



ADAPTATION FUND

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Adaptation Fund Board
Project and Programme Review Committee
Twenty-seventh Meeting
Bonn, Germany (Virtual), 22-23 March 2021

Agenda item 12

REPORT ON THE READINESS SUPPORT PACKAGE PILOT

Background

1. The Adaptation Fund Board (the Board) at its twenty-first meeting had discussed the need for a programme to support readiness for direct access to climate finance for national and regional implementing entities and decided through decision B.21/28 that the overall goal of the programme would be to increase the number of accredited national implementing entities (NIEs), and to strengthen the overall capacity of NIEs.

2. At its twenty-seventh meeting the Board had decided to institutionalize the Readiness Programme and make it a more permanent feature of the Fund through Decision B.27/38, and at its thirtieth meeting subsequently reaffirmed the goal and objectives of the Readiness Programme as articulated in document AFB/B.30/8 (Readiness Programme Results Framework. Amended in October 2017) approved through decision B.30/45 as the following:

Readiness programme Goal: Increase the capacity of developing country Parties to directly access climate adaptation finance and their overall capacity to develop and initiate implementation of concrete projects and programmes that increase the resilience of vulnerable communities to the impacts of climate change

Readiness Programme Impact: Increased resilience at the community, national, and regional levels from concrete adaptation undertaken in developing countries through direct access modality.

Readiness Programme Objective (i): to increase the preparedness of applicant national implementing entities seeking accreditation by the Adaptation Fund.

Readiness Programme Objective (ii): to increase the number of high quality project/programme proposals submitted to the Board after accreditation.

3. At its twenty-ninth meeting the Board approved the Readiness Programme workplan for fiscal year 2018 as outlined in document AFB/EFC.20/7 and set aside a budget for readiness grants. Included in the budget set aside had been a grant for technical assistance through the readiness support package (the readiness package). In making the decision on the grant for the readiness package, the Board had discussed the readiness pipeline, which highlighted that out of the 151 developing countries that were Parties to the Kyoto Protocol, 126 did not yet have an NIE accredited to the Fund. These developing countries could benefit from support available through the Readiness Programme to encourage and support them to quickly advance in the process to obtain accreditation with the Fund. The Board had discussed establishing a readiness package as an additional instrument to existing support for accreditation through which developing countries could receive enhanced support for accreditation by employing a suite of tools simultaneously to advance the delivery of climate finance through Direct Access.

4. The Project and Programme Review Committee (the PPRC) considered, during the intersessional review period between the thirty-first and thirty-second meetings of the Board, a single readiness proposal to provide support for NIE accreditation to the Fund through a pilot readiness support package and considered the report of the secretariat on the initial screening and technical review of the proposal contained in document AFB/PPRC.22-23/1. Following the

technical review of the grant proposal carried out by the secretariat and the Project and Programme Review Committee (PPRC), and having considered the recommendation of the PPRC, the Adaptation Fund Board decided to:

- a) Approve the application for a grant to provide support services for the accreditation of a National Implementing Entity in Burundi and Mali as requested by the Governments of Burundi and Mali through the *Centre de Suivi Ecologique* (CSE);
- b) Approve the funding of US\$ 100,000 for the implementation of the support, as requested by CSE; and
- c) Request the secretariat to draft an agreement with CSE as the National Implementing Entity that will provide the accreditation support.

(Decision B.31-32/6)

5. This document presents a report on implementation of the readiness package pilot including a summary of the feedback obtained by the secretariat through a survey with participant implementing entities and a wider community of developing countries that may wish to obtain accreditation with the Fund for consideration by the Board.

Readiness package pilot implementation progress

6. CSE provided intermediary services¹ during the pilot phase of the readiness package. Following decision B.31-32/6 by the Board, CSE began implementation with support from the secretariat which resulted in both NIE applicants submitting complete applications for accreditation in October 2020. The implementation followed the design structure that had been articulated in document AFB/PPRC.22-23/1, approved by the Board through Decision B.31-32/6, and which is depicted in Figure 1 below.

7. It should be noted that the pilot phase of the readiness package had initially been intended to be implemented over 12 months. Due to this timeframe, demonstrating how any new policies or procedures that could have been established as a result of the technical support received through the grant was deemed to be outside the scope of the readiness package pilot as it was expected that such a process would go over the 12-month pilot period and would have to be done by the entity independent of the technical support.

¹ See document AFB/PPRC.22-23/1 for the proposal submitted by CSE

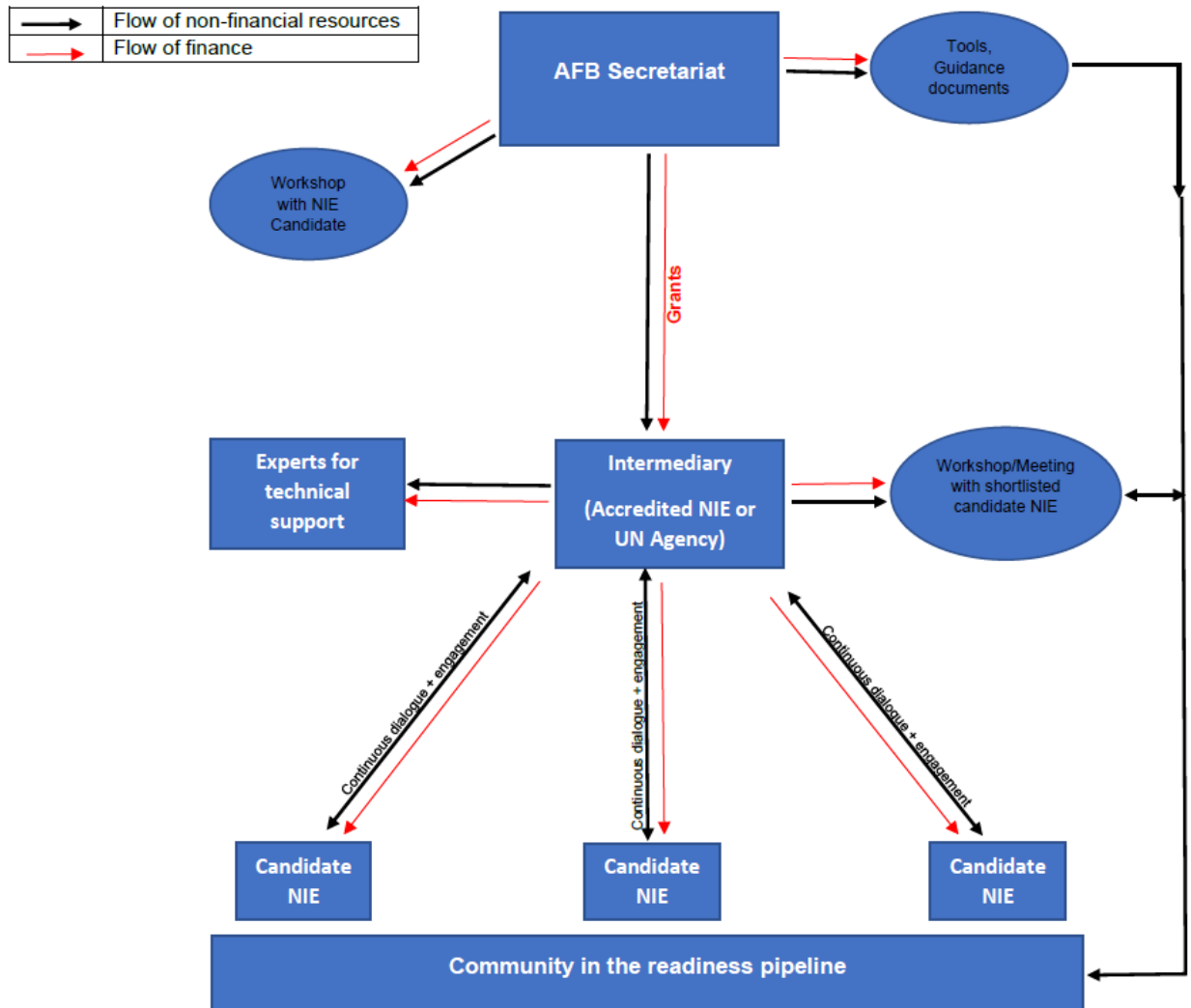


Figure 1: Design structure of the readiness support package

8. The secretariat hosted a first workshop from 4-6 April 2018 in Nairobi, Kenya in partnership with the Fund's accredited NIE for Kenya, the National Environment Management Authority (NEMA), which focused on accreditation gaps, challenges, and readiness support for enhancing Direct Access to climate finance. In addition, the secretariat had circulated the accreditation toolkit and accreditation application form to workshop participants and had continued to do so to other multiple stakeholders at Adaptation Fund hosted readiness events and other international events.

9. The secretariat, in partnership with CSE hosted a second workshop in Dakar, Senegal from 5 to 7 June 2018, which gathered; the Intermediary and the two identified NIE candidates from Burundi and Mali who would participate in the readiness package pilot as well as the experts contracted by CSE and who would provide technical support to the NIE candidates (fiduciary experts from Mazars Consulting² and governance experts from the Atraxis Group³). The

² <https://www.mazars.sn/>

³ <https://atragroup.com/en/>

objectives of the workshop were three fold: To train the trainers and familiarize experts from Mazars and Atraxis Group with the Fund's accreditation process and procedures: To enhance the confidence and capacity of the NIE candidates and the intermediary participating in the pilot phase of the readiness support package to achieve the outcomes of the pilot; and to discuss country and entity-specific challenges in the accreditation process with the Fund and possible ways to address these.

Analysis of the pilot phase

10. The secretariat had been in constant contact with CSE during implementation of the readiness package pilot. The secretariat undertook a survey with CSE, the recipients of the readiness package grant and with the non-accredited entities and designated authorities (DAs) of the Fund. The survey results and analysis are presented in Annex III of this document. All respondents to the survey agreed that pursuing accreditation with the Adaptation Fund was important for the following reasons:

- To access resources more easily and directly from the Fund;
- To enable the country to implement adaptation projects and programmes;
- To contribute to implementation of the country's nationally determined contributions as well as other strategies, policies and plans;
- To strengthen internal processes in the administration and management of external resources;
- To enable increased transparency and accountability in the management of funds;
- To give international visibility to national entities and make them more competitive in accessing limited resources from international sources;
- To strengthen the capacity of countries and help them gain experience to develop, implement and monitor adaptation projects and programs, including the assessment and evaluation of related policies, projects and programmes; and
- To shorten the project preparation, design and development process for countries through direct access.

11. Through the pilot readiness package grant, developing countries could receive enhanced support for accreditation by employing a suite of tools simultaneously as depicted in Figure 1 above, to advance the delivery of climate finance through Direct Access. The grant would address accreditation gap areas within NIE applicants that the existing South-South Cooperation (SSC) grants could not, such as the delivery of technical support for policy development, institutional restructuring and the establishment of internal processes and procedures for the entity to adequately meet the Fund's accreditation criteria.

12. Through the survey undertaken by the secretariat with participants in the readiness package pilot, the added benefits of the readiness package were identified as follows:

- Delivery of technical support through experts. As the intermediary that delivered the support, CSE highlighted the importance of the readiness package as a complement to consolidate the technical support provided through the South-South cooperation grant. The grant enabled the recruitment of fiduciary and governance experts for the preparation of documents related to fiduciary aspects, e.g., strategic plan, internal audit, and ethics manual that could not be undertaken through conventional support under SSC grants.
- Increased speed navigating the accreditation process. Grant recipients expressed that the readiness package grant enabled them to quickly put in place administrative, policy and financial documents to meet accreditation criteria and to effectively address, in a consultative process, the gaps identified during the screening and review of accreditation applications by the secretariat and the Accreditation Panel (AP).
- Strengthened South-South cooperation. The delivery of capacity-building workshops, in-country visits between the intermediary and grant recipients, and provision of guidance documents enabled participants to engage directly with secretariat staff and for peers to discuss and share specific challenges and gaps they face in navigating the accreditation process of the Fund, including possible measures to address these. Participants enhanced their knowledge and understanding of the Fund's accreditation process and procedures and the roles of different stakeholders in the process.
- Translation of supporting documentation into English. The grant made resources available to engage local translation services for the translation of supporting documents for the accreditation process.

Challenges identified during the pilot phase

13. The readiness package faced significant delays in implementation. The proposal by the intermediary was approved by the Board on 29 June 2018 and implementation began in March and April 2019 for Mali and Burundi respectively. Causes of delays in project start were due to two main reasons that are related to each other:

- (i) Replacement of the selected potential NIE for Burundi. Following the Board approval of the proposal for the readiness package grant submitted by CSE and the second readiness package workshop held by the secretariat in partnership with CSE in Dakar, Senegal, the DA for Burundi determined that the initially identified NIE for Burundi would not be able to meet the Fund's accreditation criteria. The DA had to identify and nominate a more suitable NIE, the process of which took time.
- (ii) Budget limitations which influenced the approach to delivery of support by CSE which was to roll out support to both countries simultaneously and have the commissioned experts deliver technical support to both countries concurrently so as to reduce the costs of delivery of the support. Delays in project start for one country therefore led to delays in the delivery of support for both countries.

