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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	INDIA		
Project Title	Enhancing capacity for alignment of National Action Programme to 10 year Strategy of UNCCD & for National Reporting to UNCCD Secretariat		
Executing Agency(ies)	Indian Council for Forestry Research & Education, Ministry of Environment & Forests, Government of India		
Objectives	To assist India in aligning NAPs with UNCCD 10-Year Strategy and to assist in UNCCD reporting and review process		
Total Project Costs (\$)	333,000	GEF Grant Amount (\$)	148,500
Country Eligibility / Country Drivenness			
Date of Ratification of UNCCD:	17 DECEMBER 1996		
Name of OFP Endorsing this proposal:	MR. HEM PANDE Signature: 		
Implementation Details			
Start Date	01 July 2012	Proposal Submission Date	
Completion Date	31 March 2015³	Project Duration (months)	33 months

I. DESCRIPTION OF PROPOSED PROJECT:

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.

³ The project aims to cover the national reporting for 2 cycles – 2012 (5th) and 2014 (6th)

India formulated the National Action Programme (NAP) in 2001. The various components of NAP have been part of various Government of India programmes over the years. Over time a need has been felt to revisit and revise the NAP to enable a comprehensive and coherent approach to desertification, land degradation & desertification (DLDD) issues at the national level. The constraints for an integrated implementation of NAP may be the lack of synergy and coordination mechanism between the different ministries, departments, scientific institutes and civil society organizations.

With recent developments at the global level and with the adoption of the UNCCD 10 year Strategy, a review and alignment of NAP to the strategy is required for synthesis with the developments at the global level; as well as to develop a single- platform at the country level to track and report on the various policies, programmes and projects implemented at the national and the local level, respectively. In order to provide leverage to the existing process at the national level, the proposed project incorporates enabling activities, that will facilitate review and alignment to the Strategy, and support in the preparation of the national reports due in 2012 & 2014.

NAP alignment and national reporting are interlinked considering that the UNCCD 10 year Strategy is the foundation block for both the activities. The enabling activities proposed will provide a thrust towards cohesive and integrated planning, programming and implementation; and monitoring of DLDD related programmes and projects in the country. One of the project “Policy and Institutional Reform for Mainstreaming and Up-scaling Sustainable Land and Ecosystem Management in India” under the GEF-Government of India (GOI) - Country Programme Partnership (CPP) is being implemented by Indian Council for Forestry Research and Education (ICFRE), will provide for a platform for carrying out various activities as proposed in the proposal. The other six projects under the Sustainable Land and Ecosystem Management (SLEM) programme will also link to the proposed project to the best feasible.

The two components of the proposed project is detailed below:

Component I: NAP alignment to the Strategy

India’s National Action Programme to Combat Desertification (NAP-CD) formulated in 2001 identifies the need to address and incorporate the following into an integrated planning for sustainable development- Natural resource conservation and management, socio-economic issues, strengthening the process of decentralisation of governance and formulation of more community driven projects and programmes; gender issues; public participation; strengthening the interface and co-ordination between various stakeholders, and awareness raising.

In order to achieve the above, NAP mentions a greater shift from centralised mode of governance to more decentralised governance; identification of problems/ priorities by the local communities and a greater devolution of powers to the local communities; Greater integration of existing programmes and activities not only at the national level but a more coordinated approach, particularly at the local level. A step towards ‘Single window’ implementation of programmes and schemes through local self governments (Panchayats) may be considered. Water issues are central to all conservation measures and production systems. Improvement of quality of life central to the issue so that people’s lives are improved and sustained and the local communities are empowered to take decisions, and implement programmes relating to their livelihood.

In 2007, at COP 8 Parties unanimously adopted (decision 3/COP.8) the 10-year strategic plan and

framework to enhance the implementation of the Convention for 2008-2018 (The Strategy), almost six years after India formulated its NAP in 2001.

The Strategic objectives, of the Strategy, under **Policy framework** states -

“To support the creation of enabling environments for promoting solutions to combat desertification/land degradation and mitigate the effects of drought.” The Strategy has 2 direct outcomes related to NAP alignment, these are:

Outcome 2.2: Affected country Parties **revise** their national action programmes (NAPs) into strategic documents supported by biophysical and socio-economic baseline information and include them in integrated investment frameworks.

