



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.




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

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	INDIA		
Project Title	Strengthening the enabling environment for biodiversity conservation and management in India		
Executing Agency(ies)	National Biodiversity Authority (NBA), Chennai, India		
Objectives	The project objective is to provide assistance in meeting the national reporting requirements to CBD by India which includes, revision of National Biodiversity Strategy and Action Plan, preparation of fifth National Report for Biodiversity and second National Report for Bio-safety and finally setting up of CHM.		
Total Project Costs	USD 535,000	GEF Grant Amount (\$)	USD 260,000
Country Eligibility ³ / Country Drivenness			
Date of Ratification of CBD:	18 TH FEBRUARY 1994		
Name of OFP Endorsing this proposal:	Signature:		
		MR HEM PANDE 03.06.2011	

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.

Implementation Details			
Start Date	1 st July 2011	Proposal Submission Date	10 th June 2011
Completion Date	31 st December 2012	Project Duration (months)	18 months

I. DESCRIPTION OF PROPOSED PROJECT:

The project objective is to provide assistance in meeting the national reporting requirements to CBD by India which includes, revision of National Biodiversity Strategy and Action Plan as well as preparation of fifth National Report for Biodiversity and second National Report for Bio-safety.

Undertaking these activities (especially, the revised NBSAP and CHM) will also help in planning, programming, implementation as well as monitoring of biodiversity related programs and projects in the country.

The proposed project has two main components:

I) Preparation of 2nd National Report for Bio-safety:

The preparation process will include desk review and wide and intensive consultations with the concerned stakeholders (including, different ministries of Government of India (GoI), civil society, industry, custom and quarantine officials amongst others). These consultations will help in collection of requisite information as well as an opportunity of creating awareness of bio-safety related issues. For this component, we propose to hire the services of two consultants – i) working on bio-safety and / or bio-technology issues; and, ii) legal expert. The report will be prepared and will be discussed in a National Workshop before being finalized (as per GoI procedures).

II) Revision of NBSAP and preparation of 5th National Report for Biodiversity:

This component will include revision of NBSAP as per CBD COP-10 requirements i.e. develop /identify national targets and adding a chapter on resource mobilization. Limited awareness on biodiversity related issues is one of the main challenges that we are facing today. Revised NBSAP will have a comprehensive needs assessment (capacity, awareness, technology, resources etc) and a practical plan of action for biodiversity conservation in India. This exercise will be undertaken in full consultation and association of the State Biodiversity Boards in India. To ensure that the NBSAP is mainstreamed with developmental sectors in India, it is proposed to actively involve the representative of the Planning Commission with the entire process. This project component will also focus on developing a much needed CHM mechanism and the preparation of 5th National Report to CBD.

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	1999	1	Prepared with Government of India funds.
Revision of NBSAP	MAY 2009	1	Revised with assistance from UNDP/ GEF project on NBSAP.
1 st National Report	NOVEMBER 1998	1	Prepared with assistance from UNDP/ GEF.
2 nd National Report	JULY 2001	1	Prepared with Government of India funds.
3 rd National Report	NOVEMBER 2005	1	Prepared with assistance from UNDP/ GEF.
4 th National Report	MARCH 2009	1	Prepared with assistance from UNDP/ GEF.
Interim National Bio-safety Report	JANUARY 2006	1	Prepared with Government of India funds.
1 st National Bio-safety Report	FEBRUARY 2008	1	Prepared with Government of India funds.
2 nd National Bio-safety Report		0	To be submitted by 30 th September 2011 as per COP-MOP decision BS-V/14.
* 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 ✓	NO
Start Date: July 2004		End Date: December 2007	
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>
▪ Implementation of measures for in-situ and ex-situ conservation and sustainable use			
▪ Methodologies to evaluate and mitigate specific threats to biodiversity components			
▪ Bio-safety			
▪ Initial assessment and monitoring programs, including taxonomy			
▪ Conservation and sustainable use of biodiversity important for agriculture			
▪ Incentive measures			
▪ Access to genetic resources, benefit-sharing and formulation of mechanisms for these purposes			
▪ Preservation/ maintenance of biodiversity related knowledge of indigenous and local communities with traditional lifestyles			

