



ADAPTATION FUND



HEINRICH
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Climate Finance Regional Workshop

3 Day open dialogue for accredited National Implementing
Entities of the Adaption Fund and institutions wishing to
gain accreditation in Southern Africa

18-20 May 2015

Kalahari Sands Hotel

Windhoek, Namibia

2015



Report prepared for:
Heinrich Boll Stiftung
Southern Africa
Climate Governance in Africa Programme

Workshop facilitated by:
Owen Henderson
BPG Consulting

Report prepared by:

Ingrid Coetzee
Enact International

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Acronyms

AF	Adaptation Fund
AFB	Adaptation Fund Board
AfDB	African Development Bank
AFN Network	Adaptation Fund NGO Network
AGN	African Group of Negotiators
CAADP	Comprehensive Africa Agriculture Development Programme
CBO	community based organisation
CCM	Country-Coordination Mechanism
CDKN	Climate Development Knowledge Network
CDM	Clean and Development Mechanism
CEDAW	United Nations Committee on the Elimination of All Forms of Discrimination against Women
CFAS	Climate Finance Advisory Services
CIF	Climate Investment Fund
CSOs	Civil Society Organisations
COMESA	Common Market for Eastern and Southern Africa
COP	Conference of the Parties (to the UNFCCC)
DA	Designated Authority (for the Adaptation Fund)
EAC	East African Communities Common Market
ESP	Environmental and Social Policy
ESS	Environmental and Social Safeguards
DBSA	Development Bank of South Africa
DEA	Department of Environmental Affairs, South Africa
DRFN	Desert Research Foundation Namibia
FDI	foreign direct investment
FUNAB	National Fund for Environment Mozambique
GCF	Green Climate Fund
GEF	Global Environment Facility
GIZ	Gesellschaft für Internationale Zusammenarbeit (German Corporation for International Cooperation)
GF	Green Fund South Africa
HBS	Heinrich Boll Stiftung "Foundation"
IMF	International Monetary Fund
IPCC	Intergovernmental Panel on Climate Change
IE	Implementing Entities
iTAP	Independent Technical Advisory Panel
LDCs	Least Developed Countries
M and E	monitoring and evaluation
MIE	Multilateral Implementing Entity
MRV	measurable, reportable and verifiable
NAPAs	National Adaptation Programme of Action

NCCRS	National Climate Change Response Strategy
NDA	National Designated Authority (for the Green Climate Fund)
NDMA	National Drought Management Agency, Kenya
NEMA	National Environment Management Authority, Kenya
NGO	non-governmental organisation
NIE	National Implementing Entity (of the Adaptation Fund)
ODA	Official development assistance
REDD	Reducing Emissions from Deforestation and Forest Degradation
RIE	Regional Implementing Entity
SADC	Southern African Development Community
SANBI	South African National Biodiversity Institute
SGF	Small Grants Facility
SIDS	Small Island Developing States
TI	Transparency International, Kenya
UNFCCC	United Nations Framework Convention on Climate Change
V and AA	Vulnerability and Adaptation Assessment

1. Introduction

From 18 – 20 May 2015, accredited National implementing entities (NIEs) of the Adaptation Fund (AF) in Southern Africa, domestic funds, civil society organisations (CSOs), institutions wishing to gain accreditation with the AF, and several international bodies working on climate finance such as the German Corporation for International Cooperation (GIZ), the Green Climate Fund (GCF), and the United Nations Framework Convention on Climate Change (UNFCCC) Secretariat convened at the Kalahari Sands Hotel in Windhoek, Namibia for a three day regional dialogue on direct access to climate finance. The workshop was hosted by Namibia’s recently accredited NIE, the Desert Research Foundation of Namibia (DRFN) with support from the Heinrich Boll Stiftung “Foundation” (HBS) and the AF Board Secretariat. The workshop gathered representatives from ten Southern African countries (Botswana, Kenya, Malawi, Madagascar, Mauritius, Mozambique, South Africa, Tanzania, Zimbabwe, and Zambia) and international experts on climate finance, and particularly on direct access.

The regional climate finance workshop was a follow up to a similar workshop that was hosted by the national Environment Management Authority (NEMA) of Kenya with support from HBS, the AF Secretariat and the Climate and Development Knowledge Network (CDKN) in Nairobi in July 2014. The Nairobi workshop invited all accredited African NIEs to meet formally for the first time and discuss common obstacles and challenges affecting the slow access and uptake of climate finance on the continent and to strengthen NIE capacity, as well as that regional and multilateral implementing entities operating on the continent, to access, manage and disburse climate finance. The Nairobi workshop identified a need to further the gains in knowledge sharing and networking in a more region-specific content which led to the regional workshop in Windhoek, Namibia. The Windhoek workshop accordingly builds on the Nairobi workshop outcomes, as well as on the research findings on the processes of programming climate finance domestically which are outlined in a research report titled, “Learning from Direct Access Modalities in Africa”. The research report was produced by German Watch in November 2014, with funding and technical support from the CDKN and HBS.

2. Workshop objectives

The purpose of the workshop was to share accredited NIEs’ experience with relevant stakeholders, including potential institutions in Southern Africa wishing to gain accreditation to the AF, and to enhance the confidence and capacity for direct access to climate finance in Africa through peer to peer learning, open dialogue, knowledge sharing and lessons learnt. This was to be achieved by bringing together accredited implementing entities of the Adaptation Fund, African national institutions that wish to gain accreditation from the Adaptation Fund Board, international and regional organisations that are currently supporting countries in the region in accessing climate finance, civil society as well as domestic funds from the region in an open dialogue over the course of 3 days. The workshop provided a platform for climate change stakeholders involved in direct access to network and engage on regional challenges and issues with regards to accreditation and accessing climate finance.

3. Programme and Process

The workshop programme was designed to optimise dialogue and interaction between the workshop participants. HBS appointed an independent facilitator, Owen Henderson, to facilitate and manage the interaction and dialogue between participants. The programme was structured around several themes and included presentations followed by Question and Answer (Q and A) sessions and interactive dialogue sessions to engage the workshop participants.

The key themes centred on the NIE identification and accreditation process under the AF; the experiences and challenges with project development, implementation and participation in climate finance direct access modalities; and the strategies for mobilising and accessing other international sources of climate finance.

Table 1 Workshop themes, presentations and interactive dialogue sessions addressed by individual presenters

DAY 1: NIE identification and accreditation process under the AF	
SESSION 1: View from the AF Secretariat and Accreditation Panel	
Overview of Adaptation Fund Accreditation process and readiness support	Daouda Ndiaye, AFB Secretariat
Accreditation process and case studies	Peter Maertens, AF Accreditation Panel
The AF Environmental and Social Policy and its implications for NIEs	Dirk Lamberts, AF E and S safeguards expert
Q and A	
SESSION 2: NIE accreditation case studies and success stories from the region	
Desert Research Foundation Namibia (DRFN)	Viviane Kinyaga
National Environment Management Authority (NEMA), Kenya	Wangare Kirumba
South African National Biodiversity Institute (SANBI)	Mandy Barnett
Q and A	
SESSION 3: Interactive exercise on NIE accreditation	
Round robin discussions in small groups convened by accredited NIE representatives for in-depth consultation, sharing experiences and capturing key lessons learned	Facilitated by Owen Henderson
DAY 2: Experiences and challenges with project development, implementation and participation in climate finance direct access modalities	
SESSION 4: Engendering climate finance	

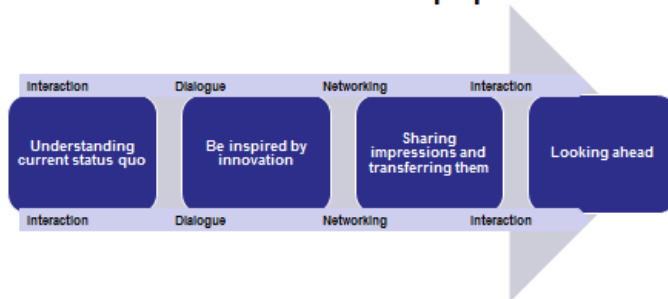
Tools for developing gender responsive climate change adaptation projects	Liane Schalateck (HBS North America)
SESSION 5: Human rights approach to adaptation finance	
<p>Short presentations by CSOs from the region to share their experience with climate finance and exchange on the current status quo:</p> <ul style="list-style-type: none"> • Oxfam GB (South Africa) • Foundation for Building Resilient Communities (Malawi) • Transparency International (Kenya) • Kuwuka JDA (Mozambique) • Practical Action 	<p>Presentations by:</p> <p>Eneya Maseko Francis Chilenga Samson Nzioki Camilo Nhancale Edward Guzha</p>
<p>Small group discussions on the following:</p> <ul style="list-style-type: none"> • Key insights around the future role and support from CSOs and NGOS in the climate finance space and how to leverage more from their knowledge, expertise and experience • How climate finance, NGOs/CSOs, designated authorities and NIEs can work together and cooperate more effectively 	Facilitated by Owen Henderson
SESSION 6: Implementation of adaptation projects through direct access	
South African National Biodiversity Institute (SANBI) and executing entity (SouthSouthNorth), South Africa	Mandy Barnett and Zukisani Jakavula
National Environment Management Authority (NEMA), Kenya	Wangare Kirumba
Desert Research Foundation Namibia (DRFN)	Olla Aldrich
SESSION 7: Domestic mechanisms for direct climate finance	
<p>Open Gallery exhibition and presentations by domestic funds in Southern Africa</p> <ul style="list-style-type: none"> • Green Fund • FUNAB 	<p>Olympus Manthata Julio Parruque</p>
DAY 3: Strategies for mobilising and accessing other international sources of climate finance	
SESSION 8: Regional strategies for mobilising climate finance	
COMESA	Sonnyboy Shongwe
GIZ	Marius Kaiser
SESSION 9: Addressing challenges of designated authorities for adaptation	
<p>World Cafe with 7 topics for discussion in rotating groups on:</p> <ol style="list-style-type: none"> 1. How to canvass political support/ stimulate political will for NIE set up 2. How to make adaptation finance more gender responsive 3. Enhancing the role of CSOs in climate finance 4. How to enhance quick turn around from accreditation to project implementation 	Owen Henderson

5. Effective readiness support. What type of strategic support can fast track NIE uptake?	
6. How to integrate the work by domestic funds with international mechanisms for direct access	
7. How to identify and develop concrete adaptation projects under direct access modality	
SESSION 10: Green Climate Fund (GCF) operationalisation and implications for adaptation	
GCF status update and overview of mechanism	Liane Schalateck (HBS North America)
GCF accreditation and readiness support	Chantal Naidoo, GCF
SESSION 11: Accessing other international mechanisms for climate finance	
UNFCCC	Donald Tanko, UNFCCC Secretariat
SESSION 12: Workshop closure	

Dialogue sessions focused on interaction and iteration to ensure all issues and challenges were adequately addressed and took the form of a combination of World Café dialogue exercises, round robin discussions in small groups, report backs to the plenary on key lessons learned captured in small groups and also short summaries to recap on the days' discussions, thus ensuring that all outstanding issues/questions were adequately addressed. An outlook for the day ahead was given at the end of each day. The workshop process is illustrated in figure 1 below.

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Overview of workshop process



Die grüne politische Stiftung

The workshop organiser and facilitator designed a set of structured questions around each theme to ensure consistency and to guide presenters in building on issues arising from the Nairobi workshop. These questions are captured in the narrative below under the respective session headings. The facilitator's role was to confirm with participants that these questions had been addressed in the presentations, Q and A sessions and interactive dialogue sessions. The facilitator also ensured that

questions/comments arising from the presentations were captured and that presenters had enough time to respond and that there were no outstanding questions/issues at the conclusion of each session/theme.

DAY 1

4. Welcome and introduction by host institutions

4.1 Welcome messages

The workshop opened with welcome messages from the host institution DRFN, the AF Board Secretariat and HBS.

In her welcome address, **Dr Anna Matros-Goreses, DRFN Board Member**, emphasised that the workshop on climate finance readiness and accreditation comes at a very opportune time as Namibians particularly were feeling the effects of a changing climate and its impacts on the economy. Namibia is a water scarce country and faces many challenges as a result of increased water scarcity, skewed income distribution and it needs financial assistance to be able to address these challenges. The climate finance workshop organised by the AF and HBS is therefore a very welcome initiative. Dr Matros-Goreses added that DRFN was honored to be accredited as a NIE and had done a very good stakeholder engagement process to sensitise everyone on natural resource and climate change challenges.

Keren Ben-Zeev, Acting Director of the HBS, welcomed all and thanked the DRFN and Namibian Ministry of Environment and Tourism for hosting the workshop. She referred to the issue of poverty alleviation and the importance of anticipating the impacts of a changing climate as the vulnerable and poor were the ones that suffered the most. Climate finance is a critical mechanism to build knowledge, capacity and foster social change to protect livelihoods. She emphasised that communities, particularly vulnerable communities, must have greater say in projects. She also highlighted the value of the direct access modality for climate finance offered by the AF, as it is crucial to build resilient and just societies, and advance gender equality.

Marcia Levaggi, Manager of the AF Board Secretariat welcomed all the workshop participants to the climate finance readiness workshop for Southern Africa. She highlighted the importance of the direct access modality, which the AF has pioneered, to ensure alignment with national priorities, local ownership and responsibility and increase capacities. She also stressed that accreditation is only the first step in accessing climate finance. Currently there are 19 accredited NIEs globally, 7 of which are from Africa, and of the 13 direct access projects that have been approved to date 6 projects are African projects. The objective is to increase both the number of accredited NIEs and approved projects. To make the accreditation process easier for smaller entities, the AF Board approved a streamlined accreditation process in April 2015 that small entities could follow; and the AF Readiness Programme was intended to support project development to increase the number of approved projects. The Readiness Programme provides support through South-South cooperation grants,

regional workshops (such as the Nairobi and Windhoek workshops organized in partnership with HBS and another planned for Nigeria later this year) and peer-to-peer learning and support.

4.2 Introduction: Workshop objectives and snapshot of Nairobi workshop and research output

Farayi Madziwa, HBS Climate Governance in Africa Programme Manager, gave a short introduction on the workshop objectives and approach and the structure of the workshop agenda for the three days, which is described in paragraphs 2 and 3 above.

Farayi also presented the workshop participants with an overview of the issues arising from the Nairobi workshop and the key findings and outputs from the research into the process of programming climate finance in Africa that had been undertaken by Germanwatch and funded by the Climate & Development Knowledge Network (CDKN). He covered the following points in his presentation:

- Background to the Germanwatch report
- Methodology and process – very consultative involving multi stakeholders
- An outline of the research report which captures NIEs’ experiences, analyses and documents lessons learned and success stories highlighting the following key content:
 - Accreditation – challenges, enabling factors and benefits
 - Project development and approval process – challenges, enabling factors and benefits
 - Project implementation phase - challenges and enabling factors
 - Stakeholders consultation and integration process – challenges, enabling factors and benefits
 - What is immediate future for direct access – 3 main key lessons highlighted from the Green Climate Fund (GCF) context:
 - flexibility and national realities - no single template for such accreditation
 - Country ownership by designated authorities and critical role that national designated authorities (NDA) have in the GCF including coordination of priorities and activities
 - Importance of consultation and multi-stakeholder participation

Comments

- ✓ WRI is building on the Germanwatch report & doing similar research which will bring in the experiences from other regions

5. Participants expectations

The facilitator gathered participants' expectations from attending the workshop through a small group exercise. The feedback to the plenary on participant expectations is captured in the text box below.

