

Ministry of  
Agriculture, Lands,  
Forestry, Fisheries  
and the Environment  
HACT Micro  
Assessment Report

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## **ACCRONMYS AND ABBREVIATIONS**

FACE	Funding Authorization and Certificate of Expenditure
HACT	Harmonized Approach to Cash Transfers
OECS	Organization of Eastern Caribbean States
ICCAS	Integrated Climate Change Adaptation Strategy
INTOSAI	International Organization of Supreme Audit Institutions
IP	Implementing Partner
NGO	Non- Governmental Organization
SIGFIS	Standard Integrated Government Financial Integrated System
SAO	Senior Administrative Officer
SRO	Statutory Rules and Orders No. 14
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
USD	United States Dollars
WFP	World Food Programme
XCD	Eastern Caribbean Dollars

## **Background**

In 2005 the Harmonized Approach to Cash Transfers framework was first adopted by UNDP, UNICEF, UNFPA and WFP, pursuant to the United Nations General Assembly Resolution 56/201 on the triennial policy review of operational activities of the United Nations System.

This framework governs the process by which funds are transferred within United Nations Agencies and Implementing Partners (IPs). Implementing Partners are government agencies, inter-governmental organizations, eligible civil society organizations and other eligible United Nations Agencies.

The main objective of HACT framework is to strengthen national capacities for management and accountability by encouraging a closer alignment of development aid with national priorities thus shifting to national systems. The framework is also geared toward a risk based assessment (micro assessment) of the agencies.

The Micro Assessment assesses the IP's financial management capacity (that is, its accounting, procurement, reporting, and internal controls) to determine the overall risk rating and assurance activities. The risk rating, along with other available information is also taken into consideration when selecting the appropriate cash transfer modality for an IP based on each agency's business model. This assessment applies to both governmental and non-governmental IPs.

UNDP Barbados and the OECS has partnered with the Government of Grenada, civil society and the people of Grenada for over thirty years assisting them to develop and create solutions to both global and international challenges.

## **Introduction**

The Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment is currently participating in the Integrated Climate Change Adaptation Strategy (ICCAS) project which is being co-implemented by the UNDP. The focal point for the project is the Project Coordinator.

The mission of the Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment is:

Providing efficient, effective, quality services to the agricultural community (farming, fishing, forestry and agri-business) to stimulate maximum production for local consumption, export and increased income through sustainable use of natural resources.

The Ministry aims to meet its mission mandate by:

- Facilitating and supporting the development and implementation of natural policies;
- Assessing existing resources (human, financial, technical, and technological) and sourcing additional required resources;
- Providing effective administrative leadership to the various units and ensuring smooth coordination and administration processes across units to ensure that objectives are met;
- Providing quality information and professional service to internal and external stakeholders;
- Implementing the recommendations emanating from the human resource audit of the Ministry;
- Providing a conducive physical working environment.

## **Objectives**

The main objectives of the micro assessment are:

- (1) An overall risk rating related to cash transfers of IPs (low, moderate, significant or high); and
- (2) The appropriate type and frequency of assurance activities, and the cash transfer modality based on the agency's business model.

## **Statement of Process**

In the compilation of this report various methodologies were applied during the months of March and April. The methodologies utilized are provided below:

- A desk review of the Macro Assessment for Grenada was performed.
- A list of persons to contact was provided by the United Nations representative.
- Persons to be interviewed were contacted prior to departure from Barbados.
- Interviews were conducted with Ministry staff in Grenada during the period March 22<sup>nd</sup> to March 24<sup>th</sup>, 2016.
- The HACT Micro Assessment questionnaire which consists of nine (9) risk areas, and four (4) risk ratings; High (carrying an assigned weight of 4 points), Medium (carrying an assigned weight of 3 points), Moderate ( carrying an assigned weight of 2 points), and Low (carrying an assigned weight of 1 point) was completed. (See Annex 1)
- A desk review was conducted of documents attached to this Micro Assessment for reference purposes.
- The full report was prepared in draft format.
- The findings of the draft report were provided to representatives of the IP for feedback.
- The findings of the draft report were provided to representatives of the UNDP for feedback.
- The feedback from both the IP's representatives and the UNDP's representatives are incorporated into the final report.
- The final report is released to the UNDP.

## Executive Summary

Based on the micro assessment conducted on the Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment the overall risk rating is Moderate.

The Direct Cash Transfer method is recommended as the appropriate cash transfer modality based on the overall risk rating of Moderate.

It is recommend that the services of an external auditor should be utilized where audits are performed on an annual basis. Interim audits or periodic reviews should be conducted by United Nations personnel, as well as the Government's Internal Audit Department.

The details of the overall micro assessment by risk area are presented in Annex 1.

<b>Summary of Risks Related to the Financial Management Capacity of the Implementing Partner</b>				
<b>Tested subject area</b> (see subsequent pages for details of each subject area summarized below)				
	<b>Total number of risk points</b>	<b>Total number of applicable questions</b>	<b>Overall risk assessment</b>	<b>Comments</b>
<b>1. Implementing partner:</b>	<b>8</b>	<b>4</b>	<b>2</b>	
<b>2. Funds flow:</b>	<b>15</b>	<b>7</b>	<b>2</b>	<b>It is recommended to ensure that suppliers are paid in a timely manner, that all payments be incorporated into the budgeting process to assist in adequate disbursements to the projects.</b>
<b>3. Organizational structure and staffing:</b>	<b>23</b>	<b>10</b>	<b>2</b>	
<b>4. Accounting policies and procedures:</b>	<b>79</b>	<b>38</b>	<b>2</b>	<b>Please refer to Findings and Recommendations</b>
<b>5. Internal audit:</b>	<b>2</b>	<b>1</b>	<b>2</b>	<b>It is recommended that the services of an internal auditor be utilized to ensure internal control procedures are maintained and control weaknesses are addressed within the IP.</b>

<b>6. Financial audit:</b>	<b>14</b>	<b>6</b>	<b>2</b>	<b>Please refer to Findings and Recommendations</b>
<b>7. Reporting and monitoring:</b>	<b>13</b>	<b>6</b>	<b>2</b>	
<b>8. Information systems:</b>	<b>11</b>	<b>5</b>	<b>2</b>	<b>Please refer to Findings and Recommendations</b>
<b>9. Procurement:</b>	<b>67</b>	<b>33</b>	<b>2</b>	
<b>Total:</b>	<b>232</b>	<b>110</b>	<b>2</b>	<p>Divide the total number of risk points by the total number of applicable questions in the subject matter section.</p> <p>This amount should be rounded as detailed on page 1 of this checklist and assigned an overall risk rating.</p>



## Findings & Recommendations

In the administration of projects there are two cash modalities; the UNDP modality, and the government modality. The intermediary for both systems is the Projects Liaison Coordinator who is charged with reconciling the records between both entities.

1. Finding (Section 4.29): Manuals are not distributed to accounting /finance personnel.

Recommendation: **Copies of the relevant Finance Acts should be kept in soft copy on the IP's network for ease of reference.**

2. Finding (Section 4.31): Information pertaining to the IP's cash book records for projects is stored on flash drive as a means of backup storage.

Recommendation: **While we commend the IP for recognizing that the information should be backed up, the cash book information should be backed up using a more reliable source such as a back up to the external network.**

3. Finding (Section 4.36: & 4.37) There is no inventory listing of fixed assets kept in the main accounts office.

Recommendation: **The IP should ensure that an up-to-date listing is kept in the main accounts office.**

4. Finding (Section 4.38: & 4.37) There was no recent physical inspection of Fixed Assets.

Recommendation: **Assessment/Review of Fixed Asset stock should be under taken at least annually with the updated listing being visible in all departments of the IP.**

## Findings & Recommendations

5. Finding (Section 4.46): There is no documented policy against retaliation for those who report fraud, waste or misuse of agency resources.

Recommendation: **A policy should be created and documented clearly detailing the protection available for those persons who report such instances and the penalties for those who retaliate against those who report.**

6. Finding (Sections 5.1: 5.4) Internal Audit checks are not being performed by the Government - Internal Audit Department.

Recommendation: **Internal audits of the IP should be conducted frequently by the Government Internal Audit Department. If the Government's Internal Audit Department does not have the capacity to conduct such audits, an external auditor should be contracted. This will ensure all of the IP's internal controls are adequate and address control weaknesses where present.**

7. Finding (Section 6.1): Government Audits are not being performed for the IP on an annual basis.

Recommendation: **Annual audits of the entire IP should be conducted by the Office of the Director of Audit External Audits. If the Office of the Director of Audit does not have the capacity to perform such audits on an annual basis, an external auditor should be contracted.**

8. Finding (Section 8.5): In recent times there were no Public Service confidentiality agreements being signed by staff members.

Recommendation: **Public Service Confidentiality Agreements should be presented to all staff members for signature on an annual basis.**

### ANNEX 1: Micro Assessment Questionnaire

Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments
<b>1. Implementing partner</b>						
1.1 Is the IP legally registered? If so, is it in compliance with registration requirements? Please note the legal status/ registration of the entity. <i>Retain copies of registration documents if available.</i>			<b>X</b>	IP is registered in the country where the programme operates and is current with registration/ reporting requirements.		The IP is a government department therefore legal registration is not required.
1.2 Has the IP received United Nations resources in the past? If so, provide details of amounts, from which agency and for what purpose.	<b>X</b>			IP has received United Nations resources in the past and no issues were encountered with utilizing these funds.	<b>2</b>	The Ministry received funds for the Ridge to Reef project funded by GEF totalling XCD\$435,370 (USD\$161,087) in March 2015. The Ministry also received funding from the UNDP for the Climate Change Adaptation Project totalling XCD\$2,062,746 (USD\$763,216) throughout the period September 2014 to August 2015.  A conversion rate of XCD\$1 to USD\$0.37 was used.

1.3	Does the IP have statutory reporting requirements? If so, are they in compliance with such requirements? Please describe.	X			The IP is compliant with applicable statutory requirements	1	The Ministry is required to perform statutory reporting by statute which is governed by the Public Finance Management Act.
1.4	Is the governing body for the IP independent from management? If so, please describe.		X		The governing body of the IP is independent from management	4	The Ministry is a government department.
1.5	Does the IP have any pending legal actions against it? <i>Confirm this with the IP, and possibly through assessment of the general ledger and confirmation with external legal counsel provided by the IP. Provide details and actions taken by the IP to resolve the legal action.</i>		X		The IP does not have any pending legal actions against it	1	Please refer to attached confirmation. Review of the project estimates for 2016 and actual spend for 2015 revealed no litigation pending against IP.
<b>Total number of questions in subject area:</b>		<b>5</b>					
<b>Number of questions marked N/A</b>		<b>1</b>					
<b>Total number of applicable questions in subject area:</b>		<b>4</b>					
<b>Total number of risk points</b>		<b>8</b>					
<b>Implementing partner overall risk assessment</b>		<b>2</b>	Divide total number of risk points by total number of applicable questions in subject matter section. This amount should be rounded as detailed on page 1 of this checklist and assigned an overall risk rating.				

