

**CENTRAL ASIA COOPERATION ORGANIZATION  
EURO ASIAN ECONOMIC COMMUNITY**

**KAZAKHSTAN  
KYRGYZ REPUBLIC  
TAJKISTAN  
UZBEKISTAN**

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**CENTRAL ASIA AIDS CONTROL PROJECT**

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**GRANT RECIPIENT HANDBOOK**



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## Abbreviations

AIDS	Acquired immune deficiency syndrome
ARV	Anti-retroviral medications
ART	Anti-retroviral treatment
BBS	Bio behavioural surveillance
CA	Central Asia
CAAP	Central Asia Regional AIDS Control Project
CACO	Central Asia Cooperation Organization
CCM	Country Coordinating Mechanism, in Kyrgyzstan it is country multisectoral coordinating committee (CMCC)
CP	Comparison of prices
CPC	Country programme coordinator
CSW	Commercial sex worker
CV	Curriculum Vitae
DC	Direct contracting or sole sourcing
DFID	United Kingdom Department for International Development
ED	Executive Director
FA	Framework Agreement
FY	Fiscal year
GR	Grant recipient
HIV	Human immunodeficiency virus
HO	Head Office
IA	Implementing agency
IC	Individual consultant
ICSC	Individual consultant small contract
IDA	International Development Association
IDU	Injecting drug user
MARA	Most at risk adolescents
M&E	Monitoring and evaluation
MIS	Management information system
MSM	Men who have sex with men
MST	Methadone substitution therapy or Methadone maintenance treatment
MTCT	Maternal-to-child transmission
NC	National coordinator of CAAP, available in each of the four participating countries
NGO	Non governmental organization
PLHIV	People living with HIV or AIDS
POM	Project Operation Manual
PP	Procurement plan
PR	Public relations
RAF	Regional AIDS Fund
RDU	Registered drug user
RPMU	Regional Project Management Unit
RPSC	Regional Project Steering Committee
RTEC	Regional Technical Evaluation Committee
SA	Special account
SAW	Statement of accomplished work
SP	Sub-project
STI	Sexually transmitted infection
TA	Technical assistance
TB	Tuberculosis

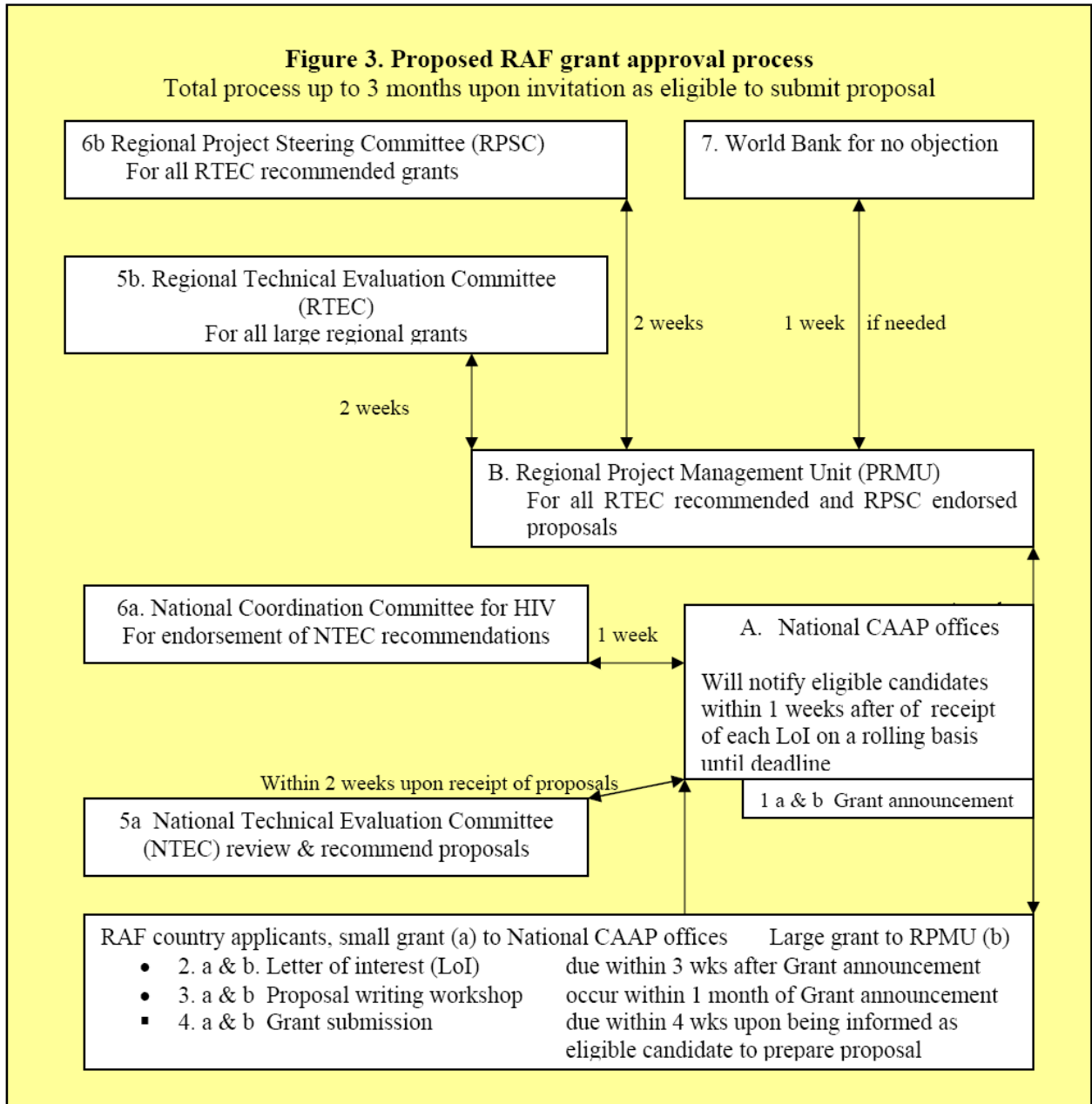
TOR	Terms of reference
TWG	Technical working group
UNAIDS	United Nations Joint and Co-sponsored Program on AIDS
USAID	United States Agency for International Development
VCT	Voluntary counselling and testing
VCCT	Voluntary counselling and confidential testing
WB	World Bank
WHO	World Health Organization

## SECTION 1: SUB-PROJECT CYCLE

Step	Activities	Responsibility	Duration	
			Small grants	Large regional grants
1. Public proposal solicitation announcement	<ul style="list-style-type: none"> <li>✓ Publish announcement</li> <li>✓ Send announcement to network of contacts</li> </ul>	<ul style="list-style-type: none"> <li>✓ RPMU<sup>1</sup></li> <li>✓ NC<sup>2</sup></li> </ul>	3 weeks	
2. Application	<ul style="list-style-type: none"> <li>✓ Explore w potential partner for collaboration commitment</li> <li>✓ Submit Letter of Interest include partner commitment</li> <li>✓ Screening for eligibility</li> <li>✓ Invitation to apply to eligible candidates only</li> </ul>	<ul style="list-style-type: none"> <li>✓ interested applicants</li> <li>✓ RPMU/ NC</li> <li>✓ RPMU/NC</li> </ul>	1 week	
3. Proposal preparation	<ul style="list-style-type: none"> <li>✓ Draft proposal</li> <li>✓ Country proposal writing workshop</li> </ul>	<ul style="list-style-type: none"> <li>✓ Eligible applicant</li> <li>✓ RPMU/NC</li> </ul>	4 weeks	
4. Proposal submission	<p><b>Small country grant:</b></p> <ul style="list-style-type: none"> <li>✓ Submit to NC</li> </ul> <p><b>Large regional grant:</b></p> <ul style="list-style-type: none"> <li>✓ Submit to RPMU</li> </ul>	<ul style="list-style-type: none"> <li>✓ Eligible applicant</li> <li>✓ Eligible applicant</li> </ul>		
5. Pre-screening & technical review Total time not to exceed 1 month	<ul style="list-style-type: none"> <li>✓ Notify receipt &amp; completeness of proposal</li> </ul>	<ul style="list-style-type: none"> <li>✓ RPMU and NC</li> <li>✓</li> </ul>	1 week after deadline for submission	
	<ul style="list-style-type: none"> <li>✓ Institutional and human capacity assessment</li> </ul>	<ul style="list-style-type: none"> <li>✓ RPMU/TA</li> </ul>	2 weeks	
	<ul style="list-style-type: none"> <li>✓ Technical review &amp; recommendations</li> </ul>	<ul style="list-style-type: none"> <li>✓</li> <li>✓ R/NTEC</li> </ul>	4 <sup>th</sup> week after SPP submission deadline	
6. Approval Total time not to exceed 1 month	<ul style="list-style-type: none"> <li>✓ NTEC recommendation to CCM for endorsement</li> <li>✓ CCM endorsement</li> </ul>	<ul style="list-style-type: none"> <li>✓ NC</li> <li>✓ CCM</li> </ul>	2 weeks	
	<ul style="list-style-type: none"> <li>✓ RTEC recommendation to RPSC for endorsement</li> <li>✓ RPSC endorsement</li> </ul>	<ul style="list-style-type: none"> <li>✓ RPMU</li> <li>✓ RSC</li> </ul>	2 weeks	
	<ul style="list-style-type: none"> <li>✓ Large SPPs to the WB review for no objection</li> <li>✓ WB no objection</li> </ul>	<ul style="list-style-type: none"> <li>✓ RPMU</li> <li>✓ WB</li> </ul>	2 weeks post R/NTEC	
7. Notification of approval	<ul style="list-style-type: none"> <li>✓ Round table on rules &amp; procedures</li> <li>✓ Sign contracts for both small and large grants</li> </ul>	<ul style="list-style-type: none"> <li>✓ RPMU/NC</li> <li>✓ UNDP</li> </ul>	2 weeks	
8. Implementation	<ul style="list-style-type: none"> <li>✓ Implement sub-project activities, procurement</li> <li>✓ Monitoring, payment</li> </ul>	<ul style="list-style-type: none"> <li>✓ Grant recipient</li> <li>✓ RPMU/NC/WB</li> </ul>	12 months country grants 24 months regional grants	
9. Closure, evaluation, extension	<ul style="list-style-type: none"> <li>✓ Self-evaluation</li> <li>✓ Mid-term assessment</li> <li>✓ Final external evaluation</li> <li>✓ Extension</li> </ul>	<ul style="list-style-type: none"> <li>✓ Grant recipient</li> <li>✓ Consulting firm</li> <li>✓ RPMU/NC/WB</li> <li>✓ Eligible Grant recipient/RPMU</li> </ul>	4 weeks 4 weeks	

<sup>1</sup> RPMU = Regional project management unit of CAAP in Almaty, Kazakhstan

<sup>2</sup> NC = National Coordinator of CAAP in each of the four participating countries



## General information

### RAF objectives and approach

#### Development objectives

The Regional AIDS Fund (RAF) is to contribute to the control of the spread of HIV in the Central Asia Region through the strengthening of regional and national capacity and cooperation between the public sector, NGOs and the private sector. RAF will:

- (1) Promote regional cooperation
- (2) Fill priority gaps in HIV-related responses in participating countries and for the region
- (3) Improve coverage for highly vulnerable populations, and
- (4) Build local capacity to develop and manage HIV responses.

#### Approach

RAF is a financing mechanism to support local eligible organizations in their HIV responses, recommended by its national and regional technical evaluation committees with endorsement of the Country Coordination Mechanism for small grants and the Regional Steering Committee for large regional grants.

RAF funding follows the principles listed below:

1. Funding is granted based on proposals sent to the RPMU/NC by eligible applicants that do not duplicate existing services or support.
2. Equity in fund distribution and guarding against conflict of interest.
3. Non-discrimination so funded sub-projects could benefit all eligible targeted beneficiaries in the sub-project sites regardless of nationality.
4. Cost-effectiveness.
5. Promotion of funded sub-projects to build synergy with existing community resources and collaborate among health and non-health sectors
6. All services funded shall conform to national standards, including that of medical rules, regulations and approved medical interventions including prescription medications.

### Eligible applicants

- Private sector enterprise or umbrella association active in HIV related responses that provide matching co-financing;
- Public and para-public sector entities active in HIV related responses; and
- Civil society entities including locally registered NGOs or people's associations active in HIV related responses.
- Consortiums of organizations (at least 2 organizations) are encouraged, particularly consortium among different sectors. Due considerations will be given in proposal evaluation.

*The list of eligible applicants, interventions & beneficiaries are provided in Toolkit Annex 1. The NGOs in Annex 2.*

## RAF sub-project types

There are two types of RAF grant support:

### A. Country level small grant – Maximum ceiling is US\$50,000

Proposals can be submitted by national NGOs, public entities or private sector enterprises based on each's eligibility criteria (refer to Toolkit Annex 1). The maximum award is under US\$50,000

- Proposals are particularly encouraged by a consortium of different agencies: NGOs, public entities or private sector enterprises (at least 2 entities and 2 sectors).
- The length of proposed project time frame should not exceed 12 months.
- Co-financing in-kind and/or in-cash is encouraged and is part of the proposal evaluation criteria.
- At least 60% of the total financing amount for each grant round in each country should be for highly vulnerable populations listed in Toolkit Annex 1.

### B. Regional large grant - Award is from US\$50,000 to a maximum of 1 million USD

- Proposals can be submitted by national, regional, and international entities (public, private, NGO or multilateral) with physical presence-active HIV prevention programming activities in CAAP project participating countries and based on the eligibility criteria listed in Toolkit Annex 1.
  - The scope is regional – at least 2 or more countries and must reflect regionality of issue that could not be resolved by a single country alone.
- Eligible applicants must provide a minimum of 30% co-financing in cash in addition to in-kind support and overhead cannot exceed 7% maximum. A lower overhead will be evaluated favorably.
- At least 60% of the total financing amount for each grant round should be for highly vulnerable populations listed in Toolkit Annex 1.

## Sub-project duration

Small grant sub-project implementation will be a maximum of 12 months. Large regional sub-project implementation will be from 12 to 24 months.

## Contribution

Small country grant applicants are encouraged to provide financial contribution (in cash or in kind) and co-financing from third parties. Proposals with financial contribution will be evaluated favourably particularly such contribution are reflected in a clear sustainability plan of the project.

For large regional grant applicants: If the applicant is an international entity (refer to Toolkit Annex 1 on eligibility criteria), there is a cost sharing requirement (cash or in kind) with a minimum in cash contribution of 30%; if it is from a private sector, the in cash contribution shall be minimum 50% in addition to in-kind contribution. Examples of in-kind contribution could be rent for existing premises to be used for activities under the sub-project, contribution to the sub-project from existing staff of the applicant, etc. which is clearly spelled out and verifiable in the proposal.

## Eligible expenses

The proposal must include a detailed budget for all expenses requested. Eligible expenses will include:

1. Goods/equipment/material Purchase of specific equipment and materials required for sub-project implementation;
2. Consultancies and trainings (i) fees of implementing personnel, if not already covered by a regular salary, (ii) a percentage of a fee of implementing personnel (prorated to the time expected to spend on sub-project activities), and (iii) technical assistance for implementation, including for capacity building to sub-project implementation;(iv) development and reproduction of training materials, (v) rental of training venues, (vi) lunch and coffee breaks during training activities, (vii) rental of equipment for training (if applicable); (viii) transport cost to attend training, (ix) per diem while attending training, (x) accommodation expenses while attending training activities;
3. Civil work. Infrastructure renovations or repair for beneficiaries' direct use;
4. Direct operational expenses & overhead. These are the costs that would not be incurred by the implementing agency in the absence of the sub-project:
  - communication costs (tax, telephone, internet) attributable to grant-financed activities,
  - transportation costs for monitoring visits to sub-project sites of personnel, including headquarters' staff (if the project sites are located in a location other than that of the implementing agency, office running and maintenance costs (security guard, cleaner, driver, IT support) attributed to the project;
  - rental of office for premises exclusively dedicated for staff responsible for sub-project implementation (or pro-rated cost of rental of office space),
  - Overhead costs. These costs will be limited to those that would not be incurred in the absence of the sub-project. (The salary of the organization's director, general management and administrative staff are not eligible)

Cost for operation and overhead combined should not exceed 20% of total cost of a sub-project RAF contribution for small country level grants. For large regional grants of international entities, overhead cost will be capped at 7% of total RAF support for that particular grant.

5. Other expenses & contingencies. This other expense is an exceptional category only will be considered with clear justification and documentation to support it. Contingency is capped at 2% of the RAF supported portion of the sub-project.

## Non eligible activities and expenses

Non eligible activities and expenses are listed below:

- Activities that do not meet RAF objectives, the national legal or health/sanitary framework or the environment protection framework;
- Activities that could encourage further marginalization of target groups;
- Activities that exceed the applicant's management capacity or level of jurisdiction;
- Activities that duplicate initiatives already in place;
- Construction of new infrastructures;
- Purchase of goods not directly devoted to sub-project implementation;

- Purchase of vehicles – the only exception is for mobile service unit;
- Office equipment not directly related to sub-project implementation; and
- Overhead costs of implementing agencies that are not part of the eligible expense listed above.

### Eligible beneficiaries

- People living with HIV or AIDS
- Highly vulnerable populations
- Vulnerable populations

RAF will give less consideration of sub-project proposals dealing with general population groups.

Refer to *Toolkit Annex 1 on the grouping of eligible beneficiaries*

### Proposal solicitation announcement (Step 1)

**Public announcement** RPMU shall widely publicize the solicitation of grant proposal, informing the deadline for submission of LOI, eligibility criteria and the LOI format and required information. In this announcement, it shall specify that only eligible LOI that was submitted by the deadline will be notified of their eligibility and be invited to a proposal preparation workshop and to submit a full proposal with a specified deadline. CAAP staff shall send the solicitation of grant proposal announcements to regional and country networks using CAAP's contact list and encourage CAAP partners to share it widely.

The CAAP Website RAF page URL will be in the announcement for ease of access to the LOI form by potential interested parties. In this announcement, the date of future deadlines shall also be provided (the proposal workshop in country, actual proposal submission, decision on grant award) based on the proposal calendar established by RPMU. Specify that the LOI shall be submitted electronically to the National Coordinator (NC) for country level small proposals and to the RAF Coordinator (RC) for large regional proposals and provide their email and post addresses.

The results of LOI screening shall be placed on the CAAP Website RAF page within **1 month** after the start of the public announcement to ensure transparency. Those not eligible could access the website to find out the results by the deadline as indicated in the public announcement. Hard copy of LOI form, etc. will only be provided upon specific request by interested parties.

### Letter of Interest (LOI) (Step 2)

Interested eligible entities can submit a Letter of Interest (LOI) providing the required information as specified in the published proposal solicitation announcement. The LOI should be prepared based on preliminary assessment of needs and should include supportive documentation. A potential applicant shall submit its LOI electronically on the CAAP project website or by email electronically to the National Coordinator (NC) for country level small proposals and to the RAF Coordinator (RC) for large regional proposals to the email addresses specified in the public announcement. For LOI submitted on the project web-site the system will automatically generate confirmation to each applicant. If the LOI is submitted through email, receipt shall be sent by email from the NC for small country grant and RC for the large regional grant applicants immediately upon receipt of the LOI. The LOI will be reviewed by RPMU based on the RAF eligibility criteria and completeness.

■ *A standard Letter of Interest form is in Toolkit 1: Annex 4.*

## Proposal preparation (step 3)

### Preparatory work for proposal

#### 1. **Conduct needs assessment with targeted beneficiaries**

An eligible applicant must conduct an up to date needs assessment with the participation of the proposed target beneficiaries to provide evidence to justify the proposal. For this purpose, the applicant should hold at least one meeting with the beneficiaries/stakeholders as follows:

- Identify: (i) the problem or issue(s) to be addressed under the sub-project, (ii) main constraints; and (iii) potential actions to address the issues or problems;
- Ensure the participation of the beneficiaries in the analysis and identification of priorities and actions; and
- Discuss and select through consensus one or several eligible priority activities for a total proposal amount not exceeding the ceiling.

The findings from the need assessment and their justification must be clearly stated in the proposal. Include Minutes of meetings with targeted beneficiaries in the proposal submission.

#### 2. **Verifying the existence of other activities in the targeted area/beneficiaries**

The applicant must verify that no other service will duplicate the proposed activities. If other organizations are active in the area or work with the same beneficiaries, the Applicant should meet with them to ascertain no overlap with proposed activities and attach the report on no-duplication to the proposal. Complementarities between organizations and projects are, however, recommended and will be considered a plus.

**3. Proposal preparation workshop** The NC and the RC shall be available to eligible applicants for technical assistance in proposal preparation. Any eligible applicant is free to consult the NC or RC for any questions that may arise during its proposal preparation. A country workshop will be organized by CAAP to assist eligible applicants in proposal preparation skills training. Contact and inform the NC to register for such a workshop in each country, if interested, upon receipt of notice of eligibility.

**4. Procurement policy and planning** The World Bank finances the Central Asia AIDS Control Project (CAAP), and one of the Grant Agreement conditions is that all procurement within the scope of the Project complies with the World Bank (WB) Procurement Guidelines. Grant recipients under CAAP should therefore follow the Procurement Policy summarized below:

- Provide economy and efficiency and ensure transparency in the procurement of goods, equipment, materials, services, works and consultant services; and
- Give all eligible and potential bidders/individuals an opportunity to compete to provide goods, services, work and consultant services.

### Procurement Plan

The Applicant must submit a Procurement Plan (PP) attached to the sub-project proposal. The objective of the PP is to define all inputs needed to implement the sub-project. To ensure that a sub-project is completed on time and within budget, it is important to develop a plan for procuring goods, works and services, and select Individual consultants when they are needed. This procurement plan will help plan activities in a timely and realistic manner. Once the sub-project has been approved, the Grant recipient must follow the PP approved by the RPMU.

A procurement plan should include the following:

- Items for procurement (consultants, goods, works and services) to execute the respective activities.
- Types of procurement methods to be followed;
- Estimated cost.
- Timeline for procurement, within the period of sub-project implementation.

