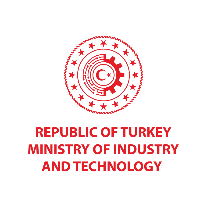
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**SOCIAL ENTREPRENEURSHIP, EMPOWERMENT AND COHESION IN REFUGEE AND HOST COMMUNITIES IN TURKEY PROJECT (SEECO)**

**PROJECT OPERATIONS MANUAL (POM)**

ADOPTED BY MoIT on April 23, 2021

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# ABBREVIATIONS

BSC Beneficiary Selection Committee

CE Citizen Engagement

CIP Community Implementing Partner

CQS Selection Based on the Consultants’ Qualifications

DFID Department for International Development, United Kingdom

E&S Environmental and Social

EA Environmental Assessment

ECDF European Commission Development Fund

ED Executive Director

EIA Environmental Impact Assessment

ESF Environmental and Social Framework

ESMF Environmental Social Management Framework

ESMP Environmental and Social Management Plan

ESS Environmental and Social Standards

ESSN Emergency Social Safety Net

EU European Union

EUR Euro

FGD Focus group discussions

FM Financial management

FRiT EU Facility for Refugees in Turkey

GGF Good Governance Framework

GRM Grievance Redress Mechanism

GT Government of Turkey

IAS International Accounting Standards

IDA International Development Association

LCS Least-Cost Selection

LMP Labor Management Procedure

M&E Monitoring and Evaluation

MIS Management Information System

MoEU Ministry of Environment and Urbanization

MoIT Ministry of Industry and Technology

MoU Memorandum of Understanding

NGO Non-governmental Organization

O&M Operation and Maintenance

PAD Project Appraisal Document

PDO Project Development Objective

PIF Project Information File

PIU Project Implementation Unit

POM Project Operations Manual

PPL Public Procurement Law of Turkey

PPSD Project Procurement Strategy for Development

QCBS Quality and Cost-based Selection

RFB Request for Bids

RFP Request for Proposals

RFQ Request for Quotation

SE Social Enterprise

SEP Stakeholder Engagement Plan

SGM Subgrants Manual

SOE Statements of Expenditure

STEP Systematic Tracking of Exchanges in Procurement

SuTP Syrians under Temporary Protection

TDA (Turkish) Development Agency

ToR Terms of Reference

WB World Bank

WYDP Women and Youth Development Plans

*This document has been produced with the financial support of the European Union. Its content is the sole responsibility of MoIT and may not reflect the views of the European Union.*

# PART A: PROJECT OPERATIONS MANUAL

## CHAPTER 1: INTRODUCTION AND GENERAL OVERVIEW

* 1. **Introduction**

**Project Objective**. The proposed project of EUR 39.5 million aims to support women and youth within refugee and host communities’ transition into sustainable economic opportunities and increased social cohesion through the microgrant support provided by the five selected Turkish Development Agencies (TDAs) covering 11 provinces (Adana, Mersin, Gaziantep, Adiyaman, Kilis, Mardin, Hatay, Osmaniye, Kahramanmaras, Diyarbakir, and Sanliurfa) (see Figure 1 below), where most of the vulnerable refugees reside. The project aims to: (i) expand economic opportunities for mostly women refugee and host communities through support for social enterprises and vital livelihoods facilities; and (ii) improve social cohesion among refugees and host communities through enterprise development and participatory engagement in livelihoods facilities.

Figure 1. Proposed Target Provinces and Development Agencies



* 1. **Overview of Component 1: Social Entrepreneurship for Women and Youth in Refugee and Host Communities**

Component 1 will finance activities to support social entrepreneurship in refugee and host communities in the target provinces. The project defines a social enterprise to include profit-making businesses that prioritize social or environmental impact while reinvesting profit primarily in their mission and/or benefitting target social groups through employment or other activities that may increase their income. For the purposes of the project, this includes, inter alia, businesses that are established with the mission of employing, or self-employing, refugees and other vulnerable members of the community (e.g. disabled, at-risk youth, etc.).

This component will directly benefit those receiving startup support services, subgrants, and employment in social enterprises; indirect beneficiaries are the buyers of goods and users of services provided by the social enterprises. Subcomponent 1A will finance support services for social entrepreneurs and Subcomponent 1B will fund subgrants for the incubation or acceleration of social enterprises. The elements of this approach aim to maximize the potential for success of the project-supported social enterprises and enables the participation of less-privileged women and youth in social entrepreneurship.

* 1. **Overview of Component 2: Community Livelihoods-related Facilities in Refugee and Host Communities**

In order to develop sustainable microenterprises, women (and other vulnerable) social entrepreneurs supported under Component 1 will need to access a range of supporting facilities. The development and survival of the business is not only a function of business and technical skills; women face a number of other constraints to their successful engagement in livelihood opportunities. While some of these are addressed in Component 1 through support services (training, mentoring, and coaching), others require local community-level, small-scale investments, without which social enterprises will flounder and/or be unsustainable, and social cohesion outcomes will not be achieved.

While the neighborhoods in the local authorities covered by the project are generally provided with basic services and infrastructure (such as roads, water, sewerage, and solid waste management), other services that would support women’s participation in social enterprises are either unavailable or only partially available in most of the project locations. Such services include childcare facilities or kindergartens, access to community-based workshop facilities or maker-spaces, and access to local marketplaces.

To address these gaps in facilities, support the efforts of refugee and host community women to earn income, and promote dialogue and engagement of refugees, host communities, and municipal authorities around social enterprises, this component will finance: (i) the capacity building and facilitation activities for refugees and host communities to engage in participatory decision-making processes over local needs and priorities for livelihoods-related facilities under Subcomponent 2A; and (ii) the cost of establishing/renovating selected livelihoods-related facilities under Subcomponent 2B.

* 1. **Overview of Component 3: Institutional Capacity Strengthening and Project Management**

The implementation of the proposed project will follow the existing government structures and procedures. This component will finance project management, monitoring and evaluation (M&E), and communications (and visibility) as well as the targeted capacity building of national (Ministry of Industry and Technology (MoIT), TDAs) and local actors (local authorities, NGOs, other stakeholders) to strengthen their capabilities to support women’s livelihoods development in this project and in the future.

Subcomponent 3A will finance a set of activities aimed at building the capacity of key stakeholders in the MoIT, TDAs, local authorities, and other agreed stakeholders. This subcomponent will then finance the planned trainings, workshops, and conferences to build skills and understanding of the principles, design, implementation, and monitoring of social enterprise support programs in refugee and host community contexts (with attention to the requirements of the COVID-19 recovery); and it will finance a mentoring program and peer-to-peer learning (i.e. showcasing good practices from local authorities, cross-learning events, etc.), including workshops that enable inter-Community Implementing Partner (CIP) learning and build working-level links between the CIP facilitators.

The subcomponent will also support the MoIT, based on project learning and results, to promote the sustainability of social enterprises through the preparation of a report developing a national strategy and proposed policy framework for social enterprises.

Subcomponent 3B will finance the operational costs of the MoIT to undertake all project management, M&E, and communications and visibility activities. The subcomponent will finance the incremental costs, including contracting staff, technical assistance for the MoIT for overall project coordination, management and supervision of implementation, procurement, financial management (FM), including project audits, M&E, and the project management information system (MIS). This component will fund a dedicated project implementation unit (PIU) within the MoIT (which will include experts in social entrepreneurship, refugees and displacement, social development, community engagement, civil engineering, project management, procurement, FM, M&E, and communications).

Subcomponent 3C will provide assistance to carry out M&E of activities implemented under the Project, including data collection and preparation of reports, in support of the project results framework under the Facility for Refugees in Turkey. It will support the development of a relevant and robust project M&E system involving MoIT, the TDAs and CIPs.

* 1. **Institutional Arrangements**

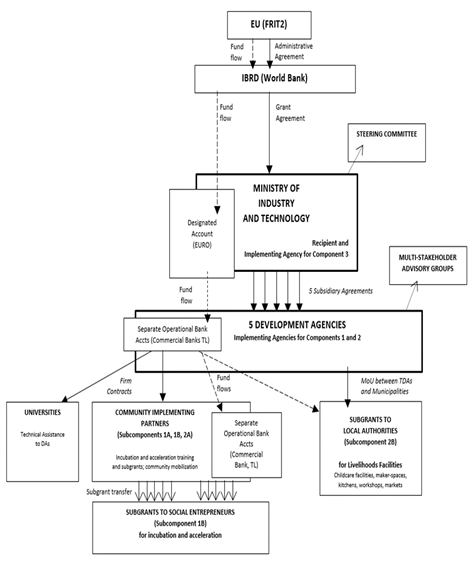
There are six implementing agencies for the project – one at the national level and five at the subnational level. The MoIT will be the recipient of the project and the implementing agencies for Components 1 and 2 will be five TDAs (Kalkınma Ajansı) implementing in 11 provinces as follows:

* + - Silkroad Development Agency (implementing in Gaziantep, Adiyaman, and Kilis Provinces)
    - Eastern Mediterranean Development Agency (implementing in Hatay, Osmaniye, and Kahramanmaras Provinces)
    - Karacadağ Development Agency (implementing in Sanliurfa and Diyarbakir Provinces)
    - Çukurova Development Agency (implementing in Adana and Mersin Provinces)
    - Tigris Development Agency (implementing in Mardin Province)

The institutional arrangements (see Figure 2) include the following primary stakeholders (their roles and responsibilities are described in Chapter 5):

* + - MoIT
    - TDAs
    - CIPs
    - Local authorities
    - Refugee and host community beneficiaries

Figure 2. Project Institutional Arrangements



* 1. **Geographical Coverage and Project Beneficiaries**

The beneficiaries of the project are the refugees and host community members in provinces with high numbers of emergency social safety net (ESSN) beneficiaries. In total, an estimated 19,000 refugee and host community members will be directly supported through project activities. The majority of overall project beneficiaries will be refugees, most of whom will be ESSN recipients. Among ESSN recipients, the project will directly target those that are better off (either non-poor or close to the poverty line), with the aim of helping this group graduate from the ESSN.

For Component 1, at least 70 percent of the beneficiaries of social entrepreneurship support services and subgrants will be women, and 30 percent will be youth (both women and men, ages 18-29). More than 50 percent of subgrant recipients in this component will be refugees, and beneficiary selection will give preference to ESSN recipients. A total of over 4,400 beneficiaries will be provided with training to incubate or accelerate social enterprises resulting in over 3,720 social enterprise startups or expansions. Male household members of all ages will be able to benefit from a set of support trainings. Component 1 is also expected to directly benefit a large number of ESSN recipients by creating jobs (an estimated 2,000 people will be employed by project-supported social entrepreneurs). Beneficiaries of the training and subgrants will bring increased and/or sustained income to the whole household, and the goods produced and services provided in refugee and host communities will bring benefit to the larger community. Component 2 will benefit not only the social entrepreneurs, but also a broader group of refugee and host community members through their use of the community livelihoods facilities. It is estimated that the project will reach 11,000 beneficiaries as a result of Component 2 local livelihoods investments.

Institutional beneficiaries, supported under Component 3 will include the MoIT, participating TDAs, and local authorities (municipalities and Governor’s offices), primarily those with high refugee populations engaged in efforts to improve the socioeconomic inclusion of refugees and cohesion in affected communities. NGOs familiar with target communities will also benefit from their role in implementation.

The final selection of provinces targeted by the project ensures relevance to the Project Development Objective (PDO), and complementarity with other FRiT-financed projects. The project will be implemented in 11 provinces near the Syrian border: Gaziantep, Adiyaman, and Kilis; Hatay, Osmaniye, and Kahramanmaraş; Sanliurfa and Diyarbakir; Adana and Mersin; and Mardin.

* 1. **Structure of Project Cycle and Timeline of Project Implementation**

SEECO will be implemented in cycles. Each cycle consists of community mobilization activities, complemented by a series of youth-led and gender-sensitive awareness raising and social accountability processes to build communities that are armed with knowledge on development-related issues and the ingredients of good local governance (including performance, transparency, and accountability).

These activities are detailed in Chapters 2 and 3 below. Once selected through the participatory process, the investments are implemented per the procedures in the complementary Subgrants manual (SGM).

The project is designed around a 6 month – 3 year – 6 month timeframe (see Figure 3). It is anticipated that there will be three cycles of subprojects to target communities:

* + - Year 1 (months 1-6) is primarily focused on activities such as; conducting needs assessment, market assessment for each provinces, selection of CIPs, establishment of MIS, establishment of the project grievance redress mechanism (GRM), conducting institutional needs assessment and other institutional capacity development activities.
    - Years 2 and 3 are focused on implementation of social entrepreneurship support program, subgranting and mentoring for beneficiary social enterprises, livelihoods facilities gap assessments and community mobilization, subgranting for livelihoods facility investments.
    - Year 4 (months 43-48) is mostly focused on completion and evaluation activities.

Figure 3. Project Timeline

* 1. **WB Corporate Requirements: Citizen Engagement, Gender, and Climate Change**

The SEECO project’s design and implementation modality ensure careful attention is paid to gender and citizen engagement, which are World Bank corporate priorities, both of which are central to the development of an inclusive and responsive approach to the issues of social cohesion in host communities, and the economic inclusion and independence of refugees. Climate change co-benefits is also considered during preparation and implementation. These themes are addressed under Chapter 10 of this Project Operations Manual (POM).

**Citizen engagement.** Project activities are developed to enable women and youth beneficiaries to become empowered and access the forums to voice their needs, views, and concerns. Developing women and youth’s capability to optimize the engagement opportunities and the identification of the vulnerable within these groups of beneficiaries and the development of their voice are the keys in the project. The project will adopt a citizen engagement framework that incorporates a set of structured tools that will be adapted and developed to be implemented under the restrictions of the COVID-19 pandemic.

**Gender.** The project aims to close the gender gap in economic opportunities through: (i) increasing women’s engagement in social enterprises; and (ii) the participatory selection and establishment of livelihoods facilities to support women’s employment in social enterprises. Through its support for the creation and development of social enterprises and ensuring sustainable access to livelihoods facilities that bring benefit to women from both refugee and host communities, boost local economies, and generate local employment, the project engages refugees and host communities as economic actors – agents of their own socioeconomic inclusion in Turkey.