3) Clearing House Mechanism (CHM) established?		CHM has not been established. BCH (Bio-safety Clearing House) website is under development with UNEP/ GEF support.
CHM link:		
Is the CHM website maintained up to date?		
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 BIO-SAFETY REPORT (US\$'000)

National Executing Agency: NBA						
Implementation Period:		Start: 1 st July 2011	End: 31 st December 2011			
Output	Activities	Proposed GEF Grant	Co-Financing		Total Project Financing	GEF Grant as % of Total*
			Cash	In-kind		
Bio-safety Report	Sectoral consultation/ stocktaking led by national competent authorities	17	5	15	37	26.1
	Report production	8	0	5	13	12.3
	National consultative workshop	5	0	10	15	7.6
Total Project Cost		30	5	30	65	

*Total GEF grant as percentage of total project (component) cost.

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

National Executing Agency: NBA						
Implementation Period:		Start: 1 st July 2011	End: 31 st December 2012			
Components	Activities	Proposed GEF Grant	Co-Financing		Total Project Financing	GEF Grant as % of Total
			Cash	In-kind		

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.

I. Stocktaking and assessment	1. Rapid stocktaking and review of relevant plans, policies and reports	5	0	15	20	1.13
	2. Identification of stakeholders; consultations and awareness	10	0	10	20	2.27
	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	10	0	10	20	2.27
II. Setting national targets, principles, & main priorities of the strategy	4. Setting national targets, principles, & main priorities of the strategy through national consultations	25	0	15	40	5.68
III. Strategy and action plan development	5. Developing the strategy and actions to implement the agreed targets through national consultations	50	0	30	80	11.36
	6. Application of the NBSAP to sub-national entities through sub-national and local consultations	20	0	40	60	4.5
	7. Sectoral integration including mainstreaming into development, poverty reduction and climate change plans through sectoral consultations	15	0	20	35	3.4
IV. Development of Implementation plans and related activities	8. Development of a plan for capacity development for NBSAP implementation.	2.5	0	5	7.5	0.5
	9. Technology needs assessment	15	0	5	20	3.4
	10. Development of a communication and outreach strategy for the NBSAP.	2.5	0	5	7.5	0.5
	11. Development of a plan for resource mobilization for NBSAP implementation	10	0	5	15	2.27
V. Institutional, monitoring, reporting and exchange	12. Establishment/ strengthening of national coordination structures	5	0	30	35	1.13
	13. CHM development.	20	0	10	30	4.5
	14. Development of indicators and monitoring approach	10	0	10	20	2.27
	15. Fifth national reports	20	0	10	30	24.5

Total	220	0	220	440	
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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. Bio-safety National Report	30	5	30	65	5.6
2. NBSAP Revision (including 5 th National Report on Biodiversity and CHM activities)	220	0	220	440	41.12
Project Management Cost	20	0	20	40	3.7
Total Project Cost	260	5	270	535	

IV. INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTATION

- The National Reports to the Convention are prepared after series of consultation with the concerned stakeholders. These reports are approved at the level of the Minister of Environment and Forests, Government of India. The NBSAP is approved at the level of Indian Cabinet.
- Both the components on Bio-safety and Biodiversity will be guided on a day to day basis by the Director level officers in the Ministry of Environment and Forests, Government of India presently dealing with the respective subject. These 2 officers directly report to the Joint Secretary, MoEF and India's National Focal Point for CBD – also the National Project Director (NPD) for this project. NBA with its office in Chennai and New Delhi will provide the administrative support for this project with the approval of the NPD.
- The project will be monitored by MoEF both technically and financially.
- The project finances and procurement will be done by NBA as per GoI rules and in consultation with MoEF.

PART II. FINANCIAL MANAGEMENT AND PROCUREMENT SELF-ASSESSMENT

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

Grant Recipient's Name: National Biodiversity Authority (NBA), Ministry of Environment and Forests, Government of India.

Grant No.