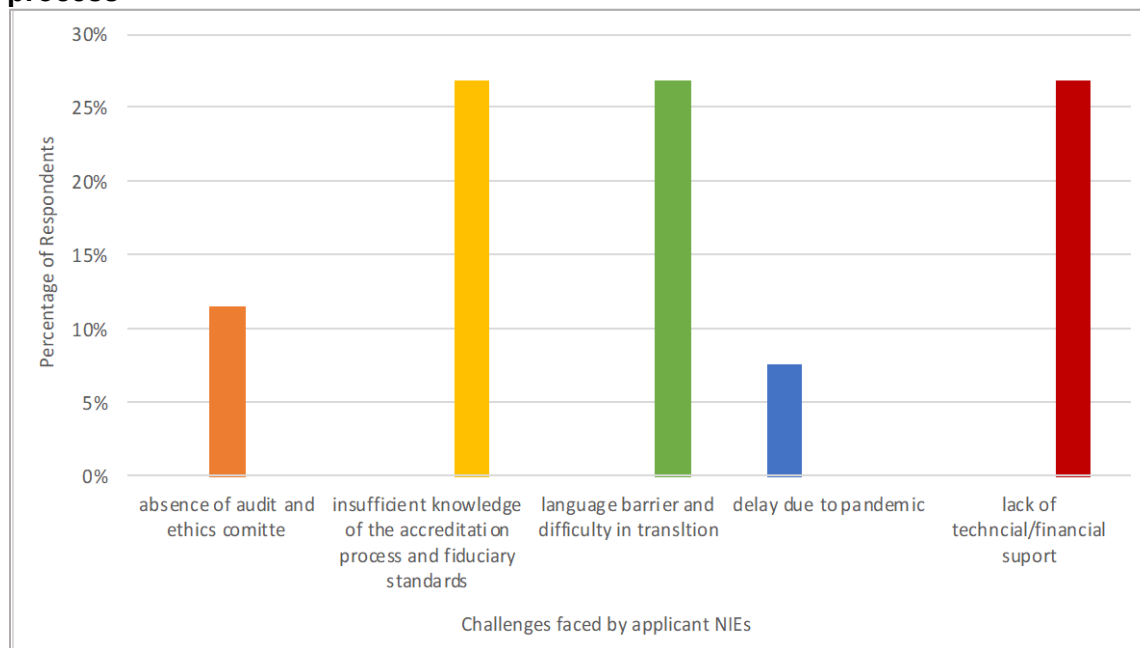
14. Significant delays were also experienced during project implementation. These delays were mostly due to:

- Change of the DA. Burundi experienced two additional changes of the DA after project start, which contributed to further delays in the nomination of a suitable NIE for the accreditation process
- Limited budget. The intermediary reported that the budget of the readiness package was limited compared to the completeness of the documents to be produced. This meant that experts hired to deliver technical support could not be deployed as effectively as expected.
- Absence of some administrative and financial support structures within the institutions navigating the accreditation process, e.g. an ethics committee and audit committee which had to be created and established for the accreditation process to continue.

General accreditation challenges mentioned by developing countries

15. The challenges faced by participants of the readiness package pilot were similar to those expressed by DAs and other entities actively navigating the accreditation process of the Fund. It should be noted that the challenges identified by the participants are very similar to those traditionally identified by the secretariat through readiness workshops, seminars and other events and which are outlined in relevant event reports⁴, including those identified in the Fund's publication: *Bridging the gaps in accreditation*⁵. The challenges faced by this group of respondents to the survey undertaken by the secretariat are presented in the figure below:

Figure 2: Accreditation challenges faced by DAs and entities navigating the accreditation process



16. The three most mentioned challenges by the respondents were language barrier; lack of financial or technical support; and insufficient knowledge of the accreditation process. Lack of

⁴ <https://www.adaptation-fund.org/readiness/news-seminars/>

⁵ Available at: <https://www.adaptation-fund.org/document/bridging-the-gaps-in-accreditation/>

financial or technical support includes the absence of certain administrative and financial procedures; along with the lack of resources/funds to have a consultation team dedicated to addressing such gaps and guiding the authorities to comply with those criteria. Insufficient knowledge included lack of understanding on the format of documents requested by the Fund, lack of knowledge in the formulation of policy manual and guidelines as well as the failure in demonstrating their capacity to comply with the fiduciary standards.

17. Other challenges identified by the respondents included lack of institutional capacity and related resources to have a team dedicated exclusively to the accreditation process; gaps or changes in institutional structures such as absence of an internal auditor, audit and ethics committee and related manuals; change in organizational structure; aligning accreditation process requirements with national legislation to unlock domestic resources to support the process, including demonstrating compliance with the Fund's environmental and social policy; gaps in required policies and manuals such as an antifraud policy, code of ethics, gender strategy, grievance management mechanism, and a project management framework; and the effects of the COVID-19 pandemic which caused delays leading to requests for extensions to prepare the manuals and related supporting documents by NIE applicants.

Support requested to address challenges

18. Respondents to the survey were then asked what kind of support they would need for their country's entity to obtain accreditation with the Fund in the shortest possible time. Responses received could be useful to inform future accreditation support by the Fund with or without the readiness package. Responses received were summarized below as follows:

- At least half of the respondents agreed that financial and technical assistance (ideally technical expertise sourced in-country) is of utmost importance to address gaps in policies, manuals and institutional procedures to meet the requirements of the accreditation process and accelerate the accreditation process, including financial support to cover the cost of consultants and the translation of documents.
- Respondents also highlighted the need for assistance to build the internal capacity of potential NIEs for required document preparation and having knowledge of the fiduciary standards, as well as support in building capacity to formulate, develop and implement projects once accreditation has been obtained.

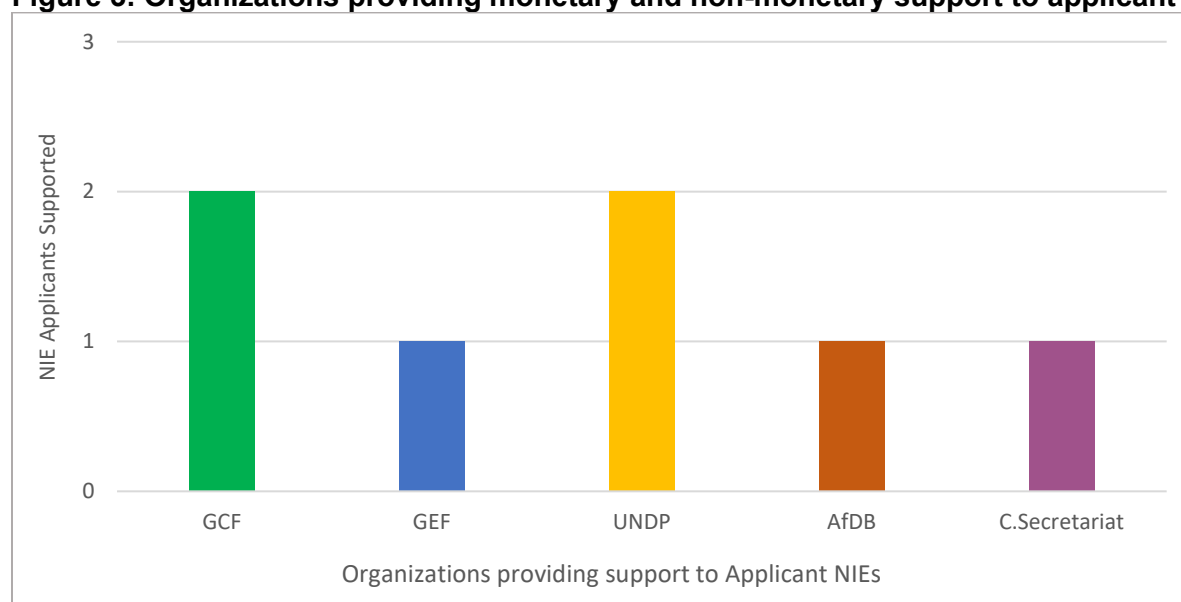
19. Other support requested was:

- capacity-building support for the DAs, including financial support to raise awareness in-country
- SSC and peer support from an already accredited NIE, and
- familiarization with uploading documents onto the Fund's accreditation workflow online system, as well as basic training on the funding windows, how to access them, and the Fund's accreditation processes.

Accreditation support offered by other organizations

20. The secretariat had observed that there were organizations that were providing autonomous support to developing countries and their entities for accreditation to the Fund. Support had been mostly in the form of finance and technical and advisory services for the development of online forms and documents required to initiate the process of accreditation with the Fund and the preparation and updating of supporting documents for the accreditation process. The organizations that had provided the support include: The Green Climate Fund (GCF) through financial support in its readiness support programme which the fund's national designated authorities (NDAs) could use to support the accreditation of entities in their countries; United Nations Development Programme (UNDP); The Global Environment Facility (GEF); The Commonwealth Secretariat – Climate Finance Access Hub; and The African Development Bank (AfDB). The organizations are presented in the figure below based on the number of countries and entities supported.

Figure 3: Organizations providing monetary and non-monetary support to applicant NIEs



21. Most of the support had been received from the United Nations Development Programme (UNDP) and indirectly from National Designated Authorities (NDAs) of the Green Climate Fund (GCF). Whilst all the organizations presented in Figure 3 above offered technical and financial support to entities seeking accreditation with the Fund, none of them had a dedicated mechanism with a suite of multiple support tools like the readiness package of the Fund. However, the secretariat notes the importance of such autonomous support and could seek to engage such organizations more proactively to strengthen bilateral relationships and enhance their capacity to navigate the Fund's accreditation process as well as build complementarity and coherence in the overall delivery of capacity-building support to developing countries.

Support from climate funds under the UN Climate Convention and Paris Agreement

22. Of the four climate funds⁶ serving the UN Climate Convention and Paris Agreement, only the GCF and Adaptation Fund apply accreditation as a method of selecting implementing entities

⁶ Parties under the UNFCCC established four special funds: the Special Climate Change Fund (SCCF), the Least Developed Countries Fund (LDCF), both managed by the GEF, the GCF; and the Adaptation Fund (AF).

and directly provide related support. The Global Environment Facility (GEF) does not require accreditation of developing country entities and works through 18 partner agencies⁷ whose capacity to function as implementing entities is assessed in a more ad hoc manner. Grants and other capacity-building support from the climate funds managed by the GEF and from the GEF Trust Fund are directed towards supporting developing countries to meet the objectives of the international environmental conventions and agreements (GEF Trust Fund); to support adaptation and technology transfer in various climate vulnerable sectors (Special Climate Change Fund-SCCF); and to address special needs of the world's most vulnerable countries in their efforts to adapt to the effects of climate change, including the preparation and implementation of National Adaptation Programs of Action (NAPAs), and the National Adaptation Plan (NAP) process (Least Developed Countries Fund-LDCF).

23. The GCF has a dedicated readiness programme which provides Up to US\$ 1 million per country per year for support related to institutional capacity building, coordination, policy and planning, and programming for investment; and Up to US\$ 3 million per country for the formulation of national adaptation plans (NAPs) and/or other adaptation planning processes⁸. According to the readiness programme objectives and outcomes outlined in the fund's readiness guidebook⁹, the GCF provides support for accreditation through the readiness programme outcome 1.2, which covers a range of support to direct access entities (DAEs) including capacity-building and accreditation support (accreditation gaps assessment, development of action plans to address accreditation gaps, preparation of required documentations for accreditation process and re-accreditation support). This funding is available under the US\$ 1 million per country per year envelope.

24. However, it is important to note that the US\$ 1 million annual cap is not expected to be exclusively used for accreditation support and is meant to help developing countries strengthen their engagement with the GCF including support to DAEs for the implementation of country programmes and GCF's national designated authorities (NDAs) are encouraged to include support to DAEs in their readiness needs assessment. Some NDAs have therefore used a part of the cap to provide financial support for accreditation of their institutions seeking accreditation from the GCF and Adaptation Fund simultaneous. The GCF does not provide specific guidance or structure to NDAs for accreditation support.

25. Last, besides submitting a regular readiness request under the outcome 1.2 for accreditation support, GCF had implemented another option by procuring a dedicated firm (PricewaterhouseCoopers) to support DAEs to undertake accreditation gap assessments and develop action plans to address the gaps (budget for this was counted against country's US\$ 1 million annual cap), but this option came to an end in 2020.

Window for a readiness package grant to support accreditation to the Fund

26. As highlighted in the background section to this document, the Board set the objectives of the Fund's readiness programme to be two-fold as follows:

⁷ See <https://www.thegef.org/partners/gef-agencies>

⁸ See <https://www.greenclimate.fund/readiness>

⁹ <https://www.greenclimate.fund/document/readiness-and-preparatory-support-guidebook>

- (i) to increase the preparedness of applicant national implementing entities seeking accreditation by the Adaptation Fund; and
- (ii) to increase the number of high quality project/programme proposals submitted to the Board after accreditation.

27. The Fund has been delivering direct support for accreditation through SSC grants and through readiness regional workshops. Support through SSC grants could include the following¹⁰:

- Support for the identification of an NIE candidate within an applicant country.
- In-country support to an NIE candidate for the preparation of an application for accreditation.
- Address and respond to feedback provided by the Accreditation Panel to the NIE candidate
- Organization of “regional” consultations/workshops to assist in the preparation of NIE candidate applications from several already-identified candidate institutions or potential candidates from countries in the geographic region of the accredited NIE.

However, this support has been limited in that the SSC grants do not allow for NIEs providing peer support to hire technical experts that can address the type of technical challenges identified by developing countries in the survey undertaken by the secretariat as part of this report and outlined in paragraphs 15 -19 above. Other organizations providing autonomous support for accreditation to the Fund have tackled some of these specific challenges, but their support has also been limited and has not seen through the accreditation process to successful completion.

28. As intermediary for the readiness package pilot, CSE highlighted the critical importance of the readiness package, especially to deliver technical support in the accreditation process and to strengthen South-South cooperation (SSC). Though limited, the grant made it possible for CSE to access financial resources to hire experts to prepare fiduciary-related documents and fill in accreditation gaps such as a strategic plan, establishing an internal audit committee and developing an ethics manual that could otherwise not have been possible through the Fund’s SSC grant, and which resulted in both NIE applicants participating in the pilot submitting complete accreditation applications to the secretariat a little over a year after the start date of effective delivery of support.

29. However, CSE also noted the challenges in recruiting consultants and producing documents due to the limited budget for the pilot, which in turn added to the delay in implementation of the support. In addition, all participants in the readiness package pilot expressed that the limited budget made it difficult to effectively meet all the gaps in accreditation for the two NIE applicants. In addition, both CSE and the NIE applicants expressed that the implementation timeframe for the pilot did not afford enough time to develop track records on the new policies and manuals produced. Increasing the funds under the grant and making the readiness package widely available whilst giving more realistic timelines for entities that lack certain policies or internal procedures to put them in place and to demonstrate their operations could increase its effectiveness. With increased effectiveness, it would not be necessary to

¹⁰ See <https://www.adaptation-fund.org/instructions-for-applying-for-south-south-cooperation-ssc-grants/>

maintain the SSC grants as the readiness package grant would enable support to be delivered for all elements covered by the SSC grants, and go beyond, but with more effectiveness for NIE applicants to quickly obtain accreditation with the Fund.

30. The feedback from non-accredited countries and designated authorities reflected the interest of all developing countries including least developed countries (LDCs) and small island developing states (SIDS) to access the readiness package and obtain accreditation with the Adaptation Fund to directly access its resources, and to increase their capacity for project development and implementation for prioritizing the most vulnerable people and areas in their respective countries by gaining experience in implementation of projects directly.