**Climate disaster risk screening.** The project has been screened for climate and disaster risks using the Bank’s online screening tool at https://climatescreeningtools.worldbank.org. Identified climate change risks are mitigated through careful design and implementation of project activities in line with Turkey’s national commitments on climate change. For physical structures (e.g. childcare facilities or markets), checks for seismic resilience and climate risks will be part of the standard construction approval and oversight. Energy efficiency measures will also be implemented as part of the renovation and upgrade of buildings (e.g. for community centers) under Component 2. In addition, the project promotes the development of environmentally responsible enterprises and enterprises focused on climate-aware initiatives (such as recycling and energy efficiency). Community mobilization activities of the project include modules that help women and other household members engage in energy efficiency practices, understanding the benefits to their households and the environment. This enhanced awareness, transparency, and communication can be expected to increase the resilience of participating communities.

* 1. **Legal Framework for Implementation**

The legal framework for this POM relies on the Project Financing Agreement, Project Appraisal Document (PAD) and other relevant World Bank/IDA documents (guidelines, general conditions, etc.), while the other laws of Turkey listed below serve as the basis only to the extent they are not contradictory to the Financing Agreement, as well as to the rules and procedures of the World Bank:

* + - Civil Code
    - Labor Code
    - Tax Code
    - Decrees of the Government of Turkey
    - General conditions of the IDA Loans and Grants dated July 31, 2010
    - World Bank’s Procurement Regulations for IPF Borrowers (July 2016, revised November 2017 and August 2018), and Bank’s Anti-Corruption Guidelines (July 2016)
    - Public Procurement Law
    - World Bank’s Guidelines on allocation of funds for project implementation
  1. **Purpose and Structure of the Project Operations Manual**

This POM sets out the details of all procedures and technical aspects of each component, provide the relevant FM, procurement, and safeguards procedures, as well as the M&E requirements and reporting procedures. It is supplemented by an SGM that will guide the process required for the subgrants to be provided under Subcomponent 1B.

The POM is organized to provide step-by-step implementation guidance on the project components to all key stakeholders. It will guide the implementation of all TDAs and CIPs engaged in the project. For ease of reference:

* **Chapter 2** sets out the parameters of the social entrepreneurship incubation and acceleration support services.
* **Chapter 3** provides guidelines for the implementation of the community mobilization and capacity building envisaged under Subcomponent 2A, and the scope of work envisaged under Subcomponent 2B.
* **Chapter 4** provides operational guidelines for the institutional capacity building and strategy development of the social entrepreneurship framework for Turkey.
* **Chapter 5** provides an overview of project management, including staffing, training, and governance.
* **Chapter 6** describes communications arrangements and tools.
* **Chapter 7** describes the monitoring and evaluation tools.
* **Chapter 8** gives an overview of the social and environmental framework.
* **Chapter 9** sets out the details of the grievance redress mechanism.
* **Chapter 10** sets out the details of the citizen engagement, climate change, and gender aspects of the project as required to meet World Bank Corporate Requirements.
* **Chapter 11** provides guidelines on project financial management and disbursement arrangements
* **Chapter 12** provides guidelines for procurement.

The **Annexes** provide additional details, forms, terms of reference, and guidelines for the project and should be read together with the corresponding sections. The POM should be read in parallel with the SGM, which is fully applicable to the subgrants provided under the project, as described in the Grant Agreement.

* 1. **Record of Revisions to the POM**

Any proposed changes to the POM following initial approval require World Bank review and non-objection. Any changes should be submitted to the World Bank in tracked changes mode and included in Table 1 below to enable tracking of POM revisions over time.

Table 1. Tracking of Revisions to the POM

|  |  |  |
| --- | --- | --- |
| **Justification for revision** | **POM sections updated** | **Date** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

## CHAPTER 2: SOCIAL ENTREPRENEURSHIP FOR WOMEN AND YOUTH IN REFUGEE AND HOST COMMUNITIES

* 1. **Component 1 Description**

Component 1 will finance activities to support social entrepreneurship in refugee and host communities in the target provinces.

The project defines a social enterprise to include profit-making businesses that *prioritize social or environmental impact while reinvesting profit primarily in their mission and/or benefitting target social groups through employment or other activities that may increase their income.*

For the purposes of the project, this includes, inter alia, businesses that are established with the mission of employing, or self-employing, refugees and other vulnerable members of the community (e.g. disabled, at-risk youth, etc.). Socially-oriented businesses will operate under the legal status of cooperatives, limited liability companies, sole traders, associations, corporations, and foundations. Recognizing that the social enterprise sector is nascent in Turkey, particularly in project areas in southeastern Turkey, the project is adopting a broad definition of social enterprises to promote maximum engagement and opportunity for target beneficiaries.

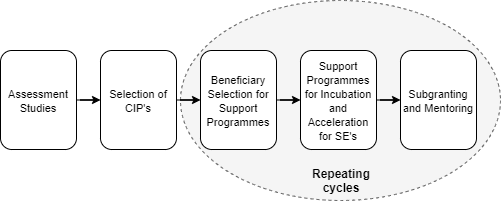
* 1. **Objectives, Scope, and Parameters**

The objective of this component is to support social entrepreneurship in refugee and host communities in the target provinces. To do so, the project will firstly finance assessments, training, coaching, and business support services to build the capacity of social entrepreneurs and support the sustainability of social enterprises. Then, in order to enable startup and expansion of social enterprise ideas and encourage the initiative of women in refugee and host communities, the component will also provide subgrants to refugees and host community members that have participated effectively in support services program (see Figure 4).

* 1. **Component** **Activities**

Activities in this component will be implemented by the TDAs (working with CIPs) in an agreed number of cycles. Each cycle will start with the selection of beneficiaries (new and/or existing social entrepreneurs). Selected beneficiaries will receive training and coaching, and then be supported in submitting applications (in the form of business plans) for incubation or acceleration grants. Recipients of those subgrants will then be provided with continued mentoring. A single cycle, from the selection of beneficiaries to the end of mentoring support, is expected to last 18 months.

Figure 4. Flow of Component 1

**

**Subcomponent 1A: Support services for social entrepreneurship incubation and acceleration**

This subcomponent will fund assessments, training, coaching, and business support services to build the capacity of social entrepreneurs and support the sustainability of social enterprises. It aims to support women and youth from both refugee and host communities in their efforts to establish social enterprises, generate income, employ other refugees and host community members, and deliver goods and services that benefit local communities and the society at large.

**Step 1 - Assessments**

Assessments are important to ensure that activities that both incubation-acceleration social entrepreneurship support and livelihood support activities have a greater chance to lead to increased incomes and jobs in local communities. Three types of assessments will be carried out in the project:

1. Participatory community needs assessment
2. Local market analyses
3. Training needs assessment

As the first step in this component, MoIT co-operating with each responsible TDA will prepare *Community Needs Assessment and Local Market Analysis (including value chain assessment)* within 90 days after the effectiveness of the project. Once CIPs are hired, each CIP will conduct follow up/verification participatory community needs assessments, including focus group discussions with refugees and host communities, with separate focus groups with women, men, and youth. MoIT will develop and share with TDAs and CIPs a detailed methodology for these assessments, to ensure consistency of approach among partners.

**Participatory community needs assessments**will be conducted in specific community target areas, in order to identify: (i) the barriers and constraints for women and youth refugee and host community members to engage in social enterprises; (ii) the needs, in each community, at the individual, household and community levels – to address these barriers. This is expected to include both social and economic responses e.g. access to subgrants, access to training, childcare facilities, language barriers or restrictions on their mobility in the city, or male perspectives on women working. As this will likely identify gaps in local facilities (such as places to work and childcare needs in the community), this will also serve as the first step of Subcomponent 2A). The community needs assessments will take a participatory approach, ensuring the genuine engagement of target beneficiaries in the identification of their problems and needs, and promote interaction and substantive discussion between refugees and host communities around livelihoods development. The community needs assessments will verify, with beneficiaries, the results of the local market assessments. Given the importance of participatory dialogues with refugees and host communities, the community needs assessments will be reviewed and verified by the CIPs after they have hired skilled community facilitators.

**Local market analyses (including value chain assessments** will be conducted at the local and/or community level in the project target areas, to develop an understanding of social enterprise market opportunities for refugees and host communities. Assessments will include analysis of the demand for goods and services that could be met through social enterprises, the existing supply, and gaps in supply. They will also identify the skills and talents of target beneficiaries to fill gaps in the supply chain, and note any effects of COVID-19. CIPs will use the assessments to support social entrepreneurs in the incubation and acceleration of proposed or existing social enterprises, and in the design of support services. The output of the market and value chain assessments will be the full picture of the demand and supply-side potential of social enterprise in that sector and location, for example for services for the disabled, elderly or childcare, transport services, digital services, translation, or for recycling or particular foods in the communities where the target beneficiaries.

The needs assessments and market analysis will also be used to guide of developing incubation and/or acceleration services and selection of beneficiaries and grantees. All assessments carried out will include a specific focus on understanding the specific needs of ESSN recipients and assessments will support the graduation of as many individuals as possible from the ESSN.

Following assignment of CIPs, each CIP will review and verify the Community Needs, Local Market, and Value Chain Assessments prepared for each province by the relevant TDA. During verification of assessment studies, CIPs will ensure the genuine engagement of target beneficiaries in the identification of their problems and needs, and promote interaction and substantive discussion between refugees and host communities around livelihoods development.

**Step 2 - Community Implementing Partners and Their Selection**

Through the implementation of Component 1, the TDAs will utilize project funds to appoint, through a competitive procurement process, qualified non-state **CIPs** with experience of community-level action in their localities, incubation and acceleration support services, subgranting, community mobilization, and development, support for refugees, grievance redress, and institutional capacity building.

NGOs, international organizations, private companies which have a legal branch in Turkey are considered as eligible institutions for CIPs. The MoIT will work with the TDAs to develop the terms of reference (ToR) and to launch the CIP procurement process, and TDAs will sign firm contracts (under World Bank procurement procedures) with CIPs to implement project activities in defined project locations.

An advance procurement process will be launched, in parallel to the community-level needs and market needs assessment studies, to identify the CIPs with the best qualifications and experience, from which proposals will be requested. The CIP procurement will be subject to ex-ante due diligence review by the World Bank.

**Step 3 - Outreach and Announcement of Incubation and/or Acceleration Program**

The main aim of this intervention is to outreach target beneficiaries from refugee and host communities and disseminate the information regarding the incubation and acceleration program services across the targeted areas. All communication materials used in the process will be gender-sensitive. Emphasis will be given to ensure gender sensitivity in actions taken and in analysis of needs and opportunities. All the data to be collected and published within the contract will be disaggregated by gender.

CIPs will identify refugees (especially ESSN recipients) in their target areas, establish the specific neighborhoods where these beneficiaries live, and establish lines of communication with community leaders and organizations that support this group to directly encourage them to participate in the project. CIPs will focus on identifying ESSN recipients who have the potential to graduate from the ESSN by receiving project support. CIPs will discuss the potential of receiving project services and subgrants with ESSN recipients and encourage them to attend an initial workshop where the CIP would support them in developing an application to become a beneficiary of the Subcomponent 1A support services

During activities for outreaching, CIPs will carry out the following activities:

* + - Preparing a detailed Outreach Implementation Plan submit relevant TDAs for approval based on the Communications and Visibility Plan of SEECO.
    - Preparing a detailed timeline of the information and communication activities, including its replications all throughout the project duration.
    - Ensuring that the project also reaches its targets for female beneficiaries – this outreach will include both women and men (to ensure that male members of households and communities support the engagement of women in the project).
    - Handing over the information dissemination/awareness raising materials (posters, brochures, booklets etc.) provided by relevant TDAs to candidate beneficiaries, displaying project related video/s as provided by relevant TDAs in community meetings/workshops or small groups discussions.
    - Carrying out/replicating in each cycle of incubation and/or acceleration program, the outreach activities as per the agreed/from time to time revised Outreach Implementation Plan with the scope and the type of materials needed to carry out information dissemination activities,[[1]](#footnote-1) including but not limited to possible community meetings/workshops or small groups discussions.
    - Organizing outreach meetings and digital events for fostering applications from who might not otherwise apply but have the business acumen, especially among poorer, less educated women and youth.
    - Issuing an open call for refugee and host community women and youth for gathering applications to incubation ad/or acceleration services.
    - Organizing an initial one full day workshop led by experienced facilitators and support participants write up their motivation and experience setting up enterprises, their educational credentials for developing social enterprises in particular sectors for the cycles of incubation and/or acceleration programs.

**Step 4 - Beneficiary Selection for Incubation and Acceleration Support Programs**

The CIPs will implement the beneficiary selection process for incubation and acceleration programs according to the detailed methodology that will described in their tender proposals. For ensuring an open, competitive and transparent selection process, each CIP must establish a Beneficiary Selection Committee (BSC) with at least four members. BSC members may consists of preselected community representatives, representatives of TDAs, and representatives of local authorities and/or experienced experts in social business development. Each member of the BSC should be experienced in areas such as business development, social business development, social entrepreneurship. The BSC will identify/select final beneficiaries through BSC meetings for each cycle according to the rating of the application forms.

