



ADAPTATION FUND

AFB/PPRC.31-32/2
27 June 2023

Adaptation Fund Board
Project and Programme Review Committee

**READINESS PACKAGE GRANT PROPOSAL TO SUPPORT
NATIONAL IMPLEMENTING ENTITY ACCREDITATION FOR
BURKINA FASO**

Background

1. At its twenty-second meeting, the Adaptation Fund Board Secretariat (the secretariat) had prepared document AFB/B.22/6 which outlined the possible elements and options for a phased programme to support readiness for direct access to climate finance for national and regional implementing entities and presented a framework and budget for a first phase of the programme. Following a discussion of the document, the Board decided to:

- a) *Approve Phase I of the Readiness Programme as detailed in document AFB/B.22/6, on the basis that it would follow performance-based funding principles;*
- b) *Take note of the options provided by the secretariat on a programme to support readiness for direct access to climate finance for national and regional implementing entities;*
- c) *Request the secretariat to submit to the Board intersessionally between the twenty-second and twenty-third meetings, execution arrangements, criteria/eligibility criteria to allocate the funds to the accredited implementing entities for specific activities, as well as a timeline of activities, with a view to start implementing the programme before the twenty-third Board meeting; and*
- d) *Approve an increase in the Administrative Budget of the Board, secretariat and trustee for FY2014 of US\$ 467,000 for the programme described in AFB/B.22/6, and authorize the trustee to transfer such amount to the secretariat and request the trustee to set aside the balance amount of US\$ 503,000 from the Adaptation Fund Trust Fund resources for subsequent commitment and transfer at the instruction of the Board.*

(Decision B.22/24)

2. At its twenty-third meeting, the Board had decided through decision B.23/26 to approve the execution arrangements and eligibility criteria to allocate the funds to the accredited implementing entities for specific activities, contained in document AFB/B.23/5, which included grants for technical assistance and South-South Cooperation (SSC).

3. Based on the Board Decision B.23/26, the first call for readiness project proposals was issued in May 2014 and eligible countries were given the opportunity to submit applications for a readiness grant.

4. At the tenth session of the Conference of the Parties serving as meeting of the Parties to the Kyoto Protocol (CMP 10), the Parties recognized the Readiness Programme of the Adaptation Fund and decided to:

Invite further support for the readiness programme of the Adaptation Fund Board for direct access to climate finance in accordance with decision 2/CMP.10, paragraph 5;

Decision 1/CMP.10

and also decided to:

AFB/PPRC.31-32/2

Request the Adaptation Fund Board to consider, under its readiness programme, the following options for enhancing the access modalities of the Adaptation Fund:

- a) Targeted institutional strengthening strategies to assist developing countries, in particular the least developed countries, to accredit more national or regional implementing entities to the Adaptation Fund;*
- b) Ensuring that accredited national implementing entities have increased and facilitated access to the Adaptation Fund, including for small-sized projects and programmes;*

Decision 2/CMP.10

5. Upon completion of Phase I of the Readiness Programme, the secretariat had prepared document AFB/B.25/5 which outlined the progress made in Phase I and proposed Phase II of the Readiness Programme, taking into account the results from Phase I of the programme and integrating decision 2/CMP10. Following a discussion of the document, the Board decided to:

Approve Phase II of the Readiness Programme, as outlined in document AFB/B.25/5, with a total funding of US\$ 965,000, including funding of US\$ 565,000 to be transferred to the secretariat's budget and funding of US\$ 400,000 to be set aside for small grants to National Implementing Entities from resources of the Adaptation Fund trust fund.

(Decision B.25/27)

6. At its twenty-seventh meeting, the Board decided to integrate the Readiness Programme into the Adaptation Fund (the Fund) work plan and budget and set aside funding for small grants to be directly transferred from the resources of the Adaptation Fund Trust Fund. At this meeting, the Board decided to:

- a) Take note of the progress report for phase II of the Readiness Programme;*
- b) Integrate the Readiness Programme into the Adaptation Fund work plan and budget; and*
- c) Approve the proposal for the Readiness Programme for the fiscal year 2017 (FY17), comprising its work programme for FY17 with the funding of US\$ 616,500 to be transferred to the secretariat budget and US\$ 590,000 for direct transfers from the resources of the Adaptation Fund Trust Fund for allocation as small grants.*

(Decision B.27/38)

7. At the twenty-eighth meeting of the Board, the Project and Programme Review Committee (PPRC) had recommended to the Board to establish a standing rule on the intersessional project review cycle for grants under the Readiness Programme to allow for continued review and approval of readiness grants intersessionally each year. Having considered the comments and recommendation of the Project and Programme Review Committee, the Board decided to:

- a) Request the secretariat to continue to review readiness grant proposals annually, during an intersessional period of less than 24 weeks between two consecutive Board meetings;*

AFB/PPRC.31-32/2

- b) *Notwithstanding the request in paragraph (a) above, recognize that any readiness grant proposal can be submitted to regular meetings of the Board;*
- c) *Request the PPRC to consider intersessionally the technical review of such readiness grant proposals as prepared by the secretariat and to make intersessional recommendations to the Board;*
- d) *Consider such intersessionally reviewed proposals for intersessional approval in accordance with the Rules of Procedure; and*
- e) *Request the secretariat to present, in the twentieth meeting of the PPRC, and annually following each intersessional review cycle, an analysis of the intersessional review cycle.*

(Decision B.28/30)

8. At the thirty-sixth meeting of the Board, the PPRC had discussed the review cycle for readiness grants and recommended to the Board for readiness proposals to be submitted for review and consideration by the Board during both intersessional periods between the regular meetings of the Board. Having considered the recommendations of the PPRC, the Board decided:

- a) *To request the secretariat to review readiness grant proposals during all intersessional periods between Board meetings while recognizing that such grants may also be reviewed at regular meetings of the Board;*
- b) *To request the PPRC to consider intersessionally the technical review of such readiness grant proposals as prepared by the secretariat and to make intersessional recommendations to the Board;*
- c) *To consider such intersessionally reviewed proposals for intersessional approval in accordance with the Rules of Procedure;*
- d) *To also request the secretariat to send a notification to implementing entities and other stakeholders informing them about the new arrangement;*
- e) *To further request the secretariat to present, at the twenty-eighth meeting of the PPRC, and at subsequent PPRC meetings following each intersessional review cycle for readiness grants, an analysis of the intersessional review cycle.*

(Decision B.36/26)

9. At the thirty-sixth meeting of the Board, following completion of the pilot phase for the readiness package grant, the Project and Programme Review Committee (PPRC) had recommended to the Board to approve the readiness package grant as a standing grant to support accreditation to the Fund. The readiness package grant would replace South-South cooperation grants and continue to facilitate peer-peer support for accreditation through South-South cooperation using a more enhanced and comprehensive approach. Having considered the comments and recommendation of the PPRC, the Board decided:

- a) *To approve the Readiness Package Grant as a standing window and replacement to*

AFB/PPRC.31-32/2

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 the Readiness Package Grant to non-NIE intermediaries that are accredited implementing entities of the Fund;*
- g) To also 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.*

(Decision B.36/25)

10. During the intersessional period between the thirty-seventh and thirty-eighth meetings of the Board, the PPRC had considered proposals submitted under the readiness package grant and recommended to the Board to make readiness grants available per NIE following decision B.36/42 to allow up to two NIEs to be accredited per country. The PPRC also recommended to the Board to update the readiness package grant application form and review template to facilitate provision of more comprehensive information by entities to enable the secretariat to adequately conduct a technical review of the submitted readiness package grant proposals. Having considered the recommendations of the PPRC, the Board decided to:

- a) Request the secretariat to amend the language of decision B.36/25 to allow the Readiness Package Grant to be made available for accreditation of NIEs only, up to a maximum of US\$ 150,000 per NIE, to ensure that entities going through the accreditation process are adequately supported;*
- b) Request the secretariat to update the application form and technical review sheet for Readiness Package grant proposals, and present them for consideration by the Project and Programme Review Committee (PPRC) at its twenty-ninth meeting;*

[...]

