



ADAPTATION FUND

AFB/B.28/4  
6 October 2016

---

Adaptation Fund Board  
Twenty-eight meeting  
Bonn, Germany, 6–7 October 2016

Agenda item 5

## **REPORT OF THE TWENTY-THIRD MEETING OF THE ACCREDITATION PANEL**

## WORK OF THE ACCREDITATION PANEL

1. The Accreditation Panel (the Panel) continued its work reviewing both new and existing applications. On 29–30 August 2016 the Panel held its twenty-third meeting at the secretariat's offices in Washington, DC. In the absence of the Chair of the Accreditation Panel, Ms. Yuka Greiler, the Vice-Chair Mr. Philip Weech presided over the meeting. The Panel expressed its appreciation for the outgoing Panel member Ms. Zahra Hassanali and welcomed a new Panel member Dr. Jessie Rose Mabutas. The Panel meeting allowed for an opportunity to discuss status and pending issues of applications under review and to deliberate on how to further improve the accreditation process.

2. For the twenty-third Panel meeting, one new completed application was received. In addition to the new application, the Panel reviewed six re-accreditation applications (two MIEs and four NIEs). The Panel continued its review of the applications of ten potential National Implementing Entities (NIEs) and one potential Regional Implementing Entities (RIEs) that were previously reviewed but required additional information for the Panel to make its recommendations. The Panel recommended re-accreditation of the World Meteorological Organization (WMO) as Multilateral Implementing Entity (MIE) of the Fund at its twenty-third meeting. After considering the recommendation by the Panel, the Board intersessionally approved re-accreditation of the WMO as MIE of the Fund by its decision B.27-28/27. The respective summary of the review can be found in Annex I of the aforementioned decision.

3. The Designated Authority (DA) of NIE079 sent an official letter communicating the intension to withdraw its nomination of NIE079 due to the unforeseen situation where the entity will close down by the end of 2016. Accordingly, the DA nominated a new NIE, and the secretariat provided the credentials for the new NIE to access the Accreditation Workflow and start preparing its accreditation application.

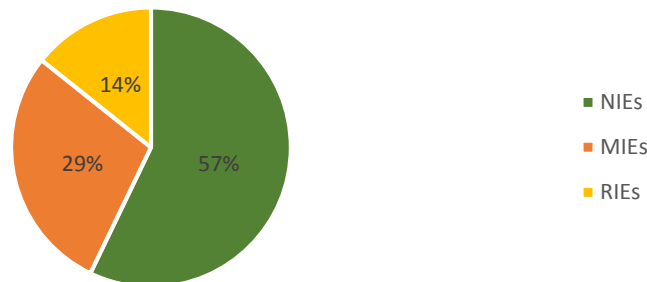
4. Eleven applications (ten for potential NIEs and one for potential RIE) are currently under review by the Panel as per the list below. For purposes of confidentiality, only the assigned code is used to report on the status of each Implementing Entity's application.

- 1) National Implementing Entity NIE044
- 2) National Implementing Entity NIE046
- 3) National Implementing Entity NIE049
- 4) National Implementing Entity NIE057
- 5) National Implementing Entity NIE064
- 6) National Implementing Entity NIE066
- 7) National Implementing Entity NIE080
- 8) National Implementing Entity NIE112
- 9) National Implementing Entity NIE113
- 10) National Implementing Entity NIE107
- 11) Regional Implementing Entity RIE008

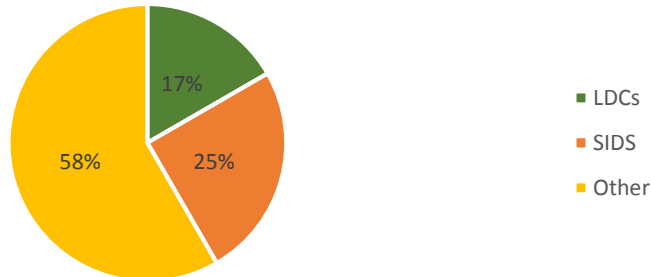
## GENERAL TRENDS

5. As at the date of this report, the total number of accredited implementing entities amounts to 42: 24 NIEs, 6 RIEs and 12 MIEs. In particular, four NIEs of least developed countries (LDCs) and six NIEs of Small Island Developing States (SIDS) were accredited. Out of 42 accredited implementing entities of the Fund, 10 have been re-accredited: two NIEs, one RIE and seven MIEs. With respect to the geographic coverage for the 24 NIEs, 5 NIEs are from Asia-Pacific region, 8 NIEs are from Africa region, 11 NIEs are from Latin American and the Caribbean region.