Information to be provided by the Executing Agency	
1. Name and contact information of the Executing Agency	National Biodiversity Authority (NBA), 5 th Floor, TICEL Biopark, Taramani, Chennai – 600113, CSIR Road, Tamil Nadu, India. Telephone: 044-2254 2777, Fax: 044-2254 1200 Email (To): secretary@nbaindia.in Email (CC) : hempande@nic.in , nayanika.singh@nic.in
2. Year of registration (establishment) and years of operations	The NBA was established on 1st October 2003 as per provisions of Section 8 of the Biological Diversity Act, 2002 passed by the Indian Parliament (No.18 of 2003)
3. Experience with World Bank operations (projects financed from WB loans or credits or grants)	NBA has no experience with World Bank projects, at present. However, NBA is the national executing agency for United Nations Environment Programme (UNEP)/ Global Environment Facility project (GEF) FSP on “Strengthening the implementation of the Biological Diversity Act and Rules with focus on its Access and Benefit Sharing Provisions” which has been recently endorsed by GEF CEO. NBA is also developing and executing other externally funded projects with UNDP and Norwegian embassy in Delhi. MoEF is in the process of strengthening NBA.
4. Are there sub-grants for the operation? What are the amounts involved for sub-grants? To which entities are sub-grants allocated?	Not Applicable
5. If there are sub-grants, have you checked the WB list for debarment list to ensure eligibility of the sub-grants recipients?	Not Applicable

6. Information about financial management (FM) arrangements for the operation:	
<ul style="list-style-type: none"> Does the Executing agency have an FM or Operating Manual that describes the internal control system and FM operational procedures? 	<p>Yes, in terms of Sec.29(1) of the Biological Diversity Act, 2002, NBA shall prepare a budget, maintain proper accounts and other relevant records and prepare an annual statement of account in such form as may be prescribed by the Central Government in consultation with Comptroller and Auditor General of India. In view of the above, provisions, NBA follows the provisions of General Financial Rules, 2005 and Central Government Account (Receipts and Payments) Rules, 1983 prescribed by the Central Government for financial management in NBA. Copy of GFR, 2005 is enclosed for ready reference (Annexure -1), Web Link: General Financial Rules, 2005: finmin.nic.in/the_ministry/dept_expenditure/GFRS/GFR2005.pdf</p>
<ul style="list-style-type: none"> What accounting system is used? Is a computerized or a manual? 	<p>Tally software for accounting supported by manual system of record keeping is being followed by NBA.</p>
<ul style="list-style-type: none"> What is the staffing for accounting, auditing, and reporting functions? Does the Executing Agency have a qualified 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? 	<p>(1) NBA has a qualified accounts officer on deputation from Office of Principal Director of Audit (Scientific Department) at present supported by one regular assistant who will be in charge of managing the grant. Additional accounts/finance professionals may have to be hired to take up additional work load. The Accounts Officer has experience of handling financial transactions of GoI-UNDP Project, UNEP - GEF project on ABS and Centre for Biodiversity Policy and Law (CEBPOL) project which will be executed with Norway collaboration.</p> <p>(2) Annual auditing of accounts of NBA are taken up by O/o Principal Director of Audit (Scientific Departments), under Comptroller and Auditor General of India(C.& A.G.), New</p>

