



ADAPTATION FUND

AFB/PPRC.30-31/3  
15 November 2022

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Adaptation Fund Board  
Project and Programme Review Committee

**READINESS PACKAGE GRANT PROPOSAL TO SUPPORT  
NATIONAL IMPLEMENTING ENTITY ACCREDITATION FOR  
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 and eligibility criteria to allocate the funds to the accredited implementing entities for specific activities, contained in document AFB/B.23/5, which included grants for technical assistance and South-South Cooperation (SSC).

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

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

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

*Decision 1/CMP.10*

and also decided to:

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

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

*Decision 2/CMP.10*

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

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

*(Decision B.25/27)*

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

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

*(Decision B.27/38)*

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

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

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

*(Decision B.28/30)*

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

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

*(Decision B.36/26)*

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

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

*South-South Cooperation Grants under the Readiness Programme to provide support for the accreditation of a National Implementing Entity (NIE) of the Fund;*

- b) That the Readiness Package Grant shall be available for accreditation of NIEs only, up to a maximum of US\$ 150,000 per country;*
- c) That Implementing Entities submitting proposals for the Readiness Package Grant should do so using the application form in Annex I of document AFB/PPRC.27/29 and that such proposals should be reviewed using the review sheet in Annex II of document AFB/PPRC.27/29;*
- d) That the review cycle and approval of Readiness Package Grants shall follow the review and approval process as well as reporting requirements for readiness grants under the Fund;*
- e) That already approved South-South Cooperation grants should continue implementation and fulfil all reporting requirements until completion;*
- f) To request the secretariat to prepare an analysis for opening the Readiness Package Grant to non-NIE intermediaries that are accredited implementing entities of the Fund;*
- g) To also request the secretariat to notify all accredited implementing entities of this decision by the Board on the Readiness Package Grant and South-South Cooperation Grants.*

*(Decision B.36/25)*

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

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

*[...]*

*(Decision B.37-38/14)*

11. At its thirty-eighth meeting, the Board had, through decision B.38/45, approved the readiness workplan for FY23 as contained in the secretariat work schedule and work plan, document AFB/EFC.29/4. Following decision B.38/45 by the Board, the secretariat launched a call for readiness project proposals intersessionally between the thirty-eighth and thirty-ninth meetings of the Board and eligible countries were given the opportunity to submit applications for a readiness package grant to receive peer support for accreditation through an intermediary. The size of the readiness package grant would be up to a maximum of US\$ 150,000 per NIE as per decision B.37-38/14 by the Board.

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

13. It is expected that the peer-peer support would effectively help build national capacity and sustainability and that readiness package grants will enhance South-South cooperation for accreditation to the Fund, through a more comprehensive suite of tools to help institutions in countries seeking direct access to the Fund's resources, to prepare and submit their applications for accreditation.

14. In response to the call for readiness grant proposals launched by the secretariat intersessionally between the thirty-eighth and thirty-ninth meetings of the Board, the secretariat received two grant proposals for readiness package grants for two countries to receive peer support for accreditation from one intermediary NIE.

15. The present document introduces the readiness package project proposal submitted by the *Centre de Suivi Ecologique* (CSE) of Senegal on behalf of the government of Zambia. It includes a request for funding of US\$ 145,000 outlining the activities to be undertaken by CSE to support the accreditation process in Zambia.

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

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

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



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## 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 (Intermediary) delivering support:** Centre de Suivi Ecologique (CSE)

**Nominated National Implementing Entity (NIE) Candidate:** Zambia Industrial Commercial Bank (ZICB)

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

**Requested Financing from Adaptation Fund (US Dollars):** \$145,000

**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 four components below:</p> <p><u>Component 1:</u> Developing polices and manuals (USD 69,000).</p> <p><u>Component 2:</u> Project management software (USD 15,000)</p> <p><u>Component 3:</u> Workshops and Meetings (USD 16,500).</p> <p><u>Component 4:</u> CSE's technical Assistance (USD 33,390).</p> <p><u>Requested financing overview:</u>            Total Project/Programme Cost: USD 133,890            Implementing Entity Fee: USD 11,110            Financing Requested: USD 145,000</p> <p>The initial technical review raised some issues, such as submitting proof of completion of the e-learning course on accreditation, clarifying initial discussion between CSE and the DA for Zambia and/or candidate NIE and the</p>
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	<p>outcome from such discussion, and corrective action regarding the costs for audited financial statements, as is discussed in the number of Clarification Requests (CRs) and Corrective Action Request (CAR) raised in the review.</p> <p>The final review finds that that the proposal has addressed all of the CRs and CARs to a satisfactory level.</p>
Date:	12 November 2022

Review Criteria	Questions	Comments Initial Technical Review	Comments Final Technical Review
Country Eligibility	1. Is the country that does not yet have an accredited NIE a Party to the Kyoto Protocol?	<b>Yes</b>	
Eligibility of IE (Intermediary)	1. Is the project submitted through an Implementing Entity with an "accredited status with the Fund?"	<b>Yes</b> , 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)?	<b>Yes</b> , CSE has a completed project and another one under implementation with three submitted PPRs	
	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?	<b>Yes</b> , As noted on pages 1-7, since 2015 CSE has provided support to 11 countries for accreditation to the AF, two of which successfully obtained accreditation (Fonds Interprofessionnel pour la Recherche et Conseil Agricole (FIRCA) of Côte d'Ivoire; and Banque Agricole du Niger (BAGRI) of Niger). CSE has also supported multiple other countries as a GCF delivery partner.	



