BKCF Manual

Palawan
PHILIPPINES
Mindanao
Sabah
Labuan
BRUNEI DARUSSALAM
MALAYSIA
Sarawak
INDONESIA
Sulawesi
Kepulauan Maluku
Papua
Kalimantan

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Abbreviations and Acronyms

ASEAN	Association of Southeast Asian Nations
BIMP-EAGA	Brunei Darussalam-Indonesia-Malaysia-Philippines East ASEAN Growth Area
BIMP FC	BIMP Facilitation Center
BIMP-EAGA NS	BIMP-EAGA National Secretariat
BKCF	BIMP-EAGA-ROK Cooperation Fund
DD	Due Diligence
GGGI	Global Green Growth Institute
MOFA	Ministry of Foreign Affairs
M&E	Monitoring and Evaluation
ROK	Republic of Korea
SOM	Senior Officials' Meeting
ToR	Terms of Reference
UN DSA	United Nations Daily Subsistence Allowance
USD	United States Dollar
WLM	Working Level Meeting

Introduction: How To Use This Manual

Objectives

The purpose of the BIMP-EAGA-ROK Cooperation Fund (BKCF) Manual is to provide proponents with an overview of how BKCF is constructed, progressed, and completed, with detailed information stipulated in each section.

Each section includes essential information on each step of BKCF, guiding proponents through the proposal submission, project implementation, monitoring, and reporting process.

The 'Manual' serves as the more detailed, main guidance for BKCF management, whereas the 'Guideline' for each call is a more general introduction to the fund, including information and details specific to each call. The manual and the guidelines are subject to annual updates; therefore, proponents are encouraged to refer to the most recent versions available on the GGGI BKCF Website to ensure they have the most accurate and up-to-date information.

Target Audience

The manual aims to provide guidance to all actors involved in BKCF management, including project proponents, potential project proponents, BIMP Facilitation Center, BIMP-EAGA National Secretariats (NS), GGGI, the Ministry of Foreign Affairs (MOFA) of the Republic of Korea (ROK), and any other interested parties.

For those interested in BKCF,

- The manual is designed to enhance understanding of the fund's background and partnership between BIMP-EAGA and the ROK through BKCF initiatives.

For potential proponents of BKCF,

- This manual aims to provide essential guidance in supporting successful BKCF participation by providing necessary resources and procedures, including proposal formulation, budget preparation, and project implementation.

For selected proponents,

- This manual aims to provide clear standards for implementing the BKCF projects and strengthening project operations through enhanced focused planning.

1. Overview of BKCF

1.1. Background

During the 1st BIMP-EAGA-ROK (Brunei Darussalam-Indonesia-Malaysia-Philippines East ASEAN Growth Area-Republic of Korea) Senior Officials' Meeting (SOM), the ROK MOFA and BIMP-EAGA signed a Memorandum of Understanding (MoU) at the MOFA headquarters. Moreover, due to the strong demand for climate action in the region, the Global Green Growth Institute (GGGI) was dedicated as the depositary for BKCF.

In October 2021, BKCF was newly established by ROK to promote cooperative projects in the fields of environment, tourism, and connectivity. Representatives of the participating countries agreed that the BIMP-EAGA-ROK cooperation would contribute to the promotion of inclusive and balanced growth and ASEAN connectivity in Southeast Asia and discussed ways to promote collaboration between the two sides.

BKCF provides the financial basis to support cooperation projects initiated by BIMP-EAGA countries and the ROK, either independently or jointly. BKCF projects are selected and approved at the annual BIMP-EAGA-ROK SOM based on consensus from all parties.

GGGI, as the designated depositary for the fund, is responsible for overseeing the entire project proposal process. This includes announcing calls for proposals, receiving and reviewing submissions, screening and ranking projects, and preparing a consolidated report with a shortlist of selected proposals. During the project implementation phase, GGGI plays a key role in monitoring ongoing projects and ensuring the timely submission of reports and budgets.

1.2. About the BIMP-EAGA Region

BIMP-EAGA was established in 1994 with aims to narrow the development gap and generate balanced and inclusive growth by promoting trade, investment, and tourism among the four countries in the region – Brunei Darussalam, Indonesia, Malaysia, and the Philippines. The East ASEAN Growth Area (EAGA) was created to shift economic activities from resource extraction to higher levels of processing and value-added production, focusing on industries that adopt clean and green technologies. The EAGA region covers the entire Sultanate of Brunei Darussalam; the provinces of Kalimantan, Sulawesi, Maluku, and West Papua of Indonesia; the states of Sabah, Sarawak, and the Federal Territory of Labuan in Malaysia; and the Island of Mindanao and the province of Palawan in the Philippines.[1]

In 2024, EAGA's GDP at current prices accounted for 18.2% of BIMP's GDP, reflecting notable growth in trade, foreign direct investment, and tourism. A significant number of infrastructure projects are in progress, enhancing regional connectivity and development. Despite comprising 62.2% of the land area of the BIMP countries, the EAGA region represents only 16.6% of the total labor force and 21.8% of goods trade within BIMP.[2]

[1] BIMP-EAGA Korea Cooperation Fund. (n.d.). *About us*. Retrieved from https://bimp-korea.org/eng_test/about_test/about.php
[2] BIMP-EAGA Facilitation Center. (10 Oct 2024). *BIMP-EAGA at a Glance: A Statistical Information Brief 2024*. Retrieved from https://bimp-eaga.asia/documents-and-publications/bimp-eaga-glance-statistical-information-brief-2024

Figure 1. Main regions of BIMP-EAGA[3]

1.3. Strategic Objectives of BKCF

BKCF aims to support BIMP-EAGA's Vision 2025 (BEV 2025) of a **Resilient, Inclusive, Sustainable, and Economically competitive (R.I.S.E) BIMP-EAGA to narrow the** development gap. **BEV 2025** is an adaptable framework covering the implementation period from 2017 to 2025, centering on three key objectives: (a) Competitive and environmentally conscious manufacturing sector, (b) Resilient agriculture and fisheries industries, and (c) Cross-border approach to tourism, particularly benefiting underdeveloped areas.

1.4. Priority Sectors of BKCF

Among the list of sectors from BEV 2025, prioritization was given to four sectors through consultations between BIMP-EAGA and the ROK, which are **(a) environment, (b) connectivity, (c) tourism, and (d) agriculture and fisheries**. The sectors may be updated at a later point, if required, through an agreement between BIMP-EAGA and ROK. By focusing on these sectors, BKCF aims to address some of the key challenges and opportunities within the BIMP-EAGA region, aligning with the objectives outlined in BEV 2025.[4]

[3] BIMP-EAGA Korea Cooperation Fund. (n.d.). *About us*. Retrieved from https://bimp-korea.org/eng_test/about_test/about.php
[4] BIMP-EAGA Korea Cooperation Fund. (n.d.). *Programs and initiatives*. Retrieved from https://www.bimp-korea.org/eng_test/about_test/about9.php

Table 1. Priority Sectors of BKCF

Priority Sector	Goals
Environment	• Promote sustainable management approaches in the ecosystem • Develop clean and green production technology • Utilize nature-based solutions, including REDD++
Connectivity	• Facilitate cross-border trading and SMEs integrated in supply chains • Improve ICT infrastructure and technological innovation • Upgrade energy efficiency in rural areas
Tourism	• Protect and support green eco-tourism sites • Provide sustainable tourism-based livelihoods
Agriculture & Fisheries (Food Basket)	• Adopt climate-resilient production practices • Develop subregional supply and value chains for priority commodities • Ensure long-term food security from climate disasters

1.5. BKCF Logo

The BKCF logo was designed to enhance the visibility and recognition of BKCF among a diverse audience, including potential beneficiaries, stakeholders, and the broader public. Proponents are encouraged to feature the BKCF logo in all project-related documents, reports, publications, meeting materials, and promotional content to demonstrate BKCF's support for the project.

Do not manipulate the logo in any way. This includes any modification, such as distorting the image (stretching or squeezing) and adding elements, colors, shadows, outlines, and embellishments. If resizing is needed, ensure that the logo maintains the proper proportions of the logo file (hold the "Shift" key down when scaling the logo).

The BKCF logo can be downloaded from the GGGI BKCF Website.

1.6. Ownership of BKCF Project Outputs

All outputs and deliverables generated from BKCF projects will belong to BIMP-EAGA and ROK. BIMP-EAGA and ROK must approve the use of project deliverables and generated outputs with advice from GGGI.

1.7. BKCF Information Access

The GGGI BKCF Website contains all information related to BKCF proposal submissions, call announcements, document templates, and other relevant updates. The BIMP-EAGA Website provides additional resources, such as country profiles, the BEV 2025 Goals, and regional statistics. Similarly, a dedicated webpage maintained by the ROK MOFA features the latest news and updates on BKCF activities.

2. Project Formulation

2.1. Eligibility

Eligibility Requirements of Proponent

The following proponents are eligible to apply for the fund:

- Government Agencies, Public and Private Sector Institutes, Non-Governmental Organizations (NGOs), Academic Institutes, Country Offices of International Organizations, or any other autonomous institutes based in member countries of BIMP-EAGA and the ROK.
- **Individuals are not eligible to apply for the fund.**
- GGGI can participate as a delivery partner to support the implementation of requested components of the approved project, with an endorsement of the BIMP-EAGA country or countries where the proposed project will be implemented.

To be eligible for the grant, the proponents shall not:

- Be included in the Consolidated United Nations Security Council Sanctions List and/or debarred by Multilateral Development Banks; and
- Have been declared ineligible by GGGI or ROK to participate in a call for proposal or included in an ineligibility list of GGGI or ROK.

Eligibility of Project

The project eligible for application should meet the following qualifications:

- The project should contribute to promoting inclusive and balanced growth in the Southeast Asia region and ASEAN Connectivity by strengthening the partnership between the BIMP-EAGA and the ROK and realizing the BEV 2025.
- The project's purpose and scope should align with the priority sectors of BKCF.
- The project should target a BIMP-EAGA country or countries. While the project is recommended for implementation in the BIMP-EAGA region, proposals for projects in other regions within the BIMP countries are equally eligible.
- The time frame of the project should be one year or two years. The project budget should also be planned within a set range according to the project's duration.

Table 2. Grant Award Period and Range

Project Type/Duration	Budget Range (USD)
One-year project	Minimum of $100,000 and a maximum of $500,000
Two-year project	Minimum of $200,000 and a maximum of $500,000
Multiple countries or BIMP-EAGA regional project	Maximum of $250,000 per country

2.2. Proposal Preparation

Proponents should visit the GGGI BKCF Website to access the latest Guideline, which provides essential details for each call. The required submission documents, with downloadable templates available on the website, include the following:

A. Project Proposal (APPENDIX 1 in BKCF Manual)

B. Budget Proposal (APPENDIX 2 in BKCF Manual)

C. Due Diligence Form (APPENDIX 3 in BKCF Manual)

D. Annex 1. Deliverables (APPENDIX 4 in BKCF Manual)

E. Annex 2. Project Implementation Plan (APPENDIX 5 in BKCF Manual)

F. Annex 3. Institutional Portfolio and Terms of Reference for Human Resources (APPENDIX 6 in BKCF Manual)

A. Project Proposal (APPENDIX 1 in BKCF Manual)

The proposal must be independently originated and developed by the proponent. For project proposal formation, proponents should:

- Structure a logical framework consisting of outcome-output-activity with clear links to the objective of the project, ensuring that other documents are also aligned with the log frame;
- Include engagement with a local partner or stakeholder in the project implementation and monitoring processes.

