



ADAPTATION FUND

AFB/PPRC.17-18/11
11 January 2016

Adaptation Fund Board
Project and Programme Review Committee

**GRANT PROPOSAL TO SUPPORT NIE ACCREDITATION FOR
MALAWI**

Background

1. At its twenty-second meeting, the Adaptation Fund Board secretariat (the secretariat) had prepared document AFB/B.22/6 which outlined the possible elements and options for a phased programme to support Readiness for Direct Access to Climate Finance for National and Regional Implementing Entities and presented a framework and budget for a first phase of the programme. Following a discussion of the document, the Board decided to:

- (a) *Approve Phase I of the Readiness Programme as detailed in document AFB/B.22/6, on the basis that it would follow performance-based funding principles;*
- (b) *Take note of the options provided by the secretariat on a programme to support readiness for direct access to climate finance for national and regional implementing entities;*
- (c) *Request the secretariat to submit to the Board intersessionally between the twenty-second and twenty-third meetings, execution arrangements, criteria/eligibility criteria to allocate the funds to the accredited implementing entities for specific activities, as well as a timeline of activities, with a view to start implementing the programme before the twenty-third Board meeting; and*
- (d) *Approve an increase in the Administrative Budget of the Board, secretariat and trustee for FY2014 of US\$ 467,000 for the programme described in AFB/B.22/6, and authorize the trustee to transfer such amount to the secretariat and request the trustee to set aside the balance amount of US\$ 503,000 from the Adaptation Fund Trust Fund resources for subsequent commitment and transfer at the instruction of the Board.*

(Decision B.22/24)

2. At the tenth session of the Conference of the Parties serving as meeting of the Parties to the Kyoto Protocol (CMP 10), the Parties recognized the Readiness Programme of the Adaptation Fund and decided to:

Invite further support for the readiness programme of the Adaptation Fund Board for direct access to climate finance in accordance with decision 2/CMP.10, paragraph 5;

Decision 1/CMP.10

and also decided to:

Request the Adaptation Fund Board to consider, under its readiness programme, the following options for enhancing the access modalities of the Adaptation Fund:

- (a) *Targeted institutional strengthening strategies to assist developing countries, in particular the least developed countries, to accredit more national or regional implementing entities to the Adaptation Fund;*
- (b) *Ensuring that accredited national implementing entities have increased and facilitated access to the Adaptation Fund, including for small-sized projects and programmes;*

Decision 2/CMP.10

3. Upon completion of Phase I of the Readiness Programme, the secretariat had prepared document AFB/B.25/5 which outlined the progress made in Phase I and proposed Phase II of the Readiness Programme, taking into account the results from Phase I of the programme and integrating decision 2/CMP10. Following a discussion of the document, the Board decided to:

Aprove Phase II of the Readiness Programme, as outlined in document AFB/B.25/5, with a total funding of US\$ 965,000, including funding of US\$ 565,000 to be transferred to the secretariat's budget and funding of US\$ 400,000 to be set aside for small grants to National Implementing Entities from resources of the Adaptation Fund trust fund.

(Decision B.25/27)

4. Following the approval by Board of Phase II of the Readiness Programme, eligible countries were given the opportunity to submit applications for a grant to receive support for accreditation through a selected number of National Implementing Entities (NIEs). The types of eligible support included but were not limited to (i) identifying potential NIE candidates and/or (ii) preparing an application for NIE candidates to be submitted to the Accreditation Panel and/or (iii) continuous support during the application process. It is expected that peer-peer support will effectively help build national capacity and sustainability. To facilitate timely review of applications, the Board, at its twenty sixth meeting decided to:

Request the secretariat to review intersessionally, between the 26th and 27th meetings of the Board, proposals submitted by National Implementing Entities for technical assistance grants and South-South cooperation grants under the Readiness Programme, and to submit the reviews to the PPRC for intersessional recommendation to the Board.

(Decision B. 26/28)

5 Eligible NIEs were those entities that had tangible achievements with the Fund. The selection was based on the entity's experience with the Adaptation Fund, including in project preparation and implementation, and in supporting other countries at different stages of their application processes. Eligible NIEs were the ones fulfilling all of the following criteria, as at the time of the 17-18 intersessional review cycle:

- Have been accredited by the Board,
- Have an Adaptation Fund project or programme under implementation, hence demonstrating effective compliance with the AF fiduciary standards, and
- Have experience advising, participating in, or organizing support to other NIE candidates.

6 Following a call for submission of applications undertaken intersessionally between the twenty sixth and twenty seventh Board meetings, the secretariat had received five applications from two NIEs, to support NIE accreditation in five countries.

7 Both NIEs that submitted request documents were eligible to receive South-South Cooperation Grants, i.e. the *Centre de Suivi Ecologique* (CSE), Senegal and the National Environment Management Authority (NEMA), Kenya.

- 8 The present document introduces the revised application submitted by the National Environment Management Authority (NEMA) Kenya, on behalf of the government of Malawi. It includes a request for funding of US\$50,000 outlining the activities to be undertaken by NEMA to support the accreditation process in Malawi, and addressing the initial comments from the secretariat. The secretariat had reviewed the initial application by NEMA and provided its comments to the applicant for further clarification. The applicant had submitted a revised version of the proposal, taking into account the secretariat's comments. The secretariat's initial review, the applicant's response to the secretariat's initial review and the applicant's revised application/request document are available in the next sections of this document.