Eligibility of nominated candidate	1. Has the nominated NIE candidate taken the AF online course on accreditation and demonstrated adequate results during the self-assessment to meet accreditation criteria of the Fund?	<p><b>Yes.</b> An officer of the NIE candidate completed the course on 12 April 2022 and an officer from the DA office on 18th June 2022, as noted on page 10. Their learning enhanced responses to the gap analysis as well as explaining the process of nominating the NIE that the DA went through. However, certificates of completion are not attached.</p> <p><b>CAR1:</b> Please submit certificates of completion for the officers that completed the e-learning course on accreditation.</p>	<b>CAR1 Addressed:</b> Certificates attached to proposal
	2. Is the suitability of the candidate NIE to meet the accreditation criteria justified considering its experience managing project finance, its institutional capacity and experience implementing and managing the full climate change or development finance project life cycle, and its competency for transparency, self-investigative powers and anti-corruption measures?	<p><b>Yes.</b> ZICB has experience managing climate finance from multilateral institutions, e.g., Prospero Zambia, a UK aid agency, under the International Climate Finance initiative worth GBP 1.2million. In addition, as a financial institution incorporated on 31 August 2017, ZICB already has fiduciary standards in place, as noted on pages 8-9.</p>	
Project Eligibility	1. Has the designated authority for the Adaptation Fund in the country seeking accreditation endorsed the project?	<p><b>Yes.</b> Letter of Endorsement was signed on 3 September 2021.</p>	

	<p>2. Has the intermediary undertaken an assessment or had dialogue on the NIE candidate gaps/challenges and ability of the candidate NIE to meet the requirements stipulated in the AF accreditation application form?</p>	<p><b>Not Cleared.</b> CSE undertook an assessment of ZICB’s gaps and challenges with the accreditation process. However, whilst the proposal mentions that CSE was identified by the DA to provide intermediary services, it does not provide information regarding the initial exchange that took place between CSE and the DA and/or the candidate entity, including the conclusions from such discussion.</p> <p><b>CR1:</b> Please clarify what initial discussion took place between CSE and the DA for Zambia and/or the candidate entity, including what the overall outcome from this discussion was, pertaining the candidate NIE’s accreditation status and process to be followed to obtain accreditation with the Adaptation Fund.</p>	<p><b>CR1 Addressed.</b> See pages 8-9</p>
	<p>3. Have accreditation gaps/challenges been clearly identified and the approaches to address them clearly outlined?</p>	<p><b>Yes.</b> Four clear project components have been outlined and gaps identified include: Lack of Environmental and Social Management System (ESMS); Lack of gender policy and gender mainstreaming manual; Lack of project cycle management guide; and Lack of an M&amp;E guide. (page 9)</p>	

	4. Are the proposed activities to address identified gaps/challenges for the NIE candidate to obtain accreditation with the Fund justified?	<b>Yes.</b> Activities include developing policies, manuals, and undertaking training of staff as noted on page 15.	
Resource Availability	1. Is the requested project funding within the cap for the Readiness Package grants set by the Board?	<b>Yes,</b> the requested funding amount is \$150,000.	
	2. Is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme budget before the fee?	<b>Yes.</b> The fee is 8%.	
	3. Is there budget set aside to continue support post submission of a complete application for accreditation to the AF secretariat?	<b>Yes.</b> A budget of \$33,390 has been set aside, which includes CSEs technical assistance in support of monitoring and review.	
Implementation Arrangements	1. Has adequate time been provided to respond to and address comments and feedback that may be made by the Accreditation Panel?	<b>Yes.</b> Roughly 5 months is set aside from the date when activities are completed, and new procedures are put in place by the NIE candidate. Continuous support will be provided until 31/12/2023.	

	<p>2. Is a detailed budget including budget notes included?</p>	<p><b>Not Cleared.</b> The budget includes an allocation for an audit. However, an audited report is not required for financial reporting on readiness grants.</p> <p><b>CAR2:</b> Please remove audit costs from the budget as the financial reporting requirements for readiness grants is a final Statement of Expenditure signed by the Implementing Entity's chief financial officer or their equivalent.</p>	<p><b>CAR2 Addressed.</b></p>
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**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 (Intermediary) delivering support:** Centre de Suivi Ecologique (CSE)

