance with the mandate that the Board received from the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), and from the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA) and as well as decisions adopted by the Conference of the Parties to the United Nations Framework Convention on Climate Change (COP) and the Board, for consideration by the Ethics and Finance Committee (EFC).

2. The work plan for the next fiscal year is generally presented at the last Board meeting of the fiscal year. The proposed work plan for FY20 is therefore being presented for Board approval at the Board's thirty-third meeting to be held on 12-13 March 2019.

## Compliance with work plan for FY19

3. During FY19 and as of the date of issuance of this document the Board has fulfilled the following functions mandated by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) in decisions 1/CMP.3 and 1/CMP.4:

- The Board has re-accredited one NIE and one RIE, thereby extending the opportunity to access resources through the direct access modality to a total of 28 NIEs to date.
- The Board has approved altogether seven projects/programmes for funding for a total amount of US\$ 54.3 million, which included three single-country projects totaling US\$ 8.4 million and four regional projects. Totaling US\$ 45.8 million. The Board has also endorsed eight project concepts, including four single-country concepts and four regional concepts, as well as endorsed five regional pre-concepts. The Board has also approved project formulation grants totaling US\$ 417,174. The total amount of funds disbursed during the reporting period is US\$ 40.3 million.
- The report of the portfolio monitoring missions which took place in Rwanda in November 2018 is on the agenda of the Board at its thirty-third meeting in March 2019. One more portfolio monitoring mission is planned for FY19, to be undertaken in the Pacific region, in Cook Islands and Papua New Guinea or Samoa (May 2019), to visit projects implemented by UNDP, and in the case of Cook Islands to learn how the Ministry of Finance and Economic Management (MFEM), has built its project upon the previous UNDP project.
- The United Nations Climate Change Conference in Katowice, Poland, in December 2018 resulted in a number of landmark decisions related to the Adaptation Fund:

Draft decision -/CMA.1 titled “Matters relating to the Adaptation fund” (FCCC/CP/2018/L.11)

**a) Decision -/CMA.1 “Matters relating to the Adaptation Fund”**

*The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA),*

1. *Decides* that the Adaptation Fund shall serve the Paris Agreement under the guidance of, and be accountable to, the CMA with respect to all matters relating to the Paris Agreement, effective 1 January 2019, subject to the decision on this matter made by the CMP;
2. *Recommends* that the CMP decide that the Adaptation Fund will continue to be financed by the activities under Articles 6, 12 and 17 of the Kyoto Protocol;
3. *Also recommends* to the CMP that the Adaptation Fund shall exclusively serve the Paris Agreement once the share of proceeds under Article 6, paragraph 4, of the Paris Agreement becomes available;
4. *Invites* the CMP to ensure that developing country Parties and developed country Parties that are Parties to the Paris Agreement are eligible for membership on the Adaptation Fund Board;
5. *Decides* that, when the Adaptation Fund serves the Paris Agreement, it shall be financed from the share of proceeds from the mechanism established by Article 6, paragraph 4, of the Paris Agreement and from a variety of voluntary public and private sources;
6. *Invites* the CMP to request the Adaptation Fund Board to consider the rules of procedure of the Board, the arrangements of the Adaptation Fund with respect to the Paris Agreement and the implications of the Adaptation Fund receiving the share of proceeds from activities under Articles 6, 12 and 17 of the Kyoto Protocol when the Adaptation Fund serves the Paris Agreement, with a view to forwarding recommendations to the CMA for consideration at its second session (November 2019).

**b) Decision -/CMP.14 “Matters relating to the Adaptation Fund”**

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

1. *Takes note* of decision 1/CMA.1, whereby the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA) decided that the Adaptation Fund shall serve the Paris Agreement under the guidance of, and be accountable to, the CMA with respect to all matters relating to the Paris Agreement, effective 1 January 2019;

2. *Decides* that the Adaptation Fund shall exclusively serve the Paris Agreement and shall no longer serve the Kyoto Protocol once the share of proceeds under Article 6, paragraph 4, of the Paris Agreement becomes available;
3. *Also decides*, pursuant to paragraph 2 above, that the Adaptation Fund shall continue to receive the share of proceeds, if available, from activities under Articles 6, 12 and 17 of the Kyoto Protocol;
4. *Further decides* to ensure that developing country Parties and developed country Parties that are Parties to the Paris Agreement are eligible for membership on the Adaptation Fund Board;
5. *Requests* the Subsidiary Body for Implementation, at its fiftieth session (June 2019), to consider the matter referred to in paragraph 4 above, and to forward a recommendation to the CMP for consideration at its fifteenth session (November 2019);
6. *Also requests* the Adaptation Fund Board: to consider the rules of procedure of the Board, the arrangements of the Adaptation Fund with respect to the Paris Agreement and any other matter so as to ensure the Adaptation Fund serves the Paris Agreement smoothly; to consider the implications of the Adaptation Fund receiving the share of proceeds from activities under Articles 6, 12 and 17 of the Kyoto Protocol when the Adaptation Fund serves the Paris Agreement; and to make recommendations to the CMP at its fifteenth session with a view to the recommendations being forwarded to the CMA for consideration at its second session (November 2019).

