



ADAPTATION FUND

AFB/B.35.a-35.b/23  
7 October 2020

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Adaptation Fund Board

## **REPORT OF THE THIRTY-FOURTH 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. For the first time, due to COVID-19-related challenges, the Panel held its thirty-fourth meeting in a virtual manner on 9–10 September 2020. The Chair of the Accreditation Panel Ms. Eleonora Cogo (Italy, Western Europe and Others) presided over the meeting.

2. For the thirty-fourth Panel meeting, the Adaptation Fund Board Secretariat (the secretariat) has received 3 new accreditation applications for 2 potential National Implementing Entities (NIEs) and 1 potential Multilateral Implementing Entity (MIE). The Panel has continued reviewing 12 re-accreditation applications (6 NIEs, 1 RIE and 5 MIEs) and 13 accreditation applications of 9 potential NIEs, 3 potential RIEs and 1 potential MIE that were previously reviewed but required additional information for the Panel's review. Four NIE candidates' applications have been dormant as of June 2020. Therefore, in accordance with Board Decision B.31/26, the secretariat sent the first letters of notification to the Designated Authorities (DAs) of two of the dormant NIE applicants informing them of the inactivity of the applicant entities on 25 June 2020. On the same date, the second and third letters of notification were also sent separately to the DAs of the two others dormant NIE applicants entities informing them of the inactivity of the applicant entities.

3. After considering the recommendations by the Panel, the Board had intersessionally approved during the period from 20 March 2020 to 1 October 2020: accreditation of the Interprofessional Fund for Agricultural Research and Advice (FIRCA) as NIE of Côte d'Ivoire (Decision B.35.a-35.b/2); fast-track re-accreditation of the World Food Programme (WFP) as MIE of the Fund (Decision B.35.a-35.b/8); fast-track accreditation of the Food and Agriculture Organization (FAO) as MIE of the Fund (Decision B.35.a-35.b/34); fast-track re-accreditation of the Corporación Andina de Fomento (CAF) as RIE of the Fund (Decision B.35.a-35.b/43); and re-accreditation of the United Nations Human Settlements Programme (UN-Habitat) as MIE of the Fund (Decision B.35.a-35.b/78).

4. As of the thirty-fourth meeting of the Panel, 13 accreditation applications, comprising of 9 potential NIEs, 3 potential RIEs, and 1 potential MIE were under review by the Panel as per the following list. For purposes of confidentiality, the assigned code is used to report on the status of each nominated Implementing Entity's application.

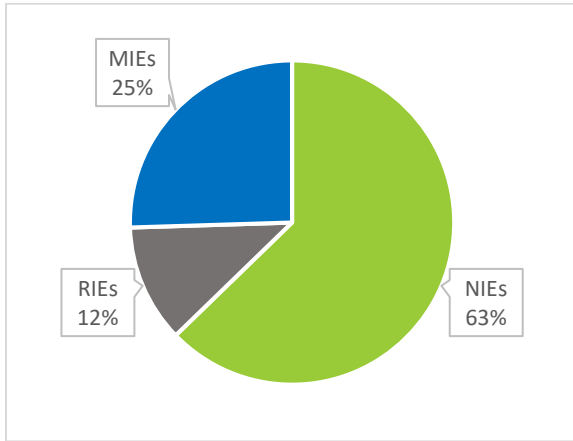
1. National Implementing Entity NIE018
2. National Implementing Entity NIE046
3. National Implementing Entity NIE057
4. National Implementing Entity NIE065
5. National Implementing Entity NIE066
6. National Implementing Entity NIE113
7. National Implementing Entity NIE133
8. National Implementing Entity NIE140
9. National Implementing Entity NIE142
10. Regional Implementing Entity RIE008

- 11. Regional Implementing Entity RIE016
- 12. Regional Implementing Entity RIE017
- 13. Multilateral Implementing Entity MIE015

