



gef GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

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 ENABLING
ACTIVITIES THE LAND DEGRADATION FOCAL AREA**

1. All eligible Parties will have access to GEF resources, up to US\$150,000 to finance activities related to alignment of National Action Programs with the UNCCD 10-Year Strategy (i.e. NAP Alignment) and reporting process, as per obligations to the UNCCD.
2. To request support for these enabling activities through the Direct Access option, 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 land degradation 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-LD@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 the updated NAPs and national reports submitted to UNCCD by the recipient country to fulfill its Convention obligations. The country should submit the updated NAP to UNCCD with a copy sent to the GEF Secretariat, and upload the national report on the PRAIS portal to which the GEF Secretariat will be granted access.
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 ENABLING
 ACTIVITIES THE LAND DEGRADATION FOCAL AREA¹
 Under the GEF Trust Fund**

PART I: DESCRIPTION OF PROPOSED PROJECT²

Summary Project Information			
Country	Antigua and Barbuda		
Project Title	Developing a Strategic Approach to Sustainable Land Management		
Executing Agency(ies)	Environment Division, Ministry of Agriculture, Lands, Housing and the Environment		
Objectives	To assist countries in aligning their NAPs with UNCCD 10-Year Strategy To assist countries in UNCCD reporting and review process		
Total Project Costs	404,500.00USD	GEF Grant Amount (\$)	150,000USD
Country Eligibility / Country Drivenness			
Date of Ratification of UNCCD: 6th June, 1997			
Name of OFP Endorsing this proposal: Ms. Diann Black-Layne			
		Signature: 	
Implementation Details			
Start Date	1 st July, 2012	Proposal Submission Date	6 th June, 2012
Completion Date	30 th June, 2014	Project Duration (months)	24

I. DESCRIPTION OF PROPOSED PROJECT:

The GEF-5 strategy in the Land Degradation Focal Area (LDFA) has the following high level goal: To

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.

contribute to arresting and reversing current global trends in land degradation, specifically desertification and deforestation. More focus and positive incentives are needed to enhance the LDFA portfolio with ideas that meet emerging challenges and opportunities in rural production landscapes. This specific Enabling Activity (EA) is aligned with LDFA Objective 4, which is to *Increase capacity to apply adaptive management tools in Sustainable Land Management (SLM)*. This objective is intended to aid countries such as Antigua and Barbuda in national monitoring and reporting to UNCCD in the context of supporting the national and regional SLM agenda and the development of new tools and methods for better addressing the root causes and impacts of land degradation. Relevant actions that are the focus of this objective include (i) Results-monitoring of UNCCD action programs and (ii) alignment of national reporting with revised UNCCD action programs in the context of the UNCCD 10-year strategy.

This project is aimed at developing a strategic approach to Sustainable Land Management. This will be accomplished through the revision of the National Action Plan (NAP) for the UNCCD, aligning the NAP with the UNCCD 10-Year Strategy and creating provisions to facilitate the reporting and monitoring processes required by the Convention. [The UNCCD 10-Year Strategy outlines five Operational Objectives \(OO\) that are all substantially addressed in this project. The first OO \(advocacy, awareness-raising and education\) is addressed in Phase 1; the second OO \(policy framework\) in Phase 3; the third OO \(science, technology and knowledge\) in Phase 2; the fourth OO \(capacity building\) also in Phase 2 and the fifth OO \(financing and technology transfer\) in Phase 4. These phases are explicitly detailed below. Also, it is noteworthy to mention that the Strategic Objectives of the UNCCD 10-Year Strategy will be addressed specifically when complementing the work already completed on the National Physical Development Plan \(NPDP\). This is explained more in detail in the descriptions of activities planned for each phase. The NPDP and, in greater extent, the NAP will outline how the living conditions of affected populations will be improved; how the conditions of affected ecosystems will be improved; how resources to support implementation of the plan will be mobilized and how all this will contribute to generating global benefits. In summary, aligning the NAP to the NPDP is in effect aligning the NAP to the UNCCD 10-Year Strategy.](#)