- ✓ *Learn about accreditation process*
- ✓ *Experience sharing*
- ✓ *Lessons learned*
- ✓ *Avoiding duplication*
- ✓ *Need to see more NIEs*
- ✓ *Support NIEs in understanding operationalisation of NDAs*
- ✓ *How climate change issues can be integrated into planning*
- ✓ *Project development proposals planning – what makes them successful & gender considerations of project implementation; learn from other entities that have gone through this process*
- ✓ *Discuss future of AF*
- ✓ *Bring about happiness on the environmental & social policy (ESP) of AF*
- ✓ *Learn more about GCF, its institutionalisation & what is required to get accreditation under it*
- ✓ *Availability of funding envelopes for each of the different funds*
- ✓ *Transparency, accountability & good governance requirements in climate finance*
- ✓ *How to influence decision making in the governance & disbursement of climate finance*
- ✓ *How to access direct access adaptation finance, networking & learnings*

6. Theme: NIE identification and accreditation process under the AF -experiences and lessons learnt

Session 1: View from the AF Secretariat & Accreditation Panel (presentations)
Session 2: NIE accreditation, case studies & success stories from the region (presentations)
Session 3: Interactive exercise on NIE accreditation (facilitated round robin discussion in small groups)

6.1 SESSION 1: Overview of Adaptation Fund, climate finance readiness support and ESP and its implications for NIEs

Overview of Adaptation Fund

Daouda Ndiaye

AF Board Secretariat

This presentation is available on the AFB website at:

<https://www.adaptation-fund.org/sites/default/files/Daouda%20Ndiaye%20-%20Day%201%20-%20Overview%20of%20Adaptation%20Fund%20and%20readiness%20support.pdf>

PRESENTATION OUTLINE

- ✓ Overview of the Adaptation Fund
- ✓ Progress and achievements of the Adaptation Fund
- ✓ Readiness programme for direct access

- *Overview of AF*
 - The AF is one of several international funds in the multilateral climate finance landscape. Other climate finance adaptation funds include:
 - Funds under United Nations Framework Convention on Climate Change (UNFCCC)
 - Climate Investment Funds (CIF) under World bank
 - Funds under UNFCCC Kyoto Protocol
 - New GCF under UNFCCC
 - The AF was established under the Kyoto Protocol with a goal to increase resilience with special focus on most vulnerable countries and communities;
 - Some of the AF's innovative features include that it is:
 - Governed by majority of developing countries;
 - Resourced by a levy on CDM proceeds; and
 - The AF has pioneered direct access to climate finance alongside conventional access through international organisations resulting in direct implementation of projects by national agencies;
 - Direct access is a ground-breaking modality that gives NIEs full control of implementation;
 - Direct access puts into practice principles of Paris Declaration on Aid Effectiveness such as ownership, harmonization, alignment and accountability; and
 - To access finance from the AF, national agencies and implementing entities have to first get accredited and will need to comply with the strict fiduciary standards set by the AF Board.
- *Information on progress and achievements of AF*
 - The AF Board has accredited a total of 19 NIEs spanning different regions;
 - Since 2010 the AF has approved 48 adaptation projects in different regions, of these, 35 are implemented by MIEs and 13 by NIEs;
 - The AF's main revenue source used to be proceeds of sales from CERs, but since the collapse of the carbon markets there is almost zero revenue coming from that source. The Fund's financial resources now mainly come from donations from countries;
- *Policies*
 - A Pilot Programme for Regional Activities was recently launched in 2015 by the Fund. This programme is open to RIEs and MIEs wishing to implement projects/programmes that may not exceed USD 30 million;

- The Fund has also introduced a streamlined process for accrediting small entities that wish to develop projects not exceeding USD 1 million. The AF Board approved a modified accreditation process (fit for purpose criteria) for Small Island Developing States (SIDS) and Least developed Countries (LDCs) that may not have suitable NIE candidates that are able to access up to USD 10 million;
- *Progress with readiness programme*
 - Phase 1 of the AF readiness programme was launched in May 2014 and consists of the following components:
 - i. Convening different stakeholders working on direct access through seminars and partnerships with many implementing agents and stakeholders;
 - ii. Developing a knowledge exchange platform – the “Climate Finance Ready platform” is now up and running and is being done in partnership with the CDKN (see AF website for more details);
 - iii. Designing improved materials on the AF process;
 - iv. A small grants facility for South-South cooperation and environmental and social technical assistance. This is still a pilot and has so far supported only four countries in Africa in the accreditation process;
 - Phase 2 of the readiness programme is focussing on cooperation grants; seminars/workshops on climate readiness (another readiness workshop for Africa will be held in Nigeria in September 2015); improving project formulation and concepts/proposals; providing more support on environment and social safeguards aspects; and promoting peer to peer learning and knowledge management. Phase 2 expects to see more lessons learnt case studies published and increased media coverage.

Climate Finance Readiness Support

Peter Maertens

AF Accreditation Panel

This presentation is available on the AFB website at:

<https://www.adaptation-fund.org/sites/default/files/Peter%20Maertens%20-%201-2%20AP%20Fiduciary%20Standards%20-%20Namibia%2018%20May%202015.pdf>

PRESENTATION OUTLINE

- ✓ *Definitions*
- ✓ *Role of Implementing Entities*
- ✓ *Fiduciary standards*
- ✓ *Accreditation process*
- ✓ *Streamlined approach*
- ✓ *Challenges for NIEs*
- ✓ *Areas for improvement*

- *Definitions*
 - Designated Authorities
 - National Implementing Entity (NIE) (It is important to select the right entity as a NIE must have the right experience, be a legal entity with financial-, monitoring-, and reporting responsibility and capacity and also be resilient in terms of the Environmental Social Policy.)
 - Regional Implementing Entity (RIE)
 - Multinational Implementing Entity (MIE)
 - Implementing entities (IEs) can be a NIE, RIE or MIE
- *Role of implementation entities*
 - The role of IEs is to take full responsibility for managing projects and programmes;
 - IEs must demonstrate total corporate governance, in other words the IE must have:

- a proper structure;
- appropriate accounting and procurement policies, process and procedures in place which should be documented to convince panel of their existence; and
- the ability to demonstrate that these policies, process and procedures are implemented and working effectively. Saying there are good policies/procedures is not good enough as the IE must be able to demonstrate effectiveness and rigorousness of its policies and procedures.
- *Fiduciary standards*
 - The AF fiduciary standards were adopted at the 7th AFB meeting in September 2009 (the adopted fiduciary standards are available on the AF website);
 - The fiduciary standards cover the following three aspects: Financial management; project management, and anti-fraud, corruption & complaints handling;
 - Financial management includes adherence to internationally acceptable practices and standards regarding fiduciary and governance aspects such as:
 - Demonstrating that the IE has legal status that can enter into contracts with the AF;
 - Accurately and regularly recording of transactions and balances and producing regular (annual) financial statements that are audited externally according to recognised national accounting standards which are compatible with internationally recognised accounting standards;
 - The existence of an internal control framework that demonstrates and documents clearly defined roles for the governing body, management, internal auditors and other personnel, as well as proven payment and disbursement systems. The internal control framework should set out who authorised to manage and disburse funds efficiently and with the appropriate safeguards to recipients on a timely basis. There should be an annual statement/letter by CEO/Board describing the most important controls and how these work. The AF Board is currently developing guidelines on internal controls;
 - Evidence of fair and transparent procurements policies and procedures at national level which are consistent with international practice. This should include objection and dispute resolutions procedures. IEs must be able to demonstrate that they are able to control executing agencies;
 - The preparation of forward looking financial (business) plans and budgets that include a long term/strategic plan, financial projections and an annual budget. (The financial plan and budget must show that the IE is financially solid and will be sustainable over a 5 year period from accreditation to project implementation.);
 - The institutional capacity and ability to spend budgets, manage procurement procedures (which provide for transparent practices), monitor monthly expenditures on the budget, and identify, explain and act on deviations;
 - Sound project management includes:
 - The capacity and ability to identify formulate and appraise projects/programmes, including all the technical, financial, economic and legal aspects and the identification and assessment of the environmental and social risks of project/programme and the adoption of measures to address those risks. If the IE does not have in-house expertise it should have access to resources for conducting appraisal activities;
 - The competency to manage or oversee project/programme implementation, including managing sub-recipients and supporting delivery of projects. In planning for

implementation IEs must be able to demonstrate log frame ability, at both the theoretical and implementation levels;

- The competency to undertake periodic monitoring and evaluation of project/programme performance, including monitoring measures for the management of environmental and social risks. IEs must demonstrate that it has a project risk process or system in place to identify and redress problems that arise during project implementation and interfere with achievement of objectives;
- The capacity to assess the impacts/implications of the technical, financial, economic, social, environmental and legal aspects of a project/programme at project/programme closure and to address these in the final evaluation;
- Anti-fraud, anti-corruption and complaints measures are important because the AF places a lot of emphasis on this and looks for demonstration of the following from applicants:
 - Competence to deal with financial mismanagement and others forms of malpractice;
 - Some form of public statement from the top management level emphasising a zero tolerance for fraud and corruption (this could be made public on the IE's website). It should illustrate the IE's capacity and anti-fraud, anti-corruption and complaints procedures which should document the investigation function for undertaking fair and objective investigations into any allegations of fraud and corruption;
 - Capacity to address complaints on environmental and social harms caused by projects/programmes
- Environmental and Social Safeguards
 - There must be commitment to apply the AF's Environmental and Social Policy at top management level;
 - The ESP contains 15 principles and includes a mechanism which deals with the environmental and social harms caused by projects/programmes;
- *Accreditation process*
 - The presentation covered the responsibilities of the parties involved in the accreditation process (IEs, AF Secretariat and Accreditation Panel) and described the key steps in the application process (the application workflow);
 - The AFB does not know who the applicant is as the Board uses a numbering system to protect the confidentiality of NIEs applying for accreditation;
 - The Accreditation Panel does not make final decision, but makes a recommendation to the Board which makes final decision to accredit entity;
- *Streamlined approach*
 - The AF has a streamlined approach with more flexible criteria for smaller entities. To qualify entities must have project experience of up to \$1 million and up to 25 professional staff;
 - The streamlined approach includes some similarities with the full approach such as:
 - internal controls which rely on Board supervision,
 - the segregation of duties,
 - being able to demonstrate that the entity is financially sustainable (a going concern) and
 - key positions should be relatively stable
 - The flexibilities introduced by the streamlined approach include:
 - Relying on reference checks with other donors when reviewing the application
 - Allowing national external audit standards

- More flexibility on internal control, accounting, audits, procurement measures and systems and one annual review is adequate
- *Challenges for NIEs*
 - Lack of understanding of fiduciary standards and limited competencies in some areas;
 - Underestimating the work involved and the importance of CEO involvement and having designated staff;
 - Willingness to drive the accreditation process actively and push the Panel if needed;
- *Areas for improvement*
 - NIEs should establish an independent internal audit service and demonstrate its effectiveness;
 - Demonstration of the internal control framework with documented roles and responsibilities and appropriate procurement policies;
 - Providing the Accreditation Panel with evidence and documentation that is recent as documents older than 8-10 years old creates the impression that the entity does not have recent project experience;
 - Entities do not have systems for assessing project risks at the appraisal stage;
 - Entities should demonstrate experience of using their own monitoring and evaluation frameworks;
 - It is important that top management shows commitment to addressing fraud, financial mismanagement and other malpractices. There should be a code of conduct, whistle blower protection and measures to address conflicts of interest in place;
 - Entities are encouraged to engage actively and regularly with the Accreditation Panel and attend all meetings to build capacity;
 - Evidence of commitment to the AF ESP is important
 - Outside agency support is provided through a number of entities

AF Environmental and Social Policy (ESP) and its implications for NIEs

Dirk Lamberts

ESP Safeguards expert

This Presentation is available on the AFB website at:

<https://www.adaptation-fund.org/sites/default/files/Dirk%20Lamberts%20-%20AF%20Environmental%20and%20Social%20Policy%20-%20Presentation.pdf>

PRESENTATION OUTLINE

- ✓ *Introduction*
- ✓ *Main characteristics of EF ESP*
- ✓ *15 ESP Principles*
- ✓ *Compliance of project/programme applications with the ESPECIALLY*
- ✓ *Experience after 1 year of bringing the ESP into practice*

- The AF has developed a guidance document on how to demonstrate ESP compliance which is available on the AF website. This guideline provides concrete and practical suggestions and recommendations for complying with ESP requirements;
- The overall goal is to avoid unnecessary environmental and social harm as result of implementing AF projects. It reflects global consensus on the need for environment and social safeguarding, but also includes some special characteristics as it combines social and environmental issues in one policy;

- The underlying principles and concepts of the AF ESP include that:
 - It is not prescriptive on how to achieve/demonstrate compliance
 - It is evidence-based (emphasis is on being able to demonstrate)
 - It is risk-based
 - Safeguarding efforts must be commensurate with the level of risk
 - It provides for categorisation
- The environmental and social safeguards are integrated into the direct access modality:
 - IEs and EEs play a key role
 - Risk and impact assessments are screened against the 15 principles
 - There is a clear link with the IE's environmental and social management system at the project level
- The 15 principles of the AF ESP determine the scope of the risk and impact assessments. Some principles apply to all projects and others may not be relevant to a specific project;
- The principles are:
 1. Compliance with law (applies to all projects)
 2. Access and equity (to ensure the benefits of the project are provided fairly and inclusively and do not impede access to services/resources)
 3. Marginalised and vulnerable groups (to prevent these groups from experiencing disproportionate environmental and social impacts of funded projects)
 4. Human rights (applies to all projects)
 5. Gender equity and women empowerment
 6. Core labour rights (applies to all projects)
 7. Indigenous peoples
 8. Involuntary resettlement
 9. Protection of natural habitats
 10. Conservation of biodiversity
 11. Climate change
 12. Pollution prevention and resource efficiency
 13. Public health
 14. Physical and cultural heritage
 15. Degradation of lands and soil conservation
- There are some common issues and problems when applying these principles in project and programme applications such as:
 - Unsubstantial claims regarding project risks
 - No information is provided on the processes used to formulate the project / programme, especially regarding how marginal and vulnerable groups were consulted on project risks
 - Inadequate/insufficient information is provided and information is not evidence-based
 - Lack of stakeholder consultation
- The ESP uses firm language (such as “shall not” / “shall”) to communicate the policy requirements;
- The application form is the main tool that the AF Secretariat and Board use to assess project/programme compliance with ESP and it forms the basis on which decisions are made. Thus the information included in the application form is important to expedite the application process;
- The main lessons learned in applying the ESP in the application process include:

- Risk assess and management must be comprehensive
- It is important to deal with the unknown/unidentified activities – the “unidentified sub projects” in a programme and to have a mechanism to identify risks during implementation included as an element of the Environmental Social Management Plan (ESMP). The structure of this plan, should clarify the roles and responsibility of all implementing agencies and spell out who deals with what, when and in what capacity
- There must be clear linkages between the project/programme and environmental and social safeguarding measures
- The AF has reviewed experience with ESP compliance after one year of bringing ESP into practice and certain trends have emerged. Most of these trends have been addressed through workshops and the guidance document. One-on-one interactions with IEs to provide direct guidance, has also been very effective in addressing challenges. Some of the difficulties experienced by IEs include:
 - Risk assessment and ensuring Categorisation
 - Inconsistencies in application documentation
 - Too much/irrelevant information
 - Structure and contents of ESMPs
 - Steep learning curves in NIEs
 - Progress reporting on ESP safeguarding is still relatively new so we are yet to see how well this will work

Plenary question and answers session to the panel and key general learning points

Specific questions and issues were not dealt with in plenary but raised with the AF Board representatives during the one-on-one clinic consultation sessions that were set up for workshop participants through the course of the three day workshop.