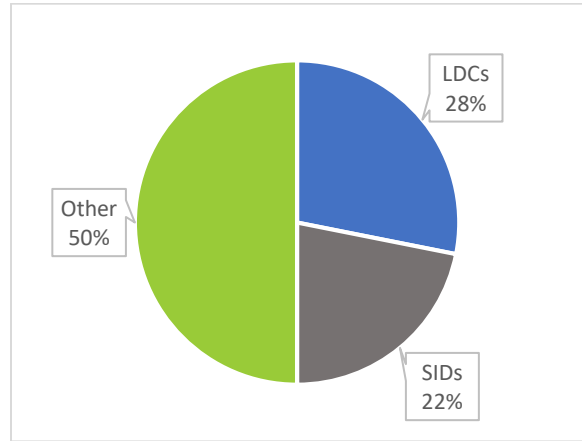
**GENERAL TRENDS**

5. As at 1 October 2020, the total number of accredited implementing entities amounted to 51: 32 NIEs, 6 RIEs, and 13 MIEs (Figure 1). Among the 32 NIEs, there were 9 accredited NIEs that were from Least Developed Countries (LDCs) and 7 accredited NIEs that were from Small Islands Developing States (SIDS) (Figure 2). Out of the 51 accredited implementing entities of the Adaptation Fund (the Fund), 27 entities (53%) had been re-accredited: 12 NIEs, 4 RIEs and 11 MIEs. With respect to the geographic coverage of the 32 NIEs and 6 RIEs, 14 entities were from Latin America and the Caribbean, 15 were from Africa, 8 were from Asia-Pacific and 1 entity was from Eastern Europe (Figure 3).

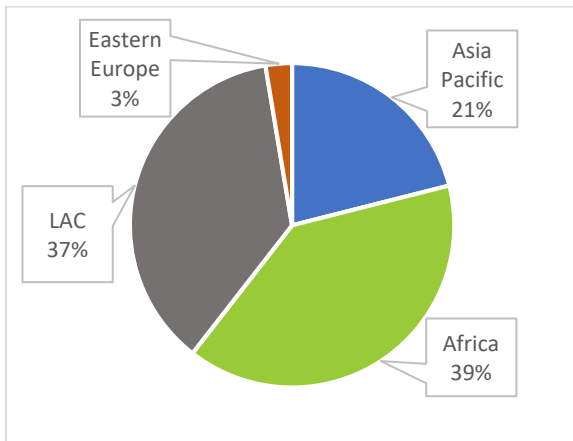
**Figure 1. Accredited Implementing Entities by type**



**Figure 2. LDCs and SIDS among accredited NIEs**



**Figure 3. Accredited NIEs and RIEs by region**



## ACCREDITATION PIPELINE

6. The following infographic (figure 4) provides an update on the current accreditation pipeline which does not include re-accreditation applications.

Figure 4. The accreditation pipeline of the Adaptation Fund as of 1 October 2020.



**STATUS OF APPLICATIONS UNDER REVIEW**

	<b>SUBMISSION OF APPLICATION</b>	<b>REFERENCE FOR BACKGROUND INFORMATION</b>	<b>CURRENT STATUS</b>
<b><u>EXISTING APPLICATIONS</u></b>			
NIE018	Aug-18	Doc. AFB/B.35.a-35.b/7	Following the receipt of evidence documents from the applicant, the Panel completed its initial review and produced a list of pending questions which was shared with the applicant on 26 August 2019. On 20 February 2020, the applicant uploaded some documents in response to the issues raised by the Panel. The secretariat is awaiting further submissions from the applicant, after which the Panel will resume the review process.
NIE046 (Dormant Application)	Dec-12	Doc. AFB/B.35.a-35.b/7	After an extended period of no response from the applicant on the latest set of questions from the Panel, the secretariat, in accordance with Decision B.31/26, sent the first letter to the DA informing the inactivity of the entity on 25 June 2020. On 9 July 2020, the secretariat received a response from the applicant expressing its dissatisfaction with the Panel review process based on the impression that the Panel has been adding requirements and requested withdrawal from the AF online system. As this was the first time the applicant had been notified of its dormant status, the secretariat replied to the applicant offering further clarifications. The Panel's October 2019 list of residual questions was subsequently shared with the applicant on 31 July 2020. The applicant acknowledged receipt on 2 August 2020. As at the time of the AP34 meeting, no further updates have been received from the applicant.
NIE057	Apr-14	Doc. AFB/B.35.a-35.b/7	The application had been in "dormant status" for over 15 months from 22 May 2018 to 28 August 2019. The accreditation Panel review process resumed with the submission of some supporting documentations on 25 March and 13 May 2020. Following the secretariat's request for updates on 1 July 2020, the applicant replied on 7 July 2020 advising that the team is working towards obtaining internal approvals to recommence the accreditation process. On 15 September 2020, the secretariat shared with the applicant the Panel's updated list of outstanding information and documents. No further updates have been received from the applicant.