The first phase of the project will be focused on reviewing the existing NAP and other relevant policy documents and bringing awareness to the major stakeholders in the process. This phase will be directly related to the 1st Component (Stocktaking, assessment and awareness-raising) outlined in Part I-II below. First of all, it will complement the work that has been done so far on the GEF-funded Sustainable Island Resource Management Mechanism (SIRMM) project which is being executed by the Implementing Agency (IA). That project had commissioned the review and update of the NPDP. This present project will ensure the completion of that activity and will work towards mainstreaming the NPDP into national priorities. During this phase there will also be a review of other relevant national plans, policies and reports. These will be accomplished through Technical and Public consultations to review such documents. The technical consultations will be among the technical staff from relevant sectoral agencies. The public consultations will be held in various communities in the country. At these consultations, the participation from Civil Society Organizations, Non-governmental Organizations and the public at large will be greatly encouraged. Their input into the process will be taken into consideration throughout this entire process and their voice will be heard. This review process will also be incorporated into the School Education Awareness Program (EAP)

headed by the IA. The EAP comprises of a group of Environmental Cadets in each school in the country at the primary, secondary and tertiary levels. Another activity planned for this first component is to engage stakeholders and technical advisory panels to review the existing NAP and its priorities for alignment. These panels will be tasked with developing the existing NAP. A final activity would be to integrate all the previously mentioned activities into the overall national communication strategy for MEAs that has already been developed and managed by the IA. (see institutional arrangements strategy)

The next phase will address capacity building specifically for the implementation of one focal area NAP. This phase will be directly related to the 2nd Component (Strengthening human and scientific capacity for NAP alignment) outlined in Part I-II below. It is anticipated that for Antigua and Barbuda this would be the capacity building for the NPDP. The NPDP is anticipated to be the focal point of the national NAP strategy and the mechanism by which the country will implement the UNCCD 10 year strategy. One of the first activities that will be accomplished in this component will be the training of relevant technical staff and stakeholders in the sustainable management of land and other environmental resources in the country. The GEF-funded SIRMM project had commissioned the creation of a national GIS system (Environmental Information Management and Advisory System – EIMAS). The primary goal of the GIS EIMAS is to assist government agencies in the access of up-to-date data on specific environmental indicators. This project will allow for additional training in the usage and management of this GIS tool. Further training will be planned towards developing specific GIS applications which will allow for the accurate assessment and management of the land resources within the country. The technicians who participate in this training will take the skills back to their respective agencies where it is assumed that they will provide their own in-house trainings. One product which will be a result of these trainings will be the updating of the relevant existing layers within the EIMAS. Also, the collaboration of the participating agencies will be improved by creating an inter-office database network that will house information for all the indicators for all the MEAs. All the components of this activity will guarantee sustainable management of a national knowledge information system which will incorporate useful traditional knowledge. Another activity that will be included in this component will be the development and review of the indicators for NAP alignment. This will involve the cooperation of all the relevant technical staff and stakeholders. Included in this activity will be the review of other national indicators developed under other MEAs, for example the biodiversity and chemical indicators. A third activity will be the identification of methodologies and sites for data collection. This will be geared towards establishing national observatory sites and national monitoring and vulnerability assessment systems. Again, the input of the relevant staff and stakeholders will be needed for the successful execution of this activity.

The third phase will bring attention to the strengthening of policy and institutional framework. This phase will be directly related to the 3rd Component (Establishing and strengthening the policy and institutional framework for NAP alignment) outlined in Part I-II below. In this phase, synergies will be created with the national NAP focal area and priorities will be placed on mainstreaming activities within the relevant sectoral agencies. The first activity in this component will be to plan sectoral consultations to identify and establish priorities in the context of agency-specific goals. Once these priorities have been established then they can be mainstreamed in the relevant sectoral policies. This would lead to the second activity which would involve collaboration with Ministries and agencies in

the development of their individual policies, for example; Ministry of Finance and their Financial Strategy, Development Control Agency and their NPDP, Ministry of Social Transformation and their National Poverty Reduction Strategy etc. The third activity will involve endeavoring to provide for Cabinet endorsement to ensure that the National Coordinating Mechanism becomes a permanent arrangement for the implementation of this and all MEAs. This will need to be taken to consultations to assure the necessary support. The fourth activity would be to establish a permanent cross-sectoral technical committee for the implementation of all MEA projects. Presently, there is one that is in effect to coordinate the activities of the GEF-funded SIRMM project. This or a similar one needs to be a permanent fixture to ensure continuity of all project related activities. The final activity within this component will be the development of a plan for NAP implementation. The same cross-sectoral technical committee that will be created in the previous activity would have the responsibility of developing a scheduled time-frame for the execution of the NAP.

