



**ADAPTATION FUND**

AFB/PPRC.25-26/5  
21 October 2019

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Adaptation Fund Board  
Project and Programme Review Committee

**SOUTH-SOUTH COOPERATION (SSC) GRANT PROPOSAL  
TO SUPPORT NATIONAL IMPLEMENTING ENTITY  
ACCREDITATION FOR BOTSWANA**

## 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 its twenty-third meeting, the Board had decided through decision B.23/26 to approve “the execution arrangements, criteria/eligibility criteria to allocate the funds to the accredited implementing entities for specific activities”, contained in document AFB/B.23/5, which included grants for technical assistance and South-South Cooperation (SSC). Annex I to document AFB/B.23/5 presented an application form through which implementing entities could submit proposals for SSC grants.

3. Based on the Board Decision B.23/26, the first call for readiness project proposals was issued in May 2014 and eligible countries were given the opportunity to submit applications for a readiness grant.

4. At the tenth session of the Conference of the Parties serving as the 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**

5. 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:

*Approve 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)**

6. At its twenty-seventh meeting, the Board decided to integrate the Readiness Programme into the Adaptation Fund (the Fund) work plan and budget and set aside funding for small grants to be directly transferred from the resources of the Adaptation Fund Trust Fund. At this meeting, the Board decided to:

- a) Take note of the progress report for phase II of the Readiness Programme;*
- b) Integrate the Readiness Programme into the Adaptation Fund work plan and budget; and*
- c) Approve the proposal for the Readiness Programme for the fiscal year 2017 (FY17), comprising its work programme for FY17 with the funding of US\$ 616,500 to be transferred to the secretariat budget and US\$ 590,000 for direct transfers from the resources of the Adaptation Fund Trust Fund for allocation as small grants.*

**(Decision B.27/38)**

7. According to Board Decision B.28/30, a readiness project proposal can be submitted for consideration by the Project and Programme Review Committee (PPRC) and decision by the Board at its regular meetings and can also be submitted for review during an intersessional period of less than 24 weeks between two consecutive Board meetings.

8. Following Decision B.33/49 by the Board to approve the secretariat work schedule and work plan for fiscal year 2020 as contained in document AFB/EFC.24/7, the secretariat launched a call for project proposals intersessionally between the thirty-third and thirty-fourth meetings of the Board and eligible countries were given the opportunity to submit applications

for a SSC grant to receive support for accreditation through a selected number of eligible national implementing entities (NIEs).

9. The size of the SSC grant could be up to a maximum of US\$ 50,000 per country as outlined in document AFB/B.27/7, and the eligible support could include but was 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.

10. Eligible NIEs to provide peer support were those entities that had tangible achievements with the Fund. The selection was based on the accredited 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 24-25 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.

11. The present document introduces the SSC grant project proposal submitted by the National Environment Management Authority (NEMA) of Kenya on behalf of the government of Botswana. It includes a request for funding of US\$ 50,000 outlining the activities to be undertaken by NEMA to support the accreditation process in Botswana.

12. The secretariat carried out a technical review of the project proposal and completed a review sheet.

13. In accordance with a request to the secretariat made by the Board in its 10th meeting, the secretariat shared this review sheet with NEMA, and offered them the opportunity to provide responses before the review sheet was sent to the PPRC.

14. The secretariat is submitting to the PPRC pursuant to decision B.17/15, the final technical review of the project, both prepared by the secretariat, along with the final submission of the proposal in the following section. In accordance with decision B.25.15, the proposal is submitted with changes between the initial submission and the revised version highlighted.



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## ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT PROPOSAL UNDER THE READINESS PROGRAMME

PROJECT CATEGORY: South-South Cooperation Grant

South-South support recipient Country: **Botswana**Accredited Implementing Entity: **National Environment Management Authority (NEMA)**AF Project ID: **BWA/NIE/SSC/2019/1/Readiness**Requested Financing from Adaptation Fund (US Dollars): **50,000**Reviewer and contact person: **Farayi Madziwa**Co-reviewer(s): **Cristina Dengel**IE Contact Person: **Wangare Kirumba**

Review Criteria	Questions	Comments 20 September 2019	Comments 10 October 2019
Country Eligibility	1. Is the country that does not yet have an accredited NIE a Party to the Kyoto Protocol?	Yes	
Eligibility of IE	1. Is the project submitted through an Implementing Entity accredited by the Board?	Yes	
	2. Is the project submitted through an accredited NIE eligible to provide South-South support?	Yes	
Project Eligibility	1. Has the designated government authority for the Adaptation Fund in the country seeking accreditation endorsed the project?	No. No letter of endorsement has been submitted.  <b>CAR1:</b> Please submit a letter of endorsement on official letterhead and signed by the Designated Authority for Botswana.	Addressed

