

**APPLICATION FOR DIRECT ACCESS TO THE GEF TRUST FUND FOR PREPARATION
OF REPORTS TO CONVENTIONS IN THE BIODIVERSITY FOCAL AREA**

1. All recipient countries will have access to GEF resources, up to US\$500,000 to prepare national biodiversity and biosafety reports, revise national biodiversity strategies, and undertake Clearing-House Mechanism activities per their obligations as Parties to the Convention on Biological Diversity (CBD).
2. To request support for biodiversity enabling activities, countries will use the template below to submit a proposal that includes a detailed description of the activities that will be carried out as well as their expected cost.
3. To apply for the GEF resources, the recipient country would select a national agency to act as the *Executing agency* for the preparation of the reports in the biodiversity focal area which are obligations of the countries to the convention. The attached proposal template includes three parts: (1) the first part is the description of the activities eligible through Direct Access grant; (2) the second part is the financial management and procurement self-assessment questionnaire that applies to the selected Executing agency; (3) the third part is a basic procurement plan that the Executing agency can use to plan for contracting of consultants, providers or suppliers in order to implement the activities included in the first part of the template.
4. Principles of transparency and inclusiveness of national stakeholders, including civil society and community based organizations, will be encouraged in the exercises.
5. The GEF Operational Focal Point is responsible for submitting to GEF Secretariat (through GEF-DA-BD@thegef.org) the application prepared on the basis of template that follows. Instructions on how to fill in the template are provided in Annex 1. The **Output** is expected to be in a form of various reports, strategies and action plans submitted to CBD by the recipient country to fulfill its convention obligation. The country should submit the completed reports to CBD with a copy sent to the GEF Secretariat.
6. Submit the application in Word format and in English language. The submission of the application by the Operational Focal Point will be considered as an OPF endorsement for this activity.



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GEF GRANT TF No: _____

**APPLICATION FOR DIRECT ACCESS TO THE GEF TRUST FUND FOR PREPARATION
OF REPORTS TO CONVENTIONS IN THE BIODIVERSITY FOCAL AREA ¹**

Under the GEF Trust Fund

PART I: DESCRIPTION OF PROPOSED PROJECT²

Summary Project Information			
Country	ALBANIA		
Project Title	Revision of the National Biodiversity Strategy and Action Plan including the Fifth National Report to the Convention on Biological Diversity		
Executing Agency(ies)	Ministry of Environment, Forests and Water Administration		
Objectives	To assist countries in preparing their National Report for CBD and/or To assist countries in preparing the National Report for Biosafety and/or To assist countries in revising the National Biodiversity Strategy and Action Plan and/or to Undertake clearing house mechanism activities.		
Total Project Costs	260,000	GEF Grant Amount (\$)	200,000
Country Eligibility³ / Country Drivenness			
Date of Ratification of CBD:			
Name of OFP Endorsing this proposal:		Signature:	
Implementation Details			
Start Date	2012/01/01	Proposal Submission Date	2011.07.15

¹ Proposal preparation guidelines are provided in Annex 1.

² This project will identify and consult with the necessary stakeholders to carry out the work required to support the enabling activities(or preparation of the reports) supported through this grant. Please see Table 2 for further details taken from Conference of the Parties (COP) guidance.

³ The GEF requires that countries must have completed their third national report and/or NBSAP – if they received GEF funding for the same – before requesting funding under this project.
- Least Developed Countries (LDCs) and Small Island Developing States (SIDS) are encouraged to apply early.

Completion Date	31.12.2013	Project Duration (months)	24
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I. DESCRIPTION OF PROPOSED PROJECT:

Pursuant to the decisions COP dec X/10 and COP dec X/2, para 3 (c) of CBD Parties have to revise their National Biodiversity Strategy and Action Plans.

The country as party to the CBD has also to commit to the achievement of Aichi target s, namely the target 17, which states that by 2015 each party has to update the NBSAP and has commenced its implementation effectively.