The steps in preparing the Procurement Plan are:

<b>What?</b>	What needs to be procured to reach the goal?
<b>When?</b>	When do these items need to be procured? When do they need to be finished?
<b>How?</b>	How will these items be procured?
<b>Where?</b>	Where will the items be delivered?
<b>Who?</b>	Who will do the procurement

- Start by compiling a list of all known goods, works and services needed to complete the sub-project. Based on this list, decide how these items should be combined or divided into contract packages if possible. Identify if the items (goods, works, services and consultants) or the suppliers/places are available and if you can obtain three quotations or Curriculum Vitae (CV).
- Obtain unit prices of items included in each package from suppliers, shopkeepers, catalogues, previous contracts, internet, etc., and using this information to cost each package.
- Decide what method of procurement should be used for each package, item, consultant or services.
- Decide on the duration required to properly carry out each activity.
- Schedule procurement activities taking into consideration the procurement process delays.
- Identify the start and the end of the procurement process for each item, services, and consultant; consider that the items have to be available on site when you need them and may have to be ordered much earlier. Consider the time for the procurement process and delivery.
- In such cases where it is predetermined that the procurement of goods, services and consultants will be carried out through direct contracting, it is to be stated in the plan and corresponding substantiation has to be provided.

■ *A procurement plan format is available in Toolkit 1 Annex 6.*

#### 4. Proposal form

The applicant should obtain the proposal form and standard attachment forms directly from the CAAP RAF webpage. NC and RC will only send hard copies or e-copies to eligible screened applicants at their specific request. The applicant shall identify and plan the activities, and list human and financial resources necessary to reach the sub-project objectives. The applicant should make sure that:

- Resources will be sufficient to implement the proposed activities;
- Activities will reach planned results; and
- Results will contribute to the fulfilment of proposed objective.

The Applicant should use the form and follow guidelines provided for proposal.

*Guidelines for proposal preparation are provided in Toolkit 1: Annex 3.*

*A standard proposal form is in Toolkit 1: Annex 4.*

## Proposal submission (step 4)

### Where to send the proposal

All communications are preferably by electronic mail. Only if there is no available email will post letter be accepted. Proposals are sent to the National Coordinators for country level small grant and to RC for large regional grant. Upon receipt of the proposal, the NC and RC shall issue an email to acknowledge receipt of the proposal.

### Dates of approval and guard against undue influence

There is one round per year and proposal submission deadline is in the initial solicitation of Letter of Interest public announcement and on the CAAP RAF webpage. Any efforts by an applicant to influence the technical evaluation of proposals will result in the immediate disqualification of this applicant's proposal. An applicant who has submitted fake documents or unfairly interfered with the procedure will not be allowed to participate in any future projects funded by RAF and CAAP RPMU.

## Technical review (step 5)

### Pre-screening of proposal

The RPMU will pre-screen proposals in accordance with the following conditions:

- The completeness of proposal documents and the proposed project conforms to National AIDS Strategies of participating countries, the RAF policies. For example, large regional grant proposals must include 2 or more countries;
- Needs assessment protocol, dates and summary report are attached to the proposal and showing participation of intended beneficiaries.
- The proposal respond to needs and gaps of highly vulnerable populations will be given top priority.
- Proposed activities are relevant and eligible;
- Budgets follows the RAF format with break down by cost category, by activity and include only eligible expenses;
- Information on applicant's contribution is provided and justification documentation included;
- Project sustainability have been considered and are satisfactorily addressed in the proposal;
- The proposal is consistent with the HIV strategies, policies, and programs of the participating countries and with relevant regional and international strategies and policy; and
- The proposal is in compliance with legislation of the countries where it will be implemented.

### Procurement Plan evaluation

The sub-project proposal technical evaluation includes an evaluation of the PP submitted with the sub-project proposal. The evaluation includes the following:

- Review for consistency between the technical proposal, the implementation plan and the procurement plan.
- Review the estimated cost for each procurement process.
- Review the proposed procurement methods and the timing.

■ *A sample procurement plan form is in Toolki Annex 5*

### Capacity assessment

The RPMU will assess the capacity of an applicant and may request the applicant to provide supplemental documents as evidence. The capacity assessment will consider the following:

#### For small country level grants:

- Human resources, financial and management capacity of the applicant is adequate to implement the proposed sub-project.

#### For large regional grants:

- The applicant's technical, financial, institutional, and managerial capacity for successful implementation of the sub-project, and
- The implementing body has an adequate fiduciary framework in place to comply with all IDA requirements and safeguards.
- There is co-financing and other financial and institutional requirements as indicated in Annex 1 on eligibility.

The following scoring criteria will be used for capacity assessment, each criterion is scored from 0 to 5

Scoring criteria	Max points
The previous <b>project management experience</b> of the applicant is sound and satisfactory.	5
The level of <b>technical expertise</b> of the applicant's staff and management are relevance to the proposed sub-project	5
The level of applicant <b>material resources are adequate</b> for implementation of the proposed sub-project (including staffing, equipment, office premises, etc.)?	5
Does the applicant have a <b>stable and sufficient source of financing</b> for cost-sharing?	5
Does the applicant have the <b>capacity to prepare project progress reports</b> and budgets?	5
<b>Maximum score</b>	<b>25</b>

### Technical review

- The National Technical Evaluation Committee (NTEC) will review country level small grant proposals,
- The Regional Technical Evaluation Committee (RTEC) will review regional large grant proposals

■ *The NTEC and RTEC review criteria are listed in Too kit Annex 6*

## Scoring criteria

The NTEC and RTEC will base their recommendations on a set of pre-established evaluation criteria plus the technical verifications, opinions of Committees members and invited consultants/experts.

- **Rejection:** Proposals receiving less than 50 points
- **Conditional recommendation for approval:** proposals receiving between 50 and 90 points would be advised to revise the proposal based on the recommended adjustment before receiving funding, and
- **Recommend for approval:** proposals receiving more than 90 points

## Approval (step 6)

The **small country grant** will be endorsed by the CCMs based on recommendations of NTECs. The CCM will have 2 weeks upon receipt of the NTEC proposal review report and recommendations to provide its comments/endorsement, whether the CCM meets or not. The NC will notify the RC and ED of CAAP who will inform the RSC and World Bank. Conditionally recommended proposals will be sent back to applicants by the NC with specific suggested revisions from the NTEC. The applicant has the option to revise its proposal to conform to the suggested revisions of NTEC within 2 weeks of notification. Failure to resubmit within the prescribed time frame is an automatic rejection of the proposal with no cause.

The **large regional grants** will be endorsed by RSC based on recommendation of the RTEC. The large grant review report, accompanied by RTEC minutes will be sent to the RSC. The RSC will have 1 week to provide its comments/endorsement from the date of receipt of the evaluation report, whether the RSC meets or not. Conditionally recommended large grant proposal will be sent back to the applicants by the RC with specific suggested revisions from the RTEC. The applicant has the option to revise its proposal to conform to the suggested revisions of RTEC within 2 weeks of notification by RC. Failure to resubmit revised proposal in full conformity of the suggestions of RTEC within the prescribed time is an automatic rejection of the proposal with no cause. Upon RSC endorsement, the ED of CAAP shall inform World Bank for no objection within 1 week of notification to the World Bank.

## Contracting (step 7)

### Who signs the Framework Agreement (FWA)

For small country grants the RPMU through UNDP shall prepare a Framework Agreement to be signed with the approved grant recipient. The UNDP as the fiduciary agency with RPMU will instruct the grant recipient on its rights and responsibilities under the Agreement. The signature establishes a contractual commitment and seals the respective obligations and the financing of a sub-project. For large regional grants a Framework Agreement will be signed by RPMU with the approved grant recipient.

■ *A sample framework Agreement is in Toolkit 1: Annex 7*

### Obligations

The Grant recipient is responsible for timely quality implementation in accordance with the agreement. The tasks are as follows:

- Implementation of the sub-project, including:
  - (a) procurement,

- (b) implementation according to appropriate technical, financial and management means;
- Provision of the applicant's contribution: (if applicable) In the case of cash contribution, the first payment should be made before procurement begins; in the case of in-kind contribution materials and services must be submitted at the time of commencement of the project;
  - Supervision of implementation process, including:
    - (a) periodical reporting with requested data;
    - (b) accounts entries for all disbursements originating from the RAF contribution, in compliance with cost categories;
    - (c) compliance with work plan and implementation schedules; and
    - (d) compliance with Grant Recipient handbook and national laws and specifications; and
  - Organization of operations and maintenance to ensure smooth and timely implementation of all tasks and activities specified in the agreed sub-project.



## SECTION 2: SUB-PROJECT IMPLEMENTATION

Step	Description of activities	Responsibility	Suggested duration	
			Small grants	Large grants
8-Implementation	<ul style="list-style-type: none"> <li>✓ Implementation of sub-project activities</li> <li>✓ Monitoring</li> <li>✓ Payments to the Grant recipient</li> <li>✓ Procurement, contracting</li> </ul>	<ul style="list-style-type: none"> <li>✓ Grant recipient</li> <li>✓ RPMU/NC/WB</li> <li>✓ RPMU</li> <li>✓ Grant recipient, RPMU, NC</li> </ul>	12 months	18 months
9-Evaluation	<ul style="list-style-type: none"> <li>✓ Self-evaluation</li> <li>✓ Mid-term assessment</li> <li>✓ Final evaluation by</li> </ul>	<ul style="list-style-type: none"> <li>✓ Grant recipient</li> <li>✓ RPMU &amp; NC</li> <li>✓ RPMU &amp; WB</li> </ul>	2 weeks	4 weeks

### Implementation (step 8)

#### Before implementation

#### Opening a bank account

The Grant recipient shall open a bank account (with 2 signatures) or a sub-account upon notification of approval of the grant. It is preferable that the Grant recipient will open an account exclusively for the purpose of the sub-project. The account number will be provided to the RPMU. To facilitate implementation, after signing the Sub-project Agreement, the RPMU credits the account with the first payment (20% of total sub-project Agreement amount).

*Request for payment may be found in Toolkit 2: Annex 8*

#### Capacity building

If capacity building has been requested and/or was conditional to the sub-project implementation, such capacity building activities should be initiated before the beginning of activities. Capacity building activities may concern: (a) project management procedures, (b) monitoring and evaluation, (c) procurement and financial management systems and procedures, or (d) sustainability mechanisms, etc.

#### Payment of contribution

If a co-financing contribution is indicated as part of the agreement (Sub-project Agreement), the first installment of such contribution, if in cash, shall be made to the Grant Recipient with official proof of transfer of funds to the specific bank account opened for the sub-project to the RPMU before the first payment is executed. If the contribution is in-kind, the in-kind facility, service personnel or equipments shall be delivered to Grant recipient and verified by RPMU/NC prior to first installment of payment by RAF.

### Implementation of activities

Grant recipients remain entirely responsible for implementation. Conditions include the following:



- Selection of personnel and service providers according to the implementation plan as annexed to the Sub-project Framework Agreement;
- Respect of all national laws and regulations and implement the subproject according to sound technical, legal and financial means;
- Proper accounting of all payments made from RAF and co-financing in cash contributions;
- Procurement according to the Procurement Handbook instructions;
- Submission of periodic reports (according to the Framework agreement): All technical reports should list equipment and goods purchased, services provided, activities implemented, etc. All financial reports shall list expenses and payments against previous installments;
- Safe keeping of goods and equipments purchased;
- Regular monitoring and control of sub-project implementation;
- Submission of a complete final report; and
- Self-evaluation and beneficiary evaluation.
- In the event of eligibility for project extension, timely submission in writing a letter of request for extension.

### **Monitoring**

The monitoring of a sub-project implementation is the Grant recipient's responsibility. The responsible staff collects the data on the specific forms available for that purpose.

### **Reporting**

The Grant recipient will issue a technical and financial report before each payment request is presented to the RPMU. This should allow evaluation of: (a) progress in implementation, (b) conformity with the implementation and procurement plans, and (c) adequacy between results and expenditures.

## **Financial Management**

### **Grant Recipients accounting system requirements**

Grant recipients must prove that they have sound and transparent accounting system, which allows for:

- Provision of accurate, complete, reliable and timely financial information to management;
- The effective control, security and efficient utilization of resources;
- Provision of reports to RPMU in accordance with agreed content, format and reporting period specified in the Sub-project Framework Agreement;
- Compliance with statutory requirements;
- The preparation of realistic implementation budgets that support program objectives; and
- Facilitation of the external audit process

### **Reporting requirements**

The reporting obligation of Grant recipients is clearly stipulated in the Sub-project Framework Agreement. Financial reports should provide a clear picture of where, when and how the funds have been spent. The reporting procedures should not be complex, but they should clearly show where project funds have been spent and current cash balances.



## Disbursement

Bank transfers: The main payment method for disbursement will be a Bank transfer. The funds will be transferred to the contractors, suppliers, and consultants under corresponding contracts or purchase orders. The invoice should justify each payment. The advance payments should not exceed 20% of the contract amount, Petty cash payments will be used in exceptional cases only for minor expenses. The reason for petty cash payments should be clearly substantiated in the Framework Agreement. The receipt should justify each petty cash payment.

## Procedures

The RAF financial resources for implementation of sub-projects are transferred to the Grant recipient account in payments specified by the corresponding Sub-project Framework Agreement. The number of payments and the amount of each payment are determined on a case-by-case basis, depending on the amount of the grant and the nature of the sub-project. However, it is expected that payments will be made as follows: (i) first payment for 20% of subproject funding, and (ii) subsequent payments on the basis of a 3-month projected expenditure plan and timely provision of expense reports and programme progress report.

The second and subsequent payments are effected upon fulfillment of the following conditions:

- (1) Receipt of a written payment request from the Grant recipient. The request should be complemented by a Statement of expenditures, including support documents like copies of receipts, vouchers, statements of accomplished works, etc.;
- (2) The Grant recipient has properly spent 70% of the most recent payment and 100% of all previous payments.
- (3) Supporting documents are dully endorsed/signed;
- (4) Progress and financial reports as it is specified in the Framework Agreement are sent to RPMU;

If necessary, RPMU makes direct payments to the contractor or the vendor of goods or services if requested by and on behalf of the Grant recipient. The corresponding requests are considered and decided on a case-by-case basis by the RPMU in consultation with the NC. All the payments must be effected within ten working days after receiving a duly completed Request for Payment with all the required documentation and information.

## Audit

RPMU has the right to order an audit of the Grant recipient and its bank statements related to implementation of the sub-project at any time during implementation or at the end of a subproject, if necessary and as the RPMU decides is appropriate in order to ensure strong financial management of the grant. The RPMU has the responsibility to inform the Grant Recipient 30 business days in advance of an ordered audit. However, the Programme Manager reserves the right for spot-check based on specified conditions in the Framework Agreement.

## Procurement

### Grant recipient procurement capacity assessment

An assessment of the procurement capacity of a Grant recipient will be conducted as part of the Technical review. It will include the following questions:

- Does the applicant have experience on procurement? How important is this experience?



- Did the applicant ever conduct an Open Bid? Procurement based on quotations? How much does the applicant procure in a year? Are the processes competitive? Does the applicant have procurement manual and established procedures? Do procedures include reasonable procurement practices?
- Does the person in charge of procurement have experience within or outside the applicant organization on procurement? How important is his/her experience?
- Make adjustment of PP as is relevant to ensure proper project implementation between PRMU and Grant recipient.

See *Toolkit Annex 9 Procurement Assessment form*

## Training and guidance

Based on the outcome of the assessment of Grant recipient's procurement capacity, the training needs of a specific Grant recipient will be defined as well the technical advice that will be required during the implementation.

The RPMU will train the officer in charge of procurement for the sub-project according to the outcome of the assessment; the training will include how to carry out procurement under the RAF financing. If the Grant recipient requires more extensive training, the Grant recipient should inform the RPMU to such additional needs in writing. The RPMU will provide advice during the implementation process as requested, without interfering on the decisions of the Grant recipient.

## Sub-project implementation

The following procurement processes will be managed by the Grant recipient:

- Civil works, goods and services not exceeding US \$100,000 per contract,
- Individual consultants or consulting firms with an estimated cost not exceeding US \$50,000 per contract,

The Grant recipient shall follow the procedures described in Annexes 10 to 18 in the Toolkit as applicable.

## Procurement Methods

The Procurement methods to be followed are listed below:

CATEGORY	ESTIMATED COST in US\$	PROCUREMENT METHOD (USD)	PROCESS DESCRIPTION AND FORMATS
Goods	Comparison of prices (CP)	Up to US10,000 per contract	Annex 10
Goods and services	Shopping (SP)	Above 10,000 and up to 100,000 per contract	Annex 11
Works	Comparison of prices (CP)	Up to US10,000 per contract	Annex 12
Works	Shopping (SP)	Above 10,000 and up to 100,000 per contract	Annex 13
Individual Consultants and Consulting Firms	Selection of Consultants (SC)	Up to US10,000 per contract	Annex 14
Individual Consultants and Consulting Firms	Individual Consultants (IC) or Consultants Qualification (CQ)	Above 10,000 and up to 50,000 per contract	Annex 15



Goods, works, consultants and services	Direct Contracting or Sole Source <sup>3</sup>	Below US 50 000	Annex 16
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*Toolkit Annex 10-16 include various procurement-related sample forms*

*Toolkit Annex 15 includes recommendations to draft Terms of references (TOR)*

*Toolkit Annex 11 includes recommendations to draft technical specifications*

### **Incentive for efficiency**

To increase the efficiency of the process, incentives will be provided for effecting savings in the procurement process compared to planned expenditures. If an amount remains after all the goods and services described in the Procurement Plan have been procured, the Grant recipient may decide to use these funds for the procurement of supplementary goods or services. These should serve the sub-project objectives and be procured only upon the written approval of the RPMU. For procurement processes to be carried out by the Grant recipient, a Procurement Committee consisting of preferably not less than three (3) people must be established. Members of NTEC or RTEC shall not be part of the procurement committee. Members of NTEC and RTEC also shall not be any of the potential suppliers of any goods or services nor shall their relatives or business associate.

The Grant recipient Procurement Committee is mandated to:

- ensure compliance with relevant policies, guidelines and procedures stated in this Handbook;
- effect an objective evaluation processes with respect to quotations and requests for proposals;
- facilitate response to the inquiries of the suppliers of goods, works and services;
- maintain proper record of Committee meetings; and
- ensure compliance of the entire procurement process

Procurement Committee meetings should be convened pursuant to the needs of the Grant recipient. Proper minutes must be recorded and maintained for each meeting. The quorum of the meeting should be pre-determined by the Grant recipient and no issue will be reviewed in the absence of this quorum. It is recommended that one member of the evaluation committee represents the beneficiaries.

### **Procurement filing**

The Grant recipient will have the responsibility for maintaining procurement records. This will entail all the communications, forms, quotations, evaluation charts, recommendations, awards, receipts, delivery receipts, etc. These should be recorded and filed appropriately. Procurement processes are subject to audit by external auditors or reviewers from the RPMU. All Procurement Records evidencing any procurement activities must be retained for two (2) years after the closing date of the sub-project.

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<sup>3</sup> All direct contracting cases must be pre-reviewed by the Grant recipients in consultation with the RPMU



To increase transparency, the Grant recipient will inform the beneficiaries on the Procurement Plan, the goods, works, consultants and services to be procured, the supplier's name and amount quoted; notice of contract awards will be made public. Any beneficiary who wants to review the procurement process must be allowed to do so. Furthermore, beneficiaries are encouraged to send all the information regarding quotations or prices that may help to carry out procurement in an effective and efficient manner.

### **Procurement monitoring and evaluation**

The main instrument for monitoring and supervision of the procurement process is the sub-project Procurement Plan. The Grant recipient Manager will take the actions needed to assure that the Plan is followed as planned. If it becomes necessary to make changes in the PP during implementation, these changes must be agreed by the RPMU, who will make sure that the main objective of the sub-project is not compromised.

Additionally the RPMU will review and monitor the procurement processes (themselves or through outsourcing). The Grant recipient will give the RPMU total access to the files and procurement processes.

All periodical reports and specially those before replenishment of the account will include a revised Procurement Plan (if applicable), a summary of procurement progress under the sub-contract, the amounts involved, and remaining funds.

### **Closure of the Sub-project**

All activities should be completed by the date of closure of the sub-project and all funds spent according to the implementation plan. The last installment will be made upon verification that all terms of the Sub-project Framework Agreement have been respected, including provisions for sustainability of the sub-project.

The final report submitted by the Grant recipient will thoroughly review implementation results and present a financial statement of accounts.

### **Extension**

There are two types of extension: 1) Accelerated rolling continuation; 2) No-cost extension.

1) Accelerated rolling continuation.

This extension is normally for a period of 12 months no longer nor shorter. The eligible applicant shall demonstrate a sound plan for building sustainability during this extension phase.

The Secretariat will provide a scoring sheet. Inform NTEC and CCM members for no objection within 1 week. Extension is based on performance. A sub-project recipient has an opportunity to extend existing grant at the end of current grant based on good performance. Savings accrued from existing grants, either due to cost-effective measures or from lack of performance, shall be pooled into funding to support extension projects.

Good performance of a grant should fulfill the following criteria:

- ✓ There has been no delay in project implementation. This excludes the delays in RPMU processing or the UNDP payment transfer.



- ✓ The project has achieved all and for some indicators, exceeded the targets set out in the proposal within the agreed project implementation time-frame (barring delays caused by RPMU or UNDP)
- ✓ The monitoring visits consistently found the project to be implemented timely, within budget allocation and with target beneficiary satisfaction.
- ✓ The evaluation of both the programmatic and financial aspect of the project implementation found it has been in accordance with the RAF rules and regulations.
- ✓ The targeted beneficiary as well as the particular intervention remain to be of high priority for the particular geographic area and is in accordance with the National AIDS Strategic plan.
- ✓ There is no duplication with other existing projects in the country and location of this project during the proposed extension period.
- ✓ The proposed extension of project clearly demonstrated the added-value of extension in terms of scaling up: Additional rural and non-capital project implementation sites; enlargement of target beneficiary group coverage; expanding target beneficiaries.
- ✓ Up to 50% of the annual RAF allocation to each country could be allocated to project extension at a rolling continuation basis adhering to a one-month rule. If an eligible candidate did not submit the proposed extension document within the prescribed time-frame, their eligibility will be void.
- ✓ There will be an in-kind co-financing requirement for entities eligible for project extension at a minimum of 20% of total extension grant. In addition, it is encouraged that the candidate for extension secures other sources of in-cash co-financing at 20% of the extension grant. Such in-cash co-financing requires written commitment from co-financer. Refer to the proposed extension flow chart.
- ✓ To ensure RAF grant continue to give priorities to highly vulnerable populations as well as for building sustainability and cost-effectiveness in RAF, the eligibility of grant extensions should be considered only for those projects dealing with highly vulnerable population groups and for a period of 12 months, no longer nor shorter.