Improving effectiveness of accreditation support through the readiness package grant window

31. The option to discontinue the readiness package grant would lead to business as usual in which the SSC grants would continue to be the only option for direct accreditation support to the Fund's Direct Access modality. However, as discussed earlier, this would keep the status quo in which NIE applicants would not be able to effectively address the technical nature of gaps and challenges they face in navigating the accreditation process. Replacing the SSC with the readiness package grant which is more comprehensive and addresses multiple challenges and gaps experienced by NIE applicants could be an effective way of meeting objective (i) of the Fund's readiness programme.

32. It should be noted that both NIE applicants that participated in the readiness package pilot had previously received SSC grants but had not managed to obtain accreditation or advance significantly in the process through these. Through the readiness package pilot grant, both applications for accreditation from the nominated NIEs in Burundi and Mali are now under review by the Fund's accreditation panel, and upon demonstrating the effective operation and implementation of new policies and procedures put in place during implementation of support from the package, could obtain accreditation faster than if they had not participated in the pilot.

33. As the amount of financing was highlighted multiple times during the pilot phase by both the intermediary and NIE applicants as a constraint to effective delivery of support through the readiness package grant, increasing the amount available to US\$ 150,000 per country (in line with other small grants available under the Fund such as the learning grant), could greatly improve the quality of support considering the volume of work expected from technical input by specialists and experts in governance, fiduciary standards and other accreditation criteria to speed up the process to establish capacity within institutions going through the Fund's accreditation process.

34. In addition, the process to obtain accreditation could be sped up by ensuring that proposals submitted by an intermediary clearly indicate the initial assessment of the NIE applicant and discussion of the Fund's accreditation application form that is expected to have taken place between the DA and/or NIE applicant and the intermediary, with clear articulation of initially identified gaps, the methods to fill in such gaps, and expected timeframe to meeting the related accreditation criteria and obtaining accreditation with the Fund. This initial effort before submission of the proposal for a readiness package could reduce delays faced when such gaps and needs are discovered only during grant implementation.

35. Despite some challenges experienced during the pilot, the readiness package grant could be an effective instrument to substitute existing SSC grants for accreditation under the Fund through which the timeframe in which an entity successfully navigates the process, effectively

addresses technical gaps and challenges, and obtains accreditation with the Fund could be significantly reduced. This could be made possible by implementing the same structure of the pilot phase and making some adjustments to the readiness package grant through the following considerations:

- Increasing the grant size to a maximum of US\$ 150,000 per country.
- Ensuring that the grant application form clearly includes requirements for the intermediary to have undertaken an initial assessment or dialogue with the NIE applicant and/or DA that includes a discussion of the AF accreditation application form and for clear articulation of initially identified gaps, the methods to fill in such gaps, and expected timeframe for the NIE applicant to meet the related accreditation criteria and obtaining accreditation with the Fund. This requirement could be included in the application form for the grant.
- Strengthening the effectiveness of the workshops and/or meetings included in the readiness package design structure by implementing a more targeted approach that discusses specific feedback raised in this document and in the Fund's *Bridging the gaps in accreditation* report.
- Increasing engagement between the Fund's readiness programme and organizations autonomously providing support for accreditation to the Fund to provide guidance and enhance complementarity of support.

36. As an instrument tailored to address accreditation in a holistic and inclusive manner, with particular focus on specific gap areas identified by developing countries and NIE applicants, the readiness package pilot demonstrated that NIE applicants can quickly navigate the accreditation process with such an instrument as evidenced by the speedy submission of complete applications for accreditation to the Fund by the NIE applicants of Burundi and Mali which would have otherwise taken much longer. As the readiness package grant addresses the full range of gaps and challenges faced by developing countries and NIE applicants, including all the areas covered under the SSC grants, full rollout of the readiness package with the above considerations would render the SSC grants redundant and would be expected to achieve a shortened timeframe for developing countries to make use of the Fund's Direct Access modality, with the added benefit of enhanced effectiveness and built capacity to directly manage and program international finance by local level institutions in developing countries.

Proposed criteria for accessing the readiness package grant

37. The structure for implementing the readiness package grant could be kept the same as the structure adopted for the pilot phase with an adjustment to the first workshop, which the secretariat could facilitate and host as an annual event with intermediaries and developing countries wishing to access resources from the Fund through the Direct Access modality. The workshop, among others, would cover: Up-to-date information about the Fund, its accreditation process and procedures; Sharing accreditation experiences by developing countries and entities seeking accreditation with the Fund and those that have provided accreditation support; the challenges and gaps being experienced within the region and by individual applicants; and

challenges faced by intermediaries in delivering support, including discussions on how to address these.

38. The workshop or meeting in the readiness package design structure between the intermediary and the NIE candidate would be implemented following grant approval by the Board and at the discretion of the intermediary and developing country recipient. The secretariat could also as necessary, engage with intermediaries that have approved readiness package grant proposals for that financial year, the contracted experts and the developing countries being supported by the intermediaries for that financial year, to deliver train the trainer learning for intermediaries and contracted experts, and discuss specific gaps and challenges for the countries receiving support and the options to address these.

39. The modalities for accessing the package grant could be similar to those for the pilot phase of the grant, with some minor adjustments to enable access by all developing countries that wish to use the Fund's Direct Access modality. The modalities are described below:

Eligibility to receive the readiness package grant

40. All developing countries that wish to have an NIE accredited with the Fund would be eligible to receive the grant, including those that had previously accessed the SSC grant. The grant could be accessible as a single grant per country as is the case with current SSC grants. In addition, it could be made mandatory for all applicants to meet the following criteria:

- (i) In cases where the DA has not yet identified a suitable NIE candidate/applicant to navigate the accreditation process of the Fund, then the country must be a developing country Party to the Kyoto Protocol or Paris Agreement that does not have an NIE accredited with the Fund;

In cases where an NIE candidate/applicant has already been identified, then:

- (ii) the NIE candidate must be located in a developing country Party to the Kyoto Protocol or Paris Agreement that does not have an NIE accredited with the Fund;
- (iii) the country of the NIE candidate must have a Designated Authority (DA) to the Adaptation Fund; and
- (iv) the NIE candidate must submit a letter of endorsement by its DA together with the expression of interest to receive accreditation support through the readiness package grant.

Eligibility to provide intermediary services

41. During the pilot phase, the intermediary that delivered support for accreditation was an accredited NIE of the Fund. During roll out of the readiness package, the intermediary would continue to be an accredited NIE of the Fund so as to strengthen South-South Cooperation (SSC)

and simultaneously build the capacity of accredited NIEs to deliver training and support to other developing countries to increase access to climate finance. Engaging non-NIE intermediaries e.g., Multilateral Implementing Entities (MIEs) and/or Regional Implementing Entities (RIEs) of the Fund could be explored in future following an assessment of the benefits of such an approach. However, for the current roll out of the readiness package, the NIE intermediary would need to have tangible achievements with the Fund in programming adaptation finance through the preparation and implementation of concrete adaptation projects and programmes and should demonstrate experience providing peer support through either the Adaptation Fund or autonomously to other countries to access climate finance. Accessing the Readiness Package through an intermediary that is an accredited NIE of the Fund would be encouraged to strengthen SSC and learning between NIEs.

42. The intermediary could provide support to multiple countries and NIE candidates simultaneously, although separate applications/grant proposals would need to be submitted for each.

43. All intermediaries would need to meet the following eligibility criteria:

- (i) must currently have an “Accredited” status with the Adaptation Fund;
- (ii) must have experience advising or organizing support relevant to accreditation or capacity building to institutions, organizations or other entities in developing countries at the national, sub-national or local level to receive climate finance for adaptation projects and programmes; and
- (iii) must have experience implementing a concrete Adaptation Fund project or programme and have submitted at least one project performance report (PPR), hence demonstrating commitment to adhere to the fund’s fiduciary standards, operational policies and guidelines

Description of activities

44. It is expected that the ultimate result from receiving or delivering support via the readiness package grant would be an entity successfully obtaining accreditation with the Fund in the shortest possible time. The activities that could be funded under the readiness package grant should support accreditation to the Fund and must include provision for continued support to address comments and issues raised by the Accreditation Panel following submission of a complete application for accreditation and successful screening by the secretariat. Activities could include but not be limited to:

- Support to the DA to nominate a suitable NIE candidate to navigate the accreditation process of the Fund. This includes workshops, meetings and other relevant stakeholder consultations as relevant.

- In-country support by the intermediary to an NIE candidate for the preparation of an application for accreditation. This includes travel to the candidate country and on-site support and travel of NIE candidate staff to the intermediary host country.
- Technical support through experts to develop and/or put in place policies, procedures and other institutional arrangements to support the accreditation process with the Fund. Whilst the experts could provide support for the development of policies, procedures and institutional arrangements for accreditation, it is the responsibility of the NIE candidate to demonstrate how such policies, procedures and institutional arrangements have been applied in order to meet the accreditation requirements.
- Organization of local, national or regional consultations/workshops to assist in the preparation of applications for accreditations from several NIE candidates. The costs set aside in this case could include travel and accommodation costs for the participants and other workshop related costs.
- Following consultations between the intermediary and NIE candidate, at the time of submission of the grant proposal, a portion of the grant should be set aside to provide further in-country or remote support to address and respond to feedback provided by the AP during assessment of the NIE candidate application for accreditation.

Application, review and approval process for readiness package grants

45. The application, review, approval and reporting processes for the readiness package grant could follow the same processes that has been in place for other readiness grants and the readiness package grants would be included in the reports on the review cycles for readiness grants. However, submission of grant proposals would be expected to be done using the application form in Annex I to this document. The secretariat would review submitted proposals using the template in Annex II to this document.

Implementation arrangements

46. Upon approval of the grant proposal by the Board, the NIE candidate would be expected to drive the process of its accreditation and to work with the intermediary to put in place the necessary institutional arrangements, policies, procedures and capacities to adequately meet the requirements of the Fund's accreditation criteria and process. This includes making the necessary management decisions, inter-departmental/organizational coordination, and availing the necessary human and financial resources to actively drive the accreditation process within the entity. The NIE candidate will be responsible for submitting its own complete application for accreditation to the secretariat and will ultimately be responsible for the application process.

47. The intermediary will be responsible for implementation of the readiness package grant and management of all aspects of procurement, financial and non-financial reporting, including submission of a final completion report to the secretariat. Upon approval of the grant proposal by

the Board, the intermediary would execute the readiness package and deliver on-the-ground support and technical assistance to the NIE candidate seeking accreditation with the Fund. The intermediary would manage the day to day activities of delivering capacity and technical support for the NIE candidate to navigate the accreditation process. This includes among other things, procurement, contracting and management of experts/consultants and the delivery of specific outputs and products as agreed together with the secretariat.

Recommendation

48. Having considered the observations and analysis of the secretariat as set out in document AFB/PPR.27/29 and the information contained in its annexes, the PPRC may want to consider and recommend to the Board:

- a) To approve the Readiness Package Grant as a standing window and replacement to South-South Cooperation Grants under the Readiness Programme to provide support for the accreditation of a National Implementing Entity (NIE) of the Fund;
- b) That the Readiness Package Grant shall be available for accreditation of NIEs only, up to a maximum of US\$ 150,000 per country;
- c) That Implementing Entities submitting proposals for the Readiness Package Grant should do so using the application form in Annex I of document AFB/PPRC. 27/29 and that such proposals should be reviewed using the review sheet in Annex II of document AFB/PPRC. 27/29;
- d) That the review cycle and approval of Readiness Package Grants shall follow the review and approval process as well as reporting requirements for readiness grants under the Fund;
- e) That already approved South-South Cooperation grants should continue implementation and fulfil all reporting requirements until completion;
- f) To request the secretariat to prepare an analysis for opening up the Readiness Package Grant to non-NIE intermediaries that are accredited implementing entities of the Fund; and
- g) To request the secretariat to notify all accredited implementing entities of this decision by the Board on the Readiness Package Grant and South-South Cooperation Grants.

ANNEX I: READINESS PACKAGE GRANT APPLICATION FORM TEMPLATE

Application for a Grant to support NIE accreditation through the readiness package

Submission Date:

Adaptation Fund Grant ID:

Country receiving support:

Institution to navigate accreditation process, if already identified:

Name of Implementing Entity delivering support:

Type of Implementing Entity delivering support (NIE/RIE/MIE):

A. Timeframe of Activity

| | |
|--------------------------------|--|
| Expected start date of support | |
| Completion date of support | |

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

(i) Describe the support provided for accreditation through readiness grants from the Adaptation Fund to developing countries and/or entities seeking to use the Fund's Direct Access modality.

| Year support started | Year support ended | Climate Fund (source of grant) | Type of support provided | Outcome of the support | Country/institution supported |
|----------------------|--------------------|--------------------------------|--------------------------|------------------------|-------------------------------|
| | | | | | |
| | | | | | |
| | | | | | |

(ii) Describe any other type of support provided outside the grants from the Adaptation Fund to other national, sub-national and/or local entities relevant to the AF accreditation process.

| Year support started | Year support ended | Climate Fund (source of grant) | Type of support provided | Outcome of the support | Country/institution supported |
|----------------------|--------------------|--------------------------------|--------------------------|------------------------|-------------------------------|
| | | | | | |
| | | | | | |

| | | | | | |
|--|--|--|--|--|--|
| | | | | | |
| | | | | | |

C. Proposed activities to support NIE accreditation

- (i) Describe the initial assessment and dialogue that the intermediary has had on the NIE candidate gaps/challenges and ability of the NIE candidate to meet the requirements stipulated in the AF accreditation application form. In the event that a candidate NIE has not yet been identified, describe such dialogue with the DA with clear articulation of identified gaps and the methods/approaches to fill in such gaps to meet the accreditation criteria of the Fund.
- (ii) Provide a list in chronological order of occurrence, of the main components/steps that would be implemented to address the NIE candidate gaps/challenges, the activities to be undertaken, and the requested budget to support accreditation of the NIE candidate. An example is provided within the table in italics.

| Component | Proposed support activities to address Gap/Challenge | Expected Output of the Activities | Tentative completion date | Requested budget for component (USD) |
|--|--|--|---------------------------|--------------------------------------|
| <i>Developing policies and manuals</i> | <i>Updating environmental and social policy</i> | <i>Updated E&S policy</i> | <i>April 2021</i> | <i>00,000</i> |
| | <i>Developing management operational manual</i> | <i>Manual for project quality at entry review</i> | <i>May 2021</i> | |
| | <i>Developing policy and procedures for internal control</i> | <i>Policy outlining the institution internal control framework</i> | <i>July 2021</i> | |
| | | | | |
| | | | | |
| Implementing entity fee | | | | |
| Total Grant Requested (USD)* | | | | |

