

ACCREDITATION APPLICATION FORM

Please fill out all of the background and contact information contained in Section I.

For Sections II-IV, provide a description of how the organization meets the specific required capabilities and attach supporting documentation. Examples of the types of supporting documentation that would provide evidence of meeting the Fund's fiduciary and management standards are included at the end of each of these sections.

Note: Application and supporting documentation must be submitted in English

SECTION I: Background/Contact

Nominated Entity (if NIE):
Invited Entity (if MIE):
Address:
Country: Postal Code:
Telephone:
Fax:
Web Address:
Contact Person:
Telephone:
Email:

SECTION II: Financial Management and Integrity

Specific Capability Required

- A. Legal status to contract with Adaptation Fund Board
- B. Accurately and regularly record transactions and balances in a manner that adheres to broadly accepted good practices, and are audited periodically by an independent firm or organization;
- C. Managing and disbursing funds efficiently and with safeguards to recipients on a timely basis;
- D. Produce forward-looking financial plans and budgets

	Required competency	Specific capability required	Supporting documentation that should be provided
	Legal Status	Demonstration of necessary legal personality	Documentation of legal status and mandate (please highlight the relevant paragraphs)
		Demonstration of legal capacity/authority and the ability to directly receive funds	(i) Same documentation or separate supporting documentation (ii) List of foreign loan/donor funds handled over the last 2 years
	Financial Statements including Project Account Statements and the provisions for Internal and External Audits	Production of reliable financial statements that are prepared in accordance with internationally recognized accounting standards	Audited Financial Statements
		Production of annual externally audited accounts that are consistent with recognized international auditing standards	(i) External Auditor Reports (ii) Audit Committee's Terms of Reference
		Demonstration of use of accounting packages that are recognised and familiar to accounting procedures in developing countries	Name and brief description of accounting package used

		Demonstration of capability for functionally independent internal auditing in accordance with internationally recognized standards	<ul style="list-style-type: none"> (i) Policy/charter and other published documents (like manuals) that outline the entity's internal auditing function (ii) Copies of audit plans for last 2 years and the current year (iii) List of internal audit reports of last 2 years and sample reports
	Internal Control Framework with particular reference to control over disbursements and payments	Demonstration of use of a control framework that is documented with clearly defined roles for management, internal auditors, the governing body, and other personnel	Policy or other published document that outlines the entity's control framework
		Demonstration of proven payment/disbursement systems	Procedures describing the payment/disbursement system with particular reference to project payments/disbursements
	Preparation of Business Plans and Budgets and ability to monitor expenditure in line with budgets	Production of long term business plans/ financial projections demonstrating financial solvency	Long Term Business plans financial projections for the next 3 to 5 years
		Evidence of preparation of corporate, departmental/ ministry budgets and demonstration of ability to spend against budgets	<ul style="list-style-type: none"> (i) Annual budgets for the organization and entities within it (ii) End of calendar year/fiscal year or periodical budget report

SECTION III: Requisite Institutional Capacity

Specific Capability Required

- A. Ability to manage procurement procedures which provide for transparent practices, including competition
- B. Ability to identify, formulate and appraise projects, including the identification and assessment of project/programme environmental and social risks and the adoption of measures to address those risks
- C. Competency to manage or oversee the execution of projects/programmes, including ability to manage sub-recipients and to support project/programme delivery and implementation
- D. Capacity to undertake monitoring and evaluation, including monitoring of measures for the management of environmental and social risks

	Required competency	Specific capability required	Supporting documentation that may be provided
	Procurement	Evidence of transparent and fair procurement policies and procedures at the national level that are consistent with recognized international practice (including dispute resolution procedures)	<ul style="list-style-type: none"> (i) Procurement Policy (ii) Detailed procedures or guidelines including composition and role of key decision making committees (iii) Provisions for oversight/audit /review of the procurement function with an actual sample of oversight/audit/review reports (iv) Procedures for handling/controlling procurement in Executing Agencies
	Project Preparation and Appraisal	Demonstration of capability and experience in identification and design of projects (preferably adaptation projects)	<ul style="list-style-type: none"> (i) Detailed project plan documents for 2 projects (ii) Details of entity's role in identification and design of