The first Biodiversity Strategy and Action Plan (NBSAP) was drafted in Albania in 1999 and was approved by Decision of the Council of Ministers No. 532, dated 5.10.2000 'On the approval of the study "Strategy and Action Plan for Biodiversity"', published in the Official Journal No. 32, dated 23/10/2000. This is the main document on biodiversity for the country during the last decade.

The Strategy defines the main directions of preserving biodiversity and habitats, through their identification and proclamation as protected areas, and through protection of species in and outside the protected areas. According to the main objectives of the NBSAP the work has been carried out in area such as: (i) Protected Areas network establishment through the designation of new protected Areas as well as the enlargement of the existing ones; (ii) elaboration and implementation of PAs Management Plans; (iii) species action plans; (iv) enacting of new legislation in line with the EU directives on species and habitats protection, using the ecosystem approach;

One of the main legal acts related to the above-mentioned objectives is the law "On biodiversity Protection" no.9587, dated 20.7.2006, which includes provisions regarding the NBSAPs. According to its provision the NBSAP should be updated on a five yearly basis. Thus the updating of the existing NBSAP is a legal obligations as well.

Other arguments for the updated are related to the need for a new vision at the national context in light of the Nagoya post 2010 target for biodiversity and the road to EU 2020 biodiversity objectives. These two strategic goals need a clear strategy and road map to ensure their compliance at the national level. It also implies the inclusion of NATURA 2000 concepts and preparation for its implementation as a process of utmost importance for Albania in its EU integration process.

The inclusion of the Economics of Biodiversity services concept is also a must in the light of recent developments to ensure local communities benefit as much as possible from the biodiversity services in their areas.

The project will first take stock of the achievements of the last decade. This will be done by the collection of major results in the filed of biodiversity and the drafting of a inception report by the means of a desk study.

The second stage will involve field work for the collection of the missing data and gaps identified during the inception phase. This will be done by expert missions trips in areas of main interest identified. The statistical analysis of the data will be the following step.

The third stage will include the identification of priorities of biodiversity in Albania in line with the CBD 2020 target as well as EU post 2010 objectives. The priorities will after that grouped in main focus areas and measurable targets to be achieved will be proposed and formulated. Ways and means to achieve this targets and goals will be the next step.

The final stage will consist on the drafting of a detailed action plan including costs for each activity. The first draft will be consulted extensively with stakeholders, including the scientific community

related to the biodiversity of Albania and environmental NGOs. The draft will also be uploaded at the web page of the Ministry and the e-newsletter for comments and suggestions.

II. STATUS OF EARLIER ASSISTANCE RECEIVED UNDER ENABLING ACTIVITIES:

Please complete table below. If the country has received additional funding for undertaking capacity needs assessments in priority areas of the CBD, and/or for establishment and operationalization of the Clearing House Mechanism, please complete the second and, as applicable, the third part of the table.

1) National Reporting to CBD			
Reports	Date of Submission to CBD Secretariat	Current Status*	Comments
National Biodiversity Strategy and Action Plan	30.11.1999	1	
Revision of NBSAP		0	
1 st National Report	30.11.1999	1	
2 nd National Report	19.6.2007	1	
3 rd National Report	19.6.2007	1	
4 th National Report	01.04.2011	1	
1 st Biosafety Report	INTERIM REPORT 9/ 2005		
2 nd Biosafety Report			
* Indicate the status of plans/reports by selecting 0 if the report is still under finalization or implementation, and select 1 if the report has been endorsed by government or parliament as relevant. Please provide any additional comments.			
2) Capacity Needs Assessments carried out YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>			
Start Date: 2005/01		End Date: 2006/12	
Please list all of the CBD Program of Work and cross-cutting themes that were addressed in the Biodiversity Enabling Activities Capacity Needs Assessments:			<u>Date</u>
•			PoW on PAs 27.5.2003
▪			19.6.2007 Review of PoW on PAs
▪			
▪			
▪			
▪			
3) Clearing House Mechanism (CHM) established? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>			
CHM link:			
Is the CHM website maintained up to date?			YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>
How many people currently operate and maintain the national CHM?			

