

GEF Council Meeting
June 29 – July 02, 2010
Washington D.C

Agenda Item 12

**POLICIES AND PROCEDURES FOR THE EXECUTION
OF SELECTED GEF ACTIVITIES – NATIONAL PORTFOLIO
FORMULATION EXERCISES AND CONVENTION REPORTS – WITH
DIRECT ACCESS BY RECIPIENT COUNTRIES**

Recommended Council Decision

The Council, having reviewed the proposed document GEF/C.38/6 , *Policies and Procedures for the Execution of Selected GEF Activities – National Portfolio Formulation Exercises and Convention Reports - with Direct Access by Recipient Countries*, approves the proposal contained therein for eligible national entities in recipient countries to receive resources from the GEF Trust Fund directly to:

- (i) undertake on a voluntary basis, GEF National Portfolio Formulation Exercises to produce portfolio formulation documents; and
- (ii) prepare Convention Reports which include national communications/reports/ national implementation plans that are undertaken as obligations under the Conventions.

The Council additionally requests the GEF Secretariat, with the CEO acting under delegated authority from the World Bank President, to approve and supervise the activities involved in the provision of GEF resources to such national entities.

The Council further endorses the provision that the costs incurred by the GEF Secretariat and the World Bank with respect to the preparation and supervision of such projects will be fully funded by the GEF.

The GEF Council also agrees that the Bank shall not have any liability to the GEF under such instruments signed by the GEF CEO under authority delegated from the President of the World Bank in connection with the provision of grants from the GEF to recipient countries to finance the voluntary preparation of portfolio formulation documents or Convention Reports or for the actions of staff assigned to the GEF with respect to such instruments. The Council further agrees that the Bank shall be indemnified out of the GEF trust fund for any liability toward third parties, and costs and expenses related to any such liability or claims of liability with respect to such instruments.

The Council notes that in approving this document, it is approving the amount in the Contingent Budget that was approved by the Council at the 37th Special Council Meeting to support the Secretariat's facilitation of activities under direct access for the preparation of Convention Reports and portfolio formulation exercises.

The Council notes that the monitoring and evaluation policy of the GEF applies to all activities supported under direct access.

The Council requests the Secretariat to report on implementation progress annually.

The Council requests the GEF Evaluation Office to undertake a mid-term review and report to the Council at its spring meeting in 2013.

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Executive Summary

1. This paper outlines the operational procedures for two new GEF initiatives with the GEF providing resources directly to the countries. The following two initiatives are both on a voluntary basis where countries can opt to access GEF resources directly from the GEF Secretariat for the preparation of the reports described below. For the Convention Reports, countries can alternatively opt to use the existing procedures for accessing GEF resources through a GEF Agency:

- a) National Portfolio Formulation Exercises (NPFES) with grant amounts no more than \$30,000 per recipient country; and
- b) Convention Reports that are undertaken as obligations of the countries to the conventions, with grant amounts no more than \$500,000.¹

2. Upon approval of a proposal submitted by a recipient country, the GEF Secretariat will provide GEF resources directly to the recipient country to help it undertake an NPFE or prepare a Convention Report. The GEF Secretariat will apply, in addition to the existing GEF project cycle policies and procedures, the applicable World Bank operations policies and procedures in all relevant operational areas, including financial management, procurement, disbursement and trust fund management. The overall fiduciary responsibility of the GEF Secretariat is to ensure that GEF funds are used for the purpose and activities outlined in the proposals and that expected outputs are delivered, i.e. a national portfolio formulation document is submitted by a recipient country to the GEF Secretariat under the NPFE initiative, or a Convention Report submitted by a recipient country to the respective focal area convention to be published on the convention website, with a copy provided to the GEF Secretariat.

3. Due to the nature of the two proposed activities eligible for direct access, which require essentially a straightforward preparation of a report, as well as the current staffing/set up of the GEF Secretariat, only limited oversight over the implementation of the proposed activities is envisioned. It is expected that the GEF Secretariat will make arrangements with World Bank management to avail of its regional operations specialists to assist in the oversight of these activities through cross-support arrangements with the regions. Despite this limitation, in order to provide direct access to GEF resources to countries, the GEF Secretariat will need to set up the basic necessary infrastructure, which

¹ There are no limits, other than the individual country allocations, for eligible countries to request resources to prepare national reports to the conventions. Grants up to \$500,000 may, at the discretion of the country, be provided through direct access by the GEF Secretariat as described in this document. Grants above \$500,000 will be provided through the GEF Agencies as is current practice.

will include the hiring of new staff with Bank operations skills and expertise, to handle the preparation and implementation of the estimated 200 proposals in the first year of GEF-5. An administrative budget estimate of \$1.34 million is proposed for the first year of operation.

BACKGROUND

1. Participants to the Fifth Replenishment of the GEF Trust Fund (GEF-5) recommended that GEF resources be provided, if requested, directly to national entities to: (i) undertake GEF National Portfolio Formulation Exercises (NPFEs) on a voluntary basis; and (ii) prepare Convention Reports undertaken as obligations under the multilateral environmental conventions.² The Secretariat, in collaboration with the World Bank, has prepared this proposal for consideration at the 2010 June Council Meeting.

2. As proposed in the GEF-5 Policy Recommendations and Programming Documents (GEF/C.37/3), voluntary NPFEs and any national steering committees that might lead them are meant to serve as tools for putting countries in the driver's seat for determining programming priorities in a given GEF replenishment period. A key goal is also to strengthen recipient country capacity to coordinate among relevant ministries and receive input from external stakeholders in the private and public sectors. The resulting NPFE reports are means to set forth country priorities for the use of GEF resources, which will be the basis around which GEF Agencies will support the preparation and implementation of projects and programmatic approaches. The resulting NPFE reports are meant to provide all GEF stakeholders, including the Secretariat and Council, a more transparent basis for managing the incipient GEF project pipeline during a replenishment period, including the anticipated demand for resources, both from countries' national allocations under the System for Transparent Allocation of Resources (STAR) and outside these allocations. The GEF-5 Policy Recommendations proposed that the Secretariat be available to help facilitate these exercises, including, through the provision of resources directly to national entities.

3. GEF-5 Participants also agreed that the funding of Convention Reports undertaken as obligations to conventions for which GEF serves as the/a financial mechanism can benefit from a streamlined, cost-effective, and expedited provision of resources. The GEF-5 Policy Recommendations called for the Secretariat to develop a proposal for the provision of resources from the GEF Trust Fund directly to national entities. It also noted that recipient countries would have the option to continue to receive resources and technical support for national communications through GEF Agencies as is the current practice.

4. The following sections and annexes set forth the policies and procedures that the GEF Secretariat and recipient countries would follow in implementing projects with direct access to GEF resources by national entities of recipient countries for the above-referenced activities. Both of these categories of projects involve small-sized GEF grants that would be implemented under a grant agreement to be signed with the recipient country by the GEF CEO under delegated authority from the President of the World Bank.

² These Convention Reports include national communications/national reports to be submitted by such countries to the Conferences of the Parties pursuant to Article 26 of the Convention on Biological Diversity, Article 26 of the United Nations Convention to Combat Desertification and Article 12 the United Nations Framework Convention on Climate Change, national implementation plans to be submitted by such counties under Article 7 of the Stockholm Convention on Persistent Organic Pollutants and national communications/national reports/national implementation plans to be submitted by such countries pursuant to protocols to the aforementioned conventions.

OVERVIEW OF POLICIES AND PROCEDURES FOR THE EXECUTION OF GEF ACTIVITIES UNDER DIRECT ACCESS

5. Recipient countries are responsible for the preparation, implementation and execution of GEF National Portfolio Formulation Exercises (NPFs) and the Convention Reports. It is expected that majority of NPFs will be funded by GEF grants of up to \$30,000, while the Convention Reports will be funded by grants of up to \$500,000 per recipient country. A limited number of applications are expected to exceed this amount, in the case of preparation of Convention Reports. The maximum amount of grant provided for the preparation of Convention Reports is \$5 million.
6. Existing GEF policies and guidelines for the preparation and approval of the proposals will apply in case of direct access. Moreover, the grants will be administered under the same Operational Policies and Procedures (OP/BPs) and Anti-corruption guidelines that apply to The World Bank (IBRD) and International Development Association (IDA) financing, which provide for streamlined procedures for the implementation of grants below \$5 million.³
7. In preparing this note, the GEF Secretariat has consulted broadly with the relevant operational and fiduciary units and experts throughout the Bank to ensure that it will be able to review the proposals and process grants to national entities for these activities in an expedited manner. The GEF Secretariat plans to adopt the World Bank's simplified procedures for the following operations area: procurement arrangements (Annex G), financial management procedures for small grants (Annex H), and disbursement arrangements (Annex I). More detailed templates and procedures will be cleared with respective Bank operations units as the GEF Secretariat starts the processing of these initiatives.
8. On audit requirements, the GEF Secretariat has verified that it will need to work closely with a financial management specialist, to prepare a blanket audit exemption for some of the above initiatives⁴ and will request approval from the Bank's Financial Management Operations Review Committee.
9. The World Bank has acknowledged that, regarding the activities for NPFs and for the preparation of the Convention Reports, no safeguards are likely to be triggered, due to the very nature of such activities, with the consequence that these grants will not be subject to safeguards procedures, with the following understandings:
 - (a) National Portfolio Formulation Exercises (NPFs). If any of the projects identified under the exercise are financed by the GEF, the projects will be required to comply with the environmental and social safeguard provisions of the GEF Agency implementing the project; and

³ OP/BP 14.40 Trust Fund Management Framework (effective as of July 1, 2008); OP/BP11.00 governing Bank's Procurement, the Procurement Guidelines and Guidelines for Selection and Employment of Consultants by World Bank Borrowers (both dated 2004, revised October 2006 and May 2010); and Financial Management Guidelines for Small Grants (under \$5 million). The anti-corruption guidelines can be referred to the following link: http://siteresources.worldbank.org/INTOFFEVASUS/Resources/WB_Anti_Corruption_Guidelines_10_2006.pdf

⁴ The blanket audit exemption is targeted towards the application to the GEF NPFs where GEF funding is limited to \$30,000 with a project duration of up to 4 months. Depending on the GEF funding requested and the duration of the project, some Convention reports may also qualify for an audit exemption.

- (b) Convention Reports. Grant agreements will include appropriate disclaimers indicating that the GEF Secretariat is only financing the preparation of the relevant report and is not responsible for its content or for any projects that might result from such reports.

10. The GEF Secretariat will continue to work with the Bank in refining the proposed procedures, finalizing simplified templates, and agreeing on processing modalities before the first grants under these initiatives are approved. These preparations and sample screening of the first proposals, will help expedite the processing of individual proposals received by the GEF Secretariat from the countries. In particular, the GEF Secretariat plans to make arrangements with the World Bank's management to avail of its regional operations specialists to assist in the oversight of the implementation of these activities through cross-support arrangements with the regions.