Subject area	Yes	N o	N/ A	Low risk consideration	Risk point s	Remarks/ comments
<b>2. Fund Flow</b>						
2.1 Can the IP easily receive and transfer funds? If so, please describe the process.	<b>X</b>			The IP can receive funds directly from the agency.	<b>2</b>	<p>If funds are provided by the donor, regardless of the project, all funds are deposited into a consolidated government account which is held with the Bank of Nova Scotia. Separate cash books are maintained for each project within each Ministry.</p> <p>On receipt of project funds to the bank account, the Senior Accountant in the Ministry of Finance will indicate to the Chief Budget Officer of the Ministry of Finance the amount of funds received. The Chief Budget Officer verifies the amount by referencing it to the Annual Budget for the year. The funds are then released in Smart Stream to the Treasury Department which has</p>

						the overall responsibility of approving the release of funds to the IP.
Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments
2.2 Are the proposed arrangements to transfer the funds to the IP satisfactory to the funding agency?	X			The proposed arrangements are satisfactory to the funding agency.	2	The provisions made in the Public Finance Management Act and the Public Finance Management Regulations are adequate.
2.3 Have there been major problems in the past in receipt of funds by the IP, particularly where the funds flow from government ministries (if applicable)? If so, please describe.	X			The IP has not had problems in the past regarding receipt of agency funding.	3	There have been delays in the receipt of funds due to the IP's use of two cash modalities which also impacts the flow of funding to Non-governmental organizations (NGOs).  Due to the structure of the government payment system where the amounts dispersed is at the discretion of the Ministry of Finance, funds needed for the Climate Change Project for December 2015 were received in February 2016.  The timing of the disbursement of project

						funds and payment of suppliers needs to be incorporated within budget planning . This will ensure the timely payment of suppliers.	
2.4	In the past, has the IP had any problems in the management of funds received? If so, please describe.		X		The IP has not had problems in the management of funds received from the funding agency.	2	
2.5	Does the IP have capacity to manage foreign exchange risks? (If it is expected to be using funds outside the country.) If so, does the IP have experience managing foreign exchange risk?	X			The IP has capacity and experience in managing foreign exchange risk.	2	Transactions are normally done in EC dollars, and the exchange rate is pegged to the United States dollar. Thus there is minimal exposure to exchange rate risk. In instances where transactions are done in other currencies (for example the pound sterling) an estimate is used by the Administrative Officer-Capital Projects which is usually a bit higher than the bank exchange rate on the date that the payment is entered in Smart Stream (as there is a lag between approval of payment by the IP and release of the cheque by the Treasury Department. Exchange rate





						<p>are provided for within the annual estimates. Also, supplementary funds for other donor projects may be requested. A supplementary budget is prepared by the Administrative Officer – Capital Projects and given to the Permanent Secretary for approval. The budget is then forwarded to the Ministry of Finance via the Budget Department. The approval of Supplementary Budgets as per the Public Finance Management Act occurs in June and September.</p> <p>Generally, counterpart funds are mainly done for recurring expenditure.</p>
2.7	<p>If some activities will be implemented by others, such as civil society groups or non-governmental organizations, does the IP have the necessary reporting and monitoring mechanisms to track the use of funds? Does the IP have experience with implementation of activities by external civil society or non-governmental organizations? If so, please describe.</p>	X		<p>The IP has the necessary reporting and monitoring mechanisms in place to track the use of funds by external organizations. The IP also has experience with this process</p>	2	<p>The IP has an Operations Manual for the Disbursement of Funds. Two modalities exists :</p> <p><u>1.Assisted Implementation</u></p> <p>Funds are not directly given to these organizations. Invoices</p>

					<p>are submitted to the focal point who submits the invoices to the Project Unit. The Project Coordinator then reviews and certifies the invoice for payment. See remarks at 3.3</p> <p>The IP's focal point is the Community Liaison Officer.</p> <p><u>2.Regular Implementation</u></p> <p>These organizations are registered charities by law, and have a history in the management of projects.</p> <p>The IP will disburse funds on the basis of the presentation of financial statements, and supporting supplier's invoices at various milestones as stipulated by the project agreement.</p>
<b>Total number of questions in subject area:</b>	<b>7</b>				
<b>Number of questions marked N/A</b>	<b>0</b>				
<b>Total number of applicable questions in subject area:</b>	<b>7</b>				

<b><i>Total number of risk points</i></b>	<b>15</b>	
<b><i>Implementing partner overall risk assessment</i></b>	<b>2</b>	Divide total number of risk points by total number of applicable questions in subject matter section. This amount should be rounded as detailed on page 1 of this checklist and assigned an overall risk rating.

<b>Subject area</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Low risk consideration</b>	<b>Risk points</b>	<b>Remarks/ comments</b>
<b>3. Organizational Structure and Staffing</b>						
3.1 Is the organizational structure of the IP's accounting/finance department appropriate for the level of financial volume? Does the organizational structure provide clear lines of reporting and accountability? If so, please describe. <i>Attach an organization chart if available.</i>	<b>X</b>			The organizational structure of the IP's accounting/finance department is appropriate for the level of financial volume (including funding from the agency).	<b>3</b>	The IP is under staffed as there are roughly fifty ongoing projects with one vote clerk and one approver for project accounting. The IP is also under staffed for recurring expenditure as there is also one approver.  Clear reporting lines exist please refer to attached organizational chart.
3.2 Are the level of posts and competency of staff appropriate for the level of financial volume in the accounting/ finance department? Identify the staff, including job titles, responsibilities, educational backgrounds and professional experience. <i>Attach job descriptions and CVs of key accounting/ finance staff.</i>	<b>X</b>			The level of posts and competency of staff are appropriate for the level of financial volume in the accounting/finance department	<b>2</b>	Please refer to attached copies of job descriptions and CVs for the Community Liaison Coordinator, the Administrative Officer – Projects and the Administrative

						Officer – Finance Section	
3.3	Is the IP’s accounting/finance function staffed adequately to ensure sufficient controls are in place to manage agency funds? If so, please describe.	X			The IP’s accounting/finance function is staffed adequately to ensure sufficient controls are in place to manage agency funds.	3	<p>For projects, suppliers’ invoices are reviewed and approved by the Project Coordinator. The invoices are then given to the Administrative Officer – Capital Projects who signs as receiving the invoice. It is given to the Vote Clerk who enters the invoice in Votes Ledger and Smart Stream. The system invoice is then approved by the Administrative Officer – Capital Projects.</p> <p>For suppliers, invoices for government amounts under EC\$5,000 (USD\$1,850) are reviewed and approved by the Senior Administrative Officer of the IP. The invoices are given to the Administrative Officer – Recurring Expenditure who approves and distributes the invoices to the Vote Clerk. The Clerk</p>

						<p>enters the invoice in the Votes Ledger and Smart Stream. The Administrative Officer – Recurring Expenditure will approve the invoice in Smart Stream.</p> <p>All payments of the IP must then be approved by an approver from the Treasury department.</p> <p>See remarks at 3.1</p> <p>For projects the Community Liaison Coordinator reconciles the accounts as per United Nations Development Programme (UNDP) records and the accounts as per Smart Stream.</p>
3.4	Are accounting/finance staff familiar with United Nations procedures related to cash transfers (specifically the HACT framework)? If so, please provide details.	X			The accounting/finance staff are not familiar with United Nations procedures related to cash transfers (specifically the HACT framework).	<p>2</p> <p>The projects' Administrative Officer- Capital Projects is familiar with usage of FACE forms (Funding Authorisation and Certificate of Expenditure form). The Project Coordinator who is a</p>

						<p>focal point utilizes FACE forms as well.</p> <p>It is recommended that all accounting staff be trained on HACT framework.</p>
Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments
3.5 Are there vacancies in positions considered key? If so, provide the estimated date of appointment.		X		The IP does not have any vacancies in positions considered key.	2	The position of the Executive Officer is currently being occupied by an Acting Officer.
3.6 Is staff frequently transferred to other departments, offices, countries, etc.? If so, what is the estimated frequency?	X			IP staff are not frequently transferred to other departments, offices, countries, etc.	3	The majority of senior personnel of the Accounts department were transferred from other Ministries within the past five years. The IP's Executive Officer is transferred every two to three years.
3.7 Does the IP have training policies for accounting/ finance staff? Are necessary trainings undertaken? If so, please describe.		X		The IP has training policies for accounting/finance staff, which are undertaken as planned	3	The IP does not have a formal training policy in place. New members of the Accounts department are presented with a copy of the Public Finance and Management Act to familiarize themselves with what is required. They are also trained

						by Senior Accounting personnel. Staff is sent on workshops. Recent workshops attended include the Annual Budget Implementation Workshop, and training on the new Chart of Accounts.	
3.8	Has there been significant turnover in the past five years? If so, has the rate improved or worsened? Does it appear to be a problem? If so, what is the IP doing to address this issue?		<b>X</b>		The IP has not had significant turnover in the past five years.	<b>2</b>	See comment at 3.6
3.9	Does the IP perform background verification/checks on all new accounting/finance and management positions? If alternative practices for processing new hires are in place, please provide a brief description.	<b>X</b>			The IP performs background verification/checks on all new accounting/finance and management positions.	<b>2</b>	Checks are performed by the Public Service Commission and the Department of Public Administration.
3.10	Does the IP have a defined and documented internal control framework? Is this framework consistent with international standards? If so, please describe.	<b>X</b>				<b>1</b>	The framework is provided for within the Public Finance Management Act , the Public Finance Management Regulations , and the Public Procurement and Contract Administration Act . This complies with International Standards.

<i>Total number of questions in subject area:</i>	<b>10</b>	
<i>Number of questions marked N/A</i>	<b>0</b>	
<i>Total number of applicable questions in subject area:</i>	<b>10</b>	
<i>Total number of risk points</i>	<b>23</b>	
<i>Implementing partner overall risk assessment</i>	<b>2</b>	Divide total number of risk points by total number of applicable questions in subject matter section. This amount should be rounded as detailed on page 1 of this checklist and assigned an overall risk rating.

Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments
<b>4. Accounting Policies and Procedures</b>						
<i>4a. General</i>						
4.1 Does the IP have an accounting system that allows for proper recording of financial transactions from United Nations agencies, including allocation of expenditures in accordance with the respective components, disbursement categories and sources of funds?	X			The IP has an accounting system that allows for proper recording of financial transactions from United Nations agencies, including allocation of expenditures in accordance with the respective components, disbursement categories and sources of funds.	2	The Grenada Chart of Accounts Manual provides guidance on the treatment of expenditure. Invoices are approved and the calculations verified as correct by the Project Coordinator, and approved by the Administrative Officer – Capital Projects prior to entry in to Smart Stream. Transactions are recorded within Smart Stream where invoices are coded by the appropriate expenditure and