It is recommended to keep the project title concise and avoid lengthy descriptions. The project title should focus on effectively and clearly conveying the project's key objectives.

Logical Framework

Proponents are required to submit a comprehensive logical framework as an appendix to the proposal document. This appendix must include detailed descriptions of all activities and sub-activities planned throughout the project.

In addition to outlining the Project Results in Proposal Section 2.2 (focused on project activities), the logical framework should provide details of the outcomes, outputs, and activities, as well as the indicators, baseline, targets, means of verification, and source of data. The logical framework appendix will not count toward the page count of the proposal.

B. Budget Proposal (APPENDIX 2 in BKCF Manual)

The budget proposal must be prepared in US Dollars (USD) and include the unit cost of each budget item and details for all costs. GGGI may request further clarification if the description of the budget item is unclear or inconsistent with the purpose of the project. Each budget item in the budget proposal must adhere to the Pro-Forma Cost guidelines provided in Section 6 of the BKCF Manual.

The budget proposal must include:

- Unit cost of each budget item (in USD ONLY)

- Exchange rate between the local currency and USD used during the proposal drafting stage
- Description of each budget item
- Number of units
- Sub-total for each category of costs and Total Cost for each item
- In the case of co-financing, a separate budget table indicating the co-financing amount and brief details must be added to the original budget table.

For proponents who receive co-financing, evidence indicating committed project co-financing from interested co-financing partners should be provided. Evidence includes proof of communication with potential co-financing partners, or a letter of intent from concerned government authority or potential co-financing partners.

C. Due Diligence Form (APPENDIX 3 in BKCF Manual)

GGGI will conduct a Due Diligence review to assess the proponents' technical and financial capacity to implement the project. All proponents are required to submit the Due Diligence Form along with their proposal(s). Proponents must respond to all questions at each stage, providing supporting documents or materials where applicable. For further details, please refer to the guidelines outlined in the template.

D. Project Deliverables (APPENDIX 4 in BKCF Manual)

BKCF projects operate on a deliverable-based framework. Proponents are required to submit a payment plan aligned with the deliverables and the schedule outlined in the signed Grant Agreement with GGGI. Proponents should also note that:

- The initial disbursement shall not exceed twenty percent (20%) of the total project cost, and the last disbursement is fixed at fifteen percent (15%) of the total project cost.
- Fifteen percent (15%) of the total project cost must be fixed and utilized for creating the reports, including the Annual Report, Mid-term Financial Report, Final Financial Report, and Project Completion Report.

E. Project Implementation Plan (APPENDIX 5 in BKCF Manual)

Proponents must detail all project activities along with the duration of each activity to ensure the project is completed within the specified timeframe. Successful proponents will be requested to update the Project Implementation Plan on a quarterly basis, beginning from project initiation and continuing throughout the project's lifecycle.

F. Institutional Portfolio and Terms of Reference (ToR) for Human Resources (APPENDIX 6 in BKCF Manual)

The ToR consists of two sections: 1) Institutional Portfolio and 2) Individual ToR for Human Resources. In the Institutional Portfolio, proponents can present the organization's relevant experience and institutional capacity to execute the proposed project. In the ToR, proponents should provide detailed information about the roles and responsibilities of the human resources involved in the project.

2.3. Submission of Proposal

The proponent shall fill out the required forms and necessary documents and submit them via email (**bkcf.proposal@gggi.org)** before the application deadline, titled "**[2025 Submission] Project Title**". Proposals will not be considered in the following situations:

- Submission not meeting the deadline
- Submission of proposals or document(s) with incomplete sections
- Failure to submit the required document(s)
- Budget listed in currencies other than USD
- Proposal written in a language other than English

3. Project Review and Approval

3.1. Project Review and Approval Process

Project proposals requesting a BKCF grant will be reviewed by both GGGI and BIMP-EAGA-ROK at each stage of the approval process.

Figure 2. Project Review and Approval Process

3.2. GGGI Review and Shortlisting

GGGI will be conducting a screening of proposals for shortlisting. During the screening process, GGGI may contact proponents individually and, if necessary, request responses to questions (written format) or conduct interviews for further assessment (with BIMP-EAGA NS participating as observers). Proponents will then be required to respond to the written questions and follow the next steps as guided.

3.3. BIMP-EAGA NS-ROK MOFA Review and Approval

GGGI will prepare and submit the shortlisted projects to the ROK MOFA. BIMP-EAGA NS and the ROK MOFA will review the shortlisted projects, which will take a maximum of 50 business days. When the proposed project is approved by Senior Officials of BIMP-EAGA and the ROK during the SOM, GGGI will (1) contact selected proponents individually, (2) announce the complete list of endorsed projects on the GGGI BKCF website, and (3) arrange bilateral meetings with selected proponents to provide project preparatory details and facilitate grant agreement signing if necessary.

4. Project Implementation Procedure

4.1. Project Implementation Preparation

Proposal Revision and Due Diligence Review

Proponents may be requested to revise the proposal during the project implementation preparation stage. Upon receipt of the revision request, the proponent should submit the updated proposal or required documents within 10 business days. If needed, the proponent can request an extension of an additional 10 business days (maximum).

Grant Agreement Signing

To proceed with the signing of the grant agreement, the proponent should set up a dedicated BKCF fund bank account. As the grant will be transferred in USD, it is recommended that a USD account with a local bank or a local account capable of receiving USD transactions be opened.

Upon successful completion of the Due Diligence form and approval of the proposal revision, the grant agreement will be signed between GGGI and the proponent, marking the official inception of the project. The proponent is required to engage in regular communication with the BIMP-EAGA NS and the BIMP FC to ensure smooth project initiation and implementation.

If a proponent is a government agency that requires special permits under domestic laws and regulations to receive funds from GGGI, GGGI (through its country office) may agree to retain the funds and facilitate the budget execution on behalf of the proponent under an arrangement between GGGI and the proponent. GGGI may charge a 4% overhead cost of the total project budget to cover extra expenses incurred.

4.2. Project Initiation and Fund Disbursement

Proponents are prohibited from starting the project until the grant agreement between GGGI and the proponent is signed. Any expenses incurred for activities undertaken prior to the official project start date will not be covered by GGGI. GGGI also reserves the right to refuse project funding if the project is not undertaken in accordance with the agreed project objectives.

Detailed Project Work Plan

Proponents are required to submit a Detailed Project Work Plan and the first invoice, aligned with the approved budget, within 7 business days after the grant agreement signing. The Detailed Project Work Plan should feature an activity-based calendar and a brief narrative to describe the approach for each output. GGGI will review the Detailed Project Work Plan, and proponents should make necessary revisions based on GGGI's feedback, if any.

Initial Fund Disbursement

Upon the approval of the Detailed Project Work Plan and signed invoice, GGGI will disburse the initial fund directly to the project proponent's bank account. The fund disbursement mechanism may vary under the following conditions:

- **Organization with Fund Acceptance Restrictions**: If a proponent is (a) a government body or a related government-affiliated organization and (b) not allowed to directly accept foreign funds according to domestic laws and regulations, GGGI can transfer the funds to the bank account of another institution or agency which is allowed to receive the foreign direct fund in the relevant BIMP-EAGA country and ROK. This transfer can occur once the proponent submits a written request and receives a written endorsement from the corresponding BIMP-EAGA NS.
- **GGGI as Delivery Partner**: In case GGGI is designated as the delivery partner of an endorsed project, the allocated fund for GGGI will be retained in GGGI's dedicated BKCF account. Then, the remaining funds for the proponent will be transferred to the designated bank account specified in the grant agreement between GGGI and the proponent.

Proponents are required to include a clear and detailed fund disbursement procedure in their project proposal.

Subsequent Tranche(s) of Fund Disbursement

BKCF operates under a performance-based funding mechanism, meaning that subsequent disbursement is contingent upon demonstrated project performance.

To apply for subsequent disbursement tranche(s), proponents must submit the required deliverable(s) set out under the Project Deliverables (APPENDIX 4 in BKCF Manual) and signed invoice to GGGI.

GGGI will conduct a thorough review of the deliverable(s) to ensure that the project's objectives and milestones have been achieved. If revisions are needed, GGGI will provide feedback, which proponents must address within 10 business days. Once the revised deliverable(s) are reviewed and approved, GGGI will disburse the approved amount in alignment with the agreed disbursement schedule outlined in the Project Deliverables, subject to prior written approval from ROK MOFA.

Project Inception Event

Proponents should have a kick-off meeting for inception with concerned government authorities and target local government authorities (municipal, provincial, or state level) to inform relevant stakeholders of the official project inception. GGGI may participate in the kick-off meeting in person or virtually. The proponents should also have a meeting to wrap up during the last quarter of project implementation with the same concerned authorities prior to the project completion.

4.3. Project Implementation and Reporting

Proponents are required to submit the following documents in accordance with the reporting schedule confirmed by GGGI in the grant agreement. GGGI will provide reporting templates to all project leads and conduct a review of the submitted documents. Fund disbursements will be approved once the review has been completed.

Table 3. Schedule for Project Reporting

	One-year Project	Two-year Project
Project Start	Updated Implementation Plan (7 days after grant agreement signature)	Updated Implementation Plan (7 days after grant agreement signature)
3 months	Progress Report(deliverable basis) 1st Quarterly Report	Progress Report(deliverable basis) 1st Quarterly Report
6 months	Progress Report(deliverable basis) Updated Implementation Plan Mid-term Financial Report 2nd Quarterly Report	Progress Report(deliverable basis) Updated Implementation Plan Mid-term Financial Report 2nd Quarterly Report
9 months	Progress Report(deliverable basis) 3rd Quarterly Report	Progress Report(deliverable basis) 3rd Quarterly Report
12 months	Project Completion Report Final Financial Report Audit Report	Progress Report(deliverable basis) Annual Report Updated Implementation Plan Annual Financial Report 4th Quarterly Report
15 months	N/A	Progress Report(deliverable basis) 5th Quarterly Report
18 months	N/A	Progress Report(deliverable basis) Updated Implementation Plan Mid-term Financial Report 6th Quarterly Report
21 months	N/A	Progress Report(deliverable basis) 7th Quarterly Report
24 months	N/A	Project Completion Report Final Financial Report Audit Report

Updated Implementation Plan

Every six (6) months following the project launch, proponents must submit an Updated Project Implementation Plan, tracking the progress of the project's implementation. Proponents are required to indicate the status of each activity, referencing the detailed project implementation plan submitted during the proposal revision stage. After the Updated Project Implementation Plan is submitted to GGGI, GGGI will review and provide comments, if any, within 10 business days for revision. Upon receipt of the comment, proponents must submit the revised Updated Implementation Plan and the first invoice following the approved budget within 7 business days from the receipt of GGGI comments.

Project Progress Report

Proponents are required to submit a Project Progress Report following the project launch, typically every three (3) to six (6) months, unless otherwise specified in the project's deliverable plan. The report includes the results of the deliverables outlined and agreed upon in the Grant Agreement. The report includes the results of the deliverables agreed upon in the Grant Agreement. The submission timeline may vary based on the deliverable schedule of each project. Additionally, GGGI reserves the right to request specific progress reports at any time during the project implementation period.