NIE065	Aug-18	Doc. AFB/B.35.a-35.b/7	After the submission of further documents by the applicant on 7 March 2019, the Panel continued the review process and shared a list of pending questions with the applicant on 16 April 2020. Upon the request of the Panel, the secretariat facilitated a virtual call on 22 April 2020 with a reference provided by the applicant. On 23 April 2020, the secretariat received a request from the applicant to be considered for the streamlined accreditation approach. After satisfactory review of the request, the secretariat confirmed that the application proceed as streamlined on 5 May 2020. In response to the Panel's subsequent questions dated 22 May 2020, the applicant uploaded several documents to the accreditation workflow on 21 August 2020. Upon review of the documents, the Panel updated its report and produced a list of further requests which was sent to the applicant on 31 August 2020. No updates have so far been received.
NIE066 (Dormant Application)	Apr-15	Doc. AFB/B.35.a-35.b/7	In accordance with Decision 31/26, the secretariat sent the second letter to the DA informing the inactivity of the applicant entity on 25 June 2020. On 26 June 2020, the secretariat received a reply from the applicant confirming receipt of the second dormant application notification and plans to get back to the secretariat on the pending questions. As of 2 September 2020, the application was no longer in "dormant application status", following the submission of some documents to the Accreditation workflow in response to the outstanding issues. The Panel has since been notified about the progress of the applicant.
NIE113 (Dormant Application)	Dec-15	Doc. AFB/B.35.a-35.b/7	Despite several attempts by the secretariat to ascertain the progress of the application process, the applicant's response to the Panel's questions shared on 13 May 2019 is still pending. In accordance with Decision B.31/26, the secretariat sent the first letter to the DA informing the inactivity of the entity on 25 June 2020. In July 2020, the secretariat received updates from the focal point reiterating their interest to prioritize the accreditation process. As of the AP34 meeting, no further responses have been received from the applicant.
NIE133 (Dormant Application)	Feb-17	Doc. AFB/B.35.a-35.b/7	In accordance with Decision B.31/26, the secretariat sent the first letter to the DA informing the inactivity of the entity on 19 June 2019; the second letter on 30 January 2020; and the third letter on 25 June 2020. As of the AP34 meeting, no responses have been received from the DA or the applicant.
NIE140	Sept-19	Doc. AFB/B.35.a-35.b/7	The secretariat shared the Panel's list of initial questions with the applicant on 11 November 2019. Despite regular follow-up requests for updates, the secretariat has received no responses. The focal point was on maternity leave until January 2020 and no backup arrangements were activated. Thereafter, the Ministry has cited delays in response due to the COVID-19 pandemic. On 25 June 2020, the secretariat organized a virtual call with the focal person to assess the status of work on the responses, followed by a request for updates on 23 September 2020. No responses have so far been received.