The final phase will establish a financial and technological framework for the NAP implementation. This phase will be directly related to the 4th Component (Establishing the finance and technology framework for NAP implementation) outlined in Part I-II below. During this phase, a Sustainable financing mechanism will be identified and a review of the technological requirements for the NAP implementation will be conducted. The first activity that will be attempted during this phase will be to conduct a financial diagnosis to identify what resources are available for NAP implementation. The work-programs of all the relevant agencies will be reviewed and assessed to identify if any budgetary allocations exist for the execution of the NAP. Taking this into consideration and the already existing Sustainable Financing Mechanism for Biodiversity, the Integrated Financial Strategy and the Integrated Investment Framework will then be developed. The next activity will be to incorporate national priority targets from the Agriculture Policy into the NAP. This will be based on recommendations from the cross-sectoral technical committee. The final activity will be to review the technological requirements for the efficient implementation of the NAP and to develop a five year plan to acquire this.

Co-financing for the activities in this component will be provided by the Government of Antigua and Barbuda in the form of cash and in-kind contributions. The cash contributions from the government will cover fuel and maintenance costs associated with local transportation. Specific contributions for individual phases include: *Phase 1* – Initiating a grant program to provide funding to schools to develop activities directly related to the review process; *Phase 2* – Establishing the inter-office database network to allow for proper management and updating of the EIMAS. *Phase 3 and 4* – Cash contributions will be spent mostly on local transportation. In-kind contributions from the government will be in the form of work-hours that the technical officers in the various agencies dedicate to this component. All over-time work hours will also be included. This is a summary with respect to the individual phases: *Phase 1* – hours dedicated to reviewing the existing NAP and the other relevant policy documents; *Phase 2* –hours dedicated to reviewing and developing the indicators for the NAP alignment, identifying methodologies and sites to use for the data collection; *Phase 3* – hours dedicated to the strengthening of policy and institutional framework. Technical officers involved in this phase will span a wide range of government agencies due to inter-office consultations that are required and *Phase 4* – hours dedicated to the establishing of a financial and technical framework. The technical officers involved in these processes will come from The Ministry of Agriculture, Lands,

Housing and the Environment; The Ministry of Finance, The Economy and Public Administration; Ministry of Legal Affairs and Ministry of Health, Social Transformation & Consumer Affairs. The GEF funds will be used for communication, purchasing and rental of audio visual equipment, information technology equipment and refreshments for the consultations and meetings. Also, the funds will be used for travelling between Antigua and Barbuda which is a twin-island territory. With respect to the individual phases here is a summary: *Phase 1* – hiring local and international consultants to prepare and deliver materials and documents for the workshops and meetings; *Phase 2* – hiring international consultants (includes travel, consultation fees, accommodations and stipends) and the acquisition of data and software from local and international sources; *Phase 3* – hiring local consultants for the workshops and meetings and *Phase 4* – hiring local consultants to develop the integrated financial strategy and the integrated investment framework.

In addition to the revision of the NAP and its alignment to the UNCCD 10-Year Strategy, this project will also focus on the reporting and review process required by the Convention. Activities related to this outcome will be carried out throughout the life of the project. One of the first activities will include developing training guidelines for indicator-based reporting to ensure that the reporting process complies with the standard requirements of the Convention. Once this has been accomplished, the relevant stakeholder training in the reporting methodologies, procedures and tools will then proceed. The IA will guarantee the establishment of a data gathering and knowledge management system for the reporting and review process. This will be accomplished through the formation of an inter-agency network which will exchange information and provide support to each other. The IA will serve as the reference center for acquiring further knowledge and know-how on UNCCD reporting and will be responsible for the maintenance of this system. There will be constant monitoring to ensure that the quality of data that is submitted will be in accordance with the standards established by the Convention. The consultative processes will involve establishing a committee of technical officers from the relevant stakeholders. This committee will participate in workshops planned for the launch of the reporting process. After the data has been collected and compiled by the relevant stakeholders then the draft report will be prepared. This compilation of data will then be presented to the committee before being formally submitted through the PRAIS portal. Efforts will be spent in developing a plan to ensure that this entire reporting and review system is in place for the long-term monitoring of the UNCCD implementation. Also, a process will be developed to integrate and harmonize the UNCCD land degradation indicators with other relevant indicators developed for GEF, Rio Conventions and other existing databases.