Outcome 2.3: Affected country Parties **integrate** their NAPs and sustainable land management and land degradation issues into development planning and relevant sectoral and investment plans and policies.

Therefore, NAP-CD needs to be aligned to the ‘The Strategy’, which has a bearing not only on planning, implementation and monitoring of the programmes and projects under DLDD at the country level, but reflects the same in the reporting process which is in conformity with the Strategy. At the recently concluded meetings of UNCCD subsidiary bodies – Committee on Science & Technology (CST- S2) and Committee on the Review of Implementation of the Convention (CRIC 9) in Bonn (16-25 Feb 2011), emphasis has been laid on NAP alignment process. Aligning NAP to the Strategy will enable prioritization and formulation of national programmes in synchronization with the Strategy that can be further reported (as required) against impact indicators (of the Strategic Objectives) and performance indicators (of the Operational Objectives).

Component II: National Reporting – 2012 (5th) & 2014 (6th)

After the adoption of the Strategy in 2007, it was agreed by parties to have the national reporting from 2010 onward in conformity with the Strategic and Operational Objectives of the 10 year Strategy of UNCCD. Therefore, while the 4th national report was based on reporting on only operational objectives and performance indicators; it was agreed that beginning 2012, country parties will initiate reporting on Impact indicators related to Strategic objectives 1, 2 and 3.

Developing the impact indicators: By decision 3/COP 8, the CST was requested to advise COP 9 on how best to measure progress on the achievement of strategic objectives 1, 2, and 3 of The Strategy:

- Strategic Objective 1: To improve living conditions of affected populations;
- Strategic Objective 2: To improve the conditions of the ecosystems;
- Strategic Objective 3: To generate global benefits through effective implementation of the Convention.

The UNCCD COP at its ninth session in Buenos Aires decided provisionally to accept a set of 11 impact indicators to assist measurement, at the national and global levels, of progress made under national action programmes in implementing strategic objectives 1, 2 and 3 of The Strategy.

In Decision 17/COP.9, a sub-set of two impact indicators (i.e., **III Proportion of the population in affected areas living above the poverty line; IX Land cover status**) was identified as the minimum required for reporting by affected countries beginning in 2012. The remaining nine impact indicators, while recommended, were considered optional for inclusion in reports by affected countries.

In decision 17/COP9, Parties agreed to refine the proposed set of eleven impact indicators using an iterative process taking account of:

- Application and review by countries
- Scientific peer review of relevance, accuracy and cost effectiveness of the indicators
- Possible synergies with relevant programmes, projects and institutions
- Relevant contributions from UNCCD Scientific Conferences

The Reporting process: Reporting through Performance Review and Assessment of Implementation System (PRAIS) 1 in 2010 was on performance indicators for affected and developed countries, UN/Inter-Government Organisations (IGOs)s, GEF, Civil Society Organisations, UNCCD secretariat, Global Mechanism, and subsidiary bodies. Whereas reporting through PRAIS 2 in 2012 will include reporting on performance indicators and also reporting on the impact indicators related to Strategic objectives 1, 2 and 3 for affected countries. While the tracking frequency for performance indicators is 2 years, Impact Indicator tracking frequency is 4 years.

Reporting on Impact indicators: In India land use cover surveys, planning & management is conducted by various organizations like National Bureau of Soil Survey and Land Use Planning (NBSS&LUP), Indian Council for Agricultural Research (ICAR), Ministry of Agriculture; Space Application Centre (SAC), Ministry of Space; Forest Survey of India (FSI), Ministry of Environment & Forests; Department of Land Resources (DoLR), Ministry of Rural Development; etc. and also by State level organization. Consequently, varying approaches, methodologies and criteria/indicators and tools are used to generate data sets and maps which have identified objectives. The Desertification Status Map prepared in 2007 is the first spatial inventory on desertification/land degradation carried out at national level for entire country at 1:500,000 scale, using satellite data. The DSM Atlas provides information on various land degradation processes and their severity. It serves as a baseline data for future monitoring, including the impact of UNCCD implementation.