**Nominated National Implementing Entity (NIE) Candidate:** Zambia Industrial Commercial Bank (ZICB)

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

**Requested Financing from Adaptation Fund (US Dollars):** \$150,000

**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 four components below:</p> <p><u>Component 1:</u> Developing polices and manuals (USD 69,000).</p> <p><u>Component 2:</u> Project management software (USD 15,000)</p> <p><u>Component 3:</u> Workshops and Meetings (USD 16,500).</p> <p><u>Component 4:</u> CSE's technical Assistance including audit fee (USD 38,390).</p> <p><u>Requested financing overview:</u>  Total Project/Programme Cost: USD 138,890  Implementing Entity Fee: USD 11,110  Financing Requested: USD 150,000</p> <p>The initial technical review raises some issues, such as submitting proof of completion of the e-learning course on accreditation, clarifying initial discussion between CSE and the DA for Zambia and/or candidate NIE and the outcome from such discussion, and corrective action regarding the costs for audited financial statements, as is discussed in the number of Clarification Requests (CRs) and Corrective Action Request (CAR) raised in the review.</p>
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Date:	7 November 2022
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Review Criteria	Questions	Comments	Response
Country Eligibility	2. Is the country that does not yet have an accredited NIE a Party to the Kyoto Protocol?	<b>Yes</b>	
Eligibility of IE (Intermediary)	4. Is the project submitted through an Implementing Entity with an “accredited status with the Fund?”	<b>Yes</b> , CSE is an accredited NIE	
	5. Does the Implementing Entity have an approved project by the Adaptation Fund Board and has submitted at least one project performance report (PPR)?	<b>Yes</b> , CSE has a completed project and another one under implementation with three submitted PPRs	
	6. 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?	<b>Yes</b> , As noted on pages 1-7, since 2015 CSE has provided support to 11 countries for accreditation to the AF, two of which successfully obtained accreditation (Fonds Interprofessionnel pour la Recherche et Conseil Agricole (FIRCA) of Côte d’Ivoire; and Banque Agricole du Niger (BAGRI) of Niger). CSE has also supported multiple other countries as a GCF delivery partner.	

Eligibility of nominated NIE candidate	<p>3. Has the nominated NIE candidate taken the AF online course on accreditation and demonstrated adequate results during the self-assessment to meet accreditation criteria of the Fund?</p>	<p><b>Yes.</b> An officer of the NIE candidate completed the course on 12 April 2022 and an officer from the DA office on 18th June 2022, as noted on page 10. Their learning enhanced responses to the gap analysis as well as explaining the process of nominating the NIE that the DA went through. However, certificates of completion are not attached.</p> <p><b>CAR1:</b> Please submit certificates of completion for the officers that completed the e-learning course on accreditation.</p>	<p><b>Response CAR1:</b> The certificates are hereto attached for the two officers who have taken the AF online Course on accreditation.</p>  <p><b>BILLY KATONTOKA</b> AF CERTIFICATE ZAN</p>  <p><b>BRENDA SIMAINGA</b> AF CERTIFICATE ZAN</p>
Project Eligibility	<p>4. Is the suitability of the candidate NIE to meet the accreditation criteria justified considering its experience managing project finance, its institutional capacity and experience implementing and managing the full climate change or development finance project life cycle, and its competency for transparency, self-investigative powers and anti-corruption measures?</p>	<p><b>Yes.</b> ZICB has experience managing climate finance from multilateral institutions, e.g., Prospero Zambia, a UK aid agency, under the International Climate Finance initiative worth GBP 1.2million. In addition, as a financial institution incorporated on 31 August 2017, ZICB already has fiduciary standards in place, as noted on pages 8-9.</p>	
	<p>5. Has the designated authority for the Adaptation Fund in the country seeking accreditation endorsed the project?</p>	<p><b>Yes.</b> Letter of Endorsement was signed on 3 September 2021.</p>	

	<p>6. Has the intermediary undertaken an assessment or had dialogue on the NIE candidate gaps/challenges and ability of the candidate NIE to meet the requirements stipulated in the AF accreditation application form?</p>	<p><b>Not Cleared.</b> CSE undertook an assessment of ZICB's gaps and challenges with the accreditation process. However, whilst the proposal mentions that CSE was identified by the DA to provide intermediary services, it does not provide information regarding the initial exchange that took place between CSE and the DA and/or the candidate entity, including the conclusions from such discussion.</p> <p><b>CR1:</b> Please clarify what initial discussion took place between CSE and the DA for Zambia and/or the candidate entity, including what the overall outcome from this discussion was, pertaining the candidate NIE's accreditation status and process to be followed to obtain accreditation with the Adaptation Fund.</p>	<p><b>Response CR1:</b> The DA engaged CSE to request for the provision of technical assistance to the Entity nominated for accreditation to the AF and facilitate the Readiness Grant Application. Upon the request was being accepted, ZICB, DA and CSE had a meeting to discuss the assessment of ZICB to establish gaps and challenges in meeting the AF requirements for accreditation. A gap analysis questionnaire was shared with ZICB for completion. During the meeting to discuss the completed questionnaire, it was established that ZICB had in place governance policies and procedures that aligned with normal project financing but was weak on Climate adaptation requirements as stipulated by the AF board, a requirement for an institution to be accredited as an NIE. To this effect, it was agreed that the Readiness Grant will be used to strengthen ZICB's policies and procedures as well as ensure to put in place what was missing so that ZICB can be ready for accreditation.</p>
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	7. Have accreditation gaps/challenges been clearly identified and the approaches to address them clearly outlined?	<b>Yes.</b> Four clear project components have been outlined and gaps identified include: Lack of Environmental and Social Management System (ESMS); Lack of gender policy and gender mainstreaming manual; Lack of project cycle management guide; and Lack of an M&E guide. (page 9)	
	8. Are the proposed activities to address identified gaps/challenges for the NIE candidate to obtain accreditation with the Fund justified?	<b>Yes.</b> Activities include developing policies, manuals, and undertaking training of staff as noted on page 15.	
Resource Availability	4. Is the requested project funding within the cap for the Readiness Package grants set by the Board?	<b>Yes,</b> the requested funding amount is \$150,000.	
	5. Is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme budget before the fee?	<b>Yes.</b> The fee is 8%.	
	6. Is there budget set aside to continue support post submission of a complete application for accreditation to the AF secretariat?	<b>Yes.</b> A budget of \$33,390 has been set aside, which includes CSEs technical assistance in support of monitoring and review.	
Implementation Arrangements	3. Has adequate time been provided to respond to and address comments and feedback that may be made by the Accreditation Panel?	<b>Yes.</b> Roughly 5 months is set aside from the date when activities are completed, and new procedures are put in place by the NIE candidate. Continuous support will be provided until 31/12/2023.	