QUESTIONS/COMMENTS	RESPONSES
Questions on AF accreditation process and readiness support	
<i>What is the AF doing to strengthen the role of DAs on the endorsement of NIE, MIE accreditation applications; to devolve the decision to country level and thus achieve full ownership?</i>	Workshops are held and DAs and NIEs are invited to give officials the opportunity to find out and get to know more of how the AF works; there is also the AF website (https://www.adaptation-fund.org/) which contains a lot of information and valuable resources including a list of designated authorities.
<i>Four related questions on what support is available to NIE candidates through the readiness programme and if it is possible for NIEs – even those that are not yet accredited – to get support through South-South collaboration grants?</i>	Readiness Programme Phase 1 was a pilot and because of funding restrictions South-South grants are only for entities of have not applied yet, but in future if more funding becomes available then it could be extended. Visits by AF Panel experts already exist and have taken place (such as for Namibia) to sort out certain issues.
<i>We all remember that, in the Agenda 21, developed countries once promised 0.7% of GDP for ODA. You have indicated that developed countries should provide 1.5% of their ODA. How is that possible?</i>	Yes, financial pledges are always made. We have to understand why people make commitments in meetings. The other challenge is that sometimes what these countries say has come to Africa is questionable: how much was provided? How was it provided? At times it is difficult to trace the funds. Thus the need for transparency in the processes.
Questions on AF accreditation process and fiduciary standards to Peter Maertens	
<i>Several related questions regarding the process of accreditation, how decisions are made in the Panel and</i>	The application comes in and a contact person is assigned and will open the workflow. The Secretariat

QUESTIONS/COMMENTS	RESPONSES
<i>Secretariat, what the procedure is etc.?</i>	looks at the application and makes a decision if the information submitted is close to what is needed; or if there are gaps the AF staff will work with the entity to fill these gaps. Panel comprises 4 members - one lead and a second lead. They read all documentation. The panel member in charge goes through all information on fiduciary standards, systems etc. and discuss this with the rest of the panel – during this time questions go back and forth between the panel and applicant for the applicant to respond to and supply additional information to the panel. If the entity must still set up systems then panel will ask it to provide an action plan by when this will be done. There are two panel meetings per year and the process can take a year to two years. The panel will slow application down if they don't see action from the entity. Once everything has been done, the member in charge will present a 2 pages report to the Board indicating all requirements have been met, sometimes there may be conditionalities/areas for discussion, and make recommendations to the Board on the decision. The Board will know who the recommended entity is and has so far always accepted the panel recommendations.
<i>What are some key characteristics (governance, size, type of organisation) of successful NIEs?</i>	It is ideal to have an entity that has experience of many projects, internal policies and procedures in place, and can demonstrate actual projects in place. RIE's such as development banks general have this experience but it is harder if the entity is new. Although entities can develop and grow during the application process the capacity should be in place before the application process. The recommendation for a NIE must come through the NDA and they should be careful which entity they recommend.
<i>Can NIEs recover the costs of accreditation from AF?</i>	No
<i>How does the AF avoid duplication with other funding modalities and encourage linkages with other funds and what are the differences between the AF and GCF?</i>	Recognise that all funds/donors should be more dependent on / cooperate with each other when doing due diligence/accreditation and should streamline this; and also should makes this public. GCF relies heavily in the initial phases on some of the due diligence work that other funds have done. Main difference is that the AF is a “taker of whoever applies” for climate finance whereas GCF (and other funding mechanisms such as GEF) may decide whether or not they want to fund/do business with applicant
Questions on AF Environmental and Social Policy	
<i>Which of the 15 principles apply to all projects?</i>	Principles on compliance with the law, human rights and core labour rights; if state not apply then you must demonstrate why not apply
<i>How is ESP applied at accreditation stage and what considerations are taken into account – is it commitment or track record?</i>	To show compliance with the ESP the applicant must show commitment/commitment at top management level; show what capacity exists in the organisation and that it has the capacity/capability to apply the ESP. This can be shown through track record. It is also important to

QUESTIONS/COMMENTS	RESPONSES
	demonstrate whether there are any policies/procedures in place; what experience the organisation has in environment and social impact assessments – for example, does it have the ability to identify risks and implement the necessary measures / actions to mitigate, plan for mitigation factors and indicate how mitigation measures are included into the project document and monitor framework.
General questions	
<i>Related questions on involvement of stakeholders, CSOs and the private sector in accreditation?</i>	It is important that involvement of stakeholders and CSOs comes from applicant so CSO can support the application by working in the background but it must come from top of NIE. For example, the proposal for NIE should be posted on website to provide opportunity for public comment. Sometimes these comments will be taken into account when reviewing the accreditation application. The AF NGO network also follows NIEs and AF project and NIEs to see the whole direct access process and report on this to the AF.
<i>Why do we have fewer government entities accredited as NIEs in relation to other types of entities?</i>	This is a misconception and not true: Of the total number of NIEs there are 2 which are ministries/government departments; 9 parastatals and 8 NGOs. The key consideration is whether or not the entity has the optimal structure and structure to function as NIE and ensure effective implementation post accreditation. It is important that the NIE operates as a separate legal entity. The AF website has a link for accreditation process which provides a guideline for signatory authorities on selecting NIEs.
<i>Is there a target for adaptation? A lot of adaptation goes into development work. How do you separate between adaptation and mitigation?</i>	For Africa, adaptation is currently the key priority, while mitigation is not – though in future we will have to do mitigation. The funds that are made available should prioritise adaptation over mitigation.
<i>There have been initiatives, for example, to introduce mitigation into agriculture –what has been termed “smart agriculture” – or feed-in tariffs in energy. What do these initiatives mean in terms of livelihoods and for civil society?</i>	The challenge is how we embrace initiatives that come to us. An important point is that anything that compromises food sovereignty should not be accepted. Some of the solutions can effectively address the causes of climate change. However, it is important to assess and determine how they impact on our livelihoods and other socio-economic aspects. We need appropriate technologies to enhance our situation.
<i>How did you come to the figure of 1.5% GDP of developed countries?</i>	We got it from the African common position, and we believe 1.5 % should be a minimum. We have to express our needs. Whether it can be provided is another issue.

6.2 SESSION 2: NIE accreditation process, case studies and success stories and NIE identification process.

Background context and questions to presenters

Seven of the 19 implementing entities accredited by the AF Board to access adaptation finance directly from the Adaptation Fund are from Africa. Many developing countries have been slow to initiate and complete the accreditation process in order to begin receiving adaptation finance from the Fund. Many continue to struggle to meet the requirements for accreditation, in particular the strict fiduciary standards, documenting established practices and effectively showing conformity and compliance with environmental and social safeguards as set by the AF Board. This session aims to learn from and share the experiences of already accredited NIEs in Southern Africa and countries intending to, or already undergoing the accreditation process. Presenters were asked to respond to the same set of specific questions to ensure consistency of presentations and help structure discussions on experiences from NIEs on the accreditation process and to ensure that key messages are captured. The session sought to boost the workshop participants' confidence in, and knowledge of, the accreditation process by requesting presenters to address the following questions:

1. How long has the NIE been accredited for? What were the enabling factors that allowed set up of the NIE? Please briefly explain criteria to identify implementing entity/benefits of using that choice of institution or organization as an NIE. Also mention your views during the identification process related to size of the institution or budget to be handled by the IE as a factor in the identification process. Related to this, please share your views on whether the streamlined process recently approved by the AFB to enable accreditation of smaller entities would have made a difference to your country's process.
2. How did you manage the accreditation process and why did you opt for that approach?
3. What have been the key lessons you have learnt from going through the accreditation process? Have there been any co-benefits from the accreditation (apart from ability to access funds directly)?
4. What preparatory and ongoing support would you recommend others that wish to go through the accreditation process to consider at an early stage?
5. Are there any plans to seek accreditation with other funding mechanisms e.g. GCF, CIF Bi-lateral etc., and if so, how will this be achieved?
6. Is the NIE receiving climate finance from other sources? Has the NIE put in place mechanisms to ensure efficient coordination of finance flows from the different sources of funds managed by the NIE? Has the NIE engaged the diverse climate finance mechanisms operating within the country? Is the NIE involved in ensuring coordination among those mechanisms at the national level and thus ensuring scaling up of adaptation efforts? If yes, which role is the NIE playing in this effort? Are those efforts well aligned with the institutional set-up of the NAP process?
7. What would be needed to prepare existing NIEs for scaling up finance flows to the sub-national level?

Desert Research Foundation Namibia (DRFN) accreditation experience

Presentation by Viviane Kinyaga

Former Director of DRFN

This Presentation is available on the AF website at:

<https://adaptation-fund.org/sites/default/files/Viviane%20Kinyaga%20-%20The%20DRFN%E2%80%99s%20Accreditation%20Experience.pdf>

PRESENTATION OUTLINE

- ✓ Preparatory accreditation checklist for NIEs based on lessons learned
- ✓ Tips for responding to accreditation questions

- The DRFN was introduced and given the opportunity to become accredited under the AF by the Namibian Ministry of Environment and Tourism and UNDP;
- DRFN attended a climate finance workshop in 2011 and the meeting with Senegal helped them prepare for the accreditation process;
- The first submission was made in January 2012;
- Some of the challenges that DRFN faced included:
 - Inadequate internal controls and internal audit (DRFN is a small NGO that follows donor regulations, policies and procedures and did not have a uniform set of its own internal controls);
 - Understanding the AF's appraisal framework, what the AF required for project appraisal and how this should be done;
 - Meeting AF requirements for monitoring and evaluation and risk management. The DRFN monitoring and evaluation system is aligned with donor institutions; and risk assessment is part of the logical framework analysis (LFA). DRFN got a consultant to help them develop this but found that the consultant was too industry focussed;
 - Meeting international fiduciary standards was very difficult for DRFN because as a small NGO they followed Namibian standards which did not meet AF standards;
- The AF Secretariat visited DRFN in February 2014. During this visit they realised there were many misunderstandings about terminologies and how they had communicated information to the AF. This meeting helped clarify a lot of issues that they did not understand. To prevent the frustration of keep getting the same comments back from AF Secretariat, DRFN recommend that there should be closer contact with candidate NIEs to ensure everyone shares the same understanding of terminology and what the AF needs and wants;
- DRFN was accredited in August 2014;
- Benefits of accreditation to DRFN includes enhancing the organisation's chances of attracting further funding and receiving accreditation from the GCF; the introduction of improved organisational systems which were developed to meet AF standards and requirements; more confidence, broad applicability and knowledge transfer; obtaining an expanded mandate through the involvement in climate change adaptation projects; and strengthening the organisation's understanding of climate change adaptation.

Lessons from National Environmental Management Authority (NEMA)

Wangare Kirumba

National NIE Coordinator

NEMA

This Presentation is available on the AF website at:

<https://adaptation->

[fund.org/sites/default/files/Wangare%20Kirumba%20-%20NEMA-%20NIE%20preparatory%20accreditation.pdf](https://adaptation-fund.org/sites/default/files/Wangare%20Kirumba%20-%20NEMA-%20NIE%20preparatory%20accreditation.pdf)

PRESENTATION OUTLINE

- ✓ *Opportunity*
- ✓ *Requirements*
- ✓ *Challenges*
- ✓ *Benefits*

- NEMA is a government parastatal that administers the safeguarding of the environment on behalf of Kenya through licensing and environment standards. NEMA also mobilises resources to achieve environment goals which is why it was nominated for AF accreditation;
- NEMA has developed a checklist to sharing the lessons it learnt on accreditation with other NIEs;
- The accreditation process took NEMA more than 2 years and it was necessary to have a training intervention in Senegal;
- Some of the lessons learned include:
 - The importance of working on getting institutional buy in and ensuring that top management is on board. It is also important to ensure that the process of getting accredited aligns with institutional priorities and that senior management understands fully what the accreditation process means for institution as it will require a sustained effort to get accredited. Accreditation must be on the institutional agenda and included in work plans and performance measurement processes;
 - Establish an operational point in the institution and anchor the accreditation process into a specific division;
 - Establish an institutional framework, such as a committee with representatives of all the relevant departments or divisions necessary for accreditation. Activities that must be undertaken for accreditation are cross-cutting and do not belong just in one department;
 - Delegate responsibility for the accreditation process to a Champion. The process requires someone who can take their own initiative, is willing and able to work long hours, and has a strong sense of responsibility and commitment. Accreditation is not 'business as usual' but requires going the extra mile;
 - Establish linkages with senior management to keep the accreditation agenda and institutional buy in alive in the institution and to ensure that senior management is kept abreast of progress/blockages;
 - Develop a system for generating and keeping records and other documentation that are needed for the accreditation process so that it is ready when the AF requests records and documentation (don't wait until this is requested);
 - Establish and maintain good working relations with the Designated Authority, so DA can intervene on your institution's behalf if necessary;
 - The accreditation application is not just about filling in forms, it is also important to obtain financial commitments;
 - The institution will need seed money to operate the accreditation process and pay for consultants, stakeholder engagements, travel to attend meetings etc.
- Some tips for responding to accreditation questions are:

- Provide clear details on the national legal framework and demonstrate what measures and systems are in place that govern financial responsibility and accountability;
- Illustrate what institutional policies are in place to meet/improve national rules and laws;
- Provide details on the institution's operating procedures to operationalise policies and its day-to-day management systems and arrangements;
- Provide details on the human capacity that is in place to carry out and administer the institution's operational procedures and systems;
- Don't be afraid to ask questions for clarification of terminology, or request more information.

SANBI – South Africa's NIE to the Adaptation Fund: experience during AF accreditation

Mandy Barnett

National NIE Director

SANBI

This Presentation is available on the AF website at:

<https://adaptation-fund.org/sites/default/files/Mandy%20Barnett%20-%20NIE%20presentation%20NIE%20mtg%20May%202015%20Windhoek.pdf>

PRESENTATION OUTLINE

- ✓ Accreditation – why was SANBI selected & how did it manage the process
- ✓ Lessons learned
- ✓ Benefits
- ✓ Way forward

- SANBI is a public entity which is governed by an independent Board, is financially sustainable, has good science capacity, and a sound track record of implementing GEF project ;
- SANBI's limitation – as an NIE – is that it is a biodiversity institute and has no mandate to work outside this field. SANBI got a legal opinion on the extent of its mandate and as result of this opinion had to get the Minister to instruct it in writing to go beyond its legal mandate in order for SANBI to be accredited by the AF;
- SANBI was nominated by the Designated Authority in March 2011 and accredited in September 2011. The nature of institution allowed this process to happen quickly. Also, the AF ESP was not yet in place at that time which meant that the requirements were not as onerous. SANBI has had to meet the ESP requirements since being accredited;
- SANBI managed the accreditation process internally which it needed to do as much of the process involved unlocking internal systems, procedures and systems;
- The AF Secretariat was extremely helpful. NIEs must not be afraid to ask as this helps develop a stronger relationship with the AF and makes it easier to move forward;
- Key lessons learned include:
 - The accreditation is only the beginning- it is not the end
 - Different institutional actors are involved during different parts of the process and it is important to bring everyone on board so they too are prepared
- Benefits of accreditation for SANBI include:
 - Elevated institutional profile in climate change adaptation which unlocks a lot of other things
 - Strengthened relationships with the national DA
 - SANBI has also been nominated to apply for GCF accreditation
 - Internal policies and procedures have been strengthened in order to meet AF standards
- Alignment with other funding sources –there is no flow of funds from other sources yet but SANBI plans to increase alignment with Green Fund (domestic fund);
- It is essential to have a champion and build capacity for scaling up;

- Important to manage management expectations about the accreditation process because it takes time and they should not expect accreditation to happen quicker. It is better to rather allow for time to do everything properly, build capacity incrementally, and to be well prepared for what follows accreditation, so that capacity for implementation will be sustainable;
- Important to build relations with AF Secretariat, ask for support if you need it and to network and forge partnerships with other NIEs.

6.3 SESSION 3: Interactive session on NIE identification and accreditation process

Workshop participants broke into three small groups and circulated between the 3 accredited NIEs for rounds of discussions to share and capture lessons learned on the NIE accreditation process. The three groups reported back to the plenary on the key take home messages from round robin discussions.

Group 1 report back

- Should have more peer support and peer to peer learning for NIE accreditation and post accreditation processes;
- Multi-disciplinary team setup within institution to work on NIE process rather than focus on individual approach (everything on one person);
- Need to have seed money put aside to help in the process (integrate this in the institution's budgetary process by creating a budget vote/cost line item for accreditation associated costs and staff time);
- Consideration should be taken on the specificity of each country/institution while AF assesses the application;
- Stakeholder consultation and country coordination prior to project selection and project proposal preparation is important.

Group 2 report back

- Demonstration is key;
- Accreditation requires team work and the costs of accreditation must be provided for;
- Information sharing (through stakeholder consultation) is important;
- Be clear on language (terminology) and understanding of what is required?
- A prior visit by an AF Secretariat or Accreditation Panel member is important to guide the process for candidate NIEs in the application process;
- Country driven to determine the pace;
- Constant interaction with the Accreditation Panel is important;
- Perseverance and patience with the rigorous accreditation process;
- Candidate NIEs need to have a long term strategy and vision for the post accreditation phase;

Group 3 report back

- Never give up – aspiring NIEs should persevere in the attempt to become accredited;
- Accredited NIEs should share information and experiences (on systems, tools, preparation and submission of documentation etc.) with aspiring NIEs (why duplicate effort);

- Do not hesitate to contact the AF Secretariat to get advice, information and build strong relationships;
- Build sound relationships between the NIE and NDA;
- Position the NIE as a national entity because the work needs national effort and the NIE works on behalf of the country not to serve itself;
- The AF supports a variety of NIE entity types/model but the NDA must decide what is best suited to the country (the AF does not decide this);
- It is noted that currently no process exists for civil society to query the selection of the NIE by the NDA;
- Accreditation and post accreditation processes cost money therefore the NIE must ensure seed money is available and provision is made for accreditation costs in the institution's budget. You must know what you letting yourself in for and have both the funds and human resources to assist in the process.