In order to report accurately and efficiently on the impact indicators, it is imperative to develop an agreed methodology and approach to collect data, analyse and report at least on the two minimal impact indicators to be reported during the 5th national report. Recently, a brainstorming workshop was held for evaluating the data available and the accessing the capacity of the national scientific institutes to harmonize the information for reporting. In order to further facilitate the process, the proposed project has components of capacity building through training and workshops for understanding and application of methodologies for indicator-based reporting and on reporting methodologies and tools. Additionally, the proposed project aims to strengthen the knowledge management and monitoring systems for synthesizing the data available for reporting. It further proposes to enhance the linkages of UNCCD reporting and implementation with national development priorities.

Conclusion: The 10 year strategy of UNCCD provides the platform for NAP alignment and reporting on progress on the implementation of UNCCD at the global level; and also provides a basis for coordination and harmonization of programmes and projects implemented at the national and local levels. The proposed project will not only strengthen the existing capacities at the country level but will also ensure response on

the feasibility of reporting on the impact indicators at the regional and global scales.

Acknowledging the significance of gender mainstreaming as recognized by UNCCD parties in many decisions since COP1, efforts will be made to collect gender segregated data in drylands areas of the country for reporting, as well as, for incorporating the same into planning process. As women are main actors in combating land degradation in drylands, while preparing the NAP special attention will be given to issues like women property rights; involvement of women in policies and programs to improve land use, manage common lands, incentives, and private investment in drylands; full participation of women when drawing on local knowledge and experience; increased level of education and participation; creation of financial opportunities to access credit.

Data collection, analysis and reporting for countries has been a challenge as seen during the preparation of the 4th national report. Discussion on the 4th National report submitted to UNCCD at the CRIC 9 and CST S2 meetings in Bonn, Germany in February 2011, showed data gaps as result of time and resources constrains. Hence, in order to prepare comprehensive reports, assistance to country parties is essential. India therefore has requested for USD 148,500 to augment its existing resources for comprehensive reporting in 2012 and 2014.

II. ACTIVITIES AND BUDGET:⁴

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

Implementation Period: Start: July 2012 End: March 2015						
Components	Relevant Activities	Proposed GEF Grant	Co-Financing		Total Project Financing	GEF Grant as % of Total
			Cash	In-kind		
I. Review, assessment and awareness raising	1. Rapid review of relevant plans, policies and reports	1	0	5	6	0.30
	2. Consultations for awareness raising	1	0	5	6	0.30
	3. Review of existing NAP and priorities for alignment	1	0	3	4	0.30
	4. Development of a communication and outreach strategy for the NAP implementation.	2	0	4	6	0.60
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	6	0	6	12	1.80
	2. Establishing a harmonized biophysical and socio-economic baseline and drought warning system*	2	0	3	5	0.60
	3. Developing and or reviewing indicators for NAP alignment and implementation taking into account national peculiarities	2	0	5	7	0.60
	4. Establishing of national observatory sites and national monitoring and vulnerability assessments system **	4	0	5	9	1.20

⁴ 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.

* The component is part of the template provided, however, the budget will be used in organizing the system of coordination as the technical capacities and data collection capabilities are in place with various government departments. The coordinating mechanism will take care of harmonizing information as per UNCCD reporting and strategy requirements.

** As above, the budgetary support is to access the available technological resources and to organize various agencies for an assessment system that will be in harmony with UNCCD requirements

	5. Creation of a national knowledge management system including useful traditional knowledge	4	0	5	9	1.20
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	5	0	5	10	1.5
	2. Mainstreaming of NAP priorities in relevant sectoral policy synergies	3	0	7	10	0.9
	3. Establishment/ strengthening of national coordination structures	2	0	5	7	0.60
	4. Building or firming up cross-sectoral institutional mechanisms	2	0	5	7	0.60
	5. Development of a plan for NAP implementation.	2	0	2	4	0.60
IV. Establishing the finance and technology framework for NAP implementation	1. Conducting a diagnosis financial of resources available for NAP implementation	1	0	1	2	0.30
	2. Development of the Integrated Financial Strategy and the Integrated Investment Framework	4	0	3	7	1.2
	4. Updating of NAP to accommodate priorities, including national targets for investment 5.	1	0	1	2	0.30
	5. Identification of technology that will be applied in NAP alignment	1	0	1	2	0.30
	6. Identification of technology transfer needs for NAP implementation	1	0	1	2	0.30
Total		45	0	72	117	13.51

