



ADAPTATION FUND

AFB/EFC.26.a-26.b/2
4 May 2020

Ethics and Finance Committee

WORK PLAN FOR FISCAL YEAR 2021

Background

1. At its thirty-third meeting, the Adaptation Fund Board (the Board) approved the work plan for the fiscal year 2020 (FY20: 1 July 2019 – 30 June 2020). The present document summarizes the actions and decisions taken by the Board in the period 1 July 2019 to the date of issuance of this document (the reporting period) in compliance with the approved work plan for FY20. During the period covered, the Board convened at its thirty-fourth meeting, which took place on 10-11 October 2019. This document presents a proposed work plan for FY21, 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. Due to the Novel Coronavirus (COVID-19) pandemic, the Board decided, through decision B.34-35/26, to change the dates of its thirty-fifth meeting previously scheduled from 31 March to 3 April 2020 in Bonn, Germany, to be held in two parts, so that the first part of the meeting was to be held as a procedural virtual meeting on 2-3 April 2020, and the second part as a physical meeting on 23-26 June 2020. Following consultation by the secretariat with the Chair and Vice-Chair of the Board and the Chair and Vice-Chair of the EFC, the proposed work plan for FY21 is therefore being presented intersessionally to the EFC for recommendation and subsequently to the Board for approval.

Compliance with work plan for FY20

3. During FY20 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 accredited one national implementing entity (NIE) and re-accredited three NIEs, thereby extending the opportunity to access resources through the direct access modality to a total of 32 NIEs to date.
- The Board has approved altogether sixteen projects/programmes for funding for a total amount of US\$ 145.2 million, which included eleven single-country projects totaling US\$ 85.2 million and four regional projects totaling US\$ 60.0 million. The Board has also endorsed ten project concepts, including nine single-country concepts and one regional concept, as well as endorsed four regional pre-concepts. The Board has also approved project formulation grants totaling US\$ 379,830. The total amount of funds disbursed during the reporting period is US\$ 49.8 million.

- The report of the portfolio monitoring missions which took place in Samoa and Cook Islands in July 2019 was to be included on the agenda of the Board at its thirty-fifth meeting in March 2020 and will be presented at a later stage.
- The United Nations Climate Change Conference in Madrid, Spain, in December 2019 resulted in a number of important decisions related to the Adaptation Fund:

a) Decision 3/CMP.15 “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 and 1/CMP.14,

Also recalling decision 13/CMA.1,

1. *Takes note of the annual report of the Adaptation Fund Board, including its addendum, and the information contained therein;¹*
2. *Notes the following information, actions and decisions relating to the Adaptation Fund Board presented in the report referred to in paragraph 1 above;*
 - (a) *The accreditation of 31 national implementing entities for accessing resources from the Adaptation Fund directly as at 11 October 2019;*
 - (b) *Cumulative project and programme approvals reaching USD 720.0 million as at 11 October 2019;*
 - (c) *Funds available for new funding approvals amounting to USD 112.5 million as at 11 October 2019;*
 - (d) *The value of projects and programmes in the active pipeline estimated at over USD 248.8 million as at 30 September 2019;*
 - (e) *The approval of funding decisions for readiness grants amounting to USD 167,110, consisting of USD 99,910 in South–South cooperation grants and a USD 67,200 technical assistance grant for the environmental and social safeguards policy and the gender policy;*
 - (f) *The cumulative receipts of USD 887.1 million into the Adaptation Fund Trust Fund, as at 30 June 2019, comprising USD 201.4 million from the monetization of certified emission reductions, USD 657.9 million from additional contributions and USD 27.8 million from investment income earned on the Trust Fund balance;*

¹ FCCC/KP/CMP/2019/4— FCCC/PA/CMA/2019/2 and Add.1.

