The Global Partnership on Output-Based Aid

Manual

Preparation of GPOBA-funded
Window 3 Activities (Subsidies)

June, 2009

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1. Preamble

The Global Partnership on Output-Based Aid (GPOBA) is a global partnership, initially established as a multi-donor trust fund, established in January 2003 and administered by the World Bank. The goal of GPOBA is to pilot the use of Output-Based Aid (OBA) to increase access for the poor in developing countries to basic services, including water, sanitation, electricity, telecommunications, transport, health, and education. GPOBA provides technical assistance to design projects (Window 1), disseminates lessons learned in OBA (Window 2), and provides subsidies for pilot OBA projects (Window 3).

This manual explains what is required to process GPOBA operations funded under Window 3, at all stages up to grant signing. It describes the different stages of project preparation, from the application submission to the signing of the Grant Agreement, and how responsibilities are shared between project proponents and GPOBA at each stage. The manual is organized by processing stages, so that each stage can be understood independently for easier reference. The sections may appear repetitive to anyone who goes through the entire manual in one reading.

The World Bank's operational policies, procedures, and due diligence apply to GPOBA funded operations in the same way they apply to World Bank investment lending operations. Thus, task team leaders (TTLs) should process GPOBA operations in a manner fully consistent with those policies and procedures. GPOBA operations differ from World Bank investment lending projects in that GPOBA operations do not go to the World Bank Board for approval. They are reviewed twice by the GPOBA Panel of Experts (PoE), the first time to determine the eligibility of the proposed project and the second time to decide on the commitment of donor funding (see GPOBA project processing flowchart in Annex 1). After eligibility has been approved, the PoE's decisions are submitted to the donor(s)[1] identified by the GPOBA program manager (PM) to fund the project so that they may offer approval on a no-objection basis. The GPOBA PoE is composed of recognized practitioners in the basic services field in developing countries.

The reader of this manual is expected to be familiar with the principles and practice details of Output-Based Aid approaches, as presented on the GPOBA website, www.gpoba.org.

[1] See note (3) in the flowchart.

List of Acronyms

AIS	Activity Initiation Summary
CD	Country Director
CP	Commitment Paper
FEU	Finance, Economics and Urban department of the World Bank
FM	Financial Management
GA	Grant Agreement
GFR	grant funding request
GPOBA TA	GPOBA Transaction Advisor
IRIS	World Bank's project e-mail filing system
ISDS	Integrated Safeguard Data Sheet
OBA	Output-Based Aid
OM	Operations Manual
PATS	Project Application Tracking System (GPOBA's internal filing system for correspondence and critical project documents)
PBGI	Performance-Based Grants Initiative (PBGI)
PID	Project Information Document
PM	GPOBA Program Manager
PMU	Program Management Unit
PoE	Panel of Experts
QACU	Quality Assurance and Compliance Unit
GPOBA RMA	GPOBA Resource Management Analyst
SC	Standard Conditions
SD	Sector Director
TA	Transaction Advisor
TF	Trust Fund
TFLAP	Trust Fund Learning and Accreditation Program
TTL	Task Team Leader
VPU	Vice-Presidential Unit

2. Considerations Prior to Submitting an Application to GPOBA [2]

Before drafting an application, the project proponents should ensure the "GPOBA-bility" of their concept. As a step toward accomplishing this, they are strongly encouraged to visit the GPOBA website and do a self-test, checking to see if their concept accords with GPOBA principles. They should also get in touch with the contact person listed on the website to discuss their idea and obtain the Application and Concept Note templates (see Annexes 2 and 3). GPOBA has developed eligibility criteria for prioritizing activities (see GPOBA Eligibility Criteria in Annex 4), taking into consideration the specific requirements that each of the GPOBA donors may have, which may not be published on the website. It saves a great deal of time for both the project proponent and, later, for GPOBA if the concept is fully discussed and refined at its earliest stage. It is also important for project proponents to explore the possibilities of co-financing the project with other donors or with government funding.

The TTL should assess his/her availability and incentives to develop and implement. Preparing a GPOBA operation requires substantial time and effort, since it is not a technical assistance grant but an investment grant and must therefore be fully consistent with the Bank's policies and procedures. GPOBA designates a contact person for each project. The GPOBA team is very small, so the roles and responsibilities of all parties need to be clear from the beginning.

If the project is proposed by a World Bank TTL, the TTL leadership role remains with him/her for the duration of the project. As with a World Bank operation, this entails satisfying internal due diligence and corporate requirements as well as being the project's contact person for external clients and partners. GPOBA also designates a GPOBA Transaction Advisor (GPOBA TA) whose tasks are to provide advice to the TTL and to review the documentation prior to its submission to the panel of experts (PoE). The purpose of this review is to maximize the chances of approval by the PoE and to help with GPOBA clearance at all stages.

It should be noted that the GPOBA TA cannot replace the TTL or undertake tasks on his/her behalf. The commitment of and workload for the World Bank TTL need to be clear from the start. Projects proposed by a World Bank TTL are referred to in these guidelines as "Bank projects."

If the project proponent is external to the Bank, a TTL is nominated within either the Bank or GPOBA[3] to prepare and process the project within the Bank, in close collaboration with the project proponent. While these arrangements are flexible and details will depend on the people involved, they should be made clear to all at the early stages, in particular with respect to responsibility-sharing. If the TTL is from the World Bank, GPOBA will designate a GPOBA TA. These projects are referred to in this document as "non-Bank projects."

[2] For IFC projects, IFC staff should contact the IFC PBGI Coordinator prior to submitting an application.

[3] GPOBA is a very small team and therefore needs to rely on Bank TTLs as much as possible. Having a Bank TTL in the region also ensures consistency with Bank policy dialog and leads to inclusion in the work programs of sector units.

3. Considerations Prior to Panel of Experts (PoE) Meeting for Eligibility Discussion

Early Consultation with the Regional Sector Specialist

When GPOBA formally receives a project Application and Concept Note, its program management unit (PMU) makes an initial assessment to ensure that the project is potentially eligible for GPOBA funding. The GPOBA TA consults with the Bank's sector specialist in the region to find out whether there are any issues associated with the proposed project that GPOBA should be aware of and also to pre-clear the project's strategic fit with relevant country and sector strategies. GPOBA may ask the regional sector specialist to become the World Bank TTL for the project, if he/she is not the project proponent.

For projects that involve private-sector operators, the Performance-Based Grants Initiative (PBGI) is contacted by GPOBA to learn whether the IFC is aware of any reputational risk related to that private operator. This check takes place regardless of whether the IFC is funding the Window 3 activity.

Obtaining Country Director/Sector Director (CD/SD) No-Objection

Having consulted with the regional sector specialist, the GPOBA TA prepares a draft CD/SD Letter and a cover e-mail (see CD/SD Confirmation E-mail in Annex 5) to inform them about the proposed project and request their confirmation of the following:

- The nonexistence of reputational and strategic risks for GPOBA (only for a non-Bank project); and
- Their willingness to designate a Bank TTL in the region to manage the project, proposing the regional sector specialist.

If the region is not able to designate a regional Bank TTL, GPOBA assigns a GPOBA TTL to manage the project. The CD/SD Letter will be sent by the GPOBA program manager (PM) under any of the following three possible scenarios.

Scenario 1: CD/SD Letter – Non-Bank Project with Bank TTL (See template in Annex 6): The project is proposed by an institution external to the Bank. It is not linked to a Bank operation, but the regional sector specialist and management are willing to take responsibility for the project.

- **Main message:** Inform the CD/SD about the proposed project, request their confirmation on a 10-day no-objection basis that there are no reputational/strategic issues, and request their designation of a Bank TTL.

Scenario 2: CD/SD Letter – Non-Bank Project with GPOBA TTL (See template in Annex 7): The Project is proposed by an institution external to the Bank and is not linked to a Bank operation. The regional team is unable to take responsibility for the project.

- **Main message:** Inform the CD/SD about the proposed GPOBA project and the designated GPOBA TTL, request confirmation on a 10-day no-objection basis that there are no reputational/strategic issues, and request the assignment of a GPOBA TTL to manage the project.

Scenario 3: CD/SD Letter – Bank project with regional Bank TTL (See template in Annex 8). The project is proposed by the Bank/IFC (hereinafter referred to as "the Bank") and is linked to a Bank/IFC operation. GPOBA requires formal confirmation for its files of the designation of the Bank TTL as the TTL of the GPOBA project.

- **Main message:** Inform the CD/SD about the proposed GPOBA project that will be discussed by the PoE, and request confirmation on a 10-day no-objection basis of the appointment of a regional Bank TTL. (Note that confirmation on a no-objection basis that there are no strategic or reputational risk is not required, since the GPOBA project is part of a Bank operation).

The following applies to each of the three scenarios:

- **When the CD/SD letter should be sent (timing):** The letter should be sent before the PoE meeting for eligibility discussion, but only after the following two actions have occurred:

    - The Application and Concept Note has been submitted to GPOBA; and
    - The PMU has determined that the project is potentially eligible for GPOBA funding.

    The Application and Concept Note should be sent by GPOBA to the PoE for their review about 10 days before the PoE meeting for discussion of eligibility. It should thus be received by GPOBA for review at least two weeks before the PoE meeting date.

- **Who is responsible for what:** The GPOBA TA prepares a draft CD/SD Letter and cover e-mail and identifies the names of the CD and SD as well as a cc list based on current Regional CD/SD. The GPOBA Information Specialist ensures that relevant Regional CD/SD titles are up-to-date (according to the World Bank Group Directory) and checks with the relevant SD/CD Program Assistant to ensure that the distribution list is also accurate and up-to-date. The PM sends the cover e-mail, with the draft letter attached, simultaneously to the CD and the SD for signatures. The CD and SD sign the letter and have it sent back to GPOBA, copying the distribution list below. The GPOBA information specialist files the correspondence in the Project Application Tracking System (PATS) and in IRIS.

- **To whom the letter should be sent:** In addition to addressing the letter to the CD and the SD, copies (cc) should go to:

    - Country Manager
    - Country Program Coordinator
    - Sector Managers in the project's relevant sector units (water, energy, transport, rural development, etc.) as well as the Environment unit, Social Development unit, and Operations and Policy unit
    - Director of Operational Quality Unit
    - Regional Safeguard Coordinator

- Regional Procurement Manager (for the Africa region, cc the procurement hub coordinator listed in the Africa Region Procurement Group List)
- Regional Financial Management (FM) Manager
- Chief Counsel
- Bank TTL (as applicable)
- GPOBA TA or TTL and PM
- Director, Finance, Economics and Urban department (FEU)
- GPOBA Resource Management Analyst
- GPOBA Information Specialist

- **Attachments**: Application, Concept Note and GPOBA funding flowchart.

4. Project Presentation to the PoE for Eligibility Discussion

Prior to the Meeting: The TTL submits the Application and Concept Note to GPOBA at least two weeks before the scheduled PoE meeting. GPOBA reviews and eventually provides comments. GPOBA circulates the final versions of the Application and Concept Note, incorporating all comments received, to the PoE members at least 10 days before the PoE meeting. The PoE may send comments before the meeting, which should be shared with the TTL and GPOBA TA.

During the Meeting: The TTL makes a presentation to the PoE. If comments from the PoE were received before the meeting, the TTL needs to address them during the presentation. The TTL then responds to any questions the PoE may have regarding the project. The PoE may declare the project eligible at the end of this meeting. A second possibility is that the PoE may decide that additional information must be provided by the TTL before it can declare the project eligible. In such a case, the PoE would determine whether it needs to reexamine the Application and Concept Note or whether it will delegate the responsibility to review the additional information to the PM. The PoE may also declare the project ineligible, although this is very rare, since GPOBA pre-screens all the project proposals.

Minutes of the PoE Meeting: A member of the GPOBA team is designated ex-ante to prepare the minutes of the PoE meeting. Draft minutes of the meeting are circulated to the TTL within two business days (preferably the same day) for review, copying the GPOBA TA as appropriate. The TTL is invited to provide comments the same day. The minutes are then sent to PoE members for their review and comments. Once comments are received, GPOBA finalizes the minutes and submits them along with the Application and Concept Note to the donors identified by the PM to finance the project for their approval, on a 10-day no-objection basis.

Donor Eligibility Approval: When a proposed project is endorsed for eligibility by the PoE, the PM seeks approval of the project's eligibility and of the requested technical assistance funding from the relevant donors.

Donor Eligibility Approval Request E-mail (see template in Annex 9)[4]

- **Main message:** Inform donor(s) about the endorsement of the project's eligibility and request confirmation, on a 10-day no-objection basis, for funding approval.

- **When to prepare and send the e-mail:** Prepare and send the e-mail after the project has been endorsed for eligibility by the PoE.

- **Who is responsible for what:** The GPOBA TA prepares a draft e-mail. The PM sends the e-mail to relevant donor(s) and informs the GPOBA information specialist about the correspondence, which needs to be filed in PATS and IRIS. The GPOBA information specialist updates the GPOBA website accordingly.

- **Attachments:** Application and Concept Note; minutes of the PoE meeting.

[4] No approval is required for IFC-funded projects since they are already pre-screened by IFC management.

5. After Panel of Experts Endorsement for Eligibility

Allocation of Regional Safeguard, Fiduciary, and Legal Specialists

Following the donor funding approval, the PM informs the regional safeguard coordinator, fiduciary managers (PR and FM), and chief counsel of the eligible project, and requests that they allocate the respective specialists to assist the TTL in carrying out due diligence and processing the project. The GPOBA TA is responsible for drafting this correspondence. The GPOBA TA or TTL should consult with the designated specialists early in the project cycle to obtain their assistance in project preparation; for example, with operational project documents, disclosure of documents, safeguards and fiduciary assessments, and the grant agreement package.

Regional Safeguards, Fiduciary and Legal Specialists Appointment Request E-mail (See template in Annex 10)

- **Main message:** Inform regional safeguard coordinators, FM and procurement managers, and chief counsels about new pipeline projects, and request allocation to the project of the respective specialists in environment, social development, FM, procurement, and legal matters.

- **When to prepare and send the e-mail:** Prepare and send the e-mail after the donor approval of funding has been received but before initiating project preparation.

- **Who is responsible for what:** The GPOBA TA or TTL prepares a draft appointment request e-mail to the respective managers in the relevant World Bank region. The GPOBA information specialist ensures that the names of the managers are accurate and up-to-date. The PM sends out the e-mails to the respective regional managers. The GPOBA information specialist files the correspondence in PATS and IRIS, and keeps track of responses from relevant managers.

- **Who is cc'd on the e-mail:**
    - TTL
    - GPOBA TA (if different from the TTL)
    - GPOBA Information Specialist
    - Other relevant team members of the regional managers
- **Attachments:** GPOBA Pipeline Project Staff Allocation Table; Application and Concept Note; and minutes from the PoE meeting for eligibility discussion.

Establishing an Activity Initiation Summary (AIS) in SAP

The project will need an ID or Project Definition Number in SAP in order to establish charge codes (at a later date) and to file documents in IRIS. This ID will also allow access to Project Portal as well as linkage to Recipient Executed child trust fund(s) when preparing the grant agreement. In order to establish such a code, the TTL will need to request this from the GPOBA team.

- **When to prepare it:** Prepare after the eligibility meeting and before charges are incurred under the project.

- **Who is responsible for what:** Upon request, the GPOBA team provides a draft AIS (Activity Initiation Summary) for TTL completion and submission.

Important: Since GPOBA is a trust-funded program, it is mandatory that the TTL managing the program's projects be trust-fund accredited (TFLAP certified). For TFLAP certification information, please type "TFLAP" in the address bar from the World Bank's intranet or click on the following link: [Trust Fund Learning and Accreditation Program](http://go.worldbank.org/MWZVIIXNJ0). The full URL is http://go.worldbank.org/MWZVIIXNJ0

- **Review and submission of AIS in SAP:** The TTL should review the basic project financing information in SAP to ensure that it is current, and should input all other relevant information in the SAP Activity Sheet (see instructions in Annex 17). After submitting the AIS in SAP, the TTL should send an e-mail to the GPOBA Resource Management Analyst, who will work on obtaining clearances and release the AIS. Upon AIS release, a project webpage is automatically created under the Project Operations Portal. The financing information appearing in the portal is extracted from SAP, and will thus appear as "Specific Investment Loan" (SIL) until a grant category is created in SAP (see Annex 17). This webpage is accessible to all Bank Staff through the Bank's intranet and is integrated in regular portfolio reports to the relevant Vice-Presidential Unit. TTLs and GPOBA TA should pay particular attention to this step and should liaise with the GPOBA RM person, as necessary, in the process.