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

Implementation Period: Start: July 2012 End: March 2015						
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	1	0	3	4	0.30
	2. Training national level stakeholders in the reporting methodologies, procedures and tools	3	0	3	6	0.90
	3. Establishment of data gathering and knowledge management systems for the reporting and review process	2	0	3	5	0.60
	4. Maintaining data flow to the knowledge management systems	2	0	2	4	0.60
	5. Establishing data quality insurance systems before report submission	2	0	2	4	0.60
	6. Ensure liaison with Reference Centers (Helpdesk) for acquiring further knowledge and know-how on UNCCD reporting	10 ⁵	0	10	20	3.0
II. Preparing reports for the 5 th (2012) & 6 th (2014) reporting and review process	1. Establishment of appropriate consultative processes	1	0	3	4	0.30
	2. Stakeholder assessment and workshop on the launch	4	0	6	10	1.2

⁵ This includes the cost of payments for training on PRAIS II and for using the portal for reporting as expected from countries availing Direct access funding.

	of the reporting process (impact assessment, performance review, best practices and financial flows)					
	3. Preparation of the draft report	30	0	22	52	9.0
	4. National validation workshop to review and finalize the report	5	0	8	13	1.5
	5. Submission of the report through the PRAIS portal	0	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	10	0	10	20	3.0
	2. Development of a plan to make use of the established system for long-term monitoring of the UNCCD implementation	10	0	10	20	3.0
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	10	0	10	20	3.0
Total		90	0	92	182	27.02

*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	45	0	72	117	13.51
2. Reporting and Review Process	90	0	92	182	27.02
Project Management Cost	13.5	0	20.5	34	4.05
Total Project Cost	148.5	0	184.5	333	44.59

D. PROJECT MANAGEMENT COST (US\$)

COST ITEMS	TOTAL ESTIMATED PERSON WEEKS/MONTHS	GRANT AMOUNT	CO-FINANCING	PROJECT TOTAL
LOCAL CONSULTANTS	JULY 2012 – MARCH 2015 (MONTHLY BASIS)	10,000	ICFRE INSTITUTIONAL SUPPORT (USD 12,500)	22,500
COMPUTER ACCESSORIES, AND STATIONARY, ETC	NA	1,000	ICFRE INSTITUTIONAL SUPPORT (USD 3,000)	4,000
COMMUNICATION (TELEPHONE, FAX, INTERNET, POSTAL CHARGES), COST OF ADVERTISING FOR PROCUREMENT, TRAVEL, ETC	NA	1,500	ICFRE INSTITUTIONAL SUPPORT (USD 5,000)	6,500
MISCELLANEOUS	NA	1,000		1,000
TOTAL		13,500	20,500	34,000

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

POSITION TITLE	\$/PERSON WEEK	ESTIMATED PERSON WEEK	TASKS TO BE PERFORMED
FOR TECHNICAL ASSISTANCE LOCAL			

COMMUNICATION EXPERT	200	144	ORGANISING WORKSHOPS, DOCUMENTATION, CORRESPONDENCE AND FOLLOW UP TO HELP NR EXPERT, PREPARATION OF REPORTS, WORKSHOP PROCEEDINGS ETC
PROJECT ASSOCIATE	90	144	ASSISTING THE EXPERTS IN CARRYING OUT DAY TO DAY WORK, & RECORD MAINTENANCE
POLICY EXPERT	200	15	ONE-TIME POLICY ANALYSIS AND RECOMMENDATION OF FUTURE DIRECTION
NATURAL RESOURCE EXPERT	200	144	DATA COLLATION AND ANALYSIS, PARTICIPATION IN WORKSHOPS FOR PROVIDING INPUTS TO LINE MINISTRIES, BIOPHYSICAL INDICATOR REPORTING, PREPARATION OF TECHNICAL REPORTS AND TECHNICAL BACKSTOPPING
FINANCIAL EXPERT	200	10	GUIDANCE ON INTEGRATED FINANCIAL FRAMEWORK

III. INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTATION

- The Ministry of Environment & Forests (MoEF) will be the nodal agency and through Indian Council for Forestry Research and Education (ICFRE) will provide all necessary support, including infrastructure, administrative & financial for the successful implementation of the project.
- Both the components of the project will be guided by the Desertification cell in the ministry on a day to day basis, led by a senior government official at the level of Director/ Deputy Inspector General (DIG) who will then report to the senior government official at the level of Joint Secretary, who is also in charge of the Desertification cell & is the National Focal Point to UNCCD.
- The National Project Director (NPD) for this project will be from ICFRE at the level of Director/ Deputy Inspector General of Forests. ICFRE will execute the project and provide the administrative support to the project with the approval of the DG, ICFRE. The project finances and procurement will be done by ICFRE as per World Bank guidelines.
- National Policy Coordination Committee (NPCC) comprising of representatives from various ministries/ departments, organizations and civil society will be re-activated and will provide necessary guidance on the project components. NPCC will be chaired by Secretary, 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:

Grant No.