The following steps will be implemented for selecting beneficiaries for social entrepreneurship incubation and acceleration support programs:

* + - During the workshop, willing workshop participants fill-up an application form for participating incubation support services and acceleration support services. The applications filled up at the workshop will be later evaluated by the BSC.
    - CIPs will establish a BSC made up of members experienced in social business development and submit relevant TDA for approval.
    - TDAs may appoint representative member in BSC. The TDA representative will be an observer ensuring that the agreed upon procedure is being followed, but will not participate in the decision making process.
    - Eligible applicants for Social Entrepreneurship Incubation Programs are women and youth (both women and men, ages 18-29) (see a draft application form in Annex 3).
    - Eligible applicants for Social Entrepreneurship Acceleration Programs are existing social enterprises, and other businesses developing into social enterprise (see a draft application form in Annex 4). These could be private enterprises as well as NGOs. Eligibility conditions to the Acceleration Program include: (i) has been generating revenue for a minimum of 12 months with a pre COVID-19 track record; (ii) is legally registered and has submitted tax returns; and (iii) has a clearly articulated social (or environmental) purpose. If the enterprise or NGO does not have a clearly articulated social (or environmental) purpose, applicants must then clarify how the funds will be used towards a social or environmental goal, and how they would benefit refugees living in the project’s target area.
    - CIPs will develop detailed application procedures for incubation and/or acceleration services, to be submitted for the approval of the TDAs, following basics election criteria, as described below:
  + For the incubation program: (i) coherence of the business idea coherence with the industries/sectors of targeted areas; (ii) gender parity and encouragement of women entrepreneurship – priority should be given to enterprises/NGOs/projects lead by women, and/or aiming at benefitting women; (iii) motivation of the potential entrepreneur; and (iv) feasibility (including skills and experience of the NGO/enterprise to implement the proposed project)
  + For the acceleration program: (i) coherence of the business idea coherence with the industries/sectors of targeted areas; (ii) gender parity and encouragement of women entrepreneurship (priority will be given to enterprises/GNOs led by women) and/or aiming at benefitting women; (iii) growth potential in terms of employment and revenue; (iv) social impact potential of the business.
    - CIPs will collect applications to the programs and identify/select the final beneficiaries through organizing BSC meetings for each cycle. Compliance with agreed upon procedures will be periodically checked by TDAs and MoIT.

**Step 5 - Developing Incubation and/or Acceleration Program**

The model of skills development for social entrepreneurship adopted under the project will be one that recognizes the specific needs of the participants and provides a foundation such that, to the extent possible, social entrepreneurs can achieve success at each stage of the process. While the majority of selected beneficiaries are expected to have a basic set of skills that can be enhanced by the project, it is also recognized that the project mitigates against the risk of skills gaps through its emphasis on training, mentoring, and coaching. Also, the project has adopted a broad definition of social entrepreneurship to promote greater participation and access for target beneficiaries.

Following the determination of support program participants for each cycle CIPs will conduct **training needs assessments** and **action plans** that set out the personal support services for refugees and host communities as well as the business support services for the target beneficiaries in each project area. A flexible approach that can respond to local conditions will be taken to enable adaptation to each identified group in each province, each year.

Training needs assessments will identify the required skill set, competences and training needs of the beneficiaries from the incubation and acceleration services. Identification of required skills[[2]](#footnote-2) needed for setting up and sustaining the enterprise, their respective needs for (i) legal and regulatory advisory services; (ii) establishing networks between similar enterprises for a collaborative approach for supply of the required goods/services, i.e. through developing alliances, partnerships; (iii) contacts with the demand side & marketing strategies; (iv) FM and procurement implementation support in subgrant implementation and/or (v) project’s environmental & social safeguards requirements.

Training needs assessments will profile the potential beneficiaries and identify the problems/challenges encountered/barriers faced to engage in social enterprises e.g. access to subgrants, access to training, childcare facilities, language barriers or restrictions on their mobility in the city, or male perspectives on women working, etc.

Following completion of training assessment, CIPs will develop an action plan for incubation and/or acceleration service cycles including for developing the trainings, including strategy and proposed methodologies, as well as quality assurance plan.

After the completion of training assessment and action plan, CIPs will submit the training assessment and action plans (which includes incubation and/or acceleration services methodology, schedule and training contents) to the relevant TDA for approval.

CIPs will develop a local incubation and/or acceleration services according to the findings of the assessments and proposed methodology. Methodology and training schedule for each cycle of incubation and/or acceleration services implementation will be tailored to face to face/online soft skills and business skills trainings including, but not limited to the following listed training,

CIPs may identify and recruit qualified trainers from business community and academia to help and deliver training content in accordance with training assessment.

The approach is based on an understanding that there are three types of support that social entrepreneurs will need: (i) basic information, training, and skills for operating an enterprise or social enterprise in Turkey; (ii) just-in-time support to address issues arising; and (iii) mentoring by individuals that have succeeded in entrepreneurship or social entrepreneurship. This model tailors the support that individuals receive, improving the success of social enterprises and the ability of more vulnerable populations to lead such enterprises. Support services activities will provide opportunities for joint refugee and host community beneficiary facilitated engagement and dialogue.

As is relevant to each target area, the training, coaching, and mentoring approaches will cover soft skills, business planning, finance and development for social enterprises, technology, and technical needs (see Table 2 for sample topics). All activities in the support services for incubation and acceleration will be set out in a consolidated training plan as required in the Grant Agreement.

Table 2. Support Services for Incubation and Acceleration of Social Enterprise Development

|  | **Soft skills** | **Business skills** | **Legal support** | **Technical skills** |
| --- | --- | --- | --- | --- |
| **Women and youth beneficiaries of incubation services** | Basic skills including:   * Personal initiative * Communications * Team building * Conflict management * Networking * Gender in context * Turkish language skills for non-native speakers | * Strategic planning and decision making * Market analysis * Management (financial, human resources, taxation) * Sales | * Services and provisions for small entrepreneurs * Taxation * Registration * Compliance with regulations * Grievance redress processes * Residency/work permits | Skills for the purposes of the social enterprise’s production:   * e.g. for food production, childcare services, etc. * IT skills |
| **Women and youth beneficiaries of acceleration services** | * Basic skills on demand * Developing alliances * Advocacy | * Sustainable scale-up * Resilient businesses * Credit and financing options * Partnership development * Development and testing of new products * Branding | * Hiring and labor regulations * Any of the skills for incubation, on demand | * Skills for the purposes of expanding social enterprise production * IT skills * Skills for incorporating environment, climate change considerations in business development |
| **Male household members and community members** | * Social enterprise benefits for the household * Managing finances * Accessing services * Topics proposed by male participants |  |  |  |

**Step 6 - Implementation of Incubation and/or Acceleration Program Services**

The main aim of the support programs will be to support refugees and host communities to becoming social entrepreneurs. The services will be focused on ensuring that the social entrepreneurs are prepared, supported, reinforced, and strengthened as they complete successive stages of a process of establishing or expanding social enterprises. The services will include sets of synchronous or consecutive activities such as trainings, workshops/events, online platforms and remote learning systems, trainings, mentoring, coaching and transportation of participants for each cycle.

Under Subcomponent 1A, CIPs are expected to implement six-month incubation and acceleration training program per cohort and additional one-year support services will be provided for each beneficiaries. The program of support services will be focused on ensuring that the social entrepreneurs are prepared, supported, reinforced, and strengthened as they complete successive stages of a process of establishing or expanding social enterprises.

Implementation of the support program will be carried separately in 11 target provinces on a 6 month cycle basis. CIPs will organize the implementation of each cycle by planning number of cohorts to be trained within each cycle. It’s expected that each trainee cohorts will consist of roughly 25-30 persons. While the majority of selected beneficiaries are expected to have a basic set of skills that can be enhanced by the project, it is also recognized that the project mitigates against the risk of skills gaps through its emphasis on training, mentoring, and coaching. Acceleration and incubation support programs will be carried out separately.

Table 3 below shows target beneficiary numbers for Component 1. These totals will be monitored in 11 provinces.

Table 3. Subcomponent 1A Support Program Beneficiary Targets

|  |  |  |
| --- | --- | --- |
|  | **Incubation services** | **Acceleration services** |
| Number of total beneficiaries | 4040 | 332 |
| Number of SuTP beneficiaries | 2500 | 166 |
| Number of Turkish beneficiaries | 1540 | 166 |

Satisfactory completion of the training program will be condition of each participant’s graduation from the incubation or acceleration program.

CIPs will issue a graduation certificate to participants who successfully complete the incubation program. Seal of MoIT, TDA and CIP will appear on the certificate.

It’s anticipated that 18-month training/business plan/subgrant/coaching cycle will be made available multiple times in each target province, with an aim of a cycle starting every six months of the project. Given the expected number of beneficiaries it is anticipated that the larger TDAs will run more than one cycle in parallel, and thus be able to tailor support services to the different groups of beneficiaries.

Besides training services before the subgrant phase, CIPs also provide business mentoring, operational and sustainability services to subgrant beneficiaries. In this regard, services to be delivered by CIPs is broadly defined below:

* + - Organizing and providing mentoring and/or coaching services for each cycle on specific areas including but not limited to business modeling, business development, marketing, access to finance, impact measurement, commercialization, etc.
    - Provision of coaching for product development, marketing, as well as accounting and other key business skills, where backstopping support will be provided for at least two years
    - Linking the social enterprises with the private sector in order to integrate them into supply value chains, be it at the neighborhood, local, or regional level and provide sponsorship opportunities.
    - Ensuring that social enterprises have the necessary advice to adapt to the post-COVID context, including any focus on digital solutions and new markets.
    - Ensure transportation support for beneficiaries and prove food in case of face-to-face training/workshop sessions.
    - Providing ongoing operational and business sustainability support services (start with mentoring sessions and will last 12 months) including but not limited to legal and regulatory advisory services, business registration and formalization environmental-social screening, product development, marketing, networking and accounting, etc.
    - Leveraging program beneficiaries’ relationships and networks with the business community at local, regional and national level.
    - Organizing networking and experience-sharing events and provide other forms of support including facilitating business relationships, access to finance, in-kind donations etc.
    - Providing technical assistance and direct support to participating social entrepreneurs with business formalization, business registration and compliance with legal requirements.
    - Providing technical assistance to social entrepreneurs on hiring employees, paying taxes and more generally interact with Turkish state. For both refugee and host community members, support will focus on understanding the main requirements for operating a social enterprise and identifying any provisions that help enterprises during their initial years of operation. Social entrepreneurs within refugee communities will also be provided guidance on ways to change residency status, acquire work permits, or more generally help them navigate local regulations for setting up businesses and hiring individuals according to the requirements of Turkish law. This could also mean providing translation support.
    - Providing intensive support for identifying and securing funding for their social enterprises for loans, grants etc.
    - Supporting social entrepreneurs in finding and securing business location as appropriate, in-kind donations of equipment etc.
    - Identify needs for specialized and technical trainings that may arise during the implementation of incubation and/or acceleration services and recruit local experts to deliver valuable training content on these subjects.

**Subcomponent 1B: Subgrants for social enterprise incubation and acceleration**

The main aim of this subcomponent is to support existing and/or new social entrepreneurs through subgrants and provide operational and sustainability support services. The final beneficiaries of this subcomponent will be refugees and host community members that have successfully completed the incubation and/or acceleration services. Successful completion of incubation/acceleration services is defined as attendance of at least 80% of all activities and will be determined by CIPs.

**Incubation subgrants**for social enterprises will be made available to those beneficiaries that participated in the Subcomponent 1A incubation support services described above, successfully completed the soft skills and business development training/mentoring, and produced a viable business plan outlining proposed expenditures. The following targets and requirements will be monitored:

* + - Seventy percent of incubation subgrants will be awarded to social enterprises that are managed by or benefit women, and 30 percent to social enterprises managed by youth (young men and women).
    - Target numbers are calculated on the basis of 3,350 subgrants in total, ranging from 2,000 incubation microgrants (average EUR 1,500) of which it is anticipated that more than 60 percent will be awarded to refugees and 40 percent to host community members; 1,000 medium-sized incubation subgrants (average EUR 5,000) to be used towards a social enterprise partnership with other trainees, more than 50 percent refugees; and 350 larger-size incubation subgrants (average EUR 8,000, ceiling EUR 10,000) more than 50 percent refugees.
    - ESSN recipients will be given preference for the estimated 2,000 incubation microgrants (average EUR 1,500) and will receive additional services and support to address any capacity issues and help ensure their social enterprises are successful.
    - Other subgrants will be made available to an equal number of refugees and host community members.

**Acceleration subgrants**will be made available to existing social enterprises that have participated in the Component 1A support services program under Subcomponent 1A to support their market expansion and growth. Social enterprise beneficiaries will submit viable business plans outlining proposed expenditures and activities, to achieve anticipated growth, addressing business needs and challenges, and the jobs created for ESSN beneficiaries. The following targets and requirements will be monitored:

* + - Seventy percent of the acceleration subgrants will be awarded to social enterprises that are managed by or benefit women, and 30 percent to social enterprises managed by youth (young men and women).
    - Target numbers are thus calculated on the basis of 320 acceleration subgrants in total: 250 smaller acceleration subgrants (average EUR 10,000) with a target of more than 50 percent refugees; and 70 larger acceleration subgrants (average EUR 18,000, ceiling EUR 25,000) with a target of more than 50 percent refugees.
    - Acceleration subgrants will be targeted at both refugee-owned social enterprises and Turkish-owned social enterprises. Preference will be given to social enterprises that employ ESSN recipients, and more than 50 percent beneficiaries will be refugees. Social enterprises that are owned by refugees or co-owned by refugee and host community members will receive additional support from the project to increase their chances of sustainable expansion and job creation for ESSN recipients.

Details of the subgrant process, such as the business plan format, subproject preparation-implementation, eligibility issues, evaluation criteria, procurement management procedures for beneficiaries, monitoring of subgrants will be subsequently defined in the SGM for Bank approval.

## CHAPTER 3: COMMUNITY LIVELIHOODS-RELATED FACILITIES IN REFUGEE AND HOST COMMUNITIES

Modalities of the implementation of livelihoods-related facilities will be further detailed in the SGM.

* 1. **Overview**

Component 2 will finance:

* + - The capacity building and facilitation activities for refugees and host communities to engage in participatory decision-making processes over local needs and priorities for livelihoods-related facilities; and
    - The cost of establishing/renovating selected livelihoods-related facilities.

Activities under Component 2 will take place in cycles, to enable women and youth from each cycle to work towards sustainable social enterprise solutions that address key constraints. This approach also brings the benefit of repeated joint community dialogues and structured processes of collaboration for participants in each cycle.

