

**Micro Assessment Report for
*Hainan Agriculture Department***

June 2018



瑞华会计师事务所
RUIHUA CERTIFIED PUBLIC ACCOUNTANTS

Micro Assessment of Hainan Agriculture Department
Commissioned by United Nations Development Programme
Ruihua Certified Public Accountants
30 June 2018

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Micro Assessment for Hainan Agriculture Department

1. Background, Scope and Methodology

Background

The micro assessment is part of the requirements under the Harmonized Approach to Cash Transfers (HACT) Framework. The HACT framework represents a common operational framework for UN agencies' transfer of cash to government and non-governmental implementing partners.

The micro-assessment assesses the IP's control framework. It results in a risk rating (low, moderate, significant or high). The overall risk rating is used by the UN agencies, along with other available information (e.g. history of engagement with the agency and previous assurance results), to determine the type and frequency of assurance activities as per each agency's guideline and can be taken into consideration when selecting the appropriate cash transfer modality for an IP.

Scope

The micro-assessment provides an overall assessment of the Implementing Partner's programme, financial and operations management policies, procedures, systems and internal controls. It includes:

- A review of the IP legal status, governance structures and financial viability; programme management, organizational structure and staffing, accounting policies and procedures, fixed assets and inventory, financial reporting and monitoring, and procurement;
- A focus on compliance with policies, procedures, regulations and institutional arrangements that are issued both by the Government and the Implementing Partner.

It takes into account results of any previous micro assessments conducted of the Implementing Partner.

Methodology

We performed the micro-assessment on 4 to 19 June 2018 at the Hainan Agriculture Department. Through discussion with management, observation and walk-through tests of transactions, we have assessed the Implementing Partner's and the related internal control system with emphasis on:

- The effectiveness of the systems in providing the Implementing Partner's management with accurate and timely information for management of funds and assets in accordance with work plans and agreements with the United Nations agencies;
- The general effectiveness of the internal control system in protecting the assets and resources of the Implementing Partner.

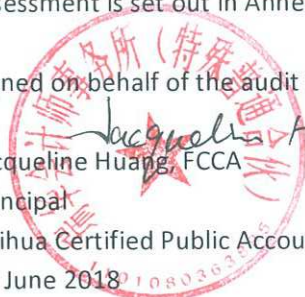
We discussed the results of the micro assessment with applicable UN agency personnel and the IP prior to finalization of the report. The list of persons met and interviewed during the micro-assessment is set out in Annex III.

Signed on behalf of the audit firm


Jacqueline Huang, FCCA
Principal

Ruihua Certified Public Accountants

30 June 2018



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2. Summary of Risk Assessment Results

Base on the micro assessment result, the overall risk rating for Hainan Agriculture Department is low risk.

The table below summarizes the results and main internal control gaps found during application of the micro-assessment questionnaire (in Annex IV). Detailed findings and recommendations are set out in section 3. below.

Tested subject area	Risk assessment*	Brief justification for rating (main internal control gaps)
1. Implementing partner	Low	The IP is a legally registered government ministry which receives annual financial allocation and regular supervisions from the Provincial Ministry of Finance. No significant issues have been reported in the receipt and management of funds in the past. Therefore, we consider the risk level for this section is Low.
2. Programme Management	Low	We reviewed some of the project planning and monitoring documents, and confirmed that the IP is strictly following the internal/donor's project management policies. Therefore, we consider the risk level for this section is low.
3. Organizational structure and staffing	Low	As a government ministry, the IP follows the national civil servant recruiting and training policies. The annual civil servant examination guaranteed the transparency of recruitment and make sure qualified staffs are selected. Therefore, we consider the personnel of the IP have sufficient capability to manage the fund/programme, and the risk level for this section shall be considered as low.
4. Accounting policies and procedures	Low	The IP sets up different account codes for different programmes. Its accounting system is formally regulated and duties are segregated. Cash expenditure is not allowed by the IP. The IP performs internal audits each year and acts on the internal auditor's recommendations. Therefore, we consider the risk level for this section is low.
5. Fixed Assets and Inventory	Low	The IP follows the Measures for the Administration of Government Fixed Assets, and has regular physical verifications. Through reviewing the measures, we consider the risk for this section is low. The main issue identified is that its fixed assets are not adequately covered by insurance policies.
6. Financial Reporting and	Low	The IP uses the governmental computerized financial management system, which is sufficiently safeguarded and

