



1818 H Street N.W., Washington, D.C. 20433, U.S.A. (202) 473-3202

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	China		
Project Title	Update and Implementation of National Biodiversity Strategy and Action Plan and Preparing Fifth National Report to the CBD		
Executing Agency(ies)	Ministry of Environmental Protection of China		
Objectives	To assist countries in preparing their National Report for CBD To assist countries in revising the National Biodiversity Strategy and Action Plan and to Undertake clearing house mechanism activities.		
Total Project Costs (\$)	560,000	GEF Grant Amount (\$)	220,000
Country Eligibility³ / Country Drivenness			
Date of Ratification of CBD:	JANUARY 5, 1993		
Name/Position of OFP Endorsing this proposal:	Signature:		
Implementation Details			
Start Date	1 Sept. 2012	Proposal Submission Date	12/5/12
Completion Date	31 Dec. 2013	Project Duration (months)	16

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.

I. DESCRIPTION OF PROPOSED PROJECT:

Objectives:

- a) To facilitate the update and implementation of NBSAP which was published in Sep. 2010 by Chinese government, and**
- b) To prepare the fifth National Report according to the guidance provided by COP 10 to the CBD.**

Activities:

1) Strengthening of national coordination structure. The National Coordination Committee (NCC) for Implementation of the CBD will coordinate and guide the implementation of the proposed project. The members of NCC are as follows:

- Ministry of Environmental Protection (Chair)**
- Ministry of Foreign Affairs**
- State Development and Reform Commission**
- Ministry of Education**
- Ministry of Science and Technology**
- Ministry of Public Security**
- Ministry of Finance**
- Ministry of Land and Resources**
- Ministry of Housing and Urban-Rural Construction**
- Ministry of Water Resources**
- Ministry of Agriculture**
- Ministry of Commerce**
- State Forestry Administration**
- State Administration of Radio, Film and TV**
- State Administration of Industry and Commerce**
- General Administration of Quality Supervision, Inspection and Quarantine**
- General Administration of Customs**
- Xinhua News Agency**
- Chinese Academy of Sciences**
- State Intellectual Property Office**
- State Oceanic Administration**
- State Administration of Traditional Chinese Medicine**
- People's Daily**
- Guangming Daily.**

Two meetings of the NCC will be held. The first one will be kickoff of the proposed project, and the second one will be evaluation of the documents and reports of the proposed project.

2) Rapid stocktaking and review of relevant plans, policies and reports. Consultants recommended by relevant ministries will review national/sectoral regulations, plans, and policies, and analyze experiences, lessons and gaps.

3) Identification of stakeholders, consultations and awareness raising

4) 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. One workshop will be organized to analyze the causes and consequences of biodiversity loss, paying particular

attention on the value of biodiversity and ecosystem services. Participants will be governmental officials, conservation managers, scholars, NGO representatives, and community representatives, etc.

5) Updating national targets through national consultations according to the Strategic Plan for Biodiversity 2011-2020 and the Aichi Biodiversity Targets. Consultants will be hired to analyze obligations under the Aichi Targets, review progress and gaps of the targets of NBSAP, present national targets in line with the Aichi Targets, and design ways, means and priorities to implement the updated national targets. Workshops will be organized to facilitate the process. Relevant ministries and provinces will be involved in the discussion and consultation.

6) Application of the NBSAP to sub-national entities through sub-national and local consultations. Training courses on NBSAP will be organized for provincial governments. Main requirements and methodology for the development of provincial Biodiversity Strategy and Action Plan (BSAP) will be introduced. More than 15 provinces will initiate their BSAPs after training. Sub-national and local consultants will be hired for the work and workshops will be organized to facilitate the process. More than 8 provinces will approve their BSAPs before the project is completed.

7) Sectoral integration including mainstreaming into development, poverty reduction and climate change plans through sectoral consultations. Key officials from ministries responsible for development, poverty reduction and climate change adaptation will be invited to attend activities of the projects. Biodiversity will be mainstreamed into their short-term and long-term plans.

8) Development of a plan for capacity development for NBSAP implementation. Capacity needs assessment will be conducted through workshops organized by the project. A capacity building plan for NBSAP implementation will be developed by national consultants.

9) Technology needs assessment will be conducted through workshops organized the proposed project.

10) Development of a communication and outreach strategy for the NBSAP. National consultants will be responsible for the development of the strategy. Public awareness of biodiversity will be enhanced through outreach activities of the project.

11) Development of a plan for resource mobilization for NBSAP implementation. National consultants will be hired to develop the plan. The amount of funds for biodiversity conservation and sustainable use will be increased.