Information to be provided by the Executing Agency:	
1.	<p>Name and contact information of the Executing Agency</p> <p>Indian Council of Forestry Research and Education (ICFRE) PO -New Forest FRI Campus Dehradun 248006 INDIA Telephone 0091-135-2759383/2754333/2753882 Fax 0091-135 2755353/2753882 Web address www.icfre.gov.in E mail vermad@icfre.org bahugunaifs@gmail.com Email (CC) : hempande@nic.in, nayanika.singh@nic.in</p>
2.	<p>Year of registration (establishment) and years of operations</p> <p>Indian Council of Forestry Research and Education (ICFRE), an autonomous body under Ministry of Environment and Forests, Government of India, was created in the year 1991 under Society Registration Act vide No. 1-3917- D/ 4182 dated 19.03.1991, with the objectives to: formulate, organize, direct and manage forestry research; transfer developed technologies to States and other agencies; and to impart forestry education.</p> <p>(For details: www.icfre.gov.in)</p>
3.	<p>Experience with World Bank operations (projects financed from WB loans or credits or grants)</p> <p>1)During the year 1994 to 2001, ICFRE has implemented a World Bank funded project on “Forestry Research Education and Extension Project (FREEP)” for an amount of US\$ 47 million financed from WB grant.</p> <p>Main components of the FREEP included: Research Management and Extension; Research Programme support; Forestry Education; Forest Policy; and, Preparation and Conservation of Biodiversity.</p> <p>2)Presently, ICFRE is handling a GEF MSP Grant no. TF 094441, a project on ‘Policy and Institutional Reforms’ under Sustainable Land and Ecosystem Management (SLEM) Programme, a joint initiative of the Government of India and the Global Environmental Facility (GEF) under the latter’s Country partnership Programme (CPP) assigned by MoEF for an amount of US\$ 981412. This is a GEF funded project, being implemented through the World Bank.</p>
4.	<p>Are there sub-grants for the operation? What are the amounts involved for sub-grants? To which entities are sub-grants allocated?</p> <p>Under the SLEM-CPP there are six partner projects. Their sub-grants are directly handled by respective UN implementing agency, viz, the World Bank, the UNDP and The FAO and disbursed to respective projects.</p>
5.	<p>If there are sub-grants, have you checked the WB list for <u>debarment list</u> to ensure eligibility of the sub-grants recipients?</p> <p>Not applicable</p>

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? 	<p>ICFRE has Financial Management system which is monitored by Internal Audit of ICFRE and External Audit of Government of India. Internal Audit System is to verify and review the financial activities and to ensure that current transactions are promptly and completely recorded. It also ensures that various rules and procedures laid down by the Management are actually followed and acted upon.</p> <p>ICFRE 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 ICFRE. 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>Financial Accounting Computerized as well as manual System is used.</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 are qualifications and experiences of the accountant assigned to the grant? 	<p>Approx. – 25 staff are engaged with accounting, auditing, and reporting functions in ICFRE.</p> <p>Annual auditing of accounts of ICFRE are taken up by O/o Principal Director of Audit (Scientific Departments), under Comptroller and Auditor General of India(C.& A.G.), New Delhi and Periodical Audit is also being carried out by Internal Audit Wing of Ministry of Environment and Forests, Government of India, New Delhi.</p> <p>(3) The Annual Accounts of the ICFRE along with Audit Certificate of independent chartered accountant are placed in the Indian Parliament every year for acceptance (Annexure –II Annual Report 2008-09, Chapter 4, Page235-253)</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> <p>Drawing and Disbursing Officer (DDO), ICFRE with the approval of the Competent Authority disburses funds using cash, cheque and Real Time Gross Settlement (RTGS) instruments.</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 	<p>Yes. Central Government Accounting Rules are being followed.</p> <p>Union Bank of India deals with the financial transaction of ICFRE and the Directorate of Administration headed by Deputy Director General (Admin.) is responsible for</p>