In the second component, the co-financing for the activities for this component will also be provided by the Government of Antigua and Barbuda in the form of cash and in-kind contributions. This component is dedicated to the reporting and review process. The majority of the government's input will be in the form of in-kind contributions. Never the less, the fuel and maintenance of government vehicles used for transportation to and from various government agencies, meetings and workshops will also be bought and provided for by the government. In-kind contributions will be in the form of the work-hours spent by the various technical officers. These officers will form an inter-office technical committee which will be directly involved in the reporting process. Many hours will be spent participating in workshops and consultations. As explained previously, over-time work-hours will also be included in these contributions. The GEF funds will be used to hire local and international

consultants to develop the training guidelines and materials to ensure that the reporting process complies with the reporting requirements of the Convention. These funds will also be utilized for communication, printing of training materials and providing all the refreshments for the consultations and meetings.

It is estimated that to properly and efficiently manage all these activities, 10% will be allocated for project management. This will also cover the preparation of financial reports to the national and international sectors (Ministry of Finance and GEF)

II. ACTIVITIES AND BUDGET:³

A) PROPOSED DETAILED BUDGET FOR ALIGNMENT AND RELATED ACTIVITIES (US\$'000)

Implementation Period:		Start: 1 st July, 2012	End: 30 th June, 2014			
Components	Relevant Activities	Proposed GEF Grant	Co-Financing		Total Project Financing	GEF Grant as % of Total
			Cash	In-kind		
I. Stocktaking, assessment and awareness raising	1. Rapid stocktaking and review of relevant plans, policies and reports	1,000.00	1,000.00	3,000.00	5,000.00	0.20
	2. Consultations for awareness raising	20,000.00	8,000.00	20,000.00	48,000.00	0.42
	3. Review of existing NAP and priorities for alignment	5,000.00	2,000.00	10,000.00	17,000.00	0.29
	4. Development of a communication and outreach strategy for the NAP implementation.	1,000.00	0.00	10,000.00	11,000.00	0.09
II. Strengthening human and scientific capacity for NAP alignment	1. Training in use and application of indicators, monitoring and evaluation and in the gathering of data	35,000.00	15,000.00	20,000.00	70,000.00	0.50
	2. Establishing a harmonized biophysical and socio-economic baseline and drought warning system	0.00	5,000.00	10,000.00	15,000.00	0.00

³ In preparing these proposed GEF funding tables, please note that all activities targeted for GEF grant must be based on evidence of clear need as expressed in the Project Description. For countries that have benefited from prior GEF support, such as through the National Capacity Self Assessments and the LDC-SIDs project led by UNDP, due consideration must be given to achievements from those investments.

	3. Developing and or reviewing indicators for NAP alignment and implementation taking into account national peculiarities	5,000.00	1,000.00	5,000.00	11,000.00	0.45
	4. Establishing of national observatory sites and national monitoring and vulnerability assessments system	0.00	10,000.00	15,000.00	2,500.00	0.00
	5. Creation of a national knowledge management system including useful traditional knowledge	6,000.00	1,000.00	5,000.00	12,000.00	0.50
III. Establishing and strengthening the policy and institutional framework for NAP alignment and implementation	1. NAP review to identify and establish priorities in the context of development planning, poverty reduction and climate change plans through sectoral consultations	9,500.00	1,000.00	10,000.00	20,500.00	0.46
	2. Mainstreaming of NAP priorities in relevant sectoral policy synergies	1,000.00	0.00	3,000.00	4,000.00	0.25
	3. Establishment/ strengthening of national coordination structures	1,000.00	0.00	5,500.00	6,500.00	0.15
	4. Building or firming up cross-sectoral institutional mechanisms	1,000.00	0.00	2,000.00	3,000.00	0.33
	5. Development of a plan for NAP implementation.	4,500.00	1,500.00	3,000.00	9,000.00	0.50
IV. Establishing the finance and technology framework for NAP	1. Conducting a diagnosis financial of resources available for NAP implementation	0.00	0.00	2,500.00	2,500.00	0.00

implementation	2. Development of the Integrated Financial Strategy and the Integrated Investment Framework	4,500.00	0.00	4,500.00	9,000.00	0.50
	3. Updating of NAP to accommodate priorities, including national targets for investment 5.	2,000.00	0.00	2,500.00	4,500.00	0.44
	4. Identification of technology that will be applied in NAP alignment	2,000.00	0.00	2,000.00	4,000.00	0.50
	5. Identification of technology transfer needs for NAP implementation	0.00	1,500.00	2,500.00	4,000.00	0.00
Total		98,500.00	47,000.00	133,500.00	279,000.00	0.35

