

## **Accreditation Application – Sample Completed Document**

### **SECTION I: Background/Contact**

<b>Nominated Entity (if NIE):</b>		
<b>Invited Entity (if MIE):</b>		
<b>Address:</b>		
<b>Country:</b> <b>Postal Code:</b>		
<b>Telephone:</b>		
<b>Fax:</b>		
<b>Web Address:</b>		
<b>Contact Person:</b>		
<b>Telephone:</b>		
<b>Email:</b>		

### **SECTION III: Requisite Institutional Capacity**

#### **Specific Capability Required**

- a) Ability to manage procurement procedures which provide for transparent practices and adequate control
- b) Project preparation and approval. This should include impact (environment, socio-economic, etc) assessment study with risk assessment and mitigation plans
- c) Project implementation Planning and Quality-at-entry Review
- d) Project Monitoring and Evaluation during implementation
- e) Project closure and final evaluation

#### **Description of how entity meets capabilities required**

<b>Inventory of Current Organizational Environment</b>	<b>Document References</b>

#### **Examples of Supporting Documentation**

**Required Competency:** *Requisite Institutional Capacity*

<b>Sr No</b>	<b>Verification</b>	<b>Supporting documentation that may be provided</b>	<b>Assessment /Remarks</b>
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<p><b>a</b></p>	<p><b>Evidence of transparent and fair procurement policies and procedures at the national level that are consistent with recognized international practice (including dispute resolution procedures)</b></p>	<p><b>i) Procurement Policy</b></p>	<p><b>The following Acts/Policy guidelines govern the procurement function in the entity:</b></p> <ol style="list-style-type: none"> <li><b>1. Public Procurement Act provides broad guidelines and overall structure for the procurement function (copy of act attached at Annex .....)</b></li> </ol> <p><b>Provide brief write-up on policies and guidelines for procurement of goods, services and contracts for projects, if this differs from procurement for normal operations.</b></p>
		<p><b>ii) Detailed procedures or guidelines including composition and role of key decision making committees</b></p>	<p><b>The procurement manual (dtd .....) provides detailed procedures for undertaking procurement within the entity (copy of manual attached at Annex .....).</b></p> <p><b>The key decision making committees in respect of procurement within the entity are:</b></p> <ol style="list-style-type: none"> <li><b>1. Committee 1 – give name and role and responsibilities</b></li> <li><b>2. Committee 2 – give name and role and responsibilities</b></li> <li><b>3. Committee 3 – give name and role</b></li> </ol>

			<p><b>and responsibilities</b></p> <p><b>In case documented ToRs (Terms of Reference) of these committees are available, copies of the same should be provided.</b></p>
		<p><b>iii) Provisions for oversight/audit /review of the procurement function with sample oversight/audit/review reports</b></p>	<p><b>Describe the provision for internal and external oversight/review of the procurement function, including reference to the Procurement Act/Policy guidelines under which the oversight mechanism has been established.</b></p> <p><b>Copies of the internal and external oversight reports for the last 2 years are attached (Annex .....)</b></p>
		<p><b>iv) Procedures for handling/controlling procurement in Executing Agencies</b></p>	<p><b>In case the applicant entity uses the services of External Executing Agencies for execution of projects provide procedures for procurement by the External Executing Agency including details of how the applicant entity maintains control over such procurement.</b></p>
<b>b</b>	<b>Demonstration of capability and experience in</b>	<b>Detailed project plan documents for 2 projects</b>	<b>Briefly describe the system (including procedures and formats) used in identification and design of projects.</b>

	<p><b>identification and design of projects (preferably adaptation projects)</b></p>		<p><b>Attach separate sheets/documents, if necessary.</b></p> <p><b>2 detailed project plan documents prepared in the last 18 months are attached (Annex .....)</b></p>
	<p><b>Demonstration of availability of/ access to resources and track record of conducting appraisal activities</b></p>	<p><b>i) Details of the project approval process/procedure</b></p>	<p><b>A write-up/manual covering the detailed process/procedures and relevant templates used for project appraisal covering the following key areas is attached (Annex .....):</b></p> <ol style="list-style-type: none"> <li><b>1. Detailed analysis of the technical, financial and managerial feasibility and viability of the project and the likelihood of the project meeting its objectives and ensuring returns as envisaged.</b></li> <li><b>2. Assessment of the likely project risks and development of corresponding mitigation strategies risks at the project formulation and appraisal stage.</b></li> <li><b>3. Assessment at the appraisal stage of the likely technical, financial, economic, social, environmental, and legal impact of the project</b></li> <li><b>4. The authority levels - key decision</b></li> </ol>

			making levels within the entity at the various stages of the project approval process
		ii) 2 samples of project appraisals undertaken	<p>2 sample documents of project appraisals undertaken over the last 18 months which demonstrates the capability of the entity to undertake a comprehensive appraisal process as provided for in the project approval process are attached (Annex .....). The documents are for the following projects.</p> <ol style="list-style-type: none"> <li>1. Project A - Name of project with approval date</li> <li>2. Project B - Name of project with approval date</li> </ol>
	Demonstration of the ability to examine and incorporate the likely impact of technical, financial, economic, social, environmental, and legal aspects into the project at the appraisal stage itself	Sample of project documents which demonstrate this capability	Provide reference to the project documents being submitted for the appraisal process. Alternatively, if considered necessary attach different project documents to demonstrate this capability.