	<p>Delhi and Periodical Audit is also being carried out by Internal Audit Wing of Ministry of Environment and Forests, New Delhi.</p> <p>(3) The Annual Accounts of the NBA along with Audit Certificate of C & A.G. are placed in the Indian Parliament every year for acceptance (Annexure –II Annual Report 2009-10, Pages 41 & 42)</p>
<ul style="list-style-type: none"> Disbursement Arrangements (e.g. disbursement methods applied, supporting documentation requirements) 	<p>Central Government Account (Receipts and Payments) Rules, 1983 and orders available in Drawing and Disbursing Officers' manual are followed for disbursements. Similarly for the national and international projects same procedure is followed. (Web Link: Receipts and Payments) Rules, 1983 www.cga.nic.in/html/book4/receipts.pdf.</p>
<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) 	<p>Yes. Central Government Accounting Rules are being followed.</p>
<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? 	<p>Yes, adequate records of financial transactions are kept. The Chairperson of the NBA who is appointed by the Central Government (this position is equivalent to the Secretary to Government of India level position) under Rule 3 of the Biological Diversity Rules, 2004, is authorized to sanction and disburse payments against approved budget either him/ herself or through the Officers of the Authority vide Rule 13(5) of the Biological Diversity Rules, 2004.</p> <p>At present, the Chairperson has delegated the powers of disbursement to Administrative Officer in NBA who acts as "Drawing and Disbursing Officer" and makes payments upon the authorization/sanction.</p>
<ul style="list-style-type: none"> How often does the Executing agency produce interim financial reports? What information is presented in the financial reports? 	<p>1. NBA prepares Annual Accounts in the format prescribed in S.O.1689(E) dated 5th December 2005 notified by Government of India in the Official Gazette</p>

	<p>2. The information furnished in the financial reports are as follows:</p> <ol style="list-style-type: none"> 1. All Receipts and Payments of NBA during the year under Grants, Other income, Expenditure relating purchase of fixed assets, Revenue Expenditure like establishment expenditure, Purchases, fees paid, maintenance charges etc. 2. Income and Expenditure pertaining to the particular financial year 3. Balance Sheet showing Details of Capital Funds, Capital Receipts, Fixed Assets, other Assets, Advances/Deposits etc.
<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). 	<p>The Annual audit of Accounts of NBA is carried out by the Office of Principal Director of Audit (Scientific Departments) which functions under the Comptroller and Auditor General of India. This audit is carried out every year and Performance audit is carried out once in five years by Comptroller and Auditor General of India (CAG). The Internal audit is also carried out by the Ministry of Environment and Forests (MoEF) once in 5 years. The Audit is conducted both for certification of Annual accounts as well as for all transactions including procurement. A copy of Audit certificate along with audit observations is appended in the Annual Report placed in the Parliament for acceptance. The Audit Reports are available in the website www.cag.gov.in.</p>
<p>7. Information about Procurement arrangements for the operation:</p>	
<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? 	<p>The procurement procedures as prescribed in Manual on Policies and procedures for purchase of goods issued in 2006 by Department of Expenditure, Ministry of Finance, Government of India are being followed. As per Rule 13 of the Biological Diversity Rules, 2004, The Chairperson, NBA shall have the overall control of the day to day activities of the Authority. Procurement is being done upon the orders of the Chairperson.</p>

	<p>(Web Link: Manual on Policies and procedures for purchase of Goods http://www.du.ac.in/fileadmin/DU/DUCorner/MPProc4ProGod.pdf) (Enclosure: Annexure –III)</p>
<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? 	<p>1. Administration section in NBA under the perview of Secretary, NBA is responsible for selecting and consulting firms / individual consultants and procuring equipments and materials. The procurement is done by calling for quotations/tenders and as per the recommendations of the Purchase Committee constituted for the purpose. Selection of consultants are being done after giving adequate advertisement in the NBA website and if necessary in Newspapers as per requirement by following the Manual of Policies and Procedure of Employment of Consultants. The final approval will be given by the Chairman, NBA.</p> <p>(Web link: Manual of Policies and Procedure of Employment of Consultants http://www.du.ac.in/fileadmin/DU/DUCorner/MPProc4ProCons.pdf),(Enclosure: Annexure – IV)</p> <p>2. The staff responsible for procurement/ selection of consultants are very well conversant with Rules/Orders as prescribed by Government of India on the subject.</p>
<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? 	<p>1. There was no previous occasion in which NBA staff could have familiarization with World Bank procurement guidelines and standard procurement documents. Since this is the first time, the staff will get familiarized with the Bank procurement guidelines.</p> <p>2. However, the staff has the experience of guiding the GoI-UNDP Project in procurement procedures. The procurement/ selection of consultant for NBA / UNEP - GEF project and Centre for Biodiversity Policy and Law (CEBPOL) project will also be handled by them.</p>