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Tested subject area	Risk assessment*	Brief justification for rating (main internal control gaps)
Monitoring		easy to generate reports. It is audited annually by the independent auditors. Through the conversation, we understand that there have been no major issues reported by external auditors. Therefore, we consider the risk for this section is low.
7. Procurement	Low	We inquired and understood the procurement procedures and systems of the IP, and consider the procedures are transparent and fair. There have been no major issues or post-facto actions on contracts for the IP in the past. Therefore, we consider the risk for this section is low.
Overall Risk Assessment	Low	As a government ministry, the IP follows strictly to the internal control procedures and the government policies. The IP receives close and regular supervisions from Hainan Provincial Audit Department, Hainan Provincial Ministry of Finance, National Audit Office and external independent auditors. Therefore we consider the overall risk for the IP is low.

*High, Significant, Moderate, Low

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3. Detailed Internal Control Findings and Recommendations

No.	Description of Finding	Recommendation
1.	Lack of fixed asset insurance policy We noted that the IP's fixed assets are not adequately covered by insurance policies, except for cars.	It is recommended that adequate insurance policies should be applied for the fixed assets.

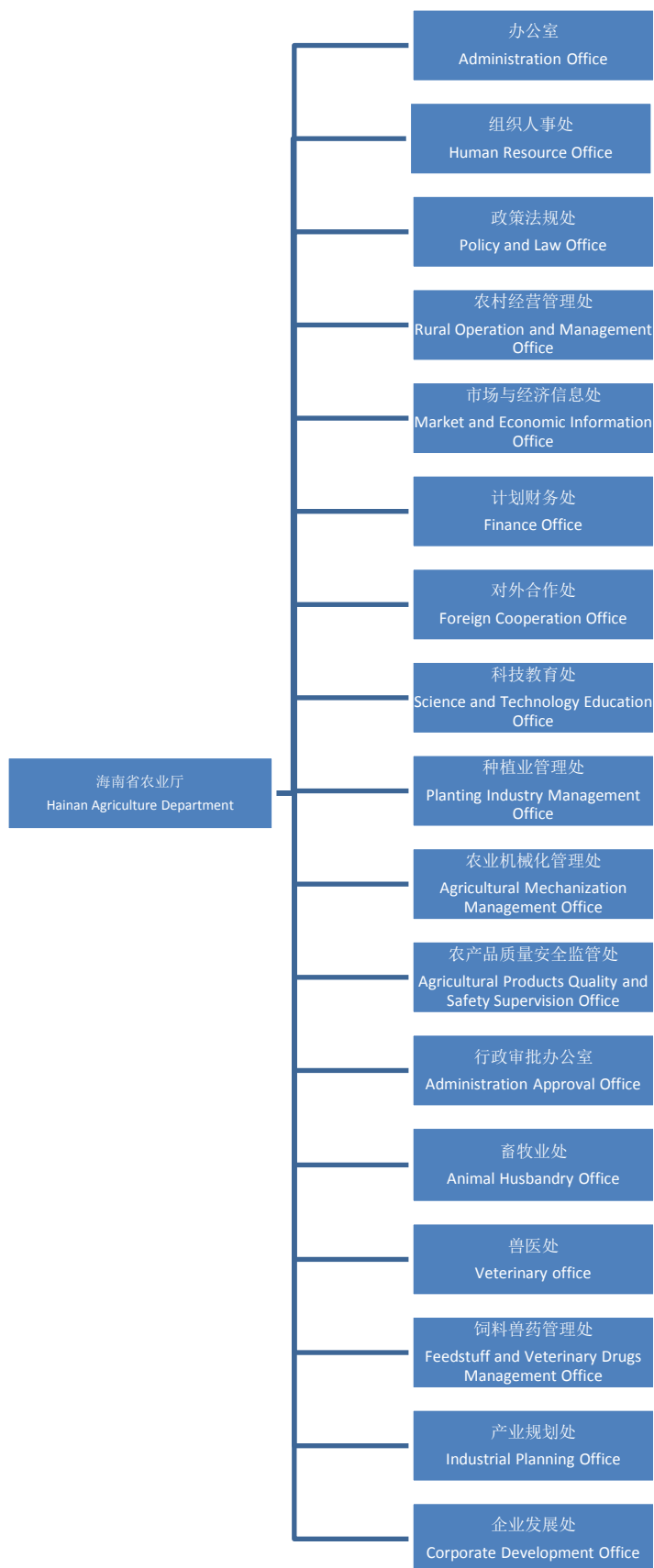
Micro Assessment for *Hainan Agriculture Department*