B) PROPOSED DETAILED BUDGET FOR ACTIVITIES RELATED TO REPORTING AND REVIEW PROCESS
(US\$'000)

Implementation Period: Start: 1st July, 2013 End: 30th June, 2014						
Output	Activities	Proposed GEF Grant	Co-Financing		Total Project Financing	GEF Grant as % of Total*
			Cash	In-kind		
I. Strengthening human and scientific capacity for implementation of indicator-based monitoring and assessment	1. Understanding and application of methodologies for indicator-based reporting which comply with the reporting requirements of the UNCCD	2,500.00	1,000.00	3,000.00	6,500.00	0.38
	2. Training national level stakeholders in the reporting methodologies, procedures and tools	12,500.00	2,500.00	10,000.00	25,000.00	0.50
	3. Establishment of data gathering and knowledge management systems for the reporting and review process	0.00	0.00	5,000.00	5,000.00	0.00
	4. Maintaining data flow to the knowledge management systems	0.00	0.00	2,500.00	2,500.00	0.00
	5. Establishing data quality insurance systems before report submission	2,500.00	1,000.00	2,500.00	6,000.00	0.42
	6. Ensure liaison with Reference Centers (Helpdesk) for acquiring further knowledge and know-how on UNCCD reporting	0.00	0.00	3,000.00	3,000.00	0.00
II. Preparing reports for the second leg of the fourth reporting and review process	1. Establishment of appropriate consultative processes	0.00	0.00	2,000.00	2,000.00	0.00
	2. Stakeholder assessment and workshop on the launch of the reporting process (impact assessment, performance review, best practices and financial flows)	8,000.00	2,500.00	5,500.00	16,000.00	0.50
	3. Preparation of the draft report	5,000.00	1,000.00	4,000.00	10,000.00	0.50
	4. National validation					

	workshop to review and finalize the report	2,000.00	1,000.00	2,000.00	5,000.00	0.40
	5. Submission of the report through the PRAIS portal	0.00	0.00	3,000.00	3,000.00	0.00
III. Enhancing national ownership of the reporting process	1. Improvement of the linkages of UNCCD reporting and implementation with national development priorities	0.00	1,000.00	2,500.00	3,500.00	0.00
	2. Development of a plan to make use of the established system for long-term monitoring of the UNCCD implementation	3,000.00	0.00	3,000.00	6,000.00	0.50
IV. Harmonizing to the level possible of the indicator data and knowledge bases of GEF, Rio Conventions, MEA IKM and other databases relevant to land degradation	1. Application of a conceptual approach for harmonization of indicator data and knowledge bases of GEF, Rio Conventions, MEA IKM and other databases relevant to land degradation	6,000.00	1,000.00	5,000.00	12,000.00	0.50
Total		41,500.00	11,000.00	53,000.00	105,500.00	0.39

*Total GEF grant as percentage of total project cost.

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. NAP Alignment	98,500.00	47,000.00	133,500.00	279,00.00	0.35
2. Reporting and Review Process	41,500.00	11,000.00	53,000.00	105,500.00	0.39
Project Management Cost	10,000.00	0.00	10,000.00	20,000.00	0.50
Total Project Cost	150,000.00	58,000.00	196,500.00	404,500.00	0.37

III. INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTATION

The Environment Division is the National Focal Point for the UNCCD Convention in Antigua and Barbuda. This will be the agency responsible for executing this project and preparing all necessary reports. The Division has had a long relationship with the Convention and has been constantly engaged in all activities and projects that have been promoted by the UNCCD. This is the agency responsible for attending all the meetings and preparing all the reports that are requested by the UNCCD. The Division has long acknowledged that land degradation and desertification is a growing concern to all and has pledged to support the Convention's new integrated approach to the problem, emphasizing action to promote sustainable development at the community level.