**c) Decision -/CMP.14 “Report of the Adaptation Fund Board”**

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

*Recalling decisions 1/CMP.3, 1/CMP.4, 2/CMP.10, 1/CMP.11 and 1/CMP.13,*

1. *Takes note* of the annual report of the Adaptation Fund Board, including its addendum, and the information contained therein;<sup>1</sup>
2. *Reiterates* its concern regarding the issues related to the sustainability, adequacy and predictability of funding for the Adaptation Fund due to the current uncertainty about the prices of certified emission reductions;<sup>2</sup>
3. *Also reiterates* the encouragement of the scaling-up of financial resources, including the provision of voluntary support, that are additional to the share of proceeds levied on certified emission reductions, in order to support the resource

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<sup>1</sup> FCCC/KP/CMP/2018/4 and Add.1, as requested in decision 1/CMP.13, paragraph 11.

<sup>2</sup> Decision 1/CMP.13, paragraph 7.

mobilization efforts of the Adaptation Fund Board with a view to strengthening the Adaptation Fund;<sup>3</sup>

4. *Welcomes* the appreciation the Adaptation Fund Board's consideration of and report on linkages to other funds to ensure coherence and complementarity;<sup>4</sup>

5. *Encourages* the Adaptation Fund Board to continue, in line with its existing mandate, its consideration of linkages between the Adaptation Fund and other funds;

6. *Also encourages* the Adaptation Fund Board to continue its efforts to enhance complementarity and coherence with other funds both under and outside the Convention, including to better align processes and leverage financing;

7. *Requests* the Adaptation Fund Board to report on any outcomes related to paragraphs 9 and 10 above to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its fifteenth session (November 2019).

**d) Decision -/CMA.1 “Further guidance in relation to the adaptation communication, including, inter alia, as a component of nationally determined contributions, referred to in Article 7, paragraphs 10 and 11, of the Paris Agreement**

*The CMA,*

*Recalling relevant provisions of the Convention and the Paris Agreement, in particular Article 7,*

*Recognizing the importance of flexibility provided to Parties by Article 7, paragraphs 10 and 11, of the Paris Agreement for submitting and updating the adaptation communication,*

*Recalling decisions 4/CP.5, 17/CP.8, and 5/CP.17,*

*Recognizing the links between adaptation and sustainable development, including the Sustainable Development Goals and the Sendai Framework for Disaster Risk Reduction 2015–2030,*

*Emphasizing the intrinsic relationship that climate change actions, responses and impacts have with equitable access to sustainable development and eradication of poverty,*

*Recalling that continuous and enhanced international support shall be provided to developing country Parties for the implementation of Article 7, paragraphs 7, 9, 10 and 11, of the Paris Agreement, in accordance with the provisions of Articles 9, 10 and 11 of the Paris Agreement,*

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<sup>3</sup> FCCC/KP/CMP/2018/4, paragraphs 45–56, and FCCC/KP/CMP/2018/4/Add.1, paragraph 18.

<sup>4</sup> FCCC/KP/CMP/2018/4, paragraphs 45–56, and FCCC/KP/CMP/2018/4/Add.1, paragraph 18.

*Encourages* the Green Climate Fund, the Global Environment Facility, the Adaptation Fund, the Climate Technology Centre and Network and the Paris Committee on Capacity building, in line with their existing mandates and governing instruments, to continue channelling support to developing country Parties for the implementation of their adaptation plans and actions in accordance with the priorities and needs outlined in their adaptation communication;