12) Development and Upgrading of the CHM. One workshop will be organized to discuss how to integrate existing biodiversity-related information management platforms in China into the CHM and the plan of CHM development and upgrade. The CHM development and upgrade plan will be implemented.

13) Development of indicators and monitoring approach. National consultants will be hired to develop an indicator framework for assessing the progress towards NBSAP and the Aichi Targets. One workshop will be organized to discuss the indicator framework. A national biodiversity monitoring plan will be developed and a pilot monitoring network for indicator species will be established and put into operation.

14) Fifth national report. National consultants recommended by members of NCC will be responsible for the development of the fifth national report. Two workshops will be organized. The first one will be discussion of the structure of the fifth national report, data needs and analysis methods, and allocation of tasks. The second one will be discussion of the draft fifth national

report. The fifth national report will be developed and submitted to the CBD in line with the requirements set by COP.

Outputs:

- 1) The fifth National Report to the CBD
- 2) Biodiversity integrated into sectoral development strategies and action plans
- 3) At least 8 provincial BSAPs approved by provincial governments
- 4) National coordination structure strengthened
- 5) CHM updated and maintained
- 6) Indicator framework for assessing the progress towards the Aichi Biodiversity Targets

Gender issue and stakeholder involvement:

Gender consideration will be mainstreamed in the proposed activities. Besides the ministries listed above, other stakeholders, such as NGOs, local and indigenous communities and private sectors will be invited to involve consultations.

Gender dimensions will be further incorporated in the project activities. At the national level, more female officers from relevant ministries will participate in NCC meetings. More female consultants will be employed to participate in the review of relevant plans and policies, assessment of biodiversity loss, updating national targets, development of plans for capacity development, technology needs assessment, development of communication and outreach strategy, and development of indicators and monitoring approach. At the sub-national level, more female officers from provincial governments and civil society organizations, local communities, and private sectors will participate in the development of BSAPs at sub-national level.

Stakeholders besides relevant ministries include international NGOs such as IUCN, WWF, FFI, CI, civil societies such as China Society for Environmental Sciences, China Wildlife Conservation Association, and China Wild Plant Conservation Association, experts from Chinese Academy of Sciences and relevant universities, local communities from relevant provinces (including diverse minorities), private sectors from different industries and regions. Stakeholders will be invited to attend the national workshop on biodiversity conservation, and provincial workshops on biodiversity strategies and action plans. Views and comments of stakeholders will be fully incorporated in review of relevant plans and policies, assessment of biodiversity loss, updating national targets, development of plans for capacity development, technology needs assessment, development of communication and outreach strategy, and BSAPs at sub-national level.

Concrete steps for biodiversity mainstreaming

At the national level, relevant ministries such as the State Development Reform Commission, Ministry of Finance, Ministry of Land and Resources, Ministry of Water Resources, Ministry of Agriculture, State Forestry Administration, will be members of NCC, and participate in NCC meetings and review of relevant plans and policies, assessment of biodiversity loss, updating national targets, development of plans for capacity development, technology needs assessment, and development of communication and outreach strategy. At the sub-national levels, governments at different levels will participate in the process of BSAPs at sub-national levels. Through these processes, relevant sectors and local governments will be informed the importance of biodiversity and the urgency of biodiversity conservation, and biodiversity consideration will be integrated in

development, poverty reduction and climate change adaptation.

Contribution to institutional/human capacity building in China

Many officers, experts and local communities will participate in the review of relevant plans and policies, assessment of biodiversity loss, updating national targets, development of plans for capacity development, technology needs assessment, development of communication and outreach strategy, development of indicators and monitoring approach, and BSAPs at sub-national levels. Through this process, administration capacity of relevant ministries and local governments will be enhanced. Public awareness will be improved. Roadmaps for biodiversity conservation at national and local levels will be updated or established, which will provide sound foundation for the conservation of China's rich and unique biodiversity.

Coordination with ongoing relevant project

The initiative relevant to NBSAP revision is the China Biodiversity Partnership Framework (CBPF) which is funded by GEF and under design for five years. The pilot project on capacity building of CBPF has a component of institutional capacity building. However, there is no overlap in activities between CBPF and the proposed project. The proposed project will be implemented based on the institutional framework of CBPF. The output of the proposed project will ultimately contribute to strengthening of national coordination structures of the partnership.