(Decision B.37-38/14)

11. At its fortieth meeting, the Board, through decision B.40/64, approved the readiness workplan for FY24 as contained in the secretariat work schedule and work plan, document AFB/EFC.31/4. Following decision B.40/64 by the Board, the secretariat launched a call for readiness project proposals intersessionally between the fortieth and forty-first meetings of the Board and eligible countries were given the opportunity to submit applications for a readiness package grant to receive peer support for accreditation through an intermediary. The size of the readiness package grant would be up to a maximum of US\$ 150,000 per NIE as per decision B.37-38/14 by the Board.

12. At the Fortieth meeting of the Board, following the assessment for opening the Readiness Package Grants to non-NIE intermediaries that are accredited implementing entities of the Fund, the Project and Programme Review Committee (PPRC) had recommended to the Board to extend the role of intermediary to all accredited IEs of the Fund, which include the multilateral implementing entities (MIEs) and regional implementing entities (RIEs) that are accredited to the Fund. The eligibility criteria for an IE to access the RPG and deliver support for accreditation would remain unchanged and would apply uniformly to all IEs. Having considered the comments and recommendation of the PPRC, the Board decided to:

- a) *To extend the role of intermediary in the delivery of support for the accreditation of an NIE via the readiness package grant to all accredited implementing entities of the Fund;*
- b) *To require that all accredited implementing entities of the Fund that wish to deliver support for accreditation of a national implementing entity via the readiness package grant meet the following eligibility requirements:*
 - (i) Have an “active accreditation” status with the Adaptation Fund;*
 - (ii) Have experience advising or organizing relevant accreditation or capacity building support for institutions, organizations or other entities in developing countries at the national, subnational or local level to receive climate finance for adaptation projects and programmes;*
 - (iii) Have experience implementing an Adaptation Fund project or programme and have submitted at least one project performance report, thereby demonstrating its commitment to adhering to the Fund’s fiduciary standards and operational policies and guidelines.*
- c) *To request the Adaptation Fund Board secretariat to update the website and notify all accredited implementing entities of the above decision by the Board.*

(Decision B.40/60)

13. Peer support for accreditation provided by the intermediary could involve a combination of activities that include (i) support to the designated authority (DA) to nominate a suitable NIE candidate (ii) In-country support by the intermediary to an NIE candidate (iii) technical support through experts (iv) organization of local, national or regional consultations/workshops, and (v) continuous support during the accreditation application process to address and respond to feedback provided by the accreditation panel (AP) during assessment of the NIE candidate application for accreditation.

14. It is expected that the peer-peer support would effectively help build national capacity and sustainability and that readiness package grants will enhance South-South cooperation for

accreditation to the Fund, through a more comprehensive suite of tools to help institutions in countries seeking direct access to the Fund's resources, to prepare and submit their applications for accreditation.

15. In response to the call for readiness grant proposals launched by the secretariat intersessionally between the fortieth and forty-first meetings of the Board, the secretariat received two grant proposals for readiness package grants for two countries to receive peer support for accreditation from two intermediary NIE.

16. The present document introduces the readiness package project proposal submitted by the *Centre de Suivi Ecologique* (CSE) of Senegal on behalf of the government of Burkina Faso. It includes a request for funding of US\$ 144,197 outlining the activities to be undertaken by CSE to support the accreditation process in Burkina Faso.

17. The secretariat carried out a technical review of the project proposal and completed a review sheet.

18. In accordance with a request to the secretariat made by the Board in its 10th meeting, the secretariat shared this review sheet with CSE and offered them the opportunity to provide responses before the review sheet was sent to the PPRC.

19. The secretariat is submitting to the PPRC pursuant to decision B.17/15, the final technical review of the project, both prepared by the secretariat, along with the final submission of the proposal in the following section. In accordance with decision B.25/15, the proposal is submitted with changes between the initial submission and the revised version.



ADAPTATION FUND

ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT/PROGRAMME PROPOSAL

PROJECT/PROGRAMME CATEGORY Readiness Package Grant

Readiness Package support recipient Country: **Burkina Faso**

Accredited Implementing Entity (Intermediary) delivering support: **Centre de Suivi Ecologique (CSE)**

Nominated National Implementing Entity (NIE) Candidate: **Fonds d'Intervention pour l'Environnement (FIE)/ Intervention Fund for the Environment**

Type of Intermediary (NIE/RIE/MIE): **NIE**

Requested Financing from Adaptation Fund (US Dollars): **\$144,197**

AF Project ID:

Reviewer and contact person: **Ishani Debnath**

Co-reviewer(s): **Farayi Madziwa, Sophie Hans-Moevi**

IE Contact Person: **Aissata B. Sall**

| | |
|--------------------------|---|
| Technical Summary | <p>The project to support NIE accreditation in Burkina Faso will be done through the two components below:</p> <p><u>Component 1</u>: Developing/Updating policies and manuals (USD 80,000).</p> <p><u>Component 2</u>: Workshops, Meetings and technical assistance (USD 52,900)</p> <p><u>Requested financing overview:</u> Total Project/Programme Cost: USD 132,900 Implementing Entity Fee: USD 11,297 Financing Requested: USD 144,197</p> <p>The initial technical review raises some issues, such as the clarification regarding the correspondences mentioned in the proposal, the suitability of the NIE candidate to meet the accreditation criteria, and clarification on the justification of the proposed activities, 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 revised proposal has sufficiently addressed the clarification requests and corrective action requests made in the initial technical review.</p> |
| Date: | 8 June 2023 |

| Review Criteria | Questions | Comments on 17 May 2023 | Comments on 8 June 2023 |
|----------------------------------|---|---|-------------------------|
| Country Eligibility | 1. Is the country that does not yet have an accredited NIE a Party to the Kyoto Protocol? | Yes | - |
| Eligibility of IE (Intermediary) | 1. Is the project submitted through an Implementing Entity with an "accredited" status with the Fund? | Yes | - |
| | 2. Does the Implementing Entity have an approved project by the Adaptation Fund Board and has submitted at least one project performance report (PPR)? | Yes, CSE has a completed project and another one under implementation with four PPRs submitted. | - |
| | 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? | CSE has supported 8 countries for accreditation to the AF, supported 6 countries as a delivery partner of the GCF, and provided capacity-building support to several other countries in Africa. | - |