- **Obtaining budget codes for project preparation:** The TTL needs to submit a detailed budget (in the form of an Excel spreadsheet specifying labor, travel, consultant, etc.) to the PM for approval. Once the budget is approved, GPOBA will issue an Award Letter with the specific charge code(s). It is the TTL's responsibility to ensure that expenses are in line with project objectives and that expenses remain within the awarded budget. This responsibility will be confirmed by the TTL at the end of each fiscal year, for audit purposes, through his/her virtual signature of one letter of representation per project.

Disclosure of Project Information

In compliance with the Bank Disclosure Policy, a summary of the project needs to be disclosed on the GPOBA website.

- **Who is responsible for what:** After eligibility is granted, the GPOBA information specialist sends an e-mail (cc to the GPOBA communications officer) to the TTL and the GPOBA TA, requesting that a project summary be prepared (based on the format attached to the message) for public disclosure on the GPOBA website. The e-mail requests that the TTL determine whether a statement of no-objection from the recipient should be received or whether the TTL can clear the summary for disclosure.

  If a no-objection statement is deemed necessary, the TTL coordinates with the recipient to obtain it, copying the GPOBA TA on all relevant correspondence.

  Once the project summary is received along with the no-objection statement (if necessary), the GPOBA information specialist posts it on the website, updates the information in the

"Disclosure Dashboard" Excel file (saved on the N drive), and confirms summary posting and disclosure dashboard updates in an e-mail to the TTL (cc to GPOBA TA). The information specialist files the confirmation e-mail in IRIS.

Processing of Project Documents

Important note on Bank Operations Portal: The processing of GPOBA-funded projects is now supported by the Operations Portal and should be processed through it. This will link the system to generate all the project documents filed in IRIS so they appear in the Operations Portal's "Document" tab. The implementation details of this updating are currently under discussion by the PM and the RMA.

Preparation of Project Information Document (PID) and Concept Stage Integrated Safeguard Data Sheet (ISDS): The TTL is responsible for preparing the Concept Stage ISDS and the PID within five days of the donor eligibility approval and submitting them in due time to Infoshop for publication. These documents can be prepared directly in the Operations Portal. However, in order to be able to prepare and submit the documents in the Operations Portal, the TTL should first upload the Project Concept Note (PCN) in the Operations Portal. For the time being, GPOBA recommends that the PID and ISDS be prepared as Word documents, using the templates annexed to these guidelines and as described in the sections below.

Project Information Document (PID) *(See template in annex 11)*

- **What it is about:** The PID is a brief factual summary of the main components of the project. In early consultation with regional safeguard specialists, the project is classified under one of four environmental categories:
    - A – significant potential to have adverse impacts;
    - B – less significant potential to have adverse impacts;
    - C – negligible or no environmental impacts; and
    - FI – financial intermediary related projects.

Note that most GPOBA projects fall under category B.

- **When to prepare it:** The PID should be prepared within five days of the donor eligibility approval.

- **Clearance procedure:** Regardless of the instrument used, the PID is cleared by the TTL and by the PM, who represents the managing unit and is responsible for delivering the project (regional safeguard coordinator's clearance is not necessary). The TTL is responsible for filing all clearances in IRIS.

- **Disclosure procedure:** Disclosure of the PID is automatic if processed through the Operations Portal. If not processed this way, the PID is submitted to InfoShop (infoshop@worldbank.org) in an electronic format (as a Word document) along with the Concept Stage ISDS (see next section). The document will be disclosed at the InfoShop website about five business days after its submission. Since InfoShop does not give notice of receipt or disclosure of submitted documents, apart from Safeguard Reports[5] and the Operational Manual, it is the TTL's responsibility to confirm the disclosure of documents by visiting InfoShop's "New Disclosure Documents" or by typing the project ID number into the search field at "Search Documents and Reports."

- **Who is responsible for what:**

  TTL responsibilities

  (a) Preparing the PID in consultation with the assigned regional safeguards specialists
  (b) Obtaining clearance from the PM
  (c) Submitting the document to InfoShop
  (d) Confirming the disclosure on the InfoShop website
  (e) Informing the GPOBA information specialist of the Infoshop disclosure date.

  PM responsibilities

  - The PM reviews and clears.

  GPOBA Information Specialist responsibilities

  - The Information Specialist files the correspondence in PATS and IRIS and updates the disclosure information in the Disclosure Dashboard, saved on the N Drive.

Concept Stage Integrated Safeguards Data Sheets (ISDS) *(see template in Annex 13)*

- **What it is about:** The ISDS identifies the project's potential environmental and social impacts (positive or negative) in relation to the Bank's safeguard policies, and proposes mitigation measures for integration into the project design.

- **When to prepare it:** Within five days after donor eligibility approval.

- **Clearance procedure:** When the Bank is involved, proposed GPOBA projects will be reviewed first by the assigned regional environmental and social specialists, and then cleared by the regional safeguard coordinator as well as the TTL and PM.

  When the Bank is not involved, the region will provide the same safeguard clearance support as above, but may require reimbursement for expenses incurred. When a formal clearance procedure is followed, an actual signature is not required for both electronic ISDS and hard copies in most cases. However, some regions require an actual signature prior to filing the ISDS in IRIS.

- **Disclosure procedure:** Disclosure of the ISDS is automatic if processed through the Operations Portal. If not prepared in this way, the ISDS is submitted to InfoShop (infoshop@worldbank.org) in an electronic format (as a Word document) together with the PID and the Infoshop Cover Memo, available online at the Infoshop website (Url is

[5] Relevant Safeguard Reports for GPOBA projects include Environmental Assessment (EA) reports, Indigenous Peoples' Development Plans (IPDP) reports, and Resettlement Instrument (RI) reports.

http://esd.worldbank.org/infoshop/). The document will be disclosed on the InfoShop website about five business days after its submission. Since InfoShop does not give notice of receipt and disclosure of submitted documents, apart from Safeguard Reports and the Operational Manual, it is the TTL's responsibility to confirm the disclosure of documents by visiting InfoShop's "New Disclosure Documents" or typing the project ID number into the search field at "Search Documents and Reports."

- **Who is responsible for what:**

  TTL responsibilities

  (a) Prepare the ISDS in consultation with the assigned regional safeguards specialists

  (b) Get a clearance from the PM and the regional safeguard coordinator

  (c) Submit the ISDA to InfoShop

  (d) Confirm the disclosure of documents at the InfoShop website

  (e) Instruct the GPOBA information specialist to upload the document

  PM and the Regional Safeguards Coordinator responsibilities

  - Review and clear the ISDS. The GPOBA Information Specialist files the correspondence in PATS and IRIS and updates the information on the Disclosure Dashboard.

Disclosure Guidelines for IFC/MIGA-Related GPOBA Projects

If the GPOBA project relates to an IFC/MIGA operation, IFC and MIGA's disclosure and documentation standards will be observed and implemented by IFC and MIGA staff. Thus, no assignment of regional Bank safeguards specialists is required for the project preparation, and the Bank's safeguards documents (i.e., the Project Information Document, Integrated Safeguards Data Sheet, and Environmental Assessment reports) do not need to be published through InfoShop.

Nevertheless, the TTL should obtain a formal statement from IFC or MIGA that documents are in compliance with IFC/MIGA's due diligence processes and all applicable IFC/MIGA Performance Standards. A copy of the formal statement will be provided to the GPOBA PMU, the Quality Assurance and Compliance Unit (QACU), and the Environmentally and Socially Sustainable Development and International Law Unit (LEGEN). The formal statement stands in lieu of compliance with the Bank's safeguard policies, and will be for internal use by GPOBA only, unless otherwise agreed with IFC or MIGA.

6. Prior to the PoE Meeting for Commitment Discussion

Preparation of Commitment Paper

When a project is ready for implementation, the TTL is responsible for preparing a commitment paper (CP), which provides full information on the scheme design, and submitting this paper to the PM at least three weeks before the scheduled date for the PoE meeting. The CP is similar to the Project Appraisal Document of a World Bank funded project (a template and examples of best practices in Commitment Papers may be obtained from GPOBA).

While drafting the CP, as with a lending operation, the TTL should seek the assistance of fiduciary specialists assigned to the project (see next section). The CP should also include relevant information with respect to co-financing from other sources. Ideally, whenever confirmations have been received from co-financing partners, details should be included in an annex to the CP. The CP should also indicate the supervision budget for the duration of the project, including estimated input from the GPOBA TA. The TTL is encouraged to contact the GPOBA TA with respect to specific questions or requests for clarification.

Upon submission to GPOBA, the CP is reviewed first by the GPOBA TA. Any comments will need to be incorporated before this paper is submitted to the PM for clearance and distribution to PoE members. The PM will submit the CP along with the minutes of the eligibility discussion to the PoE at least two weeks prior to the meeting. The TTL should therefore coordinate with GPOBA well in advance, in order to ensure timely review and submission for commitment.

Preparation of Fiduciary Capacity Assessments

Consistent with the Bank's fiduciary policies (OP 10.02 and BP 10.02 - Financial Management, and OP 11.00 BP 11.00 – Procurement), the Fiduciary Capacity Assessments should be prepared after endorsement of commitment by the PoE and before approval of commitment by the donor or PM.

- **What it is about:** The Fiduciary Capacity Assessments identify the main procurement and financial management capacity issues of the implementing agency, project risks and mitigation measures, and requirements that need to be met and agreed upon by the project beneficiary to comply with Bank policies and guidelines.

- **When to prepare it:** It should be prepared prior to approval of commitment.

- **Clearance procedure:** When the Bank is involved, proposed GPOBA projects will be assessed and cleared by the assigned procurement and FM specialists. When the Bank is not involved, the region will provide the same fiduciary clearance support as above.

- **Who is responsible for what:**

  TTL responsibilities

  (a) Arrange for the FM specialist to perform an FM capacity assessment and produce the corresponding FM Annex for CP, including the format and content of interim and annual audited financial statements. If project qualifies, ensure that assessment reflects exemption from audit and IFRs;

(b) Arrange for the procurement specialist to perform a procurement capacity assessment and produce the corresponding Procurement Annex for CP, including the Procurement Plan and ex-post review of OBA contracts. If project qualifies under Paragraph 3.13(b) of the Procurement Guidelines, ensure that beneficiary procurement systems are assessed following Operational Memorandum on the Application of Paragraph 3.13 of the Procurement Guidelines to Cases Involving Incumbent Concessionaires issued by OPCS, November 7, 2005 (see also, Guidance Note to Procurement Staff on Procurement Issues in Structuring Output-Based Aid (OBA) Operations Financed by the World Bank, issued on April 11, 2008).

Project Updates to CD/SD

The GPOBA TA is responsible for preparing the CD/SD confirmation e-mails, which will be sent by the PM, to inform the CD and SD about the updated project information to ensure continuous communication.

CD/SD Confirmation E-mail prior to Commitment Discussion *(See template in Annex 5)*

- **Main message:** Inform the CD and SD that the proposed project has moved ahead and is to be presented shortly to the PoE for commitment of funding.

- **When to prepare the e-mail:** Prepare the e-mail before the commitment discussion by the PoE, once the CP has been cleared by the PM for distribution to the PoE.

- **Who is responsible for what:** The GPOBA TA prepares a draft CD/SD confirmation e-mail, and identifies the names of the CD and SD as well as the cc list (based on the regional CD/SD name list). Relevant title names should be double- checked to be up-to-date, using the World Bank Group Directory.

  The PM sends the confirmation e-mail to the CD and SD, copying the distribution list.

  The GPOBA information specialist files the correspondence in PATS and IRIS.

- **To whom the e-mail is sent:** Address the confirmation e-mail to the CD and SD; cc to the same distribution list as the "CD/SD Letter" as well as the TTL and contributors to the CP.

- **Attachments**: A copy of the e-mail response from CD/SD confirming no-objection before the eligibility discussion; the Commitment Paper as cleared by the PM; minutes of the PoE meeting declaring the project's eligibility; and the GPOBA funding flowchart.

Preparation of Appraisal Stage ISDS

Consistent with the Bank's safeguard policy, the Appraisal Stage ISDS should be prepared and published prior to donor approval for commitment. However, given the accelerated nature of the GPOBA project cycle, the Appraisal Stage ISDS may be issued after the initiation of the appraisal. For a GPOBA project, the Appraisal Stage is the period after endorsement of commitment by the PoE and before approval of commitment by the donor or PM. The period between eligibility approval by the donor and commitment endorsement by the PoE is the "preparation" stage for GPOBA.

When the GPOBA project relates to an IFC/MIGA operation, IFC and MIGA's disclosure and documentation standards will be observed and implemented by IFC and MIGA staff. Thus, the Appraisal Stage ISDS will not be published.

Appraisal Stage ISDS *(Template in Annex 14)*

- **What it is about:** The Appraisal Stage ISDS outlines the main safeguard issues and requirements that need to be met and agreed upon by the project implementer/beneficiary before appraisal. It should indicate the status of in-country disclosures of safeguard documents for the project (typically the Environmental and Social Impact assessments, for a Category B project), and should indicate the capacity of the project implementer/beneficiary to comply with Bank safeguards and meet the agreed requirements.

- **When to prepare it:** It should be prepared prior to appraisal mission, but due to the accelerated nature of the GPOBA project cycle it can be disclosed after the initiation of appraisal.

- **Clearance procedure:** When the Bank is involved, proposed GPOBA projects will be first reviewed by the assigned regional environment and social safeguards specialist(s). Following their review of the ISDS and Safeguard Document, the regional safeguards coordinator can request that a safeguard review meeting be arranged to discuss safeguard aspects of the project, mitigation measures required, and the capacity of the implementing agency to meet such requirements. During that meeting, the regional safeguard coordinator can decide to transfer responsibility for signing the ISDS to the PM. In such a case, the ISDS Appraisal Stage would be signed for approval by the TTL and the PM. For "non-transferred" projects, the ISDS Appraisal Stage is signed by the TTL, the PM, and the regional safeguards coordinator, in that order.

  When the Bank is not involved, the region will provide the same safeguards clearance support as above, but may require reimbursement for expenses incurred. When a formal clearance procedure is followed, an actual signature is not required; an electronic signature in the form of an e-mail filed in IRIS is acceptable to most regions. However, some regions require an actual signature prior to filing the scanned signed ISDS in IRIS.

- **Disclosure procedure:** If not prepared through the Operations Portal, the ISDS is submitted to InfoShop (infoshop@worldbank.org) in an electronic format (as a Word document). The document will be disclosed on the InfoShop website about five business days after its submission. Since InfoShop does not give notice of receipt and disclosure of submitted documents, apart from Safeguard Reports and the Operational Manual, it is the TTL's responsibility to confirm the disclosure of documents by visiting InfoShop's "New Disclosure

Documents" or by typing the project ID number into the search field at "Search Documents and Reports."

- **Who is responsible for what:**

  TTL responsibilities

  (a) Prepare the ISDS in consultation with the assigned regional safeguards specialist(s)

  (b) Obtain clearance from the PM and the safeguards specialist(s) (plus safeguards coordinator for a "non-transferred" project) and file all clearances in IRIS

  (c) Submit the ISDS to InfoShop

  (d) Confirm the disclosure of the documents on the InfoShop website; and

  (e) Instruct the GPOBA Information Specialist of the Infoshop disclosure date

GPOBA information specialist files the correspondence in PATS and IRIS and updates the disclosure information on the Disclosure Dashboard.