	<b>Evidence procedures/framework in place to undertake risk assessment and integrate mitigation strategies/plans into the project document</b>	<b>i) Policy and/or other published document(s) that outline the risk assessment procedures/framework</b>	<b>The details of the process/guidelines/framework used for project risk assessment and developing corresponding mitigation strategies risks at the project formulation and appraisal stage is attached (Annex.....).</b>
		<b>ii) 2 samples of completed project appraisals with identified risks and corresponding mitigation strategies/plans</b>	<b>Provide reference to the project documents being submitted for the appraisal process. Alternatively, if considered necessary attach different project documents to demonstrate this capability.</b>
<b>c</b>	<b>Evidence of institutional system for planning implementation of projects with particular emphasis for quality-at-entry</b>	<b>Operational manual or written procedures for project review system during the design phase</b>	<b>Details of the procedures used in planning for the implementation of a project and checking the Quality-at-Entry of the project are provided at Annex .....</b>
<b>.</b>	<b>Evidence of preparation of project budgets for projects being</b>	<b>Project budgets</b>	<b>Sample annual project budgets for last 2 years for 2 projects which are currently in operation/were completed over the last 12 months are attached</b>

	<p>handled by the entity or any sub-entity within it</p>		<p>for the following projects(Annex .....).</p> <ol style="list-style-type: none"> <li>1. Project A - Name of project - budgets for the years ..... and ..... attached</li> <li>2. Project B - Name of project - budgets for the years ..... and ..... attached</li> </ol>
d	<p>Demonstration of existing capacities for monitoring and independent evaluation that are consistent with the requirements of the Adaptation Fund</p>	<p>i) Policy or other published document that outlines monitoring and evaluation requirements</p>	<p>The policy outlining the monitoring and evaluation requirements for projects under implementation is contained in the document attached (Annex.....)</p>
		<p>ii) Detailed procedures and formats used for monitoring and evaluation during project implementation</p>	<p>The details of the procedures and guidelines including formats for data/information collection, collation of the data/information and for writing the monitoring and evaluation reports is attached (Annex .....)</p>
		<p>iii) Analysis of project expenditure vs budget</p>	<p>A system for comparing and analysing the actual project expenditures vs the planned budgets exists. The analysis is done on an annual/quarterly/monthly basis.</p> <p>2 samples from different projects of the</p>



			actual project expenditures vs the planned budgets along with an analysis of the variances is given at Annex .....
		iv) Sample project monitoring and evaluation reports	<p>The last 2 project monitoring and evaluation reports for each of the following projects are attached (Annex ....):</p> <ol style="list-style-type: none"> <li>1. Project A - Name of project – reports dated ..... and .....</li> <li>2. Project B - Name of project reports dated ..... and .....</li> </ol> <p>The reports must comprehensively cover</p> <ol style="list-style-type: none"> <li>i) the achievement of the project vs objectives till date,</li> <li>ii) planned budgets vs actual expenditures till date,</li> <li>iii) major risks and issues, if any, impacting the execution of the project,</li> <li>iv) actions taken based on previous monitoring reports, if applicable,</li> <li>v) the likelihood of the project achieving its planned objectives on completion</li> </ol>
	Production of detailed project	i) Sample of project accounts	A brief description of how the project accounting function is undertaken and

	<p><b>accounts which are externally audited</b></p>		<p><b>the audit (external and internal) requirements.</b></p> <p><b>Copies of annual project financial statements for 2 successive years for the following 2 projects are attached (Annex.....)</b></p> <p><b>1. Project A - Name of project - financial statements for the years ..... and ..... attached</b></p> <p><b>2. Project B - Name of project - financial statements for the years ..... and ..... attached</b></p>
		<p><b>ii) Sample of project (accounts) audit reports</b></p>	<p><b>Copies of annual external audit reports for 2 successive years for the following 2 projects are attached (Annex.....)</b></p> <p><b>1. Project A - Name of project – audit reports for the years ..... and ..... attached</b></p> <p><b>2. Project B - Name of project – audit reports for the years ..... and ..... attached</b></p>
	<p><b>Evidence of a process or system, such as a project-at-risk system, that is in place to flag when a project has</b></p>	<p><b>Procedures for project-at-risk system or similar process/system to ensure speedy solutions to problems which may</b></p>	<p><b>Give brief description of how problems during project implementation are handled and resolved at the appropriate levels including mechanisms for escalation. If the</b></p>

	<p><b>developed problems that may interfere with the achievement of its objectives, and to respond to redress the problems</b></p>	<p><b>interfere with the achievement of the project objectives</b></p>	<p><b>process/ procedure is documented a copy should be attached.</b></p> <p><b>Give 2 examples of use of the procedure for 2 separate projects with supporting evidence.</b></p>
<b>e</b>	<p><b>Demonstration of an understanding of and capacity to assess impact/implications of the technical, financial, economic, social, environmental, and legal aspects of projects</b></p>	<p><b>Project closure reports or independent evaluation reports containing assessment of the impact/implications of the technical, financial, economic, social, environmental, and legal aspects of projects</b></p>	<p><b>Give brief description of the processes and framework the entity uses to assess the technical, financial, economic, social, environmental, and legal aspects of projects and their implications at the appraisal stage of the process, during implementation and on completion. If the process/ procedure is documented a copy should be attached.</b></p> <p><b>The final independent evaluation reports to be provided as examples (refer to next point) should include an assessment of the technical, financial, economic, social, environmental, and legal aspects of projects.</b></p>
	<p><b>Demonstration of competence to execute or oversee</b></p>	<p><b>Independent evaluation reports of completed projects/</b></p>	<p><b>Give brief description of the entity's policies and practices relating to closure of projects and preparation of</b></p>

	<b>execution of projects/programmes</b>	<b>programmes</b>	<b>independent final evaluation reports. If the entity has a documented policy, also attach a copy of the policy.</b>  <b>Independent evaluation reports and project closure reports for at the following 2 projects which have been completed in the last 18 months are attached(Annex):</b> <b>1. Evaluation report for .....(Name of project) dated .....</b> <b>2. Evaluation report for .....(Name of project) dated .....</b>
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