## 2) No cost extension.

Within 30 days prior to the end of a sub-project, due to delayed or lower than target performance despite due diligence of Grant recipient as verified and documented with substantiating condition, RAF management might consider exceptional no cost extensions to fulfill targets set out in the Grant agreement for up to 6 months maximum. There shall be one exceptional no cost extension for any sub-project. Still failing thereafter will result in discontinuation of sub-project agreement & return of any balance in accordance with discontinuation rules.

## Self-evaluation (step 9)

### Self evaluation

Self-evaluation by the Grant recipient will be based on concrete and practical indicators. It will measure the following:

- (a) the fulfillment of sub-project objectives;



- (b) the results achieved, against planned activities,
- (c) the efficiency of methods and means,
- (d) the Grant recipient's performance, and
- (e) the sustainability plan.

A self-evaluation form will be completed and annexed to the final report. The self-evaluation shall be carried out within two weeks after sub-project completion. For extension eligible Grant recipient, the self-evaluation report shall be provided 2 months prior to the End of the subproject.

■ *A final report and self-evaluation process is available in Toolkit Annex 17*

### **Pooling of funds from savings or non-performing grants**

The pooling of funds from savings or non-performing grants will be done at the country level within each country's total eligible grants for use at the country level for small grant accelerated rolling continuation support. However, the savings or non-performing grants from the regional large grants will be pooled at the regional level to be allocated to any country or regional level accelerated rolling continuation. Priority from the regional fund pooled shall be first given to the regional rolling continuation. The remaining funds pooled from the regional grants then can be freely allocated to country level sub-projects on a first come, first served basis. This first come, first served approach is meant to encourage potential eligible country-level sub-project recipients to prepare and process their accelerated rolling continuation requests to RPMU timely. The timely submission of request for rolling continuation will facilitate timely review and determination by RPMU and reduce possible delay or gaps in funding for the existing project implementation.

Any accelerated rolling continuation grant is for a period of 12 months, no shorter nor longer to be cost-effective for its administration. The continuation grant shall not exceed 50% of the total amount previously granted to the existing sub-project. This is in view of the proposed in-kind as well as encouraged in-cash co-financing requirements in the extension phase. It is also to promote and build sustainability of such worthy sub-projects.

Exceptional circumstances could be considered to exceed the 50% requirement but the maximum shall be capped at 80% of the previous total grant. Such exception must ensure this additional fund is truly applied to expansion geographically as well as scaling up of the previous scope.

## ANNEX 1. APPLICANT ELIGIBILITY CRITERIA

Implementor	Eligible sectors	Eligible beneficiaries target	Eligible interventions
1 Private sector enterprise or umbrella association Must provide matching co-financing at the minimum 50%.	1.1 Oil 1.2 Transport 1.3 Trade 1.4 Media – private sector	<ul style="list-style-type: none"> <li>✓ Workers including PLHIV who are workers</li> <li>✓ Managers</li> </ul>	<ul style="list-style-type: none"> <li>✓ Comprehensive workplace HIV policies, programmes in prevention, VCCT, ART, care and support and job shift to ensure continued employment</li> </ul>
2 Public sector	2.1 Drugs (drug control agency, narcology) 2.2 Non-health sectors <ul style="list-style-type: none"> <li>✓ Migration</li> <li>✓ Prisons</li> <li>✓ Transport</li> <li>✓ Municipalities</li> <li>✓ Uniformed services (Ministry of Internal Affairs, Ministry of Defense, Ministry of Justice, border security)</li> <li>✓ Emergency response entity of the government (disaster, disease outbreak, crisis)</li> <li>✓ Public sector media</li> </ul> 2.3 Health care settings, sexually transmitted infection clinics, TB service facilities	<b>Priority population</b> PLHIVs & their families  <b>Highly vulnerable populations</b> <ul style="list-style-type: none"> <li>➤ Injection drug users</li> <li>➤ Commercial sex workers</li> <li>➤ Prisoners</li> <li>➤ Mobile populations (trafficked person, seasonal migrant labourers, transport workers, cross-border merchants)</li> <li>➤ Men who have sex with men</li> </ul> & the families and sexual partners of these populations	<ul style="list-style-type: none"> <li>✓ Improved drug prevention, treatment, rehabilitation and social reintegration support</li> <li>✓ VCCT, TB and Hepatitis C screening</li> <li>✓ Improved PLHIV treatment, care and support, anti-discrimination and de-stigmatization of health workers in their services to PLHIVs including accountability measures in health worker performance. Introducing quality assurance mechanism to health system and services.</li> <li>✓ TB-HIV co-infection management</li> <li>✓ Ensuring highly vulnerable populations including migrants and transport workers access to and continuity of HIV related services (STI screening and treatment, HIV preventive education, VCCT, ART, Hepatitis C screening that is non-discriminatory thus regardless of nationality or citizenship)</li> </ul>
3 Civil society including NGOs	Local NGOs or community organizations active in drug demand and harm reduction, HIV and STI prevention and services	<b>Vulnerable populations</b> <ul style="list-style-type: none"> <li>➤ Rural poor</li> <li>➤ Most at risk adolescents (MARA) (street children, orphans and juvenile delinquent)</li> <li>➤ Domestic mobile populations between rural and urban settings</li> <li>➤ Prison warden</li> <li>➤ Police</li> </ul>	<ul style="list-style-type: none"> <li>✓ Bio behavioural surveillance among high vulnerable groups, particularly mobile populations</li> <li>✓ PMCT to include fathers and community destigmatization and anti-discrimination drives with accountability of service providers</li> <li>✓ Improve ART treatment adherence</li> </ul>

<p>4. International entities (multilateral, affiliates of bilateral but not bilateral, international NGOs &amp; inter-governmental entities)</p> <ul style="list-style-type: none"> <li>➤ Encouraged to partner with local entities for technical advisory services.</li> <li>➤ Funding to international entities overhead is capped at 7% maximum of the total RAF funding to the subproject</li> <li>➤ Must have active presence in at least 2 or all the participating countries and be present and implementing HIV related activities for over 3 years minimally.</li> <li>➤ Must provide co-financing in cash at least at 30% of the grant, more will be evaluated favourably.</li> </ul>	<p><b>4.1 Regionality</b> A regional proposal from any international entity must fulfill the regionality criteria – For actions that need collaborations of the countries and cannot be adequately resolved by single country alone, such as cross-border interventions, mobile populations HIV vulnerability reduction, access to services for continuity of care.</p> <p><b>4.2 Country and regional presence</b> A proposal must include at least 3 of the participating countries and preference will be given to proposals with all four countries included.</p>	<ul style="list-style-type: none"> <li>➤ Uniform service personnel</li> <li>➤ Persons with STI or TB</li> <li>➤ Health workers</li> </ul> <p><b>General population</b></p> <ul style="list-style-type: none"> <li>✓ Youth, men and women in and around hotspots of risk-zones : where drug users aggregate, major bus stop or truck stops, large markets, train stations.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Health care workplace safety through universal precaution</li> <li>✓ PLHIV self-support network capacity building &amp; positive living life-skills training</li> <li>➤ Inter-country regional collaboration on reducing vulnerability of mobile populations and ensuring their access to HIV prevention, treatment, care and support services including continuity of care, reduction of stigma and discrimination in accordance with the principle of universal access, HIV-TB coinfection prevention, treatment, care and support.</li> <li>➤ Establish and strengthen regional HIV collaborative network with regional HIV strategy and collaborative activities, addressing common regional challenges that could not be resolved by one country alone, linking with regional inter-governmental entities.</li> </ul>
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**N.B.** 1. A minimum of 60% of total grant allocation per country per round shall be for the highly vulnerable populations.

2. Effective interventions often require collaboration among several eligible implementors thus RAF particularly encourage Consortium of eligible implementors from different sectors and such proposals will receive additional scores.

## NGO /CIVIL SOCIETY ORGANISATIONS ELIGIBILITY CRITERIA

Category	Specifications
National NGOs	<ul style="list-style-type: none"> <li>✓ has the official accreditation or registration for the sector in which activities are proposed and has been in existence for more than 12 months;</li> <li>✓ has demonstrated experience in implementing the proposed activities</li> <li>✓ has good standing in the country as an NGO with reference support from former sponsors and beneficiaries;</li> <li>✓ has a permanent office and able to ensure adequate staff for proposed activities;</li> <li>✓ The NGO has sound administrative and financial procedures and able to maintain sound financing and administrative practices without past record of non-performance or financial impropriety</li> </ul>
International NGO /Association	<ul style="list-style-type: none"> <li>✓ has a permanent representation in at least 3 or all of the RAF countries and is already active in HIV related activities in these countries for at least 3 years</li> <li>✓ has previously satisfactorily implemented projects of similar financial magnitude (reference from donors and beneficiaries) and has rigorous administrative and financial procedures and practices</li> <li>✓ has proven knowledge of national policies and regulations relevant to proposed activities in targeted countries</li> <li>✓ has experience in collaboration or capacity building of national NGOs or public sectors;</li> <li>✓ has permanent staff, office and adequate equipment for proposed operations and able to recruit necessary and qualified consultants and personnel for proposed activities</li> <li>✓ has access to independent financing and does not rely on RAF financing for its operation;</li> <li>✓ Can provide at least 30% in cash co-financing for the proposed sub-project.</li> <li>✓ Overhead for the proposed sub-project chargeable to RAF is under 7%.</li> <li>✓ If an International organization is a consortium partner to a country level small grant, the total amount within a Consortium that could be allocated to this international organization shall be under 30% of the total amount of RAF support for the entire Consortium.</li> </ul>

## GUIDELINES FOR THE PREPARATION OF A SUBPROJECT PROPOSAL

To prepare satisfactory proposal acceptable to RPMU, go through the following steps carefully and provide all information accurately. The proposal listed minimal required information. However, you are welcome to provide any additional relevant information to support your proposal.

### 1. Self assessment of capacities (this refers to section 2 of the proposal)

Consider your organization's available resources in terms of:

- personnel to implement the subproject;
- physical facility to implement the proposed sub-project;
- in-kind or in cash contribution to the proposed subproject;
- support by local administration or organizations;
- availability of financial (accounting) and purchase (procurement) management process.

If necessary, the applicant will be assessed by an Appraiser to establish the level of existing competency using the Institutional Criteria provided.

### 2. Identification of target groups and beneficiaries of the subproject (this refers to section 3 of the proposal)

Identify the target beneficiaries of the proposed subproject with the following count, consider using Table A1:

- Estimated number of the particular vulnerable population (identified) in the proposed subproject area
- Estimated number of the target vulnerable population by sex and by age that would directly benefit from your proposed sub- project

For each beneficiary, describe the key benefits they will receive from this proposed project or define how your project will make a difference in their lives.

**Table A1 – Project beneficiaries**

No. of particular vulnerable population in the geographic area	No. of direct beneficiaries	% women	Age group	Benefits to the beneficiary

### 3. Selecting activities from the eligible list of activities for your proposal (this refers to section 4 and 5 of the proposal)

The eligible list of activities is in Toolkit 1 Annex 1, which is a collection of possible activities that can be undertaken by an eligible applicant. Keep in mind your organization's capacity and the target beneficiaries of your subproject, go through the list of eligible activities and select key activities relevant for your proposed subproject.

You can propose an activity that is not included in the eligible list that could benefit significantly your target beneficiaries. Feel free to discuss it with the NC or RC by email or in person. It is important that you get their agreement to include such innovative activities in your proposal. Make sure that the activities you propose will clearly benefit the target beneficiaries you have chosen for your proposal.

Discuss the proposed activities with your intended beneficiaries. Note that the activities you propose must have full support of your target beneficiaries.

**4. Breaking the proposed activities into tasks**

Once the key activities for the proposal have been agreed upon, you should identify actual step by step process to implement these activities. These steps are called Tasks. For example, if your key activity is to be at home at the end of the work day then the tasks to achieve this activity could be (a) get out of the office at the end of a work day (b) find a bus or car as your transport (c) take the chosen transport from office to home (d) get off at home and (e) enter your house.

You have to define tasks for all activities you propose. This guide does not prescribe Tasks because they may differ from one subproject to another and from one implementing organization to the other. In order to identify Tasks for each activity, you have to have logical concept and take into account of your organization’s strength and weaknesses and the beneficiarie’s ability to take on the tasks. So the structure of your subproject activities may look like the following table:

<b>Activity 1</b>
<b>Task 1.1</b> (or step 1 towards achieving the goal of main activity 1)
<b>Task 1.2</b>
<b>Task 1.3</b>
<b>Last task:</b> (last step, when completed, will complete the proposed activity)
<b>Activity 2</b>
<b>Task 2.1</b>
<b>Task 2.2</b>
and so on.....

Once you have identified main-activities and tasks, you are ready to develop an implementation schedule or work plan.

**5. Developing a sub-project work plan**

Work plan is a sequential listing of the tasks with time-frame including the following:

- Estimated start date (for each activity and task individually)
- Estimated duration, in number of days or weeks, that would be required to finish an activity (for each task individually)
- Estimated finish date (determined by adding duration to the start date – for each activity individually)

Table A2 provides an example of a work plan showing the start and finish dates of each activity and tasks.

**Table A 2. Sampel work plan**

<b>Work plan</b>	<b>Starting month:</b> _____ <b>Year</b> _____
	<b>Project months</b>

Activities and Tasks	Start Date	Finish Date	1	2	3	4	5	6	7	8	9	10	11	12
1. Activity			→	→										
1.1. task			→											
1.2. task				→										
2. Activity				→	→	→	→							
2.1. task								→						
2.2 task				→	→									
3. Activity														
3.1. task														
3.2 task....and so on														

- If the proposal is more than 12 months, then prepare a work plan for each 12 month-period, linking the 1<sup>st</sup> and 2<sup>nd</sup> year's activities and their implementation schedule.
- In the workplan, list the proposed activities. Then list all possible tasks necessary to complete the proposed activities.
- For each task, estimate the best possible start date and the estimated finish date.
- Using the start and finish dates, indicate the duration between the start and finish dates graphically by drawing a line in the months, but may not exceed more than 12 months at any time.
- Note that some tasks may be required to be going on at the same time as some other, and some tasks may need to start after one finishes. Carefully plan such activities.
- Write explanatory notes (if necessary) by referring to task number (for example, 1.1, 1.2 etc.). Do not hesitate to write explanatory notes if you think this will help clarify the situation for a reviewer of your proposal.

Refine the tasks and their start and finish dates before moving on to the next step.

### 6. Assigning responsibilities

For all tasks listed in the workplan, identify a person who will be responsible for implementing the specific tasks. The responsible person may be from your organization, the targeted beneficiaries, or others. You do not need to write the name of the person, just put the title or function of the person. The following is a work sheet for assigning responsibilities by activity or tasks:

Activity	title or function f the responsible person for the task
Activity 1	
Task 1.1	Project coordinator
Task 1.2... and so on	trainer

(add lines if necessary)

### 7. Identifying resources to deliver the tasks for each activity (this refer to section 7 of the proposal)

After developing the work schedule and assigning responsibilities, the next is to identify resources needed to implement the project by answering the following questions for each task listed in the work plan:

- What is required, when is it required and how many are required ?
- Who is required, when required and for how long is it required ?
- Prepare Table A3 to help in determining resources required using the categories listed below:

Expenditure (or Resource) category	Description
1.Goods/equipment/material	All equipment, materials and supplies to be used in the field (communities)
2.Consultancies and Training	All consultancies including individual(s) or agency and all training associated costs
3. Civil works (repair & renovations)	All items related to repairs and renovations of a facility. This includes all rehabilitation materials, skilled and unskilled laborer. RAF funding will not be allowed for new construction.
4. Direct operational costs	Project activity-related travel costs (include monitoring), office stationery and supplies, communication cost directly for the project (fax, mail, email, courier, photocopy)
5. Other (must be specified and justified)	
6. Contingencies	Up to 2% of total RAF funded portion of the proposal cost is acceptable to cover price contingency to compensate for inflation.

**Table A3. Sample resource requirement worksheet for a task**

Activity / Task	Resource categories	Item name	Unit of measure	Cost per unit	No. of units required	7-Total Cost (= unit cost x no of units required)
1.1	1 Goods/ equipment/ material					
	2.Consultancies/ Training					
	3. Civil works (repair & renovations)					
	4. Direct operational costs					
	5. Other (specify & justify)					
Estimated Cost for a task						
1.2	1 Equipment/ Material Services					
	2. Consultancies Training					
	3. Civil Works (repair & renovations)					
	4. Direct operational expenses					
	Other, etc.					
Estimated Cost for task						
Estimated Cost for Activity 1 (add up the costs for all tasks under this activity)						
Activit / Task	Resource Categories	Item name	Unit of measuret	Costs per unit	No. of units required	Total Cost (=cost per unit x no. of units required)
2.1	1 Equipment/ Material					
	2.Consultancies					

Training					
3. Civil Works (repair & renovations)					
4. Direct operational expenses					
5. Other etc.					
Estimated Cost for task					
...and so on					

If the project will need a particular item in more than one task, make sure the cost per unit for that item is the same.

## 8. Budgeting the work plan

Budgeting the work plan once you have completed the worksheet in the previous step as follows: Take one resource category (equipment, consultancies, civil work or operations cost), pick one item in that resource category from the worksheet, search whether the same item also exists in the rest of the worksheet; if so, add them together, enter the resource category and the item in **Table A4**. Be sure that the units required and the unit costs are entered correctly. Repeat the above process until all items are accumulated and recorded in Table A4 below.

**Table A4. Cost estimates**

Resource category	Name of Item	Unit of measure of the item	Unit cost	Task No. in workplan	Total units needed	Total cost (= unit cost x units needed)
1. Equipment/Material						
	<b>Sub total</b>					
2. Consultancies and Training						
	<b>Sub total</b>					
3. Civil Works (repair & renovations)						
	<b>Sub total</b>					
4. Direct operational expenses						
	<b>Sub total</b>					
5. Other						
	<b>Sub total</b>					
<b>TOTAL COST</b>						

### ➤ Contribution

In **Table A6**, you need to estimate and write the total amount of your contribution. This is an essential aspect of your proposal. The CAAP will not finance 100 percent of your proposal, thus you need to carefully identify all the resources and money that you can contribute during project implementation. Refer to the Grant Recipient Handbook. For in kind contribution, use the format in **Table A5** to estimate the value.

**Table A5. Estimating the value of 'in kind' contributions**

Description of Contribution from your organization	Current market value	Description of Contribution from third party (provide supporting document)	Current market value
<b>Total Value</b>		<b>Total Value</b>	

Write these totals, plus in cash contribution in Line 6 of Table A6. The prepare a project budget summary using Table A6 format.

**Table A6. Project budget**

Resource category	Cost estimate
1. Goods/equipment/material	
2. Consultancies and training	
3. Civil works (repair & renovations)	
4. Direct operation costs	
5-Other	
<b>6 Total cost without contribution</b>	
7. Contribution (to deduct)	
<b>8-Sub total after contributions (=6-7)</b>	
9. Contingencies (2% after contributions)	
10. Overhead	
<b>Total project cost</b>	

**Table A7. Detailed budget (template)**

		Cost per unit				Category		RAF total	Source of funding	
		Unit	Quantity	Price	Total	Type	% requested from RAF		Total from applicant	Grand total
code	Activities and resources									
<b>Program costs</b>										
Objective 1										
1.1	Activity 1 name									
	Resource 1 Airtickets	pcs								
	Resource 2 Hotel room	Days								
	Resource 3 Trainer fee	Days								
	Resource 4 lunch and coffee breaks	person								
1.2	Activity 2 name									
	Resource 1 Computer									
	Resource 1 Printer									
	Resource 2 Furniture									
Objective 2 (name)										
2.1	Activity 1 name									
<b>Administrative costs</b>										
	Activity name									
	Resource 1 salary for director	month								
	Resource 2 salary for accountant	month								
	Resource 3 Internet connection fee	month								
	Resource 2 Office rent	month								
<b>Total</b>										

## 9. Identifying performance monitoring indicators (refer to section 9 of proposal)

Your subproject performance will be monitored by your field supervisor or project coordinator who will prepare and submit weekly report. Refer to the indicators provided in the Handbook, select appropriate indicators which correspond to the activities of your work plan.

## 10. Writing the proposal

Use the RAF Proposal format in Annex 4 and the required attachments available in the annexes of the handbook to prepare the actual proposal.

## LETTER OF INTEREST

## SECTION I

Project Title:

## SECTION II

Name of applicant organization:

Legal status/  
Registration number:Legal  
address:Registration  
date:

Postal address:

Contact person:

Title/position:

Phone:

Fax:

Email:

Other Contact Person:

Title/position:

Phone:

Fax:

Email:

## SECTION III

*Concisely describe the proposed project including the following points using 12-point font and maximum 2 pages, information in Section III that exceeds 2-pages will not be reviewed.*

- What is the problem or issues to be addressed?
- Which aspect of the National AIDS strategy is this proposal responding to?
- What is the goal of the proposed project?
- What are the objectives of the project?
- Who is/are the targeted beneficiaries of the project?
- What is the estimated number of the target populations in the geographic area of the proposed project? and how many members of the target population you propose to reach through the project?
- Project plan: What will be the activities, tasks of the project and how will they be implemented?
- Who will be the project implementer?
- Who will be the project collaborating partners?
- What main indicators will be used to evaluate the project?

## SECTION IV

Total estimated project budget:

Amount of RAF grant requested:

Estimated co-financing in-kind

Estimated co-financing in cash:

## SECTION V

Name of Applying organization or consortium representative:

Signature of applying organization representative:

Date:


To be filled by RPMU Proposal registration number: \_\_\_\_\_ Receipt date \_\_\_\_\_

### PROJECT PROPOSAL FORM

#### 1. Project information

1.1 Project title: \_\_\_\_\_

1.2 Duration of the project in months \_\_\_\_\_

1.3 Total project budget: \_\_\_\_\_

Amount of RAF  
grant requested: \_\_\_\_\_

Amount of in-kind  
contribution \_\_\_\_\_

Amount of in-cash  
contribution &  
source \_\_\_\_\_

1.4 Location of the project: \_\_\_\_\_

Briefly specify the name and describe the exact location below: \_\_\_\_\_

Rural

Urban

select whichever applicable

#### 2. Applying organization information<sup>1</sup>

2.1 Name of organization: \_\_\_\_\_

2.2 Type of organization: \_\_\_\_\_

NGO

Private

Public/governmental

Other, specify \_\_\_\_\_

2.3 Legal Status/  
Registration number: \_\_\_\_\_

Legal  
address: \_\_\_\_\_

Registration  
date: \_\_\_\_\_

2.4 Postal address: \_\_\_\_\_

2.5 Contact person: \_\_\_\_\_

Title/position: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

2.6 Other contact person: \_\_\_\_\_

Title/position: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

2.7 What is your organization's official mission statement?

2.8 Number of paid staff who currently employed by your organization : \_\_\_\_\_

2.9 Number of volunteers in your organization: \_\_\_\_\_

<sup>1</sup> If the applicant is formed by several entities (consortium), each entity must fill this part. Completed sections 2 of each entity other than the primary applicant should be attached to the proposal as **Attachment A**.