Disclosure of Safeguard Documents

All relevant safeguard documents - that is, the Environmental Assessment (EA), Indigenous Peoples' Development Plan (IPDP), and Resettlement Instrument (RI) report - must be disclosed in compliance with World Bank disclosure policies and procedures. The project implementer or recipient must prepare and disclose draft safeguard documents locally, that is, in the project areas (for example, at the offices of the implementing agency, at the local authorities' offices, or in public libraries). They must be sent to InfoShop by the TTL prior to the donor(s) commitment approval.

Safeguard Documents

- **What they are about:** These documents are reports ensuring that potentially adverse environmental or social impacts have been identified and minimized or mitigated; they describe how and when the project may trigger any of the World Bank safeguard policies.

- **Disclosure timeframe:** Draft safeguard reports must be prepared and disclosed locally by the recipient prior to the donors' approval of commitment and funding. A submission of the documents to Infoshop about a week before the PoE meeting should allow sufficient time for publication prior to the meeting. The reports should be officially sent to InfoShop for disclosure by the task team at least 30 days before signing the Grant Agreement (for category B, C, or FI projects) or 60 days before signing (for category A projects).

Processing and disclosure procedure:

1. The task team led by the regional safeguards specialists identifies any of the above key safeguard policies to be triggered as well as the general scope of the assessment based on the ISDS.
2. The recipient prepares the draft safeguard report(s) as a condition of appraisal of the operation. Most GPOBA projects fall into category B, which requires a limited safeguard report. As for any Bank SIL falling into category B, the safeguard report is usually an Environmental

Assessment, composed of an evaluation of the potential environmental and social impacts of the project (positive or negative) and associated risks, an environmental management plan proposing mitigation measures for potential negative impacts, and an evaluation of the capacity of the implementing agency to implement said plan. However, depending on the specifics of the project and as determined by the TTL in collaboration with the assigned safeguards specialists, additional safeguard reports may be required to address specific aspects such as land acquisition and resettlement or indigenous people's plans (as listed in Bank Safeguard Policies).

3. The regional safeguards specialists assigned to the project or, alternatively, the Regional Environment Unit, review and approve the safeguard report(s).
4. The recipient discloses the draft report(s) locally at a public place accessible to project-affected groups and local NGOs.
5. The recipient officially submits the documents to the TTL.
6. The documents are sent to InfoShop for public disclosure. The documents may be submitted either in hard-copy or electronic format (Word/PDF) along with a signed copy of the Infoshop Submission Form, available online at the Infoshop website (link to the Submission Form and template in Annex 18) to infoshop@worldbank.org. Use a separate submission form for each type of safeguard report.
    a. The e-mail subject for the submission includes: Country, project ID, project title, and number of volumes.

       Example: **Cameroon: P104526 - AES Sonel Rural Electrification - 3 Vols.**
    b. The file name for the submission form must be saved as: SF_Region_EA_projectID Example: **SF_AFR_EA_P104526**
7. Once InfoShop receives the document, it is posted on the InfoShop website and the Public Information Center (PIC) for local public access within five business days.
8. InfoShop will confirm receipt of the documents to the TTL by e-mailing the completed copy of the submission form. Note that the "Document Date" which appears on the InfoShop website is not the official disclosure date. The official disclosure date will appear in the "Date Received" field of the submission form.

Important Note: The date of publication of the safeguard documents recorded in InfoShop determines the earliest date by which the Grant Agreement can be signed. For category B, C or FI projects, the safeguard document must have been published at least 30 days before signature of the Grant Agreement. For category A projects, the safeguard document must have been published at least 60 days before signature of the Grant Agreement.

- **Who is responsible for what:**

  TTL responsibilities

  (a) Identify the relevant safeguard document(s) and the general scope of the assessment by consulting with the assigned regional safeguards specialists;

  (b) Coordinate with the recipient to prepare the safeguard report(s);

  (c) Confirm the local disclosure of the draft report(s) by the recipient prior to the donors' approval of commitment, and request review and approval from the regional safeguards specialists or the Regional Environment Unit;

(d) Confirm the official submission of the report(s) by the recipient, and send to InfoShop for public disclosure early enough for the publication date not to have an impact on the Grant Agreement signature date;

(e) Confirm InfoShop notification of the receipt of documents; and

(f) Instruct the GPOBA information specialist to upload the document to IRIS and PATS and update the information on the Disclosure Dashboard.

The recipient is responsible to -

(f) Prepare safeguard document(s), including public consultation in a language understandable to the local public;

(g) Disclose the document(s) locally at a public place accessible to potentially project-affected groups and local NGOs;

(h) Ensure implementation of agreed-upon mitigation measures to address negative impacts; and

(i) Provide monitoring and progress reports.

The GPOBA information specialist files the correspondence in PATS and IRIS and updates the information on dates and types of documents in the Disclosure Dashboard saved in the shared network drive.

7. GPOBA Projects Endorsed for Commitment

PoE Meeting

As with the PoE meeting to discuss eligibility, the TTL makes a presentation to the PoE at this meeting.. If comments from the PoE were received before the meeting, they will need to be addressed by the TTL during the presentation, along with questions the PoE will ask about the project at the meeting. These PoE commitment meetings generally last about an hour. The PoE may approve the funding commitment for the project at the end of the meeting. It may also decide that additional information needs to be provided by the team before it can approve a funding commitment. In the latter case, the PoE will make clear for the minutes what additional information needs to be provided and whether, when, and how the PoE will examine the additional information and revised Commitment Document.

Minutes of the PoE meeting

A member of the GPOBA team takes minutes of the PoE meeting and a draft is circulated to the TTL within two business days (preferably the same day) for review, cc the GPOBA TA as appropriate. The TTL is invited to provide comments the same day. The minutes are then sent to PoE members for their review and comments. GPOBA finalizes the minutes and distributes them to the TTL, the GPOBA TA, and the information specialist for filing in PATS and IRIS.

Donor Commitment Approval

When a proposed project is endorsed for commitment by the PoE, the PM provides funding approval on behalf of the funding donor(s).

Donor Commitment Approval Request E-mail (except IFC and DGIS)

- **Main message:** Inform donor(s) that the project has been endorsed for commitment and confirm the funding approval.

- **When to prepare the e-mail:** Prepare the e-mail after the project is endorsed for commitment.

- **Who is responsible for what:** The GPOBA TA prepares a draft e-mail. The PM sends the e-mail to the relevant donor(s) and informs the GPOBA information specialist of the correspondence, which needs to be filed in PATS and IRIS. The GPOBA information specialist updates the GPOBA website accordingly.

- **Attachments:** Commitment Paper; minutes of the PoE meeting from the commitment discussion.

Publication of Commitment Document

In compliance with the Bank's disclosure policy, Commitment Documents for projects endorsed for commitment after July 1, 2007 need to be disclosed. For projects involving competitive tendering, publication is put on hold until the tendering process has been completed and a contract awarded.

- **Who is responsible for what:** After commitment is granted, the GPOBA information specialist sends e-mails (cc to the GPOBA communications officer) to the GPOBA TA and the TTL indicating that a Commitment Document is to be published on the project Web page of the Operations Portal. The e-mail requests that the GPOBA TA/TTL decide whether a statement of no-objection should be received from the recipient or whether the GPOBA TA/TTL can simply clear the document for publication.

  If it is decided that a no-objection statement is needed, the GPOBA TTA/TTL coordinates with the recipient and obtains the statement via e-mail or through the signed minutes from formal negotiations; the GPOBA information specialist follows up to ensure a timely response.

  Once the Commitment Document is cleared for publication, the GPOBA information specialist submits the document to be published through the project webpage in the Operations Portal.

  The GPOBA information specialist updates the information in the Disclosure Dashboard on the N drive, confirms in an e-mail that the document has been submitted for disclosure, and files the e-mail in IRIS.

8. Preparation for Grant Signing

Ministry of Finance No-Objection Letter

If the grant is to a non-sovereign party and if the government is not a signatory to the Grant Agreement, a Government Information Letter needs to be prepared and sent to the government to inform it of the project and request its approval on a no-objection basis. The GPOBA TA/TTL consults with the PM and the assigned lawyer to prepare this letter and identify the Bank's relevant counterpart in the government to whom the letter should be addressed. Usually that counterpart is the Ministry of Finance (MOF), but it can be another government entity with which the Bank has official lines of communication.

Drafting the Grant Agreement

The TTL should have kept the assigned lawyer informed about the project and its process from the time the lawyer was assigned to the project. The TTL now shares the Commitment Document with the lawyer as a basis for drafting the Grant Agreement. The lawyer sends the draft Grant Agreement to the TTL for initial review and comment. Once it is ready for clearance, the TTL circulates the draft Grant Agreement for review and clearance by the following:

- Procurement, Financial Management, Disbursement (LOA or Loan Department), GPOBA Program Manager, Sector Manager, Trust Fund Accounting Clearance Team, and Legal

Once cleared internally, the Grant Agreement can officially be shared with the client for review prior to signature. The lawyer is responsible for ensuring that the legal package is finalized for signing, and the TTL makes arrangements for the signing ceremony. The lawyer normally handles the signing of the documents at the ceremony, and reviews the signed agreements to ensure that they have been properly signed by the authorized person.

After the lawyer's clearance, the TTL sends the legal package to the CD, including an initialed copy of the notice of time and place of signing. The CD then sends written notification to officials in the country and the donor (if applicable) that the signing has taken place.

- **Who is responsible for what:**

It is the TTL's responsibility to:

(a) Consult with the PM and the assigned regional lawyer to draft a Government Information Letter and draft legal agreements (see section 8.2.a below);
(b) Consult with LOA to have the Project Disbursement Letter drafted (ensure that supporting documentation required for disbursement is: the IVA certification of outputs accompanied by TTL approval consistent with the sample in Annex 16);
(b) Review and clear the Disbursement Letter prepared by the LOA;
(c) Draft the Government Information Letter (see section 8.2.b below);
(d) Review and clear the draft legal agreement (if project qualifies, ensure that agreement reflects exemption from audit and IFRs);
(d) Obtain all clearances (Procurement, FM, LOA, TACT, PM, SM and LEG);

(e) Coordinate with the country office and the client to make practical arrangements for the signing ceremony for the legal agreements and Disbursement Letter;

(f) After all clearances have been received and filed in IRIS, send the legal package to the CD, copying the CD's executive assistant and all who have cleared the legal agreements. In the e-mail to the CD, attach a copy of the initialed letter or memo indicating the date, time, and place of the signing ceremony. The legal package consists of the following:
   - the cleared General Agreement (and other legal agreements, if any);
   - the "Standard Conditions for Grants Made by the World Bank Out of Various Funds, dated July 20, 2006" (standard conditions applicable to all TFs) in English and in the local language, if a translation exists;
   - the cleared Disbursement Letter and attachments (including Disbursement Guidelines);
   - the relevant Government Information Letter (if the grant is to a non-sovereign entity); and
   - the recipient's Procurement Plan for grants over $1 million (accompanying Procurement Guidelines) prepared by the recipient and cleared by the Bank.

(g) Ensure that the legal package is delivered to the signatories at the signing ceremony;

(h) If the lawyer is not present at the signing ceremony, leave one original of the Legal Agreements for each signatory, keeping the Bank original, and sending copies as follows:
   - a scanned copy of the Grant Agreement to the LOADM, GPOBA resource management officer, and PM;
   - the Bank original to LEG by pouch or interoffice mail for filing in the Official Documents files;

(i) Provide input to the GPOBA communications officer for a press release that covers the signing date, project description, objective, benefits, economic impact, etc. The GPOBA communications officer will draft the release in English, get clearance from the PM, and arrange for translation into the local language(s), seeking help from the communications staff in the Bank's country office as needed. The TTL should obtain clearance from the project counterparts for disseminating the release and for any quotes.

It is the Lawyer's responsibility to:

(a) Draft legal agreements for TTL review and dissemination for clearances;

(b) Review eventual comments provided through the clearance process and incorporate them in the legal agreements;

(c) Review and clear the Disbursement Letter prepared by LOA;

(d) Provide formal clearance of the legal package prior to sending it to the CD for signature;

(e) If present at the signature ceremony, keep the Bank-signed original, scan it and send it as an attachment to an e-mail to the TTL and GPOBA TA;

(f) Manage internal filing and arrange for disclosure of the Grant Agreement in compliance with Bank policy.

Establishing Recipient Executed (RE) Child Trust Fund Account(s)

The TTL will need to request the establishment of RE Trust Fund (TF) account(s) from the GPOBA team. Upon receipt of this request, the GPOBA resource management officer will provide a draft Grant Funding Request (GFR) form along with instructions (see e-mail template in Annex 12) for completion and submission by the TTL.When submitting the GFR, the TTL needs to ensure that the GPOBA TA is copied (via e-mail). This will allow the TA to request the PM's approval. Upon PM approval, a TF account is issued for each request. The TF account(s) will need to be included in the Grant Agreement and the appropriate donor(s) will need to be specified under each RE TF account. These accounts will remain inactive until Trust Fund Accounting (TACT) receives a copy of the signed Grant Agreement.

Grant Agreement Preparation - Model Form of Trust Fund (TF) Grant Agreement (GA)[6]

- **What it is about:** The Grant Agreement is the core legal document for the project. It describes the legal agreements between the Bank, acting as an administrator to GPOBA, and the Recipient(s), for the implementation of the project. It describes the project-specific provisions and requirements regarding procurement, financial management, disbursement, and reporting that are to be respected to allow the Bank to disburse the grant. It also presents eventual conditions to be met by the recipient(s) before the Bank can declare the grant effective or before the Bank can disburse the grant proceeds. The contents of the Grant Agreement include these items:
    - Reference to Standard Conditions
    - Recipient commitment – who carries out what
    - Financing terms
    - Project-specific remedies/effectiveness conditions:
        - Suspension remedy takes place when recipient does not meet safeguard requirements; recipient is debarred under another Bank-financed project; and member country interferes.
        - Cancellation remedy takes place for misprocurement.
        - Refund takes place for misuse of proceeds.
        - Clear link must be sustained between outputs to be delivered and the pre-agreed subsidy per output (this can also be handled in the Operational Manual).
    - Recipient's contact information
    - Schedules – usually the following three (main focus of drafting):
        - Project Description
        - Project Implementation
        - Project Monitoring.

- **When to prepare it:** The Grant Agreement is prepared after donor approval has been obtained for commitment.

[6] The latest version of the Standard Conditions (July 20, 2006) can be downloaded from the following location:
http://intresources.worldbank.org/intsarcosuprocurement/1429152-1163562384722/21128264/modelrecipient-executedgrantagreement(fullversion)--july202006.pdf

- **Who is responsible for what:** The Grant Agreement is drafted by the assigned regional lawyer and cleared by the following: TTL, Procurement, FM, LOA, PM, SM, TACT, and LEG

  The Project Lawyer may request clearance from the Chief Counsel, in accordance with the regional procedure with respect to legal clearances.

Standard Conditions (SC)[7]

- **What it is about:** The SC is a set of principal conditions (definitions) generally applicable to all recipient-executed TFs.

- **When to prepare it:** The SC is attached to the legal package when the Grant Agreement is sent to recipient(s) and when it is sent to the CD for signature.

Government Information Letter *(See sample in Annex 15)*

- **Main message:** The main message of this letter is to inform the relevant government entity with which the Bank has an official line of communication about the project. The letter also informs the government of the need for access rights to the country without interference and to the project areas within the country for GPOBA, the World Bank, the staff of the implementing agency, and the Independent Verification Agent during project implementation. The letter requests approval of these requests on a 10-day no-objection basis.

- **When to prepare the letter:** The letter is prepared after the project is endorsed for commitment and during the preparation of the General Agreement, and only if the grant is to a non-sovereign party and if the government is not a signatory to the Grant Agreement.

- **Who is responsible for what:** The TTL prepares a draft letter in consultation with the PM and the country lawyer, obtains formal clearances from the same, and sends the letter to relevant government officials. The TTL informs the GPOBA information specialist about the correspondence to be filed in PATS and IRIS.