Summary of key take home messages from DAY 1 and outlook for Day 2

- Day 1 focused on the accreditation process to build a deeper understanding of what is entailed in becoming NIE
- Day 2 will consider what lies beyond accreditation and what entities and stakeholders can do in the accreditation process to prepare for post accreditation



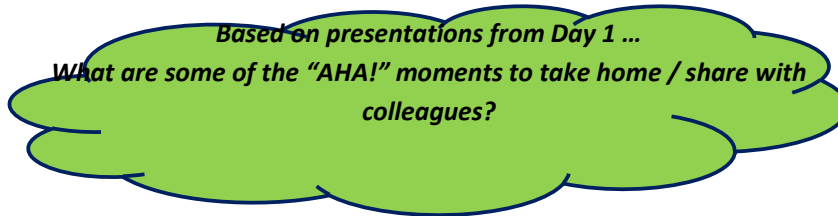
ABOVE: Wangare Kurumba from Kenya explains the process NEMA went through after gaining accreditation with the AFB.

LEFT: A participant gives feedback to the plenary following a round of focussed group discussions

Pictures by Hugo Remaury

DAY 2

Recap of Day 1



Messages from the floor

- Understanding that with the NIE accreditation process it is not just about having all the documentation in place, but also about being able to demonstrate you use them -“aha demonstration!”;
- Long term strategy and planning for the long term is critical;
- It is always possible, in the accreditation process, to get support from the AF Secretariat and other developing countries NIEs ... don't be afraid to ask for help;
- Submit your responses, to a query from the AF, as soon as you can, you don't have to wait till you are able to respond to all queries.

Facilitator's summary based on lessons and messages captured on Day 1

- Different approaches are in order;
- You are not alone;
- The need for a multi-disciplinary team when engaging with the accreditation process and for getting top level buy in are important considerations to keep into account;
- Stakeholder consultation is required to constantly communicate and share information;
- Ask when things are not clear and keep communication lines open;
- The Importance of building and maintaining sound relationships within country, the NDA and the AF Secretariat;
- Don't give up, keep persevering in the accreditation process;
- The accreditation process provides an opportunity for improving internal structure and systems;
- Alignment with national priorities is important;
- Think about the long term vision;
- Demonstration is important;
- Be prepared to engage with the AF around terminologies;
- Don't forget that you may require seed funding and financial support to get going.

7. Theme: Experiences and challenges with project development, implementation and participation in direct access climate finance modalities

SESSION 4: Engendering climate change
SESSION 5: Human rights approach to adaptation finance
SESSION 6: Implementation of adaptation projects through direct access
SESSION 7: Domestic mechanisms for direct climate finance

7.1 SESSION 4: Engendering climate finance

Tools for Developing Gender-Responsive Climate Change Adaptation Projects

Liane Schalateck
HBS North America

This Presentation is available on the AF website at:

https://adaptation-fund.org/sites/default/files/Liane%20Schalateck%20-%20Namibia_Gender&CC%20AF_updated.pdf

- The key message is that climate change is not gender neutral and hence climate finance cannot be gender neutral!
- Women are disproportionately affected by climate change due to persisting gender-specific norms and gender-based discriminations and barriers such as:
 - Reproductive and unpaid care work
 - Wage and income gaps
 - Access to finance
 - Access to information
 - Lack of property rights
- The Intergovernmental Panel on Climate Change (IPCC) 5th assessment emphasizes that climate change hazards increase the existing gender inequalities;
- UNFCCC decisions taken at Cancun, Doha recognised that climate change responses need to be gender responsive;
- Women and men contribute to climate change response differently, women are key actors and change agents;
- Climate finance and funding process need to be gender responsive:

PRESENTATION OUTLINE

- ✓ *Climate change & adaptation finance is not gender-neutral*
- ✓ *Gender analysis of climate/adaptation-relevant investments --- methodology*
- ✓ *Key tools for developing gender-responsive climate change adaptation projects*
- ✓ *Gender a belated "retrofit" in existing climate funds*
- ✓ *GCF an opportunity for gender-responsive climate financing?*
- ✓ *Quantity & quality of gender-responsive climate finance provision matters*

- Firstly because women's rights are basic human rights which is recognised as one of the AF ESP principles; and in terms of various National United Nations Committee on the Elimination of All Forms of Discrimination against Women (CEDAW) commitments
- Secondly, because to ensure scarce public resources are used equitably, efficiently and effectively one cannot ignore 50% of beneficiaries' (women)
- The presentation included various examples of women's role in the agriculture, disaster risk management and adaptation, and water sectors;
- The methodology for gender analysis of climate/adaptation relevant instruments should include:
 - Approach gender issues from a human rights perspective
 - Redress of gender inequalities
 - Gender data
 - Analysis of gender relations
 - Equitable gender access
 - Opportunities to obtain gender input
- The presentation listed key tools for developing gender responsive climate change adaptation projects at different levels:
 - At the fund / funding institution level these include:
 - Gender balance and expertise
 - Gender responsive funding guidelines, allocation and investment decision criteria
 - Social, gender and environmental safeguarding
 - Regular audits and independent evaluation of gender impacts on funding allocations (to create accountability at the funding level)
 - Independent recourse mechanisms to seek redress and compensation
 - At the NDA level it is important to have country coordination and outreach efforts in place
 - At the IE level there should be:
 - In-house staff with gender/social development expertise
 - commitment and ability at the highest level to improve the gender capacity off EEs
 - active inclusion of gender civil organisations
 - socio-economic and gender analyses with gender baselines, gender budgets and gender relevant indicators, sex-desegregated information and qualitative assessments
 - special efforts to seek and financially support women's input and participation throughout the funding cycle and to encouraging participatory monitoring for continuous feedback during project implementation and corrective action
 - comprehensive information provision in a gender responsive way
 - document and knowledge exchange on gender responsive adaptation
- Gender is a belated retrofit in existing climate funds and the current status of progress made is as follows:
 - World Bank (WB) Clean Technology Fund (CTF) – no gender integration
 - WB Pilot Program on Climate Resilience (PPCR) – some gender dimensions
 - WB SCREP – requests inclusion of social and gender co-benefits
 - Reducing Emissions from Deforestation and Forest Degradation (REDD) programmes (WB FIP and UN-REDD) – guidelines targeting women in consultation but there is no comprehensive integration of women
 - AF – gender is an important review criterion for project application and the revised ESP is based on human rights principles, gender equity and women's empowerment

- Global Environmental Facility (GEF) – requires GEF partners to have gender mainstreaming policy for accreditation, has a gender focal point and since late 2014 a Gender Equality Action Plan
- Does the GCF provide opportunity for gender responsive climate finance?
 - The GCF’s governing instrument contains five key references to gender. The GCF has a mandate to integrate gender considerations from the outset, includes a “gender sensitive approach” in the section on objectives and guiding principles; the Board and Secretariat must have a gender balance; gender aspects of stakeholder involvement must be consider in developing fund priorities; and w omen are recognized as a crucial group.
 - The GCF has a dual strategy to gender: There is a call for a gender policy and action plan, but also simultaneous and the early integration of gender aspects in key operational policies
 - The GCF still lacks integration (of gender aspects) in its private sector approach (SMME), and consideration in the Enhanced Direct Access Pilot (small grants facility pilot via SANBI)
- Quality and quantity of gender responsive climate finance provision:
 - Accountability and transparency is lacking – there is no common format/definition
 - Need a regular gender audit of climate relevant spending to show improvement
 - Possible improvement in the development of the OECD-DAC marker system (Rio markers)
 - Need to address the linkages between sustainable development, poverty eradication and necessary climate action
 - Should be delivered as grants (not loans) as loans disadvantage women
 - Democratic core principles (accountability, transparency, public participation and decision making)

Plenary question and answers /comments session

QUESTIONS/COMMENTS	RESPONSES
<i>The AF Board should first see the analysis and compilation of existing policies and procedures addressing gender since there are several already embedded, before making a decision whether or not a standalone gender policy is necessary.</i>	
<i>What are the OECD Rio gender markers?</i>	The OECD gender equality policy marker is intended to advance gender equality and women’s empowerment or reduce discrimination and inequalities based on sex. It encapsulates the notion of creating some form of accountability to take gender considerations into account, for example by tracking how much funding is gender relevant, climate relevant (adaptation and mitigation) etc. But the OECD does not correlate the two and it is suggested this would increase accountability on a global level.
<i>Is gender limited to women?</i>	No

7.2 SESSION 5: Human rights approach to adaption finance

Background context and questions to presenters

NGOs, particularly those from Africa, have traditionally played a small role in direct access climate finance modalities. As the climate debate intensifies, there is need to enhance civil society active participation in direct access and to apply pressure on governments to scale up the delivery of funds for climate finance to be effective, predictable and efficient, being able to reach the most vulnerable communities, and in particular, women at low cost. The role of NGOs in the governance of climate finance is crucial to foster transparency, accountability, integrity, sustainability and institutional independence to steer the limited financial resources towards livelihood development, poverty-reduction, development and environmental protection. The aim of this session is to address the governance of climate finance for effective delivery of environmental benefits, upholding basic human rights and implementing gender responsive projects. The outcome is to sensitise project planning and development to livelihood needs, enhancing environmental benefits and gender considerations in direct climate finance access modalities. CSOs invited to do presentations were asked to discuss the following questions:

1. What has been your organisation's role in climate finance? What is the level of Africa's, civil society participation in the governance of climate funds nationally or on the continent?
2. What approaches have been successful in ensuring that climate finance also addresses development/ livelihood concerns?
3. What are the challenges facing African civil society's engagement with global and national climate fund processes? How can CSOs enhance their role to ensure that climate finance simultaneously delivers on human rights' needs?
4. What useful lessons can past deployment of development aid provide for direct access climate change finance modalities

Presentation by OXFAM, South Africa

Eneya Maseko

OXFAM GB South Africa

Short video on grassroots climate resilient project implemented women and supported by Oxfam @ Khangezile Primary School, Springs, South Africa

PRESENTATION OUTLINE

- ✓ *Climate finance landscape - overview*
- ✓ *Key messages*
- ✓ *Role of Oxfam's & CSOs in climate finance*
- ✓ *Challenges for African CSOs to engage with climate*
- ✓ *fund processes*
- ✓ *Enhancing role of CSOs*
- ✓ *Lessons from past development aid*

This Presentation is available on the AF website at:

<https://adaptation-fund.org/sites/default/files/Eneya%20Maseko%20-%20Climate%20FinanceRegional%20Workshop.OxfampresentMay2015.pdf>

- *Climate finance landscape overview*
 - 22 dedicated climate funds in existence;
 - For developing countries the effect could undermine effectiveness of funding support, increase the burden of transaction costs and fragment the resilience of communities;

- *Key messages*
 - Climate change is immediate and represents a growing threat to development and overcoming poverty – reality check;
 - Climate change impacts and adaptation must be understood at the national level;
 - Recognise climate finance spending has improved over 20 years;
 - OXFAM estimates that in Southern Africa developing countries are spending their own money – around \$5B – e.g. Uganda is spending 11 times more of its own money than what it receives from international funding;
 - Climate finance is not ODA;
 - International support to developing countries to adapt and enable low-carbon development must be at the heart of the global agreement of the Paris meeting;
 - Most countries that have developed NAPAs did not have the funds for implementation;
 - The accreditation process for NIEs should not be so complex that it acts as a barrier to accessing funding;
 - National mechanisms for accessing climate finance should be based on democratic multi stakeholder arrangements which are mandated to endorse NIEs, determine adaptation priorities and ensure transparency and accountability in the use of adaptation funds;
- *Role of OXFAM and CSOs in climate finance*
 - CSOs play a crucial role in ensuring sound climate governance by fostering transparency, accountability, integrity and sustainability;
 - Oxfam's role includes developing climate finance tracking tools, identifying institutional constraints to effective delivery of climate finance and opportunities to empower local civil society to overcome the constraints, supporting the implementation of adaptation and mitigation interventions, encouraging South-South learning across regions, and promoting tools and practices that enhance human rights of communities and indigenous people;
- *Challenges for African CSOs to engage with climate finance process*
 - This includes limited structured engagement of non-state actors in climate finance decisions, defining and identifying adaptation flows, access to information, financial accountability and limited transparency on international flows and commitments, and limited capacity to interpret the climate finance landscape effectively and collaborate on tracking and monitoring adaptation finance;
- *Enhancing CSOs' role*
 - This includes supporting adaptation needs assessments and increasing access to information about climate change, organising effectively to influence regional and national institutional arrangements to deliver climate finance and participating in planning and MRV instruments;
- *Lessons learned*
 - Effectiveness of finance should be more informed by national needs, opportunities and priorities;
 - Lessons from other financing mechanisms can improve the usefulness of adaptation funds;
 - Lessons from the management of climate funds should translate into adjustments to improve relevance and effectiveness of the funds;
 - Climate finance should be a catalyst to mobilise resources for adaptation and appropriate mitigation

Climate finance governance experience - Foundation for Building Resilient Communities, Malawi

Francis Chilenga
Foundation for Building Resilient Communities (FBRC)

This Presentation is available on the AF website at:

<https://www.adaptation-fund.org/sites/default/files/Francis%20Chilenga%20-%20Climate%20finance%20governance%20MALAWI.pdf>

PRESENTATION OUTLINE

- ✓ *Malawi's climate change vulnerability context*
- ✓ *Enabling policy environment*
- ✓ *Emergence of CSOs in response to climate change*
- ✓ *CSOs and climate finance governance*
- ✓ *CSOs challenges*
- ✓ *Successful climate finance mechanisms*
- ✓ *Conclusion*

- *Malawi's climate change vulnerability context*: Climate change is a major development issue which has an adverse impact on food security among other things;
- *Enabling policy environment*: Malawi has a National Adaptation Plan of Action (NAPA), National Climate Change Policy and National Disaster Risk management Policy ;
- *Emergence of CSOs*: Malawi has many CSOs involved in both adaptation and mitigation; FBRC is mandated to mobilise resources and communities. All CSO efforts are coordinated by the Civil Society Network for Climate Change (CISONECC) and engage in national activities at grass root level to ensure that those most affected are consulted and track climate finance. The creation of the Climate Action Intelligence (CAI) initiative by UNDP has helped consolidate all civil society climate change initiatives and provided a platform for engagement with Parliament and enhanced budget monitoring;
- *CSO Challenges*: Includes challenges with the efficient coordination of activities and most CSOs lack the capacity to participate in climate policy development and implementation, and climate finance monitoring. Information on the amount of funding received, disbursed and spent on climate change interventions is often not available in the public domain which makes public participation and accountability almost impossible. Other challenges include the lack of a coordinated approach at local level in influencing the funding and implementation of adaptation and mitigation projects and limited knowledge on how to facilitate community access to climate financing;
- *Some successful mechanisms on climate finance and effectiveness* include the Developing Innovative Solutions with Communities to overcome Vulnerability and Ensure Resilience (DISCOVER), the Malawi Environmental Endowment Trust (MEET), and carbon financing which is supported by a Dutch NGO;
- *Conclusions*: It is necessary to mainstream climate change in development planning and budgeting and to increase civil society engagement; applying a human rights-based approach to climate finance will help ensure the consideration of human impacts in the governance and distribution of funds in support of climate change mitigation and adaptation measures.