* 1. **Subproject Cycle**

The subproject cycle, following a community-focused approach, undertaken at the community level, shown in Figure 5 below, will include:

1. Initial outreach and sensitization efforts at the community level, with a specific focus on women and youth, from both refugee and Turkish communities
2. Participatory selection at the community level of relevant committee members for subproject roles
3. Training and capacity building activities for subproject stakeholders, including women and youth facilitators
4. Needs identification and prioritization at the community level led by women and youth facilitators
5. Subproject selection
6. Subproject implementation and management
7. Community monitoring and social accountability

Figure 5. Community-Driven Development Subproject Cycle

* + 1. **Outreach and mobilization**

***Key principles***

* + - Refugee women and youth-focused community mobilization to address challenges of disempowerment of women and youth, particularly the low levels of employment among women and youth; cultural norms which make women and young people voiceless.
    - District/neighborhood level decision making will be the focus. Consistent with the PDO, community mobilization activities will be designed to ensure that the level of decision making will be the district/neighborhood. Communities will, through an established participatory procedure make decisions on the use of subgrants and these decisions will be carefully tracked to ensure they are implemented. Empowering communities is an important principle and all other roles and responsibilities will ensure that this empowerment is paramount.
    - Inclusion and empowering women to address issues around exclusion. A gender target that 70 percent of the beneficiaries will be women/girls will be rigorously implemented through procedures that are inclusive and measured through output and outcome level indicators.
    - Investing in the long-term capability and accountability of community and local-governance structures to manage and mitigate risks and provide responsive services.
    - Mainstreaming sensitivity to conflict and promoting social cohesion in project activities. The project design also reflects a number of lessons that seek to support not just livelihood facilities and economic outcomes but also address local challenges around inclusion, social cohesion, and operating in sensitive areas. Lessons include:
  + involving local communities and stakeholders in needs identification, implementation, and conflict-sensitive participatory M&E to improve services and infrastructure;
  + focusing on outreach, capacity building, and economic opportunities for vulnerable groups such as youth, refugees, and women;
  + programming to address the underlying drivers of conflict and instability (e.g. inter-ethnic relations, youth idleness/potential recruitment to violence); and
  + building local institutional capacity and resilience to risks.

The aim of Subcomponent 2A is to mobilize Component 1 beneficiary communities to prioritize the local livelihoods facilities needed to support their social enterprises and contribute to the project’s social cohesion target outcomes. Alongside their role in Component 1 and linked to each social enterprise cohort, the CIPs will be responsible for facilitating communities to prioritize livelihoods investments to be implemented under Subcomponent 2B.

***Key steps***

1. **Orientation meeting**

The project will provide at least two days of advance notice to neighborhoods before holding the orientation meeting that include communities with the help of the local authorities.

To conduct the meeting, the CIPs will invite community members and refugee representatives, and introduce the project objectives. CIPs must clearly state the eligible subprojects and non-eligible subprojects as well as the grievance redress and ombudswomen mechanisms.

1. **Community mobilization and social cohesion**

This facilitated community engagement will aim to enhance community cooperation and social cohesion during the project, provide a forum for trust building and collaboration between refugees and host communities, and communities and local authorities, as well as result in the concrete benefit of livelihoods facilities that directly or indirectly facilitate the development of efficient and sustainable social enterprises. In each community, the CIPs will develop and implement tailored strategies to enhance participation and motivation.

Year 1 will be highly dedicated to the development of this engagement of refugees, women and youth. From the outset, the project will fund women and youth mobilization events to select and build the capacity of women and young people as “Facilitators” who will take a leadership role in community mobilization and represent women and youth interests in project processes.

Table 4. Examples of Community Mobilization and Social Cohesion Activities

|  |  |
| --- | --- |
| **Responsibility** | **Community Mobilization Tasks** |
| **CIPs** | * Conduct outreach, provide communications materials, and manage the Online Platform, WhatsApp groups, beneficiary feedback mechanism, and MIS * Hire, train and supervise community technology support officers, who will directly support the community mobilization process * Create, develop, and implement tools/mechanisms for the inclusion of vulnerable groups and community members in the project activities and the online platform * Facilitate women and youth- focused community mobilization process to select livelihood facilities * Facilitate nominations and elections of community volunteers * Liaise with local bodies to organize meetings * Monitor and report on activities’ progress through the M&E system * Map refugee women and youth groups, identify potential leaders, and create refugee women and youth WhatsApp groups |

1. **Links with local governance processes**

Subcomponent 2A links to ongoing local governance processes. The community mobilization process will engage local stakeholders and authorities to help ensure that the project is understood by local leaders and officials. To this end, representatives from these bodies will be included in capacity building sessions and be appointed to specific roles. The community needs identification and prioritization process will serve as an input to annual local community social and economic development plans and programs to inform the long-term development of local areas.

* + 1. **Election of Executive Committee members**

Communitymembers in target communities are responsible for decisions over subproject livelihoods facilities. In step 2 of the project cycle, community members will come together to elect members of the Executive Committee, who will be in charge of liaising with the CIPs for the prioritization, selection, monitoring and implementation of the subprojects.

Eligibility criteria to be elected in the Executive Committee include: (i) time availability; (ii) permanent residence in the neighborhood; (iii) at least 18 years old; (iv) trusted community member.

The Executive Committee will be formed with seven people as follows, and should include at least five women, and three youth (some can be both youth and women):

* One woman representative selected by the community Chairperson
* Six representatives selected by the communityMembers

The Chairperson (woman) of the Executive Committee will perform the duties and functions of reporting the progress of project activities to the CIPs. When forming the committee, the responsibilities of each member should be explained in detail.

If possible, two GRM focal points (one male and female) who are trusted by the whole neighborhood will be in charge of supporting the collection and handling grievances. The GRM focal persons are not part of the Executive Committee. In addition, to support women to engage in feedback, the CIPs will appoint community-level ombudswoman to support vulnerable women to report issues that arise. The results of the regular feedback mechanisms (i.e. the complaint and the response) will be discussed by the multi-stakeholder committees, the project steering committee, and during Bank supervision.

* + 1. **Training and capacity building**

The CIPs will provide relevant training for the Executive Committee members to carry out their functions.

Other capacity building activities could include:

* + - Facilitating community elections of Women and Youth Facilitators and Community Reporters
    - Supporting capacity building of Youth Facilitators, Community Reporters
    - Facilitating refugee women and youth meetings to develop the Women and Youth Development Plans (WYDPs) and coordinate with municipalities and local authorities to include them into the local plans and programs
    - Supporting women and youth leaders to conduct the complementary awareness building and social accountability activities

Trainings will also be targeted at community leaders and municipal councilors and administrators (who are mostly men), to ensure their understanding and support. CIPs will ensure that transportation and food is provided where identified as a constraint to participation. Trainings will be carried out by the CIP and detailed in a Consolidated Training Plan.

* + 1. **Subproject prioritization**

Community members will be invited to participate in the subproject prioritization meeting. There will be separate prioritization groups, for women, youth, and the general population, to identify subprojects. Their priorities and ideas will be captured in a WYDP, which will highlight their perspectives and priorities within the local planning process. The WYDP development process will be led by the Women and Youth Facilitators supported by CIPs. The WYDP will be submitted to the TDAs. This will then be followed by a set of steps to be taken by local authorities. These steps will be formulated after effectiveness and set out in the SGM for Bank approval.

***Scope of investments***

Eligible subprojects will respond to local needs identified by the beneficiaries of the Component 1 social enterprise support services and subgrants, and because they are demand-led, the facilities to be financed will only be identified at the beginning of each cycle. Construction will be limited to refurbishing, extending, or upgrading existing public buildings. It is likely that the subgrants will fund livelihoods-related facilities such as:

* + - **Community centers or spaces for projects and other use.**This will include the refurbishment of local community-level facilities to provide a range of facilities under one roof (e.g. training spaces and childcare facilities) close to the residential areas of project beneficiaries. Where this facilitates project startup, this could be provided in the first six months of the project.
    - **Kindergartens and childcare facilities, child-friendly spaces***.* While some local authorities have established neighborhood creches, many women are constrained from working due to their childcare role and the lack of access to affordable childcare. This is a critical supplementary investment to ensure women can work, utilize the subgrants, and sustain entrepreneurial activity.
    - **Refurbishment of incubation facilities** (market-spaces, coworking spaces, business development/support centers, etc.), as well as the equipment and technology infrastructure to implement the incubation initiative in each target province.
    - *Workshops and kitchens*. Social enterprises may focus on food production, handicraft production, or digital services that require refugee and host community women to have sustained access to facilities in which to make/prepare the products. It is likely that such facilities could be used and managed by a number of the subgrantees of the project as well as others within the community, enhancing cost efficiency.
    - **Market facilities** for the use of refugees and host communities. This might include: (i) construction or upgrading of marketplaces and stalls (on public land); (ii) installation of street lighting for security and extended business hours; and (iii) construction of childcare facilities at the market to facilitate women’s participation.
    - **Virtual platforms***.* E-trade platforms and help centers for online trading.

These livelihoods-related facilities not only help increase economic activity but will also help enhance social cohesion by providing a place where refugees and host communities interact and provide a broader reach of the project in refugee and host communities.

Annex 8 includes a list of ineligible subprojects.

* + 1. **Subproject selection**

***Subproject allocation***

The subgrant distribution formula to each province is based on:

* + - The refugee population;
    - Poverty, measured through the socioeconomic index; and
    - The extent to which local facilities are under strain by the influx of the refugee population.

The distribution of the livelihoods facilities subgrants are allocated so that the investments have impacts in the targeted urban neighborhoods/subdistricts in which beneficiary communities live.

Accordingly, the average allocation for refurbishment works is small, and likely to be EUR 100,000 (with a maximum set at EUR 300,000 to cover the costs of the incubator facilities envisaged at the outset). Depending on subproject types and costs, approximately 70 facilities will be created.

The final details, including the criteria for the allocations per cycle, will be set out in the SGM for World Bank approval.

***Subproject selection criteria***

The feasibility of community-level decisions will be verified by the needs/market assessments and feasibility studies conducted by local authorities. Selection criteria for funding will include:

* + - Shared commitment from both refugee and host community women’s groups, according to the agreed participatory process;
    - Shared benefit for women from refugee and host communities;
    - Coordination with municipal authorities and commitment to municipal operation and maintenance (O&M) for the sustainability of facilities (staffing, maintenance, etc);
    - Not covered by other projects or donors;
    - Relevant environmental/climate change/energy efficiency adaptation; and
    - Number of beneficiaries supported/potential local economic impact of the facility.

Subproject selection will also include dialogue with local authorities to address any risks associated with the facilities, including the management of the facilities, ensuring equal access (host and refugee communities), promoting continuity of norms inside the facilities, and managing any grievances.

***Subproject selection procedures***

Following the completion of the community prioritization process, the TDAs will work with the local authorities (i.e. municipalities and Governor’s offices) in their provinces to implement project activities under Subcomponent 2B, which aims to refurbish and rejuvenate existing buildings to support livelihoods-related activities in local communities (such as childcare facilities, kitchens, workshops, etc).

Local authorities will prepare feasibility plans (including facility oversight, staffing, sustainability, and O&M plans) for the approval of the TDAs. The TDAs will sign a Memorandum of Understanding (MoU) with each participating local authority and will utilize a “guided project support” subgrant mechanism to channel funds to local authorities to carry out these activities. In order to avoid any perceived conflict of interest, the proposed livelihoods-related activity subproject will be approved by the MoIT before the TDAs sign the MoU with the relevant local authority. The local authorities will administer, in full, the construction contracts for refurbishment, and ensure ongoing O&M.

According to the results of the needs assessment study and the participatory process set out in Subcomponent 2A, relevant livelihood facilities will be agreed by TDAs, local authorities, host communities and refugees. The detailed process for the final selection of subproject per district/neighborhood will be set out in the project SGM.

Pre-selected subprojects are reflected in the Project Information Form, completed and signed by the TDA and potential project owners and, if any, partners/affiliates. In the Project Information Form, the TDA provides the competence and quality of the proposal in terms of compatibility with project goals, widespread impact, originality of the project, being non-routine activities of local administrations, strengthening integration with social cohesion and social entrepreneurship in the region. The Project Information Form is available in Annex 1.

Following the approval by the TDA, the Project Information Form is sent to the MoIT. After the MoIT accepts the project proposal, feasibility studies are carried out by the local authorities. Under the coordination of the TDA, a feasibility report is prepared by the prospective project owner and its partners in accordance with the Project Feasibility Form (Annex 2).

The feasibility report of the project and other documents forming the basis of the report are sent to the MoIT for approval after the approval of the TDA. The project can be supported by the TDA if the said feasibility report and other documents constituting the basis of the report are deemed appropriate by the MoIT. In case the project feasibility is not approved as a result of the MoIT evaluation, the project is deemed to be rejected. In case the project feasibility proposal is not approved by the MoIT due to its imperfections, additional time – at least 30 days and not more than 90 days – is given to the project owner. At the end of this period, the deficiencies are completed and the final feasibility report is sent to the MoIT by the TDA. The project is rejected if the applicant fails to correct imperfections on time.

After approval by the MoIT, the principles and rules regarding the implementation of the project are bound by a contract signed via MIS by the project applicant, its partners and the Secretary General of the TDA.

Before signing the contract, the agency may request additional information and documents from the prospective project owner. Contracts are signed with e-signature within ten working days at the latest following the notification made via MIS. If the e-signature cannot be used, the project owner applies to the TDA. Prospective project owners who do not apply to the TDA or who do not submit the documents requested by the TDA in a written form or who do not submit the documents requested by the TDA within this period are deemed to have waived the said support.

The Project Information Form, and the Project Feasibility Document and its attachments are also annexed to the Project Support Contract.

The final details of project selection and approval will be set out in the SGM for Bank approval.

* + 1. **Subproject implementation and maintenance**

***Implementation***

The MoIT’s Directorate General of Development Agencies and TDAs will take part in the design and overall coordination of construction and refurbishment of livelihoods facilities. The local authorities will execute procurement procedures and FM of those facilities. During the implementation phase of the project, CIPs will conduct trainings and other capacity building activities in livelihood facilities like social incubation centers initial phase of the project. Other livelihood facilities like marketplaces, kindergartens, kitchens, co-worker spaces will be established and serve for refugees and host communities in the region. Local authorities will be responsible for managing these facilities during and after the project. TDAs will monitor local governorships and municipalities related with the effective operation of livelihood facilities after the project.