- **Cc to:** The CD, PM, GPOBA TA, country lawyer, and GPOBA information specialist.

- **Attachments:** Commitment Document; Draft Legal Agreements; and other relevant official letters from the government to endorse the project (if any).

Disbursement Letter *(See Template in Annex 16)*

- **What it is about:** The Disbursement Letter contains specific instructions to recipients on the disbursement arrangements for the project, making reference to the Disbursement Guidelines. It should make clear that LOA cannot disburse without prior approval from the TTL, and

[7] The latest version of the Standard Conditions (July 1, 2008) can be downloaded from the following location: http://siteresources.worldbank.org/intlawjustice/resources/stdgc-english-08.pdf

should clearly state that evidence is required showing the number of outputs received, the unit subsidy, and total subsidy requested (see attached sample).

- **When to prepare the letter:** The Disbursement Letter should be prepared no later than when the Commitment Document is being finalized and the legal package is being prepared.

- **Who is responsible for what:** LOA drafts the letter based on agreed disbursement arrangements included in the Commitment Paper, using a model form (no changes to the model are permitted). LOA works with the FM specialist on arrangements to ensure that proceeds are used for the purposes intended. The country lawyer, the TTL, GPOBA TA and the assigned regional FM specialist all review the draft Disbursement Letter. LOA incorporates comments received and provides the final draft and the required attachments (Disbursement Guidelines and the model authorized signatory letter) for their clearance. The TTL ensures that the Disbursement Letter is included in the negotiations package, discussed and finalized at negotiations, and made a part of the legal package.

Operational Manual

The Operational Manual (OM) is the document complementing the Grant Agreement that describes with appropriate detail the roles and responsibilities of all the parties involved in the project during its implementation. In particular, it describes responsibility sharing in terms of procurement, financial management, progress reporting, financial reporting, technical aspects of output realization, modalities of output verification, and subsidy disbursement. The OM should clearly state the pre-agreed value of the subsidy per output delivered. It usually proposes the format for progress reporting and financial reporting.

Although there is no template for the OM, GPOBA can share examples of existing OMs that the TTL can adapt to the specifics of his/her project. In theory, the recipient drafts the OM and the TTL should just ensure that the recipient(s) prepares the OM and submits it to the Bank for review, consistency check with legal agreements, and clearance. In practice, because the OM is often a condition of effectiveness (a condition on the Bank, not on the Recipient), its writing is a shared effort between the TTL, GPOBA and the recipient, into which the TTL and the GPOBA TA put a lot of effort. While encouraging the recipient to prepare a reasonably advanced draft of the OM, the TTL and GPOBA TA should be and ready to support OM preparation.

Need for Technical Discussions or Formal Negotiations

GPOBA does not require that formal technical discussions or negotiations be held in order to discuss and agree on the Grant Agreement. However, for complicated projects or projects involving several signatories, the TTL and GPOBA TA are encouraged to coordinate with the country lawyer to determine whether formal negotiations are necessary to review the terms of the Grant Agreement, the OM, and Disbursement Letter to ensure that all agency/institution signatories to the Grant Agreement in the country agree on its terms.

Formal negotiations are chaired by the country lawyer, but they are organized by the TTL. During negotiations, the TTL ensures that important changes made to the legal agreements are recorded in the minutes of the negotiations and that the legal agreements, and preferably also the OM and the disbursement letter, are finalized before the end of negotiations. The TTL ensures that the signed minutes of the negotiations indicate that the Grant Agreement and associated legal documents will be publicly disclosed by the Bank in accordance with its disclosure policy. The minutes of negotiations are reviewed and signed by the TTL and the head of the delegation. Changes made to the cleared legal documents need to be circulated for clearance to the relevant specialists, as determined by the lawyer at the end of negotiations.

9. After Signing the Grant Agreement

Publication of the Operational Manual (OM) and the Grant Agreement (GA)

In compliance with the Bank's disclosure policy, all OMs and Grant Agreements for projects signed after July 1, 2007 must be made publicly available. The Standard Conditions give GPOBA the right to disclose Grant Agreements for those projects signed after July 1, 2007. The TTL is requested to document this fact in the signed minutes of negotiations.

- **Who is responsible for what (OM):**
  - (a) After the Grant Agreement is signed, the GPOBA information specialist sends e-mails (cc to GPOBA communications officer) to the GPOBA TA and the TTL indicating that the OM should be disclosed on the InfoShop website. The e-mail requests that the TTL determine whether a statement of no-objection from the recipient should be received or the TTL can simply clear the OM for publication.
  - (b) If it is decided that a no-objection statement is needed, the TTL coordinates with the recipient to obtain it via e-mail or through the signed minutes from formal negotiations, and the GPOBA information specialist follows up for timely response.
  - (c) Once the OM is cleared for publication, the GPOBA information specialist submits the OM along with a Submission Form (cover memo, template as shown in annex 19). In the cover memo, under the section titled "Type of report submitted with this cover memo:", "Manual" should be selected; and the section titled "Name of report submitted with this cover memo:" should read "Operational Manual." Print the filled-out cover memo in PDF format, following the instructions indicated at the bottom of the memo.
  - (d) The GPOBA information specialist sends a message attaching both the OM and the cover memo in PDF format to infoshop@worldbank.org for publication, and files this e-mail in IRIS.
  - (e) Once submitted, the GPOBA information specialist updates the information in the Disclosure Dashboard on the N drive.
  - (f) In case InfoShop does not confirm publication after about one week, the TTL should confirm the disclosure of documents by visiting the InfoShop's "New Disclosure Documents." Publication should appear under the "Lending Documents" section, under "Operational Manuals."
  - (g) Once the effective publication date is known, the GPOBA information specialist updates the information in the Disclosure Dashboard.

- **Who is responsible for what in the (GA):** The TTL ensures that in the signed minutes of the negotiations, it is indicated that the Grant Agreement and associated legal documents are to be publicly disclosed by the Bank in accordance with its disclosure policy. The country lawyer sends the signed original Grant Agreement to the UN Database for public disclosure. The Grant Agreement need not be disclosed on the InfoShop website.

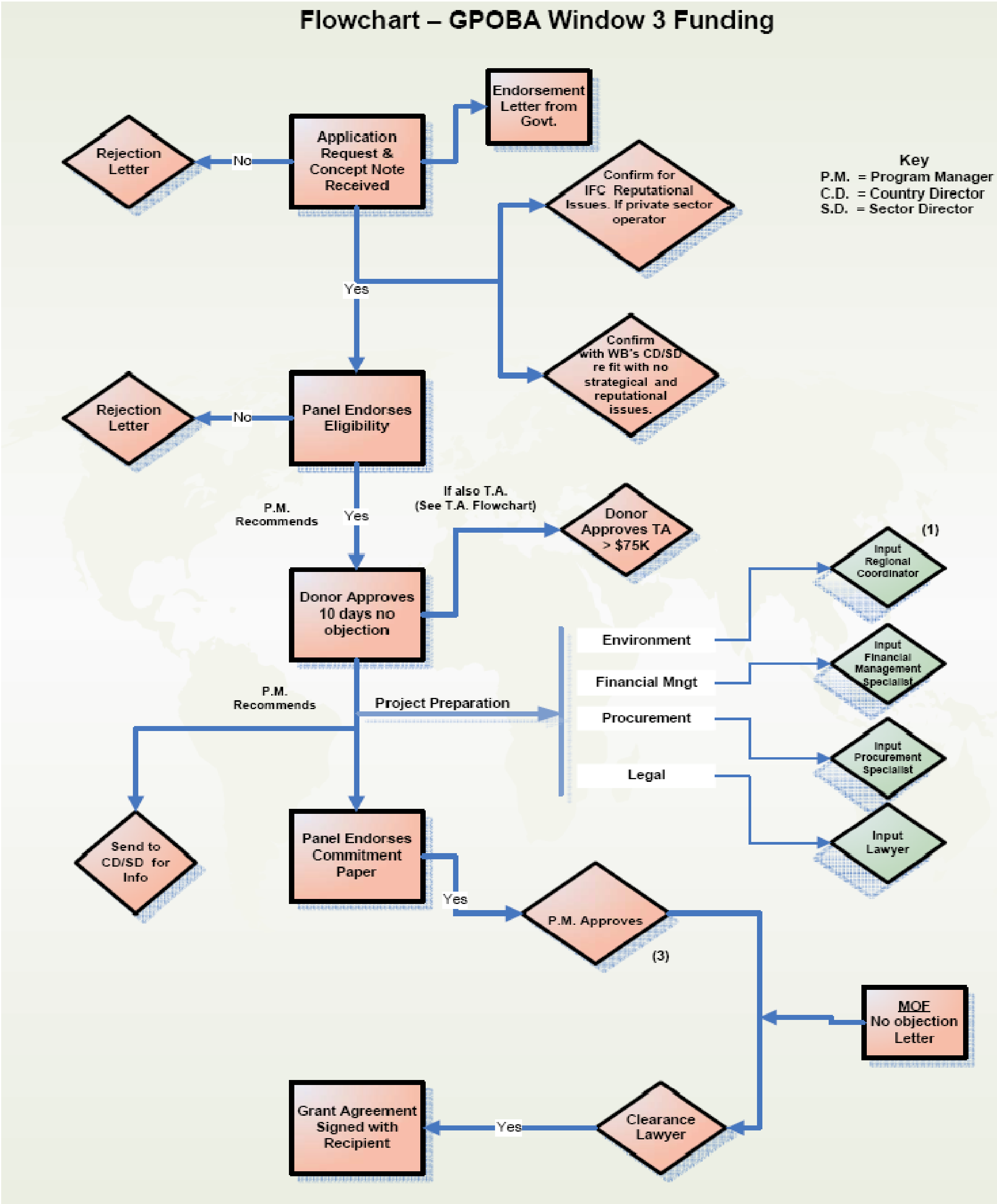
Press Release

Prior to the signing of the Grant Agreement, the TA coordinates with the GPOBA communications officer to propose language for the press release. In cases where projects are IFC-funded, the GPOBA communications officer coordinates with the relevant counterpart in the IFC. The TA lets the GPOBA communications officer know as soon as the Grant Agreement has been signed, so that he or she can disseminate the press release to the media and ensure that it is posted on the GPOBA and Bank websites. GPOBA sends a copy of the press release and sample of media coverage together with the Grant Agreement and the Commitment Paper to the donors.

Obtaining Budget Codes for Project Supervision

The TTL needs to submit a detailed budget (in the form of an Excel spreadsheet specifying labor, travel, consultant, etc.) to the PM for approval. Once the budget is approved, GPOBA will issue an Award Letter with the specific charge code(s). It is the TTL's responsibility to ensure that expenses are in line with project objectives and that expenses remain within the awarded budget. Such responsibility will be confirmed by the TTL at the end of each fiscal year for audit purposes, through his/her virtual signature of one Letter of Representation per project.

Annex 1. GPOBA Window 3 funding - Processing flowchart



(1) IF WB operation, this confirmation is not required.
(2) Posting of draft safeguard documents prior to approval for commitment by GPOBA donor.
(3) For IFC funded projects, no IFC approval is required as only these projects already screened by IFC management will be submitted to GPOBA for review.

Annex 2. Template - Concept Note

The Global Partnership on Output-Based Aid

GPOBA CONCEPT NOTE

Project Name	
Sector	
Location	
Applicant	
Task Team Leader	
Funding Request	*(not to exceed US$7 million for OBA subsidy funding)*
Date	

I. Summary

[Please provide a brief summary of the project against the following categories. Further details can be provided under sections II - VIII]

- *Background*: [Brief overview of sector, how it is regulated, does the current tariff regime cover at least operations and maintenance costs etc]
- *Project sponsor:*[Information including whether public or private]
- *Objective*: [Nature of the OBA scheme, expected benefits eg OBA leading to new connections, improved service etc]
- *Outputs*: [Set out major outputs expected from the proposed project – connection or transitional subsidy (not to exceed 7 years). Outputs need to be discrete, and measurable as well as independently verifiable]
- *Targeting*: [The number of poor people hitherto un served or badly served expected to receive services, how are they being reached and why have they been selected]
- *Funding structure*: [What is the total project size, what percentage is covered by the utility, customer and GPOBA respectively]
- *Subsidy level*: [Set out what is the unit cost per connection, what is the minimum user contribution, how does this unit cost compare to similar connections in country and/or region]
- *Innovation*: [e.g. Relatively new approach at service delivery or targeting mechanisms, nature of service providers etc]
- *Sustainability of project*. [How to ensure efficient operation of service once GPOBA has disbursed the OBA grant, what measures are being taken to ensure medium and long term sustainability?]
- *Scale-up and replication*: [What does the project envisage in terms of scale-up? How will this be achieved?]
- *Economic cost benefit*: [What is the percentage of proposed customer contribution compared to an average household income; is the proposed user contribution affordable, what are the expected economic benefits to be derived by the project e.g. alternative cost of fuel, etc].
- *Impacts relative to current situation*: [What are the expected outcomes, how will the population benefit in terms of access to service, improved health etc. Other benefits expected should also be described]
- *Project duration and anticipated schedule of GPOBA payments.*

[The following provides some suggested headings under each category. Please use as appropriate]

II. Sector Background

- *Is project part of World Bank or International Finance Corporation operation, or is it a stand-alone operation?*

- *How does the project fit in with World Bank Country Assistance Strategy (CAS) and/or Poverty Reduction Strategy Paper (PRSP)*

III. Project Design

- *Who will execute the project and what is their standing in the market? Reputational risk?*
- *How has risk been transferred to the Operator (whether public or private)?*
- *How will beneficiaries be targeted e.g. geographical, etc?*

IV. Developmental Impact (including Economic Cost Benefit Analysis)

- *Description of impact of project*
- *What is the expected Economic Rate of Return (ERR)? List the assumptions used.*

V. Funding Structure and Subsidy levels

- *Total cost of project – how project is financed (equity/debt)*
- *Unit cost per subsidy – How is this established, bench-marking or competitive bidding?*
- *User contribution – percentage of total cost*
- *Tariffs – do they cover at least operation and maintenance costs?*
- *OBA payment structure – are advances required prior to delivery of outputs due to lack of access to funding to pre-finance outputs?*
- *How much private investment is leveraged by the OBA grant?*
- *Who is covering / providing funding to pre-finance outputs prior to verification of output and payment of OBA grant.*

VI. Project implementation arrangements

- *List roles and responsibilities of stakeholders and how they interface – operator/regulator/government/customer/NGOs/independent verification agent/banks/community etc*

VII. Risks Assessment

Risk	Mitigation
For example: • *Affordability and willingness to pay by customer* • *Measurement/verification of outputs* • *Sustainability of project* • *Ability to pre-finance outputs* • *Willingness of regulator to ensure tariff structure covers at least O&M* • *Lack of community involvement in designing scheme*	

VIII. Implementation Timeline

VIII.1 Technical Project Preparation

- *What will TA funds be used for?*

VIII.2 Fiduciary and Safeguard Appraisal

- *A Fiduciary or Safeguard Appraisal will be conducted by the Bank for OBA Subsidy 'Funding. For Safeguards, please indicate if there is an Environmental Impact Assessment study? If yes, when was it prepared and in accordance with which standards***?**

VIII.3 Project Implementation and Disbursement

- *By when does Grant Agreement need to be signed and project disbursements start?*
- *Please provide schedule of anticipated disbursements*

IX. Monitoring and Tracking Indicators

- *Please provide any available base-line data for the linked Monitoring and Tracking Indicators table. You may download this table from our website at* http://www.gpoba.org/funding/proj_inds101906.xls *(please see sample on next page).*
- *Please note that all relevant base-line data should be presented at commitment/appraisal stage*