The Division will be using the existing project management structure of the GEF SIRMM project currently being implemented in Antigua and Barbuda. The management structure that the SIRMM project uses is comprised of a Project Manager, a Project Coordinator, a Project Coordinating Committee (PCC) and various technical staff. The Project Manager will oversee the overall management and supervision of the project while the Project Coordinator organizes the day-to-day execution of activities developed by the project and is also chair to the PCC. The PCC consists of members from a wide cross section of government and non-government agencies. These include representatives from the Ministry of Finance, Forestry Division, Development Control Authority, National Office of Disaster Services, Legal Affairs, Analytical Services Department, Antigua Public Utilities Authority (Water Division), Central Board of Health, Information Technology Centre, Lands Division, Surveys Division, Fisheries Division, Ministry of Tourism, Agriculture Extension, Barbuda Council, Environmental Awareness Group, National Parks Authority and Gilbert Agriculture and Rural Development Centre. The PCC is responsible to make all technical and procurement decisions. The technical staff is responsible to coordinate specific activities and/or manage 'on-the-ground' demo projects.

This project will use the same management structure explained above. The project will use the existing financial and decision making processes with a project coordinator and the PCC. The only addition is that the project will be assigned a technical officer to work directly on the project and only on the project. This will be part of the co-financing from the Government.

It is widely known that within Antigua and Barbuda there is a higher proportion of qualified degreed females who work directly in the Environment field in comparison to males. Presently, on the SIRMM project there are only three males of the 11 staff. This present project will adopt the same project management structure as the SIRMM project and it is highly likely that the higher proportion of females to males will be maintained. Never the less, there will be a constant effort to incorporate more males into the implementation of this project.

The capacities developed throughout this project will contribute significantly to the sustainability of the project's outcomes. The relevant technical staff will be trained in the already existing GIS EIMAS. Each agency will be responsible to manage their specific layer in this GIS system which will ultimately contribute to the updating of the entire system. In addition, the GIS applications that will be developed will allow for the accurate assessment and management of the land resources within the country. This is an ongoing process which can only be properly managed if the relevant technicians possess the skills required. The capacity building training that these technicians will receive will allow

them to execute their job professionally and provide up-to-date data on indicators that will need to be updated during the reporting and monitoring process.

Details on the financial management and procurement processes are available in Part II of this document.

PART II. FINANCIAL MANAGEMENT AND PROCUREMENT SELF-ASSESSMENT

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

Grant Recipient's Name: Environment Division

Grant No.

Information to be provided by the Executing Agency	
1. Name and contact information of the Executing Agency	Environment Division #1 Prime Minister's Office Drive/Factory Road St. John's, Antigua Tel. (268) 462-4625; (268) 562-2568
2. Year of registration (establishment) and years of operations	Government Agency established since 1997.
3. Experience with World Bank operations (projects financed from WB loans or credits or grants)	The Division has received a GEF grant for the NPFE process (grant approved and yet to be disbursed).
4. Are there sub-grants for the operation? What are the amounts involved for sub-grants? To which entities are sub-grants allocated?	No sub-grants anticipated.
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:	
<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? 	Yes, there is a manual available for the management of International Grant Funding. For Government funding there is a national procedure for this process.
<ul style="list-style-type: none"> What accounting system is used? Is a computerized or a manual? 	The accounting system is computerized and the program used is Quickbooks.
<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? 	There are no qualified accountants but there are trained accounting officers. We use private sector accounting firms (procured on a competitive basis). The grant will be held in trust by an accounting firm that was procured via a competitive bidding process and the review of expenditure will be done by a

	<p>private firm procured by the office of the treasury department to provide a report of use of the funds.</p> <p>Within the Division there is one senior accounting officer and two junior assistants. Reports on expenditures for the project are submitted to the Planning Department of the Ministry of Finance (PSIP office).</p> <p>The project coordinator will be responsible to ensure that the accounts are kept in order and there is a Project Coordinating Committee (PCC) which will oversee all procurement. Permission for procurement will be indicated on the payment vouchers.</p>
<ul style="list-style-type: none"> • Disbursement Arrangements (e.g. disbursement methods applied, supporting documentation requirements) 	<p>After a procurement procedures are followed, disbursements are recorded in a requisitions form. This is verified and authorized by two different signatories. These signatories are usually the project officer or coordinator and the head of the department or project manager.</p> <p>Disbursements are authorized and made along with the necessary supporting documents such as contracts, invoices etc.</p> <p>The cheques are prepared and require one signature from the Environment Division and one from the Ministry or the Treasury Department. This process takes about 7 working days.</p> <p>Disbursements are made directly to vendor or consultants, for goods and services directly based on them having to first meet milestones. The amount and timing of disbursements are made after a review of a technical advisory committee. In the case of services for example the committee has two weeks to review the services provided and if satisfied the approval is granted to pay. Payment thereafter normally takes an average of 7 days.</p>