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	MAY. 1994	1	
Revision of NBSAP	SEP. 2010	1	
1 st National Report	FEB. 1998	1	
2 nd National Report	NOV. 2001	1	
3 rd National Report	SEP. 2005	1	
4 th National Report	MAR. 2009	1	
1 st Biosafety Report	MAR. 2007		
2 nd Biosafety Report	OCT. 2011		
* 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: Jan. 2004		End Date: Dec 2005	

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>
•		
▪		
▪		
▪		
▪		
▪		
3) Clearing House Mechanism (CHM) established? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>		
CHM link:	HTTP://WWW.BIODIV.GOV.CN/	
Is the CHM website maintained up to date?		YES <input checked="" type="checkbox"/> NO <input 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\$)

Implementation Period:		Start:	End:		Total Project Financing	GEF Grant as % of Total*
Output	Activities	Proposed GEF Grant	Co-Financing			
			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\$)

Implementation Period:		Start:	End:		Total Project Financing	GEF Grant as % of Total
Components	Activities	Proposed GEF Grant	Co-Financing			
			Cash	In-kind		
I. Stocktaking and assessment	1. Rapid stocktaking and review of relevant plans, policies and reports	10000			10000	100
	2. Identification of stakeholders; consultations and awareness	5000			5000	100
	3. Rapid assessment of the causes and consequences of biodiversity	15000			15000	100

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.

	loss highlighting the value of biodiversity and ecosystem services and their contribution to Human well-being					
II. Setting national targets, principles, & main priorities of the strategy	4. Setting national targets, principles, & main priorities of the strategy through national consultations	25000			25000	100
III. Strategy and action plan development	5. Developing the strategy and actions to implement the agreed targets through national consultations	10000		40000	50000	20
	6. Application of the NBSAP to sub-national entities through sub-national and local consultations	50000		240000	290000	17
	7. Sectoral integration including mainstreaming into development, poverty reduction and climate change plans through sectoral consultations	15000			15000	100
IV. Development of Implementation plans and related activities	8. Development of a plan for capacity development for NBSAP implementation.	5000			5000	100
	9. Technology needs assessment	10000			10000	100
	10. Development of a communication and outreach strategy for the NBSAP.	5000			5000	100
	11. Development of a plan for resource mobilization for NBSAP implementation	10000			10000	100
V. Institutional, monitoring, reporting and exchange	12. Establishment/ strengthening of national coordination structures	5000			5000	100
	13. CHM development.	15000			15000	100
	14. Development of indicators and monitoring approach	10000		30000	40000	25
	15. Fifth national reports	20000		20000	40000	50
Total		210000		330000	540000	39

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

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)	210000		330000	540000	39
3.					
4.					
Project Management Cost*	10000		10000	20000	50
Total Project Cost	220000		340000	560000	39

* Please provide details of project management cost in the tables below (Tables D & E)

D) PROJECT MANAGEMENT COST (US\$)

Cost Items ⁵	Total Estimated Person Weeks/Months	Grant Amount	Co-financing	Project Total
Local consultants	35.00	3,500	3,500	7,000
International consultants				
Office facilities, equipment, materials and communications		2,500	2,500	5,000
Travel		4,000	4,000	8,000
Others ⁶	Specify "Others" (1)			
	Specify "Others" (2)			
Total		10,000	10,000	20,000

E) CONSULTANTS TO BE HIRED FOR THE PROJECT (US\$)

Position Title	\$/Person Week ⁷	Estimated Person Weeks ⁸	Tasks To Be Performed
For Project Management			
Local			
Executive Assistant	140	40 (GEF grant US\$2800, co-financing)	Arrangement of workshops, consultations, trips, and communications

⁵ Details to be provided in the following table (Table E).

⁶ For others, to be clearly specified by overwriting fields (1) and (2).

⁷ Provide dollar rate per person week.

⁸ Total person weeks needed to carry out the tasks.

		US\$2800)	
Financial Consultant	140	10 (GEF grant US\$700, co- financing US\$700	Consultation and supervision of payment and procurement management
International			
Justification for travel, if any: 10 trips between provinces * \$800/trip			
For Technical Assistance			
Local			
Natinal/sectoral Consultants	450	310 (GEF grant US\$125,500, co- financing US\$14,000)	Seting national targets, providing consultation from sectoral perspective for NBSAP implementation, and developing indicators and National Report
Sub-national Consultants	450	300 (co- financing)	Setting sub-national targets and drafting sub-national BSAPs
Report Drafter	450	70 (GEF grant US\$20,000, co- financing US\$20,000)	Drafting reports including the fifth national report to CBD
International			
Justification for travel, if any:			

IV. INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTATION

The National Coordination Committee for Implementation of the CBD will be the steering committee for project execution. The national executing agency will be the Ministry of Environmental Protection of China (MEP). Nanjing Institute of Environmental Sciences (NIES) under MEP will be responsible for implementation of the project in close consultation with other stakeholders. The Director General of the Department of Nature and Ecology Conservation of

MEP will provide overall coordination and supervision.