Annex I. IP and Programme Information

Implementing partner name:	Hainan Agriculture Department
Implementing partner code or ID in UNICEF, UNDP, UNFPA records (as applicable)	00894
Implementing partner contact details (contact name, email address and telephone number):	Guo Tao 18876186193@126.com 18876186193
Main programmes implemented with the applicable UN Agency/ies:	Participatory in-situ Conservation and Sustainable Use of Agrobiodiversity in Hainan
Key Official in charge of the UN Agency/ies' programme(s):	Devanand Ramiah, Deputy Country Director
Programme location(s):	Baisha, Qiongzong, Qionghai
Location of records related to the UN Agency/ies' programme(s):	Baisha, Qiongzong, Qionghai
Currency of records maintained:	CNY
Expenditures incurred/reported to UNICEF, UNDP and UNFPA (as applicable) during the most recent financial reporting period (in US\$);	US\$ 0.00
Cash transfer modality/ies used by the UN agency/ies to the IP	Direct Cash Transfer
Intended start date of micro assessment:	5 June 2018
Number of days to be spent for visit to IP:	1.5 day
Any special requests to be considered during the micro assessment:	No

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Annex II. Implementing Partner Organizational Chart



Micro Assessment for *Hainan Agriculture Department*

Annex III. List of Persons Met

Name	Unit/organization	Position
Guo Tao	GEF Project Office of Hainan Agriculture Department / The Station of Eco-agriculture and Resources Protection of Hainan Province	Deputy Director / Senior Agronomist
Yang Kun	Finance Office of Hainan Agriculture Department	Finance Specialist

Micro-assessment workbook																					
Subject area <i>(key questions in bold)</i>	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments															
1. Implementing Partner																					
1.1 Is the IP legally registered? If so, is it in compliance with registration requirements? Please note the legal status and date of registration of the entity.	Yes			Low	1	Government ministry. According to Mr. Guo Tao, the IP was registered in 1988.															
1.2 If the IP received United Nations resources in the past, were significant issues reported in managing the resources, including from previous assurance activities.		No		Low	1																
1.3 Does the IP have statutory reporting requirements? If so, are they in compliance with such requirements in the prior three fiscal years?	Yes			Low	1																
1.4 Does the governing body meet on a regular basis and perform oversight functions?	Yes			Low	1																
1.5 If any other offices/ external entities participate in implementation, does the IP have policies and process to ensure appropriate oversight and monitoring of implementation?	Yes			Low	1																
1.6 Does the IP show basic financial stability in-country (core resources; funding trend) Provide the amount of total assets, total liabilities, income and expenditure for the current and prior three fiscal years.	Yes			Low	1	<table border="1"> <tr> <td>Year</td> <td>Income</td> <td>Expenditure</td> </tr> <tr> <td>2017</td> <td>not available</td> <td>not available</td> </tr> <tr> <td>2016</td> <td>¥ 331m</td> <td>¥ 292m</td> </tr> <tr> <td>2015</td> <td>¥ 326m</td> <td>¥ 320m</td> </tr> <tr> <td colspan="3">Total assets and liabilities are not available.</td> </tr> </table>	Year	Income	Expenditure	2017	not available	not available	2016	¥ 331m	¥ 292m	2015	¥ 326m	¥ 320m	Total assets and liabilities are not available.		
Year	Income	Expenditure																			
2017	not available	not available																			
2016	¥ 331m	¥ 292m																			
2015	¥ 326m	¥ 320m																			
Total assets and liabilities are not available.																					
1.7 Can the IP easily receive funds? Have there been any major problems in the past in the receipt of funds, particularly where the funds flow from government ministries?	Yes			Low	1	No major problems in the past in the receipt of funds.															
1.8 Does the IP have any pending legal actions against it or outstanding material/significant disputes with vendors/contractors? If so, provide details and actions taken by the IP to resolve the legal action.		No		Low	1																
1.9 Does the IP have an anti-fraud and corruption policy?	Yes			Low	1																
1.10 Has the IP advised employees, beneficiaries and other recipients to whom they should report if they suspect fraud, waste or misuse of agency resources or property? If so, does the IP have a policy against retaliation relating to such reporting?	Yes			Low	1																
1.11 Does the IP have any key financial or operational risks that are not covered by this questionnaire? If so, please describe. Examples: foreign exchange risk; cash receipts.		No		Low	1																
Total number of questions in subject area:	11																				
Total number of applicable questions in subject area:	11																				
Total number of applicable key questions in subject area:	5																				
Total number of risk points:	11																				
Risk score	1																				
Area risk rating	Low																				

