

## **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](mailto: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 AREA<sup>1</sup>  
 Under the GEF Trust Fund**

**PART I: DESCRIPTION OF PROPOSED PROJECT<sup>2</sup>**

<b>Summary Project Information</b>			
<b>Country</b>	Bhutan		
<b>Project Title</b>	NAP Alignment and Report preparation		
<b>Executing Agency(ies)</b>	National Soil Services Centre, Department of Agriculture, MoAF		
<b>Objectives</b>	To assist countries in aligning their NAPs with UNCCD 10-Year Strategy To assist countries in UNCCD reporting and review process		
<b>Total Project Costs (\$)</b>	195,300	<b>GEF Grant Amount (\$)</b>	150,000
<b>Country Eligibility / Country Drivenness</b>			
<b>Date of Ratification of UNCCD:</b>			
<b>Name/Position of OFP Endorsing this proposal:</b>		<b>Signature:</b>	
<b>Implementation Details</b>			
<b>Start Date</b>	February 1, 2012	<b>Proposal Submission Date</b>	
<b>Completion Date</b>	July 31, 2012	<b>Project Duration (months)</b>	6

<sup>1</sup> Proposal preparation guidelines are provided in Annex 1.

<sup>2</sup> 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.

## I. DESCRIPTION OF PROPOSED PROJECT:

**Bhutan acceded to the UNCCD in August 2003. As an obligation under the UNCCD, Bhutan prepared its National Action Program (NAP) to combat land degradation in 2009 and was approved by the Cabinet Ministers on 7<sup>th</sup> April 2011. However, during the process of NAP preparation, alignment obligation with the UNCCD 10 year strategy was not realized. Furthermore, as a party member to the UNCCD, it is obliged to make the national reporting. Bhutan has submitted its report for the 4<sup>th</sup> National Reporting Cycle (NRC) in November 2010 using PRAIS protal. Bhutan is now intending to initiate preparing report for the 5<sup>th</sup> NRC. Therefore, this project is proposed to undertake the following two activities:**

- 1) Align NAP with the UNCCD 10 year strategy (2008-2018), and**
- 2) To initiate reporting and review process for the 5<sup>th</sup> NRC.**

## II. ACTIVITIES AND BUDGET:<sup>3</sup>

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

Implementation Period: Start:		End:				
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	2000		700	2700	65
	2. Consultations for awareness raising	18000		6300	24600	65
	3. Review of existing NAP and priorities for alignment	3000		1050	4050	65
	4. Development of a communication and outreach strategy for the NAP implementation.	3000		1050	4040	65

<sup>3</sup> 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.

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	10000		3500	13500	65
	2. Establishing a harmonized biophysical and socio-economic baseline and drought warning system	2000		700	2700	65
	3. Developing and or reviewing indicators for NAP alignment and implementation taking into account national peculiarities	5000		1750	6750	65
	4. Establishing of national observatory sites and national monitoring and vulnerability assessments system	5000		1750	6750	65
	5. Creation of a national knowledge management system including useful traditional knowledge	3000		1050	4050	65
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	10000		3500	13500	65
	2. Mainstreaming of NAP priorities in relevant sectoral policy synergies	15000		5250	20250	65
	3. Establishment/ strengthening of national coordination structures	2000		700	2700	65
	4. Building or firming up cross-sectoral institutional mechanisms	2000		700	2700	65
	5. Development of a plan for NAP implementation.	5000		1750	6750	65
IV. Establishing the finance and technology framework for NAP implementation	1. Conducting a diagnosis financial of resources available for NAP implementation	5000		1750	6750	65
	2. Development of the Integrated Financial Strategy and the Integrated Investment Framework	5000		1750	6750	65
	4. Updating of NAP to accommodate priorities, including national targets for investment 5.	3000		1050	1050	65
	5. Identification of technology that will be applied in NAP alignment	1000		350	1350	65