	<p>2. Are the proposed activities to support NIE accreditation adequate?</p>	<p>For the most part, yes. It should be noted that the South-South Cooperation (SSC) grant should lead to the submission by the recipient of peer support, of a complete application for accreditation to the Board. However, it is not clear at what stage in the accreditation process the government of Botswana is, nor what kind of challenges were discussed between the DA or government and NEMA that need to be addressed. Following submission of a complete application for accreditation, it is expected that there would be feedback from the Accreditation Panel. It is not clear whether NEMA intends to provide some guidance to this initial feedback by the AP.</p> <p><b>CR1:</b> Please provide a brief description of where in the accreditation process the recipient of support is, and a brief overview of the challenges they are facing as identified through initial discussion between NEMA and the recipient of support (an indication of whether gaps to be addressed through this support have been identified). Please also highlight which proposed activities would seek to address these challenges.</p> <p><b>CR2:</b> Please indicate at what time the recipient of support would be expected to submit a complete application for accreditation and consider setting aside a small provision for at least a one-time support post review of the submitted application by the AF Accreditation Panel.</p>	<p>Addressed</p> <p>Addressed</p>
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Resource Availability	1. Is the requested project funding within the cap for South-South Cooperation grants set by the Board?	Yes	
	2. If the implementing entity has requested, is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme budget before the fee?	No fee has been requested	A fee of US\$ 3,800 has been included and is within the 8.5% cap for Implementing Entity Management Fees.
Implementation Arrangements	1. Is the timeframe for the proposed activities adequate?	Unclear: Since the initial challenges the recipient of support is facing have not been included, it is unclear whether the timeframe indicated will be adequate. Please see CR1 and CR2	Addressed
	2. Is a summary breakdown of the budget for the proposed activities included?	Yes	
Secretariat's Overall Comment	<p>The National Environment Management Authority (NEMA) of Kenya, as an accredited national implementing entity (NIE) of the Adaptation Fund, proposes to provide peer support to the government of Botswana during the application process for accreditation of an NIE in Botswana. NEMA intends to provide support by holding meetings, an in-country workshop, and a training workshop.</p> <p>The initial technical review found that the proponent had not submitted a letter signed by the Designated Authority of the recipient of the peer support endorsing the proposed project. In addition, the proposal had not clarified the current status in the accreditation process the recipient of peer support was, the challenges they were encountering in the process nor how those challenges would be addressed. Last, the proposal had not clarified if the proposed budget had included a set aside to provide support following review of the submitted complete application for accreditation by the Fund's Accreditation Panel.</p> <p>The final review finds that the revised proposal has sufficiently addressed the clarification and corrective action requests made in the initial technical review.</p>		
Date:	10 October 2019		



## ADAPTATION FUND

## Application for South South Cooperation Grant to support NIE accreditation

Submission Date: 05.09.2019

Adaptation Fund Grant ID:

Country/ies: Botswana

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

**A. Timeframe of Activity**

Expected start date of support	01 JAN 2020
Completion date of support	30 JUNE 2020

**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 support	Country/institution supported
2017 – 2019	<p>NEMA received south south grants to support the Environmental Management Agency (EMA) of Zimbabwe, as the nominated institution pursuing accreditation on behalf of Government of Zimbabwe and Malawi Environment Trust Fund (MEET) that was nominated for Accreditation by the government of Malawi</p> <p>The support was to:</p> <ul style="list-style-type: none"> <li>a) Engage high level government officials to secure commitment from both countries to execute the Adaptation Fund South to South grant towards achieving accreditation for EMA and MEET.</li> <li>b) Technical support to identify and develop governance tools that meet the AF policies and guidelines standards.</li> <li>c) Share knowledge and experiences of the AF Programme design and implementation.</li> </ul>	EMA, Zimbabwe got AF Accreditation in 2019.	Zimbabwe



<p>16th – 21st Sept. 2013</p>	<p>NEMA hosted a high level delegation on a learning mission from NEMC Tanzania to exchange knowledge on climate change adaptation.</p>	<p>Exposure to the various experiences under the theme of climate change adaptation in NEMA and in other ministries and institutions.</p>	<p>Tanzania</p>
<p>16th and 18th March 2017</p>	<p>NEMA Mentored the Environmental Management Agency (EMA) from Zimbabwe and the Malawi Environmental Endowment Trust (MEET) Malawi.</p> <p>The mentoring started with a high level activity to ensure high level government interactions, between the participating countries.</p>	<p>This high level engagement:</p> <ul style="list-style-type: none"> <li>Secured commitment from both countries to execute the Adaptation Fund South to South grant towards achieving accreditation for EMA and MEET</li> </ul>	<p>Zimbabwe Malawi</p>