Screening of Application for a for a Grant to support NIE accreditation

Requesting Country: **Malawi**
 Requesting NIE: **National Environment Management Authority (NEMA)**

Requested Financing from Adaptation Fund: **US\$ 50,000**

Reviewer and contact person: **Farayi Madziwa**
 Co-reviewer(s): **Mikko Ollikainen**
 NIE Contact Person: **Wangare Kirumba**

Screening Questions	Score (please select from dropdown menu)	Rating	Secretariat Assessment (8 December 2015)	Response by NEMA (8 January 2016)
Has this application been endorsed by the Designated Authority of the country?	0	0. No 1. Partially 2. Yes	Application has been approved by the UNFCCC focal point but the DA has not endorsed it. All applications must be endorsed by the DA, particularly since the first intended support activity is a meeting between the DAs for Kenya and Malawi.	I have attached for you the Endorsement Letter from Malawi DA
Is the timeframe of activity adequate?	1	0. No 1. Yes	The timeframe is adequate as an NIE candidate has already been identified (Malawi Environmental Endowment Trust - MEET). However NEMA should clarify whether the support is expected to end on 31 April or in March as the identified list of activities only goes up to March.	Yes. NEMA's intention is to carry out mentorship programme within six Months. This shall be guided by when the approval by AF will be granted. The proposed January – March was on the premise that this application approval process would have been concluded in the last AF Board meeting.
What is the level of experience participating in, organizing support	1	1. Low 2. Substantial	NEMA has limited experience having provided support to only one entity so far. They exchanged information with NEMC	The outcome of the support given to NEMC Tanzania was a new resolve to pursue their accreditation with AF. According to the

<p>to, or advising other NIE candidates?</p>			<p>Tanzania, a significant component of the exchange being on AF accreditation. It would be useful for NEMA to provide information on the outcome of this support.</p>	<p>experiences they shared with us, they had already submitted their application by the time we had the session with them, but had stalled in their application. So the new impetus, inspiration and focus to pursue their accreditation may have been one of the outcomes of this mentoring activity. The other outcome is on identification of relevant documents. NEMA shared with NEMC Tanzania, examples of documents that may work to respond to some sections of the accreditation application.</p>
<p>Are the proposed activities to support NIE accreditation adequate?</p>	<p>2</p>	<p>1. Not Adequate 2. Somewhat Adequate 3. Adequate</p>	<p>It would be useful to provide further basic information on the planned meetings, i.e., number of meetings planned, and whether these will be in Kenya or Malawi?</p> <p>A number of tools will be developed during the in-country visits. It is not clear how these tools will support the accreditation process e.g. are the indicated Financial risk management tools, Grievance redress management tool etc. going to be used to identify the appropriate documents to submit to meet the fiduciary standards or are they tools that will be submitted as part of the application for accreditation or is there another intended use? The training workshop indicates that appropriate documents will already have been identified at that stage.</p> <p>Please indicate how many in-country visits are planned and what support will be provided? It would be useful to provide further basic information (no in depth detail is required) that presents progressive visits with incremental outputs that culminate in the submission of an application for</p>	<p>The Number of meetings will be 4, and we will have them both in Kenya and Malawi</p> <p>The training on development of the proposed tools is intended to build enhanced capacity both for accreditation, and for project implementation. However, the list of the tools to be developed will be improved/Finalized after an initial technical meeting with MEET. This meeting whose agenda will be to identify Gaps in Accreditation will guide on what tools should be developed.</p> <p>There are 4 in country (both ways) visits. The intended objectives of these meetings are mainly to develop a strategy on completing accreditation application. This will include</p> <ul style="list-style-type: none"> • A one to one study on the accreditation application requirements • Review of existing systems and

			accreditation. It is expected that in-country visits should provide direct support for the preparation of an accreditation application	<p>procedures and documents in MEET</p> <ul style="list-style-type: none"> Support identification of documents for accreditation submissions <p>Developing an action plan for gaps (if they exist)</p>
Based on the proposed activities, is the requested budget reasonable?	3	<ol style="list-style-type: none"> Not Reasonable Somewhat Reasonable Reasonable 	The budget requested falls within the available cap for grant applications and is reasonable based on the intended scope of work.	Yes

NIE RESPONSE TO THE SECRETARIAT'S GENERAL COMMENTS (8 January 2016)

Comment	Issue	Response by NIE
(i)	Please attach an endorsement letter on official letter head and signed by the DA.	Done
(ii)	There appear to be plans to develop regular action plans and tools during the period of support. It would be useful to provide further information (no in depth detail is required) on how these will be used to support the accreditation process. Please provide further clarity (no in depth detail is required) on the logical flow of intended events leading up to the submission of an application for accreditation by MEET.	<p>The action plan referred to in the application, is plan on how to execute the mentorship programme, and the accreditation application.</p> <p>Regarding development of tools Please refer to our response on Part 4, Section B above</p> <p>The Logical Flow of events is for the mentorship programme is illustrated below.</p>