- (g) *Activities implemented under the first medium-term strategy for the Fund for 2018–2022, including the launch of new grant funding windows for innovation, learning and project scale-up; a country exchange in Chile hosted by its national implementing entity, the Chilean Agency of International Cooperation for Development; and the facilitation of the first independent meeting of the Community of Practice for Direct Access Entities in partnership with the Green Climate Fund, the Africa Climate Change Fund of the African Development Bank and the South African National Biodiversity Institute;*
- (h) *Activities implemented under the first medium-term strategy for the Fund for 2018–2022, including the launch of new grant funding windows for innovation, learning and project scale-up; a country exchange in Chile hosted by its national implementing entity, the Chilean Agency of International Cooperation for Development; and the facilitation of the first independent meeting of the Community of Practice for Direct Access Entities in partnership with the Green Climate Fund, the Africa Climate Change Fund of the African Development Bank and the South African National Biodiversity Institute;*
- (i) *The approval, during fiscal year 2019 (1 July 2018 to 30 June 2019), of six single-country project or programme proposals submitted by implementing entities, totalling USD 30.9 million, including three proposals submitted by national implementing entities amounting to USD 13.9 million, one proposal submitted by a regional implementing entity to the amount of USD 2.5 million, and two proposals submitted by multilateral implementing entities to the amount of USD 14.5 million;*
- (j) *The approval, during fiscal year 2020 (1 July 2019 to 30 June 2020), of 11 single-country project/programme proposals submitted by implementing entities, totalling USD 85.2 million, including one proposal submitted by a national implementing entity to the amount of USD 0.8 million, one proposal submitted by a regional implementing entity to the amount of USD 9.9 million, and nine proposals submitted by multilateral implementing entities to the amount of USD 74.5 million, and of two innovation small grants submitted by national implementing entities to the amount of USD 0.5 million and one project scale-up grant to the amount of USD 0.1 million;*
- (k) *The approval, during fiscal year 2019 (1 July 2018 to 30 June 2019), of five regional (multi-country) projects with funding totalling USD 55.8 million;*

- (l) *The approval, during fiscal year 2020 (1 July 2019 to 30 June 2020), of five regional (multi-country) projects, with total funding of USD 60.0 million, and of two global innovation aggregator programmes implemented by multilateral implementing entities to the amount of USD 10.0 million, as well as the decision to provide funding up to the amount of USD 60.0 million for regional project and programme proposals;*
3. *Welcomes the financial pledges and contributions to the Adaptation Fund made by the Governments of Germany, Ireland, Norway, Poland, Spain and Switzerland, the governments of the Brussels-Capital, Flanders and Walloon Regions of Belgium, and the provincial government of Quebec, equivalent to USD 75.4 million;*
4. *Also welcomes the first multi-annual financial pledge to the Adaptation Fund, made by the Government of Sweden, equivalent to USD 54.2 million, of which the first annual contribution is USD 13 million;*
5. *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 mobilization efforts of the Adaptation Fund Board with a view to strengthening the Adaptation Fund;²*
6. *Adopts the amended and restated terms and conditions of services to be provided by the World Bank as an interim trustee of the Adaptation Fund;³*
7. *Also adopts the amended and restated memorandum of understanding between the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol and the Council of the Global Environment Facility regarding secretariat services to the Adaptation Fund Board.⁴*

b) Decision 9/CMA.2: “Matters relating to Article 6 of the Paris Agreement”

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

Recalling Article 6, paragraphs 2, 4 and 8, of the Paris Agreement,

Also recalling decision 1/CP.21, paragraphs 36-40, and decision 8/CMA.1,

Having considered the outcomes of the work of the Subsidiary Body for Scientific and Technological Advice on matters relating to Article 6 of the Paris Agreement

² Decision 1/CMP.13, para. 7, and 2/CMP.14, para. 7.

³ Annex I to the addendum to the 2019 report of the Adaptation Fund Board (FCCC/KP/CMP/2019/4/Add.1–FCCC/PA/CMA/2019/2/Add.1, annex).

⁴ Annex III to the addendum to the 2019 report of the Adaptation Fund Board (FCCC/KP/CMP/2019/4/Add.1–FCCC/PA/CMA/2019/2/Add.1, annex).

in response to the request of the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement,⁵

- 1. Notes the draft decision texts on matters relating to Article 6 of the Paris Agreement prepared by the President of the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement⁶ at its second session while recognizing that these draft texts do not represent a consensus among Parties;*
- 2. Requests the Subsidiary Body for Scientific and Technological Advice to continue consideration of the matters referred to in paragraph 1 above at its fifty-second session (June 2020) on the basis of the draft decision texts referred to in paragraph 1 above, with a view to recommending draft decisions for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement at its third session (November 2020).*

4. The following actions derived from Board decisions and included in the work plan for FY20 were also completed during the reporting period (from July 2019 to the date of issuance of this document):

- The Board and secretariat organized the thirty-fourth meeting of the Adaptation Fund Board on 10-11 October 2019 in Bonn, Germany. The first session of the thirty-fifth meeting took place on 2 April 2020 in a virtual format for the transition of the chairmanships of the Board and Committees as well as to start the term of office of members and alternates of the Board elected in conjunction with COP 25.
- The Board completed the intersessional review cycle in July 2019.
- The Board and secretariat completed the first regular project and programme review cycle for decisions for the year between August to October 2019. The second review cycle, originally planned to be concluded at the thirty-fifth meeting of the Board in March-April 2020, was converted into an intersessional review cycle, and is ongoing from January to May 2020. The third review cycle originally scheduled as an intersessional review cycle from April to July 2020 is now constructed as a regular review cycle and is scheduled to be completed at the second session of the thirty-fifth meeting in June 2020.