*Please provide a detailed budget (*with budget notes including a notes of how the management fee will be used*) attached as an annex to the application

D. Justification of project activities

Provide a description of each identified NIE candidate gap/challenge and explain the status core, current processes and procedures within the NIE candidate regarding the identified gap/challenge and explain how the activities to be undertaken would address the identified gaps/challenges to advance accreditation of the NIE candidate. For new policies, procedures and institutional structures that need to be newly established, also provide a timeframe for demonstrating their effective operation and submission of evidence to the Accreditation Panel (AP), including responding to feedback from the AP. *(for missing policies, manuals and institutional structures, please list and explain each one individually)*

E. 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 Contact Person | Telephone | Email Address |
|-----------------------------|-----------|-------------------------|------------------------------------|-----------|---------------|
| | | | | | |
| | | | | | |
| | | | | | |

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

Provide the name and position of the government official who is the Designated Authority of the Adaptation Fund in the NIE candidate country and indicate date of endorsement. The letter of endorsement from the Designated Authority should be attached as an annex to the application.

| | |
|---|---------------------------------|
| <i>(Enter Name, Position, Ministry)</i> | <i>Date: (Month, day, year)</i> |
|---|---------------------------------|

ANNEX II: READINESS PACKAGE GRANT REVIEW TEMPLATE

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

PROJECT CATEGORY: **READINESS PACKAGE GRANT**

Readiness Package support recipient Country:

Accredited Implementing Entity:

Type of accredited Implementing Entity (NIE/RIE/MIE):

Requested Financing from Adaptation Fund (US Dollars):

Reviewer and contact person:

Co-reviewer(s):

IE Contact Person:

| | |
|-------------------|--|
| Technical Summary | <p>The project to support NIE accreditation in [insert country name] will be done through the [insert number, e.g. three] components below:</p> <p><u>Component 1:</u> [Name] (USD xxx).</p> <p><u>Component 2:</u> [Name] (USD xxx)</p> <p><u>Component 3:</u> [Name] (USD xxx).</p> <p><u>Requested financing overview:</u> Total Project/Programme Cost: USD xxx Implementing Fee: USD xxx Financing Requested: USD xxx</p> <p>The initial technical review [raises/ raised] [some/several issues], such as [list only main issues, please keep it short], as is discussed in the number of Clarification Requests (CRs) and Corrective Action Request (CAR) raised in the review.</p> <p>The final technical review finds that the proposal [has/has not] addressed [some/ most/ all] of the CR and CAR requests. [Namely, please name out main outstanding issues, if any]</p> |
| Date | |

| Review Criteria | Questions | Comments |
|-----------------------|--|----------|
| Country Eligibility | 1. Is the country that does not yet have an accredited NIE a Party to the Kyoto Protocol? | |
| Eligibility of IE | 1. Is the project submitted through an Implementing Entity with an “accredited status with the Fund? | |
| | 2. Does the Implementing Entity have an approved project by the Adaptation Fund Board and has submitted at least one project performance report (PPR)? | |
| | 3. Has the Implementing Entity demonstrated adequate experience providing capacity building support to NIE candidates and other national/sub-national entities for access to climate change adaptation finance? | |
| Project Eligibility | 1. Has the designated authority for the Adaptation Fund in the country seeking accreditation endorsed the project? | |
| | 2. Has the intermediary undertaken an assessment or had dialogue on the NIE candidate gaps/challenges and ability of the candidate NIE to meet the requirements stipulated in the AF accreditation application form? | |
| | 3. Have accreditation gaps/challenges been clearly identified and the approaches to address them clearly outlined? | |
| | 4. Are the proposed activities to address identified gaps/challenges for the NIE candidate to obtain accreditation with the Fund justified? | |
| Resource Availability | 1. Is the requested project funding within the cap for the Readiness Package grants set by the Board? | |

| | | |
|-----------------------------|---|--|
| | 2. Is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme budget before the fee? | |
| | 3. Is there budget set aside to continue support post submission of a complete application for accreditation to the AF secretariat? | |
| Implementation Arrangements | 1. Has adequate time been provided to respond to and address comments and feedback that may be made by the Accreditation Panel? | |
| | 2. Is a detailed budget including budget notes included? | |

ANNEX III: READINESS PACKAGE SURVEY ANALYSIS AND UNABRIDGED RESPONSES**ADAPTATION FUND****Readiness Package Grant Survey Evaluation Report****Background**

The Adaptation Fund Board Secretariat (the secretariat) prepared a short survey requesting the feedback of different stakeholders on the Readiness Support Package Grant (the readiness package) that was approved by the AF Board as a pilot in June 2018 as an additional instrument to existing support for accreditation for National Implementing Entities (NIE). Through the grant, developing countries could receive enhanced support for accreditation by employing a suite of tools simultaneously to advance the delivery of climate finance through Direct Access. The grant was launched as a pilot to support NIE accreditation in Burundi and Mali through peer support from the Centre de Suivi Ecologique (CSE) of Senegal. CSE has been the intermediary during this pilot phase delivering support for accreditation to both Burundi and Mali. The stakeholders selected for the survey were CSE, candidate NIEs from Burundi and Mali, non-accredited entities, and AF Designated Authorities (DAs).

The aim of the survey was to solicit information on the gaps, challenges, and suggestions on how to improve delivery of capacity-building support for accreditation to the Fund through Direct Access and to enable more targeted support to applicant NIEs and developing countries in general. Through the survey, the stakeholders have provided their experiences, lessons learnt and suggestions to the secretariat to improve performance of the grant for future recipients.

The survey was sent out to CSE, NIE applicants in Burundi and Mali, 136 Designated Authorities and 22 non-accredited entities. Feedback to the survey was received from CSE, NIE applicants in Burundi and Mali, and 28 Designated Authorities which also included feedback from the non-accredited entities in those countries. This document presents the responses to the survey and the analysis of the readiness package pilot survey with some options recommending the way forward.

Survey response and analysis

- (i) Centre de Suivi Ecologique (CSE)

Q1. What did you find most useful about the readiness package grant?

The readiness package comes as a complement to consolidate the technical support provided through the South-South cooperation grant. It enabled NIE applicants to obtain the financial resources that allowed CSE to recruit firms for the preparation of documents related to fiduciary aspects, strategic plan, internal audit, and ethics manual that cannot be backed by conventional support. On the other hand, after the screening exercise, certain gaps that can be corrected with the support of the readiness provider (CSE) were filled.

Q2. Did you face any challenges completing and submitting the readiness package grant application to the AF Board? Do you have any suggestions about the AF application, review, approval and reporting process for the grant?

No.

Q3. What were the obstacles/challenges (if any) you faced in delivering the support?

The main issue noted in the Readiness Package was the amount available for recruiting the consultants. The consulting firm staff time was expensive, and the budget of this Readiness package was limited compared to the completeness of the documents to be produced.

Q4. Were the resources made available through the readiness package grant enough for you to deliver the support?

The participant stated that the funds made available through the readiness package support were not sufficient at all to deliver the support.

Q5. Please explain your answer to the above question in detail

It would be good to review the amount allocated to each country increased by \$75,000 as this will allow the consultant to organize more missions at the country level but also help produce certain documents like the strategic plan and the anti-money laundering policy. It should additionally be mentioned that most of the resources are devoted to remunerating the working hours of the experts and the CSE staff time in terms of reviewing the documents produced is not enough to pay for it and the on-site missions are limited given the amount.

Q6. What suggestions would you make to the AF secretariat to improve the grant and your role as the provider of support through the Readiness Package?

For a better effectiveness of the Readiness Package, we suggest to:

- Revise upwardly the budget allocated for the Readiness Package.
- Allow six months or one year for the production of the track record. We recommend that a reasonable period of time be given to the institutions receiving this support to develop

track records on the new documents produced.

Q7. Any other information you wish to share about the AF readiness support package and related support?

Some lessons learnt:

- The package sped up the accreditation process;
- It strengthened and allowed continuity of the South-South cooperation;
- Not taking into account the support time for the operationalization of policy documents and committees should be revised for the future.

Summary

As intermediary for the readiness package pilot, CSE highlighted the importance of the readiness package, especially to deliver technical support in the accreditation process and to strengthen South-South cooperation (SSC). Though limited, the grant made it possible for CSE to access financial resources to employ consultants to prepare fiduciary-related documents and fill in accreditation gaps such as a strategic plan, establishing an internal audit committee and developing an ethics manual that could otherwise not have been possible through other financial resources e.g., the Fund's SSC grant. The grant served as a relevant and effective support tool to speed up the accreditation process and strengthened SSC by involving consultants operating in the sub-region. In October 2020, both the NIE applicants submitted complete accreditation applications to the secretariat.

However, CSE also noted the challenges in recruiting consultants and producing documents due to the limited budget of the pilot, which in turn added to the delay in implementation of the support. In addition, the limited budget made it difficult to effectively meet all the gaps in accreditation of the two NIE applicants, particularly developing track records on the new documents produced. CSE concluded that making the readiness package widely available whilst giving more realistic timelines for entities that lack certain policies or internal procedures to put them in place and demonstrate their operations, and at the same time increasing the funds available through the readiness package would increase its effectiveness.

An overview of the grants to Burundi and Mali from the secretariat perspective is provided in the table below.

| Burundi | Mali |
|---|---|
| <ul style="list-style-type: none"> • Planned start date: 8 May 2018 • Actual date: 18 April 2019 • Planned completion date: between January and June 2021 • Status: Support completed September 2020. The review of the application is in process by the Accreditation Panel. Delay of the | <ul style="list-style-type: none"> • Planned start date: 8 May 2018 • Actual start date: 18 March 2019 • Planned completion date: between January and June 2021 • Status: Support completed September 2020. AEDD has submitted an accreditation application on 9 October 2020. The |

| | |
|--|--|
| <p>implementation of the grant was mostly due to (i) the replacement of selected potential NIE (FPHU) by OBPE as FPHU didn't met the criteria for accreditation, (ii) DA change and (iii) some document mentioned in the accreditation form such as the AML/CFT policy was not initially identified, (iv) the covid-19 which has slow down the submission of the online accreditation application. Based on the above, the completion date of the grant is estimated within the first 6 months of 2021.</p> | <p>screening by the Secretariat was completed on 16 October 2020 and the initial review by the Panel is in process by the Accreditation Panel. Delays in the implementation of the grant were in part due to budget limitations which influenced the approach to delivery of support by CSE which was to roll out support to both countries simultaneously and have the commissioned experts deliver technical support to both countries concurrently so as to reduce the costs of delivery of the support.</p> |
|--|--|

The secretariat notes from monitoring reports submitted by CSE that delays were indeed incurred due to political issues in Burundi and that the initially nominated NIE had to be changed as it was deemed not able to meet the accreditation criteria of the Fund. Both applications from the nominated NIEs in Burundi and Mali are under review by the Fund's accreditation panel, and in line with CSE's assessment, would need time to demonstrate effective operation and implementation of new policies and procedures put in place during implementation of support from the readiness package. As the amount of financing was highlighted by CSE to the secretariat on multiple occasions, increasing the amount available to US\$ 150,000 per country (in line with other small grants available under the Fund such as the learning grant) could greatly improve the quality of support considering the volume of work expected from technical input by specialists and experts in governance, fiduciary standards and other accreditation criteria to speed up the process to establish capacity within institutions going through the Fund's accreditation process.

In addition, the secretariat also notes that the process to obtain accreditation could be sped up by ensuring that proposals submitted by an intermediary clearly indicate the initial assessment of the NIE applicant and discussion of the AF accreditation application form that has taken place between the DA and/or NIE applicant and the intermediary, with clear articulation of initially identified gaps, the methods to fill in such gaps, and expected timeframe to meeting the related accreditation criteria and obtaining accreditation with the Fund. This initial effort before submission of the proposal for a readiness package could reduce delays faced when such gaps and needs are discovered only during grant implementation.

(ii) Burundi and Mali

Q1. What did you think about the Adaptation Fund Readiness Package support received? What benefits did you experience from receiving the grant?

| Mali | Burundi |
|--|--|
| <p>The readiness package support was very helpful for AEDD accreditation process. The agency had done its gap assessment using the AF readiness. To fill the gap</p> | <p>This support is of paramount importance as it helped us to start the accreditation process. With the grants we have been able to draft all missing administrative and</p> |

| | |
|--|---|
| there were needs for money and experts to elaborate missing procedures and policies. | financial documents even their translation in English and to pay all the consultants who participated in the elaboration process. Also, consultants and experts from CSE have been able to come in our country and build our capacity on accreditation process. |
|--|---|

Q2. To receive the grant, you had to jointly prepare a proposal with the Centre de Suivi Ecologique (CSE) of Senegal, attend a workshop in Kenya and another in Senegal with the AF staff and an Accreditation Panel member, and also work with the consultants hired by CSE. What areas of improvement would you suggest in this approach?

| Mali | Burundi |
|---|---|
| The workshop was great. It helped to know the CSE staffs and have first meeting with consultants. However, the fact the consultants are not from Mali make the work little bit difficult. It looks the consultants make the documents framework and all the national context was done by the agency. I think it would have been good if the group of consultants works with national consultants. | I suggest that a call application shall be made for countries seeking accreditation with the adaptation fund. This call application should be made of all details regarding the accreditation process on which each country will have to respond to. Within the application form should be proposed the accompanying entities to assist the country concerned by the call application. Moreover, awareness for non-accredited countries through annual and regional meeting can be among the improvements to be made. |

Q3. What challenges/obstacles (if any) did you face navigating the AF accreditation process after you received the readiness package grant? (please be as detailed as possible)

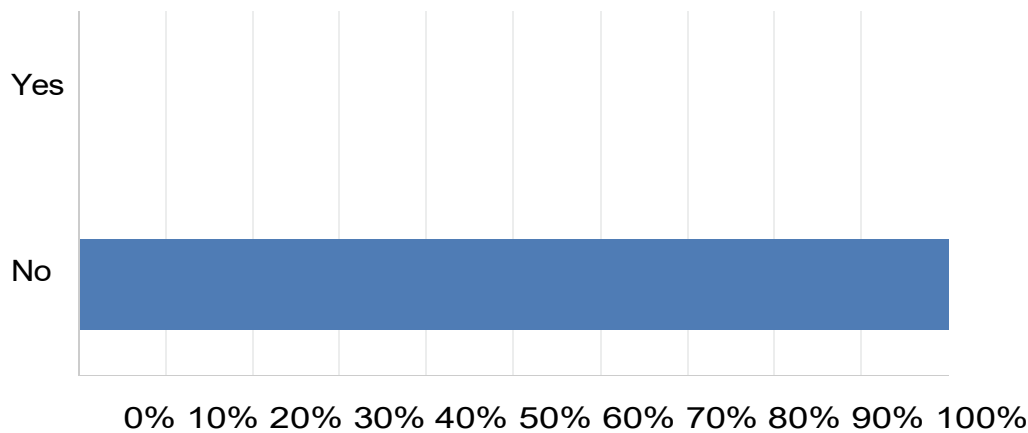
| Mali | Burundi |
|--|--|
| The main the challenge is now the translation of all other document not included initially in the support. For example, some of the evidences collected to support the application | <ul style="list-style-type: none"> - Identification and nomination of the entity to be accredited, - Lack of sufficient information on the accreditation process, - Some administrative and financial documents were missing, - Absence of some administrative and financial support structures such as: ethic committee, audit committee. |

Q4. Do you have suggestions about how the challenges/obstacles that may have delayed your process to obtain accreditation with the AF could be addressed through the readiness package grant? (please be as detailed as possible)

| Mali | Burundi |
|--|---|
| I suggest to hire a bi lingual consultant for 2 months to work with the agency to translate documents. This is cheaper than trying to translate documents through a translation agency | The readiness package should be increased and take into account the capacity building of all national stakeholders on the accreditation process |

Q5. Have you received other support (either monetary or non-monetary) from any other organization for accreditation to the AF?