***Maintenance***

Prior to the funding of livelihoods facilities under this subcomponent, participating local authorities will carry out feasibility studies, including inter alia, the proposed O&M budgets (staffing, utilities, etc.). Unless otherwise agreed, the costs of O&M will lie with the participating local authority after the completion of the refurbishment. It is anticipated that some livelihood facilities will be managed by the social enterprises developed under the project (e.g. for childcare services).

The final details will be included in the SGM for Bank approval.

* + 1. **Subproject monitoring and accountability**

***Monitoring***

For the incubation and acceleration subgrants, the subgrants for livelihoods facilities will be monitored at three levels:

1. A comprehensive MIS (with inputs by the TDAs on behalf of local authorities) that will include detailed information on the utilization of the subgrant;
2. Quarterly summaries prepared by the TDAs that will include financial data, functionality, community use, and operation by project-supported social enterprises. The TDAs will meet regularly with the local authorities and conduct regular project visits; and
3. Collated reports (with overall coordination by the MoIT).

Basic summary information on the distribution of grants will also be available online on a project website, so that project beneficiaries and others can verify accuracy and provide feedback or complaints to either the CIP, TDA, or MoIT, in case of discrepancies. The full M&E system will be developed prior to disbursement and will be included in the SGM.

***Accountability***

In addition to the GRM and ombudswoman mentioned above, an annual social accountability community meeting will be conducted, to discuss and check the compliance of the project with project standards and score the project through an adapted Community Scorecard.

The organization and outputs of such annual meetings will detailed in the SGM.

* 1. **Technical Implementation Support**

The following will be key areas of technical supervision support during project implementation. This support will be provided at all levels (MoIT, TDAs, CIPs, and local authorities):

* + - Engagement of experienced community mobilization, gender, citizen engagement, and forced displacement specialists during implementation to support the design and oversight of Component 2 participatory selection and development of livelihoods facilities and to promote the project’s social cohesion goals. This will include hands-on capacity building support for the MoIT, TDAs, CIPs, and relevant local authorities on, community driven development, social accountability and citizen engagement, gender mainstreaming, and work in forced displacement contexts. The World Bank support will also focus on helping the MoIT and TDAs design and monitor social cohesion outcomes of the project, drawing lessons from both local and global experience in promoting cohesion between refugees and host communities in forced displacement contexts.
    - Engagement of experienced/relevant sectoral experts and engineers during the implementation of Subcomponents 1B and 2B investments in social enterprises and livelihoods facilities. Activities will include engagement and oversight of surveys and feasibility studies, review of ToRs and tender procedures for firms involved in any design/construction, and quality review of social enterprise operations and livelihoods facilities investments. This will also include support for World Bank specialists to carry out random audits of social enterprises supported by the project, and physical checks of livelihoods facilities once completed to ensure the safety and quality of construction and adherence to labor standards, where relevant.

The cycle of women focused community driven development undertaken at the district level will include:

* + - Initial outreach and sensitization efforts at the district/neighborhood level on project goals, activities and women/youth roles.
    - Participatory selection at the district /neighborhood level of relevant women community members for project roles.
    - Training and capacity building activities for project stakeholders, including women and youth facilitators.
    - Needs identification and prioritization at the district/neighborhood level led by women and youth facilitators (situation analysis, needs and asset mapping, focus groups).
    - Development of inputs to the local development plan and programs based on the community prioritization process.
    - Subproject selection for Subcomponent 2B based on the community mobilization process.
    - Community monitoring and social accountability.
  1. **Key roles and responsibilities**

Key roles and responsibilities will be detailed in the SGM.

## CHAPTER 4: INSTITUTIONAL CAPACITY STRENGTHENING

* 1. **Introduction**

Although TDAs have less experience in social development than private sector development, they have a commitment to local socioeconomic development in vulnerable communities: women’s entrepreneurship and social cooperatives, support for children and youth, and vocational and technical education programs for those not in education, employment or training. While there is much experience in the TDAs for the development of small and medium enterprise programs, there is less experience in establishing and expanding social enterprises, and supporting entrepreneurship among women and youth refugees and host community members.

This component will finance the targeted capacity building of national (MoIT, TDAs) and local actors (local authorities, NGOs, other stakeholders) to strengthen their capabilities to support women’s livelihoods development in this project and in the future. The component includes a set of activities aimed at building the capacity of key stakeholders in the MoIT, TDAs, local authorities, and other agreed stakeholders. In this respect, the component will support the development of knowledge and skills related to the concepts and practical application of the planned project activities for the national (MoIT, TDAs) and local actors (local authorities, NGOs, other stakeholders) to strengthen their capabilities to support women’s livelihoods development in this project and in the future.

At the outset, an Institutional Capacity Needs Assessment and Action Plan will be prepared by MoIT and approved by the World Bank. This component will then finance the planned trainings, workshops, and conferences to build skills and understanding of the principles, design, implementation, and monitoring of social enterprise support programs in refugee and host community contexts (with attention to the requirements of the COVID-19 recovery); and it will finance a mentoring program and peer-to-peer learning (i.e. showcasing good practices from local authorities, cross-learning events, etc.), including workshops that enable inter-CIP learning and build working-level links between the CIP facilitators. A key area of capacity building of the TDAs and the MoIT will aim to build the TDAs and MoIT’s knowledge and understanding of the legal framework for social enterprises.

The MoIT and TDAs have significant experience in staff development and knowledge exchange. A Consolidated Training Plan, based on the Institutional Capacity Needs Assessment and Action Plan, will be developed by MoIT and approved by the World Bank, and updated annually. The training plan will include the training topics, outputs, number and type of participants, duration, dates, required reporting, and budget. It will be adapted throughout the project to suit the emerging needs of staff and consultants engaged on the project.

The subcomponent will also support the MoIT, based on project learning and results, to promote the sustainability of social enterprises through the preparation of a report developing a national strategy and proposed policy framework for social enterprises. Building on the work carried out by the British Council and national universities, the MoIT will update the analysis and mapping of the social entrepreneurial ecosystem of Turkey, analyze and benchmark the current legislative environment with other countries, and organize workshops and dialogue meetings with relevant stakeholders, including national and regional authorities, and social enterprises. The strategy/report will make recommendations for adapting the policy and the legal and financing framework to promote social enterprise development in Turkey. With MoIT leadership, the project will thus contribute to an enabling framework for social enterprises in Turkey.

The planned trainings, workshops, and conferences to build skills and understanding of the principles, design, implementation, and monitoring of social enterprise support programs in refugee and host community contexts (with attention to the requirements of the COVID-19 recovery) will be financed. A mentoring program and peer-to-peer learning (i.e. showcasing good practices from local authorities, cross-learning events, etc.), including workshops that enable inter-CIP learning and build working-level links between the CIP facilitators will be facilitated.

This subcomponent is expected to target an estimated 400 staff from the MoIT, TDAs, and other national and local stakeholders as direct beneficiaries of capacity building support activities.

Online outreach and engagement activities will be carried out by MoIT project team and the PIU at the national level and CIPs and TDAs at the regional level. These activities mostly cover those outreach activities to increase participation in capacity building activities.

This section of the POM will be developed in more detail when the PIU is staffed and submitted to the Bank for approval.

This section will include a Consolidated Training Plan as required by the Grant Agreement.

**Outputs**

* + - Capacity needs assessment of implementing agencies
    - Annual Consolidated Training Plans
    - Number of staff trained from the MoIT, TDAs, and local authorities (target: 400)
    - Number of trainings, workshops, conferences, etc.
    - Strategy report on policy, legal, and financing framework for social enterprises in Turkey completed

## CHAPTER 5: PROJECT MANAGEMENT

* 1. **Primary Roles and Responsibilities**

There are six implementing agencies for the project – one at the national level and five at the subnational level. The Ministry of Industry and Technology (MoIT) will be the recipient of the project and the implementing agencies for Components 1 and 2 will be five Turkish Development Agencies (TDAs) implementing in 11 provinces as follows:

* + - Silkroad Development Agency (implementing in Gaziantep, Adıyaman, and Kilis Provinces)
    - Eastern Mediterranean Development Agency (implementing in Hatay, Osmaniye, and Kahramanmaraş Provinces)
    - Karacadağ Development Agency (implementing in Şanlıurfa and Diyarbakır Provinces)
    - Çukurova Development Agency (implementing in Adana and Mersin Provinces)
    - Tigris Development Agency (implementing in Mardin Province)

The MoIT, under the Department for the Coordination of Development Agencies of the General Directorate of Development Agencies, will establish a dedicated Project Implementation Unit (PIU) for the purposes of project management and coordination, headed by a dedicated Project Coordinator. The ToRs for key positions in the PIU are provided in Annex 5. Key responsibilities of the MoIT PIU include:

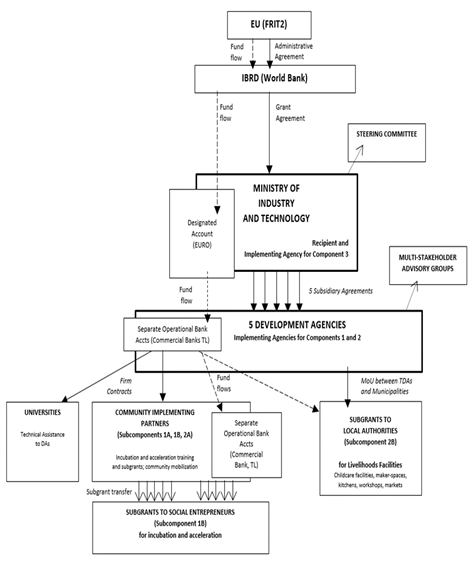
* + - Project management and coordination
    - Preparation of ToRs and selection of CIPs
    - Oversight and reporting of incubation and acceleration support services and subgrants
    - Procurement and approval of design contracts for livelihoods facilities
    - Approval of feasibility studies for livelihoods facilities
    - Oversight and reporting of subgrants to municipalities
    - Management of grievances
    - Environmental and Social risk management (screening, monitoring and reporting) of the project activities, ensuring compliance with the Project’s Environmental and Social Commitment Plan as per WB Environmental and Social Standards (ESSs).
    - Procurement and oversight of Institutional Capacity Needs Assessment and Reporting
    - Organizing capacity building activities for project partners (MoIT staff, TDAs, CIPs, national and local authorities)
    - Overall M&E and reporting
    - Overall FM of the project
    - FM and procurement for Component 3 and as requested by the TDAs
    - Project communications and EU visibility
    - Convening of Steering Committee

Components 1 and 2 will be implemented by Turkish Development Agencies (TDAs) located in the target provinces. Each TDA will appoint a Project Manager and ensure the management, technical, fiduciary, communications, and safeguards staffing to implement the project in the target provinces. TDAs will also manage the GRM at the regional level, and support implementation of the Communications and Visibility Plan working with and ensuring the collaboration of local authorities. TDAs will participate in the bid evaluation committees for the procurement to be conducted by the MoIT in their regions, and will sign the resulting contracts that will be implemented by respective TDAs. TDAs will also be responsible for monitoring the implementation of internal control systems related to the funds channeled to the Community Implementing Partners. These internal control systems as well as the role of the TDAs will be detailed in the SGM. The TDAs will sign subsidiary agreements with the MoIT prior to effectiveness.

To reach anticipated socioeconomic goals, the TDAs will utilize project funds to appoint, through a competitive procurement process, qualified non-state CIPs with experience of community-level action in their localities, incubation and acceleration support services, subgranting, community mobilization and development, support for refugees, grievance redress, and institutional capacity building. The MoIT will work with the TDAs to develop the ToR and to launch the CIP procurement process, and TDAs will sign firm contracts (under World Bank procurement procedures) with CIPs to implement project activities in defined project locations. It is anticipated that there will be one CIP per TDA. It is also anticipated that the CIPs will likely be associations comprising different organizations that contribute different knowledge and skills. A study of potential CIPs was conducted during preparation to better understand geographic coverage, scope, and technical/fiduciary capacity. The CIP procurement will be subject to ex-ante due diligence review by the World Bank.

CIP responsibilities will include organizing the selection process for refugee and host community members, based on the selection criteria and process spelled out in Chapter 2 of the POM, to enter the social entrepreneurship program; approval of microenterprise business plans, according to the process described in Chapter 3 of the POM; training, mentoring, and coaching activities for incubation and acceleration, and post-creation/post subgrant supporting services (included under Subcomponent 1A); and the community mobilization and social cohesion activities envisaged under Subcomponent 2A. TDAs will thus utilize the outreach capacity of local civil society and humanitarian organizations (e.g. community centers, one-stop centers) to identify social entrepreneur beneficiaries for the incubation and acceleration programs within the geographical areas defined for the project in each province and municipality. Fiduciary capacity assessments of the CIPs and corresponding TDAs will be carried out prior to any decisions regarding subgrant disbursement, to ensure the least fiduciary risk. The procedures for the disbursement of subgrants will be finalized and included in the SGM, which will be approved by the Bank within 60 days of effectiveness. The implementing partners, legal agreements, and fund flows are illustrated in Figure 6 below.

Figure 6. Project Institutional Arrangements: Implementing Partners, Legal Agreements, and Fund Flows



Given the different skills and experience needed to perform the CIP roles and responsibilities (e.g. community connection to refugees, social enterprise development), and the variation in the market in the different provinces, it is anticipated that joint ventures will be formed from a range of non-state organizations (including community-based organizations, national and international NGOs, universities, and chambers of commerce). It is also anticipated that universities with knowledge of the development of social enterprises and the social enterprise ecosystem will be key stakeholders at the regional level and may be contracted by the TDAs and MoIT to provide technical assistance.

The TDAs will work with the local authorities (i.e. municipalities and Governor’s offices) in their provinces to implement project activities under Subcomponent 2B, which aims to refurbish and rejuvenate existing buildings to support livelihoods-related activities in local communities (such as childcare facilities, kitchens, workshops, etc). Local authorities will prepare feasibility plans (according to templates prepared by MoIT) (including facility oversight, staffing, sustainability, and O&M plans) for the approval of the TDAs. The TDAs will sign an MoU with each participating local authority and will utilize a “guided project support” subgrant mechanism to channel funds to local authorities to carry out these activities. In order to avoid any perceived conflict of interest, the proposed livelihoods-related activity subproject will be approved by the MoIT before the TDAs sign the MoU with the relevant local authority. The local authorities will administer, in full, the construction contracts for refurbishment, and ensure ongoing O&M.