2.10 Provide up to five projects/activities implemented by your organization in the last five years<sup>2</sup> as **Attachment B**

Name of project	List of activities of the project	Outputs	results	Amount of funding received	Sources of funding	Indicate the year(s) of the project implementation	Donor reference letter for this project attached
-----------------	-----------------------------------	---------	---------	----------------------------	--------------------	--	--

2.11 Describe your current sources of funding using the format here and provide Letter of Reference from your current donor (**Attachment C**)

Name of donor	Name of project activities	Expected output	Project location	Total amount of funding	Time frame of project
---------------	----------------------------	-----------------	------------------	-------------------------	-----------------------

2.12 Bank details

Name of account holder:  
 Bank name:  
 Branch name:  
 Account no./BAN code:  
 Address of bank:  
 Country:  
 SWIFT code:  
 Attachment D: provide the most recent financial and audit report, if available.

### 3 Proposed project

#### 3.1 Problem statement and situation analysis

***Brief problem statement:***

***Concise situation analysis:***

***Description of target vulnerable population:***

***Project goals and objectives (project description)***

3.2 Estimated number of the particular vulnerable population (identified) in the proposed project target site (*please provide the source of this information*)

Number	Age group
--------	-----------

3.3 Estimated number of target vulnerable population by sex and by age that would directly benefit from the project

Number	% female	Age group
--------	----------	-----------

3.4 Describe the target population's participation in the planning and proposed implementation and evaluation role for the project. *Protocols of the Participatory needs assessment with Target populations completed during the project planning with specific date and meeting minutes should be attached to the proposal (Attachment D).*

<sup>2</sup> Evidence of satisfactory performance is mandatory. The evidence in the form of a donor reference letter should be an attachment of the proposal. Include item 2.10 as an attachment B of the proposal.

3.5 Complete and attach the logical framework (LogFrame) of the project **Attachment E**. Refer to end of form for a sample format of a log frame matrix and explanations

3.6 Has this proposal been submitted elsewhere for funding?  YES  No

--	--	--

3.7 Is this proposal a scaling up of an existing project or a new project?  Scaling up  New project

--	--	--

3.8 Will there be any purchase of controlled medication or other equipments?  Yes  No  
If yes, describe authorization processes and legal measures:

--

3.9 Implementation Team (*people directly involved in the implementation of the project*). Organigram showing reporting/supervisory lines within the project and each project team member's Terms of Reference must be included as **Attachment F**

Name	% or full-time equivalent	Volunteer/Paid	Title	Responsibility for project implementation

#### 4. Partnerships

List project partners and their respective responsibilities. *Letters of support from all the partners to be provided in Attachment G.*

Name of partner 1                      Description of the partner's specific responsibility

Name of partner 2

--	--

#### 5. Sustainability

5.1 How will the services of the project be continued after completion of the project? By whom?

--

5.2 How will the recurrent costs of the project service be covered after the RAF support? What are these expected recurrent costs?

--

5.3 What are the risks that could present challenges for this project, or that could prevent success of the project? How will the project manage or mitigate these risks?

Risks	Mitigation Measures

#### 6. Project budget

6.1 Detailed Budget. Please provide an estimated budget for the project by completing the budget template (**Attachment H**). The detailed budget template can be found in attachment 3 of Grant Recipient manual (table A7, Page 7). Please also prepare a project implementation plan (use template below).

6.2 Budget Summary by cost category

Cost categories (budget line items)	Estimate
1. Goods/equipment/materials	
2. Consultants/training workshops	

3. Construction works	
4. Operational expenses	
5. Other expenses	
Total project cost	

6.4 Describe the guarantees provided by other donors for their contribution and attach letter of confirmation of support from donor (*Attachment I*).

Donor	amount	Specify task and activities of support
-------	--------	--

## 7. Check-list of attachments

Complete section 7.1 by marking all the required attachments that are included in this proposal with **X** in the right hand column. If a particular attachment is not included with the proposal for any reason, leave the right column blank. List all other (optional) attachments you decide to include in the proposal under Section 7.2.

### 7.1 Required Attachments:

Attachment	Attachment Name/Title	Check mark
A	Legal registration document (Registration certificate and charter)	
B	Five last projects in the last five years description and donor reference letter for each of the five projects	
C	Letter of reference from current donor	
D	Protocol of participatory needs assessment with beneficiaries including meeting minutes and dates of assessments	
E	Project log frame	
F	Project organigram and list of Terms of References for each member of the project implementation team	
G	List of partners, their respective responsibilities, budget allocation and each partner's letter of support	
H	Detailed project budget aligned with each activities and associated tasks and indication of source of funding: other donor, applying organization's contribution, RAF grant requested, split among implementing partners	
I	Co-financing donor confirmation letter and amount and use intended	
J	Procurement plan	
K	Project implementation plan	

### 7.1 Optional Attachments:

Attachment #	Attachment Name/Title	

## 8. Signatures

Name of your organization

representative in print

Signature of your organization  
representative

Please put a stamp of the organization

Date:

### Example of Logical Framework for a Project

	Intervention Logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
<b>Overall objectives</b>	What is the overall broader objective to which the project will contribute?	What are the key indicators related to the overall objective?	What are the sources of information for these indicators?	
<b>Project Purpose</b>	What are the specific objectives which the project shall achieve?	What are the quantitative or qualitative indicators showing whether and to what extent the project's specific objectives are achieved?	What are the sources of information that exist or can be collected? What are the methods required to get this information?	What are the factors and conditions not under the direct control of the project which are necessary to achieve these objectives? What risks have to be considered?
<b>Expected Results</b>	What are the concrete outputs envisaged to achieve the specific objectives? What are the envisaged effects and benefits of the project? What improvements and changes will be produced by the project?	What are the indicators to measure whether and to what extent the project achieves the envisaged results and effects?	What are the sources of information for these indicators?	What external factors and conditions must be realised to obtain the expected outputs and results on schedule?
<b>Activities</b>	What are the key activities to be carried out and in what sequence in order to produce the expected results?	Means: What are the means required to implement these activities, eg personnel, equipment, training, studies, supplies, operational facilities, etc	What are the sources of information about project progress?	What pre-conditions are required before the project starts? What conditions outside of the project's direct control have to be present for the implementation of the planned activities?

#### The log frame for the project proposal could be formulated below:

Goal	Objective	Expected results	Activities	Outputs	Indicator	Target	Assumptions/risks	Time frame by months

**Sample format of a project implementation plan**

	1	2	3	4	5	6	7	8	9
Goal 1									
Objective 1									
Activity 1									
Activity 2									
Activity 3									
Objective 2									

## Procurement Plan

Country:

Project Title:

Implementing Agency (or beneficiary) responsible for procurement:

№	Description of Contract Packages	Estimated cost		Procurement Method	Contract signature		Start		Completion		Remarks
		currency	total <sup>1</sup>		plan	actual	plan	actual	plan	actual	
<b>Goods, equipment, materials</b>											
1											
2											
3											
4											
5											
<b>Civil works</b>											
1											
2											
3											
4											
5											
<b>Consultancy/training</b>											
1											
2											
3											
4											
5											

---

<sup>1</sup> Please provide an exchange rate in case of different currencies used

## PROPOSAL REVIEW CRITERIA

### National Technical Evaluation Committee

#### For small grant country proposal under US\$50,000

Criteria	Max Points
<b>Social Assessment</b>	<b>10 points</b>
1. Clearly determines the beneficiary group(s) and specifies the number of targeted beneficiaries for this project	10
<b>Technical Assessment</b>	<b>60 points</b>
2. Vulnerability of target population (refer to toolkit Annex 1) <i>10 = highly vulnerable group, 5 = vulnerable group, 0 = general population</i>	10
3. Offers interventions within critical eligible activity ( Toolkit 1 Annex 1) <i>10 = 5 or more eligible area, 5 = 2 or more eligible area, 0 = not eligible area</i>	10
4. Multisectoral collaboration combing NGO, public, private sector or international entities to address a multi-sectoral problem with clearly described role for each sector partner for project implementation. <i>10 = 3 or more sectors, 5 = at least 2 sectors, 0= only 1 sector</i>	10
5. Includes measurable indicators and reporting mechanisms for project monitoring and evaluation <i>10 = clear indicators and M&amp; E mechanism, 5 = exist indicators and M&amp;E but not strong, 0 = lacking indicators and or M&amp;E mechanism (either one lacking would be 0 )</i>	10
6. Proposed budget is detailed, realistic, consistent and complete with a time-based implementation schedule, there is in-kind or in cash co-financing contribution <i>15 = in cash &amp; in kind contribution together with a complete time-bound budget 10 = in kind contribution together with a complete time-bound budget 5 = a complete time-bound budget without co-financing contribution 0 = budget not completely detailed or realistic, consistent or lacking a complete time-bound implementation schedule</i>	15
7. Proposal has a Procurement plan <i>5 = has a clear procurement plan any missing or weak plan will deduct points 0 = without a procurement plan but the proposal requires procurement</i>	5
<b>N.B. If any items 1, 3, 5, 6 or 7 was 0, the proposal cannot be funded will be returned to applicant.</b>	
<b>Institutional assessment</b>	<b>30 points</b>
8. Proposed staff has relevant experience (including volunteer experience) in the proposed sub-project actions. <i>0 = no previous experience; 1 point for every year thereafter up to maximum of 5 points for 5 or more years experience in similar projects</i>	5
9. Number of previous projects implemented in the proposed areas <i>No projects = 0 points; each project thereafter 1 points to a maximum of points for 5 or more projects</i>	5
10. Does the proposal include adequate resources for implementation of the sub-project (including staffing, equipment, office premises, etc). <i>0= inadequate existing resources of the organization, 5= one aspect limited but existing, 10 = sufficient existing resources to implement the project</i>	10
11. Is the applicant associated with other experienced NGO, GO, private sector or international entities (a letter outlining this cooperation should be attached to the proposal) <i>0= no other partners, 5 = 1 other partner, 10 = 2 or more such partners</i>	10
<b>Total</b>	<b>100 points</b>

## Regional Technical Evaluation Committee

### *For large regional grants from US\$ 50, 000 up to 1 million USD*

Criteria	Max Points
<b>Social Assessment</b>	<b>5 points</b>
1. Clearly determines the beneficiary group(s) and specifies the number of targeted beneficiaries for this project	5
<b>Technical Assessment</b>	<b>70 points</b>
2. Targeting highly vulnerable populations based on toolkit 1 Annex 1 <i>10 = Highly vulnerable populations, 5 = vulnerable populations, 0= general population</i>	10
3. Regionality criteria fulfilled (refer to toolkit 1 Annex 1) <i>20= regionality fulfilled and project covers all 4 RAF countries</i> <i>10 = regionality fulfilled and project covers three RAF countries</i> <i>5 = regionality fulfilled but project covers only two RAF countries</i> <i>0 = at least two countries but regionality was not fulfilled</i>	20
4. Multisectoral collaboration: NGO, GO, inter-governmental organization, international entities (multilateral, bilateral affiliated institutions) Combines actors, to address a multi-sector problem for collaborative project implementation demonstrating value added and filling an identified critical gap in the region <i>15 = 4 or more sectors and partners collaborating</i> <i>10 = 3 or more sectors and partners collaborating</i> <i>5 = 2 or more sectors and partners collaborating</i> <i>0 = 1 sector 1 or less partner</i>	15
5. Proposed budget is detailed, realistic, consistent and complete, including a proposal time-based implementation schedule including cofinancing both in kind and in cash and overhead is within the ceiling specified. <i>20 = comprehensive budget with 50% cofinancing in cash and other in kind additional co financing at 30% plus 3 % or less overhead</i> <i>10 = comprehensive detailed budget with 40% cofinancing in cash and other in kind cofinancing over 20% with overhead less than 5%</i> <i>5 = 30% co financing in cash, with in kind contribution and overhead less than 7%</i> <i>0 = 30% cofinancing in cash, with or without in kind contribution, over head at 7%</i>	20
6. Includes measureable and realistic indicators and reporting mechanisms for project performance monitoring, evaluation and has a procurement plan <i>5 = a comprehensive detailed plan, M&amp;E and measurable realistic indicators; deduct one point for each weakness of the plan or indicators or M&amp;E</i> <i>0 = inadequate procurement plan or no plan</i>	5
<b>N.B. If any of items 1, 3 or 5 or 6 was 0, the proposal cannot be funded, return to applicant. Do not continue review.</b>	
<b>Institutional Assessment</b>	<b>15 points</b>
7. Number of previous projects implemented in the proposed areas <i>no projects = 0 points; each project thereafter 1 points to a maximum of 5 points for 5 or more projects</i>	5
8. Proposed staff has experience in the proposed sub-project area. <i>0 points = no previous experience; 1 point for every year thereafter up to maximum of 5 points for 5 or more years experience in similar projects</i>	5
9. Does the proposal include adequate resources for project implementation (including staff, equipment, office premises, etc.) <i>5 = adequate, deduct 1 point for each weak area and 0 = inadequate overall</i>	5
<b>Sustainability and operation assessment</b>	<b>10 points</b>
10. The proposal clearly describes a sound sustainability plan for recurrent costs post RAF support	10
<b>Total</b>	<b>100 points</b>

**Sub-project Agreement No. @ @ @**

Under Central Asia Regional AIDS Project (CAAP)

**SUB-PROJECT AGREEMENT**

Between

**Regional Project Management Unit (RPMU)**

And

---

---

---

---

*Grant Manager Representative*

---

Tilek S. Meimanaliev  
Executive Director  
Regional Project Management Unit

*Grant Recipient Representative*

---

Name of representative  
Title  
Name of organization

## **Table of Contents**

- A. Basic information**
- B. General clauses**
- C. Statement of work**
- D. Accounting and financing**
- E. Procurement**
- F. Reporting requirements and audit**
- G. Sub-project oversight**
- H. Terms and conditions**
- I. Sub-project agreement execution**

**A. Basic Information****A1. Sub-project Agreement number**

This Subproject Agreement shall be referred to with the following number in all communications:

- @@@INSERT NUMBER HERE@@@

**A2. Sub-project name**

This Sub-project shall have the following official name in all publications and materials:

**A3. Effective dates**

This Sub-project Agreement is valid within the following start and end dates:

Start date: @@@INSERT DATE AND YEAR HERE@@@  
End date: @@@INSERT DATE AND YEAR HERE@@@

**A4. Place of performance**

The activities under this Sub-project Agreement will be implemented in the countries of:

- Kazakhstan
- Kyrgyzstan
- Tajikistan
- Uzbekistan

**A5. Grant manager information (“Grant Manager”)**

The following organization will hereafter be referred to as the “Grant Manager”

Regional Project Management Unit (RPMU)  
86 Kunaeva Street  
Almaty, Republic of Kazakhstan 050551  
Tel: 7-3272-44-7317  
Fax: 7-3272-44-7316  
Representative: Tilek S. Meimanaliev  
Title: Executive Director

**A6. Grant recipient information (“Grant Recipient”)**

The following organization will hereafter be referred to as the “Grant Recipient”

**A7. Grant Recipient beneficiaries information (“Grant Beneficiaries”)**

The beneficiaries of the Grant, hereafter referred to as the “Grant Beneficiaries” have been consulted and involved in the development of this Sub-project Grant as documented by Attachment 2. The Grant Recipient commits itself to implement all sub-project activities in consultation with and for the full benefit of the Grant Beneficiaries.

**A8. Sub-project agreement type**

This Sub-project Agreement is a “Forward Funded” Sub-project Agreement whereby the Grant Manager is responsible for the advance (or forward) payment of expenses to the Grant Recipient in accordance with the terms and conditions outlined in this Sub-project Agreement.

**A9. Accounting data**

This Sub-project Agreement has the following current accounting data:

- |   |       |
|---|-------|
| a. Total Grant Manager Contribution Amount:   | \$@@@ |
| b. Total Grant Recipient Contribution Amount: | \$@@@ |
| =====   |       |
| c. Total Subproject Amount:                   | \$@@@ |

**A10. Sub-project Agreement notification contacts**

All notifications between Sub-project Agreement parties must be sent by e-mail, fax or registered mail to:

- a. Grant Manager Representative:

Tilek S. Meimanaliev  
Executive Director  
Regional Project Management Unit (RPMU)  
86 Kunaeva Street  
Almaty, Republic of Kazakhstan 050551  
Tel: 7-3272-44-7317  
Fax: 7-3272-44-7316

Email: [tmeimanaliev@caap.info](mailto:tmeimanaliev@caap.info)

- b. Grant Recipient Representative:

Fill in the name of representative  
Title  
Name of organization  
Official address  
Tel  
Fax  
email

## B. General Clauses

### B1. Sub-project Agreement terminology

The following terminology shall be used and shall govern this Sub-project Agreement:

a. Agreement	This Agreement
b. CACO	Central Asia Cooperation Organization
c. EurAsEc	EurAsia Economic Community
d. CAAP	Central Asian Regional AIDS Control Project
e. End date	See Section A3
f. Forward funded	Advance funding or pre-funding
g. Grant Beneficiaries	See Section A7
h. Grant Manager	See Section A5
i. Grant Recipient	See Section A6
j. Grant Recipient Handbook	See Attachment 1
k. IDA	International Development Agency
l. Key personnel	See Section C5
m. M&E	Monitoring and evaluation
n. Party/parties	Grant Manager and/or Grant Recipient
o. RAF	Regional AIDS Fund
p. RPMU	Regional Project Management Unit
q. SOW	Statement of work
r. Statement of Work	See Section C1
s. Start date	Section A3
t. Sub-project	This Sub-project
u. Sub-project Agreement	This Agreement between Parties
v. Sub-recipient	Organization sub-granted/contracted by Grant Recipient
w. Total amount	See Section D1
x. Work-plan	See Section C2

### B2. Grant Manager's legal authority

The Regional Project Management Unit (RPMU) is the management structure overseeing the implementation of the Central Asian Regional AIDS Project (CAAP), which is funded by a grant from the International Development Agency (IDA) through a grant by the Central Asia Cooperation Organization (CACO) now the EurAsEc. Part of the proceeds of CAAP, under Component 2 of the project, must be used for the financing of grants under the Regional AIDS Fund (RAF). RAF's objective is to contribute to the control of the spread of HIV in Central Asia through the strengthening of regional and national capacity and cooperation between the public sector, NGOs and the private sector and among participating countries. The Development Grant Agreement signed between IDA and CACO provides the overall legal framework for the operations of RAF and this Sub-project Agreement.

### B3. Grant Recipients' legal authority

The Grant Recipient of this Sub-project Agreement is XXXXX, which implements donor-funded activities in YYY (countries) registration number ZZZZZ dated XYZ.

## C. Statement of Work

### C1. Statement of work

The Grant Recipient commits to implementation of the following Statement of Work (SOW), which has been approved by the Grant Manager:

@@@INSERT HERE SHORT STATEMENT OF WORK @@@

The full Statement of Work is shown in Attachment 3, as part of the final approved Sub-project proposal.

## **C2. Monitoring and evaluation plan**

The Grant Recipient commits to implement the Monitoring and Evaluation Plan, which have been approved by the Grant Manager and is included in Attachment 3.

## **C3. Work plan**

The Grant Recipient commits to implement the Work plan, which has been approved by the Grant Manager and is included in Attachment 3.

## **C4. Management Plan**

The Grant Recipient commits to implement the Management Plan, which has been approved by the Grant Manager and is included in Attachment 3.

## **C5. Key Personnel**

This Sub-project Agreement shall be managed and implemented by “Key Personnel” proposed by the Grant Recipient and approved by the Grant Manager. The Key Personnel will be supported in the implementation of the Sub-project Agreement by “Other Personnel.” The following terms and conditions shall apply to the Grant Manager and Grant Recipient’s roles and responsibilities in relation to these personnel:

- a. The Grant Recipient commits to implement the Statement of Work using the following Key Personnel positions:
  - @@@INSERT KEY PERSONNEL NAMES/POSITIONS HERE@@@
  - @@@INSERT KEY PERSONNEL NAMES/POSITIONS HERE@@@
  - @@@INSERT KEY PERSONNEL NAMES/POSITIONS HERE@@@
- b. The Grant Manager has the right to review and approve the Terms of Reference (TOR) for each of the Key Personnel. The Grant Recipient must submit the TOR to the Grant Manager for approval within 30 business days of signing the Sub-project Agreement.
- c. The Grant Recipient must inform the Grant Manager in case a Key Personnel staff needs to be changed for any reason. The Grant Manager has no authority in relation to Other Personnel.
- d. The Grant Recipient has the responsibility and right to contract with Key Personnel and Other Personnel in accordance with the Grant Recipient Handbook and local legislation.

## **D. Accounting and Financing**

### **D1. Total amount**

The Grant Manager agrees to grant the total amount of \$@@@ to the Grant Recipient for implementation of this Sub-project Agreement and in accordance with the terms and conditions outlined in this Sub-project Agreement.

### **D2. Budget categories**

The itemized budget in Attachment 3 estimates the costs for each category of the total amount shown above. The Grant Recipient is not allowed to exceed the total amount set forth in the budget without prior written approval of the Grant Manager. The estimated costs for each category are as follows:

<b>Category Number</b>	<b>Category Type</b>	<b>Category Amount</b>
Category 1	Goods/equipment/materials	\$@@@

Category 2	Consultancies/Trainings	\$@@@
Category 3	Civil works/repair	\$@@@
Category 4	Incremental Operations costs	\$@@@
Category 5	Other, specify	\$@@@
	Total	\$@@@

The following terms apply to budget and category flexibility:

- a. The Grant Recipient may adjust amounts WITHIN categories up to 20% as reasonably necessary for satisfactory implementation of the Sub-project without the approval of the Grant Manager. All adjustments above 20% need approval of the Grant Manager.
- b. The Grant Recipient may adjust amounts BETWEEN categories up to 10% as reasonably necessary for satisfactory implementation of the Sub-project without the approval of the Grant Manager. All adjustments above 10% need approval of the Grant Manager.