Subject area <i>(key questions in bold)</i>	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
2. Programme Management						
2.1. Does the IP have and use sufficiently detailed written policies, procedures and other tools (e.g. project development checklist, work planning templates, work planning schedule) to develop programmes and plans?	Yes			Low	1	
2.2. Do work plans specify expected results and the activities to be carried out to achieve results, with a time frame and budget for the activities?	Yes			Low	1	
2.3 Does the IP identify the potential risks for programme delivery and mechanisms to mitigate them?	Yes			Low	1	
2.4 Does the IP have and use sufficiently detailed policies, procedures, guidelines and other tools (checklists, templates) for monitoring and evaluation?	Yes			Low	1	
2.5 Does the IP have M&E frameworks for its programmes, with indicators, baselines, and targets to monitor achievement of programme results? <input type="checkbox"/>	Yes			Low	1	
2.6 Does the IP carry out and document regular monitoring activities such as review meetings, on-site project visits, etc.	Yes			Low	1	
2.7 Does the IP systematically collect, monitor and evaluate data on the achievement of project results?	Yes			Low	1	
2.8 Is it evident that the IP followed up on independent evaluation recommendations? <input type="checkbox"/>	Yes			Low	1	
Total number of questions in subject area:	8					
Total number of applicable questions in subject area:	8					
Total number of applicable key questions in subject area:	2					
Total number of risk points:	8					
Risk score	1					
Area risk rating	Low					

Subject area <i>(key questions in bold)</i>	Yes	No	N/A	Risk Assessmen	Risk points	Remarks/comments
3. Organizational Structure and Staffing						
3.1 Are the IP's recruitment, employment and personnel practices clearly defined and followed, and do they embrace transparency and competition?	Yes			Low	1	Standardized by Ministry of Finance.
3.2 Does the IP have clearly defined job descriptions?	Yes			Low	1	
3.3 Is the organizational structure of the finance and programme management departments, and competency of staff, appropriate for the complexity of the IP and the scale of activities? Identify the key staff, including job titles, responsibilities, educational backgrounds and professional experience.	Yes			Low	1	Please refer to attachment IV-1.
3.4 Is the IP's accounting/finance function staffed adequately to ensure sufficient controls are in place to manage agency funds?	Yes			Low	1	
3.5 Does the IP have training policies for accounting/finance/ programme management staff? Are necessary training activities undertaken?	Yes			Low	1	Hainan Provincial Ministry of Finance and the IP organize all kinds of training activities on finance and programme management each year.
3.6 Does the IP perform background verification/checks on all new accounting/finance and management positions?	Yes			Low	1	
3.7 Has there been significant turnover in key finance positions the past five years? If so, has the rate improved or worsened and appears to be a problem?		No		Low	1	
3.8 Does the IP have a documented internal control framework? Is this framework distributed and made available to staff and updated periodically? If so, please describe.	Yes			Low	1	IP has a full set of internal control document, the updated internal control document will be shared via intranet.
Total number of questions in subject area:	8					
Total number of applicable questions in subject area:	8					
Total number of applicable key questions in subject area:	3					
Total number of risk points:	8					
Risk score	1					
Area risk rating	Low					

