



# ADAPTATION FUND

RE-ACCREDITATION PROCESS

5<sup>th</sup> NIE SEMINAR  
Washington D.C., August 2018



# Background “Key Decisions”

Fund’s Operational Policies and Guidelines (OPG), Accreditation is “valid for a period of five years with the possibility of renewal

At its twenty-second meeting, the Board decided to adopt the re-accreditation process outlines in Annex III of the report of the fourteenth meeting of the Accreditation Panel (Document AFB/B.22/4).

At its twenty-eight meeting the Adaptation Fund Board decided to fast-track the re-accreditation of implementing entities accredited with the Green Climate Fund (GCF) within a period of four years prior to the submission of the re-accreditation application to the Adaptation Fund as described in document AFB/EFC/19/7 (Decision B.28/38).

At its thirtieth meeting the AF Board decided- Decision B.31/1- to adopt the updated re-accreditation process contained in Annex I to the Report of the twenty-seventh meeting of the Accreditation Panel.

# New Deadlines

## NOTIFICATION BY THE SECRETARIAT

The secretariat will continue to send out notification letters to accredited entities **18 months prior to the expiration of the entity's accreditation**. In addition, the online accreditation system generates an automatic notification to the implementing entities.

## SUBMISSION OF RE-ACCREDITATION APPLICATION

The implementing entity is strongly recommended to submit its re-accreditation application and supporting documentation through the online accreditation system maintained by the Secretariat, **12 months prior to its accreditation expiry date**. If the entity does not submit the application by its accreditation expiry date, the Panel will make a recommendation to the Board to change the status of the entity from "Accredited" to "Not-Accredited" at the accreditation expiry date.

## ACQUISITION OF RE-ACCREDITATION

Acquisition of re-accreditation: The implementing entity is strongly recommended to achieve re-accreditation within **three years from its accreditation expiry date**. If the entity does not achieve re-accreditation within three years from its accreditation expiry date, the Panel will make a recommendation to the Board to change the status of the entity to "Not-Accredited"

# Status of an Implementing Entity

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**Accredited:** When an implementing entity achieves accreditation following a Board decision, its accreditation is valid for five years



**In Re-accreditation Process:** When an implementing entity submits its re-accreditation application before the accreditation expiry date, it acquires a status of “In Re-accreditation Process” at its accreditation expiry date, until it achieves re-accreditation within three years from the accreditation expiry date.



**Not-Accredited:** If an implementing entity does not submit re-accreditation application by its accreditation expiry date, or the entity does not achieve re-accreditation within three years from the accreditation expiry date, it acquires the status of “Not-Accredited” following a Board decision.

# Implication of the status of an Implementing Entity

	Eligible to submit a new funding proposal	Eligible to participate in AF activities as IE	Eligible to be included in AF communications
(1) "Accredited"	Yes	Yes	Yes
(2) "In Re-accreditation Process"	No	Yes	Yes
(3) "Not Accredited"	No	No	No

# Effective date of the update

The updated re-accreditation process takes effect as of the date of the decision by the Adaptation Fund Board to approve it. **A 'grandfather policy'** will apply to Implementing entities which have submitted a complete re-accreditation application before the date of the Board decision Decision B.31/1 (23/03/2018) to approve the updated re-accreditation policy. Accordingly, these implementing entities **need to achieve re-accreditation within two years** from the date of the Board decision to approve a revised re-accreditation process. Otherwise, it will acquire the status of "Not-Accredited" following a Board

# Focus areas of review of a 'Regular' re-accreditation

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**Review of a 'regular' re-accreditation** will focus on three aspects (i) continued compliance with the Fund's fiduciary standards, (ii) compliance with the Fund's environmental and social policy and the Gender Policy and (iii) the results of the assessment of the implementing entity's performance regarding quality at entry and project/programme implementation.

# 'Regular' re-accreditation source of information

**The Re-Accreditation Application** has been developed to provide a systematic approach to review the sustainability of the applicant's competencies and capacities required by the Fiduciary Standards of the Adaptation Fund which were initially demonstrated by the applicant at the time that the first five-year accreditation was granted as well as to determine the applicant's potential to address the requirements of the Environmental and Social (E&S) policy (<https://www.adaptation-fund.org/document/environmental-and-social-policy-approved-in-november-2013/>) and the Gender policy (<https://www.adaptation-fund.org/document/opg-annex4-gender-policy/>).