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4. The following actions derived from Board decisions and included in the work plan for FY19 were also completed during the reporting period (from July 2018 to the date of issuance of this document):
  - The secretariat commenced the implementation of the Medium-term strategy (MTS) including arrangements for new grants (project scale-up grants, learning grants and innovation grants) in July 2018.
  - The Board and secretariat organized the thirty-second meeting of the Adaptation Fund Board on 9-12 October 2018 in Bonn, Germany. Its thirty-third meeting is scheduled on 12-15 March 2019 in Bonn, Germany.
  - The Board completed the intersessional review cycle in July 2018.
  - The Board and secretariat completed the first regular project and programme review cycle for decisions for the year between August to October 2018. The second review cycle is ongoing from January to March 2019 and the third intersessional review cycle will follow from April to July 2019.
  - The secretariat supported the twenty-ninth and thirtieth meetings of the Accreditation Panel which took place on 23-24 August 2018 and 30-31 February 2019 in Washington DC, USA as well as three field visits for accreditation and one visit for reaccreditation.
  - The secretariat issued the annual performance report for the fiscal year 2018.
  - The secretariat held the fifth annual Climate Finance Readiness Seminar for accredited NIEs of the Fund from 28-31 August 2018 in Washington DC, USA and the seventh webinar on 25 October 2018. The fourth intersessional cycle for readiness grants was completed in December 2018.
  - The secretariat amended Project Performance Report (PPR) Template by further updating the requirements of the Fund's Environmental and Social Policy (ESP) and Gender Policy (GP) and Action Plan and produced technical guidance document for implementing entities to comply with the ESP and GP during the formulation and implementation of projects and programmes that include unidentified subprojects (USP), which were submitted intersessional to the Board for consideration and approval.

- The Board, at thirty-second meeting, approved a fast-track accreditation process for the Fund for potential national, regional and multilateral implementing entities that had been accredited by the GCF within a period of four years prior to the submission of the accreditation application to the Fund and that meet the eligibility criteria.
- The Board, at thirty-second meeting, approved revised accreditation application form which incorporated 'anti-money-laundering/countering the financing of terrorism' into its supporting documentation section.
- The Board, at thirty-second meeting, approved the process for providing funding for innovation, project scale-up and learning through small grants to National Implementing Entities (NIEs).
- The Board, with the support of the secretariat, continued its ongoing discussion on linkages between the Fund and the Green Climate Fund.

5. At each session of the CMP the Board is requested to report on its activities (decision 1/CMP.3, paragraph 5 (I)).

#### **Proposal of work plan for FY20**

6. Based on the above, the secretariat presents to the EFC the secretariat proposed workplan for FY20. The routine activities of the Board are not included in the workplan. Other actions can be added as a result of the decisions adopted by the Board at this meeting.

#### **Recommendation**

7. The EFC may wish to consider and recommend that the Board :
- a) Approve the secretariat's proposed work plan for FY20, as contained in Annex I of AFB/EFC.24/7.

## ANNEX I: SECRETARIAT PROPOSED WORK PLAN FY19: TENTATIVE WORK SCHEDULE (JULY 2019 – JUNE 2020)

### MEETINGS AND WORK ORGANIZATION

Activity	Dates/Time frame
Preparation and consideration of the draft report to CMP 15	July-August 2019
Organization of the thirty-fourth Meeting of the Adaptation Fund Board, Bonn, Germany, including consideration of the draft addendum to the report to CMP 15	8-11 October 2019
UN Climate Change Conference Pre-COP meeting, Costa Rica	TBC
UN Climate Change Conference (COP25/CMP15/CMA4), Chile	TBC
Proposal of FY21 workplan and budget	March 2020
Organization of the thirty-fifth Meeting of the Adaptation Fund Board	17-20 March 2019
Bonn Climate Change Conference	17-27 June 2019
Meetings of the Adaptation Committee (Two times a year)	TBC
Meetings of the Green Climate Fund Board (Four times a year)	TBC
Meetings of the Standing Committee of Finance (Three times a year)	TBC

### STRATEGIES<sup>5</sup>

Activity	Dates/Time frame
Implementation of the medium-term strategy (5-year work programme from FY19 to FY23)	Throughout FY20
Implementation of the resource mobilization strategy	Throughout FY20

### PROJECTS AND PROGRAMMES

Activity	Dates/Time frame
Completion of the intersessional project and programme proposal review cycle	July 2019
Review of and decisions on project and programme proposals for the thirty-fourth Meeting of the Adaptation Fund Board	August-October 2019
Support on innovation programming: SG for NIEs, MIE Aggregator, Regular Sized Innovation projects.	March 2019-March 2020
Developing window for enhanced direct access projects (MTS)	July-October 2019
Review of and decisions on project and programme proposals for the thirty-fifth Meeting of the Adaptation Fund Board	January-March 2020
Intersessional review of and decisions on project and programme proposals	April-June 2020

<sup>5</sup> Other strategies including several action items are listed below in separate sections (knowledge management, gender).