| | | | |
|--|--|---|--|
| Eligibility of nominated NIE candidate | 1. Has the nominated NIE candidate taken the AF online course on accreditation and demonstrated adequate results during the self-assessment to meet accreditation criteria of the Fund? | Yes. Becquet Polycarpe BATIONO and Adama OUATTARA took the online course, and their certificates of completion are included with the application. | - |
| | 2. Is the suitability of the candidate NIE to meet the accreditation criteria justified considering its experience managing project finance, its institutional capacity and experience implementing and managing the full climate change or development finance project life cycle, and its competency for transparency, self-investigative powers and anti-corruption measures? | <p>Not cleared: Whilst it is acknowledged that FIE has been accredited as a GCF delivery partner, this is not the same as accreditation as an implementing entity. It is not clear whether the submission of the application to GCF mentioned on page 12 (paragraph 2) is for accreditation as a direct access entity or is for accreditation as a delivery partner.</p> <p>CR1: Please explain the advantages that FIE has over other possible entities to meet the accreditation criteria of the Adaptation Fund.</p> <p>CR2: Please state what type of entity FIE is, including its legal status as outlined in Section II of the AF accreditation application form.</p> | <p>CR1: Cleared</p> <p>The advantages FIE has over other possible entities to meet the accreditation criteria of the AF have been listed and clarified on pages 12-13.</p> <p>CR2: Cleared</p> <p>FIE is a Public State Establishment (EPE), which is a national fund classified in the category of State Funds. A description of its legal status has been detailed on page 12.</p> |
| Project Eligibility | 1. Has the designated authority for the Adaptation Fund in the country seeking accreditation endorsed the project? | Yes. The letter of endorsement was signed on 30 August 2022 and is attached. | - |

| | | | |
|--|---|---|--|
| | <p>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?</p> | <p>Not cleared. The initial assessment by CSE identified needs that could affect FIE's accreditation to be as follows:</p> <ul style="list-style-type: none"> - Establishment and operationalization of an independent audit committee, - development of a procurement manual specific to the FIE, - review of the procedures for quality at entry, - review of the project at risk system, - the inclusion of environmental, social and gender risks upstream during project implementation, - updating the manual for project monitoring and evaluation, and - establishment of policies and procedures for management of conflict of interest, whistle blower protection and a grievance management manual, <p>However, Section Ci of the RPG application form is not completed adequately.</p> <p>CR3: Please explain who from CSE had a meeting with the DA of Burkina Faso and who from the Intervention Fund for the Environment (FIE) (if applicable) was also present, when the meeting was held, and what was discussed as well as the outcome of that meeting.</p> | <p>CR3: Cleared</p> <p>A detailed description of the meeting along with the members present from CSE and FIE have been noted on pages 9-10.</p> |
|--|---|---|--|

| | | | |
|--|---|--|--|
| | <p>3. Have accreditation gaps/challenges been clearly identified and the approaches to address them clearly outlined?</p> | <p>Not cleared. The table under section iv provides a description of gaps and the proposed activities to address those gaps. However, a specific issue identified in the initial assessment by CSE was the inclusion of environmental, social and gender risks upstream during project implementation. It is not clear whether the overall FIE's capacity for project preparation and appraisal, directly tied to FIE's capacity to screen, identify and address environmental, socioeconomic and gender risks was assessed.</p> <p>CR4: Please describe to what extent FIE has adequate capacity for screening, identifying, and addressing environmental, socioeconomic and gender risks as part of the determination of its experience with project preparation and appraisal. Please highlight this aspect.</p> | <p>CR4: Cleared</p> <p>Since 2020, FIE has developed several policies which allows them to have the adequate capacity to review, identify and address environmental, socio-economic and gender-based risks during project preparation and appraisal. The description of the policies has been noted on pages 15-16.</p> |
|--|---|--|--|

| | | | |
|-----------------------|---|---|---|
| | 4. Are the proposed activities to address identified gaps/challenges for the NIE candidate to obtain accreditation with the Fund justified? | <p>Not cleared. The table under Section D describes the activities to be undertaken and the outcome from support. However, it highlights that the support will result in new policies being developed from all the identified gap areas and challenges when in the preceding sections, the application mentions that there are some existing manuals and policies that only need to be updated. In addition, the specific issue of project preparation and appraisal as mentioned in CR4 above has not been clarified. Further, there should be acknowledgement that some policies and manuals are already in use, and therefore there could be existing evidence of their application, albeit, from the updated and revised policies and manuals. It could therefore take less than a year to provide retrospective evidence of the application of such policies and manuals.</p> <p>CR5: Please clarify which policies and manuals will be new and which ones already exist but only need to be updated.</p> | <p>CR5: Cleared</p> <p>The list of documents to be developed, and the policies/manuals to be updated have been noted on page 17.</p> |
| Resource Availability | 1. Is the requested project funding within the cap for the Readiness Package grants set by the Board? | Yes | - |
| | 2. Is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme | Yes, the fee is 8.5%. | - |

| | | | |
|-----------------------------|---|---|---|
| | 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? | Yes. However, whilst the budget set aside is only for CSE staff, CSE should ensure that the consultants/experts hired to develop and update policies and manuals also determine and highlight the candidate NIE's existing experience into their deliverables to FIE so that the timeframe necessary for FIE to demonstrate application of these policies and manuals can be greatly shortened and presented to the AF Accreditation Panel. | - |
| Implementation Arrangements | 1. Has adequate time been provided to respond to and address comments and feedback that may be made by the Accreditation Panel? | Yes. However as per the comment above, CSE should strive to capitalize on relevant existing and on-going experience by FIE on some processes and procedures that although they may be under implementation without a documented process or manual, could still be relevant as existing experience and reflect that the new and updated policies and manuals are already being applied. | - |
| | 2. Is a detailed budget including budget notes included? | Yes. | - |



ADAPTATION FUND

ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT/PROGRAMME PROPOSAL

PROJECT/PROGRAMME CATEGORY Readiness Package Grant

Readiness Package support recipient Country: **Burkina Faso**

Accredited Implementing Entity (Intermediary) delivering support: **Centre de Suivi Ecologique (CSE)**

Nominated National Implementing Entity (NIE) Candidate: **Fonds d'Intervention pour l'Environnement (FIE)/ Intervention Fund for the Environment**

Type of Intermediary (NIE/RIE/MIE): **NIE**

Requested Financing from Adaptation Fund (US Dollars): **\$144,197**

AF Project ID:

Reviewer and contact person: **Ishani Debnath**

Co-reviewer(s): **Farayi Madziwa, Sophie Hans-Moevi**

IE Contact Person: **Aissata B. Sall**

| | |
|--------------------------|--|
| Technical Summary | <p>The project to support NIE accreditation in Burkina Faso will be done through the two components below:</p> <p><u>Component 1</u>: Developing/Updating policies and manuals (USD 80,000).</p> <p><u>Component 2</u>: Workshops, Meetings and technical assistance (USD 52,900)</p> <p><u>Requested financing overview:</u> Total Project/Programme Cost: USD 132,900 Implementing Entity Fee: USD 11,297 Financing Requested: USD 144,197</p> <p>The initial technical review raises some issues, such as the clarification regarding the correspondences mentioned in the proposal, the suitability of the NIE candidate to meet the accreditation criteria, and clarification on the justification of the proposed activities, as is discussed in the number of Clarification Requests (CRs) and Corrective Action Request (CAR) raised in the review.</p> |
| Date: | 17 May 2023 |

| Review Criteria | Questions | Comments | Response |
|--|---|---|----------|
| Country Eligibility | 1. Is the country that does not yet have an accredited NIE a Party to the Kyoto Protocol? | Yes | |
| Eligibility of IE (Intermediary) | 1. Is the project submitted through an Implementing Entity with an "accredited" status with the Fund? | Yes | |
| | 2. Does the Implementing Entity have an approved project by the Adaptation Fund Board and has submitted at least one project performance report (PPR)? | Yes, CSE has a completed project and another one under implementation with four PPRs submitted. | |
| | 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? | CSE has supported 8 countries for accreditation to the AF, supported 6 countries as a delivery partner of the GCF, and provided capacity-building support to several other countries in Africa. | |
| Eligibility of nominated NIE candidate | 1. Has the nominated NIE candidate taken the AF online course on accreditation and demonstrated adequate results during the self-assessment to meet accreditation criteria of the Fund? | Yes. Becquet Polycarpe BATIONO and Adama OUATTARA took the online course, and their certificates of completion are included with the application. | |

| | | | |
|--|---|---|---|
| | <p>2. Is the suitability of the candidate NIE to meet the accreditation criteria justified considering its experience managing project finance, its institutional capacity and experience implementing and managing the full climate change or development finance project life cycle, and its competency for transparency, self-investigative powers and anti-corruption measures?</p> | <p>Not cleared: Whilst it is acknowledged that FIE has been accredited as a GCF delivery partner, this is not the same as accreditation as an implementing entity. It is not clear whether the submission of the application to GCF mentioned on page 12 (paragraph 2) is for accreditation as a direct access entity or is for accreditation as a delivery partner.</p> <p>CR1: Please explain the advantages that FIE has over other possible entities to meet the accreditation criteria of the Adaptation Fund.</p> <p>CR2: Please state what type of entity FIE is, including its legal status as outlined in Section II of the AF accreditation application form.</p> | <p>Response CR1: The FIE has submitted its application for the two types of accreditation offered by GCF, namely (i) Direct Access Entity and (ii) Delivery Partner. Therefore, two separate applications were transmitted. The FIE's application as a national direct access entity was submitted in March 2021. The FIE is still awaiting the notification, which is on the right track. As for the application relating to the Delivery partner, it was submitted in August 2021. The FIE received official notification of this accreditation on January 25, 2023.</p> <p>As for the advantages, we can name a few:</p> <p>Advantage 1: Legal Status of Government The FIE was created by law in 2013 and operationalized in 2015 as the main unifying financial tool for national and international funding for the environment and climate.</p> <p>Advantage 2: Geographic coverage of the territory The FIE has regional branches which play the role of relay and proximity to local authorities (Communes).</p> |
|--|---|---|---|

| | | | |
|---------------------|--|--|--|
| | | | <p>Advantage 3: Adaptation finance experiences Since its operationalization in 2015, the administration of the FIE has been working to finance environmental projects and initiatives in terms of adaptation and mitigation with the support of Luxembourg and Swedish cooperation, the World Bank, the African Development Bank and UNCDF.</p> <p>Response CR2: In accordance with the Creation Decree, the FIE is a Public State Establishment (EPE). It is a national fund classified in the category of State Funds.</p> <p>The essential missions thus assigned to the FIE as an instrument of the State's environmental policy are: (i) to mobilize national and international financing for the environment; (ii) provide financial support to the various groups of national actors according to their skills in environmental management and protection; (iii) monitor and report on the use of allocated funds.</p> |
| Project Eligibility | 1. Has the designated authority for the Adaptation Fund in the country seeking accreditation endorsed the project? | Yes. The letter of endorsement was signed on 30 August 2022 and is attached. | |

| | | | |
|--|---|--|---|
| | <p>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?</p> | <p>Not cleared. The initial assessment by CSE identified needs that could affect FIE's accreditation to be as follows:</p> <ul style="list-style-type: none"> - Establishment and operationalization of an independent audit committee, - development of a procurement manual specific to the FIE, - review of the procedures for quality at entry, - review of the project at risk system, - the inclusion of environmental, social and gender risks upstream during project implementation, - updating the manual for project monitoring and evaluation, and - establishment of policies and procedures for management of conflict of interest, whistle blower protection and a grievance management manual, <p>However, Section Ci of the RPG application form is not completed adequately.</p> <p>CR3: Please explain who from CSE had a meeting with the DA of Burkina Faso and who from the Intervention Fund for the Environment (FIE) (if applicable) was also present, when the</p> | <p>Response CR3: The Director General of the FIE has been instructed by the NDA to contact the CSE to discuss the possible endorsement of the readiness program. A planned virtual meeting on Zoom was held on August 26, 2022 between the FIE team and the CSE team to initiate the process.</p> <p>Jean Marie SOURWEMA, Adama OUATTARA, Becquet Polycarpe BATIONO represented the FIE at this meeting.</p> <p>Aissata Boubou SALL, Jessica Katiza KPOKOLO, Mouhamed Abdallah SALL represented the CSE.</p> <p>Salimata SY follows the process on behalf of the NDA.</p> <p>An evaluation of the GAP assessment has identified the adjustments that should be taken into account and which you have listed above.</p> |
|--|---|--|---|

| | | | |
|--|---|--|---|
| | | <p>meeting was held, and what was discussed as well as the outcome of that meeting.</p> | |
| | <p>3. Have accreditation gaps/challenges been clearly identified and the approaches to address them clearly outlined?</p> | <p>Not cleared. The table under section iv provides a description of gaps and the proposed activities to address those gaps. However, a specific issue identified in the initial assessment by CSE was the inclusion of environmental, social and gender risks upstream during project implementation. It is not clear whether the overall FIE's capacity for project preparation and appraisal, directly tied to FIE's capacity to screen, identify and address environmental, socioeconomic and gender risks was assessed.</p> <p>CR4: Please describe to what extent FIE has adequate capacity for screening, identifying, and addressing environmental, socioeconomic and gender risks as part of the determination of its experience with project preparation and appraisal. Please highlight this aspect.</p> | <p>Response CR4: In 2020, the FIE developed a gender policy, an environmental and social policy (ESP), an Environmental and Social Management System (ESMS), Environmental and Social Standards. These documents will be taken into account to review, identify and address environmental, socio-economic and gender-based risks during project preparation and appraisal. However, these documents may be updated to take into account any AF requirements.</p> |