National consultants will be recommended by relevant ministries to analyse sectoral needs for biodiversity conservation and sustainable use and to promote the activities for mainstreaming biodiversity into sectoral development strategies and plans. Local consultants from sub-national entities will be recruited to explore how to apply NBSAP in sub-national regions and initiate sub-national strategies and action plans for biodiversity conservation.

The Division of Finance of NIES will be responsible for financial management and procurement functions.

The GEF Focal Point will monitor the project in accordance with the agreed budget and outputs.

June 22, 2011

PART II. FINANCIAL MANAGEMENT AND PROCUREMENT SELF-ASSESSMENT

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

Grant Recipient's Name: Nanjing Institute of Environmental Sciences, Ministry of Environmental Protection of China **Grant No.**

Information to be provided by the Executing Agency	
1. Name and contact information of the Executing Agency	Agency Name: Nanjing Institute of Environmental Sciences, Ministry of Environmental Protection of China Contact Person: Dr. Haigen Xu Tel: +86-25-85287081 Email: xhg@nies.org
2. Year of registration (establishment) and years of operations	Registration Year: 1978. Please find the Annex 5 on registration documents of Executing Agency Years of Operation: 33
3. Experience with World Bank operations (projects financed from WB loans or credits or grants)	Yes, NIES has implemented many projects granted by World Bank.
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	
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. Please find the Annex 1 on financial management
• What accounting system is used? Is a computerized or a manual?	Computerized accounting system.
• What is the staffing for accounting, auditing, and reporting functions? Does the Executing Agency have a qualified	Yes, the executing agency has a department with more than 6 qualified full-time

accountant ? Full time or part time? Who will be in charge of the grant? What are qualifications and experiences of the accountant assigned to the grant?	accountants, with segregation of duties, oversight arrangements. The Director of the Financial Division who has rich experiences on financial management will be in charge of the grant.
<ul style="list-style-type: none"> Disbursement Arrangements (e.g. disbursement methods applied, supporting documentation requirements) 	Direct payment.
<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. Please find the Annex 2 two on financial report.
<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 strict internal approval process in the Executing agency. The directors of each divisions have their own responsibilities with payments less than 10,000 RMB. The director general or deputy director general of the Executing agency approve the payments more than 10,000 RMB. The payments were made by accountants of the Division of Finance.
<ul style="list-style-type: none"> How often does the Executing agency produce interim financial reports? What information are presented in the financial reports. 	Every Year. The financial reports have such information on balance sheet, and the summary statement of revenue and expenditures. Please find the Annex 2 on financial report.
<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, the Executing Agency is audited by National Audit Office every year. Financial audit is available. Please find the Annex 3 on audit report in 2011.
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, the Executing Agency has internal procurement regulations. The Division of Finance is responsible for procurement. Please find the Annex 1 on financial management.
<ul style="list-style-type: none"> Who does procurement in the Executing agency (which unit(s) is responsible for selecting & contracting consulting firms, 	There are regulations of procurement in China and the Executing agency follows these

individual consultants, equipment & materials) ; what are the qualifications of staff responsible for procurement?	regulations. The Division of Finance do procurement in the Executing agency.
<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. The Executing agency has qualified fulltime procurement staff, with segregation of duties and oversight arrangements. The director of the Division of Finance will first check the procurement, the Deputy Director General or Director General of the Executing agency will approve the procurement, and the procurement staff will made payment of the procurement.
<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, the Division of Finance makes plans for procurement. The procurement plans include such elements as name, objectives, activities, output, budget, and time periods of services, or name, type, amount and cost of goods, and applicant's qualifications, The staffs of the Division prepares the procurement plan and the Derector General of NIES approves it.
<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. 	Please find the Annex 4 on procurement templates.
<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? 	Yes, adequate written records of all procurement and contract documents are maintained at NIES for more than 5 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. 	Yes, there is a contract monitoring system at NIES.
<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? 	The supervision group of Ministry of Environmental Protection is responsible for handling the complaints.