Sample of Tracking and Monitoring Indicators

	Monitoring and Tracking Indicators for OBA Projects					
No.						
1	**Project Name:**	[insert name here]				
2	Is the entire project designed as an OBA scheme, or is the OBA element a sub-project?					
3	Please specify the sub-project(s) that contain an OBA element.					
	Please complete a separate table (see below) for each sub-project that utilizes an OBA element, if not additive (e.g sector or nature of project is substantially different)					
	The questions below pertain specifically to the OBA element or sub-project, unless specified					
			BASE-LINE data	Year 1	Year 2	other
	Output					
4	What is the principal "output" of the project on which the defined subsidy is paid? (e.g. connections). If there are multiple outputs like household connections and public standpipes, specify all of them	static				
5	Define the principal "output"? (eg - last 10 km of the connection)					
6	Level of defined "output" achieved (e.g. number of connections, kWh delivered, km roads improved). Specify output levels separately for each output type (e.g. - household/individual phone connections and public payphones)	Output Type	0			
	Subsidy Disbursement Schedule		Outputs	Subsidy		
7	Indicate the outputs (or milestones) and the corresponding subsidy (as a % of total subsidy).	static				
	Access (see footnote)					
8	Number of people per household in the project area					
9	Total number of households benefiting from increased access due to OBA element of project		0			
10	Average daily consumption or use per OBA beneficiary at the household level (e.g. kWh per day)					
11	Percentage of population in targeted area with access to the service in question					
	Targeting (see footnote)					
12	Mechanism used for targeting (e.g. individual household, geographic, etc)	static				
13	Number of identified poor households with access through OBA project		0			
14	Percentage of total subsidy that is reaching the poor		0			
	Affordability and Sustainability					
15	Average expenditure on service by OBA beneficiaries as a percentage of total hh expenditure	static		provide annual figures if variable		
16	Minimum tariff required to cover O&M (in US$)	static				
17	Average residential tariff for OBA beneficiaries (in US$ and specify if different than tariff for other consumers)					
18	If minimum O&M tariff required > Average residential tariff, how is the gap being funded? Is tansitional or ongoing consumption subsidy being used? Specify source of funding.	static				
19	Collection Rate					
	Service Quality (see footnote)					
20	Average hours per day of access to service					
21	Number of interruptions or outages per day					
	Aid Efficiency					
22	Projected Total project costs	static				
23	Actual Total Project costs					
24	Explanation for the difference between projected vs actual total project costs					
25	Average project costs per household or connection for the project	static				
26	Total amount of subsidy required (preferably broken down by source of funds, e.g. co-financing)		pre-OBA subsidy baseline			
27	Comparator: average subsidy required for providing similar output under similar circumstances, if available	static				
28	Subsidy per connection or household		pre-OBA subsidy baseline			
29	Time (months) to design OBA scheme (e.g. from project concept note)	static				
30	Cost of project design (e.g. TA) -- please specify how calculation is made	static				
	Competition and involvement of Private Sector					
31	Is there private sector involvement in OBA service provision? Community (CBO), NGO, local or international?	static				
32	Contractual agreement with the OBA service provider and duration of contract (e.g. - BOT or BOO)					
33	Amount of private financing involved (please specify form, e.g. debt, equity, etc)	static				
34	Competitive bidding? e.g. - International or National.	static				
35	Bidding variable used to determine provider of OBA service	static				
36	Number of qualified bids? Specify local or international for each qualified bid	static				
	Additional Indicators from PIDG					
37	Number of new jobs created by the project in the project location					
	Enabling Environment			Targets will not be needed for th		
38	National IFC 'doing business' rating for the protection of investors			environment and capacity buildi		
39	National IFC 'doing business' rating for enforcing contracts			baselines will enable us to gaug		
	Government Capacity			project environment and at som		
40	National Country Performance Rating			help us to assess whether cluste		
	Footnotes:					
13	Please specify how "poor" is defined. Eq : income less than $4 per day (per capita)					
20	Is there a difference between the service level provided to consumers through the OBA scheme and service levels provided otherwise?					
26	provide total subsidy required for entire project, and provide annual figures if possible					

Annex 3. Template - Application Form for Technical Assistance and/or Subsidy Funding

The Global Partnership on Output-Based Aid

Application Form for Technical Assistance and/or OBA Subsidy Funding

Section A: Project Information

1) Project Name

2) Date of Application

3) Funding Request (please mark all that apply):

☐ Technical assistance for the design, implementation and evaluation of individual projects	☐ Funding of OBA payments that will complement or replace user fees.

4) Geographic Focus (if applicable)

Country(s):	
Project Coverage:	
☐ National	☐ Municipal *(Please specify)*:
☐ Regional *(Please specify)*:	☐ Other *(Please specify)*:

5) Sector (please mark all that apply):

☐ Water and Sanitation	☐ Education
☐ Energy	☐ Health
☐ Transport	☐ Telecommunications

6) Objective of OBA Scheme (please mark all that apply):

☐ Expanded Access	☐ Improve Affordability
☐ Facilitate Transition	☐ Other *(please specify)*:

7) Contact details (applicant/proposed task manager)

Name:		
Position:		
Unit:		
Telephone:	Fax:	Email:

8) Government support

A GPOBA requirement is that responsible government authorities endorse the project outlined above. Please attach endorsement letter and provide contact details of responsible government official (if different from applicant):

Name:
Position:
Ministry/Agency:
Tel:
fax:
email:

Section B: Project Details

9) Baseline Eligibility Requirements

Does the proposed project:

- *Directly lead to new connections or improved and affordable access for considerable numbers of additional poor people?* ☐ YES ☐ NO
- *Will existing consumers benefit from improved efficiency and quality of supply?* ☐ YES ☐ NO
- *Involve an innovative element (e.g. relatively new approach at service delivery or targeting mechanisms, nature of service providers, etc)?* ☐ YES ☐ NO
- *Allow for scaling-up (possibly with supplemental funding for this being provided by donors, IFIs and governments)?* ☐ YES ☐ NO
- *Allow for the replication of the pilot project(s) in other geographical regions or sectors?* ☐ YES ☐ NO

Please complete information in the concept note template in Annex 2. This template is also available on the GPOBA website at the following address:
http://www.gpoba.org/funding/TemplateConceptNote.doc

Section C: Funding Request and Time Schedule

10) Funding for technical assistance (where applicable)

If GPOBA is asked to fund technical assistance in project preparation and execution, please fill in the summary table below for expected funding requirement.

Expenditure categories	***GPOBA Request (US$)***	***Co-financing***		***Total Cost (US$)***
		US$	***Details*** (i.e. government cash or in-kind contributions, donor funds, status of approval, etc.)	
Consulting Services *(e.g. fees travel, per diem, etc.)*				
Task Team Supervision Cost *(e.g. fees travel, per diem, etc.)*				
Other *(Please specify)*				
Total Financing/Costs				

11) Deliverables and Timeline

Please outline the major deliverables to be funded by GPOBA and include draft TOR(s), a detailed timeline and line item budget for all major activities.

12) Indicative funding for subsidy payments (where applicable)

Expenditure categories	***GPOBA Request (US$)***	***Co-financing***		***Total Cost (US$)***
		US$	***Details*** (i.e. government cash or in-kind contributions, donor funds, status of approval, etc.)	
Projected subsidy expenditure				
Task Team Supervision Cost *(e.g. fees travel, per diem, etc.)*				
Other *(Please specify)*				
Total Financing/Costs				
Please detail the indicative time intervals when disbursement of funding from GPOBA would be sought.				

13) Supporting Material

Please list any additional material that might be of use in evaluating the request for subsidy funding eligibility and attach the document(s) to the proposal if possible.

Annex 4. GPOBA Eligibility Criteria[8]

A. Basic requirements (Pass/Fail)

In order to ensure some degree of consistency and comparability and to meet the GPOBA program objectives, the Panel of Experts will require that all eligible projects:

a) As per Section 2.2 of the Operating Principles, the project falls within the infrastructure and social services sectors.
b) Have a clearly defined output that can be identified and utilized by the end user.
c) Be replicable widely and scalable.
d) Involve a subsidy requirement of less than 5 years unless a guarantee of future subsidy-funding from other sources is provided.
e) Include a government letter of approval/endorsement.
f) Do not pose any strategic concerns for the World Bank country team.[9]
g) Have undertaken an IFC reputation risk assessment in the cases where a pre-identified private sector provider is involved.

B. Measuring Eligibility

To compare across applications, the Panel will rank projects by assigning a score as indicated in the table below. The Panel emphasizes that these criteria will be used as key inputs into the decision-making process for the Panel, and should help provide guidance to task teams developing GPOBA applications.

[8] All decisions are subject to available funding, both for eligibility and commitment stage.
[9] This usually involves a no objection, and not necessarily a perfect fit within the World Bank strategy itself.

	Eligibility Criteria	Definition/Rationale	Ranking ("1" = low score, "3" = high score)
1.	Targeting the poor	How well does the project target subsidy delivery to the poor? GPOBA's prime objective is to support increased access *by the poor* to sustainable services.	A project will receive a higher score the poorer are the beneficiaries, determined mainly by per capita daily or monthly income. The use of additional targeting mechanisms (e.g. self-selection) will result in higher points. The project must receive a score of 2 in this category to be considered for eligibility.
2.	Shifting performance risk to the provider	A pure output-based scheme should shift most performance risk to the provider by paying only on the delivery of final outputs.	A project will receive a higher score the greater the portion of the subsidy disbursed only after final output delivery. A score of 3 would also require a percentage with-held until continuous service is delivered for a period of time. The project must receive a score of 2 in this category to be considered for eligibility.
3.	Private financing leveraged	Some private sector financing is needed to help countries reach their development goals. What percentage of capital costs will be borne by private sector financing, to be recouped through future tariff revenue (versus recouped through subsidies or up-front user contributions)?	A project will receive a higher score the greater the percentage of total costs borne through private sector finance. This includes commercial loans taken by public sector providers.
4.	Economic rate of return (EIRR) or Financial Rate of Return (FIRR)	ERR calculations can capture the positive economic externalities to society (see GPOBA docs/examples). Internal rates of return (or financial will capture the return to the provider.	Depending on ***a reasonable use of assumptions***, the higher the ERR, the higher the mark. FRR (or IRR) without subsidies should be low – otherwise one would question why subsidies are required. A project must receive a score of 2 in this category to be considered for eligibility.
5.	"Value for money": subsidy per capita	Subsidy per capita helps demonstrate what impact GPOBA funding could have.	The lower the subsidy per capita required for the project, the higher the mark. The competitive determination of subsidy required should result in a slightly higher ranking than otherwise – all else being equal.
6.	Sustainability	Is the long-term viability of the project considered – post GPOBA subsidies?	Along with appropriate indications of WTP and ATP, tariffs should cover at least O&M if not also replacement costs.
7.	Implementation Capacity	Strong implementation capacity is critical for project success.	What is the capacity of the recipient/implementation agency to undertake the tasks outlined? Higher marks will be awarded for stronger capacity.
8.	Innovation	Involves significant project innovation, such as innovative delivery mechanism (e.g. CBOs, NGOs, or small local or regional private operators), that involve new market or sector-reforms, or utilize innovative financing or risk mitigation mechanisms	Higher marks should be given to more innovative projects, for example those forging new directions in the given sector/country (e.g. no previous PSP experience, use of CBOs, etc.) and lowest marks (0 or 1) for those that simply extend the incumbents network with no particular innovation.

	Eligibility Criteria	Definition/Rationale	Ranking (“1” = low score, “3” = high score)
9.	User contribution	To help demonstrate sustainability and demand/ ownership.	User contribution as a percentage of the total unit costs AND in relation to the per capita income of the beneficiaries should be taken into account to help assess the project. To receive a mark of “3”, the user contribution as a percentage of total costs AND in relation to the per capita income of the beneficiaries should be substantial in relation to other projects reviewed.
10	Sector diversity	To ensure appropriate portfolio diversity given GPOBA’s role to pilot OBA.	Higher marks for those sectors or sub-sectors in which GPOBA needs to build sector experience: sanitation; education; transport services.
11	DAC/ Frontier preferences	To ensure, per GPOBA’s operating principles, that DAC 1 + 2 and IFC frontier countries are given preference.	A mark of 3 points for DAC 1, 2 or IFC frontier; 0 points if DAC 3 or 4.

Annex 5. Template - Country Director (CD)/Sector Director (SD) Confirmation Email

(a) Discussion for Eligibility for non-Bank project with WB TTL

Subject: Proposed GPOBA project in [country], (Project Name) - requested confirmation on 10 day no-objection basis for no reputational/strategic issues and the appointment of the regional TTL

Dear CD (first name) and SD (first name):

Please find attached the Memorandum requesting confirmation on a ten day no-objection basis that there are no reputational or strategic risk issues of which the Global Partnership on Output-Based Aid (GPOBA) should be aware with respect to an output-based aid (OBA) project which we are developing in [**country**]. Furthermore, GPOBA requests on a no-objection basis that **(professional title), (WB TTL name)** is assigned to this project.

I have attached the Concept Note that will be discussed with GPOBA's Panel of Experts on [**date**]. Absent your objection to (i) the project with respect to strategic or reputational issues; and (ii) the assignment of [**name of TTL**] as TTL for this project within a period of ten days of the date of the attached Memorandum, GPOBA will pursue further preparation of this project. For your reference, the GPOBA Grant Funding Flowchart is also attached.

Best Regards,
GPOBA Program Manager

(b) Discussion for Eligibility for non-Bank project with GPOBA TTL

Subject: Proposed GPOBA project in [country], Project Name - requested confirmation on 10 day no-objection basis for no reputational/strategic issues

Dear CD (first name) and SD (first name):

Please find attached the Memorandum requesting confirmation on a ten day no-objection basis that there are no reputational or strategic risk issues of which the Global Partnership on Output-Based Aid (GPOBA) should be aware with respect to an output-based aid (OBA) project which we are developing in [**country**].

I have attached the Concept Note that will be discussed with GPOBA's Panel of Experts on [**date**]. Absent your objection to the project for strategic or reputational risk issues within a period of ten days of the date of the attached Memorandum, GPOBA will pursue further preparation of this project. For your reference, the GPOBA Grant Funding Flowchart is also attached.

Best Regards,
GPOBA Program Manager

(c) Discussion for Eligibility for Bank project with regional WB TTL

Subject: Proposed GPOBA project in [country], Project Name - requested confirmation on 10 day no-objection basis for the appointment of the regional TTL

Dear CD (first name) and SD (first name):

Please find attached the Memorandum informing the Global Partnership on Output-Based Aid (GPOBA) --- project which we are developing in **(country name)** and requesting the confirmation on a ten day no-objection basis that (**professional title**), (**WB TTL name**) is assigned as TTL to this project.

I have attached the Concept Note that will be discussed with GPOBA's Panel of Experts on (**date**). Absent your objection to (i) the project with respect to strategic or reputational issues; and (ii) the assignment of (**WB TTL's name**) as TTL for this project within a period of ten days of the date of the attached Memorandum, GPOBA will pursue further preparation of this project. For your reference, the GPOBA Grant Funding Flowchart is also attached.

Best Regards,
GPOBA Program Manager

(d) Discussion for Commitment Project which was not informed before

Subject: Commitment Paper for proposed GPOBA project in country, project name - requested confirmation on 10 day no-objection basis for no reputational/strategic issues

Dear CD and SD:

Please find attached the Memorandum requesting confirmation on a ten day no-objection basis that there are no reputational or strategic risk issues that the Global Partnership on Output-Based Aid (GPOBA) should be aware of with respect to an output-based aid (OBA) project which we are developing in [**country**].

Mention minutes.

I have attached the commitment for funding documentation that will be discussed with GPOBA's Panel of Experts on [**date**]. If the project is endorsed and approved, we intend to enter into a grant agreement in the near future/**by the end of month year**. For your reference, the GPOBA Grant Funding Flowchart, which summarizes the GPOBA approval process, is also attached.

This approval process was developed after the **project name** was first presented to GPOBA's Panel of Experts in **date**. For future projects, you would be receiving information and requests for confirmation regarding the absence of strategic and reputation issues at an earlier stage, as reflected in the attached GPOBA Grant Funding Flowchart.