Signing Authority for the CEO

11. The CEO has been delegated by the World Bank President⁵ the authority to sign grant agreements for the proposed activities, subject to the Council's authorization of such grants, and subject to such conditions as: (i) the requirement that the grants be made in accordance with applicable Bank policies and procedures, and (ii) the requirement that the Council agree that the GEF will hold the Bank immune from liability to the GEF and indemnify the Bank against third-party claims.

12. Pursuant to this delegation of signing authority, the GEF CEO would be accountable to the Council for the supervision of the recipient's use of the grant resources. The costs incurred by the Secretariat and the World Bank with respect to the preparation and supervision of such grants would be fully funded by the GEF.

⁵ Letter of delegation of signing authority to the CEO from the President of the World Bank, Robert B. Zoellick, is attached as Annex K.

GEF NATIONAL PORTFOLIO FORMULATION EXERCISES (NPFES)

13. Based on the countries' request, the GEF Secretariat will provide up to \$30,000 directly to the country to undertake the GEF NPFES and to prepare resulting reports, which would define the country's programming priorities in GEF-5. These exercises, as well as any national steering committees that might lead them, are more fully explained in the paper on the reforming country support program.⁶ The final output for such an exercise would be a national portfolio formulation document. Example of activities which can be financed under NPFES include:

- (c) Establishment of national steering committees or other bodies of a similar nature and/or function, including related staff costs;⁷
- (d) National steering committee or other multi-stakeholder meetings, including travel costs of participants to travel to such meetings;
- (e) Broader consultations and dialogues with external stakeholders not on the national steering committee;
- (f) Preparation of NPFE national portfolio formulation document, including staff and consultant costs.

14. There will be ineligible expenses, in accordance with the applicable policies, such as payment of salaries to government employees.

15. The GEF Secretariat will enter into a grant agreement directly with a national agency in the recipient country. A grant of up to \$30,000 will be disbursed directly in one tranche. The GEF Secretariat and the national agency will follow the general steps as shown in Figure 1.

16. The need for a fiduciary capacity assessment (i.e. financial management and procurement) of an executing agency for grants below \$30,000 depends on the type of expenditures to be financed. For grants which only finance operating costs for logistical arrangements, no procurement capacity assessment is required. Financial management and disbursement specialists covering particular countries will determine whether there is a need to undertake a fiduciary capacity assessment upon review of the proposal, in which the types of expenditures are clearly indicated.

Preparation and Implementation of GEF National Portfolio Formulation Exercises (NPFES)

17. Since the expected grant amount will be \$30,000 or less, most of the Bank's simplified policies and procedures will be applicable to the implementation of NPFES, in particular, policies and procedures related to (i) financial management; (ii) disbursement; (iii) procurement; and (iv) environmental and social safeguards.

Financial Management

18. The GEF project manager and/or the financial management specialist will review the existing financial management and disbursement capacity of the national entity which will execute the NPFE. He/she will also assess the financial management capacity of the recipient and determine whether the recipient is eligible to be a direct recipient of GEF resources. In order

⁶ GEF/C.38/7, *Reforming the Country Support Program and Procedures for Implementation*.

⁷ Related staff cost refers to cost of personnel/consultant in the establishment of the national steering committee.

to be eligible for direct access, the recipient will have to be assessed based on a given set of criteria⁸ to determine if adequate financial management capacity is in place. Those countries that do not meet the minimum requirements would still have the option to undertake the NPFES by accessing the GEF resources through one of the ten GEF Agencies. The GEF Secretariat proposes to hire a full-time financial management specialist to coordinate the financial management matters for NPFES, as well as the Convention Reports, and intends to pursue a blanket exemption⁹ from the Financial Management Operations Review Committee (FMORC) for all NPFE grants approved during the GEF-5 replenishment period (2010-2014).

Disbursement

19. The GEF Secretariat, with cross support from the Bank's regional disbursement office, will establish disbursement arrangements for projects in consultation with the grant recipient and taking into consideration, *inter alia*, an assessment of whether the recipient's financial management and procurement arrangements are in place, the cash flow needs of the operation, and the Bank's disbursement experience with the recipient. Because of the small size of NPFE grants, the Bank's Loan Department (LOA) recommends and the GEF Secretariat proposes that grant funds to be used for the NPFE report be disbursed in full upon conclusion of a grant letter of agreement between the GEF and the recipient country. The disbursement would be an advance, and the recipient would be required to account for use of the funds in accordance with the grant letter of agreement. Disbursement arrangement details would be formally documented in a disbursement letter. A model form of the letter and additional details can be seen in Annex I. To request disbursement of funds, the recipient country would submit, together with the signed grant letter of agreement, a withdrawal application to the GEF Secretariat and the Bank's Loan Department will disburse funds upon receipt of the approved withdrawal application from the GEF Secretariat.

Procurement

20. Procurement would involve expenditures deemed necessary to undertake NPFES, including the use of consultants to help prepare the national portfolio formulation document and to hold some consultation meetings with relevant stakeholders in the country. A GEF Secretariat project manager will ensure that procurement under the GEF-financed NPFE is conducted in accordance with the Grant Letter of Agreement and the Bank's Procurement Policies and Guidelines.¹⁰ It is expected that the funds will be used primarily for hiring consultants. Due to the small size of the NPFE grants, simplified procurement arrangements similar to small trust fund and grants procedures would apply.

⁸ Factors for determining whether a country is eligible to receive grants directly would include, among others: (a) any applicable country sanctions; (b) corruption issues; (c) Public Expenditure and Financial Accountability (PEFA) indicators; and (d) financial management capability.

⁹ An exemption may be permitted if the recipient has more cost-effective mechanisms to provide the Bank with equivalent assurances that grant funds have been used for the purposes intended. Details of such alternatives will be discussed and prepared during the preparation of the project.

¹⁰ Refer to the World Bank website:
<http://intranet.worldbank.org/WBSITE/INTRANET/OPERATIONS/INTPROCUREMENT/0,,contentMDK:20106499~menuPK:60000178~pagePK:60000209~piPK:60000211~theSitePK:278020,00.html>

Safeguards

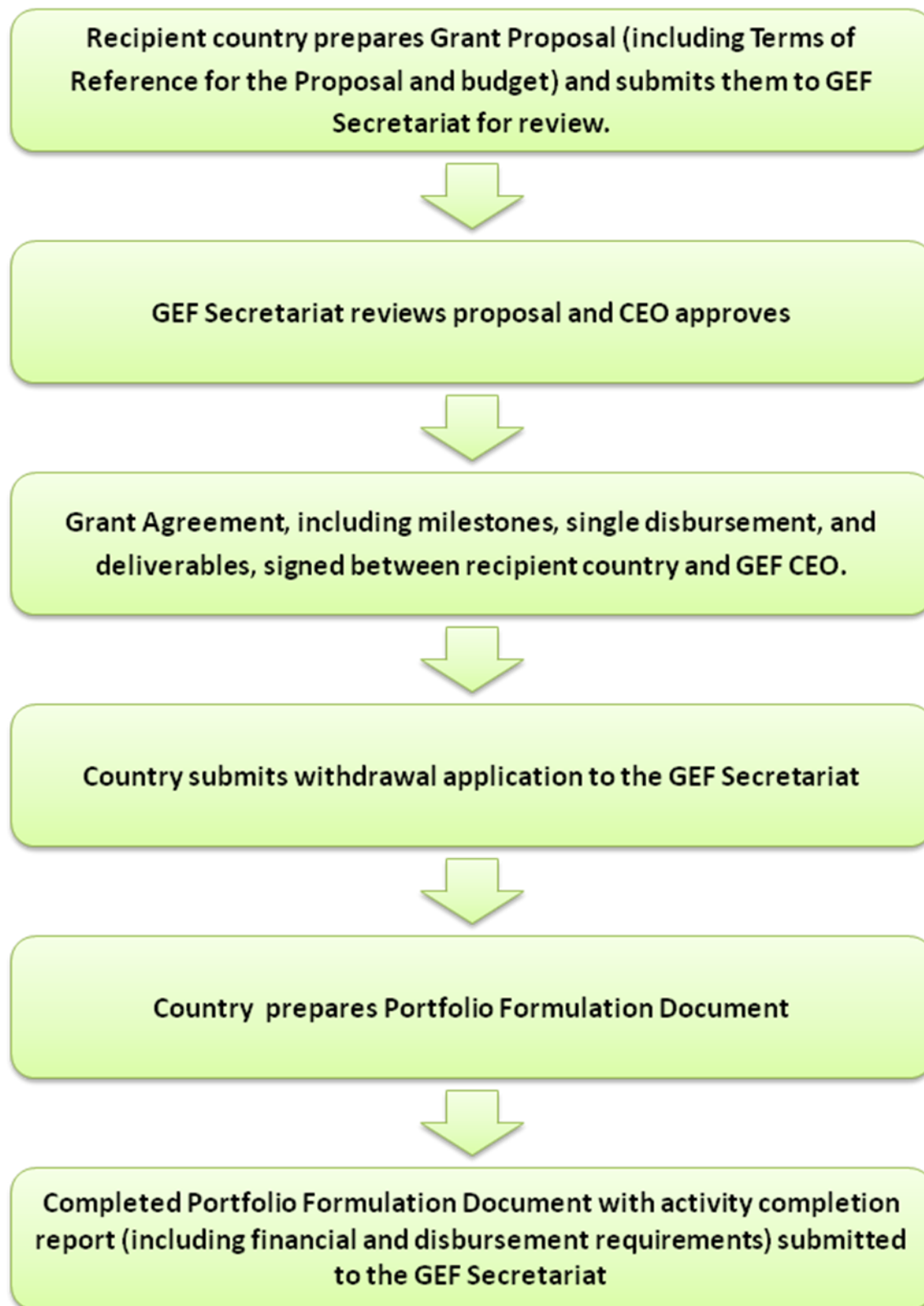
21. The World Bank's safeguard policies are designed to prevent or mitigate harm to people and their environment in the development process. Due to the nature of the NPFE activities, these \$30,000 grants will not be subject to World Bank safeguard procedure and policies. Grant agreement will include appropriate disclaimers indicating that the GEF Secretariat is only financing activities to conduct NPFEs, including developing national portfolio formulation documents as outputs of these exercises. If any of the projects identified through the exercises are financed in the future by the GEF, the projects will be required to comply with all the environmental and social safeguard provisions of the GEF Agency implementing the project.