Annex IV. Micro Assessment Questionnaire

Subject area <i>(key questions in bold)</i>	Yes	No	N/A	Risk Assessmen	Risk points	Remarks/comments
4. Accounting Policies and Procedures						
4a. General						
4.1 Does the IP have an accounting system that allows for proper recording of financial transactions from United Nations agencies, including allocation of expenditures in accordance with the respective components, disbursement categories and sources of funds?	Yes			Low	1	
4.2 Does the IP have an appropriate cost allocation methodology that ensures accurate cost allocations to the various funding sources in accordance with established agreements?	Yes			Low	1	
4.3 Are all accounting and supporting documents retained in an organized system that allows authorized users easy access?	Yes			Low	1	
4.4 Are the general ledger and subsidiary ledgers reconciled at least monthly? Are explanations provided for significant reconciling items?	Yes			Low	1	
4b. Segregation of duties						
4.5 Are the following functional responsibilities performed by different units or individuals: (a) authorization to execute a transaction; (b) recording of the transaction; and (c) custody of assets involved in the transaction?	Yes			Low	1	
4.6 Are the functions of ordering, receiving, accounting for and paying for goods and services appropriately segregated?	Yes			Low	1	
4.7 Are bank reconciliations prepared by individuals other than those who make or approve payments?	Yes			Low	1	
4c. Budgeting system						
4.8 Are budgets prepared for all activities in sufficient detail to provide a meaningful tool for monitoring subsequent performance?	Yes			Low	1	
4.9 Are actual expenditures compared to the budget with reasonable frequency? Are explanations required for significant variations from the budget?	Yes			Low	1	
4.10 Is prior approval sought for budget amendments in a timely way?	Yes			Low	1	
4.11 Are IP budgets approved formally at an appropriate level?	Yes			Low	1	
4d. Payments						
4.12 Do invoice processing procedures provide for: <ul style="list-style-type: none"> • Copies of purchase orders and receiving reports to be obtained directly from issuing departments? • Comparison of invoice quantities, prices and terms with those indicated on the purchase order and with records of goods/services actually received? • Checking the accuracy of calculations? 	Yes			Low	1	

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Annex IV. Micro Assessment Questionnaire

4.13 Are payments authorized at an appropriate level? Does the IP have a table of payment approval thresholds?	Yes			Low	1	
4.14 Are all invoices stamped 'PAID', approved, and marked with the project code and account code?	Yes			Low	1	
4.15 Do controls exist for preparation and approval of payroll expenditures? Are payroll changes properly authorized?	Yes			Low	1	
4.16 Do controls exist to ensure that direct staff salary costs reflects the actual amount of staff time spent on a project?	Yes			Low	1	
4.17 Do controls exist for expense categories that do not originate from invoice payments, such as DSAs, travel, and internal cost allocations?	Yes			Low	1	
4e. Policies and procedures						
4.18 Does the IP have a stated basis of accounting (i.e. cash or accrual) and does it allow for compliance with the agency's requirement?	Yes			Low	1	
4.19 Does the IP have an adequate policies and procedures manual and is it distributed to relevant staff?	Yes			Low	1	
4f. Cash and bank						
4.20 Does the IP require dual signatories / authorization for bank transactions? Are new signatories approved at an appropriate level and timely updates made when signatories depart?	Yes			Low	1	
4.21 Does the IP maintain an adequate, up-to-date cashbook, recording receipts and payments?			N/A	N/A	-	No Cash.
4.22 If the partner is participating in micro-finance advances, do controls exist for the collection, timely deposit and recording of receipts at each collection location?			N/A	N/A	-	No micro-finance advances.
4.23 Are bank balances and cash ledger reconciled monthly and properly approved? Are explanations provided for significant, unusual and aged reconciling items?	Yes			Low	1	
4.24 Is substantial expenditure paid in cash? If so, does the IP have adequate controls over cash payments?			N/A	N/A	-	No cash payments.

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4.25 Does the IP carry out a regular petty cash reconciliation?			N/A	N/A	-	No cash payments.
4.26 Are cash and cheques maintained in a secure location with restricted access? Are bank accounts protected with appropriate remote access controls?	Yes			Low	1	No cash and cheque payments.
4.27 Are there adequate controls over submission of electronic payment files that ensure no unauthorized amendments once payments are approved and files are transmitted over secure/encrypted networks?	Yes			Low	1	
4g. Other offices or entities						
4.28 Does the IP have a process to ensure expenditures of subsidiary offices/ external entities are in compliance with the work plan and/or contractual agreement?	Yes			Low	1	
4h. Internal audit						
4.29 Is the internal auditor sufficiently independent to make critical assessments? To whom does the internal auditor report?	Yes			Low	1	Supervision and inspection of daily work: the responsibility of Party Committee of Hainan Agriculture Department and Provincial dispatched Discipline Inspection Commission, with achievements reported to the Head of Hainan Agriculture Department. Projects audit: Outsourced to external independent auditors, with assistance from Finance Office of Hainan Agriculture Department.
4.30 Does the IP have stated qualifications and experience requirements for internal audit department staff?	Yes			Low	1	
4.31 Are the activities financed by the agencies included in the internal audit department's work programme?	Yes			Low	1	
4.32 Does the IP act on the internal auditor's recommendations?	Yes			Low	1	
Total number of questions in subject area:	32					
Total number of applicable questions in subject area:	28					
Total number of applicable key questions in subject area:	17					
Total number of risk points:	28					
Risk score	1					
Area risk rating	Low					