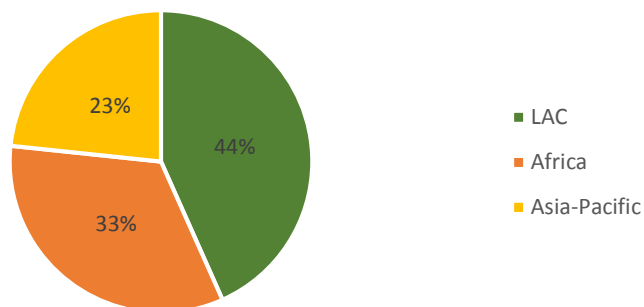
### Accredited Implementing Entities



### SIDS and LDCs among NIEs



### NIEs and RIEs by geographical region



## ACCREDITATION PIPELINE

6. As at the date of the report, the Fund has received 115 letters of assigned Designated Authorities (DAs) of which 97 have officially identified the relevant implementing entity and have been issued with accounts on the online Workflow accreditation system. As at the date of report, 75 entities have submitted their applications for accreditation and 16 of these are currently under review. In addition, 17 NIE applicants of LDCs and five NIEs applicants of SIDS are in the accreditation pipeline. These numbers are summarized in the figure below.



## STATUS OF APPLICATIONS UNDER REVIEW

<u>ENTITY</u>	<u>APPLICATION SUBMISSION DATE</u>	<u>ADDITIONAL BACKGROUND INFORMATION</u>	<u>CURRENT STATUS</u>
<u>EXISTING APPLICATIONS</u>			
NIE044	Jan-13	AFB/B.27-28/2	Following the secretariat's request to the DA on 9 March 2016 to confirm the interest of the NIE to pursue the accreditation process, the applicant responded on 29 July 2016 indicating its willingness to continue the process and update the application form by uploading the outstanding information.
NIE046	Dec-12	AFB/B.27-28/2	After the AP22 meeting, the secretariat conducted a conference call with the applicant on 20 June 2016 to encourage them to submit pending information, and the applicant expressed its commitment to submit the requested information /documentation. However, the applicant has yet to submit any of the information. The applicant attended the Fund's readiness workshop in India held on 23-26 August 2016 and had a chance to discuss on this matter with the secretariat and the Panel.
NIE049	Apr-13	AFB/B.27-28/2	The Panel reviewed the additional documentation received from the application and prepared a list of pending questions and information, which was shared with the applicant on 5 July 2016. To date, the applicant has yet to provide any requested information. Upon the secretariat's recent follow-up email, the applicant replied that it will submit the requested information before the end of September 2016.

NIE057	Feb-14	AFB/B.27-28/2	The challenge that the applicant is facing is its lack of history of non-credit (grant) project funding and implementation. Following the AP22 meeting, the secretariat communicated with the applicant to facilitate the applicant's understanding on the pending requirements for accreditation. The conference call was conducted in June 2016 between the applicant, the Panel and the secretariat. The applicant is currently gathering relevant information.
NIE066	Apr-15	AFB/B.27-28/2	The accreditation process is officially under the streamlined accreditation. The applicant intended to update its application with the help of existing NIE under the Fund's South-to-South Grants program which was approved by the Board in March 2016. However, the applicant has not received the support due to the supporting NIE's failure to sign the standard legal agreement with the Board but has re-submitted its application on 27 August 2016 for the Panel to review and provide feedback.
NIE080	Apr-15	AFB/B.27-28/2	Since the AP22 meeting, there has been active communications and conference calls between the Panel, the secretariat, and applicant to resolve pending issues. The issue of legal personality and capacity has been finally resolved in late July 2016 when the legal department of the Ministry submitted requested documentation. Since then, the Panel provided a still pending information list and shared with the applicant. The applicant has provided all the requested information/documentation. The Panel reviewed the submitted documents and prepared assessment of the application. The Panel is in a view that there are still pending issues. The Panel concluded that the applicant had not exhausted all possible means of bridging the remaining gaps and will encourage the applicant to bridge these gaps with its possible measures and any additional external help of capacity building outside of the NIE. The Panel will list the gap areas and share them with the applicant. A follow-up conference call will ensue.
RIE008	Jan-14	AFB/B.27-28/2	After a year-long dormant period, the applicant submitted the requested information/documentation in August 2016. The Panel is currently reviewing the submitted documents and will complete the review and provide feedback.
NIE107	Nov-15	AFB/B.27-28/2	After the AP22 meeting, the conference call was conducted on 14 June 2016 between the applicant, the Panel, and the secretariat to clarify on pending information and documentation. Upon the Panel's request, the applicant provided some information in July and August and is currently compiling remaining pending information. The applicant has been making slow progress in terms of submitting requested information possibly due to its limited capacity. The secretariat will follow up