| | | | |
|------------------------------|--|---|--|
| | <p>4. Are the proposed activities to address identified gaps/challenges for the NIE candidate to obtain accreditation with the Fund justified?</p> | <p>Not cleared. The table under Section D describes the activities to be undertaken and the outcome from support. However, it highlights that the support will result in new policies being developed from all the identified gap areas and challenges when in the preceding sections, the application mentions that there are some existing manuals and policies that only need to be updated. In addition, the specific issue of project preparation and appraisal as mentioned in CR4 above has not been clarified. Further, there should be acknowledgement that some policies and manuals are already in use, and therefore there could be existing evidence of their application, albeit, from the updated and revised policies and manuals. It could therefore take less than a year to provide retrospective evidence of the application of such policies and manuals.</p> <p>CR5: Please clarify which policies and manuals will be new and which ones already exist but only need to be updated.</p> | <p>Response CR5: New policies/Manuals:</p> <ul style="list-style-type: none"> • Establishment and operationalization of an independent audit committee, • development of a procurement manual specific to the FIE, • establishment of policies and procedures for management of conflict of interest, whistle blower protection • grievance mechanism procedure <p>Policies/Manuals to be reviewed and updated:</p> <ul style="list-style-type: none"> • review of the procedures for quality at entry, • review of the project at risk system, • the inclusion of environmental, social and gender risks upstream during project implementation • updating the manual for project monitoring and evaluation |
| <p>Resource Availability</p> | <p>1. Is the requested project funding within the cap for the Readiness Package grants set by the Board?</p> | <p>Yes</p> | |

| | | | |
|-----------------------------|---|---|--|
| | 2. Is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme budget before the fee? | Yes, the fee is 8.5%. | |
| | 3. Is there budget set aside to continue support post submission of a complete application for accreditation to the AF secretariat? | Yes. However, whilst the budget set aside is only for CSE staff, CSE should ensure that the consultants/experts hired to develop and update policies and manuals also determine and highlight the candidate NIE's existing experience into their deliverables to FIE so that the timeframe necessary for FIE to demonstrate application of these policies and manuals can be greatly shortened and presented to the AF Accreditation Panel. | |
| Implementation Arrangements | 1. Has adequate time been provided to respond to and address comments and feedback that may be made by the Accreditation Panel? | Yes. However as per the comment above, CSE should strive to capitalize on relevant existing and on-going experience by FIE on some processes and procedures that although they may be under implementation without a documented process or manual, could still be relevant as existing experience and reflect that the new and updated policies and manuals are already being applied. | |
| | 2. Is a detailed budget including budget notes included? | Yes. | |

APPLICATION FORM/PROPOSAL TEMPLATE FOR READINESS PACKAGE GRANTS

ADAPTATION FUND

READINESS PACKAGE GRANT APPLICATION FORM TEMPLATE**Application for a Grant to support NIE accreditation through the readiness package**

Submission Date: March 31, 2023

Adaptation Fund Grant ID:**Country receiving support:** BURKINA FASO**Institution to navigate accreditation process, if already identified:** Fonds d'Intervention pour l'Environnement (FIE)**Name of Implementing Entity delivering support:** Centre de Suivi Ecologique (CSE)**Type of Implementing Entity delivering support (NIE/RIE/MIE):** NIE**A. Timeframe of Activity**

| | |
|--------------------------------|-------------|
| Expected start date of support | July 2023 |
| Completion date of support | August 2024 |

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

CSE was the first institution to experiment the direct access, first with the AF, then with the GCF. On the strength of this pioneering experience, CSE has been requested since 2012 by institutions from developing countries wishing to assess themselves against the requirements of accreditation (AF and GCF) and / or to prepare their accreditation files. The CSE thus aided in the form of advisory support by e-mail, but also through telephone interviews and site visits. In 2016, CSE organized in collaboration with the IFDD (Institute of the Francophonie for Sustainable Development) a regional workshop during which twelve (12) French-speaking countries of Africa and Haiti were familiarized with the AF and the GCF, their policies and procedures, but also and above all their accreditation process.

CSE was also the first institution to participate in the AF's Readiness programs, in particular in its South-South Cooperation component. Since 2014, CSE has provided technical assistance to ten (10) institutions in developing countries. These include:

- identify a national institution applying for accreditation;
- strengthen the capacities of the institution selected for the accreditation process;

- support the institution selected in the collection and analysis of the documents required for accreditation; and
- assist the institution selected in the organization and submission of its accreditation request file.

CSE has thus developed a number of tools relating to:

- screening to identify the institution with the best profile;
- analysis of the comments made by the Accreditation Panel (PA) on the accreditation request files during previous sessions of the AF Council;
- a summary of fiduciary standards;
- a checklist of required documents.

In addition, CSE developed, submitted and implemented Readiness program of the GCF, serving as fiduciary agent for six (6) countries (Senegal, Togo, Cote d'Ivoire, Chad, Djibouti, DRC) with 8 Readiness programs implemented with as main missions from:

- Develop and implement Readiness requests;
- Manage legal arrangements and implementation of Readiness support
- manage financial resources;
- make purchases and recruitments;
- assist the Designated National Authority in monitoring and evaluating deliverables;
- Prepare progress and closure reports for Readiness agreements;
- carry out audits.

It is summarized in the table below the list of the various initiatives in which CSE and its staff have participated over the past eight (8) years.

CSE provided also intermediary services in the first Readiness Package launched in 2018 to support Mali and Burundi in preparation of relevant missing documents related to fiduciary and governance aspects. This process is closed in 2020 with the submission of accreditation folder through the accreditation's system by the two entities.

The readiness package comes as a complement to consolidate the technical support provided through the South-South cooperation grant. It enables NIE applicants to obtain the financial resources that allow us 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.

The main results of this support are mentioned below:

- Grievance and redress mechanism in place;
- Technical assistance for developing a transparency policy and including procedures on conflict of interest and whistleblower protection;
- Internal audit manual developed;
- ESS & Gender policies developed;
- Strategic plan developed;
- Project cycle manual developed;
- M&E manual developed.

The following two tables summarize the various initiatives that CSE and its staff have participated in over the past eight (8) years.

(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 |
|----------------------|--------------------|--------------------------------|--------------------------------|--|---|
| 2015 | 2016 | Adaptation Fund | Readiness technical assistance | Application submitted; interaction underway with the AF secretariat | CHAD/ Fonds Spécial pour l'Environnement (FSE) |
| 2015 | 2016 | Adaptation Fund | Readiness technical assistance | The institution is accredited as NIE | NIGER/ Banque Agricole du Niger (BAGRI) |
| 2015 | 2020 | Adaptation Fund | Readiness technical assistance | Supporting documents collected and under submission | Cape-Verde/ Agence Nationale de l'Eau et de l'Assainissement (ANAS) |
| 2016 | 2020 | Adaptation Fund | Readiness technical assistance | Application submitted; interaction underway with the AF secretariat | Mali/ Agence de l'Environnement et du Développement Durable (AEDD) |
| 2016 | 2017 | Adaptation Fund | Readiness technical assistance | Application submitted Interactions underway with the AF Secretariat | Sierra-Leone/ Ministry of Finance and Economic Development (MOFED) |
| 2016 | 2019 | Adaptation Fund | Readiness technical assistance | Application submitted; interaction underway with the AF secretariat | Guinée/ Centre d'Etude et de recherche en Environnement (CERE) |