⁵ Decision 8/CMA.1, para. 3.

⁶ Draft decision texts on guidance on cooperative approaches referred to in Article 6, paragraph 2, of the Paris Agreement, available at https://unfccc.int/resource/cop25/CMA2_11a_DT_Art.6.2.pdf; rules, modalities and procedures for the mechanism established by Article 6, paragraph 4, of the Paris Agreement, available at https://unfccc.int/resource/cop25/CMA2_11b_DT_Art.6.4.pdf; and the work programme under the framework for non-market approaches referred to in Article 6, paragraph 8, of the Paris Agreement available at https://unfccc.int/resource/cop25/CMA2_11c_DT_Art.6.8.pdf.

- The secretariat supported the thirty-first and thirty-second meetings of the Accreditation Panel which took place on 11-12 September 2019 and 6-7 February 2020 in Washington DC, USA.
- The secretariat issued the annual performance report for the fiscal year 2019.
- The secretariat held the sixth annual Climate Finance Readiness Seminar for accredited NIEs of the Fund on 5-9 August 2019 in Saint John's, Antigua and Barbuda, the accreditation training workshop at the UNFCCC Asia-Pacific Climate Week in Bangkok, Thailand on 2-3 September 2019, the ninth webinar on 24 October 2019 and the tenth webinar in two parts on 22-23 April 2020. The fifth intersessional cycle for readiness grants was completed in December 2019.
- The secretariat amended Project Performance Report (PPR) Template, which was approved by the Board in October 2019, by further updating the results tracker for it to be aligned with the amended AF strategic results framework (March 2019). In addition, the secretariat produced a guidance for document to complete the PPR for projects funded by the AF, which has been circulated for intersessional approval by the Board between its thirty-fourth and thirty-fifth meetings.
- The Board, at thirty-fourth meeting, approved small grants on innovation and project scale-up to National Implementing Entities (NIEs) as well as innovation grants through the MIE aggregators.
- The Board, with the support of the secretariat, continued its ongoing discussion on linkages between the Fund and the Green Climate Fund.
- The Board, at its thirty-fourth meeting, approved the amendment of the Terms and Conditions of the trustee services to be provided by the World Bank as interim Trustee (T&Cs) and the amendment of the institutional arrangement (MoU) with Global Environmental Facility (GEF) for Secretariat services to the Board and decided to submit its recommendation to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) at its fifteenth session in December 2019 that the CMP adopt both of them. The T&Cs and MoU were subsequently adopted by the CMP and by their respective counterpart institutions.
- The Board, at thirty-fourth meeting, revised the re-accreditation process and Standard Legal Agreement considering the implications of an implementing entity's accreditation expiration and a possible revision of re-accreditation policy.

Proposal of work plan for FY21

5. Based on the above, the secretariat presents to the EFC the secretariat proposed workplan for FY21. 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

6. The EFC may wish to consider and recommend that the Board:

- a) Approve the secretariat's proposed work plan for FY21, as contained in Annex I of AFB/EFC.26.a-26.b/2.

ANNEX I: SECRETARIAT PROPOSED WORK PLAN FY21: TENTATIVE WORK SCHEDULE (JULY 2020 – JUNE 2021)

MEETINGS AND WORK ORGANIZATION

Activity	Dates/Time frame
Preparation and consideration of the draft report to CMP 16	July-August 2020
Organization of the thirty-sixth Meeting of the Adaptation Fund Board, Bonn, Germany, including consideration of the draft addendum to the report to CMP 16	13-16 October 2020
UN Climate Change Conference (COP26/CMP16/CMA5), Glasgow, UK	9-20 November 2020
Proposal of FY22 workplan and budget	March 2021
Organization of the thirty-seventh Meeting of the Adaptation Fund Board	TBC
Bonn Climate Change Conference	31 May – 10 June 2021
Meetings of the Green Climate Fund Board (Four times a year)	TBC
Meetings of the Adaptation Committee (Two times a year)	TBC
Meetings of the Standing Committee of Finance (Three times a year)	TBC

STRATEGIES⁷

Activity	Dates/Time frame
Implementation of the medium-term strategy (5-year work programme from FY19 to FY23)	Throughout FY21
Implementation of the resource mobilization strategy	Throughout FY21
Implementation of the knowledge management strategy	Throughout FY21