Reporting

22. The following reports are expected to be submitted by the grant recipient country at the completion of an NPFE:

- (a) The NPFE output: the national portfolio formulation document; and
- (b) A progress report which outlines the use of the funds, the type of expenditures incurred, any procurement undertaken, and which is accompanied by a Statement of Expenditures (SOEs) report and receipts of the expenditures.

Figure 1: National Portfolio Formulation Exercise: Activity Implementation Process



CONVENTION REPORTS UNDERTAKEN AS OBLIGATIONS TO THE MULTILATERAL ENVIRONMENTAL CONVENTIONS

23. As stated in the GEF-5 Policy recommendations, recipient countries will be able to choose whether to apply for grants to support the development of Convention Reports through one of the ten GEF Agencies or directly with the GEF Secretariat. GEF grants to finance such reports have in the past ranged from \$200,000 to \$500,000, with a few exceptions. For countries that opt to apply for grants from the GEF Secretariat, a national entity must submit a proposal to the GEF Secretariat, which will enter into a grant agreement with the designated national entity in the recipient country for the provision of resources for the preparation of the Convention Report. The final output of this exercise will be a Convention Report that the country will submit to the relevant convention. Funding will generally be disbursed in two-installments. The Secretariat and the national entity shall follow the general steps as shown in Figure 2.¹¹

Preparation and Implementation of Convention Reports

24. In order to prepare and implement projects in a cost-effective manner, the GEF Secretariat will ensure that proper World Bank operational policies and procedures are adopted by all relevant implementation units of the project in the following four areas of operations: (a) financial management; (b) procurement; (c) disbursement; and (d) trust fund management. The Bank has agreed that grants for the preparation of Convention Reports in an amount up to \$500,000 will be exempt from the World Bank safeguard screening requirements. Since the grant amount for the proposed GEF activities is small, the Bank's simplified operations procedures for small grants in these operations areas will apply.¹² The key points in each operations area are summarized in the subsequent paragraphs, whereas detailed steps for processing the proposed initiatives within the country and the GEF Secretariat are provided in the annexes to this document.

Financial Management

25. The GEF Secretariat project manager for the grant will work closely with a financial management specialist throughout the project cycle to ensure that the proposed GEF activities comply with the applicable financial management policies and guidelines. The project manager will be responsible for ensuring accountability and efficiency in the management of the GEF grant resources. He/she will also be responsible for ensuring that the recipient country has an adequate financial management system in place to undertake the project and to appropriately and transparently use GEF resources, as well as that appropriate financial management arrangements¹³ are in place and that the recipient country complies with those financial

¹¹ Templates for the preparation of Convention Reports are attached in Annexes C-F. Additional preparation guidelines for national communications can also be found in Council document: *Updated Operational Procedures for Expedited Financing of National Communications From Non-Annex I Parties* (GEF/C.22/Rev.1).

¹² Proposals up to \$500,000 will be approved by the CEO following expedited procedures. Proposals above \$500,000 and up to the ceiling for medium-sized projects will be approved by the CEO following procedures for medium-sized projects. Projects that qualify as full-sized projects will be endorsed by the CEO following procedures for full-sized projects.

¹³ The World Bank has recently issued Financial Management Guidelines for Small Grants (of under \$5million) which will be applicable to the proposed initiatives. The Secretariat will work with the World Bank to determine how to apply these Guidelines.

management requirements in ways that maintain financial integrity and support the development of sustainable financial management capacity (see Annex H for more detailed financial management arrangements). If a country lacks adequate financial management capacity, the GEF Secretariat will explain to the country that it is not eligible for direct access to GEF resources and that it should access resources through a GEF Agency, as is currently the practice.

26. On audit requirements for the project, depending on the size of the grant and the duration of the implementation, some Convention Reports maybe qualified to apply for audit exemptions through the Bank's Financial Management Operations Review Committee (FMORC).

Procurement

27. Procurement for Convention Reports would involve mostly hiring consultants to help prepare the report, holding consultation meetings, and in some cases, purchasing software to enhance report writing. The GEF Secretariat project manager will work closely with a World Bank procurement specialist in a respective region throughout each stage of the project cycle to ensure that procurement under the GEF-financed activity is conducted in accordance with the Grant Letter of Agreement and the Bank's Procurement Policies and Guidelines¹⁴ (see Annex G for more detailed arrangement for procurement).

Disbursement

28. The Bank establishes disbursement arrangements for an operation in consultation with the grant recipient and taking into consideration, inter alia, an assessment of the recipient's financial management and procurement arrangements, the procurement plan and the cash flow needs of the operation, and its disbursement experience with the recipient. The GEF Secretariat project manager will engage the service of the Bank's Loan Department (LOA) to implement the disbursement of funds in accordance with the World Bank's disbursement policy. The project manager is also responsible to ensure that GEF grants are used only for the purposes for which the grant was provided and that the recipient country withdraws funds only to meet expenditures that have been made in connection with the operation as they are actually incurred.

29. There will be ineligible expenses, in accordance with the applicable policies, such as payment of salaries to government employees.

30. Funds for the proposed Convention Reports will normally be disbursed in two installments. The first disbursement will occur at the signature of the Grant Letter of Agreement, and the second when the recipient country submits the final output of the project to the GEF Secretariat (see Annex I for more detailed discussion), including all necessary documentation of project-related expenditures for which the recipient country is seeking reimbursement.

Safeguards

31. World Bank safeguard policies are designed to prevent or mitigate harm to people and their environment in the development process. Due to the nature of the Convention Reports, the financing of their preparation would not be subject to the safeguards procedures. Appropriate disclaimers will be included in the grant agreements that indicate that the GEF Secretariat is only

¹⁴ For more detailed discussion of procurements for projects, see the following World Bank website: <http://intranet.worldbank.org/WBSITE/INTRANET/OPERATIONS/INTPROCUREMENT/0,,contentMDK:20106499~menuPK:60000178~pagePK:60000209~piPK:60000211~theSitePK:278020,00.html>

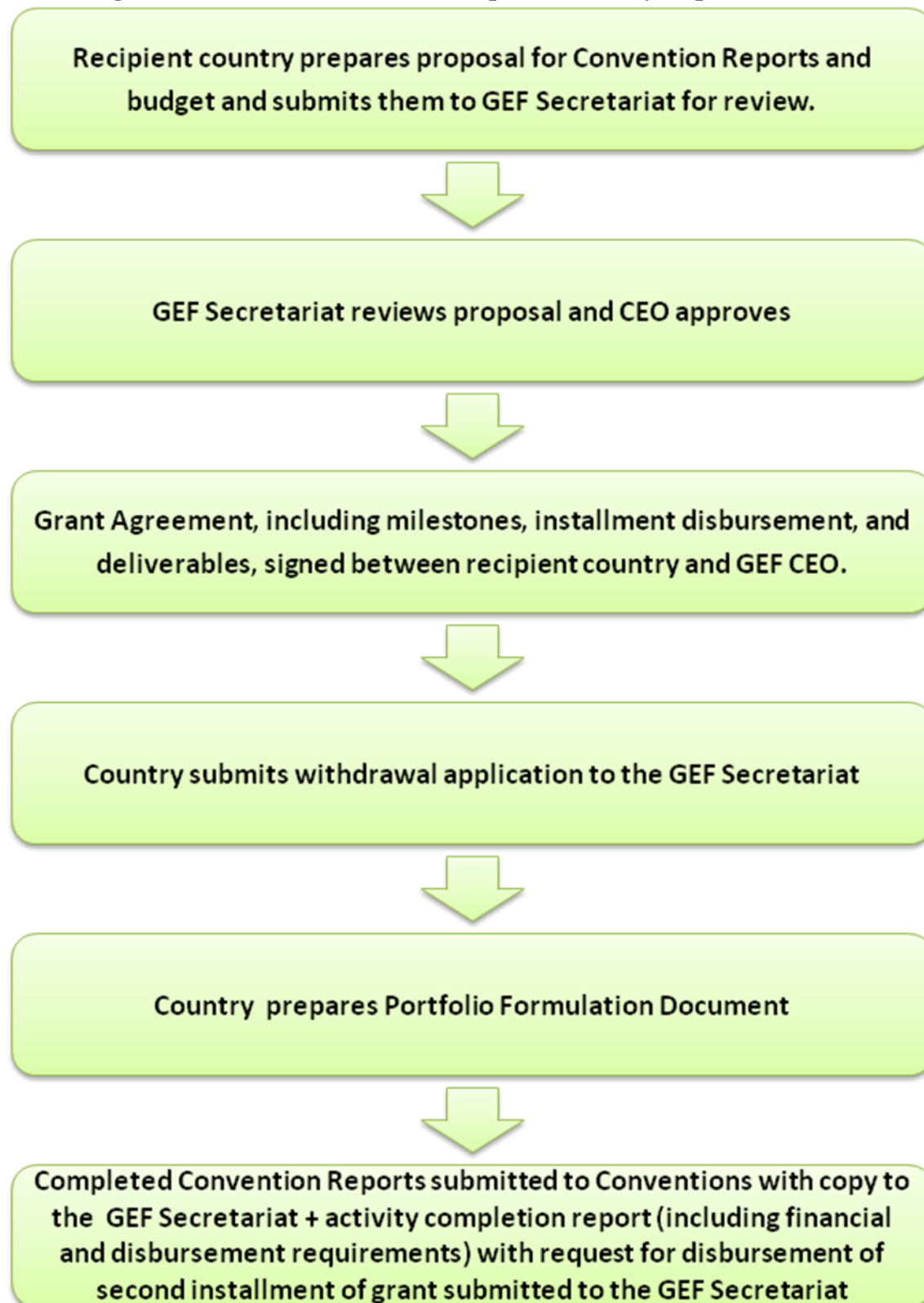
financing the preparation of the convention report and is not responsible for the content of the report, and that recipient countries are complying with convention obligations to prepare the report.

Reporting

32. The following reports are to be submitted by the grant recipients to the GEF Secretariat in accordance with the provisions outlined in the Grant Letter of Agreements:

- (a) Annual financial reports, which should be submitted according to approved templates prepared by the GEF Secretariat;
- (b) Annual progress reports, which outline the use of funds, types of expenditures incurred, procurements undertaken, and which are accompanied by Statement of Expenditures (SOEs) reports and receipts of expenditures;
- (c) Annual audit reports on the project;
- (d) Annual national entity reports; and
- (e) Convention Reports submitted to the conventions, with copies to the GEF Secretariat.