						<p>program code. All entries into Smart Stream are checked by the IP's approver as well as the Permanent Secretary.</p> <p>Please refer to 4.3</p> <p>For projects, the Administrative Officer-Capital Projects also maintains a cashbook in Microsoft Excel.</p>	
4.2	Are controls in place concerning preparation and approval of transactions, ensuring that all transactions are correctly made and adequately explained?	X			Controls are in place concerning preparation and approval of transactions, ensuring that all transactions are correctly made and adequately explained	2	See remarks at 4.1 above.
4.3	Is the chart of accounts adequate to properly account for and report on activities and disbursement categories?	X			The chart of accounts is adequate to properly account for and report on activities and disbursement categories in accordance with the established agreements.	1	The chart of accounts provides itemization of expenditure by the use of code, and items can be traced by the relevant programme code. A sample of two invoices was traced to Smart Stream.
4.4	Are controls in place for accurate cost allocations to the various funding sources in accordance with established agreements?	X			Controls are in place for accurate cost allocations to the various funding sources in accordance with established agreements	1	See remark at 4.3 above.
4.5	Are the general ledger and subsidiary ledgers reconciled at least monthly? Are explanations provided for significant reconciling items?	X			The general ledger and subsidiary ledgers are reconciled at least monthly, and	3	The vote books are reconciled to Smart Stream. However, reconciliations are not

				explanations are provided for significant reconciling items.		being performed for the fixed asset register.	
Subject area		Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments
4.6	Are all accounting and supporting documents retained permanently in a defined system that allows authorized users easy access? If so, please describe.	X			Accounting and supporting documents are retained permanently in a defined system that allows authorized users easy access.	1	All requests for payment along with the supporting documentation (invoices, purchase orders, quotations) are kept in soft copy in Smart Stream.
4.7	Does the IP have policies and procedures for tracking and reporting United Nations resources as required in the HACT framework? If so, please describe.	X			The IP has policies and procedures for tracking and reporting United Nations resources as required in the HACT framework.	2	Please refer to remarks at 4.1 and 4.2
<b>4b. Segregation of duties</b>							
4.8	Are the following functional responsibilities performed by different units or individuals: (a) authorization to execute a transaction; (b) recording of the transaction; and (c) custody of assets involved in the transaction?	X			The following functional responsibilities are performed by different units/individuals: (a) authorization to execute a transaction; (b) recording of the transaction; and (c) custody of assets involved in the transaction.	2	Although staffing levels are inadequate, there is appropriate segregation of duties. Various persons are involved in the transaction. See remarks at 3.3 The Administrative Officer- Capital Projects updates and maintains the Cash book with the monies received and spent. Entries from the Vote Ledger Book which are entered by the

					<p>Vote Clerk are used to update the Cash Book.</p> <p>For projects assets are in the custody of the Project Unit rather than the Accounting/Finance department.</p> <p>Depending on the item or service for example, fixed assets such as a computer would be in the custody of the Project Leader of the Non-governmental Organization (NGO). If a larger project is being conducted such as construction, it would be supervised by the Project Leader who reports to the Coordinator of the project unit.</p> <p>For Government, the Administrative Officer – Finance Section is charged with approving the authorization. The Vote Clerk is responsible for entering the transaction.</p> <p>Generally, the Head of the Department is responsible for the custody of assets. The</p>
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explanations required for significant variations from the budget?				reasonable frequency, and explanations are required for significant variations from the budget.		For projects there are usually no budget overruns.
4.14 Are approvals required prior to significant variations from the budget?	<b>X</b>			Approvals are required prior to significant variations from the budget.	<b>2</b>	A supplementary to the budget is prepared by the Administrative Officer and forwarded to the Permanent Secretary for approval. It is then forwarded from to the Minister of Finance through the Budget department. For projects, supplementary funding is included within the Public Finance and Management Act. This takes place in June and September. For projects such an occurrence is rare. See remark at 4.13
4.15 Does the IP have a designated individual(s) responsible for preparation and approval of budgets related to agency funding?	<b>X</b>			The IP has a designated individual(s) responsible for preparation and approval of budgets related to agency funding.	<b>1</b>	The IP's planning unit is responsible for the designing of the budget. The Permanent Secretaries and the Minister of the IP are responsible for approval of the budget.
4.16 Are procedures in place to plan activities, collect information from the units in charge of the different components and prepare the budgets? If so, please describe.	<b>X</b>			Procedures are in place to plan activities, collect information from the units in charge of the different components and prepare the budgets.	<b>1</b>	For government each department head is required to submit a proposed budget in excel format.



				developed by knowledgeable individuals.		2015 and the projected estimates for 2016 appear to be realistic. Preparers of the budget are conversant with the preparation process.
<b>4d. Payments</b>						
4.18	Do invoice processing procedures provide for: <ul style="list-style-type: none"> <li>Copies of purchase orders and receiving reports to be obtained directly from issuing departments?</li> <li>Comparison of invoice quantities, prices and terms with those indicated on the purchase order and with records of goods actually received?</li> <li>Checking the accuracy of calculations, if any?</li> </ul>	<b>X</b>		Invoice processing procedures are sufficient, including: receiving copies of purchase orders and receiving reports directly from issuing departments; comparing invoice quantities, prices and terms with those indicated on the purchase order and with records of goods actually received; and checking the accuracy of calculations (if any).	<b>1</b>	All documents are attached to the Memorandum of the request approval to pay the supplier. This is submitted to the Permanent Secretary. All calculations are verified by the Project Coordinator who signed as verified. A sample of four invoices were reviewed , no discrepancies were found.
4.19	Can the IP identify tax-exempt activities to ensure tax is not paid?	<b>X</b>		The IP has the ability and experience to identify tax exempt activities and ensure tax is not paid.	<b>2</b>	The IP is a government department as a result taxes are not payable to the government.
4.20	Are all invoices stamped 'PAID', dated, reviewed and approved, and clearly marked for account code assignment?	<b>X</b>		Invoices are stamped 'PAID', dated, reviewed and approved, and clearly marked for account code assignment.	<b>1</b>	Invoices are reviewed and approved by way of stamp and signature.

<p>4.21 Do controls exist for preparation and approval of payroll expenditures? Are changes properly authorized? If so, please describe.</p>	<p><b>X</b></p>		<p>Controls exist for the preparation and approval of payroll expenditures and changes are properly authorized.</p>	<p><b>1</b></p>	<p>For projects, the salary payments are based on contracts. The Salary amount is inputted into Smart Stream by the Vote Clerk. The transaction is approved by the Administrative Officer – Capital Projects. The directive to pay project staff is given through the submission of employee contract document. Monthly invoices are submitted by the Community Liaison Officer which are approved by the Project Coordinator. The approved document is forwarded to the Administrative Officer- Capital Projects.</p> <p>For Government, all employee details are recorded and maintained in Smart Stream. Any changes to payroll details are entered in Smart Stream by the Vote Clerk under the instruction of the Administrative Officer –Recurring Expenditure to amend the Employee Worksheet. The details</p>
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						of the change are also recorded in a note book by the Executive Officer. The Administrative Officer – Recurring Expenditure will compare the entry made in Smart Stream to the note book, and supporting documentation such as the signed Memorandum indicating the details of the change. The Employee Master Sheet is then printed, stamped and signed by the Administrative Officer- Recurring Expenditure and submitted to the Ministry of Finance.
4.22	Do controls exist for expense categories that do not originate from invoice payments, such as DSA, travel, consultancies?	X			Controls exist for expense categories that do not originate from invoice payments, such as DSA, travel, consultancies.	2 The Statutory Rules and Orders No. 14 Traveling and Subsistence Allowances (Amendment) Regulations (SRO) details the procedures for DSA, travel, and consultancies. For projects, the SRO is used along with any knowledge of other surcharges not covered by the SRO.

Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments
<b><i>4e. Policies and procedures</i></b>						
4.23 Does the IP have a single stated basis of accounting (e.g., cash or accrual)? If so, please describe.	X			The IP has a single basis of accounting.	1	Accounting is done on accruals basis.
4.24 Does the IP have an established accounting manual sufficient to ensure control of assets and proper use of agency funds? Are internationally accepted accounting standards followed? If so, which standard?		X		The IP has an established accounting manual sufficient to ensure control of assets and proper use of agency funds. This manual follows an internationally accepted accounting standard.	2	Guidance is taken from the Public Finance Management Act, Public Finance Management Regulations, and Public Procurement and Contract Administration Act.
4.25 Does the IP have an adequate policies and procedures manual to guide activities and ensure staff accountability? If so, please describe.		X		The IP has an adequate policies and procedures manual to guide activities and ensure staff accountability.	2	Guidance is taken from the Integrity in Public life Act, and the Public Finance Management Act.
4.26 Do procedures exist to ensure that only authorized persons can alter or establish a new accounting principle, policy or procedure to be used by the IP?	X			The IP has procedures in place to ensure that only authorized persons can alter or establish a new accounting principle, policy or procedure.	1	The Permanent Secretary of the Ministry of Finance and the Minister of Finance are the only persons authorized to do so.
4.27 Are there written policies and procedures covering all routine financial management and related administrative activities? Are these accessible? Please describe.	X			There are accessible written policies and procedures covering all routine financial management and related administrative activities.	3	The Public Finance Management Act covers all routine financial management activities. The Public Service Rules and Regulations cover all



	required to execute transactions? If so, provide names.						Accountant General, Chief Treasury Officer, Staff Accountant and Administrative Officer.
4.31	Does the IP maintain an adequate, up-to-date cashbook, recording receipts and payments?	X			The IP maintains an adequate ,up-to-date cashbook, recording receipts and payments	3	The Cash Book is maintained in Excel and all other transactions are recorded in Smart Stream. Smart Stream is backed up and there is a back facility in Miami. The backup of the Cash Book is kept on flash drive. <b>It is recommended that the cash book be backed up on a more reliable source.</b>
4.32	Do controls exist for the collection, timely deposit and recording of receipts at each collection location? If so, please describe.			X	Controls exist for the collection, timely deposit and recording of receipts at each collection location.		
	<b>Subject area</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Low risk consideration</b>	<b>Risk points</b>	<b>Remarks/ comments</b>
4.33	Are bank balances and cash ledger reconciled monthly and properly approved? Are explanations provided for significant and unusual reconciling items?			X	Bank balances and cash ledgers are reconciled monthly and properly approved. Significant and unusual reconciling items are explained.		Bank Reconciliations are prepared by the Accountant General. The Cash Book reconciliation is

						performed by the Administrative Officer – Capital Projects.
4.34	Are agency resources be placed in a separate bank account?		X		Agency resources are placed in a separate bank account.	2 Agency resources are held in a consolidated government bank account. However, amounts received are monitored. See remarks at 2.1
4.35	Are cash and checks maintained in a secure location? Has access been properly designated and maintained?			X	Cash and checks are maintained in a secure location and access has been properly designated and maintained.	The IP does not issue cheques this is a function of the Treasury department.
<b>4g. Safeguards for assets</b>						
4.36	Is there a system of adequate safeguards to protect assets from fraud, waste and abuse? If so, tour the facility to ensure the system has been implemented and followed.		X		The IP has a system of adequate safeguards to protect assets from fraud, waste and abuse.	4 Standard procedures dictate that a copy of the Inventory list of fixed assets be kept in each section of the IP. During the performance of a walk through it was discovered that there was no such listing in the main accounts office. There were no recent checks performed by the Ministry of Finance of the inventory. The fixed assets schedule is not being maintained by the IP.

						<b>It is recommended that checks be performed on an annual basis.</b>	
4.37	Are subsidiary records of fixed assets and inventory kept up to date and reconciled with control accounts? If so, please describe.		<b>X</b>		Subsidiary records of fixed assets and inventory are kept up to date and reconciled with control accounts.	<b>4</b> Please refer to remarks at 4.36 above.	
4.38	Are there periodic physical inventories of fixed assets and stocks? If so, please describe.		<b>X</b>		The IP performs periodic physical inventories of fixed assets and inventory.	<b>4</b> Please refer to remarks at 4.36	
4.39	Are fixed assets and inventory adequately covered by insurance policies?	<b>X</b>			The IP's fixed assets and inventory are adequately covered by insurance policies.	<b>2</b> Adequate coverage exist.	
<b>Subject area</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Low risk consideration</b>	<b>Risk points</b>	<b>Remarks/ comments</b>
<b>4h. Other offices or entities<sup>1</sup></b>							
4.40	Do any other offices/entities participate in implementation? If so, does the IP have policies and process to ensure appropriate oversight and monitoring of implementation?			<b>X</b>	If the IP has other offices/entities participating in implementation, there are adequate policies and procedures to ensure appropriate oversight and monitoring of implementation. The IP also has experience with this process.		