<p>Nairobi on 27-29 Nov. 2017</p>	<p>Workshop held in Nairobi with Malawi and Zimbabwe teams. The objective was to:</p> <ol style="list-style-type: none"> <li>1. Mentor MEET and EMA review their existing systems, procedures and documents.</li> <li>2. Support in the identification of documents for accreditation submission and</li> <li>3. Develop an action plan for gaps that needed to be addressed.</li> </ol>	<p>Environmental Management Agency (EMA) and Malawi Environment Trust Fund (MEET) achieved the following from the workshop.</p> <ol style="list-style-type: none"> <li>1. Gained skills and knowledge on how to review their existing systems, procedures and documents.</li> <li>2. EMA &amp; MEET resubmitted documentations as required by the AF Board.</li> <li>3. EMA and MEET initiated processes and integrated their internal policies to be in line with the national frameworks for resubmission to AF accreditation panel.</li> <li>4. EMA initiated engagement with the Zimbabwe's financial Department/ Focal Point/ DA.</li> </ol>	<p>Zimbabwe Malawi</p>
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<p>5 - 7 March 2019</p>	<p>Training workshop took place to assist EMA and MEET develop governance tools that meet the AF policies and guidelines standards.</p> <p>NEMA also shared knowledge and experiences on programme design process that meet AF eligibility criteria</p>	<p>The following are the learning outcomes and strategic direction:</p> <p><b>Learning Outcomes</b></p> <ol style="list-style-type: none"> <li>1. Gaps identified during workshop held during workshop held in November 2017 were addressed. The two institutions were able to identify the documents required.</li> <li>2. Operational policies and governance tools that were not in place were developed and those in place that needed review were revised.</li> <li>3. Reviewed documents were resubmitted to AF accreditation panel for consideration.</li> <li>4. EMA designated a focal person to deal with accreditation issues on daily basis</li> </ol>	<p>Zimbabwe Malawi</p>
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**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)
MEETINGS	<p>Commitments between Kenya and Botswana DAs, and NEMA, on the roadmap on how to execute the mentorship programme</p> <p>Botswana DA has identified Botswana innovation hub as the institution that will be Botswana NIE.</p> <p>This organisation has not submitted an initial accreditation application. Therefore, the initial support from NEMA will be to undertake a gap analysis at Botswana Innovation hub, and thereafter support them in developing their accreditation application</p> <p>The proposed in-country workshops, and trainings will be the main activities that will address the identified challenges. The main participants in this workshop will be internal stakeholders, who are the operational heads of key departments like the finance, Internal Audit, Procurement, Technical services, Administration</p> <p>The challenge the institution is facing is to realign their policies with the AF Policies and guidelines. A Gender policy will also have to be developed and an implementation strategy on its implementation formulated. NEMA will provide technical support to develop the gender policy.</p> <p>The existing policies at the Institution will also require to be aligned with the AF Policies and guidelines. With the south south grant, NEMA's experience and technical expertise will help to review the existing documents to meet the AF standards.</p>	Botswana	12000	Jan 2020

IN COUNTRY WORKSHOP	<ul style="list-style-type: none"> <li>Action plan for managing accreditation application process developed.</li> <li>Gap analysis and Action plan for gaps (if they exist) in place</li> <li>Reviewed systems, procedures and documents in place.</li> <li>Submission of documents for accreditation application for Botswana Innovation Hub.</li> </ul> <p>NEMA plans to carry out the mentorship programme within nine months. By the fourth month of the programme, the Botswana NIE should have submitted their accreditation application. The institution will submit the complete application four months into the support period i.e. in April 2020 if the grant is approved before the proposed start date (January 2020).</p>		14000	Mar 2020
TRAINING WORKSHOP	<ul style="list-style-type: none"> <li>Governance tools: on financial risk management, grievance redress management, social safeguards, gender, anti - corruption, M&amp;E in place</li> <li>NEMA, in her mentorship programme with Zimbabwe, developed a training module/materials for accreditation support. NEMA intends to use these materials to train interested NIE applicants.</li> </ul>		14000	May 2020
Post review of the submitted application by the AF Accreditation Panel.	<ul style="list-style-type: none"> <li>Submission of a revised application for AF accreditation consideration</li> </ul>		6200	May 2020
Other type of support requested (please describe)	<ul style="list-style-type: none"> <li>Implementing Entity Management Fee (8.5%)</li> </ul>		3800	Throughout the project period
<b>Total Grant Requested (USD)</b>			<b>50000</b>	

#### D. Implementing Entity

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

Head of Implementing Entity	Signature	Date (Month, day, year)	Implementing Entity	Telephone	Email Address
Wangare Kirumba Head, AF/GCF Programmes  National Environment Management Authority (NEMA) Kenya	Wangare	06.09.2019	Wangare Kirumba	+254712815514	<a href="mailto:wkirumba@nema.go.ke">wkirumba@nema.go.ke</a> wangarekirumba4@gmail.com

**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>(Enter Name, Position, Ministry)</i>	<i>Date: (Month, day, year)</i>
Botswana Meteorological Services B. J. Gopolang Chief Meteorologist and Designated Authority bgopolang@gmail.com Botswana	27 <sup>th</sup> September 2019