How many people visited the national CHM website in the past 12 months?	
Note: add any note on the status of any Biodiversity Enabling Activities and Add-on projects and the status of the National CHM site.	

III. ACTIVITIES AND BUDGET:⁴

A) PROPOSED DETAILED BUDGET FOR BIOSAFETY REPORT (US\$'000)

Implementation Period:		Start:	End:			
Output	Activities	Proposed GEF Grant	Co-Financing		Total Project Financing	GEF Grant as % of Total*
			Cash	In-kind		
Biosafety Report	Sectoral consultation/ stocktaking led by national competent authorities					
	Report production					
	National consultative workshop					
Total Project Cost						

*Total GEF grant as percentage of total project cost .

B) PROPOSED DETAILED BUDGET FOR NBSAP REVISION AND RELATED ACTIVITIES (US\$'000)

Implementation Period:		Start:	End:			
Components	Activities	Proposed GEF Grant	Co-Financing		Total Project Financing	GEF Grant as % of Total
			Cash	In-kind		
I. Stocktaking and assessment	1. Rapid stocktaking and review of relevant plans, policies and reports	10	1	1	12	
	2. Identification of stakeholders; consultations and awareness	5	0	1	6	
	3. Rapid assessment of the causes and consequences of biodiversity loss highlighting the value of biodiversity and ecosystem services and their contribution to Human well-being	15	0	1	16	
II. Setting national targets, principles, & main priorities of the strategy	4. Setting national targets, principles, & main priorities of the strategy though national consultations	25	2	3	30	
III. Strategy and action plan	5. Developing the strategy and actions to implement the agreed targets though national	50	2	3	55	

⁴ In preparing these proposed GEF funding tables, please consult Annex 1 for guidelines as well as the sample budget for each activity. The sample budget for each activity is an average cost for each activity which provides as cost benchmark.

development	consultations					
	6. Application of the NBSAP to sub-national entities through sub-national and local consultations	20	0	2	22	
	7. Sectoral integration including mainstreaming into development, poverty reduction and climate change plans through sectoral consultations	15	1	2	18	
IV. Development of Implementation plans and related activities	8. Development of a plan for capacity development for NBSAP implementation.	5	1	1	7	
	9. Technology needs assessment	10	1	1	12	
	10. Development of a communication and outreach strategy for the NBSAP.	5	1	1	7	
	11. Development of a plan for resource mobilization for NBSAP implementation	10	1	1	12	
V. Institutional, monitoring, reporting and exchange	12. Establishment/ strengthening of national coordination structures	5	1	1	7	
	13. CHM development.	15	1	2	18	
	14. Development of indicators and monitoring approach	10	1	1	12	
	15. Fifth national reports	20	2	3	25	
Total		220	15	25	260	

C) SUMMARY BUDGET FOR THE PROPOSED INITIATIVES (US\$'000)

Project Components (activity description in table above)	Proposed GEF Grant	Co-Financing		Total Project Financing	GEF Grant as % of Total
		Cash	In-kind		
1. Biosafety National Report					
2. NBSAP Revision (including 5 th National Report on Biodiversity and CHM activities)	220	15	25	260	
3.					
4.					
Project Management Cost					
Total Project Cost	220	15	25	260	

IV. INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTATION

The project for the revision of the NBSAP and the Fifth National Report to CBD including the Clearing House Mechanism will be coordinated by the Ministry of Environment, Forests and Water Administration. For its implementation a small PIU unit will be set-up within the MoEFWA consisting in one Project Coordinator and one Project Assistant.

A Project Board and a Steering Committee will be established to review the project implementation. They will have regular scheduled meetings to assess project implementation.

Also a Scientific Working Group of national experts of flora, fauna, habitats and protected areas, will be set-up to assess the main scientific findings and recommendations.

A number of working groups according to different aspects of biodiversity will be established with best national experts, namely: Habitats WG, Fauna WG, Protected Areas WG, Clearing House Mechanism WG and Report writing WG. Some of them may have smaller sub-group e.g Marine PAs WG or aquatic Habitats WG and so on. These groups will ensure a large representation of major biodiversity actors from the scientific community of Albania. Representatives from line ministries related to the process will also be invited, namely from the Ministry of Agriculture, Food and Consumer Protection, Ministry of Education and Science, Ministry of Economy, Trade and Energy, Ministry of Health, Ministry of Finance etc.