	<p>Each project has a dedicated account. If however the amount is less than 20,000.00USD this is placed within a Misc account.</p> <p>The cheques do not have a ceiling at this time, this is however being contemplated.</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>The Division has bank accounts and accounting systems that can have disbursement requests being made within 7 working days. Audits on all of the accounts currently in existence are conducted on an annual basis.</p> <p>The Division is currently implementing a national GEF project and disbursement records and accounting performance are available for review.</p> <p>All accounts are in a reputable commercial banks.</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. The Division produces monthly reconciliation reports, cash statements, bank records etc. The Division also keeps records of all transactions including bank charges etc. The information can be sourced online as well.</p> <p>Payments are authorized by the head of the agency, Project coordinator and or the Chair of the PCC (require two signatures). The Permanent Secretary can also authorize payments in the event any of the above are absent.</p>
<ul style="list-style-type: none"> How often does the Executing agency produce interim financial reports? What information are presented in the financial reports. 	<p>Financial statements are produced monthly for the Ministry of Finance, quarterly for the Funding agency and annually for finance and funding agency. If there is an ad hoc report required this can be prepared within 48 hrs.</p>
<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 	<p>Yes. The agency is audited by private auditing firms that are contracted by the</p>

<p>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>	<p>funding agency themselves or nationally by the executing agency. They are procured via a competitive bidding process.</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 rules and procedures that exist are documented and based on those of UNDP. These are followed in procurement over 5000.00USD. The selection of the provision of goods or services is done by the PCC.</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>The project coordinator is overall responsible for the procurement process. The Project coordinator is a member of the PCC (see information on the composition of the PCC in the Institutional Arrangements section above).</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>The procedures we use were designed by a consultant with World Bank experience and it is these procedures that are followed.</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>The Division has never had the need to use the Government's procurement plans and procedures. However they are regularly used on behalf of the Division by other agencies that are responsible for centralized procurement e.g construction, office supplies and transportation. These are the main areas where procurement would be required and these are centralized within the Government.</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. 	
<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. There are kept in office, both in printed and digital format and are kept indefinitely.</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? 	<p>We do not use a contract report per se, the PCC reviews the deliverables and determine if they were completed as agreed. If satisfactory</p>

<p>execution? Attach a sample report if available.</p>	<p>it is noted within the Minutes of the meeting (once per month) and transferred to the project manager. This triggers the payment.</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>No. However, there are value judgments that are used to determine if a vendor is credible or not. In a small country like ours black lists are not used.</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>We have never received such a complaint but if we did this would be handled with the assistance of the office of the Attorney General, the Permanent Secretary and/or Minister and we could call for a review of the procedures to see if there were any abnormalities.</p>

PART III. SIMPLIFIED PROCUREMENT PLAN

Grant Recipient's Name: Antigua and Barbuda

Grant No. _____

List all planned contracts for both the NAP Alignment and Reporting 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)						
Research and assessment of all relevant documents for NAP alignment	5000	Terms of Reference developed by the Project Coordinating team and advertised in local media.	Unknown	Unknown	Not Applicable	Very crude estimates
Integration of project's public awareness priorities into the national communication strategy.	7500	Terms of Reference developed by the Project Coordinating team and advertised in local media.	Unknown	Unknown	Not Applicable	Very crude estimates
Designing of a policy and institutional framework for NAP alignment.	1750	Terms of Reference developed by the Project Coordinating team and advertised in local media.	Unknown	Unknown	Not Applicable	Very crude estimates
Designing of an integrated financial strategy.	2000	Terms of Reference developed by the Project Coordinating team and advertised in local media.	Unknown	Unknown	Not Applicable	Very crude estimates
Training in application development for Geographic and Land Information Systems	5000	Terms of Reference developed by the Project Coordinating team and advertised in local media.	Unknown	Unknown	Not Applicable	Very crude estimates