flow diagram.	maintenance of cash procedure, fund flow etc.
<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 like cash book, cash count minute, bank book, bank statement, bank reconciliation are well maintained.</p> <p>The Director General of the ICFRE who is appointed by the Central Government (this position is equivalent to the Secretary to Government of India level position) is authorized to sanction and disburse payments against approved budget either him/ herself or through the Officers of the ICFRE.</p> <p>At present, the Director General has delegated the powers of disbursement to an Officer in ICFRE 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 are presented in the financial reports. 	<ol style="list-style-type: none"> ICFRE prepares Annual Accounts in the format prescribed by Comptroller and Auditor General of India , New Delhi. The information furnished in the financial reports are as follows: <ol style="list-style-type: none"> All Receipts and Payments of ICFRE during the year under Grants, Other income, Expenditure relating purchase of fixed assets, Revenue Expenditure like establishment expenditure, Purchases, fees paid, maintenance charges etc. Income and Expenditure pertaining to the particular financial year Balance Sheet showing Details of Capital Funds, Capital Receipts, Fixed Assets, other Assets, Advances/Deposits etc. <p>Audited report is Published in the Annual report of ICFRE. The report contains component-wise details of receipt, expenditure, and balance. (Annexure –II Annual Report 2008-09, Chapter 4, Page 235-253)</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 out e.g. financial audit, performance audit, and 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>Yes, by Internal audit and Comptroller and Auditor General (CAG) of India, Government of India.</p> <p>Annual accounts of ICFRE are audited by the Chartered Accountants recommended by the Chartered Accountant recommended by the Comptroller and Auditor General of India (C. & A.G.), New Delhi.</p> <p>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.</p> <p>A copy of Audit certificate along with audit observations is appended in the Annual Report placed in the Parliament for acceptance.</p> <p>The annual report with the approval of Board of Governors and Society of ICFRE is placed in the Parliament of India and widely circulated by different media to the stakeholders and is also available at ICFRE website. (http://www.icfre.org/index.php?linkid=sublnk510373&link=1)</p>
7. Information about Procurement arrangements for the operation:	

<ul style="list-style-type: none"> Does the Executing agency have procurement procedures, rules or regulations in writing? Where are the responsibilities and delegation of authority for those who have control of procurement decisions described? 	<p>Yes, as per General Financial Rules, Govt. of India. DDG, Admin and DG, ICFRE are responsible for controlling procurement decisions described in General Financial Rules.</p>
<ul style="list-style-type: none"> Who does procurement in the Executing agency (which unit(s) is responsible for selecting and contracting consulting firms, individual consultants, equipment & materials); what are the qualifications of staff responsible for procurement? 	<p>In ICFRE there is a Procurement Cell, Under the Directorate of Admin. The Cell is controlled by Deputy Director General (Admin.), a very senior officer in the ICFRE, which has well qualified offices and staff.</p> <p>Administration section in ICFRE under the purview of Deputy Director General, 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 is being done after giving adequate advertisement in the ICFRE website and if necessary in national newspapers as per requirement by following the Manual of Policies and Procedure of Employment of Consultants. The final approval is given by the Director General, ICFRE.</p> <p>The staff responsible for procurement/ selection of consultants is very well conversant with Rules/Orders as prescribed by Government of India and formulated by ICFRE 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>Yes, ICFRE has well defined system for procurement. Its staff is well conversant with the Bank procurement guidelines and standard procurement documents.</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 for general ICFRE activities, since the actual procurement depends upon the allotment of funds and priority of other urgent expenditure over procurement.</p> <p>DDG (Admin.) keeps track record of adhering to and regularly updating the procurement plans.</p> <p>However, in case of GEF MSP grant No TF 094441 which is currently under implementation by ICFRE with WB supervision, procurement plan has been prepared. The plan is prepared by Project director of the Project and approved by the Director General of the ICFRE. Finally with the concurrence of the WB is plan is implemented, updated and revised as per the need under the project.</p>
<ul style="list-style-type: none"> Do simple templates of 	<p>Yes The procedures prescribed in “Manual of Policies And</p>

