



ADAPTATION FUND

AFB/PPRC.28-29/3
24 January 2022

Adaptation Fund Board
Project and Programme Review Committee

READINESS PACKAGE GRANT – ZAMBIA

Background

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

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

(Decision B.22/24)

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

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

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

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

(Decision 1/CMP.10)

and also decided to:

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

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

(Decision 2/CMP.10)

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

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

(Decision B.25/27)

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

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

(Decision B.27/38)

7. According to Board Decision B.28/30, a readiness project proposal can be submitted for consideration by the Project and Programme Review Committee (PPRC) and decision by the Board at the regular meetings of the Board and can also be submitted for review during an intersessional period of less than 24 weeks between two consecutive Board meetings.

8. At the thirty-sixth meeting of the Board, the PPRC had recommended to the Board to approve the Readiness Package Grant as a standing grant to support accreditation to the Fund.

The Readiness Package Grant would replace South-South Cooperation Grants and continue to facilitate peer-peer support for accreditation through South-South cooperation using a more enhanced and comprehensive approach. Having considered the comments and recommendation of the Project and Programme Review Committee, the Board decided to:

a) To approve the Readiness Package Grant as a standing window and replacement to South-South Cooperation Grants under the Readiness Programme to provide support for the accreditation of a National Implementing Entity (NIE) of the Fund;

b) That the Readiness Package Grant shall be available for accreditation of NIEs only, up to a maximum of US\$ 150,000 per country;

c) That Implementing Entities submitting proposals for the Readiness Package Grant should do so using the application form in Annex I of document AFB/PPRC.27/29 and that such proposals should be reviewed using the review sheet in Annex II of document AFB/PPRC.27/29;

d) That the review cycle and approval of Readiness Package Grants shall follow the review and approval process as well as reporting requirements for readiness grants under the Fund;

e) That already approved South-South Cooperation grants should continue implementation and fulfil all reporting requirements until completion;

f) To request the secretariat to prepare an analysis for opening the Readiness Package Grant to non-NIE intermediaries that are accredited implementing entities of the Fund;

g) To also request the secretariat to notify all accredited implementing entities of this decision by the Board on the Readiness Package Grant and South-South Cooperation Grants.

(Decision B.36/25)

9. At its thirty-sixth meeting, the Board had, through Decision B.36/30, approved the readiness workplan for FY22 as contained in the secretariat work schedule and work plan, document AFB/EFC.27/5. Following Decision B.36/30 by the Board, the secretariat launched a call for project proposals intersessionally between the thirty-sixth and thirty-seventh meetings of the Board and eligible countries and accredited NIEs were given the opportunity to submit applications for technical assistance and Readiness Package grants.

10. In response to the call by the secretariat for accredited NIEs of the Fund to submit proposals for Readiness Package grants, the secretariat received two grant proposals for two countries from one intermediary NIE.

11. It is expected that the Readiness Package grants will enhance South-South cooperation for accreditation to the Fund through a more comprehensive suite of tools to help institutions in

countries seeking direct access to the Fund's resources, to prepare and submit their applications for accreditation.

12. The following readiness package grant project proposal was submitted by the Centre de Suivi Ecologique (CSE) of Senegal (the intermediary), on behalf of the government of Zambia.

13. The proposal includes a request for funding of US\$ 149,188 outlining the basic breakdown of the costs associated with providing support to help those applying for accreditation as an NIE prepare and submit their application.

14. The secretariat carried out an initial technical review of the project proposal and completed a review sheet. The secretariat noted that it was not able to conduct an adequate final technical review of the submitted Readiness Package grant proposal as the proposal did not provide sufficient information to ascertain the level of need and capacity requirements of the NIE seeking accreditation with the Fund. The secretariat noted that additional information from the applicant would be required through the application form and that the grant application form could be updated to enable the applicant to provide more comprehensive information. The secretariat also took note that the updates to the application form would not create a bottle neck or additional burden on the part of applicant NIEs nor the intermediary NIEs to submit a comprehensive Readiness Package grant proposal to the Board for consideration of approval.