Quarterly Report

Proponents must submit a Quarterly Report every 3 months following the project launch. This report will include an updated project status, a plan for monitoring and evaluation, a performance review, a comparison of performance against the originally submitted logical framework, and a summary of key achievements.

Annual Report

For two-year projects, proponents must submit an Annual Report at the end of the first year, in addition to the six-month Progress Reports. GGGI will provide all project leads with a standardized template for the Annual Report.

Financial Report

All proponents are required to provide a Financial Report every six (6) months. During the project implementation stage, the proponents must draft and submit these reports. However, the final Financial Report, to be submitted upon project completion, must be prepared following a financial audit performed by a certified firm or a public accountant. This process should be clearly outlined in the M&E section of the Project Proposal.

4.4. Monitoring

Project Monitoring Visits

If necessary, GGGI may conduct site visits to the project location with the proponent as part of the monitoring and evaluation. These visits are intended to ensure compliance with program guidelines, assess project progress, and provide support where needed. GGGI will coordinate with proponents in advance to schedule and prepare for these evaluations.

4.5. Project Completion

Following the project's completion, proponents are required to submit (1) the Draft Project Completion Report, (2) the Final Financial Report, and (3) the Financial Audit Report to GGGI within 30 business days of the completion date. After GGGI's review, the proponents must submit the Revised Project Completion Report reflecting GGGI's comments, if any.

Submission of Project Completion Report

Proponents are requested to submit a Project Completion Report, which includes a detailed account of the final status, outcomes, and overall project performance upon its conclusion. GGGI will review the Project Completion Report, and proponents should make necessary revisions based on GGGI's feedback, if any.

After reviewing the Project Completion Report, GGGI will circulate a Final Report, including the Project Completion Report, Financial Report, and evaluation, for review by the BIMP-EAGA NS and ROK MOFA. Failure to submit the Project Completion Report will result in the withholding of the last fund disbursement installment and the suspension of funding for any subsequent projects.

Financial Report and Final Audit Report

The Final Financial Report and Final Audit Report must be submitted within 30 business days following the project's completion date. The Final Financial Report must be approved and signed by the proponent's financial officer. The final tranche of funds will be disbursed within 20 business days of receiving the completed Final Financial Report, incorporating comments from GGGI, if any.

GGGI's Finance Team will review both the Financial Report and the Financial Audit Report. Any issues identified during the verification process, such as expenditure miscalculations or deviations from the approved budget, will be addressed and resolved by the GGGI Finance Team. If deviations from the approved budget are found, proponents will be required to refund any amounts related to unaccounted claims under the approved budget. GGGI will notify the proponent of the final disbursement amount, any unspent balance, and/or interest earned from the project fund that must be refunded to GGGI.

For all projects, the expenses must be reviewed by an independent and reliable external audit firm, and the proponent must allocate a budget for this one-time audit.

Once all follow-up actions have been completed and resolved, GGGI will inform the ROK accordingly.

Refund of Unspent Balance and Accrued Interest

The unspent balance of the project budget and/or any accrued interest earned from the project fund must be returned to the BKCF account within 40 business days after the completion of the projects.

Disclosure of Project Documents

GGGI may publicly disclose project information with prior agreement from the project proponents.

5. Modifications to Approved Projects

5.1. Project Duration Extension

Proponents requesting an extension to their project duration must submit an official letter to GGGI at least two months prior to the initial project completion date. The letter must clearly specify the requested extension period and its detailed justification. Please note that extensions are strictly limited to the project duration; no additional funding or budget adjustments will be permitted.

Upon receipt of the extension request, GGGI will review the submission in consultation with the ROK MOFA and the respective BIMP-EAGA NS. A decision to approve or reject the request will be communicated within 20 business days.

5.2. Project Cancellation

Projects, including those that have received Official Approval during the SOM, may be canceled following consultations with the ROK MOFA and the respective BIMP-EAGA NS. Cancellation may be triggered by, but is not limited to, the following reasons:

- Significant delays in project implementation, such as:
    - Delay of more than 6 months between the submission of the previous quarterly report and the next quarterly report
- Determination that achieving the project outcomes is no longer feasible
- Failure to commence project implementation by the end of the year following the project approval year (i.e. when a project approved in August 2024 has not been commenced by the end of 2025)

In the event of a cancellation:

- The proponent must return any remaining unspent balance.
- The proponent will be prohibited from submitting new proposals to BKCF for a period of five years. Additionally, the proponent cannot participate in projects funded by BKCF during this period in any form, including but not limited to acting as a partner, consultant, subcontractor, or in any other indirect role.

6. BKCF Pro-Forma Cost

**Effective from the 2025 BKCF 5th Call for Proposals*

BKCF only allows budget allocation for direct costs related to project implementation and activities. Indirect costs such as overhead expenses and management fees are not permitted in the budget allocation. Direct costs include personnel costs, activity costs, and professional fees, as outlined in the below section. For any costs not specified below, proponents must consult with GGGI in advance.

6.1. Personnel Cost

Newly Recruited Staff

In case proponents hire a new staff whose role is to take part in the BKCF project, a ToR should be included as an annex (APPENDIX 6 in BKCF Manual) in the project proposal. The recommended lump-sum ceilings for full-time, newly recruited staff under BKCF are:

- Project Manager: USD 3,400
- Project Officer: USD 1,500
- Project Assistant: USD 1,000

For newly recruited part-time staff, their salary will be calculated based on the percentage of their working hours, **up to a maximum of 50%** of the full-time salary.

Existing Staff

The proponent may also budget the salary of an existing staff member as a project team, which can be charged up to a maximum of 50% of a newly recruited full-time staff's salary.

6.2. Activity Cost

Travel

The Travel cost must be related to the project activities incurred by the proponent and/or participants who work on or participate in the project. The travel cost should be based on the most direct and cost-effective economy-class round-trip. Business class travel can be arranged for High-Level officials who obtain approval through prior consultation with GGGI.

The ceiling for each travel is as follows:

- Travels outside the region (BIMP - ROK): USD 1,000
- Travels within the region: USD 800
- Domestic flights: USD 400

For ground transportation, travel costs shall be based on the rental price per day, subject to the market rate applied in the respective location of each country.

Accommodation

Accommodation costs of up to **USD 100** per night per person will be provided to cover accommodation within the BIMP-EAGA region and the ROK. In cases where no accommodation is available under this arrangement, the proponent must consult with GGGI for guidance and alternative solutions.

Per Diem

A Per Diem allowance of up to **USD 50** per day will be provided to cover daily expenses incurred during project activities. The specific amount of the Per Diem may be reduced based on the meals and incidentals provided. The reductions are outlined below:

- 100% Per Diem will be provided if no meals or incidentals are covered
- 70% of the Per Diem will be provided if dinner and incidentals are covered
- 60% of the Per Diem will be provided if lunch and incidentals are covered
- 30% of the Per Diem will be provided if only incidentals are covered

For further assistance or consultation regarding the above costs, please contact GGGI for clarification.

Events (Conference / Workshop)

The Event costs include expenses required to conduct workshops and conferences. All events should be held in the country where the project is being implemented. The category also includes direct supplies and service costs to host the event. Any cost exceeding the total events or per-person budget cap shall require prior consultation and approval from GGGI.

1. **Total Events Budget Cap**

The budget cap for all events shall be determined as the lesser of the following:

- 10% of the total project budget; OR
- USD 30,000

Table 4. Example of Event Cost Budgeting

	Case 1	Case 2
Project Size	USD 500,000	USD 250,000
Events Budget Cap Options	USD 50,000 (10% of Project Budget) OR USD 30,000	USD 25,000 (10% of Project Budget) OR USD 30,000
Selected Events Budget Cap	**USD 30,000** *(As USD 30,000 is less than 10% of the total project budget)*	**USD 25,000** *(As USD 25,000 is less than USD 30,000)*

2. **Per-Participant Budget Cap**

   The total expense per participant for each event is capped at **USD 100**. The expense limit per person includes, but is not limited to, the following:

   - Meeting Packages: Lunch and coffee breaks;
   - Relevant Costs: Materials preparation, venue rental, and other event-related expenses.

6.3. Professional Fee

International/National Consultant

When the proponent employs consultants, the ToR for a consultant should be included as an annex (APPENDIX 6 in BKCF Manual) to the project proposal. The recommended consultant fee is **USD 300** per business day, with a cap of 120 days per calendar year. However, this fee may vary based on the position and ranking of the personnel.

Project staff members are not eligible to act as consultants, and consultants cannot be individuals already receiving a salary from the project.

Expenses such as travel, accommodation, materials, or other costs are not included in the professional fee and will be billed separately.

Financial Audit

Auditing is mandatory for all projects. The proponent must allocate a **one-time fee** of up to **USD 5,000** for financial audits to be conducted **upon project completion**. Financial audits must be performed by independent and certified public accountants or auditing firms possessing relevant qualifications. Proponents are required to submit a financial report following the audit, with the process aiming for transparency, accuracy, and compliance with established standards.

Frequently Asked Questions (FAQ)

1. Application and Eligibility

Q. Where can I find the BKCF proposal templates?

- Templates are available in Appendices 1-7 of this manual or on the GGGI BKCF Website.

Q. How do I know if I am eligible to apply for the fund?

- Proponents officially registered by the local government within BIMP countries or ROK may apply for BKCF funding. Individuals are not eligible to apply for the fund.

Q. Can a consortium of two (or more) entities apply for a project?

- Yes, it is possible, but all involved entities must be registered in a BIMP country or ROK, and the leading proponent should be clearly identified.

Q. Can one institute submit multiple proposals or apply again after being funded?

- Yes, institutions can submit more than one proposal and reapply in subsequent calls.

Q. Is it possible for a company without GGGI project experience to apply?

- Yes. BKCF is open to any proponents, regardless of their experience with GGGI, as long as the proponent meets the eligibility requirements indicated on the GGGI BKCF website.

Q. Can new organizations that do not have a history of projects apply to BKCF?

- Yes. If a new organization is properly registered within the BIMP country or ROK and can provide related information for the Due Diligence review, being a new organization will not influence the decision.

Q. Can local offices of International Organizations (i.e. International NGO) apply to BKCF?

- Yes, as long as the office is located and registered as a local organization within the BIMP country of ROK. The DD review process will verify whether the organization is properly registered in the region.

Q. Can I get co-funding for the implementation of the BKCF project?

- Yes. In cases of co-funding, proponents must show the exact amount of funding in the Project Proposal and include a separate table detailing the co-funding budget in the Budget Proposal.

Q. Can an individual outside of the BIMP country be a part of the BKCF proponent team?

- The eligible proponent (institution) can compose its team according to the project's nature or type as long as the proponent is registered within the BIMP country or ROK.

2. Project Activities

Q. When can project activities start?

- Activities may start after receiving official endorsement and signing the grant agreement. Any expenses incurred before the official project inception will not be covered by BKCF.

Q. Can the project location be outside of the BIMP-EAGA region?

- Yes. The project site is not limited to any subregion of BIMP countries. However, alignment with BIMP-EAGA's Vision 2025 will be considered during the review.