	<p>procurement documents exist for the procurement methods applicable to the operation (i.e. selection of consultant and/or procurement of goods)? If yes, provide copies of such templates/forms.</p>	<p>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>Yes, the contract are monitored through the terms and conditions laid out in the terms of reference of the contract. As of now, there is no computerized contract monitoring system in use by ICFRE. 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>Yes. Blacklisting is done about the consultants who breach the contract. The blacklisting process follows a transparent mechanism in which contractor is given fair opportunities to explain his/her position. Such lists are public documents.</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>Complain related to selection/procurement processes and award of contracts are referred to DDG (Admin.), Chief Vigilance Officer of ICFRE and finally to D.G., ICFRE, who is the chief executive of the organization. There is a set mechanism to entertain complaints and examine them at various levels. ICFRE is a quality certified organization and has ISO 9001: 2008 certification. The certification process provides for a complaint redressal mechanism, which is followed by ICFRE.</p>

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: ICFRE Annual Report Chapter 4 2008-2009

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

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

PART III. SIMPLIFIED PROCUREMENT PLAN

Grant Recipient's Name: ICFRE

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 (USD)	Procurement Method	Start Date	Completion Date	Prior/Post review by the Bank	Remarks
CONSULTING SERVICES (INCLUDING HIRING CONSULTANTS FOR WORKSHOPS AND PROJECT MANAGEMENT)						
Natural Resources/ Sustainable Development/ Environment Conservation expert ⁶ / Remote Sensing- GIS Expert	28,800	World bank guidelines	01 July 2012	March 2015		Professional charges as per outcome basis
Communication / Training specialist ⁷ ,	28,800	World bank guidelines	01 July 2012	March 2015		Professional charges as per outcome basis
Policy & Planning expert ⁸	3,000	World bank guidelines	01 July 2012	March 2015		Professional charges as per outcome basis
Financial expert	2,000	World bank guidelines	01 July 2012	March 2015		Professional charges as per outcome basis
Project Associate	12,960	World bank guidelines	01 July 2012	March 2015		Monthly basis
Assistants ⁹	13,500	ICFRE rules for outsourcing	01 July 2012	March 2015		Monthly basis (Rate as per ICFRE rules)
Estimated Consultants Total:	89,060					
NAP Alignment to the Strategy & National Reporting 2012 (5th) & 2014 (6th)						
Goods						

⁶ The NRM expert will support in the preparation of the national reports and will undertake networking related activities

⁷ Communication consultant will design organize and coordinate all the workshops, follow up of these, prepare proceedings and provide inputs for NAP alignment process as well as national reporting.

⁸ The Policy expert will provide policy analysis report for the NAP alignment process.

⁹ The part of the cost (USD 10,000) for the Project Assistants will be from the Programme management cost budgeted at USD

Computer accessories, and stationary, etc	2000	World bank guidelines for procurement	01 July 2012	March 2015		
Communication (telephone, fax, internet, postal charges), cost of advertising for procurement, travel, etc	7500					
Miscellaneous	3440					
Estimated Goods Total:	12,940					
WORKSHOPS AND REPORT PRODUCTION						
		Not applicable				
I. NAP Alignment to the Strategy						
Orientation workshop & Inception meeting of National Policy Coordination Committee – NAP CD	5000		November 2012	January 2013		
One workshop on Value of land and Gender mainstreaming	5000		March 2013	April 2013		
One workshop on Monitoring systems & knowledge management systems; Resources mobilisation & technology transfer	5000		May 2013	June 2013		
Workshop on strategizing for mainstreaming & implementation of NAP: Monitoring & Evaluation; outreach strategy; finance and institutional mechanism (2 day workshop)	8000		July 2013	August 2013		
II. National Reporting 2012 (5th) & 2014 (6th)						

Trainings ¹⁰ of the National Focal Point and team on reporting procedures and use of PRAIS II portal	4000		July 2012; June 2014	August 2012; August 2014		
Two Orientation workshops & Training of national level stakeholders in the reporting methodologies, procedures and tools	8000		July 2012; May 2014	August 2012; August 2014		
Validation Workshop	4500		October 2012; October 2014	November 2012; November 2014		
Two Report production	7000		February 2013; February 2014	March 2013; March 2014		
Estimated workshops and report production Total:	46,500					
Total Estimated Cost:	148500					

¹⁰ These training are on the use of PRAIS for reporting purposes. Two officials (including the experts) may be trained on the use of the portal.

**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.