	4. Is a detailed budget including budget notes included?	<p><b>Not Cleared.</b> The budget includes an allocation for an audit. However, an audited report is not required for financial reporting on readiness grants.</p> <p><b>CAR2:</b> Please remove audit costs from the budget as the financial reporting requirements for readiness grants is a final Statement of Expenditure signed by the Implementing Entity's chief financial officer or their equivalent.</p>	<p><b>Response CAR2.</b> The audit cost was removed from the budget.</p>
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**APPLICATION FORM/PROPOSAL TEMPLATE FOR READINESS PACKAGE GRANTS**

ADAPTATION FUND

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

Submission Date: 12/11/2022

**Adaptation Fund Grant ID:****Country receiving support:** ZAMBIA**Institution to navigate accreditation process, if already identified:** ZAMBIA INDUSTRIAL COMMERCIAL BANK**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	January 2023
Completion date of support	March 2024

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

- (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.

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, 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 several tools relating to:

1. Screening to identify the institution with the best profile.
2. 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.
3. A checklist of required documents.

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

1. Develop and implement Readiness requests.
2. Manage legal arrangements and implementation of Readiness support
3. Manage financial resources.
4. Make purchases and recruitments.
5. Assist the Designated National Authority in monitoring and evaluating deliverables.
6. Prepare progress and closure reports for Readiness agreements.
7. Carry out audits.

Our experience 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.

<b>Year support started</b>	<b>Year support ended</b>	<b>Climate Fund (source of grant)</b>	<b>Type of support provided</b>	<b>Outcome of the support</b>	<b>Country/institution supported</b>
2015	2016	Adaptation Fund	Readiness technical assistance	Application submitted; interaction underway with the AF secretariat	CHAD/ Fonds Spécial pour l'Environnement (FSE)
2015	2016	Adaptation Fund	Readiness technical assistance	The institution is accredited as NIE	NIGER/ Banque Agricole du Niger (BAGRI)
2015	2020	Adaptation Fund	Readiness technical assistance	Supporting documents collected and under submission	Cape-Verde/ Agence Nationale de l'Eau et de l'Assainissement (ANAS)

Year support started	Year support ended	Climate Fund (source of grant)	Type of support provided	Outcome of the support	Country/institution supported
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 d'Exploitation des Forêts (ODEF)
2017	2020	Adaptation Fund	Readiness technical assistance	Application submitted; interaction underway with the AF secretariat	Burundi/ OBPE
2018	2019	Adaptation Fund	Readiness technical assistance	The institution is accredited as NIE	Côte d'Ivoire/ Fonds Interprofessionnel pour la Recherche et Conseil Agricole (FIRCA)

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

CSE also provided 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 was 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 develop;
- M&E manual developed

<b>Year support started</b>	<b>Year support ended</b>	<b>Climate Fund (source of grant)</b>	<b>Type of support provided</b>	<b>Outcome of the support</b>	<b>Country/institution supported</b>
2015	2019	Green Climate Fund	Delivery partner	National stakeholders trained on climate finance and informed about the GCF readiness program in Senegal. A country program developed and submitted to GCF. Several consultations organized at all levels A no objection manual developed and validated	Senegal
2015	2020	Green Climate Fund	Delivery partner	National stakeholders trained on climate finance and informed about the GCF readiness program in Djibouti A country program developed Several consultations organized at all levels A communication strategy developed	Djibouti

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



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

Year support started	Year support ended	Climate Fund (source of grant)	Type of support provided	Outcome of the support	Country/institution supported
2019	2021	ACCF/ AfDB	Technical Assistance	Study on options for the accreditation of two national implementing with the Green Climate Fund: Technical assistance for the accreditation of two Ivorian institutions for accreditation Deliverables: -Mission report1 including the launch workshop report and the results of the simplified assessment -Mission report2	

### C. Proposed activities to support NIE accreditation

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

ZICB expressed interest to be nominated for AF Accreditation in February 2020 and their expression of interest was submitted to the National technical committee (NTC) for assessment. After the NTC conducted its preliminary assessment of ZICB, despite also having some gaps ZICB was selected and was because it was able to provide evidence of its fiduciary competencies as well as appropriate processes and a management team who have zero tolerance for fraud and corruption.