Q. Is it necessary to have connections with local government officials?

- The project would need the government's support during the project implementation stage, so it is recommended to consult with the local government before submission.

Q. Do proposals addressing multiple sectors have a better chance of approval?

- Not necessarily. The focus should be on coherence and alignment with objectives, clearly explained in the Project Proposal.

3. Reporting and Audits

Q. What reports must be submitted throughout the project implementation?

- Quarterly reports and biannual progress reports are required. Refer to Table 3 for the detailed schedule of project report submission.

Q. What is a financial audit?

- Financial audit is a process of examining the financial management capabilities of the organization and is different from the audit of the project itself. Financial audits must be performed by certified public accountants or auditing firms and result in a financial report.

Q. Does the audit cost need to be included within the proposal budget, or is it a separate cost?

- The audit cost must be included within the total project budget and must be performed by certified public accountants or auditing firms and result in a financial report.

Q. Can the audit be conducted in the country of the field office?

- Yes, there are no regulations specifying where the audit should be conducted.

4. Project Revision

Q. How long will it take for the project review to be completed?

- The review process will take 2-3 months, recognizing that certain projects may require additional time for thorough evaluation. The review process is designed to be constructive, and if feedback and revisions are required, proponents are encouraged to engage in an iterative process, which may contribute to extended timelines.

Q. Can grant agreements be signed before revisions are complete?

- No, all revisions must be finalized before signing. Please refer to 3.1. Project Review and Approval Process.

Q. Can I change the total budget because of the changes in project activities?

- No, the total budget should not be modified once officially approved during the Senior Officials' Meeting (SOM).

Q. Can a proponent change the disbursement rate and amount?

- No, the disbursement rate and amount cannot change. Otherwise, the proponent can apply for subsequent disbursement tranche(s) by submitting one copy of the relevant deliverable(s) set out under the Project Deliverables (APPENDIX 4 in BKCF Manual) and signed invoice to GGGI.

Q. Can a proponent request a revision of project activities before the project is implemented?

- Yes. If there is a strong justification for the request, the proponent can submit revised proposal documents. However, prior consultation with GGGI is essential before revising project activities.

5. Budget and Costs

Q. Can the budget be allocated to indirect costs (i.e. overhead costs)?

- BKCF allows the budget to be used only for direct costs (costs used for project implementation).

Q. If there is any remaining balance after the implementation of the projects, should it be returned?

- Yes, the unspent amount from the approved budget should be returned.

Q. What is Per Diem, and who is eligible?

- Per Diem is a daily subsistence allowance provided for a traveler to cover the cost of hotel/accommodation, meals, laundry, tips, phone calls, local transportation within the destination city, and other associated expenses. This is provided to those traveling outside their duty station overnight to conduct activities relevant to the BKCF projects (workshop, seminar, etc.)

Q. What is the procedure for disbursing the funds to each member country if the proposed project is a multi-country project?

- The assigned amount of budget based on the deliverables schedule will be transferred to one main project focal (one representative country of the multi-country project) responsible for reporting, monitoring, and managing the project.

6. Others

Q. Can a BKCF applicant request an extension to the proposal submission deadline?

- BKCF proposal submission deadline applies equally to all applicants. If an applicant cannot meet the proposal submission deadline, please apply for the next BKCF Call for Proposals.

Q. Can research programs apply for BKCF??

- Yes, if the research activities create an impact on the region in a way that aligns with BIMP-EAGA's vision.

Q. Can BKCF provide any examples of successful proposals to potential proponents?

- BKCF does not provide any sample or successful proposals to prevent duplication of proposals.

Q. Can we make the budget with local currency?

- No, the budget should be prepared in USD. However, a budget file with domestic currency can be included as an attachment. Please identify the exchange rate used within the budget template.

APPENDIX 1 Project Proposal

Proponents can develop their Project Proposal based on the proposal structure outlined below:

1 Cover Page

1.1 Proponent Contact Information: Proponents should provide details about their organization, including the organization type, address of the focal office, focal person's name and position, and contact information. Since all communication will be conducted through the focal person, it would be beneficial for them to possess comprehensive knowledge of the project.

1.2 Project Information: In this section, proponents should present a detailed overview of the project, encompassing the title, target countries, geographic locations, date, budget, beneficiaries, partners, goals, objectives, project co-financing, sectors, and categories. This section serves to deliver essential project details, so it would be beneficial to highlight key points clearly and concisely. Adherence to word limits is recommended, such as 200 words for beneficiaries and 300 words for goals and objectives. For project sectors, proponents should identify one primary sector (priority) and, if applicable, select additional secondary sectors. For further details on sectors, refer to Section 1.4 "Priority Sectors of BKCF" or Table 1 of the Manual.

2 Project Justification

2.1 Project Justification and Beneficiary: Proponents should outline the project background and rationale, including the context of current issues and the project's history, as well as information on the beneficiaries. It would be beneficial to establish a clear connection between the current issues, project objectives, and the ways in which the project addresses the identified problems.

2.2 Project Result: Proponents are encouraged to describe the project's future plans, focusing on objectives that span the entire project. Expected outcomes, outputs, and activities should be clearly linked, with explanations of the rationale behind chosen outcomes and how activities align with the project's goals. Including a detailed logical framework as an appendix at the end of the proposal would be useful. It is recommended to carefully consider the input, output, impact, and sustainability of the project, ensuring these elements are prominently featured in the proposal.

2.3 Project Implementation Arrangement: Proponents should describe management, logistics, human resource inputs, and monitoring and evaluation arrangements. Relevant details of human resources should be included using Annex 3 Institutional Portfolio and ToR for Human Resources (APPENDIX 6 in BKCF Manual).

2.4 Gender and Other Cross-Cutting Issues: In this section, proponents should indicate how gender-related and other cross-cutting issues will be addressed during project implementation. It is highly recommended that proponents stress their relevance to gender and other cross-cutting issues, as GGGI places significant emphasis on promoting inclusive development. Demonstrating how the project will ensure gender equality, social inclusion, and other cross-cutting considerations, such as environmental sustainability and social safeguards, is encouraged. Proponents should provide specific strategies, actions, or policies that will be implemented to address these areas throughout the project lifecycle.

2.5 Potential Risks: Proponents are advised to identify potential external risks or threats, along with corresponding mitigation strategies.

2.6 Project Sustainability and Scale-up: Proponents should thoroughly explain how the project's outputs and benefits are expected to achieve long-term sustainability within the target countries. This should go beyond outlining immediate deliverables to include a comprehensive plan for how project outcomes will continue to generate positive impacts after the project's conclusion. Emphasis should be placed on the mechanisms, strategies, and partnerships that will be leveraged to ensure enduring influence and adaptability within local contexts. Additionally, proponents are encouraged to highlight the potential scalability of the project and how its methodologies, practices, or innovations can be replicated or expanded to broader areas or sectors, further amplifying its impact and fostering sustainable change.

BIMP-EAGA-ROK Cooperation Fund

Ministry of Foreign Affairs

1. Cover Page

***It is strongly recommended to keep the proposal within 10 pages.**

BIMP- EAGA- ROK Cooperation Fund (BKCF) Project Proposal	
Proponent Contact Information	
Organization Name	
Organization Type *(Please indicate the organization type)*	☐Public (*e.g. NGOs/Research Institutions*) ☐Private
Organization Address	*e.g. Address 1, Address 2, City, Country*
Focal Person Name / Position *(Please indicate the name and position of the focal person of the project.)*	
Telephone Number	
Email Address	
Project Information	
Project Title ***(Please keep the project title clear and concise)***	
Target Country(ies)	☐ Brunei Darussalam ☐ Malaysia ☐ Indonesia ☐ Philippines
Target Geographic Location(s) *(Please tick the box and indicate the specific target location (province/city) accordingly.* ** BIMP-EAGA covers the entire sultanate of Brunei Darussalam, the provinces of Kalimantan, Sulawesi, Maluku and Papua in Indonesia; the states of Sabah, Sarawak and the federal territory of Labuan in Malaysia; and the entire island of Mindanao and the island province of Palawan in Philippines*	☐ BIMP-EAGA - Location: ☐ Not within BIMP-EAGA - Location:
Project Duration	☐ 1 year ☐ 2 years
Proposed Project Start Date	*mm.yyyy*
Proposed Project Completion Date	*mm.yyyy*
Proposed Project Budget (total in USD)	Year 1 : USD Year 2 : USD Total Budget : USD
Potential Project Co-Financing (optional)	
Goal and Objective *(200 words max)* *(Please provide the summary of Project Objectives)*	
Project Beneficiaries *(100 words max)* *(Please provide the summary of Project Beneficiaries)*	
Project Implementation Partners	

Primary Project Sector & Areas *(Please **tick** <u>**ONE**</u> most relevant sector and indicate its area(s).)*	☐ Environment - *Area(s):* ☐ Tourism - *Area(s):* ☐ Connectivity - *Area(s):* ☐ Agriculture and Fisheries: - *Area(s):*
Secondary Project Sector & Areas *(Please tick <u>AT LEAST ONE</u> relevant sector(s) and indicate its area(s).)*	☐ Environment - *Area(s):* ☐ Tourism - *Area(s):* ☐ Connectivity - *Area(s):* ☐ Agriculture and Fisheries: - *Area(s):*
Category of Project to be Implemented	☐ Policy and regulatory framework ☐ Sector master plan ☐ Pre-feasibility or feasibility study ☐ A small-scale demonstration ☐ National Determined Contribution implementation ☐ Green recovery and green employment ☐ Capacity building and public awareness ☐ Others *(50 words max.)*:

2. Project Justification

2.1 Project Justification and Beneficiary
Problem Analysis *(max. 600 words)*
Please provide: *1) a description of the current situation or issue related to the project (background, geographic region, and beneficiaries, etc).* *2) an analysis of the problem the project is trying to address. Develop a Problem Tree by defining the core problem and identifying its causes and effects. The description must be clearly linked to the project's objectives and how the project will address the problem.*
Project History *(max. 200 words)*
List any related projects or activities, whether current or complete. Describe how this new proposal would complement them. Details of any related current or complete projects may also be included, as well as lessons learned.
Project Beneficiaries *(max. 250 words)*
Please state who and approximately how many people would directly and indirectly benefit from this project, how many of these beneficiaries would be men, and how many would be women.
2.2 Project Description *This section is designed to provide a detailed description of the project's objectives and activities, as outlined in the attached* Logical Framework (Appendix 1).
Project Objective *(max. 300 words)*
Please indicate and describe the overall objective, the expected outcomes, and the outputs of the project in detail. It should be consistent with the Logical Framework (Appendix 1).
Main Activities *(max. 300 words)*
List and describe the main activities that the project will implement to achieve the above outputs and outcomes in detail. The project breakdown should be consistent with the Logical Framework (Appendix 1).

2.3 Project Implementation Arrangement

Management Arrangements *(max. 200 words)*

Describe and visualize the project's management structure, coordination mechanisms, and the project management reporting line.

Project Team Composition *(max. 200 words)*

Describe briefly the type and number of personnel involved in the project. Include and specify the terms of reference for each position in Annex 3 (Institutional Portfolio and Terms of Reference for Human Resources).