**ACCREDITATION**

Activity	Dates/Time frame
Accreditation review support	July 2019- June 2020
Accreditation Panel field visit to IE applicants	TBC
32nd meeting of the Accreditation Panel	August 2019
Lessons learned from the accreditation process produced and disseminated to other funds – gap analysis related to fast track accreditation (ref. Gap analysis (decision B.32/36)	October 2019
33rd meeting of the Accreditation Panel	January 2020
34th meeting of the Accreditation Panel	May 2020

**MONITORING & EVALUATION**

Activity	Dates/Time frame
Continuation of enhancement of the FIF collaboration platform (online project database)	July 2019 – June 2020
Presentation of the annual performance report	October 2019 (at AFB34)
Two portfolio monitoring missions (the specific projects to visit will be confirmed intersessionally)	TBC
Improved M&E reporting aimed at capturing innovation from projects	July 2019 – June 2020

**COMMUNICATIONS**

Activity	Dates/Time frame
Publication of 2-4 written project stories focused on successful or innovative projects	Ongoing throughout year
Updates of the Fund and Direct Access flyers and briefing notes; preparation of 1-2 new flyers related to MTS themes	Updates twice/year: November 2019 and April 2019; new flyers developed in between
Produce 15-20 press releases on AF news stories and timely program updates; Publication of 3-4 E-newsletters summarizing the Fund's key stories Occasional FB/Donate Button boosts to increase engagements as needed	Ongoing throughout year Quarterly 1-2 times per year
Production of one long-form (approx. 12-minute) video on the Fund's concrete work with emphasis on MTS themes; Production of one medium-length (7 minute) video Production of 2-3 thought leadership podcasts on key the Fund themes centered on the MTS	Throughout year

<p>Readiness communications support, such as intro videos for readiness workshops and other events; press releases or social media coverage of readiness grant launch and NIE seminar and two webinars, project workshop, country NIEs exchange, joint workshop w/ GCF and UNFCCC, and accreditation training in Asia</p>	<p>End of July NIE seminar; webinars in October and April; country exchange in May; project workshop in June; joint GCF workshop in August or November; accreditation training in September</p>
<p>Media Relations: outreach and ongoing communications with reporters, including drafting of talking points and facilitating interviews, risk communications, responding to interview requests, updating media lists; Sharing the Fund stories from media and IEs</p>	<p>Ongoing with higher volume during COP period</p>
<p>Planning and implementation of COP 25 communications-related events, such as the COP mini website, side event and multimedia booth exhibit; development of new exhibit posters and promotional materials like bags, cubes and pins; develop campaign themes, activities</p>	<p>September 2019 thru January 2020</p>
<p>Climate Home News sponsored content arrangement to increase the Fund engagement and reach—Pilot Project—Climate Home News has total of 5 million followers on web and SM, with a core audience composed of climate negotiators and international organizations interested in climate change</p>	<p>Quarterly articles produced/disseminated on CHN; video produced on CC TV in January 2020</p>
<p>Update and maintenance of the Fund website with focus on keeping content fresh, relevant and user-friendly for mass audiences, Constant Contact, Social Media upkeep costs</p>	<p>Ongoing</p>
<p>Learning communications support: Provide general input and suggestions to KM and readiness materials such as Climate Finance Ready, KM and readiness news and publications; 5-6 KM press releases and social media promotional support to anticipated KM publications and e-learning class</p>	<p>Ongoing</p>
<p>Maintain relationships with communications staff at GEF, GCF, the Fund implementing entities, AF NGO Network, and other relevant entities; amplify the Fund's key messages and stories through these networks; develop joint stories such as a story on project scale-up examples; event planning</p>	<p>Ongoing</p>
<p>Adaptation Futures Conference: develop written and promotional materials</p>	<p>June 2020</p>

**KNOWLEDGE MANAGEMENT**

Activity	Dates/Time frame
Publication showcasing best practices/case studies/lessons learned from IEs	December 2019 June 2020
Event where findings from projects are presented	May 2020
KM toolkit of RBM framework updated as needed and shared	FY20
Launching of learning grants, reviewing of proposals and preparation of Board docs	Early Aug (Aug 4) 2019
Promotion of Fund projects scaled-up by other funds – KM tracking of projects that have been scaled up	FY20
Learning event hosted with other funds (GEF, GCF, CIF, others) on different themes related to projects/programs – 2 events	FY20
Publication related to readiness process produced and disseminated during readiness/capacity building event:	Readiness webinars Nov 2019 April 2020
Publication on lessons learned/case studies on key project knowledge in collaboration with IEs, academia	By June 2020
Publication on specific adaptation issue (mainstreaming ESP & gender in adaptation projects, importance of innovation in readiness, accreditation, scaling up projects) in collaboration with learning institution, think tanks	By June 2020
Quarterly newsletter for NIE Community of Practice on knowledge products and/or support from NIEs	September 2019, December 2019, March 2020 and June 2020
Hiring of experts to deliver experiences during Readiness events (2 webinars & Readiness seminar)	October 2019 April 2020 July 2019 (seminar)