ZICB was identified as a potential NIE due to its Institutional expertise in efficient and transparent raising of capital, managing, and channeling of financial resources for various projects in the country as well as it maintains more than its primary paid up capital with Bank of Zambia for a local bank.

The minimum primary paid-up capital to setup a bank in Zambia is K104 million for locally owned banks and K520 million for foreign owned banks. ZICB, a 100% locally owned bank has primary paid up capital of K530 million.

In addition, ZICB expressed interest to pursuing accreditation due to its current day to day operations as a Financial Institution and project developers approaching it for funding of various developmental projects.

ZICB demonstrated its reliability and robust accountability for managing multilateral institutions project fund through its bilateral agreement with Prospero Zambia, a Ukaid agency, under the International Climate Finance initiative worth GBP 1.2million.

A more thorough investigation to identify the gaps of ZICB against the Adaptation Fund's fiduciary standards revealed that ZICB had a transparent management system supported by various Policy and procedure manuals even though they were not tailored for the Adaptation Fund standards. Because of this, ZICB demonstrated potential to bridge these gaps with the help of the Readiness Grant, hence the selection committee recommended to the DA that ZICB be nominated.

The DA went ahead and submitted the nomination of ZICB to the AF Secretariat. Upon submission of the nomination for accreditation, the AF Secretariat subjected ZICB to a mini virtual assessment to ascertain the suitability of ZICB for accreditation with the AF. This engagement cleared ZICB to proceed with the process of accreditation.

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

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

The CSE assessed the bank to identify existing and missing documents within the bank. The results of the assessment showed that ZICB had 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 climate change project accounts. The project management part is weak or almost non-existent for mitigation and adaptation projects. Like many conventional banks, ZICB is not directly involved in the formulation, implementation, and closure of projects. Therefore, the gaps noted relate to the non-existence of the documents listed below:

1. Project cycle management manual, including appraisal, formulation, evaluation and risk management, quality review at project entry, implementation, and closure
2. Project monitoring and evaluation manual.
3. Environmental and Social Governance and management framework.
4. Gender policy and manual for gender mainstreaming in projects and programs.
5. Grievance management mechanism for environmental, social and gender complaints.

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

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

On 12<sup>th</sup> April 2022, one officer of the NIE candidate took the AF e-learning course on accreditation followed by one officer from the DA office on 18<sup>th</sup> June 2022. The learning from the course was incorporated into CSE initial assessment by way of enhancing responses to the gap analysis as well as explaining the process of nominating the NIE that the DA went through. The course was very enlightening with key highlights being environmental, social and gender considerations in project design and implementation as well as the accreditation process.

The learning outcomes have helped in preparing the candidate to understand and know the requirements from AF as well as the importance of having policies in place such as Environmental and Social Policy that help with managing grievances. The learning outcomes have been incorporated into the proposal by way of identifying the gaps on current policies and procedures in the current working environment

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

ZICB has demonstrated its reliability and robust accountability for managing multilateral institutions project fund through its bilateral agreement with Prospero Zambia, a Ukaid agency, under the International Climate Finance initiative worth GBP 1.2million.

As part of the Green compact agreement signed between the UK and Zambian Government, on 14th December 2021, to provide concessional loans to Zambian SMEs to mitigate and build resilience of climate change. This pool of funding provide finance to different local business projects that build awareness around climate change and empowers citizens to make meaningful behavioral changes that are beneficial to the environment and climate.

Currently ZICB is managing a portfolio of 5 SME names worth approximately, GBP1.2 million under the international climate finance. These SMEs have projects in Renewable Energy, Agroforestry and Agriculture processing.

ZICB is a registered commercial bank, a fully Zambian-owned bank that was incorporated on 31st August 2017 and opened its doors to the public on 1st August 2018.

ZICB is best suited to meet the accreditation criteria because it already has fiduciary standards in place as a financial institution. These include

1. financial integrity and management.
2. institutional capacity.
3. transparency,
4. self-investigative powers,
5. anti-corruption measures, and
6. mechanism to address environmental and social and gender complaints.