Procurement procedures will be supervised by the Procurement Unit at the MoEFWA.

Project monitoring will be reviewed by the Projects and Integration Directorate at the MoEFWA.

PART II. FINANCIAL MANAGEMENT AND PROCUREMENT SELF-ASSESSMENT

(Instructions on responding to this Self-Assessment are provided in Annex 2)

Grant Recipient's Name: Ministry of Environment, Forests and Water Administration

Grant No.

Information to be provided by the Executing Agency	
1. Name and contact information of the Executing Agency	Ministry of Environment, Forests and Water Administration
2. Year of registration (establishment) and years of operations	2001 - ten years of operation
3. Experience with World Bank operations (projects financed from WB loans or credits or grants)	Yes there are a number of WB projects ongoing such as: "Integrated Management of Shkodra Lake" project; Natural Resources Development project; or 'Kune -Vain" wetland project that ended in 2010
4. Are there sub-grants for the operation? What are the amounts involved for sub-grants? To which entities are sub-grants allocated?	No
5. If there are sub-grants, have you checked the WB list for debarment list to ensure eligibility of the sub-grants recipients? http://intranet.worldbank.org/servlet/main?theSitePK=278020&querycontentMDK=64069700&piPK=64147837&pagePK=64147838&menuPK=60000357&contentMDK=64069844	N/A
6. Information about financial management (FM) arrangements for the operation:	
• Does the Executing agency have an FM or Operating Manual that describes the internal control system and FM operational procedures?	Yes, the Ministry has a finance management directorate which operates based on regulations and procedures stated in the public administration field
• What accounting system is used? Is a computerized or a manual?	Accounting system is computerized. There is an central government on-line system coordinated by the Ministry of Finances
• What is the staffing for accounting, auditing, and reporting functions? Does the Executing Agency have a qualified accountant ? Full time or part time? Who	MoEFWA has three full time accounting staff which has experience on grant management and reporting for budgetary purposes. The qualifications and experience of the account

will be in charge of the grant? What are qualifications and experiences of the accountant assigned to the grant?	assigned to the grant is extensive with a long time in the present position and reporting since 2003 on different similar project priocedures
<ul style="list-style-type: none"> Disbursement Arrangements (e.g. disbursement methods applied, supporting documentation requirements) 	Standard arrangements to the bank account through the Treasury Department of the Ministry of Finances - original documents and invoices required
<ul style="list-style-type: none"> Does the Executing agency have in place basic arrangements to support flow of funds, and timely accountability of funds? (E.g. bank and cash procedures, funds flow diagram) 	Yes the MoEFWA has its own account and procedures authorized by the General Secretary of the Ministry
<ul style="list-style-type: none"> Does the Executing agency keep adequate records of financial transactions, including funds received and paid, and of the balances of funds held? (E.g. cash book, cash count minute, bank book, bank statement, bank reconciliation). Who is authorizing the payments? Who is making the payments? 	Yes, there are adequate records of financial transaction cash book.
<ul style="list-style-type: none"> How often does the Executing agency produce interim financial reports? What information are presented in the financial reports. 	Monthly financial reports are produced for the Ministry of Finances. All expenditures and
<ul style="list-style-type: none"> Is the Executing Agency audited? If yes, by which auditor? How often the EA is audited? What are the types of audit carried out e.g. financial audit, performance audit, procurement audit? Are the audit reports made public? Please attach a copy of the last (1-2) audit reports (or provide link to the site where these can be downloaded). 	Yes, MoEFWA is audited on a quarterly basis. Both fianancial and performance audits are carried out (Link to the last audit)
7. Information about Procurement arrangements for the operation:	
<ul style="list-style-type: none"> Does the Executing agency have procurement procedures, rules or regulations in writing? Where are the responsibilities and delegation of authority for those who have control of procurement decisions described? 	Yes, MoEFWA has a procurement unit and regulations inwriting in accordance with the law 'On the procurement' of the Republic of Albania
<ul style="list-style-type: none"> Who does procurement in the Executing agency (which unit(s) is responsible for selecting & contracting consulting firms, individual consultants, equipment & materials) ; what are the qualifications of staff responsible for procurement? 	There is a separate audit unit of htree full time staff at the Ministry of Environment, Forests and Water Administration. For the selection procedure a commission is set-up by the menas of Ministers' order. Contract procedures are followed by the procurement unit staff. Staff