Comment	Issue	Response by NIE
	<p>High level meetings</p> <p>NEMA, Kenya DA, Malawi DA and MEET, meet to develop a road map/ action plan on how to execute the mentorship programme</p>	<p>Development of an accreditation application action plan</p> <p>Execution of accreditation application</p> <p>Adapatation programme design mentorship</p> <p>Training on Development of governance tools</p> <p>Review of existing systems and procedures and documents Support identification of documents for accreditation. Submissions Developing an action plan for gaps (if they exist)</p> <p>Sharing knowledge/experiences on programme design process that meet AF eligibility criteria</p> <p>Financial risk management tools, Grievance redress management tool, Social safeguards, M@E tool</p>



Application for a Grant to support NIE accreditation

Submission Date: 08.01.2016

Adaptation Fund Grant ID:

Country/ies: Malawi

Implementing Entity: National Environmental Management Authority (NEMA), Kenya

A. Time frame of Activity

Start date of activity	01 March 2016
Completion date of activity	31 August 2016

B. Experience participating in, organizing support to, or advising other NIE candidates

Describe the type of support provided to other national institutions, relevant to the accreditation process

Year	Type of support provided	Outcome of the	Country/institution supported
16 th to 21 Sept. 2013	NEMA hosted a high level delegation on a learning mission from NEMC Tanzania to exchange knowledge on Climate Change Adaptation. This learning mission under a South to South platform was hosted by NEMA for five days and the delegation was exposed to various experiences under the theme of climate change adaptation in NEMA and in other ministries and institutions. One of the topics covered was NEMA experience on AF Accreditation.		NEMC Tanzania

C. Proposed activities to support NIE accreditation

Describe the activities to be undertaken to support the accreditation of NIE candidate(s) in the target country(ies)

Proposed Support Activities	Expected Output of the Activities	Country/Institution to be Supported	Requested Budget (USD)	Tentative timeline(Completion date)
MEETINGS	<ul style="list-style-type: none"> High level meetings between NEMA, Kenya DA, Zimbabwe DA and MEET to develop a road map on how to execute the mentorship programme. Develop an action plan for managing accreditation application process 	MEET, Malawi DA, Kenya DA, NEMA Kenya	6000	January- 2015
IN-COUNTRY VISITS	<ul style="list-style-type: none"> Review of existing systems and procedures and documents in MEET Support identification of documents for accreditation submissions Developing an action plan for gaps (if they exist) 	MEET, Malawi	24000 USD	February 2015
TRAINING WORKSHOP	<ul style="list-style-type: none"> Development of governance tools: Financial risk management tools, Grievance redress management tool, Social safeguards, M@E tool, Sharing knowledge/experiences on programme design process that meet AF 	MEET, Malawi	20000 USD	March 2015

	eligibility criteria			
Total Grant Requested (USD)			\$50 000.00	

D. Implementing Entity

This request has been prepared in accordance with the Adaptation Fund Board's procedures

Implementing Entity Coordinator, IE Name	Signature	Date(Month, day,year)	Implementing Entity Contact Person	Telephone	Email Address
Wangare Kirumba National Environment Management Authority, NEMA Kenya	Wangare	28.09.2015	Wangare Kirumba	254 20 6005522/3 OR 254 722 457289	wkirumba@nema.go.ke

E. Record of request of support on behalf of the government

Provide the name and position of the government official, the Designated Authority of the Adaptation Fund, and indicate date of endorsement. If the proposed support targets more than one country, list the officials requesting support for all the participating countries. The request letter(s) should be attached as an annex to the application.

<i>Tawonga Mbale Luka, Director of Environmental Affairs</i>	<i>28, September 2015</i>
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ANNEXES

ANNEX 1

Telegrams: FINANCE, LILONGWE
Telephone: (265) 0178 9355
Telex: 44407
Fax: (265) 0178 8592
E-mail: finance@finance.gov.mw



Ministry of Finance, Economic
Planning and Development
P. O. Box 30049
Capital City
Lilongwe 3
MALAWI

Ref: DAD/RM/5/2/1/15

22nd October, 2015

The Manager
Adaptation Fund Board
Washington DC
USA
Email: afbsec@adaptation-fund.org
Fax No. 201 522 3240/5

Dear Sir/Madam,

**ENDORSEMENT FOR SUPPORT IN NATIONAL IMPLEMENTING
ENTITY (NIE) ACCREDITATION**

In my capacity as Designated Authority for the Adaptation Fund in Malawi, I confirm that National Environment Management Authority (NEMA), Kenya has been requested by Government of Malawi to support the process of accreditation of the Malawi Environment Endowment Trust (MEET) as National Implementing Entity for the Adaptation Fund in my country.

Accordingly, I am pleased to endorse the grant proposal submitted by MEET for funding from the Adaptation Fund.

A handwritten signature in black ink, appearing to read 'Peter K. Simbani'.

Peter K. Simbani
**Designated Authority for the Adaptation Fund
DIRECTOR OF DEBT AND AID**