Best Regards,
GPOBA Program Manager

(e) Discussion for Commitment Project which was informed before:

Subject: FYI - Proposed GPOBA project in (Country), (Project Name) - commitment paper

Dear CD and SD:

Further to my e-mail on (**date**), requesting confirmation on no strategic or reputational risk associated with the proposed output-based aid (OBA) project in **country** as well as the assignment of the task team leader, and your subsequent approval (correspondence attached below), attached please find for your information the commitment paper that will be discussed by our Panel of Experts (PoEs) on **date**.

If the project is endorsed and approved, we intend to issue a grant agreement in the near future/**by the end of month year**.

For your reference, minutes of the PoE meeting for the eligibility discussion of the project and the GPOBA Grant Funding Flowchart are attached.

Best Regards,
GPOBA Program Manager

Annex 6. Template - CD/SD Letter – Non-Bank project with Bank TTL

THE WORLD BANK/IFC/M.I.G.A.

OFFICE MEMORANDUM

DATE: {Date}

TO: Mr./Ms. xxx, Country Director, EACIF (x5781+3100)
Mr./Ms. xxx, Sector Director, EASSD (x38635)

FROM: Patricia Veevers-Carter, Program Manager, GPOBA

EXTN: x32163

SUBJECT: **Concept Note for Potential Global Partnership on Output Based Aid (GPOBA) Operation in Country: Project Name**

The above project will be presented to GPOBA's independent Panel of Experts (PoE) for its eligibility for GPOBA funding on {insert PoE meeting date}. Once the project is endorsed, funding approval will be obtained from the GPOBA donors on a 10-days no objection basis. Subject to GPOBA donor approval, I propose that the Project Name be included as a potential project for the GPOBA portfolio. I am attaching for your review the Concept Note which will be discussed by the PoE. We would be grateful to receive your confirmation on a ten day no-objection basis that there are no strategic or reputational risk issues of which GPOBA should be aware.

Absent your objection to the project with respect to strategic or reputational risk issues within a period of ten days of this Memorandum, GPOBA will pursue further preparation of this project for commitment. We will start discussions with the Task Team Leader (TTL), WB TTL name, to be confirmed by you on a no-objection basis[10] on the estimated budget requirements for this project. The TTL will make the Activity Initiation Summary (AIS) in SAP to obtain project preparation financing if the AIS has not been made yet. The TTL will inform the Project Sponsor that the project has been approved for further preparation, and ensure that the proposed GPOBA operation is in full compliance with relevant Bank policies and guidelines, particularly the Environmental/Social Safeguards and Disclosure policies, as well as Procurement and Financial Management Policies. The TTL will prepare the required GPOBA project documentation and organize internal Bank clearances of the relevant policies and guidelines. Prior to GPOBA's PoE endorsing commitment for funding the project, the Commitment for Funding Document will be circulated to you for information.

The GPOBA Transaction Advisor (TA) for this operation is GPOBA TTL name. The GPOBA TA will work with the designated TTL and the Legal Counsel as part of an integrated team to deliver a signed GPOBA grant agreement as soon as feasible. The GPOBA TA will assist the TTL in preparing the project documentation required by GPOBA's Operating Principles.[11]

[10] In the case of GPOBA projects not involving Bank operations, GPOBA may appoint a non-Regional TTL

[11] Not necessary if TTL is a non-Regional TTL

Absent your objection to (i) the project with respect to strategic or reputational issues; and/or (ii) the assignment of WB TTL name as TTL for this project, within a period of ten days of this Memorandum, GPOBA will pursue further preparation of this project for commitment stage.

We look forward to working with you on this project.

cc: xxx, Country Manager (only if there is no designated Country Director), xxx, Regional Sector Manager (unit acronym), xxx, Env & Soc Sector Director (unit acronym), xxx, Env Sector Manager (unit acronym), xxxx, Soc Sector Manager (unit acronym), xxx, Regional Safeguards Coordinator (unit acronym), xxx, Regional Operations Director (unit acronym), xxx, Regional Chief Counsel (unit acronym), xxx, Regional Procurement Manager (unit acronym), xxx, Regional Financial Management Manager (unit acronym), Task Team Leader (unit acronym), GPOBA TA (GPOBA), Laszlo Lovei, Director (FEU), Hanifa Monawer (GPOBA), Daniel Coila (GPOBA)

Annex 7. Template - CD/SD Letter – Non-Bank project with GPOBA TTL

THE WORLD BANK/IFC/M.I.G.A.

OFFICE MEMORANDUM

DATE: {Date}

TO: Mr./Ms. xxx, Country Director, EACIF (x5781+3100)
Mr./Ms. xxx, Sector Director, EASSD (x38635)

FROM: Patricia Veevers-Carter, Program Manager, GPOBA

EXTN: x32163

SUBJECT: **Concept Note for Potential Global Partnership on Output Based Aid (GPOBA) Operation in Country: Project Name**

The above project will be presented to GPOBA's independent Panel of Experts (PoE) for its eligibility for GPOBA funding on {insert PoE meeting date}. Once the project is endorsed, funding approval will be obtained from the GPOBA donors on a 10-days no objection basis. Subject to GPOBA donor approval, I propose that the Project Name be included as a potential project for the GPOBA portfolio. I am attaching for your review the Concept Note which will be discussed by the PoE. We would be grateful to receive your confirmation on a ten day no-objection basis that there are no strategic or reputational risk issues of which GPOBA should be aware.

Absent your objection to the project with respect to strategic or reputational risk issues within a period of ten days of this Memorandum, GPOBA will pursue further preparation of this project for commitment. The GPOBA Task Team Leader (TTL) for this operation is GPOBA TTL name, who will inform the Project Sponsor that the project has been approved for further preparation, and ensure that the proposed GPOBA operation is in full compliance with relevant Bank policies and guidelines, particularly the Safeguards and Disclosure Policies as well as Procurement and Financial Management Policies. The TTL will prepare the required GPOBA project documentation and organize internal Bank clearances of the relevant policies and guidelines. Prior to GPOBA's PoE endorsing commitment for funding the project, the Commitment for Funding Document will be circulated to you for information.

We look forward to working with you on this project.

cc: xxx, Country Manager (only if there is no designated Country Director), xxx, Regional Sector Manager (unit acronym), xxx, Env & Soc Sector Director (unit acronym), xxx, Env Sector Manager (unit acronym), xxxx, Soc Sector Manager (unit acronym), xxx, Regional Safeguards Coordinator (unit acronym), xxx, Regional Operations Director (unit acronym), xxx, Regional Chief Counsel (unit acronym), xxx, Regional Procurement Manager (unit acronym), xxx, Regional Financial Management Manager (unit acronym), Task Team Leader (unit acronym), GPOBA TA (GPOBA), Laszlo Lovei, Director (FEU), Hanifa Monawer (GPOBA), Daniel Coila (GPOBA)

Annex 8. Template - CD/SD Letter – Bank project with regional Bank TTL

THE WORLD BANK/IFC/M.I.G.A.

OFFICE MEMORANDUM

DATE: {Date}

TO: Mr./Ms. xxx, Country Director, AFCE3 (x5358+301)
Mr./Ms. xxx, Sector Director, AFTPI (x37878)

FROM: Patricia Veevers-Carter, Program Manager, GPOBA

EXTN: x32163

SUBJECT: **Concept Note for Potential Global Partnership on Output Based Aid (GPOBA) Operation in Country: Project Name**

The above project will be presented to GPOBA's independent Panel of Experts (PoE) for its eligibility for GPOBA funding on {insert PoE meeting date}. Once the project is endorsed, funding approval will be obtained from the GPOBA donors on a 10-days no objection basis. Subject to the GPOBA donor approval, I propose that the Project Name be included as a potential project for the GPOBA portfolio. I am attaching for your information the Concept Note which will be discussed by the PoE.

This project is related to the Bank operation, Bank Project Name, of which the Bank team is led by Bank TTL name. We will start discussions with the Task Team Leader (TTL), Bank TTL name, to be confirmed by you on a no-objection basis[12], on the estimated budget requirements for this project. The TTL will make the Activity Initiation Summary (AIS) in SAP to obtain project preparation financing if the AIS has not been made yet. The TTL will inform the Project Sponsor that the project has been approved for further preparation, and ensure that the proposed GPOBA operation is in full compliance with relevant Bank policies and guidelines, particularly the Safeguards and Disclosure Policies as well as Procurement and Financial Management Policies. The TTL will prepare the required GPOBA project documentation and organize internal Bank clearances of the relevant policies and guidelines. Prior to GPOBA's PoE endorsing commitment for funding the project, the Commitment for Funding Document will be circulated to you for information.

[12] In the case of GPOBA projects not involving Bank operations, GPOBA may appoint a non-Regional TTL

The GPOBA Transaction Advisor (TA) for this operation is GPOBA TTL name. The GPOBA TA will work with the designated TTL and the Legal Counsel as part of an integrated team to deliver a signed GPOBA grant agreement as soon as feasible. The GPOBA TA will assist the TTL in preparing the project documentation required by GPOBA's Operating Principles.[13]

Absent your objection to the assignment of Bank TTL name as TTL for this project within a period of ten days of this Memorandum, GPOBA will pursue further preparation of this project for commitment stage.

We look forward to working with you on this project.

cc: Jill Armstrong, Country Program Coordinator (AFCET), Subramaniam V. Iyer, Regional Sector Manager (AFTEG), John McIntire, Sr Adviser (AFTSD), Karen Mcconnell Brooks, Sector Manager (AFTS2), Warren Waters, Regional Safeguards Coordinator (AFTQK), Gerard A. Byam, Director (AFTQK), Said Al Habsy, Chief Counsel (LEGAF), V.S. Krishnakumar, Procurement Manager (AFTPC), Ed Olowo-Okere, Financial Management Manager (AFTFM), Luiz Maurer, Task Team Leader (AFTEG), Lars Johannes, GPOBA TA (GPOBA), Laszlo Lovei, Director (FEU), Hanifa Monawer (GPOBA), Daniel Coila (GPOBA)

[13] Not necessary if TTL is a non-Regional TTL

Annex 9. Template - Donor Eligibility Approval Request email

Subject: No objection approval requested for GPOBA eligibility for (project name) in (country name) by (date -10 business days after date of email)

Dear ----,

Please find attached a Concept Note endorsed for eligibility approval by the GPOBA Panel of Experts on (date), for ----- project in (country) Minutes of the meeting are also attached.

This project would connect -----.

Window 3 subsidy funding requested is US$--- million.

It is proposed that this project be funded --% by (donor name).

Please kindly provide your no objection approval by (date).

Thanks and kind regards,
GPOBA Program Manager

Annex 10. Template - Safeguards, Fiduciary & Legal Specialists Appointment Request

Dear ,

This is to inform you about the new Global Partnership on Output-Based Aid (GPOBA) pipeline projects which were endorsed for eligibility during the GPOBA Panel of Experts Meeting held on (date) . Attached please find the Concept Notes for the new pipeline projects in the --- region – (project names).

We have already informed the respective country directors and the sector directors of these projects, requesting their confirmation that no reputational nor strategic issues are associated with the projects.

The table below contains the current pipeline projects in the region. We would be grateful if you could let us know which --- specialists are allocated by you for the preparation of this project

Best regards,
GPOBA Program Manager

Annex 11. Template – Project Information Document (PID) – Concept Stage

PROJECT INFORMATION DOCUMENT (PID)
CONCEPT STAGE

Project Name	
Region	
Sector	
Project ID	
Borrower(s)/Recipient(s)	
Implementing Agency	
Environment Category	[ ] A [ ] B [ ] C [ ] FI [ ] TBD (to be determined)
Date PID Prepared	
Estimated Date of Appraisal Authorization	
Estimated Date of Board Approval	N/A

I. Key development issues and rationale for Bank involvement

II. Proposed objective(s)

III. Preliminary Description

IV. Safeguard Policies that might apply

Safeguard Policies Triggered by the Project	Yes	No	TBD
Environmental Assessment (OP/BP 4.01)	[ ]	[ ]	
Natural Habitats (OP/BP 4.04)	[ ]	[ ]	
Pest Management (OP 4.09)	[ ]	[ ]	
Physical Cultural Resources (OP/BP 4.11)	[ ]	[ ]	
Involuntary Resettlement (OP/BP 4.12)	[ ]	[ ]	
Indigenous Peoples (OP/BP 4.10)	[ ]	[ ]	
Forests (OP/BP 4.36)	[ ]	[ ]	
Safety of Dams (OP/BP 4.37)	[ ]	[ ]	
Projects in Disputed Areas (OP/BP 7.60)*	[ ]	[ ]	
Projects on International Waterways (OP/BP 7.50)	[ ]	[ ]	
Piloting the Use of Borrower Systems to Address Environmental and Social Issues in Bank-Supported Projects (OP/BP 4.00)	[ ]	[ ]	

V. Tentative financing

Source:	($m.)
Global Partnership on Output-Based Aid (GPOBA) Grant	
Borrower/Recipient	
IBRD	
Total	

VI. Contact point

Contact:

* *By supporting the proposed project, the Bank does not intend to prejudice the final determination of the parties' claims on the disputed areas*

Title:
Tel: Fax:
Email:
Location:

Annex 12. Template – Email to TTL with instructions on completing the Grant Faunding Request

Dear TTL,

A web-based request (Grant Funding Request #000 and #000) for two RE child TFs for Project X has been created for your completion and submission. You now need to complete and submit both requests to the Program Manager and the Trust Fund team for processing. Here are the steps you will need to follow for each request. You will need your Passkey to access the system. On the website, follow these steps:

1. Type TF in the url field.
2. From the TF Favorites select "Grant Funding Request."
3. Click on "Access to GFR."
4. Click on the "Edit" icon.
5. Review and input "Basic Data" and "Description."
6. Add information under Outcome, Components and Disbursements as you see fit. These are optional.
7. Save.
8. Click on the e-mail button. List GPOBA Transaction Advisor as well as any other person(s) you would like to view this request. Send the attached e-mail.
9. Submit the GFR.
10. Inform the GPOBA TA that this request has been submitted so that they can alert the PM regarding approvals.

As this is a new system, you may encounter some system problems. If you do, please call the help desk at x38510 for any assistance.

Annex 13. Template – Integrated Safeguards Data Sheet (ISDS) – Concept Stage

INTEGRATED SAFEGUARDS DATA SHEET
CONCEPT STAGE

Report No.:

Date ISDS Prepared/Updated:

I. BASIC INFORMATION

A. Basic Project Data

Country:	Project ID:
	Additional Project ID *(if any)*:
Project Name:	
Task Team Leader:	
Estimated Appraisal Date:	Estimated Board Date: N/A
Managing Unit: FEU, Global Partnership on Output-Based Aid (GPOBA)	Lending Instrument: Trust Fund – GPOBA Grant
Sector:	
Theme:	
IBRD Amount (US$m.): IDA Amount (US$m.): GEF Amount (US$m.): PCF Amount (US$m.): Other financing amounts by source: GPOBA Grant Amount (US$m.):	
Environmental Category:	
Simplified Processing	Simple [ ] Repeater [ ]
Is this a transferred project	Yes [ ] No [ ]

B. Project Objectives [from section 2 of PCN]:

C. Project Description [from section 3 of PCN]:

D. Project location and salient physical characteristics relevant to the safeguard analysis (if known):

E. Borrower's Institutional Capacity for Safeguard Policies:

F. Environmental and Social Safeguards Specialists on the Team:

II. SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies Triggered *(please explain why)*	Yes	No	TBD
Environmental Assessment (OP/BP 4.01)			
Natural Habitats (OP/BP 4.04)			

Safeguard Policies Triggered ***(please explain why)***	**Yes**	**No**	**TBD**
Forests (OP/BP 4.36)			
Pest Management (OP 4.09)			
Physical Cultural Resources (OP/BP 4.11)			
Indigenous Peoples (OP/BP 4.10)			
Involuntary Resettlement (OP/BP 4.12)			
Safety of Dams (OP/BP 4.37)			
Projects on International Waterways (OP/BP 7.50)			
Projects in Disputed Areas (OP/BP 7.60)			

III. SAFEGUARD PREPARATION PLAN

A. Target date for the Quality Enhancement Review (QER), at which time the PAD-stage ISDS would be prepared: N/A

B. For simple projects that will not require a QER, the target date for preparing the PAD-stage ISDS: PAD stage ISDS is planned to be prepared on ---.