Monitoring and Evaluation Arrangements *(max. 300 words)*

Describe the monitoring and evaluation arrangement of the project.

2.4 Gender and Other Cross-Cutting Issues

Gender *(max. 200 words)*

Indicate how gender-related issues will be taken into account during project implementation, specifically addressing how women and men would equally benefit from the project and whether the proposed project has allocated resources for this purpose. Proposals must ensure that projects provide equal opportunities for participation, where appropriate, and how this will be monitored.

Other Cross-Cutting Issues *(max. 200 words)*

Indicate cross-cutting issues and state how these issues will be addressed by the project, as applicable.

2.5 Potential Risks

Potential Risks & Mitigation Strategy and Measures

Outline all potential risks or threats in the Project Results and corresponding mitigation strategies. The table below can be adjusted as necessary.

Potential Risks	Probability	Impact	Mitigation Strategy
	Low/Mid/High	*Low/Mid/High*	

2.6 Project Sustainability and Scale-up *(max. 300 words)*
State how the outputs and benefits of the project will be 1) sustained after the proponent's exit and 2) scaled up (expansion or replication) after the project is completed. The project is encouraged to be further developed into an upscalable and influential project that would economically or socially benefit the target country(ies).

Appendix 1. LOGICAL FRAMEWORK

Using the provided template, please provide a comprehensive description of the project's logical framework. If additional rows are required, ensure the structure remains consistent by copying and pasting an existing row into the respective section. Note that this section will not be included in the page count of the Proposal.

Project Logical Framework						
Project Results	Indicator(s)	Baseline	Target		Means of Verification	Source of Data
			Mid-term	Final		
Outcome 1 [Insert Description Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]
Output 1.1 [Insert Description Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]
Activity 1.1.1	[Insert Text Here]					
Activity 1.1.2	[Insert Text Here]					
Output 1.2 [Insert Description Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]
Activity 1.2.1	[Insert Text Here]					
Activity 1.2.2	[Insert Text Here]					
Output 1.3 [Insert Description Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]
Activity 1.3.1	[Insert Text Here]					
Activity 1.3.2	[Insert Text Here]					
Outcome 2 [Insert Description Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]
Output 2.1 [Insert Description Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]
Activity 2.1.1	[Insert Text Here]					
Activity 2.1.2	[Insert Text Here]					
Output 2.2 [Insert Description Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]
Activity 2.2.1	[Insert Text Here]					
Activity 2.2.2	[Insert Text Here]					
Output 2.3 [Insert Description Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]
Activity 2.3.1	[Insert Text Here]					
Activity 2.3.2	[Insert Text Here]					
Outcome 3 [Insert Description Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]
Output 3.1 [Insert Description Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]
Activity 3.1.1	[Insert Text Here]					
Activity 3.1.2	[Insert Text Here]					
Output 3.2 [Insert Description Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]
Activity 3.2.1	[Insert Text Here]					
Activity 3.2.2	[Insert Text Here]					
Output 3.3 [Insert Description Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]	[Insert Text Here]
Activity 3.3.1	[Insert Text Here]					
Activity 3.3.2	[Insert Text Here]					

Template ver. 5.0

APPENDIX 2 Budget Proposal

Template Guidelines

1. Create a new sheet for each Outcome, by copying the "Budget Template" Sheet and editing the newly created sheet. Please delete any unused rows. Please do not remove or edit the "Budget Template" sheet.

2. For each added output, you must adjust functions in "Summary" Sheet to ensure all Publication/Information Sharing is included in the calculations.

3. Detailed budget for Travel should be separately included in the "Travel Details" Sheet.

Budget Summary

Input at green colored cells only. Please modify the functions for each cell to accommodate all outputs

Project Title	

Please add rows for each Output , and modify functions to the corresponding sheet name & cells

Validation		Budget YEAR1	Budget YEAR2	Total Budget
	Output 1.1	-	-	-
	Output 1.2	-	-	-
	Output 2.1	-	-	-
	Output 3.1	-	-	-
	Budget Total	-	-	-

Do not modify the row content . Only modify the functions for Year1, Year2 columns to add on any additional outputs.

Validation 2	Budget Gro	Budget Group	YEAR1	YEAR2	Total
Budget Group: Personnel	G001	Personnel	-	-	-
Budget Group: Outsourcing	G002	Outsourcing	-	-	-
Budget Group: Travel	G003	Travel	-	-	-
Budget Group: Rental	G004	Rental	-	-	-
Budget Group: Professional	G005	Professional	-	-	-
Budget Group: Acquisition	G006	Acquisition	-	-	-
Budget Group: Communication	G008	Communication	-	-	-
Budget Group: Supplies & Maintenance	G009	SuppliesMaintenance	-	-	-
Budget Group: Information	G010	Information	-	-	-
Budget Group: Events/Workshop	G011	Events/Workshop	-	-	-
Budget Group: Others	G013	Others	-	-	-
Total			-	-	-

Please add(insert) column cells for additional Output , and modify functions to the corresponding sheet name & cells

Validation 3	Budget Gro	Budget Group	Output 1.1	Output 1.2	Output 2.1	Output 3.1	Total
Budget Group: Personnel	G001	Personnel	-	-	-	-	-
Budget Group: Outsourcing	G002	Outsourcing	-	-	-	-	-
Budget Group: Travel	G003	Travel	-	-	-	-	-
Budget Group: Rental	G004	Rental	-	-	-	-	-
Budget Group: Professional	G005	Professional	-	-	-	-	-
Budget Group: Acquisition of Assets	G006	Acquisition	-	-	-	-	-
Budget Group: Communication	G008	Communication	-	-	-	-	-
Budget Group: Supplies & Maintenance	G009	SuppliesMaintenance	-	-	-	-	-
Budget Group: Information	G010	Information	-	-	-	-	-
Budget Group: Events/Workshop	G011	Events/Workshop	-	-	-	-	-
Budget Group: Others	G013	Others	-	-	-	-	-
Total			-	-	-	-	-

Budget Details

1. Input at green colored cells only. Add new sub-outputs or rows as needed. Please remove any unused rows.

2. Copy the "Budget Template" sheet to add another outcome

Project Title					YEAR1						YEAR2						
Output Level	No	Output Number	Budget Group	Description	Unit Cost (USD)	Quantity 1	Unit 1	Quantity 2	Unit 2	Budget YEAR1	Unit Cost (USD)	Quantity 1	Unit 1	Quantity 2	Unit 2	Budget YEAR2	Total Budget
Output 1.1																	
	Budget Group: Personnel									-						-	-
	Budget Heading: Staff																
	1	Output 1.1	Personnel							-						-	-
	2	Output 1.1	Personnel							-						-	-
	Budget Group: Outsourcing									-						-	-
	Budget Heading: Consultant																
	1	Output 1.1	Outsourcing							-						-	-
	2	Output 1.1	Outsourcing							-						-	-
	Budget Heading: Consulting Firm																
	1	Output 1.1	Outsourcing							-						-	-
	2	Output 1.1	Outsourcing							-						-	-
	Budget Group: Travel									-						-	-
	1	Output 1.1	Travel							-						-	-
	2	Output 1.1	Travel							-						-	-
	Budget Group: Rental									-						-	-
	1	Output 1.1	Rental							-						-	-
	2	Output 1.1	Rental							-						-	-
	Budget Group: Professional									-						-	-
	1	Output 1.1	Professional							-						-	-
	2	Output 1.1	Professional							-						-	-
	Budget Group: Acquisition									-						-	-
	1	Output 1.1	Acquisition							-						-	-
	2	Output 1.1	Acquisition							-						-	-
	Budget Group: Communication									-						-	-
	1	Output 1.1	Communication							-						-	-
	2	Output 1.1	Communication							-						-	-
	Budget Group: Supplies & Maintenance									-						-	-
	1	Output 1.1	Supplies/Maintenance							-						-	-
	2	Output 1.1	Supplies/Maintenance							-						-	-
	Budget Group: Information									-						-	-
	1	Output 1.1	Information							-						-	-
	2	Output 1.1	Information							-						-	-
	Budget Group: Events/Workshop									-						-	-
	1	Output 1.1	Events/Workshop							-						-	-
	2	Output 1.1	Events/Workshop							-						-	-
	Budget Group: Others									-						-	-
	1	Output 1.1	Others							-						-	-
	2	Output 1.1	Others							-						-	-
Output 1.1	Output Total									-						-	-
Output 1.2																	
	Budget Group: Personnel									-						-	-
	Budget Heading: Staff																
	1	Output 1.2	Personnel							-						-	-
	2	Output 1.2	Personnel							-						-	-
	Budget Group: Outsourcing									-						-	-
	Budget Heading: Consultant																
	1	Output 1.2	Outsourcing							-						-	-
	2	Output 1.2	Outsourcing							-						-	-
	Budget Heading: Consulting Firm																
	1	Output 1.2	Outsourcing							-						-	-
	2	Output 1.2	Outsourcing							-						-	-
	Budget Group: Travel									-						-	-
	1	Output 1.2	Travel							-						-	-
	2	Output 1.2	Travel							-						-	-
	Budget Group: Rental									-						-	-
	1	Output 1.2	Rental							-						-	-
	2	Output 1.2	Rental							-						-	-
	Budget Group: Professional									-						-	-
	1	Output 1.2	Professional							-						-	-
	2	Output 1.2	Professional							-						-	-
	Budget Group: Acquisition									-						-	-
	1	Output 1.2	Acquisition							-						-	-
	2	Output 1.2	Acquisition							-						-	-
	Budget Group: Communication									-						-	-
	1	Output 1.2	Communication							-						-	-
	2	Output 1.2	Communication							-						-	-
	Budget Group: Supplies & Maintenance									-						-	-
	1	Output 1.2	Supplies/Maintenance							-						-	-
	2	Output 1.2	Supplies/Maintenance							-						-	-
	Budget Group: Information									-						-	-
	1	Output 1.2	Information							-						-	-
	2	Output 1.2	Information							-						-	-
	Budget Group: Events/Workshop									-						-	-
	1	Output 1.2	Events/Workshop							-						-	-
	2	Output 1.2	Events/Workshop							-						-	-
	Budget Group: Others									-						-	-
	1	Output 1.2	Others							-						-	-
	2	Output 1.2	Others							-						-	-
Output 1.2	Output Total									-						-	-
Budget Total										-						-	-

Budget Details

1. Input at green colored cells only. Add new sub-outputs or rows as needed. Please remove any unused rows.
2. Copy the "Budget Template" sheet to add another outcome