	6. Identification of technology transfer needs for NAP implementation	1000		350	1350	65
<b>Total</b>		100000		35000	135000	65

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

Implementation Period: Start: End: 0						
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	2000		700	2700	65
	2. Training national level stakeholders in the reporting methodologies, procedures and tools	6000		2100	8100	65
	3. Establishment of data gathering and knowledge management systems for the reporting and review process	4000		1400	5400	65
	4. Maintaining data flow to the knowledge management systems	1000		350	1350	65
	5. Establishing data quality insurance systems before report submission	1000		350	1350	65
	6. Ensure liaison with Reference Centers (Helpdesk) for acquiring further knowledge and know-how on UNCCD reporting	0		0	0	0
II. Preparing reports for the second leg of the fourth reporting and review process	1. Establishment of appropriate consultative processes	0		0	0	0
	2. Stakeholder assessment and workshop on the launch of the reporting process (impact assessment, performance review, best practices and financial flows)	2000		700	2700	65
	3. Preparation of the draft report	6000		2100	7100	65
	4. National validation workshop to review and finalize the report	2000		700	2700	65
	5. Submission of the report through the PRAIS portal	0		0	0	0

III. Enhancing national ownership of the reporting process	1. Improvement of the linkages of UNCCD reporting and implementation with national development priorities	4000		1400	5100	65
	2. Development of a plan to make use of the established system for long-term monitoring of the UNCCD implementation	3000		1050	4050	65
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	4000		1400	5100	65
<b>Total</b>		35000		12250	47250	65

\*Total GEF grant as percentage of total project cost.

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

Project Components (activity description in table above)	Proposed GEF Grant	Co-Financing		Total Project Financing	GEF Grant as % of Total
		Cash	In-kind		
1. NAP Alignment	100000		35000	135000	65
2. Reporting and Review Process	35000		12250	47250	65
Project Management Cost*	15000		5250	20250	65
<b>Total Project Cost</b>	150000		52500	202500	65

\*Please provide detailed project management cost in the following tables (Tables D & E)

**D) PROJECT MANAGEMENT COST (US\$)**

Cost Items <sup>4</sup>	Total Estimated Person Weeks/Months	Grant Amount	Co-financing	Project Total
Local consultants	6 weeks @ US\$250/day	10,000	3,500	13,500
International consultants	0.00	0	0	0
Office facilities, equipment, materials and communications		5,000	1,750	6,750
Travel		0	0	0
Others <sup>5</sup>	Specify "Others" (1)	0	0	0
	Specify "Others" (2)	0	0	0
<b>Total</b>		15,000	5,250	20,250

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

Position Title	\$/Person Week <sup>6</sup>	Estimated Person Weeks <sup>7</sup>	Tasks To Be Performed
<b>For Project Management</b>			
Local			
Align NAP	1,666	4	NAP alignment with UNCCD 10 year strategy (2008-2018)
Report preparation	1,666	2	Prepare report for 5 <sup>th</sup> NRC
International			
Justification for travel, if any: To cover the travel cost of international consultant(s) who will be brought in to train national stakeholders on: 1) use and application of indicators and reporting methodologies, procedures and tools, and 2) establish data gathering and knowledge management system for reporting and reviewing process.			
<b>For Technical Assistance</b>			
Local			

<sup>4</sup> Details to be provided in the following table (Table E).

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

<sup>6</sup> Provide dollar rate per person week.

<sup>7</sup> Total person weeks needed to carry out the tasks.