### D3. Payment schedule

The Total amount of the Sub-project Agreement is disbursed to the Grant Recipient according to the following payment schedule and in accordance with the terms specified in D4e:

Payment Number	Implementation Months	Payment Amount
Payment 1	Advanced	20% of RAF financed sub-project
Payment 2	3 months of projected expenditures	\$@@@
Payment 3 and subsequent payments	3 months of projected expenditures	\$@@@

### D4. Payment requests

The Grant Manager will disburse Payments to the Grant Recipient on the basis of an approved Payment Request Form and according to the following terms:

- a. The Grant Recipient must submit a Payment Request Form (Attachment 10) to the Grant Manager within ten (10) business days after signing the Sub-project Agreement in order to receive the advanced payment. The transfer of the advanced payment from the RPMU to the sub-project account will be made upon endorsement of procurement and financial plans by the RPMU Procurement and Finance staff as specified by the Sub-project Agreement.
- b. For subsequent payments, the Grant Recipient must submit a Payment Request Form to the Grant Manager thirty (30) business days before the next payment is required by the Grant Recipient. Failure by the Grant Recipient to submit a request with thirty (30) business days in advance will result in a delay of disbursement. The Grant Manager will not be responsible for delays in implementation due to Grant Recipient's failure to submit a request thirty (30) business days prior to need.
- c. The Payment Request Form must be signed by authorized signatories and must be fully complete when submitted to the Grant Manager, including all bank account information. The Payment Request Form must be accompanied by all necessary supporting documentation and reports as per Annex 8. Failure by the Grant Recipient to complete any part of the Payment Request Form will result in delay of disbursements. The Grant Manager will not be responsible for delays in implementation due to Grant Recipient's failure to fully complete the Payment Request Form.
- d. The Grant Manager has the right to request the Grant Recipient to revise its request to ensure compliance with Grant Recipient Handbook requirements that the request is a reasonable sum required for the provision of goods and services necessary for satisfactory implementation of the Sub-project Grant within the specified time-period (see D3). The Grant Manager has the responsibility to

confirm receipt of the request to the Grant Recipient within five (5) business days after receipt. The Grant Manager has the responsibility to confirm approval of the request within ten (10) business days of receipt.

- e. The Grant Manager's approval of a payment request is contingent upon the payment request being:
  - (a) consistent with the terms and conditions of the Grant Recipient Handbook and the Sub-project Agreement,
  - (b) fully completed and in accordance with the Grant Recipient's approved budget,
  - (c) the Grant Recipient is in compliance with all reporting requirements shown in Section F,
  - (d) the Grant Recipient has properly spent 70% of the most recent payment and 100% of all previous payments, and
  - (e) there are no formally raised material financial or legal issues with the Grant Recipient.
- f. The Grant Manager has the responsibility to inform the Grant Recipient within ten (10) business days of receipt of the request of any decision to delay or withhold payment. The Grant Manager must provide the Grant Recipient written notification and explanation for its decision to delay or withhold a payment and the steps that the Grant Recipient must take in order for the payment request to be processed.

#### **D5. Disbursements**

- a. The Grant Manager will disburse payments to the Grant Recipient in accordance with the Payment Schedule and approval of Payment Requests outlined in Section D3 of this Sub-project Agreement. The Grant Manager will transfer payments to the following bank account of the Grant Recipient :

*Bank Name and Address:*

*Bank SWIFT/BIC Code:*

*ABA Routing Code:*

*Bank Account Name:*

*Bank Account Number:*

- b. The Grant Manager is responsible to ensure that each payment is disbursed to the Grant Recipient within 30 days of receipt of the Payment Request Form from the Grant Recipient. Failure by the Grant Manager to disburse a payment within thirty (30) business days may result in a delay in sub-project implementation.
- c. The Grant Recipient will not be responsible for delays in implementation due to Grant Manager's failure to disburse payments in accordance with the thirty (30) business day requirement. The Grant Recipient must notify the Grant Manager in writing of any interruptions in operations and the subsequent impact on implementation due to delays in payments from the Grant Manager.
- d. The Grant Manager will not make any disbursements to sub-contractors, service providers, goods providers or other vendors providing goods or services for the Grant Recipient towards implementation of the Sub-project Agreement if the:
  - (a) Grant Recipient does not submit a request to the Grant Manager, or
  - (b) Procurement exceeds the ceilings allowed for procurement by the Grant Recipient.All other disbursements to sub-contractors or other goods and services providers and vendors are the responsibility of the Grant Recipient.
- e. Grant Manager's approval is required in the event that the Grant Recipient wishes to use its own funds to pay for eligible sub-project expenses prior to the receipt of an approved payment. The Grant Manager is responsible to reimburse the Grant Recipient for such expenses, if so approved. Such expenses will be reimbursed on submission by the Grant Recipient of supporting documents, including evidence of payments by the Grant Recipient.

#### **D6. Final payment**

- a. The Grant Manager will disburse 95% of the amount requested by the Grant Recipient on the final Payment Request Form. The balance of the final payment (5% of the final payment request) will be disbursed to the Grant Recipient only after signing of the Act of Acceptance Form (Attachment 18) by both the Grant Manager and the Grant Recipient.
- b. The Act of Acceptance Form represents satisfactory completion of the sub-project. After signing the Act of Acceptance Form, the Grant Manager has the responsibility to disburse the remaining 5% to the Grant Recipient within thirty (30) business days.
- c. Failure by the Grant Recipient to complete all SOW outlined in the Statement of Work (or subsequent amendments of the Sub-project Agreements signed by both Parties) requires the Grant Manager to issue a written request to the Grant Recipient outlining specific actions or steps that must be taken within a specified time frame (usually 30 working days) in order to achieve satisfactory completion of the sub-project to be eligible for signing of the Act of Acceptance.

#### **D7. Suspension of payments**

The Grant Manager may suspend payments under the following conditions:

- a. Failure by the Grant Recipient to meet any of the reporting requirements outlined in Section F of this Sub-project Agreement for more than thirty (30) business days upon receipt of official notification by the Grant Manager of its intent to suspend payments if the Grant Recipient does not submit the required reports in time;
- b. Suspension of sub-project activities for more than thirty (30) days by the Grant Recipient without prior notification and approval from the Grant Manager or failure to provide official required documentation proving the necessity of activity suspension; or
- c. Valid documented claims submitted to the Grant Manager by a vendor, supplier or by the Grant Beneficiary, which would indicate the Grant Recipient is in a legal dispute related to the Grant Recipient's implementation of the Sub-project Agreement.

#### **D8. Records and accounts**

The Grant Recipient shall maintain proper accounting of all expenses made during implementation of the Sub-project Agreement in accordance with audit and accounting regulations and standards outlined in the Grant Recipient Handbook and in full compliance with local legislation. In the case where there is a conflict of procedure or policy between the Grant Recipient Handbook and local legislation, the procedure or policy of the local legislation will in all cases prevail without exception.

#### **E. Procurement**

**E1.** All procurement of goods, works and services under the Sub-project Agreement shall be conducted in accordance with the methods and procedures provided in detail in the Grant Recipient's Handbook, which is an integral part of this Sub-project Agreement. For additional procurement methods, not mentioned in the Handbook, but needed for this sub-project, the Grant Recipient shall refer to Schedule 3 of the Development Grant Agreement between IDA and CACO dated May 12, 2005.

**E2.** The Grant Recipient (including beneficiaries) shall observe the highest standard of ethics during the execution of the sub-project. In pursuance of Fraud and Corruption policy, and for the purpose of this provision, the terms set forth below are defined as follows:

- "corrupt practice" means the offering, receiving, or soliciting, directly or indirectly, of any thing of value to influence the action of a public official or any CAAP staff in Grant execution; and
- "fraudulent practice" means a misrepresentation or omission of facts in order to influence the execution of a Grant.

#### **F. Reporting Requirements and Audit**

**F1. Report submission**

The Grant Recipient must submit Technical and Financial Reports in Russian to the Grant Manager. However, the submission of the English translation of the reports is required for large regional Grants.

**F2. Technical reports**

The Grant Recipient shall submit the following Technical Reports to the Grant Manager in the specified format in accordance with the deadlines outlined below:

Report Type	Specified Format	Frequency
Quarterly Status Report	Attachment 5	30 days after period
Final Technical Report	Attachment 7	60 days after end date

**F3. Financial reports**

The Grant Recipient shall submit the following Financial Reports to the Grant Manager in the specified format in accordance with the deadlines outlined below:

Report Type	Specified Format	Frequency
Quarterly Financial Report	Attachment 8	30days after period
Disbursement Report	Attachment 9	requesting next payment
Final Financial Report	Attachment 10	60 days after end date

**F4. Auditing**

- a. The Grant Manager has the right to order an audit of the Grant Recipient and bank statements related to implementation of this Sub-project at any time during implementation or at the end of grant implementation, if necessary and as the Grant Manager decides is appropriate in order to ensure strong financial control of the grant. The Grant Manager has the responsibility to inform the Grant Recipient 30 business days in advance of an ordered audit.
- b. The Grant Recipient has the responsibility to disclose all related and requested accounting documents and property to the audit firm during the ordered audit and the Grant Recipient is required to answer questions related to the grant's implementation and relevant to financial management and accounting policies and procedures of the Grant Recipient.
- c. Originals of all accounting documentation must be kept in the offices of the Grant Recipient and the Sub-recipients; copies may be provided to the audit firm upon request. The Grant Recipient and Sub-recipients shall be required to maintain original financial documentation for expenses incurred under this Sub-project Agreement for a period not less than three (3) years.
- d. The Grant Manager will select the audit firm in consultation with the Grant Recipient, but decision will be made independently and in accordance with guidelines outlined in the Grant Recipient Manual. The audit firm will be required to issue an audit report to both the Grant Manager and Grant Recipient within thirty (30) business days of the completion of the audit.

**F5. Report receipt and approval**

- a. The Grant Manager has the responsibility to confirm receipt of a report to the Grant Recipient within five (5) business days of receipt. The Grant Manager has the responsibility to confirm approval of the report within ten (10) business days of receipt.
- b. The Grant Manager has the right to request the Grant Recipient to revise its Technical or Financial Reports to ensure compliance with the Grant Receipt Handbook requirements, this Sub-project Agreement or the specified report format as shown in the attachments.

- c. The Grant Manager has the responsibility to inform the Grant Recipient within ten (10) business days of receipt of the request of any decision to delay or withhold approval of a report. The Grant Manager must provide the Grant Recipient a written notification and explanation for its decision to delay or withhold approval of a report and the steps that the Grant Recipient must take in order for the report to be approved.

## **G. Sub-project Oversight**

### **G1. Monitoring**

- a. The Grant Manager has the right and responsibility to undertake independent routine monitoring of the implementation of the Sub-project Statement of Work as outlined in Section C of this Sub-project Agreement. The routine monitoring will be implemented by the designated representative(s) of the Grant Manager and in consultation with the Grant Recipient. The Grant Manager may choose to involve a representative(s) of the Grant Beneficiary, other national or international stakeholders, a member of the NTEC or RTEC as is relevant for country level small grants or regional large grants, or a financial agency, and as the Grant Manager decides is appropriate to ensure effective sub-project implementation. All routine monitoring undertaken by the Grant Manager will be according to the agreed upon Sub-project Grant Monitoring and Evaluation Plan outlined in Section C (Attachment 3).
- b. The purpose of the independent routine monitoring is to ensure the following:
  - (a) proper implementation of each stage of sub-project implementation as agreed,
  - (b) verify that goods and services have been delivered to beneficiaries as agreed,
  - (c) proper evaluation of each stage of sub-project implementation as agreed,
  - (d) check on status of sub-project implementation in relation to the timetable and deliverables agreed,
  - (e) provide goods and services to sub-project sites, if and where agreed upon between the Grant Manager and Grant Recipient,
  - (f) review the implementation, status and accuracy of financial expenditures of the Grant Recipient,
  - (g) provide temporary or final approval of goods and services procurement, where appropriate,
  - (h) assess the status of any delays in implementation whether approved or unapproved, and/or
  - (i) assess the status of the sub-project implementation in relation to a pending decision by the Grant Manager to delay, prolong or suspend sub-project implementation.
- c. The Grant Manager has the responsibility to inform the Grant Recipient five (5) business days in advance of a monitoring visit to any sub-project site. The Grant Manager must provide notification by email, fax or registered mail to the Grant Recipient confirming dates, location, purpose and participants of the visit. The Grant Recipient has the responsibility to disclose all related and requested program documents and information to the Grant Manager and to answer questions related to the grant's implementation during the Grant Manager's routine monitoring visits. The Grant Manager has the responsibility to issue a monitoring visit report using the format in Attachment 4. The Grant Manager has the responsibility to submit the report to the Grant Recipient within thirty (30) business days of the completion of the monitoring visit.
- d. Spot check through unannounced monitoring. The purpose of spot check is the same as outlined under G1 b. However, the spot check will be implemented as when there is one of the following conditions:
  - (a) upon more than one delay by the Grant Recipient to a suggested routine monitoring visit time
  - (b) when considering suspension of payment of a grant, or
  - (c) when considering discontinuation of a grant.

The Grant Manager reserves the right to designate his agent to conduct unannounced spot check on a Grant Recipient and to review the sub-project files and records as well as implementation sites to interview targeted beneficiaries. Such spot check will however, be conducted in accordance with the Agreement and indicators and Statement of Work.

### **G2. Timetable**

- a. The Grant Recipient is responsible to ensure that the Statement of Work is implemented in accordance with Work-plan in Attachment 3 and fully completed by the End Date. The Grant Recipient has the responsibility to inform the Grant Manager within ten (10) business days of any occurrence that may or will delay or hinder the Grant Recipient's ability to complete SOW on time or according to the Statement of Work. Failure by the Grant Recipient to inform the Grant Manager of any such occurrences may result in financial penalty to the Grant Recipient as outlined in Section G.
- b. The Grant Manager may grant an extension to the agreed timetable for implementation of the Work-plan to the Grant Recipient in rare cases where the Grant Recipient can document:
  - (a) a major verifiable constraint for which the Grant Recipient has no control and which negatively impacts the Work-plan (such as a circumstance of force majeure as described in Section H10, legal changes, etc.),
  - (b) failure on the part of the Grant Manager to disburse payments in a timely manner and in accordance with terms outlined in Section D,
  - (c) changes in the Statement of Work resulting in modification of the work and/or additional responsibilities being added to the Grant Recipient's Statement of Work, or
  - (d) other unanticipated and unforeseen constraints or challenges to satisfactory implementation of the sub-project documented by the Grant Recipient and approved by the Grant Manager.
- c. The Grant Recipient has the responsibility to submit a formal request for approval of any delay within ten (10) business days of the events justifying the request. The Grant Manager has the responsibility to inform the Grant Recipient within ten (10) business days of receipt of the request providing the decision to accept or decline the request for delay with justification and reasons. All changes in the timetable for sub-project implementation (related to the Work-plan, Statement of Work, overall technical direction or deadlines) must be approved by the Grant Manager and a modification to this Sub-project Agreement issued and signed by both the Grant Manager and Grant Recipient.

### **G3. Penalties**

- a. The Grant Recipient has the responsibility to start sub-project implementation within ten (10) business days after receipt of the first payment. The Grant Recipient has the responsibility to ensure consistent and routine sub-project implementation from sub-project Start Date through End Date. In accordance with Section G2, the Grant Recipient is required to receive approval from the Grant Manager for all delays. The Grant Manager commits to ensuring that such approvals will not be unreasonably withheld or delayed.
- b. The Grant Manager has the right to apply penalties in the amount of 0.00001% percent of the Total Amount (@@@INSERT AMOUNT HERE@@@) for each business day of unapproved delayed implementation by the Grant Recipient. This penalty amount will be automatically deducted from the Grant Recipient's next payment disbursement. Delayed implementation is defined as the situation where upon the Grant Manager's request the Grant Recipient cannot produce documentation (through forms of email, phone records, meeting notes, or other developed document) proving that the Grant Recipient has been working on Sub-project implementation.
- c. The Grant Manager has the responsibility to inform the Grant Recipient ten (10) business days before the Grant Manager starts to impose the daily penalty for delays in implementation. The Grant Manager has the responsibility to inform the Grant Recipient of the total accrued penalty amount within ten (10) business days of the Grant Recipient starting of resuming implementation activities. If the delay is approved by the Grant Manager, the Grant Manager has the responsibility to notify the Grant Recipient of the fact that no penalty has accrued or will be deducted from the next payment disbursement.

## **H. Terms and Conditions**

### **H1. Regulations**

The Grant Recipient is fully responsible for the appropriate, accurate and timely provision of services and procurement of goods in order to satisfactorily implement the sub-project in accordance with all regulations, procedures and policies outlined in the Grant Recipient Handbook and in full compliance with local legislation.

## **H2. Integrity, Severability and Non-Waiver**

The following terms and conditions regarding integrity, severability and non-waivers shall apply:

- a. The Grant Manager and Grant Recipient agree to maintain, with respect to all activities and all personnel funded under this Sub-project Agreement, complete integrity and probity, and the appearance of the same, and that the failure to do so may be grounds for suspension or termination of this Sub-project Agreement by either the Grant Manager or the Grant Recipient.
- b. If any provision of this Sub-project Agreement is deemed by any court of competent jurisdiction to be void, voidable, invalid or unenforceable for any reason, the remainder of the provisions shall not be affected and shall remain valid and enforceable.
- c. Failure by the Grant Manager to insist upon strict compliance with any provision of this Sub-project Agreement shall not be deemed to be a waiver or relinquishment of, or otherwise to affect or modify, any of the Grant Manager's or Grant Recipient's rights and duties hereunder, nor shall any waiver or relinquishment of any such right or duty in one case be construed as a waiver or relinquishment in another case.

## **H3. Third Party relationships**

The following terms and conditions shall govern the relations with third parties:

- a. All contact, communication and dealings between the Grant Manager and the Grant Recipient under this Sub-project Agreement (including with the Grant Recipient's agents, representatives, personnel, consultants, other donors, or sub-contractors/grantee) shall be through or approved by the Grant Recipient. The Grant Manager will in normal circumstance, not arrange direct contact, communications or dealings with so-called third party under this Sub-project Agreement. The exception is when the Grant Manager exercises the spot-check unannounced on the Grant Recipient's performance. Failure by the Grant Manager to adhere to this requirement can be grounds for severance of the Sub-project Agreement by the Grant Recipient except in the case of spot-check unannounced.
- b. The relationship of the Grant Recipient to the Grant Manager (in this case the Regional Project Management Unit of CAAP) is that of an independent contractor. Except as otherwise provided herein, this Agreement is not intended to create, nor shall it be deemed to create, a relationship of legal agency or legal partnership between the parties regarding actions that may affect third parties.
- c. The Grant Recipient accepts full and exclusive liability for the payment of all required taxes and contributions, and for compliance with all other laws, rules and regulations of the local legislation, and those of any other countries in which the Grant Recipient services may be performed.

## **H4. Work produced under this Sub-project Agreement**

Any work or data generated by the Grant Recipient under this Sub-project Agreement shall remain the property of the Grant Recipient. The Grant Recipient agrees to provide the Grant Manager with a copy of the final data used in any manuscript, report, or publication at the conclusion of the project or upon the Grant Manager's request. It is understood that these data will be retained by the Grant Manager and used for program purposes. However, ownership of all intellectual property of whatever nature (including without limitation brand, trademarks, service marks, franchise rights, copyrights, rights on data, and other rights) by the Grant Recipient, generated before the Start Date and used in the implementation of the project shall be and remain the Grant Recipient's exclusive property at all times.

**H5. Maintenance, use and ownership of property and equipment**

Equipment, furniture, non-expendable materials, or other property procured by the Grant Recipient in the frame of this Sub-project Agreement financed by the Grant Manager shall be donated to the Beneficiary/ies upon procurement. During Sub-project implementation, all equipment and materials shall be devoted to the Sub-project, and the Grant Recipient shall be responsible for their proper custody, maintenance and care. In its procedures for procurement of goods, services or other requirements with funds made available by the Grant Manager as provided for in the Sub-project Budget, the Grant Recipient shall ensure that, when placing orders or awarding contracts, it will safeguard the principles of highest quality, economy and efficiency, and that the placing of such orders will be based on an assessment of competitive quotations, bids, or proposals.

**H6. Sub-project Agreement modifications**

Any modification to this Sub-project Agreement shall be implemented in accordance with the following procedures:

- a. If a request to modify the Sub-project Agreement is made by the Grant Recipient, the Grant Recipient must submit to the Grant Manager the request with the following documents:
  - (1) a written modification request with justification for changes,
  - (2) budget revision or revised cost estimate,
  - (3) description of specific changes to the SOW,
  - (4) documentation of the relevant Sub-recipient's approval, and
  - (5) an updated Work-plan.

The request by the Grant Recipient for a modification must be approved by the Grant Manager according to the standard contract procedures of the Grant Manager.

- b. If the request to modify the agreement is made by the Grant Manager, the Grant Recipient and the relevant beneficiary will be requested to participate in joint discussions about the possible modification. Upon signing modification of the Sub-project Agreement between all parties, the Grant Recipient must submit the following documents:
  - (1) budget revision or cost estimate,
  - (2) description of specific changes to the SOW, and
  - (3) updated Work-plan.

The request by the Grant Manager for a modification must be agreed by the Grant Recipient and relevant beneficiaries.

- c. All modifications (whether requested by the Grant Recipient or by the Grant Manager) must be authorized through written modification to this Sub-project Agreement and signed by both the Grant Recipient and Grant Manager and the relevant beneficiary concurrence must be documented. The Grant Recipient shall not begin implementation of any changes until the modification has been signed by the Grant Manager. The Grant Manager is not responsible to pay for goods or services provided towards a modification before the modification is signed.

**H7. Sub-project Agreement revocation by the Grant Recipient**

The Grant Recipient has the right to revoke this Sub-project Agreement at any time during sub-project implementation with a minimum of 30 days notice under the following conditions:

- a. The sub-project implementation site or beneficiary site are changed;
- b. The obligations of one of the Parties cannot be fulfilled;
- c. Any dispute that prohibits the use of local facilities or services;
- d. A force majeure (see Section H10) occurs in the country or any other circumstance or act beyond the reasonable control of the Grant Recipient prevents proper performance of the SOW; or
- e. Other unanticipated or unforeseen conditions documented and agreed by both Parties.

Where the Grant Recipient revokes the Sub-project Agreement for any above-mentioned condition, the Grant Recipient shall reimburse the Grant Manager for all payments received for implementation less any sums:

- (a) spent on approved and eligible sub-project expenses, or
- (b) legally obligated to third parties in accordance with the approved sub-project budget.