AFB/PPRC.31-32/2

| | | | | | |
|------|------|-----------------|--------------------------------|--|---|
| 2017 | 2019 | Adaptation Fund | Readiness technical assistance | Application submitted; interaction underway with the AF secretariat | Togo/ Office de Développement et des Forêts (ODEF) |
| 2017 | 2020 | Adaptation Fund | Readiness technical assistance | Application submitted; interaction underway with the AF secretariat | Burundi/ OBPE |
| 2018 | 2019 | Adaptation Fund | Readiness technical assistance | The institution is accredited as NIE | Côte d'Ivoire/ Fonds Interprofessionnel pour la Recherche et Conseil Agricole (FIRCA) |
| 2019 | 2022 | Adaptation Fund | Readiness technical assistance | In-house capacities developed Supporting documents under collection and analysis Application submitted; interaction underway with the AF secretariat | Mauritius/ Ministry of Environment and Sustainable Development |
| 2018 | 2020 | Adaptation Fund | Readiness Package | Development of fiduciary and governance documents Submission | Mali/ AEDD & Burundi/ OBPE |
| 2023 | 2024 | Adaptation Fund | Readiness Package | On going | Cameroun/ FEICOM & Zambia/ ZICB |

(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 |
|----------------------|--------------------|--------------------------------|--------------------------------------|---|-------------------------------|
| 2015 | 2019 | Green Climate Fund | Delivery partner Readiness Programme | <p>National stakeholders trained on climate finance and informed about the GCF readiness program in Senegal</p> <p>A country program developed and submitted to GCF</p> <p>Several consultations organized at all levels</p> <p>A no objection manual developed and validated</p> | Senegal |
| 2015 | 2020 | Green Climate Fund | Delivery Partner Readiness Programme | <p>National stakeholders trained on climate finance and informed about the GCF readiness program in Djibouti</p> <p>A country program developed</p> <p>Several consultations organized at all levels</p> <p>A communication strategy developed</p> | Djibouti |

| Year support started | Year support ended | Climate Fund (source of grant) | Type of support provided | Outcome of the support | Country/institution supported |
|----------------------|--------------------|--------------------------------|---|--|--|
| 2015 | 2019 | Green Climate Fund | Delivery partner Readiness Programme | <p>National stakeholders trained on climate finance and informed about the GCF readiness program in DRC</p> <p>A country program developed</p> <p>Several consultations organized at all levels</p> <p>A communication strategy developed under implemented</p> <p>A no objection manual developed</p> | Democratic Republic of Congo |
| 2016 | 2016 | IEDD | Capacity building | Enhanced capacity for French speaking countries for a better access to Climate Funds (AF and GCF) | Burkina Faso, Chad, Côte d'Ivoire, Djibouti, DRC, Gabon, Guinée, Haiti, Madagascar, Mali, Niger, Sénégal, Togo |
| 2016 | 2016 | WRI | Sharing of experience of achieving AF project | Experience shared | National Environment Management Authority (NEMA) of Kenya |
| 2016 | 2018 | Green Climate Fund | Delivery partner Readiness Programme | Supporting documents collected and analysed | TOGO |

| Year support started | Year support ended | Climate Fund (source of grant) | Type of support provided | Outcome of the support | Country/institution supported |
|----------------------|--------------------|--------------------------------|--------------------------------------|---|-------------------------------|
| 2016 | 2019 | Green Climate Fund | Delivery partner Readiness Programme | National stakeholders trained on climate finance and informed about the GCF readiness program A country program developed Several consultations organized at all levels A communication strategy developed and implemented | CHAD |
| 2017 | 2020 | Green Climate Fund | Delivery Partner Readiness Programme | National stakeholders trained on climate finance and informed about the GCF readiness program A country program developed | Côte d'Ivoire |
| 2017 | 2018 | SERVIR / (CILSS-USAID) | Technical assistance | Experience shared on the GCF accreditation process | Niger/ AGRHYMET Center |
| 2019 | 2021 | Green Climate Fund | Delivery Partner Readiness Programme | Training sessions organized Concept Notes developed Local forum organized | Togo |

| Year support started | Year support ended | Climate Fund (source of grant) | Type of support provided | Outcome of the support | Country/institution supported |
|----------------------|--------------------|--------------------------------|--------------------------------------|---|-------------------------------|
| 2019 | 2021 | ACCF/ AfDB | Technical Assistance | Study on options for the accreditation of two national implementing with the Green Climate Fund: Technical assistance for the accreditation of two Ivorian institutions for accreditation Deliverables: -Mission report1 including the launch workshop report and the results of the simplified assessment -Mission report2 including the conclusions of the institutional assessment, the list of documents collected, the roadmaps -Mission report 3 including the submission report and recommendations | Côte d'Ivoire |
| 2022 | 2024 | Green Climate Fund | Delivery Partner Readiness Programme | On Going | GHANA |
| 2022 | 2024 | Green Climate Fund | Delivery Partner Readiness Programme | On Going | TOGO |

| Year support started | Year support ended | Climate Fund (source of grant) | Type of support provided | Outcome of the support | Country/institution supported |
|----------------------|--------------------|--------------------------------|--------------------------------------|------------------------|-------------------------------|
| 2022 | 2024 | Green Climate Fund | Delivery Partner Readiness Programme | Ongoing | Burundi |

C. Proposed activities to support NIE accreditation

- (i) Describe the initial exchange that took place with the candidate entity and with the DA e.g., state with who (director, committee, DA etc.). Also state when the discussion took place and state what conclusions were arrived at. e.g., briefly state what issues the identified candidate NIE(s) is likely to face considering its experience managing project finance, its institutional capacity and experience implementing and managing the full climate change or development finance project life cycle, and its competency for transparency, self-investigative powers and anti-corruption measures.

Highly concerned about the budget deficit in terms of funding for the environment, the Director General of the Intervention Fund for the Environment (FIE) and the National Designated Authority of the Green Climate Fund (GCF) met with the Director General of Cooperation in December 2021 to ~~discuss different~~ discuss different alternatives to mobilize financial resources.

Furthermore, the Director General of Cooperation (DGCOOP) acting as the Designated Authority (DA) of the Adaptation Fund (AF) having appreciated the submission in March 2021 of the FIE's application file as an accredited entity to the Green Climate Fund, decided to extend this initiative to the AF. Working sessions were therefore held during the first quarter of 2022 to assess the ability of the FIE to be a candidate national implementing entity for the FA.

The application of the FIE for its accreditation to the Adaptation Fund has been reviewed in accordance with the conditions required in terms of environmental and social management standards, fiduciary management standard and transparency, gender policy, proven experience in environmental project management.

As a result, the FIE has been deemed fit to fulfill most of the accreditation requirements and was officially appointed on May 13, 2022 by the DA as a national implementing entity to be accredited with the Adaptation Fund.

The Director General of the FIE has been instructed by the NDA to contact the CSE to discuss the possible endorsement of the readiness program. A planned virtual meeting on Zoom was held on August 26, 2022 between the FIE team and the CSE team to initiate the process. Jean Marie SOURWEMA, Adama OUATTARA, Becquet Polycarpe BATIONO represented the FIE at this meeting.

Formatted: Font color: Text 1

Aissata Boubou SALL, Jessica Katiza KPOKOLO, Mouhamed Abdallah SALL represented the CSE.
Salimata SY follows the process on behalf of the NDA.

Formatted: Right: 0", Space After: 0 pt, Line spacing: single

(ii) Describe results of the self-assessment done by the candidate NIE or assessment done by intermediary on suitability of the candidate/nominated NIE to meet the accreditation criteria. Confirm whether any candidate NIE staff took the AF online course on accreditation and explain how the learning outcome from taking this course has been incorporated into the proposal. (The AF accreditation course can be found [here](#)).