1.1.1.1. Graph 1: Support received from other organizations for accreditation to the Adaptation Fund



1.1.1.2. *Both NIEs stated that they had not received monetary or non-monetary support from any other organizations for accreditation to the AF.*

1.1.1.3.

Q6. If you answered Yes to the previous question, please state where you received the support from, the year received and the nature of the support. Do you have lessons the AF could learn from based on your experience with these organizations? (Please skip if your answer above was No)

Both participants skipped this question

1.1.1.4. Q7. Any other information you wish to share about the AF readiness support package and related support?

| 5. <i>Mali</i> | 5. <i>Burundi</i> |
|----------------|---|
| 7. <i>None</i> | Thanks to the readiness package, we have been able to start the accreditation process and submit our application as well. |

Summary

As pilot recipients of the readiness package grant, Burundi and Mali NIE applicants expressed that support of the readiness package grant was of paramount importance for obtaining accreditation and addressing challenges faced navigating the accreditation process. Benefits included NIE applicants gaining better understanding of the roles of the different stakeholders within the readiness package, putting in place administrative, policy and financial documents to meet accreditation criteria, translation of supporting documentation into English, and in-country visits between the intermediary and grant recipients to enhance the capacity-building process. The workshops held by the secretariat as part of the readiness package were appreciated by the NIE applicants as useful to familiarize stakeholders involved in the process with each other. The secretariat concurs that the workshops held as part of the readiness package were useful to familiarize stakeholders involved in the process with each other, facilitate direct engagement with AF staff and the accreditation panel (AP), and provide clarity to both the intermediary and NIE applicants of the steps, criteria and process to obtain accreditation with the Fund.

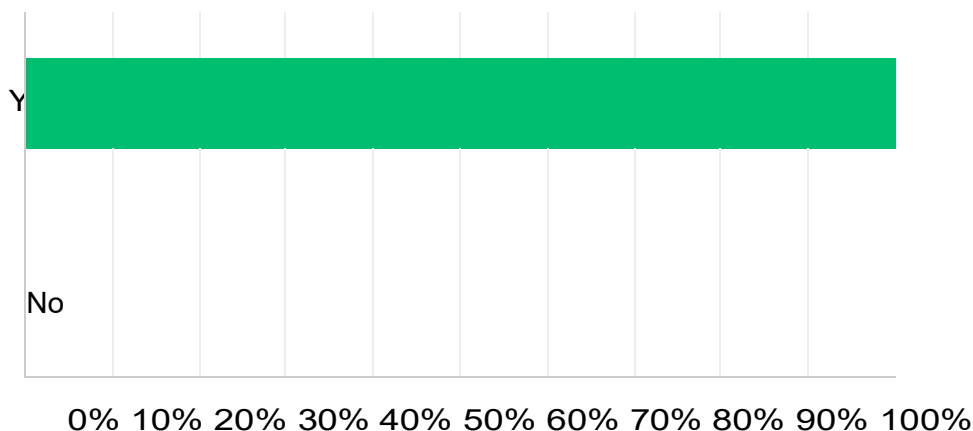
NIE applicants in the pilot readiness package reported through the survey that delays in completing the accreditation process were associated with some challenges they faced which include establishing certain administrative and financial structures such as an ethics and audit committee; not clearly understanding the process; and language barriers. The pandemic further slowed down the submission of the online accreditation application process. However, the secretariat also notes that based on the monitoring reports submitted by the intermediary, other challenges included political issues related to two changes in the DA for Burundi which also contributed to delays in the process and lack of clear national guidance from the DA regarding the nomination of a suitable NIE for the accreditation process.

Regarding ways to improve the readiness package, the NIE applicants from Burundi and Mali suggested that the grant should continue to be made available to developing countries wishing to access resources of the Fund and the size of the grant should be increased to enable more effective capacity-building of all national stakeholders and addressing the challenges in the accreditation process. The secretariat notes that the suggestions could be feasible.

(iii) Non-accredited entities and Designated Authorities

Q1. The Adaptation Fund was established under the UNFCCC to provide funding for concrete adaptation projects and programmes. To obtain this funding directly from the Fund, a national implementing entity (NIE) nominated by the Designated Authority or Focal Point of the Adaptation Fund in the country is required to obtain accreditation with the Fund. Would your country be interested in accrediting an NIE with the Adaptation Fund?

Graph 2: Interest in accreditation of an NIE with the Adaptation Fund



The survey was sent to a total of 158 participants (136 Designated Authorities and 22 non-accredited entities) out of which 28 participants responded. 100% of the respondents stated that their country would be interested in accrediting an NIE with the Adaptation Fund.

Q2. Please explain why or why not your country would be interested in accrediting an NIE with the Adaptation Fund

Out of the total 28 respondents, 27 participants responded to this question and 1 skipped the question (please see detailed responses in the unabridged survey results sheet annexed to this document).

Most respondents (56%) stated that having direct access to funds and technical assistance was the main motive for having an entity accredited with the Fund. 11 out of the 27 respondents also highlighted the importance of having an accredited NIE to help adapt and mitigate the effects of climate change, increase capacity-building for the management of funds and project preparation, design and development to prioritize the most vulnerable people and areas in the country, as well as having more transparent policies and accountability measures in place.

The main reasons given by respondents for pursuing accreditation with the Fund were:

- To access resources more easily and directly from the Fund
- To enable the country to implement adaptation projects and programmes

- To contribute to implementation of the country's nationally determined contributions and other strategies, policies and plans.
- To strengthen internal processes in the administration and management of external resources
- To enable increased transparency and accountability in the management of funds
- To give international visibility to national entities and make them more competitive in accessing limited resources from international sources.
- To strengthen the capacity of countries and help them gain experience to develop, implement and monitor adaptation projects and programs, including the assessment and evaluation of related policies, projects and programmes.
- To shorten the project preparation, design and development process for countries through direct access.

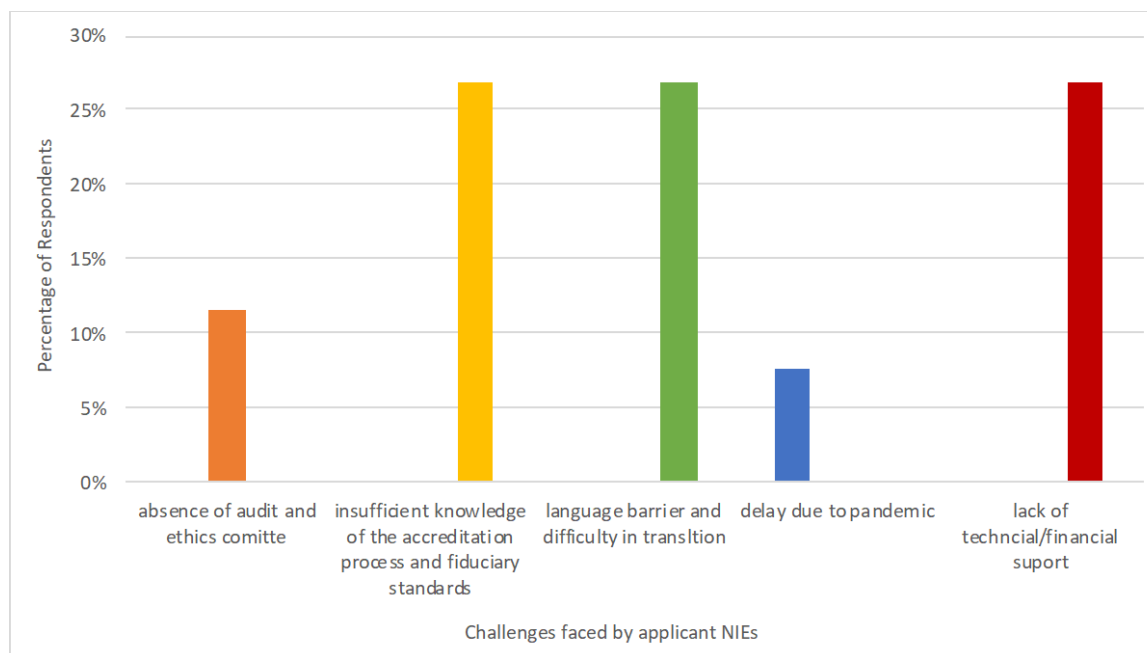
Q3. The process to obtain accreditation with the Fund requires submitting an application form and providing evidence of how the entity meets the accreditation criteria (please click here for information on accreditation requirements). What challenges have you faced/would you expect to face meeting the requirements for accreditation to the Fund?

Out of the total 28 respondents, 26 participants responded to this question and 2 skipped the question. The main challenges that entities expected to face or had faced to meet the accreditation requirements were similar to those traditionally identified by the secretariat through readiness workshops, seminars and other events¹¹, including those identified in the Fund's publication: Bridging the gaps in accreditation¹². The main challenges are presented in the graph below (please see detailed responses in the unabridged survey results sheet annexed to this document):

Graph 3: Challenges faced by applicant NIEs to meet the Fund's accreditation requirements

¹¹ <https://www.adaptation-fund.org/readiness/news-seminars/>

¹² Available at: <https://www.adaptation-fund.org/document/bridging-the-gaps-in-accreditation/>



The three most mentioned challenges by the respondents were language Barrier; lack of financial or technical support; and insufficient knowledge of the accreditation process. Lack of financial or technical support includes the absence of certain administrative and financial procedures; along with the lack of resources/funds to have a consultation team dedicated addressing such gaps and guiding the authorities to comply with those criteria. Insufficient knowledge included lack of understanding on the format of documents requested by the AF, lack of knowledge in the formulation of policy manual and guidelines as well as the failure in demonstrating their capacity to comply with the fiduciary standards.

Other challenges identified by the respondents included lack of institutional capacity and related resources to have a team dedicated exclusively to the accreditation process; gaps or changes in institutional structures such as absence of an auditor, audit and ethics committee and change in organizational structure; aligning accreditation process requirements with national legislation to unlock domestic resources to support the process, including demonstrating compliance with the Fund's environmental and social policy; gaps in required policies and manuals such as an antifraud policy, code of ethics, gender strategy, grievance management mechanism, and a project management framework; and the effects of the COVID-19 pandemic which caused delays leading to requests for extensions to prepare the manuals and related supporting documents by NIE applicants.

Q4. The Adaptation Fund has a Readiness Programme through which developing countries can receive grants and non- financial support to assist NIEs navigate the accreditation process of the Fund. What kind of support do you need for your country's entity to obtain accreditation with the Fund in the shortest possible time?

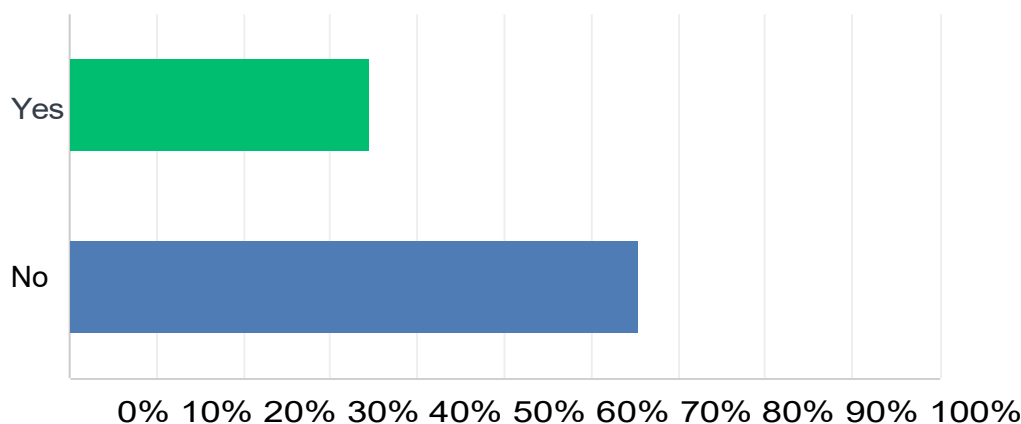
Out of the total 28 respondents, 26 participants responded to this question and 2 skipped the question (please see detailed responses in the unabridged survey results sheet annexed to this

document). The main support that entities requested or would like to receive to obtain accreditation with the Fund in the shortest possible time were as follows:

- 50% of the participants agreed that financial and technical assistance (ideally technical expertise sourced in-country) is of utmost importance, which includes peer support to address gaps in policies, manuals and institutional procedures to meet the requirements of the accreditation process and accelerate the accreditation process as well as cover the cost of consultants and the translation of documents.
- The rest 50% also highlighted the need for assistance to build the internal capacity of potential NIEs for required document preparation and having knowledge of the fiduciary standards, as well as support in building capacity to formulate, develop and implement projects once accreditation has been obtained.
- Other support requested was capacity-building support for the DAs, financial support to raise awareness in-country, SSC support from an already accredited NIE, familiarization with uploading documents onto the Fund's accreditation workflow online system, as well as basic training on the funding windows, how to access them, and the Fund's accreditation processes.