NIE142	Feb-19	Doc. AFB/B.35.a-35.b/7	The applicant uploaded some documents to the Accreditation workflow in February 2020 after the secretariat requested for updates. Upon further review by the Panel, a list of follow up questions was sent to the applicant in March 2020. In June and July 2020, the secretariat requested updates from the applicant, followed by a virtual call on 26 August 2020 to offer clarifications on the pending issues, and help the applicant navigate the online submission system. In late August 2020, the applicant uploaded some documents in response to the latest issues raised by the Panel.
RIE008	Jan-14	Doc. AFB/B.35.a-35.b/7	Since the AP33 meeting, the secretariat continued to seek updates from the applicant on its progress with the accreditation application. A call between the secretariat and the applicant was held on 1 April 2020 to offer clarifications on the outstanding issues and provide guidance on how to navigate the online submission system. The applicant uploaded several documents in late April 2020. Upon further review by the Panel, a list of follow up questions were shared with the applicant on 23 September 2020.
RIE016	Mar-17	Doc. AFB/B.35.a-35.b/7	In response to the Panel's list of questions, the applicant uploaded several documents to the Accreditation workflow on 21 November 2019. Upon the Panel's review, the secretariat shared the fifth list of questions with the applicant on 2 December 2019. After following up with the applicant for updates, the focal point replied to the secretariat on 7 August 2020, indicating that the operations of the organization had been impacted by the COVID-19 pandemic and that they are unable to provide timely response to the latest questions.
RIE017	Jan-19	Doc. AFB/B.35.a-35.b/7	In response to the issues raised by the Panel, the applicant submitted further updates and documents in March and April 2020. After review, the Panel updated its report and produced a list of additional questions which the secretariat shared with the applicant on 10 August 2020. The applicant responded to the Panel's latest questions and uploaded further documents to the workflow in mid-September 2020. The last correspondence with the applicant was on 23 September 2020, when the Panel shared the latest list of questions and requested that a phone conference discussion be organized among the Panel, the secretariat and the applicant to offer further clarifications on the pending issues.
MIE015	Dec-19	N/A	Applicant submitted the application on 20 December 2019, and then after screening by the secretariat, the application was passed onto the Panel for their initial review on 27 December 2019. The secretariat shared the Panel's initial review and follow-up questions with the applicant on 29 January 2020 and 13 July 2020 respectively. The secretariat informed the applicant about its eligibility for Fast Track Accreditation with the Fund. Subsequently, the Panel's latest set of questions was amended and reshared with the applicant on 3 September 2020. The applicant provided responses to the latest questions from the Panel and uploaded the requested documents to the Accreditation workflow on 7 September 2020.
<b><u>RE- ACCREDITATION</u></b>			

NIE016	Aug-16	Doc. AFB/B.35.a-35.b/7	Accreditation expired on 13 December 2016. In response to the Panel's follow up questions shared with the applicant in November 2019, the applicant provided further updates in early January 2020, though not as comprehensive as expected. In mid-January, the secretariat facilitated a conference call with the Panel to help clarify the gaps the Panel had identified, after which further detailed follow up notes was shared with the applicant on 23 January 2020, covering all accreditation criteria. In response, the applicant uploaded some documents in February 2020, which did not move forward the application in a substantive manner. On 18 March 2020, the applicant submitted an official request for a grace period to achieve re-accreditation, which the Board approved intersessionally through Decision B.35.a-35.b/32, until 13 January 2022. Regarding the next steps, the Panel plans to produce a further detailed review, with explanations and questions to support the applicant complete the re-accreditation process in time.
NIE034	Aug-19	Doc. AFB/B.35.a-35.b/7	Accreditation expired on 12 August 2019. In response to the Panel's second list of questions shared with the applicant in August 2019, the applicant uploaded some documents on 13 April 2020. After reviewing the documents, the Panel maintained that, among others, the main issue with the applicant relates to the criteria of section II-4 of the re-accreditation application form. A third set of questions was produced by the Panel which was shared with the applicant on 12 June 2020. In response to a request for update from the secretariat, the focal person indicated that they were still compiling responses and that the latest COVID-19 measures and instructions from the Government prevent them from working more expediently. The Panel expressed concerns about the ability of the applicant to meet the criteria in Section II-4 of the re-accreditation application form and plans to conduct a detailed assessment of the application, which would be shared with the secretariat in due course.
NIE037	Jan-19	Doc. AFB/B.35.a-35.b/7	Accreditation expired on 18 November 2017. After the submission of the re-accreditation application in January 2019, the secretariat completed screening and moved it onto the Panel's review stage on 20 February 2019. The Panel completed the initial review and prepared a list of questions to be addressed by the applicant, followed by a conference call on 2 December 2019 to seek updates and offer clarification on the requested documents. After a request for updates from the secretariat, the applicant uploaded several documents on 30 March 2020 to the Accreditation workflow. The Panel has since resumed assessment of the application and plans to share its report for comments.
NIE039	Feb-20	NA	Accreditation expired on 9 April 2020. The application was submitted on 18 February 2020. After screening by the secretariat, the Panel began its review on 28 April 2020. On 28 July 2020, the secretariat shared the Panel's initial list of questions with the applicant. No further updates or responses have been received from the applicant as at the time of the AP34 meeting.