Formatted: English (United Kingdom)

The CSE conducted a compliance assessment of the FIE documents to identify gaps that need to be addressed according to the Adaptation Fund (AF) requirements.

The results showed that FIE has a strong financial management with a transparent system, control of fraud and mismanagement and well-defined accounting procedures with recognized software packages. However, there is a need to establish an operationalize an independent audit committee, although terms of Reference have already been developed but the members not yet designated.

In terms of procurement rules and procedures, the FIE uses the general public procurement code of BURKINA FASO. Therefore, a procurement manual specific to the FIE should be developed, which will certainly follow the guidelines of the general public procurement code of Burkina FASO and take into account the requirements of the AF.

At the strategic level, the FIE has a strategic plan covering the period 2021-2025, with a new vision as follow: "To become, by 2025, an accessible financial tool, federating national and international green financing for the benefit of environmental projects for the well-being of the populations of Burkina Faso". In this regard, four (4) strategic axes have been defined and are broken down as follows

- Strategic Area 1: Effective mobilization of additional resources for the financing of initiatives
- Strategic Area 2: Improving the governance of the FIE
- Strategic Area 3: Promotion of a green economy taking into account gender, environmental and social standards
- Strategic Area 4: Financing projects with a high impact on the adverse effects of climate change

There is therefore no need to update the strategic plan.

The Project management cycle has a very strong foundation as a manual entitled "Procedures and Operations Manual" accompanied by a "Promoter's Procedure Manual" has been put in place to facilitate project implementation. However, the review of the document identified areas for improvement such as the quality review at entry, the project at risk system and the inclusion of environmental, social and gender risks upstream during project implementation.

Regarding project monitoring and evaluation, the manual should be updated to incorporate risk management and independent project evaluation frameworks to comply with the AF standards.

The gender policy put in place by the FIE takes into account the gender mainstreaming dimension at both the institutional and project levels. The policy document was developed taking into account the standards of the GCF and the AF on the issue. The gender policy is structured around five (05) main parts, namely;

Part 1: Context and justification of the policy;

Part 2: Methodological approach;

Part 3: Diagnostic analysis, issues and challenges;

Part 4: Strategic framework for intervention;

Part 5: Implementation and evaluation mechanism.

In this sense, there is no need to update the gender policy.

In terms of Transparency, self-investigation powers and anti-corruption measures, the assessment revealed the absence of policies and procedures for conflict of interest management and whistleblower protection, as well as the absence of an objective investigation function into allegations of fraud and corruption. Thus, mechanisms and procedures should be put in place to address these identified gaps.

The evaluation found that some documents had been developed but needed to be updated to incorporate the requirements of the FA in terms of

- Monitoring and Evaluation Manual
- Project Cycle Management Manual
- Anti-fraud and AML/CFT policy including whistleblowing procedures and whistleblower protection.

These documents listed below were missing at the time of the institutional assessment:

- Public procurement manual based on the public procurement code;
- Grievance management manual

In addition, it will be important to appoint an ESS and gender focal points for the implementation of the systems that will be put in place.

Mr. Adama OUATTARA, Management Controller and Mr. Polycarpe Becquet BATIONO, Director of Research and Fundraising Fund took the online course on "Direct Access: Unlocking Adaptation Funding (Self-Paced)". Through the administered modules, they strengthened their skills on the Adaptation Fund (AF) accreditation process, key concepts and requirements.

Module 1, which deals with Accreditation, allowed the two participants to become familiar with: the definition of a designated authority and its role in the appointment of entities; the fiduciary standards of the Fund and how they apply to the different types of accreditation and re-accreditation; and the stages and governing bodies involved in the regular accreditation process.

As for module 2, it covered environmental, social and gender considerations in the design and implementation of Adaptation Fund projects. Participants gained new insights into: the AF project approval process; the Environmental and Social Policy (PES); the Gender Policy (PG); the risk identification process; Environmental and Social Management Plan (ESMP) and Monitoring, Reporting and Evaluation requirements. They also learned information on how to complete the relevant ESP and GP sections in the "funding request" templates; the characteristics of a consultation process; and strong grievance mechanism.

The main results that have been used and integrated in the submission are the need to ensure compliance of the Environmental Intervention Fund (FIE) document with the requirements of the FA mainly the social dimension of the ESS. He also noted the importance of risk identification and adoption of consultative process and grievance mechanism in project design. Namely the supporting documents such as the ESS, the ESMP, the GP, the Strategic Plan and the Project Management Cycle have been taken into account and the need to review the documents that already exist to better meet the requirements of the AF.



BATIONO Becquet
Polycarpe - Certificate



OUATTARA Adama -
Certificate-.pdf

(iii) Briefly justify why the nominated NIE candidate is best suited to meet the accreditation criteria.

In accordance with the Creation Decree, the FIE is a Public State Establishment (EPE). It is a national fund classified in the category of State Funds. The essential missions thus assigned to the FIE as an instrument of the State's environmental policy are: (i) to mobilize national and international financing for the environment; (ii) provide financial support to the various groups of national actors according to their skills in environmental management and protection; (iii) monitor and report on the use of allocated funds.

Formatted: Font color: Text 1

The creation of the Environmental Intervention Fund (FIE) stems from the desire of the Republic of Burkina to have a permanent national implementing entity for the financing of its environmental policy. The FIE is therefore the vehicle set up by the government of Burkina Faso to play a key role in achieving environmental ambitions. Since its operationalization in 2015, the FIE has been working to finance environmental projects and initiatives with the support of Luxembourg and Swedish cooperation, the World Bank, the African Development Bank and UNCDF.

Furthermore, the FIE has submitted its application (two separate) for the two types of accreditation offered by GCF, namely (i) Direct Access Entity and (ii) Delivery Partner. The FIE's application as a national direct access entity was submitted in March 2021. The FIE is still awaiting the notification, which is on the right track.

Formatted: Font color: Text 1

Formatted: Font color: Text 1

As for the application relating to the Delivery partner, it was submitted in August 2021. The FIE received official notification of this accreditation on January 25, 2023.

Formatted: Font color: Text 1

As for the advantages, we can name a few:

Advantage 1: Legal Status of Government

The FIE was created by law in 2013 and operationalized in 2015 as the main unifying financial tool for national and international funding for the environment and climate.

Advantage 2: Geographic coverage of the territory

The FIE has regional branches which play the role of relay and proximity to local authorities (Communes).

Advantage 3: Adaptation finance experiences

Since its operationalization in 2015, the administration of the FIE has been working to finance environmental projects and initiatives in terms of adaptation and mitigation with the support of

Luxembourg and Swedish cooperation, the World Bank, the African Development Bank and UNCDF.

