

The background of the slide is a vibrant blue image of a water splash. A central water droplet is captured mid-fall, with a small globe of the Earth inside it. The splash creates concentric ripples that spread outwards, and the overall color palette is various shades of blue, from light to deep navy.

*Accreditation of a National
Implementing Entity
The Case of ANII*

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Outline Presentation



- The Climate Change: a global problem
- Access to the Resources Adaptation Fund
- Why to accredit a NIE? Strategic advantages for the country
- Attributes of a NIE
- The Accreditation of ANII as a NIE of Uruguay
- The accreditation process from ANII's perspective
- Documentation to be submitted for the accreditation
- Examples of exchanges with the Adaptation Fund to clarify some aspects
- Sharing some lessons learned
- Our current situation

The Climate Change: a global problem



- ▶ The United Nations Environment Program showed that the number of people affected in the region by extreme temperatures, forest fires, droughts, storms and floods increased from 5 million in the '70s to more than 40 million since 2000 to 2009
- ▶ The international community's response: Kyoto Protocol of the UNFCCC (United Nations Framework Convention on Climate Change)
- ▶ *Financial Resources for the Climate Change problem: The Adaptation Fund : June, 2011: US\$ 172 M (late 2012: US\$ 370M)*

Access to the Resources of the Adaptation Fund



- The parties complying with the requirements can submit their projects **directly** to the AF through an **accredited national implementation entity (NIE)**.
- A group of parties may also nominate **regional and sub-regional entities as implementing entities**
- The parties may submit their proposals through an **accredited multilateral implementing entity (MIE)**

The strategic decision to establish a NIE: benefits for the country



- Increased funding opportunities for vulnerable developing countries
- Direct access to the Adaptation Fund resources
- Development of management skills in order to access the Adaptation Fund
- Approaching the problem from a national perspective:
 - Priorities identified internally by developing countries
 - It ensures the coherence with the national strategies on development, poverty reduction and climate change
 - Prioritization considering existing policies
- Better control over the process and timing

Lower administrative costs

Attributes of a NIE (I)



- **Comply with the the fiduciary standards established by the AF:**
 - Management Capability and financial integrity
 - Institutional Capability
 - Transparency
- **Capability to assume full responsibility for the general administration of the projects and programs**
- **Capability to assume financial responsibilities, follow-up and report presentation**

Attributes of a NIE (II)



- ▶ Climate Change Adaptation Projects involve different sectors and institutions addressing environmental, social and economic aspects.
- ▶ The NIE must have:
 - Strong articulation capabilities and expertise
 - Solid expertise in program and project managing
 - The support of the national authority in environmental policies
 - A fluent relation with the national authority and relevant agents

Accreditation of ANII as NIE

Why ANII?



- ANII is a key player in the implementation of the National Strategic Plan in Science, Technology and Innovation of Uruguay. Environmental issues are a priority in this plan
- ANII has a strong experience executing Programs and Projects financed by national sources and international entities (IDB, World Bank and the European Commission)
- Operational processes documented and certified (ISO 9001:2008)
- Evaluation system and projects follow up
- External auditing systems implemented according to international organizations' demands
- Proven management skills (running US\$ 30 million per year budget).
- Dynamic processes (ANII is a non-state public agency which operates under the private law).

The accreditation process from ANII's perspective



- ▶ Once the decision has been taken, the process is:
 - Dynamic: it takes only two or three months depending on the Board's meetings
 - Clear: there are clear guidelines during the process
 - Highly demanding in terms of management capabilities
 - Supported by the Fund when specific consultations are required (the fund staff provides excellent feedback)

Documentation submitted for the accreditation (I)



- ANII's accreditation application
- ANII's presentation
- Law 18.084 (ANII's creation law)
- Quality Austria ISO 9001:2008 certificate
 - IQnet 2009 certificate
 - LSQA ISO 9001:2008 certificate
 - quality guidelines of ANII
- Summary of funds managed by ANII
 - loan 7445-UR with the World Bank
 - loan 2004 OC-UR with the Inter-American Development Bank
 - ATN KK 10271 UR cooperation with the Inter-American Development Bank
 - ATN NI 11225 RG cooperation with the Inter-American Development Bank

Documentation submitted for the accreditation (II)



- KPMG AUDITOR'S REPORT FINANCIAL STATEMENTS ANII 31-12-09
- KPMG AUDITOR'S REPORT FINANCIAL STATEMENTS ANII 31-12-08
- KPMG AUDITOR'S REPORT FINANCIAL STATEMENTS ANII 31-12-08
LOAN 2004 OC-UR IADB
- KPMG AUDITOR'S REPORT FINANCIAL STATEMENTS ANII 31-12-08
INNOVA EUROPEAN UNION
- KPMG AUDITOR'S REPORT FINANCIAL STATEMENTS ANII 31-12-07
- COURT OF AUDITORS REPORT FINANCIAL STATEMENTS ANII 31-12-08
LOAN 7445 WORLD BANK
- AUDITOR'S REPORT FINANCIAL STATEMENTS ANII 31-12-08 ATN KK
10271 UR IADB
- EVALUATION GUIDELINES ANII SAMPLE
- PROJECT MANAGEMENT SYSTEM ANII
INTEGRAL ADMINISTRATIVE MANAGEMENT SYSTEM DOCUMENTATION

Examples of exchanges with the Adaptation Fund to clarify some aspects (I)



- ▶ Some consultations received during the accreditation process:
 - The status of the ANII´s Accounting System Manual (operational or under development).
 - Details of the payment and disbursement procedures.
 - The ANII´s budget approved by the Government.
 - The status of the Project Management System

Examples of exchanges with the Adaptation Fund to clarify some aspects (II)



▶ Legal Aspects:

- A legal opinion explaining how ANII's objectives, set out in the law 18.084, allows the Institute to take the role of NIE
- A clarification of ANII's legal status and the Fiduciary Standard
- Details and evidence that procurement policies and procedures (related to projects) follow national standards and that they are consistent with recognized international practice (including dispute resolution procedures)
- Policy framework, or procedures of risk assessment and mitigation strategies

Sharing some lessons learned



- The evaluation process was comprehensive, evaluators made a deep analysis of the information submitted
- Requests for clarification are made with little time for the Board meeting, the technical team should be prepared and available.
- A multidisciplinary team must lead the accreditation process (information involves the different and areas and processes of the organization).
- Take into account translation delays
- Perform all necessary consultations to the AF during the accreditation process

Our current situation



- Managing the first project submitted to the FA, based on climate change adaptation in the agricultural sector.
- The project was submitted in a two stage process
 - Initially we submitted a Concept Note with the project idea, the concept note was approved by the board in march 2011
 - The Project was fully developed and submitted in October to the Adaptation Fund Board.
- Application and management of a Project Formulation Grant (PFG)
- The project will be evaluated by the Board in December



ANII

THANK YOU

www.anii.org.uy