PROJECTS AND PROGRAMMES

Activity	Dates/Time frame
Completion of the intersessional project and programme proposal review cycle	July 2020
Review of and decisions on project and programme proposals for the thirty-sixth Meeting of the Adaptation Fund Board	August-October 2020
Support on innovation programming: SG for NIEs, MIE Aggregator, Regular Sized Innovation projects.	Throughout FY21
Review of and decisions on project and programme proposals for the thirty-seventh Meeting of the Adaptation Fund Board	January-March 2021
Intersessional review of and decisions on project and programme proposals	April-June 2021

ACCREDITATION

Activity	Dates/Time frame
Accreditation review support	Throughout FY21
Accreditation Panel field visit to IE applicants	TBC

⁷ Other strategies including several action items are listed below in separate sections (knowledge management, gender).

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

RESULT BASED MANAGEMENT

Activity	Dates/Time frame
Review of Project Performance Reports (PPRs)	Throughout FY21
Review of project change request	Throughout FY21
Project Monitoring Missions (two times a year)	TBC
Ad-hoc monitoring mission	TBC
Production of Annual Performance Report	July – September 2020
Review of the PPR template	Throughout FY21
Update/Development of the project implementation issues policy (delays, cancellation or change)	Throughout FY21
Enhancement of FIF platform	Throughout FY21

COMMUNICATIONS

Activity	Dates/Time frame
Publication of 2-3 written project stories focused on successful or innovative projects	Throughout FY21
Updates of AF and Direct Access flyers and briefing notes	Updates twice/year: November 2020 and April 2021;
Produce 15-20 press releases on AF news stories and timely program updates; Publication of 2-4 e-newsletters summarizing AF's key stories, media and social media	Throughout FY21 Periodically
Write speeches or talking points for key AF appearances, or relevant templates	Throughout FY21, particularly during key events
Production of 2-3 short to medium-length videos on COP and special themes (such as AF work in knowledge, SIDS, readiness, etc.) Production of 2-3 thought leadership podcasts on key AF themes	Throughout FY21
Readiness communications support; press releases, video and/or social media coverage of key readiness programs and events	Periodically; August seminar, May country exchange possible options
Media Relations: outreach and ongoing communications with reporters, including drafting of talking points and facilitating interviews, developing	Ongoing with higher volume

risk communications when needed, responding to interview requests, updating media lists; Sharing AF stories from media and IEs	during COP period
Planning and implementation of COP 26 communications-related events, such as the COP mini website, develop campaign themes, designs/posters for exhibit, media and video events, talking point template, timely social media, photos and news releases	August 2020 until COP 26
Social Media: post to Twitter ca. 3-5 times a day; Facebook ca. 3-5 times a week, LinkedIn 2-4 times a week, create 3-4 Flickr photo albums a year; review social media, press and website google analytics periodically	Throughout FY21
Climate Home News sponsored content arrangement to increase AF engagement and reach. Extension of Pilot Project: Climate Home News has total of 2.6 million followers on web and social media, with a core audience composed of climate negotiators and international organizations interested in climate change	Throughout FY21
Update and maintenance of AF website with focus on keeping content fresh, relevant and user-friendly for mass audiences, Constant Contact, Social Media and website upkeep costs	Throughout FY21
Learning communications support: Provide general input and suggestions, and timely news releases about KM news and publications and products	Throughout FY21
Board meeting support: press releases on results, photos, social media	October 2020 and March 2021
Maintain relationships with communications colleagues among AF partners, AF NGO Network, and other relevant entities; amplify AF's key messages and stories through these networks; develop joint stories and releases as opportunities arise	Throughout FY21

KNOWLEDGE MANAGEMENT

Activity	Dates/Time frame
Publication showcasing best practices/case studies/lessons learned from IEs on key project knowledge: 2 publications (e.g. lessons learned publication around themes, video covering the importance of e-learning in DA projects)	May-June 2021
Events where findings from projects are presented	April-May 2021 (Community-based adaptation conference) or COP26 (Second half FY21)
Best practices on Direct Access - Best practices/lessons learned from PPRs around a certain theme/sector	June 2021
Launching of learning grants, reviewing proposals and preparation of Board documents	June 2021
Publication on lessons learned on re-accreditation as quality control tool for institutions	June 2021

Publication capturing and integrating knowledge from readiness and capacity building <ul style="list-style-type: none"> - Analysis of grant vs. non-grant-based support under Readiness Programme since 2014. 	March 2021
Publication on specific adaptation issue in collaboration with learning institution (2 publications) <ul style="list-style-type: none"> - E.g. Innovation, Youth 	June 2021