15. In accordance with a request to the secretariat made by the Board in its 10th meeting, the secretariat held meeting and shared this review sheet with CSE.



ADAPTATION FUND

ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT/PROGRAMME PROPOSAL

PROJECT/PROGRAMME CATEGORY Readiness Package Grant

Readiness Package support recipient Country: Zambia

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

Type of accredited Implementing Entity (NIE/RIE/MIE): NIE

Requested Financing from Adaptation Fund (US Dollars): \$149,188

AF Project ID:

Reviewer and contact person: Farayi Madziwa

Co-reviewer(s): Ishani Debnath

IE Contact Person: Aissata Boubou Sall

Technical Summary	<p>The project to support NIE accreditation in Zambia will be done through the eight components below:</p> <p><u>Component 1:</u> Developing policies and manuals (USD 36,000).</p> <p><u>Component 2:</u> Accounting and financial software (USD 15,000)</p> <p><u>Component 3:</u> Ethics policy (USD 8,000).</p> <p><u>Component 4:</u> Strategic plan (USD 12,000).</p> <p><u>Component 5:</u> Workshops and meetings (USD 17,500)</p> <p><u>Component 6:</u> CSE's technical assistance (USD 28,000).</p> <p><u>Component 7:</u> Travel (USD 16,000)</p> <p><u>Component 8:</u> Audit (USD 5,000).</p> <p><u>Requested financing overview:</u> Total Project/Programme Cost: USD 137,500</p>
-------------------	---

	<p>Implementing Entity Fee: USD 11,688 Financing Requested: USD 149,188</p> <p>The initial technical review raises some issues, such as the high number of missing policies and lack of experience of the candidate NIE managing and implementing development or climate change projects, inadequate information provided on the results of the dialogue between the intermediary and DA and candidate NIE, no justification provided for why the candidate NIE is the most suitable to obtain accreditation with the AF, and no inclusion of a provision by the intermediary to provide support post initial assessment of the accreditation application by the AF Accreditation Panel as is discussed in the number of Clarification Requests (CRs) raised in the review.</p> <p>The secretariat noted that it was not able to conduct an adequate final technical review as the proposal did not provide sufficient information to ascertain the level of need and capacity requirements of the NIE seeking accreditation with the Fund. The secretariat noted that additional information from the applicant would be required through the application form and that the grant application form could be updated to enable the applicant to provide more comprehensive information.</p>
Date:	8 December 2021

Review Criteria	Questions	Comments on 8 December 2021
Country Eligibility	1. Is the country that does not yet have an accredited NIE a Party to the Kyoto Protocol?	Yes
Eligibility of IE	1. Is the project submitted through an Implementing Entity with an “accredited status with the Fund?”	Yes, CSE is an accredited NIE
	2. Does the Implementing Entity have an approved project by the Adaptation Fund Board and has submitted at least one project performance report (PPR)?	Yes. CSE has completed implementation of the project “Adaptation to Coastal Erosion in Vulnerable Areas” and has submitted two PPRs for the project “Reducing vulnerability and increasing resilience of coastal communities in the Saloum Islands (Dionewar and Fadiol)”.