Project Title					YEAR1						YEAR2						
Output Level	No	Output Number	Budget Group	Description	Unit Cost (USD)	Quantity 1	Unit 1	Quantity 2	Unit 2	Budget YEAR1	Unit Cost (USD)	Quantity 1	Unit 1	Quantity 2	Unit 2	Budget YEAR2	Total Budget
Output 2.1																	
	Budget Group: Personnel									-						-	-
	Budget Heading: Staff																
	1	Output 2.1	Personnel							-						-	-
	2	Output 2.1	Personnel							-						-	-
	Budget Group: Outsourcing									-						-	-
	Budget Heading: Consultant																
	1	Output 2.1	Outsourcing							-						-	-
	2	Output 2.1	Outsourcing							-						-	-
	Budget Heading: Consulting Firm																
	1	Output 2.1	Outsourcing							-						-	-
	2	Output 2.1	Outsourcing							-						-	-
	Budget Group: Travel									-						-	-
	1	Output 2.1	Travel							-						-	-
	2	Output 2.1	Travel							-						-	-
	Budget Group: Rental									-						-	-
	1	Output 2.1	Rental							-						-	-
	2	Output 2.1	Rental							-						-	-
	Budget Group: Professional									-						-	-
	1	Output 2.1	Professional							-						-	-
	2	Output 2.1	Professional							-						-	-
	Budget Group: Acquisition									-						-	-
	1	Output 2.1	Acquisition							-						-	-
	2	Output 2.1	Acquisition							-						-	-
	Budget Group: Communication									-						-	-
	1	Output 2.1	Communication							-						-	-
	2	Output 2.1	Communication							-						-	-
	Budget Group: Supplies & Maintenance									-						-	-
	1	Output 2.1	SuppliesMaintenance							-						-	-
	2	Output 2.1	SuppliesMaintenance							-						-	-
	Budget Group: Information									-						-	-
	1	Output 2.1	Information							-						-	-
	2	Output 2.1	Information							-						-	-
	Budget Group: Events/Workshop									-						-	-
	1	Output 2.1	Events/Workshop							-						-	-
	2	Output 2.1	Events/Workshop							-						-	-
	Budget Group: Others									-						-	-
	1	Output 2.1	Others							-						-	-
	2	Output 2.1	Others							-						-	-
Output 2.1	Output Total									-						-	-
Budget Total										-						-	-

Budget Details

1. Input at green colored cells only. Add new sub-outputs or rows as needed. Please remove any unused rows.
2. Copy the "Budget Template" sheet to add another outcome

Project Title					YEAR1						YEAR2						
Output Level	No	Output Number	Budget Group	Description	Unit Cost (USD)	Quantity 1	Unit 1	Quantity 2	Unit 2	Budget YEAR1	Unit Cost (USD)	Quantity 1	Unit 1	Quantity 2	Unit 2	Budget YEAR2	Total Budget
Output 3.1																	
	Budget Group: Personnel									-						-	-
	Budget Heading: Staff																
	1	Output 3.1	Personnel							-						-	-
	2	Output 3.1	Personnel							-						-	-
	Budget Group: Outsourcing									-						-	-
	Budget Heading: Consultant																
	1	Output 3.1	Outsourcing							-						-	-
	2	Output 3.1	Outsourcing							-						-	-
	Budget Heading: Consulting Firm																
	1	Output 3.1	Outsourcing							-						-	-
	2	Output 3.1	Outsourcing							-						-	-
	Budget Group: Travel									-						-	-
	1	Output 3.1	Travel							-						-	-
	2	Output 3.1	Travel							-						-	-
	Budget Group: Rental									-						-	-
	1	Output 3.1	Rental							-						-	-
	2	Output 3.1	Rental							-						-	-
	Budget Group: Professional									-						-	-
	1	Output 3.1	Professional							-						-	-
	2	Output 3.1	Professional							-						-	-
	Budget Group: Acquisition									-						-	-
	1	Output 3.1	Acquisition							-						-	-
	2	Output 3.1	Acquisition							-						-	-
	Budget Group: Communication									-						-	-
	1	Output 3.1	Communication							-						-	-
	2	Output 3.1	Communication							-						-	-
	Budget Group: Supplies & Maintenance									-						-	-
	1	Output 3.1	SuppliesMaintenance							-						-	-
	2	Output 3.1	SuppliesMaintenance							-						-	-
	Budget Group: Information									-						-	-
	1	Output 3.1	Information							-						-	-
	2	Output 3.1	Information							-						-	-
	Budget Group: Events/Workshop									-						-	-
	1	Output 3.1	Events/Workshop							-						-	-
	2	Output 3.1	Events/Workshop							-						-	-
	Budget Group: Others									-						-	-
	1	Output 3.1	Others							-						-	-
	2	Output 3.1	Others							-						-	-
Output 3.1	Output Total									-						-	-
Budget Total										-						-	-

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Travel Detail Guidelines

1. Input at green colored cells only. Add new rows as needed. Please remove any unused rows.
2. Refer to the BKCF Manual 6.2. Activity Cost for detailed guidance on travel costs.
3. Make sure the grand total is aligned with the total travel costs in the "Summary" tab.
4. Describe the details of travel activities in the "Description" section.
For example, details for airfare should include:
  1) International (Country) or Local, 2) Round-trip or One-way, 3) Travel Purpose, 4) Traveler (proponent/participant)
5. Units can be adjusted as necessary.

Budget Type	Total Cost
Accommodation	-
Airfare	1,600
Per Diem	300
Other Transportation Costs	-
Others	-
Grand Total	1,900

Budget Item	Budget Type	Description	Unit Cost (USD)	Quantity 1	Unit 1	Quantity 2	Unit 2	Total Cost (USD)
Outcome 1								
Output 1.1								1,900
Activity 1.1.1	Airfare	ex) (Philippines) Round trip international airfare to for workshop participants	$800.00	2	Person	1	Time	1,600
Activity 1.1.2	Per Diem	ex) Per diem for 5 people for 3 days	$50.00	2	Person	3	Day	300
Output 1.2								-
Activity 1.2.1	Select from Drop-Down List							-
Activity 1.2.2	Select from Drop-Down List							-
Outcome 2								
Output 2.1								-
Activity 2.1.1	Select from Drop-Down List							-
Activity 2.1.2	Select from Drop-Down List							-
Output 2.2								-
Activity 2.2.1	Select from Drop-Down List							-
Activity 2.2.2	Select from Drop-Down List							-
Outcome 3								
Output 3.1								-
Activity 3.1.1	Select from Drop-Down List							-
Activity 3.1.2	Select from Drop-Down List							-
Output 3.2								-
Activity 3.2.1	Select from Drop-Down List							-
Activity 3.2.2	Select from Drop-Down List							-
Grand Total								1,900

Event Detail Guidelines

1. Input at green colored cells only. Add new rows as needed. Please remove any unused rows.
2. Refer to the BKCF Manual 6.2. Activity Cost for detailed guidance on event costs.
All costs relevant to hosting any event (workshop/training session/conference) should be included in the sheet.
3. Describe the details of event activities in the "Description" section.
4. Units can be adjusted as necessary.

Budget Item	Budget Group	Description	Unit Cost (USD)	Quantity 1	Unit 1	Quantity 2	Unit 2	Total Cost (USD)
Outcome 1								
Output 1.1								1,200
Activity 1.1.1	Meeting Package	ex) Meeting package (1 venue, 1 lunch, 2 coffee breaks) for 10 people for 2 days	$50.00	10	Person	2	Day	1,000
Activity 1.1.2	Interpretation	ex) Simultaneous interpretation for 1 day	$200.00	1	Person	1	Day	200
Activity 1.1.3								-
Output 1.2								-
Activity 1.2.1								-
Activity 1.2.2								-
Outcome 2								
Output 2.1								-
Activity 2.1.1								-
Activity 2.1.2								-
Output 2.2								-
Activity 2.2.1								-
Activity 2.2.2								-
Outcome 3								
Output 3.1								-
Activity 3.1.1								-
Activity 3.1.2								-
Output 3.2								-
Activity 3.2.1								-
Activity 3.2.2								-
Grand Total								1,200

APPENDIX 3 Due Diligence Form

Due Diligence Form for Grantees

Grant value over USD50,000

Form- II

What is the purpose of this document?

This form is intended to support GGGI personnel on conducting due diligence of Grantees (both private and non-private) as required under GGGI policies.1 This form (all parts of Section A) should be filled out by the Grantee.

How to complete this document?

This document should be completed by the grantee that manages and implement the activities to be funded by the grant.

Please be concise. If you need to include any additional information, please attach it. A supporting documents checklist is provided on the last page. While filling-in the responses to this Self-Assessment, please reference supporting documents in each section. For large supporting documents please reference the appropriate sections/chapters of the documents (including page numbers, where relevant).

How to get support in completing and submitting this document?

If you are not sure how to complete this questionnaire, or require support, please send an e-mail to the relevant the relevant GGGI Country Office or to the Finance Unit at headquarters.

Please submit the completed assessment form and supporting documents to:

bkcf@gggi.org

[1] Relevant policies include *Rules on Grant*, *Rules on Private Sector Engagement*, *Interim Consortia Process*, *Rules on Integrity Due Diligence*, *Rules on Sustainability and Safeguards and Rules on Child Protection*.

SECTION A

1. GENERAL AND CONTACT INFORMATION

This section must be completed with all relevant information as outlined below.

1.1 Organization size and location

Type here

1.2 Organization size and location

Please provide:

i. Country of incorporation:
ii. Date of incorporation/establishment:
iii. Number of head count / staff count.
iv. Amount of organization assets (as per latest balance sheet when applicable)
v. Location(s) of local/ regional/international offices

Type here

1.3 Registration Number, Articles of Incorporation, Statutory Order, Ministerial Decree

Type here

1.4 Regulatory Authority

This may vary depending on the type of Applicant: e.g., Ministry, and/or Department for of National Government, Trustee, Board inter alia)

Type here

1.5 Full registered address (and if different, Address of Principal Place of Business)

Type here

1.6 Contact person / official designation.

The listed official shall be the official contact person for the duration of the Application. Please also note secondary official.

Type here

1.7 Contact details (e.g., telephone, email, mailing address, fax, website etc.)

Type here

1.8 Principal activities

Please explain Principal activities of your organization, and linkages to Environmental, Social and Governance

Type here

2. PILLAR 1. LEGAL FRAMEWORK

This section outlines details on the organization's legal framework and status, and should be substantiated by the organization's founding legal document, such as a constitution, charter, memorandum of incorporation, etc.

1.9 Please provide a description on the legal status of the organization (e.g., government ministry/department, limited liability company, etc.)

In case of a government ministry/department:

i. Does it possess individual legal personality and is it a separate legal entity from the government and does the ministry have the mandate and authority to apply for international financing and enter into financing agreements and/or directly receive financing to implement readiness activities in its own name and on its own behalf or does it act on behalf of the government or does it require prior approval of its Ministry of Finance prior to the receipt of funds?

ii. Can the ministry/department receive international funds and act in its own name and on its own behalf; please specify which other institutions have provided international financing to the ministry/department.

In case of NGO / INGO / Company:

i. Does your organization have the appropriate registration with the respective department of the government?

ii. Is the NGO / INGO / Company authorized to receive funds from National / International Donors directly, or are funds required to be received by the government?

Type here

1.10 Does the organization have the necessary registrations and mandate to undertake the planned activities? Please describe and include relevant documents.

Type here

3. PILLAR 2. STRUCTURE AND CULTURE

This section covers the organization's institutional/corporate structure and provides an outline of its composition, as well as the measures to ensure sound management of human and financial resources.

2.1 Describe the scope of operations of the organization, including geographical scope, activities scope, and financial scale of donor-funded projects annually.

Type here

2.2 Provide an organizational chart, including clearly defined roles and responsibilities for management, auditors, governance bodies, administrative functions (e.g., Finance, Procurement).

Please elaborate on the hierarchy, reporting lines and distinction between operations between the key units/divisions/departments.