NIE042	Jun-18	Doc. AFB/B.35.a-35.b/7	Since the AP 33 meeting, no updates have been received from the applicant despite several requests from the secretariat. The last correspondence with the applicant was on 31 August 2020 when the applicant sought guidance on how to upload pending documents to the Accreditation workflow. As of 1 September 2020, the applicant had uploaded two documents to the online system in response to the Panel's outstanding questions.
NIE051	Jan-20	Doc. AFB/B.35.a-35.b/7	Accreditation expired on 30 July 2020. The applicant submitted the application on 23 January 2020. After screening by the secretariat, it was passed on to the Panel for initial review. The Panel produced a list of initial questions which the secretariat shared with the applicant on 28 April 2020. Upon the receipt of updates and requested documents from the applicant in June 2020, the Panel resumed its assessment and raised additional questions which were shared with the applicant on 18 August 2020. Upon the applicant's submission of the requested information on 27 August 2020, the Panel updated its report and shared it with other Panel members for comments.
RIE012		N/A	Accreditation expires on 8 October 2020. The secretariat has continued to correspond with the applicant regarding the progress of the application, including a call with the applicant in February 2020. The applicant submitted the application on 9 September 2020, and it is currently being screened by the secretariat.
MIE002	Mar-20	N/A	Accreditation expired on 30 March 2020. Applicant submitted the application on 24 March 2020. After screening by the secretariat, the application was shared with the Panel for review on 8 April 2020. The Panel produced a set of questions which were shared with the applicant in May 2020, followed by a conference call among the Panel, the secretariat and the applicant on 7 May 2020 to provide clarifications on the pending issues. Initial drafting of the report to the Panel was put on hold, pending discussions regarding the resolution of the lack of the letter of commitment to abide by the AF E&S and Gender policies.
MIE003	Apr-20	N/A	Accreditation expired on 30 July 2020. Applicant submitted the application on 29 April 2020, and then after screening by the secretariat, the application was passed onto the Panel for their initial review on 12 May 2020. On 14 July 2020, the secretariat shared the Panel's initial list of questions with the applicant, followed by a conference call on 11 August 2020 with the focal point and other officials to discuss the letter of commitment requirement and some other issues raised by the Panel in the questions sent. On 1 September 2020, the secretariat received updates from the applicant to the Panel's latest questions. Initial drafting of the report to the Panel was put on hold, pending discussions regarding the resolution of the lack of the letter of commitment to abide by the AF E&S and Gender policies.

MIE006	Dec-19	Doc. AFB/B.35.a-35.b/7	Following the initial review, the Panel produced a list of questions which was shared with the applicant in February 2020. On 11 May 2020, the applicant uploaded several documents in response to the Panel's questions. After review of the documents, the Panel produced a second set of questions which was shared with the applicant in late August. Upon receipt of updates from the applicant on 4 September 2020, the Panel drafted its report and shared it with other Panel members for comments.
MIE007	Sept-19	Doc. AFB/B.35.a-35.b/7	Accreditation expired on 30 March 2020. The application was submitted on 7 September 2019. After screening by the secretariat, it was passed on to the Panel on 20 September 2019 for initial review, which the Panel completed on 23 October 2019 and produced a list of questions to be addressed by the applicant. Following the receipt of updates from the applicant, a meeting was held in DC in December 2019 to discuss, among other things, the lack of the letter of commitment to the AF E&S and Gender policies. The Panel circulated the first draft of the report to the other Panel members for comments and shared follow up questions on AML/CFT with the applicant in February 2020. Initial drafting of the report to the Panel was put on hold, pending discussions regarding the resolution of the lack of the letter of commitment to abide by the AF E&S and Gender policies.
MIE011	Mar-19	Doc. AFB/B.35.a-35.b/7	Accreditation expired on 20 March 2019. Applicant submitted the application on 15 March 2019, and then after screening by the secretariat, the application was passed onto the Panel for their initial review. Panel review started in October 2019, and emails were sent to and responses received back from the applicant in November 2019. A conference call among the Panel, the secretariat and the applicant's representatives was held in December 2019 to discuss the lack of the letter of commitment to abide by the AF E&S and Gender policies. Afterwards, various emails were exchanged with the applicant in February, March, and August 2020. Initial drafting of the report to the Panel was put on hold, pending discussions regarding the resolution of the lack of the letter of commitment to abide by the AF E&S and Gender policies.