	3. Has the Implementing Entity demonstrated adequate experience providing capacity building support to NIE candidates and other national/sub-national entities for access to climate change adaptation finance?	Yes. CSE has supported 8 countries for accreditation to the AF, supported 6 countries as a delivery partner of the GCF, and provided capacity-building support to several other countries in Africa.
Project Eligibility	1. Has the designated authority for the Adaptation Fund in the country seeking accreditation endorsed the project?	Yes. The letter of endorsement was signed on 3 September 2021 and is attached.
	2. Has the intermediary undertaken an initial assessment or had dialogue with the DA and/or candidate NIE on the candidate NIE's gaps/challenges and its ability to meet the requirements stipulated in the AF accreditation application form?	<p>To some extent, yes. CSE assessed ZICB's ability to provide relevant documentation for accreditation. The assessment shows that ZICB lacks a high number of policies and supporting documentation in order to meet the accreditation criteria. There is no accompanying justification provided for why ZICB is the chosen NIE candidate compared to other alternative entities. In addition, there is no description provided of ZICB's experience implementing climate change or development projects or programming related finance.</p> <p>CR1: Please indicate whether the DA and staff of the NIE candidate have undertaken the AF e-learning course on accreditation and when. Also explain how feedback from the DA and relevant NIE candidate staff that took the course was incorporated into CSE's initial assessment of accreditation gaps and challenges as well as the proposed solutions.</p> <p>CR2: Please provide a description of the NIE candidate's experience receiving, implementing and managing climate finance or development projects.</p> <p>CR3: Please provide a brief overview justification why the Designated Authority considers ZICB to be the most suitable entity to navigate the AF accreditation process.</p>

	3. Have accreditation gaps/challenges been clearly identified and the approaches to address them clearly outlined?	To some extent, yes. Gaps have been identified but they only refer to policy documents and no description of the NIE candidate's experience implementing climate change and/or development projects has been provided. Please refer to CR 2 above.
	4. Are the proposed activities to address identified gaps/challenges for the NIE candidate to obtain accreditation with the Fund justified?	To some extent, yes. However, no provision has been made to provide support following initial assessment of the application by the AF Accreditation Panel. In addition, a workshops and meetings component has been included in the proposal but a number of the activities to develop policies already include policy validation and training workshops with related budget. This could duplicate activities. CR4: Please include a description of support to the candidate NIE following initial assessment of the accreditation application by the AF Accreditation Panel. CR5: Please mainstream validation and training activities to avoid duplication.
Resource Availability	1. Is the requested project funding within the cap for the Readiness Package grants set by the Board?	Yes.
	2. Is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme budget before the fee?	Yes. However, travel has been presented as a separate budget line item which duplicates travel during validation and training workshops. CR6: Please provide an explanation why travel requires a separate component and is not incorporated into the validation workshops and training activities for each proposed new or updated policy.
	3. Is there budget set aside to continue support post submission of a complete application for accreditation to the AF secretariat?	No. The proposal does not make provision for post submission support.

		CR7: Please set aside a budget to provide support after the candidate NIE has submitted a complete application for accreditation.
Implementation Arrangements	1. Has adequate time been provided to respond to and address comments and feedback that may be made by the Accreditation Panel?	No. The proposal does not make provision for responding and addressing any feedback that may come from the Accreditation Panel. CR8: Please include provision for continued support to address AP feedback to the candidate NIE following initial submission of a complete application for accreditation.
	2. Is a detailed budget including budget notes included?	Yes. However, the budget should be revised considering the above CRs.



ADAPTATION FUND

READINESS PACKAGE GRANT APPLICATION FORM TEMPLATE

Application for a Grant to support NIE accreditation through the readiness package

Submission Date:

Adaptation Fund Grant ID:
Country receiving support: ZAMBIA

Institution to navigate accreditation process, if already identified ZAMBIA
 INDUSTRIAL COMMERCIAL BANK (ZICB)

Name of Implementing Entity delivering support: Centre de Suivi Ecologique (CSE)

Type of Implementing Entity delivering support (NIE/RIE/MIE): NIE

A. Timeframe of Activity

Expected start date of support	April 2022
Completion date of support	June 2023

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

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

countries of Africa and Haiti were familiarized with the AF and the GCF, their policies and procedures, but also and above all their accreditation process.

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

- identify a national institution applying for accreditation;
- strengthen the capacities of the institution selected for the accreditation process;
- support the institution selected in the collection and analysis of the documents required for accreditation; and
- assist the institution selected in the organization and submission of its accreditation request file.

The CSE has thus developed a number of tools relating to:

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

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

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

It is summarized in the table below the list of the various initiatives in which the CSE and its staff have participated over the past sixth (6) years.