Type here

2.3 Was your institution ever subject to any fiduciary standard assessment (FSA) by an international organization (e.g., UN, multilateral development bank, European Commission Pillar Assessment, bilateral donor, etc.) or local regulatory authority? If yes, please provide the following details and provide relevant documents[2]

i. What kind of assessment[3] was conducted and when was it done? Is a report publicly available?
ii. Provide the outcome of the same and subsequent contract with the organization(s).
iii. Were there any violations or non-conformance against those fiduciary standards by the entity? And/or, were there any other 'major findings' / 'flagged issues', and any 'Recommendations' provided in the FSA? If so, what mitigation measures have been taken in response by your organization?

Type here

2.4 In cases not covered by a procurement process, does your organization have a policy to remunerate other personnel who are not staff? Please provide details on the hiring/contract modality (e.g., procurement or Human Resources) and on pay scale. Include the policy supporting documents or refer to relevant documents if already covered in section 5 Procurement.

Type here

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[2] If it is 'Confidential document', please obtain permission of the authority for sharing it with GGGI for the FMCA review.

[3] Such assessments may include public financial management assessments, assessments that measure compliance with international best practices, and the like.

4. PILLAR 3. FINANCIAL MANAGEMENT

This section contains information regarding accounting and internal control systems. It requests important details and documentation that are necessary to assess the organization's ability to safeguard financial resources and ensure it systems and policies are designed to prevent, or minimize, the risk of corruption and fraud.

3.1 Accounting standards followed by the organization (e.g., GAAP, IFRS, IAAS, IPSAS)

Please elaborate how any of these or other standards are fitted-in and/or customized for the organization. If adhering to National Guidelines, please elaborate upon this, and provide as part of the Document Checklist.

Type here

3.2 Describe the organization's accounting system including the internal control framework (e.g., refer to key policies if applicable).

If there is no 'Internal Audit' department/unit in the organization, please provide information concerning the relevant policy document as to how the internal control oversight is managed within the organization?

Type here

3.3 Provide details on the accounting software used by the organization[4]

Please elaborate on the Accounting Software: name, manufacturer, essential features (modules) restriction rights, how it has been adapted, customized / fitted-for your organization, and how it functions concerning your organization's accounting system vis-à-vis financial management.

Type here

3.4 Specify the position of the controller (or person responsible for financial management and financial oversight) within the organization.

Type here

3.5 Describe the composition of key staff in the area of financial management (i.e., number, qualifications, roles, and responsibilities) or provide evidence that key staff have the necessary knowledge, skills, and experience.

Please provide CVs of the key staff/personnel that will be involved with the GGGI Readiness project.

Type here

3.6 Provide a description of the internal audit function and a schedule of the audits performed in the last 2 years. If internal auditing is outsourced, provide the name of the firm and describe how the arrangement works. If internal

[4] e.g., allow for comparison among reporting periods, track record in the preparation of financial statements, budgets, monitor expenditures against budgets.

audit is conducted internally, describe the qualifications and experience of key staff. Include / provide copies of last 2 reports.

Please mention the Major Findings / Recommendations of the Internal Audits, and whether there are any flagged issue(s). If there are Major Findings and/or recommendation, how has your organization addressed these? What mitigation measures have been implemented to address the Findings and Recommendations of the Internal Audit?

Type here

3.7 Name of the organization responsible for external auditing and specify how the audit recommendations are followed up, if applicable

Please Include / provide copies of last two (2) years' Audit Reports, including Certified Financial Statements (the FS should include the 'Notes to the Financial Statements').

Please mention the Major Findings / Recommendations of the Internal Audits, and whether there are any flagged issue(s).

If there are Major Findings and/or recommendation, how has your organization addressed these? What mitigation measures have been implemented to address the Findings and Recommendations of the External Audit?

Type here

3.8 Describe how the organization ensures that resources are only spent for their stated and agreed purposes (e.g., using a separate bank account for the readiness Grant Agreement, procedures for overseeing and verifying the use of proceeds, etc.)

Type here

3.9 Describe how the organization ensures zero tolerance for fraud, financial mismanagement, and other forms of prohibited practices by staff members, consultants, contractors, etc. Please include relevant policies and audits if applicable. Describe how the organization handled occurrences of non-compliance, if they have occurred.

Please also elaborate on your organization's Anti-money Laundering (AML), and Counter Finance to Terrorism (CFT) polies. If your organization does not have its own policies, but rather follows National Government, and/or Donor Guidelines (e.g., World Bank, UNDP) please provide the relevant information and reference in the Document Checklist.

(Please refer to Annex-1; Point-1 of this Self-Assessment).

Type here

5. PILLAR 4. PROCUREMENT

This section gives an assessment of how procurement is handled by the organization and the overall approach employed in the selection of consultants and the acquisition of goods and services. This is important to ensure procurement is conducted in a manner that optimizes value for money and protects the interests of both the organization and the supplier.

4.1 Describe the procurement procedures including procurement methods for selection of consultants and procurement of goods and services.

Type here

4.2 Levels of endorsing and approving authority. Please specify:

i. Procurement guidelines or standards, procurement methods and applicable thresholds, including composition and role of procurement committee.

ii. Procedures for overseeing the procurement function

Please provide a summary table of the Types of Procurement (Solicitation Methods) as well as accompanying Financial Thresholds.

Type here

4.3 Policy on fraud and corruption in procurement cases

Within this Section, please elaborate on your organizations COI Policy as it pertains to Procurement Actions.

In addition, please explain how AML/CFT policies vis-à-vis safeguarding processing of payments.

Type here

4.4 Ineligibility criteria or favorability criteria for vendor selection

Type here

4.5 Criteria used to evaluate goods and service providers

Type here

6. PILLAR 5. PROJECT MANAGEMENT

This section details how the organization manages its projects and project-related operations. It covers the overall management process including monitoring and evaluating performance.

5.1 Describe the parts/units of the organization that will be directly involved in the GGGI-related activity. Specify number of staff and the division(s) involved. Specify if your organization will benefit from relationships with other programmes, other entities, or other parts of government as applicable.

Type here

5.2 Does the organization have policies and procedures to manage projects that are implemented directly by the organization or indirectly through sub-recipients?

Please describe, or include relevant documents, or refer to the relevant documents if already covered in Section-5 for Procurement.

Type here

5.3 Provide a list of recent projects/programmes in the past 5 years that received funding from multilateral development banks and bilateral donors[5]

Please use the provided Project Reference Table, one for each project.

Project Name:	Type here
Country of Implementation	Type here
Funding Source[6]:	Type here
Project Value[7]:	Type here
Dates of Performance:	Type here
Project Outcomes / Results[8]:	Type here

[5] Project Reference Tables include areas to list project description/title, country/region of implementation, amounts of income/expenditure, and duration (years or months), purpose and the role your organisation in the project, actual vs planned results/outcomes.

[6] Please indicate the Donor / Funding Source

[7] Please also indicate the currency of the signed project within the Project Value section.

[8] If the Project is "ongoing" please indicate the intended outcomes and/or impact of the project. For this section, please provide an overview of the project: either as a narrative, and/or in bullet points

Project Name:	Type here
Country of Implementation	Type here
Funding Source:	Type here
Project Value:	Type here
Dates of Performance:	Type here
Project Outcomes / Results:	Type here

5.4 Briefly describe the organization's 'monitoring and evaluation' system of project targets, milestones and achieved results. Briefly describe corrective actions implemented in cases where objectives where not fully achieved as originally forecasted.

Type here

5.5 If any recent projects have been formally reviewed or evaluated, please provide a copy of the relevant review, evaluation, or assessment report in the past 5 years.

Type here

5.6 Describe the organization's processes and procedures to ensure the early identification of risk and to take remedial action[9]

If the Organization has a Risk Management Policy, Guidance Document and/or SOP, kindly elaborate, and reference with the Document Checklist.

If your organization does not have a specific Risk Management Policy/SOP, then please provide information on your organizations' Risk Management approach: including Risk Identification, categorization, and mitigation.

(Please refer to Annex-1; Point-II of this Self-Assessment).

Type here

[9] e.g., system in place to ensure speedy solutions to problems which may interfere with the achievement of the project objectives or lead to unintended negative consequences, examples of project problems identified and addressed to demonstrate effectiveness of the system.

7. PILLAR 6. SAFEGUARDS

This section gives an assessment of how environmental and social issues are handled by the organization. This is important to ensure organization follows UN and Global standards.

6.1 Does the Grantee follow the principles of the UN Global Compact?.

Type here

6.2 Does the Grantee publish an environmental or sustainability report, disclosing information on its environmental / CSR policy & performance?

Type here

6.3 Does the Grantee have a policy and monitoring system to ensure human rights are adequately protected?

Type here

6.4 Does the Grantee have a policy and monitoring system to ensure labour rights are adequately protected, including prevention of human trafficking and modern slavery?

Type here

6.5 Does the Grantee have a policy and monitoring system to ensure prevention of child exploitation and abuse, including child labour?

Type here

6.6 Does the Grantee have a policy and monitoring system to minimize environmental damage at its operations?

Type here

6.7 Does the Grantee have a policy and monitoring system stating that it will not engage in corruption at any time or in any form in its interaction with Grantees and contractors?

Type here

NOTE FOR GGGI STAFF : If Grantee answered “no” or fails to answer to any of the above questions, please consult with CAID.

Guide to the Critical Document Checklist

a) If your Organization does not have a particular Manual, Policy, Guideline, SOP of its own but rather follows the Polices/Regulations, Guidelines of the Government and/or any other Organization's (UN/UNDP, WB, ADB), then those governing documents should be provided and duly referenced in the Self-Assessment.

b) External Audit Reports of the Government Department(s) may include, Statutory Audit Reports, while that of the (I)NGOs, and Companies by Audit Firms.

c) All Critical Documents provided for FMCA review(s) are strictly maintained as "Confidential" by GGGI and are exclusively used for FMCA reviews. These are not shared, discussed, or revealed, in part and/or in full, to any other entity whatsoever. If applicants have specific questions concerning the FMCA process and/or, questions on confidentiality, required documentation, please send an email to bkcf@gggi.org with reference to your application and the nominated focal point).

d) Omission and/or inability to share critical documents will have a direct impact on the FMCA review.

Please focus on providing the requested documents. Within the Document Name / File Name column, please input the name of the policy/procedure/manual. For the Attachment column, please ensure to number the documents when they are attached as part of the application and indicate the Attachment Number for each document.

