

# Accreditation Toolkit

## Case Study 1

A potential National Implementing Entity submits an accreditation application to the Adaptation Fund Board Secretariat. The secretariat, in its assigned role to check the completeness of an application, reviews the documentation submitted. During this review, it is discovered that an endorsement letter from the country's Designated Authority is not attached. The secretariat then checks its records for the name of the Designated Authority for the country and discovers that a Designated Authority has not been nominated by the country as yet.

**Action:** The Adaptation Fund Board secretariat will alert the country that it needs to nominate a Designated Authority and then resubmit the accreditation application of the potential NIE.

## Case Study 2

The Designated Authority of a country would like to start selecting an appropriate NIE for the Adaptation Fund.

**Action:** The Designated Authority of a country will start to review institutions that might meet the appropriate standards that are required by the Adaptation Fund. To do that, it might use some of the guidance below.

A conviction by the Designated Authority that the proposed NIE can demonstrate and give evidence of its fiduciary abilities and obtain the accreditation from the Adaptation Fund. This would involve a preliminary evaluation by the Designated Authority that the potential NIE meets the Fiduciary Standards and can demonstrate this during the accreditation process.

A preliminary assessment by the Designated Authority that the potential NIE is the most capable within the country to take responsibility and accountability for the full project cycle elaborated upon above in an agile, efficient and effective manner.

There is an optimal organizational structure for the implementation task which in most cases would imply that the entity has a separate corporate structure and that the implementation of projects is one of its significant activities.

A conviction by the Designated Authority that the potential NIE has a zero tolerance for fraud which is demonstrated by its top management. Thus the potential NIE should have the ability to take on the responsibility of the full project cycle in an environment free from direct and indirect fraud and corruption from its own staff and from third parties and have the ability to resolve any allegations thereof in a transparent and complete manner involving required authorities as needed.

Have the ability to work together with government entities, levering co-financing organizations and other stakeholders within the country in order to identify, appraise, implement and evaluate projects related to adaptation.

A clear demonstration that the potential NIE can bring a significant value added component to Adaptation Projects over and above what existing and accredited Multilateral Implementing Agencies can bring. While the enhancement of country ownership, capacity building and strengthening of country systems are important they should not be at a great expense to the effectiveness of adaptation projects.

### **Case Study 3**

A potential National Implementing Entity has submitted the accreditation application. During the review of the documentation it is discovered that the institution being recommended to be the potential NIE by the country has not submitted the full documentation but has referred to documentation of another institution as its supporting documentation. This documentation has however not been linked or submitted.

**Action:** The Adaptation Fund Board secretariat will refer back to the country to provide full documentation either through internet links to the document or through hard or soft copy. Without full access to the documents, the Accreditation Panel is not in a position to review and recommend accreditation of the potential NIE to the Adaptation Fund Board.

Once the country has provided the full documentation, the Accreditation Panel will review and make a recommendation to the AFB.

## **Case Study 4**

A potential National Implementing Entity has submitted the accreditation application along with the document that is not relevant to the standards that they intend to demonstrate.

**Action:** The Adaptation Fund Board secretariat will refer back to the country to the potential National Implementing Entity to provide relevant documentation. Once the relevant documentation are made available to the Accreditation Panel (through the Adaptation Fund Board secretariat) will review and make a recommendation to the AFB.

## **Case Study 5**

While reviewing the existing institutions to be potential NIEs, a Designated Authority needs to identify an institution that contemplates to meet the fiduciary and management standards set by the AF and be accountable.

**Action:** Project identification, development, appraisal and approval and in this process draw upon the government, national and other donor resources needed therefore.

- Contract with executing agencies and monitor their progress including identifying projects at risk and ensure these are continuously followed until corrective action has resolved or mitigated the risks to the project.
- Having ready access to the necessary technical, financial, economic, environmental and legal resources to support the project and manage the project executing agencies.
- Ensuring that there are the needed contracting, disbursement and control mechanisms over the projects in compliance with national and international procurement rules and regulations.
- Ensuring that there is full accountability through complete and periodic financial and status reporting for each project.
- Having the ability to contract and guide an independent evaluation of projects on a post completion basis and effectively deal with the lessons learned.
- Demonstrating a zero tolerance policy related to fraud and other mismanagement on projects that is supported by the most senior management. Therefore the unit must have access to or establish a mechanism to receive allegations within a framework of whistleblower protection and ensure that each allegation is investigated and concluded

upon and continuously monitor the progress of each complaint until a conclusion is reached.

- Ensuring that there is full accountability through complete and periodic financial and status reporting for each project.
- Having the ability to contract and guide an independent evaluation of projects on a post completion basis and effectively deal with the lessons learned.
- Demonstrating a zero tolerance policy related to fraud and other mismanagement on projects that is supported by the most senior management. Therefore the unit must have access to or establish mechanisms to receive allegations within a framework of whistleblower protection and ensure that each allegation is investigated and concluded upon and continuously monitor the progress of each complaint until a conclusion is reached.

**END OF DOCUMENT**