			with the applicant to ensure that it provides the pending information.
NIE112	Jan-16	AFB/B.27-28/2	The applicant is supported by the Fund's accredited NIE under the Fund's Readiness Programme (South-to-South Cooperation Grant). Since the AP 22 meeting, upon the Panel's request, the applicant submitted several documents in June and August 2016. The Panel have reviewed them and provided feedbacks to the applicant. The follow-up conference call was held on 19 August 2016 between the applicant, Panel and the secretariat. Since then, the applicant submitted additionally requested information in late August 2016. The Panel will review the submitted documents and provide feedback.
NIE113	Jan-16		The applicant is supported by the Fund's accredited NIE under the Fund's Readiness Programme (South-to-South Cooperation Grant). The Panel completed initial review of application and communicated to the applicant the review results and pending information/documents list. The conference call among the secretariat, Panel and the applicant was conducted on April 27. The applicant attended the Fund's readiness workshop on May 2-5 in Casablanca, Morocco, which was an opportunity to further exchange on pending information. The Panel found several gaps. Although the applicant acknowledged the receipt of the list of pending information/documentation and responded to provide the information on 3 May 2016, it has not provided any documents.
<b>NEW APPLICATION:</b>			
NIE136	Jul-16		The application was submitted on July 2016 and screened by the secretariat. Upon the completion of the screening, the secretariat sent back the application with comments to the applicant requesting to provide missing supporting documentation.
<b>RE-ACCREDITATION:</b>			
NIE003	Feb-15		The entity attended the Fund's Readiness Workshop in Honduras in June 2016 but did not join the one-on-one accreditation clinic session. It has not made any progress in submitting the requested information/documentation.
NIE002	Aug-16		The applicant submitted its re-accreditation application on 4 August 2016. After screening by the secretariat, the Panel is reviewing the application. Several gap areas exist including anti-corruption policies. Recently the entity has appointed a new Director and a conference call with a new Director, the Panel, and the secretariat will be scheduled.
NIE031	May-16		The applicant submitted its re-accreditation application on 18 August 2016. The secretariat completed screening and sent back the application to the applicant requesting to provide missing supporting documentation.

NIE016	Apr-16	The entity has submitted re-accreditation application on 23 August 2016, and the secretariat is currently screening the application.
MIE001	Apr-16	The entity has submitted its re-accreditation application on 14 July 2016. Since then, there has been an active communication between the applicant. The panel is currently reviewing the documents recently submitted and will provide additional feedback. The panel emphasized that it should be able to obtain access to actual internal audit reports, relevant to the review, rather than verbal assurances from the internal audit function. This will ensure consistency of treatment for all applications.

## OTHER MATTERS

8. *Twenty-fourth Meeting of the Accreditation Panel:* The 22nd Panel meeting is scheduled to be held in Washington D.C. on 31 January–1 February 2017.

9. *Issue of criteria related to anti-Money Laundering (AML) and countering financing of terrorism (CFT):* The Panel considered and discussed AML/CFT and agreed not to include them as additional criteria for accreditation because these are covered by the standard legal agreements with the accredited implementing entities, and transfer of the funds to the implementing entities follows the disbursement procedure of the Trustee. The Panel was in a view that the issue could be considered as part of capacity building through raising awareness on the AML/CFT among the implementing entities.

9. *Proposal to enhance efficiency and effectiveness of the accreditation process:* In accordance with the Board decision AFB/B.27/27, the secretariat has finalized in consultation with the Panel the accreditation guidance notes on the environmental and social policy (Schedule 8) and gender policy (Schedule 9) and intersessionally submitted to the Board for its consideration (Decision B/27-28/28).

10. *Updating Accreditation Application Form:* The secretariat in collaboration with the Panel updated accreditation application form in order to further clarify the substance and to make the application form in line with the Fund's Gender Policy. The updated Accreditation Application Form is available as an Addendum to this document (AFB/B.28/4/Add.1).