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8. FMCA Supporting Document Checklist

#	Type of Supporting Documents	Doc/File Name	Attachment #
Pillar-1: Organization and Legal Framework			
1	**Legal registration of the entity and/or founding legal document, Charter etc.** This may be a statutory/government Order/Memo, or any Founding/Creation document issued by the competent authority.	Type here	Type here
2	**Constitution / Articles of Incorporation of the Organization / Entity**	Type here	Type here
3	**Latest Annual Report(s) of the Organization / Entity**	Type here	Type here
Pillar-2: Structure and Culture, including considerations on Code of Conduct and Ethics			
#	**Type of Supporting Documents**	**Doc/File Name**	**Attachment #**
4	**Organizational Structure/Chart, Organogram; Governance, etc.** • Please provide a brief elaboration on the hierarchy; reporting lines between key units/divisions/departments	Type here	Type here
5	**Management Structure** • Identifying and elaborating on key Units/Departments, including Internal Audit Function. • Roles and responsibilities of key unit staff (Unit/Department Heads, Finance, DOA holders, inter alia.)	Type here	Type here
6	**Operations and/or Administrative Manual (including Financial roles/functions) Policies, Procedures, SOPs** • If the Applicant follows Governments' and/or any other Organization's (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.	Type here	Type here
7	**HR Policies, Procedures, Manual, SOP etc.** • If the Applicant follows Governments' and/or any other Organization's (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.	Type here	Type here
8	**Code of Conduct or the Organization & Ethical Standards for Staff/Personnel** • Please reference relevant Sections for review	Type here	Type here
Pillar-3: Financial Management, including Management of Risk			
#	**Type of Supporting Documents**	**Doc/File Name**	**Attachment #**
9	**Financial Management Manual, Accounting Policies & Guidelines, SOP etc.**	Type here	Type here
10	**Main Accounting policies of the Entity; and Accounting Software used/adopted.** • This should be elaborated upon in Section 3.1 & 3.2 of the Self-Assessment • If the Applicant follows Governments' and/or any other Organizations' (UN/UNDP, WB, ADB) regulations / policies	Type here	Type here

#	Type of Supporting Documents	Doc/File Name	Attachment #
	in lieu of its own FMM/SOP, then those governing documents should be provided/referred.		
11	**Internal Control Framework (ICF), including procedures against Fraud & Corruption.** • If there is no specific Policy/SOP related to ICF, then please provide other relevant documents re: internal control of the Organization	Type here	Type here
12	**Internal Audit Reports (past two years)** • If there is no 'Internal Audit' department/unit, please provide any other relevant document (if have any) as to how the internal control oversight is done	Type here	Type here
13	**Annual Financial Statements or Certified Financial Statements of the past two years (including Notes to Finance by the Auditor)** • All applicants are required to submit Statutory or External Audit Reports; donor funded project audit reports are welcomed in addition to external audit reports. • Balance sheet statement • Profit and loss statement • Pash flow statements	Type here	Type here
14	**External Audit Reports (past two years) conducted by Government / Statutory Department, or**	Type here	Type here
15	**Fiduciary assessment report(s)** • Please reference major findings and recommendations sections	Type here	Type here
16	**General Anti-Money Laundering (AML) and Combating Finance of Terrorism (CFT) Policies, Practices and Procedures** • If the Applicant follows Governments' and/or any other Organizations' (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.	Type here	Type here
Pillar-4: Procurement Policies and Procedures			
#	**Type of Supporting Documents**	**Doc/File Name**	**Attachment #**
17	**Procurement Manual, Policies and Procedure, SOP etc.** • If the Applicant follows Governments' and/or any other Organization's (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.	Type here	Type here
18	**Delegation of Authority / Financial Thresholds** • Please ensure to include this in Section 4.2 of the Self-Assessment	Type here	Type here

19	**Conflict of Interests (COI) Policy** • Procurement process and related areas	Type here	Type here
Pillar-5: Programme / Project Management			
#	**Type of Supporting Documents**	**Doc/File Name**	**Attachment #**
20	**Program / Project Management Manual, Policies, Procedures, SOP, etc.** • If the Applicant follows Governments' and/or any other Organization's (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.	Type here	Type here
21	**Monitoring and Evaluation Policies, Procedures, and Guidelines** • If the Applicant follows Governments' and/or any other Organization's (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.	Type here	Type here
22	**Track record of the past and/or ongoing project(s) the Organization implemented including Results/Outcomes.** • Non-exhaustive list of projects, rather, please present relevant/recent projects within the past 5years	Type here	Type here
23	**External evaluation(s) / assessment(s) of past or ongoing Projects and Program (if any)**	Type here	Type here
24	**Risk Assessment and Risk Management Policies of the Organization (if any)** • If the Applicant follows Governments' and/or any other Organization's (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.	Type here	Type here
25	**CVs of key Finance and Project staff** • CVs should be provided for personnel that are to be involved/associated with projects with GGGI Funding	Type here	Type here
26	**Relevant Institutional publications, communications, reports, and references; and official website of DP** • Relevant project reports, accommodations, project publications, as well as official website, inter alia.	Type here	Type here

9. Annex 1: AML/CFT Questionnaire

I. General Anti-Money Laundering (AML) and Combating Finance of Terrorism (CFT) Policies, Practices and Procedures		
1. Please provide copies of the organization's written policies, standards and procedures regarding Anti-Money Laundering (AML), Combating Finance of Terrorism (CFT) and Customer Due Diligence (CDD) practices, including any integrity policies.		
2. Does the organization have compliance program/office that includes a designated officer responsible for coordinating and overseeing the AML/CFT? Does the organization use third parties to carry out any components of its AML/CFT or sanctions procedures? (If yes, please explain)	**Yes ☐**	**No ☐**
II. Risk Assessment		
3. Please provide a copy of any AML/CFT and risk assessment policy for your organization.		
III. Due Diligence, and Enhanced Due Diligence		
4. Please provide a copy of any policy that addresses counterparties, Politically Exposed Persons[5], and sanctioned parties.		
5. Do the organization's policies (AML/CFT, CDD) require the identification and verification of counterparties? Are ultimate beneficial owners, authorized signatories, key controllers and other relevant parties identified and verified?	**Yes ☐**	**No ☐**
6. Does the organization have procedures to keep records pertinent to customers' identifications and transactions?	**Yes ☐**	**No ☐**
7. When conducting CDD, does the organization gather information on the following components: Ownership structure, expected activities, nature of business/activities, purpose and nature of relationship, source of funds, and source of wealth? (Please explain which ones, if not all).	**Yes ☐**	**No ☐**
8. Does the organization give counterparties a risk classification? (If yes, please explain factors/criteria).	**Yes ☐**	**No ☐**
IV. Sanctions		
9. Does the organization regularly screen counterparties (including beneficial ownership, associates and relates parties, and employees) and transactions against lists of persons, entities or countries issued by the UNSC/government/competent authorities? (if yes, please explain which ones, how frequently, and if screenings are conducted using automatic methods/software, please specify which one)	**Yes ☐**	**No ☐**

[5] A politically exposed person (PEP) is an individual who is or has been entrusted with a prominent public function; this includes their family member(s) or close associate(s). For example, Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state-owned corporations, important political party officials, members of senior management of international organisations and their equivalents. Family members are individuals who are related to a PEP either directly (consanguinity) or through marriage or similar (civil) forms of partnership. Close associates are individuals who are closely connected to a PEP, either socially or professionally

APPENDIX 4 Project Deliverables

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Annex 1. Project Deliverables

PROJECT DELIVERABLES

Project Title	
Proponent	
Expected Project Start Date	

No.	Deliverables	Disbursement Rate (%)	Expected Submission Date
1	Updated Project Implementation Plan		
...			
	• Project Completion Report • Annual Report • Financial Report	15% (Fixed)	

(Signature)

Name:

Title:

Date:

APPENDIX 5 Project Implementation Plan

Annex 2. Project Implementation Plan

Project Title
Proponent(s)
Date of Project Start mm/dd/yyyy
Date of Update mm/dd/yyyy

Planned
Progress
Delayed
Completed

**Leave the below "Start", "End", "Progress" section blank at the proposal submission stage*

Output	Activity	Details	Start	End	Progress (%)	Year 1									
						M 1	M 2	M 3	M 4	M 5	M 6	M 7	M 8	M 9	M 10
Outcome 1															
Output 1.1	Activity 1.1.1	(description)													
	Activity 1.1.2	(description)													
Output 1.2	Activity 1.2.1	(description)													
	Activity 1.2.2	(description)													
Outcome 2															
Output 2.1	Activity 2.1.1	(description)													
	Activity 2.1.2	(description)													
Output 2.2	Activity 2.2.1	(description)													
	Activity 2.2.2	(description)													

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Annex 3. Institutional Portfolio and TOR for Human Resources

INSTITUTIONAL PORTFOLIO

Using the format below, please provide information on relevant projects previously carried out by your institution (either individually or as a part of a joint venture, consortium or association). Please provide a **maximum of three** experiences, each reflecting the relevance of past projects to the proposed project.

Institution Overview
Provide an overview of your institution, including its goals and focus areas.

Project 1		
Project Name:		
Project Location/ Country:	Number of Professional Staff Provided:	
Duration of Assignments (# of months):	Start Date (D/M/Y):	Completion Date (D/M/Y):
Total Budget (in Current US$):	Name of Senior Staff Involved:	
Project Description		
Project Overview *Please provide an overview of the project, including its objectives and outcomes.*		
Project Activity *Explain the steps/ activities taken to accomplish the objectives and outcomes of the project, as well as the deliverables accomplished at the end of the project.*		

Project 2		
Project Name:		
Project Location/ Country:	Number of Professional Staff Provided:	
Duration of Assignments (# of months):	Start Date (D/M/Y):	Completion Date (D/M/Y):
Total Budget (in Current US$):	Name of Senior Staff Involved:	
Project Description		
Project Overview *Please provide an overview of the project, including its objectives and outcomes.*		
Project Activity *Explain the steps/ activities taken to accomplish the objectives and outcomes of the project, as well as the deliverables accomplished at the end of the project.*		

Annex 3. Institutional Portfolio and TOR for Human Resources

TERMS OF REFERENCE(S) FOR HUMAN RESOURCES

Please provide detailed information on the key human resource positions essential for the successful execution of the proposed project. For each position, complete the sections below, detailing responsibilities and qualifications. Duplicate the table as needed to match the number of roles in your team.

1. [Insert Position Title]	
Overview	
Affiliation	
Number of Person(s)	
Duty Station	
Duration	
Engagement Type *Full-time / Part-time*	
Key Responsibilities	
Describe the responsibilities associated with the position and the scope of work.	
Qualifications	
Specify the necessary qualifications for the position directly relevant to the proposed BKCF project. This may include prior experiences, relevant skills, qualifications, and other assets.	

2. [Insert Position Title]	
Overview	
Affiliation	
Number of Person(s)	
Duty Station	
Duration	
Engagement Type *Full-time / Part-time*	
Key Responsibilities	
Describe the responsibilities associated with the position and the scope of work.	
Qualifications	
Specify the necessary qualifications for the position directly relevant to the proposed BKCF project. This may include prior experiences, relevant skills, qualifications, and other assets.	

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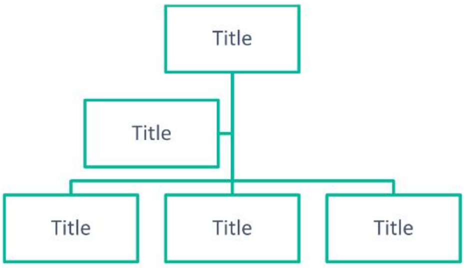
Annex 3. Institutional Portfolio and TOR for Human Resources

Project Organizational Chart

Create an organizational chart, outlining key human resource positions for the proposed BKCF project.
You can either use the provided template or create one using any software you're comfortable with.



ABOUT THE GLOBAL GREEN GROWTH INSTITUTE

The Global Green Growth Institute was founded to support and promote a model of economic growth known as “green growth”, which targets key aspects of economic performance such as poverty reduction, job creation, social inclusion, and environmental sustainability.

GGGI

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