<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? 	<p>While preparing the budget estimate for the year, tentative requirements are assessed and appropriate funds required for procurement are projected. However, Procurement plans as such are not prepared, since the actual procurement depends upon the allotment of funds and priority of other urgent expenditure over procurement.</p>
<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. 	<p>The procedures prescribed in “Manual of Policies And Procedure for Employment of Consultants” and “Manual on Policies and Procedures for purchase of goods” issued in 2006 by Department of Expenditure, Ministry of Finance, Government of India is being followed. (Copy of manuals is enclosed).</p>
<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? 	<p>Yes, adequate written records in respect of all procurement and contract documents are maintained. In terms of Appendix -13 to the General Financial Rules, 2005, the files, papers and documents relating to contracts, agreements etc are kept for 5 years after the contract/agreement is fulfilled or terminated. In cases where there is audit objection, they shall be preserved till objections are cleared.</p>
<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. 	<p>As of now, there is no computerized contract monitoring system in use by NBA. A Register of contracts/agreements/consultants (separately) is kept which has columns for the period of contract, terms of contract, amount payable etc. which are reviewed periodically and in particular as and when a payment becomes due or a claim is received.</p>
<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? 	<p>There has been no such occasion so far for preparation and maintenance of Black list of contractors/consultants.</p>
<ul style="list-style-type: none"> How are complaints related to selection/procurement processes and award of contracts handled by the Executing agency? 	<p>As per Sec.10 of the Biological Diversity Act, 2002, the Chairperson is the Chief Executive of the National Biodiversity Authority and complaints/grievances are heard by the</p>

	Chairperson. Government of India also monitors the settlement of grievances through Department of Administrative Reforms and Public Grievances. However, so far there has been no complaints relating to selection/procurement process and award of contracts.
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Note:

To support the relevant sections of the application forms necessary relevant documents are enclosed in the annexure also adequate links have been provided for direct access of the Government documents/ procedural manuals

Annexure-1: General Financial Rules-2005

Annexure-2: NBA Annual Report 2009-2010

Annexure -3: Manuel on Policies and Procedures for Purchase of Goods-2006

Annexure -4: Manuel of Policies and Procedure of Employment of Consultants

PART III. SIMPLIFIED PROCUREMENT PLAN

Grant Recipient's Name: National Biodiversity Authority, India

Grant No. _____

List all planned contracts for both the Bio-safety 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)						
Legal expert	5,000	NBA rules (as mentioned in Part II of this document)	1 st August 2011	30 th November 2011		Bio-safety report
Bio-safety / Bio-technology expert	7,000		1 st July 2011	31 st December 2011		
CHM expert	5,000		1 st July 2011	30 th November 2012		NBSAP revision, 5 th NR and CHM
Finance expert	4,000		1 st October 2011	31 st July 2012		
Biodiversity expert	15,000		1 st July 2011	31 st December 2012		
Project Management staff	10,000		1 st July 2011	31 st December 2012		Entire project
Estimated Consultants Total:	46,000					
Goods						
As required	20,000	As per NBA rules				
Estimated Goods Total:	20,000					
Training (excluding hiring consultants for workshops activities, includes logistical expenses only)						

Under this project, we propose to do the following consultations/ workshops.

For component I: We plan to do 2 to 3 workshops including, 2 consultation workshops for the preparation of the report. These workshops will also help create awareness on bio-safety issues amongst the concerned stakeholders. The 3rd workshop for discussing the main findings of the report.

For component II: We plan to the following workshops:-

- 1) Stocktaking workshops with State Biodiversity Boards (which will also provide information for CHM and 5th NR). We plan to do 2 to 3 such workshops.
- 2) To develop targets and indicators
- 3) To develop strategy on resource mobilization and outreach
- 4) Technology needs assessment for India
- 5) To discuss the final drafts of NBSAP and 5th NR

**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 (List below is examples for illustrative purposes. Replace with your own if/as needed)	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

2)NBSAP Revision and Related Activities	EXAMPLES. PLEASE REPLACE WITH YOUR OWN	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	15

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’.

	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	25
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.)

B. 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.**