Q5. Are you receiving, or have you ever received support (either monetary or non-monetary) for accreditation to the Adaptation Fund from any other organization/agencies other than the Adaptation Fund?

Graph 4: Support received from other organizations for accreditation to the Adaptation Fund

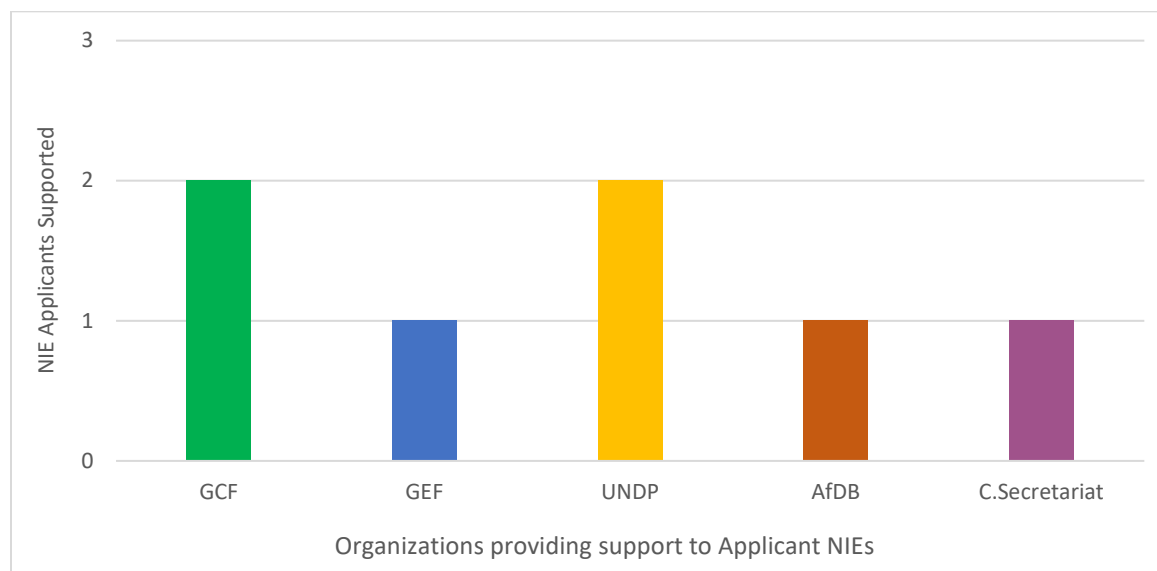


Out of the 28 total participants that responded to this survey, 26 participants responded to this question and 2 participants skipped this question. While 17 participants (65.38%) stated that they are not receiving or have never received monetary or non-monetary support from any other organization for accreditation with the Fund, 9 participants (34.62%) stated that their country is receiving or had received either monetary or non-monetary support for accreditation to the Fund from a different organization other than the Adaptation Fund.

Q6. If you answered Yes in the previous questions, please state from who you received the support, the year you received it and the nature of the support?

Out of the 9 participants that answered Yes in the previous question, 2 participants skipped this question. Following on from question 5 above, the organizations that applicant NIEs had received support from are depicted in Graph 5 below (please see detailed responses in the unabridged survey results sheet annexed to this document):

Graph 5: Organizations providing monetary and non-monetary support to applicant NIEs



Most support had been received from the Green Climate Fund (GCF) and the United Nations Development Programme (UNDP). Three other organizations had also provided accreditation support to NIE applicants seeking accreditation to the Fund. The secretariat notes the importance of such autonomous support and could seek to engage such organizations more proactively to strengthen bilateral relationships and enhance their capacity to navigate the Fund's accreditation process as well as build complementarity and coherence in the overall delivery of capacity-building support to developing countries.

Q7. Any other information you wish to share with the Adaptation Fund Board Secretariat about the type of readiness support available for accreditation to the Adaptation Fund and/or accessing such support?

General comments made by respondents and addressed to the secretariat regarding general support for accreditation offered by the Fund through its readiness programme include (please see detailed responses in the unabridged survey results sheet annexed to this document):

- To maintain continuity in communication with the fund to gain better understanding of the roles of the different stakeholders within the readiness programme, and to get continued support and advice post-accreditation, including having better understanding and

knowledge of the grant mechanisms.

- Having direct access to funds and technical assistance through the readiness programme to include the foundations of adaptation in policy guidelines, raise environmental awareness, and introduce adaptation practices in the local community.
- The readiness program promotes the issue of national accreditation and provides visibility to the country's national implementing entity responsible for implementing adaptation projects and programmes and strengthening internal, financial and administrative processes to enhance the capacity-building development of a country.

The secretariat concurs that the Readiness programme provides financial and non-financial support in navigating the accreditation process and for project preparation and design through the provision of grants, organizing training workshops, conferences, seminars and webinars that facilitates direct engagement with AF staff and the accreditation panel (AP), and enables more effective capacity-building of all national stakeholders in addressing the challenges in the accreditation and project implementation process.

Conclusion

The feedback from non-accredited countries and designated authorities reflected the interest of all developing countries including LDCs and SIDS to access the readiness package to obtain accreditation with the Adaptation Fund to directly access its resources, and to increase their capacity for project development and implementation for prioritizing the most vulnerable people and areas in their respective countries by gaining experience in implementation of projects directly.

Whilst some challenges such as document translation, establishing missing policies and relevant institutional structures had been faced by participant NIE applicants and the intermediary in the readiness package pilot phase, the feedback reflected that the readiness package could be an effective additional instrument to existing support for accreditation through which the timeframe for an entity to successfully navigate the process and obtain accreditation with the Fund could be significantly reduced.

This could be made possible by making some adjustments to the package through the following considerations:

- Increasing the grant size to a maximum of US\$ 150,000 per country.
- Ensuring that the grant application form clearly includes requirements for the intermediary to have undertaken an initial assessment or dialogue with the NIE applicant and/or DA that includes a discussion of the AF accreditation application form and for clear articulation of initially identified gaps, the methods to fill in such gaps, and expected timeframe for the NIE applicant to meet the related accreditation criteria and obtaining accreditation with the Fund.
- Strengthening the effectiveness of the two workshops included in the readiness package design structure by implementing a more targeted approach that discusses specific

feedback raised in this document and in the Fund's Bridging the gaps in accreditation report.

- Increasing engagement between the Fund's readiness programme and organizations autonomously providing support for accreditation to the Fund.

As an instrument tailored to address specific gap areas identified by the countries and NIE, the readiness package pilot demonstrated that NIE applicants can quickly navigate the accreditation process with such an instrument as evidenced by the speedy submission of complete applications for accreditation to the Fund by the NIE applicants of Burundi and Mali which would have otherwise taken much longer. Full rollout of the readiness package with the above considerations is expected to achieve a shortened timeframe for developing countries to make use of the Fund's Direct Access modality with the added benefit of enhanced built capacity to directly manage and program international finance by local level institutions in developing countries.

ANNEX: Unabridged Readiness Package Grant Survey Responses

Survey response and analysis

(i) Centre de Suivi Ecologique (CSE)

Q1. What did you find most useful about the readiness package grant?

The readiness package comes as a complement to consolidate the technical support provided through the South-South cooperation grant. It enabled NIE applicants to obtain the financial resources that allowed CSE to recruit firms for the preparation of documents related to (fiduciary aspects, strategic plan, internal audit, and ethics manual) that cannot be backed by conventional support. On the other hand, after the screening exercise, certain gaps that can be corrected with the support of the readiness provider (CSE) were filled.

Q2. Did you face any challenges completing and submitting the readiness package grant application to the AF Board? Do you have any suggestions about the AF application, review, approval and reporting process for the grant?

No

Q3. What were the obstacles/challenges (if any) you faced in delivering the support?

The main issue noted in the Readiness Package was the amount available for recruiting the consultants. The consulting firm staff time was expensive, and the budget of this Readiness package was limited compared to the completeness of the documents to be produced.

Q4. Were the resources made available through the readiness package grant enough for you to deliver the support?

No

Q5. Please explain your answer to the above question in detail

It would be good to review the amount allocated to each country increased by \$75,000 as this will allow the consultant to organize more missions at the country level but also help produce certain documents like the strategic plan and the anti-money laundering policy. It should additionally be mentioned that most of the resources are devoted to remunerating the working hours of the experts and the CSE staff time in terms of reviewing the documents produced is not enough to pay it and the on-site missions are limited given the amount.

Q6. What suggestions would you make to the AF secretariat to improve the grant and your role as the provider of support through the Readiness Package?

For a better effectiveness of the Readiness Package, we suggest to:

- Revise upwardly the budget allocated for the Readiness Package.
- Allow six months or one year for the production of the track record. We recommend that a reasonable period of time be given to the institutions receiving this support to develop track records on the new documents produced.

Q7. Any other information you wish to share about the AF readiness support package and related support?

Some lessons learnt:

- The package sped up the accreditation process;
- It strengthened and allowed continuity of the South-South cooperation;
- Not taking into account the support time for the operationalization of policy documents and committees should be revised for the future.

(ii) Burundi and Mali

Q1. What did you think about the Adaptation Fund Readiness Package support received? What benefits did you experience from receiving the grant?

| Mali | Burundi |
|--|---|
| The readiness package support was very helpful for AEDD accreditation process. The agency had done its gap assessment using the AF readiness. To fill the gap there were needs for money and experts to elaborate missing procedures and policies. | This support is of paramount importance as it helped us to start the accreditation process. With the grants we have been able to draft all missing administrative and financial documents even their translation in English and to pay all the consultants who participated in the elaboration process. Also, consultants and experts from CSE have been able to come in our country and build our capacity on accreditation process. |

Q2. To receive the grant, you had to jointly prepare a proposal with the Centre de Suivi Ecologique (CSE) of Senegal, attend a workshop in Kenya and another in Senegal with the AF staff and an Accreditation Panel member, and also work with the consultants hired by CSE. What areas of improvement would you suggest in this approach?

| Mali | Burundi |
|--|---|
| The workshop was great. It helped to know the CSE staffs and have first meeting with consultants. However, the fact the consultants are not from Mali make the work little bit difficult. It looks | I suggest that a call application shall be made for countries seeking accreditation with the adaptation fund. This call application should be made of all details regarding the accreditation process on which each country |

| | |
|--|---|
| the consultants make the documents framework and all the national context was done by the agency. I think it would have been good if the group of consultants works with national consultants. | will have to respond to. Within the application form should be proposed the accompanying entities to assist the country concerned by the call application. Moreover, awareness for non-accredited countries through annual and regional meeting can be among the improvements to be made. |
|--|---|

Q3. What challenges/obstacles (if any) did you face navigating the AF accreditation process after you received the readiness package grant? (please be as detailed as possible)

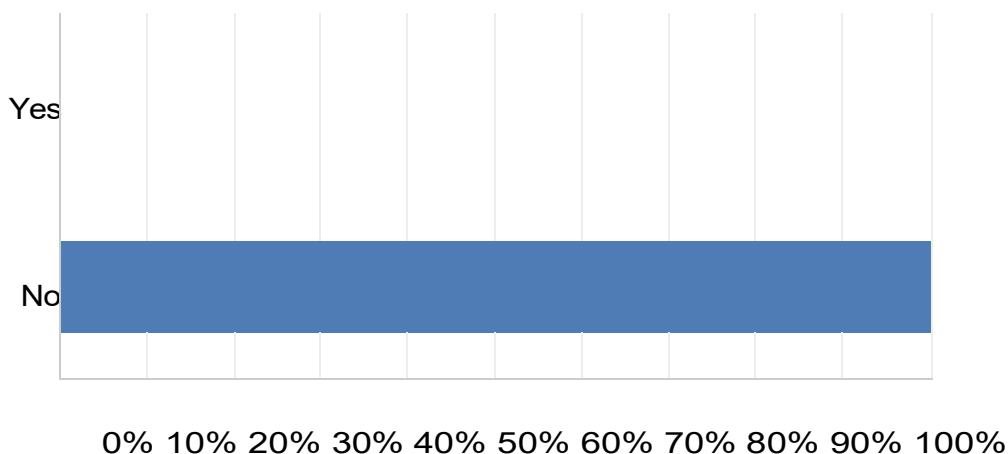
| Mali | Burundi |
|--|---|
| The main the challenge is now the translation of all other document not included initially in the support. For example, some of the evidences collected to support the application | <ul style="list-style-type: none"> - Identification and nomination of the entity to be accredited, - Lack of sufficient information on the accreditation; process, - Some administrative and financial documents were missing, - Absence of some administrative and financial support structures such as: ethic committee, audit committee. |

Q4. Do you have suggestions about how the challenges/obstacles that may have delayed your process to obtain accreditation with the AF could be addressed through the readiness package grant? (please be as detailed as possible)

| Mali | Burundi |
|--|---|
| I suggest to hire a bi lingual consultant for 2 months to work with the agency to translate documents. This is cheaper than trying to translate documents through a translation agency | The readiness package should be increased and take into account the capacity building of all national stakeholders on the accreditation process |

Q5. Have you received other support (either monetary or non-monetary) from any other organization for accreditation to the AF?

Graph 1: Support received from other organizations for accreditation to the Adaptation Fund



| ANSWER CHOICES | RESPONSES | |
|----------------|-----------|---|
| Yes | 0.00% | 0 |
| No | 100.00% | 2 |

Q6. If you answered Yes to the previous question, please state where you received the support from, the year received and the nature of the support. Do you have lessons the AF could learn from based on your experience with these organizations? (Please skip if your answer above was No)

Both participants skipped this question

Q7. Any other information you wish to share about the AF readiness support package and related support?