Transparency International, Kenya

Psamson Nzioki Transparency International – Climate Governance Integrity Programme

This Presentation is available on
the AF website at:

<https://www.adaptation-fund.org/sites/default/files/Psamson%20Nzioki%20-%20NIE%20Workshop.pdf>

PRESENTATION OUTLINE

- ✓ *TI-Kenya & climate finance*
- ✓ *African civil society engagement in climate finance governance*
- ✓ *Successful approaches in ensuring climate finance addresses development / livelihood concerns*
- ✓ *Challenges facing African CSO engagement with global & national climate finance processes*
- ✓ *Lessons from direct access climate change finance modalities*

- TI Kenya started working in the climate finance space in 2011, and its programme enhances transparency, accountability and integrity;
- TI Kenya's approach includes targeted research, advocacy and legal advice (to address peoples' complaints), public and stakeholder engagement (to ensure wide support for public policy changes at national and international levels) and enhanced accountability in climate finance;
- Major successes include:
 - corruption risk assessment in REDD+ Kenya
 - mapping climate finance in Kenya
 - legal review and policy inputs and advocacy on the climate change Bill (passed by the National Assembly and now awaits Senate approval), and the Mining and Benefit Sharing Bills
 - training and capacity building for NEMA (NIE) on transparency, corruption and integrity to strengthen climate finance mechanisms which resulted in developing a corruption policy
 - Kenya Climate Finance Governance Network around climate finance governance advocacy
 - providing a free, interactive E-learning course on an introduction to climate finance governance, climate finance corruption and solutions, and building integrity in REDD+ which gives learners a certificate (<http://courses.transparency.org/>)
- African Civil society engagement with climate finance:
 - Most CSOs involved in environment and climate change are seen as a problem
 - Government and many CSOs are not keen on the transparent use of climate finance funding (this poses a challenge in doing analysis and tracking of climate finance in Kenya because information is not available from CSOs) and few NGOs report on climate finance to the NGO Board
 - Most climate finance is channelled through government which does not have strong laws on access to information which makes it difficult to get information on what is happening and most Treasury data does not report on climate finance
- Successful approaches in ensuring climate finance addresses development and livelihoods concerns include:
 - Technology investment which has resulted in employment creation
 - Investment in power generation which has increased the availability of affordable energy
 - Investment in community adaptation
 - Engaging communities and stakeholders in participation activities to identify and prioritise sustainable responses to climate change

- Integrating climate change and development projects which has meant coordinating all efforts at the national and community levels
- Being ‘climate smart’ to reduce vulnerability and mitigation exposure
- Strengthening communities’ adaptive capacities for long term climate change planning
- Livelihoods promotion through interventions that provide new skills and influence policy from the bottom up
- Challenges include:
 - African CSO observers to global climate change related processes have no voice in global negotiations.
 - Inadequate awareness and capacity on climate finance
 - Lack of access to laws in African countries hinders CSO interaction with climate finance and few countries have centralised climate finance tracking systems
 - Lack of financing to facilitate CSO observers particularly on information sharing
 - Donors have different funding which presents difficulty for continuity of funding and project sustainability
 - Identifying correct indicators
 - Tendency to focus too narrowly on reporting requirements
 - Legislation changes that are aimed at slowing down democratic gains’
- Lessons learned include:
 - Stakeholder involvement at all levels in project cycle to enhance transparency, accountability and project sustainability
 - The difficulty in balancing fiduciary standards with the desire to increase NIEs capacity for implementation and execution
 - The use of country specific fiduciary systems should be supported at international level
 - Climate finance should be designed to support national development strategies
 - The need for continual learning and knowledge management
 - Establish criteria for projects to follow good practice principles and approaches

Kuwuka JDA, Mozambique

Camilo Nhandale

Kuwuka JDA

This Presentation is available on the AF website at:

- Kuwuka JDA is a youth development and an environmental advocacy organisation;
- Climate change is a new issue in Mozambique – they are learning by doing and participating in national processes. Government makes an effort to involve all stakeholders in determining priorities;
- Mozambique has a national strategy for climate change adaptation (2012) and also a long term strategy (2013 – 2025);
- Kuwuka serves as observer for climate resilience on the CIF in the Africa Region on PPCR – not guarantee any role in decision making in climate finance governance so their participation is limited;

PRESENTATION OUTLINE

- ✓ *Status quo in Mozambique*
- ✓ *Role that Kuwuka plays*
- ✓ *Successful approaches*
- ✓ *Challenges*

- Kuwuka advocates that CSOs should not be mere observers if they are to be part of the development process. They should be recognised as partners in the development processes and participate in climate change governance. CSO participation should not just be to legitimise the process as that is not really meaningful;
- Successful approaches of the CIF include the:
 - project focus on infrastructure building which supports and benefits agriculture, rural communities and livelihoods
 - engagement of civil society in governance and climate change
 - need to move from consultation to real participation in processes and recognise CSOs as partners to ensure their concerns are really being addressed and incorporated in planning and implementation
- Challenges include:
 - At the international level, CSO participate as individual civil organisations and not as a collaboration of civil representatives
 - Limited human resources and financial capacity
 - Communication with other CSOs is difficult at international platforms
 - CSOs work as voluntary organisations so time becomes an issue
 - Need more coordination, especially in advocacy and tracking climate finance budget allocation and governance
- Success stories include:
 - CSOs are part of the national platform on climate change in Mozambique which provides a network for sharing experiences and lessons learned
 - Climate change and environment is cross cutting so there is not a dedicated government department for it as responsibility for climate change is spread across different departments
- Conclusions:
 - African countries need to be strengthened to access to direct access funding more effectively
 - Democratic participation in Africa is challenge – must involve all stakeholders especially the most vulnerable and be gender responsive

Practical Action, Zimbabwe

Edward Guzha

Practical Action

This Presentation is available on the AF website at:

<https://adaptation-fund.org/sites/default/files/Edward%20Guzha%20-%20Climate%20Change%20experiences%20and%20policy%20directions%20-%20Practical%20Action.pdf>

PRESENTATION OUTLINE

- ✓ *Background & Practical Action focal areas*
- ✓ *Examples of resources raised for climate finance*
- ✓ *Technologies & approaches*
- ✓ *Climate change adaptation & resource allocation*
- ✓ *Challenges & policy suggestions*

- Practical Action works in Zimbabwe, Zambia, Malawi and Mozambique and integrates a climate smart approach and building climate resilient into all projects;
- Technologies and approaches used in accessing climate finance can promote efficiencies in energy and water use, solid waste to energy conversions and community based management, soil and water conservation and water demand management;

- All their offices globally have been resourced to reduce emissions to the lowest possible level and as result emissions effects on the have been reduced by 28% in Southern Africa and key point staff have been trained to monitor emissions;
- Challenges include limited background data to respond to calls, lengthy approval protocols in target countries; delayed production of national climate change adaptation strategies; and different interpretations of what climate adaptation is/is not;
- Policy suggestions include opening the climate change mitigation and adaptation playing field to the private sector, setting up carbon credits, agro support for the production of traditional rice, the elimination of trade barriers on the importation of clean energy systems kits and components and the reduction of trade barriers on water treatment chemicals for Local Authorities.

Group feedback on human rights approach to adaptation finance and CSO involvements

The workshop participants were divided into four groups to discuss and identify key messages and then to report back to the plenary on:

- *Key insights around how you see future role and support from CSOs and NGOs in climate finance space – how can we leverage more from their knowledge, expertise and experience?*
- *How can climate finance, NGOs/CSOs, designated authorities and NIEs work together and cooperate more effectively?*

Group 1 report back

- CSOs should be part and parcel of the development work with communities
- CSOs should be partners in governance and decision making processes
- CSOs should generate evidence and issues affecting local communities to strengthen advocacy negotiations
- CSOs should identify their individual strengths – e.g. capacity building
- CSOs should build strong consortiums at country level to enhance credibility

Group 2 report back

- CSOs should stop working in silos
- Mainstream climate change activities in existing organisations
- Increase CSOs' efficacy and effectiveness

Group 3 report back

- Need more constructive engagement between government and CSOs
- Linkage/information flow between national level and community/grassroots level
- Need for clarity on roles/responsibilities of government - who to approach/liaise with
- Need to consider CSO work (technical, research) in national budgets
- Recognise complimentary role and contributions of CSOs
- Need for CSOs to speak with one voice on topical issues
- Role of CSOs in demonstrating good practice

Group 4 report back

- Grassroots level of policy intermediary
- Power to mobilise and inform national and regional policies
- CSOs would work together with government in the climate space
- Partners need to demonstrate e.g. gender mainstreaming

- Bridge gaps and enhance networks – lay information in engagements with civil society
- Compliment the role of government to consider their work in national budgets
- CSOs are more focussed hence they need to be results-orientated and not budget driven
- Enhance inclusivity and engage CSO (policy consultation)
- Need for ‘one voice’ on topical issues

7.3 SESSION 6: Implementation of adaption projects through direct access

Background context and questions to presenters

This session will discuss the process of transition from accreditation to project implementation. The experience from Africa NIEs has shown that there is usually a time lag between attaining accreditation and the receipt of funds by an NIE for implementing projects on the ground. Demonstrating capacities for project development and following through on implementing the full project cycle as well as ensuring that chosen projects do not inadvertently harm the environment and the livelihoods of intended beneficiaries remains a challenging task. At the same time NIEs have to align their projects with multiple other climate stakeholders and developments in the national climate space, such as NAPs, national climate policies and national developmental priorities. The aim of this session is to shorten the time lag between NIE approval and delivery of project funds to the NIE. Presentations and discussions were guided by the following:

1. Please give an overview (diagram, video, verbal explanation or other means) of the funding disbursement channels for project implementation. Please describe the status quo.
2. Please describe your approach to project identification and selection. How have you ensured that the selection process and resultant project benefits favour the most vulnerable and disenfranchised individuals and local population groups, and in particular that selected projects are gender sensitive?
3. What measures have been put in place to ensure operational linkages to national priorities and the overall national development agenda, including alignment with NAPs, NAPAs, NAMAs, and National Climate Change Strategies etc? Give brief examples if possible. Will the project(s) contribute to future developments in those processes at the country level such as the NAP?
4. Please describe how you have integrated and applied Environmental and Social Safeguards in project development and implementation, and in particular, please specify any special attention given to gender considerations. Do you recognize and apply safeguards in the context of rights-based approaches?
5. Using experience from your project development process, what key advice would you give NIEs in the project development phase to speed up the roll out of adaptation projects and programmes?
6. Are there plans to scale up those projects, e.g. with possible funding from the GCF?
7. What role can CSOs play in adaptation finance and supporting NIEs at the domestic level?

Post accreditation experiences and project development process - South African experience

Mandy Barnett
National NIE Director
SANBI
Zukisani Jakavula
SouthSouthNorth

This Presentation is available on the AF website at:

<https://adaptation-fund.org/sites/default/files/Mandy%20Barnett%20-%20NIE%20presentation%20%20NIE%20mtg%20May%202015%20Windhoek.pdf>

PRESENTATION OUTLINE

- ✓ *Project development process*
- ✓ *Two projects in SA*
- ✓ *Ongoing project & programme level risk management*
- ✓ *How did we do it?*
- ✓ *Key advice to NIEs in project development phase*

- SANBI took one year to operationalise and establish what staff and capacity it needed for implementation (Sep 2011 – Sep 2012);
- SANBI’s strategy was to establish and set up governance structures and processes within which to locate the NIE process in the national context and first set up an Interim Steering Committee consisting of representatives from National Treasury, National Planning Commission (to lead on strategy), DEA (the NDA) and civil society (Adaptation Network) which held its first meeting in August 2012;
- Stakeholder consultation took place in October 2012 to develop an investment framework which set out the starting direction. It is important to make the case for sustainable partnerships in ensuring climate resilience, provide economic, social and environmental co-benefits and be replicable and scale-able;
- In November 2012 the call for proposals was announced. SANBI received 79 applications which the Steering Committee screened and grouped. The Proponents were invited to work with each other to develop integrated concepts – this process took 12 months and involved 15 – 20 meetings with local communities and beneficiaries, bottom up vulnerability assessments etc. that were submitted to the AF for climate finance funding in July 2014. The AF approved 2 project concepts in October 2014:
 - Building resilience in the Greater uMngeni Catchment, South Africa (USD 7.5 million)
 - Taking Adaptation to the Ground: A Small Grants Facility for enabling local level responses to climate change (USD 2.5 million)
- Between then and now SANBI has been figuring out the ‘back end’ processes for implementation and how to cascade its systems and procurement procedures down to community level, and to set up local governance structures. NIEs need to think about these things now so they can ‘hit road running’ when project funding is approved;
- Important to embed the project properly in the local and community context so that implementation will be successful and sustainable
- How did SANBI do it? This involved among other things:
 - Intense project development at all sites which was led by SANBI
 - Great efforts were made to ensure local ownership is amplified and not undermined during the process to meet AF standards

- Local level vulnerability assessments were done
- Participatory process and specific indicators that ensure beneficiaries are gender sensitive and from vulnerable groups
- Projects are aligned to and embedded to national government work programmes
- Strong linkages with national monitoring and evaluation processes
- NIE pilots show the importance of articulating NAP activities in such a way that they give guidance to local action
- Both projects have detailed Environmental and Social Management Plans
- Key advice
 - Recognise that it takes time for good project development and building local capacity
 - Plan now for what lies ahead after accreditation
 - Set up governance structures at outset to unblock challenges and alignment
 - Have fun!
- The small grants facility
 - SouthSouthNorth is the implementing agent for the small grants facility
 - Bringing executing agency on board before Board approval is critical to ensure the executing agency does not come in blind and have no buy in
 - Important for the executing agency to have a close relationship with NIE so they can open up and unblock challenges for the executing entity
 - Ensure proper governance and procurement, proper risk management and grievance procedures are in place and implemented
 - Issue of facilitating agents – ensure that local organisations play a role in that space and not agents from elsewhere and that local organisations are capacitated going forward
 - Issue of cost – ensure cost accounting (total cost accounting) can show what the actual costs of implementation where
 - Mini grants – problems for administering and associated risks but may need to pilot these in future

Issues, comments and questions from the floor

QUESTIONS/COMMENTS	RESPONSES
<i>Small grants facility – relationship with GEF small grants scheme? Should all resources not be channelled through this avenue and what led to setting up a separate mechanism?</i>	SANBI did scan at beginning to see if there were any mechanism to do what they wanted to do but did not find matches for SA context – but that does not mean it may not work in other contexts
<i>At what stage is ideal stakeholder engagement supposed to begin/kick in?</i>	AF Secretariat experience shows it is never too early; AF-ESP requires that consultation covers the whole project process from design to implementation.
<i>Does direct access imply smaller money?</i>	Enhanced direct access is small grants and must take into account the capacity of the local community to take on the project.
<i>To what extent does AF encourage/require national investment framework for adaptation being in place?</i>	Yes – the AF Secretariat review criteria is that there must be consistency of project with national strategies such as NAPAs, national investment plans etc.
<i>Clarify facilitating agencies and are they different from implementation agencies?</i>	They are the link between executing agencies and grantees. The funds flow through the NIE (SANBI) through the EE (SouthSouthNorth) to the facilitating agencies to the grantees –the funds flow is set out in project document.