International			
Justification for travel, if any:			

### III. INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTATION

**The project will be implemented by the National Soil Services Centre (NSSC) of the Department of Agriculture (DoA), Ministry of Agriculture & Forests (MoAF) with the overall technical advice to be provided by the Multi-sectoral Technical Advisory Committee (MTAC) consisting of members from relevant ministries and agencies. The MTAC has been very instrumental in overall functioning and successful implementation of two Sustainable Land Management (SLM) Projects funded by Global Environmental Facility (GEF) through the UNDP (2007-2010) and GEF through the World Bank (2006-2012).**

June 22, 2011

## PART II. FINANCIAL MANAGEMENT AND PROCUREMENT SELF-ASSESSMENT

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

**Grant Recipient's Name:** Department of Agriculture, Ministry of Agriculture & Forests

**Grant No.**

<b>Information to be provided by the Executing Agency</b>	
1. Name and contact information of the Executing Agency	National Soil Services Centre (NSSC), Department of Agriculture, Ministry of Agriculture & Forests  Tel. No.: +975-2-351037  Fax No.: +975-2-351038  Web: www.nssc.gov.bt
2. Year of registration (establishment) and years of operations	1997 and 14 years
3. Experience with World Bank operations (projects financed from WB loans or credits or grants)	Is currently implementing a six year project on Sustainable Land Management (2006-2012) with a grant amount of US\$7.66 million
4. Are there sub-grants for the operation? What are the amounts involved for sub-grants? To which entities are sub-grants allocated?	No
5. If there are sub-grants, have you checked the WB list for <a href="#">debarment list</a> to ensure eligibility of the sub-grants recipients?  <a href="http://intranet.worldbank.org/servlet/main?theSitePK=278020&amp;querycontentMDK=64069700&amp;piPK=64147837&amp;pagePK=64147838&amp;menuPK=60000357&amp;contentMDK=64069844">http://intranet.worldbank.org/servlet/main?theSitePK=278020&amp;querycontentMDK=64069700&amp;piPK=64147837&amp;pagePK=64147838&amp;menuPK=60000357&amp;contentMDK=64069844</a>	NA
<b>6. Information about financial management (FM) arrangements for the operation:</b>	
<ul style="list-style-type: none"> <li>Does the Executing agency have an FM or Operating Manual that describes the internal control system and FM operational procedures?</li> </ul>	Yes, the executing agency is fully governed by the Financial Rules and Regulations (FRR) 2001 of the Royal Government of Bhutan (RGoB) which consists of FM manual, Budget manual, Finance and Accounting manual and Property Management manual.
<ul style="list-style-type: none"> <li>What accounting system is used? Is a computerized or a manual?</li> </ul>	The accounting system in use is called Public Expenditure Management System (PEMS) and is fully computerized.

<ul style="list-style-type: none"> <li>• 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?</li> </ul>	<p>The accounting and reporting functions are currently looked after by a full time, well qualified and highly experienced accountant. The accountant is known for his financial professionalism and has been looking after the GEF/World Bank funded SLM project for past five years.</p>
<ul style="list-style-type: none"> <li>• Disbursement Arrangements (e.g. disbursement methods applied, supporting documentation requirements)</li> </ul>	<p>Disbursement is done based on the supporting documents.</p>
<ul style="list-style-type: none"> <li>• 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)</li> </ul>	<p>Yes, the executing agency follows the Government's fund flow mechanism.</p>
<ul style="list-style-type: none"> <li>• 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?</li> </ul>	<p>Yes, the executing agency is mandated to keep adequate records of all the financial transactions. The payment is authorized by the head of the executing agency following the financial rules and regulations and the administrative powers bestowed upon her. The payment is made jointly by the head of the EA and the accountant.</p>
<ul style="list-style-type: none"> <li>• How often does the Executing agency produce interim financial reports? What information are presented in the financial reports.</li> </ul>	<p>The interim financial report or IFR is produced quarterly and it contains statements of sources &amp; use of funds, expenditure, account reconciliation &amp; cash projection and payment made during the reporting period.</p>
<ul style="list-style-type: none"> <li>• 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).</li> </ul>	<p>Yes, the EA is audited annually by the Royal Audit Authority (RAA). It covers financial, performance and procurement audits. All the audit reports are made public by the Royal Audit Authority (RAA) through publication of reports.</p>
<p><b>7. Information about Procurement arrangements for the operation:</b></p>	
<ul style="list-style-type: none"> <li>• 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?</li> </ul>	<p>The EA is governed by the Procurement Management Manual of the Royal Government of Bhutan.</p>