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

<b>Component</b>	<b>Proposed support activities to address Gap/Challenge</b>	<b>Expected Output of the Activities</b>	<b>Tentative completion date</b>	<b>Request ed budget for compon ent (USD)</b>
1. Developing polices and manuals	1.1 Develop ment and implementatio n of an Environmenta l and Social Management System (ESMS)	<p>1.1.1 Develop an Environmental and Social Management System (ESMS)</p> <ul style="list-style-type: none"> <li>- Assess Environmental and social policy</li> <li>- Identification of environmental and social risks and impacts</li> <li>- Environmental and social impact management program</li> <li>- Organizational capacity and skills (roles and responsibilities of staff implementing the ESMS)</li> </ul> <p>1.1.2 Implementatio n of the ESMS</p> <ul style="list-style-type: none"> <li>- Internal communicatio</li> </ul>	<i>31/10/2023</i>	24 000

Component	Proposed support activities to address Gap/Challenge	Expected Output of the Activities	Tentative completion date	Requested budget for component (USD)
		<ul style="list-style-type: none"> <li>n and training</li> <li>- Emergency preparedness and response</li> <li>- Stakeholder engagement</li> <li>- External communication and grievance mechanism</li> <li>- Continuous disclosure of information</li> </ul>		
	1.2 Technical assistance to develop a gender policy and gender mainstreaming manual	1.2.1 Gender policy <ul style="list-style-type: none"> <li>- A gap analysis report with an action plan</li> <li>- a guide on gender analysis approaches and tools</li> <li>- A report on the establishment of an operational system for monitoring and evaluating the integration of</li> </ul>	31/10/2023	15 000

Component	Proposed support activities to address Gap/Challenge	Expected Output of the Activities	Tentative completion date	Requested budget for component (USD)
		gender mainstreaming in projects/programs - Grievance and redress mechanism - Training reports		
	1.3 Technical assistance to develop a project cycle management guide (integrating procedures for project identification, appraisal, quality at entry review, risks identification and mitigation development, implementation, closure and evaluation)	1.3.1 Project cycle management guide	31/10/2023	15000
	1.4 Technical assistance for developing an M&E guide	1.4.1 M&E guide - M&E manual - Nomination of M&E officer - Training on M&E and independent	31/10/2023	15 000

Component	Proposed support activities to address Gap/Challenge	Expected Output of the Activities	Tentative completion date	Requested budget for component (USD)
		evaluation		
2. Project management software	2.1 Project management software	<p>2.1.1 Tom2 pro software license in single project, single site and network on 10 stations</p> <ul style="list-style-type: none"> <li>- Tom2 pro software license 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</li> <li>- TOM2 monitoring and evaluation</li> </ul>	31/10/2023	15 000



Component	Proposed support activities to address Gap/Challenge	Expected Output of the Activities	Tentative completion date	Requested budget for component (USD)
		<p>software license</p> <ul style="list-style-type: none"> <li>- Right to use the software on 10 stations</li> <li>- TOM2</li> </ul> <p>Marche software license to manage the Procurement plan contracts</p> <ul style="list-style-type: none"> <li>- TOM2</li> </ul> <p>Payroll software license to manage the payroll and the resources</p> <ul style="list-style-type: none"> <li>- TOM2</li> </ul> <p>financial statement software license for the production of financial statement according to the IFRS standard</p> <p>2.1.2 Installation, parameter setting and training of the personnel on the software</p>		
3. Workshops and Meetings	Validation workshops (to validate all new policies and procedures	Workshop reports	31/12/2023	9 000

Component	Proposed support activities to address Gap/Challenge	Expected Output of the Activities	Tentative completion date	Requested budget for component (USD)
	developed)			
	Board meeting (for validating the new procedures)	Meeting minutes	31/01/2023	7 500
4. CSE's technical Assistance	CSE's support throughout the Readiness program and post submission of a complete application for accreditation	CSE support - Monitoring - review - reports - support post submission for accreditation	31/03/2023	33 390
Implementing entity fee				11,110
<b>Total Grant Requested (USD)*</b>				145 000

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

#### **D. Justification of project activities**

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

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)	Development and implementation of an Environmental and Social Management System (ESMS)	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
Lack of gender policy and gender mainstreaming manual	Development of a gender policy and gender mainstreaming manual	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/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 a 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 identification and mitigation development, implementation, closure and evaluation)	Appraisal report; concept note or full proposal report; Quality and Entry report	One year after policy approval
Lack of M&E Guide	Development of an M&E guide and framework	M&E manual; Nomination of M&E officer; Training on M&E and independent evaluation;	M&E reports ; Project's activities reports	One year after approval

**E. Implementing Entity**

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

<b>Head of Implementing Entity</b>	<b>Signature</b>	<b>Date (Month, day, year)</b>	<b>Implementing Entity Contact Person</b>	<b>Telephone</b>	<b>Email Address</b>
Pr. Cheikh MBOW		August 3rd, 2022	Aissata Boubou Sall SYLLA	+221776851590	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, National Coordinator-National Designated Authority, Ministry of Green Economy and Environment	Date: February 9th, 2022
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Proposed support activities to address Gaps/Challenges	Expected Output of the Activities	Country/Institution to be Supported	Number of units/ or days	Unit costs (USD)	Requested budget (USD)	Note of Budget
1.1. The development and implementation of its Environmental and Social Management System (ESMS)	<p>1.1.1 Develop an Environmental and Social Management System (ESMS)</p> <ul style="list-style-type: none"> <li>- Assess Environmental and social policy</li> <li>- Identification of environmental and social risks and impacts</li> <li>- Environmental and social impact management program</li> <li>- Organizational capacity and skills (roles and responsibilities of staff implementing the ESMS)</li> </ul> <p>1.1.2 Implementation of the ESMS</p> <ul style="list-style-type: none"> <li>- Internal communication and training</li> <li>- Emergency preparedness and response</li> <li>- Stakeholder engagement</li> <li>- External communication and grievance mechanism</li> <li>- Continuous</li> </ul>	ZICB/ Zambia	40	500	20,000	40 days*500\$ per day for the consultant or firm in charge of ESMS including travel cost