C. Time frame for launching and completing the safeguard-related studies that may be needed. The specific studies and their timing[14] should be specified in the PAD-stage ISDS: Any necessary safeguards instruments will be disclosed: (i) prior to donor approval of commitment of the GPOBA investment operation; and (ii) both at the Bank InfoShop and in a publicly accessible location in (country name) no later than 30 days before signature of the grant agreement by the World Bank authorized signatory.

[14] Reminder: The Bank's Disclosure Policy requires that safeguard-related documents be disclosed before appraisal (i) at the InfoShop and (ii) in-country, at publicly accessible locations and in a form and language that are accessible to potentially affected persons.

IV. APPROVALS

Signed and submitted by:		
Task Team Leader:	Name	Date
Approved by:		
Regional Safeguards Coordinator:	Name	Date
Comments:		
Sector Manager:	Patricia Veevers-Carter	Date
Comments:		

Annex 14. Template – Integrated Safeguards Data Sheet (ISDS) – Appraisal Stage

INTEGRATED SAFEGUARDS DATA SHEET
APPRAISAL STAGE

Report No.:
Date prepared/updated:

I. Basic Information

1. Basic Project Data

Country:	Project ID:		
	Additional Project ID *(if any)*:		
Project Name:			
Task Team Leader:			
Estimated Appraisal Date:	Estimated Board Date: N/A		
Managing Unit: FEU, Global Partnership on Output-Based Aid (GPOBA)	Lending Instrument: Trust Fund – GPOBA Grant		
Sector:			
Theme:			
IBRD Amount (US$m.): IDA Amount (US$m.): GEF Amount (US$m.): PCF Amount (US$m.): Other financing amounts by source: GPOBA Grant Amount (US$m.):			
Environmental Category:			
Is this a transferred project	Yes [ ]	No [ ]	
Simplified Processing	Simple [ ]	Repeater [ ]	
Is this project processed under OP 8.50 (Emergency Recovery)		Yes [ ]	No [ ]

2. Project Objectives:

3. Project Description:

4. Project Location and salient physical characteristics relevant to the safeguard analysis:

5. Environmental and Social Safeguards Specialists on the Team:

6. Safeguard Policies Triggered *(please explain why)*	Yes	No
Environmental Assessment (OP/BP 4.01)		
Natural Habitats (OP/BP 4.04)		
Forests (OP/BP 4.36)		
Pest Management (OP 4.09)		
Physical Cultural Resources (OP/BP 4.11)		
Indigenous Peoples (OP/BP 4.10)		
Involuntary Resettlement (OP/BP 4.12)		
Safety of Dams (OP/BP 4.37)		
Projects on International Waterways (OP/BP 7.50)		
Projects in Disputed Areas (OP/BP 7.60)		

II. Key Safeguard Policy Issues and Their Management

A. Summary of Key Safeguard Issues

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts:

4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described:

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people:

B. Disclosure Requirements Date	
Environmental Assessment/Audit/Management Plan/Other:	
Date of receipt by the Bank	
Date of "in-country" disclosure	
Date of submission to InfoShop	
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	
Resettlement Action Plan/Framework/Policy Process:	
Date of receipt by the Bank	
Date of "in-country" disclosure	
Date of submission to InfoShop	
Indigenous Peoples Plan/Planning Framework:	
Date of receipt by the Bank	

Date of "in-country" disclosure	
Date of submission to InfoShop	
Pest Management Process:	
Date of receipt by the Bank	
Date of "in-country" disclosure	
Date of submission to InfoShop	
*** If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.**	
If in-country disclosure of any of the above documents is not expected, please explain why:	

C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting)

OP/BP 4.01 - Environment Assessment	
Does the project require a stand-alone EA (including EMP) report?	Yes [ ] No [ ] N/A [ ]
If yes, then did the Regional Environment Unit or Sector Manager (SM) review and approve the EA report?	
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	
OP/BP 4.04 - Natural Habitats	
Would the project result in any significant conversion or degradation of critical natural habitats?	Yes [ ] No [ ] N/A [ ]
If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank?	
OP 4.09 - Pest Management	
Does the EA adequately address the pest management issues?	Yes [ ] No [ ] N/A [ ]
Is a separate PMP required?	Yes [ ] No [ ] N/A [ ]
If yes, has the PMP been reviewed and approved by a safeguards specialist or Sector Manager? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist?	
OP/BP 4.11 – Physical Cultural Resources	
Does the EA include adequate measures related to cultural property?	Yes [ ] No [ ] N/A [ ]
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on physical cultural resources?	
OP/BP 4.10 - Indigenous Peoples	

Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes [ ] No [ ] N/A [ ]
If yes, then did the Regional unit responsible for safeguards or Sector Manager review the plan?	
If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit?	
OP/BP 4.12 - Involuntary Resettlement	
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes [ ] No [ ] N/A [ ]
If yes, then did the Regional unit responsible for safeguards or Sector Manager review and approve the plan/policy framework/process framework?	
OP/BP 4.36 – Forests	
Has the sector-wide analysis of policy and institutional issues and constraints been carried out?	Yes [ ] No [ ] N/A [ ]
Does the project design include satisfactory measures to overcome these constraints?	
Does the project finance commercial harvesting, and if so, does it include provisions for certification system?	
OP/BP 4.37 - Safety of Dams	
Have dam safety plans been prepared?	Yes [ ] No [ ] N/A [ ]
Have the TORs as well as composition for the independent Panel of Experts (POE) been reviewed and approved by the Bank?	
Has an Emergency Preparedness Plan (EPP) been prepared and arrangements been made for public awareness and training?	
OP/BP 7.50 - Projects on International Waterways	
Have the other riparians been notified of the project?	Yes [ ] No [ ] N/A [ ]
If the project falls under one of the exceptions to the notification requirement, has this been cleared with the Legal Department, and the memo to the RVP prepared and sent?	
What are the reasons for the exception? Please explain:	
Has the RVP approved such an exception?	
OP/BP 7.60 - Projects in Disputed Areas	
Has the memo conveying all pertinent information on the international aspects of the project, including the procedures to be followed, and the recommendations for dealing with the issue, been prepared	Yes [ ] No [ ] N/A [ ]

Does the PAD/MOP include the standard disclaimer referred to in the OP?	
The World Bank Policy on Disclosure of Information	
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [ ] No [ ] N/A [ ]
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	
All Safeguard Policies	
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [ ] No [ ] N/A [ ]
Have costs related to safeguard policy measures been included in the project cost?	
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	

D. Approvals

Signed and submitted by:	*Name*	*Date*
Task Team Leader:		
Environmental Specialist:		
Social Development Specialist		
Additional Environmental and/or Social Development Specialist(s):		
Approved by:		
Regional Safeguards Coordinator:		
Comments:		
Sector Manager:		
Comments:		

Annex 15. Government Information Letter – Sample from Colombia GPOBA Project

The World Bank
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT
INTERNATIONAL DEVELOPMENT ASSOCIATION

1818 H Street N.W.
Washington, D.C. 20433
U.S.A.

(202) 477-1234
Cable Address: INTBAFRAD
Cable Address: INDEVAS

March 14, 2006

Mr. Santiago Montenegro Trujillo
Director
Departamento Nacional de Planeación
Bogotá, Republic of Colombia

Mr. Luis Ernesto Mejia Castro
Ministro de Minas y Energía
Ministerio de Minas y Energía
Bogotá, Republic of Colombia

Mr. Luis Alfonso Hoyos Aristizábal
Alto Consejero Presidencial
Agencia Presidencial para la
Acción Social y la Cooperación Internacional
Bogotá, Republic of Colombia

Re: Global Partnership on Output-based Aid
Access to Natural Gas Project

Dear Sirs:

The International Bank for Reconstruction and Development (the Bank) as an administrator of the Global Partnership on Output-based Aid (GPOBA) is currently preparing a project to provide natural gas distribution for low-income families on the Caribbean Coast of the Republic of Colombia (the Project).

Funds for the GPOBA have been contributed by the United Kingdom of Great Britain and Northern Ireland's Department of International Development (DFID). In accordance with the operating principles of GPOBA, these funds are being used to provide grants to the relevant agency or institution located in the member country to finance eligible expenses incurred in connection with output-based aid (OBA) schemes. One of the goals of the GPOBA is to facilitate increased access to reliable basic services to the poor in developing countries through pilot demonstration projects.

Under the above-captioned Project, the GPOBA is considering to provide a grant in an amount of approximately five million dollars (USD 5,000,000) (the Grant) to *Surtigas*, *Gases del Caribe*. *Gases del Occidente* and *Gases de la Guajira* (the Recipients) and *Fundación Promigas* (the Fiduciary Agent). The goal of the Project is to assist the Recipients in the connection of up to 35,000 lowest income households in the departments of *Atlantico*, *Magdalena*, *Bolivar*, *Sucre*, *Cordoba* and *La Guajira* to the natural gas distribution network. The Project paper is attached for your information.

We acknowledge receipt of the attached letter from Mr. Luis Ernesto Mejia Castro, informing the Bank of the endorsement of the Project by the *Ministerio de Minas y Energia.* If you require further information, please contact the GPOBA Program Manager, copied on this letter.

Absent the objection of the *Departamento Nacional de Planeación* and the *Agencia Presidencial para la Acción Social y la Cooperación Internacional* within a period of ten days from the date of this letter, the Bank will pursue the preparation, negotiation and execution of the Project.

Based on such lack of objection, the Bank will understand thereby, that the Republic of Colombia shall afford all reasonable opportunity for representatives of the World Bank to visit any part of its territory for purposes related to the Grant or the Project.

Very truly yours,

INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT

By____________________
Laszlo Lovei
Director
Infrastructure Economics and Finance Department

Cc: Mr. Alberto Carrasquilla Barrera
Ministro de Hacienda y Crédito Público
Ministerio de Hacienda y Crédito Público
Bogotá, Republic of Colombia

Isabel Guerrero, Director, Country Management Unit Colombia and Mexico

Patricia Veevers-Carter, GPOBA Program Manager (202 473 2163)

Natural Gas Distribution for Low Income Families in the Caribbean Coast

Project paper

Sector Context:

Following expansion of the natural gas transportation network during the second half of the 1990s, coverage of natural gas in urban areas in Colombia currently has reached more than 3.5 million homes throughout 382 municipalities in the country. This represents a total population of 17 million, or about 40% of the total population of the country, of which about 85% belong to the poorer socioeconomic strata of Colombian society. The arrival of natural gas has brought substantial benefits to the urban population. First, natural gas is a far more economic fuel for domestic cooking and heating than LPG or any of the other commonly used alternatives, meeting basic household needs at about half of the equivalent cost for LPG or electricity. Second, natural gas is much safer than highly flammable alternatives, such as gasoline, wood and cochineal.

However, the key barrier that often prevents households reaping these benefits is the high switching costs, amounting to around US$400. Household income and consumers by strata are shown in Table 1 below, which shows that 85% of consumers connected to gas are in lower strata (1,2 and 3), with incomes of less than US$298 per month. A typical household bill for low strata consumers is about US$5/month, including the cross subsidies (without the embedded cross subsidies of about 40% for stratum 1 households, a bill would be about US$ 9). These figures indicate that gas is very affordable for the population, noting that distribution companies commonly help consumers finance connection and conversion costs through the provision of financing for periods of up to 6 years.

Table 1. Household Income and Share of Population by Economic Strata (Colombia)

Strata	1	2	3	4	5	6
Income (US$/month)	< 119	179	298	418	> 537	>870
% of total population	14.2%	28.3%	44.4%	12.4%	0.4%	0.3%
No. households with gas ('000)	501	1,296	1,185	314	129	32
% of population connected	14%	37%	34%	9%	4%	2%
	85% of consumers connected to gas are in income strata 1,2 and3					

Scheme Description:

Funding of US$4,935,000 is sought from GPOBA to provide grants to connect to the natural gas distribution network an estimated 35,000 families in the lowest income strata (1 and 2) in the Colombian Caribbean Coast, permitting their access to natural gas service. The target households cannot afford the connection fee of US$370[a] (more than 220% of their monthly income), despite

[a] Equivalent to COP$850,000

N:_GLOBAL PARTNERSHIP ON OUTPUT-BASED AID\NEW INDIVIDUAL PROJECT MANAGEMENT\Requests local distribution company financing plans up to 6 years. The proposed GPOBA subsidy would provide a 38% connection cost subsidy (equivalent to US$141 per connection). The remaining connection cost of US$229 will be financed by the local private gas distribution companies owned by Promigas, with financing plans of six years and paid by households as complement to their service bills. The companies will bear the pre-financing risk of the connections and will be re-imbursed upon verification that a connection has been made and reliable service is being delivered.

Target Consumers:

The GPOBA project will focus on the Caribbean area, given that the highest levels of unsatisfied needs, poverty and misery are present in the population living in the Caribbean Coast. Households are formed by 5 to 7 members and children are forced to work from an early age; the average family income, based on the informal economy, is less than the monthly legal minimum wage of COP$368,000 (US$168 equivalent).

OBA subsidies will be targeted in line with ongoing social protection programs and subsidies being provided following the stratified system defined in the Public Utilities Services Law. In each municipality, the strata are decided by a committee formed for the purpose according to rules issued by the National Planning Department. The target families belong to the lowest-income strata (1 and 2) in the Colombian Caribbean Coast.

The project allocates performance risks unambiguously to the incumbent utilities; by working with multiple distribution companies, the evaluation of project progress and impact will allow for extensive benchmarking and thus provides the basis for a meaningful discussion over how to scale up the approach for the sector as a whole.

The GPOBA grant is sufficient to connect around 44% of the total number of those low-income households likely to have demand for a new individual connection. There are more than 80,000 houses belonging to these strata yet to be connected, despite external gas mains present in front of 48% of these homes. The project aims at connecting 35,000 of those households. However, the design of the project is intended to provide the Colombian government with a platform for replicating the proposed scheme in other regions in the country. As findings from the evaluation of the project become available, it is envisaged to feed those into a broader policy dialogue with the government. The World Bank, which is engaged in ongoing policy dialogue, has expressed its support towards facilitating these discussions and possibly assisting the government with implementation of a scale up. As evidence comes available, a workshop will be organized with relevant government partners to create an opportunity for discussion at the national level moving towards bridging the gap to achieving universal access to gas in Colombia. The specific entities to be included in this dissemination effort will include the sector Ministry, the relevant regulatory agencies, the Accion Social Fund created at the President's office, Ministry of Planning and Ministry of Finance.

Benefits of the GPOBA Project:

The families that would benefit from the GPOBA funds currently use LPG, coal or firewood as fuel for cooking that are time consuming since LPG bottles, coal or fire-wood need to be collected when oftentimes poor households do not have transport facilities. Using such fuels they face financial, environmental and health problems, like respiratory diseases

Access to natural gas will have significant benefits as follows:

- **Health:** use of natural gas directly improves safety by reducing fire hazards and smoke-induced respiratory diseases, especially in children
- **Environment:** Natural gas also offers substantial benefits relative to fuels such as fuel oil and diesel, through far lower emissions. Depending on the type of fuel, these benefits can

N:_GLOBAL PARTNERSHIP ON OUTPUT-BASED AID\NEW INDIVIDUAL PROJECT MANAGEMENT\Requests include emissions reductions in nitrogen oxides (up to 63%); suspended particles (up to 66%); and carbon monoxide (up to 93%). Due to the replacement of firewood as fuel in the target area, it is estimated that the implementation of the project would result in preservation of up to 34 hectares of forest or mangrove swamp land

- **Finances:** For the residential sector, gas competes with LPG and electricity for cooking and water heating. LPG and electricity prices are typically 1.4 and 4 times the price of gas, respectively. Estimates (Table 2) indicate that typical residential consumers, using 20 m^3 per month in the low and high strata[b], save US$10/month and US$19/month, respectively, by using gas (without taking into account the amortization of connection costs and assuming 50:50 LPG-electricity substitution). Subsidized families will save approximately 50% of one monthly income per year from reduced energy costs resulting from access to natural gas (including payments for the subsidized connection).