**GENDER**

Activity	Dates/Time frame
Improvement of the Performance Monitoring and Evaluation System in line with Gender Policy through updated (i) methodologies for reporting the Fund's Core Impact Indicators; (ii) Results Framework and Baseline Guidance-Project level	Throughout FY20
Update Gender Policy and Action Plan ensuring its alignment with MTS and MTS IP	July 2019 – February 2020
Organization of Gender Training for National Implementing Entities to help enhanced implementation of Gender Policy and Action Plan	July 2019 (in conjunction with NIE annual workshop)

Organization of Gender Training for AFB member and alternates to enhanced enhance their understanding on the Fund's Gender Policy and Action Plan and its implementation	March 2020 (in the margin of AFB 24 <sup>th</sup> meeting)
Gender work-related collaborative activities with partners, including UNFCCC Secretariat gender team, GCF, GEF and/or CIF	Throughout FY 20
Participation in and or hosting learning/knowledge exchange venues and/or opportunities on gender and climate change	Throughout FY 20
Active communication of the Fund's commitment to gender equality and women's empowerment, its gender policy and action plan as part of its overall information and communication outreach	Throughout FY 20
Capture gender-related lessons learned through the PPR tool submitted yearly by the IEs and explore potential enhancement	Throughout FY 20

### Readiness Programme

Activity	Dates/Time frame
Readiness grants launch and review (TA and S-S cooperation grants)	July - Dec 2019
Launch and review of project scale-up grants	October 2019, at AFB 34
Readiness support package pilot phase implementation	Feb 2019-Jan 2020
RBM for all readiness projects including monitoring and reporting	On-going throughout FY20
Sixth annual climate finance readiness seminar for accredited national implementing entities	5-9 August 2019
Country exchange project visit with NIEs to provide additional capacity building support during project/programme implementation.	April 2020
Adaptation Fund Readiness Webinar #9	24 Oct 2019
Working with other providers of readiness support – Joint Production of newsletter	Quarterly (August 2019, November 2019, February 2020 and May 2020)
Accreditation training workshop – Asia and the Pacific	2-6 September 2019
Adaptation Fund Readiness Webinar #10	April 2020
Support the capture and integration of knowledge from readiness and capacity building processes for development of the publication under the medium-term strategy focus area on knowledge management	April 2020

Translations to support enhanced usability of Accreditation and Project tools and guidance documents.	July 2019 and January 2020
Workshop to enhance awareness among DAs, IEs, subnational institutions and CSOs on Direct Access and Enhanced Direct Access	June 2020
Community of practice workplan implementation	Throughout FY20
General cooperation with partners – (presence at each other's events),	Throughout FY20

## Adaptation Fund grants overview

Grant type	FY14-15 (US\$)	FY16 (US\$)	FY17 (US\$)	FY18 (US\$)	FY19 (US\$)
<b>Readiness grants</b>					
Technical assistance grants for the environmental and social policy		118,000			0 <sup>6</sup>
Technical assistance grants (TA-ESGP and TA-GP)			175,000	25,000	67,200
Project formulation assistance (PFA)					
South-South cooperation	194,447	242,347	100,000	150,000	99,910
Technical assistance through the readiness support package				100,000	
Project scale up grants					
<b>Total</b>	<b>194,447</b>	<b>360,347</b>	<b>275,000</b>	<b>275,000</b>	<b>167,110</b>

Grant type	FY19 Indicative (US\$)	FY20 Indicative (US\$)
<b>Learning grants</b>	0	400,000
<b>Total</b>	<b>0</b>	<b>400,000</b>

Grant type	FY19 Indicative (US\$)	FY20 Indicative (US\$)
<b>Innovation grants</b>		
Through NIEs	500,000	1,000,000
Through MIE aggregators	0	1,000,000
<b>Total</b>	<b>500,000</b>	<b>2,000,000</b>

<sup>6</sup> This is zero because this type of technical assistance grant was available before the Board had approved the gender policy of the Fund, and has since been replaced by the TA-ESGP and TA-GP grants