	qualifications of the unit include lawyers and economist.
<ul style="list-style-type: none"> Does the Executing agency have qualified procurement staff that are familiar with Bank procurement Guidelines and standard procurement documents? 	Yes a number of staff at the executing agency is familiar with the bank procurement guidelines
<ul style="list-style-type: none"> Does the recipient use procurement plans for planning and managing its own procurement activities? If yes, what are the elements of such procurement plans (minimum information). Please attach a copy of the template or an example of one of the plans. Is there a track record of adhering to and regularly updating such procurement plans? Who prepares it and who approves them? 	Yes, there are yearly procurement plans compiled according to the budget allocated to MoEFWA for the given year from the State Budget. The Procurement Plans are prepared by the Finance Department and are approved by the Ministry of Finance always in accordance to the budget allocated to the MoEFWA.
<ul style="list-style-type: none"> Do simple templates of procurement documents exist for the procurement methods applicable to the operation(i.e. selection of consultants and/or procurement of goods)? If yes, provide copies of such templates/forms. 	Yes, templates exist for the procurement of goods deriving from the rules described at the "Law on procurement". As for the selection of consultants there is a procedure similar to the one implemented by WB and UNDP namely shortlisting first by a commission set up by a Ministers' Order and for the
<ul style="list-style-type: none"> Does the Executing agency maintain adequate written records of all procurement and contract documents? Where and for how long are such records kept? 	Adequate record are kept for all procurement and contract documents for five years
<ul style="list-style-type: none"> Does the Executing agency use a contract monitoring system? If not, how does the recipient do monitoring of contracts' execution? Attach a sample report if available. 	
<ul style="list-style-type: none"> Does the Executing Agency maintain a "black list" of contractors and/or consultants who are not eligible for contracts award. If yes, explain the blacklisting application. Is such list public? 	
<ul style="list-style-type: none"> How are complaints related to selection/procurement processes and award of contracts handled by the Executing agency? 	

PART III. SIMPLIFIED PROCUREMENT PLAN

Grant Recipient's Name: MoEFWA

Grant No.

List all planned contracts for both the Biosafety and NBSAP activities. If consultants are to be hired under project management, contract for the consultant should also be listed here.

List of Planned Contracts	Estimated Cost	Procurement Method	Start Date	Completion Date	Prior/Post review by the Bank	Remarks
Consulting Services (including hiring consultants for workshops and project management)						
Estimated Consultants Total:						
Goods						
Estimated Goods Total:						
Training (excluding hiring consultants for workshops activities, includes logistical expenses only)						
		Not applicable				
Estimated Training Total:						
Total Estimated Cost:						

**PREPARATION GUIDELINES FOR PART I:
PROPOSAL FOR BIODIVERSITY ENABLING ACTIVITY**

This annex aims to facilitate the preparation of the proposal using the proposed template. The template is applicable to the Direct Access program relating to Biodiversity focal area.

PART I. DESCRIPTION OF PROPOSED PROJECT

Summary Project Information

- a) **Country:** Name of country requesting direct access to the GEF resources.
- b) **Project Title:** To avoid redundancy, do not include the country name in the project title.
- c) **Executing Agencies:** Provide the name (s) of the local or national government agency/ies that is/are tasked to execute the project.
- d) **Objective:** State the objective for the preparation of the report (s).
- e) **Total Project Costs:** This is the sum of GEF Financing requested and the co-financing amount from other sources.
- f) **GEF Grant Amount:** Total GEF amount requested in the proposal.