- Information on the re-accreditation process can be found in <https://www.adaptation-fund.org/document/re-accreditation-process/>.

- **In addition to filling this re-accreditation checklist and attachments, the Adaptation Fund requires a sample of key documents to support the applicant's assertions of conformance with the requirements of the Fiduciary Standards.**

## WORKFLOW APPLICATION

Required Competency	Specific capabilities	Have changes occurred since accreditation (Y/N)	Please describe the nature of any changes/modifications	Upload any revised or new policies adopted	Sample of documents required by the AF (or reference to website where document is public ally available)
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# AF Regular Re-Accreditation process: Balance between Assessment and Capacity Building

## ► Legal status

- Demonstration of legal personality
- Ability to contract with AF and authority to directly receive funds
- Demonstration of legal capacity to serve as plaintiff or defendant in a Court of law

## ► Financial Management and Integrity

- Financial Statements, External Audit requirement, Existence of Accounting procedure
- Internal Control Framework
- Internal Audit/Assurance and Oversight arrangements
- Preparation of Business plans and budget

# AF Regular Re-Accreditation process: Balance between Assessment and Capacity Building

## ▶ Institutional Capacity

- Procurement
- Project Preparation and Appraisal
- Project Implementation Planning and Quality at entry review
- Project Monitoring and Evaluation during implementation
- Project Closure and Final Evaluation

## ▶ Transparency, Self-investigative Powers, Anti-corruption measures and handling complaints about harmful Gender, Environmental or Social Impact of projects

- Policies and Framework and capacity to deal with fraud, corruption and other forms of malpractice
- Commitment by the entity to apply the Fund's Environmental & Social and Gender policy
- Mechanism to deal with complaints on environmental and social harms caused by projects

# Fast Track Re-accreditation

*“The GCF accreditation procedures are consistent with those of the Fund and that they can be relied upon subject to the following conditions and extra review to be done by the Accreditation Panel of the Fund:*

- The GCF accreditation Stage II (GCF Board decision on accreditation) of the applicant should have been completed within four years prior to the date of submission of the re-accreditation application to the Fund;*
- The Fiduciary Standard related to the legal status needs to be reviewed by the Fund;*
- Applicants that were not assessed against the GCF’s Environmental and Social Safeguards would be reviewed for compliance with the Fund’s Environmental and Social Policy;*
- Applicants would have to provide a commitment statement to abide by the Environmental and Social Policy of the Fund;*
- Applicants would have to demonstrate that they have a mechanism to deal with complaints on environmental and social harms caused by projects/programs;*
- Applicants that were not assessed against the GCF’s gender policy would be reviewed for compliance with the Fund’s Gender Policy;*
- Applicants would have to provide a commitment statement to abide by the Gender Policy of the Fund; and*
- Applicants would have to demonstrate that they have a mechanism to deal with complaints on Gender harms caused by projects/programs.*

# Focus areas of review of a 'Fast-track' re-accreditation

Under the fast-track re-accreditation process approved by the Board (Decision B.28/38) the review will focus on **(i) the fiduciary standard related to the legal personality;** **(ii) commitment by the implementing entity to apply the Fund's Environmental and Social Policy (ESP) and Gender Policy (GP);** and **(iii) Mechanism to deal with complaints on environmental and social harms and gender harms caused by projects/programmes.**

SECTION I: Background/Contact

SECTION II: Legal Status

SECTION III: Transparency, self-investigative powers, and anti-corruption measures

# Second-time 'Fast-track' re-accreditation

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Along with these three criteria, some additional criteria can be applied to fast track re-accreditation. First, criteria related to conditions attached to fast-track accreditation with the GCF will be assessed. Second, **from the second-time fast-track** reaccreditation with the Fund, financial mismanagement and integrity criteria of the fiduciary standards will be assessed along with the aforementioned three criteria.



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