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

The readiness package comes as a complement to consolidate the technical support provided through the South-South cooperation grant. It enables NIE applicants to obtain the financial resources that allow us to recruit firms for the preparation of documents related to (fiduciary aspects, strategic plan, internal audit, and ethics manual) that cannot be backed by conventional support.

The main results of this support are mentioned below:

- Grievance and redress mechanism in place;

- Technical assistance for developing a transparency policy and including procedures on conflict of interest and whistleblower protection;
- Internal procedures manual updated;
- ESS & Gender policies developed;
- Project cycle manual developed;
- M&E manual developed;
- Strategic Plan with emphasis on climate change;
- Ethics Policy.

(i) Describe the support provided for accreditation through readiness grants from the Adaptation Fund to developing countries and/or entities seeking to use the Fund's Direct Access modality.

The following two tables summarize the various initiatives that the CSE and its staff have participated in over the past six (6) years.

Year support started	Year support ended	Climate Fund (source of grant)	Type of support provided	Outcome of the support	Country/institution supported
2015	2016	Adaptation Fund	Readiness technical assistance	Application submitted; interaction underway with the AF secretariat	CHAD/ Fonds Spécial pour l'Environnement (FSE)
2015	2016	Adaptation Fund	Readiness technical assistance	The institution is accredited as NIE	NIGER/ Banque Agricole du Niger (BAGRI)

Year support started	Year support ended	Climate Fund (source of grant)	Type of support provided	Outcome of the support	Country/institution supported
2015	2020	Adaptation Fund	Readiness technical assistance	Supporting documents collected and under submission	Cape-Verde/ Agence Nationale de l'Eau et de l'Assainissement (ANAS)
2016	2020	Adaptation Fund	Readiness technical assistance	Application submitted; interaction underway with the AF secretariat	Mali/ Agence de l'Environnement et du Développement Durable (AEDD)
2016	2017	Adaptation Fund	Readiness technical assistance	Application submitted Interactions underway with the AF Secretariat	Sierra-Leone/ Ministry of Finance and Economic Development (MOFED)
2016	2019	Adaptation Fund	Readiness technical assistance	Application submitted; interaction underway with the AF secretariat	Guinée/ Centre d'Etude et de recherche en Environnement (CERE)
2017	2019	Adaptation Fund	Readiness technical assistance	Application submitted; interaction underway with the AF secretariat	Togo/ Office de Développement et des Forêts (ODEF)

Year support started	Year support ended	Climate Fund (source of grant)	Type of support provided	Outcome of the support	Country/institution supported
2017	2020	Adaptation Fund	Readiness technical assistance	Application submitted; interaction underway with the AF secretariat	Burundi/ OBPE
2018	2019	Adaptation Fund	Readiness technical assistance	The institution is accredited as NIE	Côte d'Ivoire/ Fonds Interprofessionnel pour la Recherche et Conseil Agricole (FIRCA)
2019	On Going	Adaptation Fund	Readiness technical assistance	In-house capacities developed Supporting documents under collection and analysis	Mauritius/ Ministry of Environment and Sustainable Development
2018	2020	Adaptation Fund	Readiness Package	Development of fiduciary and governance documents Submission	

- (ii) Describe any other type of support provided outside the grants from the Adaptation Fund to other national, sub-national and/or local entities relevant to the AF accreditation process.