The Grant Recipient has the responsibility to return any goods or equipment bought with Grant Manager's funds for project implementation except those goods that have been transferred to the beneficiaries at least 90 days prior to such notification from the Grant Recipients.

#### **H8. Sub-project Agreement revocation by the Grant Manager**

The Grant Manager has the right to revoke this Sub-project Agreement at any time during sub-project implementation under the following conditions:

- a. There is documented evidence that the Grant Recipient is in material breach of the terms and conditions of this Sub-project Agreement or the implementation capacity of the Grant Recipient is significantly changed;
- b. There is documented evidence that the Grant Recipient is in material non-conformance with the procurement methods required by the Grant Manager as outlined in the Grant Recipient Handbook;
- c. There is documented evidence that the Grant Recipient or one of its sub-contracts have materially misused or diverted funds from their original purpose in a manner not approved by the Grant Manager;
- d. The sub-project or some part of its implementation suffers important and material delays (independently from the Grant Recipient's performance) rendering the total amount of the Sub-project funds insufficient or the Grant Recipient unable to execute the Statement of Work;
- e. Failure by the Grant Recipient to remedy and correct all outstanding reporting and payment to vendor, supplier or any legal dispute within thirty (30) days of receipt of the notification of suspension of payments by the Grant Manager, and there is no indication for immediate resolution of such dispute or lack of performance on the part of the Grant Recipient at the end of the thirty (30)-day warning period.
- f. The Grant Manager, otherwise, received official written notification from public authority of the violation of the rules and regulations, including that of the controlled medication procurement, by the Grant Recipient and verified this violation. This situation is the cause for immediate discontinuation without notification period, or
- g. After negotiations and mutual consent between both Parties, the benefits of the Sub-project expected (Attachment 3) are considerably diminished for any other reason.

Where the Grant Manager revokes the Sub-project Agreement for an above-mentioned condition, the Grant Recipient shall reimburse the Grant Manager for all payments received for implementation less any sums:

- (a) spent and eligible approved sub-project expenses or
- (b) legally obligated to third parties in accordance with the approved sub-project budget.

The Grant Recipient has the responsibility to return any goods or equipment bought with Grant Manager's funds for project implementation except those goods that already have been transferred to the beneficiaries 90 days prior to such revocation. The Grant Manager shall provide in writing the cause for discontinuation of the sub-project grant. A Grant Recipient in which RAF grant has been suspended or discontinued will not be eligible for any future grant application nor extension.

#### **H9. Claims and disputes**

In a case of claims or disputes between the Grant Manager and the Grant Recipient, both Parties agree to try to resolve all disputes and disagreements that may arise from or in relation to this Contract by negotiation. In the event that the dispute cannot be settled by amicable discussion, the Parties shall be referred to an acceptable mediator to be selected by both Parties. Should the mediation fail to resolve the dispute, the matter shall be settled exclusively by an arbitration council in accordance with the Arbitration Rules of the United Nations Commission on International Trade Law (UNCITRAL) and the verdict of the arbitration council shall be binding on both of the Parties. The arbitration shall be held in the place of implementation by the Grant Recipient. The arbitration proceedings shall be conducted, and the verdict shall be rendered in the English language. A verdict rendered by the arbitrators may be entered in any court having competent jurisdiction.

**H10. Force Majeure**

Force Majeure denotes all events which did not exist at the date of the signature of the present Sub-project Agreement and which occur beyond the reasonable control of the Parties and the effects of which cannot be prevented by measures reasonably taken in such case, and which delay, encumber or impede the performance of this Sub-project Agreement (such as, but not restricted to, earthquake, war, civil war, conflict, riot, act of the Government, fire, flooding, etc.). Throughout the period of Force Majeure, the obligations of the Parties may be suspended and no sanction can be applied and no damages claimed for the non-timely fulfillment of the Sub-project Agreement. In the event that Force Majeure persists beyond a two (2) month-period, both Parties will have the right to terminate the Sub-project Agreement without any further liability.

**H11. Governing law**

The governing law of this Sub-project Agreement shall be the law in effect in the Grant Recipient's place of establishment. Notwithstanding the foregoing, both Parties are responsible to comply with all laws applicable to its activities under the Sub-project Agreement, including the laws of Kazakhstan, Kyrgyzstan, Tajikistan, and Uzbekistan.

**H12. Governing language**

This Sub-project Agreement is executed in two copies in English and Russian languages with one copy for each of the Parties. In the event of any dispute between the Parties, the English language version of this Sub-project Agreement shall prevail and be referred to in all matters.

**H13. Entire agreement**

This Sub-project Agreement and its attachments contain the entire agreement between the Parties with respect to the subject matter of this Agreement and supersedes any previous agreements between the Parties including any discussions, proposals, memoranda of understanding or agreements, oral or written, and revokes all rights and obligations of the Parties relating to any such previous agreements provided that nothing in this Article shall exclude any liability for fraudulent misrepresentation.

**H14. Attachments**

The following attachments are considered a fully integral part of this Sub-project Agreement:

No.	Attachment Title/Name/Description
1	Grant Recipient Handbook – Version Dated: @ @ @
2	Sub-project Grant Beneficiary Involvement Documentation
3	Final Sub-project Proposal Form including following documents: Statement of Work
	Final Sub-project Monitoring and Evaluation Plan and Indicators
	Final Sub-project Work-plan/Timetable
	Final Sub-project Management Plan
	Final Sub-project Budget/Financial Plan
	Final Sub-project Procurement Plan
	Final Sub-project Key Personnel Plan and Terms of Reference
4	Sample Monitoring Visit Report Form for Grant Manager
5	Sample Quarterly Technical Status (Management) Report Format
6	Sample Quarterly Self-monitoring Report Format
7	Sample Quarterly Financial Report
8	Sample Disbursement Report Format and Required Documentation
9	Sample Final Report Form
10	Sample Payment Request Form
11	Sample Act of Acceptance Form and Required Documentation

**I. Sub-project Agreement Execution**

We have read, understood and commit to administer all sections of this Sub-project Agreement and Attachments in accordance with all terms and conditions outlined within.

---

**Grant Manager Representative**  
Tilek S. Meimanaliev  
Executive Director,  
Regional Project Management Unit

**Date**

---

**Grant Recipient Representative**  
Name  
Title  
Name of organization

**Date**

Sub-project Number:

**PAYMENT REQUEST**

**GENERAL INFORMATION**

DATE:

**Sub-project Name:** \_\_\_\_\_

**Sub-project Location** Country: \_\_\_\_\_ Municipality: \_\_\_\_\_

**FINANCIAL INFORMATION**

TOTAL AMMOUNT OF GRANT: ..... USD

TOTAL PREVIOUS INSTALLMENTS: ..... USD

AMOUNT REQUESTED AND NUMBER OF TRANCHE ..... USD

BALANCE LEFT: ..... USD

PAYMENT BY: .....

PAYMENT BENEFICIARY:

NAME: .....

BANK: .....

.....

ACCOUNT NUMBER: .....

(ATTACH PROGRESS REPORT)

EXPENSES SUBMITTED FOR PREVIOUS PAYMENT:

SERVICES: .....USD

GOODS/MATERAIL/EQUIPMENT .....USD

OPERATIONAL COST:.....USD

OTHER: ..... USD

I DECLARE THAT THE AMOUNTS INDICATED HERE ABOVE HAVE BEEN DISBURSED IN CONFORMITY WITH FINANCIAL AND PROCUREMENT PROCEDURES REQUESTED BY THE RPMU

GRANT RECIPIENT(SIGNATURE)

DATE

<b>Sub-project Number:</b>
----------------------------

## REPORTING FORMS

**(To be used by the grant recipient)**

### Instructions

You must provide feedback on the financial transactions. It should be submitted together with original receipts, bank statements including detailed transactions and community contributions, payments and bank balance for the period, paid cheques, and a note explaining outstanding cheques. In case this form does not provide enough space, use another sheet and attach to this form. *(Indicate all your responses in the space provided on this form)*

### Justified expenditures

<b>Expenditures</b> (as agreed on negotiation)	<b>Planned</b>	<b>Previous Total</b>	<b>This Report</b>	<b>Cumulative Total (New)</b>
1. Goods/equipment/materials purchased				
2. Training costs				
3. Transport				
4. Salaries and fees				
5 Operating costs				
6. Civil works (only renovation and repairs allowed)				
7. Others (list each)				
Total				

**Funds from RPMU:** Total amount to date \_\_\_\_\_

Bank Account Balance: \_\_\_\_\_

Petty Cash Balance: \_\_\_\_\_

**Sub-Project Account Reconciliation Statement**

For the period From \_\_\_\_\_ to \_\_\_\_\_

Bank account number \_\_\_\_\_

Bank name \_\_\_\_\_

Currency \_\_\_\_\_

**Ending balance from previous statement** **XXXXXXXXXX**

***Add***

Grant installments since previous statement XXXXXXXXXX

Interest credited to account in period XXXXXXXXXX

**Total receipts** **XXXXXXXXXX**

**TOTAL FUNDS AVAILABLE** **XXXXXXXXXX**

***Deduct***

Payments for Works XXXXXXXXXX

Payments for Goods XXXXXXXXXX

Payments for Consultant Services & Training XXXXXXXXXX

Operating costs XXXXXXXXXX

**Total payments** **XXXXXXXXXX**

**End balance as at** \_\_\_\_\_ **XXXXXXXXXX**

**Signatures of Grant recipient:**

Chairperson: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Treasurer: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Signature of responsible RAF coordinator /NC**

ID: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

ID: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Note:** Please attach statement of payments by category with information for expenditures and explanatory note if necessary – item #, name of suppliers, cost description, budget reference, invoice information, currency and amount, payment information - amount currency, USD equivalent, payment document # and date, exchange rates, totals by category.

List of documents, required for financial report (copies of receipts for expenditures and explanatory note if necessary) to be submitted to the RPMU:

**Item 1 “Goods, equipment and materials”:**

Contracts or invoices for equipment payment. Documents, confirming the fact of payment: payment orders (bank transfer payment). For payment in cash - cash vouchers, receipts to receipt cash voucher. In case, if Equipment was bought through UNDP (or RPMU) for grant-recipient, necessary to render Act of receiving – transmission of equipment between UNDP and grant-recipient. The certificate of organization balancing of obtained equipment in frames of grant financing. (In case a grant-recipient has no proper forms, the forms offered by RAF are to be used).

**Item 2 “Direct costs for training”:**

The necessary documents are: list of seminar participants, agenda of seminar and various documents on training conducted.

Sundry of seminar participants: menu, invoice, documents confirming the fact of payment: payment orders (for non-cash settlement) or cash vouchers or receipts (for cash payment), in case of work via patent, in addition to the above: Copy of patent and insurance policy.

**Item 3 “Transport expenses”**

Payment of transport expenses for participants: direction to seminar, bus /air tickets, (information paper from bus station, confirming the direction’s price if tickets are not available), description of trip (list of route), cash receipt or voucher confirming the fact of payment for transport expenses.

Authority for travel. Traveling documents: Bills, invoices for accommodation and transport. Expense-cash vouchers confirming payment. Advance reports. Program reports.

Rates of travel expenses and orders of its reimbursement are managed by local Government regulation and legislation (for local NGOs)

In cases where a driver rendered a service is working by license: The contract about rendering of services. Route schedule. Copies of patent and insurance policy. Cash receipt confirming fact of payment to driver for granted service. In cases if a driver has no license, then his services are paid with labor agreement. (see the article “Salary”)

**Item 4 “Expenses on salary/fee”**

Labor agreement or labor contract. Pay-sheet or cash vouchers (properly numbered and signed). Payroll sheet of salary (or book of salary charge) containing all information on payroll, receipts confirming the payment of tax and pension amounts. This includes consultant fees – shall provide terms of reference and contract.

**Item 5 “Direct operations expenses”**

Contracts and invoices to payment of various services and goods. Documents, confirming the fact of payment: payment orders and cash voucher or receipts. Act of receiving- handing-over of the goods and works (with detailed estimate), invoices. Write of acts of inventory holdings, used for project execution.

**Items 6 and 7** are in accordance with the Grant recipient handbook rules.

### **Procurement capacity assessment of Grant recipient**

1. Name of Grant recipient:
2. Legal status:
3. Nature of business activity:
4. Description of organization:
5. Number of employees with brief description of their responsibilities:
6. Brief description of beneficiary's experience with purchased goods, works, and services
7. Nature and value of purchases during the last fiscal year
8. Who is responsible for procurement and for contract signature?
9. Who provides technical and legal expertise for purchases?
10. A list of sources of supply
11. Description of purchasing procedures and documents
12. How are recurrent items, such as office supplies, spare parts, petrol for cars, etc., purchased?
13. Does the Grant recipient have written procurement rules?
14. What kind of contract forms are used?

## Comparison of prices (CP)

This procurement method will be used for goods or services **less than 10,000 USD** and it is based on comparing prices obtained from several suppliers, to ensure competitive prices. It is an appropriate method for procuring readily available off-the-shelf goods or standard specification commodities that are small in value. **The supplier having the lowest total evaluated price**, complying substantially with technical requirements, **will be selected**.

The steps of the process are:

1. determine the type and units of the required equipment and quantities and their delivery time, according to the procurement plan;
2. prepare list of suppliers (for this purpose use the register of suppliers, if available);
3. obtain information about the availability of the required goods either by phone or in person (shop around) from the suppliers;
4. record information in an exercise book about the suppliers, prices, etc.;
5. obtain brochures and lists of prices if available from the suppliers; if not obtain prices by phone or in person;
6. consider the quality of goods, whether items are readily available, how much the final cost will be, etc.;
7. compare the prices with the unit price reference database, if available;
8. negotiate the prices if higher than the unit price reference database, or in the absence of such a database, higher than market prices;
9. prepare a brief evaluation report showing the names of the suppliers from whom the prices were obtained, and justify the selection of a supplier based on the quality and availability of goods and the price;
10. submit the evaluation report, along with the brochures, etc., obtained, to the committee or the official authorized person to approve the recommendation for contract award;
11. after approval, purchase goods from the selected shop/supplier;
12. pay the suppliers;
13. obtain written receipt from the supplier; and
14. keep all documents, including list of suppliers, receipts, etc. on file.

## Shopping for goods and services

This procurement method will be used for goods or services that cost 10,000 USD up to 100,000 USD and it is based on comparing prices obtained from several suppliers, (minimum three), to ensure competitive prices. It is an appropriate method for procuring readily available off-the-shelf goods or standard specification commodities that are small in value. It is compulsory to compare **at least 3 (three) quotations**, for the same items or for the same list of goods. **The supplier having the lowest total evaluated price**, complying substantially with technical requirements, **will be selected**.

The steps of the process are:

1. Establish a procurement decision committee.
2. Agree on the list of required items of goods and quantities, and services;
3. Prepare technical specifications;
4. Prepare list of suppliers broad enough to generate good competition but to yield at least three quotations, as required. Such a list may be prepared based on the past experience, consultation with chambers of commerce, Internet, or direct market research;
5. Prepare Invitation to Quote (ITQ) using the samples below;
6. Send the ITQ to the suppliers;
7. Make sure that the requirement of obtaining a minimum of three quotations has been fulfilled;
8. Receive proposals/invoices by a deadline, open them and evaluate them;
9. Prepare an evaluation report using the form below for goods and services; make recommendation for award of contract;
10. Approve an evaluation report and recommendation for contract award by the procurement decision committee;
11. Sign the contract;
12. Keep the process confidential until the contract has been awarded;
13. Receive and inspect goods and make payments as per the purchase order; and
14. Keep all documents on file.

### **Technical Specifications (For procurement of Goods and Services)**

The Technical Specifications document outlines the characteristics of the goods or services required. Adequate and clear technical specifications are important for companies and suppliers, so they can quote for the goods or services that the project needs and only for those goods.

This form should describe in complete detail:

- a. Technical features, parameters, requirements, standards for the goods to be procured;
- b. accessories, tools, spare parts, etc. required for the assembly, installation, operation and maintenance of the goods;
- c. technical documentation, manuals, and other documentation required for the operation of the goods;
- d. technical assistance and training required under the contract for assembly, installation, commissioning, and operation/use of the goods; and any other information that may be deemed necessary.

*Invitation to Quote (ITQ) - Shopping For Goods*

Project Title: \_\_\_\_\_  
Source of Funding: \_\_\_\_\_  
Contract Ref: \_\_\_\_\_

Date: \_\_\_\_\_

To: \_\_\_\_\_

Dear Supplier,

1. You are invited to submit your price quotation(s) for the supply of the following items:

- (i) \_\_\_\_\_
- (ii) \_\_\_\_\_
- (iii) \_\_\_\_\_
- (iv) \_\_\_\_\_

*Information on technical specifications and required quantities are attached.*

2. You may quote for any or more items under this invitation. Each item shall be evaluated and contract awarded separately to the firm(s) offering the lowest evaluated price for each item or you must quote for all the items under this Invitation. Price quotations will be evaluated for all the items together and contract awarded to the firm offering the lowest evaluated total cost of all the items.

3. Your price proposal may be handed over or submitted by facsimile or electronically at the following address:

4. Your quotation should be accompanied by adequate technical documentation and catalogue(s) and other printed material or pertinent information in \_\_\_\_\_ (language) for each item quoted, including names and addresses of firms providing service facilities in \_\_\_\_\_ (name of the country).

5. The deadline for receipt of your quotation(s) by the Purchaser at the address indicated in Paragraph 5 is: \_\_\_\_\_ (date and time)

7. Your quotation(s) should be submitted as per the following instructions and in accordance with the attached Contract. The attached Terms and Conditions of Supply is an integral part of the Contract.

(i) **PRICES:** The prices should be quoted for delivery **CIP** \_\_\_\_\_ (place of destination) for imported goods or **Ex-Works** for domestically supplied goods plus the price of delivery to the place of destination, according to INCOTERMS, 2000. Prices can be quoted in any Bank member country currency, including Euro, but no more than three currencies.

(ii) **EVALUATION OF QUOTATIONS:** Offers determined to be substantially responsive to the technical specifications will be evaluated by comparison of their prices by converting their CIP/Ex-Works price (plus the price of delivery to the place of destination, including incidental charges such as insurance, etc.) to the \_\_\_\_\_ (national currency of the Purchaser) based on the selling exchange rate published by the Central Bank of \_\_\_\_\_ (Purchaser's country) on the date specified in Paragraph 5 of this invitation for submission of quotations.

In evaluating the quotations, the Purchaser will determine for each proposal the evaluated price by adjusting the price quotation by making any correction for any arithmetical errors as follows:

- (a) where there is a discrepancy between amounts in figures and in words, the amount in words will govern;
- (b) where there is a discrepancy between the unit rate and the line item total resulting from multiplying the unit rate by the quantity, the unit rate as quoted will govern;
- (c) if a Supplier refuses to accept the correction, his quotation will be rejected.

In addition to the quoted price, the evaluated price shall include:

- All custom duties, import and any other taxes or fees applicable for goods imported in \_\_\_\_\_ (Purchaser's country), and
- Value Added Tax (VAT) in \_\_\_\_\_ (Purchaser's country).

(iii) AWARD OF PURCHASE ORDER The award will be made to the bidder offering the lowest evaluated price and that meets the required standards of technical and financial capabilities. The successful bidder will sign a Contract as per attached form of contract and terms and conditions of supply.

(iv) VALIDITY OF THE OFFER: Your quotation(s) should be valid for a period of forty-five (45) days from the deadline for receipt of quotation(s) indicated in Paragraph 5 of this Invitation to Quote.

8. Further information can be obtained from:

\_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

9. Please Confirm by Fax/ E-mail the receipt of this invitation and whether or not you will submit the price quotation(s).

Sincerely,

**CONTRACT FORM**

THIS AGREEMENT number \_\_\_\_\_ made on \_\_\_\_\_, \_\_\_\_\_ 200\_\_\_\_, between

\_\_\_\_\_ (hereinafter called "the Purchaser") on the one part and

\_\_\_\_\_ (hereinafter called "the Supplier") on the other part.

WHEREAS the Purchaser has invited quotation for \_\_\_\_\_ (description of goods) to be supplied by Supplier, viz. Contract \_\_\_\_\_, (hereinafter called "Contract") and has accepted the Bid by the Supplier for the supply of goods under Contract at the sum of \_\_\_\_\_ (\_\_\_\_\_) hereinafter called "the Contract Price".

NOW THIS AGREEMENT WITNESSED as follows:

1. The following documents shall be deemed to form and be read and construed as part of this agreement, viz:
  - a) Invitation to Quote; Terms and Conditions of Supply, Technical Specification;
  - b) Addendum (if applicable);
2. Taking into account payments to be made by the Purchaser to the Supplier as hereinafter mentioned, the Supplier hereby concludes an Agreement with the Purchaser to execute and complete the supply of Contract and remedy any defects therein in conformity with the provisions of Contract.
3. The Purchaser hereby covenants to pay in consideration of the goods supplied and acceptance of Contract and remedying of defects therein, the Contract Price in accordance with Payment Conditions prescribed by Contract.