QUESTIONS/COMMENTS	RESPONSES
<i>Selection – how do you decide on target communities to assist – political, government or NGO and then sell to all other stakeholders?</i>	We had a robust criteria and the Task Team sifted and shortlisted the project concepts (about 5) and then the final selection was political decision.
<i>How did NIE SA ensure government also provides support adaptation?</i>	Both project are fully embedded in government priorities (IDPs at municipal level means that the first project will become self-financed eventually); the Green Fund mechanism set up Treasury to support adaptation; there are many other priorities are also developing countries – but what we are doing does support these and international funding help support it
<i>What Learning and knowledge management mechanism are in place and do you need support from CSOs to ensure continued learning</i>	Different in two project – in Umgeni – task teams coordinate the programme of work and ensure learning and iterative planning among stakeholders and also M&E; NGO involvement in learnings - WESSA; plan national conferences to showcase SGF - learning exchanges between grant recipients to learn from each other within and between project sites; NGO Indigo Development and Change plays key role

Post accreditation experience in Kenya

Wangari Kirumba

National NIE Coordinator

NEMA

This Presentation is available on the AF website at:

<https://adaptation-fund.org/sites/default/files/Wangari%20Kirumba%20-%20NIE-KENYA%20POST%20ACCREDITATION.pdf>

- There are many similarities with South Africa's experience yet there were differences.
- The post accreditation work can be broken into different stages and money is needed to implement these stages before the AF funding arrives:
 - Stage 1 focussed on building in capacity and understanding what they must do. Research assignments were allocated to all the committee, and they met for 2 days to unpack the process and procedures. It was a steep learning curve to build capacity and understand the role they must play in supervising and report, and providing financial reports. During this stage they also decided how to move forward and communicate that Kenya has a NIE.
 - Stage 2 focussed on the call for proposals which went out in November 2012 and the submission deadline was January 2013. NEMA received 102 proposals (only one was submitted by a women's group)

PRESENTATION OUTLINE

- ✓ Kenyan climate change adaptation programme development process
- ✓ NEMA post-accreditation
- ✓ NEMA programme development process
- ✓ Determination of winning proposals
- ✓ Integration of environmental & social safeguards in programme development & implementation
- ✓ Disbursement channel
- ✓ Operational linkages
- ✓ How NIEs can speed up roll out of adaptation projects/programmes
- ✓ Scaling up – GCF accreditation
- ✓ Role of CSOs in adaptation finance & support to NIEs at domestic level

- Stage 3 focussed on stakeholder sensitisation
- Stage 4 was when the proposal submissions came in and it was then that NEMA realised they need proposal review criteria for Projects
- Stage 5 focussed on developing proposal review criteria for Projects. This took time to develop and get management approval for the criteria. NEMA has 14 basic parameters against which proposals are evaluated, and they also developed score sheets and weights for scoring
- Stage 6 focussed on determining the winning proposals based on the review scores, regional balancing (a requirement under Kenya's new Constitution of 2010), the five UNFCCC thematic areas, gender considerations and funds availability
- NEMA identified 11 projects and convert these into a single programme with 5 objectives and reconfigured the individual project to align with these 5 objectives
- Lessons learned
 - There are 11 executing agencies but NIEs consider not having so many as you can only stretch your funding so far and need to keep cost effectiveness in mind
 - To integrate environmental and social safeguarding into project development and implementation NEMA developed an Environment Social Management Framework (ESMF) and monitoring plan and identified internal capacity (officer) dedicated to undertake ESMF implementation and monitoring
- Disbursement channel for funds flow is from the AF Board to the NIE (also the national Treasury as the new public finance law requires them to approve and track expenditure) to the executing agencies
- Operational linkages with other climate change process in Kenya include:
 - Inter-ministerial committee appointed by the designated authority and hosts other subsidiary processes and structures
 - NEMA NIE Steering Committee
 - Technical Advisory Committees
 - Field Implementation Committees
- How can NIEs speed up roll out adaptation programme? By among other things:
 - Integrating the NIE into other institutions' planning and budget processes
 - Engaging with other government process – such financial risk management (bureaucracy) - and ensure other government agencies are all on board to manage the risks and support implementation
 - Ensuring the Programme design process retains certain time threshold (but should not rush support)
- Plans to scale up:
 - Uncertain because implementation is still new
 - NEMA is looking to GCF accreditation and taking on board lessons learned from the AF process
 - Internal consultation on GCF accreditation and bringing on board what was learnt during the AF accreditation – e.g. public calls for proposals, trying to harmonise and align with national priorities, first have dialogue on national priorities to guide public call for proposals
- Role of CSO in adaptation finance and supporting NIE at the domestic level:
 - CSO can participation as executing agencies
 - Advisory role and oversight

- Capacity building and knowledge sharing – e.g. adaptation conferences on measuring effective adaptation (there is amazing work, models and knowledge at CSO level)

Issues, comments and questions from the floor

QUESTIONS/COMMENTS	RESPONSES
<i>Elaborate on integration of NIEs in planning and budget process</i>	Budgeting happens in June but at that stage there was no budget for the NIE. It takes time to get decisions and resolutions (wastes time) but if this was already budgeted for then things would have been easier. Planning and budgeting should become a function in institution not done in the side lines. It is almost impossible to get funds reallocated or to get money reallocated from one budget vote to another
<i>How many dedicated staff working on NIE?</i>	Since October 2014 a full NIE coordination unit was established headed by the NIE Coordinator, 3 full programme officers 3 interns driver and an administrator
<i>Role of national Treasury – elaborate on this and also their role as designated authorities and interaction with them and NIE</i>	Direct access is through the Minister of Environment, and for the NDA, the Treasury. NIE reports to designated authority but the link to Treasury is more indirect as they have to go via the Private Secretary. Treasury is directly in charge of all public funds including AF funding so Treasury must see what the funds go for and approve it and it must be included in budget estimates and can't use it in the Government estimates (implementation risk). This is good as it ensures accountability and transparency but takes time and must be factored in to planning for implementation. Kenya has an Environmental and Social Management Framework but the NIE must also comply with national technical standards which require that all plans, policy and programme must comply with ASEA (which is administered by NEMA). NEMA is developing financial, procure, grievance policy, knowledge management and project development guidelines
<i>Are project already funded and what point of implementation and duration of project</i>	No



Olla Aldrich of Namibia's DRFN gives feedback to the plenary following a group discussion:
Picture by Hugo Remaury

Post accreditation in Namibia

Olla Aldrich

DRFN consultant

This Presentation is available on the AF website at:

<https://www.adaptation-fund.org/sites/default/files/Olla%20Aldrich%20-%20Workshop%20presentation.pdf>

PRESENTATION OUTLINE

- ✓ *Decision*
- ✓ *Concept note content*
- ✓ *Concepts received*
- ✓ *Evaluation*
- ✓ *Selection*
- ✓ *Next steps*
- ✓ *Lessons learned*

- DRFN was accredited in August 2014 and put out the invitation for projects on 04 December 2014 with a closing date of 30 January 2015
- The content of the concept note for proposals included a problem description and justification, the goals, objectives and impacts, linkages with Namibian policies, plans & priorities, the project outcomes and activities, sustainability and replicability
- Evaluation of the proposals was done by the Evaluation Committee. It was important to show there is no conflict of interest and confidentiality. The committee has assessment criteria and an assessment procedure
- The DRFN received 25 proposals to the value of \$66,6 million
- Lessons learned – “live and learn”
 - Slower is quicker
 - Relationships
 - Advice and guidance
 - Role of NIE?

7.4 SESSION 7: Domestic Mechanisms for Direct Climate Finance

Participants rotated between a presentation on South Africa’s domestic fund – the Green Fund by Olympus Manthata & a poster exhibition on FUNAB, Mozambique’s domestic fund, by Julio Parruque
Plenary discussion on key learnings & take home messages

Background context and questions to presenters

A number of countries have set up innovative domestic fund mechanisms to access and disburse resources from both national and international sources as climate finance. Domestic funds have extensive capacities in processes and areas relevant for NIEs and have a significant role to play in enhanced direct access. The aim of this session is to enhance opportunities for coordination between accredited implementing entities for international finance mechanisms and domestic funds so as to enhance direct access at the sub-national level. Lessons from domestic funds are also relevant for scaling up climate action in-country and the coordination of multiple stakeholders in this effort. The session will discuss the following:

1. How long has the fund been active? What were the enabling factors that allowed fund set up?

2. What models of fund disbursement have worked? Please give an overview (diagram, video, verbal explanation or other means) of the model for finance disbursement and project implementation. Please describe the status quo.
3. What are the sources of climate finance for the domestic fund? What mechanisms has the fund put in place to ensure efficient coordination of its funding disbursements with other climate finance mechanisms in the country to ensure scaling up of climate action?
4. Are there any plans to seek accreditation with other funding mechanisms e.g. GCF, Climate Investment Fund (CIF) Bi-lateral etc, and if so, how will this be achieved?
5. Please describe your approach to project identification and selection. How have you ensured that the selection process and resultant project benefits favour the most vulnerable and disenfranchised individuals and local population groups, and in particular that selected projects are gender sensitive?
6. What measures have been you put in place to ensure operational linkages to national priorities and the overall national development agenda, including alignment with NAPs, NAPAs, NAMAs, and National Climate Change Strategies etc? Give brief examples if possible.
7. Please describe how you have integrated and applied Environmental and Social Safeguards in project development and implementation, and in particular, please specify any special attention given to gender considerations. Do you recognize and apply safeguards in the context of rights-based approaches? What role do CSOs play in this regard?

Financing the Green economy: Green Fund lessons learned, South Africa

Olympus Manthata

Development Bank of South Africa (DBSA)

This Presentation is available on the AF website at:

<https://www.adaptation-fund.org/sites/default/files/Olympus%20Mahthata%20-%20GREEN%20FUND%20GENERAL%20PRESENTATION%20NAMIBIA.pdf>

PRESENTATION OUTLINE

- ✓ SA Green Economy Policy Context
- ✓ Green Fund Overview
- ✓ Thematic Focus Areas
- ✓ Finance Offering
- ✓ Green Fund Progress
- ✓ Green Fund Portfolio
- ✓ Lessons Learnt

- SA Green Economy Policy context
 - Evolution since 2006 that culminated in the establishment of a domestic fund which was a direct response to government's commitment to reduce carbon emissions in support of resource-efficient and pro-employment growth
- Overview of GF
 - The GF is an initiative of the DEA and DBSA was appointed as the implementing agent/fund manager
 - Its objectives are to promote innovation and high impact green initiatives and to build an evidence base for the expansion of the green economy
 - Initial allocation was R800M which has since been topped up to R1B
- There are four distinct thematic areas for funding with some overlapping in the sub-focal areas and innovation must be incorporated in all thematic areas:
 - Environmental and natural resource management
 - Green cities and towns

- Innovation for the green economy
- Low carbon economy
- The GR finance offering (funding instruments) comes in the form of non-recoverable grants, recoverable grants, a hybrid between a grant and loan, loans and equity
- The finance offering supports three product offerings and the allocation per product offering is as follows:
 - 75% of the allocation goes to project development in green initiatives
 - 20% of the allocation goes to capacity building in green initiatives
 - 5% of the allocation goes to research and development initiatives that feeds into policy and regulatory environment for the green economy
- GF Progress portfolio
 - Impacts of GF
 - Still young (3 years) but beginning to see tangible results
 - Some economy impact
 - Participation by provincial sector
 - Seeding innovation across funding windows
 - Green employment opportunities and skills transfer
 - Stimulated focus areas in waste management, biodiversity and renewable energy
 - Evidence base building
 - Mapping study
 - Sharing risks and matching principles
 - Leveraging and mobilising resources
 - GEF accreditation
 - GCF application being finalised
 - Partnerships with GIZ, Independent Development Corporation (IDC), ILO – allows for full project life cycle planning
 - Strong positive market response
 - There have been three Requests for Proposals (RFPs) with overwhelming response (650 projects in first call)
- Lessons learned include:
 - Leveraging and partnering opportunities demonstrates how public and private finance can be blended to stimulate green investments
 - Managing risks is a challenge
 - Private sector participation can be better
 - It is important to discharge role of catalytic finance mechanism effectively and measure performance against the right indicators
 - Market characteristics make it difficult to balance the portfolio and gain exposure to all desired focus areas
 - There is high demand for green finance and green investments are bankable
 - Green Fund is an opportunity to be instrumental in developing South Africa’s green finance architecture and interaction with global funds such as GEF

Issues, comments and questions from the floor

QUESTIONS/COMMENTS	RESPONSES
Who is applying for funding – government?	Institutions from across the spectrum

QUESTIONS/COMMENTS	RESPONSES
<i>What is model for refinancing fund?</i>	The intention is that money will help leverage additional funding from other sources for sustainable purposes. But there are various challenges regarding the institutional framework's ability to receive such support. If DBSA were to accept funding for on lending it would be a risk – so the question is who takes the risk - the GF/DBSA? They are working on finding solutions. It is encouraging that there is lot of interest from financial institutions that are prepared to on-lend. Return on Investments (ROI) on recoverable grants, loans and equity is possible, but lending is long term and on concessional terms. Going forward it calls for more deliberate balancing of portfolio performance.
<i>What is the sustainability of organisations that have received funds from GF?</i>	GF is still young so it is difficult to show this as so far the GF has not had any project closure yet. From the planning perspective, the GF is talking to partners about follow-on funding
<i>Does DBSA have any problems working with NGOs, Government entities?</i>	They have a specific governance structure and criteria for GF as those of the DBSA would not work for the domestic fund.
<i>Investment – unpack this in terms of project approved</i>	31 projects have been approved to date, of these 19 are being implemented, 6 are in the contracting stage, 5 have been discontinued for various reasons and 1 is approved but does not need conditions precedents (CPs). Cut losses as soon as realise project not working
<i>Is GF funding only in SA or also available regionally?</i>	Yes GF funding is only available in SA but they are sharing lessons learned with other development banks in the region.

Open gallery exhibition and discussion on FUNAB – domestic fund, Mozambique

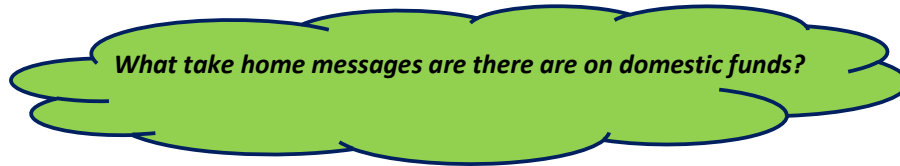
Julio Parruque

FUNAB

- FUNAB is located under the Ministry of Environment that generates and mobilises resources for environmental initiatives;
- It is the only public fund in the environment sector;
- FUNAB comprises of representatives of public institutions (in the environment, finance, planning and development sectors), and from the private sector, but no civil society representatives;
- Sources of income include grants from the state budget and environmental taxes that are due on large investment projects. Currently there is around \$9M funding (environment tax is not ring-fenced);
- Beneficiaries of fund include civil society, NGOs and the private sector;
- Requests for submissions/ call for proposals – define a critical area, anyone can submit a project;
- Funding allocation takes place through responding to call for proposals - prior visit by FUNAB to see if the CSO is known and respected in the community;
- Conditions of finance payback – after 15 years then start to pay off over 20 years @ 0.1% interest;

- FUNAB currently administers two projects funded by the WB; \$4M from REDD+; and has also secured a \$48M loan from EXIMBANK Korea (taking revenue from waste collection to pay back after 15 years – payback over 20 years – private sector management of landfill);
- FUNAB are applying to be the NIE for Mozambique – KPMG is assisting and building capacity in putting the documentation together.

Key 'take home messages' from session about domestic funds



Facilitated group discussion involving both groups of participants to capture 'take home messages' and lessons learned from the domestic fund presentation and exhibition:

- Diversity of structures and approaches is fine as long as it 'fit for purpose' and able to tap into existing national development funding structures;
- If the domestic fund is linked into the country's banking system it is better placed than a government department to recover funds;
- There is room for flexibility to adjust to the reality on the ground;
- It is important for national government to establish these types of funds to facilitate cross cutting climate change agenda and facilitate access to funding by civil society; such funds also serve to attract other funding external sources;
- The sustainability of funds is crucial and this needs to be addressed and thought through from the get go – must decide and set systems in place to ensure long term sustainability (keep it going from initial in-country resources) ;
- Finding the balance between International Monetary Fund (IMF) requirements for funding institutions (insist that funds should not be set up as separate entities but should be housed within the Ministry to ensure compliance with global accounting standards and rules) and realities on the ground in countries. The problem is that environment and climate change are cross cutting issues and it is difficult for a single department to respond to issues falling outside its immediate mandate (GF was initially set up in the DEA but nothing happened and there was no uptake which is why DEA decided to appoint DBSA to implement the fund). Also civil societies will not be happy with such an arrangement because they feel such funds are not independent. Is possible to set a fund up outside of a government department as long as you ensure there are the necessary controls and systems for accountability, transparency and sound financial management in place.