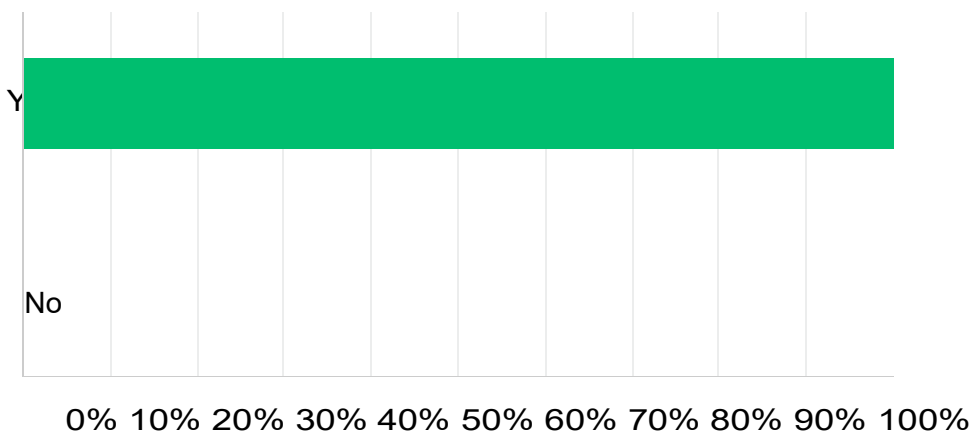
| | |
|------|---|
| Mali | Burundi |
| None | Thanks to the readiness package, we have been able to start the accreditation process and submit our application as well. |

(iii) Non-accredited entities and Designated Authorities

Q1. The Adaptation Fund was established under the UNFCCC to provide funding for concrete adaptation projects and programmes. To obtain this funding directly from the

Fund, a national implementing entity (NIE) nominated by the Designated Authority or Focal Point of the Adaptation Fund in the country is required to obtain accreditation with the Fund. Would your country be interested in accrediting an NIE with the Adaptation Fund?

Graph 2: Interest in accreditation of an NIE with the Adaptation Fund



| ANSWER CHOICES | RESPONSES | |
|----------------|-----------|----|
| Yes | 100.00% | 28 |
| No | 0.00% | 0 |

Q2. Please explain why or why not would your country be interested in accrediting an NIE with the Adaptation Fund

Responses:

- To access resources directly
- To facilitate accessibility of the AF
- When a country has a NIE it becomes easy to have access to funds from Adaptation Fund and then implement projects targeting to address climate change effects.
- 70% of the forests of the Congo Basin are in the DRC; which puts it in 2nd place in the world after the Amazon. With climate change, countries presented their INDC (CDN) in Paris expressing their desire to reduce their emissions by 17% by 2030 with agriculture, forests and energy as sectors taken into account. Having a national entity for the Adaptation Fund would contribute to the implementation of this INDC to achieve the objectives set by the country not only in terms of adaptation but also in terms of climate change mitigation.
- We need that funds from AF to be used by an independent national entity for sustainable development projects at grassroot level responding climate change challenges. This will allow a better management of funds to avoid a mismanagement through ministries.
- For ease in accessing the Adaptation Fund for projects and programmes
- Our country, Guinea with a poverty rate of 43.7%, would be interested in the fact that it is a

developing country, like its peers, remains vulnerable to climate change. With the 2014 census, the population was 10,523,361, of which 52% were women, with a growth rate of 2.9%. The active agricultural population in 2015 was 44.80%. With 14 cross-border basins, access to water is a problem that constrains the fragile layers (women, young girls and children) to additional activities. Support for actors in adapting to climate change will focus on the main socioeconomic activities practiced by the population.

- Easily access funding and give international visibility to a national entity
- So far, the country does not have an accredited Adaptation Fund Entity, which makes it difficult for us to access the resources of the fund for implementing adaptation activities.
- Indeed, the accreditation of a NIE is strongly expected since DRC has been interested in AF. NIE is important for direct access to funding. We have projects at community level that need quick funding. A Another reason is that we will be able to follow financial expenses and ensure transparency. NIE knows real problems and needs of the country.
- To have direct access to funding from the AF
- Currently, my country doesn't have any NIE which is accredited by the AF; therefore, my country is striving to take advantage of the opportunity and have NIE
- For strengthening internal processes in the administration and management of external resources and use all resources in projects and not in administrative expenses to third parties.
- In view of increasing challenges to climate change impacts which will require more resources for adaptation as a Small Island Developing State, there is need to compete for more funding from the limited international sources. As an NIE, direct access to the Adaptation Fund will provide an advantage to address adaptation measures
- The Democratic Republic of Congo (DRC) is indeed interested in having a National Implementation Entity (NIE) accredited by the Adaptation Fund. The country is home to one of the largest natural forests on the planet (the equatorial forest). This forest is of inestimable importance beyond its rich biodiversity and its crucial role in mitigating global warming. The DRC is among the 10 African countries most vulnerable to climate change. Based on its ambition to reduce its GHG (Greenhouse Gas) emissions by 17%, ambition expressed in its conditional INDC (National Determined Contribution) and presented at the COP 21 held in Paris in 2015, the DRC considered it relevant to collaborate closely with the Adaptation Fund. It wishes to have an NIE capable of facilitating the development, implementation, and monitoring-evaluation of policies, programs and projects for mitigation and adaptation to climate change. The different sectors taken into account in its conditional INDC include agriculture, forestry and energy, with financing needs estimated at USD 21.622 billion, of which USD 9.082 billion for adaptation and USD 12.540 billion for mitigation. Having its own NIE for the DRC would undoubtedly allow the country to take ownership of the issue of climate change and the challenges in terms of mitigation and adaptation. This ownership would guarantee the internalization and sustainability of climate change actions and their optimal implementation at a lower cost through the use of a local workforce. This NIE would undoubtedly contribute to strengthening the country's capacity in the development, implementation and monitoring and evaluation of policies, programs, projects and other activities relating to climate change.

- Mozambique is an underdeveloped country that has signed the Paris Agreement and has made in the last 5 years a lot of commitments in order to reduce the effects of Climate Change, such as the design and approval of policies and implementation of various activities that aim at achieving the objectives of COP 21 (to maintain the increase of temperature below the 2oC).
- Guyana, like many countries, has been impacted by the effects of climate change. The country's vulnerabilities compounded by limited access to resources and capacities to adapt and mitigate the challenges of climate change have placed Guyana in a difficult position. The Adaptation Fund can assist Guyana through financial and non-financial support in its efforts to adapt to and mitigate the effects of climate change
- Uruguay is a country particularly vulnerable to climate change, which has mitigation and adaptation needs, beyond those that the government already carries out. The Ministry of the Environment of Uruguay aspires Corporación Nacional para el Desarrollo (CND) to have a strategic role in managing efforts made with additional support. As an organization with legal status of non-state public law, responsible to facilitate the execution of public policies to support national development, CND is an integral facilitator in the planning, direction and management of projects of public interest. It has substantive experience in managing international funding from multiple sources as well as structuring national funds. CND is a strategic ally for the NDA for designing innovative financial instruments and public-private partnerships to implement climate action, and for a more comprehensive engagement with stakeholders that need further involvement in the climate agenda, in particular subnational governments (CND works very closely with the 19 subnational governments "Intendencias" all over the country), private sector and financial sector. In the 2015-2019 period, CND executed through trusts and the administration of third-party funds approximately USD 600,000,000 (national and subnational resources) and executed public infrastructure works for USD 300,000,000. CND is well advanced in the GCF accreditation process, very close to the end of Stage 1. Its accreditation is expected to take place in the first half of 2021.
- It is important for Syria to be an authorized entity to implement projects. We sometimes face difficulties when submitting the project because we must find an implementing body approved by the fund, and these authorities need approval from the Ministry of Foreign Affairs, so preparing projects takes much more time than if Syria was an approved party.
- My country would be interested in accrediting an NIE because: 1. mobilizing funds it will be facilitated, 2. all of project related with Adaptation will be integrated, and 3. facilitation of receive funds.
- As a developing country, my country is suffering from adverse effect of climate change, of which it does not contribute up to 1% of global warning. My country has projects and concept notes likely to receive funding for adaptation. With an NIE, access to funding would be made easier for the country to develop full conceptual notes.
- As an LDC country, the most critical challenge to adapt and mitigate the impact of climate change is financial availability to support the country to implement adaptation and mitigation actions. Therefore, through the Adaptation Fund Timor-Leste particularly government institutions are interested to apply for the accreditation NIE to get some financial support to support the country and at the same time, it is part of the capacity

building for Timor-Leste to gain experience in implementing project directly.

- The reasons for our country be interested in accrediting an NIE are Greater ability to focus on adaptation issues we need to improve and greater capacity to prioritize the most vulnerable people and areas in the country.
- To date, Burkina Faso does not have a national entity for the Adaptation Fund. There is therefore a need for the country to have such a structure whose mission will be to provide a framework for financing projects that work to increase capacity to adapt to climate change.
- Because the Entity will design and implement the projects regarding adaptation issues according to the priorities of the country. This Entity will raise funds from AF.
- Colombia has not carried out any accreditation process considering that it does not have knowledge on the subject and neither have formal applications been received by entities. Notwithstanding the above, we would like to receive training from the Fund on the subject.

Q3. The process to obtain accreditation with the Fund requires submitting an application form and providing evidence of how the entity meets the accreditation criteria (please click here for information on accreditation requirements). What challenges have you faced/would you expect to face meeting the requirements for accreditation to the Fund?

Responses:

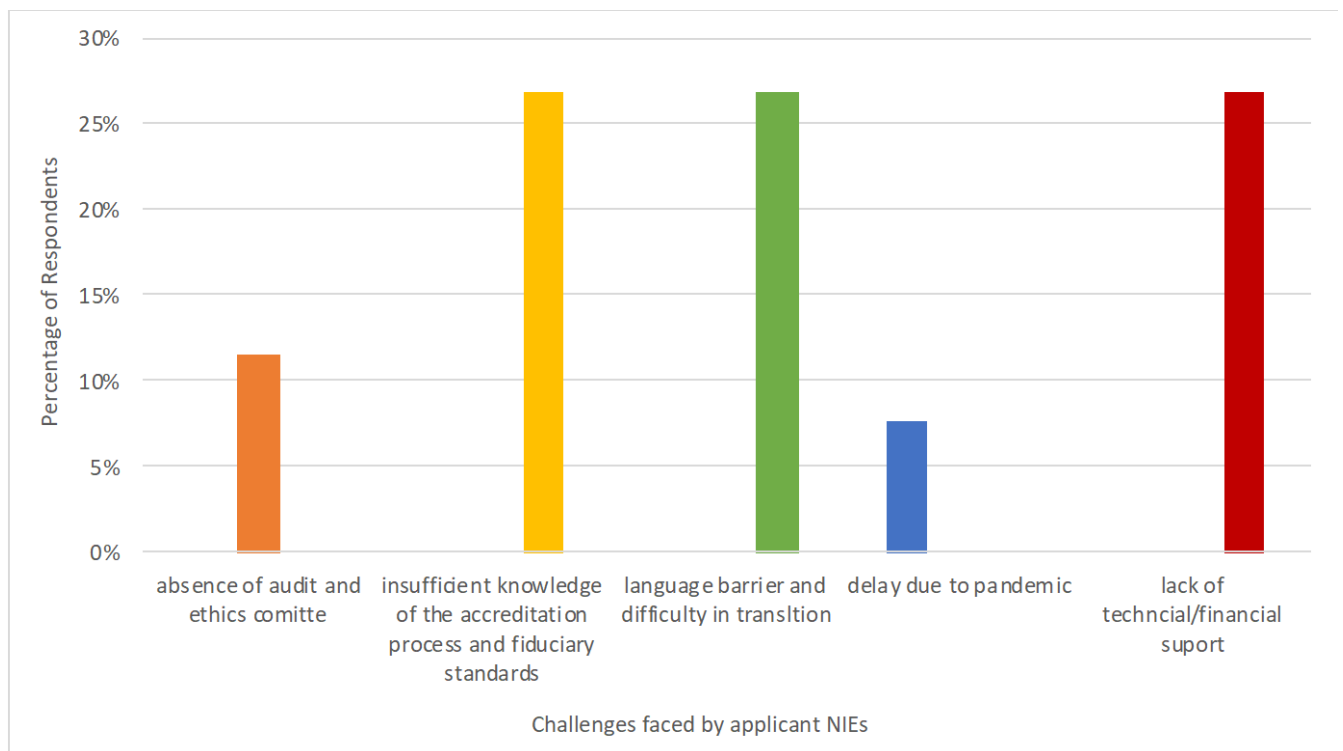
- The language of the application or the forms to fill out that are only in English
- We faced three challenges: Financial support, Technical support, Complete required documents
- Bank of Industry in Nigeria was nominated by the Designated National Authority for accreditation and were stalled due to some issues which they have rectified and are willing to conclude the accreditation process.
- The first challenge was the non-existence of an auditor. CERE's parent university did not have one. It took advocacy, with the support of the Supervisory Department and the Board of Directors, so that this Commissioner's office was quickly recruited. The second challenge was the drafting of the Internal Regulations and Statutes of this University. These texts have been drafted and validated. The contribution of the Director General of CERE in meeting these challenges was major. Despite the administrative and financial management experience of CERE, recognized by the authorities (the qualification of executives in the project phase), the preparation of technical documents required a lot of time and energy.
- Insufficient knowledge, lack of national means and difficulty of the accreditation process
- have an accredited entity for Guinea
- lack of support by the accredited entities
- Be able to connect with national legislation to receive external resources the resources that would be received, as well as the translation into English of the documents and requirements required.
- difficulties faced in order to qualify a NIE to meet Fiduciary standards set by the Adaptation fund Board

- Mauritius has already undergone the process and the Ministry of Environment has been nominated to act as the NIE since February 2020. Models have been provided by the Centre Suivi Ecologique to prepare the manuals. However, due to COVID an extension has been requested to prepare the manuals which are still under preparation.
- During its accreditation process, UCM, Project Coordination and Management Unit, had to explain to the Fund's secretariat the various changes to which it was subject before becoming a permanent structure. In July 2016, UCM's mission was extended to the coordination and management of all electrification projects under the responsibility of the ministry in charge of electricity and its name changed to the Coordination and Management Unit. projects of the Ministry of Hydraulic Resources and Electricity (UCM). UCM's accreditation process took a long time due to a number of factors including: several departmental changes, language barriers (French / English), novelty of the experience which required several amendments and corrections of the documentation provided to the Fund.
- The challenges that are expected to be faced are related to knowledge and understanding of local content by the secretariat/staff of the AF; the bureaucratic processes related to procurement legislation in Mozambique are one of the major challenges that might delay the process.
- Guyana has commenced the accreditation process. The major challenge experienced is the format of the data required by the AF, which in some instances, the information provided by Guyana does not coincide with the AF's format.
- CND has developed policies and procedures required for accreditation with the GCF, which are very similar to those required in the accreditation process with the Adaptation Fund. We hope that the institutional development carried out by CND to meet the GCF standards will also be valued by the Adaptation Fund. The main challenge is preparing the responses to the Adaptation Fund form, in order to attend to specific questions, as well as to collect or prepare the additional documents that are requested.
- no challenges except that there is Difficulties lie in transferring financing funding to Syria through accredited international banks due to unilateral economic coercive measures
- Language, because the official language of Mozambique is Portugues and Bureaucracy in the process of accreditation.
- some of the challenges include demonstrating its commitment and capacity to comply with the Environment and Social Policy and Gender Policy of the Adaptation Fund in the implementation of the Fund's projects or programmes.
- Timor-Leste through the Secretary of State for the Environment, National Directorate of Climate Change (NDCC) is currently in the phase of filling up the application form for accreditation. The main challenge NDCC encountered so far is providing updated information, specifically for a recent audit report. This information has not available because currently, under NDCC there are two new projects supported by EU PACRES, one project just completed last year supported by the EU, however, due to the COVID-19 the audit has not been done yet it is planning to be done this year. The NDCC will just put a note on the form, once the audit report available NDCC will share it with the panelists for consideration.
- The main challenges to achieve accreditation are the lack of compliance with some criteria that the country should develop and implement in order to comply, for example, with

environmental and social safeguards. The lack of resources to have a team dedicated exclusively to the mission of complying with all the criteria and guiding the authorities to comply with those criteria.