## OTHER MATTERS

7. **Discussion on the review of Section 10.b of the application form, related to applicant institution's anti-money laundering and countering the financing of terrorism (AML/CFT) internal controls, as part of the re-accreditation process as per AF Board Decision B.34/3:** This discussion is related to the Panel's request for clarification on whether they should, in the process of reviewing fast-track re-accreditation applications, continue to look at elements of fraud, financial mismanagement and investigation function together with the policies and procedures related to AML/CFT or just focus on the three criteria listed in paragraphs 21 and 22 of the Re-accreditation Process approved by the Board (Decision B.34/3) at the 34th meeting in October 2019 (AFB/B.34/.5). The Panel suggested that a review be conducted by the secretariat to provide

further clarity on paragraphs 21 and 22, and the current practice for the Panel's review of fast-track re-accreditation applications to ensure the review is in line with Decision 32/36.

**8. Discussion on possible process for Panel's review upon the request (to be made before re-accreditation) of re-evaluation of conditions attached to the accreditation of Implementing Entities under the streamlined process:** This agenda item is related to the Fund's Streamlined Accreditation Process (Ref. Document AFB/EFC.16/7/Rev.1), and was intended to help the Panel understand two issues: (i) whether an entity initially accredited under the streamlined process can be considered for re-accreditation under the streamlined approach; and (ii) whether an entity initially accredited under the regular accreditation route can be considered for re-accreditation under the streamlined approach based on the Panel's assessment of the applicant's eligibility for the streamlined accreditation process. In line with paragraph 15 of Document AFB/EFC.16/7/Rev.1, the secretariat explained that the streamlined accreditation process was originally designed for accreditation. The Panel was of the view that it is up to the Board to consider and decide whether the streamlined approach can apply to re-accreditation application. The secretariat reiterated that the streamlined approach is linked to, among others, funding limitation and projects under implementation by the concerned IEs, and consequently maintained that any re-evaluation of conditions attached to the accreditation of IEs under the streamlined process should be country-driven and be based on the capacity of IEs to be assessed by the Panel.

**9. Discussion on efficiency and effectiveness of the review of individual accreditation/re-accreditation applications: (i) the length of both the Report to the Panel and the length of the Note to the Board; (ii) the content of both of the reports; and (iii) the characteristics and modalities of the comments to be raised by Panel members on draft reports submitted for review:** The Panel considered and discussed a request to improve the review process for accreditation and re-accreditation applications, with focus on the resizing of the reports to the Panel and the notes to the Board with a view to enhance efficiency and effectiveness of the review process; the essential content for both documents; and ways to ensure the efficient use of references and comments in the process of preparing the Panel reports. While these concerns were considered valid, some Panel members explained that there had been new accreditation/re-accreditation requirements by the Board such as AML/CFT requirements, which necessitated expansion in the scope of the Panel review: in light of this, it is difficult or not advisable to fix maximum page limits for Panel reports and notes to the Board. The Panel agreed that the discussion had been valuable and suggested they be guided by the substance of the documents as opposed to the quantity of the pages. It was also suggested that flexibility in the length and content of the Panel reports and notes to the Board be allowed on a case-by-case basis, mindful of the specific requirements for the review of the different types of accreditation and re-accreditation applications.

**10. Discussion on the issue of the IE's/Applicant IE's High-level Environmental and Social Policy (ESP) and Gender Policy (GP) commitment letter which is a requirement for accreditation and re-accreditation with the Adaptation Fund:** The purpose for this discussion was for the secretariat to brief the Panel on the common responses it had received from some applicant entities and relevant issues regarding the requirement to provide high-level statements

to abide by the Fund's ESP and GP. The secretariat reminded the Panel that the Board would consider the matter at the next AFB meeting.

11. The thirty-fifth meeting of the Accreditation Panel will be held on 3-4 February 2021, in Washington DC or virtually, depending on how the COVID-19 situation evolves.