<sup>1</sup> This refers to sub-offices of the IPs or other parties

4.41	Does information flow among the different offices/ entities in an accurate and timely fashion? If so, please describe.			X	Information flows among the different offices/entities in an accurate and timely fashion.		
4.42	Does the IP have a process in place to evaluate the impact of any deficiencies or negative findings identified through reporting or discussions with the other offices/ entities? If so, describe the process.			X	The IP has a process in place to evaluate the impact of any deficiencies or negative findings identified through reporting or discussions with the other offices/entities. The IP also has experience with this process.		
4.43	Does the IP maintain contractual agreements with other offices/ entities?			X	The IP maintains current contractual agreements with other offices/entities		
4.44	Does the IP have a process to ensure expenditures of other offices/ entities are in compliance with the work plan and/ or contractual agreement noted in item 4.43?			X	The IP has a process to ensure expenditures of other offices/entities are in compliance with the work plan and/or contractual agreements.		
<b>4i. Other</b>							
4.45	Has the IP advised employees, beneficiaries and other recipients to whom they should report if they suspect fraud, waste or misuse of agency resources or property?	X			The IP has advised employees, beneficiaries and other recipients to whom they should report if they suspect fraud, waste or misuse of agency resources or property.	2	The report is made to the Permanent Secretary. If the matter is fraud, the Financial Intelligence Unit , the Ministry of Finance and the Royal Grenada Police Force may be contacted by the Permanent Secretary.
4.46	If yes to item 4.45, does the IP have a policy against retaliation for those who report fraud, waste or misuse of agency resources or property?		X		The IP has a policy against retaliation for those who report fraud, waste, or misuse of agency resources or property.	4	It should be noted that it is not a documented policy but confidentially is expected.

						<b>It is recommended that a policy be implemented to protect those who report fraud.</b>
<b>Total number of questions in subject area:</b>	<b>46</b>					
<b>Number of questions marked N/A</b>	<b>8</b>					
<b>Total number of applicable questions in subject area:</b>	<b>38</b>					
<b>Total number of risk points</b>	<b>79</b>					
<b>Implementing partner overall risk assessment</b>	<b>2</b>	Divide total number of risk points by total number of applicable questions in subject matter section. This amount should be rounded as detailed on page 1 of this checklist and assigned an overall risk rating.				

<b>Subject area</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Low risk consideration</b>	<b>Risk points</b>	<b>Remarks/ comments</b>
<b>5. Internal Audit</b>						
5.1 Is the internal auditor sufficiently independent to make critical assessments? To whom does the internal auditor report?			<b>X</b>	The internal auditor is sufficiently independent to make critical assessments.		
5.2 Does the IP have stated qualifications and experience requirements for internal audit department staff? If so, please describe.			<b>X</b>	The IP has stated qualifications and experience requirements for internal audit department staff.		
5.3 Will the activities financed by the agencies be included in the internal audit department's work programme?			<b>X</b>	The activities financed by agency funds will be included in the internal audit department's work programme.		
5.4 Does the internal auditor have policies and procedures to take action on findings identified?			<b>X</b>	The internal auditor has policies and procedures to take action on findings identified, if any.		



5.5	Does the IP appear to have strong internal controls to ensure funds are expended for their intended purpose, to discourage and prevent improper use of funds, and to safeguard assets? If so, please describe.	X			The IP appears to have strong internal controls to ensure funds are expended for the intended purpose, discourage and prevent improper use of funds, and safeguard assets.	2	The Audit department is linked to Smart Stream and can view the IP's transactions. Sufficient approval controls exist, and trackers have been installed in Ministry vehicles. There is however, the lack of monitoring of the inventory listing for fixed assets. Generally controls are adequate.
<b>Total number of questions in subject area:</b>		<b>5</b>					
<b>Number of questions marked N/A</b>		<b>4</b>					
<b>Total number of applicable questions in subject area:</b>		<b>1</b>					
<b>Total number of risk points</b>		<b>2</b>					
<b>Implementing partner overall risk assessment</b>		<b>2</b>	Divide total number of risk points by total number of applicable questions in subject matter section. This amount should be rounded as detailed on page 1 of this checklist and assigned an overall risk rating.				

Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments	
<b>6. Financial Audit</b>							
6.1	Are the IP's specific financial statements audited regularly by an independent auditor? If so, please describe the auditor.		X		The IP's specific financial statements are audited regularly by an independent auditor.	3	Auditing is to be performed by the Government Audit Department. It must be noted that the IP is a

						<p>government department and does not prepare specific financial statements. Its expenditure is a line item within the Annual Accounts of the Government of Grenada.</p> <p>Audits of the IP are not performed on a regular basis.</p> <p>In recent times the only department to be audited was the Fisheries department at the request of the IP.</p> <p><b>It is recommended that audits be conducted on an annual basis.</b></p> <p>The accounts of the Integrated Climate Change Adaptation Strategy (ICCAS) are for the first time being audited by Ernst &amp; Young.</p>
6.2	Are there any delays in audit of the IP? When are the audit reports issued?	X		There are no delays in audits of the IP's financial statements, and the financial statements are issued within a reasonable amount of time.	4	<p>See remark at 6.1 above.</p> <p>For the project there has been no established time line for completion.</p>

6.3	Is the audit of the IP's financial statements conducted according to the International Standards on Auditing?	X			The audit of the IP's financial statements is conducted according to the International Standards on Auditing.	2	The project audit will be conducted in accordance with international standards. Recent Auditor General Reports indicate the audit was conducted in accordance with International Organization of Supreme Audit Institutions (INTOSAI) standards.
6.4	Were there any major accountability issues brought out in audit reports of the IP over the past three years?		X		No major accountability issues were brought out in audit reports of the IP over the past three years.	2	
<b>Subject area</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Low risk consideration</b>	<b>Risk points</b>	<b>Remarks/ comments</b>
6.5	Will the auditor audit the accounts related to the work plan or other contractual agreements with the agency? If not, will a separate auditor be appointed to audit the work plan financial statements?	X			The auditor will audit the accounts related to the work plan or other contractual agreements with the agency.	2	For the current audit auditors were supplied with all documentation.
6.6	Have any recommendations made by auditors in the prior three audit reports and/or management letters not yet been implemented?			X	All recommendations made by the auditor in the prior three audit reports and/or management letters have been implemented.		This is the first year that the project is being audited.

6.7	Historically, has the IP prepared audit plans?		X		The IP has historically prepared audit plans.	1	Audit plans are prepared by the Director of Audit Office.
<b>Total number of questions in subject area:</b>		<b>7</b>					
<b>Number of questions marked N/A</b>		<b>1</b>					
<b>Total number of applicable questions in subject area:</b>		<b>6</b>					
<b>Total number of risk points</b>		<b>14</b>					
<b>Implementing partner overall risk assessment</b>		<b>2</b>	Divide total number of risk points by total number of applicable questions in subject matter section. This amount should be rounded as detailed on page 1 of this checklist and assigned an overall risk rating.				

Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments	
<b>7. Reporting and Monitoring</b>							
7.1	Are financial statements prepared specifically for the IP?		X		Financial statements are prepared specifically for the IP.	3	The IP is a government department thus its expenditure will be reflected as a line item within the Annual Public Accounts of Grenada.  For projects revenue and expenditure reports are prepared.

Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments
7.2 What is the frequency of preparation of the financial statements mentioned in 7.1? Are the reports prepared in a timely fashion so they are useful to management for decision-making?	X			Financial statements of the IP are prepared on a frequent basis so they are useful to management for decision making.	2	For government, see remark at 7.1 above.  For projects reports are updated on a daily basis.
7.3 Does the reporting system have the capacity to link the financial information with the work plan's physical progress? If separate systems are used to gather and compile physical data, what controls are in place to reduce the risk that the physical data may not synchronize with the financial data?	X			The reporting system has the capacity to link the financial information with the work plan's physical progress.	2	A review of a sample work plan, procurement plan, detailed and summary budget was done. The activities are based on the budget.
7.4 Does the IP have established financial management reporting responsibilities that specify what reports are to be prepared, what they are to contain and how they are to be used? If so, please describe.	X			The IP has established financial management reporting responsibilities that specify what reports are to be prepared, what they are to contain and how they are to be used.	2	Disbursement schedules are supplied to the donor; this is encompassed within the project document.
7.5 Does the IP have financial reports that compare actual expenditures with budgeted and programmed allocations?	X			The IP has financial reports that compare actual expenditures with budgeted and programmed allocations.	2	Reports are generated in Smart Stream on a monthly basis. A sample report was reviewed.
7.6 Are financial reports prepared directly by the automated accounting system or are they prepared using spreadsheets or some other means?	X			Financial reports are prepared directly by the automated accounting system or using spreadsheets (or some other means) that are properly reviewed and approved.	2	Reports are generated from Smart Stream by the Information Technology Department of the Ministry of Finance through the Standard Integrated Government

						Financial Integrated System (SIGFIS).
Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments
7.7 Does the IP appear to have been solvent (i.e. total assets greater than total liabilities) for the past three fiscal years? Are there any unexplained or ongoing inconsistencies? <i>Provide the amount of total assets and total liabilities for the current and prior fiscal year.</i>			X	The IP appears to have been solvent (i.e. total assets greater than total liabilities) for the past three fiscal years.		The IP is a government entity.
7.8 Do the IP's total revenues/contributions exceed its total expenditures over the past three fiscal years? Have the IP's contributions been contracting (i.e. dwindling) over the past three years? If so, why and how will the organization address this issue? <i>Provide the amount of total revenues/contributions and total expenditures for the current and prior fiscal year.</i>			X	The IP's total revenues/contributions exceed its total expenditures in the past three fiscal years, and its contributions have not been contracting in the past three fiscal years.		Please refer to remark at 7.7.
<b>Total number of questions in subject area:</b>	<b>8</b>					
<b>Number of questions marked N/A</b>	<b>2</b>					
<b>Total number of applicable questions in subject area:</b>	<b>6</b>					
<b>Total number of risk points</b>	<b>13</b>					
<b>Implementing partner overall risk assessment</b>	<b>2</b>	Divide total number of risk points by total number of applicable questions in subject matter section. This amount should be rounded as detailed on page 1 of this checklist and assigned an overall risk rating.				

Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments
<b>8. Information Systems</b>						
8.1 Is the financial management system computerized? If so, does the IP have policies and procedures to maintain this system?	X			The financial management system is computerized and properly maintained.	2	Smart Stream is in use and appears to be properly maintained. The system is backed up on a regular basis.
Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments
8.2 Does the IP have policies and procedures to restrict access to the computerized financial management system to appropriate personnel? If so, please describe them.	X			The IP has policies and procedures to restrict accesses to the computerized financial management system to the appropriate personnel.	2	A password system is used to restrict access. Each member of staff has a unique password for both their desktop and entry to Smart Stream.  Also, system controls are utilized such that an approver is only granted access to approve payment of a transaction but cannot enter transactions into the system. The Vote Clerk only has access to enter transactions into Smart Stream but cannot approve them.
8.3 Can the computerized financial management system produce the necessary financial reports?	X			The computerized financial management system can produce the necessary financial reports.	2	

8.4 Is IP staff adequately trained to maintain the computerized financial management system?	X		IP staff are adequately trained to maintain the computerized financial management system.	2	
8.5 Does the IP have appropriate safeguards to ensure the confidentiality, integrity and availability of the data? If so, please describe them.	X		The IP has appropriate safeguards to ensure the confidentiality, integrity and availability of the data.	3	<p>Data is protected through backups for Smart Stream. There is also a backup server off island.</p> <p>In recent times there were no signed confidentiality agreements between the IP and staff.</p> <p><b>It is recommended that such agreements be implemented and maintained on an annual basis.</b></p> <p>For the project units, each person's information is stored on their computer system.</p> <p>Information for the project transactions and other details are stored on the individual's hard drive. Also, the information stored on the Community Liaison Coordinator's computer is also shared on the network with the United Nations Development</p>



					Programme (UNDP) Barbados.
<b>Total number of questions in subject area:</b>	<b>5</b>				
<b>Number of questions marked N/A</b>	<b>0</b>				
<b>Total number of applicable questions in subject area:</b>	<b>5</b>				
<b>Total number of risk points</b>	<b>11</b>				
<b>Implementing partner overall risk assessment</b>	<b>2</b>	Divide total number of risk points by total number of applicable questions in subject matter section. This amount should be rounded as detailed on page 1 of this checklist and assigned an overall risk rating.			

Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments
<b>9. Procurement</b>						
<b>9a. General</b>						
9.1 Has the IP undertaken a procurement exercise with United Nations / World Bank / European Union resources in the past? If so, please describe it.		<b>X</b>		The IP has undertaken a procurement exercise with UN/WB/EU resources in the past.	<b>1</b>	For government there has been no such exercise.
9.2 Has the IP been audited by ECHO and selected as a Framework Partnership Agreement partner as per: <a href="http://ec.europa.eu/echo/files/partners/humanitarian_aid/fpa_partners.pdf">http://ec.europa.eu/echo/files/partners/humanitarian_aid/fpa_partners.pdf</a>		<b>X</b>		The IP has been audited by ECHO and selected as a Framework Partnership Agreement partner.	<b>1</b>	
9.3 Has the IP been audited by ECHO and selected as a Humanitarian Procurement Centre partner as per: <a href="http://ec.europa.eu/echo/files/partners/humanitarian_aid/HPC-register_en.pdf">http://ec.europa.eu/echo/files/partners/humanitarian_aid/HPC-register_en.pdf</a>		<b>X</b>		The IP has been audited by ECHO and selected as a Humanitarian Procurement Centre partner.	<b>1</b>	

<b>9b. Procurement principles, policies and procedures</b>							
9.4	Does the IP follow acceptable United Nations procurement principles? Do these principles promote broad participation from potential bidders? If so, please describe them.	X			The IP follows acceptable United Nations procurement principles.	2	Please refer to attached Public Procurement and Contract Act.
9.5	Does the IP have written procurement policies and procedures? <i>If yes, please provide a copy. If no, please attach an outline of the tender procedures specifying the different procurement procedures, related thresholds and methodology for the assessment of tenders.</i>	X			The IP has written procurement policies and procedures.	2	Please refer to attached copy of the Public Procurement and Contract Administration Act.
9.6	Does the IP have a specific code of procurement ethics? <i>Please attach copy of the code.</i>		X		The IP has a specific code of procurement ethics.	2	Please refer to remark at 9.5 above.
9.7	Does the IP have a specific anti-fraud and corruption policy? If so, please describe it.	X			The IP has a specific anti-fraud and corruption policy.	2	This is enshrined in the Integrity in Public Life Act No. 24 (2013) where senior government officers (such as Permanent Secretaries) are required to disclose their assets on an annual basis. The Prevention of

						Corruption Act No.15 (2007) also provides guidance .
Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/ comments
9.8 Do the IP's procurement rules and regulations contemplate a fair and impartial mechanism for revision of procurement protests?	X			The IP's procurement rules and regulations contemplate a fair and impartial mechanism for revision of procurement protests.	2	
9.9 Does the IP frequently override purchasing procedures without proper authorization?		X		The IP does not frequently override the purchasing procedures without proper authorization.	2	This is rarely done.
9.10 Are exceptions to procedures documented and sent to management for approval? Are the exceptions periodically analyzed and corrective actions taken?	X			Exceptions to procedures are documented and sent to management for approval. Exceptions are periodically analyzed and corrective actions are taken.	2	Exceptions are documented and sent for approval. For example, for procurement a minimum of three invoices must be obtained and the lowest selected. If the lowest cost invoice is not selected then approval must be sought from the Senior Administrative Officer and reasons as to

						why the lowest price was not selected should be supplied, such as, the quality of the supplied item may be poor.
<b>9c. Internal control system</b>						
9.11	Does the IP have a procurement committee for review and approval of contracts? If so, please specify composition of committee.	X			The IP has a procurement committee that reviews and approves contracts.	2 Based on the expenditure amount the IP has two Procurement Committees: 1. <u>Ministerial Tenders Board</u> This consists of the Permanent Secretary (Ministry of Works), the Chief Technical Officer, the Senior Administrative Officer, and two other experts as required. 2. <u>Public Tenders Board</u> This board consist of the

						Permanent Secretary Ministry of Finance (Chairman), Chief Technical Officer of the Ministry of Works (Secretary), the Attorney General, the Chief Executive Officer of the National Water and Sewage Company.
9.12 Does the IP identify the requested authorizations for each value level of purchases? At what value does the IP require written authorization of senior management for a purchase (value in US dollars)?	X			The IP has defined authorization guidance and policies and procedures to ensure they are properly applied.	2	Approval for both recurrent and capital expenditure is obtained from the annual national budget. Expenditure below EC\$10,000 (USD\$ 3,707 where the conversion rate is XCD\$1= USD\$0.37070) can be



				procurement principles and exclusion and ineligibility criteria.		
9.15	Does the IP obtain sufficient approvals before signing a contract, executing a purchase, or a payment? How many people give their approval before signing a contract or executing a purchase or a payment?	X		The IP obtains sufficient approvals before signing a contract executing a purchase or a payment.	2	For payments the minimum number of approvers is two, one from the IP and one from the Treasury department. For service contracts the minimum number of signatories is four, the contractor, the contractor's witness, the Permanent Secretary, and the Permanent Secretary's witness.
9.16	Does the IP rotate staff positions for internal control purposes? If yes, how often?		X	The IP has procedures to rotate staff positions for internal control purposes.	3	Staff assigned to programmes is rotated. This is often rare.
9.17	Does the IP have formal guidelines and procedures in place to assist in identifying, monitoring and dealing with potential conflicts of interest with potential suppliers/procurement agents? If so, how does the IP proceed in cases of conflict of interest?	X		The IP has formal guidelines and procedures in place to assist in identifying, monitoring and dealing	2	This is addressed within the Public Procurement

			<p>with potential conflict of interests with potential suppliers/ procurement agents.</p>	<p>and Contract Act.</p> <p>The IP takes a proactive approach as relatives of tenders are removed from the relevant tendering committee.</p> <p>The Permanent Secretary will not sit on a tendering committee for tenders of goods or services within his or her ministry as approval for purchases must be signed off by the Permanent Secretary. Instead, another Permanent Secretary from another Ministry will sit on the tendering committee instead.</p> <p>Also, where relationships</p>
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						with service providers exist this must be stated as specified with the Integrity in Public Life Act.
<b>9e. Procurement process</b>						
9.18	Does the IP have a well-defined process for sourcing/prequalification of suppliers? Do formal procurement methods include broadly broadcasting procurement opportunities? <i>Please attach methodology for the assessment of suppliers.</i>	<b>X</b>			The IP has a well-defined process for sourcing/prequalifying suppliers.	<b>2</b> Please refer to attached copy of the attached Public Procurement and Contract Act.
9.19	Does the IP undertake regular market surveys? If so, describe the process.			<b>X</b>	The IP undertakes regular market surveys.	No surveys are performed by the IP.
<b>Subject area</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Low risk consideration</b>	<b>Risk points</b> <b>Remarks/ comments</b>
9.20	Does the IP have a database of active suppliers? If so, please describe the process for maintaining this database.		<b>X</b>		The IP has a database of active suppliers.	<b>3</b> The IP does not maintain such databases as there are few suppliers in Grenada.
9.21	Does the IP keep track of past performance of suppliers? If so, describe the process.	<b>X</b>			The IP keeps track of past performance of suppliers.	<b>3</b> The IP does not have a formal process. The main determinant of retaining the

						service of a supplier is past experiences.
9.22	Does the IP regularly check 'market' prices for goods and services purchased? If so, describe the frequency and process.			X	The IP regularly checks 'market' prices of goods and services purchased.	See remark at 9.19
9.23	Does the IP conduct public bid opening for formal procurement methods (invitation to bid and request for proposal)? What is the composition of public bid opening committees?	X			The IP conducts public bid opening for formal procurement methods.	2 Please refer to remarks at 9.24 and 9.11
9.24	Does the IP have a well-defined process in place to ensure a secure and transparent bid and evaluation process? If so, describe the process.	X			The IP has a well-defined process in place to ensure a secure and transparent bid and evaluation process.	2 Please refer to Pages 320-342 of the attached Public Procurement and Contract Act.
9.25	Does the IP establish long-term agreements with suppliers based on a tender process?			X	The IP establishes long-term agreements with suppliers based on a tender process.	The IP does not enter into such arrangements.
9.26	Are long-term agreements reviewed/ retendered? If so, how frequently? Please describe.			X	Long-term agreements are reviewed and retendered.	See remark at 9.25 above.
<b>9f. Awarding of contracts</b>						
9.27	When a formal invitation to bid has been issued, does the IP award the procurement contract to the qualified bidder whose bid substantially conforms to requirements set forth in the solicitation documentation and offers the lowest cost?	X			The IP awards procurement contracts to qualified bidders whose bids substantially conform to requirements set forth in the	3 There are instances where other factors such as: delivery within budget,

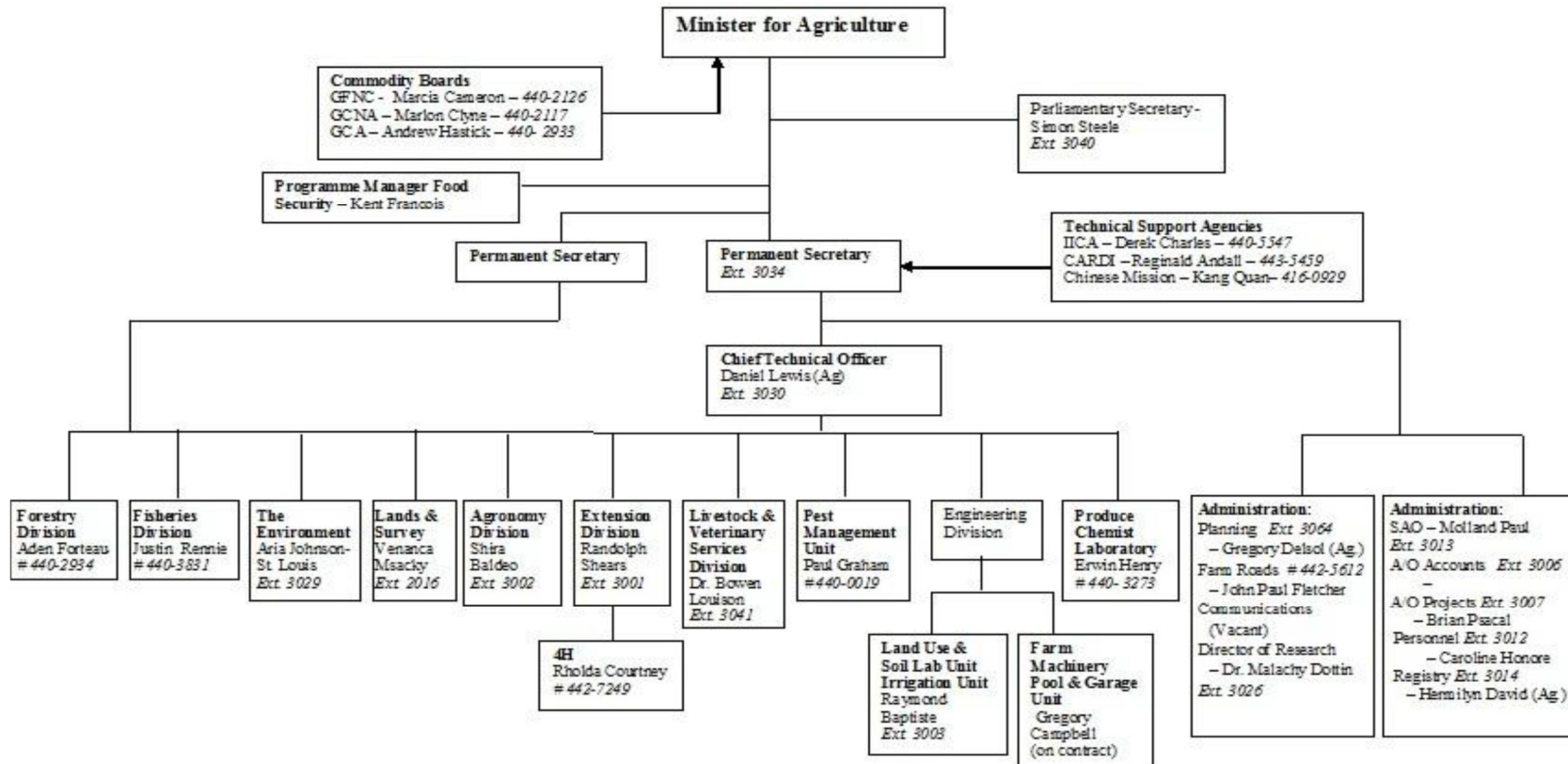


9.31	Can the procurement system produce the necessary reports?	X			The procurement system is capable of preparing the necessary reports.	2	The manual system can produce the required reports. For example, for projects utilizing the Funding Authorization and Certificate of Expenditure (FACE) form, this is done on a quarterly basis.
<b><i>9i. Verification of procurement capacity</i></b>							
9.32	Is the IP's procurement unit properly resourced in terms of number of staff and their qualifications?	X			The IP's procurement unit is properly resourced in terms of number of staff and their qualifications.	2	No formal procurement unit exists but staff is aware of their duties and approval limits.
9.33	Is the structure of the IP's procurement unit clear, with defined reporting lines that foster efficiency and accountability?	X			The structure of the IP's procurement unit is clear, with defined reporting lines that foster efficiency and accountability.	2	See 9.32 above.
9.34	Does the IP have a procurement strategy and appropriate tools and mechanisms to conduct procurement activities? If so, please describe.	X			The IP has a procurement strategy and appropriate tools and mechanisms to conduct procurement activities.	2	The IP does not perform procurement on a large scale. Generally, the

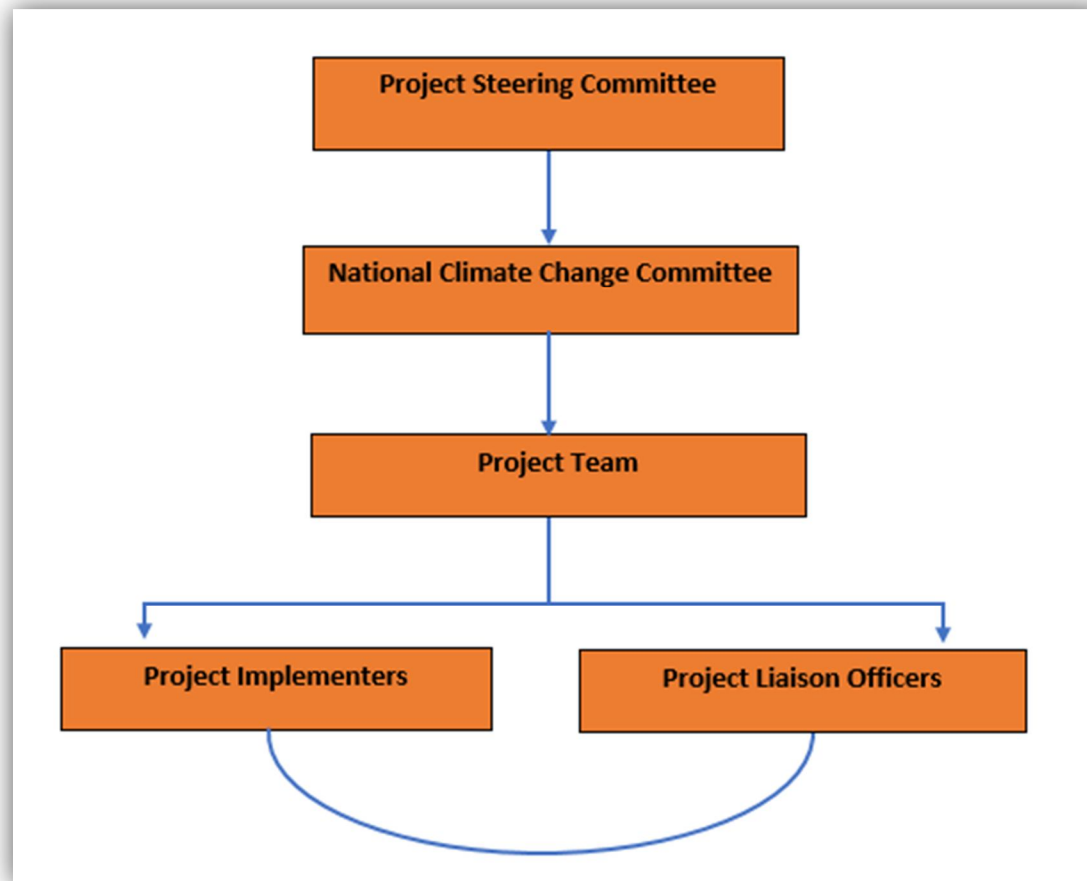
						lowest cost is selected from a minimum of three supplier quotations. The quality of the item procured is also considered. Written justification as to why goods or service should be obtained from one supplier rather than the others is provided to the Senior Administrative Officer for approval.
<b>Subject area</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Low risk consideration</b>	<b>Risk points</b>	<b>Remarks/ comments</b>
9.35 Does the IP verify that established procedures for handling complaints are implemented? If so, please describe.	<b>X</b>			The IP verifies that established procedures for handling complaints are implemented.	<b>1</b>	Guidance for handling such issues is addressed in Part VII pages 342 through to 347 of the attached Public Procurement

						and Contract Act.
9.36 Does the IP manage the procurement cycle following the established policies and procedures? If so, how do they verify this?	X			The IP manages the procurement cycle per established policies and procedures.	2	The various levels of approval within the IP assist in maintaining internal controls surrounding the procurement cycle.
9.37 Does the IP consistently apply transparency and integrity in the procurement process?	X			The IP consistently applies transparency and integrity in the procurement process.	2	
<b>Total number of questions in subject area:</b>	<b>37</b>					
<b>Number of questions marked N/A</b>	<b>4</b>					
<b>Total number of applicable questions in subject area:</b>	<b>33</b>					
<b>Total number of risk points</b>	<b>67</b>					
<b>Implementing partner overall risk assessment</b>	<b>2</b>	Divide total number of risk points by total number of applicable questions in subject matter section. This amount should be rounded as detailed on page 1 of this checklist and assigned an overall risk rating.				

## ANNEX 2: Organizational Structure of Ministry



### ANNEX 3: Organizational Structure of Project Unit





## ANNEX 4: Job Description of Project Liaison Coordinator

### VOLUNTEER SERVICE AGREEMENT

#### APPENDIX I

##### Terms of Reference

### 1 Organizational Context

**UNDP** partners with people at all levels of society to help build nations that can withstand crisis, and drive and sustain the kind of growth that improves the quality of life for everyone. With offices in more than 177 countries and territories, we offer global perspective and local insight to help empower lives and build resilient nations.

For over three decades, UNDP has utilized its OECS Regional Country Office in Barbados to partner with the Government of Grenada (GoG), civil society and the people of Grenada to help them find their own solutions to global and national development challenges. UNDP works in the areas of Poverty Reduction, Democratic Governance, Energy and Environment, Crisis Prevention and Recovery, HIV and Development.

To know more about UNDP Barbados and OECS, please visit [www.bb.undp.org](http://www.bb.undp.org)

The Programme on Integrated Climate Change Adaptation Strategies (ICCAS) is being co-implemented by UNDP and GIZ. The overarching objective of the ICCAS Programme is to increase resilience of vulnerable communities and ecosystems to climate change risks in Grenada through integrated adaptation approaches. The Programme targets both government, including its sectoral agencies, and communities already being impacted by climate change. These sectors and communities suffer from droughts and other extreme events associated with climate change. Communities will also benefit from improved services associated with stronger national institutions and service providers.

UNDP will realize the operationalization of the Community Climate Change Adaptation Fund in order to strengthen adaptive capacities through community-based initiatives; and share knowledge and experiences from the Programme to improve understanding and awareness of Climate Change risks and adaptation measures

UNDP-ICCAS recruits the services of Dawne Mark as Community Liaison Coordinator for community based adaptation projects under the Climate Change Adaptation Fund.

## 2 Job Summary

### Summary of key functions:

2.01 The position is based in the UNDP-ICCAS office at the Ministry of Agriculture in Grenada and will be under the guidance and supervision of the UNDP-ICCAS Project Team, specifically the Project Coordinator. The ICCAS Community Liaison Coordinator (CLO) will be responsible for delivering key communications and administrative tasks including updating the ICCAS website; knowledge management and transfer of lessons learned from the Climate Change Adaptation Fund; assisting with planning and coordinating meetings, workshops and outreach events and assisting with all administrative matters including; procurement of goods and services; documenting and filling of ICCAS documents and providing support for all sub-projects and personnel (CLO).

## 3 Duties

1. Provide general content updates to the ICCAS Website as requested
2. In collaboration with the Project Team and sub projects produce articles, stories, e-newsletters and other multimedia content for the website
3. Continuously gather information (lessons learned, successes, achievements etc.) from the community climate change fund projects (sub projects) and awareness program for publishing on the website.
4. Liaise with web developers, on behalf of the Project Team, to address any minor adjustments related to the general functionality and updates of the website.
5. Manage and file communications between the ICCAS and other external entities (stakeholders, community liaisons, ministry etc.)
6. Prepare procurement documents as requested by Project Team (canvas forms and quotations)
7. Liaise with key communities' projects, UNDP liaison Officers, MOA and various suppliers throughout Grenada, Carriacou and PM in the collection and distribution of information and supplies for community projects.
8. Collaborate with community liaisons Officers to maintain and update internal records for Community Adaptation Projects.
9. Act as Office Assistance when staff is not at the office including answering the phone and taking messages
10. Ensure adequate stocks of necessary office supplies and co-ordinate repair / maintenance of equipment
11. Liaise with existing and prospective proposal submitters to verify all necessary requirements.
12. Catalog community meeting participant list and liaise with participants to verify and/or obtain relevant contact information.

## **4 Qualifications**

4.01 The CLO Coordinator is expected to have at least an Associate's Degree in Management, Environmental Science, Project Management, Communications, Sociology or Economics or in a related field with at least 2 years' relevant project experience working with rural communities and in the application of participatory methods. Good written and oral communication skills and proficient computer skills are required. Excellent administrative and management competence would be an asset.

## **5. Experience and Competencies**

### **Motivation and commitment**

- Ability to take initiative and work with minimum supervision as well as share knowledge and experience.
- Ability to oversee functional activities. Demonstrate commitment to UN System, Government, multilateral and bilateral donors.
- Displays sensitivity to cultural, gender, religion, race and other backgrounds.
- Display a high level of Flexibility and perseverance.

### **Leadership and Self-Management**

- Focuses on results
- Responds positively to feedback.
- Consistently approaches work with energy and a positive, constructive attitude.
- Remains calm, in control and in good humor, even when under pressure.

### **Self-development**

- Has a history of continuing personal learning and development in one or more practice areas, acts on learning plan and applies newly acquired skills.

## ANNEX 5: CV of Project Liaison Coordinator

**DAWNE INGRID MARK** Tempe 473-456-4358 (M) St. George dawnemark@gmail.com

### Career Statement

To obtain a position which utilizes my creative, logistical, and interpersonal experience, as well as my business administration background to support the growth and development of human resources and projects

### Education

Midwestern State University – AACSB Accreditation, Wichita Falls, Texas

**Master of Business Administration, General Concentration August 2009**

Midwestern State University – AACSB Accreditation, Wichita Falls, Texas

**Bachelors of Business Administration in Marketing May 2005**

**Honours:** Deans Honour Role Spring 2003 & 2004

Provost Honour Role Spring 2005

The CaPP Institute – Coaching and Positive Psychology Georgia, United States

**Certificate in Personal Development Coaching, Coach Training Intensive 2015**

**Certified Personal and Executive Coach January 2016 to present**

### Core Professional Skills

Personal Development Coaching · Mediation, Conflict Resolution and Negotiation · Marketing Management · Organization and Time Management · Supervision

### Experience and Achievements

United Nations Development Programme (UNDP) April 2015 to present

Integrated Climate Change Adaptation Strategies (ICCAS) Project

**Community Liaison Coordinator, Ministry of Agriculture**

**Delegation Member for CoP 21 (Paris) at Le Bourget, France, November to December 2015**

- Prepared approximately four hundred (400) procurement documents for as requested by project team (canvass forms and quotations) including securing authorization from UNDP Barbados and obtaining the required signatures for processing payments
- Managed the financial records including entered payments into Excel Cash Book and filed the corresponding hard copies
- Supported Community Liaison Officers (CLOs) to become more organized, manage time and communicate effectively with stakeholders (project leads, team members etc.)
- Collaborated with CLOs to maintain and update internal records for Community Adaptation Projects for the twenty-nine approved projects of the Community Adaptation Fund
- With the support of the Technical Officer, conducted the 2015 performance appraisals for the five Community Liaison Officers and the Driver/Office Assistance
- Managed the logistics for over five (5) meetings and trainings which included participants from ICCAS team, Ministry of Agriculture and the Sister Islands Carriacou and Petite Martinique
- Communicated via telephone, Skype and email with officials of UNDP, GIZ, ICCAS, Ministry of Agriculture, Community Adaptation Project Leads and other team members as well engineers and contractors to support project implementation
- Updated ICCAS Facebook page with project activities and promoted the Facebook through personal page as well as edited and submitted press releases to the media

Sandals La Source Grenada Oct. 2014 to Dec. 2014

**Junior Sales Executive Hospitality Trainee – Hospitality Training Program (HTP)**

**Awarded Ms. Hospitality**

**DAWNE INGRID MARK** 473-456-4358 dawne.mark@gmail.com

- Prepared banquet event orders for approximately twenty (20) private candlelight dinners and honeymoon set-ups during the training period
- Supported the sales team through the preparation of purchase and cheque requisitions for floral arrangements and special requests
- Collaborated with the team to lay the groundwork for Mega Familiarisation (Fam) and other resort tours which aided in the promotion of the resort and Grenada
- Communicated via telephone and face-to-face with travel agents, other guests and managers
- Supported other revenue generation through the bookings of day and evening passes to the local community

Caribbean HIV and AIDS Alliance, Grand Anse, St. George Jul. 2011 to Oct 2014

***Eastern Caribbean Community Action Project II***

***Programme Officer, Grenada***

- Started and managed the programmatic, financial and administrative duties in the Grenada Country Office based on donor specifications (USAID)
- Developed Grenada Country Office work plans in collaboration with the senior team to implement programmes
- Supervised five community animators (outreach officers) within the field, through the monitoring of their behaviour change messages to target populations
- Conducted animators' quarterly appraisals in accordance with policies and procedures
- Entered data brought in by the community animators on a weekly basis for evidence based decisions in programme management
- Collaborated with the Ministry of Health and Civil Society Organisations (CSOs) to implement HIV prevention programmes
- Supported CSOs in the development of proposals for onward granting and in the implementation of projects

The Execu|Search Group (Staffing Agency), New York, NY 2009 - 2010

Alliance for Lupus Research (ALR), New York, NY Mar. 2010 - Jun. 2010

***Development Assistant, Walk Department*** (Temporary Assignment)

- Used CONVIO software to register walk participants and generate reports
- Assisted Communication Specialist to compile media listings through Melt Water Press Database
- Edited, sorted, and filtered large data sets in Microsoft Excel and mail merged with MS Word to coordinate mass mailings to increase awareness of walk-a-thons
- Prepared shipping online documents and used metered mail machine to ship fundraising materials to different cities within the United States
- Communicated via telephone with vendors for price quotes of office and events' supplies

Katten Muchin Rosenman LLP, New York, NY Nov. 2009- Mar. 2010

***Library Assistant*** (Temporary Assignment)

- Assisted attorneys with research by using the Electronic Online System (EOS) Web Library Catalogue to find books and articles
- Generated company reports through Bloomberg Law Professional Terminal
- Updated and routed research materials to law personnel throughout the firm
- Managed daily library operations in the absence of supervisor

**DAWNE INGRID MARK** Tempe 473-456-4358 (M) St. George dawnemark@gmail.com

Midwestern State University, Wichita Falls, TX Aug. 2008 - May 2009

**Graduate Assistant**, Dean's Office at Dillard College of Business Administration

- Front office management included managing a flow of 10 – 20 persons daily
- Answered and screened telephone calls using multi-line system.
- Filed academic and financial records, placed mails in mailboxes.
- Assisted marketing professor to administer and grade examinations and projects

Midwestern State University, Wichita Falls, TX

**Student Assistant**, Disability Support Services Feb. 2008 - Dec.2008

- Updated database with students' medical and educational information and typed accommodation letters
- Reassured anxious students about course selections and explained registration processes
- Utilized Microsoft Outlook to schedule calendar appointments for exams and meetings
- Assisted the administrative assistant with the organization of a discrimination conference

Grenada Union of Teachers Credit Union, St. George's, Grenada

**Marketing Officer** Dec.2006 -Dec.2007

- Increased membership by over 1000 members. Coordinated with marketing committee (volunteers) to prepare and execute marketing plan
- Created print advertisements, brochures, quarterly newsletters, and programs to promote events, by using Microsoft Publisher and Adobe Photoshop.
- Negotiated for special spots and costs with media representatives
- Coordinated sponsorship of the Rotaract Club Spelling Bee Competition that resulted in increased advertising and community awareness

U-Haul International, St. Albans, NY Oct. 2005 - Jun. 2006

**Customer Service Representative**

- Maintained a courteous and professional atmosphere to ensure customer satisfaction
- Built customer retention through rentals and returns
- Assisted with the management of store operations such as cash handling and accurate inventory

The National Insurance Scheme Oct. 2000 - Jul. 2002

**Benefits Officer**

- Processed and computed claims such as sickness and employment injury
- Developed effective communication skills, assisted approximately 10 - 20 customers per day with queries

### **Project Management:**

**Grenada National Organisation for Women (GNOW)**, collaborated with GNOW to successfully implement an HIV Peer Educators project with over 20 unemployed women in Simon, St. Andrew

**Voluntary Counselling and Testing (VCT) provider training**, managed the logistics to facilitate a one-week long workshop to CHART certified 10 VCT providers

### **Additional Skills**

Basic knowledge of Spanish and American Sign Language

Experience using Microsoft Office: Word, Excel, Publisher, PowerPoint, Outlook

Practical knowledge of Adobe Photoshop, Internet Research, Hypertext Markup Language (HTML) Coding, EOS Web Library Catalogue, and CONVIO database maintenance

CHART certified VCT provider 2012

**DAWNE INGRID MARK** 473-456-4358 dawne.mark@gmail.com

Monitoring and Evaluation, Certified Personal Development Coaching (CaPP Institute 2015)

**References are available upon request**

## ANNEX 6: Job Description of Administrative Officer – Capital Projects

### GOVERNMENT OF GRENADA

#### MINISTRY OF AGRICULTURE, LANDS, FORESTRY, FISHERIES AND THE ENVIRONMENT

#### JOB DESCRIPTION – SENIOR ACCOUNTS CLERK (ADMINISTRATIVE OFFICER FINANCE - PROJECTS)

MARCH 31, 2016

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**MINISTRY:** Ministry of Agriculture

**SECTION:** Finance

---

**TITLE OF POST:** Senior Accounts Clerk (Administrative Officer wrf Projects)

**LOCATION:** Ministerial Complex

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**GRADE:** H

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**POST OBJECTIVE:** To administrate the implementation of capital projects and ascertain that all transactions are in accordance with the Public Finance Management Act, the Procurement Act and all other related Statutory Rules and Regulations.

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**IMMEDIATE SUPERVISOR:** Permanent Secretary

---

**SUBORDINATE STAFF:** CII Clerk

---

**KEY TASKS: (In order of importance)**

1. To contribute to the preparation of the Ministry's Budget, especially the Budget for Capital Expenditures and submit same to inform the finalization of the annual Estimates of Revenue and Expenditures for tabling in Parliament.
2. To coordinate and prepare the quarterly financial statements of the Ministry in collaboration with the Administrative Officer (Recurrent Expenditures)
3. To prepare virement warrants to facilitate transfer of funds, journals and cashbooks for projects
4. To follow up on status of payments with Treasury Cash Office
5. To check and approve payment vouchers via Smart Stream
6. Liaise with Budget Division of the Ministry of Finance re budgetary allocation and cash flow



7. Preparation of performance appraisal reports for subordinate staff
8. Distribute the general receipt books, gas requisition books, invoice books and cash books
9. Any other related duties that may be assigned from time to time.

**DELIVERABLES:**

- Up to date cashbook for all projects
  - Daily approved invoices and purchase orders
  - Validated Vote Books/Ledgers
  - Up to date fort-nightly and monthly salary cards as necessary
  - Up to date Inventory Forms for capital items
- 

**SPECIAL FEATURE OF THE JOB:**

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- Involves a fair amount of networking with project staff and Ministry staff in various divisions
  - Knowledge and understanding of government accounting system
- 

**QUALIFICATION REQUIRED FOR APPOINTMENT:** Associate Degree in Accounting or Public Administration or any related field from a recognized institution.