- The link I have to click to see the accreditation criteria doesn't work.
- We faced two main challenges to name: unavailability of some administrative and financial documents such as administrative and financial procedures; antifraud policy; code of ethics and professional conduct; charter of the ethics committee; internal audit charter; gender strategy; grievances management mechanism; monitoring assessment manual; project management; strategic framework for environment social management. The absence of some administrative and financial support structures: ethics committee and audit committee.

Graph 3: Challenges faced by applicant NIEs to meet the Fund's accreditation requirements



Q4. The Adaptation Fund has a Readiness Programme through which developing countries can receive grants and non- financial support to assist NIEs navigate the accreditation process of the Fund. What kind of support do you need for your country's entity to obtain accreditation with the Fund in the shortest possible time?

Responses:

- accompaniment and advice to complete the requirements
- Financial and technical support
- I strongly believe that the readiness supports should not be only for NIE's as the DA review

the projects of NIE and their capacities needs strengthening otherwise the process is incomplete.

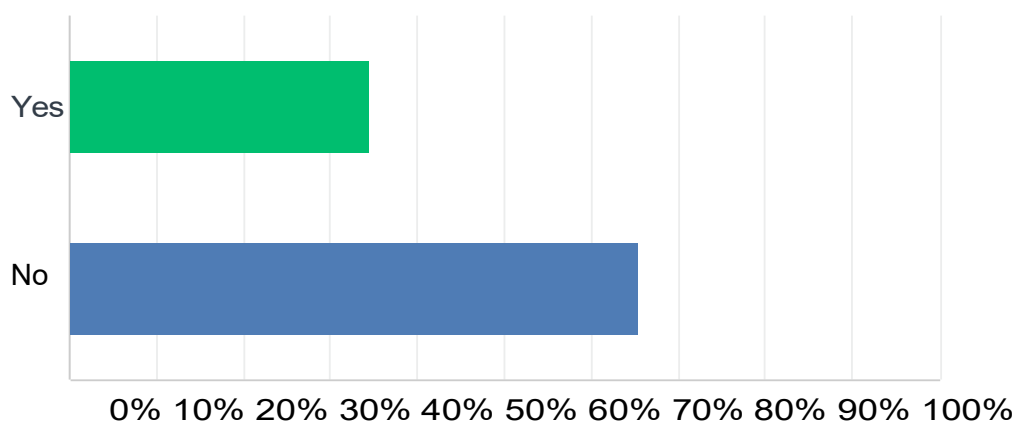
- The help we are waiting for is the technical and financial support to be there for the March 2021 session. To this end, we would like diligence in processing and correcting any shortcomings.
- entity upgrade, international expert to support the entity in the accreditation process and financial support to prepare
- Immediate short-term technical assistance to support the country in finalizing its dossier. Also, a grant to support the country in raising awareness among policy makers about the country's need for access to adaptation funds due to the problems linked to the country's vulnerabilities as small developing islands.
- technical and financial capacity building
- capacity to formulate projects and readiness program support
- Advice and direct support in Spanish to complete the requirements and steps for accreditation
- Assistance needed to build the internal capacity of potential NIEs for required document preparation
- UCM wishes to receive any support or technical assistance to help it evolve in the process and accelerate its accreditation to the Fund. Once accreditation has been obtained, UCM will need technical assistance to be fully operational in this area. The objectives of this desired technical assistance program are, among others: to obtain an already existing NIE (for example, the Interprofessional Fund for Research and Agricultural Council (FIRCA) in Côte d'Ivoire or the Ecological Monitoring Center (CSE) in Senegal to help finalize the accreditation process and accelerate after its accreditation the development, execution, monitoring-evaluation and management future projects and programs with the AF.
- Mozambique would need support to strengthen the NIE to have everything in place (policies, internal strategies, documentation) that might be required to get accredited by the AF. For this, not only a grant would be required, but also, technical assistance from experienced staff and/or consultants would be very important. Local knowledge would be extremely important, and for that, the hiring of a National Consultant would be helpful.
- Guyana would appreciate assistance in arranging a learning session with another country that has already been accredited to facilitate the completion of the accreditation process.
- It would be very important for CND to have a technical resource that provides support to the process of uploading information and documents to the system.
- Syrian Arab republic HAS NDA in the ministry of local administration and environment FOR THE AF, but we don't know why the ministry can't be the implementing entity for the readiness projects, there is barriers
- We need Capacity building and financial support.
- Timor-Leste through NDCC will need support such as grant and technical assistance to support in getting the accreditation. The grant will be utilized to hire consultants to design a framework or procedure that the country must follow this will be coordinate and consult with the relevant stakeholders, for instance for the Green Climate Fund it is required the country to develop its country program. Technical assistance is also critical in applying for the accreditation process, as capacity building is one of the main driving issues to respond to

access the funds directly. Therefore, the TA will support NDCC to provide advice on the framework and guidance on how to successfully apply for the accreditation.

- We need three elements: A continuous advice from start to finish to know in detail the best way to submit a successful application; A dedicated country team to complete the criteria completion form and endorsements; Financial resources to cover the costs of consulting for human talent that will support the work.
- Burkina Faso, through the SP / CONEDD (current SP / CNDD) had initiated an accreditation process with the Adaptation Fund in 2013 through an entity called EMOFA-B (Implementation Entity of the Adaptation Fund Burkina Faso). Unfortunately, the process was unsuccessful. It would therefore be important to conduct reflections and consultations in order to see whether to continue the process with EMOFA-B or to identify a national structure that meets the eligibility criteria and initiates a new process. It should also be noted that Burkina Faso is currently engaged in the accreditation process of 2 national entities with the Green Climate Fund. These are the FIE (Environmental Intervention Fund) on behalf of the public and Coris Bank international on behalf of the Private.
- We need both technical and financial support. Technical support: we need expert in accreditation process to assist us. For our case we have already got CSE Senegal to assist us and application form has been submitted to the AF and is under review. Financial support: to elaborate missing documents and pay the consultants. we have got financial support from FA through CSE Senegal and document both financial and administrative have been written in French and translated in English and consultants paid.
- we would like to receive basic training on the funding windows, how to access them, and accreditation processes. Given the recent changes in the Colombian Ministry of Environment, we need to strengthen the capacity of the staff in knowledge on how it works.

Q5. Are you receiving, or have you ever received support (either monetary or non-monetary) for accreditation to the Adaptation Fund from any other organization/agencies other than the Adaptation Fund?

Graph 4: Support received from other organizations for accreditation to the Adaptation Fund



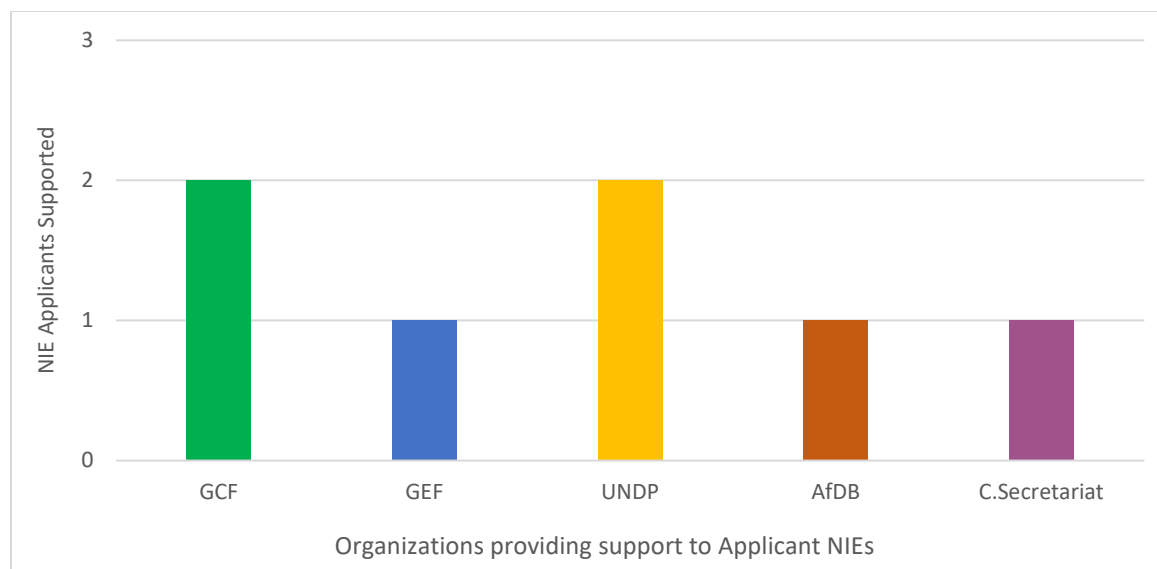
| ANSWER CHOICES | RESPONSES | |
|----------------|-----------|----|
| Yes | 34.62% | 9 |
| No | 65.38% | 17 |

Q6. If you answered Yes in the previous questions, please state from who you received the support, the year you received it and the nature of the support?

Responses:

- During the period 2012 to 2015, the accreditation process was supported by the State and the UNDP which was the executing agency for the following projects: PANA, COGEL, TICAD-V.
- We received the support from GEF and GCF from 2014-2018. The nature of the support is technical and financial.
- In – progress. We are in stage of preparing the full proposal of adaptation fund we receive the approval for the concept note. The project will be implementing by UNH, UNDP, FAO
- GCF Readiness Support in the years 2019 and 2020; through URY-RS-004 and URY-RS-005 agreements.
- In 2019, Guyana has received advisory support services sponsored by the Commonwealth Secretariat - Climate Finance Access Hub.
- UCM received indirect assistance from the AfDB through the financing of technical support from Eburnie Consulting Group (EcG) which assisted it in the development of all online forms and documents required to initiate the process accreditation with the Fund. He also assisted it in the preparation and finalization of the following documents: (1) Environmental and Social Policy, (2) Code of conduct and ethics, (3) Guide for project evaluation, (4) Mechanism of Complaints Management, (5) Gender Policy, (6) Anti-fraud Policy, and (7) Risk Management Charter. Year of granting of the ADB grant through EcG: 2018 Grant amount: US \$ 60,000. The AfDB has supported the private Consulting Group, ECG to assist us preparing the accreditation of the UCM, as our NIE.
- We received technical support from the Dakar Ecological Monitoring Center in July 2019 as part of the SSC in the CERE facilities in Conakry in the Republic of Guinea for the assembly of the file, the follow-up of the update of the file and the application on the platform.

Graph 5: Organizations providing monetary and non-monetary support to applicant NIEs



Q7. Any other information you wish to share with the Adaptation Fund Board Secretariat about the type of readiness support available for accreditation to the Adaptation Fund and/or accessing such support?

Responses:

- It is important to know or have contact with the person within the Adaptation Fund who can give support and advice to each country.
- My country has got a financial support from AF in the process to obtain accreditation. Also, we have been given the "Centre de Suivi Ecologique" from Senegal for technical assistance. We have already submitted the application and we wait for comments from AF panels.
- N/A
- We have attended workshops with the AF Secretariat, including the clinic process toward accreditation. Ms. Silvia Mancini has been helpful because she actively assisted us during this process for UCM. Thank you for her commitment.
- Nigeria needs to know when the accreditation process for Bank of Industry will be concluded as it is preventing the country from making further progress with the Adaptation Fund.
- We very much hope to obtain this accreditation from the next session. For implementation, we need recognized procedures of the climate change adaptation fund: setting up projects related to AF, administrative, financial and accounting, monitoring and evaluation of these projects and reporting; to better meet the requirements of the bottom.
- Algeria is very interested in the possibility of direct access to the resources of the Adaptation Fund. Our country is the largest country in Africa, and it is vulnerable to the effects of climate change. Algeria is located in the Mediterranean region, region considered by the Intergovernmental Group of International Experts on Climate Change (IPCC) as one of the 24 "hot spots" most vulnerable to climate change. Affected by recurrent extreme climatic

phenomena (floods, droughts, forest fires, etc.). Also appointing national institutions for accreditation as National Implementing Institutions (NIIs) is very important; they will be responsible for approving project and program proposals presented by our country and will be the direct recipients of funding.

- We would like to know in more detail the mechanisms and support for accreditation of our national entities.
- The interest in promoting the issue of national accreditations is appreciated.
- we need learning grant, to include the foundations of adaptation in plans and curricula, raise environmental awareness, and introduce adaptation practices in the local community, especially agricultural and water sectors
- No more information
- We would like to know the dates for submitting requests, response times for observations, formats for requesting these funds and amounts available for this stage.
- The secretariat can also give its opinion and advice on the link that can be made with the accreditation process of current national entities (FIE, Coris bank) and accreditation with the Adaptation Fund.
- We got financial support from the AF for accreditation progress. CSE Senegal assisted us technically. For now, the application form is under review. We are grateful to the AF for its financial support.