			the sample projects provided above
		Demonstration of availability of/ access to resources and track record of conducting appraisal activities	(i) Details of the project appraisal procedures (ii) 2 samples of project appraisals undertaken
		Demonstration of the ability to examine and incorporate the likely impact of technical, financial, economic, environmental, social and legal aspects into the project at the appraisal stage itself	Sample of project documents which demonstrate this capability
	Risk Assessment	Demonstration of capability or access to resources to: (i) undertake assessment of project/program risks including: (a) financial, economic, political risks), and (b) environmental and social risks, in accordance with the Adaptation Fund's Environmental and Social Safeguard Policy; and (ii) integrate mitigation strategies/ environmental and social risk management plans into the project document	(iii) Policy and/or other published document(s) that outlines the risk assessment procedures/framework (iv) Samples of completed project appraisals with identified risks and corresponding mitigation strategies, including environmental and social risk management plans
	Project Implementation Planning and Quality-at-entry Review	Evidence of institutional system for planning implementation of projects with particular emphasis on quality-at-entry	Operational manual/ procedures for project review system during the design phase
		Evidence of preparation of project budgets for projects being handled by the entity or any sub-entity within it	(i) Project budgets (ii) Analysis of project expenditure vs budget
	Project Monitoring and Evaluation during implementation	Demonstration of capacities for project monitoring and evaluation that are consistent with the requirements of the Adaptation Fund, including monitoring the status of measures for avoiding, minimizing or mitigating	(i) Policy or other published document that outlines monitoring and evaluation requirements (ii) Detailed procedures and

		environmental and social risks.	<p>formats used for monitoring and evaluation during project implementation</p> <p>(iii) Sample project monitoring and evaluation reports</p> <p>(iv) Copies of status reports on the implementation of the environmental and social risk management plans</p>
		Production of detailed project accounts which are externally audited	<p>(i) Sample of project accounts</p> <p>(ii) Sample of project audit reports</p>
		Evidence of a process or system, such as a project-at-risk system, that is in place to flag when a project has developed problems that may interfere with the achievement of its objectives, and to respond to redress the problems	Procedures for project-at-risk system or similar process/system to ensure speedy solutions to problems which may interfere with the achievement of the project objectives
	Project closure and Final Evaluation	Demonstration of capacity or access to resources for undertaking project closure and independent final evaluation, including final evaluation of project/program performance with respect to environmental and social risks	<p>(i) Policies/procedures relating to closure of projects and preparation of independent end-of-project/final evaluation reports</p> <p>(ii) Independent evaluation reports of projects/programmes completed in the last 24 months</p>
		Demonstration of an understanding of and capacity to assess impact/implications of the technical, financial, economic, environmental, social, and legal aspects of projects	Project closure reports or independent evaluation reports containing assessment of the impact/implications of the technical, financial, economic, environmental, social, and legal aspects of projects
		Demonstration of competence to execute or oversee execution of projects/programmes	Independent evaluation reports of completed projects/programs

SECTION IV: Transparency, self-investigative powers, anti-corruption measures and mechanism to address complaints about environmental or social harms caused by projects

Specific Capability Required

- A. Competence to deal with financial mismanagement and other forms of malpractice
- B. Capacity to address complaints on environmental and social harms caused by projects/programs

	Required competency	Specific capability required	Supporting documentation that may be provided
	Policies and Framework to deal with financial mismanagement and other forms of malpractices	Evidence/tone/statement from the top emphasising a policy of zero tolerance for fraud, financial mismanagement and other forms of malpractice by implementing entity staff or from any external sources associated directly or indirectly with the projects	Provide evidence of a statement communicating such a policy of zero tolerance for fraud, financial mismanagement and other forms of malpractice
		Demonstration of capacity and procedures to deal with financial mismanagement and other forms of malpractice	<ul style="list-style-type: none"> (i) Provide copy of documented code of conduct/ethics applicable to the staff (ii) Documentation establishing avenues for reporting non-compliance/violation/misconduct and business conduct concerns (iii) Details of policies and procedures relating to managing conflict of interest and whistle blower protection

		Evidence of an objective investigation function for allegations of fraud and corruption	<ul style="list-style-type: none"> (i) The structure and process/ procedures within the organization to handle cases of fraud and mismanagement and undertake necessary investigative activities. (ii) Data on cases of violation of code of conduct/ethics and frauds reported over last 2 years be provided in terms of number of cases, types of violations and summary of status/action taken. (iii) Periodical oversight reports of the ethics function/ committee be attached for the last 2 years
	Commitment by the entity to apply the Fund's environmental and social policy	Evidence of entity's commitment to addressing environmental and social risks	Statement from top management communicating entity's commitment to abide by the AF's environmental and social policy
	Mechanism to deal with complaints on environmental and social harms caused by projects/programs	Demonstration of an accessible, transparent, fair and effective mechanism (either within the entity itself, local, national or project-specific) for receiving complaints about environmental and social harms caused by projects/programmes	Details of process/avenues available to the public to submit complaints, including name and contact information of the specific person /office responsible for receiving complaints