**Signature and seal of the Purchaser:**  
FOR AND ON BEHALF OF

**Signature and seal of the Supplier:**  
FOR AND ON BEHALF OF

\_\_\_\_\_  
Name of Authorized Representative

\_\_\_\_\_  
Name of Authorized Representative

### Terms and Conditions of Supply

Project Name: \_\_\_\_\_ Purchaser: \_\_\_\_\_  
 Consignee: \_\_\_\_\_ Package No. \_\_\_\_\_

1. Prices and Schedules for Supply

S. No.	Item No.	Quantity	Unit Price	Total Price	Delivery Time
1.					
2.					

{Note: In case of discrepancy between unit price and Total derived from unit price, unit price shall prevail}

<u>Spare Parts</u>	}
<u>Tools and Accessories</u>	}
<u>Manuals</u>	}Specify, if applicable.
<u>Maintenance Requirements</u>	}

2. Fixed Price. The prices indicated above are firm and fixed and not subject to any adjustment during contract performance.
3. Delivery Schedule: The delivery should be completed as per above schedule but not exceeding \_\_\_\_\_ months from Contract Signature or, when applicable, from the date of signing of contract.
4. Insurance: The Goods supplied under the Contract shall be fully insured in a freely convertible currency against loss or damage incidental to manufacture or acquisition, transportation, storage and delivery. The insurance shall be in an amount equal to 110 percent of the CIP EXWORKS value of the Goods from «Warehouse» to «Warehouse» on «All risks» basis, including «War Risks». The Supplier shall arrange and pay for cargo insurance, naming the Purchaser as the beneficiary.
5. Applicable Law: The Contract shall be interpreted in accordance with the laws of the Purchaser's country.
6. Resolution of Disputes: The Purchaser and the Supplier shall make every effort to resolve amicably by direct informal negotiation any disagreement or dispute between them under or in connection with the Contract. In the case of a dispute between the Purchaser and the Supplier, the dispute shall be settled in accordance with the provisions of the United Nations Commission on International Trade Law (UNCITRAL) Arbitration Rules.
7. Delivery and Documents: Upon shipment, the Supplier shall notify the Purchaser and the Insurance Company by cable or fax the full details of shipment, including purchase order number, description of goods, quantity, the vessel, the Shipping and Forwarding Receipt from freight company showing full details, port of loading, date of shipment, port of discharge, etc. The Supplier shall mail the following documents to the Purchaser, with a copy to the Insurance Company:
  - (i) copies of the Supplier's invoice showing goods' description, quantity, unit price, and total amount;
  - (ii) duplicate air/ truck transport document and/ or duplicate of railway transport document, and/or duplicate FCR ( Forwarders Certificate of Receipt) in 1 Original and 2 Copies marked «freight prepaid»;
  - (iii) copies of the packing list identifying contents of each package;
  - (iv) manufacturer's or supplier's warranty certificate;
  - (v) certificate of origin;

- (vi) certificate of quality.

The above documents shall be received by the Purchaser at least one week before arrival of the goods at the port or place of arrival and, if not received, the Supplier shall be responsible for any consequent expenses.

8. Payment for your invoice will be made 100% against delivery of shipping documents, through an irrevocable and Confirmed Letter of Credit, opened by \_\_\_\_\_ (name of the Bank in Purchaser's country) in favor of the \_\_\_\_\_ (Supplier's Bank).
9. Warranty: Goods offered should be covered by manufacturer's warranty for at least 12 months from the date of delivery to the Purchaser. Please specify warranty period and terms in detail.
10. Packaging and Marking Instructions: The Supplier shall provide standard packing of the Goods as required to prevent their damage or deterioration during transit to their final destination, as indicated in the Contract.
11. Defects: All defects will be corrected by the Supplier without any cost to the Purchaser within 30 days from the date of notice by Purchaser. Name and address of service facility which the defects are to be corrected by the supplier within the warranty period:  
Address \_\_\_\_\_
12. Force-Majeure: The supplier shall not be liable for penalties or termination for default if and to the extent that its delay in performance or other failure to perform its obligations under the Contract is the result of an event of Force-Majeure.

For purposes of this clause, "Force-Majeure " means an events beyond the control of the Supplier and not involving the Supplier's fault or negligence and not foreseeable. Such events may include, but not restricted to, act of Purchaser in its sovereign capacity, wars or revolutions, fires, floods, epidemics, quarantine restrictions, and freight embargoes.

If a Force-Majeure situation arises, the Supplier shall promptly notify the purchaser in writing of such condition and the cause thereof. Unless otherwise directed by the Purchaser in writing, the Supplier shall continue to perform its obligations under the Contract as far as is reasonably practical, and shall seek all reasonable alternative means for performance not prevented by Force-Majeure event.

13. Required Technical Specifications
  - (i) General description
  - (ii) Specific details and technical standards
  - (iii) Performance parameters

Supplier confirms compliance with the above specifications {In case of deviations supplier to list all such deviations}
14. Failure to Perform: The Purchaser may cancel the Agreement if the Supplier fails to deliver the Goods, in accordance with the above terms and conditions, in spite of a 21-day notice given by the Purchaser, without incurring any liability to the Supplier.

NAME OF SUPPLIER \_\_\_\_\_

Authorized Signature \_\_\_\_\_

Place:

Date:

**QUOTATION FORM**

\_\_\_\_\_ (Date)

To: \_\_\_\_\_ (Purchaser's Name)

\_\_\_\_\_ (Purchaser's Address)

\_\_\_\_\_

We offer to execute the \_\_\_\_\_ (name and number of Contract) in accordance with the Conditions of Contract accompanying this Quotation for the Contract Price of \_\_\_\_\_ (amount in words and numbers) (\_\_\_\_\_) (name of currency) \_\_\_\_\_. We propose to complete the delivery of Goods described in the Contract within a period of \_\_\_\_\_ (days or months) from the Date of Signing of the Contract.

This Quotation and your written acceptance will constitute a binding Contract between us. We understand that you are not bound to accept the lowest or any Quotation you receive.

We hereby confirm that this Quotation complies with the Validity of the Quotation required by the proposal documents.

Authorized Signature: \_\_\_\_\_

Name and Title of Signatory \_\_\_\_\_

\_\_\_\_\_

Name of Supplier \_\_\_\_\_

Address: \_\_\_\_\_

Phone Number \_\_\_\_\_

Fax Number, if any \_\_\_\_\_



### Comparison of prices for works

This procurement method will be used for works to **cost less than 10,000 USD** and it is based on comparing prices obtained from several contractors, to ensure competitive prices. It is an appropriate method for procuring small works. **The contractor having the lowest total evaluated price, complying substantially with all the requirements, will be selected.**

The steps of the process are:

1. prepare documents customarily prepared for such works (such as specifications, bill of quantities, etc).
2. determine required completion time.
3. prepare list of contractors (for this purpose use the register of suppliers, if available).
4. if possible, send the prepared documents to several contractors in order to obtain a minimum of three written quotations;
5. if it is not possible to obtain written quotations, invite at least three contractors from the list one by one, interview them, and obtain their prices;
6. record all information in an exercise book;
7. use the unit price reference database, if available, to check the prices;
8. prepare a brief report showing the names of the contractors from whom the prices were obtained, including a comparison of the prices, completion time, etc, and justifying the selection of one of them;
9. submit the report to the procurement committee or the official authorized to approve the recommendation for contract award;
10. after approval of the report, sign a contract with the selected contractor;
11. obtain written receipts for payments from the contractor;
12. certify that works have been completed satisfactorily; and
13. keep all documents, including list of contractors, receipts, etc. on file.

## Shopping for Works

This procurement method will be used for works that **cost 10,000 USD up to 100,000 USD** and is applicable in case of contracting small and simple works such as small repairs or minor construction or installation. It is mandatory to assess **at least 3 (three) prices obtained from 3 (three) qualified contractors. The contractor having the lowest evaluated price that fulfills substantially all the requirements will be selected.**

The steps are:

1. Agree on the list of required works and the bill of quantities of works (drawings and technical specifications) and corresponding "Activity Schedule" as per the PP;
2. Prepare technical specifications;
3. Prepare list of suppliers or contractors broad enough to generate good competition but to yield at least three quotations, as required. Such a list may be prepared based on the past experience, consultation with construction associations, Internet, or direct market research;
4. Prepare Invitation to Quote (ITQ) using samples below.
5. Send the ITQ to the suppliers and contractors;
6. Make sure that the requirement of obtaining a minimum of three quotations has been fulfilled;
7. Receive quotations by a deadline, open them and evaluate them;
8. Prepare an evaluation report using the below given form; make recommendation for award of contract;
9. Approve an evaluation report and recommendation for contract award by the procurement evaluation committee;
10. Sign the contract;
11. Keep the process confidential until the contract has been awarded;
12. Receive and inspect goods and make payments as per the purchase order; and
13. Keep all documents on file.

*Annex Invitation To Quote (ITQ) - Shopping For Works*

Project Title: \_\_\_\_\_

Source of Funding:

Contract Ref: \_\_\_\_\_

Date of Issue of Invitation: \_\_\_\_\_

To: \_\_\_\_\_

Dear Contractor,

1. The \_\_\_\_\_ (Employer) hereby invites you to submit a quotation for the following works:

.....  
.....

(Brief description of works)

2. To assist you in the preparation of your price quotation we enclose the necessary specifications, bill of quantities and drawings, form for submitting the quotation and a draft contract form.

You shall submit one original of the Price Quotation with the Form of Quotation, and clearly marked "Original". In addition, you shall also submit one copy marked as "COPY". [Your quotation in the attached format should be sealed in an envelope and addressed to and delivered at the following address:

OR

Your price quotation in the form attached may be submitted by facsimile or electronically at the following address]:

\_\_\_\_\_  
(Employer's Address)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. You must have experience as a prime contractor in the construction of at least one work of the nature and complexity equivalent to the works included in this Invitation, over the last three years and provide evidence of financial resources to successfully complete the works.

4. Each bidder shall submit only one quotation, either individually, or as a partner in a joint venture. All quotations submitted in violation of this rule shall be rejected. Partners in a joint venture shall be jointly and severally liable for the execution of the contract. In the case of a joint venture the lead partner should demonstrate work experience under paragraph 3 above. Financial resources of all the partners in the joint venture will be combined to determine adequacy of resources.

5. In evaluating the quotations, the Employer will determine for each proposal the evaluated price by adjusting the price quotation by making any correction for any arithmetical errors as follows:

(a) where there is a discrepancy between amounts in figures and in words, the amount in words will govern;

(b) where there is a discrepancy between the unit rate and the line item total resulting from multiplying the unit rate by the quantity, the unit rate as quoted will govern;

(c) if a Contractor refuses to accept the correction, his quotation will be rejected.

6. Your quotation shall be valid for a period of forty-five (45) days from \_\_\_\_\_ (deadline for submission of the quotation).

7. Your quotation in \_\_\_\_\_ language shall be for the whole works and based on the unit and total price indicated in the Bill of Quantities for a fixed unit rate contract. Currency of quoted prices and payment shall be \_\_\_\_\_ (specify National Currency). The quotation shall include all duties, local taxes and other levies payable by the contractor in accordance with the local laws.

8. The Employer will award the contract to the Contractor whose quotation has been determined to be substantially responsive to this invitation to quote and who has offered the lowest evaluated price quotation.

9. A Contractor who withdraws his quotation during the validity period and/or refuses to accept the award of a contract when and if awarded will be excluded from the list of contractors for the project for two years.

10. The contract will be governed by the terms and conditions of the attached draft Contract.

11. Your quotation should be submitted by \_\_\_\_\_ (date and time). [The quotations shall be opened in public in the presence of contractors' representatives who choose to attend, on \_\_\_\_\_ (same date as for bid submission) at the following address \_\_\_\_\_.]

Note: Omit the text in parenthesis when quotations submission is permitted by facsimile or by electronic means.

Sincerely,

\_\_\_\_\_  
(Employer)

**SECTION 1 - SPECIFICATIONS**

**SECTION 2 –BILL OF QUANTITIES/PRICED ACTIVITY SCHEDULE**

**SECTION 3 - DRAWINGS**

**CONTRACT FORM****Name of Country:****Project Name:**

Name of Contract: \_\_\_\_\_

Contract Number \_\_\_\_\_

This Contract is made on this \_\_\_\_\_ day of \_\_\_\_\_ 200\_\_  
between \_\_\_\_\_ on the one part (hereinafter  
called the Employer) and \_\_\_\_\_ (hereinafter called the Contractor) on the other  
part.

Whereas the Employer has called for quotations for (name and identification number of the contract) and the Contractor has submitted a quotation for the above work and the Employer has accepted the Contractor's Quotation dated \_\_\_\_\_ for the execution and completion of such works and the remedying of any defects therein.

Now this Contract witnesses as follows:

1. The Contractor hereby covenants to execute the works fully detailed in the Bill of Quantities included in the Contractor's Quotation which constitute an integral part of this Contract (Annex 1) in a professional and workmanship like manner in accordance with the following Conditions of Contract:
  - (a) Remedy all defects within 30 days of notification by the Engineer in charge during the period of execution of the contract and thereafter defects notified within the defect liability period.
  - (b) The Employer reserves the right to terminate the contract due to unsatisfactory performance 21 days after giving a written notice. If the Contract is frustrated by the outbreak of war or by any other event entirely outside the control of either the Employer or the Contractor, the Engineer in charge shall certify that the contract has been frustrated. In such an event, both the Employer and Contractor will have a right to terminate the contract by giving 21 days notice to the other party without any financial repercussions on either side.
  - (c) All material and construction equipment on site, temporary works, and Works shall be deemed to be the property of the Employer if the contract is terminated due to fault of the Contractor.
  - (d) The Contractor will in all cases abide by the directions of the Engineer in charge.
  - (e) The Contractor shall submit to the Engineer in charge, a program within 7 days after signing the contract describing general methods and schedule to complete the works.
  - (f) Contract completion period \_\_\_\_\_ (months) after signing of the contract.
  - (g) In case of variations in quantities, unit rates under the contract will be used to support the variation order. New items of work performed as ordered by the Engineer in charge will be paid at the mutually agreed rate and in case of any disagreement between the Contractor and the Engineer in charge the latter will fix the unit rate that will be binding on the Contractor.

- (h) The Law governing the contract shall be the applicable laws of the Government of \_\_\_\_\_.
- (i) The Contractor shall be responsible for the safety of all the activities on the Site.
- (j) During execution of works the Engineer in charge \_\_\_\_\_ (name) will carry out inspection of works at site to verify that works are executed by the Contractor in accordance with the specifications and required quality as per specifications. The Engineer in charge will reject works not performed to the required specifications and the Contractor shall take immediate actions to rectify all defects in accordance with subparagraph (a) above.
- (k) Either party may terminate the Contract by giving a 30- day notice to the other for unforeseen events such as wars and acts of nature such as earthquake, floods, fires, etc. In such cases the payments will be made to the date of termination of contract.
- (l) The Contractor is responsible for all taxes, duties, levies, etc. in accordance with the laws of the Republic of \_\_\_\_\_.
- (m) The disputes between the Employer and the Contractor arising between them under or in connection with the Contract shall be resolved amicably. In the event the dispute remains unresolved either party may refer the dispute to \_\_\_\_\_ (name the authority in the country such as Engineering Institute, Legal Institute, etc.) in accordance with the law governing the contract.
2. In consideration thereof the Employer covenants to pay the Contractor the contract price of \_\_\_\_\_ (in words and figures) in the following manner and installments:
- (A) An advance payment of 15 percent of the Contract sum will be paid upon the Contractor bringing at the work site the following items and the Engineer in charge certifying it:
- 1/ at least one half of all materials to be incorporated in the works or all materials to be consumed within three months whichever is less, and
  - 2/ all equipment required for the construction.
- (B) All four subsequent installment payments will be made at the rate of 20 percent of the contract amount. Each installment payment will be due for payment within 21 days of submission of invoice when the value of the work actually performed, calculated on the basis of unit prices and quantities, reaches 20 percent of the contract amount.
- (C) The final payment of remaining 5 percent of the contract amount shall be made upon completion of the works certified by the Engineer in Charge.
- (D) The defect liability period will be \_\_\_\_\_ (months) after taking over of completed works by the Employer.

In witness whereof the parties thereto have caused this Contract to be executed the day and year first before written.

<p>_____ Signature (on behalf of the Employer)</p> <p>In the presence of</p>  <p>_____ (Signature) Name and designation (Witness)</p>	<p>Name of the Contractor.</p> <p>_____ Signature on behalf of Contractor</p> <p>In the presence of</p>  <p>_____ (Signature) Name and Address (Witness)</p>
---	--

**QUOTATION FORM**

\_\_\_\_\_ (Date)

To: \_\_\_\_\_ (Employer's Name)

\_\_\_\_\_ (Employer's Address)

\_\_\_\_\_

We offer to execute the \_\_\_\_\_ (name and number of Contract) in accordance with the Conditions of Contract accompanying this Quotation for the Contract Price of \_\_\_\_\_ (amount in words and numbers) ( \_\_\_\_\_ ) (name of currency) \_\_\_\_\_. We propose to complete the Works described in the Contract within a period of \_\_\_\_\_ months from the Date of Signing of the Contract.

This Quotation and your written acceptance will constitute a binding Contract between us. We understand that you are not bound to accept the lowest or any Quotation you receive.

We hereby confirm that this Quotation complies with the Validity of the Quotation required by the proposal documents.

Authorized Signature: \_\_\_\_\_

Name and Title of Signatory \_\_\_\_\_

\_\_\_\_\_

Name of Contractor: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Phone Number \_\_\_\_\_

Fax Number, if any \_\_\_\_\_

**Annex Procurement of Works Under Shopping – Evaluation Form**

1. Project Name  
\_\_\_\_\_
  2. Loan/Credit Number  
\_\_\_\_\_
  3. Implementing Agency  
\_\_\_\_\_
  4. Name & No. of Package  
\_\_\_\_\_
  5. Details of works  
\_\_\_\_\_
  6. Estimated Cost \_\_\_\_\_ Equivalent US\$ \_\_\_\_\_
  7. Quotations Submission \_\_\_\_\_ time allowed (days) \_\_\_\_\_  
Submission Deadline \_\_\_\_\_ (date) \_\_\_\_\_
  8. Bidders Invited      Bidders Quoted      Quotation Receipt Date      Price Quoted
  9. Evaluation Criteria  
if other than Price, explain
  10. Ranking of Responsive  
Quotations by Price  

<u>Bidder</u>	<u>Evaluated Price</u>
  11. Non-Responsive Quotations  

<u>Contractor Bidder</u>	<u>Reason(s) for Rejection</u>
  12. Name of the lowest evaluated bidder \_\_\_\_\_
  13. Total price of the Contract award \_\_\_\_\_ US \$ \_\_\_\_\_ Equivalent
  14. Date of Contract award \_\_\_\_\_
  15. Any issues (to be) discussed at finalization of contract. Give details
  16. Complaints from Other Contractors, if any, provide details
- Date: \_\_\_\_\_ Signature of Procurement Official \_\_\_\_\_

### **Individual Consultants Small Contracts (ICSC)**

**Individual Consultants Small Contracts (ICSC).** Individual consultants with contracts to **cost less than 10,000 USD** are selected through comparison of CVs and interviews if needed. Individual consultants shall meet all relevant qualifications and shall be fully capable of carrying out the assignment.

Individual consultants are selected on the basis of their qualification for the assignment. They may be selected through a qualification comparison of their CVs among those expressing interests in the assignment, or approached directly by the Grant recipient. Individual consultants hired shall meet all relevant qualifications and shall be fully capable of carrying out the assignment.

The steps are:

1. prepare terms of reference;
2. prepare a list of potential individuals (if possible, of three). Use the register of consultants, if available;
3. select the best candidate that fulfill the requirements;
4. contact the selected candidate;
5. negotiate the contract terms and conditions; and
6. sign a simple contract;
7. supervise consultant's performance;
8. make sure that payments are made against agreed deliverables/outcomes

## Individual Consultant Selection

**Individual Consultants (IC).** Individual consultants with contracts to **cost 10,000 USD up to 50,000 USD** are selected on the basis of their qualification for the assignment. They may be selected through comparison of CVs and interviews if needed among those expressing interest in the assignment, or approached directly by the Grant recipient. Individual consultants hired by the RPMU shall meet all relevant qualifications and shall be fully capable of carrying out the assignment.

The steps are:

1. Prepare terms of reference and agree on evaluation criteria;
2. Seek expression of interest from individual consultants preferably through advertisement;
3. Based on the expression of interests received, prepare a list of a minimum of three candidates, based on their relevant experience in the field of assignment (i.e. the list should not include candidates who don't have experience/qualifications in the relevant field of assignment, or who may not fulfill any minimum experience/qualifications, etc, if so required in the request for expression of interests);
4. Send the terms of reference to the short listed individual consultants, along with the request for CVs in Annex 9A
5. Establish a small evaluation committee comprising at least three members but not more than five members;
6. Receive the CVs and evaluate them based on criteria set up beforehand;
7. Prepare evaluation report using the form
8. If subject to Bank's prior review, submit the evaluation report to the Bank;
9. Interview the selected candidate or the first two candidates before hiring
10. After Bank's agreement, negotiate contract (see standard forms below) with the selected consultant via email, fax or on the phone;
11. Negotiate contract with the selected consultant via email, fax or on the phone
12. Sign the contract;
13. Keep the process confidential until contract is awarded;
14. Supervise Consultant's performance;
15. Ensure that payments are made against agreed deliverables/outputs

## Letter of Invitation - Selection of Individual Consultants for Advisory Services

Dear Sirs,

1. You are hereby invited to submit your curriculum vitae (CV) as well as fee proposal for providing the consulting services on \_\_\_\_\_ (brief description of services).
2. If selected, you would assist \_\_\_\_\_ (hereinafter referred to as "the Client") with \_\_\_\_\_. More details on the services are provided in the attached Terms of Reference.
3. Your experience and qualification shall conform to the requirement as specified in the terms of reference. The CV will be evaluated for the qualification and experience of the candidates in accordance with the following criteria:
 

(i) General Qualifications	20
(ii) Adequacy for the Project	60
(iii) Language and Experience	20
 Total Points:	 100
4. Following the evaluation of the CV's of individual consultants, the candidate whose evaluation scores is the highest, will be invited for contract negotiations and signing. Contract will be negotiated by phone or e-mail. In case of any delay the Client has the right to withdraw the invitation. In case agreement is not reached for a contract, the negotiations with the individual consultant will be terminated and new negotiation will be proposed with the next ranked candidate. The client has the right to interview the candidates before hiring.
5. You will be requested to start your assignment by..... The Client will make its best efforts to select a consultant before this period.
6. The estimated time required for the assignment is: .....
7. Please note that the cost of preparing a CV, any visits to the client and of negotiating a contract is not reimbursable as a direct cost of the assignment.
8. The following documents are attached to the Letter of Invitation:
  - I. Sample Format of Curriculum Vitae (CV)
  - II. Cost Estimate of services and Schedule of Rates (optional)
  - III. Terms of Reference
  - IV. Draft contract (optional)
9. If you require further information on the assignment and the local conditions, you may contact Mr. .... at the following phone number and address:
10. Your completed CV should be faxed or e-mailed or delivered to the above address before .....
11. The Client is not bound to accept any of the CV's submitted.

12. Please inform us, upon receipt:

- (a) that you received the letter of invitation; and
- (b) whether or not you will be submitting a CV.