Country eligibility

Based on the completion of the countries' third national report and/or NBSAP (if they received GEF funding for the same):

- a) **Date of Ratification of CBD:** Please refer to <http://www.cbd.int/parties>.
- b) **Name and signature of OFP Endorsing this Proposal:** The name and signature for this application constitutes the endorsement of the proposal by OFP.

Implementation Details

- a) **Start Date** – This is the date on which the project becomes effective and disbursement can be requested.
- b) **Completion Date** – This is the date on which the preparation of all reports will be completed.
- c) **Proposal Submission Date:** Date the proposal is submitted to GEF Secretariat.
- d) **Project Duration** - This is the time span for the estimated implementation of all project activities that have been financially committed to, but not necessarily when all disbursements have been completed.

I: DESCRIPTION OF PROPOSED PROJECT

Describe the activities to be undertaken towards the preparation of the biosafety report and the revisions of the National Biodiversity Strategy and related activities as referenced above (biodiversity report and CHM activities) and indicate all stakeholders involved in the process. Description should include all activities which among others the following:

a) **Biosafety Report**

Please note clearly the necessary activities to complete the second national report format agreed at COP-MOP-5, as noted in [COP-MOP decision BS-V/14](#).

b) NBSAP Revision and Related Activities

Please note clearly, how the guidance to Parties provided at COP-10 (see [COP decision X/10](#), [COP decision X/2](#) (paragraph 3 (c)) will be executed as part of the activities of the preparing the revised National Biodiversity Strategy, the 5th national report for biodiversity, and CHM activities (see [COP decision X/15](#) and annex 2 of document [UNEP/CBD/COP/10/15](#)).

II: STATUS OF EARLIER ASSISTANCE RECEIVED UNDER ENABLING ACTIVITIES

- 1) **National Reporting to CBD:** Provide dates of submission for each national report submitted to CBD, and indicate the status of plans/reports by selecting **0** if the report is still under finalization or implementation, and select **1** if the report has been endorsed by government or parliament as relevant. Please provide any additional comments.
2. **Capacity Needs Assessments carried out:** select **yes** or **no**. If a Capacity Needs Assessments has been carried out, proceed with the completion of the section which is self explanatory.
3. **Clearing House Mechanism (CHM) established?** select **yes** or **no**.

III: ACTIVITIES AND BUDGET

- A. When preparing the following three tables (A, B and C), please consult the reference amounts in subsequent pages (Tables 1 & 2) where they could be used as reference to the GEF grant requested. Table 1 is a list of activities for Biosafety Report with cost benchmark for each activity. Table 2 is a list of activities for NBSAP with cost benchmark for each activity. List all activities planned for the preparation of these reports, including workshops to be held, consultants to be hired for the purpose of executing the activities, and/or travel as necessary. Quantify funding requested by reference to Tables 1 & 2. Provide the sources of financing, i.e., amount to be financed by the GEF grant and co-financing sources. Section A should list proposed detailed budget for biosafety report and includes both GEF grant requested and anticipated cofinancing.
- B. **Section B** should list proposed detailed budget for NBSAP and includes both GEF grant requested and co-financing sources.
- C. **Section C** is a summary of all items proposed for this grant, and includes, e.g. Biosafety National Report and NBSAP.

COST BENCHMARKS/OR SAMPLE BUDGET FOR ENABLING ACTIVITIES⁵ IN

BIODIVERSITY (Please refer to previous page under **I. DESCRIPTION OF PROPOSED PROJECTS**, sections a) and b) for the link to COP decisions that describe requirements of Parties with regards to each activity.) Tables 1 and 2 below provide an indicative list of components, activities and associated cost benchmarks/or sample budget for the biosafety report, NBSAP revision and related activities (including CHM). Please use this as a guide for pricing each activity. Variations from the indicative costs for each activity will have to be fully justified

TABLE 1. BIOSAFETY REPORT COST BENCHMARKS:

Components	Activities	Indicative GEF Budget (in US\$'000)
1) Biosafety Report		
	1. Sectoral consultation/stocktaking led by national competent authorities	5
	2. Report production	8
	3. National consultative workshop	7
Total for Biosafety Report		20