The MoIT and TDAs will jointly implement the communications and visibility aspects of the project. The MoIT and each TDA will both appoint staff to support the communications activities required for FRiT-financed projects. Communications activities will also be closely coordinated with the local authorities that will be engaged under Component 2, to manage any risks and maximize the opportunities of the participatory process of selection and development of the livelihoods facilities (see Chapter 6).

Table 5. Primary Roles and Responsibilities of Implementing Partners

| **Component** | **MoIT** | **Development Agencies**  **(TDAs)** | **Local Authorities** (Municipalities and Governor’s offices) | **Community Implementing Partners** (**CIPs)** |
| --- | --- | --- | --- | --- |
| **Subcomponent 1A:**  **Support services for SE incubation and acceleration** | * Selection of CIPs * Preparation of the relevant ToR for needs assessment and market studies * Planning of trainings and workshops for local stakeholders | * Preparation of the community needs assessments and local market analysis. * FM and procurement responsibilities * Sign contracts with selected CIPs * Support and oversight of neighborhood needs and market studies * Receipt of local needs for trainings and workshops * Collation of CIP reports * Monitoring/procurement oversight of incubation and acceleration support services and subgrants * Conduct agreed communications activities * Coordinate disbursement of subgrants to social entrepreneurs * M&E responsibilities |  | * Verification of community needs assessments and local market analysis. * Develop training plans * Launch of rounds of SE support services * Technical support services * Training services * Legal services * FM and procurement responsibilities * M&E responsibilities |
| **Subcomponent 1B:**  **Subgrants for SE incubation and acceleration** | * Oversight and reporting of incubation and acceleration support services and subgrants |  | * Manage disbursement of subgrants to social entrepreneurs * FM and procurement responsibilities * M&E of subgrants |
| **Subcomponent 2A: Mobilizing and capacity building for livelihoods-related facilities for women** | * M&E responsibilities | * Cooperation and support prior to construction | * Mobilization and capacity building activities * M&E responsibilities |
| **Subcomponent 2B: Subgrants for community-livelihoods-related facilities** | * Procurement and approval of design contracts for livelihoods facilities * Approval of feasibility studies for livelihoods facilities * Oversight and reporting of subgrants to municipalities | * Conclude MoUs with local authorities * FM and procurement responsibilities * Technical support for design contracts and feasibility studies * Disbursement of subgrants to local authorities * Monitoring of subgrants to local authorities | * Conduct feasibility studies for proposed facilities * Procurement, contracting, construction, and supervision of livelihoods facilities (proposed by Component 1 beneficiaries) | Collaboration with local authorities on design and monitoring |
| **Component 3:**  **Institutional capacity strengthening and project management** | * Procurement and oversight of Institutional Capacity Needs Assessment and Reporting * Organizing activities to   support policy and legislation development for SEs   * Organizing capacity building activities for project partners (MoIT staff, TDAs, CIPs, national and local authorities * Project management and coordination * Overall M&E and reporting * FM and procurement for Component 3 and as requested by the TDAs * Project communications and EU visibility * Convening of Steering Committee | * Provide all regional reporting for MoIT consolidation * Attend capacity building events organized by the MoIT | * Attend capacity building events organized by the MoIT | * Attend capacity building events organized by the MoIT |

* 1. **Project Steering Committee**

The project will be coordinated through a **Project Steering Committee**. The MoIT will convene and ensure the appropriate functioning of the Steering Committee, with representatives from the MoIT, as well as institutions such as provincial Governorates, provincial offices of the Turkish Employment Agency, provincial Directorates of Family, Labor and Social Services, Provincial Directorate of Migration, and other relevant stakeholders. The Steering Committee will have an important role in advising on implementation modalities and challenges, coordinating among relevant government institutions to facilitate the development of the legal framework for social business development, and to address any project coordination issues. The MoIT project team will carry out the secretariat role of the Steering Committee.

* 1. **Project Implementation Unit**

In accordance with the grant agreement, MoIT will establish a **Project Implementation Unit** (PIU) and the PIU will be active until the project is completed. The PIU team will include qualified procurement and FM specialists. The MoIT will ensure overall compliance with the provisions of the POM, which establishes the guidelines for the implementation of Components 1 and 2, as well as the implementation responsibility for safeguards, procurement, FM, M&E, and overall coordination. The leadership, coordination, and communications and visibility function of the MoIT PIU will be implemented under Component 3, which also includes a capacity building and strategy development function.

The PIU will be responsible for the coordination and supervision of project implementation, and will provide implementation support to all participants and stakeholders of the project. The PIU will be responsible for the execution of the project in accordance with the Environmental and Social Commitment Plan referred to in the Grant Agreement and the POM, as well as the adequate and timely monitoring, evaluation and reporting of the project. Within PIU, Social and Environmental Specialists, Monitoring and Evaluation Specialist and Social Entrepreneurship Specialist, IT Specialist and Communication Specialist will be employed, in view of the project subjects, in addition to the Project Coordinator, Financial Management Specialists and Procurement Specialist, who are expected to be employed in all World Bank projects. As necessary, short-term consultants may be hired to provide assistance on various subjects.

Consultants that will expected to be worked in the PIU as the core team are:

* + - 1 Project Coordinator
    - 2 Financial Management Specialists
    - 2 Procurement Specialists
    - 1 M&E Specialist
    - 1 Environmental Specialist
    - 1 Social Specialist
    - 1 Social Entrepreneurship Specialist
    - 1 Communications Specialist
    - 1 IT Specialist

As necessary, short-term consultants may be hired to provide assistance on various specialized subjects, and consultants may be hired in the TDAs. The procedures for the hiring of short-term consultants are set out in Chapter 12.

Summary information about the responsibilities of PIU consultants is mentioned below. In addition, ToRs of PIU members are in Annex 5.

**The Project Coordinator** will be responsible for the overall coordination of the project and also establishing the linkage and harmonization between MoIT, TDAs and CIPs. The Project Coordinator will ensure that the project activities are carried out following the project documents (Grant Agreement, PAD, PIP, POM, SGM), World Bank procedures and principles, and national legislation. The Project Coordinator is reporting to the Head of Department of MoIT, which is acting as the Project Director.

**The two Financial Management Specialists** will be responsible for FM, disbursement, and auditing arrangements throughout project implementation. The FM Specialists will perform these functions by using the systems and procedures of the MoIT and the project specific systems established under the project, as well as the project FM Manual, enable necessary coordination and support on FM issues and provide technical support to the MoIT for project-related FM issues. The FM specialists will report to the Project Coordinator, and when needed, they can directly contact the Project Director.

**The two Procurement Specialists** will be responsible for the preparation/updating/uploading the approved procurement plan into the STEP[[3]](#footnote-3) system in the required format before submission of it to the WB and also assist to the PIU to ensure that procurement of all goods and services are undertaken following the approved Procurement Plan. The two Procurement specialists will prepare procurement-related documents such as invitations to bid, standard bidding documents, bid clarification and eventual amendments, bid evaluation reports, etc.) and obtain timely WB no-objections for procurement documents. The two Procurement Specialists will report to the Project Coordinator, but when needed, they can directly contact the Project Director.

**The M&E Specialist** will be establishing a well-designed M&E and reporting system in line with the results framework and performance indicators. The M&E specialists will also contribute to the design of the MIS for the project. Preparing and dissemination of regular M&E reports, as well as the annual progress report, is under the responsibility of the M&E specialist. He/she will disseminate these reports to relevant stakeholders with the approval of MoIT. **The Environmental Specialist** will be responsible for ensuring adequate and regular management of the environmental risks associated with the project implementation as per the requirements of the respective ESSs included in the Environmental and Social Framework (ESF) of the World Bank, environmental compliance of the project at each stage of project implementation, introduce early identification and proper handling of project-related environmental matters as the envisaged by respective Environmental and Social Management Framework (ESMF).

**The Social Specialist** will be responsible for managing the implementation of the procedures and management plans related to labor and working conditions, stakeholder/citizen and community engagement, social and socioeconomic impacts, gender, social inclusion, grievance mechanism, community health, and safety. Also, the Social Safeguards Specialist will be responsible for ensuring adequate and regular management of the social risks associated with the project implementation as per the requirements of the respective ESSs included in the ESF of the World Bank. The Social Specialist will also conduct social risks and impacts reviews, internal supervision of project operations, and the contractors’ activities to ensure compliance with ESMF, Labor Management Procedure (LMP), and Stakeholder Engagement Plan (SEP). The Social Specialist and Communication Specialist will work together to implement the SEP, especially on designing communication and outreach activities for different groups.

**The Social Entrepreneurship Specialist** will support the implementation of the Project activities as set out under Component 1 and Component 2 such as development, design and implementation of social enterprise incubation and acceleration services and to supervise and provide technical assistance to project implementation agencies for building social entrepreneurship ecosystem.

**The Communication Specialist** will be responsible for preparing a communication strategy and action plan that steers communications activities, including a work calendar and communications budget. He/she will also supervise all content needed to perform the project-related visibility activities (launch, workshops, communication outreach events at local level, evaluation and closing etc.) as well as information/public relation activities for beneficiaries in pilot provinces, and visibility studies about the content.

**The IT Specialist** will be responsible for cooperation and coordination with MoIT on developing the required modules in the project, preparing analysis documents including function and technical analysis, preparing flow and process designs for internal and external users, supervision and monitoring to check that the system is functioning properly in coordination with the system users/managers, and if necessary, determine the problems and prepare reports for necessary improvements and conduct the necessary follow-up.

It is envisaged that the MIS will be established to monitor performance indicators regularly and accurately. This system will play a supportive role in monitoring the quantitative progress in the project through regular and instant reports on various aspects, in addition to facilitating the operation of the project. The MIS will allow searching for and analyzing all the information collected and entered into the system with respect to capacity building activities, community mobilization, as well as the status of a subproject cycle. The MIS-generated reports will form an integral part of MoIT reports. This system will be used by MoIT staff, PIU, and TDAs. More information on the MIS is given in Chapter 7.

* 1. **Annual Work Plan and Budget**

The PIU will prepare annual work plans and budgets, and ensure the design and implementation of the POM.

**Consultation during annual work plan and budget preparation**

This will be conducted at the MoIT central level, with participation of TDAs, as follows:

* + - By the end of each financial year[[4]](#footnote-4) (no later than the second week of November of the preceding year), MoIT and TDA coordinators jointly with financial specialists, procurement officers and responsible staff specialists of these projects conduct a series of separate and joint meetings to discuss and make decisions on the results of work plan and budget implementation, taking into account the performance of PDO indicators and intermediate results of each component and subcomponent/directions of all and each project. Relevant decisions on the project plan and budget preparation for upcoming year are discussed and made, with the definition of terms and responsible departments/specialists for their preparation.
    - In desired terms and in accordance with the approved formats, procurement and, financial specialists of the MoIT/PIU under the general management of coordinator in close cooperation with TDAs will develop draft plans and budgets.
    - After agreement on the draft plans and budgets at the Project level, the Project Coordinator submit them to MoIT management.
    - After agreement with MoIT management, the draft work plans and budgets are sent to the World Bank for review in accordance with the established deadlines and procedures.
    - After receiving of World Bank official approval, the draft work plans and budgets are approved by MoIT management, and signed.

MoIT is required to submit an annual work plan to the World Bank for no objection. The work plan is due by 15 December each year after approval by the Project Director of MoIT. The annual plan has two parts: a narrative work plan and an annual budget projection.

**Narrative work plan**

The Project Coordinator is responsible for coordinating the preparation of the annual work plan by the MoIT staff, PIU Specialists and TDAs. A draft overall work plan is provided to all specialists for comments. They in turn use this overarching work plan as the basis to develop individual plans and plans for each project unit. After receiving comments internally, the plan is revised and finalized.

The work plan should describe expected progress of the following year’s activities in quantitative and qualitative terms. The work plan should contain information for the upcoming year, including but not limited to, on:

* + - *Trainings* – the planned number of trainings, the training schedule and any modifications deemed necessary to the curriculum or training materials
    - *Incubator and accelerator support services* – the planned number of support services, schedule for implementing support services under component 1 and any modifications deemed necessary to the design of support services
    - *Capacity building and facilitation activities* – the schedule and design of capacity building and facilitation activities under Component 2
    - *Project-financed livelihoods facilities* – the planned number of facilities, schedule for livelihoods facilities activities under Component 2
    - *Community meetings/training sessions* – the planned number and schedule of such activities for each component, any modifications deemed necessary
    - *Analytical studies –* Number and schedule of planned activities for assessments, studies, surveys etc. foreseen especially under Component 3.
    - *Actions pending completion* – any prior activities that were not closed out in the outgoing Cycle/calendar year should be noted along with action plans for how they will be resolved in the upcoming calendar year
    - *Personnel changes* – any anticipated changes in staffing structure or personnel
    - *Corrective actions* – the work plan should have a section highlighting how any past challenges or problems are being addressed in the upcoming year’s activities.

**Annual projected operating budget**

The preparation of the annual budget that should be submitted with the workplan is described in Chapter 11 below.

**Reporting**

Details on reporting are given in Chapter 11.

