NILE BASIN INITIATIVE (NBI) WITH LAKE VICTORIA BASIN COMMISSION (LVBC) and NILE BASIN DISCOURSE (NBD)

Nile Cooperation for Climate Resilience (NCCR) Project

World Bank ID-P172848

Project Implementation Manual (PIM)
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<td>AO</td>
<td>Administrative Officer</td>
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<tr>
<td>AWP</td>
<td>Annual Work Plan</td>
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<td>BOQ</td>
<td>Bills of Quantity</td>
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<td>CB</td>
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<td>CMP</td>
<td>Contract Monitoring Plan</td>
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<td>DC</td>
<td>Direct Contracting</td>
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<td>Eastern Nile Subsidiary Action Program</td>
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<td>Eastern Nile Technical Regional Office</td>
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<td>ESMF</td>
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<td>LVBC</td>
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<td>MER</td>
<td>Monitoring, Evaluation &amp; Reporting</td>
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<td>NCB</td>
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<td>NEL</td>
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<td>NELSAP CU</td>
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<td>NGO</td>
<td>Non-Governmental Organization</td>
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<td>Nile DSS</td>
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<td>HBWP</td>
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<td>NBI Centre Procurement Specialist</td>
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<td>Non expendable Property</td>
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<td>UNDB</td>
<td>United Nations Development Business</td>
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<td>UPS</td>
<td>Uninterruptible Power Supply</td>
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<td>PA</td>
<td>Project Account</td>
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<td>Project Appraisal Document</td>
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<td>PCC</td>
<td>Project Component Coordinator</td>
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<td>Project Development Objective</td>
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<td>PIM</td>
<td>Project Implementation Manual</td>
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<td>PPP</td>
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<td>Standard Bid Document</td>
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<td>SIDC</td>
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<tr>
<td>SMART</td>
<td>Specific, Measurable, Achievable/Attributable, Relevant/Realistic, Time-bound</td>
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<td>STEP</td>
<td>Systematic Tracking of Exchanges in Procurement</td>
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<td>Specific Procurement Notices</td>
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<td>TACs</td>
<td>Technical Advisory Committees</td>
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<td>TOR</td>
<td>Terms of Reference</td>
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<tr>
<td>TQAC</td>
<td>Technical Quality Assurance and Control</td>
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<tr>
<td>Symbol</td>
<td>Description</td>
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<tr>
<td>UNCITRAL</td>
<td>United Nations Commissions on International Trade Law</td>
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<td>USD</td>
<td>United States Dollar</td>
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<td>WB</td>
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Part A: OVERVIEW AND INSTITUTIONAL IMPLEMENTATION
ARRANGEMENTS

1. Introduction

The Nile Basin Initiative (NBI) is a regional intergovernmental partnership of 10 Nile Basin countries, namely Burundi, DR Congo, Egypt, Ethiopia, Kenya, Rwanda, South Sudan, The Sudan, Tanzania and Uganda. It was established on 22 February, 1999, by Ministers in charge of Water Affairs in the Nile Basin countries to work towards a Shared Vision Objective: To achieve sustainable socio-economic development through the equitable utilization of, and benefit from, the common Nile Basin water resources. The shared belief is that countries can achieve better outcomes for all the peoples of the Basin through cooperation rather than competition. At the heart of this challenge is the imperative to eradicate poverty. NBI provides the Member States with the only basin wide and impartial platform to discuss with trust and confidence how to jointly take care of and utilize the shared Nile Basin water resources for win-win socio-economic benefits and to promote regional peace and security.

The Nile Council of Ministers (Nile-COM) of Water Affairs in the NBI Member States is the highest decision-making body and provides policy guidance to the NBI. The Nile Technical Advisory Committee (Nile-TAC), comprising technical representatives from the partner states offers technical support and advice to the Nile-COM on matters related to the management and development of the common Nile Basin water resources.

Professional day to day management of the NBI is by three centers namely a regional Secretariat, the Nile Basin Initiative Secretariat (Nile-SEC) located in Entebbe, Uganda; the Eastern Nile Technical Regional Office (ENTRO) based in Addis Ababa, Ethiopia and the Nile Equatorial Lakes Subsidiary Action Program Coordination Unit (NELSAP-CU) based in Kigali, Rwanda. In each country, the National NBI Office headed by the respective Nile-TAC member serves as the focal point for all NBI-related activities.

To achieve the Shared Vision Objective, NBI implements three core functions:

Facilitating Basin Cooperation
This function is undertaken to provide a common platform for countries to engage, consult and deliberate with each other and other Nile stakeholders on a regular basis. It aims to build broad political and civic support for transboundary water cooperation in the basin.

Water Resource Management
This function provides critical services in building basin wide technical competencies and capabilities and supporting science/knowledge-based decision making to monitoring, protecting and sustaining the Nile water resources.

Water Resources Development
This function mainly focuses on identification and preparation of cooperative water resources investments that demonstrate to the basin population the benefits accruing from cooperation.
The **Lake Victoria Basin Commission (LVBC)** is a specialized institution of the East African Community (EAC) located in the City of Kisumu, Republic of Kenya. The Commission is mandated to coordinate sustainable development and management of the Lake Victoria Basin. LVBC is a regional institution of the East Africa Community (EAC) comprising of Burundi, Kenya, Rwanda, South Sudan, Tanzania and Uganda. The Lake Victoria Basin is a sub-Basin of the Nile Basin, and therefore LVBC and NBI complements each other in the development agenda with its specific focus on the Lake, which is the source of the White Nile. Its core costs are supported by equal contributions from EAC partner states, and project implementation is primarily financed by financiers.

The **Nile Basin Discourse (NBD)** is a network of Civil Society Organizations (CSOs) established in 2003 with the support of development partners to strengthen civil society participation in Nile Basin development. It is an independent network of over 600 member organizations spread throughout the Nile Basin. Its member organizations are local and national CSOs/NGOs working on a range of development issues relevant to Nile cooperation. The members form national level chapters referred to as Nile Discourse Forums (NDFs) in each of the eleven riparian states. NBD is coordinated by a regional Secretariat based in Entebbe, Uganda. NBD secretariat is comprised of a small professional staff that coordinates the network, supports project implementation, and handles procurement and financial management.

**The Nile Cooperation for Climate Resilience (NCCR) Project**

The NCCR project is a World Bank supported Project of US $ 30 Million grant to NBI as the Recipient entity. NCCR project commenced on 15th March, 2021. The project development objective is to improve mechanisms for cooperation on water resources management and development in the Nile Basin. It will cover the Nile basin countries namely Burundi, Democratic Republic of Congo (DRC), Eritrea, Ethiopia, Kenya, Rwanda, South Sudan, Sudan, Tanzania, and Uganda. NCCR project will be implemented by NBI through its three centres namely Nile-SEC, ENTRO and NELSAP-CU, EAC-LVBC and NBD. The project funding total of US$30 million will be implemented in one phase. The closing date for NCCR is November 30th, 2025 hence the NCCR project has a duration of approximately five (5) years.

Mechanisms for cooperation in NCCR project refer to the tools, data, analyses, or processes to facilitate and inform regional cooperation on water resources management and development issues. These include tools and processes related to hydro-met services; water quality data collection; climate-resilient planning; flood and drought monitoring; processes for investment identification; water quality investment planning; water allocation tradeoff; irrigation modernization; dam safety; information services; and policy guidance.

Water resources management and development are the processes of planning, developing, and managing water resources – in terms of both water quantity and quality across all water uses. It includes the institutions, infrastructure, incentives, and information systems that support and guide climate-resilient water management. Water management and development are inherently linked and are therefore defined as one term.

The NCCR project has five parts (components) summarized as follows:

Component 1. **Advancing Nile Basin-Wide Cooperation led by Nile-SEC**

Providing support to Nile-SEC in facilitating basin-wide cooperation and information services for regional water resource management in various ways including:
(a) Strengthening the platform for basin-wide cooperation, through the provision of capacity building activities for stakeholders; platforms for stakeholder dialogue; and communication activities to promote cooperation.

(b) Enhancing NBI’s information services for climate-resilient investment planning by developing a regional data platform and tools to improve data quality and utilization, capacity building of key NBI stakeholders (NBI offices, key governments and other institutions) on the utilization of such platform and tools; and provision of equipment to strengthen NBI’s information infrastructure.

(c) Enhancing availability and use of water quality data for investment planning, through *inter alia* upgrading water quality monitoring capacity in members states (including through the provision of equipment); preparing water quality maps and investment prioritization models for pollution hotspots; and capacity building activities for government agencies on water quality monitoring and awareness-raising activities.

This part will be implemented by Nile -SEC based in Entebbe, Uganda.

**Component 2. Improving Mechanisms for Cooperation in the Nile Equatorial Lakes (NEL) Region led by NELSAP CU**

Providing support to NELSAP in advancing cooperative water management and development actions on flood mitigation, dam safety, water quality and cooperation in the NEL region by:

(a) Advancing the platform for regional dialogue between governments and provision of capacity building activities to government agencies to enhance technical skills and understanding in the area of water management cooperation.

(b) Strengthening regional information systems, tools and plans for flood risk mitigation by developing a flash flood early warning system, providing capacity building to government agencies on flood emergency response planning, and supporting the identification of risk areas as well as risk mitigation investment planning.

(c) Supporting the development of a dam safety capacity building program to strengthen the institutional capacity of the member states and as a risk management tool for dams.

(d) Supporting water quality investment identification and prioritization in the member states by enhancing processes and tools for identification, evaluation, and investment planning of pollution hotspots.

This part will be implemented by NELSAP through its coordinating unit (NELSAP- CU) based in Kigali, Rwanda.

**Component 3. Improving Mechanisms for Cooperation in the Eastern Nile led by ENTRO**

Providing support to Eastern Nile Technical Regional Office (ENTRO) for advancing cooperative water management and development actions on flood and drought risk mitigation, dam safety and cooperation in the Eastern Nile region by:
(a) Advancing the platform for regional dialogue between governments and provision of capacity building activities to government agencies to enhance technical skills and understanding in the area of water management cooperation.

(b) Strengthening regional information systems, tools, and plans for flood and drought mitigation, including enhancing the regional flood forecast and early warning system and developing a drought monitoring system.

(c) Supporting the development of a dam safety capacity building program aimed at strengthening the institutional capacity of the member states and as a risk management tool for dams.

(d) Supporting water quality investment identification and prioritization in the member states by enhancing processes and tools for identification, evaluation, and investment planning of pollution hotspots.

This part will be implemented by ENSAP through its technical office (ENTRO) based in Addis Ababa, Ethiopia.

Component 4. Water Quality in the Lake Victoria Sub-Basin led by LVBC

Providing support to LVBC in promoting harmonization on water quality management policies in the NEL region by carrying out an assessment of such policies and preparing an action plan for implementation of coordinated water quality management practices.

This part will be implemented by EAC-LVBC based in Kisumu, Kenya.

Component 5. Enhancing Stakeholder Engagement in the Nile Basin led by NBD

Providing support to NBD in promoting stakeholder engagement to improve cooperation and understanding of water-related issues in ways such as carrying out awareness-raising and capacity building activities for civil society organizations in addition to stakeholder mapping and information dissemination for the flood and drought warning system under Parts 2 and 3 of the Project.

This part will be implemented by NBD based in Entebbe, Uganda.

The NCCR’s five components are financed as follows: (i) Advancing Nile Basin-Wide Cooperation (US$ 9.5 million), (ii) Improving Mechanisms for Cooperation in the Nile Equatorial Lakes (NEL) Region (US$ 9.5 million), (iii) Improving Mechanisms for Cooperation in the Eastern Nile (US$ 9.5 million), (iv) Water Quality in the Lake Victoria Sub-Basin (US$ 0.75 million) and (v) Enhancing Stakeholder Engagement in the Nile Basin (US$ 0.75 million).

2. Overview of The Project Implementation Manual (PIM)

This PIM synthesizes critical NCCR project operational and implementation requirements, processes, and procedures. It highlights and communicates specific operational processes and requirements including their linkages or deviation, as the case may be, to existing NBI as well as LVBC and NBD.
operational guidelines. It has been designed to enable NBI, LVBC and NBD to meet their legal obligations and commitments related to the NCCR project and to facilitate the planning, execution and close-out of NCCR project within the stipulated implementation scope, budget, time and specified standards. The goal is to ensure that NCCR project takes off in a smooth and timely manner and that it is subsequently implemented on time, within scope, and as per the cost table or disbursement plan according to the set technical quality expectations.

The PIM also provides guidance on roles and responsibilities of institutions and key implementing individuals in carrying out their duties in key areas of NCCR project implementation. These key areas are:

(i) Project management
- To summarize the NCCR project financial, procurement, social, environmental, project management frameworks that enhance overall compliance with the NCCR project legal agreement
- Help all executing and oversight key stakeholders in NBI to better understand NCCR project management and implementation framework;
- Provide guidance, templates and links to assist NCCR project executing staff with information for efficient and effective NCCR project start-up, implementation and close-out processes;

(ii) Institutional responsibilities for implementation
- To highlight NCCR project personnel structure, key obligations and roles from an operational perspective while articulating linkages with NCCR project implementing staff whether based at the NBI centres or Project Implementing Entities i.e., EAC/Lake Victoria Basin Commission (LVBC) and Nile Basin Discourse (NBD);
- To highlight, throughout, important additional organizational elements that are critical for enabling NCCR project operations through the project life cycle and thereby facilitate compliance with the NCCR project legal agreement/s and professional project management practice.

(iii) Fiduciary responsibilities
(iv) Results monitoring, evaluation and learning
(v) Risk assessment and good governance
(vi) Environmental and social safeguards

This document is the Project Implementation Manual for use primarily by all the implementing agencies (NBI Centres – Nile-SEC, NELSAP CU, and ENTRO) and entities (LVBC and NBD) for NCCR project. It is issued as a working set of procedures to be revised or adopted in consultation with the World Bank.

The PIM is divided into 4 key parts namely:

**Part A** which provides an overview of NCCR project and related implementation arrangements. Key sections in this part include the following: Introduction to the NCCR project, an overview of this PIM and the institutional structure and work arrangements not limited to roles of the implementing agencies and entities, NBI NCCR project governance and implementation structure.

**Part B** focusses on key cross-cutting functions specifically as related to NCCR project grant agreement requirements and specific additional World Bank/IDA guidelines including how they
interface with the NBI, LVBC and NBD Operational procedures. Key sections in this part include: financial management, procurement, project administrative support, ICT and contract management.

**Part C** distils the technical project management framework for successfully delivery of NCCR project. Key sections include the project management arrangement, annual work planning and budgeting, environmental and social standards, monitoring, reporting and learning, technical quality assurance and control, project communication and eventual project close-out.

The fourth part is the **Annex** that provides the links to key World Bank guidelines, tools and templates and a format for the training workshops facilitation concept.

As the need arises, it may be revised to address emerging issues in line with consented World Bank project support mission Aide Memoires during subsequent project implementation. Further, this document will be updated, over time, to be consistent with changes related to applicable World Bank policy and procedures, as well as changes in the project legal agreements and implementation arrangements as the case may be.
3. Institutional Structure & Work Arrangements

The NCCR project grant agreement is signed by the Executive Director of Nile-SEC on behalf of NBI, the NCCR project grant Recipient. Nile-SEC as the secretariat of NBI is therefore the primary agency responsible for grant management, overall NCCR project coordination, results reporting, and ensuring compliance with the legal agreement. Nile-SEC is responsible for the coordination of the NCCR project activities between the NBI Centers and the Project Implementing Entities (IEs) namely EAC-LVBC and NBD to support the achievement of project results.

The NBI organizational structure includes: three centers, the Nile-SEC in Uganda, the ENTRO in Ethiopia\(^1\), and the NELSAP CU\(^3\) in Rwanda; National NBI Offices in each country; Advisory Committees; and Technical Working Groups for flood, dam safety and other topics on a project or country basis.

The Bank has also signed project agreements with EAC-LVBC and NBD on the implementation of the NCCR project grant activities.

EAC-LVBC and NBD will also sign subsidiary agreements with the NBI and will be responsible for the implementation of components of NCCR project specified prior (PIM Part A section 1) and here below.

The three NBI centers (Nile-SEC, ENTRO, NELSAP-CU), the EAC-LVBC, and the NBD will each lead the implementation of a single component of the NCCR Project as follows:

**Component 1.** Advancing Nile Basin-Wide Cooperation will be implemented by Nile-SEC;

**Component 2.** Improving Mechanisms for Cooperation in the Nile Equatorial Lakes (NEL) Region will be implemented by NELSAP-CU;

**Component 3.** Improving Mechanisms for Cooperation in the Eastern Nile will be implemented by ENTRO;

**Component 4.** Water Quality in the Lake Victoria Sub-Basin will be implemented by EAC-LVBC and

**Component 5.** Enhancing Stakeholder Engagement in the Nile Basin will be implemented by NBD.

3.1 Recipient, NBI Centres and Implementing Entities

1. There is one Recipient Entity for NCCR project namely NBI. Nile-SEC is the secretariat for NBI and therefore the coordinating entity for NCCR project on behalf of NBI.

2. A Project Implementing Entity (IE) is the non-NBI legal entity that signed the NCCR project legal agreement and has the overall mandate of delivering the specified component of the NCCR project. As per the NCCR project agreement, they are specifically designated as EAC-LVBC and NBD.

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1 Nile-SEC is the Nile Secretariat in which all the members of NBI are part. The Nile-SEC governance is made up of the NBI’s ten Member States. Egypt is currently not taking part in the activities of NBI

2 ENTRO Member States are Egypt, Ethiopia, South Sudan and the Sudan. ENTRO’s governance is made up of the ENTRO Member States.

3 NELSAP-CU is focused on the Nile Equatorial Lakes (NEL) region but is governed by NELCOM which is made up of all the NBI ten membership countries.
3. There are three NBI centres namely Nile-SEC, ENTRO and NELSAP-CU. The NBI centres are therefore not referred to as IEs in the NCCR project GA and in this PIM.

4. There are two Implementing Entities (IEs) for NCCR project namely EAC-LVBC and NBD.

5. NBI is the grant management entity for the NCCR project grant agreement with the World Bank. Nile-SEC will prepare required subsidiary agreements to be signed between NBI and the IEs for NCCR project.

6. The NBI Centres and the IEs will form teams of specifically designated existing, hired staff or specialists (consultants) to implement the NCCR project.

**The Recipient – Overview, Roles and Responsibilities**

1. Responsibilities of NBI as the NCCR project grant recipient include overall NCCR project management, coordination, facilitation, procurement and financial management, technical quality oversight, day to day project monitoring, social and environmental safeguards oversight, and strategic project communication in line with NBI set protocols, developing the consolidated NCCR project annual work plan, budget and reports.

2. NBI Centres are responsible for facilitating the carrying out of all NCCR project activities, for monitoring and reporting on project progress, and for working with IEs to resolve issues and constraints for timely and efficient implementation of the project based on approved PAD, PIM, AWP, and Budget.

**3.2 NBI Centres Overview, Roles and Responsibilities**

1. Each NBI centre and Implementing Entity will lead the implementation of the designated NCCR project component/part as stipulated prior. An NBI centre or Implementing Entity shall designate or hire staff as necessary to fulfil its legal obligations in the realization of the NCCR project.

2. NBI Centres may support each other and IEs as necessary in areas of capacity building based on core competences and demand to aid in the effective and efficient delivery of respective NCCR project components and fulfillment of related legal agreements as required.

3. NCCR project implementing teams at NBI centres and Implementing Entities shall comprise of a team of personnel appointed by respective institutions. NBI centres and Implementing Entities are responsible for the implementation of all the project activities in their component. These include but are not limited to component annual and activity work planning, component reporting, procurement, contract management, enabling the implementation of social and environmental safeguards instruments, etc.
Roles of NBI Centres, EAC-LVBC and NBD as Implementers for Designated NCCR Project

Parts/Components

1. The NBI Centres, EAC-LVBC and NBD are responsible for day-to-day project planning, implementation and reporting in relation to their NCCR project component. They are specifically responsible for the following:

   a. Executing the signed subsidiary and or project agreements as applicable.

   b. Preparing the Annual work plan based on the cost and disbursement tables for the respective NCCR project component. This shall be consistent with the content of the Project Appraisal Document, Bank support mission Aide Memoires and the agreements.

   c. Engaging formally approved contracts for the execution of the component and facilitating required implementation support through approved channels in the NBI Centre, EAC-LVBC or NBD as applicable.

   d. Participating in updating of this PIM at critical agreed-upon junctures with the World Bank or when necessary.

   e. Preparing the Annual Work budgets, training plan, procurement plans and disbursement forecasts in agreed formats and timelines for seeking No Objection from World Bank in relation to these documents.

   f. Mobilizing the human and material resources necessary for the execution of the approved Annual Work Plan on scope, within budget, on schedule, and as per technical quality standards for the implementation of NCCR project at NBI Centres, EAC-LVBC or NBD as applicable.

   g. Executing the Annual Work Program and managing contracted additional implementation support at NBI Centres, EAC-LVBC or NBD as applicable for NCCR project.

   h. Preparing all documents needed for the procurement of consultants, non-consulting services, works and goods (as per legal and subsidiary agreement); development of contracts; preparing disbursement requests and submitting all required documents for World Bank No objection clearance in line with agreed thresholds on behalf of the NBI Centre, EAC-LVBC or NBD as applicable for NCCR project.

   i. Coordinating MER (Monitoring, Evaluation & Reporting) inputs, outputs and outcomes according to the Results Framework, and providing information on time and in the format agreed as necessary.

   j. Preparing commensurate activity reports, quarterly progress reports and financial reports against the Work Program, and Budgets, all according to a timeline and formats agreed.

   k. Keeping all component key stakeholders abreast of implementation progress and emerging issues for timely resolution in relation to NCCR project part implementation at the NBI Centre, EAC-LVBC or NBD as applicable.
1. Preparation and submission of IFRs, other financial reports, and responding to on-spot financial checks and audits in relation to NCCR project part implementation at the NBI Centre, EAC-LVBC or NBD as applicable.

3.3 NCCR Project Governance & Implementation Structure

1. The Head of Basin-wide Program (HBWP) will coordinate and manage NCCR project on day-to-day basis at Nile-SEC. S/he is to be granted a high degree of autonomy to ensure efficient implementation of the NCCR project and to apply rules, criteria, and procedures agreed with the World Bank.

2. The designated NCCR project Component Coordinators at NELSAP – CU and ENTRO will also manage respective sub-projects i.e., NCCR project components based at the NBI centres. The component Coordinators will coordinate and manage NCCR project on day-to-day basis working closely with their NCCR project staff. Each component project coordinator shall be granted a high degree of autonomy to ensure efficient implementation of the NCCR project and to apply rules, criteria, and procedures agreed with the World Bank.

3. The NCCR staff cadres at NBI Centres will include those who are seconded, independently hired individual consultants (ICs), and nationally hired project administrative & support staff as the case may be for each NCCR project part. Some staff may be designated on part time basis in line with NCCR project needs for specified job tasks.

3. ICs will be hired based on World Bank-approved terms of references and per NBI approved rates for individual consultants as applicable for the NCCR project component.

4. Nationally hired project administrative & support contract staff will be hired in instances where the NBI Centre is unable to offer the NCCR project-required administrative and support services. Their contract hire terms will be as per NBI terms and conditions for contract staff. This will be contingent on the availability of a World Bank approved NCCR project budget to cover their costs.

5. Figure 1 shows the NCCR project governance structure and NBI centres NCCR project staffing structure their placement and linkages with other NBI centres and project implementing entities (IEs).

6. A Project Steering Committee (PSC) that is headed by the designated Chairperson of Nile-TAC that will also comprise of the Nile-SEC, ENTRO Executive Directors and NELSAP- CU Regional Coordinator along with the Heads of the IEs namely EAC-LVBC and NBD is to be formed.

7. The PSC will be responsible for strategic oversight, approving proposed harmonized payment rates on new/emerging NCCR project operational cost rate needs, addressing strategic cross-institutional relational matters that may inhibit NCCR project results, reviewing overall NCCR project and specific project component performance, providing strategic advice and support on necessary Nile basin institutional and legal water resources management and development policy advice, and undertaking high-level strategic communication to ensure the successful delivery of NCCR project. The PSC will convene at least twice each year.
NBI Centres **backstopping** functional staff (part-time basis) corporate services (finance, procurement, administration, HR, ICT, communication) etc. and technical services Internal audit will provide assurance and insight on the risk management, internal control, and governance processes.

EAC-LVBC, Commission Staff which will be involved in NCCR Component 4 activities as is in project agreement (PC, Finance and Procurement). In addition to IT for Communication, IWRM-PC and WR-Modeller who will Participate in the WQ technical working group, M & E officer in Project Monitoring activities, Budget officer to present NCCR Work plan WP & Budget to the EAC -LVBC Sectoral Council of Minister for approval and PDO in oversight project tasks with Executive Secretary ES, and others will be involve as tasks require.

**Figure 1: NCCR Project Governance and NCCR Project Team Structure**

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7. The NCCR project governance and staff structure is intended to help realize the following benefits:

(i) Synchronize work arrangements for the realization of results, outputs, and milestones within timelines for the NCCR project;

(ii) Coordinate the execution of activities with clear individual and team responsibilities;

(iii) Provide the layout for technical implementation, quality assurance, and control through peer review of outcomes among concerned NBI centre members supporting the execution of each component;

(iv) Enhanced and focused contribution towards overall NCCR project management deliverables such as the PIM, AWPs, Budgets, Procurement Plans, contract management plans, and technical reports not limited to Quarterly and Annual Reports.

8. Respective NBI Centres will have the following staff at a minimum to implement the NCCR project in addition to the respective NCCR Project team leaders (HBWP, Component Coordinators):

   a. **Nile-SEC**: Financial Management, Procurement, Monitoring, evaluation and reporting (MER), Information Technologies (IT), Capacity Building & Stakeholder Engagement (CB), Communication and Hydrologist (water quality) and internal Auditor.

   b. **NELSAP-CU**: Financial Management, Procurement, Water Quality, shared Environmental and Social Safeguards, Monitoring & Reporting, Project Administration.

   a. **ENTRO**: Financial Management, Procurement, Dam Safety Engineer, Capacity Building, Disaster & Risk Reduction, Monitoring & Reporting, Project Administration and Internal Auditor.

**NOTE**: Each NBI centre shall ensure availability of the above staff at a minimum through any of the following options as determined:

1. Designate a qualified existing NBI staff to undertake a particular above cited job as applicable on full/part time basis.
2. Procure a qualified individual consultant to undertake a particular above cited job as applicable on full /part time basis.
3. Procure a qualified consulting firm to undertake a set of particular cited jobs on full/part time basis.

**3.4 NBI Centres, EAC-LVBC, NBD NCCR Project Team Work Arrangement**

1. NBI, EAC-LVBC, and NBD team to implement NCCR project will have inter-connected work arrangement types for the purposes of streamlining and fast-tracking planning, implementation and reporting within each NBI centre and across NBI centres as applicable.
2. Each Component Coordinator is responsible for providing critical operational direction in line with the overall project objective, implementation design and result areas.

3. The scope of work for each NCCR project staff is defined by the Terms of Reference (for IC hires) or a job description (for respective NBI centre, LVBC, NBD administration/support contract hires), as the case may be. The individual staff shall be personally liable for ensuring they perform against the individual performance framework and in contributing towards the overall NCCR project objectives and result areas.

4. Some staff for NCCR project shall be termed as Cross-Cutting Specialists. These are specialists who, in line with their technical expertise, also support or interact with some or all the NBI centres, EAC-LVBC and NBD on account of particular support for various components in the project. They include the following:
   - Monitoring, Evaluation & Reporting (MER)
   - Communication Specialist and Gender Focal Point
   - Capacity Building & Stakeholder Engagement
   - Financial Management Specialist
   - Procurement Specialist
   - IT Specialist

The cross-cutting experts take part in ensuring smooth and timely project planning, implementation, and reporting in their area of expertise in relevant components. They also undertake the following duties:

- **a.** Support NBI to fulfil its NCCR project coordinating obligations in the specialist’s area of expertise through timely response to support requests by NBI Centres, EAC-LVBC and NBD.

- **b.** Provide support to NBI Centres, EAC-LVBC and NBD in the planning and implementation of relevant components by integrating the relevant cross-cutting function standards in the key project activities for the relevant component.

- **c.** Support the NBI Centres, EAC-LVBC and NBD to meet set Mission targets and AWP based results in the specialist’s areas of expertise.
### 3.5 Nile-SEC NCCR Project Team List & Summary Roles

<table>
<thead>
<tr>
<th>Position</th>
<th>Summary Key Role</th>
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<tbody>
<tr>
<td><strong>NBI HBWP</strong></td>
<td>The HBWP will be in charge of the overall day-to-day NCCR project management including liaising with the World Bank Team Leader; keeping PSC and Nile-SEC ED abreast of emerging issues; creating linkages with Nile-SEC backstopping functions; technical leadership for Component 1 of NCCR project; performance monitoring and support supervision of Nile-SEC implementation team including coordinators in NBI centres and EAC-LVBC and NBD; formal submission to World Bank of all required project documents and act as secretary and convenor of NCCR PSC meetings. S/he is the strategic NBI contracts manager for all NCCR project Nile-SEC contracts; authoriser of all NCCR project financial and procurement items in line with the approved threshold; leads AWP and budget preparation, execution, and reporting; is the strategic responder to high level inquiry on NCCR project Bank requirements in Nile-SEC; ensures NCCR project legal agreements are complied with by all implementing staff and key stakeholders. Is also the convenor of Nile-SEC, Nile-SEC- ENTRO/NELSAP-CU /EAC-LVBC, and NBD team meetings, and other key meetings for the NCCR project organized at Nile-SEC level.</td>
</tr>
<tr>
<td><strong>Water Quality Specialist</strong></td>
<td>Provides water quality inputs towards the delivery of component 1; provides technical water quality control and assurance support for NCCR project as a cross-cutting specialist; prepares water quality write-ups and documentation for delivery of NCCR project result areas; provides water quality capacity building support as guided by CB specialist; provides water quality inputs for all other NCCR project components as relevant; prepares and submit monthly performance reports; advises the HBWP on water quality issues; supports the preparation of consolidated quarterly and annual project reports on water quality activities and results and supports project water quality-related contract management.</td>
</tr>
<tr>
<td><strong>Information Technology Specialist</strong></td>
<td>Provides information technology inputs towards the delivery of component 1; provides technical IT quality control and assurance support for NCCR project as a cross-cutting specialist; prepares IT-related write-ups and documentation for delivery of project result areas; provides IT capacity building support as guided by CB specialist; provides IT inputs for all other project components as relevant; prepares and submit monthly performance reports; advice HBWP on IT issues in the project; supports the preparation of consolidated quarterly and annual NCCR project reports on IT-related activities and results; supports project IT-related contract management.</td>
</tr>
<tr>
<td><strong>Capacity Building &amp; Stakeholder Engagement Specialist</strong></td>
<td>Provides capacity building, institutional development, gender and stakeholder engagement inputs towards the delivery of components 1 &amp; 2; provides technical CB and stakeholder engagement quality control and assurance support for NCCR project as a cross-cutting specialist; prepares capacity building and stakeholder engagement write-ups and documentation for delivery of project result areas; provides capacity building support throughout NCCR project including for other Nile-SEC specialists; prepares and submit monthly performance reports; advice HBWP on CB and stakeholder engagement</td>
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<td>Role</td>
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<tr>
<td>Communication Specialist &amp; Gender Focal Point</td>
<td>Provides advice on how to enhance NBI’s information services with a special focus on NCCR project result areas; prepares all project communication products; coordinates technical communication content delivery input by NBI centres and IEs teams; leads in project branding plan implementation; conducts communication review of all Nile-SEC level documents including Nile-SEC workshop delivery documents; prepares project communication templates, builds Nile-SEC staff capacity on project communication standards; prepares Nile-SEC ED required write-ups and strategic presentations on the project working closely with HBWP; prepares and submits monthly performance reports; advises HBWP on communication issues; supports the preparation of consolidated quarterly and annual project reports through communication reviews and inputs; supports any communication-related procurement and contract management in NCCR project; Is responsible for organizing key NCCR project events and activity status video recording and camera shoots etc. and preparation of NCCR project photo gallery. In his or her role as the Gender Focal Person, he/she will support implementation of the NBI Gender Mainstreaming Strategy including meeting the NCCR Project requirements.</td>
</tr>
<tr>
<td>Monitoring, Evaluation, Reporting &amp; Gender Focal Point</td>
<td>Leads in implementation of NCCR project MER plan for data collection and reporting on the delivery of results framework; prepares and effects the project MER system; is the project technical knowledge management focal point; prepares and effects the project reporting schedule; prepares project work planning schedules; data collection and reporting tools and templates; leads the preparation of annual work plans for the project; consolidates the annual project work plan and budget for onward submission to HBWP; leads the preparation of quarterly and annual reports for the project; prepares PSC presentation and reports in support of HBWP; consolidates the annual project work plan and budget for onward submission to HBWP; updates the project results framework and avails regular information and data to HBWP; brings to the attention of HBWP emerging MER issues; builds NBI centres and IEs teams’ capacity on MER with support from the CB specialist; supports project MER-related procurement and contract management; supports HBWP in convening bi-weekly Nile-SEC team meetings and monthly NCCR project meetings including minute taking; supports HBWP in updating/preparing IDA post-mission Aide Memoire key action progress reports for the project; organizes Nile-SEC monitoring site visits including for PSC and data collection; facilitates communication support for video and photo capturing during monitoring site visits.</td>
</tr>
<tr>
<td>Procurement Specialist</td>
<td>Provides World Bank procurement-related advice in NCCR project; leads in the preparation of consolidated procurement plan, procurement monitoring plans and contract management plans; ensures availability and circulation of requisite World Bank standard procurement templates, tools, and information in the project; builds Nile-SEC procurement supporting team capacity on World Bank requirements for procurements; leads in executing the NCCR project Nile-SEC procurement plan; is the custodian of NCCR project Nile-SEC procurement documents; Is responsible for updating NCCR project procurement requirements into the World Bank procurement system.</td>
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<td>Leads the implementation of Nile-SEC procurement monitoring plan; provides guidance to HBWP on the constitution of evaluation committees; supports orientation of procurement evaluation committees on World Bank requirements; acts as the secretary in preparation of procurement evaluation reports working closely with supporting Nile-SEC technical specialists; advises Nile-SEC on the preparation of procurement evaluators long list; leads the preparation of quarterly and annual procurement reports for inclusion in project consolidated reports including PSC presentations; leads in preparation of project procurement contracts at Nile-SEC as per set threshold; and ensures inputs from all key functions in contract development not limited to finance, human resources, relevant Nile-SEC specialists, etc. at Nile-SEC; supports HBWP by flagging all Nile-SEC project contract performance management and closing issues; keeps and updates the database of project contracts across all components; is the day-to-day focal point link with Nile-SEC procurement supporting staff for the project and may supervise those seconded on a full/part-time basis to NCCR procurement team.</td>
<td>领导实施尼莱-SEC采购监测计划；提供给HBWP关于评估委员会的设立指导；支持尼莱-SEC在合同开发中的培训内容和逻辑支持；建议尼莱-SEC在合同评审员的准备和交付方面的工作；与尼莱-SEC相关人员密切合作，负责合同管理的季度和年度报告；确保 inputs from all key functions in contract development not limited to finance, human resources, relevant Nile-SEC specialists, etc. at Nile-SEC; supports HBWP by flagging all Nile-SEC project contract performance management and closing issues; keeps and updates the database of project contracts across all components; is the day-to-day focal point link with Nile-SEC procurement supporting staff for the project and may supervise those seconded on a full/part-time basis to project finance team.</td>
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### 3.6 ENTRO NCCR Project Team List & Summary Roles

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<tr>
<th>Position</th>
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<th>Summary Key Role</th>
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<tbody>
<tr>
<td><strong>NCCR Project Component Coordinator (PCC)</strong></td>
<td></td>
<td>The PCC will be in charge of the overall day-to-day NCCR project component at the NBI centre including liaising with the HBWP; keeping PSC and ENTRO ED abreast of emerging issues; creating linkages with ENTRO NCCR project backstopping functions; technical leadership for Component 3 of NCCR project; performance monitoring and support supervision of ENTRO NCCR project implementation team; oversight and formal submission to World Bank through Nile-SEC of all required project documents. S/he is the strategic ENTRO contracts manager for all NCCR project ENTRO issued contracts; approver of all NCCR project financial and procurement items in line with the approved threshold at ENTRO; leads ENTRO NCCR project AWP and budget preparation, execution, and reporting; is the strategic responder to ENTRO level critical inquiry on NCCR project Bank requirements ; ensures NCCR project legal agreements are complied with by all implementing staff and key stakeholders in Eastern Nile region as relevant. Is also the convenor of ENTRO NCCR project team meetings, and other key meetings for the NCCR project organized at Eastern Nile region.</td>
</tr>
<tr>
<td><strong>Flood and drought Coordinator</strong></td>
<td>Provides disaster risk reduction (DRR) inputs focusing on floods and drought towards the delivery of NCCR project component 3; supports capacity building for flood risk mitigation investment planning (coordinated with component 2) ; initiates and prepares as the user procurement requests and documents for riverine flood forecast early warning system for EN region and acts as the contract manager for such contracts when issued; prepares DRR write-ups and documentation for delivery of NCCR project component 3 result areas; provides technical inputs to enhance floor forecast models for EN region; prepares and submit monthly performance reports; advices the PCC on DRR issues in Eastern Nile region; supports the preparation of consolidated quarterly and annual NCCR reports on DRR activities and results and supports NCCR project component 3 DRR related contract management. Supports information dissemination platforms and capacity building for flood risk mitigation investment planning (coordinated with Component 2); leads (i) enhancement of riverine Flood Forecast and Early Warning (FFEW) System for the EN region; and (ii) development and operationalization of a Basin-wide drought monitor.</td>
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<tr>
<td><strong>Dam Safety Specialist</strong></td>
<td>Provides all dam safety inputs towards the delivery of component 2 and 3 including: Component 3 - working closely with CB Specialists including of Nile-SEC will propose and effect a methodology to conduct an assessment of the legal and institutional frameworks for dam safety in the Nile Basin; leads the development of a model national regulatory framework, which will cover standards for new dam development and safety of existing dams in the Nile Basin; leads the establishment of a regional dam safety training center to strengthen national dam safety units and build up a cadre of dam safety professionals in the East Africa region working closely with the CB</td>
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Specialists; prepares and effects Basin-wide technical guidelines based on good practices examples and development of new guidelines on key topics such as the safety of small dams in participatory manner; strengthens coordinated approach to dam safety;

Component 2 – develop a dam safety capacity building program in the NEL region focused on strengthening the institutional environment for dam safety and improving the information base that is essential for the development and management of dams in the Nile Basin; support interested NEL-region Member States in establishing national dam safety units, which will serve a regulatory function with regards to dam safety; strengthen national dam safety units in the NEL region through hands-on training; develop a geo-referenced inventory of dams in the Nile Basin that describes their key characteristics (including size, purpose, ownership, etc.); and (iv) support the development of a tiered risk management framework for dams in the Nile Basin; prepares dam safety related write-ups and documentation for delivery of NCCR project result areas; prepares and submit monthly performance reports; advice PCCs on dam safety issues in NCCR project; supports the preparation of consolidated quarterly and annual NCCR project reports on dam safety activities and results; supports NCCR project dam safety related contract management.

<p>| Capacity Building Specialist | Provides capacity building and stakeholder engagement inputs towards the delivery of component 3; focusing primarily on inputs towards providing flood and drought risk services, strengthening dam safety, and continuing to strengthen the network of youth and professionals in the sub-basin. S/he will work with NBD to conduct a stakeholder mapping exercise and formulate a stakeholder engagement strategy for DRR products to enhance the usability of the flood and drought risk mitigation tools; prepares youth and young professionals capacity building write-ups and documentation for delivery of NCCR component 3 result areas; prepares and submit monthly performance reports; advice PCC on CB and stakeholder engagement issues in Eastern Nile in relation to NCCR project; supports the preparation of consolidated quarterly and annual NCCR project reports on CB and stakeholder engagement activities and results at ENTRO; supports ENTRO NCCR project CB related procurement and contract management; consolidates the ENTRO NCCR project training plan for inclusion in the AWP and budget; reviews and provides in-house inputs on all ENTRO NCCR project component 3 training workshop facilitation concepts before submission to PCC for in-house ENTRO level no-objections. |
| Procurement Specialist | Provides World Bank procurement-related advice in NCCR project at ENTRO; leads in the preparation of ENTRO NCCR project procurement plan, procurement monitoring plans and contract management plans; ensures availability and circulation of requisite World Bank standard procurement templates, tools, and information at ENTRO; builds ENTRO procurement supporting team capacity on World Bank requirements for procurements; leads in executing the NCCR project ENTRO procurement plan; is the custodian of NCCR project ENTRO procurement documents; Is responsible for submitting to Nile-SEC for onward updating NCCR project procurement requirements into the World Bank procurement system. Leads the implementation of ENTRO procurement monitoring plan; provides guidance to PCC on the constitution of evaluation committees; supports orientation of |</p>
<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
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<tbody>
<tr>
<td>Financial Management Specialist</td>
<td>Provides World Bank financial management-related advice in NCCR project at ENTRO; leads in the preparation of ENTRO project annual budgets, financial reports, and disbursement requests; ensures availability and circulation of requisite World Bank standard financial disbursement and reporting templates, tools, and information at ENTRO. Builds ENTRO financial management supporting staff capacity on World Bank requirements on financial management; leads in executing the project approved budgets; is the custodian of ENTRO project financial management documents; is the day-to-day focal point link with Nile-SEC finance and accounting supporting staff for the NCCR project, and may supervise those seconded on full/part-time basis to project finance team. Leads timely payments for project work done by vendors, suppliers, service providers, ENTRO staff, external consultants, and other participating project key stakeholders at ENTRO; provides inputs in the development of ENTRO NCCR project contracts; may support the orientation of procurement evaluation committees on World Bank requirements at ENTRO. Prepares all required in-house financial reports including those based on World Bank finance systems; facilitates internal and external audits for the NCCR project at ENTRO; supports PCC by flagging all project financial management issues for action; is the custodian of all ENTRO NCCR project financial documents and NCCR financial documents consolidation for NCCR project closeout.</td>
</tr>
<tr>
<td>Project Administrative Officer</td>
<td>Provides all ENTRO NCCR project administrative and logistical support; facilitates training workshops preparations and delivery in terms of administration and logistics working closely with procurement, finance, and technical ENTRO focal points; supports ENTRO HR on ENTRO NCCR project team onboarding and exit procedures; supports PCC on submission and tracking of all World Bank submitted No objection approvals (via Nile-SEC); ensures availability of project office supplies and goods; supervises administrative support staff in project; liaises with ENTRO backstopping team on project asset management and security; coordinates facilitation for ENTRO staff and key stakeholders’ travel and accommodation arrangements.</td>
</tr>
<tr>
<td>Role</td>
<td>Responsibilities</td>
</tr>
<tr>
<td>---------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>M&amp;E Specialist</td>
<td>Leads in coordination of NCCR project MER plan for data collection and reporting on the delivery of results framework for ENTRO; prepares and effects the project MER system; is the project technical knowledge management focal point; prepares and effects the project reporting schedule; prepares project work planning schedules; data collection and reporting tools and templates; leads the preparation of annual work plans for the project; consolidates the annual project work plan and budget for onward submission to SRPC; leads the preparation of quarterly and annual reports for the project; prepares PSC presentation and reports in support of SRPC; consolidates the annual project work plan and budget for onward submission to SRPC; updates the project results framework and avails regular information and data to SRPC; brings to the attention of SRPC emerging MER issues; supports project MER-related procurement and contract management; supports SRPC in convening bi-weekly ENTRO team meetings and monthly NCCR project meetings including minute taking; supports SRPC in updating/preparing IDA post-mission Aide Memoire key action progress reports for the project; organizes ENTRO monitoring site visits including for PSC and data collection; facilitates communication support for video and photo capturing during monitoring site visits.</td>
</tr>
<tr>
<td>IT Specialist</td>
<td>Provides information technology inputs towards the delivery of component 3; provides technical IT quality control and assurance support for NCCR project as a cross-cutting specialist; prepares IT-related write-ups and documentation for delivery of project result areas; provides IT capacity building support as guided by CB specialist; provides IT inputs for all other project components as relevant; prepares and submit monthly performance reports; advice SRPC on IT issues in the project; supports the preparation of consolidated quarterly and annual NCCR project reports on IT-related activities and results; supports project IT-related contract management.</td>
</tr>
<tr>
<td>Other support staff</td>
<td>Roles to be defined in specific job descriptions on a case-by-case basis.</td>
</tr>
</tbody>
</table>
### 3.7 NELSAP-CU NCCR Project Team List & Summary Roles

<table>
<thead>
<tr>
<th>Position</th>
<th>Summary Key Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>NCCR Project Component Coordinator (PCC)</td>
<td>The PCC will be in charge of the overall day-to-day NCCR project component at the NBI centre including liaising with the HBWP; keeping PSC and NELSAP-CU ED abreast of emerging issues; creating linkages with NELSAP-CU NCCR project backstopping functions; technical leadership for Component 2 of NCCR project; performance monitoring and support supervision of NELSAP-CU NCCR project implementation team; oversight and formal submission to World Bank through Nile-SEC of all required project documents. S/he is the strategic NELSAP-CU contracts manager for all NCCR project NELSAP-CU issued contracts; approver of all NCCR project financial and procurement items in line with the approved threshold at NELSAP-CU; leads NELSAP-CU NCCR project AWP and budget preparation, execution, and reporting; is the strategic responder to NELSAP-CU level critical inquiry on NCCR project Bank requirements; ensures NCCR project legal agreements are complied with by all implementing staff and key stakeholders in Nile Equatorial region as relevant. Is also the convener of NELSAP-CU NCCR project team meetings, and other key meetings for the NCCR project organized at Nile Equatorial Lake region.</td>
</tr>
<tr>
<td>Water Quality Specialist /Consultant</td>
<td>Shared between ENTRO and NELSAP-CU. Provides water quality inputs towards the delivery of components 2 and 3 specifically: Work with member states in the NEL region to identify water quality hotspots and identify and prioritize investments using multi-criteria decision analysis models not limited to (i) pre-screening of high-pollution areas and baseline water quality modeling for hotspots identified by member states; (ii) facilitating a collaborative process with member states to develop a multi-criteria analysis (MCA) for each hotspot which integrates technical evaluation criteria with values or weights based on policy priorities to identify water-quality investment goals and examine alternative options which address these goals; and (iii) support for water quality investment planning and prioritization based on the MCA; coordinate with ENTRO on identifying and undertaking MCA in hotspots in the EN region; prepares water quality write-ups and documentation for delivery of NCCR result areas for NELSAP-CU and ENTRO; prepares and submit monthly performance reports; advises the PCCs on water quality issues; supports the preparation of consolidated quarterly and annual NCCR reports on water quality activities and results and supports NCCR water quality-related contract management under NCCR project components 2 and 3.</td>
</tr>
<tr>
<td>Regional Dam Safety Coordinator for the NEL Region</td>
<td>Provides all dam safety inputs towards the delivery of component 2, thematic area 3: dam safety capacity building including in the Nile Equatorial Lakes Region. Work closely with ENTRO to develop dam safety capacity building program in the NEL region focused on strengthening the institutional environment for dam safety and improving the information base that is essential for the development and management of dams in the Basin. Specifically: (i) support NEL Member states in</td>
</tr>
</tbody>
</table>
establishing national dam safety units, which will serve a regulatory function with regards to dam safety; (ii) strengthen national dam safety units through hands-on training; (iii) develop a geo-referenced inventory of dams in the Basin that describes their key characteristics (including size, purpose, ownership, etc.); and (iv) support the development of a tiered risk management framework for dams in the Basin. The development of the tiered risk management approach will be an opportunity to identify information gaps on the safety condition of dams in the Basin and inform a program of dam safety assessments, enabling member countries to make informed decisions on prioritization of risk reduction measures.

| Water Resources Officer (GIS/Modeller) | Provides inputs for development of the early warning system focusing on flash floods towards the delivery of NCCR project component 2; supports capacity building for flood risk mitigation investment planning (coordinated with component 3); initiates and prepares as the user procurement requests and documents for flash flood early warning system for NEL region and acts as the contract manager for such contracts when issued; prepares flash flood early warning system write-ups and documentation for delivery of NCCR project component 2 result areas; prepares and submit monthly performance reports; advises the PCC on flash floods issues in the NEL region; supports the preparation of consolidated quarterly and annual NCCR reports on flash floods activities and results and supports NCCR project component 2 flash floods related contract management.|
| Information, Communication & Technology Officer | Provides information technology inputs towards the delivery of component 2; provides technical IT quality control and assurance support for NCCR project as a cross-cutting specialist; prepares IT-related write-ups and documentation for delivery of project result areas; provides IT capacity building support; provides IT inputs for all other project components as relevant; prepares and submit monthly performance reports; advice PCC on IT issues in the project; supports the preparation of consolidated quarterly and annual NCCR project reports on IT-related activities and results; supports project IT-related contract management.|
| Communication Specialist | Provides advice on how to enhance NBI’s information services with a special focus on NCCR project result areas; prepares all project communication products; coordinates technical communication content delivery input by NBI centres and IEs teams; leads in project branding plan implementation; conducts communication review of all NELSAP-CU level documents including NELSAP-CU workshop delivery documents; prepares project communication templates, builds NELSAP-CU staff capacity on project communication standards; prepares NELSAP-CU Regional Coordinator required write-ups and strategic presentations on the project; prepares and submits monthly performance reports; advises PCC on communication issues; supports the preparation of consolidated quarterly and annual project reports through communication reviews and inputs; supports any communication-related procurement and contract management in NCCR project; Is responsible for |
organizing key NCCR project events and activity status video recording and camera shoots etc. and preparation of NCCR project photo gallery.

<table>
<thead>
<tr>
<th>Role</th>
<th>Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monitoring, Evaluation &amp; Reporting Specialist</td>
<td>Leads in implementation of NCCR project MER plan for data collection and reporting on the delivery of results framework; prepares and effects the project MER system; is the project technical knowledge management focal point; prepares and effects the project reporting schedule; prepares project work planning schedules; data collection and reporting tools and templates; leads the preparation of annual work plans for the project; consolidates the annual project work plan and budget for onward submission to PCC; leads the preparation of quarterly and annual reports for the project; prepares PSC presentation and reports in support of PCC; consolidates the annual project work plan and budget for onward submission to PCC; updates the project results framework and avails regular information and data to PCC; brings to the attention of PCC emerging MER issues; builds NELSAP-CU teams capacity on MER; supports project MER-related procurement and contract management; supports PCC in convening bi-weekly NELSAP-CU team meetings and monthly NCCR project meetings including minute taking; supports PCC in updating/preparing IDA post-mission Aide Memoire key action progress reports for the project; organizes NELSAP-CU monitoring site visits including for PSC and data collection; facilitates communication support for video and photo capturing during monitoring site visits.</td>
</tr>
<tr>
<td>Social Safeguards Specialist</td>
<td>Shared with ENTRO, placement of this staff is to be determined by NBI. Support, manage and co-ordinate the project’s safeguards to ensure the implementation of the Environmental and Social Commitment Plan (ESCP), evaluate needed updates as necessary, provide all procurement and contract management support processes for the preparation and application of required environmental and social standards/ safeguards instruments such as Environmental and Social Framework (ESF) including the establishment of an appropriate national level structures with relevant institutions for implementation of NCCR project; support establishment of a Grievance Redress Mechanism/ feedback mechanism and advising the NBI centres and key stakeholders in the best practice of monitoring and reporting on the social and environmental impact of the NCCR project; initiate capacity building and training activities to ensure the principles and procedures for Environmental and Social Framework (ESF) are well understood and complied with by project stakeholders; act as quality controller for safeguards by advising/guiding the consultants contracted in effecting EIAs on appropriate Bank standards; lead in conducting environmental and social safeguards screening in NCCR project; support the NBI centres in the co-ordination, management and implementation of the project safeguards in compliance with the Social and Environmental Standards (SES) to ensure full compliance with Bank guidelines; support the NBI centres in the development and rolling out of a safeguards monitoring and reporting system against the Environmental and Social Framework (ESF) provisions; support the national institutions in various components to achieve the maximum safeguards efficiency in specific project activities; support the NCCR project to ensure that safety and health concerns of the workers and the general public are addressed during installation of hydro-met stations or any other relevant project works as applicable; support to ensure the...</td>
</tr>
</tbody>
</table>
timely and accurate consolidation of ESF related information of relevant project procurement activities prior to submission for bid documentation preparation;

Develop the project grievance redress/feedback mechanism and design the complaints registers for NBI centres using an established methodology in consultation; co-ordinate the formation of Grievance Redress Committees before the commencement of any identified potentially impactful activities to resolve issues; act as the focal point on Grievance Redress and facilitate the resolution of issues while supporting the establishment and training of a selected focal person within the NBI to handle Grievance Redress issues and facilitate the resolution of issues; technically support the NBI in creating awareness of the Grievance Redress Mechanism amongst all the stakeholders through public awareness campaigns; and support dissemination of information to the concerned local communities as proposed in the framework; develop a system to document information on grievances and redress and progress for monthly/quarterly reporting.

**Procurement Specialist**

Provides World Bank procurement-related advice in NCCR project at NELSAP-CU; leads in the preparation of NELSAP-CU NCCR project procurement plan, procurement monitoring plans and contract management plans; ensures availability and circulation of requisite World Bank standard procurement templates, tools, and information at NELSAP-CU; builds NELSAP-CU procurement supporting team capacity on World Bank requirements for procurements; leads in executing the NCCR project NELSAP-CU procurement plan; is the custodian of NCCR project NELSAP-CU procurement documents;

Leads the implementation of NELSAP-CU procurement monitoring plan; provides guidance to PCC on the constitution of evaluation committees; supports orientation of procurement evaluation committees on World Bank requirements; acts as the secretary in preparation of procurement evaluation reports working closely with supporting NELSAP-CU and other relevant NBI NCCR technical specialists; advises NELSAP-CU on the preparation of procurement evaluators long list; leads the preparation of quarterly and annual procurement reports for inclusion in project consolidated reports including PSC presentations; leads in preparation of project procurement contracts at NELSAP-CU as per set threshold; and ensures inputs from all key functions in contract development not limited to finance, human resources, relevant NELSAP CU and NBI NCCR specialists; supports PCC by flagging all NELSAP-CU project contract performance management and closing issues; keeps and updates the database of project contracts in NELSAP CU; is the day-to-day focal point link with NELSAP-CU procurement supporting staff for the project and may supervise those seconded on a full/part-time basis to NCCR procurement team.

**Finance & Administration Manager**

Provides World Bank financial management-related advice in NCCR project at NELSAP-CU; leads in the preparation of NELSAP-CU project annual budgets, financial reports, and disbursement requests; ensures availability and circulation of requisite World Bank standard financial disbursement and reporting templates, tools, and information at NELSAP-CU.

Builds NELSAP-CU financial management supporting staff capacity on World Bank requirements on financial management; leads in executing the project approved...
<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Administrative Officer</td>
<td>Provides all NELSAP-CU NCCR project administrative and logistical support; facilitates training workshops preparations and delivery in terms of administration and logistics working closely with procurement, finance, and technical NELSAP-CU focal points; supports NELSAP-CU HR on NELSAP-CU NCCR project team onboarding and exit procedures; supports PCC on submission and tracking of all World Bank submitted No objection approvals (via Nile-SEC); ensures availability of project office supplies and goods; supervises administrative support staff in project; liaises with NELSAP-CU backstopping team on project asset management and security; coordinates facilitation for NELSAP-CU staff and key stakeholders' travel and accommodation arrangements.</td>
</tr>
<tr>
<td>M&amp;E Specialist</td>
<td>Leads in coordination of NCCR project MER plan for data collection and reporting on the delivery of results framework for NELSAP CU; prepares and effects the project MER system; is the project technical knowledge management focal point; prepares and effects the project reporting schedule; prepares project work planning schedules; data collection and reporting tools and templates; leads the preparation of annual work plans for the project; consolidates the annual project work plan and budget for onward submission to Program Officer (PO), WR Mgt and Devt; leads the preparation of quarterly and annual reports for the project; prepares PSC presentation and reports in support of PO WR Mgt and Devt, consolidates the annual project work plan and budget for onward submission to PO WR Mgt and Devt; updates the project results framework and avails regular information and data to PO WR Mgt and Devt; brings to the attention of PO WR Mgt and Devt; emerging MER issues; supports project MER-related procurement and contract management; supports PO WR Mgt and Devt in convening bi-weekly NELSAP CU team meetings and monthly NCCR project meetings including minute taking; supports PO WR Mgt and Devt in updating/preparing IDA post-mission Aide Memoire key action progress reports for the project; organizes NELSAP CU monitoring site visits including for PSC and data collection; facilitates communication support for video and photo capturing during monitoring site visits.</td>
</tr>
</tbody>
</table>
| IT Specialist | Provides information technology inputs towards the delivery of component 3; provides technical IT quality control and assurance support for NCCR project as a
cross-cutting specialist; prepares IT-related write-ups and documentation for delivery of project result areas; provides IT capacity building support as guided by CB specialist; provides IT inputs for all other project components as relevant; prepares and submit monthly performance reports; advice PO WR Mgt and Devt on IT issues in the project; supports the preparation of consolidated quarterly and annual NCCR project reports on IT-related activities and results; supports project IT-related contract management.

**Other support staff**
Roles to be defined in specific job descriptions on a case-by-case basis.

### 3.8 LVBC NCCR Project Team List & Summary Roles

<table>
<thead>
<tr>
<th>1. NCCR Project Component Coordinator</th>
</tr>
</thead>
<tbody>
<tr>
<td>The PCC will be in charge of the overall day-to-day NCCR project component at LVBC including liaising with the HBWP; keeping PSC and LVBC ES abreast of emerging issues; creating linkages with LVBC NCCR project backstopping functions; technical leadership for Component 4 of NCCR project; performance monitoring and support supervision of LVBC NCCR project implementation team; oversight and formal submission to World Bank through Nile-SEC of all required project documents. S/he is the strategic LVBC contracts manager for all NCCR project LVBC issued contracts; approver of all NCCR project financial and procurement items in line with the approved threshold at LVBC; leads LVBC NCCR project AWP and budget preparation, execution, and reporting; is the strategic responder to LVBC level critical inquiry on NCCR project Bank requirements; ensures NCCR project legal agreements are complied with by all implementing staff and key stakeholders in Lake Victoria region as relevant. Is also the convener of LVBC NCCR project team meetings, and other key meetings for the NCCR project organized at Lake Victoria Basin Commission.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. SA, Financial Management specialist (FM) for NCCR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provides World Bank financial management-related advice in NCCR project at LVBC; leads in the preparation of LVBC project annual budgets, financial reports, and disbursement requests; ensures availability and circulation of requisite World Bank standard financial disbursement and reporting templates, tools, and information at LVBC. Builds LVBC financial management supporting staff capacity on World Bank requirements on financial management; leads in executing the project approved budgets; is the custodian of LVBC project financial management documents; Is the day-to-day focal point link with Nile-SEC finance and accounting supporting staff for the NCCR project, and may supervise those seconded on full/part-time basis to project finance team. Leads timely payments for project work done by vendors, suppliers, service providers, LVBC staff, external consultants, and other participating project key stakeholders at LVBC; provides inputs in the development of LVBC NCCR project contracts; may support the orientation of procurement evaluation committees on World Bank requirements at LVBC. Prepares all required in-house financial reports including those based on World Bank finance systems; facilitates internal and external audits for the NCCR project at LVBC; supports PCC by flagging all project financial management issues for action; is the custodian of all LVBC NCCR project financial documents and NCCR financial documents consolidation for NCCR project closeout.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. Senior Procurement Officer SPO _ For NCCR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provides World Bank procurement-related advice in NCCR project at LVBC; leads in the preparation of LVBC NCCR project procurement plan, procurement monitoring plans and contract management plans; ensures availability and circulation of requisite World Bank</td>
</tr>
<tr>
<td>Position</td>
</tr>
<tr>
<td>--------------------------</td>
</tr>
<tr>
<td>M &amp; E Officer</td>
</tr>
<tr>
<td>Integrated Water Resources Mgt. Coordinator</td>
</tr>
<tr>
<td>Budget Officer</td>
</tr>
<tr>
<td>Project Development Officer PDO</td>
</tr>
<tr>
<td>WR-Modeller</td>
</tr>
<tr>
<td>IT Administrative Officer</td>
</tr>
</tbody>
</table>
consolidated quarterly and annual NCCR project reports on IT-related activities and results; supports project IT-related contract management.

3.9 NBD NCCR Project Team List & Summary Roles

1. Project Coordinator

The PCC will be in charge of the overall day-to-day NCCR project component at NBD including liaising with the HBWP; keeping PSC and NBD PSC Chair abreast of emerging issues; creating linkages with NBD NCCR project backstopping functions; technical leadership for Component 4 of NCCR project; performance monitoring and support supervision of NBD NCCR project implementation team; oversight and formal submission to World Bank through Nile-SEC of all required project documents.

S/he is the strategic NBD contracts manager for all NCCR project NBD issued contracts; approver of all NCCR project financial and procurement items in line with the approved threshold at NBD; leads NBD NCCR project AWP and budget preparation, execution, and reporting; is the strategic responder to NBD level critical inquiry on NCCR project Bank requirements; ensures NCCR project legal agreements are complied with by all implementing staff and key stakeholders in Nile Basin region as relevant. Is also the convener of NBD NCCR project team meetings, and other key meetings for the NCCR project organized at Nile Basin Discourse.

2. Financial Management specialist (FM) for NCCR

Provides World Bank financial management-related advice in NCCR project at NBD; leads in the preparation of NBD project annual budgets, financial reports, and disbursement requests; ensures availability and circulation of requisite World Bank standard financial disbursement and reporting templates, tools, and information at NBD.

Builds NBD financial management supporting staff capacity on World Bank requirements on financial management; leads in executing the project approved budgets; is the custodian of NBD project financial management documents; Is the day-to-day focal point link with Nile-SEC finance and accounting supporting staff for the NCCR project, and may supervise those seconded on full/part-time basis to project finance team.

Leads timely payments for project work done by vendors, suppliers, service providers, NBD staff, external consultants, and other participating project key stakeholders at NBD; provides inputs in the development of NBD NCCR project contracts; may support the orientation of procurement evaluation committees on World Bank requirements at NBD.

Prepares all required in-house financial reports including those based on World Bank finance systems; facilitates external audits for the NCCR project at NBD; supports PCC by flagging all project financial management issues for action; is the custodian of all NBD NCCR project financial documents and NCCR financial documents consolidation for NCCR project closeout.

3. Procurement Officer _ For NCCR

Provides World Bank procurement-related advice in NCCR project at NBD; leads in the preparation of NBD NCCR project procurement plan, procurement monitoring plans and contract management plans; ensures availability and circulation of requisite World Bank standard procurement templates, tools, and information at NBD, builds NBD procurement supporting team capacity on World Bank requirements for procurements; leads in executing the NCCR project NBD procurement plan; is the custodian of NCCR project NBD procurement documents;
Leads the implementation of NBD procurement monitoring plan; provides guidance to PCC on the constitution of evaluation committees; supports orientation of procurement evaluation committees on World Bank requirements; acts as the secretary in preparation of procurement evaluation reports working closely with supporting NBD and other relevant NBI NCCR technical specialists; advises NBD on the preparation of procurement evaluators long list; leads the preparation of quarterly and annual procurement reports for inclusion in project consolidated reports including PSC presentations; leads in preparation of project procurement contracts at NBD as per set threshold; and ensures inputs from all key functions in contract development not limited to finance, human resources, relevant NBD and NBI NCCR specialists; supports PCC by flagging all NBD project contract performance management and closing issues; keeps and updates the database of project contracts in NBD; Is the day-to-day focal point link with NBD procurement supporting staff for the project and may supervise those seconded on a full/part-time basis to NCCR procurement team.

| 4. M &E Officer | Leads in coordination of NCCR project MER plan for data collection and reporting on the delivery of results framework for NBD; prepares and effects the project MER system; is the project technical knowledge management focal point; prepares and effects the project reporting schedule; prepares project work planning schedules; data collection and reporting tools and templates; leads the preparation of annual work plans for the project; consolidates the annual project work plan and budget for onward submission to Project Coordinator, leads the preparation of quarterly and annual reports for the project; prepares PSC presentation and reports in support of Project Coordinator, consolidates the annual project work plan and budget for onward submission to the Coordinator; updates the project results framework and avails regular information and data to the Coordinator; brings to the attention of coordinator emerging MER issues;; supports project MER-related procurement and contract management; supports Coordinator in convening bi-weekly NBD team meetings and monthly NCCR project meetings including minute taking; supports Coordinator in updating/preparing IDA post-mission Aide Memoire key action progress reports for the project; organizes NBD monitoring site visits including for PSC and data collection; |

### 3.8 Working Arrangements between NBI Centres, EAC-LVBC and NBD Team Members

For NCCR to be successful, it is important that lines of work across various NCCR implementing staff including their backstopping counterparts are harmonious and commonly working towards NCCR project results.

The following overall working principles shall be applied to ensure cordial and result-oriented working relations between frontline NCCR project designated team and backstopping colleagues.

1. Timely and regular information sharing on important issues while keeping all relevant NBI staff in the communication loop through emails, open door communication policy and focused necessary small team meetings or consultations, etc.

2. Individual proactivity in seeking clarity and in following up with other staff for the realization of results and set timelines.
3. Providing performance feedback in person to the concerned team member and only escalating the matter to Component Project Coordinator in case of repeated lack of timely response.

4. Providing performance feedback and requesting follow on support about particular backstopping staff to the supervisor of the staff through Component Project Coordinator.
PART B: CROSS-CUTTING FUNCTIONS

1.0 Financial Management Framework

1.1 Overview
NBI has a financial and accounting system in place to safeguard the funds entrusted to it including by World Bank (IDA). NBI maintains a controlled environment that emphasizes the importance of internal controls over financial processes, as well as the integrity and ethical values of management and staff. Under an effective control environment, NBI specialists and backstopping staff should view internal control as essential and integral to doing their day-to-day job duties. EAC-LVBC and NBD as well have financial and accounting systems with adequate controls, and staff with ethical values and integrity required for the project.

The ability to provide accurate, complete, and timely financial information will enable NBI to comply with World Bank rules and regulations and their grant reporting requirements, as well as adhere to generally accepted accounting principles.

The content of this section provides an overview of NCCR project aligned financial management framework that meets the NCCR project grant agreement requirements.

Please refer to respective NBI Centres, EAC-LVBC and NBD Finance Manual for detailed guidance for any other NCCR project financial management and accounting policies as applicable.

In the event of any conflict, discrepancy, contradiction, or inconsistency between this PIM and respective NBI Centres, EAC-LVBC and NBD Finance Manual, the guidance contained in the PIM which is based on the NCCR project grant legal agreement should be accepted as the definitive guidance for NCCR project.

1.2 General Arrangement and key roles
Each of the three NBI centers will have its own designated account and will be responsible for managing fiduciary matters related to its implementation of the designated NCCR project component.

EAC-LVBC and NBD will each sign a subsidiary agreement with NBI, as the overall responsible Recipient agency. They will also have operational accounts linked to the Designated Account held by Nile-SEC.

The matrix below depicts the key financial management roles to be played by each NBI centre.

<table>
<thead>
<tr>
<th>Key Financial Management Role</th>
<th>RESPONSIBLE NBI CENTRE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Nile-SEC</td>
</tr>
<tr>
<td>NCCR project funds draw down from World Bank</td>
<td>✓</td>
</tr>
<tr>
<td>Financial decision and control for respective NCCR project</td>
<td>✓</td>
</tr>
<tr>
<td>components</td>
<td></td>
</tr>
<tr>
<td>Financial planning for respective NCCR project components</td>
<td>✓</td>
</tr>
<tr>
<td>Financial planning for NCCR project</td>
<td>✓</td>
</tr>
<tr>
<td>Allocation and utilization of financial resources for respective NCCR project components</td>
<td>✓</td>
</tr>
<tr>
<td>-----------------------------------------------</td>
<td>---</td>
</tr>
<tr>
<td>Cash flow management for respective NCCR project components</td>
<td>✓</td>
</tr>
<tr>
<td>Preparation for Financial Reports (IFRs) for NCCR project</td>
<td>✓</td>
</tr>
<tr>
<td>Submission of Financial Reports (IFRs) for NCCR project components to World Bank</td>
<td>✓</td>
</tr>
<tr>
<td>Accounts Payables and Accounts Receivables</td>
<td>✓</td>
</tr>
<tr>
<td>Risk Management and internal controls for respective NCCR project components</td>
<td>✓</td>
</tr>
</tbody>
</table>

### 1.3 Financial Management Principles

The financial and accounting summary framework for NCCR is designed to ensure the following:

- All General Ledger entries are accurate and complete;
- All transactions are coded based on the approved Chart of Accounts;
- All entries are made on time within five (5) business days of the underlying accounting event to ensure the financial records and reporting are current;
- Each NBI Centres, EAC-LVBC and NBD level transaction and entry on NCCR project is authorized in formal communication by the Component Project Coordinator as the official designated in the Nile-SEC / ENTRO / NELSAP/EAC-LVBC and NBD as signature authority for NCCR project as applicable;
- All entries are supported by adequate documentation that clearly shows the justification and authorization for a transaction; and,
- A complete audit trail is maintained by the use of reference codes from source documentation to the books of original entry, General Ledger, and finally to periodic reporting.

Measures in place to ensure the integrity of financial data and information for NCCR project at the NBI Centres shall include the following:

- Quarterly risk based Internal reviews will be conducted by Nile-SEC/ENTRO/NELSAP-CU/EAC-LVBC and NBD to provide objective assurance and insight on the effectiveness and efficiency of risk management, internal control, and governance processes
- There will be restricted access to financial information of NCCR project;
- Regular back-ups of electronic financial and accounting files will be done by Nile-SEC/ENTRO/NELSAP-CU/EAC-LVBC/NBD IT Specialist as applicable and,
- There will be minimum cash on hand in Nile-SEC/ENTRO/NELSAP-CU/EAC-LVBC/NBD as applicable, where available it will be in a secured location for petty cash purposes.

All NCCR team members are expected to conduct all activities morally, ethically, and in the spirit of...
public accountability and transparency, in conformity with applicable national laws, regulations, and practices common with responsible legal organizations over and above the World Bank rules on NCCR project. Specifically,

- No funds or assets are to be used for any unlawful or improper purpose.
- No contributions are to be made for political purposes.
- No payments, gratuities, or gifts are to be made directly or indirectly, to any official, employee, or other Government or any Government agency except as provided for in Nile-SEC or specially approved for in the NCCR project for instance via Rates for Daily Training Allowances.
- Financial data required to be submitted to World Bank must be accurate, complete, and current and must be prepared with applicable grant requirements.
- No payments should be solicited or received by project staff or relative of project staff from a vendor or other NBI Centres, EAC-LVBC and NBD specialist or service provider or supplier, vendors or service providers.
- All financial transactions are to be accounted for accurately and properly. No undisclosed or unrecorded funds or assets are to be established or maintained for any purpose.
- Payments/cash transactions are to be made only into and from NCCR project approved bank accounts.
### 1.4 Allowable Costs

As per the NCCR legal agreement, the following are the allowed cost categories in the project.

<table>
<thead>
<tr>
<th>Category</th>
<th>Amount of the Grant Allocated (expressed in USD)</th>
<th>Percentage of Expenditures to be Financed (Inclusive of Taxes)</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1a)- Goods, works, non-consulting services, consulting services, Training and Operating Costs under Part 1 of the Project-Nile-SEC</td>
<td>9,500,000</td>
<td>100%</td>
</tr>
<tr>
<td>(1b)- Goods, works, non-consulting services, consulting services, Training and Operating Costs under Part 2 of the Project -NELSAP</td>
<td>9,500,000</td>
<td>100%</td>
</tr>
<tr>
<td>(1c)- Goods, works, non-consulting services, consulting services, Training and Operating Costs under Part 3 of the Project -ENTRO</td>
<td>9,500,000</td>
<td>100%</td>
</tr>
<tr>
<td>(2) Consulting services, Training and Operating Costs under Part 4 of the Project-LVBC</td>
<td>750,000</td>
<td>100%</td>
</tr>
<tr>
<td>(3) Consulting services, Training and Operating Costs under Part 5 of the Project-NBD</td>
<td>750,000</td>
<td>100%</td>
</tr>
<tr>
<td><strong>TOTAL AMOUNT</strong></td>
<td><strong>30,000,000</strong></td>
<td></td>
</tr>
</tbody>
</table>
1.5 Staffing for Financial Management

Financial Management in relation to NCCR project at Nile-SEC/ENTRO / NELSAP – CU/EAC-LVBC/NBD will be led by the Financial Management Specialist (Certified Public Accountant). S/he will report to the Component Project Coordinators as applicable with matrix reporting obligation to the Nile-SEC Head of Corporate Services /ENTRO Head of Finance /NELSAP – CU Finance Manager/EAC-LVBC Deputy Executive Secretary in charge of Finance and Administration/NBD Head of Finance and Administration.

NBI Centres, EAC-LVBC and NBD as applicable will designate at least one other staff to support NCCR project financial management functions. The staff will include a Project Accountant (preferably designated from existing NBI Centres, EAC-LVBC and NBD staff as applicable. This staff needs to be familiar with NBI Centres, EAC-LVBC and NBD financial management system). Additional staff will be provided to meet all financial management obligations of NCCR project at the NBI centre as the need arises.

1.6 Financial Management System & Internal Controls

NBI will use the methodology set out in the NBI IPSAS Policy Framework, NBI harmonized finance and administration manual, and the existing accounting systems (e.g., Integrated Financial Management Information System -IFMS, Microsoft Dynamics NAV, etc.) being implemented by NBI. The NCCR project financial management. (FM) system will cover the standard accounting practice and the chart of accounts, which form the structure of recording, classifying, and reporting receipts and expenditures to be used by NCCR.

The following will therefore also directly apply to NBI financial management as applicable for the NBI centre

i. Guidelines for Procurement of Goods, Works, and Non-Consulting Services under IBRD Loans and IDA Credits & Grants by World Bank Recipients, dated January 2011,

ii. The World Bank guidelines on financial management and disbursements and

iii. NCCR project Financing Agreement.

NBI Centres, EAC-LVBC and NBD will operate a financial and accounting system that is able to generate the necessary reports and record all financial transactions of the NCCR project.

NBI Centres, EAC-LVBC and NBD will implement internal control measures to address potential inherent risks, both organizational and operational risks and these will also apply to NBI centres and IEs. The financial and accounting information system will produce complete and accurate financial statements and reports which are part of the Internal Control regime.

1.7 Bank Accounts

1.7.1 NBI centres Bank Accounts

Each NBI center will open one designated bank account to receive funds from World Bank and a local currency bank account to facilitate operational payments, while the two sub-recipients, NBD and LVBC, will have operational project accounts accessing funds from the Nile-SEC designated account
Each project bank account for the applicable NBI Centres, EAC-LVBC and NBD will be an NBI Corporate Account in the name of NCCR project.

Operations of the Project Local Bank Account by NBI Centres, EAC-LVBC and NBD—This would be an interest-bearing account (if possible) operated by NCCR Project, at a public entity commercial bank or another bank acceptable to the World Bank.

As per the NBI procedures, the bank account shall have a minimum of three signatories. Two signatures are required on each cheque. The Nile-SEC ED / ENTRO ED/ NELSAP-CU RC/EAC-LVBC ES/NBD RM and FADH or equivalent in respective NBI centres shall be signatories to the account. In addition, the HBWP / Component Coordinators shall be the mandatory signatory as applicable for the NBI centre. Where either of the Nile-SEC/ENTRO/ NELSAP-CU signatories are unavailable i.e., making them less than three, a third signatory shall be got from the national focal point person of the host member country. All signatories shall be approved by the Nile-SEC/ENTRO/ NELSAP-CU as applicable formally in writing. A list shall be maintained by Nile-SEC/ENTRO/NELSAP-CU/EAC-LVBC/NBD FADH or equivalent of the signatories for all the NCCR project bank accounts at the respective Implementing Entities.

1.7.2 Opening Project Bank Account

The Component Coordinator, with the assistance required from Nile-SEC ED/ENTRO ED/NELSAP-CU RC or as delegated to the Finance and Administration Head (FADH) as per applicable designations for respective NBI Centre, is responsible for coordinating all banking arrangements or services, establishing or closing NCCR bank accounts, and establishing Electronic Funds Transfers and electronic banking or wire transfer.

As per NBD’s governance structures, the signatories to every project will include: The NBD Regional Manager, The NBD Head of Finance, The NBD Board Chairperson, and The NBD Board Treasurer.

As per LVBC, signatories will include Executive Secretary (ES) and Senior Accountant SA.

The procedure for account opening will therefore be led at each implementing agency.

To request the establishment of a local NCCR bank account in each NBI centre, the Component Coordinator, with the assistance required from the FADH or equivalent in each NBI centre, should submit the necessary information for the Bank Account Opening Request in line with set procedures of NBI.

The request for opening the NCCR project bank account will need to include the following:

- Required currency and information on the proposed use of the account
- Recommendation of a bank acceptable to World Bank
- Bank name and address, and information about any other NBI centre accounts at that bank (including account numbers)
- Recommended local account signatories as per Nile-SEC/ENTRO/NELSAP-CU/EAC-LVBC/NBD financial management procedures or this PIM.
- Bank account opening forms, including signature cards, completed by signatories and copies of signatory passports/IDs
- Name, title, NCCR project e-mail, and the address of the staff person responsible for receiving the NCCR project bank statements
- Information on any special procedures that must be followed in applicable host country for the NBI centre where the NCCR project account will be opened to establish the bank account and electronic banking
- Copies of any special templates/forms required by the local bank to complete the process.

1.8 Withdrawal of Grants

Withdrawal of Grant Funds (Electronic Delivery) is found in Section 7.01 (c) of the Standard Conditions. Overall, the grant payment request must be completed and submitted to the World Bank finance department before disbursement.

All disbursement methods (Advance to the Designated Account, Reimbursement, Direct Payment and Special Commitments) are available to the Project. Please refer to Disbursement and Financial Information Letter (DFIL) of each entity for disbursement related issues.

Each NBI Center will deliver Withdrawal Applications (with supporting documents) electronically through the Bank’s web-based portal “Client Connection” at https://clientconnection.worldbank.org on behalf of ENTRO, NELSAP and the IEs. This option will be affected after the officials designated in writing by the NBI who are authorized to sign and deliver Withdrawal Applications have registered as users of “Client Connection”. The designated officials will deliver Applications electronically by completing Form 2380, which is accessible through “Client Connection”. By signing the Authorized Signatory Letter, the NBI confirms that it is authorizing such persons to accept Secure Identification Credentials (SIDC) and to deliver the Applications and supporting documents to the Bank by electronic means.

Each NBI Center may exercise the option of preparing and delivering Withdrawal Applications in paper form on exceptional cases (including those where the Recipient encounters legal limitations), and which were previously agreed with the Bank. By designating officials to use SIDC and by choosing to deliver the Applications electronically, NBI confirms through the authorized signatory letter its agreement to: (a) abide by the Terms and Conditions of Use of Secure Identification Credentials in connection with Use of Electronic Means to Process Applications and Supporting Documentation, available in the World Bank’s public website at https://worldbank.org and “Client Connection”; and (b) to cause such official to abide by those terms and conditions.

For the Advance to the Designated Account method of disbursement- The initial disbursement by IDA for the NCCR project will be made after receiving a withdrawal application with a six months cash flow forecast from the three centers. Thereafter, for all 3 centers independently, IDA disbursements will be made into the respective Designated Account based on quarterly Interim Financial Reports (IFRs) which would provide actual expenditure for the preceding quarter (three months) and cash flow projections for the next two quarters (six months).

NILESEC will submit withdrawal application request for LVBC and NBD. Therefore, the two IEs shall make available to the Nile-SEC all required information to facilitate the withdrawal application within a good lead time for disbursement of funds.
1.9 Budgeting and Planning Cycle

The Budget Cycle for NBI starts in January with the formation of the budget committees. The budgets are completed by each NBI centre by 15th April to allow for internal approvals and consolidation of the NBI budget. The consolidated budget shall be ready for approval by 30th May. The budget must be approved by the Nile-TAC/Nile-COM; ENSAPT/ENCOM; NELTAC/NELCOM by 20th June.

Not later than May 31 in each year (or one month after the Effective Date for the first year of Project implementation), the Recipient shall prepare or cause to be prepared for the purpose of forwarding to the Bank: (a) a draft annual work plan and budget for the Project (including Training and Operating Costs) for the subsequent fiscal year (July 1–June 30) of Project implementation, of such scope and detail as the Bank shall have reasonably requested; and (b) any instruments required by the ESCP for the implementation of the activities included in the draft annual work plan and budget.

The Recipient shall afford the Bank a reasonable opportunity to review such draft annual work plan and budget, and thereafter, carry out (or cause to be carried out) such annual work plan and budget during such subsequent year as shall have been approved by the Bank (“Annual Work Plan and Budget”). The Bank will then provide its No objection to the Annual Work Plan and Budget. Only those activities that are included in an Annual Work Plan and Budget shall be eligible for financing out of the proceeds of the Financing. The Annual Work Plan and Budget may be revised as needed during Project implementation subject to the Bank’s prior written approval.

The NBI Finance and Administration Policy Manual sets out the detailed budgeting and budget monitoring procedures. As set out in the manual, budget monitoring is exercised through the monthly, quarterly and bi-annual and annual budget monitoring reports. In addition, payments are made once budget availability is confirmed. Moreover, system-based controls will be exercised to control/monitor budgets using the existing accounting system of each entity.

1.10 Eligible expenditure and payments

Expenditures eligible to be financed out of the Grant proceeds shall, except as otherwise provided in the Grant Agreement, satisfy the following requirements (“Eligible Expenditures”):

(a) the payment is for the reasonable cost of Project activities that meet the requirements of the relevant Grant Agreement;
(b) the payment is not prohibited by a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations; and
(c) the payment is made on or after the date of the Grant Agreement, and except as the Bank may otherwise agree, is for expenditures incurred on or before the Closing Date.

The respective NBI centre will ensure that all expenses/costs incurred are paid off on time. Formal communication will be made by the NBI centre to service providers, suppliers, and vendors for non-approved payments with valid reasons for their respective action.

All expenditures and payments shall be appropriately authorized by the concerned NBI centre staff and NBI centre officials before they are incurred/paid as each case may be.
Payments to suppliers, vendors, consultants, and other individuals and/or entities for services rendered or for goods provided on behalf of NCCR project should be paid based on the following order of payment preference:

- Electronic payment—a payment system that generates any transfer of funds, other than a transaction originated by cash, check, or similar paper instrument. Electronic payments include payments by computers or bank wires or mobile money transactions.
- Paper cheque
- Cash

1.11 Advances
Cash advances are provided to NBI staff, training workshop participants, and subcontractors that support NCCR project activities at respective NBI centre. NBI policies for the initiation, approval, disbursement, and closing of cash advances, will be adhered to in order to help safeguard NCCR project funds from potential risk.

Cash advances will be tracked through FMS, from initiation to closing, to ensure that all outstanding advances are reported monthly and any advances aged over 30 days will be communicated to the Nile-SEC/ENTRO/NELSAP-CU FADH or equivalent for escalated closure without any further delays.

1.12 Financial Reports and Audits

1.12.1 Financial Reporting
NCCR financial reporting will be as stipulated by the International Public Sector Accounting Standards and relevant Government Treasury Circulars for respective NBI centres. EAC-LVBC and NBD financial reporting will follow Generally Accepted Accounting Principles (GAAP).

Each NBI Centre shall prepare quarterly unaudited Interim Financial Reports (IFR) in form and content satisfactory to the Bank within 45 days after the end of each calendar quarter. Nile-SEC will take the responsibility of consolidating IFRs of LVBC and NBD into one report for purposes of reporting to the Bank while accounting officers of these entities will be responsible for advances and accountabilities reported to Nile-SEC.

The format of the IFRs has been agreed upon between the Bank and NBI Centres, LVBC, and NBD. The IFR will include two main sections as follows:

a. The reporting section includes: (i) Statement of Sources and Uses of Funds, and (ii) Statement of Uses of Funds by project Activities.

b. The disbursement section includes: (i) Designated Account Activity Statement; (ii) Bank statements of the Designated Account and the Project Account (PA); (iii) Summary statement of Designated Account expenditures, contracts subject to prior review; (iv) Summary statement of Designated Account expenditures not subject to prior review; (v) six month’s cash flow forecast; and (vi) others as appropriate including notes and schedules as well as supporting documents like bank statements, bank reconciliations.
1.12.2 External and Internal Audits
Statutory Annual Audits as applicable will be performed in accordance with the International Standards of Auditing (ISA’s) and issue the audit report within six months after the end of the financial year. These procedures are in addition to the internal audit function performed to project transactions at the NBI centres and IEs.

Internal Audit – will provide objective assurance and insight on the effectiveness and efficiency of risk management, internal control, and governance processes in reference the NBI Internal Audit Charter.

The Internal Auditors will conduct quarterly risk-based audits on the NCCR project funds on the basis of an annual risk assessment of the project reporting to the NCCR Project Steering Committee. The quarterly internal audit report will inform respective NBI Centre Executive Director on operational and organizational risks in the project. The internal audit reports will be shared with the Bank during supervisions.

Each audit of the Financial Statements must cover one fiscal year of the Recipient, commencing with the fiscal year in which the first withdrawal was made. The audited Financial Statements for each such period must be furnished to the Bank not later than six (6) months after the end of such period. External audit Terms of Reference has been agreed.

Disclosure of External Audit Reports: In accordance with the Bank’s policies, the Bank requires that the borrower disclose the audited financial statements in a manner acceptable to the Bank. Following the Bank’s formal receipt of these statements from the borrower, the Bank makes them available to the public in accordance with The World Bank Policy on Access to Information.

1.13 Other Important Information

For additional information on disbursement arrangements, please refer to the Loan Handbook available on the World Bank’s website (http://www.worldbank.org) and “Client Connection”. The World Bank recommends that designated Nile-SEC staff registers as a user of “Client Connection”. From this website the staff will be able to prepare and deliver Applications, monitor the near real-time status of the Grant, and retrieve related policy, financial, and procurement information.

The World Bank Disbursement Guidelines for Projects, dated February 1, 2017, (“Disbursement Guidelines”) are available on the World Bank’s public website at https://www.worldbank.org and are an integral part of the Disbursement and Financial Information Letter. How 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, the capitalized terms used have the meanings ascribed to them in the Disbursement Guidelines.

2.0 Procurement Framework
2.1 Overview

The Nile Cooperation for Climate Resilience Project is a recipient-executed grant and therefore is considered an Investment Project Finance (IPF) operation. Its procurement will be carried out per the “World Bank Procurement Regulations for Recipients under IPF”, dated July 2016 and updated November 2020, hereafter referred to as “Procurement Regulations”.

The Project will also be subject to the World Bank’s “Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants” dated July 1, 2016, and the provisions stipulated in the Legal Agreement.

The project will use the World Bank’s online procurement planning and tracking tools, Systematic Tracking of Exchanges in Procurement (STEP) for all procurement and contracts management transactions. The Procurement Plan (PP) for each NBI centre and IE project team may be updated annually or as required to reflect the actual project implementation needs as agreed with the Bank.

Once the Bank’s approval of the PP is obtained in STEP, procurement process proceeds and all documents at each stage of the procurement process will be uploaded in the system for Bank’s prior or post review, based on the agreed review arrangement in the approved PP.

2.2 Legal Basis for Procurement Framework

As indicated in legal documents for the financing provided by the World Bank, the procurement for the project would be carried out in accordance with the World Bank’s Guidelines: “World Bank Procurement Regulations for Recipients under IPF”, dated July 2016 and updated November 2020, Procurement Regulations for IPF Borrowers and the provisions stipulated in the relevant grant and finance agreements. This PIM section is to be read along with the following key documentations:

**Key Joint Documents Approved by the World Bank**

a. Grant Agreement between the World Bank and NBI for NCCR (generally called the legal documents);

b. Project Appraisal Documents (PADs) for NCCR1 and 2; and Project Papers for Additional Financing

c. for NCCR-1;

d. All amendments to the Financing Agreements (legal documents);

e. Approved Annual Work Plan(s) and Budget(s); and

f. Approved Procurement Plan,

g. Mission aide-mémoires and relevant correspondences files, etc. and;

h. Disbursement Letters.

In case of inconsistency between the provisions of these documents, the provision of the Legal Agreement/Grant agreement and its subsequent amendments prevail while the provision of the “Procurement Regulations for IPF Borrowers” and that of the approved procurement plan follow.

**Documents Published or Cleared by the World Bank**

a. Latest versions of Bank’s Standard Procurement Documents (SPDs), available in Bank’s website;

b. This PIM, once it is reviewed and cleared by the Bank;

c. Project Appraisal Documents (PADs) for NCCR1 and 2; and Project Papers for Additional Financing for NCCR-1;
d. Mission aide-mémoires and relevant correspondences files, etc. and;
e. Disbursement Letters.

**Standard Procurement Documents Published by the World Bank**

Procurement of Works, Goods, or Non-Consulting Services and Consulting Services shall be made using Bank’s Standard Procurement Documents (SBDs). While using the SPD, changes to the SPD, to meet the requirements of a specific procurement activity may be introduced through the bid data sheet, the proposal data sheet, schedule of requirements, special conditions of contract particular, or contract data sheets and other sections of the SPD, as appropriate. No modification or change or edition is to be made to Instructions to Bidders (ITB), Bank Policy – Corrupt and Fraudulent Practices, and General Conditions of Contract (GCC) of the SPDs.

### 2.3 Procurement Arrangements for NCCR Project

The NBI is the mechanism through which the NBI centres and IEs obtain financing for the preparation and implementation of activities under NCCR project. Each NBI Centre and IE will undertake respective procurements. This is further expounded in various sections under this part of the PIM.

The budget levels for each procurement item in the NCCR project at the NBI centre will be in accordance with the Bank approved NCCR project Annual Work Plan and Budget.

For operating costs, each NBI Centre will use the NBI approved thresholds and related procurement selection procedures.

Not all Items/activities financed under project are required to be entered into the project procurement plan as a procurement activity. Routine operating Costs like translation costs may be categorized as “Operating Costs” including reasonable incremental expenses directly incurred on account of the implementation, management, and monitoring of the Project. These operating costs may include: (i) travel costs; (ii) office supplies, office rental, office and equipment maintenance and repair; (ii) fuel, vehicle maintenance; (iv) communication, translation and interpretation; and (v) workshops or conferences costs, as relevant; and other miscellaneous expenses directly associated with the Project and agreed to by the Bank. These Operating activities budget is to be agreed in advance together with the work plan annually.

Project implementation staff, individuals contracted by the Borrower to support project implementation, other than individual consulting positions identified in the Legal Agreement, may be selected by the Borrower according to its personnel hiring procedures for such activities, as reviewed and found acceptable by the Bank.

**Procurement Arrangements**

Respective NBI centres will undertake procurement as per their approved annual work plans, budget, and respective NCCR project Procurement Plans. NCCR’s overall annual procurement plan will be approved by the Bank. Each NBI centre will be responsible for procurements in their approved procurement plan.
Specified procurement decisions for all procurements of goods, works, and services in the NCCR project shall be subject to **Prior Review** or post review by the Bank following the agreed PP provisions. Procurement Regulations for IPF Borrowers

Each centre is responsible for the submission of all required prior review documents to the Bank. All NBI centres and IEs will therefore prepare the short-listing criteria for Expression of Interests (EOIs) and the terms of references for Consulting Services, schedules of requirements/technical specifications for goods, works and avail those to HBWP for submission to the Bank. This is in relation to NCCR project Components 2, 3, 4 and 5.

For NCCR project component 1, the Nile-SEC procurement team will consolidate as far as possible requisite documents not limited to the short-listing criteria for EOI, technical specifications and terms of reference using the Standard Procurement Documents (SPD) or relevant templates from the World Bank, or standard template for advertising of EOI, or standard bidding documents (SBDs) or the agreed template for National Competitive Bidding (NCB) as the case may be. This draft of the specific procurement document will then be circulated for comments and discussion at Nile-SEC and with NBI centres and IEs as applicable.

All NCCR project components, upon consensus on the relevant technical and procurement issues, the updated procurement document/s will then be availed for prior no-objection from the World Bank, for activities arranged as “prior review” in the approved Procurement Plan in STEP.

Each Centre will then carry out procurement including preparing final requests for EOI, RFP, and bidding documents, convening evaluation committees, and compiling evaluation reports for related actions.

### 2.4 Procurement Roles of the NBI centres and IEs

The NBI centres and IEs will lead the implementation for each procurement within their NCCR project components. The table below outlines some key procurement processes and highlights the responsible agency.

<table>
<thead>
<tr>
<th>Procurement Activity</th>
<th>Nile-SEC</th>
<th>ENTR O</th>
<th>NELSAP-CU</th>
<th>EAC-LVBC</th>
<th>NBD</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Preparation of NCCR project Component Procurement Plan</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>2. Preparation of consolidated NCCR project procurement plan</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Investigation, design and estimation for all works as applicable to the component</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>4. Preparation of technical documents, cost estimates for each procurement, TORs, the technical basis for tender documents, Draft Bid Documents for works, goods, and non-consulting</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>services and TORs for consulting services as applicable to the component</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td>---</td>
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<td>---</td>
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</tr>
<tr>
<td>5.</td>
<td>Finalization of bidding document for all goods, works and non-consulting services and RFPs for consulting services</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>6.</td>
<td>Seeking No Objection from World Bank</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>7.</td>
<td>Inviting bids and proposals</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>8.</td>
<td>Preparing and sending clarifications on issues relating to bidding documents and RFPs</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>9.</td>
<td>Receiving and opening of bids/proposals</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>10.</td>
<td>Appointing Procurement Committees including NCCR specialists for technical advice</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>11.</td>
<td>Preparation of Evaluation Report and submission</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>12.</td>
<td>Award of contract by Procurement Committee</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>13.</td>
<td>Signing of contracts by formal legal entity</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>14.</td>
<td>Administering contract and technical supervision, including and deliveries for all contracts</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>15.</td>
<td>Appointing Inspection committees as applicable</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>16.</td>
<td>Prepare procurement progress reports</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>17.</td>
<td>Submit procurement progress reports to World Bank</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>18.</td>
<td>Payment certification/recommendation as applicable</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>19.</td>
<td>Payment voucher initiation and approval as applicable</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>20.</td>
<td>Making payments as applicable</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>21.</td>
<td>Procurement records management, including regular updating of STEP data/filing and closeout</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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</tbody>
</table>
2.5 Key roles of NCCR project procurements

The Procurement team at each NBI centre i.e., Nile-SEC/ENTRO/NELSAP-CU as applicable will comprise at least one procurement officer and another NBI centre Procurement Specialist (NPS). The NPS procurement specialist should be well versed in World Bank’s Procurement Regulations for IPF Borrowers and other SPDs and use of STEP platform and exclusively handles the procurement activities of the project at the NBI Centre. The NPS is to be retained initially for at least two years, with the first year also dedicated to hands-on capacity building of other NBI centre procurement officers backstopping the NCCR project. At least one other procurement assistant will be identified to give support in receiving of goods; preparation and maintenance of records; preparation of simple procurement documents; provision of procurement-related administrative support in more complex procurement documents and the preparation of procurement plans.

Role of NBI Centre Executive Director /Regional Coordinator

The NBI Centre Executive Director has the overall responsibility for ensuring that the structures for a transparent and efficient procurement system are put in place in accordance with this PIM in supporting the NCCR project team at the NBI centre. S/he or his / her designate shall therefore:

a. Support in constituting all procurement committees required to achieve NCCR project results at NBI centre;
b. Ensure proper documentation of procurement proceedings and safe custody of all procurement records per NBI and applicable national government legislations as relevant;
c. approve and sign all contracts issued under NCCR project at NBI centre;
d. ensure that the procurement processes are handled by different professionals with respect of procurement initiation, processing and receipt of goods, works and services;
e. and ensure compliance NBI organizational and legal policies and procedures on procurement.

f. Meets Agreed Service Levels (ASL) in terms of quality and timelines of performing assigned tasks

Role of NBI HBWP or Component Coordinator

The NBI HBWP/ENTRO/NELSAP–CU Component Coordinator acting within the delegated authority shall be primarily accountable for ensuring that the applicable NBI centre fulfils its obligations in all matters relating to NCCR project procurements. Specifically in relation to the NCCR project component procurements s/he will be responsible for:

a. Ensuring that the NCCR component Procurement Plan for the NBI centre is prepared, updated, and approved within a reasonable time to facilitate for smooth project implementation;
b. Selection of approved consulting services needed at NBI centre in NCCR project;
c. Procurement of goods, works and non-consulting services needed at NBI centre;
d. Execution of NCCR specific contract agreements for goods, works, and non-consulting services and consulting services (to the extent delegated by the Executive Director) in relation to the NBI centre;
e. Ensuring the publication of award of contract along with relevant details as per World Bank guidelines in UNDB/ dgMarket and NCCR project website in relation to the NBI centre; and
g. Linkages with NBI centre Administration applicable to facilitate for the formation of procurement committees including their appointment in good time.

The NBI HBWP will in addition be responsible for:

h. Ensuring that the overall NCCR Project Procurement Plan is prepared, updated, and approved within a reasonable time to facilitate for smooth project implementation;

i. Overseeing and assisting NBI centres and IEs in the supervision of the contracts for goods, works, and non-consulting services, and consulting services as applicable; and

j. Ensuring the publication of award of contract along with relevant details as per World Bank guidelines in UNDB/dgMarket and NCCR project website.

k. Meets Agreed Service Levels (ASL) in terms of quality and timelines of performing assigned tasks;

The HBWP / Component Coordinator as applicable for the NBI centre will delegate the day-to-day management and responsibilities of the NCCR project NBI centre-based procurement to NPS.

**Role of NBI Centre Procurement Specialist (NPS)**

The NPS will lead the preparation of procurement plans; review of TORs; preparation of Request for Proposals (RfP) documents, and bidding documents; evaluation of proposals and bids; monitoring and reporting on procurement progress and all other processes associated with the effective and efficient implementation of the procurement function at the NBI centre.

The NPS will be required to work in tandem with the Component Coordinator for the NBI centre in addition to other identified Procurement Staff for the best achievement of the NCCR project objectives.

Specifically, the NPS will be responsible for the following tasks in addition to those itemized on section 3.5 in this PIM:

a. Provide guidance, technical oversight and professional procurement support to NBI centre on all matters related to procurement activities of NCCR with special attention to World Bank requirements;

b. Provide guidance and support in the preparation of a realistic, consolidated, updated annual procurement plan that is in harmony with the work plan and available funds. In particular, provide technical guidance and support for the revision of Procurement Plan for NBI centre if needed in coordination with other NBI centres and IEs and other NBI centre officers in charge of procurement.

c. In order to improve monitoring of procurement processing, provide guidance in the preparation of detailed procurement monitoring plans in which key milestones are indicated and ensure the relevant columns are filled in as and when each stage is accomplished, and establish a simplified tracking system for monitoring procurement activities;

d. Provide support and guidance to the NBI centre Procurement Staff in the preparation of Specific Procurement Notices (SPN) and contract award publication notices and process for their placing in dgMarket and UNDB online;

e. Oversee and coordinate on the preparation of the ToRs and specifications by users; prepare and submit documents such as bill of quantities, drawings, technical specifications and TORs as necessary for prior approval and input to STEP as required.
f. Provide support and guidance to NBI centre Procurement Staff in the preparation of Request for Proposals (RfP), bidding documents, and other procurement documents;

g. Provide guidance and support in ensuring timely initiation of procurement processes;

h. Assist and provide professional advice to NCCR on the procurement processes and procedures including invitation and receiving of proposals and bids; conducting of evaluations of EOI’s, Proposals, Bids, etc and preparation of the associated evaluation reports; contract negotiations and preparation of contracts; and ensuring that the signed contracts are published and distributed to relevant parties;

i. Assist NBI centre Procurement Staff in monitoring procurement processes and ensuring timely responses to procurement-related questions raised and for contracts requiring No Objection;

j. Provide guidance to NBI centre Procurement Staff in the updating of the Procurement Contract Registry;

k. Provide professional guidance and advice on the required improvement of the Procurement Filing System for keeping procurement records and propose and implement mechanisms to ensure important procurement documents are filed and retained in the established procurement files;

l. Assist respective NBI centre on contract management, especially in monitoring contract execution, ensuring timely completion of works, delivery of goods and consultants reports and other deliverables, and ensure compliance to provisions in the contracts by all contracting parties;

m. Prepare summary inputs on procurement training and capacity building for NBI centre, providing professional assessment of the impact of the interventions on staff capacity;

n. Provide Technical Support in preparation of monthly, quarterly and annual procurement progress reports, as shall be required, and ensure issues identified during the reporting period and actions taken to resolve them are clearly narrated;

o. Identify all the possible inherent risks related to procurement, especially those related to fraud and corruption and propose appropriate measures to mitigate them.

p. Meets Agreed Service Levels (ASL) in terms of quality and timelines;

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**Role of Procurement Assistant/s**

To assist in the procurement of goods, services and works during the implementation of the NCCR Project in accordance with World Bank Procurement Regulations for IPF Borrowers and NBI procurement manual, as described in detail above.

**Roles of ad hoc Committees**

The Component Coordinator of the NCCR project at the NBI centre as applicable will ensure that procurement committees are established and function in accordance with approved operational framework.
2.6 Procurement Methods

It is essential to follow an appropriate procurement method that is consistent with in the provisions of the Procurement Regulations for IPF and further defined in the approved Procurement Plan (PP) while preparing the PP, contracts packaging, choice of procurement market approaches and procurement methods depend on the following factors:

(i) Agreed project documents including the recommendations of the specific Project Procurement Strategy for Development (PPSD)
(ii) The nature of the goods and services to be procured;
(iii) The value of procurement package;
(iv) Market conditions with regards to suppliers’ availability (supply and demand factors);
(v) Local availability and cost of goods and services (market segmentations);
(vi) Any exceptional conditions related to emergency situations both declared by the NBI and recognized by the Bank;

In accordance with the applicable Procurement Regulations, Approved Selection methods for procuring goods, works and non-consulting services under IDA grants include (please refer to the applicable Procurement Regulations for IPF Borrowers):

a) Request for Proposals (Open, Limited, international, National…)
b) Request for Bids (Open, Limited, international, National…)
c) Request for Quotations (Open, Limited, international, National…)
d) Procurement under Framework Agreements in accordance with procedures which have been found acceptable to the Association, if agreed in the PPSD.
e) Direct Selection/Contracting (DC) (Direct, single stage, Negotiation)
f) Procurement under Public Private Partnership Arrangements in accordance with procedures, which have been found acceptable to the IDA (PPP), if agreed in the PPSD

g) Community Participation procedures that have been found acceptable to the IDA and whose details are agreed in the PPSD.

(i) Procurement Regulations for IPF Borrowers
For detail procedures and process flow of the above approved selection methods, please refer to the Procurement Regulations for IPF Borrowers.

2.7 Initiation of the Procurement Process

For Bank financed Projects/grants a procurement process can only be initiated after it is included in the Annual Work Program and Procurement Plan that has been approved by the Bank in STEP.

The Purchase Requisition Form will be used for all the cases of initiating procurement of goods, works and services.

Procurement Requisition is a precise document generated by the user to initiate the procurement process. The user should as early as possibly take into account all the key steps involved before contract award initiate the procurement process.
When preparing the Procurement Requisition, the person initiating the procurement process shall ensure that the goods, works or services requested are clear, give a correct and complete description of what is to be procured and allow for fair and open competition among those who may wish to participate in the procurement proceedings.

A Purchase requisition should include, at a minimum:

(i) Detailed description of goods, civil works or services sought;
(ii) Quantity of inputs to be procured;
(iii) Unit of measure;
(iv) Required delivery/engagement date;
(v) Delivery location or location of civil works/services to be performed;
(vi) Estimated price or cost; and
(vii) Any additional information (i.e., standardization, the preferred method of shipment).

2.8 Sourcing of Suppliers

It is essential to have effective competition and to promote fairness, integrity and transparency in all procurements in NCCR.

Therefore, the first step in sourcing vendors or potential suppliers is to identify whether there exists a market to provide the goods, civil works or services for the project requirements, then further to determine who are the key players within the existing market. Such strategic assessment is conducted during Project Procurement Strategy (PPSD) preparation and same may be updated to meet evolving conditions of the project implementation context.

The NCCR procurement team at the NBI centres and IEs will use the following methods to identify potential sources of the requirements:

(i) Prequalification of Suppliers/initial selections process
(ii) Lists or Database of Suppliers
(iii) Suppliers who have submitted Expressions of Interest
(iv) Appropriate Market Research and advance business community engagement/market sounding

Prequalification

Prequalification is usually necessary for large or complex works and S&I of complex plants, or in any other circumstances in which the high costs of preparing detailed bids could discourage competition, such as custom-designed equipment, industrial plant, specialized services, some complex information and technology and contracts to be let under single responsibility (including turnkey), design and build, or management contracting. This also ensures that invitations to bid are extended only to those who have adequate capabilities and resources.

Prequalification shall be based entirely upon the capability and resources of prospective eligible bidders to perform the particular contract satisfactorily, taking into account objective and measurable factors, including:

(a) Relevant general and specific experience, and satisfactory past performance and successful completion of similar contracts over a given period;
(b) Financial position; and where relevant;

The invitation to prequalify for bidding on specific contracts or groups of similar contracts shall be advertised and notified as described in Bank’s Procurement Regulations for IPF Borrowers. The scope of the contract and a clear statement of the requirements for qualification shall be sent to those who responded to the invitation. The relevant NBI centre shall use the Standard Prequalification Document issued by the Bank with minimum changes as may be necessary and acceptable to the Bank. All such applicants that meet the specified criteria shall be allowed to bid. The NBI centre shall inform all applicants of the results of prequalification.

As soon as the prequalification is completed, the bidding documents shall be made available to the qualified prospective bidders. For prequalification for groups of contracts to be awarded either at the same time or over a period of time, a limit for the number or total value of awards to any one bidder may be made on the basis of the bidder ‘s technical capability and financial resources to meet qualification criteria for the combined contracts. When the time elapsed between the NBI centre ‘s decision with regard to the list of prequalified firms and the issuance of bid invitations is longer than 12 (twelve) months, the Bank may require that a new pre-qualification process be conducted through re-advertisement. The verification of the information upon which bidders were prequalified, including their current commitments, shall be carried out at the time of award of contract, along with their capability with respect to personnel and equipment. The award may be denied to a bidder that is judged to no longer meet the required qualification criteria with respect to technical capability and financial resources to successfully perform the contract. If none or very few applicants are found to be prequalified, which would result in a lack of competition, the NBI centre may issue a revised prequalification invitation subject to the Bank ‘s prior no objection.

Lists or Database of Suppliers

The relevant NBI centre Procurement shall maintain and update annually standing lists of suppliers.

The list of suppliers will be prepared from the applicants sought through the General Procurement Notice and other submittals of expressions of interest.

The list would maintain a database with regards to each supplier ‘s capabilities and resources available to successfully perform on a contract, if awarded. Key parameters, which guide the database of suppliers include:

- a. Technical capacity to deliver the goods, civil works and/or services as per schedule;
- b. Financial strength.
- c. The commitment of Contractor to comply with World Bank Terms and Conditions;
- d. Compliance with national or international quality standards for the product offered, or evidence of national and international acceptance of its services;
- e. Capacity to provide after-sales-service for the goods or services provided

Expression of Interest

An expression of interest (EOI) is a cost-effective method to continually update a supplier database where procurement planning has forecasted future requirements. An EOI is a written communication prepared by a potential supplier providing information about its products, services, resources, qualifications and experience. The NBI centre should solicit an EOI by publishing a notice in the newspapers with wide circulation or websites.
informal process attributes selection based on the assessment of data provided by Suppliers. Depending on the complexity of goods, civil works or non-consulting services to be procured, thirty days should be provided for responses before short-listing.

**Market Research**

The NBI centre is responsible for conducting market research to establish applicable market rates for goods, works, and services being procured by NCCR project and will assist the concerned NCCR technical teams with pricing information. The function will also establish up-to-date specifications for items in line with technology changes and best practice in the relevant industry. This shall be conducted during preparation of PPSD and may be updated from time to time.

### 2.9 Preparation of Bidding Document

The Bidding Documents should furnish all necessary information required by a prospective bidder to prepare a bid for the goods and/or works to be provided. Bidding Documents should be made available to all those who request them regardless of registration status and they should be allowed to bid. However, the request should be made in writing along with the requisite fee for the Bidding Documents, if any.

The Standard Bidding Documents contain the following clauses/sections (except in cases of shopping / DC) to make them self-explanatory, depending the nature and complexity of the procurement item. The best advice to Borrowers is that for all procurement activities following international market approach, use of Bank’s Standard Procurement Document (SPD) is mandatory:

- a) Invitation for bids (IFB)
- b) Instructions to bidders (ITB) and Bid Data Sheet
- c) General Conditions of Contract (GCC), Special Conditions of Contract, and other contract forms
- d) Bidding Forms that include Letter of Bid, Schedules for Price (also referred to as Bills of Quantity (BOQ) for works contracts), Schedules for Delivery, and other forms (also referred to as Bills of Quantity (BOQ) for works contracts
- e) Technical Requirements with drawings

**General Procurement Notice and Specific Procurement Notice (i.e., Invitation for Bids (IFB))**

At the start of the project, a General Procurement Notice (VPN) will be issued in national newspapers in UNDB online, and Bank’s external website through STEP, indicating the information about NCCR including Nile-SEC and NBI centres and IEs, amount and purpose of the grant, scope of procurement and the name, telephone, fax number and address of the NBI as the Recipient agency, website where procurement notices shall be posted and that the prospective bidders should be on the lookout for specific invitation for bids.
An IFB for a specific procurement should provide a brief description of goods/ works/ services, important contract conditions, sources of financing of the project, eligibility requirements, time and place, complete office address along with telephone/ fax number (including country and area codes) and email address, if any, for submission of applications/ bids and where from Bidding Documents can be obtained. Format of IFB to be adopted is given in the ICB/ NCB Bidding Documents. Posting SPN on STEP system is mandatory for all Prior Review contracts.

Instructions to Bidders (ITB)

Bidding Documents shall furnish clearly and precisely, the details of the work to be carried out, the location of the work, the goods to be supplied, the place of delivery or installation, the schedule of delivery or completion, specifications, minimum performance requirements, the warranty and maintenance requirements, if any, and the method of evaluation. The basis for bid evaluation and the fact that the selection would be done for the bidder whose bid has been determined (i) to be substantially responsive to the bidding documents and (ii) to offer the lowest evaluated cost. This is clearly outlined in the Standard Bid Documents in the Instructions to Bidders.

Broadly, the ITB includes the following information in the Bid Data Sheet:

- Scope of work – to be performed by the supplier/ service provider;
- Sources of funds;
- Pre-qualifications or post qualifications criteria for bidding by the supplier/ service provider;
- Pre-bid conference (if proposed) - to provide clarifications on the issues on the Bidding Documents raised by the bidders;
- Bid Security – required to be deposited with the bid;
- Submission of bids – date, time, place, etc. for submission of bids;
- Validity of bids – up to the period during which the bids submitted by the bidders would be valid;
- Opening of bids- date, time, place, etc. for the opening of bids;
- Evaluation of bids – criteria for evaluation of bids;

Note: No change/modification/edition is to be made to the ITB section of the SPD. Any necessary change or modifications can be done in the corresponding Bid Datasheet part of the SPD.

The Special Conditions of Contract generally contain the following information

- Award of contract – containing prices, terms of delivery, the scope of works, terms and conditions, etc.
- Performance security – an amount sufficient to protect the client in case of breach of contract by the Contractor
- Fraud and Corruption clauses

Clarifications on Bidding Documents

Any clarifications asked by the bidders should be replied to promptly, in any case well in advance of the bid opening date giving sufficient time to bidders to submit their bids. Bidding Documents should state clearly whether the bid prices will be fixed or price adjustment will be allowed to reflect any changes in major cost components of the goods/ works.
Standards and Technical Specifications

The Bidding Documents shall include generally accepted standards or technical specifications. The technical specifications shall be prepared with no mention of brand names or catalog numbers. It may be prepared by a committee of experts associating the trade representative if required. The functional performance, design, quality, packaging and additional requirements should be clearly spelled out in the specifications. The specifications should be generic and should not appear to favor a particular brand or supplier.

Preparation of technical specifications, bill of quantities and engineering drawings must be completed before bidding. Specifications for the items to be procured should be drawn up with clarity in every case. No deviations from the specifications should be allowed after the opening of the bids.

The major objectives of the specifications are:
(a) To let the supplier know exactly what the buyer requires and
(b), to permit quick and accurate verification of items upon receipt.

Specifications for Goods

In the case of goods, the description should include all technical specifications; norms and standards; functional guarantees; inspection requirements; etc.

Specifications may be stated as a hybrid, or combination of the following types (depending on the nature, contract model and specific requirements of the item to be procured):

a) Functional: defines the task to be performed in conjunction with various design attributes; (i.e., cost, weight, environmental impact, reliability). A functional specification focuses on what a product is to do and rather than what materials and/or dimensions should be;
b) Performance: focuses on the function of the product or service required i.e., what is to be achieved; rather than a fixed description of how it should be done;
c) Design: defines exact details of a good (i.e., the physical attributes, materials to be used, power input and output, the manufacturing processes required, or in the case of a service, the working methods to be used);
d) Brand or Trade name: the use of brand names or similar references must be avoided.
e) If it is necessary to cite a brand name, the words —or equal shall be included. The term
f) —or equal means that the desired product is of comparable quality and/or capable of performing the intended function; and
g) Sample: only where the above-mentioned methods to describe a good are not feasible, samples may be used to facilitate the procurement of goods.

Specifications for Civil Works

In the case of civil works, specifications should describe the statement of works; quality standards of different materials to be used; handling of defects; etc.
The Specifications for Civil Works should include as a minimum the following information (this is again to depend on the nature of the contract, degree of level of definition of the scope of the contract, contract model, complexity and design standards of the required works):

a) State the statement of the works, which describe the civil works in sufficient detail to identify the location, nature and any complexities involved. The term civil works ‘generally includes all types of civil, mechanical, electrical or other engineering services (other than consulting services) as well as the supply of construction materials and equipment;

b) expected construction period and time in weeks or months, or where alternative time schedules are permitted, the range of acceptable construction periods;

c) establish the preliminary specifications;

d) should provide additional information on the topography, geotechnical conditions, and access to site, transportation and communications facilities, project layout, services to be provided by employer, method of measurement and payment of completed civil works;

e) confirm budget availability; and

f) Indicate authority for the procurement.

2.10 General and Special Conditions of Contract

The Standard Bidding Documents contain the General and Special Conditions of Contract that refer to the scope of work to be performed or the goods to be supplied, the rights and obligations of the executing agency and the supplier or contractor, and the functions and authority of the professionals (specifically the ones employed by Nile-SEC in the supervision and administration of the contract. Special conditions of contract relating to the specific item(s) to be constructed or delivered including the technical, production and financial requirement should also be clearly specified in the Bidding Documents.

2.11 Quality Assurance

The inspection authority and procedure for sampling and testing should be specified in the Bidding Document. The NBI Centre shall decide whether 100% pre-dispatch inspection may be required at the manufacturer’s premises, depending on the items to be purchased and as decided by the procuring committee. When a consignment is ready for dispatch, the supplier will inform the concerned NBI centre that the consignment is ready for testing. Concerned NBI centre will then instruct the inspection agency to carry out the inspection. In other cases, goods will be inspected on arrival at designated NBI centre premises for any possible damage/defect either in manufacture or in transit.

2.12 Procurement/Contract Packaging

The size and scope of the procurement packaging will depend on the magnitude, nature and location of the scope of work. For goods and works, separate procurements or bids are generally awarded for the supply and install of different items of equipment, plant and for the works. Works of the same nature and same location should be in one package regardless to the value of work. With similar works and goods, separate lots can be considered. Goods
evaluation can be on an item-by-item basis, or lot-by-lot basis. It is the responsibility of the NBI centre to choose the correct packaging, method of procurement, and appropriate Standard Bid Document (SBD).
Slicing of packages into separate lots for the sole reason of reducing the value of the work, in any case, is not allowed.

2.13 Advertising

Specific Procurement Notices (SPNs) for all ICB contracts and other methods with international competition be published in UNDB on-line and a newspaper of high circulation e.g., the East African newspaper. For prior review contracts, Posting the SPN on Bank’s STEP platform will be mandatory while it is advisable for all contracts.

All IFBs for ICB and NCB procurement shall be advertised at least in one national newspaper with wide circulation in the host country of the NBI centre concerned. Where appropriate such advertisements will also be published in national language newspapers in addition to English. A minimum period of six weeks will be given for bidders to prepare and submit bids under international competition. The minimum period of four weeks will be given for NCB (national competitive bidding). It may also be forwarded to embassies and trade representatives of countries of likely suppliers. The bidders shall be allowed the option to submit the bids for any one or more items or lots and to offer discounts for multiple items or lots of similar nature. The advertisement should also be placed on www.nilebasin.org.

Advertising for NCB may be done at the national level only, in a widely circulated newspaper in the host country of the respective NBI centre. The minimum bidding period is four weeks for NCB (national competitive bidding).

When following the Request for Quotations Procedure, the invitation will be sent to as many capable suppliers as possible with the target of receiving quotations from minimum of three suppliers, and good practice is to invite more than five, if sufficient capable suppliers are available. Quotations should be opened publicly. Preparation of list of invitees shall be transparent and objective. The procuring entities may prepare list of invitees based on the following factors: (i) knowledge of capability and prior experience of the supplier; (ii) prior performance records and reputability; (iii) Use of well-established suppliers list; (iv) rotational approach from many capable suppliers…etc. One important aspect of Request for Quotation (RFQ) practice is that the purchaser should make sure, in advance, that the invitee has the items in stock and interested to submit quotations.

If it is a condition in the bidding documents that bid security is required from the supplier/contractor, the submitted bid of a supplier/contractor that does not comply with this requirement shall be outrightly rejected. Any mistakes, miscalculations, etc., or submission of copies of the instrument of bid security instead of the original will result in rejection of the bids, but all these depends on the requirements of the specific procurement document to be issued.

If hard copies are used, Bidding Documents may be sold from different places but they must be received at one place only, to avoid problems arising out of late / delayed bid submission. If bidders are to download Bidding Documents from the purchaser’s website, they should be allowed and purchase of Hard Copy Bidding Documents shall not be mandatory, especially during this time of COVID-19 pandemic. Bids should normally be opened immediately after the deadline for their submission.
The advertisement shall clearly state the name, address, telephone/ fax number (including country & area code) and e-mail address of the contact person for seeking clarifications if any, and the date, time and place of submission of bids. The advertisement shall also indicate clearly the sources of funds from which the procurement will be funded.

The bid submittal date should not fall on national/ public holidays. If the date of opening of bids is declared a government / public holiday, the next working day shall be the date of bid opening at the appointed time and avenue.

2.14 Confidentiality of the Bid Evaluation

After the public opening of bids, information relating to the examination, clarification, and evaluation of bids and recommendations concerning awards shall not be disclosed to bidders or other persons not officially concerned with this process until the successful bidder is notified of the award of the contract.

2.15 Evaluation and Comparison of Bids

One week prior to the closing /opening of the bid, the NPS shall nominate members to the Nile-SEC/ENTRO/ NELSAP-CU ED as applicable through the HBWP / Component Coordinator as applicable for appointment to the Evaluation Committee for the purposes of carrying out the technical and financial evaluation of the bids in accordance with the evaluation criteria set out in the issued Specific Bidding Document (SBD) and using the Bank ‘s Bid Evaluation Report and Recommendation for Award of Contract Template in Appendix 10.

The committee consists of between three and five members appointed on a rotational basis comprising of representative of user department and two other departments or their representatives and where necessary. The NBI centre based procured consultants or professionals, who shall advise on the evaluation of the tender documents and give a recommendation on the same to the committee within a reasonable time shall also be incorporated. The committee shall have as its secretary, the person in charge of the NBI centre NCCR project procurement function.

The main task of the Evaluation Committee will include, but follow strictly the evaluation procedures as set in the ITB of the issued BD:

(i) examination of bid documents in accordance with the evaluation set out in the bid document. The committee must check that the bid is complete and conforms to the advertised conditions.
(ii) seeking written clarifications from bidders
(iii) analysis of all bids, and justification of those bids that are not substantially responsive
(iv) Carrying preliminary, technical, and/or financial evaluation and comparison of substantially responsive bids
(v) determination of the lowest evaluated bid
(vi) post-qualification of the lowest evaluated bid
(vii) award recommendation

The purpose of bid evaluation is to determine the substantially responsive bids and the evaluated cost of each bid. Depending on the selection method followed, the bid that is substantially responsive and with the lowest evaluated cost, but not necessarily the lowest submitted price (the Most Advantageous Bid), shall be recommended for award.
Depending on the provisions of the ITB of the issued BD, to determine the evaluated price of a bid, the bid price read out at the bid opening shall be adjusted to correct any arithmetical errors. In addition, for evaluation, adjustments shall be made for any quantifiable non-material deviations or reservations. Price adjustment provisions applying to the period of implementation of the contract shall not be taken into account in the evaluation.

Bidding documents may also specify the relevant factors in addition to price to be considered in bid evaluation and how they will be applied for determining the lowest evaluated bid, depending on the nature of the procurement contract.

For goods and equipment, other factors may be taken into consideration including, among others, payment schedule, delivery time, operating costs, efficiency and compatibility of the equipment, availability of service and spare parts, and related training, safety, and environmental benefits. The factors other than price to be used for determining the lowest evaluated bid shall be, to the extent practicable, expressed in monetary terms in the evaluation provisions in the bidding documents, if found to be fit-for-purpose.

Under works, BD may require bidders to include in their bid price all duties, taxes, and other levies, and bidders shall take these factors into account in preparing their bids. The evaluation and comparison of bid prices shall be on this basis.

The NBI Centre shall prepare a detailed report on the evaluation and comparison of bids setting forth the specific reasons on which the recommendation is based for the award of the contract. Each NBI centre and IEs shall provide as a minimum all information required following the format in the Standard Form of Bid Evaluation Report issued by the Bank in addition to other information the Bank deems relevant.
2.16 Procurement Plan

The preparation of a realistic procurement plan for the NCCR project is critical for its successful monitoring and implementation.

Project Procurement Strategy for Development (PPSD): As part of the project preparation, the three NBI centers (ENTRO, NELSAP and Nile-SEC), the NBD and LVBC each prepared a Project Procurement Strategy for Development (PPSD) that formed the basis for the Procurement Plan for the first 18 months of project implementation inclusive of the procurement arrangements. The five PPSDs were consolidated into a project-level PPSD.

Each centre shall update in consultation and participation of the other NBI centres and IEs the procurement plan throughout the project at least annually by including contracts previously awarded and to be procured in the next 12 (twelve) months.

All NBI centres and IEs procurement plans (consolidated into one NCCR project procurement plan) and their updates or modifications shall be subject to the Bank’s prior review and no objection before implementation.

The Bank shall arrange the publication on its external website of the agreed initial NCCR project procurement plan and all subsequent updates once it has provided no objection. Since the PP approval is in STEP, publication on Bank’s external website is now automatic.

For each contract to be financed in NCCR project, the different procurement methods or consultant selection methods, the need for pre-qualification, estimated costs, prior review requirements, and period are agreed between the NBI centres and IEs and the World Bank in the procurement plan.

The NCCR project procurement plan will be updated at least annually or as required to reflect the actual project implementation needs and improvements in institutional capacity for NBI centres and the IEs.

Each updated NCCR project procurement plan shall also be reviewed and cleared by the World Bank.

As a planning tool, the Procurement Plan shall include the following (all these are now managed and facilitate in STEP):

a. The detailed breakdown of Goods, Works and Non-Consulting Services as well as Consulting Services required for the project;
b. A schedule of the planned delivery, implementation or completion dates.
c. An indication and justification for whether it shall be implemented within a single year period or under a multi-year period;
d. An indication of which items can be aggregated for procurement as a single package or for procurement through an applicable arrangement);
e. An indication of which items shall be packaged into lots;
f. An estimated cost of each package of goods, works and non-consulting services and consulting services required and an indication of the cost estimate and sources of funding;
g. An indication of the appropriate procurement method for each procurement;
h. An indication of prior or post-approval required from the Bank;
i. Delivery time and place;
The Procurement Plan will include at minimum the following data columns for each procurement:

a. Contract Description;
b. Estimated cost USD;
c. Procurement method;
d. Prior/Post IDA Review;
e. Date of IDA No Objection to bid documents or RFP;
f. Date of Bid Submission & Opening;
g. Date of Bid Evaluation or Technical Proposal Evaluation and IDA No Objection;
h. Date of Award/Signing of Contract;
i. Date of Commencement date

As a monitoring tool, the monitoring tool will include at minimum the following milestones data columns for each procurement:

i. Contract Description;
ii. Estimated cost USD;
iii. Actual Contracted Cost USD
iv. Procurement method;
v. Prior/Post IDA Review;
vi. Bid docs & SPN to IDA;
vii. IDA No Objection to bid documents;
viii. SPN Advert date;
ix. Bid submission & Opening;
x. Bid Evaluation;
xi. Tender Committee approval;
xii. IDA No Objection;
xiii. Notification of Award;
xiv. Signing of Contract;
xv. Date of Issue; and
xvi. Commencement date

The Procurement Planning shall be integrated with the annual work planning and budget process. A Multi-Year Procurement Plan will be prepared for NCCR project.

The NPS will work together with relevant NCCR project team members at the NBI centres to finalise and update detailed procurement plan and planning procurement action in general;

2.17 Scheduling of Procurement

The World Bank shall review the procurement plan submitted by each Centre and the IEs, including contract packaging, applicable procedures, and the scheduling of the procurement process, for its conformity with the
procedures laid down in the procurement plan and the proposed implementation plan and the disbursement schedule.

All NBI centres and IEs shall promptly inform the World Bank of any delay, or other changes in the scheduling of the procurement process, which could significantly affect the timely and successful implementation of the project contracts, and agree with the World Bank on corrective measures.

2.18 Bank Reviews and Approvals

The review of the complete procurement process for all goods, works, and non-consultant services as well as consultant services is a necessity and will be carried out by the respective NBI centre and IEs as applicable. Each centre will be responsible for obtaining the “No Objection” at various stages of procurement from the World Bank for all prior review procurements activities in NCCR project. This will include seeking No Objection on behalf of NBI centres and IEs.

The table below provides the overall Bank thresholds for procurement categories under substantial risk.

New Risk-Based Procurement Clearance Thresholds

<table>
<thead>
<tr>
<th>Procurement Category in current PROCYS</th>
<th>Procurement Category in new Matrix</th>
<th>Estimated Contract Cost in US Dollars (millions)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Design, Build &amp; Operate Solid Waste facility Output and Performance-based Road Contracts Plant Design, Supply, and Installation Works</td>
<td>Works, Turnkey and S&amp;I of Plant and Equipment</td>
<td>&gt;=10</td>
</tr>
<tr>
<td>Goods Health Sector Goods Textbooks</td>
<td>Goods</td>
<td>&gt;=1</td>
</tr>
<tr>
<td>Information Systems Non-Consulting Services Procurement of Management Services</td>
<td>IT Systems, and Non-Consulting Services</td>
<td>&gt;=1</td>
</tr>
<tr>
<td>Consultant Services - Firm</td>
<td>Consultant Services</td>
<td>&gt;=0.5</td>
</tr>
<tr>
<td>All Direct Contracting and Single-Source</td>
<td>Works, Turnkey and S&amp;I of ….</td>
<td>&gt;=0.1</td>
</tr>
<tr>
<td></td>
<td>Goods</td>
<td>&gt;=0.1</td>
</tr>
</tbody>
</table>

The Procurement Risk Rating is subject to change. The Procurement Risk Rating is determined by the procurement capacity of the PIA. If the capacity is enhanced the Risk Rating to change to “Medium” or “Low”, and subsequently the Prior Review Thresholds will go up.
## Procurement Method Thresholds for NCCR

<table>
<thead>
<tr>
<th>S/No.</th>
<th>Procurement Method</th>
<th>Threshold (US$ million)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Open international (Goods)</td>
<td>≥ 3.0</td>
</tr>
<tr>
<td>2</td>
<td>Open national (Goods)</td>
<td>&lt; 3.0</td>
</tr>
<tr>
<td>3</td>
<td>RfQ (Goods)</td>
<td>&lt; 0.1</td>
</tr>
<tr>
<td>4</td>
<td>Open international (Works)</td>
<td>≥ 15.0</td>
</tr>
<tr>
<td>5</td>
<td>Open National (Works)</td>
<td>&lt; 15.0</td>
</tr>
<tr>
<td>6</td>
<td>RfQ (Works)</td>
<td>&lt; 0.2</td>
</tr>
<tr>
<td>7</td>
<td>Open international (IT Systems and Non-Consultant Services)</td>
<td>≥ 3.0</td>
</tr>
<tr>
<td>8</td>
<td>Open National (IT Systems and Non-Consultant Services)</td>
<td>&lt;3.0</td>
</tr>
<tr>
<td>9</td>
<td>RfQ (IT Systems and Non-Consultant Services)</td>
<td>&lt;0.1</td>
</tr>
<tr>
<td>10</td>
<td>Direct Contracting/Selection</td>
<td>No Ceiling</td>
</tr>
</tbody>
</table>

### Prior Review

Specified procurement decisions for all procurements of goods, works and services shall be subject to Prior Review by the Bank consistent with the procurement Plan approved in STEP. The following documentation require prior review by the World Bank in general:

For goods, works and non-consulting services, a prior review & no-objection from the World Bank is generally required for (for prior review activities):

i. SPN

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The threshold for shopping is defined under para 3.5 of the Guidelines and should normally not exceed US$ 100,000 for off-the-shelf goods and commodities; and US$ 200,000 for simple works.
ii. Bidding documents

iii. Addendums to Bidding Documents

iv. Bid evaluation report and recommendation of award;

v. Contract modifications of significant impact (Cost above 15% of the contract amount & major Terms and conditions of the contract and scope changes)

For consulting services, a prior review & no-objection from the World Bank is generally required for (for prior review activities):

i. Terms of Reference

ii. SPN (REoI);

iii. EOI evaluation report and recommendation for short list of consultants;

iv. RFP documents containing Letter of Invitation, Information to Consultants and Conditions of Contract;

v. Addendums to RFP

vi. Evaluation report of the technical proposals;

vii. Negotiated draft contract & minutes of negotiations

viii. Major contract modifications/addendums.

Steps in the Prior Review Process

The steps that would be followed with respect to the contracts, which are made subject to the World Bank’s prior review, are as given below:

a. In cases where prequalification is used, the NBI centres as applicable, before prequalification submissions are invited, furnish the World Bank with the draft documents to be used, including the text of the invitation to prequalify, the prequalification questionnaire, and the evaluation methodology, together with a description of the advertising procedures to be followed, and shall introduce such modifications in said procedure and documents, as the World Bank shall reasonably request. The list of prequalified bidders, together with a statement of their qualifications and reasons for the exclusion of any applicant for prequalification, shall be furnished by the NBI centre as applicable to the World Bank for its comments before the applicants are notified of the NBI centre’s decision, and the relevant NBI centre shall make such additions to, deletions from, or modifications in the said list as the World Bank shall reasonably request.

b. Before bids are invited, the NBI centre shall furnish to the World Bank for its comments, draft Bidding Documents, including the invitation to bid; instructions to bidders, including the basis of bid evaluation and contract award; and the conditions of contract and specifications for works, supply of goods, or installation of equipment, etc., as the case may be, together with a description of the advertising procedures to be followed for the bidding (if prequalification has not been used), and shall make such modifications in the said documents as the World Bank shall reasonably request. Any further modification shall require the World Bank’s concurrence before it is issued to the prospective bidders.

c. After bids have been received and evaluated, the NBI centre shall, before a final decision on the award is made, furnish to the World Bank, in sufficient time for its review, a detailed report (prepared, if the World Bank shall so request, by experts acceptable to the World Bank), on the evaluation and comparison of the bids
received, together with the recommendations forward and such other information as the World Bank shall reasonably request. The World Bank shall respond accordingly.

d. If the NBI centre requires an extension of bid validity to complete the process of evaluation, obtaining necessary approvals and clearances, and awarding the contract, it should seek the World Bank’s prior concurrence for the first request for an extension, if it is longer than eight weeks, and for all subsequent requests for extension, irrespective of the period.

e. The terms and conditions of a contract shall not, without the World Bank’s concurrence, materially differ from those on which bids were asked or prequalification of contractors, if any, was invited.

f. One conformed, a copy of the contract shall be furnished to the World Bank promptly after its execution and prior to delivery to the World Bank of the first application for withdrawal of funds from the Grant Account in respect of such contract. Where payments for the contract are to be made out of a Special Account (SA), a copy of the contract shall be furnished to the World Bank prior to the making of the first payment out of the SA in respect of such contract.

g. All evaluation reports shall be accompanied with a summary of the procurement on a form provided by the World Bank. The description and amount of the contract, together with the name and address of the successful bidder, shall be subject to release by the World Bank upon confirmation by the NBI centre of contract award.

Post Review

All cases of procurement, which do not come under the need for Prior Review, shall be post reviewed by the Bank. Post review covers the final contract along with appendices and copy of evaluation note/award recommendations, which should be submitted along with the checklist as prepared by the Bank. All the required documents will be reviewed by the Bank on sampling basis in all cases, regardless of value.

With respect to each contract not governed by prior review, the NBI centre shall furnish to the World Bank, promptly after its signing and prior to delivery to the World Bank of the first application for withdrawal of funds from the Grant Account in respect of such contract, one conformed copy of such contract, together with the analysis of the respective bids, recommendations for award, and such other information as the World Bank shall reasonably request.

Where payments for the contract are to be made out of a Special Account, a copy of the contract, together with the other information required to be furnished to the World Bank, shall be furnished to the World Bank prior to delivery of the first replenishment application in respect of such contract to the World Bank.

Change from Post Review to Prior Review

A contract whose cost estimate was below the Bank’s prior review threshold as indicated in the Procurement Plan shall fall under prior review if the price of the lowest-evaluated bidder exceeds such threshold. All related
procurement documentation already processed, including the evaluation report and recommendation for award, shall be submitted to the Bank for its prior review and no objection before the award of the contract. When, to the contrary, the price of the selected bidder falls below the prior review threshold, the prior review process shall continue. Under certain circumstances, the Bank may require the NBI centre concerned to follow a prior review process for a contract below the Bank’s prior review threshold in the case of a complaint it has determined to be of a serious nature. In addition, when the procurement method requires change due to higher or lower cost estimates than previously assessed, for example from NCB to ICB or inversely, the procurement plan shall be modified by the respective NBI centre and submitted to the Bank for review and no objection.

**Modifications and Amendments**

In the case of contracts subject to prior review, before granting a material extension of the stipulated time for performance of a contract, agreeing to any modification or waiver of the conditions of such contract, including issuing any change order or orders under such contract (except in cases of extreme urgency) which would in aggregate increase the original amount of the contract by more than 15 percent of the original price, the NBI centre shall inform the World Bank of the proposed extension, modification, or change order and the reasons thereof. If the World Bank determines that the proposal would be inconsistent with the provisions of the Grant Agreement and other related legal documents, it shall promptly inform the relevant NBI centre and state the reasons for its determination. A copy of all amendments to the contract shall be furnished to the World Bank for its record.

2.19 Selection and employment of consultants

The consulting services refer to that which is of an intellectual and advisory nature. This does not include physical aspects of the activity predominate, are bid and contracted on the basis of performance of measurable physical output, and for which performance standards can be clearly identified and consistently applied, such as drilling, aerial photography, satellite imagery, mapping, and similar operations, as well as the construction of works, manufacture of goods, and operation and maintenance of facilities or plant.

The following are the five main considerations on the consultant’s selection process:
(a) the need for high-quality services,
(b) the need for economy and efficiency,
(c) the need to give all eligible consultants an opportunity to compete in providing the services to NCCR project,
(d) the Bank’s interest in encouraging the development and use of national consultants in its developing member countries, and
(e) the need for transparency in the selection process.

It is important that consultancies address these considerations through competition among qualified short-listed firms in which the selection is based on the quality of the proposal and, where appropriate, on the cost of the services to be provided.

**Conflict of Interest**

Consultants are required to provide professional, objective, and impartial advice and at all times hold the client’s interests paramount, without any consideration for future work, and that in providing advice they avoid conflicts
with other assignments and their own corporate interests. Consultants shall not be hired for any assignment that would be in conflict with their prior or current obligations to other clients, or that may place them in a position of being unable to carry out the assignment in the best interest of the NBI under NCCR project. Without limitation on the generality of the foregoing, consultants shall not be hired under the circumstances set forth below:

(a) Conflict between consulting activities and procurement of goods, works, or non-consulting services (i.e., services

(b) Conflict among consulting assignments: Neither consultants (including their personnel and sub-consultants), nor any affiliate that directly or indirectly controls, is controlled by, or is under common control with that firm, shall be hired for any assignment that, by its nature, may be in conflict with another assignment of the consultants. As an example, a consultant hired to prepare Terms of Reference (TOR) for an assignment shall not be hired for the assignment in question.

(c) Relationship with NBI’s staff: Consultants (including their experts and other personnel, and sub-consultants) that have a close business or family relationship with a professional staff of the NBI (or of the project implementing entity, or of a recipient of a part of the grant) who are directly or indirectly involved in any part of: (i) the preparation of the TOR for the assignment, (ii) the selection process for the contract, or (iii) the supervision of such contract may not be awarded a contract unless the conflict stemming from this relationship has been resolved in a manner acceptable to the Bank throughout the selection process and the execution of the contract.

(d) A consultant shall submit only one proposal, either individually or as a joint venture partner in another proposal. If a consultant, including a joint venture partner, submits or participates in more than one proposal, all such proposals shall be disqualified. This does not, however, preclude a consulting firm to participate as a sub-consultant, or an individual to participate as a team member, in more than one proposal when circumstances justify and if permitted by the RFP.

Eligibility

To foster competition, the Bank permits consultants (firms and individuals) from all countries to offer consulting services for Bank-financed projects. Any conditions for participation shall be limited to those that are essential to ensure the firm’s capability to fulfill the contract in question.

Government officials and civil servants of the Recipient’s country may only be hired under consulting contracts in the Recipient’s country, either as individuals or as members of the team of experts proposed by a consulting firm, provided that such hiring does not conflict with any employment or other laws or regulations, or policies of the Recipient’s country and if they (i) are on leave of absence without pay, or have resigned or retired; (ii) are not being hired by the agency they were working for before going on leave of absence without pay, resigning, or retiring; and (iii) their hiring would not create a conflict of interest. In the case of resignation or retirement, for a period of at least 6 (six) months, or the period established by statutory provisions applying to civil servants in the Recipient’s country, whichever is longer.

Professors or staff and experts in specialized fields from universities, educational institutions, and research institutes can be contracted individually on a part-time basis provided that they have been full-time employees of their institutions for a year or more before being contracted and such hiring is justified for the services required.

A firm or an individual sanctioned by the Bank shall be ineligible to be awarded a Bank-financed contract, or to benefit from a Bank-financed contract, financially or in any other manner, during such period of time as the Bank shall determine.
**Terms of Reference (TOR)**

The NBI centres as applicable shall be responsible for preparing the TOR for the assignment. The TOR shall be prepared by a person(s) or a firm specializing in the area of the assignment. The scope of the services described in the TOR shall be compatible with the available budget. The TOR shall define clearly the objectives, goals, and scope of the assignment and provide background information (including a list of existing relevant studies and basic data) to facilitate the consultants' preparation of their proposals. If the transfer of knowledge or training is an objective, it should be specifically outlined along with details of the number of staff to be trained, and so forth, to enable consultants to estimate the required resources. The TOR shall list the services and surveys necessary to carry out the assignment and the expected outputs. The TOR should not be too detailed and inflexible, so that competing consultants may propose their methodology and staffing. Firms shall be encouraged to comment on the TOR in their proposals. The NBI centres and the consultants’ respective responsibilities should be clearly defined in the TOR.

**Cost Estimate (Budget)**

Preparation of a well-thought-through ToR is essential for the preparation of a good cost estimate. The cost estimate shall be prepared by the NBI centres for the purposes of AWP and budget preparation based on an initial, but professionally crafted, TOR. It is based on a careful assessment of the resources needed to carry out the assignment: experts’ time, logistical support, and physical inputs (for example, vehicles, laboratory equipment) and all associated taxes considerations that good cost estimate is to be prepared. Consultancy assignments Cost estimates are usually divided into two broad categories: (a) fee or remuneration (according to the type of contract used), and (b) reimbursable items, and further divided into foreign and local costs. The cost of experts’ time inputs shall be estimated based on a realistic assessment of required international and national expertise to a given assignment. The RFP/ToR shall indicate the estimated level of experts’ time inputs or the estimated total cost of the contract, but not detailed estimates such as fees.

**Different Approved Selection methods and arrangements as per the Bank’s Procurement Regulations for IPF Borrowers**

**Quality- and Cost-Based Selection (QCBS):** is the most commonly recommended method, however, QCBS is not the most appropriate method of selection for all cases. The specific contracts to be financed under the project, and their method of selection, consistent with the provisions of the Grant Agreement, shall be specified in the PPSD and approved Procurement Plans in STEP.

**QUALITY- AND COST-BASED SELECTION (QCBS)**

QCBS uses a competitive process among short-listed firms that takes into account the quality of the proposal and the cost of the services in the selection of the successful firm. Cost as a factor of selection shall be used judiciously. The relative weight to be given to the quality and cost shall be determined for each case depending on the nature of the assignment. The selection process shall include the following steps:
(a) preparation of the TOR;
(b) preparation of cost estimate and the budget, and short-listing criteria;
(c) advertising;
(d) preparation of the short list of consultants;
(e) preparation and issuance of the RFP (which should include: the Letter of Invitation (LOI), Instructions to Consultants (ITC), the TOR, and the proposed draft contract);
(f) receipt of proposals;
(g) evaluation of technical proposals: consideration of quality;
(h) public opening of financial proposals;
(i) evaluation of financial proposal;
(j) final evaluation of quality and cost; and
(k) negotiations and award of the contract to the selected firm.

QUALITY-BASED SELECTION (QBS)

QBS is appropriate for the following types of assignments:
(a) complex or highly specialized assignments for which it is difficult to define precise TOR and the required input from the consultants, and for which the client expects the consultants to demonstrate innovation in their proposals (for example, country economic or sector studies, multi-sector feasibility studies, design of a hazardous waste remediation plant or an urban master plan, sector reforms);
(b) assignments that have a high downstream impact and in which the objective is to have the best experts (for example, feasibility and structural engineering design of such major infrastructure as large dams, policy studies of national significance, management studies of large government agencies); and
(c) assignments that can be carried out in substantially different ways, such that proposals will not be comparable (for example, management advice, and sector and policy studies in which the value of the services depends on the quality of the analysis).

In QBS, the RFP may request submission of a technical proposal only (without the financial proposal), or request submission of both technical and financial proposals at the same time, but in separate envelopes (two-envelope system). The RFP shall provide either the estimated budget or the estimated time of key experts, specifying that this information is given as an indication only and that consultants shall be free to propose their estimates.

SELECTION UNDER A FIXED BUDGET (FBS)

This method is appropriate only when the assignment is simple and can be precisely defined and when the budget is fixed. The RFP shall indicate the available budget and request the consultants to provide their best technical and financial proposals in separate envelopes, within the budget. The TOR should be particularly well-prepared to make sure that the budget is sufficient for the consultants to perform the expected tasks. The RFP shall clearly indicate whether the budget includes taxes or levies payable in the Recipient country, and the price of any inputs provided by the client. Proposals that exceed the indicated budget shall be rejected. The consultant who has submitted the highest-ranked technical proposal among the rest shall be selected and invited to negotiate a contract.

LEAST-COST SELECTION (LCS)

This method is generally appropriate for selecting consultants for assignments of a standard or routine nature (audits, engineering design of noncomplex works, and so forth) where well-established practices and standards
exist. Under this method, a “minimum” qualifying mark for the “quality” is established. Proposals, to be submitted in two envelopes, are invited from a short list. Technical proposals are opened first and evaluated. Those securing less than the minimum qualifying mark are rejected, and the financial proposals of the rest shall be opened. The firm with the lowest price shall then be selected. Under this method, the minimum qualifying mark shall be established.

SELECTION BASED ON THE CONSULTANTS’ QUALIFICATIONS (CQS)
This method may be used for small assignments (up to USD 300,000) or emergencies declared by the Recipient and recognized by the Bank for which the need for issuing an RFP and preparing and evaluating competitive proposals is not justified. A TOR is first prepared and expressions of interest that include information on their experience and qualifications are obtained. This can eventually be through an REOI as may be needed, from as many firms as possible, and at least three qualified firms with relevant experience are determined. Firms having the required experience and competence relevant to the assignment shall be assessed and compared, and the best qualified and experienced firm shall be selected.

Only the selected firm shall be asked to submit a combined technical and financial proposal and, if such proposal is responsive and acceptable, be invited to negotiate a contract. Both technical and financial aspects of the proposal may be negotiated. If the negotiations fail with the selected firm, the provisions of paragraph 2.30 apply. The minutes of negotiations shall be prepared and signed by both parties.

DIRECT SELECTION (DS)
Direct selection of consultants does not provide the benefits of competition regarding quality and cost, lacks transparency in selection, and could encourage unacceptable practices. Therefore, Direct Selection shall be used only in exceptional cases. The justification for DS shall be examined in the context of the overall interests of the client and the project, and the Bank’s responsibility to ensure economy and efficiency and provide equal opportunity to all qualified consultants. DS may be appropriate in the following cases, and only if it presents a clear advantage over the competition: (a) for tasks that represent a natural continuation of previous work carried out by the consultant; (b) in exceptional cases, such as, but not limited to, in response to natural disasters and for emergencies both declared by the Recipient and recognized by the Bank; (c) for very small assignments; or (d) when only one firm is qualified or has experience of exceptional worth for the assignment. In all such cases, the Recipient is not required to issue an RFP and shall submit to the Bank for its review and no objection to the TOR of the assignment, a sufficiently detailed justification including the rationale for single-source selection instead of a competitive selection process, and the basis for the recommendation.

Dollar thresholds defining “small” shall be determined in each case, taking into account the nature and complexity of the assignment, but shall not exceed US$300,000, other than in exceptional cases.

Dollar thresholds defining “very small” shall be determined in each case, taking into account the nature and complexity of the assignment, but shall not exceed US$100,000, other than in exceptional cases.

Short list comprising entirely of national firm consultants for services, estimated to cost less than $300,000 equivalent per contract, may comprise entirely of national consultants in accordance with the provisions of paragraph 2.7 of the Consultant Guidelines.
Selection Of Individual Consultants

Individual consultants are employed on assignments for which (a) a team of experts is not required, (b) no additional outside (home office) professional support is required, and (c) the experience and qualifications of the individual are the paramount requirement.

When coordination, administration, or collective responsibility may become difficult because of the number of individuals, it would be advisable to employ a firm. When qualified individual consultants are unavailable or cannot sign a contract directly with a Recipient due to a prior agreement with a firm, the Recipient may invite firms to provide qualified individual consultants for the assignment.

Advertisement for seeking expressions of interest (EOI) is encouraged, particularly when the Recipient does not have knowledge of experienced and qualified individuals or of their availability, or the services are complex, or there are potential benefits from wider advertising, or if it is mandatory under national law. It may not, however, be required in all cases and should not take place for small value contracts.

All invitations for EOIs should specify selection criteria that are solely based on experience and qualifications. When firms are invited to propose individual consultants, EOIs shall clarify that only the experience and qualifications of individuals shall be used in the selection process and that their corporate experience shall not be taken into account, and specify whether the contract would be signed with the firm or the proposed individuals.

Individual consultants are selected based on their relevant experience, qualifications, and capability to carry out the assignment. They do not need to submit proposals and shall be considered if they meet minimum relevant requirements which shall be determined by the Recipient based on the nature and complexity of the assignment, and assessed based on academic background and relevant specific experience, and, as appropriate, knowledge of local conditions such as national language, culture, administrative systems, and government organization. The selection shall be carried out through the comparison of the relevant overall capacity of at least three qualified candidates among those who have, directly or through a firm, expressed interest in the assignment or have been approached directly by the Recipient.

Individuals selected to be employed by the Recipient shall be the most experienced and best qualified, and shall be fully capable of carrying out the assignment. The Recipient shall negotiate a contract with the selected individual consultant, or the firm as the case may be.

Advertising for EOIs shall not normally take place for individual contracts below US$50,000. Such threshold shall, however, be determined in each case, taking into account the nature, complexity, and risks of the assignment, in the PPSD. The selection of individual consultants is normally not subject to prior review.

Each NBI centre as applicable shall, however, obtain the Bank’s no objection: (a) when it has not been able to compare at least three qualified candidates before hiring, in which case it shall provide the reasons; (b) before it invites firms to offer the services of individual consultants; (c) in case negotiations with the selected individual fail before proceeding to negotiate with the next best individual, or firm as the case may be; and (d) in case of single-source selection.

The Bank also requires a prior review of the selection of certain categories of individual consultants namely:
Those being hired for long-term technical assistance or advisory services for the duration of the project (above the prior review threshold outlined in the Grant Agreement or Procurement Plan), and (without regard to the prior review threshold) those being hired for legal work or project-related procurement activities. The prior review of TOR of individual consultants by the Bank is mandatory except as may be agreed in PPSD, in advance, for limited, simple, and small value assignments.

When a contract is signed with a consulting firm to provide individual consultants, either its permanent staff or associates or other experts it may recruit, the conflict-of-interest provisions described in the Procurement Regulations shall apply to the parent firm. No substitution of any individual who was initially proposed and evaluated shall be permitted, and in such a case, the contract will be signed with the next ranked consultant.

Individual consultants may be selected on a single-source basis with due justification in exceptional cases such as: (a) tasks that are a continuation of previous work that the consultant has carried out and for which the consultant was selected competitively; (b) assignments with a total expected duration of less than 6 (six) months; (c) urgent situations; and (d) when the individual is the only consultant qualified for the assignment.

The Recipient shall submit to the Bank for its review and no objection the TOR of the assignment, a sufficiently detailed justification, including the rationale for single-source selection instead of a competitive selection process, and the basis for recommending a particular individual consultant in all such cases, except for contracts below a threshold defined on the basis of risks and the scope of the project, and set forth in the Procurement Plan.

2.20 World Bank Policy – Corrupt and Fraudulent Practices

Guidelines for Procurement of Goods, Works, and Non-Consulting Services under IBRD Loans and IDA Credits & Grants by World Bank Recipients, dated January 2011 specify the following:

1. That Recipients (including beneficiaries of Bank loans), bidders, suppliers, contractors and their agents (whether declared or not), sub-contractors, sub-consultants, service providers or suppliers, and any personnel thereof, observe the highest standard of ethics during the procurement and execution of Bank-financed contracts. In pursuance of this policy, the Bank:

a. defines, for the purposes of this provision, the terms set forth below as follows:

i. “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party;

ii. “fraudulent practice” is any act or omission, including a misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain a financial or other benefit or to avoid an obligation;

iii. “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party;

iv. “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party;

v. "obstructive practice" is:
(aa) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive or collusive practice; and/or threatening, harassing or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or

(bb) acts intended to materially impede the exercise of the Bank’s inspection and audit rights provided for under paragraph 1.16(e) below.

(b) will reject a proposal for award if it determines that the bidder recommended for award, or any of its personnel, or its agents, or its sub-consultants, sub-contractors, service providers, suppliers and/or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;

(c) will declare mis-procurement and cancel the portion of the grant allocated to a contract if it determines at any time that representatives of the Recipient or of a recipient of any part of the proceeds of the loan engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the procurement or the implementation of the contract in question, without the Recipient having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner at the time they knew of the practices;

(d) will sanction a firm or individual, at any time, in accordance with the prevailing Bank’s sanctions procedures, including by publicly declaring such firm or individual ineligible, either indefinitely or for a stated period of time: (i) to be awarded a Bank-financed contract; and (ii) to be a nominated;

(e) will require that a clause be included in bidding documents and in contracts financed by a Bank loan, requiring bidders, suppliers and contractors, and their sub-contractors, agents, personnel, consultants, service providers, or suppliers, to permit the Bank to inspect all accounts, records, and other documents relating to the submission of bids and contract performance, and to have them audited by auditors appointed by the Bank.”

**Handling Allegations of Fraud or Corruption**

Reporting on suspected fraud and corruption can be done directly to the Bank Integrity Vice Presidency (INT) by email: investigations_hotline@worldbank.org; through the World Bank website; through the 24-hour hotline operated by a third party: toll-free +1-800-831-0463, collect calls +1-704-556-7046 (interpreters are available, anonymous calls accepted); or by contacting INT at the Bank’s Headquarter office in Washington D.C.: +1-202-458-7677.

All staff and contractors should be alert for indicators that fraud or corruption may have occurred. These include suspicious or unexplained transactions, bid-rigging, the use of shell companies to mask interests or ownership, lax enforcement of procurement rules, and other suspicious circumstances.

Allegations may also be received in writing to the relevant NBI centre ED, or any competent officer of NBI, and shall be dealt with as per rules and regulation of the Bank.
Applicable Laws and Settlement of Disputes

The conditions of the contract shall include provisions dealing with the applicable law and the forum for the settlement of disputes. International commercial arbitration in a neutral venue has practical advantages over other methods for the settlement of disputes. Therefore, the Bank requires that Recipients use this type of arbitration in contracts for the procurement of goods, works, and non-consulting services unless the Bank has specifically agreed to waive this requirement for justified reasons such as equivalent national regulations and arbitration procedures, or the contract has been awarded to a bidder from the Recipient’s country. The Bank shall not be named arbitrator or be asked to name an arbitrator. (Note - It is understood, however, that officials of the International Centre for Settlement of Investment Disputes (ICSID) shall remain free to name arbitrators in their capacity as ICSID officials).

The contract is usually governed by the UNCITRAL terms.

The courts of the place, from where the acceptance of bid has been issued, shall alone have jurisdiction to decide any dispute arising out of or in respect of the contract.

Irrespective of the place of delivery, the place of performance or place of payment under the contract or the place of issue of advance intimation of acceptance of bid, the contract shall be deemed to have been made at the place from where the acceptance of the bid has been issued (as applicable for the NBI centre).

Force Majeure

The conditions of contract in the SBDs stipulate that failure on the part of the parties to perform their obligations under the contract will not be considered a default if such failure is the result of an event of force majeure as defined in the conditions of contract.

Extract from GCC for the Standard Bidding Document for Procurement of Plant Design, Supply, and Installation:

"Force Majeure" shall mean any event beyond the reasonable control of the Employer or of the Contractor, as the case may be, and which is unavoidable notwithstanding the reasonable care of the Party affected, and shall include, without limitation, the following:

a. war, hostilities or warlike operations whether a state of war be declared or not, invasion, act of foreign enemy and civil war
b. rebellion, revolution, insurrection, mutiny, usurpation of civil or military government, conspiracy, riot, civil commotion and terrorist acts
c. confiscation, nationalization, mobilization, commandeering or requisition by or under the order of any government or de jure or de facto authority or ruler or any other act or failure to act of any local state or national government authority
d. strike, sabotage, lockout, embargo, import restriction, port congestion, lack of usual means of public transportation and communication, industrial dispute, shipwreck, shortage or restriction of power supply, epidemics, quarantine and plague
e. earthquake, landslide, volcanic activity, fire, flood or inundation, tidal wave, typhoon or cyclone, hurricane, storm, lightning, or other inclement weather condition, nuclear and pressure waves or other natural or physical disaster
f. shortage of labour, materials or utilities were caused by circumstances that are themselves Force Majeure.

Under such circumstances/ events where the supplier/ contractor may not be in a position, in spite of his best efforts, to meet the delivery/ completion schedule due to events beyond their control. In such cases, suitable delivery extension based on merit of the case may be granted for arranging the delivery of goods or completion of works. In addition, the supplier shall not be made liable for forfeiture of performance security, liquidated damages or termination of contract as per provisions made in the contract elsewhere. A suitable clause is provided in the SBD in the GCC and SCC to this effect.

Each NBI centre will define procedures including analytical work, inspections and verifications required to assess additional work if any required to be carried out due to these conditions.

**Settlement of Disputes**

**Example for Goods (but each case is governed by the provision of the terms and conditions of the specific contract agreement)**

The Purchaser and the Supplier shall make every effort to resolve amicably by direct informal negotiation any disagreement or dispute arising between them under or in connection with the Contract.

If the parties have failed to resolve their dispute or difference (within the stipulated timelines in the contract) by such mutual consultation, then either the Purchaser or the Supplier may give notice to the other party of its intention to commence arbitration, as hereinafter provided, as to the matter in dispute, and no arbitration in respect of this matter may be commenced unless such notice is given. Any dispute or difference in respect of which a notice of intention to commence arbitration has been given in accordance with this Clause shall be finally settled by arbitration. Arbitration may be commenced prior to or after delivery of the Goods under the Contract.

Arbitration proceedings shall be conducted in accordance with the rules of procedure *specified in the Special Conditions of Contract (SCC)*.

Notwithstanding any reference to arbitration herein,

a. the parties shall continue to perform their respective obligations under the Contract unless they otherwise agree; and
b. the Purchaser shall pay the Supplier any monies due the Supplier.

In cases of ICB / NCB, the Bidding Documents specify the procedure for appointment of arbitrator and his replacement etc. and provisions laid down therein should be followed. In other cases, the following information should be suitably incorporated in the request inviting the quotations to obtain the consent of the bidder to accept the arbitration clause.
(i) In the event of any question, dispute or difference arising under the contract conditions or any special conditions of contract, or in connection with the contract (except as to any matters the decision of which is specially provided for by these or the special conditions) the same shall be referred to the sole arbitration of an officer, from the NBI centre department other than the department which decided the contract, having sufficient knowledge of the law, appointed to be the arbitrator by the NBI centre. The decision of the arbitrator shall be final and binding on both parties to this contract.

(ii) In the event of the arbitrator dying, neglecting or refusing to act or resigning or being unable to act for any reason, it shall be lawful for the NBI centre to appoint another arbitrator in place of the outgoing arbitrator in the manner aforesaid,

(iii) It is further a term of the contract that no person other than the person appointed by respective NBI centre as previously mentioned should act as arbitrator and if for any reason that is not possible, the matter is not to be referred to arbitration at all.

(iv) Arbitrator may, from time to time, with the consent of all parties to the contract enlarge the time for making the award.

(v) In pursuance of a reference, the assessment of the costs incidental to the reference and award respectively shall be at the discretion of the arbitrator.

(vii) The arbitrator shall be requested to give a reasoned award.

(viii) The venue of arbitration shall be the place from which formal Acceptance of Bid is issued or such other place as the relevant NBI centre ED at his/her discretion may determine.

2.21 Procurement Complaint Handling

Complaints require prompt, careful and consistent responses from the NBI HBWP/ Component Coordinator as relevant to the respective NBI centre. The NCCR project will enforce a complaint handling mechanism to deal with the complaints received from the contractors/suppliers effectively. In principle, the Nile-SEC/ENTRO/NELSAP-CU Centre Head on behalf of each NBI centre will take all measures to take immediate action on all complaints received at the NBI centre in relation to NCCR project.

The first step of the process is that all complaints received will be entered in an NBI centre specific complaint register on NCCR project maintained by the Nile-SEC/ENTRO/NELSAP-CU. For all complaints received by the NBI, during the bid/proposal evaluation process or bidding process, each NBI centre will take action in accordance with the provision of Annex III of the Bank’s Procurement Regulations for IOF Borrowers. Bank financed Procurement complaints handling shall strictly follow the provisions of the Procurement regulations.

All complaints will be handled at a level higher than that which the procurement process was or being undertaken in the NBI centre and the allegations made in the complaints should be enquired into.
For prior review contracts, all Complaints during the bidding process and award stage shall be handled following Annex III of the procurement Regulations. Complaints during the contract execution or contractual claims or disputes shall be governed or managed following the terms and conditions of the specific contract agreement.

**Procedure for Handling Post Procurement, Protests and Complaints**

If a complaint is received after the award of any contract, appropriate action will be taken by respective NBI centre Head for inquiry, investigation and recommendations to be able to take remedial action.

If the complaint is related to alleged corruption or fraudulent practice in the NCCR project respective NBI centre procurement process, the concerned NBI centre Head may request a special investigation or audit or if necessary, appoint a special committee depending on the nature of the complaint, to carry out necessary inquiries and investigations and submit a report with recommended action to NBI centre Head with a copy to PSC for necessary action. All procurement related complaints cases shall be reported to the World Bank.

Each NBI centre will prepare semi-annual schedules of complaints received and action taken and submit them to the Bank as a part of respective NBI centre NCCR project semi-annual progress reports.

If individual staff are found responsible, suitable disciplinary proceedings should be initiated, against such staff under the applicable rules of conduct of NBI.

An appropriate response shall thereafter be sent to the complainant, for all prior review cases, all draft responses shall be reviewed and cleared by the Bank before the responses are issued to complainants.

**Procedure for Handling Ongoing Procurement, Protests and Complaints**

Procurement-related inquiries and complaints from suppliers, contractors, or consultants might occur from time to time.

Each NBI Centre should deal with general inquiries about NCCR project procurement framework, procedures and guidelines as provided in Annex III of the Bank’s Procurement Regulations.

Further is that if consultants, contractors or suppliers wish to raise issues or questions about the selection process, they may send the Bank copies of their communications with the respective NBI centre, or they may write to the Bank directly when the NBI centre does not respond promptly or when the communication is a complaint against the NBI centre.

All such communications should be addressed to the Task Team Leader for the project, with a copy to the Country Director for the borrowing country and the Regional Procurement Practice Manager. Names of the Task Team Leaders are available in the publicly PAD on the World Bank website.
2.22 Procurement Audit by Internal and External Auditors and Post Review by the World Bank

Auditors shall conduct post review of all the contracts under NCCR project as per laid down procedure at each NBI centre. All documents related to procurement should be filed and kept systematically and safely. In addition, the World Bank will also have the right to conduct post review of all NCCR project contracts at each NBI centre. The concerned authorities in respective NBI centre will be required to make all relevant documentation available to the World Bank, as and when required.

To establish that the procurement procedures comply with the Bank ‘s procurement procedures, each NBI Centre will carry out a review using the services of an external consultant identified through participation of all NBI centres. This audit may be conducted at least once a year. The consultant will review the procurement procedures adopted. Further, with the same audit, it will be ensured that records of all procurement are properly maintained, duly linked, and retained. The audit will be carried out as necessary, either by site visits or by desk reviews of documentation.

Discrepancies noticed by the audit will be reported to the NBI for taking necessary remedial measures. The reports of the external consultant will also be made available to the World Bank.

2.23 Noncompliance

Procurement Regulations for IPF Borrowers paragraph 3.24 provides that all expenditures incurred using the Bank funds without compliance with the agreed provisions of the Financing Agreement and as elaborated in the Procurement Plan are ineligible. In such cases, the Bank may, in addition to exercising the legal remedies set out in the Legal Agreement, take other appropriate actions, including declaring mis procurement (for example, due to failure to address complaints in accordance with applicable requirements. The Bank declares such expenditure as mis procurement, and it is the policy of the Bank to cancel that portion of the FA allocated to the procurement of either goods/works or services that have been mis-procured.

The Bank, may in addition, exercise other remedies provided under the Credit Agreement. Even if a contract was awarded after obtaining a —no objection from the Bank, it may still declare mis-procurement if it concludes that the —no objection was issued based on incomplete, inaccurate or misleading information furnished by the NBI or the terms and conditions of the contract had been modified without Bank ‘s approval.

2.24 Waste and Value for Money

Waste – involves the project beneficiaries not receiving reasonable value for money in connection with any project-funded activities due to an inappropriate act or omission by players with control over or access to project resources (e.g., technical, procurement, fiduciary or other recipients). Importantly, waste goes beyond fraud and abuse and most waste does not involve a violation of the law. Rather, waste relates primarily to mismanagement, inappropriate actions and inadequate oversight. Procurement is one of the areas prone to waste and all persons involved in procurement-related functions should ensure that it is avoided in their areas of responsibilities.
2.25 Documents for Procurement Information

Each NBI centre will develop an effective simple Procurement Information System to monitor each contract in respect of pre-award and post-award stages. This will also be interacting with the Management Information System to be established at Nile-SEC. As part of this, computerized registers shall be maintained for recording the details relating to pre-award and post-award stages. The registers shall be maintained manually until the computerized systems are made available. The World Bank’s STEP platform provides end-to-end tracking and recording of procurement activities and all Bank financed contracts actions are to be recorded and updated in STEP.

For the NBI internal communication purpose, the bid / Proposal register has to be maintained to monitor the various stages of the bid before the award of the contract. The register shall have a separate folio for each bid/proposal and shall contain the estimated and actual dates of performing various stages of the bid/proposal.

Key Features of the Procurement Records Management System

The NBI procurement documentation and records management system will have the following features:

a. Procurement records management is mainstreamed and integrated with the overall records management and strategic plans in the respective NBI centre;
b. Responsibility for the care and management of procurement records is clearly defined and assigned by an administrative memo;
c. Procurement records are managed within the procurement cycle and within the records life cycle of creation, use, maintenance, preservation and disposal;
d. Maintenance of a complete and comprehensive individual procurement file with all key documents for each procurement activity;
e. Reflect linkage between procurement and payment files;
f. Clear referencing, coding, titling, and logical physical arrangement (in secure fireproof filing cabinets) of procurement files in order to permit fast and efficient document retrieval;
g. Maintenance and safeguarding of the confidentiality, integrity, and completeness of procurement files;
h. Regular removal of closed procurement files and documents from the current system to facilitate ease of access to active files;
i. The procurement record-keeping system is managed within the requirements of relevant existing legislation, such as the Public Procurement and Disposal Act and subsidiary Regulations

2.26 Procurement File

The Procurement file is important in the management of a procurement contract. Each NBI centre NCCR project procurement shall maintain a complete and comprehensive individual file, and marked with relevant procurement number, for each procurement requirement.

The file is opened for processing the procurement before the contract is awarded. It contains the following.
a. Procurement initiation requisition.
b. Bid document.
c. Bids received.
d. Bids opening
e. Evaluation and award of the contract.
f. Tender and procurement Committee minutes
g. Information on the award of the contract and particulars of the contract
h. Feasibility studies/surveys supporting the bid documents
i. Procurement Plans and Monitoring;
j. Advertising;
k. Pre /Post qualification;
l. Bid Validity Extensions;
m. Signed Contracts;
n. Contract Amendments and Variation Orders;
o. Actual Contract Payments vs. Contract Award Amount;
p. Securities (for Bid, Performance, Advances, Insurance, Liability, etc.);
q. Contractor’s Claims;
r. Damages and Penalties for Delays;
s. Protests from Bidders / Contractors;
t. Reasons for Slow Progress of Completion;
u. Contractual Disputes and their Resolution; Other Relevant Matters, etc.
3.0 Project Administrative Support

3.1 Office Travel

NBI travel policy and procedures apply to all staff, consultants, and subcontractor staff seconded to the NCCR project travelling on project business and incurring expenses to be covered from project funds. Project business involving would include travel for a meeting, training workshop, monitoring visits, and so forth.

Anyone on travel for project work is expected to exercise the same care in incurring expenses that a prudent person would exercise if travelling on personal business and expending personal funds. Section 2.04. Use of Goods, Works, and Services of the Standard Conditions for Grant Financing Made by the Bank Out of Trust Funds Dated February 25, 2019; stipulates that:

(a) except as the Bank shall otherwise agree, all goods, works, and services financed out of the proceeds of the Grant are used exclusively for the purposes of the NCCR project;

Two types of travel are anticipated under the project:

- International travel
- Domestic and local travel.

Travel both within and outside the country must be planned with and coordinated with the Component coordinator especially when not directly mentioned in the approved AWP. Individual NBI centre staff may sometimes be required to travel for work in some of the following circumstances:

- Participate in procurement evaluation,
- Participate in site monitoring visit,
- Contract supervision visit
- Meetings or activities organized by NBI centres and IEs
- Critical NCCR representational event organized by other organizations or the Bank

In such cases, the traveler is required to prepare a travel budget and to complete and sign requisite NBI forms:

i) Travel Authorization (Form Admin 08I)
ii) Advance Accountability Form (Form Fin 10)

The forms must be approved and signed by the HBWP or the Component Coordinator for the NBI centre and the NBI supervisors for all NCCR project backstopping staff as applicable. The travel request will include a clear scope of travel.

A Trip report along with any other related actions such as advance retirement from NBI will be submitted. The Trip report will be submitted to MER no later than 7 working days after each trip.

International travel charges, as applicable, require documented and prior Bank approval, so great care must be taken to get any required prior approval well in advance of travel.
**Travel Arrangements**

The traveler should always indicate the staff expected enter and exit travel status, travel purpose and destination, and mode of transportation in the travel form.

Travel arrangements on NCCR project at respective NBI centres will be coordinated by the NBI centre designated administrative officer working closely with the NBI centre procurement staff responsible for travel and transportation.

Travel planning and the timely submission of all necessary requests is the full responsibility of the traveler.

The NBI centre procurement is responsible for ensuring that all contracts prepared and signed in NCCR project safeguard against travel-related fraud.

NCCR project prohibits the personal use of project vehicles in line with the use of Goods, Works, and Services of the Standard Conditions for Grant Financing Made by the Bank Out of Trust Funds Dated February 25, 2019; which stipulates that:

(a) except as the Bank shall otherwise agree, all goods, works, and services financed out of the proceeds of the Grant are used exclusively for the purposes of the NCCR Project.

**Travel Expenses**

Approved lodging costs will be paid out to the maximum rate established under NBI Finance and Administration Manual.
**Reporting Travel Time**

There is no additional compensation in relation to NCCR project regardless of the length of the trip.

Staff time spent travelling while on NCCR project work is considered work time if any of the following is met:

- Travel is to and from another city for an assignment lasting one or more days.
- Travel is part of an employee's principal activity, such as travel from job site to job site during the workday.
- Time is spent performing any required work while traveling.
- Travel keeps employees away from home overnight when such travel occurs during employee’s normal work hours on regular work days, as well as non-work days. For example, if an employee’s normal work hours are 8:00 am to 5:00 pm Monday through Friday, travel time during these hours for overnight assignments is considered work time even if the travel occurs on Saturday or Sunday.

Time spent traveling is not considered as work time for any report preparation for any category of staff in relation to regular “home-to-work” travel.

**Change to Travel Schedule during Travel**

If an NBI centre staff on NCCR project duty needs to unexpectedly change his/her travel schedule and return home as a result of an emergency, or to extend his/her stay for programmatic reasons, the traveler must inform HBWP/ Component Coordinator as applicable for the NBI centre NCCR project. This can be done directly or through the NBI centre designated NCCR project administrator of the need for the proposed change in travel.

Extending the travel will however require written approval by the HBWP/ Component Coordinator as applicable and will be treated the same as an emergency expense in that the project reserves the right to disallow such costs if they are considered to be unnecessary or unreasonable.
3.2 Staff Meetings

NBI upholds the importance of meeting regularly with its staff to discuss the organization and project-specific matters that impact their individual, team, project, and organizational performance. The purpose of staff meetings in NCCR project shall be to communicate and share project-level information; to affirm and recognize good performance including of NBI centres and IEs, and to announce new developments in NCCR project including the Bank, etc.

It is important that meetings are convened when especially critical to avoid having meetings that are deemed time wasters. At NCCR project therefore the following guiding principles shall be followed at all times by the relevant NBI convener of a meeting:

i. The convener/s must plan for the meeting; determine the agenda, the participants and the objective of the meeting and share the same prior with all intended participants;

ii. designate a specific day and state the time and expected duration for the meeting;

iii. distribute previous minutes to all staff before the meeting;

iv. apply commensurate facilitation methods to ensure appropriate participation at the meeting;

v. during the meeting ensure that no unnecessary interruptions are allowed: accord fair treatment to all participants / do not accord special privileges.

The following types of technical meetings at NBI shall be scheduled:

<table>
<thead>
<tr>
<th>Name of Meeting</th>
<th>Frequency of Meeting</th>
<th>Purpose</th>
<th>Key participants</th>
<th>Duration and Preferred mode of meeting</th>
</tr>
</thead>
<tbody>
<tr>
<td>NBI centre NCCR project individual performance team meeting</td>
<td>Bi-Weekly on a set day and time each week</td>
<td>Focusing on individual priorities, progress/performance of previous week and problems requiring attention. Each staff gives 5-minute verbal report. Individual bullet point reports sent to MER at least two hours prior to meeting for compilation and to aid in minute taking.</td>
<td>NCCR project team Convened by HBWP/Component Coordinators respectively</td>
<td>One hour via video conference, in person or combination of both modes maintaining Covid19 protocols.</td>
</tr>
<tr>
<td>NCCR project Nile-SEC – NBI centres &amp; IEs Progress meetings</td>
<td>Monthly</td>
<td>Component by component status, focus on project implementation status based on AWP, budget, procurement plan, social-environmental standards, contract matters, and Aide Memoire actions</td>
<td>NBI centres and IEs convened by Nile-SEC</td>
<td>Two hours via video conference, in person, or combination of both modes maintaining Covid9 protocols. Initial meeting can include all participants while subsequent meetings can involve only Nile-SEC and concerned NBI centre or IE. Maintain Covid19 protocols.</td>
</tr>
<tr>
<td>Bank Implementation</td>
<td>As and when planned by the Bank</td>
<td>Bank project support session including site visits</td>
<td>NBI centres and IEs, Bank NCCR team</td>
<td>As per final Bank mission schedule</td>
</tr>
</tbody>
</table>
Support Mission meetings

The NCCR Project annual set of calendar meetings will be prepared by Nile-SEC NCCR project Administration and sent out to all NCCR key stakeholders in consultation with HBWP.

Registration of participants shall be mandatory for all NCCR meetings.

Minutes of meetings shall be circulated to members within two working days after the meeting.

Minute taking for regular NBI centre based NCCR technical meetings will be rotational as assigned but NBI centre-based MER and Administration will support HBWP/ Component Coordinator as applicable in convening and management of the various meetings.

### 3.3 Technical workshops

Technical workshops include training and non-training workshops convened for the realization of the NCCR project result area.

Section 3. of the Grant Agreement stipulates the following that ‘any Training proposed to be included in an Annual Work Plan and Budget, shall include, inter alia: (a) particulars of the Training envisaged; (b) the criteria for selection of the personnel to be trained, and such personnel if known; (c) the selection method of the institution or individuals conducting such Training; (d) the institution conducting such Training if identified; (e) the purpose and justification for such Training; (f) the location and duration of the proposed Training; and (g) the estimate of the cost of such Training and any travels associated with such Training.’

“Training” means reasonable expenditures (excluding costs of consultants’ services) incurred for Project-related training courses, seminars, workshops and other training activities, including costs associated with securing the services of trainers, preparation and reproduction of training materials, space and equipment rental, travel, accommodation and per diem costs of trainees and trainers, and other training-related miscellaneous costs, all based on an Annual Work Plan and Budget agreed with the Bank.

A facilitation concept shall be developed for each technical workshop in all NBI centres and IEs for NCCR project. The facilitation concept will be prepared by the designated NBI centre technical workshop leader and submitted for approval to the HBWP/ Component Coordinator as applicable for the NBI centre in writing. The related training expenses being operational in nature will not require prior Bank approval for each technical workshop. All technical workshops shall however be included as specific technical activity lines in the NCCR project AWP with a budget for annual Bank approval. NBI centre staff team members for NCCR project are advised to prepare concepts as early as possible for preparation noting that one concept can be developed for many related technical workshops.

Nile-SEC/ENTRO/ NELSAP-CU level technical workshop facilitation concepts will be approved by HBWP/ Component Coordinators designated by the respective NBI centres. Once approved the relevant NBI centre Project Administrator will lead in the provision of administrative support including coordination with
applicable finance and procurement. The technical workshop activity leader remains responsible for the overall planning and delivery of the technical activity.

3.3.1 Payments for Trainings, Workshops

Trainings, technical workshops associated costs fall under operating costs category.

“Operating Costs” means reasonable incremental expenses directly incurred on account of the implementation, management, and monitoring of the Project, including: (i) salaries of staff (excluding civil servants); (ii) travel costs; (iii) office supplies, office rental, office and equipment maintenance and repair; (iv) fuel, vehicle maintenance; (v) communication, translation and interpretation; and (vi) supervision costs and audits, as relevant; and other miscellaneous expenses directly associated with the Project and agreed to by the Bank.

3.3.2 Rates for Daily Training Allowances

The maximum rates payable to participants in technical workshops will be as per NBI approved rates.

Rates for allowances where accommodation is not applicable for local participants. Except where already approved by NBI for roundtrip daily transportation to venues outside of technical workshop participant regular duty station.

Non-local participants receive transport allowance or reimbursement as already approved by NBI.

- **Participants** are defined as individuals whose primary purpose at a training workshop or seminar is to learn, contribute, share, etc.
- **Trainers, Supervisors, Facilitators, Resource Persons** are individuals who conduct full-time trainings and workshops providing instruction or conducting supervision and monitoring visits.
- **Local Participants & Facilitators** are defined as those whom the activity does not require them to spend the night away from their official duty station.
- **Non-Local Participants & Facilitators** are defined as those who are required to spend the night away from their duty station in order to participate or facilitate the activity.

3.3.3 Advances

Each technical workshop participant is expected to retire per diem or allowances paid for the workshop as applicable. This will be in line with set procedures of NBI. Non-NBI staff shall be paid technical workshop advances or allowances where applicable as reasonably possible during or at the end of the workshop.

3.3.4 Technical Workshop facilitation concepts

See annex for the format for the technical workshop facilitation concept.
3.3.5 Non-Technical workshops or events

The applicable NBI centre NCCR project Administrator working closely with the HBWP/Component Coordinator will be responsible for preparation including facilitation of meeting-related operational requirements in line with NBI centre procedures. Therefore, no detailed facilitation concepts required for technical workshops will be required for such events not limited to staff meetings, PSC meetings, etc.

3.4 Use of Equipment & Property

Bank Policy Standard Conditions for Grant Financing Made by the Bank Out of Trust Funds (2019) Section 2.01. Project Execution Generally states that NBI shall ensure that:

(a) NCCR project is carried out: (i) with due diligence and efficiency; (ii) in conformity with appropriate administrative, technical, financial, economic, environmental and social standards and practices; and (iii) in accordance with the provisions of the Grant Agreement, including these Standard Conditions; and (b) the funds, facilities, services, and other resources required for the Project are provided promptly as needed. It further stipulates in Section 2.04. Use of Goods, Works, and Services; Maintenance of Facilities that Nile-SEC shall ensure that:

(a) except as the Bank shall otherwise agree, all goods, works, and services financed out of the proceeds of the Grant are used exclusively for the purposes of the Project; and

(b) all facilities relevant to the Project are at all times properly operated and maintained, and all necessary repairs and renewals of such facilities are made promptly as needed.

NBI Finance and Administration manual under section 14.1 Policy for maintenance of equipment, furniture, and premises states that NBI shall provide equipment; furniture and premises to enable staff to efficiently carry out their duties in a conducive, well equipped, secure and safe place to work in, both for its staff, visitors and service providers. NBI shall ensure that all equipment, furniture and premises are maintained in a proper usable condition. All staff shall ensure that all assets under their care are maintained in a proper condition and are used in a proper manner. Any misuse of assets or assets not in a proper usable condition shall immediately be reported to the Administration Officer (AO)/FADH or a designated officer of relevant NBI centre. Disciplinary action shall be taken against any staff who misuses the respective NBI assets.

On this note, NCCR property shall be used by designated NBI centre staff team for official use only. Every relevant NBI centre staff member shall be responsible for taking care of the assigned NCCR project property. This means that NCCR project staff at NBI centres shall take all reasonable steps to ensure that property that is entrusted to his/her care is adequately protected and not misused or misappropriated.

Office Telephone / Mobiles

NCCR procured phones will only be used for official NCCR project work in each NBI centre. NCCR project may facilitate the purchase of a mobile phone for specific NBI centre staff and only when deemed necessary and approved accordingly.

Pre-paid or post-paid air time will be given to relevant NBI centre team members on a monthly basis.
All receiving an official NCCR project mobile phone will sign a receiving form at the NBI centres. A copy of the same will be retained by NBI centre respective HR. The office asset will be returned to NBI centre upon respective NCCR project team member exit or contract termination or closure as applicable.

**Office Printers, Photocopiers and Scanners**

NCCR procured office printers, photocopiers and scanners will be used for official NCCR project work only at each NBI centre as applicable. It is therefore the responsibility of all NCCR staff to take good care of these facilities at all times and report any misuse to the relevant NBI centre office. This equipment shall not be moved out of official NBI centre designated NCCR project premises unless there is written permission. A signed approval form will be prepared and kept in the file with copy issued to FADH or office security focal point of the relevant NBI centre before any of this equipment is moved out of the NCCR office at any time.

**Computers**

Computers will be issued to NBI centre team members for official NCCR project business only and only when approved accordingly.

All NCCR staff at NBI centres receiving an official computer will sign a receiving form. A copy of the form will be retained by respective NBI centre HR. The office asset will be returned to NBI centre upon NCCR project team member exit or contract termination or closure as applicable. All computers procured under the NCCR project will be used for NCCR project work.

**Vehicles**

NCCR procured project vehicles shall only be used for NCCR related business. Personal use of the vehicles by relevant NBI centre staff is not permitted and therefore all NCCR project vehicles shall be pooled for use in official business.

NCCR project log books shall be kept under the custody of NBI centre/ FADH or equivalent.

Only the official designated driver may drive the NCCR project vehicle in NBI centres. Use of seat belts for driver and front-seat passengers is mandatory. The driver/s will maintain a written work ticket of vehicle use and maintenance that will be reviewed regularly by the respective NBI centre Administrative/ logistics departmental head in charge of transport.

Vehicles will be used for official purposes within working hours. If it becomes necessary for the vehicle to be used during the weekend, then approval of the NBI centre ED or HBWP/Component Coordinator as delegated shall be sought ahead of the journey.

However, while on-field activities, the vehicle should be packed in a secure place by 7:00 p.m. Determination of secure places shall be made by the concerned driver in liaison with the Head of the transport department of the relevant NBI centre.

NBI administration transport backstopping team in the NBI centres shall be responsible for coordinating day-to-day NCCR project vehicle use in liaison with the NBI centre NCCR Project Administrator.
**Office Supplies**

All NBI staff are supposed to be economical in the usage of stationery with specific caution aimed at guarding against unnecessary pilferage and depletion of natural resources since more papers mean massive deforestation. This contributes to the Bank's environmental standards requirement.

(1) Utmost economy shall be exercised in the ordering and use of official stationery. Official stationery must not be used for private correspondence.

(2) Printing should be reduced to a minimum and comparative cost of using duplicating/photocopying machines and printing should be considered before any orders are given to print.

(3) All stocks of official stationery should be kept under lock and key and issued by the designated NBI centre NCCR project staff (Administrative Assistant) in support of project administration only when required.

The Administrative Assistant will maintain and update the inventory list, which will include a record of the supplies received and the supplies taken. The Administrative Assistant is responsible for monitoring stationery supplies and ensuring their replenishment. The Administrative Assistant will prepare a **Requisition Form** for supplies and submit requisitions to the Project Administration onward to HBWP/ Component Coordinator as applicable for each NBI centre for approval before additional supplies are procured.

For procurement of regular project supplies, each year, the NCCR project should select on a competitive basis local vendor(s)/supplier(s) from whom office supplies will be purchased, issue purchase agreement(s), and make regular purchases of supplies under those agreements.

### 3.5 Filing of NCCR documents

The Grant agreement Section II. Project Monitoring, Reporting, and Evaluation states that on A. Documents; Records In addition, and without limitation to the obligations outlined in Section 2.05 of the Standard Conditions, the Recipient shall ensure that:

(a) all records evidencing expenditures under the Project are retained for seven years and six months after the Closing Date, such records to include: (i) this Agreement, all addenda thereof, and any amendments thereto; (ii) the Recipient’s financial and narrative progress reports submitted to the Bank; (iii) the Recipient’s financial information related to the Grant, including audit reports, invoices and payroll records; (iv) the Recipient’s implementation documentation (including sub-agreements, procurement files, contracts, purchase orders); and (v) the corresponding supporting evidence referred to in Section 3.04 of the Standard Conditions; and
(b) the representatives of the Bank are: (i) able to examine all records referred to above in paragraph (a); (ii) provided all such information concerning such records as they may from time-to-time reasonably request; and (iii) able to disclose such records and information to the donor(s).
To fulfill this requirement NCCR shall at all times maintain a filing system to enable ease access and retrieval of documents. Technical, financial, procurement, HR (NBI centre staff, NBI centre based individual consultants) and administrative files will be kept. Files shall be kept in physical and electronic copies whichever format is most appropriate for the function.

Technical files shall be kept in custody in the HBWP’s/ Component Coordinator’s office or his designated person in NCCR.

NCCR procurement documents at NBI centre will eventually be kept by the NBI centre FADH but will be stored for day-to-day use by the NBI centre NCCR project Procurement Specialist.

NCCR financial management documents at NBI centre will eventually be kept by NBI centre FADH but will be stored for day-to-day use by the NBI centre Financial Management Specialist for NCCR project.

NCCR MER documents at the NBI centre will be kept for day-to-day use by the NBI centre MER Specialist for the NCCR project.

The NBI centre shall elect to use any filing system considered appropriate to its needs in both physical and electronic formats and in relation to NCCR project. The common filing types may be by category (record series).

The technical record series or categorization shall be done along key thematic areas followed by sub categories of each item as in the examples given below:

- Legal: NCCR project agreements, PAD, Aide Memoires etc.
- Technical Planning: Annual work plans, weekly plans etc.
- Staff and Consultants: Each staff file including signed asset forms, monthly staff reports
- Contract management: contract files, deliverables and reports, progress meeting minutes etc. for each contract
- Technical component reports: Quarterly and annual reports etc.

Documents within each record series can be arranged on these basic filing systems:

1. Alphabetical (A, B, C, D, etc.)
2. Numerical (1, 2, 3, 4, etc.)
3. Chronological (January, February etc.)

**Labeling**

All files will be labeled after filing in a cabinet or a shelf for ease of retrieval. Labeling involves writing the file name on the tab of the file folder, close to the top of the tab, to be easily seen.

**Confidential filing**

The HBWP/ Component Coordinator at the NBI centre concerned shall be responsible for filing all information categorized as confidential. The confidential information or materials shall be kept under key and lock.
3.6 Property Management

All equipment and supplies in use under the NBI centre for NCCR project will need to be controlled and monitored from the point of acquisition or procurement to final disposition. Furthermore, the equipment and supplies must be used only for the purposes permitted under the project agreement or contract.

Non-expendable Property (NXP) such as vehicles, computers, mobile phones, motorcycles, and Managed Equipment, i.e., equipment that is of a lesser value than NXP but by its nature, is considered to be highly desirable and potentially subject to theft will all be recorded and tracked at respective NBI centre Head of Finance and Administration (FADH) upon procurement.

Non-expendable property/items can be defined as all equipment which is expected to have a normal life of at least 5 years and certain items considered attractive (prone to theft) and have a value of USD 200 per unit. Examples include mobile phones, digital cameras, printers, tablets, televisions, etc.

NXP asset categories include the following in general:

- Transport equipment (vehicles, motorcycles, etc.)
- Computer equipment (including photocopying machines and typewriters)
- Some telecommunications equipment (telephone, fax machines)
- Air conditioning equipment

Other assets, such as furniture and other office equipment, not falling within the definition of non-Expendable items i.e., managed assets including furniture and other smaller office equipment will be recorded.

**Equipment Marking and Management**

To facilitate NCCR project property management, the NBI centre FADH will designate the officer responsible for:

- Recording each receipt of NXP and Managed Equipment;
- Tracking the location of each asset;
- Conducting frequent physical inventories; and
- Recording the condition and disposition of each asset.

Each item’s electronic record consists of the following information:

- Name part number or manufacturer’s serial number, description, manufacturer’s name, and model number;
- Unit acquisition cost;
- The unique item identifier (barcoded and serial number);
- Location (controlled by country, region or province, city, and specific location);
- Purchase Order number.
An electronic record possibly a password-controlled excel sheet is also maintained for the disposition of each item and the date the item was received and placed into service. This record also captures the name of the individual who has been issued the equipment.

Equipment Agreement Forms shall be signed for each computer, laptop, phone or camera, etc. being used by an NBI centre to staff team members for NCCR project.
4.0 Project ICT

The IT systems are part of integral business systems used by NBI. To safeguard critical NBI NCCR project information the following shall be instituted:

4.1 IT Personnel Roles

The IT function in Nile-SEC, ENTRO and NELSAP-CU will undertake the following:

*Provision and maintenance of electronic communication systems*

IT staff shall make provision including for considered procurement standard systems for electronic communications within the NCCR project. They will also provide support for these systems to ensure that they run effectively with minimum or no interruptions. They will apply updates and future upgrades to ensure that these systems remain relevant, effective, and secure.

*IT desktop system support*

This involves supporting NBI centre NCCR project staff and defined contractors (as applicable) with day-to-day IT problems. IT staff will support users in complying with NBI IT policy as available.

*Virus protection*

IT staff shall install and regularly update appropriate antivirus software on all NCCR project computers at NBI centre. They will also respond to all virus attacks, detecting and destroying all viruses and recording each infection in a log to be maintained by the NBI centre IT department.

*Access control*

IT staff are responsible for the administration of access controls to all NBI centre computer systems.

*Software control*

The IT staff are responsible for making user requests for the purchase of software for use on NBI centre computer equipment for NCCR project purposes and will maintain records of all software licenses held by the NBI centre.

All software installations on Nile-SEC/ENTRO/NELSAP-CU NCCR project computer systems have to be approved by the respective NBI centre IT department.

Procurement of software or software and application development services must be done with the active participation of the IT department.

The HBWP/ Component Coordinator as applicable shall notify the NBI centre IT department promptly whenever an NCCR project team member leaves so that his/her access may be revoked or amended. This will ensure user access to information and computer system is promptly restricted upon separation from the NCCR project.
4.2 Purchase of Hardware, Server Systems & Computer Peripherals

The purchase of all desktops, servers, portable computers, computer peripherals, mobile devices, and server systems is initiated by NBI centre NCCR project designated IT Specialist working closely with HBWP/Component Coordinator as applicable. Computer system peripherals include add-on devices such as printers, scanners, external hard drives. Computer peripherals can only be purchased where they are not included in any hardware purchase or are considered to be an additional requirement to existing peripherals.

4.3 Requests for Software

All software intended to facilitate computer operations must be approved by the NBI centre NCCR project IT Specialist prior to the purchase/download or use or download of such software.

All purchased software must be purchased from reputable software sellers and accompanied by one (1) year warranty.

4.4 Own device policy

Some NBI centres’ staff have the option of connecting their own mobile devices to the NBI centre NCCR project network and equipment.

Personally owned mobile devices for NBI centres staff working on NCCR project may be approved for use in email access and business telephone calls. Each NBI centre team member who utilizes personal mobile devices in this regard should observe the following guidelines;

- Not to download or transfer sensitive information to the device. Sensitive information includes intellectual property, other employee details, etc.

- Not to use the registered mobile device as the sole repository for information related to NBI centres and NCCR project business. All business information stored on mobile devices should be backed up.

- To make every reasonable effort to ensure that NBI centres and NCCR project information is not compromised through the use of mobile equipment by unauthorized personnel or in a public place. Such devices should be password protected.

- To notify the IT officer and/or the managing director immediately in the event of loss or theft of the registered device.

- Not to connect USB memory sticks from an untrusted or unknown source to NBI centres’ equipment.

All NBI centres’ employees who have a registered personal mobile device for use in Nile-SEC/ENTRO/NELSAP-CU NCCR project business agrees that the NBI centres;

- Own all intellectual property created on the device.

- Can access all business data held on the device.

- Will delete all data held on the device in the event of loss or theft of the device.
• Has first right to buy the device where the employee wants to sell the device.

• Will delete all data pertaining to NBI centres and NCCR project held on the device upon separation from Nile-SEC/ENTRO/NELSAP-CU.

• Has the right to deregister the device for business use at any time.

**4.5 Information Technology Security**

NBI Centres, LVBC and NBD shall protect computer hardware, data, and documentation from damage or problems caused by natural hazards, outside influences, and theft.

**Procedures**

• Areas that are housing sensitive IT equipment shall be protected by locked doors that require special keys or security codes to open. These keys or codes shall only be made available to authorized NBI centres team members.

• Crucial system hardware shall be protected by an uninterruptible power supply (UPS).

• Flash disks or external hard drives containing data shall be stored out of sight when not in use. If they contain highly sensitive or confidential data, they shall be locked up. They shall be kept away from environmental hazards such as heat, direct sunlight, and magnetic fields.

• The installation, disconnection, modification, or relocation of NBI centres computer equipment shall not be performed by unauthorized users. This does not apply to temporary moves of portable computers for which an initial connection has been set up by IT personnel.

**Physical Security**

All security and safety of all portable technology such as laptop, notepads, etc. will be the responsibility of the NBI centres team members who has been issued with the device. Each employee is required to use passwords and to ensure the asset is kept safe at all times to protect the security of the asset issued to them.

Anyone carrying a shared IT equipment out of NBI centres NCCR project designated premises must be duly authorized to do by HBWP/Component Coordinator or the NBI centres NCCR Project Administrator as applicable.

In the event of loss or damage, the HBWP/Component Coordinator in consultation with respective NBI centres FADH or his/her equivalent will assess the security measures undertaken to determine if the NBI centre team member will be required to reimburse the NBI centre for the loss or damage.

All portable devices e.g., laptops, notepads, iPad, etc., when kept at the office desk, are to be secured by a lock.
• All IT assets must be surrendered to the respective NBI centre upon the user’s separation from the NCCR project.

**Information Security**

Data and information stored within the IT systems are recognized as valuable assets to NCCR project. As such, access to these systems must be restricted so that only those persons having the need and authorization will be given access to this information.

All critical business data is to be backed-up.

It is the responsibility of the designated NBI centres' NCCR project IT Specialist with support from the NBI centre IT department to ensure that data back-ups are conducted regularly and the backed-up data is kept safe.

All information used within the NBI centres on NCCR project is to adhere to the privacy laws and confidentiality requirements.

4.6 IT Service Agreements

The following IT service agreements can be entered by each NBI centre in relation to NCCR project:

• Provision of general IT services;
• Provision of network hardware and software;
• Repairs and maintenance of IT equipment;
• Provision of business software;
• Website design, maintenance, etc.

All NBI centres’ IT service agreements must be reviewed by the designated NBI centre NCCR project IT Specialist advising the HBWP/ Component Coordinator as applicable before the agreement is entered into. Once the agreement has been reviewed and a recommendation for execution received, then the agreement must be approved by the respective NBI centre ED.

4.7 E-Mail & Internet Procedures

Each NBI centre will provide Internet and e-mail for NCCR project business use only. All messages composed, sent, or received on the project’s electronic mail system are and will remain the property of NBI. All NCCR project staff should use a standard signature format devised for the NCCR project in all email communications.

All email communication sent by NCCR project team members shall contain appropriate business content and use professional language.
5.0 Contract Management

NCCR project contracts at NBI centres shall emanate from the approved procurements. They could be contracts with suppliers, service providers, contractors, individual consultants, or consulting firms. At any one time, therefore, there could be multiple contracts running in parallel with varied terms and conditions, deliverables and timelines. It is therefore important that each contract is well managed and that all the contracts are also managed to ensure performance and compliance, for efficiency avoiding waste of resources, for effectiveness thereby getting value for money, protect the image of NBI, and to avoid potential disputes.

5.1 Types of Contracts

Lump-Sum Contract
This type of contract is used mainly for assignments in which the scope and the duration of the services and the required output of the consultants are clearly defined. It is widely used for simple planning and feasibility studies, environmental studies, detailed design of standard or common structures, preparation of data processing systems, and so forth. Payments are linked to outputs (deliverables) such as reports, drawings, bills of quantities, bidding documents, and software programs. The contract shall include a fixed price for the activities to be carried out by the consultant and shall not be subject to any price adjustment, except as provided in paragraph 4.7 of the Bank Guidelines. Lump-sum contracts are easy to administer because they operate on the principle of fixed price for a fixed scope, and payments are due on clearly specified outputs and milestones.

Time-Based Contract
This type of contract is appropriate when it is difficult to define or fix the scope and the duration of the services, either because they are related to activities carried out by others for which the completion period may vary, or because the input of the consultants required for attaining the objectives of the assignment is difficult to assess. It is widely used for complex studies, supervision of construction, advisory services, and most training assignments. Payments are based on agreed hourly, daily, weekly, or monthly rates for experts (who are normally named in the contract) and on reimbursable items using actual expenses and/or agreed unit prices. The rates for experts include remuneration, social costs, overhead, profit, and, where appropriate, special allowances. The contract shall include a ceiling number of total payments to be made to the consultants. This ceiling amount should include a contingency allowance for unforeseen services and duration, and a provision for price adjustment for inflation as provided in paragraph 4.7 of the Bank Consultant Guidelines. Time-based contracts need to be closely monitored and administered by the client to ensure that the assignment is progressing satisfactorily and that payments claimed by the consultants are appropriate.

Retainer and/or Contingency (Success) Fee Contract
Retainer and contingency fee contracts are widely used when consultants (banks or financial firms) are preparing companies for sales or mergers of firms, notably in privatization operations. The remuneration of the consultant includes a retainer and a success fee, the latter being normally expressed as a percentage of the sale price of the assets.
Percentage Contract

These contracts are commonly used for procurement and inspection service providers. Percentage contracts directly relate the fees paid to the consultant to the estimated or actual project construction cost, or the cost of the goods Indefinite Delivery Contract (IDCs) or Price Agreement. IDCs are used when Recipients need to have quick and continuing access to “on call” specialized advisory services for a particular activity, the extent and timing of which cannot be defined in advance. IDCs are commonly used to retain “advisers”, expert adjudicators, members of panels, or experts to participate in the design or implementation of sub-projects or complex tasks during the execution of Bank-financed projects (for example, dam panel, dispute resolution boards, institutional reforms, procurement advice, technical troubleshooting, evaluation of safeguard issues, and so forth), normally for a period of at least a year. The services are offered by qualified firms through a list of proposed experts they commit to make available in letters of intent in response to an REOI setting selection criteria focusing on the relevant qualifications and expertise of the required experts. Recipients shall then establish a long list of qualified experts. The Recipient and the firms agree on pre-established fee rates to be paid for the experts and on standard conditions of contract, and payments are made on the basis of the time actually spent. Experts shall be selected from the long list on the basis of a “call off” request with specific TOR for the assignment, based on the qualitative evaluation/comparison of the CVs of the proposed experts or the fees level, and a specific contract is signed for each assignment.

5.2 Contract Management Arrangements

Each NBI Centre is responsible for supervising the consultants’ and contractor’s performance and ensuring that they carry out the assignment in accordance with the contract. Each NBI Centre shall draw all contracts emanating from NCCR project respective components and these will form legally-binding agreements between the NBI and the parties identified in the agreement to fulfill the terms and conditions outlined in the agreement.

In the case of LVBC and NBD issued contracts, Nile-SEC as the grant agreement coordinator shall have oversight technical responsibility for critical path technical contracts in NCCR project. Nile-SEC shall provide necessary advice and support to LVBC and NBD on critical technical issues and contract management needing attention in the interest of overall NCCR project results delivery.

Each NBI centre (Nile-SEC/ENTRO/NELSAP-CU) shall remain responsible for day-to-day direct contract supervision and delivery for both technical and non-technical contracts issued in NCCR project in their respective components. NBI centres shall be responsible for legal compliance, technical performance, fiduciary responsibility and safeguards commitment on all contracts they issue under the project.

NBI centres shall provide contract management reports to the Bank as part of their progress reporting submission.

Contract management arrangements span the following aspects: legal compliance, technical performance, fiduciary responsibility and social-environmental standards (safeguards).
LVBC and NBD are to share copies of drafted critical path contracts with Nile-SEC for contract development and oversight support.

Joint Bank and NBI decision making on critical emerging contract issues that may impede NCCR project performance shall be done on a case-by-case basis.

NBI centres respective obligations towards contract management of consulting firms/ works contractors procured under NCCR project is summarized below:

<table>
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<tr>
<th>NCCR project Component</th>
<th>Inception meeting convening</th>
<th>Commitment (Milestones) track</th>
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<td>Improving Mechanisms for Cooperation in the NEL Region</td>
<td>Leads</td>
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Without assuming the responsibilities of the NBI centres or the consultants, Bank staff shall monitor the quality of the consultants’ work as necessary to satisfy themselves that it is being carried out according to appropriate standards and is based on reliable data.

As appropriate, the Bank may take part in discussions between the NBI centres and consultants and, if necessary, may help the NBI centres in addressing issues related to the assignment.

If a significant portion of the assignment is being carried out in the consultants’ home offices, the Bank may, with respective NBI centres’ agreement, visit these offices to review the consultants’ work.

5.3 Creation of Contracts
Successful contract management is defined by how a contract was developed. Contract creation is therefore critical in determining whether a contract will be successfully delivered or not. Contracts should be developed on a case-by-case basis taking careful consideration of the requirements stipulated during the procurement. Standard documents for contracts should therefore be customized for each procurement and taking into account aspects negotiated.
a. In all procurement cases under NCCR project at the respective NBI centres, no contract is formed between the person submitting the successful tender and the NBI centre until the written contract is entered into.

b. Upon receipt of notification letters, bid bonds, awarded bid submissions and Action Paper from the NBI centre NCCR project Evaluation Committee, the relevant procurement designate shall peruse the documents and provide noted guidance including for successful contract development;

c. Procurement shall prepare a draft contract in line with the award decision and in compliance with Bank requirements.

d. The following functional leads at each NBI centre on NCCR project shall be involved in the review of the drafted contract for specialized technical inputs: Finance – tax matters, Legal – on legal aspects and language, Technical focal point - on contract scope, deliverables and payment schedule and Safeguards lead will review safeguards related requirements.

e. The following shall be incorporated in the draft contract at a minimum:

i. The Bid Form and the Price Schedule submitted by the Candidate

ii. The Schedule of Requirements;

iii. The Technical Specifications;

iv. The General Conditions of Contract;

v. The Special Conditions of Contract;

vi. The Notification of Award;

vii. the Acceptance letter; and

viii. Performance bond, where applicable.

ix. Taxes

f. Upon preparation of the draft contract, procurement shall forward a soft copy to the relevant NBI centre NCCR project user and the successful supplier/consultant/contractor for review and comment. The User and supplier /consultant shall be required to review and comment as per NBI Procurement guidelines of receipt of the draft contract;

g. Procurement shall incorporate any recommended and agreed minor changes and forward the final draft to the HBWP/ Component Coordinator as appropriate;

h. The awardee shall be required to submit a Performance Bond where applicable;

i. Upon submission, procurement shall receive the Performance Bond and record it in the register. The bid security of the awarded bidder shall then be returned in exchange, the received performance bond shall be kept in safe custody;

j. Procurement shall arrange for a signing ceremony of the contracts as applicable and the contract shall be signed. The whole process should be within the period specified in the notification;

k. A minimum of three copies of the contract shall be fully duly signed and stamped. All pages of the contract shall be initialed by both the supplier and NBI centres as appropriate and distributed as follows:

i.1 copy to the supplier/contractor/consultant – Original;

ii.1 copy to the Procurement for file – Original;

iii.1 copy to the relevant NBI centres Accounts;

iv.1 copy to the User--Original; and

v.1 copy to the designated NBI centre NCCR project Contract Administrator in case different from the user.
5.4 Contracts Register

Procurement in each NBI centre shall maintain, an updated Contracts Register for NCCR project. Contract Registers are required to be maintained to monitor the status of each contract with respect to the progress achieved and amount paid until the completion of the contract.

Separate contract registers shall be maintained as given below:

a. Contract Register - for goods and works
b. Contract Register - for consultants

The contract details shall be captured from the bid/proposal register and actual payment details shall be captured from the financial management system. Details of invoices received and approved will be entered. In case payment is delayed, reasons for the same shall be provided. These registers shall form the basis for the preparation of Procurement Monitoring Reports.

5.5 Contract Monitoring Plan

The User designated as the Contract Manager will prepare a contract monitoring plan (CMP) to monitor the due date for each technical deliverable and track related progress. The CMP will include contract progress consultations or meetings including internal approval meetings required. It will also note the payments due with each deliverable in order to make arrangements for formal deliverable approval and notifications with a view to mitigate potential delays on account of non-payment of work already performed.

5.6 Role of Contract Manager

The NBI centre NCCR project official nominated to manage and supervise the contract execution on behalf of NBI is termed the Contract Manager. The Contract Manager is the technical officer responsible for the contract management and is responsible for creating and maintaining the contract file. All other functions such as accounting, payment, and internal technical approvals cannot be exclusively performed by the Contract Manager and are subject to NBI centres internal controls.

The functions of the Contract Manager will include:

i. Preparation of the CMP.
ii. Convening technical review meetings related to contract performance.
iii. Monitors the performance of the technical service provider whether consultant or contractor, to ensure that the contract schedule is as planned and that delivery or performance obligations are on course or takes appropriate action in consultation with HBWP/ Component Coordinator as appropriate in the event that the contract obligations are not being met by the service provider;
iv. Conducts technical reviews on submitted deliverables or outputs and provides formal feedback to the service provider on acceptance or redress actions that need to be taken;
v. Ensures that a contractor submits all required documentation as specified in the bidding documents, the contract and as required by law where applicable for the contract;
vi. Provides support to ensure that NBI centre meets all its payment and other obligations on time and in accordance with the contract i.e., keeps oversight track of contract payments.

vii. Ensures that there is adequate cost, quality and time control, where applicable for the specific contract;

viii. May prepare any required contract variations or change orders and obtain all required NBI centre approvals before their issue. Such variations or change orders must be clearly justified in writing backed by supporting evidence;

ix. Manage any handover or acceptance procedures;

x. Make recommendations to HBWP/ Component Coordinator as relevant onward to NBI centres’ ED for contract termination, where appropriate, obtaining all required approvals, consolidating necessary documentary evidence and managing the termination process;

xi. Ensures that the contract is complete, prior to closing the contract file including all handover procedures, and that the final payment has been made;

xii. Ensures that all contract administration records are complete, up to date, filed and archived as required; and

xiii. Ensures that the service provider and the NBI centre act in accordance with the Provisions of the Contract.

xiv. Provide support in the discharge of performance guarantee as applicable to the contract.

As part of the contract management, NBI centres NCCR project Procurement shall liaise with the Contract Manager. Specific areas to be monitored will include;

a. Project progression and updates;
b. Service level and user satisfaction;
c. Delays in performance/ Contract execution;
d. Management of variations of contract;
e. Non-performance;
f. Complaints; and

g. Payments

5.7 Contract File

The contract file shall be opened after the procurement contract is signed and it shall be opened by the contract manager. The file shall be used for recording the actual performance of the requirements indicated in the contract.

The file should contain the following at a minimum:

a. Signed original procurement contract.
b. Any signed modifications to the contract.
c. Contract correspondence between the parties.
d. Information on the performance.
e. Correspondence on the contract.
f. Original contract deliverables
f. Management progress reports
f. Minutes of meetings of the project team
h. Payment records and closes up documents.
i. Copy of performance security (where required)
j. Any other documents /or correspondence relating to the Contract.
5.8 Variation of Contract

In the case of contracts subject to prior review, before agreeing to (a) a material extension of the stipulated time for performance of a contract; or (b) any substantial modification of the scope of services or other significant changes to the terms and conditions of the contract; or (c) any variation order or amendment (except in cases of extreme urgency) which, singly or combined with all variation orders or amendments previously issued, increase the original contract amount by more than 15 percent; or (d) the proposed termination of the contract, shall seek the Bank’s no objection when required.

If the Bank determines that the proposal would be inconsistent with the provisions of the Grant Agreement and/or Procurement Plan, it shall promptly inform NBI centres concerned and state the reasons for its determination.

A copy of all amendments to the contract shall be furnished to the Bank for its record.

5.9 Resolution of Disputes

The dispute resolution methodology should be very clearly indicated in the contract document. As far as possible, disputes may be resolved with mutual agreement between the respective NBI centres and supplier/contractor/service provider/consultant through alternate dispute resolution methods to avoid going through arbitration and litigation stages.

There are several causes of disputes that may arise during the execution of a contract. These may involve any of the following as examples:

i. Interpretation of the terms and conditions of the contract
ii. Delay in delivery/completion of the work
iii. Delay in release of payments
iv. Independent test results
v. Condition of the item on arrival at the consignee
vi. Design/specification issues

It is also possible for a manufacturer to dispute a decision made by the inspection agency regarding product packing or appearance or testing/inspection result. In most cases, manufacturers accept the results of independent laboratories and replace the rejected stores. Procedures for dealing with such disputes should be indicated in the contract.

Each Contract Agreement has its own specific provisions for major contract actions, rights and obligations of the parties as well as recourses for resolution of any contractual issue. Therefore, good practice in contract administration is that the terms and conditions of the contract is to be followed consistently and it is only when there is no provision in the contract, to address an issue or an event, that reference to applicable law and to precedence cases are to be referred. The best contracts issues’ administrative resolution is amicable settlement based on sound justifications, professional judgment and upholding of the public interest with fairness to the business partners as well.
PART C: TECHNICAL PROJECT MANAGEMENT

Project Management involves planning, organizing, directing and controlling NCCR project grant agreement-related resources for the fulfillment of the set Project Development Objectives (PDO) and result areas. There are two aspects of project management namely technical and operational (cross-cutting critical but none-core areas such as finance, procurement, etc.). The operational technical project management aspects have been covered in previous sections of this PIM and this section focuses on the technical component related results-focused aspect.

1.0 Project Management Arrangement

The project management responsibility for NCCR is at three levels namely at PSC, Nile-SEC and other NBI centres namely ENTRO/NELSAP-CU and the IEs level. The HBWP at Nile-SEC has the overall day-to-day project management responsibility for NCCR project. S/he reports to the PSC on NCCR project performance with matrix reporting responsibility to Nile-SEC ED as a regular staff of Nile-SEC. The PSC shall be responsible for providing strategic support necessary to the NCCR project and maintains the right to hold each Component Coordinator accountable for performance of respective NCCR project part.

HBWP shall provide annual performance feedback on the designated NBI centre or IE NCCR component coordinators for each of the NCCR project components. The HBWP much like the ENTRO, NELSAP CU NCCR project Component Coordinators will be responsible for technical and operational project management aspects for NCCR project in respective components though s/he has added responsibility for overall NCCR project management. Part of the day-to-day operational or technical project management aspects of NCCR project at each NBI centre may be designated to another NBI centre staff if approved by the Bank as the NCCR project situation evolves.

The NCCR project management structure is presented below.
2. Annual Work Planning and Budgeting

2.1 Overview of Implementation Planning and Budgeting
The success of NCCR project hinges on proper and timely annual program work planning including budgeting, procurement and subsequent implementation. In addition, the preparation of the NCCR project Annual Work Plan (AWP), budget and the procurement plan provide the basis for project activity implementation planning and progress monitoring against the approved Annual Work plan and indicators contained in the NCCR results framework.

Annual activity work plans and budgets will be prepared by the three NBI centers, cleared by the Bank and approved by the respective governing bodies. Nile-SEC shall prepare a budget incorporating forecasts for NBD and LVBC as sub-recipients.

The Work Plan, Training Plan, Budget and Procurement Plan for each NCCR project year will be approved by the Bank.

2.2 Implementation Work Planning Schedule
NCCR project planning and budgetary process shall be implemented in accordance with the standard Nile Basin national governments fiscal year which begins on 1st July of each financial year as provided for by the relevant government financial regulations and procedures.

The Financing Agreement for NCCR further requires that the NCCR work plans and budgets are to be submitted to the Bank not later than May 31st of each calendar year. The grant agreement states as follows:

1. Not later than May 31 in each year (or one month after the Effective Date for the first year of Project implementation), the Recipient shall prepare or cause to be prepared for the purpose of forwarding to the Bank: (a) a draft annual work plan and budget for the Project (including Training and Operating Costs) for the subsequent fiscal year (July 1-June 30) of Project implementation, of such scope and detail as the Bank shall have reasonably requested; and (b) any instruments required by the Environmental and Social Commitment Plan (ESCP) for the implementation of the activities included in the draft annual work plan and budget.

2. The Recipient shall afford the Bank a reasonable opportunity to review such draft annual work plan and budget, and thereafter, carry out (or cause to be carried out) such annual work plan and budget during such subsequent year as shall have been approved by the Bank ("Annual Work Plan and Budget"). Only those activities that are included in an Annual Work Plan and Budget shall be eligible for financing out of the proceeds of the Financing.

3. Any Training proposed to be included in an Annual Work Plan and Budget, shall include, inter alia: (a) particulars of the Training envisaged; (b) the criteria for selection of the personnel to be trained, and such personnel if known; (c) the selection method of the institution or individuals conducting such Training; (d) the institution conducting such Training if identified; (e) the purpose and justification for
such Training; (f) the location and duration of the proposed Training; and (g) the estimate of the cost of such Training and any travels associated with such Training.

4. The Annual Work Plan and Budget may be revised as needed during Project implementation subject to the Bank’s prior written approval.

2.3 Preparation of Work Plans

The preparation of the component-specific annual work plan will be based on the approved detailed implementation schedules for each NCCR project component. The Implementation Schedules provide key activities to be undertaken in each component along with the proposed implementation calendar timeline. The Implementation schedules shall be structured in such a way that they communicate key information in a simplified manner to key project stakeholders and hence aids in the quick development of the annual work plan.

The Component Coordinator will trigger the process of preparing required Annual Work plans to ensure that submission timelines to the Bank and internal governance structure of NBI are seamless and adhered to.

2.4 Preparation of Output Oriented Budgets

The detailed estimates of annual expenditure for the project will be based on the cost tables which are derived from PAD and Legal agreement allocations and related project documents such as World Bank Aide Memoires which may contain agreed re-allocations arising from implementation review missions.

The cost tables for each NCCR project component provide a rationale, key cost items, applied cost rates and projected annual allocation for each key activity in the component over the project life. It is the responsibility of the each NBI centres IEs to develop and translate this information into activity-specific budgets. Nile-SEC may provide guidelines/formats when required. The activity-specific budgets are useful for isolating operating costs associated with the implementation of each NCCR project activity at the NBI centres and to ease related disbursements.

Detailed annual cost tables will be prepared by each NBI centre and provided in the component life of project work planning for ease of annual NCCR project work planning. These will link to the approved disbursement plans.

NCCR detailed expenditure budgets at the NBI centre level will be prepared under the guidelines issued by the Bank and the NBI finance department/s.

3. Environmental & Social Standards Framework

1 “Environmental and Social Standards” or “ESSs” means, collectively: (i) “Environmental and Social Standard 1: Assessment and Management of Environmental and Social Risks and Impacts”; (ii) “Environmental and Social Standard 2: Labor and Working Conditions”; (iii) “Environmental and

2 The GA states the following on Environmental and Social Standards

“1. The Recipient shall, and shall cause the NBI Centers and the Project Implementing Entities to, ensure that the Project is carried out in accordance with the Environmental and Social Standards, in a manner acceptable to the Bank.

2. Without limitation upon paragraph 1 above, the Recipient shall, and shall cause the NBI Centers and the Project Implementing Entities to, ensure that the Project is implemented in accordance with the Environmental and Social Commitment Plan (“ESCP”), in a manner acceptable to the Bank. To this end, the Recipient shall cause the NBI Centers and the Project Implementing Entities to, ensure that:

(a) the measures and actions specified in the ESCP are implemented with due diligence and efficiency and provided in the ESCP;

(b) sufficient funds are available to cover the costs of implementing the ESCP;

(c) policies and procedures are maintained, and qualified and experienced staff in adequate numbers are retained to implement the ESCP, as provided in the ESCP; and

(d) the ESCP, or any provision thereof, is not amended, repealed, suspended or waived, except as the Bank shall otherwise agree in writing, as specified in the ESCP, and ensure that the revised ESCP is disclosed promptly thereafter.

The Recipient shall, and shall cause the NBI Centers and the Project Implementing Entities to, ensure that:

(a) all measures necessary are taken to collect, compile, and furnish to the Bank through regular reports, with the frequency specified in the ESCP, and promptly in a separate report or reports, if so requested by the Bank, information on the status of compliance with the ESCP and the environmental and social instruments referred to therein, all such reports in form and substance acceptable to the Bank, setting out, inter alia: (i) the status of implementation of the ESCP; (ii) conditions, if any, which interfere or threaten to interfere with the implementation of the ESCP; and (iii) corrective and preventive measures taken or required to be taken to address such conditions; and
(b) the Bank is promptly notified of any incident or accident related to or having an impact on the Project which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers, in accordance with the ESCP, the environmental and social instruments referenced therein and the Environmental and Social Standards.

The Recipient shall, and shall cause the NBI Centers and the Project Implementing Entities to, establish, publicize, maintain and operate an accessible grievance mechanism, to receive and facilitate resolution of concerns and grievances of Project-affected people, and take all measures necessary and appropriate to resolve, or facilitate the resolution of, such concerns and grievances, in a manner acceptable to the Bank.

The Recipient shall, and shall cause the NBI Centers and the Project Implementing Entities to, ensure that all bidding documents and contracts for civil works under the Project include the obligation of contractors, subcontractors, and supervising entities to: (a) comply with the relevant aspects of ESCP and the environmental and social instruments referred to therein; and (b) adopt and enforce codes of conduct that should be provided to and signed by all workers, detailing measures to address environmental, social, health and safety risks, and the risks of sexual exploitation and abuse, sexual harassment and violence against children, all as applicable to such civil works commissioned or carried out pursuant to said contracts.”

The project will not fund civil works but will instead (i) procure and install water quality laboratory equipment as well as specialized equipment for hydro-met stations (across 9 of the 11 Nile Basin countries) and (ii) procure training for the staff that will be operating the equipment. The hydro-met stations will initially be refurbished or constructed by the borrower using funds from the current EU-GIZ program covering 73 stations in total. This project will install equipment on a sub-set of those 73 stations, therefore the sub-set of stations are considered associated facilities, and as such, the Bank will assess whether environmental and social due diligence has been carried as part of the process and meet the relevant ESF requirements. The Bank team will (i) review the Environmental and Social Management Plans that are expected to be prepared for the various sites and (ii) carry its own due diligence (organize field visits as feasible) on selected sites to ensure that environmental and social impacts on surrounding communities, their livelihoods and the ecosystem have been adequately addressed.

3.1 Safeguard Implementation Arrangements

1. NBI centres shall ensure that there is an effective decentralized ESS implementation structure to support the implementation of safeguards in various Nile Basin countries. The designated NBI centre based Environmental and Social Specialist will ensure that Environmental and Social Standards (ESS) are taken into account in all aspects of the NCCR project.

2. ESS NBI centre-based specialists will affect the Environmental and Social Commitment Plan (ESCP) including facilitating the development of any needed safeguards instrument such as ESIA, in accordance with the World Bank Policies. They will screen project activities and deliverables to

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6 The final locations and number of stations to be supplied with equipment under this project will be established in the design update, to be completed during implementation; based on earlier studies approximately 39 stations will be equipped with water quality sensors under this project including at least one of the new stations.
determine their environmental and social standards compliance. They will also prepare ToRs for the ESIA consultants as the case may be including ensuring ESS is included in all contracts.

3 The preparation and implementation of all environmental and social standards instruments is the responsibility of the relevant NBI centre as the case may be. The two implementation levels for ESS are as follows:

I. **NBI Centre**—Will act as the central unit responsible for holding all information relevant to safeguards for the component. It shall be responsible for planning and mobilizing related financial resources from the national government for ESS implementation at the component level. The NBI Centre and IEs based environmental and social specialists will prepare project-specific quarterly environmental and social progress reports for submission to the Bank.

II. **National Government Agencies**—Where applicable, each national government agency will support the preparation of ESS screening reports for related investments in the NCCR project component.

3.2 Implementation Schedule for Safeguards

4 Given the nature of NCCR project, the preparation of implementing schedules for ESS will be done on a case-by-case basis depending on the activities of each component. However, each investment once identified and screened, if required, will prepare an individual implementation schedule. Safeguards preparation will then be incorporated into each schedule.

3.3 Environmental Safeguards

5 An Environmental and Social Framework (ESF) and Integrated Pest Management Framework (IPMF) are key instruments used to ensure initial project safeguards principally because the exact locations, scope, designs, and nature of the particular project investments remains unknown.

6 An ESF which establishes a process of environmental and social screening will be prepared. This will support the national government institutions in charge of the implementation of the specific investments to identify, assess and mitigate the environmental and social impacts related to their components.

7 Through the screening process, a determination on the safeguards policies triggered by a particular proposed project investment will be made and the mitigation measures to put in place outlined. Further, the screening and review process will also ensure that project investments are adequately categorized as A, B or C. Those categorized as A be subjected to a full-scale ESIA, those categorized as B subjected to stand-alone ESMP or an environmental analysis which is more limited than a full ESIA and those categorized as C subjected to no environmental evaluation/study.

8 If identified as a requirement of the activity through the screening process, an Integrated Pest Management Plan (IPMP), is prepared alongside or as an integrated part of the Environmental and Social Management Plan (ESMP) or Environmental and Social Impact Assessment (ESIA).

9 Each participating national government agency shall have in place a review process to ensure screening of the key activity for potential environmental and social impacts. To this end, the key
activity applications will include an environmental screening form showing the estimated impact category of the project investment. The decision of the participating national government agency category will be based on the environmental and social checklist contained in the ESF. The outcome of the screening and scoping exercise would be sent to the World Bank for concurrence.

10 Before equipment supported by this Project is installed in the GIZ-supported hydro-met stations, the Bank team will ensure that works are carried out in alignment with the ESF.

3.4 Social Safeguards

1 GIZ has its own environmental and social risk management mechanism ("The Safeguards and Gender Management System"), which borrows heavily from the IFC Performance Standards, hence meeting most of the World Bank’s ESF requirements, and is designed to ensure that aspects such as (i) Gender, (ii) Environmental protection, (iii) Climate Change and Adaptation, (iv) Conflict and Context, and (v) Human Rights are taken into consideration. Before equipment supported by this Project is installed in the GIZ-supported hydro-met stations, the Bank team will ensure that works are carried out in alignment with the ESF.

2 The project will fund “soft” interventions focusing on capacity building and knowledge sharing on climate-resilience investments planning. The project also finances several strategical planning tools (e.g., dam safety risk management methodology; regional water quality investment planning and prioritization, etc.), which are meant to support infrastructure investments (remedial dam works; water quality investments, etc.) that might also carry environmental and social risks. The Terms of Reference for all these studies will be consistent with all ESF requirements where relevant.

3 Grievances - Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB’s Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project-affected communities and individuals may submit their complaint to the WB’s independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB’s non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank’s corporate GRS, please visit http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service. For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org.
4.0 Monitoring, Evaluation, Reporting and Learning

The project design envisages that the NBI centres have a significant role to play in monitoring, reporting and learning for the project.

An MER IT-based system focusing on monitoring implementation progress against the Annual Work Plan (AWP) result areas as well as progress against the Project Development Objective (PDO), indicators vis-à-vis targets contained in the Results Framework shall be developed and applied at the NBI centres.

Monitoring physical NCCR project activity progress and budget utilization will also be undertaken. Respective NBI centres will play a key role in data collection, analysis and consolidation, and reporting for the NCCR project.

Each NCCR project staff under the leadership of the Nile-SEC MER specialist is an entry point for data collection for key activities implemented. ENTRO and NELSAP-CU are also key drivers of MER data collection, analysis and reporting on the component-specific levels. The project also envisages undertaking internal as well as external independent project evaluations as scheduled.

4.1 MERL Roles & Responsibilities

Nile-SEC will be in charge of carrying out monitoring and reporting on component 1 and for the overall NCCR project. ENTRO will be in charge of carrying out monitoring and reporting for NCCR project component 3 and NELSAP-CU will be in charge of carrying out monitoring and reporting for NCCR project component 2. LVBC and NBD will be in charge of carrying out monitoring and reporting on components 4 and 5 respectively.

Monitoring will track physical implementation progress against results/outputs contained in the AWPs as well as outcome monitoring against the PDO and component intermediate indicators.

In the latter case, the assessment will be made against annual milestones contained in the results framework in order to ascertain whether the project is on track towards the achievement of project objectives.

Physical progress (i.e., outputs) vis-à-vis budget utilization will also be monitored to ascertain whether intended project beneficiaries are getting value for money. NBI centres will therefore undertake NCCR project data collection, collation, analysis and storage.

A Nile-SEC MERL Specialist will support: (i) Liaison on the MERL activities at LVBC and NBD in consultation with the NBI centres MER focal persons, (ii) MERL training for NCCR project staff in consultation with the above mentioned, (iv) the periodic data collection surveys, and (iv) undertake NCCR component 1 MERL reporting.

4.2 The Results Framework as a Basis for MERL

Monitoring will be undertaken on a semiannual, as well as on an annual basis. The essence of continuous monitoring is to inform timely decision-making that allows project management to
undertake corrective action in the case of any variances. It also allows the sharing of “lessons learnt” thereby informing future project implementation and replication of success stories. In addition, it informs the relevant key stakeholders on project progress.

Process monitoring will be undertaken to determine whether key processes are leading towards the attainment of the project objectives and result areas. Monitoring will be the basis for project reporting.

Starting from the Project Results framework, additional easy-to-use monitoring tools will be developed consultatively with the NBI centres and IEs and the relevant key project stakeholders.

NBI centres MERL focal points may re-visit the indicators in the overall results framework to verify that indicators fulfil VARSUN (Validity, Affordability, Reliability, Simplicity, Usability and Neutrality) criteria.

Results are SMART; i.e., that the results are Specific, Measurable, Achievable, Relevant/Realistic, and Time bounded. Based on the SMART criteria. The MERL information system will be designed in line with the SMART and VARSUN criteria.

To make MERL “user-friendly” guidelines will be developed under leadership of Nile-SEC MERL consultatively with ENTRO and NELSAP-CU and included in the NCCR project MERL Manual. A guideline for monitoring is annexed.

4.3 Progress Reporting Schedule and Requirements

Semi-annual and annual reports will be prepared and submitted in a timely manner; 30 days after the expiration of the relevant reporting period and specified in the Grant Agreement (GA) as follows: The Recipient shall ensure that each Project Report is furnished to the Bank not later than one month after the end of each calendar semester, covering the calendar semester.

The reports shall originate from the NBI centres within 30 days after the expiration of the relevant reporting period. Each centre shall send the report directly to the Bank.

Reporting formats shall be included in the NCCR project MER manual & system, and may be revised at the component level by each implementing agency in order to make them more “results” based rather than “activity” based.

MERL documentation will be kept at respective NBI centres as relevant towards ongoing fulfillment of GA requirement.

In addition, and without limitation to the obligations set forth in Section 2.05 of the Standard Conditions, the Recipient shall ensure that:

(a) all records evidencing expenditures under the Project are retained for seven years and six months after the Closing Date, such records to include: (i) this Agreement, all addenda thereof, and any amendments thereto; (ii) the Recipient’s financial and narrative progress reports submitted to the Bank; (iii) the Recipient’s financial information related to the Grant, including audit reports, invoices and payroll records; (iv) the Recipient’s implementation documentation (including sub-agreements, procurement files, contracts, purchase orders); and (v) the corresponding supporting evidence referred to in Section 3.04 of the Standard Conditions; and
(b) the representatives of the Bank are: (i) able to examine all records referred to above in paragraph (a); (ii) provided all such information concerning such records as they may from time-to-time reasonably request; and (iii) able to disclose such records and information to the donor(s).”

The NBI centres MERL Specialists in collaboration with NCCR Component Project Coordinators will be in charge of consolidating all relevant NCCR project component level progress reports on a quarterly, semi-annually, and annual basis. These reports will be officially submitted to Nile-SEC HBWP by the NCCR project Component Coordinators.

Each NCCR Project narrative report will cover the following at a minimum:

- Project Background
- Project Objectives & Result Areas
- Statement of annual work plan activities planned for the reporting period
- Results achieved linking with key activities planned including contract management aspects;
- Management and other issues related to the project which may affect its implementation, that have arisen during the reporting period, or were identified in the appraisal, or previous reports or monitoring visits
5.0 Technical Quality Assurance & Control (TQAC)

5.1 Overview of NCCR Technical Quality

NCCR project will strive to ensure that the key inputs, processes, outputs/deliverables including technical designs, etc. in the planning and implementation of core sub-projects are of the highest quality and meet recognized norms and standards nationally, regionally, and internationally.

Emphasis will therefore be on technical quality assurance through procedural activities during technical process implementation and quality control that focuses on producing acceptable and quality technical outputs, products, deliverables, and services.

5.2 Scope of TQAC

Technical Quality Assurance and Control in the NCCR project will cover the following 2 main aspects:

a. Workshops – This encompasses professional, quality preparation, and delivery of NCCR project workshops at the NBI Centres and IE levels.

b. Document Deliverables - Cover scope of content and presentation of key planning, implementation and reporting documents not limited to reports, concepts, plans and ToRs.

5.3 Quality Assurance & Control for Workshops

Participation in cross centre /EI Trainings

a. The NCCR project Training Schedule for all training or workshops planned for NCCR project will be included in the NCCR project quarterly report submitted to the Bank.

b. Relevant NCCR project team members from all NCCR project implementing organizations in relation to specific project component are expected to be notified and to participate in the planning and eventual delivery of NCCR project trainings.

c. The designated CFP is expected to participate in relevant NBI Centres organized trainings in the component.

5.4 Key Elements for Trainings Conducted in NCCR Project

NBI Centres and IEs Trainers

a. The Trainers will be knowledgeable in the subject matter. They will be able to deliver content using adult learning principles at a commensurate level.
b. The Trainers or Facilitators will be deemed competent to instruct specific training components. A common NCCR project training of trainers’ orientation will be organized by the designated CB Specialist.

Resources and Facilities

a. Training facilities selected should have sufficient resources and equipment to perform the NCCR project training activity for effective learning.

Training materials

a. Training materials will be appropriate to the level of targeted trainees. NBI Centres staff or consultants will collaborate to support in developing appropriate training resources well in advance of each training.

b. Training manuals developed by NBI centres shall be shared with the Nile-SEC CB Specialist and any other relevant NBI centre NCCR specialist for review in reasonable time well in advance of the training for review, advice and for support in developing related and applicable training delivery resources.

Training Delivery and Evaluations

a. Professional training delivery through facilitation and appropriate instructional methods is expected. Delivery of training shall facilitate learning comprehension by incorporating: 1. Adult learning principles 2. Instructional methods appropriate to the target audience 3. Training materials that are easy-to-read and highlight the most important messages or needs.

b. Training materials, such as handouts, PowerPoints, or flip charts, will be interchangeably used to facilitate and enhance the participant’s learning experience. Materials should be easy-to-read and should highlight the most important messages or needs.

c. NBI centres shall design situation-specific post-training and workshop evaluation formats for use and reporting. The Training and workshop evaluation template will be reviewed and approved by the Nile-SEC MER Specialist for subsequent application in NBI centres NCCR project trainings or workshops.

Training Records

a. An NCCR project training records-keeping system will be developed by the Nile-SEC based CB Specialist or the equivalent at ENTRO and NELSAP-CU as appropriate. It will ensure that the records are: 1. Identifiable: dated, current, accurate, and legible. 2. Retained: kept for a period of time following the training. 3. Accessible: retrievable and maintained in an orderly manner. The records will also be consolidated in compliance to the grant agreement requirement for NCCR project records.

b. The following will be included in the Training Record-Keeping System at NBI Centres.

   i. Training **ROSTERS** which identify:
      - Training name
• Date, time, and location  
• Name of participant(s) including their contact information  
• Name of the Session Facilitators  

Rosters will take the form of Training sign-in sheets.

II. **TRAINING MATERIALS** will be kept in the form of applicable written mediums such as the Session handouts and Exercises, Manuals (whether Participant manual or Trainer manual), PowerPoint presentations, and Training Workshop Agenda.

III. Participant **EVALUATIONS** will include the Training name, Date, Name of the Trainers, and Participant Learning results. Each lead trainer or facilitator is responsible for administering and analyzing training participant evaluations. The evaluation results of each training will be included in the respective post-training or workshop developed.

IV. Post **TRAINING OR WORKSHOP REPORTS**: A draft report specific to each Training OR workshop conducted will be developed and submitted to the respective NBI centre CB Specialist within 7 working days after the activity or before the subsequent Training or Workshop is held. The NBI centre NCCR project focal person shall support in reviewing the draft Training and Workshop report within 3 working days after submission for the purposes of:

- checking whether training objectives set out in the concept were fulfilled  
- Identifying lessons and support needs of NBI centres  
- providing guidance for NBI centre NCCR project related action in so far as resubmission of required training records

A Summary Training Report or Workshop Report is expected to accompany the final Training or Workshop report where a series of related Trainings or Workshops are conducted.

5.5 Quality Assurance and Control for Key Documentation

All documents produced internally in NBI Centres will be reviewed through a peer-peer review method by a designated Quality Assurance Team (QAT) at Nile-SEC/ENTRO/NELSAP-CU as relevant. Quality Assurance backstopping for documents will be done through the following options:

• Individual peer-to-peer reviews by NBI centre NCCR focal points and relevant staff members.  
• Joint NBI Centres working session reviews  
• Extended reviews that involve NBI centres, EAC-LVBC and NBD relevant staff and any other external expert reviewer

The HBWP and Component Coordinators at respective NBI Centres will have the final approval responsibility for all NCCR project documents at their respective NBI centres.
6.0 Project Communication

Communication in NBI involves ensuring that all communication support building consensus among key stakeholders towards making collective informed decisions on NCCR project matters. The NCCR project Communication and Branding plan will be developed and be applied across NBI centres.

6.1 Role of Nile-SEC Communication

The role of the NBI NCCR project communication is first to enhance internal communication in NCCR project. The NBI centres designated Communication Specialist, therefore, coordinates communication activities to enhance internal and external communication within the NBI centres on NCCR project and with other key partners and stakeholders such as the Bank, Nile Basin Governments, participating sector institutions, including the general public.

Nile-SEC Communication has the overall oversight and technical support role for NCCR project communication activities as this aligns to NCCR project component 1. This shall also ensure that communication activities at NBI centres are harmonized, consistent, focused and geared towards the attainment of NCCR project objectives.

6.2 Role of NBI Centres and IEs NCCR Project Communication

NCCR project communication at NBI centres focuses on enhancing internal and external communication activities at the component level and they also monitor communication input against desired communication output and anticipated impact. NBI centres will develop and implement strategic NCCR project communication plans that are specific to their set of activities. Where NBI centres have a shortfall of capacity to develop communication plans, Nile-SEC Communication Specialist may assist in this regard.

The Component Communication Plans integrate all elements of the sub-components to ensure that key project stakeholders are identified, key messages developed, and suitable mechanisms are put in place to enhance the smooth flow of internal and external communication. Key project stakeholders shall continuously be kept informed about the project plans and encouraged to support and actively participate in project implementation and execution activities.

6.3 NCCR Communication Channels

The recommended channels of communication that will be used to enhance effective communication at NBI centres include official correspondence and emails; telephone conversations, and teleconference/video conference; face-to-face discussions and group meetings; peer-to-peer reviews; stakeholder engagement forums, public forums, and barazas; progress review meetings, seminars, and workshops; trainings and sensitization forums; written briefs, newsletters, pamphlets, brochures, and booklets; posters, banners, flyers, leaflets, and billboards; surveys and opinion polls; new media channels and social media; press releases, press conferences, press kits, media interviews, and documentaries; online portals, NCCR project website; and on-site visits.

6.4 Media Management

NBI centres designated Communication Specialist shall make use of mainstream media to provide correct information about the progress of the NCCR project, expected benefits, and the role of the different organizations involved among other areas.

Before engaging the media on NCCR project matters, NCCR project team members will consult with the respective NBI centre NCCR project designated Communication Specialist to ensure that the key messages
developed, the style of interpretation adopted, and the timing of information to be conveyed on the media aligns to NBI principles and objectives.

NBI centres with the support of the Nile-SEC Communication Specialist shall carry out sensitization and training forums of journalists as relevant for the situation. This will not be limited to addressing specific issues relating to the NCCR project and building the capacity of media practitioners to ensure that they have valid and reliable information they can use to build their articles and news reports.

The Communication Specialists and NBI centres will nature direct relationships and dialog with journalists and regularly as permitted provide them with materials to be used to produce articles and news reports on the NCCR project. They shall maintain an up-to-date media contact list of media practitioners as required.
7.0 Project Close-out

In closing-out the project, great care must be taken to ensure that NCCR has fulfilled all of its legal, technical, and financial obligations as they pertain to the grant agreement that is ending.

HBWP and the Component Coordinators shall develop the project close-out plan that projects the completion of all technical activities; phasing out of staff; and the submission of all required final reports to the Bank among other areas.

Since some processes require a long lead time, close-out planning shall begin no later than 6 months before the end of the NCCR project performance end date of 30\textsuperscript{th} November 2025. It may however be necessary to begin the process as early as a year before this date.

As close-out planning begins, it is important to ensure the following:

- Technical reports and equipment inventories are submitted on time, and approval has been obtained for disposition of all NCCR project inventory (including NBI centres-based equipment);
- All the agreements – Grant, Project, Subsidiary agreements, and contracts including for each NBI centre are terminated appropriately;
- All lease and other vendor/supplier agreements terminations have been negotiated properly;
- Critical files have been identified for forwarding on to Nile-SEC (NBI) as the recipient as in the fulfillment of the GA requirements;
- Employment terminations and severance arrangements are in compliance with staff contracts and relevant local labor laws; and,
- Project close-out is done in full compliance with all GA requirements, contracts, and applicable laws.

All financial obligations incurred under the grant agreement need to be liquidated within the agreed timeframe.

**IMPORTANT NOTE:** Although a project’s final narrative and financial reports may not due until 30 days past the end of the project performance date, all NCCR project-related expenditures must have been booked and liquidated before the project or agreement closure date. The HBWP working closely with Component Coordinators shall be responsible for ensuring that the NCCR project complies with the close-out procedures and requirements of the Bank not limited to technical activities, staff terminations and severances, project records and files, IT needs, and bank account close-out.

7.1 Financial Analysis and Close-out Budget Forecast

About 12 months before the end of the project’s performance period, the HBWP is advised to work closely with the Nile-SEC FADH and FM Specialist to analyze even more closely the available project funding, commitments made to NBI centres and contractors, the funding needed for the completion of technical activities, and the expenses related to project close-out. This information should be
consolidated to project an accurate timeline of how long the NBI centres can realistically stay open, based on available funds. The forecast should be carefully updated every quarter as close-out assumptions may change.

In case of insufficient funding, the HBWP, Component Coordinators and the NBI centres FADH should work closely to project an alternative timeline and cost scenarios that will allow the project to complete deliverables including the possibility of requesting an extension from the Bank.

As the project nears close-out, a thorough review of the following will also need to be done to ensure proper close-out:

- A review of all outstanding staff and consultant advances. It is the responsibility of the NBI centres NCCR project FM Specialists and respective FADH to ensure that all advances are cleared prior to the NCCR project close-out.
- A review and reconciliation of each bank account and Petty Cash Fund balance. If any accounts do not balance, the difference will need to be reconciled. The reconciliation must be done as soon as possible.
- A review and determination of any refunds (including but not limited to lease security deposits, tax reimbursements, etc.) as applicable.

### 7.2 Close-out Activity Timing

A considerable amount of thought and coordination needs to be put into the timing and sequencing of project close-out activities. The schedule needs to take into account the actual end date of a project’s performance period, but will also need to take into consideration the time it takes to conclude any evaluations and audits, severance actions, packing of files, disposition of equipment, premises refurbishment as applicable, agreement and contract terminations, and any end of project conferences with key stakeholders.

At a minimum, the Nile-SEC residual team should reserve using the final 2 weeks of operations for the activities that are required for physically ceasing operations, including packing of files, moving furniture, any necessary construction to return the NCCR project office to the required condition, and terminating utilities and other services. Thus, the termination date of most NCCR project NBI centre-based staff should be no later than 2 weeks before the official close. Only key staff involved in the shutdown at the NBI centres should be retained.

The staff includes the HBWP, Component Coordinators, NBI centres respective FM Specialists, Nile-SEC Project Administrator, Nile-SEC backstopping Accountant, and a Clerk, to assist with the packing of files and other administrative functions.
7.3 Close-out of Bank Accounts

Before departing and no later than the project end date, the HBWP, Component Coordinators and NBI centres FM Specialists should coordinate the closing of all project bank accounts.

As soon as a close-out plan is finalized, the HBWP and Component Coordinators shall inform respective NBI centre ED and PSC how the close-out timeline looks like and submit it to them for their review and to request support for closeout with the following information:

- The account numbers
- Bank name and address
- Balance
- Reason for closing the account (here it should be noted that it is the end of the project)
- Best method of transferring the remaining funds
- Information on any special country-specific procedures that must be followed for account closure
- Copies of any special templates or forms the bank requires.

Once the account has been closed, the project will then need to send proof of closure (bank confirmation for closure) to the World Bank.

The HBWP, Component Coordinators and respective NBI centres FM Specialists should make a list of any payments (e.g., Social Security taxes) or refunds (e.g., rent deposits, VAT) that may be due back to the NCCR project after the project and bank account close-out date so that decisions can be made how those can be taken care of.

7.4 Legal Requirements

As the project enters the critical close-out period, there are a number of legal requirements that will need to be reviewed. These include the following:

- An assessment of any pending annual and periodic filings (including regulatory and tax filing requirements) that need to be met before project close-out.
- An assessment of any legal requirements for placing ads in newspapers announcing the project’s end and inviting vendors/suppliers and partners to submit final invoices so that compliance with these requirements can be ensured.

7.5 Inventory Disposition

The project needs to produce a property inventory list to allow for a complete audit of
the project’s property to ensure that any lost, damaged, or destroyed non-expendable property has been reported to the Bank and NBI Centre appropriately. Once that has been done, the final list should be submitted to NBI centres respective FADH so that a formal request for disposition can be prepared and submitted to the Bank for approval as applicable.

**IMPORTANT NOTE:** It is advisable that the request for disposition is submitted at least 120 days before the end of the project date to guarantee that a response from the Bank to have sufficient time for the necessary disposition to take place within the project performance period.

Once the approval has been received and disposition moves forward, the project must ensure that

- Signed receipts are obtained from all recipients of project furniture or equipment, and a copy of this documentation is shared with the Bank;
- Insurance for all equipment is cancelled as of the date of disposition;
- For any vehicles transferred, ensure that the registration and license are no longer in NCCR project name and that the recipient has all the necessary documents they need to be able to operate the vehicles and
- All asset records for the project are updated to reflect client-approved disposition information.

7.6 Leases and Office Space

As early as possible, and in line with the lease termination clauses for each lease, the project must notify the landlord in writing of the planned departure date and termination of any office, as applicable. If the space has been modified, it may need to be returned to its original configuration; an early determination should be made in order to make the changes in a timely fashion. The disruption of office operations for construction that might take place during work hours to return the space to original configurations needs to be considered in close-out planning. If applicable, the project should review any Security Deposit refunds with the landlord and detail in the lease termination letter the specific address where security deposit money should be returned. The property must be properly handed over back to the landlord.

7.7 Vendors/Suppliers

As the project enters its close-out phase, as soon as dictated by the relevant contract clauses in any agreements but no later than 90 days before close-out, the project must notify all utility providers and other service providers/suppliers with which the project has direct service arrangements of the date on which these services are expected to be terminated. In some cases, a notification may need to be made in writing; in other cases, a personal visit or phone call may suffice.

Vendors/suppliers to be contacted include: electricity, water, electricity, and telephone companies, and services such as cleaning, maintenance, equipment rental,
e-mail, security, local tax authority (if appropriate), and newspaper delivery. A checklist prepared should include tracking of the date of final service, final payment amount, and date of final payment to the relevant utility or service company.

7.8 Project Files & Records

The NCCR project files should be retained for at least seven years and six months after the end of the project in line with the Grant agreement. For this purpose, the NBI as the Recipient is responsible for sorting, packing, and shipping project files to the most appropriate location.

Files to be kept include, but are not limited to, the following:

- All original contractual documents;
- Client approvals or other correspondence with the client;
- Personnel files;
- Materials developed by the project;
- Any deliverables that are not already at NBI head office;
- Grant and subcontractor files (inclusive of financial records and deliverables);
- Financial documents (invoices, bank reports, and statements, original receipts unless they have already been submitted); and
- Procurement sourcing files.

7.9 Human Resources

NCCR project must comply with local laws and financier agreement stipulations when terminating NBI centre based national staff and specialists.

A spreadsheet should be prepared for this process listing all staff members' names and dates of hire, the number of vacation days accrued (as applicable) as of the closing date of the office, and other benefit termination payments in order to determine final amounts to be paid to each staff member as applicable. Respective NBI centre FADH will be responsible for identifying any outstanding advances (e.g., travel advance, salary advance) that must be included in the calculations of any final payments where applicable.

The respective NBI centre HR Manager or HBWP/Component Coordinator, or their designate should ensure that each departing employee returns all of the following, as applicable:

- ID Badge
- Office Access Cards
- Office keys
- Parking Passes
7.10 Sub-agreements

Working closely with Nile-SEC, respective NBI centres NCCR close-out team will ensure that all working arrangements for NCCR project with ENTRO and NELSAP-CU are closed out 3 months before the end of the NCCR project’s performance period. This will allow the Nile-SEC team enough time to address any close-out-related issues.

7.11 Information Technology Support

During close-out, it is important to take the time to coordinate with the respective NBI centres IT to ensure that the right steps are taken to address data collection and the wiping of machines that may be returned to the Bank or provided to NBI Centres as applicable. This process should be done no later than 1 to 2 weeks before project close-out to allow IT staff sufficient time to coordinate the resources necessary to do the work.
ANNEXES

World Bank Procurement Web Links

World Bank “Procurement Regulations for IPF Borrowers”

World Bank procurement main web page

World Bank Standard Procurement Documents (SPD)

The following consultancy related documents are available on the Bank’s website at www.worldbank.org/procure.
- Standard form of Contract for Consultants’ Services (Lump-Sum Remuneration).
- Standard form of Contract for Consultants’ Services (Complex Time-Based Assignment)

Standard form of Contract for Consultants’ Services (Lump-Sum Remuneration).
Standard form of Contract for Consultants’ Services (Complex Time-Based Assignment)
The Nile Basin Initiative insert NBI centre as relevant through the NCCR Project is planning a xxxx (insert name of training workshop activity) on the (dates) in… (insert venue/mode of training).

Therefore, the purpose of this memo is to submit this concept for approval. It comprises of both the technical and financial components for facilitation from NCCR Project NBI centres grants. The total amount of financial support requested is USD. (indicate total budget) of which details are outlined in the Annex II and III of the proposal.

Submitted for your approval,

Signature.
PART I: Facilitation Request Concept

*Insert title of training event here.*

---

1.0 Introduction

*Insert introduction*

2.0 Rationale

*Insert rationale*

3.0 Scope and Overall Methodology of Training Session

*Insert scope and overall methodology here.*

4.0 Objectives of the Working Session

*Insert the detailed overall objectives of the training event(s) here.*

5.0 Agenda

*Insert detailed daily training program agenda here.*
Annex 1. Training Agenda

Workshop Rapporteurs: Insert Names

<table>
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<tr>
<th>Agenda Day</th>
<th>Time</th>
<th>Description</th>
<th>Desired Output</th>
<th>Facilitator</th>
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6.0 Expected Outputs of the training sessions

Insert outputs here.
7.0 List of Participants and Budget

Annex II Budget.

BUDGET FOR TRAINING WORKSHOP

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<tr>
<th>Proposed Venue: Insert</th>
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7.2 Annex III List of Participants.

List Of Participants For Staff Training Workshop Session In … (Venue)

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<thead>
<tr>
<th>S/No</th>
<th>Participant Name</th>
<th>Designation / Title</th>
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The standard table in section VII RESULTS FRAMEWORK AND MONITORING does not provide a format that allows sufficient space to operationalize, and therefore evaluate the utility of, the indicators. This Annex provides the minimum details needed to understand what is being measured and how it will be interpreted.

PDO Indicators

PDO indicator 1. Number of joint governance decisions informed by results from project supported activities

- **Definition:** The number and nature of joint decisions by key officials is a measure of both the inclusive process that resulted in the decisions and the effectiveness of activities to lead to making decisions, provided that the nature of the decisions represent outcomes of project activities. Only predefined decisions are counted.
- **Methodology:** Only predefined or comparable decisions as listed are counted. There is no opportunity to count decisions that are different from those targeted here. However, comparable decisions are reasonably substitutable with the original target and will be clearly recorded as such.
- **Calculation:** Each targeted decision is one. If a sub-basin COM makes a joint decision that meets the target it is counted as one. If same or substitutable decision is then made by Nile-COM, no additional count is made. It is not counted again from Nile-COM.
- **Disaggregation:** Data is maintained as raw values. Meeting minutes as data sources will be maintained that provide metadata.
- **Baseline:** The baseline is zero.
- **Targets:** Countable decisions include agreements to perform regional activities that use NBI tools, data, or information. This includes:
  - NBI Capacity Building Strategy approved
  - NBI Media Strategy approved
  - NBI Gender Mainstreaming Strategy approved
  - Risk Management Framework for Dam Safety approved
  - Basin-wide dam safety regulatory framework approved
  - Dam safety training center implementation plan approved
  - Drought early warning system approved
  - Flood mitigation investment roadmap approved
  - Flash flood early warning system approved
  - Water Quality Hotspot investment prioritization methodology approved
  - Four water quality hotspots selected for investment planning and prioritization.
  - Regional policy harmonization on water quality standards approved

Cumulative: Year 1: zero; Year 2: four; Year 3: nine; Year 4: 12; Final Target: 12.
• **Assumptions/biases**: The primary assumption is that a decision at the level of the Council of Ministers represents a mutually beneficial condition for national water resources. The assumption is also that agreeing to a joint decision, an individual Minister sees benefit and that there was a process that conveyed this information.

• **Frequency**: Semi-annually

**PDO Indicator 2. Percentage of users of mechanisms of cooperative water resources management and development that promote or inform regional cooperation, who rate them as “satisfactory” or higher**

• **Definition**: Provision of transparent, relevant, reliable and accurate information and platforms for inclusive dialogues are some the main services that regional organizations provide to stakeholders to establish interstate trust, underpin decision making, and inform investment. These mechanisms are the common elements to achieving transboundary cooperation. How stakeholders rate these mechanisms will be taken as indicative of usability and usefulness to Member States for water resource management and development.

“Mechanisms” are as defined in the PDO definitions and include publicly available information services, modeling tools, datasets, dialogues, study tours, and other relevant services provided by the project.

“Users” are people that participate in direct capacity building on specific tools, data or analyses and people and/or people that participate in directly facilitated dialogues. Therefore, results will be interpretable as they are aggregated over time.

• **Methodology**: The indicator result is a cumulative average of the rating of users to the following questions administered at each capacity building event (both virtual and in-person). These questions may be provided alone or as part of a larger set of questions:

1. How do you rate the importance of [this tool] for sustainable regional water resources in the Nile Basin? [by a 1-5 ordinal discrete scale (i.e., in the equivalence to 1 = Unsatisfactory, 2 = Moderately unsatisfactory, 3 = Moderately satisfactory, 4 = Satisfactory, and 5= Highly satisfactory)]

2. What is your overall satisfaction of [this tool]? [scale 1-5]

3. What could be improved in either the content or the manner of training?

• **Calculation**: The aggregate percentage value is the average percent of people responding “4” or “5” to question #3, weighted by the total number of respondents, irrespective of the number of surveyed events. Embedded within % satisfaction is a. the number of people b. number of fora and c. the nature of the fora.

• **Disaggregation**: Data is maintained as raw values from each event where the survey was administered. This will allow for recalculation or disaggregation by attributes like year, topic, audience, and gender.

• **Baseline**: The comparable PDO indicator in NCORE has a methodology that is too different to what is used here. We will therefore use the baseline that was obtained at the beginning of NCORE.

• **Targets**: Annual targets were chosen based on the real results for a similar indicator used in the predecessor project (NCORE).

• **Assumptions/biases**: A. Stakeholder rating of services is a measurement of how well the service facilitates regional cooperation. Cooperation does not have a 1:1 relationship with any of the elements that support it (confidence in information, knowledge about the other’s information, institutions that enforce shared benefits for cooperating and consequences for defecting, etc.), so we know that a positive satisfaction with services cannot be interpreted as a direct improvement, however a service that is rated poorly would not credibly be a good contributor to cooperation.  B. Many biases can exist in satisfaction
surveys. There is statistically a tendency for most people to rate average satisfaction as high, or to rate satisfaction poorly because of dissatisfaction with weakly related issues. Minimizing systematic biases and having a sufficiently large sample size to water down the effect of uncontrolled biases is a core way obtaining meaningful satisfaction survey data. C. Interpreting the absolute value to be meaningful is a mistake. Is 85% satisfaction significantly more than 83% and if it is, is the magnitude meaningful? Rather, the utility of these results is in (i) being able to determine quickly and make course corrections when/if satisfaction on specific elements manifests and (ii) to measure a trend (i.e., non-negative being preferred), which provides information on how well the PDO is being achieved.

- **Frequency**: Semi-annually

1. **Intermediate Result Indicators**

i. **IR Indicator 1. Number of people trained**

- **Definition**: This is the count of individuals attending trainings designed, organized, and hosted by the project. Trainings are defined as minimally having a curriculum, learning goals, and instruction. Virtual training will be included in this indicator however are excluded from gender and FCV disaggregation unless a specific participant roster is established.
- **Methodology**: At discrete training platforms, each participant will be counted as one.
- **Calculation**: Raw aggregation.
- **Disaggregation**: This indicator’s results are disaggregated by the gender and nationality. Nationality will indicate the number of trainees that are from fragile or conflict affected states.
- **Baseline**: The baseline is zero.
- **Targets**: Targets for this indicator were estimated from results of similar indicators in the predecessor project (NCORE). However, due to the novel coronavirus pandemic the training platform will be significantly different from NCORE’s. It is possible that more e-learning will drive up the number people trained but it cannot be estimated in advance. Likewise, it is possible that e-learning will enable greater participation from women or people from fragile and conflict affected situations (FCSs). Data from a similar indicator in NCORE has been used to estimate targets.
  
  Total Cumulative number. Year 1: 200 people; Year 2: 400 people; Year 3: 600; Year 4: 800 Final Target: 900. Number of women for Year 1: 40 people (20%); Year 2: Year 1 + 22%; Year 3: Year 2 + 24%; Year 4: Year 3 + 27%; Final Target: 25%). Number of people from FCSs Year 1: 25%; Year 2: Year 1 + 22%; Year 3: Year 2 + 24%; Year 4: Year 3 + 27%; Final Target: 25%

- **Assumptions/biases**: It is likely that people will participate in different NBI trainings and therefore be counted multiple times. We do not have an estimate of the counting bias. We can conclude that the number aggregated for this indicator will be higher than the actual number of unique people that were trained. However, this indicator is disambiguated from other indicators that count people trained (IR indicators 2 and 10). Targets for this indicator were estimated from results of similar indicators in the predecessor project (NCORE). However, due to the novel coronavirus pandemic the training platform will be significantly different from NCORE’s. It is possible that more e-learning will drive up the number of people trained. Likewise, it is possible that e-learning will enable greater participation from women or people from fragile and conflict affected situations (FCSs). This indicator is disambiguated from other indicators that count people trained (IR indicators 2 and 10).
- **Frequency**: Semi-annually

ii. **IR Indicator 2. Number of Interns/Young Professionals**
**Definition**: The count of individuals selected and participating in the internship and Young Professionals’ (YP) Program aggregated across all participating centers.

**Methodology**: Once cohorts of interns and YPs have completed their respective programs, each participant will be counted as one.

**Calculation**: Raw aggregation.

**Disaggregation**: This indicator’s results are disaggregated by the gender and nationality. Nationality will indicate the number of trainees that are from fragile or conflict affected states.

**Baseline**: The baseline is zero.

**Targets**: Targets for this indicator were estimated from results of similar indicators in the predecessor project (NCORE). However, shifting priorities of the centers has resulted in reduced budget allocation for these activities and therefore downward adjustment of the targets. Disaggregated targets for gender and FCS participants have been adjusted proportionally upwards from the predecessor project, taking into consideration statistics on gender distribution in professional fields targeted for the internship/YP programs. Total number- Year 1: 10 people; Year 2:20 people; Year 3: 30; Year 4: 40; Final Target: 48. Number of women for Year 1: 20%; Year 2:Year 1 + 25%; Year 3: Year 2 + 30%; Year 3 + 35%; Final minimum Target: 30%. Number of people from FCSs Year 1: six people (50%); Year 2: 12 people (50%); Year 3: 18 people (50%); Final minimum Target: 24 people (50% women)

**Assumptions/biases**: It is assumed no individual will participate in either of the programs more than once.

**Frequency**: Semi-annually

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### iii. IR Indicator 3. Number of fit-for-purpose networks created or strengthened.

**Definition**: The number of sector driven networks and subnetworks that are either strengthened and/or created through the project will be counted. A network must have a discrete purpose or theme and have an explicit opportunity for intranet work engagement. Topics for the project will include a women’s network for flood early warning systems and a dam safety network, for examples.

**Methodology**: Centers will count strengthened or created networks and substantiate counts qualitatively.

**Baseline**: 0

**Targets**: Cumulative Year 1: 2; Year 2: 4; Year 3: 6; Year 4: 10; Final target: 10.

**Assumptions/biases**: The indicator relies on proper substantiation and subjective judgement of qualification, however, despite this it is simple to state what exactly the project provided to strengthen a network or to establish it based on the definition above.

**Frequency**: Semi-annually

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### iv. IR Indicator 4. Enhanced flood and drought information available in the public domain.

**Definition**: This indicator measures enhancement to the existing flood forecast early warning (FFEW) system in forecast accuracy, the addition of basin-wide forecast systems for flash flood and drought, and dissemination of forecast results through the online dashboard, as well as bulletins released periodically.

**Methodology**: ENTRO and NELSAP-CU will jointly lead collection of data and reporting on achieving the interim and final targets and will substantiate targets that have been met with consultant reports.

**Calculation**: Each interim target is either met (= yes) or not met (= no). The final target is met if all interim targets are met.

**Disaggregation**: none.

**Baseline**: The baseline is zero.
• **Targets:** Year 1 target = Mapping of riverine flood prone areas in the Nile basin completed; Year 2 target = Flash flood assessment completed for the Nile Basin and hotspot/prone areas map and report prepared; Year 3 target= operational basin wide drought forecast and early warning system established at regional level; Final target= enhanced flood and drought information available in the public domain.

• **Assumptions/biases:** “Enhanced” is neither a binary nor objective concept and therefore there is subjectivity in interpreting the additional flood and drought data as constituting an enhancement.

• **Frequency:** Semi-annually

v. **IR Indicator 5. Number of institutions consulted to enhance or monitor usability of flood related information.**

• **Definition:** This indicator measures improvement to the existing system through feedback collected through a needs assessment involving key institutions such as government, inter-governmental organizations, and international NGOs. The findings generated through this activity will be shared with these stakeholders for improved public relations, and a pilot awareness raising program will be conducted as part of training to national governments. This indicator is to address the higher level, complementary institutions to IR indicator 5, which are community level representatives.

• **Methodology:** A complementary survey will be administered to answer this indicator and IR indicator 5. ENTRO’s and NELSAP-CU’s M&E lead will collect, analyze, and report on the data for this indicator and maintain survey data records. Survey questions will seek to identify user satisfaction with the usability and utility of the activity.

• **Calculation:** To be developed

• **Disaggregation:** There is no overt disaggregation, but all records will maintain the respective metadata to the survey data.

• **Baseline:** The baseline is zero.

• **Targets:** Final target: 20 (2 in each of 10 countries)

• **Assumptions/biases:** There will be repeated counting of institutions as they participate in consultations and meetings across purposes however the purpose is not to quantify the diversity of stakeholders consulted at this level but rather the volume of engagements to improve tools and utility. Other biases may exist depending upon the nature of the survey instrument.

• **Frequency:** Semi-annually

vi. **IR Indicator 6. Number of community level stakeholders consulted for usability of flood warning notifications.**

• **Definition:** This indicator measures the extent of consultations with community stakeholders such as NGOs, user associations and farmer groups.

• **Methodology:** The NBD M&E lead is responsible for data collection, maintenance, and reporting to Nile-Sec for incorporation in annual reports. At discrete stakeholder consultation events, each participant will be counted as one. Community-level stakeholder mapping will be conducted to identify effective channels to spread early warning of respective hazards across the society. Review of effective communication tools such as radio, SMS, WhatsApp, etc. is also conducted. The findings of the survey will be used to formulate information packaging and dissemination strategies for riverine flood, flash flood and drought.

• **Calculation:** Raw aggregation.
• **Disaggregation**: This indicator’s results are disaggregated by gender, the organization they represent, and their nationality. Nationality will indicate the number of trainees that are from fragile or conflict-affected states.

• **Baseline**: The baseline is zero.

• **Targets**: Targets for this indicator were estimated from results of similar indicators in the predecessor project (NCORE). However, due to the novel coronavirus pandemic the number of face-to-face consultations will be significantly different from NCORE’s. Some consultations will need to be conducted virtually. It is possible that virtual consultations will diminish the number of attendees, due to lack of internet access but it cannot be estimated in advance. In contrast it is also possible that virtual consultations will enable greater participation from women, people with disabilities, or other demographic groups that may experience difficulties traveling. Data from a similar indicator in NCORE has been used to estimate targets.

• **Assumptions/biases**: It is likely that people will participate in multiple stakeholder consultation, due to overlapping group membership, and therefore be counted multiple times. We do not have an estimate of the counting bias. We can conclude that the number aggregated for this indicator will be higher than the actual number of unique people that participated in the consultations.

• **Frequency**: Semi-annually

vii. IR Indicator 7. Number of new or improved dam safety units

• **Definition**: This indicator measures the number of new and improved national dam safety regulatory Units supported by the project, including through capacity building trainings and the establishment of the regional dam safety training center.

• **Methodology**: The NELSAP-CU M&E lead is responsible for collecting information to substantiate achievement of these targets and reporting on progress annually. The final target relies on having achieved all interim targets.

• **Calculation**: The targets are cumulative, and measurement counts the targets as listed.

• **Disaggregation**: Number of new national DSUs. Number of improved national DSUs.

• **Baseline**: The baseline is zero.
  **Targets**: 5 improved national dam safety units. 3 new national DSUs. Final Target = 8 units

• **Assumptions/biases**: It is assumed that most of the member countries without a DSU have individual officials responsible, to some degree, for oversight of dams but that this role is not formalized as a regulatory entity. It is not assumed that DSUs are or will be independent apex authorities sitting outside of the responsible ministry but rather a department or unit in the responsible government ministry.

• **Frequency**: Semi-annually

viii. IR Indicator 8. Mechanisms for increasing equivalence in regional dam safety management developed

• **Definition**: This indicator measures the creation, dissemination and uptake of a regional dam safety risk management framework, a model dam safety regulatory framework, and accompanying technical guidelines.

• **Methodology**: The NELSAP M&E lead is responsible for collecting information to substantiate achievement of these targets and reporting on progress semi-annually.

• **Calculation**: Targets are both quantitatively (i.e., noncumulative) and qualitatively distinct. The M&E lead will count results that fits the interim target descriptions (hence equaling “yes”). It is necessary and sufficient to achieve all interim targets to deem that the final target is accomplished.

• **Disaggregation**: none. Metadata is maintained with substantiating reports.
Baseline: The baseline is zero.

Targets: Year 2 target: regional risk management framework developed; Year 3 target: model national regulatory framework developed; Year 4 target: three technical guidelines developed; Final Target: Mechanisms for regional harmonization of dam safety developed.

Assumptions/biases: It is assumed that increased equivalence in regulatory frameworks will take time to implement, and thus it is anticipated that these mechanisms will be developed, disseminated, and endorsed with a strategy for implementation during the life of the project. It is not assumed that actual adoption, which may require drafting or amendment of regulations and legislation, will be completed within the project duration.

Frequency: Semi-annually

ix. IR Indicator 9. Number of Water Quality Hotspots where investment prioritization is supported by stakeholder dialogue and relevant analysis

Definition: This indicator measures the use of the project’s new water quality data to identify and prioritize water quality hotspot investments. The interim targets define this indicator further. Relevant analysis includes MCA.

Methodology: The NELSAP-CU M&E lead is responsible for collecting information to substantiate achievement of these targets and reporting on progress semi-annually. The final target relies on having achieved all interim targets.

Calculation: Targets are both quantitatively (i.e., noncumulative) and qualitatively distinct. The M&E lead will count each water quality hotspot that fits the interim target description. This is opportunistic and all hotspots that meet the description should be reported.

Disaggregation: None. Metadata is maintained with substantiating reports.

Baseline: The baseline is zero.

Targets: Year 1 target: Criteria to identify water quality hotspots will be ready” with the subsequent year identifying two water quality hotspots; Year 2 target: Two WQ hotspots identified for conducting MCA analysis and two hotspots for which WQ baseline assessments completed; Year 3 target: Two hotspots for which multi-criteria analysis conducted for investment prioritization; Year 4 target: Two hotspots for which MCA is conducted using water quality data; Final target: Four Water Quality Hotspots for which investment prioritization is supported by stakeholder dialogue and multi-criteria analysis.

Assumptions/biases: None

Frequency: Semi-annually

x. IR Indicator 10. Number of Instruments developed to guide/govern water quality investment planning in the Lake Victoria Basin/NEL region

Definition: This indicator measures the preparation of regional enabling environment instruments aiming to support the water quality investment planning in the geographic areas covered by the Lake Victoria Basin as well as the Nile Equatorial Region.

Methodology: The LVBC M&E lead is responsible for collecting data to substantiate achievement of these targets and reporting semiannually.

Calculation: Raw aggregation.

Disaggregation: none.

Baseline: The baseline is zero.
• **Targets:** 2 instruments: (i) A draft harmonized policy on water quality management including policy recommendations on the existing national water policy documents, and (ii) a costed Water Quality Management Strategy & Action Plan; all prepared in consultation with EAC Partner States and DRC.

• **Assumptions/biases:** The main assumption is that there is sufficient demand across all relevant countries for harmonization.

• **Frequency:** Semi-annually

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**xi. IR Indicator 11. Number of stakeholders directly supported on applications of the Nile Basin Data Analytics Services**

• **Definition:** The NBI will provide direct support to stakeholders through training, webinars, e-learning platforms, the Help Desk, training of trainer systems and other means to build technical skills on understanding, using and contributing to the NB-DAS (including the Earth Observation Toolkit and DSS), and associated services. It is not possible to accurately quantify the uses of NBI-provided data resources by its stakeholders, nor does counting data downloads or website clicks provide any depth of understanding that can be used by the project. While this indicator does not explicitly assume that supporting stakeholders in usage translates to real usage, it is the best compromise to being able to measure these outcomes.

• **Methodology:** The Nile-Sec M&E lead will collect, maintain, and report on the number of stakeholders supported on applications of the NBDAS.

• **Calculation:** Raw aggregation.

• **Disaggregation:** None. Since training will involve open platforms (like prerecorded e-learning) with anonymous access, it is not possible to consistently measure identity attributes like gender. Online access statistics can yield information on access country, and some disaggregation information can be collected through user surveys to yield limited additional disaggregation insights.

• **Baseline:** The baseline is zero.

• **Targets:** Final target = 200

• **Assumptions/biases:** This indicator is disambiguated from other indicators that count the number of people trained.

• **Frequency:** Semi-annually

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**xi. IR Indicator 12. Number of mechanisms for cooperation improved with open platform public data products**

• **Definition:** This indicator measures the implementation of the NB-DAS and other public domain-based tools. Enhanced utilization of open data and information for climate-resilient water and natural resources management is measured through counting the cross-cutting applications (water quality, flood/drought, and dam safety) that are improved by identifying, cataloging, processing, and validating EO data to generate decision relevant information.

• **Methodology:** The Nile-Sec M&E lead will annually report on the progress toward the Final Target and maintain records (reports, etc.) that substantiate achievements.

• **Calculation:** Raw count of targets.

• **Disaggregation:** Metadata is maintained with substantiating reports.

• **Baseline:** The baseline is zero.

• **Targets:** Final target = 4 (1 flood/drought application, 1 dam safety application, 1 water quality mapping application, and 1 other NB-DAS application).

• **Assumptions/biases:** TBD
• **Frequency**: Semi-annually