Subject area <i>(key questions in bold)</i>	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
5. Fixed Assets and Inventory						
5a. Safeguards over assets						
5.1 Is there a system of adequate safeguards to protect assets from fraud, waste and abuse?	Yes			Low	1	
5.2 Are subsidiary records of fixed assets and inventory kept up to date and reconciled with control accounts?	Yes			Low	1	No inventory.
5.3 Are there periodic physical verification and/or count of fixed assets and inventory? If so, please describe?	Yes			Low	1	Annual physical verification is taken.
5.4 Are fixed assets and inventory adequately covered by insurance policies?		No		Low	1	Fixed Assets are not adequately insured except for cars.
5b. Warehousing and inventory management						
5.5 Do warehouse facilities have adequate physical security?			N/A	N/A	-	No warehouse facilities.
5.6 Is inventory stored so that it is identifiable, protected from damage, and countable?			N/A	N/A	-	No inventory.
5.7 Does the IP have an inventory management system that enables monitoring of supply distribution?			N/A	N/A	-	No inventory.
5.8 Is responsibility for receiving and issuing inventory segregated from that for updating the inventory records?			N/A	N/A	-	No inventory.
5.9 Are regular physical counts of inventory carried out?			N/A	N/A	-	No inventory.
Total number of questions in subject area:	9					
Total number of applicable questions in subject area:	4					
Total number of applicable key questions in subject area:	0					
Total number of risk points:	4					
Risk score	1					
Area risk rating	Low					

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Annex IV. Micro Assessment Questionnaire

Subject area <i>(key questions in bold)</i>	Yes	No	N/A	Risk Assessmen	Risk points	Remarks/comments
6. Financial Reporting and Monitoring						
6.1 Does the IP have established financial reporting procedures that specify what reports are to be prepared, the source system for key reports, the frequency of preparation, what they are to contain and how they are to be used?	Yes			Low	1	
6.2 Does the IP prepare overall financial statements?	Yes			Low	1	
6.3 Are the IP's overall financial statements audited regularly by an independent auditor in accordance with appropriate national or international auditing standards? If so, please describe the auditor.	Yes			Low	1	Independent auditors from Hainan Provincial Audit Department, Hainan Provincial Ministry of Finance, National Audit Office and external independent auditors.
6.4 Were there any major issues related to ineligible expenditure involving donor funds reported in the audit reports of the IP over the past three years?		No		Low	1	
6.5 Have any significant recommendations made by auditors in the prior five audit reports and/or management letters over the past five years and have not yet been implemented?		No		Low	1	No significant recommendations made by auditors.
6.6 Is the financial management system computerized?	Yes			Low	1	
6.7 Can the computerized financial management system produce the necessary financial reports?	Yes			Low	1	
6.8 Does the IP have appropriate safeguards to ensure the confidentiality, integrity and availability of the financial data? <i>E.g. password access controls; regular data back-up.</i>	Yes			Low	1	
Total number of questions in subject area:	8					
Total number of applicable questions in subject area:	8					
Total number of applicable key questions in subject area:	3					
Total number of risk points:	8					
Risk score	1					
Area risk rating	Low					