Yours sincerely,

---

### Sample Format for Curriculum Vitae (CV)

Assignment Title: \_\_\_\_\_

\_\_\_\_\_

Name of Consultant: \_\_\_\_\_

Profession: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Nationality: \_\_\_\_\_

Membership in Professional Societies: \_\_\_\_\_

\_\_\_\_\_

Detailed Tasks Assigned: \_\_\_\_\_

\_\_\_\_\_

#### Key Qualifications:

*[Give an outline of consultant's experience and training most pertinent to tasks on assignment. Describe degree of responsibility held by consultant on relevant previous assignments and give dates and locations. Use about half a page.]*

\_\_\_\_\_

#### Education:

*[Summarize college/university and other specialized education of consultant, giving names of schools, dates attended, and degrees obtained. Use about one quarter of a page.]*

\_\_\_\_\_

#### Employment Record:

*[Starting with present position, list in reverse order every employment held. List all positions held by consultant since graduation, giving dates, names of employing organizations, titles of positions held, and locations of assignments. For experience in last ten years, also give types of activities performed and client references, where appropriate. Use about two pages.]*

\_\_\_\_\_

#### Languages:

*[For each language indicate proficiency: excellent, good, fair, or poor in speaking, reading, and writing.]*

---

**Certification:**

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe me, my qualifications, and my experience.

\_\_\_\_\_  
*[Signature of consultant ]* Date: \_\_\_\_\_  
*Day/Month/Year*

Full name of consultant: \_\_\_\_\_

### Cost Estimate of Services and Schedule of Rates

(1) Remuneration

<i>Name</i>	<i>Rate (per working day)</i>	<i>Time spent (number of working days)</i>	<i>Total (currency)</i>
			<b>Sub-Total (1)</b>

(2) Reimbursables<sup>1</sup>

	<i>Rate</i>	<i>Calendar days</i>	<i>Total</i>
(a) International Travel			
(b) Local Transportation			
(c) Interpreter/Translation			
(d) Per Diem			
			<b>Sub-total (2)</b>

TOTAL COST \_\_\_\_\_

CONTRACT CEILING \_\_\_\_\_

<sup>1</sup> To include expenses for international travel, local transportation, interpretation/translation, per diem, visas, airport taxes, and other such travel related expenses as may be necessary; reimbursable at cost with supporting documents/receipts; except for per diem.

## **Preparing the Terms of Reference for Consultants**

The Terms of Reference (TOR) is the document that outlines the objectives, scope of work, activities and/or tasks to be performed, the respective responsibilities of the consultant to be hired and expected results and deliverables of the assignment. Adequate and clear TOR is important for the understanding of the assignment and to contribute to its proper execution. The following is a suggested outline for a TOR:

- Background of the project;
- Objectives of the assignment;
- Scope of work;
- Duration/timing
- Qualifications and experience required
- Transfer of knowledge (i.e., training);
- List of reports required to be presented, schedule of deliveries, period of performance;
- Data, local services, personnel, and facilities to be provided by the Consultant.

**Evaluation Report - Selection of Consulting Services of Individual Consultant**

Country. Project Title:

Loan/Credit/Grant Number:

Date\_\_\_\_\_

1. Implementing Agency \_\_\_\_\_(address, telephone/Fax No)
2. Name of consulting assignment:
3. Package Number (as per Procurement Plan):
4. Total Estimated Cost of Assignment: (Include fees, incidentals, travel costs, etc.)
5. Period of the Assignment:
6. Date of Issue of the LOI or Request to Express Interest:
7. Name of individual consultants invited (list also those who expressed interest in response to advertisements, if there was an invitation issued):
8. Evaluation Criteria basis:
  - I. General Qualifications .....points
    - -----
    - -----
  - II. Adequacy for the Project ..... points
    - -----
    - -----
    - -----
  - III. Language and Relevant Experience ..... points
    - -----
    - -----
    - -----
9. Deadline for submission of CVs:
10. Name of consultants who expressed interest and submitted CVs:
11. Members of Evaluation Committee: (Name and Position of each member)
12. Consultants included on the Short List: (include at least three)
13. Results of evaluation of CVs with respect to TOR and other evaluation criteria/requirements)

Name of Short Listed consultant	Strengths	Weaknesses
1		
2		
3		

14. Based on the substantial responsiveness of the best evaluated CV with respect to compliance with technical and other related aspects specified in the TORs the following award of contract is recommended:

Name of the Selected Individual Consultant:

Contract Price: to be negotiated

Period of Consulting/Services: to be negotiated

Complaints, if any: \_\_\_\_\_

**Signature of the Chairperson of the Evaluation Committee:** \_\_\_\_\_

## EVALUATION SHEET

Consultant Names	Age	General Qualification (---Points)		Adequacy for Project (---Points)		Language and Experience (---Points)		Staff Rating
		Rating*	(A) x (Points)	Rating*	(C) x (Points)	Rating*	(E x (Points)	(B) + (D) + (F)
		(A)	(B)	(C)	(D)	(E)	(F)	(G)
-----								
-----								

\* Footnote:

Rating: Highly Satisfactory 100% (or 1.0)  
 Satisfactory – 90% (or 0.9)  
 Good – 80% (or 0.8)  
 Poor – 60% (or 0.6)  
 Unsatisfactory – 50% (or 0.5)

## **Sample Contract for Consulting Services Small Assignments Time-Based Payments**

### **CONTRACT**

THIS CONTRACT ("Contract") is entered into this *[insert starting date of assignment]*, by and between *[insert Client's name]* ("the Client") having its principal place of business at *[insert Client's address]*, and *[insert Consultant's name]* ("the Consultant") having its principal office located at *[insert Consultant's address]*.

WHEREAS, the Client wishes to have the Consultant performing the services hereinafter referred to, and

WHEREAS, the Consultant is willing to perform these services,

NOW THEREFORE THE PARTIES hereby agree as follows:

1. **Services**
  - (i) The Consultant shall perform the services specified in Annex A, "Terms of Reference and Scope of Services," which is made an integral part of this Contract ("the Services").
  - (ii) The Consultant shall provide the reports listed in Annex B, "Consultant's Reporting Obligations," within the time periods listed in such Annex, and the personnel listed in Annex C, "Cost Estimate of Services, List of Personnel and Schedule of Rates" to perform the Services.
2. **Term**

The Consultant shall perform the Services during the period commencing *[insert start date]* and continuing through *[insert completion date]* or any other period as may be subsequently agreed by the parties in writing.
3. **Payment**
  - A. Ceiling

For Services rendered pursuant to Annex A, the Client shall pay the Consultant an amount not to exceed a ceiling of *[insert ceiling amount]*. This amount has been established based on the understanding that it includes all of the Consultant's costs and profits as well as any tax obligation that may be imposed on the Consultant. The payments made under the Contract consist of the Consultant's remuneration as defined in sub-paragraph B below and of the reimbursable expenditures as defined in sub-paragraph C below.
  - B. Remuneration

The Client shall pay the Consultant for Services rendered at the rate(s) per man/month spent<sup>1</sup> (or per day spent or per hour spent, subject to a maximum of eight hours per day) in accordance with the rates agreed and specified in Annex C, "Cost Estimate of Services, List of Personnel and Schedule of Rates."
  - C. Reimbursable

The Client shall pay the Consultant for reimbursable expenses, which shall consist of and be limited to:

<sup>1</sup> Select the applicable rate and delete the others.

- (i) normal and customary expenditures for official travel, accommodation, printing, and telephone charges; official travel will be reimbursed at the cost of less than first class travel and will need to be authorized by the Client's coordinator;
- (ii) such other expenses as approved in advance by the Client's coordinator.<sup>2</sup>
- D. Payment Conditions
- Payment shall be made in *[specify currency]* not later than 30 days following submission of invoices in duplicate to the Coordinator designated in paragraph 4.
- 4. Project Administration**
- A. Coordinator
- The Client designates Mr./Ms. *[insert name]* as Client's Coordinator; the Coordinator shall be responsible for the coordination of activities under the Contract, for receiving and approving invoices for payment, and for acceptance of the deliverables by the Client.
- B. Timesheets
- During the course of their work under this Contract, including field work, the Consultant's employees providing services under this Contract may be required to complete timesheets or any other document used to identify time spent, as well as expenses incurred, as instructed by the Project Coordinator.
- C. Records and Accounts
- The Consultant shall keep accurate and systematic records and accounts in respect of the Services, which will clearly identify all charges and expenses. The Client reserves the right to audit, or to nominate a reputable accounting firm to audit, the Consultant's records relating to amounts claimed under this Contract during its term and any extension, and for a period of three months thereafter.
- 5. Performance Standard**
- The Consultant undertakes to perform the Services with the highest standards of professional and ethical competence and integrity. The Consultant shall promptly replace any employees assigned under this Contract that the Client considers unsatisfactory.
- 6. Confidentiality**
- The Consultants shall not, during the term of this Contract and within two years after its expiration, disclose any proprietary or confidential information relating to the Services, this Contract or the Client's business or operations without the prior written consent of the Client.
- 7. Ownership of Material**
- Any studies, reports or other material, graphic, software or otherwise, prepared by the Consultant for the Client under the Contract shall belong to and remain the property of the Client. The Consultant may retain a copy of

<sup>2</sup> Specific expenses can be added as an item (iii) in paragraph 3.C.

- such documents and software.<sup>3</sup>
- 8. Consultant Not to be Engaged in Certain Activities** The Consultant agrees that, during the term of this Contract and after its termination, the Consultants and any entity affiliated with the Consultant, shall be disqualified from providing goods, works or services (other than the Services or any continuation thereof) for any project resulting from or closely related to the Services.
- 9. Insurance** The Consultant will be responsible for taking out any appropriate insurance coverage.
- 10. Assignment** The Consultant shall not assign this Contract or Subcontract any portion of it without the Client's prior written consent.
- 11. Law Governing Contract and Language** The Contract shall be governed by the laws of *[insert government]*, and the language of the Contract shall be<sup>4</sup> *[insert language]*.
- 12. Dispute Resolution<sup>5</sup>** Any dispute arising out of this Contract, which cannot be amicably settled between the parties, shall be referred to adjudication/arbitration in accordance with the laws of the Client's country.
- 13. Miscellaneous** The Client may terminate the Contract with at least 10 working days written notice to the Consultant after the occurrence of any of the events specified in sub-paragraphs (a) through (d) of this Clause:
- (a) if the Consultant does not remedy a failure in the performance of their obligations under the Contract within seven working days from the date of written notification or within any further period as may be further agreed with the Client in writing;
- (b) if the Consultant becomes insolvent or bankrupt;
- (c) if the Consultant, in the judgment of the Client, has engaged in corrupt or fraudulent practices in competing for or in executing the Contract.
- For the purpose of this Clause:
- "corrupt practice" means the offering, giving, receiving, or soliciting of anything of value to influence the action of a public official in the selection process or in contract execution;
- "fraudulent practice" means a misrepresentation of facts in order to influence a selection process or the execution of a contract to the detriment of the Borrower, and includes collusive practice among Consultants (prior to or after submission of proposals) designated to establish prices at artificial noncompetitive levels and to deprive the Borrower of the benefits of free and open competition;
- (d) if the Client, in its sole discretion, decides to terminate the Contract.

<sup>3</sup> Restrictions about the future use of these documents and software, if any, shall be specified at the end of Article 7.

<sup>4</sup> The law selected by the Client is usually the law of its country. However, the Bank does not object if the Client and the Consultant agree on another law. The language shall be English, French, or Spanish, unless the Contract is entered into with a domestic firm, in which case it can be the local language.

<sup>5</sup> In the case of a Contract entered into with a foreign Consultant, the following provision may be substituted for paragraph 12: "Any dispute, controversy or claim arising out of or relating to this Contract or the breach, termination or invalidity thereof, shall be settled by arbitration in accordance with the UNCITRAL Arbitration Rules as at present in force."

FOR THE CLIENT

FOR THE CONSULTANT

Signed by \_\_\_\_\_

Signed by \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

### **List of Annexes**

Annex A: Terms of Reference and Scope of Services

Annex B: Consultant's Reporting Obligations

Annex C: Cost Estimate of Services, List of Personnel and Schedule of Rates

## ANNEX C

## COST ESTIMATE OF SERVICES, LIST OF PERSONNEL AND SCHEDULE OF RATES

(1) Remuneration of Staff

	Name	Rate (per month/day/ hour in currency)	Time spent (number of month/day/hour)	Total (currency)
(a)				
(b)				
(c)				
				Sub-Total (1)

(2) Reimbursables<sup>6</sup>

	Rate	Days	Total
(a) International Travel			
(b) Local Transportation			
(c) Per Diem			
			Sub-total (2)

TOTAL COST \_\_\_\_\_

Physical Contingency<sup>7</sup> \_\_\_\_\_

CONTRACT CEILING \_\_\_\_\_

<sup>6</sup> To include expenses for international travel, local transportation, per diem, communications, reporting costs, visas, inoculations, routine medical examinations, portage fees, in-and-out expenses, airport taxes, and other such travel related expenses as may be necessary; reimbursable at cost with supporting documents/receipts; except for per diem (which is fixed and includes housing and \_\_\_\_\_ expenses).

<sup>7</sup> From 0 to 15 percent of total cost; use of contingency requires prior approval of the Client.

**Annex Sample Contract For Small Assignments Lump-Sum Payments****CONTRACT**

THIS CONTRACT ("Contract") is entered into this *[insert starting date of assignment]*, by and between *[insert Client's name]* ("the Client") having its principal place of business at *[insert Client's address]*, and *[insert Consultant's name]* ("the Consultant") having its principal office located at *[insert Consultant's address]*.

WHEREAS, the Client wishes to have the Consultant perform the services hereinafter referred to, and

WHEREAS, the Consultant is willing to perform these services,

NOW THEREFORE THE PARTIES hereby agree as follows:

- 1. Services**
- (i) The Consultant shall perform the services specified in Annex A, "Terms of Reference and Scope of Services," which is made an integral part of this Contract ("the Services").
  - (ii) The Consultant shall provide the personnel listed in Annex B, "Consultant's Personnel," to perform the Services.
  - (iii) The Consultant shall submit to the Client the reports in the form and within the time periods specified in Annex C, "Consultant's Reporting Obligations."

**2. Term** The Consultant shall perform the Services during the period commencing *[insert starting date]* and continuing through *[insert completion date]*, or any other period as may be subsequently agreed by the parties in writing.

**3. Payment** A. Ceiling

For Services rendered pursuant to Annex A, the Client shall pay the Consultant an amount not to exceed *[insert amount]*. This amount has been established based on the understanding that it includes all of the Consultant's costs and profits as well as any tax obligation that may be imposed on the Consultant.

B. Schedule of Payments

The schedule of payments is specified below:<sup>1</sup>

*[insert amount and currency]* upon the Client's receipt of a copy of this Contract signed by the Consultant;

*[insert amount and currency]* upon the Client's receipt of the draft report, acceptable to the Client; and

*[insert amount and currency]* upon the Client's receipt of the final report, acceptable to the Client.

---

<sup>1</sup> Modify, in order to reflect the output required, as described in Annex C.

*[insert amount and currency]* Total

C. Payment Conditions

Payment shall be made in *[specify currency]*, no later than 30 days following submission by the Consultant of invoices in duplicate to the Coordinator designated in paragraph 4.

**4. Project Administration**

A. Coordinator.

The Client designates Mr./Ms. *[insert name]* as Client's Coordinator; the Coordinator will be responsible for the coordination of activities under this Contract, for acceptance and approval of the reports and of other deliverables by the Client and for receiving and approving invoices for the payment.

B. Reports.

The reports listed in Annex C, "Consultant's Reporting Obligations," shall be submitted in the course of the assignment, and will constitute the basis for the payments to be made under paragraph 3.

**5. Performance Standards**

The Consultant undertakes to perform the Services with the highest standards of professional and ethical competence and integrity. The Consultant shall promptly replace any employees assigned under this Contract that the Client considers unsatisfactory.

**6. Confidentiality**

The Consultants shall not, during the term of this Contract and within two years after its expiration, disclose any proprietary or confidential information relating to the Services, this Contract or the Client's business or operations without the prior written consent of the Client.

**7. Ownership of Material**

Any studies reports or other material, graphic, software or otherwise, prepared by the Consultant for the Client under the Contract shall belong to and remain the property of the Client. The Consultant may retain a copy of such documents and software.<sup>2</sup>

**8. Consultant Not to be Engaged in Certain Activities**

The Consultant agrees that, during the term of this Contract and after its termination, the Consultant and any entity affiliated with the Consultant, shall be disqualified from providing goods, works or services (other than the Services and any continuation thereof) for any project resulting from or closely related to the Services.

**9. Insurance**

The Consultant will be responsible for taking out any appropriate insurance coverage.

**10. Assignment**

The Consultant shall not assign this Contract or sub-contract any portion of it without the Client's prior written consent.

<sup>2</sup> Restrictions about the future use of these documents and software, if any, shall be specified at the end of paragraph 7.

- 11. Law Governing Contract and Language** The Contract shall be governed by the laws of *[insert government]*, and the language of the Contract shall be<sup>3</sup> *[insert language]*.
- 12. Dispute Resolution<sup>4</sup>** Any dispute arising out of the Contract, which cannot be amicably settled between the parties, shall be referred to adjudication/arbitration in accordance with the laws of the Client's country.
- 13. Miscellaneous** The Client may terminate the Contract with at least 10 working days written notice to the Consultant after the occurrence of any of the events specified in sub-paragraphs (a) through (d) of this Clause:
- (a) if the Consultant does not remedy a failure in the performance of their obligations under the Contract within seven working days from the date of written notification or within any further period as may be further agreed with the Client in writing;
- (b) if the Consultant becomes insolvent or bankrupt;
- (c) if the Consultant, in the judgment of the Client, has engaged in corrupt or fraudulent practices in competing for or in executing the Contract.
- For the purpose of this Clause:
- "corrupt practice" means the offering, giving, receiving, or soliciting of anything of value to influence the action of a public official in the selection process or in contract execution;
- "fraudulent practice" means a misrepresentation of facts in order to influence a selection process or the execution of a contract to the detriment of the Borrower, and includes collusive practice among Consultants (prior to or after submission of proposals) designated to establish prices at artificial noncompetitive levels and to deprive the Borrower of the benefits of free and open competition;
- (d) if the Client, in its sole discretion, decides to terminate the Contract.

FOR THE CLIENT

FOR THE CONSULTANT

Signed by \_\_\_\_\_

Signed by \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

<sup>3</sup> The law selected by the Client is usually the law of its country. However, the Bank does not object if the Client and the Consultant agree on another law. The language shall be English, French, or Spanish, unless the Contract is entered into with a domestic firm, in which case it can be the local language.

<sup>4</sup> In the case of a Contract entered into with a foreign Consultant, the following provision may be substituted for paragraph 12: "Any dispute, controversy or claim arising out of or relating to this Contract or the breach, termination or invalidity thereof, shall be settled by arbitration in accordance with the UNCITRAL Arbitration Rules as at present in force."

### **List of Annexes**

Annex A: Terms of Reference and Scope of Services

Annex B: Consultant's Reporting Obligations

Annex C: Cost Estimate of Services, List of Personnel and Schedule of Rates

**ANNEX C****Cost Estimate of Services, List of Personnel and Schedule of Rates for Estimating a Lump Sum Amount**(1) Remuneration of Staff

	Name	Rate (per month/day/ hour in currency)	Time spent (number of month/day/hour)	Total (currency)
(a)				
(b)				
(c)				
				Sub-Total (1)

(2) Reimbursables

	Rate	Days	Total
(a) International Travel			
(b) Local Transportation			
(c) Per Diem (including hotel)			
			Sub-total (2)

CONTRACT CEILING \_(Lump Sum): \_\_\_\_\_

### **Direct Contracting or Sole Source**

The use of a single supplier *may be* considered for the purchase of goods, works, services and consultant services where this can be adequately justified. The use of this method must be included on the procurement plan and must be approved by the Fund on the PP, prior to such purchase and/or commitment.

The Terms of Reference (TOR) is the document that outlines the objectives, scope of work, activities and/or tasks to be performed, the respective responsibilities of the consultant to be hired and expected results and deliverables of the assignment. Adequate and clear TOR is important for the understanding of the assignment and to contribute to its proper execution. The following is a suggested outline for a TOR:

The steps are:

1. Obtain the estimated cost of the goods, services, works or individual consultant to be procured directly from the PP;
2. Prepare justification for direct contracting;
3. Send contract conditions to the supplier;
4. Make sure that the prices being charged are at least the same as the supplier charges to its other customers; and
5. Sign the contract.

***RPMU Official Use Only***

**Subproject Number:**  
**Registration Date:**  
**Registered by:**


**FINAL REPORT FORMAT**

**1. General Information**

1.1 Name of Subproject:

1.2 Name of Applicant

1.3 Type of Applicant:  NGO  Private  Public  Para public  
 Other: (specify)

1.4 Legal status/  
 Registration #:  Location:  Registration date:

1.5 Address:

1.6 Contact Person:  | Function:

1.7 Phone:  Fax:  Email:

1.8 Other Contact Person:  Function:

**2. Subproject description**

2.1: Description of results:

Indicators/Targets	Activity planned	Activity completed	Remarks

--	--	--	--

2.2: Summary: Brief explanation of the table contents:







**3. Budget**

3.1: Budget summary

Budget lines	Planned amount	Disbursed amount	Undisbursed/remain
1. Goods/equipment/materials			
2. Consultancy/training			
3. Civil works			
4. Direct operations costs			
5. Others, specify			

3.2: Summary: Brief explanation of the table contents:




 Highly	 adequate	 No differe nce	 bad	 very bad
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**Achievement of the Objectives**

To what degree did we achieved our objectives with the trainings conducted as part of the project?					
--	--	--	--	--	--

**Acquired skills**

To what degree has this subproject been useful for the following:					
Better capacity built for beneficiaries through the project					
New or expanded knowledge acquired through the project					
Has more options to work with than before the project					
Can assess alternatives better than prior to the project					
Do you feel you can adequately use the knowledge and skills acquired through implementing this project?					

**Effectiveness of the implementation**

How are the activities meant to build capacity been useful for implementing the project?					
Has examples and specific information provided from the project contribute to the effectiveness of the project implementation?					
How sensitive is the project with regard to gender issues?					
List specific factors that contribute to the effectiveness of project implementation					
List specific factors that limited the project implementation					
What are two key suggestions you would like to give to CAAP RPMU to improve its future grant management?					

What is the one thing you will definitely do as a result of this project?

**Beneficiary participation**

How well did the beneficiaries participate?	fully	Only partly	minimally
What was the most important criticism from the beneficiary of this Project?			
Based on the experience from this project, what will you do differently with the beneficiaries in the future?			
The /speed of the implementation was (circle the right answer)	Fast	Just right	Slow

**Administration**

What assistance you would like to have for your future project proposal?

**8. Signatures**

Name of Grant recipient representative:

Signature of grant recipient representative:

Date: