

Pre-DTIS Projects

Pre-DTIS project objectives, amount and duration

8. The pre-DTIS phase, where needed, aims at setting up the conditions for the EIF Country to make the arrangements for the DTIS to be conducted, to set up the basic overall governance structure proposed by the EIF process for mainstreaming trade and to provide the conditions for the establishment of an institutional structure, which aims at ensuring the involvement of local stakeholders and donors with the government (EIF Donor Facilitator (DF), EIF Focal Point (FP) and EIF National Steering Committee (NSC)). In other words, this pre-DTIS phase is crucial as it lays the foundation upon which the whole trade mainstreaming and EIF process at country level will be built.
9. New countries under the EIF can access EIF Trust Fund (EIFTF) Tier 1 funding before their diagnostic phase is completed to support in-country capacity and ownership of the EIF process. To this end, the EIFTF Tier 1 pre-DTIS projects are intended to fund activities, such as stakeholder sensitization, input into the DTIS process in terms of facilitating in-country consultative processes, etc., up to US\$50,000. Pre-DTIS projects have an expected duration of up to 12 months. Although the project may have several components, it should be requested in one single grant to cover all budget items. This applies to projects funded from the EIFTF.
10. The pre-DTIS phase is the first phase of the EIF process in-country, starting after the country is admitted as an EIF Country and ending with the validation of the DTIS.

Pre-DTIS project purpose and description

11. The project funding can be utilized for the following purposes, amongst others:

- Sensitizing national stakeholders (FP, potential NSC members), key government, private sector and civil society representatives) about the importance of the mainstreaming of trade, the role that the EIF process can play in it and the link between trade and development/poverty reduction;
- Sensitizing national stakeholders about the various roles and functions within the EIF process, potentially leading to the selection of individuals/entities as FP, DF and members of the NSC, and prepare for the designation/establishment of a National Implementation Unit (NIU); and
- Sensitizing national stakeholders about the role of the DTIS and how to best ensure full country ownership and participation in the DTIS process.

12. Three main outputs are expected from pre-DTIS funding, these being:

- i. The foundation of the institutional governance structure (NSC) and the technical/executive structure (FP, DF and, if possible, NIU) for the EIF process at country level is set up;
- ii. Key stakeholders (FP, DF, NSC), where already identified, are trained in the EIF process; and
- iii. The EIF Country is prepared to undertake the DTIS, and relevant stakeholders are ready to provide input into the DTIS process to ensure full ownership.

13. Four types of expenses are considered for pre-DTIS funding:
 - i. Procurement of equipment for the FP, NSC and NIU (if already set up);
 - ii. Consultancy services for assistance in setting up EIF operations;

Missions/travels and attendance at, or organization of, meetings and training workshops (at national, regional or global/Geneva levels) and/or study tours to other EIF Countries where necessary;¹ and

- iii. Development of written and other sensitization tools and material.

Pre-DTIS project preparation: request to the EIF

14. The ES, at the request of an EIF Country, will assist in identifying appropriate entities/individuals to undertake pre-DTIS and DTIS roles. If the FP has already been appointed by the government and the appointment has been formally communicated to the ES by the EIF coordinating ministry's controlling officer, the FP, as provided for in the respective government procedures, can then issue a request on behalf of the EIF Country government for pre-DTIS funding. If the FP has not yet been appointed at this stage, the EIF coordinating ministry's controlling officer should issue the request for pre-DTIS funding.
15. The request issued by the FP/controlling officer would, in addition to the description of the activities to be funded under the project, have to identify and describe the mechanism through which the funds would be transferred, received and managed and how the activities would be implemented. Options as to the recipients of funds and Main Implementing Entities (MIEs) could be:
 - i. The EIF coordinating ministry or an entity identified by the EIF coordinating ministry;
 - ii. The ministry of finance for onward transmission to the EIF coordinating ministry/entity;
 - iii. On an exceptional basis, one of the EIF Partner Agencies or another Donor/development agency, as identified and approached by the FP/controlling officer with, if needed, the assistance of the ES and the EIF Trust Fund Manager (TFM); or
 - iv. On an exceptional basis, another mechanism to be proposed by the FP/controlling officer and approved by the ES/TFM.

Implementation modalities i. and ii. are strongly encouraged.

16. The recipient of funds may call upon the assistance of sub-recipients for the implementation of some of the planned activities.
17. The request would normally be done through a letter of the FP, or where procedures demand, under signature of the controlling officer in the coordinating ministry, stating briefly the purpose of the request (one page), including a simple work plan, timeline and a budget (templates to be provided by the TFM). No logical framework is required. In order to ensure its fiduciary responsibility, the TFM may request, prior to or during the course of the project implementation, additional information, such as terms of reference (TOR) for staff or consultants, information on any planned missions or meetings and/or training workshops. The pre-DTIS project template is attached in Annex II.1.

¹ Subject to ES/TFM approval unless already itemized in the approved work plan and budget.

Pre-DTIS project appraisal

18. The capacity review to be done by the TFM will be based on one or several of the following components as appropriate with regard to each country, the implementing entity and the size of the grant:
 - i. The mission and preliminary assessment have been conducted by the ES, and the recommendations have been produced;
 - ii. A desk review of capacities of the recipients and of the project proposal has been done;
 - iii. In the case of implementation by an EIF Partner Agency (UN or development agency), an implementation note drafted by the relevant EIF Partner Agency has been submitted to the ES/TFM for the project appraisal; and
 - iv. When deemed necessary, the TFM may decide to undertake an assessment mission.
19. The supervision role of the ES/TFM applies *ex ante*: their role is to assist the EIF Country in establishing satisfactory conditions for the management of pre-DTIS funding and the implementation of pre-DTIS activities, which would, later on, facilitate the operationalization of other Tier 1 and Tier 2 projects.

Pre-DTIS project approval

20. In-country, the pre-DTIS project proposal is approved by the FP or the EIF coordinating ministry's controlling officer (where an FP has not yet been nominated or where the government procedures require this) and addressed to the ES. The request is to be approved by the ED through delegated authority by the EIF Board. The ES/TFM will prepare an assessment summary sheet to inform the EIF Board of the decision of the ED.

Agreements and disbursements for pre-DTIS projects

21. Upon approval of the project, a basic model agreement between the TFM and the EIF Country or an exchange of letters with the concerned EIF Partner Agency will be prepared by the TFM. In case of implementation by a private entity, a service contract will be signed. Disbursements will normally take place in two instalments throughout the pre-DTIS process: the first at the beginning of the project and the second after receipt of the mid-term report.

Monitoring of implementation of pre-DTIS projects

22. A succinct mid-term financial report, signed by the FP, and a final report (narrative and certified financial) upon project completion must be submitted to the TFM. If the project's duration needs exceptionally to be extended beyond one year, a prior approval for the extension must be obtained, and a mid-term narrative report may be requested. The reporting format will be part of the legal agreement mentioned above. The reporting process is to ensure that the outputs listed in the project have been achieved.
23. The MIE will provide the TFM with certified financial statements, issued by the comptroller of the relevant MIE, at the end of the project and at the end of each calendar year for projects exceptionally approved with a duration exceeding 12 months. If deemed necessary, the TFM can demand a specific

internal or external audit at the expense of the EIFTF or an audit as part of a subsequent Tier 1 project audit. An amount of up to US\$4,000 in addition to the US\$50,000 per pre-DTIS project will be made available if and when necessary to cover such additional cost.



Annex II.1: Pre-DTIS project template

Format of the request

The request would normally be a letter of the Focal Point (FP) stating briefly the purpose of the request (one page); including as attachment the document provided in this Annex 1 duly filled in, a simple work plan and a detailed budget according to the template provided below. No logical framework is required. From the fiduciary perspective, the TFM may request some additional information prior or during the course of the activities, such as terms of reference for staff or consultants, information on any planned missions, meeting and/or training workshops.

ENHANCED INTEGRATED FRAMEWORK	PRE-DTIS PROJECT PROPOSAL
SECTION I: Summary Page	
I.1 Project title	Encapsulated description of project aim and focus.
I.2 Grant recipient entity	Name, nature (public, private, other), national or international.
I.3 Implementing entity (if different from grant recipient entity)	Name, nature (public, private, other), national or international.
I.4 Project duration	Months, years, indicating expected start date.
I.5 Total project costs	In US\$ by year.
I.6 EIF funding sought	In US\$ by year.
I.7 Other sources of funding (including counterpart funding if applicable)	In US\$ by year; in kind listed separately.
I.8 Brief description of the main results and activities	Summary of 12 and 13 below.
I.9 Approved by and date	FP and ES.
SECTION II: Project Description	
II.1 Context	Brief summary of trade policy regime, role of trade in overall development strategy and summary of EIF process so far (application, Technical Review, planned DTIS coverage and time-frame if applicable).
II.2 Objective	State the project purpose, which should include preparing the ground for the EIF process to be successfully implemented in the country and thus trade mainstreamed, support to the trade agenda delivered in a coordinated fashion and trade capacity improved.
II.3 Outputs	List the specific outputs the project seeks to achieve to realize the purpose stated above; these should include: <ul style="list-style-type: none"> ■ Familiarization of stakeholders with the EIF and with trade-growth-poverty links; ■ Establishment of EIF National Implementation Arrangements (NIAs – FP, NSC, DF, NIU) in-country; ■ Training of key stakeholders in EIF process and institutional set-up; and ■ Providing input into DTIS and DTIS process.

ENHANCED INTEGRATED FRAMEWORK	PRE-DTIS PROJECT PROPOSAL
II.4 Key activities	<p>List the key activities under the project for each of the outputs to be achieved with these activities. The activities would include:</p> <ul style="list-style-type: none"> ▪ Familiarization workshops (number, location, audience); ▪ Outreach activities to sensitize national stakeholders (brochure, radio or TV programmes, press articles); ▪ Setting up EIF institutional framework (appointment of DF, NSC members, NIU process); ▪ Time-table for setting up EIF NIAs in-country; ▪ Training events (local or participation in regional workshops or study tours to experienced EIF Countries); ▪ Time-table and work plan for DTIS input (workshops/meetings to provide input for concept, draft chapters and draft report; meetings with DTIS team during concept and main fact-finding stage); and ▪ Other activities (to be described).
II.5 Sustainability	<p>Describe how the results of the project will be made to last beyond the life of the project. Note that except for the DTIS-related results, all will be continued under further Tier 1 projects to support the NIAs.</p>
SECTION III: Project Implementation Arrangements	
III.1 Selection and description of the implementing entity	<p>Description of the selection process and nature of the Implementing Entity, experience in providing services as requested, references, etc.</p>
III.2 National ownership approach	<p>Description of how the project will realize the national ownership principle.</p>
SECTION IV: Project Operational Settings	
IV.1 Work plan	<p>Provide a month-by-month work plan for the activities listed above.</p>
IV.2 Budget	<p>Provide a detailed budget (see below).</p>
SECTION V: Project Accountability Arrangements	
V.1 Legal status of implementing entity	<p>Legal personality and fiscal identification.</p>
V.2 Fiduciary responsibilities	<p>Organization of the project and description of roles and functions of key staff assuming fiduciary responsibilities.</p>
V.3 Financial and fiduciary management	<p>Description of procedures for accounting, financial management, etc.</p>
V.4 Reporting scheme	<p>Types of reports, frequency, signatory staff.</p>
V.5 Audit requirements	<p>Description of audit procedures.</p>

Detailed Budget Template

Country:

Project Title:

Starting Date:

Project Duration:

Detailed Budget in US\$:

Budget Account	Expenditure Account	Category	Description	Unit	Unit	Unit Cost	Total Cost	Comments
71200	71205	International experts	International consultants	Month	0	0	-	
71300	71305	Support staff	Administrative support	Month	0	0	-	
71400	71410	National experts	National consultants	Month	0	0	-	
71600	71615	Travel & missions	Travel DSA	Days	0	0	-	
71600	71610	Travel & missions	Travel air tickets	Tickets	0	0	-	
71600	71635	Travel & missions	Travel other	Travel	0	0	-	
63400	63405	Learning costs	Miscellaneous costs	Training	0	0	-	
63400	63406	Learning costs	Ticket costs	Training	0	0	-	
63400	63407	Learning costs	Subsistence allowance	Training	0	0	-	
63400	63408	Learning costs	Subcontracts	Training	0	0	-	
72100	72120	Subcontracts	DTIS activities	Contract	0	0	-	
72100	72125	Subcontracts	Research & studies	Contract	0	0	-	
72100	72145	Subcontracts	Services	Contract	0	0	-	
72100	72155	Subcontracts	Secretariat cost	Contract	0	0	-	
72200	72205	Equipment	Equipment	Lump sum	0	0	-	
72200	72220	Equipment	Office furniture	Each	0	0	-	
74200	74215	Communication	Communications outreach & advocacy	Month	0	0	-	
74100	74110	Professional services	Auditing	Audit	0	0	-	
73100	73125	Premises	Rent & maintenance	Month	0	0	-	
74500	74525	Sundries	Miscellaneous expenses	Month	0	0	-	
Total								