Year support started	Year support ended	Climate Fund (source of grant)	Type of support provided	Outcome of the support	Country/institution supported

Year support started	Year support ended	Climate Fund (source of grant)	Type of support provided	Outcome of the support	Country/institution supported
2015	2019	Green Climate Fund	Delivery partner	<p>National stakeholders trained on climate finance and informed about the GCF readiness program in Senegal</p> <p>A country program developed and submitted to GCF</p> <p>Several consultations organized at all levels</p> <p>A no objection manual developed and validated</p>	Senegal

Year support started	Year support ended	Climate Fund (source of grant)	Type of support provided	Outcome of the support	Country/institution supported
2015	2020	Green Climate Fund	Delivery partner	<p>National stakeholders trained on climate finance and informed about the GCF readiness program in Djibouti</p> <p>A country program developed</p> <p>Several consultations organized at all levels</p> <p>A communication strategy developed</p>	Djibouti

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

Year support started	Year support ended	Climate Fund (source of grant)	Type of support provided	Outcome of the support	Country/institution supported
2016	2018	Green Climate Fund	Delivery Partner	Supporting documents collected and analysed	TOGO
2016	2019	Green Climate Fund	Delivery Partner	<p>National stakeholders trained on climate finance and informed about the GCF readiness program</p> <p>A country program developed</p> <p>Several consultations organized at all levels</p> <p>A communication strategy developed and implemented</p>	CHAD
2017	2020	Green Climate Fund	Delivery Partner	National stakeholders trained on climate finance and informed about the GCF readiness program	Côte d'Ivoire

Year support started	Year support ended	Climate Fund (source of grant)	Type of support provided	Outcome of the support	Country/institution supported
2017	2018	SERVIR (CILSS-USAID)	Technical assistance	Experience shared on the GCF accreditation process	Niger/ AGRHYMET Centre
2019	2021	Green Climate Fund	Delivery Partner	Training sessions organized Concept Notes developed Local forum organized	Togo

Year support started	Year support ended	Climate Fund (source of grant)	Type of support provided	Outcome of the support	Country/institution supported
2019	2021	ACCF/ AfDB	Technical Assistance	<p>Study on options for the accreditation of two national implementing with the Green Climate Fund:</p> <p>Technical assistance for the accreditation of two Ivorian institutions for accreditation</p> <p>Deliverables:</p> <ul style="list-style-type: none"> -Mission report1 including the launch workshop report and the results of the simplified assessment -Mission report2 including the conclusions of the institutional assessment, the list of documents collected, the roadmaps -Mission report 3 including the submission report and recommendations 	

C. Proposed activities to support NIE accreditation

Describe the initial assessment and dialogue that the intermediary has had on the NIE candidate gaps/challenges and ability of the NIE candidate to meet the requirements stipulated in the AF accreditation application form. In the event that a candidate NIE has not yet been identified, describe such dialogue with the DA with clear articulation of identified gaps and the methods/approaches to fill in such gaps to meet the accreditation criteria of the Fund.

The Zambia Industrial Commercial Bank (ZICB) is designated by the DA to apply its accreditation candidature through the Readiness package.

CSE was identified by the DA to provide intermediary services and to assist the applicant institution in the preparation and submission of its accreditation application.

The CSE conducted an assessment of the bank to identify existing and missing documents within the bank. The results of the assessment showed that ZICB has a sound system of financial management, transparency and control of fraud and mismanagement. However, the bank does not have financial and accounting software for monitoring project accounts. The project management part also remains weak or almost non-existent.

Indeed, like many conventional banks, ZICB is not directly involved in the formulation, implementation and closure of projects. This is why the gaps noted relate to the non-existence of the documents listed below:

- the project cycle management manual, including appraisal, formulation, evaluation and risk management, quality review at project entry, implementation and closure;
- the project monitoring and evaluation manual;
- the environmental and social management framework;
- the gender policy and manual for gender mainstreaming in projects and programs;
- the grievance management mechanism for environmental, social and gender complaints;
- the strategic Plan -beef up on climate change component;
- the Ethics Policy-beef up current existing policy.

This Grant will help the NIE to develop missing documents, nominate the focal points in ESS and Gender.