~~The FIE has a definite advantage in that it has already submitted its application to the Green Climate Fund. For information, the FIE was notified in January 2023 of its accreditation as a Delivery Partner for the GCF.~~

(iv) 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>Component 1: Developing/Updating policies and manuals</i> | <i>Technical assistance for updating a project cycle management guide (integrating procedures for project identification, appraisal, quality at entry review, risks identification and mitigation development, implementation, closure and evaluation)</i> | <i>Project cycle management guide</i> | <i>March 2024</i> | <i>18,000</i> |
| | <i>Technical assistance for updating the M&E guide</i> | <i>M&E Framework including: M&E manual; Nomination of M&E officer; Training on M&E and independent evaluation.</i> | <i>March 2024</i> | <i>12,000</i> |

| Component | Proposed support activities to address Gap/Challenge | Expected Output of the Activities | Tentative completion date | Requested budget for component (USD) |
|-----------|--|---|---------------------------|--------------------------------------|
| | <i>Develop grievance management manual</i> | <i>Grievance redress mechanism including gender issues Nomination of the Focal Point or Complaints Management Committee Continuous disclosure of information to affected communities.</i> | <i>March 2024</i> | <i>14,000</i> |
| | <i>Develop and implement the procurement manual</i> | <i>A procurement system respecting competition and transparency rules</i> | <i>March 2024</i> | <i>16,000</i> |
| | <i>Update the anti-fraud and AML/ CFT policies</i> | <i>Antifraud and AML/CFT policies are operational and a mechanism of denunciation of fraud cases is set up</i> | <i>March 2024</i> | <i>12,000</i> |
| | <i>Translation of supporting documents</i> | <i>Supporting documents in English</i> | <i>April 2024</i> | <i>8,000</i> |

| Component | Proposed support activities to address Gap/Challenge | Expected Output of the Activities | Tentative completion date | Requested budget for component (USD) |
|---|---|-----------------------------------|---------------------------|--------------------------------------|
| <i>Subtotal for component 1</i> | | | | <i>80,000</i> |
| <i>Component 2:</i> Workshops, Meetings and technical assistance | Validation workshops (for validating all new policies and procedures developed) | Workshop reports | May 2024 | 13,400 |
| | Board meeting (for validating the new procedures) | Meeting minutes | June 2024 | 7,500 |
| | CSE's support collect review, submission and post submission documents | Monitoring and completion report | June 2024 | 32,000 |
| <i>Subtotal for component 2</i> | | | | <i>52,900</i> |
| Total Project/Programme Cost | | | | 132,900 |
| Project/Programme Cycle Management Fee charged by the Implementing Entity (Maximum of 8.5%) | | | | 11,297 |
| Total Grant Requested (USD)* | | | | 144, 197 |

*Please provide a detailed budget (with budget notes including a note 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)

Formatted: Font: Bold

In 2020, the FIE developed a gender policy, an environmental and social policy (ESP), an Environmental and Social Management System (ESMS), Environmental and Social Standards.

Formatted: Font color: Text 1

These documents will be taken into account to review, identify and address environmental, socio-economic and gender-based risks during project preparation and appraisal.

Formatted: English (United Kingdom)

Formatted: Indent: Left: 0", First line: 0"

| Gaps/ Challenges | Activities to be undertaken | New policies | Track record | Timeframe for demonstrating their effective operation and submission of evidence to the Accreditation Panel (AP) |
|---|---|--|--|---|
| Lack of in-house Grievance mechanism manual | Grievance redress mechanism; Grievance redress mechanism including gender issues Continuous disclosure of information to affected communities; | Grievance mechanism manual and external communication | Grievance mechanism implementation report | One year after policy approval |
| Incomplete project cycle management manual (integrating procedures for project identification, appraisal, quality at entry review, risks identification and mitigation development, implementation, closure and evaluation) | Development of project cycle management manual (integrating procedures for project identification, appraisal, quality at entry review, risks identification and mitigation development, implementation, closure and evaluation) | Project cycle management manual (integrating procedures for project identification, appraisal, quality at entry review, risks identification and mitigation development, implementation, closure and evaluation) | Appraisal report; concept note or full proposal report; Quality and Entry report | One year after policy approval |
| Incomplete M&E Guide | Implementation of M&E Framework with the update of the existing M&E guide | M&E manual; Nomination of M&E officer; Training on M&E and independent evaluation; | M&E reports ; Project's activities reports | One Year after approval |

| Gaps/Challenges | Activities to be undertaken | New policies | Track record | Timeframe for demonstrating their effective operation and submission of evidence to the Accreditation Panel (AP) |
|--|--|---|--|--|
| Lack of procurement Manual | Development of a procurement framework | Establishment of an operational procurement committee | Procurement manual Minutes of the tenders' commission Tender audit's reports | One year after manual approval |
| Need to strengthen the anti-fraud system and update the AML / CFT policy | Development of anti-fraud including the procedures of denunciation in interest conflict case and protection of whistle-blowers and AML/CFT framework | Establishment of an operational ethics committee Anti-fraud Policy; Ethics charter; AML/CFT policy | List of fraud cases Ethics committee meeting minutes AML/CFT report | One year after manual approval |

In summary:

New policies/Manuals

- Establishment and operationalization of an independent audit committee,
- development of a procurement manual specific to the FIE,
- establishment of policies and procedures for management of conflict of interest, whistle blower protection
- grievance mechanism procedure,

Policies/Manuals to be reviewed and updated

- review of the procedures for quality at entry,
- review of the project at risk system,
- the inclusion of environmental, social and gender risks upstream during project implementation,
- updating the manual for project monitoring and evaluation,

Formatted: Font color: Text 1

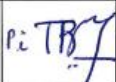
Formatted: Indent: Left: 0", First line: 0"

Formatted: English (United Kingdom)

E. Implementing Entity


This request has been prepared in accordance with the Adaptation Fund Board's procedures

AFB/PPRC.31-32/2

| Head of Implementing Entity | Signature | Date (Month, day, year) | Implementing Entity Contact Person | Telephone | Email Address |
|-----------------------------|---|-------------------------|------------------------------------|----------------|--|
| Dr Cheikh MBOW |  | March,31,2023 | Aissata Boubou SALL | +221 776851590 | aissata.sall@cse.sn |

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.

| | |
|---|---|
| <p>Mr Inoussa Ouiminga Adaptation Fund Designated Authority Director General for Cooperation Ministry of Economy, Finance and Prospective</p> | <p style="text-align: right;">  Lettre d'endorsement Date: August 30th, 2022 <small>readiness_220901_10</small> </p> |
|---|---|

BURKINA FASO
Unité – Progrès - Justice

Ministère de l'Economie, des Finances et de la Prospective
Direction Générale de la Coopération



ADAPTATION FUND



Letter of Endorsement by Government

Ouagadougou, 30th august 2022

To: The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: 202 522 3240/5

Subject: Endorsement for "**Application for a grant to support NIE accreditation through readiness package**"

In my capacity as designated authority for the Adaptation Fund in **Burkina Faso**, I confirm that the above national grant proposal is in accordance with the government's national priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in the **Burkina Faso**.

Accordingly, I am pleased to endorse the above grant proposal with support from the Adaptation Fund. If approved, the project will be implemented by **Centre de Suivi Ecologique (CSE)** and executed by **Fonds d'intervention pour l'Environnement (FIE)**.

Sincerely,

A handwritten signature in blue ink, consisting of a large, stylized oval shape with a horizontal line through it and a small mark at the end.

Mr. Inoussa Ouiminga
Adaptation Fund National Designated Authority
Directeur Général de la Coopération,
Ministère de l'Economie, des Finances et de
Prospective