TABLE 2. NBSAP REVISIONS AND RELATED ACTIVITIES COST BENCHMARKS

Components	Activities	Indicative GEF Budget (in US\$'000)
I. Stocktaking and Assessment	1. Rapid stocktaking and review of relevant plans, policies and reports	10
	2. Identification of stakeholders; consultations and awareness	5
	3. Rapid assessment of the causes and consequences of biodiversity loss highlighting the value of biodiversity and ecosystem services and their contribution to Human well-being	15
II. Setting national targets, principles, & main priorities of the strategy	4. Setting national targets, principles, & main priorities of the strategy through national consultations	25

⁵ The **GEF Operational Strategy** defines enabling activities in biodiversity as: ‘[Activities] that prepare the foundation to design and implement effective response measures to achieve Convention objectives. They will assist recipient countries to develop national strategies, plans or programs referred to in Article 6 of the Convention on Biological Diversity, and to identify components of biodiversity together with processes and activities likely to have significant adverse impacts on conservation and sustainable use of biodiversity pursuant to Article 7 of the Convention on Biological Diversity. They will normally involve the review and assessment of information and will assist a recipient country to gain a better understanding of the nature and scope of its biodiversity assets and issues as well as a clearer sense of the options for the sustainable management and conservation of biodiversity. Enabling activities include supporting country-driven activities for taking stock of or inventorying biodiversity based on national programs and relying on studies, without new primary research; identifying options and establishing priorities to conserve and sustainably use biodiversity; preparing and developing biodiversity planning exercises, such as national strategies, action plans and sectoral plans; and disseminating of information through national communications to the Convention on Biological Diversity’.

III. Strategy and action plan development	5. Developing the strategy and actions to implement the agreed targets through national consultations	50
	6. Application of the NBSAP to sub-national entities through sub-national and local consultations	20
	7. Sectoral integration including mainstreaming into development, poverty reduction and climate change plans through sectoral consultations	15
IV. Development of Implementation plans and related activities	8. Development of a plan for capacity development for NBSAP implementation.	5
	9. Technology needs assessment	10
	10. Development of a communication and outreach strategy for the NBSAP.	5
	11. Development of a plan for resource mobilization for NBSAP implementation	10
V. Institutional, monitoring, reporting and exchange	12. Establishment/ strengthening of national coordination structures	5
	13. CHM development.	15
	14. Development of indicators and monitoring approach	10
	15. Fifth national reports	20
Total for NBSAP Revisions		220

Additional notes:

Note the distribution of costs among components will vary on a case-by-case basis. Countries that have recently updated NBSAPs in line with COP-9 guidance may focus on component 3 (setting of national targets), and for subsequent components focus on the integration of these targets into the NBSAP, sectoral and sub-national plans, and implementation plans.

IV: INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTATION

- Describe the planned institutional arrangements- steering committee, review committee, etc.
- Specify the institution that will be responsible for the coordination of project activities. The Director/Coordinator/Manager will provide overall project management and supervision.
- Specify the institution that will monitor the project, if different from the Executing agency in accordance with the agreed budget and outputs.
- Describe the planned arrangements for financial management and procurement functions. Which unit in the ministry or the Executing agency will be responsible for these functions in the project.

**INSTRUCTIONS TO PART II: FOR FILLING IN FINANCIAL MANAGEMENT AND
PROCUREMENT CAPACITY SELF-ASSESSMENT**

Grant Recipient's Name: Name of the Local/National Executing Agency
GEF Grant No.: (To be provided by GEFSEC.)