Figure 2: Grants for Convention Reports: Activity Implementation Process



INSTITUTIONAL ARRANGEMENTS FOR THE IMPLEMENTATION OF THE PROPOSED ACTIVITIES

33. As indicated in the FY11 Corporate Budget, presented to Council in May 2010, implementation of the above two initiatives and management of the project portfolio will require increased GEF Secretariat resources. The GEF Secretariat will assess opportunities to shift roles within the Secretariat and whether it will be feasible for current staff in some of the GEF teams to take on some of the project management responsibilities for the proposed initiatives. That said, the GEF Secretariat estimates that it will need to hire, initially, at least two full-time project managers, a full-time financial management specialist, and a full-time project assistant. In other operations areas, such as procurement, financial management,¹⁵ legal, and disbursement, the GEF Secretariat will discuss and agree with the relevant Bank's vice-presidencies on arrangements for the provision of cross support in each region for preparation and implementation assistance. The GEF will need to reimburse the units concerned for the costs of such services.

34. The GEF Secretariat has estimated that it will need to facilitate up to approximately 100 NPFEs in the first year of GEF-5. It may also need to process up to 100 Convention Reports each year during GEF-5.

Estimated Operations Budget

35. The GEF Secretariat estimates, preliminarily, that processing these grants will require an estimated \$1.34 million in administrative resources in 2010 prices. The elements of this are itemized below. The full costs of the four positions, including salary and benefits, and their level in the World Bank pay system are listed. Costs for procurement, legal, and disbursement services are listed as an annual lump sum:

- (a) GEF Secretariat Project Managers (Level GG): \$405,810
- (b) Financial Management Specialist (Level FF): \$150,045
- (c) Project Assistant (Level C): \$75,135
- (d) Procurement Services: \$30,000
- (e) Legal Services: \$198,330
- (f) Disbursement Services:¹⁶ \$477,000

GEF Secretariat as an Implementing Agency for the Proposed Initiatives

36. Acting as an implementing agency for the proposed initiatives, the GEF Secretariat is subject to audit on its operations, including both the Secretariat functions for its current operations, as well as activities undertaken as an implementing agency for the proposed initiatives.

¹⁵ The GEF Secretariat would still need to make arrangement with the Bank's regional offices to obtain advice on local conditions and some assistance on implementation.

¹⁶ Sample disbursement cost items: \$6,500 per new grant approval (clearing Trust Fund Proposals (TFPs), grant agreements etc); \$2,300 per year per grant under implementation (portfolio management, monitoring disbursement arrangements, etc); \$210 per withdrawal application (processing request for disbursements). Based on these unit prices, total cost for 200 projects is estimated at around \$477,000.

**ANNEXES TO POLICIES AND PROCEDURES FOR THE EXECUTION OF GEF ACTIVITIES WITH
DIRECT ACCESS BY RECIPIENT COUNTRIES**

- Annex A: Processing Steps within the Recipient Country and the GEF Secretariat For the Proposed GEF National Portfolio Formulation Exercises (NPFs) and Convention Reports
- Annex B: GEF National Portfolio Formulation Exercises (NPFs): Template for Proposals, Instructions, and Recommended Contents of NPFE Reports
- Annex C: Template for BD National Reports Project Proposal
- Annex D: Template for CC National Communications Proposal
- Annex E: Template for Persistent Organic Pollutants Enabling Activity (POPs) Proposal
- Annex F: Template for Land Degradation Enabling Activity Proposal
- Annex G: Procurement Arrangement for GEF Projects with Direct Access by Recipient Countries
- Annex H: Simplified Financial Management Procedures for Small Grants
- Annex I: Disbursement Arrangement for GEF Projects with Direct Access by Recipient Countries
- Annex J: Project Implementation Evaluation Report
- Annex K: Designation of Signature Authority for Certain Instruments Pertaining to Grants from the Global Environment Facility

**PROCESSING STEPS WITHIN THE RECIPIENT COUNTRY AND THE GEF SECRETARIAT FOR THE
PROPOSED GEF NATIONAL PORTFOLIO FORMULATION EXERCISES (NPFE) AND THE
PREPARATION OF CONVENTION REPORTS¹⁷**

1. Preparation and Approval

- (a) Initial consultation: GEF Secretariat to discuss the proposed activity/ies with recipient countries and obtain endorsement letters from National Operational Focal Points (OFPs) ; financial management questionnaire could also be sent at this time for the client country to complete;
- (b) The recipient countries to prepare a project proposal using the template for the Convention Reports (see Annexes B - E) and submit the FM questionnaire;
- (c) GEF Secretariat project manager will notify the World Bank's Country Management Unit (CMU) of the planned project and activities in the country;
- (d) GEF Secretariat project manager to go through the GEF internal approval process of the proposal; the Financial Management Specialist in consultation with Procurement Specialist will review the questionnaire and start preparation of the Financial Management Assessment Report;
- (e) GEF Secretariat project manager records the proposal in the Bank's SAP system and secure a project ID number for the proposal, clearly indicating that the project type as RE (Recipient Executed); need Activity Initiation Summary (AIS)/Activity Update Summary (AUS);
- (f) Financial Management Specialist should file the final Financial Management Assessment Report in IRIS;
- (g) In the meantime, GEF Secretariat project manager will *secure commitment of* the GEF resources for the project by submitting a *Grant Funding Request* (GFR) to obtain a Trust Fund number for the project;¹⁸
- (h) GEF Secretariat project manager/or delegatee, in consultation with World Bank Legal Department, will prepare a draft Grant Agreement and a Disbursement Letter and send these to Trust Fund Accounting (TACT), Loan Department Trust Fund (LOATF) and Legal for their clearance;
- (i) Upon clearance, the draft Grant Agreement and the Disbursement Letter should be sent to the Recipient Country for a 20-day no objection clearance; a

¹⁷ This annex provides some broad procedural outlines applicable to the two proposed GEF initiatives discussed in this paper. Specific procedures could vary slightly between the NPFEs and convention reports.

¹⁸ Refer to the website on GFR for detailed instructions:
<http://intranet.worldbank.org/WBSITE/INTRANET/OPERATIONS/INTOPETRUFUN/0,,contentMDK:21178718~menuPK:3302006~pagePK:64168332~piPK:64168299~theSitePK:1051751,00.html>. GFR process will enable project registration into the World Bank operations system and enable operations related activities, including disbursement and procurement activities.

withdrawal application and guidance note on withdrawal should also be sent to the Recipient Country;

- (j) At the expiration of the 20-day no objection for Grant Agreement and Disbursement Letter from recipient country, GEF Secretariat project manager will prepare in consultation with the Legal Department of the World Bank, a final GA for GEF CEO signature;
- (k) Two copies of the signed Grant Agreement, Disbursement Letter with attachments will be sent to the recipient country for counter-signature. The recipient country will retain one copy and the second copy of the Grant Agreement, Disbursement letter and the attachments in recipient country's letter head, plus the withdrawal application should be sent back to the GEF Secretariat for filing and processing the grant fund.

2. Implementation and Reporting

- (l) Recipient Country/entity is responsible for the implementation of the project and to ensure that the project is implemented in accordance with the project objectives and the timetable outlined in the proposal; the recipient country is to submit a semi-annual implementation progress report (which includes financial reporting) to the GEF Secretariat; recipient country needs to submit a Withdrawal Application according to the World Bank Disbursement Handbook when requesting disbursement from the GEF fund;
- (m) GEF Secretariat project manager is responsible for monitoring the progress of project implementation and to ensure that the progress report is submitted by the recipient country as planned. The project manager is responsible to ensure project implementation progresses as planned and to take adaptive measures as necessary based on the report submitted by the recipient country;¹⁹ on exceptional basis, the project manager may undertake a site supervision of the project, in particular, for projects with grant funding above \$500,000. The project manager will be responsible for inputting project data to the Bank's Grant Reporting and Monitoring (GRM) and in the GEF Project Management Information System (PMIS).

3. Disbursement

- (n) The Bank disburses proceeds from the Grant Account to or on the order of the recipient. Once the GA is signed and counter-signed, the recipient prepares an application for withdrawal, attaches appropriate supporting documentation, signs and sends the application to the GEF Secretariat for review and processing.
- (o) Before grant proceeds can be withdrawn from the grant account, the authorized representative of the recipient (as designated in the grant agreement) must furnish to the Bank the name(s) of the official(s) authorized to sign applications for withdrawal and the authenticated specimen signatures. The disbursement letter includes a model form for this purpose.
- (p) For grants less than \$30,000, the recipient will prepare and send one application for an advance of the full amount of the grant, together with any documentation specified in the disbursement letter. The Bank will advance the amount requested

¹⁹ Refer to OP 13.05 for Trust Fund supervision: [OP 13.05 Project Supervision](#).

into a Designated Account of the recipient to finance eligible expenditures as they are incurred and for which supporting documents will be provided at a later date. The recipient will subsequently send financial report(s) to evidence how funds have been used for the purposes of the project; this financial report will be attached to an application which will be used to account for the use of funds advanced.

- (q) For grants under the Convention Reports initiative that are less than \$500,000, the recipient will prepare and send the first application for an advance of a portion of the grant, as specified in the disbursement letter, in the same manner as above. For the second advance, the recipient will follow the requirements, including provision of supporting documentation, set out in the disbursement letter. A final financial report indicating how all funds advanced have been used will be attached to a final application.
- (r) For grants that are above \$500,000, the recipient will follow the instructions set out in the disbursement letter.
- (s) In all cases, the recipient must account for all funds advanced and refund to the Bank any amount unutilized.
- (t) Additional details can be found in the *World Bank Disbursement Guidelines for Projects* (May 2006), which are incorporated by reference in project grant agreements.

4. Auditing and Financial Reporting

- (u) For projects receiving GEF grant of up to \$30,000 (the NPFs) and convention reports under \$200,000, the GEF Secretariat, through its consultation with the Bank's operations unit, plans to request a blanket audit exemption for approval from the Bank's Financial Management Operations Review Committee (see paragraph 8 for reference). However, the GEF Secretariat will reserve the right to request an audit by project completion.
- (v) The alternative arrangement for such an audit exemption will require that the project manager ensures that there is an alternative mechanism to give assurance that would normally be obtained through an audit. For example, a) the Simplified Financial Management Assessment form be collected prior to grant agreement signature; b) the grant recipients are required to submit (i) a report that consists of an Interim Financial Report and a written summary of project activities undertaken of any implementation challenges faced for each of the reporting period; and (ii) the grant recipient is required to deliver to the GEF Secretariat an Implementation Completion Report and Final Financial Report covering all project activities no later than one month prior to the Closing Date.
- (w) Other factors important for the consideration of an audit exemption from the FMORC under the Financial Management Sector Board include whether there is: a) clear, definitive project deliverables; b) small GEF grant funding (\$25,000 or below); c) project duration of 18 months or less; d) clear project costing information at the outset with GEF funding approval based on this costing; and e) audit cost that does not justify an audit.
- (x) For Convention Reports receiving a GEF grant of up to \$500,000, an end of project audit report should be submitted by the recipient country to the GEF Secretariat, and

periodic financial reports will also be submitted according to approved templates prepared by the GEF Secretariat;

- (y) For Convention Reports with grant funding above \$500,000, an annual audit report on the project as well as an annual entity audit report should be submitted to GEF Secretariat in accordance with the provisions outlined in the Grant Agreement; periodic financial reports will also be submitted in accordance with templates and guidelines prepared by the GEF Secretariat;
- (z) The GEF project manager and the financial management specialist are responsible to review all the submitted financial and progress reports to ensure that implementation and preparation of reports progress as planned, and to alert the GEF management if any anomalies are detected from the review of the reports. In addition, an annual Portfolio Implementation Review Report should be submitted to the GEF management on the progress of the project implementation.