* 1. **Good Governance Framework**

The MoIT will also adopt a good governance framework. The framework includes the following elements as set out below (see also Table 6 below):

* + - The code of conduct for staff
    - Beneficiary feedback mechanism
    - Social accountability mechanisms
    - Transparency and disclosure requirements

Table 6. Good Governance Framework

|  | **Action to Mitigate Risk** | **Responsibility** | **Target/ Monitoring** | **Implementation Status** | **Remaining Intermediate Steps** | **Revised Target Date** | **Any Resources Required** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **1. Staff Code of Conduct** | | | | | | | |
| a | Develop code of conduct for project and partner staff | MoIT project team/PIU | Have code of conduct in place/MoIT/PIU | The Code was developed | MoIT staff is acquainted | Y1-1 during implementation | After creation of PIU the Code of conduct will be delivered to the staff of TDAs |
| b | MoIT/PIU will organize internal capacity building on code of conduct | MoIT/PIU | Staff have understanding of the code of conduct/ MoIT/PIU | Needs to be conducted | Plan session and secure trainer | Y1-2 during implementation | This training will be conducted for the whole staff once the Project is launched |
| c | MoIT/PIU will ensure that the staff comply with the code of conduct | MoIT/PIU | Full compliance with code of conduct/ MoIT/PIU | Regular monitoring needs to be conducted | Ongoing monitoring | Y1-4 during implementation |  |
| d | MoIT/PIU to update code of conduct as necessary during implementation | MoIT/PIU | Up-to-date code/ MoIT/PIU |  | MoIT/PIU to monitor and recommend changes in code of conduct as necessary | Y1-4 during implementation |  |
| **2. Grievance Tracking System** | | | | | | | |
| a | Developed and detailed in the POM | MoIT/PIU | System developed/ MoIT/PIU | Completed. |  | Prior to effectiveness |  |
| b | System for logging feedback created | MoIT/PIU | System operationalized/ MoIT/PIU | Needs to be conducted |  |  |  |
| c | Regular feedback logged | MoIT/PIU | Feedback documented/ MoIT/PIU | Needs to be conducted |  | Y1-4 during implementation |  |
| d | Feedback responded to by project management/ MoIT/PIU | MoIT/PIU | Response to Feedback/ MoIT/PIU | Social specialist will be responsible for this |  | Y1-4 during implementation |  |
| e | MoIT/PIU to provide oversight, tracking and mitigation measures | MoIT/PIU | MoIT/PIU | Ongoing |  | Y1-4 during implementation |  |
| **3.Transparency and Disclosure** | | | | | | | |
| a | Project information, including project name, objective, source of funding, key dates, name of implementing agencies, and names of key project personnel posted | MoIT/PIU | Information posted/ /external Audit | Information on the Project will be published on MoIT web-site after the Project launch |  | Prior to effectiveness |  |
| b | Project documents posted, including project proposal agreed at appraisal, POM, and Financial Management and Disbursement Guide | MoIT/PIU | Information posted/ external audit | Information will be published on MoIT info portal/project web site |  | Prior to effectiveness |  |
| c | Progress reports (annual, quarterly, lessons learned) | MoIT/PIU | Posted and maintained/ external audit | Information will be published on MoIT info portal/project web site |  | Y1-4 during implementation |  |
| d | Financial statements | MoIT/PIU | Posted and maintained/external audit | Information will be published on MoIT info portal/project web site |  | Y1-4 during implementation |  |
| e | Procurement process& tendering documents | MoIT/PIU | Posted and maintained/ external audit | Information on the Project will be published on MoIT info portal/project web site after the Project launch |  | Y1-4 during implementation |  |
| f | Complaints handling | MoIT/PIU | Posted and maintained/ external audit | Information on the Project will be published on MoIT info portal/project web site after the Project launch |  | Y1-4 during implementation |  |

**CODE OF ETHICS AND OFFICIAL CONDUCT**

This Code of Ethics and Official Conduct shall be integrated in the contracts of the employees and consultants (as per WB procurement and ESF provisions for Sexual Exploitation and Abuse/Sexual Harassment prevention) and employees and consultants (including PIU members) would need to sign off them and keep the records.

1. **GENERAL PROVISIONS**
   1. The Code is a set of general principles of professional ethics and basic rules of official conduct by which the employee/consultant of the Project should be guided regardless of their position.
   2. Every Project employee/consultant, irrespective of their position, must take all necessary measures to comply with the provisions of the Code and every employee/consultant has the right to expect from other employees in relations with him/her the conduct that complies with the provisions of the Code.
   3. Knowledge and observance of the provisions of the Code is one of the criteria for assessing the quality of their professional activities and labor discipline.
   4. The Code is a guide to action when there is a conflict of personal interests and interests of MoIT, as well as in other situations of ethical choice. Employees/consultants are required to confirm their awareness of the requirements of the Code and the importance of reporting violations. Each employee/consultant is personally responsible for the implementation of the Code.
   5. For any issues related to the implementation of the Code, one can contact his/her immediate supervisor or other MoIT official.
   6. MoIT protects the confidentiality of information and the rights of employees/consultants in cases of filing bona fide complaints about a violation of the Code.
   7. Special responsibility for the observance of the Code rests with the governing structure of MoIT. Head of each department is obliged by personal example to encourage ethical behavior and observance of the law, to form a safety culture, to prevent and take prompt measures to eliminate violations of the Code, and to take into account the observance of the requirements of the Code when assessing the staff.
2. **RULES OF OFFICIAL CONDUCT OF EMPLOYEE/CONSULTANTS**
   1. Be honest and open.
   2. Timely and honestly report the error made.
   3. Strictly observe official and commercial secrets, do not allow situations where references to the need to protect information cover inefficiency or poor quality of work.
   4. Provide a full, accurate and coordinated representation of the MoIT position in cooperation with the state and municipal authorities, suppliers and contractors of works and services, public organizations and the mass-media.
   5. Do not take or give bribes in any form; do not condone bribery, extortion and embezzlement of property owned by MoIT within the projects implemented by MoIT.
   6. Eliminate the possibility of using official position for personal or group benefit, as well as for unfair competition.
   7. To carry out procurement activities in strict accordance with the legislation and maximum benefit for MoIT and for projects implemented by MoIT.
   8. Identify inefficient processes and management procedures; seek their change for the better.
   9. Effectively delegate authority, providing the necessary balance of responsibility and resources for the performance of the assigned task.
   10. To observe the rules of business communication, be punctual and impeccably polite with colleagues, business partners, representatives of the media and other stakeholders.
   11. Do not create the conditions for obtaining a certain benefit, taking advantage of their official position.
   12. Observe the rules of information provision established in MoIT.
   13. Behave in a proper manner, act in strict accordance with his/her work duties, principles and norms of professional ethics;
   14. Avoid situations that cause damage to business reputation and the credibility of the Project.
   15. Maintain a safe working environment, including by:
   16. ensuring that workplaces, machinery, equipment and processes under each person’s control are safe and without risk to health;
   17. wearing required personal protective equipment when needed;
   18. using appropriate measures relating to chemical, physical and biological substances and agents;
   19. following applicable emergency operating procedures;
   20. reporting work situations that he/she believes are not safe or healthy and remove himself/herself from a work situation which he/she reasonably believes presents an imminent and serious danger to his/her life or health;
   21. treating other people with respect, and not discriminate against specific groups such as women, people with disabilities, migrant workers or children;
   22. not engaging in any form of harassment, including sexual harassment and in Sexual exploitation with other Contractor’s or Employer’s Personnel;
   23. In World Bank financed projects/operations, sexual exploitation occurs when access to or benefit from Bank financed Goods, Works, Consulting or Non-consulting services is used to extract sexual gain;
   24. completing relevant training courses that will be provided related to the environmental and social aspects of the Contract, including on health and safety matters, and Sexual Exploitation, and Sexual Assault (SEA);
   25. reporting violations of this Code of Conduct; and
   26. not retaliating against any person who reports violations of this Code of Conduct, whether to us or the Employer, or who makes use of the [Project Grievance [Redress] Mechanism].
3. **PROTECTION OF INTERESTS OF THE EMPLOYEE/CONSULTANT**
   1. An employee/consultant, who performs professional duties in good faith, may be threatened, blackmailed, insulted and defamed in order to discredit his/her and Project activities.
   2. Protection of the employee/consultant from unlawful acts of a defamatory nature is the moral duty of the Project Management.
   3. The Project Manager should support and protect the employee/consultant in the case of a baseless charge against him/her.
   4. In case of false accusation of the employee/consultant in corruption or other unlawful actions, he/she has the right to refute these charges, including in the court.
4. **RECOMMENDATION ETHICAL RULES OF OFFICIAL CONDUCT OF EMPLOYEES / CONSULTANTS**

In his/her official conduct, the employee / consultant shall refrain from:

* 1. Any type of statements and actions of a discriminatory nature on grounds of gender, age, race, nationality, language, citizenship, social, property or family status, political or religious preferences;
  2. Rudeness, displays of scornful tone, arrogance, prejudiced remarks, presentation of unfair undeserved accusations, threats, abusive language or remarks and actions interfering with normal communication or provoking unlawful behavior.
  3. Employees/consultants should be polite, friendly, correct, attentive and tolerant in communicating with colleagues and other citizens.
  4. An appearance of the employee/consultant in performance of his/her work duties, depending on the working conditions, must correspond to the generally accepted business style, which is distinguished by moderateness, conventionality, and accuracy.

## CHAPTER 6. COMMUNICATIONS

* 1. **Description**

This chapter covers communication activities in order to conduct effective outreach and communication activities for target groups, highlighting the project outcomes and good practices and ensuring visibility of EU’s financial contribution in addressing the development needs of refugees and host communities. (see Annex 6 for the Communications and Visibility Plan).

* 1. **EU Requirements**

The communications plan is in line with the Communication and Visibility Requirements for EU External Actions document, and complemented by the visibility guidelines of the EU Delegation at: http://avrupa.info.tr/eu-funding-in-turkey/visibility-guidelines.html. The communications and visibility activities will be implemented in coordination with the EU Delegation in Turkey. EU Delegation will be informed about the events at least 10 days beforehand. Designs of all visibility materials, publications, promotional items, and videos will be submitted to the EU Delegation for review and approval before production. The communication and visibility activities will be in line with the Visibility Guideline prepared for non-humanitarian FRiT projects, available here: http://www.avrupa.info.tr/en/learn-about-eu-visibility-guidelines-16.

The Communications and Visibility Manual for EU External Actions Projects is funded under the EU Facility for Refugees in Turkey.

VisibilityGuidelines\_May2017\_FRIT\_EN\_20170605\_Final.docx

The EU-Turkey joint logo should be accompanied by the following text in English, Turkish, and Arabic (and any other language where needed):

 “This project is funded by the European Union.”

Example:



The materials, items for beneficiary usage, and office supplies to be used by the partners, etc. procured under EU funds should display the EU flag accompanied by the following text in English, Turkish, and Arabic (and any other language where needed):

“Funded by the European Union.”

Example:



The following disclaimer will be used in relevant materials: “This leaflet/brochure/video… has been produced with the financial support of the European Union. Its content is the sole responsibility of MoIT and may not reflect the views of the European Union.”

* 1. **Objectives, Scope and Parameters**

The overall communications objectives of the project are to help manage expectations and mitigate against local political and governance risks; facilitate outreach and engagement of refugees and host communities in project activities; and share results and disseminate project lessons learned with key audiences for broader impact. Activities will also seek to inform and communicate to project beneficiaries and project stakeholders, the EU’s financial contribution to support refugees and host communities in Turkey.

Communications messaging will focus on the benefits for refugees and host communities, that social enterprises supported by the project will bring together refugee and host community members in pursuit of shared socioeconomic goals, which will positively impact the local economy. Along with the new jobs created, the social enterprise focus of the project will help the beneficiaries of subgrants, support services, and livelihoods facilities find innovative solutions to pressing social issues in the host communities and broader society. In addition to the outreach to the direct beneficiaries of component 1, critical elements of the communications plan will be to: engage with and conduct sessions for municipal leaders regarding the project approach, the livelihoods facilities that will benefit the municipal population, and the need for sustainability of investments; and build broad awareness through the media on the project and its impact, highlighting the potential of social entrepreneurship as a solution for communities in Turkey.

Communications and visibility activities are also intended to communicate to project beneficiaries and stakeholders information about the EU’s financial contribution to support refugees and host communities in Turkey.

* 1. **Key Stakeholders, Messages and Communications Tools**

**Target groups**

* + - Project-affected parties (women and youth from refugee and host communities, vulnerable groups, male household members and community elders)
    - Potential/current social entrepreneurs
    - Private sector, businesses, companies, local stakeholders
    - Target municipalities
    - Media, national authorities, and communities/general public

Table 7. Specific Objectives for Each Target Group

| Target Group | Specific Communications Objectives |
| --- | --- |
| Project-affected parties (women and youth from refugee and host communities, vulnerable groups, male household members and community elders) | * To promote enrollment of potential beneficiaries into the acceleration and incubation social enterprise programs under the project. * To advocate and raise awareness on social entrepreneurship * To provide awareness on the project and its impact. promoting the project as an approach to help harmonize refugees into the socioeconomic life in Turkey. |
| Potential/current social entrepreneurs | * To promote enrollment of potential beneficiaries into the acceleration and incubation social enterprise programs under the project. |
| Private sector, businesses, companies, local stakeholders | * To increase visibility, public understanding, and awareness, and foster a common understanding among social enterprises, public institutions, and the private sector regarding the purpose and approach of social enterprises. * To advocate and raise awareness on social entrepreneurship for an enabling business environment with strategic, policy level, and future financing interventions. * To raise awareness to support a business alliance for the economic inclusion of refugees and host communities that promotes social enterprises’ services and products. |
| Target municipalities | * To carry out sensitization sessions for leadership of municipalities regarding the project approach and the livelihoods facilities that will benefit their communities. * To consult with target municipalities throughout implementation to promote their engagement and the sustainability of investments; and to manage any risks. |
| Media, national authorities, and communities/general public | * To provide awareness on the project and its impact; promoting the project as an approach to help harmonize refugees into the socioeconomic life in Turkey. * To highlight the potential of social entrepreneurship to offer solutions for communities in Turkey to support the progress of socioeconomic development. * To promote social enterprises to make their services or products visible for consumers and business networks. |

* 1. **Key Messages for Each Target Group**

**Project-affected parties (women and youth from refugee and host communities, vulnerable groups, male household members and community elders)**

* + - Socialentrepreneurship is a promising avenue for addressing key social and economic problems in your communities, including unemployment, social challenges, exclusion, and refugee integration.
    - The project will benefit both host communities and refugees.
    - A key motivation of the project is to unlock the potential of refugees and host communities by supporting economic empowerment and social cohesion. The project will support the development of social enterprises and ensure sustainable access to livelihoods facilities that bring benefits to women, youth, and others from both refugee and host communities, boost local economies, and generate local employment.
    - You can strengthen your business skills, receive training and coaching support and legal advice, and be eligible for subgrants to run your own social enterprise. Learn about entrepreneurship and grant opportunities from our service points and online platforms.