<ul style="list-style-type: none"> <li>Who does procurement in the Executing agency (which unit(s) is responsible for selecting &amp; contracting consulting firms, individual consultants, equipment &amp; materials) ; what are the qualifications of staff responsible for procurement?</li> </ul>	<p>The procurement is done by the Administrative unit who also undertakes the Procurement responsibilities. All the procurements are done in line with the Procurement Management Manual of the RGoB and that of the World Bank. The staff responsible for procurement is well experienced and has attended various workshops and trainings on World Bank procurement methods and procedures.</p>
<ul style="list-style-type: none"> <li>Does the Executing agency have qualified procurement staff that are familiar with Bank procurement Guidelines and standard procurement documents?</li> </ul>	<p>Yes, the EA has qualified and well experienced procurement staff who is familiar with the Bank procurement Guidelines and standard procurement documents as the EA is currently implementing a World Bank funded SLM project.</p>
<ul style="list-style-type: none"> <li>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?</li> </ul>	<p>Yes, the EA is currently using procurement plan for planning and managing procurement activities especially pertaining to the SLM project funded by the GEF/World Bank (Sample copy attached). The plan is prepared and updated by the Administrative/Procurement officer of the EA and is approved by the funding agency.</p>
<ul style="list-style-type: none"> <li>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.</li> </ul>	<p>Procurement of goods and services are done through International and National Competitive Bidding (ICB &amp; NCB) depending upon the nature of goods and services. Except for evaluation of services (for which there exists simple format-copy attached), there is no template of procurement documents as such.</p>
<ul style="list-style-type: none"> <li>Does the Executing agency maintain adequate written records of all procurement and contract documents? Where and for how long are such records kept?</li> </ul>	<p>Yes, this is mandatory and is required for auditing purposes. Such records are kept until the audit and project reviews are complete.</p>
<ul style="list-style-type: none"> <li>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.</li> </ul>	<p>No contract monitoring system exists, but it is done based on the contract document containing agreement and the Terms of Reference (ToR).</p>
<ul style="list-style-type: none"> <li>Does the Executing Agency maintain a "black list" of contractors and/or consultants who are not eligible for contracts award. If</li> </ul>	<p>So far no "blacklist" of contractors and/or consultants have been maintained as the EA has not encountered such situation. But, if it does,</p>

yes, explain the blacklisting application. Is such list public?	then the list will be maintained and may even be made public as is done by other agencies.
<ul style="list-style-type: none"><li>• How are complaints related to selection/procurement processes and award of contracts handled by the Executing agency?</li></ul>	As the selection/procurement decisions are usually made by a committee, complaints (if any) are also handled by such committee.

**PART III. SIMPLIFIED PROCUREMENT PLAN**

**Grant Recipient's Name: Department of Agriculture, MoAF**

**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
<b>Consulting Services (including hiring consultants for workshops and project management)</b>						
Estimated Consultants Total:						
<b>Goods</b>						
Estimated Goods Total:						
<b>Training (excluding hiring consultants for workshops activities, includes logistical expenses only)</b>						
		Not applicable				
Estimated Training Total:						
Total Estimated Cost:						

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

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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.

In addition, describe consideration of gender mainstreaming in the proposed activities. Identify also key stakeholders involvement in the proposed activities, including the civil society organizations, local and indigenous communities, and private sectors, and their respective roles, as applicable.

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

## **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 PARTS II & III: FOR FILLING IN FINANCIAL MANAGEMENT AND  
PROCUREMENT CAPACITY SELF-ASSESSMENT**

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

**A. INFORMATION TO BE PROVIDED BY THE EXECUTING AGENCY**

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

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

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

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

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

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

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