5. Project Closing

- (aa) The recipient country submits the final output of the project, i.e. the Convention Reports to the Convention and copied to the GEF Secretariat, as well as a Project Implementation Evaluation Report to the GEF Secretariat;²⁰ the recipient country is also responsible for posting the report to the Convention on the website.
- (bb) When the project fund has been disbursed, and the recipient country has submitted their final statement of accounts, the World Bank's Loan Department will notify the GEF project manager on the final status of disbursements, including the amounts disbursed for each category and the remaining balance, if any;²¹ upon receipt of the Evaluation Report from the recipient country and notification from the Finance Officer, GEF Secretariat project manager prepares closing notification letter for CEO's signature with copy to Bank's Country Management Unit (CMU); prepares the Implementation Completion Memorandum (ICM) as applicable or uses the Grant Reporting and Monitoring (GRM) tool to report on his/her assessment on the project achievements.²²

²⁰ See Annex J for the template for Project Implementation Evaluation Report.

²¹ If there is a balance, i.e., not all funds were used, the balance will need to be refunded to the Bank before closing can take place.

²² **ICM is required for all main level Trust Funds** -- that is those for which an Initiating Brief for Trust Fund (IBTF)/Trust Funds Proposal (TFP) was prepared at the initial stage -- where total contributions have exceeded \$1 million. The ICM should follow the template below: [Click here to access the ICM Template](#). For projects below \$1 million, **Grant Reporting and Monitoring (GRM)** can be used.



Submission date: _____

GEF GRANT TF No: _____

**GRANT REQUEST FOR GEF NATIONAL PORTFOLIO FORMULATION
EXERCISE (NPFE)
Under the GEF Trust Fund**

COUNTRY:

NATIONAL EXECUTING AGENCY:

EXPECTED COMPLETION DATE:

TOTAL NPFE COSTS:

I. DESCRIPTION OF PROPOSED NPFE:

NPFE Objectives:

Expected Outputs	Project Activities	GEF Financing		Timetable
		(\$)	%	Expected Completion Date
1. Formation/Facilitating National Steering Committee				
2. Stakeholder consultations				
3. Preparation of NPFE Report				
Total Project Costs				

II. LISTS OF POTENTIAL PROJECTS***III. ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT**

RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT ON BEHALF OF THE GOVERNMENT: (Please attach the [OFP endorsement letter](#) (with this template).

NAME	POSITION	MINISTRY	DATE (Month, day, year)

*Only projects that fall within the mandate of the GEF will be funded, including the LDCF and SCCF projects.

Instruction for the Preparation of the GEF National Portfolio Formulation Exercises

1. As stated in the GEF-5 Programming document, all recipient countries will have access to GEF resources to undertake, on a voluntary basis, GEF National Portfolio Formulation Exercises that could serve as a basis for seeking GEF support. Portfolio formulation exercises will serve not only as a priority setting tool for countries throughout the replenishment period but also as a guide for GEF Agencies as they assist recipient countries.
2. The exercises are to indicate the programming directions to be undertaken by countries and should also help to develop better regional programs/projects based on national priorities.
3. These exercises might be organized by national steering committees,²³ coordinated by the GEF operational focal point, and linked with other planning processes in the country, including any planning processes of GEF Agencies.
4. The GEF Secretariat will facilitate the portfolio identification exercise, and will make available financial support of up to \$30,000 to each country under the corporate programs. Portfolio formulation exercises, however, will not be a pre-requisite for obtaining GEF grants.
5. Principles of transparency and inclusiveness of national stakeholders, including the community service organizations, will be encouraged in the exercises.
6. Therefore, the **Objectives** are to develop a national portfolio formulation document (using the above template) to serve as a basis for GEF resource programming through a consultation process with relevant government agencies and stakeholders.
7. The expected **Output** would be a document that identifies and describes a country's strategic priorities under each of the GEF focal areas plus an indicative list of project concepts that could be developed to achieve the objectives.
8. To request support for this exercise, countries will submit a proposal, in consultation with the Secretariat, using the above template which includes a timetable that describes the activities that will be carried out to produce the national portfolio formulation document and costs of each activity and total project costs. After approval, a grant letter will be signed by the country and the CEO of the GEF Secretariat, after which, the corresponding grant will be disbursed.
9. Procurement of Consultants (provide a table including the following information with a template to be provided by the GEF Secretariat):
 - a) Names and positions of the persons who will be responsible for authorizing the use of funds for the project, maintain records on the use of funds, and processing of payment.
 - b) Terms of reference for consultants to be hired to help undertake the NPFE, timetable and budget.

²³ This committee would be chaired by the country's GEF Operational Focal Point, and include, inter-alia, the ministries of environment, agriculture, industry, energy, planning and finance, convention focal points, GEF Agencies, the SGP national coordinator, as well as representative of civil society organizations and the private sector. The composition may be adjusted to take into account each country's circumstances.



Submission date: _____

GEF GRANT TF No: _____

NATIONAL REPORTS PROJECT PROPOSAL
FOR SUBMISSION TO THE CONVENTION ON BIOLOGICAL DIVERSITY
Under the GEF Trust Fund

COUNTRY:

PROJECT TITLE:

EXECUTING AGENCY:

GEF FOCAL AREA:

GEF-5 BIODIVERSITY STRATEGIC OBJECTIVE:

EXPECTED PROJECT DURATION:

EXPECTED COMPLETION DATE:

TOTAL PROJECT COSTS:

OF WHICH, GEF GRANT AMOUNT REQUESTED:

COUNTRY ELIGIBILITY:

Date of Ratification of CBD:

OFP Request Letter:

IV. DESCRIPTION OF PROPOSED PROJECT:

Project Objectives:

V. ACTIVITIES TO BE CARRIED OUT:

Brief description:

VI. ACTIVITIES AND BUDGET:

Project Activities	GEF Financing		Co-Financing		Total(\$)
	(\$)	%	(\$)	%	
1.					
2.					
3.					
4.					
5.					
Total Budget					
Total GEF Grant Amount Requested					

VII. STATUS OF EARLIER ASSISTANCE RECEIVED UNDER ENABLING ACTIVITIES:

1) National Reporting to CBD		
Reports	Date of Submission to CBD Secretariat	Current Status/Comments:*
National Biodiversity Strategy and Action Plan	Insert date	Insert status
Revision of NBSAP	Insert date	Insert status
1 st National Report	Insert date	Insert status
2 nd National Report	Insert date	Insert status
3 rd National Report	Insert date	Insert status
4 th National Report	Insert date	Insert status
* Indicate the status of plans/reports, whether these are still under finalization or under implementation, and whether these have been endorsed by government or parliament as relevant. Please provide any additional comments.		
2) Capacity Needs Assessments carried out YES <input type="checkbox"/> NO <input type="checkbox"/>		
Start Date: Insert date	End Date: Insert date	
Please list all of the CBD Program of Work and cross-cutting themes that were addressed in the Biodiversity Enabling Activities Capacity Needs Assessments:		<u>Insert date</u>
•		
▪		
▪		
▪		
▪		
▪		
▪		
▪		
▪		
3) Clearing House Mechanism (CHM) established? YES <input type="checkbox"/> NO <input type="checkbox"/>		Insert date
CHM link:	Insert hyperlink	
Is the CHM website maintained and up to date?		YES <input type="checkbox"/> NO <input type="checkbox"/>
Note: add any note on the status of any Biodiversity Enabling Activities and Add-on projects and on the status of the National CHM site.		

VIII. INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTATION

--

IX. OUTPUTS/WORKPLANS/TIMETABLE

Outputs	Month 1	Month 2	Month 3	Month 4	Month x
1.					
2.					
3.					
4.					

X. APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT

RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT ON BEHALF OF THE GOVERNMENT: (Please attach the [country endorsement letter](#) with this template).

NAME	POSITION	MINISTRY	DATE (<i>Month, day, year</i>)

10. Procurement of Consultants (Provide a table including the following information with a template to be provided by the GEF Secretariat):

- Names and positions of the persons who will be responsible for authorizing the use of funds for the project, maintain records on the use of funds, and processing of payment.
- Terms of reference for consultants to be hired to help undertake the preparation of the report, timetable and budget.



Submission date: _____

GEF GRANT TF No: _____

PROPOSALS FOR THE FINANCING OF NATIONAL COMMUNICATIONS
FROM NON-ANNEX I PARTIES

FOR SUBMISSION TO THE UNFCCC (Under the GEF Trust Fund)

Cover Page/Project Summary

Country:

Project Title:

GEF Focal Area:

Country Eligibility:

Date of Submission of First /Second National Communication(s):

Project Duration and Expected Starting Date:

GEF Implementing Agency In-country Executing :

Agency GEF Operational Focal Point UNFCCC Focal Point:

GEF Financing for Project:

GEF Financing for Stocktaking and Stakeholder Consultation (if any):

Government Counterpart Financing:

Other Cofinancing (if any):

Main Body of Project Brief

Background/Context:

Project Objectives, Activities, Outputs and Indicators:

Linkage with First Enabling Activity and First/Second National Communication:

For LDCs only: Linkage with NAPA, and Activities (if any) to be Assigned to the NAPA Team:

Institutional Framework for Project Implementation (including linkage with previous EA, and with NAPA team in LDCs):

Project Financing (with budget as shown in Table 2):

Annexes:

Endorsement letters from GEF Operational Focal Point and by UNFCCC focal point (of each participating country in case of regional projects).

Brief Report on Stocktaking and Stakeholder Consultation for Project Preparation, containing the following sections:

- (a) Description of methodology used;
- (b) Stakeholders and institutions consulted; and
- (c) Results and findings of exercise.

The results of the stock-taking exercise could be summarized in the format shown in Table 1 of Annex B.