- (i) Provide a list in chronological order of occurrence, of the main components/steps that would be implemented to address the NIE candidate gaps/challenges, the activities to be undertaken, and the requested budget to support accreditation of the NIE candidate. An example is provided within the table in italics.*

Component	Proposed support activities to address Gap/Challenge	Expected Output of the Activities	Tentative completion date	Requested budget for component (USD)
<p><i>Developing policies and manuals</i></p>	<p>The development and implementation of its Environmental and Social Management System (ESMS)</p>	<p><i>an environmental and social policy;</i> - <i>Nomination of an ESS focal point</i> - <i>the identification of environmental and social risks and impacts;</i> - <i>an environmental and social impact management procedure;</i> - <i>organizational capacity and skills (roles and responsibilities of staff implementing the ESMS) implementation of the ESMS);</i> - <i>internal communication and training;</i> - <i>emergency preparedness and response;</i> - <i>stakeholder engagement;</i> - <i>external communication and grievance mechanism;</i> - <i>Continuous disclosure of information to affected communities;</i> - <i>Monitoring and evaluation.</i></p>	<p>30/12/2022</p>	<p>12,000</p>

Component	Proposed support activities to address Gap/Challenge	Expected Output of the Activities	Tentative completion date	Requested budget for component (USD)
	<p>Technical assistance to develop a gender policy and gender mainstreaming manual</p>	<ul style="list-style-type: none"> - Gender policy - a gap analysis report with an action plan - a guide on gender analysis approaches and tools - A report on the establishment of an operational system for monitoring and evaluating the integration of gender mainstreaming in projects/programs; - Grievance and redress mechanism; - Training reports; <ul style="list-style-type: none"> - Nomination of a gender focal point 	30/12/2022	8,000
	<p>Technical assistance for developing a project cycle management guide (integrating procedures for project identification, appraisal, quality at entry review, risks identification and mitigation development, implementation, closure and evaluation)</p>	<ul style="list-style-type: none"> - produce a document describing the management of the project cycle (procedures, levels of responsibilities / authorities for the identification, development, evaluation and approval of projects ...) with, among others - description of the process for evaluating the project idea or project document (project appraisal) to assess its viability in economic, environmental, financial, social, technical, institutional terms, etc.; - the formalization of the procedures implemented for the management of any project-at-risk risks: 	30/12/2022	8,000

Component	Proposed support activities to address Gap/Challenge	Expected Output of the Activities	Tentative completion date	Requested budget for component (USD)
		<p><i>identification, assessment and prioritization, from the project assessment phase, of the essential risks likely to affect the feasibility of the project. project, including the identification and assessment of environmental and social risks, as well as the integration of environmental and social risk management plans into the project document ...</i></p> <ul style="list-style-type: none"> - <i>formalization of procedures for assessing the quality of projects at entry (quality-at-entry): i.e. the quality of projects when they pass the approval stage, but before the implementation begins.</i> - <i>develop a guide or procedure for the closure of projects and programs</i> - <i>lead a training workshop on project development and management.</i> 		
	<p><i>Technical assistance for developing an M&E guide</i></p>	<p><i>M&E Framework including:</i></p> <ul style="list-style-type: none"> - <i>M&E manual;</i> - <i>Nomination of M&E officer;</i> - <i>Training on M&E and independent evaluation.</i> 	<p><i>30/12/2022</i></p>	<p><i>8,000</i></p>

Component	Proposed support activities to address Gap/Challenge	Expected Output of the Activities	Tentative completion date	Requested budget for component (USD)
Accounting and financial Software	Functional accounting, financial and management project software	<p>1- Tom2 pro software license in single project, single site and network on 10 stations with the modules of general accounting, budget monitoring, fixed assets management, contracts and commitments, cost accounting follow-up of financing agreements, statements of disbursements codifications, utilities, disbursements</p> <p>2- TOM2 Monitoring and evaluation software license in single project, single site, and network versions</p> <p>3- Right to use the software on 10 stations</p> <p>4- TOM2 Marche software license in single-project, single-site and networks to manage the Procurement Plan contracts</p> <p>5- Tom2 Payroll Software license in single project, single site and in networks to manage the payroll and the resources</p> <p>6- Tom2 Financial statement software license in single project, single site and networks for the production of financial statements according to the IFRS standard</p> <p>7- Installation, parameter setting and training of the personnel on the software</p>	30/09/2022	15,000