Subject area (key questions in bold)	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
7. Procurement and Contract Administration						
7a. Procurement						
7.1 Does the IP have written procurement policies and procedures?	Yes			Low	1	
7.2 Are exceptions to procurement procedures approved by management and documented ?			N/A	N/A	-	No exception.
7.3 Does the IP have a computerized procurement system with adequate access controls and segregation of duties between entering purchase orders, approval and receipting of goods? Provide a description of the procurement system.	Yes			Low	1	The procurement system is Hainan Government procurement system.
7.4 Are procurement reports generated and reviewed regularly? Describe reports generated, frequency and review & approvers.	Yes			Low	1	Annual procurement plan should be submitted early each year, all procurement should be undertaken according to the plan. For each procurement, it should be reviewed and approved by leader of Finance Office of IP and Hainan Provincial Ministry of Finance.
7.5 Does the IP have a structured procurement unit with defined reporting lines that foster efficiency and accountability?	Yes			Low	1	The responsibility of Finance Office.
7.6 Is the IP's procurement unit resourced with qualified staff who are trained and certified and considered experts in procurement and conversant with UN / World Bank / European Union procurement requirements in addition to the a IP's procurement rules and regulations?		No		Low	1	No expert that is familiar with UN / World Bank / European Union procurement requirements.
7.7 Have any significant recommendations related to procurement made by auditors in the prior five audit reports and/or management letters over the past five years and have not yet been implemented?		No		Low	1	No significant recommendations related to procurement made by auditors.
7.8 Does the IP require written or system authorizations for purchases? If so, evaluate if the authorization thresholds are appropriate?	Yes			Low	1	
7.9 Do the procurement procedures and templates of contracts integrate references to ethical procurement principles and exclusion and ineligibility criteria?	Yes			Low	1	
7.10 Does the IP obtain sufficient approvals before signing a contract?	Yes			Low	1	
7.11 Does the IP have and apply formal guidelines and procedures to assist in identifying, monitoring and dealing with potential conflicts of interest with potential suppliers/procurement agents? If so, how does the IP proceed in cases of conflict of interest?	Yes			Low	1	1) After the bidding information is posted, if the potential suppliers/procurement agents has any question/objection on the bidding information or the criteria, he can address inquiries to the tenderee or the Ministry of Finance .The tenderee should reply timely or amend the bidding information if necessary. 2) Bidding information and the winning bidder's information are all posted on the government procurement website.

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7.12 Does the IP follow a well-defined process for sourcing suppliers? Do formal procurement methods include wide broadcasting of procurement opportunities?	Yes			Low	1	
7.13 Does the IP keep track of past performance of suppliers? E.g. database of trusted suppliers.	Yes			Low	1	
7.14 Does the IP follow a well-defined process to ensure a secure and transparent bid and evaluation process? If so, describe the process.	Yes			Low	1	1) The tender announcement is posted on the government procurement website. 2) A bidder submits his firmly sealed bid documents to the tenderee before deadline for the tender Submission. The tenderee is not allowed to open the bidding documents before the bid opening time. 3) Experts are chosen randomly from the name lists of experts provided by the government procurement system. The name list of members of the bid assessment committee is kept secret and confidential before the bidding result is made. 4) After the evaluation of tender, the information of final winner need to be posted on the website for days.
7.15 When a formal invitation to bid has been issued, does the IP award the contract on a pre-defined basis set out in the solicitation documentation taking into account technical responsiveness and price?	Yes			Low	1	
7.16 If the IP is managing major contracts, does the IP have a policy on contracts management / administration?	Yes			Low	1	
7b. Contract Management - To be completed only for the IPs managing contracts as part of programme implementation. Otherwise select N/A for risk assessment						
7.17 Are there personnel specifically designated to manage contracts or monitor contract expirations?	Yes			Low	1	
7.18 Are there staff designated to monitor expiration of performance securities, warranties, liquidated damages and other risk management instruments?	Yes			Low	1	
7.19 Does the IP have a policy on post-facto actions on contracts?	Yes			Low	1	
7.20 How frequent do post-facto contract actions occur?	No			Low	1	Rare
Total number of questions in subject area:	20					
Total number of applicable questions in subject area:	19					
Total number of applicable key questions in subject area:	5					
Total number of risk points:	19					
Risk score	1					
Area risk rating	Low					

Totals	
Total number of questions:	96
Total number of applicable questions:	86
Total number of applicable key questions:	35
Total number of risk points:	86
Total risk score	1
Overall risk rating	Low

Annex IV-1 Questionnaire 3.3 Key Staff of the finance and programme management departments

Name	Position	Responsibility	Education	Experience
Guo Tao	Deputy Director of GEF Project Office at Hainan Agriculture Department / Senior Agronomist at The Station of Eco-agriculture and Resources Protection of Hainan Province	Responsible for GEF Project Management	PhD	2017.09-Present Senior Agronomist at The Station of Eco-agriculture and Resources Protection of Hainan Province
				2015.08-2017.09 Section Chief at Hainan Off-Season Multiplication Administration
				2011.10-2015.07 Agronomist at Hainan Agricultural Technology Extension Service Center
Yang Kun	Finance Specialist of the Finance Office at Hainan Agriculture Department	Responsible for Project Application, Project Funds Audit, Inspection & Supervision, Budget Preparation, participation in Agricultural Planning.	Master Degree	2015.01-Present Finance Specialist at Hainan Agriculture Department