PART III. SIMPLIFIED PROCUREMENT PLAN

Grant Recipient's Name: Nanjing Institute of Environmental Sciences, Ministry of Environmental Protection of China 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)						
Rapid stocktaking and review of relevant plans, policies and reports	US\$10000	Recommended by relevant ministries	Sept., 2012	Nov. 2012	Post review by the Bank	GEF grant
Identification of stakeholders, consultations and awareness raising	US\$5000	Recommended by Ministry of Environmental Protection	Sept., 2012	Nov. 2012	Post review by the Bank	GEF grant
Rapid assessment of the causes and consequences of biodiversity loss	US\$12000	Recommended by Ministry of Environmental Protection	Sept., 2012	Dec. 2012	Post review by the Bank	GEF grant
Updating national targets through national consultations	US\$30000	Recommended by Ministry of Environmental Protection	Sept., 2012	March, 2013	Post review by the Bank	GEF grant
Sectoral integration including mainstreaming into development, poverty reduction and climate change plans	US\$10000	Recommended by relevant ministries	Sept., 2012	July, 2013	Post review by the Bank	GEF grant
Development of a plan for capacity development for NBSAP implementation	US\$5000	Recommended by Ministry of Environmental Protection	Jan, 2013	April, 2013	Post review by the Bank	GEF grant
Technology needs assessment	US\$10000	Recommended by Ministry of Environmental Protection	Jan, 2013	April, 2013	Post review by the Bank	GEF grant
Development of a communication and outreach strategy for the NBSAP	US\$5000	Recommended by Ministry of Environmental Protection	Jan, 2013	April, 2013	Post review by the Bank	GEF grant

Development of a plan for resource mobilization for NBSAP implementation	US\$10000	Recommended by Ministry of Environmental Protection	Jan, 2013	April, 2013	Post review by the Bank	GEF grant
Development and upgrading of the CHM	US\$15000	Recommended by Ministry of Environmental Protection	Sept, 2012	Dec, 2013	Post review by the Bank	GEF grant
Development of indicators and monitoring approach	US\$10000	Recommended by Ministry of Environmental Protection	Jan, 2013	Dec, 2013	Post review by the Bank	GEF grant
Fifth national report	US\$20000	Recommended by Ministry of Environmental Protection	Sept, 2012	Dec, 2013	Post review by the Bank	GEF grant
Project management	US\$7000	Recommended by Ministry of Environmental Protection	Sept, 2012	Dec, 2013		GEF grant US\$3500
Estimated Consultants Total:	US\$149000					GEF grant US\$145500
Goods						
Office facilities, equipment, materials and communications	US\$5000	Public procurement	Sept, 2012	Dec, 2013		GEF grant US\$2500
Estimated Goods Total:	US\$5000					GEF grant US\$2500
Training (excluding hiring consultants for workshops activities, includes logistical expenses only)						
Meeting of Project kickoff (NCC meeting)	US\$1000		Sept 5, 2012	Sept 5, 2012	Post review by the Bank	GEF grant

National Workshop on Biodiversity Conservation	US\$15000		21 May, 2013	23 May, 2013	Post review by the Bank	Discuss the status and causes of biodiversity loss, updated national targets, capacity and technology needs assessment, outreach strategy, indicators and monitoring approach GEF grant
Provincial Workshops on Biodiversity Strategies and Action plans	US\$50000		Sept 20, 2012 Oct 10, 2012 Oct. 29,2012 Nov 12, 2012 Dec 10, 2013	Sept 22, 2012 Oct 12, 2012 Oct 31, 2013 Nov 14, 2012 Dec. 12, 2012	Post review by the Bank	Five provincial workshops will be organized GEF grant
Meeting of Project closure (NCC meeting)	US\$2000		Dec 20, 2013	Dec 21, 2013	Post review by the Bank	GEF grant
Estimated Training Total:	US\$68000					GEF grant
Total Estimated Cost:	US\$222000		GEF grant 216000. Most in-kind contributions are not included.			

**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](#)). As for activities related to the CBD National Biodiversity Strategy and Action Plan (NBSAP), please also refer to the following guideline on mainstreaming gender into NBSAP prepared by the CBD (link: http://www.cbd.int/programmes/cross-cutting/gender/cbd_ts49_gender_guidelines.pdf).

- c) **Gender issue:** In addition to the above, also describe consideration of gender mainstreaming in the proposed activities. Identify key stakeholders involvement in the proposed activities, including the civil society organizations, local and indigenous communities, and private sectors, and their respective roles, as applicable.

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.
- D. **Section D** is a summary of project management cost, complemented by **Section E** which provides details.

COST BENCHMARKS/OR SAMPLE BUDGET FOR ENABLING ACTIVITIES⁹ 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

⁹ 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 PARTS II & III: 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.