Component	Proposed support activities to address Gap/Challenge	Expected Output of the Activities	Tentative completion date	Requested budget for component (USD)
Ethics Policy	A framework of good governance and good practices in terms of strengthened financial management	-Gap assessment on existing ethics document; - Update the ethics document by aligning with international standards in good practices and governance, in the fight against financial mismanagement; Organize a training session on the update ethics documents	30/12/2022	8,000
Strategic Plan	Strategic Plan -beef up on climate change component	<ul style="list-style-type: none"> • Propose a methodology for the development of the strategic plan including an operational plan and an outline for such a document and finalize them in consultation with key staff of the bank; • Prepare and lead strategic planning sessions in collaboration with the bank's experts; • Prepare a complete draft of the bank's strategic plan for circulation, collect comments and finalize the strategic plan • Lead a strategic plan validation workshop with all bank staff. 	30/12/2022	12,000
Workshops and Meetings	Validation workshops (for validating all new policies and procedures developed)	Workshop reports	31/01/2023	10,000

Component	Proposed support activities to address Gap/Challenge	Expected Output of the Activities	Tentative completion date	Requested budget for component (USD)
	Board meeting (for validating the new procedures)	Meeting minutes	28/02/2023	7,500
CSE's technical Assistance	CSE's support collect review, submission and post submission documents	Monitoring completion report and	30/06/2023	28,000
Travel	Travel	Mission report	30/12/2022	16,000
Audits	Audits	Audit's report	30/06/2023	5,000
Implementing entity fee				11,688
Total Grant Requested (USD)*				149,188

***Please provide a detailed budget (with budget notes including a notes of how the management fee will be used) attached as an annex to the application**

D. Justification of project activities

Provide a description of each identified NIE candidate gap/challenge and explain the status core, current processes and procedures within the NIE candidate regarding the identified gap/challenge and explain how the activities to be undertaken would address the identified gaps/challenges to advance accreditation of the NIE candidate. For new policies, procedures and institutional structures that need to be newly established, also provide a timeframe for demonstrating their effective operation and submission of evidence to the Accreditation Panel (AP), including responding to feedback from the AP. (for missing policies, manuals and institutional structures, please list and explain each one individually)

Zambia Industrial Commercial Bank (ZICB) vision is to be the preferred Bank in its chosen segments (see below diagram) supporting commercialisation, industrialisation, and growth of its customers. We support our customers' wealth creation and growth through provision of customer-centric banking solutions to our chosen segments pivotal to commercialisation and Industrialisation of the Zambian economy.

Hence, given a chance to be accredited to Adaptation fund, we will be able to help steer commercialisation and Industrialisation of the Zambian economy while supporting its climate change agenda in mitigation and adaption.

Target Segments



Government and Public Sector



Corporate and SMEs



Micro enterprises and sole traders



Employees of target Corporate and SME clients



Special interest groups

- Farmers
- Students
- Retirees

A Member of the IDC Group



Gaps/ Challenges	Activities to be undertaken	New policies	Track record	Timeframe for demonstrating their effective operation and submission of evidence to the Accreditation Panel (AP)
------------------	-----------------------------	--------------	--------------	--

Gaps/ Challenges	Activities to be undertaken	New policies	Track record	Timeframe for demonstrating their effective operation and submission of evidence to the Accreditation Panel (AP)
Lack of Environmental and Social Management System (ESMS)	<ul style="list-style-type: none"> - the identification of environmental and social risks and impacts; - an environmental and social impact management program; - organizational capacity and skills (roles and responsibilities of staff implementing the ESMS); - internal communication and training; - emergency preparedness and response; - stakeholder engagement; - external communication and grievance mechanism; - Continuous disclosure of information to affected communities; 	an environmental and social policy; Grievance mechanism manual and external communication	PGES of new project; Report ESMS implementation; Grievance mechanism implementation report	One year after policy approval