Development of training guidelines, training in reporting procedures and compilation of data for the reporting process.	20000	Terms of Reference developed by the Project Coordinating team and advertised in local media.	Unknown	Unknown	Not Applicable	Very crude estimates
Execution of activities for the project management.	15000	Terms of Reference developed by the Project Coordinating team and advertised in local media.	Unknown	Unknown	Not Applicable	Very crude estimates
Estimated Consultants Total:	56250					
Goods						
Estimated Goods Total:						
Training (excluding hiring consultants for workshops activities, includes logistical expenses only)						
		Not applicable				
Estimated Training Total:						
Total Estimated Cost:						

**PREPARATION GUIDELINES FOR PART I:
PROPOSAL FOR UNCCD 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 Land Degradation 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

- a) **Date of Ratification of UNCCD:** Please refer to UNCCD website
- 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

This section should describe the overall rationale for the enabling activities and description of components for which financing is being requested. Note that Enabling Activities funded under the Land Degradation Focal Area will focus on delivery of two major outputs reflected in the UNCCD 10-year Strategy as approved by the Conference of Parties (decision 3/COP.9). The first deals with the request of affected country Parties to align their National Action Programs (NAPs) with the operational and strategic objectives identified in The Strategy. The second is on reporting and monitoring by Parties (decisions 11/COP.9 - 13/COP.9) taking into consideration the outcome of the reporting in 2010. This should be based on the iterative process on provisionally adopted performance indicators that will be considered by COP 10. Finally, Enabling Activities should also as a matter of priority include provisions that will help affected country Parties to report

against new impact indicators with the relating reporting methodologies to be decided upon by the Committee on Science and Technology and COP 10.

II: ACTIVITIES AND BUDGET

Provide the sources of financing, i.e., amount to be financed by the GEF grant and co-financing sources.

- A. **Section A** should list proposed detailed budget for NAP alignment and includes both GEF grant requested and anticipated cofinancing.
- B. **Section B** should list proposed detailed budget for reporting and review process and includes both GEF grant requested and co-financing sources.
- C. **Section C** is a summary of all items proposed for this grant

III: INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTATION

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

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

Grant Recipient's Name: Name of the Local/National Executing Agency

GEF Grant No.: (To be provided by GEFSEC.)

A. INFORMATION TO BE PROVIDED BY THE EXECUTING AGENCY

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

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

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

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

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

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

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

D) PROJECT MANAGEMENT COST (US\$)

Cost Items ⁴	Total Estimated Person Weeks/Months	Grant Amount	Co-financing	Project Total
Local consultants	104.00	12,480	35,000	47,480
International consultants	0.00	0		
Office facilities, equipment, materials and communications		0		
Travel		2,520	3,000	5,520
Others ⁵	Specify "Others" (1)			
	Specify "Others" (2)			
Total	104.00	15,000	38,000	53,000

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

Position Title	\$/Person Week ⁶	Estimated Person Weeks ⁷	Tasks To Be Performed
For Project Management			
Local			
Project Manager	40	104	Oversees the overall management and supervision of the project.
Project Coordinator	50	104	Organizes the day-to-day execution of activities developed by the project and is also chair to the Project Coordinating Committee.
Project Coordinator Assistant	30	104	Assists the project coordinator with the daily execution of activities.
International			
Justification for travel, if any: Antigua and Barbuda is a twin-island state and the Project Coordinator and assistant will need to travel frequently between the two islands. There will not be any need for			

⁴ Details to be provided in the following table (Table E).

⁵ For others, to be clearly specified by overwriting fields (1) and (2).

⁶ Provide dollar rate per person week.

⁷ Total person weeks needed to carry out the tasks.

international travelling within the life of this project.

For Technical Assistance			
Local			
Public Awareness and Communications Specialist	750	10	Plan and organize the awareness raising consultations in Phase 1 and to integrate this component of the project into the national communication strategy for MEAs.
Research and Assessment Specialist	500	10	Review and compile all existing plans, policies and reports necessary for the NAP alignment process. Coordinate with relevant agencies to conduct a needs assessment for the NAP alignment.
Policy and Financial Analyst	750	5	To identify and establish priorities in all necessary contexts with respect to NAP alignment. Devise a plan to mainstream these priorities into the relevant sectoral policies. Drafting the integrated financial strategy.
International			
Geographic Information Systems Senior Analyst	1,000	5	Developing a manual and schedule for all necessary GIS trainings.
Data Analyst	1000	20	Develop training guidelines for indicator-based reporting. Training in the reporting methodologies, procedures and tools. Compilation of data for the reporting process

Justification for travel, if any: The different specialists will need to travel between the twin-island states of Antigua and Barbuda.