---

**COMPETENCE/SKILLS REQUIRED FOR APPOINTMENT:**

- Working experience of at least 5 years
  - Supervisory management skills
  - Time management skills
  - Project management skills
- 

**PERSONAL QUALITIES FOR APPOINTMENT:**

- Effective communication and networking skills
- Enthusiastic approach to work
- Ability to work in a team and as an individual showing appropriate initiative
- Ability to handle a large and varied work load
- Ability to organize and prioritize a wide range of tasks

---

**EXPERIENCE REQUIRED FOR APPOINTMENT:**

Experience in Financial Administration would be an asset

---

**FUTURE TRAINING:** To be determined in consultation with Officer

---

**FUTURE CAREER OR PROMOTION PROGRESS:** Senior Administrative Officer

---

**PERMANENT SECRETARY, MINISTRY OF AGRICULTURE, LANDS AND THE ENVIRONMENT**

**SIGNATURE:** .....

*M. J. J. J.*  
.....  
*March 31, 2016*  
.....

**DATE:** .....



## ANNEX 7: CV of Administrative Officer – Capital Projects

**KIM K JULIEN BSc**  
Creighton, St. George's  
Grenada

Tele: (473) 449-9713/415-8667/440-1727(H)

[kimwjul36@gmail.com](mailto:kimwjul36@gmail.com)

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### PROFESSIONAL EXPERIENCE

#### **Administrative Officer-Capital Projects, 2014-Present**

*Government of Grenada:* Ministry of Agriculture, St. George Grenada

- Approve all payments for all Capital Projects under the Ministry of Agriculture.
- Supervise junior staff under the Accounts/Finance Department in the Ministry.
- Responsible for the distribution of cash book, cash receipt books, gas requisition books and other general invoice books.
- Update cash books for all Grant Funded Capital Projects including *UNDP Climate Change Adaptation, UNEP Coastal Ecosystem, GEF Ridge to Reef & UNDP Land Degradation Neutrality Project etc.*
- Prepare periodic reports as needed (weekly, monthly, quarterly).
- Maintain all other records for Capital Projects.
- Initiate communication and provide feedback to key stakeholders using memoranda, email and the telephone.
- Provide customer service to internal and external clients.

#### **Senior Accounts Clerk 1, 2013-2014**

*Government of Grenada:* Ministry of Finance-Accountant General Department, St. George Grenada

- Conduct internal review of different Ministries within the Public Service.
- Conduct board of surveys.
- Recovery of bad debts from customers.
- Initiate communication and provide feedback to key stakeholders using email and the telephone.
- Provide customer service to internal and external clients.

### **Administrative Officer, 2009-2013**

*Government of Grenada: Ministry of Health- General Hospital, St. George, Grenada*

- Supervise staff at the Cash Office and Payables Department.
- Supervise the staff of the Procurement and Stores Department.
- Approve daily cash collections and monitor revenue collections.
- Approve and sign off on all invoices and purchase orders.
- Prepare periodic reports as needed (weekly, monthly, quarterly).
- Initiate communication and provide feedback to key stakeholders using memoranda, email and the telephone.
- Provide customer service to internal and external clients.

### **Votes (Finance) Clerk, 2000-2008**

*Government of Grenada: Ministry of Health, St. George, Grenada*

- Data entry and processing of invoices & purchase orders.
- Preparation of wages and salaries.
- Distribution of stores.
- Customer service duties.

### **Grenada Electricity Company Ltd, 1998-2000**

- Cashier.
- Accounts/ payables clerk.

---

## **EDUCATION AND CERTIFICATIONS**

Ashworth College

**Masters in Business Administration- Candidate**

University of the West Indies - Open Campus, Grenada, 2003-2006

**Bachelor of Science, Management Studies (Second Class Hon.)**

Penn Foster International, 2012-2014

**Career Diploma - Administrative Assistant**

Private Studies, 1998

**Caribbean Examination Council - O'Level subject - Office Procedures**

T.A.Marryshow Community College- 1995-1997

**Associate Degree in Social Science**

**Successfully completed two A 'Level subjects- Management Studies & History and two Ordinary Level subjects- Economics and General Paper.**

St. Joseph's Convent, St. George's, 1990-1995

**Successfully completed six (6) O'Level subject (Caribbean Examination Council)**

---

**COURSES ATTENDED**

- Corporate/ Strategic Planning Workshop November 5 & 7, 2014 (Department of Public Administration)
- PAHO- Introductory workshop on Health Disaster Management, November 8-10, 2010
- Computer Skills for Young Adults July 15<sup>th</sup> 1996 - September 6<sup>th</sup> 1996 (Computer Entrepreneurs Ltd)

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**PERSONAL ATTRIBUTES AND SPECIAL SKILLS**

- Proficient in Microsoft Office Suite: *Excel. Word. PowerPoint. Publisher. Access.*
  - Knowledge of Smart Stream software.
  - Excellent communication, interpersonal, strategic planning, customer service and organization skills.
-

## AWARDS AND PROFESSIONAL ASSOCIATIONS

- **Essay Competition-**(1993-1994) Royal Commonwealth Society
  - A member of the 'Implementation Committee for the Zero Hunger Challenge Initiative'
  - A member of the Ministry of Agriculture Implementation, Monitoring and Evaluation committee
  - A member of the Methodist Church of Grenada
  - A member of the Bethel Methodist Adult Fellowship
  - Certificate Fashion Design- beginners class and advance class
- 

## INTERESTS

Small business initiatives, law and politics, reading, jigsaw puzzles, fashion design, craft making, home decorating, outdoor activities, plant and animal care and listening to music.

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## REFERENCES

**Mr. Richard W. Duncan**  
**Managing Director**  
**Grenada Co-operative Bank Ltd**  
**473-440-2111 Ext. 6222**  
[rwduncan@grenadaco-opbank.com](mailto:rwduncan@grenadaco-opbank.com)

**Mr. Benedict Peters**  
**NADMA Coordinator-Assigned to the Ministry of Agriculture**  
**Botanical Gardens, Tanteen, St. George**  
**473- 440-2708 / 405-5046**  
[bouncing98@hotmail.com](mailto:bouncing98@hotmail.com)

## ANNEX 8: Job Description of Administrative Officer – Finance

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GOVERNMENT OF GRENADA

MINISTRY OF AGRICULTURE, LANDS, FORESTRY, FISHERIES AND THE ENVIRONMENT

JOB DESCRIPTION – ADMINISTRATIVE OFFICER (FINANCE)

MARCH 31, 2016

---

**MINISTRY:** Ministry of Agriculture

**SECTION:** Finance

---

**TITLE OF POST:** Administrative Officer

**LOCATION:** Ministerial Complex

---

**GRADE:** H

---

**POST OBJECTIVE:** To supervise the work of the staff attached to the Finance Section of the Ministry and ascertain that all transactions are in accordance with the Public Finance Management Act, the Procurement Act and all other related Statutory Rule and Regulations.

---

**IMMEDIATE SUPERVISOR:** Permanent Secretary

---

**SUBORDINATE STAFF:** Executive Officer, CII Clerk, CIII Clerk and Administrative Officer (Projects).

---

**KEY TASKS: (In order of importance)**

1. To contribute to the preparation of the Ministry's Budget, especially the Budget for Recurrent Expenditures and submit same to inform the finalization of the annual Estimates of Revenue and Expenditure for tabling in Parliament.
2. To coordinate and prepare the quarterly financial statements of the Ministry
3. To prepare warrants and journals
4. To follow up on status of payments with Treasury Cash Office
5. To check and approve payment vouchers via Smart Stream
6. To check and sign off on payroll changes
7. To place orders for stores
8. Prepare and monitor insurance schedules of capital items

- 
9. Liaise with Budget Division of the Ministry of Finance re budgetary allocation and cash flow
  10. Liaise with Accountant-General Division and payroll section
  11. Preparation of performance appraisal reports for subordinate staff
  12. Any other related duties that may be assigned from time to time.

**DELIVERABLES:**

- Up to date inventory of Stores and Supplies
- Validated Vote Books/Ledgers
- Up to date fortnightly and monthly salary cards
- Up to date Inventory Forms for capital items

---

**SPECIAL FEATURE OF THE JOB:**

- Involves a fair amount of supervision
- Knowledge and understanding of government accounting system

---

**QUALIFICATION REQUIRED FOR APPOINTMENT:** Associate Degree in Accounting or Public Administration or any related field from a recognized institution.

---

**COMPETENCE/SKILLS REQUIRED FOR APPOINTMENT:**

- Working experience of at least 5 years
- Supervisory management skills
- Time management skills

---

**PERSONAL QUALITIES FOR APPOINTMENT:**

- Effective communication and networking skills
  - Enthusiastic approach to work
  - Ability to work in a team and as an individual showing appropriate initiative
  - Ability to handle a large and varied work load
  - Ability to organize and prioritize a wide range of tasks
-



---

**EXPERIENCE REQUIRED FOR APPOINTMENT:**

Experience in Financial Administration would be an asset

---

**FUTURE TRAINING:** To be determined in consultation with Officer

---

**FUTURE CAREER OR PROMOTION PROGRESS:** Senior Administrative Officer

---

**PERMANENT SECRETARY, MINISTRY OF AGRICULTURE, LANDS AND THE ENVIRONMENT**

**SIGNATURE:** .....

**DATE:** .....

7/19/16  
31 March 2016



## ANNEX 9: CV of Administrative Officer – Finance

### CURRICULUM VITAE (2016)

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Name : Brenda E. Griffith  
Address : Frequente, St. George's, Grenada  
Sex : Female  
Nationality : Grenadian National  
Marital status : Married

#### Educational Qualifications

**Primary Education** St. George's Anglican Junior/Senior School

**Secondary Education** Anglican High School; Qualification: GCE four (4) O' Levels

**Tertiary Education** UWI/Marry show House Open Campus - Certificate in Public Administration

#### Work Experience

- **C II Clerk**- Ministry of Communication and Works
- **C I Clerk Finance Officer** - General Post Office
- **C I Clerk** -Ministry of Labour, Social Services, Community Development and Co-operative
- **C I Clerk** – Ministry of Youth, Sports and Community Development
- **Executive Officer in Charge of Finance Section** – Ministry of Tourism and Civil Aviation
- **Administrative Officer in Charge of Finance Section**
  - Ministry of Legal Affairs
  - Ministry of Works
  - Ministry of Education
  - Prime Minister's Office
  - Ministry of Health – General Hospital
  - Ministry of Agriculture

#### Training :

- SIGFIS (Financial Management System)
- Smart Stream (Financial Management System)
- Project Preparation – St. Lucia
- Budgeting – CDB Sponsored training
- Project Cycle – CDB Sponsored training
- Advance Negotiation course – UNDP Virtual Development Academy (2008)

### **ANNEX 10: List of Persons Interviewed**

Mr. Martin Barriteau, Project Coordinator, Integrated Climate Change Adaptation Strategy, Ministry of Agriculture

Mrs. Merina Eduards- Jessamy, Permanent Secretary, Agriculture, Lands and the Environment

Ms. Kim Juilen, Administrative Officer – Capital Projects, Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment

Ms. Brenda Griffith, Administrative Officer – Finance Section, Ministry of Agriculture, Forestry, Fisheries and the Environment

## **ANNEX 11: List of Documents Reviewed**

1. Climate Change Adaptation Fund, Operational Guidelines and Structure
2. Government of Grenada Corporate Plan, Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment, February 5, 2015
3. Grenada Macro Assessment, Business Advisory Services Inc
4. Grenada Chart of Accounts Manual
5. Integrity in Public life Act 2013, <http://laws.gov.gd/>
6. Public Finance Management Act; <http://laws.gov.gd/>
7. Vote 64 – Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment 2016, (Excel projections for 2015 to 2018)
8. A sample of vote book transactions
9. A sample of purchase of orders, quotations, invoices and payment approval memorandum
10. A sample of the inventory list