Table 1 Matrix to assist in stocktaking of activities financed under GEF enabling activities and other efforts⁸

Activity in Second National Communication	NAPAs	NCSAs	Phase II	INCs	Other ⁹
I. NATIONAL CIRCUMSTANCES					
Description of development priorities, objectives and circumstances, etc. (para. 3)				X	
Description of existing institutional arrangements for preparing communications continuously (para. 5)				X	
II. NATIONAL GREENHOUSE GAS INVENTORIES					
Estimation of national GHG Inventories for '90, '94, 2000, depending on circumstances (para. 7)				X	
Formulation of cost-effective programs to develop country-specific emission factors and activity data (para. 10)			X	X	X
Description of arrangements to collect and archive data to make inventory preparation a continuous process (para. 13)				X	
Information on the level of uncertainty associated with the inventory data (para. 24)				X	
III. GENERAL DESCRIPTION OF STEPS					
Description of steps taken towards formulating programs containing measures to facilitate adequate adaptation (para. 28)	X			X	X
Information on vulnerability to the adverse effects of climate change and on adaptation measures being taken (para. 29)	X			X	X
Information on evaluation of strategies and measures for adapting to climate change (para. 35)	X	X		X	X
Policy frameworks, national adaptation programmes, plans and policies for developing and implementing adaptation strategies (para.36)	X	X		X	
Description of steps taken for formulating programs containing measures to mitigate climate change (para. 37)				X	
IV. OTHER RELEVANT INFORMATION					
Information on integrating climate change considerations into social, economic and environmental policies and actions (para. 41)	X	X		X	
Information on transfer of, and access to ESTs and know-how, development of endogenous capacities; measures to enhance enabling environment for transfer of technologies (para. 42)	X	X			
Information on climate change research and systematic observation (para. 43)		X	X	X	X
Information on climate change education, training and public awareness (para. 45)	X	X	X	X	

⁸ Please see paragraph 26 of the operational procedures

⁹ Efforts undertaken with other bilateral/ multilateral institutions (list by country/ institution), or through other GEF projects, or through national efforts.

Capacity building activities, options and priorities (para. 46)		X	X	X	X
Information on efforts to promote information sharing and networking (para. 48)	X	X		X	X
V. CONSTRAINTS AND GAPS; RELATED FINANCIAL, TECHNICAL, AND CAPACITY NEEDS					
Constraints and gaps and related financial, technical and capacity needs, and activities for overcoming gaps and constraints for national communications, and climate change measures and programs (para. 49)		X	X	X	
Financial resources and technical support for preparing national communications provided by themselves, GEF, Annex II Parties, bilateral or multilateral institutions (para. 50)				X	
Financial resources and technical support provided by various sources (para. 51)		X		X	
List of projects proposed for financing or in preparation for arranging technical/financial support (para. 52)	X	X	X	X	
Opportunities, barriers for implementation of adaptation measures, including pilot and/or demonstration projects (para. 53)	X			X	X
Country-specific technology needs and assistance received from developed country Parties and the GEF, and utilization of assistance (para. 54)		X	X	X	

Note: Possibility of “overlap” between activities required under second national communications and those conducted in other projects earlier is most significant in boxes marked with “X”.

Table 2 Budget Table. Figures are indicative only. Parties have flexibility amongst rows except for Rows 8 through 10.

Activity in Second National Communications	Activities	Outputs	Total
I. NATIONAL CIRCUMSTANCES			—10
Development priorities, objectives and circumstances, etc.			
Existing arrangements for preparing communications continuously			
II. NATIONAL GREENHOUSE GAS INVENTORIES			—100
National GHG Inventories for '90, '94, 2000, as appropriate.			
Cost-effective programs to develop country-specific emission factors			
Arrangements to collect and archive data for continuous inventory preparation			
Level of uncertainty associated with the inventory data.			
III. GENERAL DESCRIPTION OF STEPS			—150
Steps towards formulating programs to facilitate adequate adaptation			
Vulnerability to adverse effects of climate change & on adaptation			
Evaluation of strategies & measures for adapting to climate change			
Policy frameworks, NAPAs, etc., for developing and implementing adaptation strategies			
Steps for formulating programs to mitigate climate change			
IV. OTHER RELEVANT INFORMATION			—20
Integrating climate change considerations into social, economic and environmental policies and actions			
Transfer of and access to ESTs, development of endogenous capacities; enabling environments			
Climate change research and systematic observation			
Climate change education, training and public awareness			
Capacity building activities, options and priorities			
Efforts to promote information sharing and networking			
V. CONSTRAINTS & GAPS; RELATED FINANCIAL, TECHNICAL, & CAPACITY NEEDS			—10
Constraints, gaps and needs, and activities for overcoming gaps, etc.			
Financial resources & technical support for preparing communications provided by various sources			
Financial resources and technical support provided by various sources			
Projects proposed for financing or in preparation for arranging support			
Opportunities, barriers for implementation of adaptation measures			
Country-specific technology needs and assistance received			
VI. TECHNICAL ASSISTANCE			—10
VII. COMPILATION, PRODUCTION OF COMMUNICATION, INCLUDING EXEC. SUMMARY & TRANSLATION			<=15
VIII. PROJECT MANAGEMENT (BASED ON 3 YEARS DURATION)			<=75
IX. MONITORING AND REPORTING			<=15
TOTAL			<=405



POPs ENABLING ACTIVITY
PROPOSAL FOR NATIONAL IMPLEMENTATION PLAN
DEVELOPMENT/ UPDATE
For Submission to Stockholm Convention (Under the GEF Trust Fund)

Submission Date: _____
GEF Grant TF No.: _____

PART I: ENABLING ACTIVITY IDENTIFICATION

GEF SECRETARIAT PROJECT ID:²⁴

COUNTRY:

COUNTRY ELIGIBILITY:

PROJECT TITLE:

EXECUTING ORGANIZATION:

GEF-5 STRATEGIC OBJECTIVE:

Milestones	Dates
NIP Implementation Start (expected)	
NIP Closing	

A. ENABLING ACTIVITY FRAMEWORK / FOR NIP UPDATE (expand table as necessary)

Enabling Activity Objective:						
EA Components	Expected Outputs	GEF Financing^a		Co-Financing^a		Total (\$) c = a + b
		(\$ a)	%	(\$ b)	%	
1.						
2.						
3.						
4.						
5. EA Management Budget						
Total EA Costs						

^a List the \$ by EA components. The percentage is the share of GEF and Co-financing respectively of the total amount for the component.

B. EA MANAGEMENT BUDGET

Cost Items	Total Estimated person weeks	GEF (\$)	Co-financing (\$)	EA total (\$)
Personnel				
Local consultants*				
International consultants*				
Office facilities, equipment, and communications**				
Travel**				
Total	0	0	0	0

* Provide detailed information regarding the consultants in Table 1 at the end of the template.

** Provide detailed information and justification for these line items.

²⁴ Project ID number will be assigned by GEF Secretariat.

PART II: PROPOSED ENABLING ACTIVITY

- A. ENABLING ACTIVITY BACKGROUND AND CONTEXT** Describe prior enabling activities in the focal area in the context of the implementation of the Stockholm Convention and related multilateral agreements in the country, year approved, year closed, execution arrangements and outputs.
- B. DESCRIBE THE ENABLING ACTIVITY AND INSTITUTIONAL FRAMEWORK FOR PROJECT IMPLEMENTATION** (discuss the work intended to be undertaken and the output expected from each activity as outlined in Table A above).
- C. PROVIDE LIST OF DELIVERABLES:**
- D. DESCRIBE THE BUDGETED M&E PLAN:**
- E. INFORMATION ON THE ORGANIZATION SUBMITTING THE PROPOSAL:**
- F. INFORMATION ON THE PROPOSED EXECUTING ORGANIZATION** (if different from above).

PART III: STATUS OF EARLIER ASSISTANCE RECEIVED UNDER ENABLING ACTIVITIES:

National Implementation Plan submitted to Stockholm Convention:		
	Date of Submission	Current Status/Comments
NIP	Insert date	Insert status
Other Enabling Activities	Insert date	Insert status

PART IV: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT

- A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT ON BEHALF OF THE GOVERNMENT:** (Please attach the [country endorsement letter](#) with this template).

NAME	POSITION	MINISTRY	DATE (<i>Month, day, year</i>)

B. COUNTRY CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for POPs Enabling Activity approval.					
Operational Focal Point	Signature	Date (<i>Month, day, year</i>)	Project Contact Person	Telephone	Email Address

Procurement of Consultants (Provide a table including the following information with a template to be provided by the GEF Secretariat):

- Names and positions of the persons who will be responsible for authorizing the use of funds for the project, maintain records on the use of funds, and processing of payment.
- Terms of reference for consultants to be hired to help undertake the preparation of the report, timetable and budget.

TABLE 1: CONSULTANTS* TO BE HIRED FOR THE PROJECT

<i>Position Titles</i>	<i>\$/ person week</i>	<i>Estimated person weeks</i>	<i>Tasks to be performed</i>
For Project Management			
Local			
International			
For Technical Assistance			
Local			
International			

*Attach Terms of Reference of consultants to be hired

OPERATIONAL GUIDANCE TO POPs FOCAL AREA ENABLING ACTIVITIES

Persistent Organic Pollutants

- [GEF/C.17/4 Initial Guidelines for Enabling Activities for the Stockholm Convention on Persistent Organic Pollutants \(April 2001\)](#)
- [Guidance Material on New POPs](#)



**PROPOSAL FOR ENABLING ACTIVITY FINANCED IN THE
LAND DEGRADATION FOCAL AREA
For Submission to the UNCCD (under the GEF Trust Fund)**

Submission Date: _____

GEF Grant TF No.: _____

PART I: PROJECT IDENTIFICATION

GEFSEC PROJECT ID:²⁵

COUNTRY:

INDICATIVE CALENDAR	
Milestones	Expected Dates (mm/dd/yyyy)
CEO Approval	
Implementation Start	
Project Closing	

A. ENABLING ACTIVITY FRAMEWORK

Overall Objective:						
Component Activities	Expected Outputs	GEF Financing ^a		Co-Financing ^a		Total (\$) c = a + b
		(\$) a	%	(\$) b	%	
1.						
2.						
3.						
4.						
Total Project Costs						

^a List the \$ by component activities. The percentage is the share of GEF and Co-financing respectively of the total amount for the component.

PART II: ENABLING ACTIVITY DESCRIPTION

- A. ENABLING ACTIVITY BACKGROUND AND CONTEXT** (Provide brief information about the National Action Program, progress toward implementation of the convention, and highlights of results achieved to-date):
- B. ENABLING ACTIVITY GOALS AND OBJECTIVES** (The proposal should briefly justify the need for the project. If this is an add-on activity, the gap to be filled through this additional funding should be described.)
- C. DESCRIBE THE INSTITUTIONAL FRAMEWORK FOR PROJECT IMPLEMENTATION** (discuss the work intended to be undertaken and the output expected from each activity as outlined in Table A above.)

PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S)

RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT ON BEHALF OF THE

GOVERNMENT(S): (Please attach the [country endorsement letter](#) with this template).