DAY 3

Outlook for Day 3

- Regional strategies for mobilising climate finance
- World café – addressing challenges in mobilising climate finance

- GCF – operationalisation and implications for NIEs
- Assessing other international mechanisms

8. Theme: Regional strategies for mobilising climate finance

SESSION 8: Regional strategies for mobilising climate finance
 SESSION 9: Addressing challenges of designated authorities for adaptation
 SESSION 10: Green Climate Fund (GCF) operationalisation & implications for adaptation
 SESSION 11: Accessing other international mechanisms for climate finance
 SESSION 12: Workshop closure

8.1 SESSION 8: Regional strategies for mobilising climate finance

Role of regional institutional in climate finance – AF

Sonnyboy Shongwe

Climate Change Finance Officer

COMESA Secretariat

This Presentation is available on the AF website at:

<https://www.adaptation-fund.org/sites/default/files/Sonnyboy%20Shongwe%20-%20Namibia%20Presentation20052015.pdf>

PRESENTATION OUTLINE

- ✓ *COMESA Climate Change Program*
- ✓ *Objectives of the Program*
- ✓ *Support offered by the REC to Member States*
- ✓ *Role of RECs in supporting Accreditation*
- ✓ *Role of CSOs in Accreditation for AF*
- ✓ *Lessons Learnt*
- ✓ *Conclusion*
- ✓ *Amazing specifics of Africa*

- COMESA’s Climate Change Programme falls within the framework of the African Union’s New Partnership for Africa Development (NEPAD) and specifically the Comprehensive Africa Agriculture Development Programme (CAADP) and Environment Action Plan and is now a full agenda item for COMESA,-EAC and SADC;
- The climate change programme has an overarching objective and seven specific objectives;
- One of the seven specific objectives is to support offered to member states through:
 - Capacity building to access climate finance
 - Partnering with other organizations to assist countries develop national climate change policy, strategy and action plans and support new NIEs in the accreditation process
 - Proposal writing for funding support and assistance with getting the required supporting documentation the submission of proposals
 - Providing sub-grants to some CSOs to be executing agencies at country level (CSOs strengths lie in advocacy and community support)
 - Providing support to certain initiatives such as Climate Smart Agriculture
 - Supporting exchange visits
 - Tracking climate finance funds allocated to countries
- The role played by regional bodies in supporting accreditation includes:

- Building capacity for high level policy makers on what the process entails which can strengthen and expedite the communication and liaison between NIEs and designated authorities and other government decision makers
- Playing a role in stakeholder consultation and, based on COMESA experience in other countries, share country to country experiences and lessons learned
- Supporting exchange visits (South-South cooperation) to build confidence in local capacity so that countries do not have to be dependent on international consultants
- Continuing to support negotiators with negotiations for flexible means to access climate finance funds
- Supporting member states with the selection of NIEs (in line with AF Guidelines)
- CSOs role in supporting accreditation includes:
 - Stakeholder consultation
 - Making themselves available for nomination to be implementing agencies
 - Leading advocacy on good practices
 - Providing checks on developmental as barometers of social and environmental issues
- Lessons learned include:
 - Well-structured institutions with well defined climate change policy and strategy have a better chance
 - Stakeholders consultation reduces bureaucracy
 - If the DNA office is located in junior officials it is not very effective
 - The requirements to access global funds are confusing and not easy to master

Questions/comments from the floor

QUESTIONS/COMMENTS	RESPONSES
<i>Tanzania would like assistance with negotiations</i>	COMESA is already supporting Tanzania –go through East African Community
<i>Support for countries to come up with investor friendly policies – do you have any advice/guidelines?</i>	A call for consultants to look for best practice in public-private-partnerships (PPP) will go out in June
<i>Role in supporting designated authorities in selecting NIE – what guidance on what best NIE will be?</i>	Lay all tools on the ground and enlighten government what capacity the entity will need. Remove any connotation that if the NIE is not in good books then it is not suitable – focus rather on entity that meets all requirements.



Participants engage in group discussions: Pictures by Hugo Remaury

GIZ Climate Finance Readiness Programme (CFRP) – examples and experiences

Marius Kaiser

GIZ

This Presentation is available on the AF website at:

<https://www.adaptation-fund.org/sites/default/files/Marius%20Kaiser%20-%2020.5.2015%20Climate%20Finance%20Regional%20Workshop%20-%20Presentation%20GIZ%20CF%20Ready.pdf>

PRESENTATION OUTLINE

- ✓ *Climate Finance Readiness Programme*
- ✓ *GI's work on climate finance readiness*
- ✓ *Examples of climate finance readiness support*
- ✓ *Environmental & Social Safeguards Toolkit*
- ✓ *Some lessons learned so far*

- Strategy and vision should be shared by all the team players and to ensure successful implementation there must be support for the team;
- Objectives of GIZ's CFRP (CF Ready) is to improve the conditions needed to achieve results-oriented, transformational and efficient use of funds from international climate finance, especially the GCF but also other funds;
- GIZ's work in climate finance readiness has five elements:
 - 1) Strategic planning and development policies
 - 2) Strengthening institutions and good financial governance
 - 3) Accessing international climate finance
 - 4) Effective and transparent spending and implementation (M and E)
 - 5) Promoting private sector engagement

GIZ's approach is to provide long-term support with permanent in-country presence, design tailor-made support for each country, build- or build on national capacities and allow for fast implementation through providing tools for each module and a network of experts;

- Examples of GIZ's climate finance readiness support reflect 3 areas of convergence:
 - Integrating climate change into planning and budgets (includes strengthening national capacity to plan for domestic and international climate finance and prioritising climate change projects)
 - Supporting NDAs to becoming functional (including objection procedures and coordination mechanisms)
 - NIE support (by supporting the identification of suitable NIEs and providing accreditation support for NIEs under the GCF and AF)
 - Development of environmental and social safeguarding toolkit is work in progress, and involves training and a self- assessment toolkit. The toolkit is being developed by WRI, financed and supported by GIZ, in close cooperation with GCF Secretariat. It will be complimented by basic toolkit on basic and fiduciary standards and be ready mid-2015.
- Lessons learned include:
 - The need for additional awareness raising on climate finance (among senior decision makers) on for example GCF rules and procedures, timelines and the differences and similarities between the GCF and AF

- It is important to build on what is already in place and works, rather than develop new procedures and systems
- Partnerships between climate change/environment unit and financial institutions are crucial
- Financing of climate change should be considered early on during planning

Questions/comments from the floor

QUESTIONS/COMMENTS	RESPONSES
<i>What is the process and requirements for countries to be supported under GIZ CFRP?</i>	Countries are already selected and no option for others to enter programme exists. GIZ has vast experience and has the option to act as implementation partner for climate finance readiness support but this must be pursued at national level.
<i>Why do countries not achieve readiness – e.g. Malawi?</i>	Achieving readiness as an end goal and is more a process than a state so there will always be room for improvement. Strengthen areas where issues need strengthening and persevere.
<i>Awareness raising and ensuring rules and procedures – what does GIZ do in this regard?</i>	Climate finance training; South-South leadership programme – present information and dialogue forum for partner countries on climate finance. Different events on climate finance readiness
<i>What specific strategy does GIZ have to ensure the most vulnerable will benefit from climate finance?</i>	Scoping mission to identify different needs and engage relevant ministries and CSO and private sector actors

8.2 SESSION 9: Addressing challenges of direct access for adaptation

This session was a facilitated using the World Café methodology to allow for in-depth group conversations around seven topics

The session on addressing the challenges of direct access for adaptation consisted of three rounds of in-depth small group conversations through the ‘world café’ methodology to capture and consolidate key messages on seven topics. Each topic had a ‘host’ whose role was to capture the first group’s conversation, then debrief the next group and capture the new groups’ inputs, and to repeat this process with each new group. Each conversation lasted ten minutes and then the groups had to move on to a new conversation. Participants were divided into seven groups which circulated to a new group three times. A fourth conversation allowed participants to move to a group of their own choice.

The group hosts were Viviane Kinyaga, Liane Schalateck, Eneya MAseko, Wangare Kirumba, Daouda Ndiaye, Zukisani Jakavula and Marius Keiser. The seven topics discussed in the world café conversations are captured in the figure below:



Group feedback to plenary on the seven topics

Group 1: How to canvas political support / stimulate political will for NIE set up? (Veronica)

- Capacity building of actual people in designated authorities and NIE in their respective roles that ensures better alignment up front and reduce dependency on external support;
- Understanding of the importance, advantages and benefits of NIEs, and comparative advantages of NIE under AF and GCF;
- Consider what human resources capacity is needed to develop project so you do not need to tap into external sources;
- Need to strengthen civil society to demonstrate that they can transform and make an impact /contribution between government and the community, may need to have skills facilitators to share experiences of how civil society can contribute/make impact;
- Have a good relationship with the designated authorities (comparative value);
- Direct access to funds for readiness;
- Establishing a NIE opens additional windows for funding and for further support;
- NIE must align with national planning;
- Grassroots consultation and meeting the real need for growth;
- Awareness raising (comparative advantage of each NIE);
- Looking at all prospective NIEs before to identify which one is better, and what the benefits of being NIE are;
- Ensure that the NIE selection has gone through a fair selection process that is not influenced by political dynamics and looks beyond political alignments;

- Adequate information for all key role players, appreciate national based finance institution, provide enabling environment (legal status);
- Need for a feedback process between the NIE and NDA;
- Exposure of politicians to learning engagements like this workshop will serve as motivation to get things done;
- Ensure you have political support at highest level as this will expedite implementation of the outcomes of the negotiations and conventions and this will also assist with securing seed funding if they are committed at the international level to agreements;
- Continued engagement and communication with relevant stakeholders and CSOs to strengthen their role;
- Need to have sessions to share skills and experiences;
- Awareness raising among policy makers ;
- Seed capital is needed to establish NIE and it is important to include provision for this in budget priorities;
- Adequate information for policy makers, designated authorities and NIES on what is involved and required to register as a legal entity;
- Need a feedback process so outcomes of negotiations for funding can be made known;
- Exposure to experiences in other countries to encourage country is valuable;
- Status of country regarding implementation of conventions (such as climate change response policy and strategy and NAP) is important and they meet quarterly to review implementation at the national level.

Group 2: How to make adaptation finance more gender responsive (Liane)

- Address the lack of political representation of women in the national context, higher representation of women in politics is needed to ensure more diversity of views being raised and addressed;
- Be mindful of education inequalities and the need for improving literacy among women;
- Tailor communication and outreach interventions mindful of literacy issues of target audiences. Communication such as printed leaflet may not necessary be the best form of outreach if people are illiterate;
- Gender consideration is an implicit part of project proposals;
- Ensure minimum number of women are represented at meetings;
- Indicators include women;
- Data collection should disaggregate into men and women benefitting from intervention;
- Initial impacts analysis to determine varying gender dimensions;
- Targeted capacity building to ensure women are more engaged and men are more sensitised so both can engage in the discourse;
- NIE should be mindful that it may not have in house capacity to deal with gender issues but can approach institutions, consultants rooted in national experience, or CSOs with this experience;
- Mapping of potential executing entities and how many women organisations could be possible executing entity;
- Higher rating to projects that have elaborated gender component;
- Develop sub-projects to specifically address gender dimension.

Group 3: Enhancing the role of CSOs in climate finance (Eneya)

- Build capacity of CSOs to engage in climate finance issues. Support local CSOs at national and regional levels;
- AF to facilitate CSO and other stakeholders' participation as part of readiness and other process (provide resources to facilitate this);
- Multi stakeholder process are part of the guidelines;
- Educate CSOs on the way governments operate –especially on procurement procedures;
- Enhance the role of CSOS in improving the sustainability of funds;
- Role CSOs play in reducing delays/lengthy process (reducing turnaround times);
- NDA should be government body to enhance integrity, accountability and transparency, better prioritization of financial resources and better coordination;
- Performance assessment of CSOs;
- Dedicated means of sharing information with civil society;
- Create platforms for CSOS to share knowledge and information of sources of financing;

Group 4: How to enhance quick turnaround from accreditation to project implementation (hosted by Wangare)

- Mobilise administrative, political and financial support early – before accreditation - and start building capacity and engage with all to be ready for implementation;
- Source start-up funds – think ahead where the money will come from;
- Stakeholders' engagement – government civil society etc.;
- Initiate project identification and identify areas for funding to be allocated;
- Analyse in-house capacity and identify what you can do internally/need consultants for;
- Human resource capacity building and effective champion identification are important to ensure you build an effective team;
- Institutional setup is important – decide where the programme will sit, what extra structures/capacity is needed etc.;
- Set indicators for measuring performance.

Group 5: Effective readiness support – what type of strategic support can fast track NIE uptake (Daouda)

- Support at national level – important to have the highest level support when starting the process, including NDA support and also other authorities such as finance department and the relevant sectors. This includes:
 - Increased coordination between NDA and NIE candidate and other relevant stakeholders to ensure smooth information exchange and process
 - Support from regional political bodies – best to involve them (COMESA)
- Support from external partners:
 - Bilateral and multilateral to support NIE and build capacity
 - Use AF Secretariat in exercise of interaction once application is in to build readiness
 - Develop a long term strategy to identify which candidates are suitable and clarify why you have a NIE – do this before accreditation

- Integration of climate finance strategy into national planning system is important to have a clear idea of needs to increase climate finance in the country;
- Role of civil society – first build their capacity on climate finance so they can play key role in raising awareness locally and internationally (at UNCEN/UNFCCC negotiations);
- Potential role of coordination platforms within countries – different stakeholders sitting in same platform so it is important to develop a clear idea of what to achieve with the NIE, and first build members’ capacity on climate finance, then identify the relevant policies to be established in the country such as climate finance policy and then look at the NIE, identify sources of climate finance and identify the right projects.

Group 6: How to integrate the work done by domestic funds with international mechanism for direct access (Zukisani)

- Role these domestic funds can play in ensuring sustainability especially when donor funding is stretched – domestic funds kick in to ensure project can be sustained;
- Ensure gender equality and democracy are mainstreamed;
- Country ownership of programme and project – domestic funds are better positioned to articulate vision and design program specific to country and to ensure ownership and they are also in a better position to play a planning role and to recognise the different implementation agencies;
- Relationship with NIE – domestic funds play a big role to help NIE formulate projects and ensure that projects that are rolled out are aligned with the national plan and priorities;
- Functioning of NDAs/NDEs – be careful not to put in an extra layer to complicate direct access and try to ensure that both are represented on domestic funds; and that the domestic funds serves as conduit for ensuring better coordination;
- Danger of domestic funds in playing a gate keeper role – they should rather be a conduit.

Group 7: How to identify and develop concrete adaptation projects under direct access modality (Marius)

- Identify the national priorities first and in defining these, the partnerships between the NIE and climate change planning institutions is important – the NIE must work together with institutions that are already engaged in this space (cut out time intensive work);
- Early engagement of sector ministries to ensure co-financing of projects and to ensure domestic resource mobilisation (build financial case for activity);
- Need strong selection criteria for projects;
- Need to have stakeholder consultation on developing strong selection criteria and engage CSOs but they may require capacity building for this– it is key for developing adaptation projects;
- Projects are approved on the basis of merit so it is important to look at the quality of projects that are submitted for financing;
- The expertise of the executing entity important – forms a link to strong selection criteria;
- Even prioritised projects may not all be doable in the political economy – high level political support is required and should be addressed up front to ensure the identification and selection of projects;
- The key role of national organisations and there must continuity of capacity building for such organisations;

- National CSOs need to be strengthened to play an advocacy role.

8.3 SESSION 10: Green Climate Fund operationalisation and implications for adaptation

Background context and questions to presenters

The GCF is set to become the main multilateral financing mechanism to support climate action in developing countries over time. Accredited implementing entities of the Adaptation Fund and other finance mechanisms under the UNFCCC have the option to make use of a fast track accreditation facility to the Fund. Valuable lessons from the AF accreditation and project development process will be shared between participants and GCF staff to capacitate participants with knowledge and information on the latest developments to operationalise the fund. The session aims to enhance understanding and knowledge of GCF accreditation for African institutions and organisations that wish to access climate finance from the GCF. Participants will be able to make use of opportunities for quick accreditation and effectively mobilise the relevant stakeholders in-country to access the fund.

1. How much funding is available in the first window of the GCF “pledges vs funds received”? Will there be a cap on fund access based on level of accreditation to allow slower countries an opportunity to gain direct access?
2. What thematic windows are available for immediate funding and which ones are available at a later stage?
3. What is the process for GCF accreditation? What key considerations should institutions seeking accreditation pay attention to in order to speed up the process?
4. What is the envisioned relationship between the GCF and AF? / What role will the AF play in the GCF?
5. How does the “Fit for Purpose” approach ensure gender considerations are mainstreamed in the disbursement of climate finance?
6. What mechanisms are in place to ensure that devolvement of funds occurs beyond the national level to local actors?