A. INFORMATION TO BE PROVIDED BY THE EXECUTING AGENCY

- 1. Name and contact information of the recipient organization(s).** Provide a description of the implementing entity and any unique features that impact the financial management issues.
- 2. Year of registration and years of operations.** Please attach statute and proof of registration.
- 3. Experience with World Bank operations, e.g., receipt of previous grants.** Please state the name of the WB grant, years and grant amount, and provide the following: a) completed grants, b) Has there been an implementation completion memo?, c) What are the main conclusions with regard to achievement of objectives and use of funds?, d) grants not Completed, e) Most recent FM performance rating?, f) FM implementation issues?
- 4. Are there sub-grants for the operation?** What are the amounts involved for sub-grants? Expected number of sub-grant recipients and their allocated sub-grants amount.
- 5. If there are sub-grants, have you checked the WB list for debarment list to ensure eligibility of the sub-grants recipients?**

<http://intranet.worldbank.org/servlet/main?theSitePK=278020&querycontentMDK=64069700&piPK=64147837&pagePK=64147838&menuPK=60000357&contentMDK=64069844>

6. INFORMATION ABOUT FINANCIAL MANAGEMENT (FM) ARRANGEMENTS FOR THE OPERATION:

- **Does the recipient organization have a FM or Operating Manual that describes the internal control system and FM operational procedures?** If yes, please attach a copy.
- **What accounting system is used, including whether it is a computerized accounting system or a manual accounting system?** Please provide brief description of the accounting system and its various modules.
- **What is the staffing arrangement of the organization in accounting, auditing, and reporting?** Does the implementing entity have a qualified accountant on its staff? State the overall FM staffing arrangements including segregation of duties, oversight arrangements, FM staff qualifications and experience. Which accountant(s) will be in charge of the grant and their qualifications and experiences?
- **Disbursement Arrangement.** Disbursement methods (advance, reimbursement, direct payment, special commitments) and supporting documentation requirements; SOE limits, if applicable; and Designated Account – Ceiling, timing of documentation submission.
- **Does the implementing entity have in place basic arrangements able to support flow of funds, and timely accountability of funds?** For example, a bank account opened in a reputable commercial bank. Also include the funds flow diagram for the grant.

- **Does the implementing entity keep adequate records of financial transactions, including funds received and paid, and of the balances of funds held?** For example, up-to-date cash book, cash count minute, bank book, bank statements, and bank reconciliation statements.
- **How often does the implementing entity produce interim financial reports?** If yes, please describe the kind of information is included in the financial reports and attach sample copies of recent reports.
- **Is the Executing agency audited? If yes, by which auditor? How often the EA is audited? What are the types of audit carried out e.g. financial audit, performance audit, procurement audit? Are the audit reports made public?** Please attach a copy of the last (1-2) audit reports (or provide link to the site where these can be downloaded).

7. INFORMATION ABOUT PROCUREMENT (PR) ARRANGEMENTS FOR THE OPERATION:

- **Does the Executing agency have procurement rules, regulations or an Operating Manual that describes: responsibilities and delegation of authority for those who have control of procurement decisions; and the procurement procedures applicable to the operation?** If yes, please attach a copy.
- Describe the procurement functions carried out within the Executing agency, which units handles this function? Who is responsible for selecting consultants, contracts, etc.?
- **Does the Executing agency have qualified procurement staff that are familiar with Bank procurement Guidelines and standard procurement documents?** State the overall PR staffing arrangements including segregation of duties, oversight arrangements, PR staff qualifications and experience. Which PR staff will be in charge of the grant and their qualifications and experiences?
- **Does the Executing agency use procurement plans for planning and managing its procurement activities? If yes, what are the elements of such procurement plans (minimum information) and attach a copy of the template or an example used. Is there a track record of adhering to and regularly updating such procurement plans? Who prepares it and who approves them?** If yes, please attach a copy.
- **Do simple templates of procurement documents exist for the procurement methods applicable to the operation?** If yes, provide a list and attach copies of such templates.
- **Does the Executing agency maintain adequate written records of all procurement and contract documents? Where and for how long are such records kept?** For example, request for proposal, advertisement, bidding documents, proposals, bid opening minute, bid evaluation minute, etc.
- **Does the Executing agency use a contract monitoring system? If not, how does the recipient do monitoring of contracts' execution?** Attach a sample report/output if available.
- **Does the Executing agency maintain a "black list" of contractors/consultants who are not eligible for contract awards?**
- **How are complaints related to selection/procurement processes and award of contracts handled by the Executing agency?** Please briefly describe.