	disclosure of information to					
	Travel cost		5	400	4,000	5 days*400\$ per day for travel cost for the consultant in charge of ESMS and a CSE officer
1.2. Development of a gender policy and gender mainstreaming manual	<p>1.2.1 Gender policy</p> <ul style="list-style-type: none"> <li>- A gap analysis report with an action plan</li> <li>- a guide on gender analysis approaches and tools</li> <li>- A report on the establishment of an operational system for monitoring and evaluating the integration of gender mainstreaming in projects/programs</li> <li>- Grievance and redress mechanism</li> <li>- Training reports</li> </ul>	ZICB/ Zambia	30	500	15000	30 days*500\$ per day for the consultant or firm in charge of Gender policy and mainstreaming manual

1.3 Development of a project cycle management guide (integrating procedures for project identification, appraisal, quality at entry review, risks identification and mitigation development, implementation, closure and evaluation)	1.3.1 Project cycle management guide	ZICB/ Zambia	30	500	15000	30 days*500\$ per day for the consultant or firm in charge of development of project cycle management guide
1.4 Development of an M&E guide	1.4.1 M&E guide and framework - M&E manual - Nomination of M&E officer - Training on M&E and independent evaluation	ZICB/ Zambia	30	500	15000	30 days*500\$ per day for the consultant or firm in charge of development of project cycle management guide
2.1 Functional accounting, financial and project management software	2.1.1 Tom2 pro software license in single project, single site and network on 10 stations - Tom2 pro software license 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,	ZICB/ Zambia	Lumpsum	15000	15,000	This amount will be used to purchase the software Tompro 2 to monitor and produce financial statement for each project implemented by the Bank

	<p>disbursements</p> <ul style="list-style-type: none"> <li>- TOM2 monitoring and evaluation software license</li> <li>- Right to use the software on 10 stations</li> <li>- TOM2 Marche software license to manage the Procurement plan contracts</li> <li>- TOM2 Payroll software license to manage the payroll and the resources</li> <li>- TOM2 financial statement software license for the production of financial statement according to the IFRS standard</li> </ul> <p>2.1.2 Installation, parameter setting and training of the personnel on the software</p>					
Board meeting (for validating the new procedures)	Meeting minutes	ZICB/ Zambia	1	7500	7,500	<p>Number of participants: 30</p> <p>Attendance fees: 200\$ for each participants</p> <p>Restauraton and catering: 50\$ per participants ( coffee break and Lunch)</p>
Validation workshops (for validating all new	Workshops reports	ZICB/ Zambia	2	2500	5,000	2 validate workshop for developping



policies and procedures developed)						including travel cost
CSE's support throughout the Readiness program and post submission of a complete application for accreditation	CSE support - Monitoring - review - reports - support post submission for accreditation	CSE	5	400	4,000	Travel cost for 2 CSE officers  CSE staff time in collect, analysis, review, technical assistance and submission and post submission
CSE's management Fees		CSE	< 8,5 percent of total budget		11,110	Management fees for administratives cost, procurement costs, bank fees and transfers fees
<b>TOTAL</b>					<b>145,000</b>	-

Component	Proposed support activities to address Gap/Challenge	Expected Output of the Activities	Tentative completion date	Requested budget for component (USD)
1. Developing policies and manuals	1.1 Development and implementation of an Environmental and Social Management System (ESMS)	1.1.1 Develop an Environmental and Social Management System (ESMS) <ul style="list-style-type: none"> <li>- Assess Environmental and social policy</li> <li>- Identification of environmental and social risks and impacts</li> <li>- Environmental and social impact management program</li> <li>- Organizational capacity and skills (roles and responsibilities of staff implementing the ESMS)</li> </ul> 1.1.2 Implementation of the ESMS <ul style="list-style-type: none"> <li>- Internal communication and training</li> <li>- Emergency preparedness and response</li> <li>- Stakeholder engagement</li> <li>- External communication and grievance mechanism</li> <li>- Continuous disclosure of information to</li> </ul>	30/12/2022	24,000
	1.2 Development of a gender policy and gender mainstreaming manual	1.2.1 Gender policy <ul style="list-style-type: none"> <li>- A gap analysis report with an action plan</li> <li>- a guide on gender analysis approaches and tools</li> <li>- A report on the establishment of an operational system for monitoring and evaluating the integration of gender mainstreaming in projects/programs</li> <li>- Grievance and redress mechanism</li> <li>- Training reports</li> </ul>	30/12/2022	15,000

	<p>1.3 Development of 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>	<p>1.3.1 Project cycle management guide</p>	<p>30/12/2022</p>	<p>15000</p>
	<p>1.4 Development of an M&amp;E guide</p>	<p>1.4.1 M&amp;E guide - M&amp;E manual - Nomination of M&amp;E officer - Training on M&amp;E and independent evaluation</p>	<p>30/12/2022</p>	<p>15,000</p>