Gaps/ Challenges	Activities to be undertaken	New policies	Track record	Timeframe for demonstrating their effective operation and submission of evidence to the Accreditation Panel (AP)
Lack of gender policy and gender mainstreaming manual	Development of Gender policy a gap analysis report with an action plan a guide on gender analysis approaches and tools A report on the establishment of an operational system for monitoring and evaluating the integration of gender gender mainstreaming in projects/programs; Grievance and redress mechanism Training session on gender	Gender policy guide on gender analysis approaches and tools A report on the establishment of an operational system for monitoring and evaluating the integration of gender mainstreaming in projects/p programs;	Gender assessment and action plan; Report on gender mechanism implementation	One year after policy approval
Lack of project cycle management guide (integrating procedures for project identification, appraisal, quality at entry review, risks identification and mitigation development, implementation, closure and evaluation)	Development of project cycle management guide (integrating procedures for project identification, appraisal, quality at entry review, risks identification and mitigation development, implementation, closure and evaluation)	project cycle management guide (integrating procedures for project identification, appraisal, quality at entry review, risks	appraisal report; concept note or full proposal report; Quality and Entry report	One year after policy approval

Gaps/ Challenges	Activities to be undertaken	New policies	Track record	Timeframe for demonstrating their effective operation and submission of evidence to the Accreditation Panel (AP)
		identification and mitigation development, implementation, closure and evaluation)		
Lack of M&E Guide	Implementation of M&E Framework	M&E manual; Nominatio n of M&E officer; Training on M&E and independent evaluation ;	M&E reports ; Project's activities reports	Two Year after approval
Weakness of Ethics Code	Development and implementation of Ethics Policy	-Update ethics code; - Ethics charter; Implemen tation of ethics code	Ethics Charter signed; Ethics committ ee reports; List of case of violation on ethics Code	One year after Code approval

Gaps/ Challenges	Activities to be undertaken	New policies	Track record	Timeframe for demonstrating their effective operation and submission of evidence to the Accreditation Panel (AP)
Lack of climate change strategic plan	Development and implementation of Strategic plan	New strategic plan; Action plan for strategic plan implementation	Annual activities plan; Annual activities report Mid – term evaluation report of strategic plan	One year after strategic plan approval (for AAP and annual reports) Mid-term for the evaluation of strategic plan

E. Implementing Entity

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

Head of Implementing Entity	Signature	Date (Month, day, year)	Implementing Entity Contact Person	Telephone	Email Address
Dr Assize TOURE Centre de Suivi Ecologique (CSE)		07 SEP 2021 	Aissata Boubou Sall	+221 338258066 +221 77 685 15 90	Aissata.sall@cse.sn

F. Record of request of support on behalf of the government

Provide the name and position of the government official who is the Designated Authority of the Adaptation Fund in the NIE candidate country and indicate date of endorsement. The letter of endorsement from the Designated Authority should be attached as an annex to the application.

Francis Mpampi (Mr.)	Date: September, 03, 2021
----------------------	---------------------------

Telephone: 0211-252395
0211-252394
0211-252391



In reply please quote

No.:

NDA/71/21/9

REPUBLIC OF ZAMBIA

MINISTRY OF NATIONAL DEVELOPMENT PLANNING

Corner of John Mbita & Nationalist Roads
P.O. Box 30145
Lusaka - Zambia



ADAPTATION FUND

Letter of Endorsement by Government

03rd September, 2021

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

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

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

Accordingly, I am pleased to endorse the above grant proposal with support from the Adaptation Fund. If approved, the project will be implemented by **Centre de Suivi Ecologique (CSE)** and executed by **ZAMBIA INDUSTRIAL COMMERCIAL BANK (ZICB)**.

Sincerely,

Francis Mpampi
National Coordinator for National Designated Authority for the Green
Climate Fund and Adaptation Fund