NAME	POSITION	MINISTRY	DATE (Month, day, year)

²⁵ Project ID number will be assigned by GEF Secretariat.

PROPOSAL GUIDELINES FOR LAND DEGRADATION FOCAL AREA ENABLING ACTIVITY

Length of Submission: We recommend the Proposal to be as short as possible (4-8 pages).

Submission date: This is important so that GEF Secretariat can keep track of the business standard calculation. Please put in the date that you actually submit the document to GEFSecretariat.

PART I: PROPOSAL IDENTIFICATION

Indicative Calendar: All the dates are expected dates and subject to change as new developments unfold. The purpose of these dates is to have an approximate timeline for the project.

Implementation Start – This is the date on which the project becomes effective and disbursement can be requested.

Project Closing - This is the date when all project activities have been financially committed, but not necessarily when all disbursements have been completed.

- A. **Enabling Activity Framework:** The main objective of the section is to sketch out the overall framework of the Enabling Activity, and provide information about what the grant will finance in relation to other sources of funding.
- B. **Financing Plan Summary for the Enabling Activity (\$).** Provide the total indicative GEF grant and co-financing amounts.

PART II: ENABLING ACTIVITY DESCRIPTION

A. This section should describe the overall rationale for the Enabling Activities and description of components for financing. 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.

B. Self-explanatory.

C. Self-explanatory.

PART III: APPROVAL/ENDORSEMENT BY OPERATIONAL FOCAL POINT

This is the record of endorsement by the GEF Operational Focal Point on behalf of the Government, including his/her signature.

Procurement of Consultants (Provide a table including the following information with a template to be provided by the GEF Secretariat):

- a) Names and positions of the persons who will be responsible for authorizing the use of funds for the project, maintain records on the use of funds, and processing of payment.
- b) Terms of reference for consultants to be hired to help undertake the preparation of the report, timetable and budget.

PROCUREMENT ARRANGEMENT FOR GEF PROJECTS WITH DIRECT ACCESS BY RECIPIENT COUNTRIES

1. The procurement arrangement for the GEF projects with direct access by recipient countries will follow the World Bank's procurement requirements for Recipient Executed Trust Funds (RETFs) governed by OP/BP 11.00.²⁶ This policy requires that for each RETF operation, there should be in place, acceptable procurement management arrangements that provide reasonable assurance that the proceeds of the grant are used for the purposes for which the grant is provided. This applies to RETFs regardless of size. For small size grants (up to \$5 million) streamlined procedures related to procurement capacity assessment of implementing agency, procurement planning and simplified formats of procurement reports and documents can be used. The OPCPR is updating an internal guidance note to staff detailing how procurement arrangements for small size RETFs can be designed and formats/templates of required procurement documents simplified. The guidance note is available on the OPCPR website and will be replaced with a revised version in early FY11.²⁷
2. Selection of consultants and procurement of goods items for the purposes of grants implementation will follow the latest applicable version of Procurement Guidelines and Guidelines for Selection and Employment of Consultants by World Bank Borrowers.²⁸
3. For grants up to \$1 million, procurement capacity assessment can be substituted with a desk review of a "self-assessment checklist". For grants or portions of the grants which include operating costs/logistic expenses type of expenditures only, the grants funds will be spent on the basis of the activities budget included in the grant application and reported against the Statement of Expenditures (SOE) upon execution. For grants or portions of the grants which include selection of consultants and/or purchasing of goods items (for example, software or a modem for an Internet connection, or a copier cartridge for report printing), the grant application form will include a set of the following "self-assessment" questions:
 - (a) Does your agency/organization have a procurement (purchasing) specialist on staff? (Y/N)
 - (b) If Yes, name and title of the specialist and name of his/her unit, years of experience in purchasing;
 - (c) Does this specialist have a previous experience with the World Bank procurement guidelines and standard documents used for procurement under Shopping procedure and for selection of consulting firms and individuals { Yes/No. If Yes, briefly describe the previous experience and familiarity with which types of standard documents }

²⁶ For more details refer to :

<http://intranet.worldbank.org/WBSITE/INTRANET/OPERATIONS/INTPROCUREMENT/0,,contentMDK:20106499~menuPK:6000178~pagePK:60000209~piPK:60000211~theSitePK:278020,00.html>

²⁷

<http://intranet.worldbank.org/WBSITE/INTRANET/OPERATIONS/INTPROCUREMENT/0,,contentMDK:20801790~menuPK:50001932~pagePK:60000209~piPK:60000211~theSitePK:278020,00.html>

²⁸

<http://intranet.worldbank.org/WBSITE/INTRANET/OPERATIONS/INTPROCUREMENT/0,,contentMDK:20801790~menuPK:50001932~pagePK:60000209~piPK:60000211~theSitePK:278020,00.html>

(d) If the grant application includes hiring of consultants, who in the executing agency will prepare the Terms of Reference for such consultant? (Name/title/any prior experience with writing the TORs)

(e) Does your agency have an external website of free access? Please provide the link.

4. For grants above \$1million, a simplified procurement capacity assessment and identification of risks is required and has to be carried out by PAS following the internal guidance note for small RETFs (OPCPR website). The level of simplification (of the assessment) is determined by PAS (in consultation with the respective Regional Procurement Manager as/if required) and depends on country's portfolio procurement risk rating, latest outcomes of portfolio fiduciary review, DIRs (by INT), or Independent Procurement Reviews (IPRs) as the case might be, and the prior experience of the implementing agency with WB procurement guidelines, procedures and standard documents.

5. The GEF Secretariat project manager will work with the Bank's procurement specialist (covering the projects in the applicant country) to review such self-assessment to determine whether the agency has the minimum level of staffing and skills to conduct selection of consultant(s) and/or goods items purchasing.

6. Procurement Supervision: for new implementing agencies (i.e. without prior experience with WB procurement guidelines and standard documents) a "hand-holding" by the Bank's operational procurement staff (PAS) during the first procurement (selection of consultants) may be required. For the implementing agencies with prior experience, no prior review may be required but the final decision should be made by the PAS depending on the country, type of procurement, perceived risk of corruption in the country/sector/agency and etc, existence of potential conflict of interest (in case of participation of government owned institutions or government employees as consultants) , and value of the contract.

7. For grants above \$1 million, a simplified procurement capacity assessment and identification of risks is required and has to be carried out by PAS following the internal guidance note for small RETFs (OPCPR website). The level of simplification (of the assessment) is determined by PAS (in consultation with the respective Regional Procurement Manager as/if required) and depends on country's portfolio procurement risk rating, latest outcomes of portfolio fiduciary review, DIRs (by INT), or Independent Procurement Reviews (IPRs) as the case might be, and the prior experience of the implementing agency with WB procurement guidelines, procedures and standard documents.

8. For all grants (irrespective of the size), advertisement of approved grant proposals and, subsequently, details on awarded contracts is required. The advertisement shall be done in the national and English languages on the external website of free access of the implementing agency and should be easily found by an outside party. In addition, Terms of Reference for Consulting assignments and Invitation to Express Interest for specific assignments (irrespective of the contract value and whether an assignment is for a firm or for an individual) shall be advertised in a similar manner with a minimum of 7 business days to allow for expression of interest. The implementing agency will be required to send a link to this website to the GEF Secretariat project manager.

SIMPLIFIED PROCUREMENT AND SUPERVISION/OVERSIGHT PLAN

Name and contact information of the Grant Recipient/Implementing Agency (IA) responsible for procurement:

Name of Grant and Grant Number:

Procurement and Supervision/Oversight Plan

1. During project preparation, the Recipient/IA lists the planned procurement activities, the procurement methods, time frame and estimated cost for the planned procurements in Table 1. During Implementation, the Recipient/IA records the actual procurement information for each activity that takes place during the review period in the same table. At a minimum, those procurements for which the Recipient/IA was not able to follow the agreed procurement procedures will be post reviewed by the Bank.

Procurement Type ²⁹	Description		Cost	Procurement Method	Contract Signature Date	Comment on Progress Made or Difficulties Met
		Estimated				
		Actual				
TOTAL AMOUNT		Estimated				
		Actual				

2. Additional Supervision/Oversight activities: Describe actions agreed to be implemented by the Bank or the Recipient and progress made in their implementation, including the estimated date of the next supervision mission.

Describe agreed Risk Mitigating Actions in the Table below. The Recipient/IA and Bank records the status of implementation of the agreed risk mitigating actions during implementation and adjust risk as necessary.

Mitigating Action	Status of Implementation

Conclusion: procurement risk level as assessed:

Attach the most recent implementation report prepared and provided by the Recipient.

²⁹ Please specify the relevant procurement type from the following: (i) goods; (iii) works; (iii) services (other than consulting services; (iv) and consulting services.

SIMPLIFIED FINANCIAL MANAGEMENT PROCEDURES FOR SMALL GRANTS

FMPM	Application of FMPM to Small Grants	Simplification
A. FM Risks Assessment		
Risk Rating	Risk Rating Summary to be completed per the FMPM.	Shortened format
B. Grant Preparation: FM Due Diligence		
Conduct an FM Assessment	The financial management assessment (FMA) may be based on a desk review of the information and documents of the recipient entity collected using the Simplified Questionnaire per Annex I of this guideline. If a major portion of the grant may be used as sub-grants, the financial management specialist (FMS) should review the arrangement for providing sub-grants and accountability arrangements for use of sub-grants by recipients.	Reduced data collection; shortened format
Complete Risk Rating Summary	Update Risk Rating and document in the FMA together with risk mitigation measures and FM supervision plan for the grant (Annex I -Part B).	Shortened format
Determine and Agree Interim Financial Reporting Requirements	Focus on: (i) periodicity – for small grants six monthly or annual Interim Financial Reports (IFRs) may be most appropriate; (ii) format and content – simplify the format and content to match the small grant activities/grant components and use existing country or entity reporting systems to the extent possible. An example of a simplified interim financial report is illustrated in Annex II. The combined Interim Financial and Activity Report would be submitted biannually or annually along with an activity report, which could be used by the TTL as a monitoring tool for implementing the grant.	Simpler and less frequent IFRs
Determine and Agree Audited Financial Reporting Requirements	Focus on: reviewing entity audit reports of the recipient and/or providing an audit exemption where alternative arrangements for ensuring that funds are used for intended purposes can be relied upon. If audits are required, then ensure that the arrangements for the required audits are agreed with the grant recipient and that funding for such audits is clearly identified and will be available for timely auditing to take place.	Less frequent audits; For grants of less than 2 years, only a one-time audit at the end may be needed.
	If audits are required, consider (i) a single audit for small grants that are less risky projects (not high risks projects) and where there are adequate risk mitigation measures during the interim periods; and (ii) the use of the recipient entity's audits instead of requesting a separate audit for the grant.	Use of alternate arrangements to audits
Disbursement Arrangements	In consultation with the Finance Officer (FO) of Loan Department (LOA), consider the nature of expenditures, payment methods, and agree the disbursement methods, supporting documentation requirements, and funds flows, including designated account requirements to ensure accessibility to funds for grant implementation. Consider disbursement of the grant by tranches.	Fewer disbursements
Record the FM Assessment	Prepare an FM Assessment (FMA) report. The length of the report should be the minimum to adequately describe and document the assessment of the grant FM arrangements	Shortened format
Acceptable FM Arrangements	Discuss with the implementing agency during the assessment and agree any action plans. Note: as there is no negotiation for grants, it is important that the FM arrangements and any required FM actions be agreed with the grant recipient (implementing agency) during the FM assessment). Acceptable FM arrangements must be in place no later than the date of signing of the grant agreement.	Simplified FM arrangements
Finalizing FM Preparation	Ensure that the FM and disbursement arrangements are agreed with the TTL, LOA, and the grant recipient. Check that the draft grant agreement is in accord with the FMA.	