Participants were asked to identify further questions that the speakers should address in their presentations and came up with the following questions/issues:

- How far is the climate finance process?
- What is the accreditation process of the GCF?
- How is stakeholder engagement in the GCF accredited?
- Types of financing under GCF – is it possible to tap into grants only? What are the terms and conditions for loans? How does GCF determine the financing package?
- What is difference between readiness and accreditation?
- Have country budget allocations been set, and if so, where can these allocations be sourced?
- How do countries qualify for the GCF – what are the requirements?

GCF update and overview of the mechanism

Liane Schaleteck

HBS North America

This Presentation is available on the AF website at:

https://adaptation-fund.org/sites/default/files/Liane%20Schaleteck%20Namibia_NIE_GCF_LianeSchaleteck_May2015.pdf

PRESENTATION OUTLINE

- ✓ *Quick introduction to GCF*
- ✓ *Objectives & guiding principles*
- ✓ *Status of GCF Resources*
- ✓ *Allocation framework*
- ✓ *GCF access modalities*
- ✓ *GCF Result Areas – project/programme impact*
- ✓ *Six high level investment criteria*
- ✓ *Private Sector Facility (PSF)*
- ✓ *Further work on GCF*
- ✓ *Missing/improvements needed*
- ✓ *GCF gender-sensitive approach*

- This overview of the GCF is taken from the perspective of a CSO;
- It is a quick introduction to what the GCF is and looks at the similarities and differences between the AF, GEF and other funds, eligibility criteria for countries to receive funding, institutional structure and frequency of board meetings;
- GCF is intended as a transformative fund – so it does things differently (not just business as usual) and is also the first multilateral fund with a ‘gender sensitive’ approach;
- Objectives and guiding principles include:
 - the focus on paradigm shift towards low emissions and climate resilient development pathways
 - the context of sustainable development is crucial (while this is a climate access fund it has to be embedded within sustainable development considerations)
- The status of resources – pledged vs committed:
 - financial inputs are voluntary contributions and there are no mandatory contributions
 - contributor policies were rejected which would have given donors right to ‘target’ funding
 - the “effectiveness date’ is important as this is the financial commitment authority for the GCF. It will be reached when 50% of Berlin pledges are committed in signed agreements
- The allocation framework reflects a big paradigm shift that advocates a balanced approach to allocation between adaptation and mitigation (both receive 50% and 25% of the overall allocation is ring-fenced for SIDS and LDCs), there must also be geographical balance
- GCF access modalities are direct access and multilateral access through public and private accredited entities and intermediaries;
- Further work needed on the GCF Performance Measurement, Investment Framework, PSF:
 - Addressing ongoing challenges around the integration of the multiple benefits approach
 - No explicit exclusion of fossil fuel based technologies
 - No scoring only but low/medium/high scaling against criteria
 - The Independent Technical Advisory Panel (iTAP), which will assess project proposals and recommend them to the Board for approval, is not yet constituted
 - PSF focus on support for SMME needs to be strengthened and elaborated
 - Private sector also seen as key (institutional investors, pension funds, HNW individuals) to “mobilize funding at scale”
- Missing/improvement needed with regards to:
 - Accountability measures are not yet functional

- Information disclosure policy – current one is interim and not aligned with international best practice
- Broader M&E framework must still be developed
- Stakeholder engagement and consultation process is insufficient and there are no defined stakeholder engagement mechanisms
- Communication strategy is under developed
- GCF Gender sensitive approach includes five key references to gender; there is a gender policy and action plan; but gender is missing in integration into private sector and enhanced direct access pilots.

Engaging and accreditation with the GCF

Chantal Naidoo

Regional Advisor Africa

GCF

This Presentation is available on the AF website at:

https://www.adaptation-fund.org/sites/default/files/Chantal%20Naidoo%20-%20GCF%20Accreditation%20Introduction_May%202015%2020150511.pdf

PRESENTATION OUTLINE

- ✓ *GCF strategic impacts*
- ✓ *How will engagement with GCF work?*
- ✓ *Access to funds*
- ✓ *Accreditation*
- ✓ *Programme pipeline*
- ✓ *Immediate support available to countries*
- ✓ *Actions @ country level*

- GCF is about financing the future that we need and the GCF has 6 strategic impacts, namely food and water security, increased resilience of people and communities; increased resilience ecosystems; of increased resilience of infrastructures; reduced emissions in transport, energy, buildings and cities; and reduced emissions from land use and forestation;
- How will the GCF work?
 - Appointment of NDA/focal points
 - Facilitate interface of the Fund with national public and private sectors
 - Funds reach country via the IE that has been accredited
 - Accredited entities work on programme and Project pipelines
- Access to funds can be obtained through national, regional or international entities. It follows a country driven approach through the NDA/FP (country defines where you go) and there must be compliance with fiduciary, environment and social standards. The major focus is on programme and project development capacity
- Accreditation process comprises:
 - Stage 1 - no objection and readiness letter provided by NDA
 - Stage 2 - Accreditation review and decision
 - Stage 3 - Final arrangements
 - It is a lengthy process and there is a backlog. It is important to know there is no deadline and entities can get into the process through an online application account with nomination from their NDA
 - Support is available to entities in the process to help them
- Programme pipeline is made up of the following elements:
 - Country work programme – this is a voluntary step but has strategic impact

- Concept development – this is a voluntary step to align with the country investment framework
- Submission of funding proposal which must be supported by the NDA, only adaptation / mitigation
- Analysis and recommendations to the Board
- Board decision
- Legal arrangements
- Immediate support is available to countries for:
 - Readiness Programme
 - Accreditation support
 - Access to Secretariat
- Actions at country level are:
 - Appoint NDA/focal point
 - Identify potential entities through which funds can be channelled
 - Assess whether they currently fulfil GCF requirements and identify needs
 - Identify priorities that the GCF can support
 - Determine what additional support needed ahead of funding proposals
 - Engage with the Fund to secure resources for additional support required
- The types of finance provided include a suite of financial instruments from loans to grants and the whole range in between. Guidance on loans – come in on least concessional loan.
- GCF takes note of the issues raised by HBS through Liane Schalateck on what is missing and what improvements are needed and there is willingness within GCF to take up the challenges raised.

Questions/comments from the floor

QUESTIONS/COMMENTS	RESPONSES
<i>Number of NIEs per country and how should country proceed if it thinks there could be more than one?</i>	Fund has no limit per/country as it depends on the merits of the entity but there must be NDA support, a delivery track record and what the differentiation will be between them and what projects they can finance. Match competencies with desired impact – otherwise there will be problems
<i>How long does process take if everything in order?</i>	Officially 6 months from completed submission BUT to get to completed is iterative process – depends on how diligent you are in completing the process, if information submitted is correct and what Fund is looking for. Fast track process – for entities that have gone through the process for GEF, AF EU DEFCO processes – certain application elements that they have signed off on will be accepted by GCF
<i>What are differences in application procedures under GCF and AF</i>	GCF has tiered accreditation process called fit for purpose and is a bigger fund and has a wider range of types of institutional looking for access to funds each with different capacity and types of activities that they will do with funds and GCF process takes this into consideration. Four different size categories from \$10M - \$250M. Accreditation happens within category based on entity capacity. Also considers what it is going to use the funds for – e.g. managing small grants facility vs loan for on-lending and blending of loans. GCF also looks at environment and social safeguards

QUESTIONS/COMMENTS	RESPONSES
<i>Blending own funding with GCF and aspiration timelines</i>	Pilot phase has timelines but depends if the Board approves. There are turnaround times of proposals for funding.
<i>Can you apply for grant and loan is it possible to structure financing so part is grant and part loan’?</i>	Yes depends on country and on what you need – up to you when crafting you programme proposal to think what you need and make it explicit. Three types of support (readiness etc.) – even if the country does not have a NDA it can approach GCF for readiness
<i>At what stage and how access support and is there threshold</i>	Pipeline development can be \$2B. Best to have an IE that puts forward the concept note –then start to engage with GCF even if the entity is not accredited. Readiness support – any one country cannot access more than \$1M p/a; NDA support including stakeholder engagement – private and civil society and be multi stakeholder process
<i>Future of cooperation between the AF and GCF</i>	<i>Response from Marcia Levaggi</i> – There is ongoing engagement on the issue of future cooperation between the funds and with this in mind HBS and FA met in Lima and developed scenarios as options for further discussion. The AF Secretariat has requested elaboration on options for linkages with GCF – one is to seek accreditation as intermediary with GCF and the second is to negotiate an ad hoc agreement with GCF for AF to serve as channel for funding to flow for adaptation related project and programmes. They are busy discussing this and preparing legal documentation for the October Board meeting.

8.4 SESSION 11: Accessing other international mechanisms for Climate Finance

Background context and questions to presenters

There are various other climate funds in operation at the international level. In addition, some regional organisations such as the African development Bank and SADC Secretariat are actively involved in the financing of climate projects in Southern Africa and the continent. Valuable lessons can be learnt from such multi-lateral sources of climate funds in order to scale up climate action and drive transformation. This session will aim to raise awareness on the inter-dependence of various sources of climate finance to achieve overall climate resilience and climate compatible development on a broader scale. Participants will be able to better plan and develop projects beyond the AF and in the context of emerging diverse and global climate finance architecture. Discussion will be guided by the following questions:

1. What is the role of regional bodies in supporting accreditation readiness and capacities for direct access to climate finance? Please describe some of the key activities your organisation is involved in.
2. What sort of support is offered to member states? What has been the experience of your organisation in ensuring climate finance flows in the region?

3. What strategies have your organisation employed to ensure that the most vulnerable and disenfranchised individuals, population groups and communities, including women and local population groups in a recipient country directly benefit from climate funding?
4. What role do CSOs play for the selection and determination of funding proposals? Is there room for enhancing participatory project development, implementation and monitoring by affected groups or their representatives?
5. What lessons drawn from regional bodies' experiences, structures and approaches can be useful to inform strategies to widen direct access to climate finance?

Climate finance under the UNFCCC

**Donald Tanko,
UNFCC Secretariat**

This Presentation is available on the AF website at:

https://www.adaptation-fund.org/sites/default/files/Donald%20Singue%20Tanko%20-%20Overview%20of%20UNFCCC_AF%20readiness%20workshop%20Windhoek_19.05.15_v2_updated.pdf

PRESENTATION OUTLINE

- ✓ *Reviewing the basics of the UNFCCC and the Kyoto Protocol*
- ✓ *Overview of the climate finance architecture under the UNFCCC*
- ✓ *Current levels of climate finance flows*
- ✓ *Access to climate finance*
- ✓ *Importance of enabling environments*
- ✓ *Key priorities on climate finance in 2015*
- ✓ *Climate finance beyond 2015*
- ✓ *What can you, NIEs, do for climate finance?*

- Review basics of UNFCCC and the Kyoto Protocol – gave a high level overview of the UNFCCC and Protocol
- Climate finance architecture under UNFCCC:
 - 3 main components : mobilisation – delivery - oversight
 - Oversight is important
- Current levels of climate finance flows:
 - Between 2010-12 USD 35 to USD 50 billion of public climate finance were provided by developed countries to developing countries but of that, only 11-24% was channelled to adaptation related projects
 - Global total finance flow stands at around USD 340 - 650 billion
- Access to climate finance:
 - Challenges remain but this is moving in the right direction with the AF direct access modality, the GCF's fit for purpose accreditation. The DBSA is accredited as GEF project agency
- Importance of the enabling environment:
 - Strengthen national policy, regulatory and governance framework is important
 - Use national systems where appropriate
 - Accountability at project and programme level
- Key priorities for climate finance for 2015:
 - Negotiations for new legally binding agreement on climate change which will include climate finance
 - Standing committee on finance will work on institutional linkages and relations around how best to link the AF with other institutions under the UNFCCC
 - Long term finance work programme includes adaptation finance and enabling environment and readiness work

- Beyond 2015 it is hoped there will be more funding for adaptation, due to the key role GCF will play in channelling multilateral climate finance for adaptation, and that adaptation will be better coordinated;
- What can NIEs do for climate finance
 - Continue to foster the demonstration of concrete results and impacts of climate finance on the ground
 - Continue working on enhancing the enabling environment for more access to climate finance
 - Raise awareness and create political buy-in
 - Work with designated authorities, NDAs and UNFCCC
 - By NIE engaging in this process it opens up finance flows

Questions / issues from the floor

QUESTIONS/COMMENTS	RESPONSES
<i>What is reason for 11-24% of climate finance (in Africa?) being allocated to adaptation?</i>	Part of THE challenge was to define what adaptation finance was due to THE different interpretations of what this is
<i>How is momentum building towards Paris with regard to attaining legal binding agreement on emission cuts</i>	There is a lot of interest from parties and actors and also everyone recognises this is too big to fail. Still have a lot of issues to resolve regarding provisions etc. and how factor in different institutions and their roles and linkages what are provisions for adaptation

8.5 SESSION 12: Workshop closure

Recap to check that participants' workshop expectations were met

The facilitator checked with all participants to ensure all their questions/issues had been addressed during the presentations or interactive dialogue sessions. He handed out evaluation forms and asked all participants to complete these before leaving. He also reviewed the list of workshop expectations identified on Day 1 of the workshop and asked participants to confirm whether or not these expectations had been met. The outcome is reflected in the table below:

EXPECTATION	YES/NO
Learn about accreditation process	YES enjoyed one-on-one clinics with AF Panel
Experience sharing -	YES
Lessons learned	YES
Avoiding duplication	YES
Need to see more NIEs	YES
Transparent, accountable and good governance of climate finance	YES
Understanding how NDAs operate	YES
How climate change issues can be integrated into planning	YES
Project development proposals planning – what makes them successful and how to include gender considerations	YES
Discuss future of AF	YES
Bring about happiness on the ESP of AF	YES

EXPECTATION	YES/NO
Learn more about GCF and its institutionalisation and what is required to get accreditation under it -	YES
Availability of funding envelopes for each of the different funds	YES

Closing remarks

Sion Shifa, Namibia Ministry of Environment and Tourism, expressed sincere gratitude, on behalf of the Ministry, to all participants for the engagement over the past 3 days and warm thanks to the AF. This workshop shows Africa is committed to addressing climate change in developing economies. He also expressed the Ministry's gratitude to the DRNF, AF and HBS and the facilitator. He recognised that participants travelled from far and are all busy people so it had not been an easy task to attend this workshop and share lessons learned and experience. Africa already knows its position in climate change adaptation and without climate finance the continent will not be able to make an impact so the workshop participants are encouraged to make use of the climate finance facilities.

Martin Schneider, DRFN thanked everyone, on behalf of DRFN Board, for all information, lessons learned, tips and experience they had shared. Everyone had benefited and learned a lot. He commented that if this information had been availability earlier, the DRFN would certainly have done things differently but they are glad that they are accredited and through the workshop have learnt more about the funds that are available. He congratulated HBS for a job well done.

Marcia Levaggi, AF Secretariat thanked everyone, especially the host institutions and organisers for the great experience to hear from potential and accredited NIEs and said NIEs are the AF's best ambassadors. This is a crucial year for the AF and we plan to showcase results and share the achievements that NIEs are making. NIEs' interest in applying for accreditation demonstrates that the AF is relevant and has a role to play in providing funding to concrete adaptation project/programme through direct access. She also mentioned the offer of support through the readiness programme to come closer to AF and that institutions could approach the Secretariat whenever they need as the AF wants to establish strong channels of communication. She gave special thanks to partners in workshop and expressed the hope to see some of the participants at the next workshops in Washington and Nigeria. She also thanked the facilitator, Owen Henderson, for great facilitation.

Farayi Madziwa, HBS, thanked the DRFN, on behalf of HBS, for hosting the workshop and the Namibian Ministry and AF for their openness and willingness to engage and to make it happen. He also thanked all the presenters and all the participants for taking time off to share experiences and knowledge given how busy everyone is. He mentioned that the Workshop Report, which would capture key learnings, will be made available soon. He reminded everyone that HBS will be holding a similar workshop in Nigeria and would take the lessons learned from this workshop to the Nigeria workshop. He expressed the hope that everyone had found the 3 days were very useful and enjoyable, and that the objective to enhance confidence and capacity had been achieved. He thanked the HBS logistics team for their arrangements.

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Contact us

Heinrich Böll Stiftung Southern Africa
8th Floor Vunani Chambers,
33 Church Street,
Cape Town, 8000
South Africa

Tel: + 27 (0) 21 461 6266

Fax: + 27 (0) 21 424-4086

Email: info@za.boell.org

www.za.boell.org