GENDER

Activity	Dates/Time frame
Regular reporting to the Board on the implementation of the updated Gender Policy and Action Plan through (i) Secretariat's activities report; and (ii) annual performance report (APR)	Throughout FY21
Guidance document for IEs which contain: (1) model outlines /template(s) for initial gender assessment; (2) guidelines on how to develop data baseline against which results of gender responsive approaches and actions can be measured; (3) design and selection of SMART gender-responsive indicators and results monitoring arrangements	September 2020-March 2021
Study on 'Gender intersectionality in the adaptation project'	July 2020 – March 2021
Update of the OPG Annex 5 which consists of (1) <i>Request for Project/Programme Funding from the Adaptation Fund</i> ; (2) <i>Instructions for Preparing a Request for Project and Programme Funding from the Adaptation Fund</i> ; (3) <i>Adaptation Fund Project/Programme Review Criteria</i>	July 2020-March 2021
Update the document of <i>Methodologies for Reporting AF Core Impact Indicators</i>	July-December 2020
Systematic capturing gender-related lessons learned through the PPR submitted yearly, mid-term evaluation reports and project completion reports by the IEs and explore potential enhancement in implementation of updated GP and GAP (Linked to MTS SF3 Learning & Sharing, ER 2)	Throughout FY21
<i>Gender Training for the secretariat</i> to help understanding on and implementing the Updated Gender Policy and Action Plan	February 2021 (half-day or day)
<i>Gender Training for NIEs</i> (e.g., focused on gender assessment, gender-related reporting requirements, M&E)	July-August 2020 (in conjunction with NIE annual workshop)
<i>Gender Training for Board</i> to enhance their understanding on the Fund's Gender Policy and Action Plan and its implementation	October 2020 (in the margin of 36th meeting): half-day training
Expanding Gender Partnership network and participating in/co-hosting Gender-related collaborative activities, learning/knowledge exchanges and int'l events on gender and climate change (Linked to MTS SF3 Learning & Sharing, ER 1)	Throughout FY21

Co-hosting Gender side event during the UNFCCC COP 26, with other climate funds, UNFCCC and other AF partners (e.g. UN Women)	Second half FY21 (during COP 26)
Active communication of the Fund's commitment to gender equality and women's empowerment, its updated gender policy and action plan as well as Fund's experiences and lessons learned on gender	Throughout FY21
Updating the Evaluation Framework in line with the Updated Gender Policy	Throughout FY21

Readiness Programme

Activity	Dates/Time frame
Launch, review of, and decisions for readiness grants (TA-ESGP, TA-GP and SSC grants) for the intersessional period between the thirty-sixth and thirty-seventh meetings of the Board	July - Dec 2020
Review of and decisions on proposals for project scale-up (PSU) grants for the thirty-sixth Meeting of the Adaptation Fund Board	August-October 2020
Project development training workshop at UNFCCC Latin America and the Caribbean (LAC) Climate Week, Dominican Republic.	Second half FY21
Seventh annual climate finance readiness seminar for accredited national implementing entities	24-28 August 2020
Adaptation Fund Readiness Webinar #11	October 2020
Accreditation training workshop at the UNFCCC MENA Climate Week, Dubai	Second half FY21
Review of and decisions on proposals for project scale-up (PSU) grants for the thirty-seventh Meeting of the Adaptation Fund Board	January-March 2021
AF training workshop for NIEs at UNFCCC Regional Climate week 2021 or as stand-alone in covering entities from East Europe and Asia	Second half FY21
Adaptation Fund Readiness Webinar #12	April 2021
Country exchange with NIEs to provide additional technical support during project/programme implementation	May 2021
4 issues of quarterly bulletin by providers of readiness support	Quarterly
Translations to support enhanced usability of Accreditation and Project tools and guidance documents.	1 accreditation and 1 project document translated into French and Spanish twice a year, in July 2020 and in January 2021.
Support for community of practice workplan implementation.	Throughout FY21
General cooperation with partners – (presence at each other's events, awareness raising etc.) – SBs attendance, COP26, other international forums as necessary. Includes public and private partnerships and collaborations <u>to support the delivery of readiness and capacity-building support for accreditation and project development.</u>	Throughout FY21

Activity	Dates/Time frame
RBM for all readiness projects. Includes reviewing performance reports, providing input to the production of the annual performance report and enhancing the readiness section of the FIF platform.	Throughout FY21
Lessons learnt and shared from the capture and integration of knowledge from readiness and capacity building activities to support enhanced learning from the delivery of readiness and capacity-building process and outcomes.	June 2021