  Once the connection fee is fully paid, families will save approximately 80% of one monthly income per year in reduced energy costs

Table 2. Residential Gas Consumer Savings vs. Competing Fuels (US$/consumer/month)

	50% Elec Substitution (Savings -US$/month)	50% LPG Substitution (Savings -US$/month)	Total Savings (US$/ month)
Strata 1 & 2	6.2	4.2	10.4
Strata 5 & 6	17.9	1.3	19.2

[b] The average per household consumption even for strata 1 households has been confirmed at about 20cbm/month by the government information system for the sector (Sistema Unico de Informacion de Servicios Publicos - http://www.sui.gov.co);

Ministerio de Minas y Energía
República de Colombia

Libertad y Orden

122

Bogotá, D.C.

Señora:
PATRICIA VEEVERS-CARTER
Program Manager
Global Partnership on Output-Based Aid (GPOBA)
Infrastructure Economics and Finance Department
The World Bank Group
1818 H Street Washington, DC 20433

Asunto: Proyecto presentado por la Fundación Promigas a consideración del Global Partnership on Output-Based Aid (GPOBA).

El Gobierno Colombiano tiene entre sus prioridades la masificación del servicio de gas natural domiciliario. En la actualidad la mitad de la población se beneficia de este servicio y de esos usuarios, 85% son de los estratos más bajos.

La razón por la cual este Ministerio impulsa el uso del gas natural es porque en los últimos 20 años este energético se ha convertido en el motor de un proceso de alto impacto social en el país, porque no solo genera desarrollo, sino que también representa otros beneficios como los de carácter ambiental, que aumentan el nivel de la calidad de vida de las comunidades.

El proyecto que la Fundación Promigas ha presentado a consideración del Global Partnership on Output-Based Aid (GPOBA) propone ofrecer subsidios a las conexiones del servicio de gas para los beneficiarios del estrato 1 y 2, bajo el esquema de asistencia por resultados (output-based aid).

La propuesta de la Fundación Promigas es consistente tanto con las metas de gobierno, así como con el marco legal aplicable a las empresas distribuidoras de gas participantes en la ejecución del proyecto. Por tanto, no existen impedimentos para la ejecución del proyecto, el cual cuenta con el visto bueno de este Ministerio ya que estamos convencidos que generará desarrollo y aumentará el nivel de vida de miles de familias colombianas.

Cordialmente.

Luis E Mejía

LUIS ERNESTO MEJÍA CASTRO
Ministro de Minas y Energía

[illegible]

Página 1 de 1

Centro Administrativo Nacional-CAN PBX 324 5262 www.minminas.gov.co

Annex 16. Template – Disbursement Letter

The World Bank
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT
INTERNATIONAL DEVELOPMENT ASSOCIATION

1818 H Street N.W.
Washington, D.C. 20433
U.S.A.

(202) 473-1000
Cable Address: INTBAFRAD
Cable Address: INDEVAS

Model Disbursement Letter – Trust Funds September 1, 2006
***** This general model form should ONLY be used for recipient-executed trust funds. *****

[DATE]

[Minister of Finance] 1/
[Ministry of Finance]
[Street address]
[City], [Country]

[Excellency]:

Re: Grant No. ____-___ (_______ Project) Additional Instructions: Disbursement

I refer to the Letter Agreement ("Agreement") between the [International Bank for Reconstruction and Development/International Development Association] ("World Bank"), acting as *administrator of the Global Partnership on Output-based Aid*, and [*name of recipient*] (the "Recipient") for the above-referenced project, dated _______. The Agreement provides that the World Bank may issue additional instructions regarding the withdrawal of the proceeds of Grant ____-___ ("Grant"). This letter ("Disbursement Letter"), as revised from time to time, constitutes the additional instructions.

The attached *World Bank Disbursement Guidelines for Projects*, dated May 1, 2006, ("Disbursement Guidelines") (Attachment 1), are an integral part of the Disbursement Letter. The manner in which the provisions in the Disbursement Guidelines apply to the Grant is specified below. Sections and subsections in parentheses below refer to the relevant sections and subsections in the Disbursement Guidelines and, unless otherwise defined in this letter, the capitalized terms used have the meanings ascribed to them in the Disbursement Guidelines.

I. Disbursement Arrangements

(i) Disbursement Methods (section 2). The following Disbursement Methods may be used under the Grant:

- Reimbursement
- Direct Payment

(ii) Disbursement Deadline Date (subsection 3.7). The Disbursement Deadline Date is [[1/2/3/4] months after the Closing Date] [the Closing Date] 3/ specified in the Grant Agreement. Any changes to this date will be notified by the World Bank.

(iii) Disbursement Conditions (subsection 3.8). Please refer to the Disbursement Condition(s) in the Grant Agreement.]

II. Withdrawal of Grant Proceeds

(i) Authorized Signatures (subsection 3.1).
A letter in the Form attached (Attachment 2) should be furnished to the World Bank at the address indicated below providing the name(s) and specimen signature(s) of the official(s) authorized to sign Applications:

The World Bank
[*Street address*]
[*City*], [*Country*]
Attention: [*Country Director's Name*]]

(ii) Applications (subsections 3.2 - 3.3). Please provide completed and signed (a) applications for withdrawal, together with supporting documents, [[7/]and (b) applications for special commitments, together with a copy of the commercial bank letter of credit,] to the address indicated below:

The World Bank
[*Street address / P.O. Box No.* ____]
[*City*], [*Country*]
Attention: Loan Department

[8/]***(iii) Minimum Value of Applications (subsection 3.5).*** The Minimum Value of Applications is [currency and amount]. [9/]

III. Reporting on Use of Grant Proceeds

(i) Supporting Documentation (section 4). Supporting documentation should be provided with each application for withdrawal as set out below: [18/]

- ***For requests for Reimbursement and Direct Payment****:*
    - List of outputs for the prior period prepared in accordance with the Operational Manual accompanied by the relevant Output Verification Report verified by the Independent Verification Auditor
    - TTL approval of the amount of reimbursement requested in each Withdrawal Application.

(ii) Frequency of Reporting Eligible Expenditures Paid from the Designated Account (subsection 6.3)*:* monthly/quarterly or as needed

[29/] ***([ii]) Other Supporting Documentation Instructions***

____

____

[30/] **[IV.] Other Disbursement Instructions**

____

____

[V.] Other Important Information

For additional information on disbursement arrangements, please refer to the Disbursement Handbook available on the World Bank's public website at http://www.worldbank.org and its secure website "Client Connection" at http://clientconnection.worldbank.org. Print copies are available upon request.

[31/] From the Client Connection website, you will be able to download Applications, monitor the near real-time status of the Grant, and retrieve related policy, financial, and procurement information.

[32/] *If you have not already done so, the World Bank recommends that you register as a user of the Client Connection website (http://clientconnection.worldbank.org). From this website you will be able to download Applications, monitor the near real-time status of the Grant, and retrieve related policy, financial, and procurement information. For more information about the website and registration arrangements, please contact the World Bank by email at <clientconnection@worldbank.org>.*

*If you have any queries in relation to the above, please contact [*name*], [Lead/Senior] Finance Officer at [*LOA service account email address*] using the above reference.*

Yours sincerely,

[*Name*][33/]
[Title]

Attachments [34/]
1. *World Bank Disbursement Guidelines for Projects*, dated May 1, 2006
2. Form for Authorized Signatures
3. [Form of [insert "Interim Financial Report" or "Statement of Expenditure"]]
4. [Form of Payments Against Contracts Subject to the World Bank's Prior Review]

[*Name of FO as the author of the letter*]

Cleared with and cc: [Country Lawyer]
[Task Team Leader]

Cc with copies: [Project Implementing Entity 1]
[street address]
[city], [country]
[email address]

[Project Implementing Entity 2]
[street address]
[city], [country]
[email address]

1. The letter should be sent to the person indicated in the Grant Agreement as the Recipient's Representative authorized to take any action and sign any document under the agreement, at the address specified in the agreement. Where it is

customary to add the email address following the mailing address, please insert the Recipient's email address on a line below the "[City], [Country]" line.

2. Delete the method(s) that will not be used. When lapsed loan provisions as set out in subsection 5.2 of the Disbursement Guidelines are being applied to a project, see note 17 below and exclude "Advance" from the list.
3. Use the first bracketed phrase if a period of up to 4 months after the closing date has been agreed, and insert the agreed number of months; otherwise, use the second phrase.
4. Delete this section if there are no Disbursement Conditions.
5. Use this bracketed section if the Recipient's Representative will name someone else as the signatory.
6. Use this bracketed section if a blanket authorization letter exists.
7. Include this section if Special Commitments will be used; otherwise remove it and the "(a)" in front of the word "applications".
8. Delete this section if all disbursements will be made using the Advance method.
9. If a separate Minimum Value is designated for different Disbursement Methods, list the methods and indicate the value for each.
10. Delete the entire section on Advances if this method is not going to be used. See also note 17 below.
11. If more than one Designated Account will be used, number and list the accounts under this and each subsequent bullet, identifying the requirements for each Designated Account.
12. Insert the name of the institution if it is <u>known</u>.
13. Use this bracketed text if the name of the financial institution is <u>unknown</u>.
14. Use this text if the Ceiling is based on periodic forecasts of project cash-flow needs. Insert the number of periods for which forecasts are expected; use the same period (e.g., quarter, semester, trimester) referred to in the Grant Agreement.
15. Use and adapt this text (including the percentage) if the ceiling is based on forecasts linked to the project's annual budget submissions, procurement plan, or other such document.
16. Use this text if the Ceiling is a fixed amount and fill in the currency and amount.
17. Use this text if the Advance method is not available to the project as a result of applying the lapsed loan provisions set out in subsection 5.2 of the Disbursement Guidelines.
18. Delete the sections related to Disbursement Methods that are not going to be used.
19. Use the two bullets in this bracketed text when Interim Financial Reports will be used for disbursement.
20. Use this bracketed text when Statements of Expenditure will be used for disbursement.
21. Use this bracketed text when Records must accompany all Applications for disbursement.
22. Use the three bullets in this bracketed text when Records are required for certain expenditures or contracts, and all other expenditures or contracts are covered by Statements of Expenditure.
23. Use and adapt the first bracketed text when Records are required for certain <u>types of expenditure</u>; use the second bracketed text when Records are required for payments against <u>contracts</u> of a specific value.
24. Insert the amount agreed with the Recipient. If different amounts apply to different types of expenditure, specify each of these together with a sufficient description of the expenditure type.
25. Delete this bullet if the information provided in such a list would be the same as that being provided in the first bullet.
26. Delete this section if Advances are not going to be used as a Disbursement Method.
27. Use the exact text in this bracketed section if Interim Financial Reports will be used for disbursement and delete the second bracketed section.
28. Use this bracketed section (and delete the first) if supporting documentation is in the form of Records and/or Statements of Expenditure, selecting the appropriate periodicity.
29. Use this section if other instructions regarding supporting documentation are needed (e.g., please submit bills of lading, please submit bank reconciliations). Renumber bullets as needed.
30. Use this section for any other instructions related to disbursement arrangements or methods that are not related to supporting documentation. If there are no such instructions, delete this section.
31. Insert this paragraph for Recipients who are <u>already</u> registered with Client Connection.
32. Insert this paragraph for Recipients who are <u>not</u> yet registered with Client Connection.
33. The letter should be signed by the same person who signs the Grant Agreement.
34. Delete those attachments in brackets which are not applicable. Attach those that are applicable to this letter and ensure corresponding numbering of attachments in body of letter is the same.

Attachment [2]

[Letterhead]
Ministry of Finance
[Street address]
[City] [Country]

[DATE]

The World Bank
1818 H Street, N.W.
Washington, D.C. 20433
United States of America

Attention: [Country Director]

Dear [Country Director]:

Re: Grant No. ____-___ (____________ Project)

I refer to the Grant Agreement ("Agreement") between the [International Bank for Reconstruction and Development/International Development Association] ("World Bank")], acting as [*an implementing agency of the Global Environmental Facility*] [*administrator of the Global Partnership on Output-based Aid*] [*administrator of name of the trust fund*], and [*name of recipient*] (the "Recipient"), dated _______, providing the above Grant. For the purposes of Section 3.04 (b) of the Standard Conditions, as defined in the Agreement, any [[15]one] of the persons whose authenticated specimen signatures appear below is authorized on behalf of the Recipient to sign applications for withdrawal [and applications for a special commitment] under this Grant:

[Name], [position] Specimen Signature: ____________________

[Name], [position] Specimen Signature: ____________________

[Name], [position] Specimen Signature: ____________________

Yours truly,

/ signed /

____

[Position]

[15] Instruction to the recipient when sending this letter to the World Bank: Stipulate if more than one person needs to sign Applications, and how many or which positions, and if any thresholds apply.

Annex 17. Updating project information in SAP

Instructions to review and update Project Information in SAP:

Kindly go into SAP and do the following:

- Go to Logistics, Activity Initiation, Change (AIS)
- In the Project Def. box, type **P000000** (i.e., the letter P, followed by the six numbers).
- Execute by clicking the check mark in the upper left of screen.

In the **"Change AIS"** screen, please do the following:

- Pay special attention to the Project Name.
- Review and revise all information in **white fields** of **each Tab except Funding and Approval Tabs. Please note that SAP cannot list a financing as "Grant". For the time being, GPOBA grants need to be listed as "Specific Investment Loan" (SIL).**
    - Under the Milestone tab, you will need to put the data for both the **LEN and the SPN** components separately (SPN to be best guess at this time as you are preparing the project for Grant signing). See screen capture in Figure 1. Click on the arrows next to "Activity - Perform Lending Activity" (circled in red in Figure 1 below) to navigate between the different Tabs.
    - **Please do not change information in the Funding Tab and the Approval Tabs.**
- Click the "Description" button in upper left of screen to revise task description, etc.
- Click the left arrow to save changes and to return to the "Change AIS" screen.
- Go to "Approval" tab and click "Submit for Approval" button.

Snapshot of an Activity being updated in SAP.

Annex 18. Submission Form: Disclosure of Environmental & Social Operational Documents to InfoShop

Submission Form - Disclosure of Environmental and Social Operational Documents to InfoShop	
(Note: Submit separate cover memo with each report type)	
Project ID:	Parent Project ID (if applicable):
Country:	Region: AFR EAP ECA (Press Ctrl key for multiple selections)
Full Project Title (no acronyms):	
Task Team Leader:	Ext. & MSN #:
Appraisal mission date:	Board date:
Type of report submitted with this cover memo:	Select One
Report date:	
EA Category:	A B C FI
Format of document submitted:	CD-ROM Hard Copy PDF Ver 1.3 * Word * * Note: Files larger than 5 MB must be submitted in hard copy or CD Rom format. Click here for more info.
Language of document:	English
Funding Source:	IBRD
Report Status: (Please be specific)	Draft Revised Draft Final Revised Final
Previous Submission Date for report being submitted	Project ID Parent Project ID
Number of volumes submitted, if multiple:	
If multiple, list each title here:	(List each title as indicated on the report(s) on a separate line.)
Has this document been disclosed in-Country? Yes No If Yes, please specify date: Location:	

For all category A, B and FI projects, EA reports must be sent to the InfoShop prior to authorization to appraise. The same disclosure rule applies to Resettlement Plans and Indigenous Peoples Plans. For further resources, consult the Disclosure Policy, Operational Manual, and/or Safeguard Policies, Click here for MIGA Environment and Disclosure Policies.

(For InfoShop use only*)
Date received: --
Staff Name & Signature:
Report number assigned: --
* The InfoShop will forward a completed copy of this memo form to the TTL or designated staff listed above.

- Click here for Safeguard Document Submission guidelines to the InfoShop.
- For further assistance, contact the Infoshop Hotline (x84500) or the Safeguards Helpdesk (x32001).

(Revised Form - March 2008)

Print / Save