2. Accounting and financial Software	2.1 Functional accounting, financial and project management software	<p>2.1.1 Tom2 pro software license in single project, single site and network on 10 stations</p> <ul style="list-style-type: none"> <li>- Tom2 pro software license 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</li> <li>- TOM2 monitoring and evaluation software license</li> <li>- Right to use the software on 10 stations</li> <li>- TOM2 Marche software license to manage the Procurement plan contracts</li> <li>- TOM2 Payroll software license to manage the payroll and the resources</li> <li>- TOM2 financial statement software license for the production of financial statement according to the IFRS standard</li> </ul> <p>2.1.2 Installation, parameter setting and training of the personnel on the software</p>	30/09/2022	15,000
3. Workshops and Meetings	Validation workshops (to validate all new policies and procedures developed)	Workshop reports	31/01/2023	9,000
	Board meeting (for validating the new procedures)	Meeting minutes	28/02/2023	7,500

<p>4. CSE's technical Assistance</p>	<p>CSE's support throughout the Readiness program and post submission of a complete application for accreditation</p>	<p>CSE support                      - Monitoring                      - review                      - reports                      - support post submission for accreditation</p>	<p>31/03/2023</p>	<p>33,390</p>
<p>Implementing entity fee</p>				<p>11,110</p>
<p><b>Total Grant Requested (USD)*</b></p>				<p>145,000</p>

Telephone: 0211-252325  
0211-252394  
0211-252391



In reply please quote:  
No NDA/71/21/9  
P.O Box: 30147  
Lusaka - ZAMBIA

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

03<sup>rd</sup> 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

Telephone: 0211-252325  
0211-252394  
0211-252391



Republic of Zambia

In reply please quote:  
No NDA/71/21/9  
P.O Box: 30147  
Lusaka - ZAMBIA

## MINISTRY OF NATIONAL DEVELOPMENT PLANNING

9th February, 2021

The Program Manager  
Adaptation Fund Secretariat  
1818 H Street NW  
Washington DC 20433  
**UNITED STATES OF AMERICA**

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**SUBJECT: EXPRESSION OF NOMINATION FOR THE APPLICATION FOR  
ACCREDITATION TO THE ADAPTATION FUND**

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Following the guidance by the Adaptation Fund secretariat, in my capacity as representative of the National Designated Authority and National Focal Point for Zambia, duly designated pursuant to the letter from Ministry of National Development Planning of the Government of the Republic of Zambia to the Fund dated, 22<sup>nd</sup> May, 2019, I hereby submit the nomination of the entity below for accreditation by the Adaptation Fund:

[Legal Name]	:	<b>Zambia Industrial Commercial Bank</b>
[Contact Person]	:	Chibotu Chiyasa
[Contact details]	:	+260 97 7326167/+260 211 428 722
[Address]	:	Central Park, Cnr Church & Cairo Roads P.O Box 30228 <b><u>Lusaka, Zambia</u></b>
[Email address]	:	chibotu.chiyasa@zicb.co.za

**Zambia Industrial Commercial Bank (ZICB)**'s mandate is to support the commercialisation and industrialisation of Zambian businesses. With this mandate, ZICB is an important vehicle that will contribute in the promotion and support of local businesses that have projects or business activities that support climate change adaptation or are directly involved in climate change programmes. It is anticipated that ZICB will contribute to the financing process leading to the realisation of inclusive and sustainable Climate Change projects.

Yours sincerely

Francis Mpampi  
National Coordinator – National Designated Authority  
**MINISTRY OF NATIONAL DEVELOPMENT PLANNING**

**NDA/71/21/9**

9th February, 2021

The Program Manager  
Adaptation Fund Secretariat  
1818 H Street NW  
Washington DC 20433  
**UNITED STATES OF AMERICA**

**SUBJECT: EXPRESSION OF NOMINATION FOR THE APPLICATION FOR  
ACCREDITATION TO THE ADAPTATION FUND**

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Yours sincerely

Francis Mpampi  
National Coordinator – National Designated Authority  
**MINISTRY OF NATIONAL DEVELOPMENT PLANNING**





ADAPTATION FUND

THE OPEN LEARNING CAMPUS

# CERTIFICATE

Awarded to

*Billy Katontoka*

*for having successfully completed the course*

*"Direct Access: Unlocking Adaptation Funding (Self-Paced)"*

*1 April*



**WORLD BANK GROUP**

00055198

A stylized blue ink signature of Mikko Ollikainen.

MIKKO OLLIKAINEN  
MANAGER OF ADAPTATION FUND





ADAPTATION FUND

THE OPEN LEARNING CAMPUS

# CERTIFICATE

Awarded to

*Brenda Lusuko Simainga*

*for having successfully completed the course*

*"Direct Access: Unlocking Adaptation Funding (Self-Paced)"*

*18 June*



**WORLD BANK GROUP**

00055198

A stylized blue ink signature of Mikko Ollikainen.

MIKKO OLLIKAINEN  
MANAGER OF ADAPTATION FUND