C. FM Supervision		
Planning FM Supervision	Should be based on assessed FM risk at entry and any subsequent changes in the assessed FM risk. For Low/Moderate FM Risk grant operations, desk reviews are the recommended approach, with on-site visits only where FM performance or related issues arise from the desk reviews or become known. (a)	Less frequent supervision
Undertaking Supervision	An annual supervision could be carried out unless there is a change in the assessed FM risk requiring more in-depth supervision. (b)	Fewer site visits
Recording FM Supervision	Document the findings of the FM supervision in an FM Supervision Report, and record the FM rating in PRIMA/TF portfolio monitoring system. Where required, significant FM issues should be formally communicated to the grant recipient in an aide memoire issued by the TTL, and an appropriate supervision plan should be put in place.	Shortened Format
High-risk Grant Operations and Multiple Grants	In cases of substantial/high-risk activities and/or where a number of operations are close geographically, the FMS would carry out on-site supervisions as deemed appropriate to ensure that FM arrangements are adequate. When the fiduciary risks are considered to be substantial or high, the frequency of the supervision would need to be increased.	N/A
D. Audit Exemptions		
Audit Exemptions	Where the risk is low and alternate arrangements for ensuring funds are used for intended purposes are available, audit exemptions should be considered:	Lower frequency of audit; Audit exemptions more likely
	<ul style="list-style-type: none"> • If the grant is \$500,000 or below, TTLs may seek audit exemption from the Manager, Regional Financial Management. • If the grant is more than \$500,000, the TTL may seek audit exemption from the Financial Management Operations Review Committee (FMORC) - written submission to OPCFM (secretariat for the FMORC) is required for such exemption. 	
Programs - Exemption from Audit	In some cases, audit exemptions are provided for programs that are managed by the Bank (e.g., Development Marketplace). The basis for allowing such exemption is that such grants are very small and there are alternative arrangements to ensure that grant funds are used for the purpose for which the grants are provided.	Program audit exemptions, greater reliance on alternative arrangements.
E. Documentation and Quality Arrangements		
Documentation	FM staff are responsible for ensuring there is adequate documentation (evidence) to support the conclusions recorded in the FM assessment and Supervision Reports. FM staff will confirm the FM risk and FM performance rating in PRIMA after supervision of the grant. Where applicable, FM staff will review audit reports of the grants and record the findings in the Audit Report Compliance System (ARCS).	Essential documentation only.
Quality Arrangements	Follow normal Regional quality arrangements.	
<p>a. Key considerations for small grants supervision are ensuring the adequate flow of information (e.g., from the TTL, the grant recipient, and Bank disbursement systems) for effective desk reviews, and collaboration with the TTL and other parts of the fiduciary family, particularly Procurement, LOA, and TF. If other donors are involved, consideration should be given to the means by which reliance can be placed on other donor's work. In designing and implementing FM supervision for small grants, consideration could be given to country or Regional TF reviews to effect efficiencies in supervision of small grants; combining FM supervisions with TF operations reviews.</p> <p>b. Supervision should entail review of implementation progress (e.g., from grant recipient project progress reports, TTL reports, discussions of project status with the implementing agency), disbursement progress and status of funding, disbursement documentation, interim financial reports (where required), bank statements, financial statements, and audit report (where required) as well as information from other Bank reviews (e.g., country portfolio and sector performance reviews, TF Operations reviews, IAD reviews). Additional information (e.g., copies of cash book, reconciliations) should be sought from the grant recipient if required for further desk review of the adequacy of the performance of the FM arrangements. Supervision should also entail following up on noted issues.</p>		

SIMPLIFIED DISBURSEMENT ARRANGEMENTS FOR GEF SMALL GRANT PROJECTS

1. The Loan Department (LOA) is responsible for supporting an appropriate fiduciary control framework and administering disbursements for Bank lending and selected external donor funds entrusted to the Bank.
2. Project Preparation: Finance officers in LOA clear all RETF (Recipient Executed Trust Fund) operations. The finance officer reviews and clears the draft grant agreement (GA) and draft disbursement letter (DL) after a disbursing fund in SAP is created for the RETF grant.
3. To accelerate clearance of the draft GA and the draft DL, the GEF Secretariat project manager should send the draft documents to LOATF (Loan Department Trust Fund) as soon as they are available and:
 - a) ensure the draft GA and DL are in full compliance with the model forms agreed with the Legal and Loan departments respectively;
 - b) attach the Financial Management Assessment (FMA) prepared by the FMS;
 - c) attach the procurement plan, if any, prepared by the recipient;
 - d) ensure that the grant closing date is at least 6 months prior to the end disbursement date in the signed donor agreement(s); and
 - e) consult as early as possible with the finance officer if the standard disbursement arrangements will not be used.
4. Provide CTRFC (Loan Fiduciary and Controls) with the allocated TF number (the GFR process);³⁰
5. Closing Date and End Disbursement Date: The Grant Closing Date (GCD) is specified in the Grant Agreement with the recipient. The GCD should be at least 6 months before the “Donor Agreement End Disbursement Date”.³¹
6. Project Implementation: In order for disbursements to begin, the TTL should ensure that:
 - a) The Loan Department has a counter-signed / conformed copy of the GA and the final DL;
 - b) The recipient has sent an authorized signatory letter to the Bank, and it has been been authenticated by the Bank’s Legal department;

³⁰ Refer to
<http://intranet.worldbank.org/WBSITE/INTRANET/OPERATIONS/INTOPETRUFUN/0..contentMDK:21178718~menuPK:3302006~pagePK:64168332~piPK:64168299~theSitePK:1051751.00.html>

³¹ Refer to the Bank website:
<http://intranet.worldbank.org/WBSITE/INTRANET/OPERATIONS/INTOPETRUFUN/0..contentMDK:21284875~menuPK:3657856~pagePK:64168332~piPK:64168299~theSitePK:1051751.00.html>

- c) The recipient has prepared and submitted to the GEF Secretariat an original application for withdrawal, in accordance with the requirements set out in the DL;
- d) The original signed application and supporting documentation, if required, is sent to the Loan Department at _____.

7. The Loan Department's normal service standard for disbursements is 5 working days, assuming the application is in good form.

8. Supporting Documentation: All applications for withdrawal must be accompanied by supporting documents, as specified in the DL. Applications for the initial advance would normally be supported by a copy of the counter-signed GA; subsequent advances would be supported by the documents set out in the disbursement letter for release of the second advance. Interim unaudited financial reports, in the form agreed with the FMS and recipient, should be attached to applications documenting the use of advances.

9. Funds Remaining at Closing: Any funds unutilized from the advance(s) must be returned to the Bank within 4 months after the closing date.

PROJECT IMPLEMENTATION EVALUATION REPORT
Prepared by Recipient Country

- I. INTRODUCTION**
- II. OVERALL EVALUATION OF THE PROGRESS OF THE PROJECT**
 - a) Achievement of grant objectives
 - b) Results of Deliverables: Reports Completed
- III. THE IMPORTANCE OF THE PROJECT**
- IV. EXPERIENCE GAINED FROM THE PREPARATION OF PROJECT**
- V. PROBLEM ENCOUNTERED AND HOW IT IS RESOLVED**
- VI. PERFORMANCE EVALUATION**
 - a) GEF Secretariat
 - b) Project Office and/or Executing Organization in the country

January 2010

**DESIGNATION OF SIGNATURE AUTHORITY FOR CERTAIN INSTRUMENTS PERTAINING TO GRANTS
FROM THE GLOBAL ENVIRONMENT FACILITY**

1. Pursuant to Resolution No. 91-19 of the Executive Directors of the Bank, the person holding the position of the Chairperson and Chief Executive Officer of the Global Environment Facility (the "GEF") is hereby designated to sign on behalf of the Bank the following instruments, provided that the conditions set forth in Section 2 are fulfilled:

(a) Grant agreements, supplements and amendments thereto, and consents, approvals, notices, demands and waivers in respect thereto, in connection with the provision of grants from the GEF to recipient countries to finance the preparation of voluntary portfolio identification documents for the utilization of GEF funding programmed for such countries.

(b) Grant agreements, supplements and amendments thereto, and consents, approvals, notices, demands and waivers in respect thereto, in connection with the provision of grants from the GEF to recipient countries to finance the preparation of (i) national communications/national reports to be submitted by such countries to the Conferences of the Parties pursuant to Article 26 of the Convention on Biological Diversity, Article 26 of the United Nations Convention to Combat Desertification and Article 12 the United Nations Framework Convention on Climate Change, (ii) national implementation plans to be submitted by such counties under Article 7 of the Stockholm Convention on Persistent Organic Pollutants and (iii) national communications/national reports/national implementation plans to be submitted by such countries pursuant to protocols to the aforementioned conventions.

2. The designation in Section 1 applies only to those instruments where:

(a) the grants are made in accordance with the applicable policies and procedures of the Bank;

(b) the instruments are in the form agreed by the Chairperson and Chief Executive Officer of the GEF and the Senior Vice President and General Counsel and the Vice President for Concessional Finance and Global Partnerships of the Bank; and

(c) the GEF Council has agreed that the Bank shall not have any liability to the GEF under such instruments or for the actions of staff assigned to the GEF with respect to such instruments, and that the Bank shall be indemnified out of the GEF trust fund for any liability toward third parties, and costs and expenses related to any such liability or claims of liability with respect to such instruments.

3. Any person designated to act in an official capacity for the official designated in Section 1 above in his or her absence is hereby designated to sign, while acting in such capacity, the instruments which said official is designated to sign pursuant to Section 1 above.

This Designation is effective from the date on which the GEF Council authorizes the Chairperson and Chief Executive Officer of the GEF to provide the grants described in Section 1 above.