**Potential/current social entrepreneurs**

* + - You can strengthen your business skills, receive training and coaching support and legal advice, and be eligible for subgrants to run your own social enterprise. Learn about entrepreneurship and grant opportunities from our service points and online platforms.
    - Social enterprises supported by the project will bring together refugee and host community members in pursuit of shared socioeconomic goals, which will positively impact the local economy. Along with the new jobs created, the social enterprise focus of the project will help the beneficiaries of subgrants, support services, and livelihoods facilities find innovative solutions to pressing social issues in the host communities and broader society.

**Private sector, businesses, companies, local stakeholders**

* + - Social entrepreneurship is a promising avenue for addressing key social and economic problems in your communities, including unemployment, social challenges, exclusion, and refugee integration. The project will benefit both host communities and refugees.
    - Private sector support to social enterprises has social, economic, and financial value.
    - There is significant opportunity for partnerships and business alliances with social enterprises under the project. This will also promote the sustainability of project investments.

**Target municipalities**

* + - A key motivation of the project is to unlock the potential of refugees and host communities by supporting economic empowerment and social cohesion. The project will support the development of social enterprises and ensure sustainable access to livelihoods facilities that bring benefits to women, youth, and others from both refugee and host communities, boost local economies, and generate local employment.
    - Social entrepreneurship is a promising avenue for addressing key social and economic problems in your communities, including unemployment, social challenges, exclusion, and refugee integration.
    - Municipal leaders have a key role to play in supporting sustainable livelihoods facilities under the project that will support social entrepreneurship and provide wider social and economic benefits to your communities (like daycare centers, markets, workshops).

**Media, national authorities, and communities/general public**

* + - Increasing access to economic opportunities is a key component of achieving protection and lasting solutions for the socioeconomic integration of refugees. Economic inclusion requires access to labor markets, finance, and/or services and facilities that would support entrepreneurs to establish income-earning businesses.
    - The project will support the creation and development of social enterprises and ensure sustainable access to livelihoods facilities that bring benefits to women, youth, and others from both refugee and host communities, boost local economies, and generate local employment.
    - Social enterprises supported by the project will bring together refugee and host community members in pursuit of shared socioeconomic goals, which will positively impact the local economy. along with the new jobs created, the social enterprise focus of the project will help the beneficiaries of subgrants, support services, and livelihoods facilities find innovative solutions to pressing social issues in the host communities and broader society.
    - The project will benefit both host communities and refugees.
  1. **Activities and Procedures**

**Opening and closing ceremonies**

To inform the public and all stakeholders, a launch event will be organized, presumably virtual at least at the beginning of the project (due to the pandemic), with the participation of high-level officials from public institutions and international organizations, local and national stakeholders. The national press will be invited to the event and a press release will be distributed to national media. A video/presentation about project’s activities and objectives will be screened during the launch event. Launch event will be announced from social media channels and websites of MoIT and the TDAs. All the health measures will be taken due to Covid-19 in case the event takes place in person. A Closing event will be held at the end of project implementation by featuring major Project outcomes through beneficiaries.

**Information campaigns in 11 provinces**

Information campaigns will be organized in each target province with the participation of officials from local public institutions and international organizations, and local stakeholders to inform all local stakeholders and outreach to community members. Local press engagement could be considered if local outreach networks do not meet the target number of applications.

*Indicative communication tools*: Conferences, meetings, brochures, posters, infographic of the application process, information desks, social media posts, Whatsapp, and social media groups that are favored for communication by target beneficiaries.

**Awareness-raising events (e.g. conferences/festivals) on social entrepreneurship, including to support the development of business alliances and information campaigns in 5 regions**

Awareness-raising events in five regions will be held to:

* + - Increase awareness, and foster a common understanding among social enterprises, public institutions, and the private sector regarding the purpose and approach of social enterprises.
    - Advocate and raise awareness on social entrepreneurship for an enabling business environment with strategic, policy level, and future financing interventions.
    - Raise awareness to support a business alliance for the economic inclusion of refugees and host communities that promotes social enterprises’ services and products.
    - Provide local stakeholders and community members with detailed information about the component activities, including where relevant, critical supporting activities for men.
    - Build broad awareness on the project and its impact, highlighting the potential of social entrepreneurship as a solution for communities in Turkey.
    - Address the needs of refugee women, gender inequality, and gender-based violence (the project will complement gender-related efforts).

*Indicative communication tools:* Outreach events with diverse activities to showcase the products or services of project beneficiaries. Festivals, panels, workshops, concerts to showcase the work of project beneficiaries/social entrepreneurs, including video and photo documentation and dissemination of the event.

Events will be organized in each of the five regions in-person or virtual (depending on the state of the pandemic). All health measures will be taken due to COVID-19 in case the event takes place in-person.

**Community engagement events for livelihoods-related facilities to inform communities (refugees and host communities), local authorities and the media**

* + - 11 provinces - broad outreach to community members

Community engagement events in all provinces will aim to enhance community cooperation during the project, provide a forum for trust building and collaboration between refugees and host communities, and communities and local authorities, as well as resulting in the concrete benefit of livelihoods facilities that directly or indirectly facilitate the development of efficient and sustainable social enterprises. Events will be organized in each of the 5 regions in-person or virtual (depending on the state of the pandemic). All the health measures will be taken due to Covid-19 in case the event takes place in-person.

*Indicative communication tools:* Various community engagement events, such as opening ceremonies for completed facilities, arts and crafts workshops for children, concerts for youth, engagement activities for women.

**Documentary series**

* + - 11 episodes (to be confirmed) from diverse project areas
    - In the final year of the project

A documentary series to inform the public about the success stories will be produced. Videos will focus on one pilot province in each episode while showcasing the stories of women entrepreneurs (project beneficiaries) who are successful in their work. The stories of employees in the enterprises as well as livelihoods facilities could also be featured.

*Indicative communication tools*: The video will be shared on the social media channels and websites of MoIT and the TDAs. They will also be shared with national and local press.

**Visibility, outreach materials, and graphic design services**

The actions include:

* + - Design of the project’s visual identity
    - All the design, print, translation, and distribution work of outreach and visibility materials (brochures, posters, infographics)
    - Visual enhancement of registration desks
    - Visibility materials for information campaigns, awareness-raising events, and community engagement events
    - Design work for social media templates
    - Design work for the visuals on the project website
    - Production and placement of visibility materials in the 11 provinces
    - Media management services
    - Design, development and management of project’s online presence:
  + A website will be positioned as a communication tool, which will reflect the project’s successful outcomes and positive reflections. The website will contain quality images, videos and digital publications which will be in English, Turkish and Arabic. It is one of the important goals of the communication that the website conveys accurate and updated information during the project.
  + The social media tools (e.g. Facebook, Twitter, Instagram and Youtube) will be used to provide information and reflect project’s outcomes to all stakeholders.
  1. **Roles and Responsibilities**

The PIU is the main party responsible for the project’s communication activities. It will provide supply management in the following areas:

* + - Project visibility - communication design
    - Social media management
    - Event management
    - PR and media relations

Communication activities will be maintained from different channels throughout the project implementation process and the process will be managed in close coordination with the EU. The tools will be used during the project with the support of suppliers and with the coordination of the Communication Specialist in the PIU to reach the project communication goals.

**Dissemination** of the visibility materials will take place through two channels: one for project activities that will be implemented directly by PIU/MoIT and one for those by contracted CIPs (see Figure 7).

Figure 7. Visibility Materials Dissemination Process

## CHAPTER 7: MONITORING AND EVALUATION

* 1. **Objectives, Scope, and Principles**

This chapter includes how M&E will be undertaken in order to collect, present, and assess program progress and outcomes, as outlined in the results framework (see the Results Framework below). The overall objective of M&E efforts through the project is to ensure the effective, efficient and transparent delivery of Project activities with maximum impact and to promote real-time learning and improvements throughout the project cycle.

* 1. **Goals**

The goals of the M&E activities are as follows:

* + - Provide MoIT and other stakeholders with regular information on the progress of the Project and its outputs
    - Identify the issues and obstacles encountered during project implementation
    - Promote results and performance management, leading to improved implementation
    - Ensure compliance of the Project implementation with regulatory documents- Grant Agreement, Project Agreement, and Operational Manual, etc.
    - Determine the MoIT's success in achieving the goals and objectives set, and the level of its impact on the social environment and capacity of the intended beneficiaries
    - Support acceptable environmental and social impact standards
    - Providing a means to inform the project’s stakeholders about progress, challenges, and opportunities
    - Assess project risk and update mitigation strategies
  1. **Principles**

The key M&E principles will be:

* + - M&E will be practiced by all managers and implementers. M&E is a basic management function and the MoIT/PIU team will facilitate others to appreciate and practice M&E.
    - Performance targets will be used to ensure implementation remains on track; managers are expected to understand their targets and to design interventions and adjust their activities in order to meet them.
    - M&E will promote learning and evidence-based decision making, in an open and transparent manner.
    - M&E systems will be kept as simple as possible; where computerization is used web-enabled systems where information is available in real time will be promoted.
    - Community and participatory monitoring will be promoted.
    - Gender and youth will be mainstreamed into all M&E practice. A gender target that 70 percent of the beneficiaries should be women/girls will also be rigorously implemented and checked through M&E efforts.
    - When relevant, the OECD’s M&E definitions for outcomes, outputs, indicators, etc. will be used (see https://www.oecd.org/dac/evaluation/2754804.pdf).
    - Where possible, control and treatment groups will be used to attribute changes caused by the project; the principles of the International Initiative for Impact Evaluation (3ie) will be adhered to (see www.3ieimpact.org/media/filer\_public/2015/02/26/3ie\_principles\_of\_ie.pdf).

|  |
| --- |
| * **Results Framework** |
| **COUNTRY: Turkey  Social Entrepreneurship, Empowerment and Cohesion in Refugee and Host Communities in Turkey Project** |

|  |
| --- |
| **Project Development Objectives(s)** |
| The PDO is to improve livelihoods opportunities for women in refugee and host communities in targeted areas of Turkey |

|  |
| --- |
| **Project Development Objective Indicators** |

| **RESULT\_FRAME\_TBL\_PDO** |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Indicator Name** | **PBC** | **Baseline** | **Intermediate Targets** | | | **End Target** |
|  |  |  | **1** | **2** | **3** |  |
| **Increased earnings for refugees and host community members** | | | | | | |
| PDO 1. Percentage of beneficiaries (social entrepreneurs and employees) whose earnings have increased as a result of project interventions (Text) |  | 0.00 | 50% | 60% | 70% | 70% |
| PDO 2. Percentage of beneficiaries reporting that access to project-supported livelihoods facilities enables their participation in social enterprises (Text) |  | 0.00 | 50% | 60% | 70% | 70% |
| **Increased cooperation within target communities** | | | | | | |
| PDO 3. Percentage of refugees and host community beneficiaries reporting that project activities have improved cooperation between refugees and host communities (Text) |  | 0.00 | 10% | 20% | 40% | 50% |
| **Increased effectiveness of project implementing agencies support for SEs and refugee-related action** | | | | | | |
| PDO 4. Percentage of project-supported social entrepreneurs reporting that: (a) support services; (b) subgrants, meet their needs (Text) |  | 0.00 | (a) 60% (b) 70% | (a) 65% (b) 70% | (a) 70% (b) 70% | (a) 70% (b) 70% |
| PDO 5. Total number of refugee and host community members supported under the project (Number) |  | 0.00 | 2,500.00 | 8,500.00 | 14,500.00 | 19,000.00 |

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| **PDO Table SPACE** |

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| **Intermediate Results Indicators by Components** |

| **RESULT\_FRAME\_TBL\_IO** |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Indicator Name** | **PBC** | **Baseline** | **Intermediate Targets** | | | **End Target** |
|  |  |  | **1** | **2** | **3** |  |
| **Social Entrepreneurship for Women and Youth in Refugee and Host Communities** | | | | | | |
| IR 1.1 Number of beneficiaries supported by the project recieving training to incubate or accelerate SE startups (Number) |  | 0.00 | 750.00 | 2,250.00 | 3,750.00 | 4,400.00 |
| IR 1.2 Number of project-supported SEs: (a) incubated; (b) accelerated (Text) |  | 0.00 | (a) 600 (b) 30 | (a) 1700 (b) 130 | (a) 2800 (b) 230 | (a) 3350  (b) 320  (of which, more than 2230 refugee beneficiary SEs) |
| IR 1.3 Number of refugee and host community members employed in project-funded SEs (Text) |  | 0.00 | 300.00 | 900.00 | 1,500.00 | 2000  (of which, more than 1000 refugees employed in project-supported SEs) |
| IR 1.4 Number of responsible business sourcing alliances estalished with project support (Number) |  | 0.00 | 5.00 | 10.00 | 15.00 | 20.00 |
| **Component 2: Community livelihoods-related facilities in refugee and host communities** | | | | | | |
| IR 2.1 Percentage of local authorities utilizing project funds to establish livelihoods facilities requested jointly by refugees and host communities (Text) |  | 0.00 | 0.00 | 50% | 70% | 90% |
| IR 2.2 Number of livelihood-facilities supported by the project (e.g. maker-spaces, co-worker spaces, child care facilities) that meet agreed criteria (Number) |  | 0.00 | 20.00 | 40.00 | 60.00 | 70.00 |
| IR 2.3 Number of refugee and host community members utilizing livelihoods facilities supported by the project (Number) |  | 0.00 | 2,000.00 | 5,500.00 | 9,500.00 | 11,000.00 |
| IR 2.4 Percentage of local authorities (a) producing timely feasibility plans for livelihood-related facilities, and (b) including the project-supported facility on their annual O&M budget (Text) |  | 0.00 | (a) 100% (b) 100% | (a) 100% (b) 100% | (a) 100% (b) 100% | (a) 100% (b) 100% |
| IR 2.5 Percentage of livelihoods facilities operated/managed by project-supported social enterprises (Text) |  | 0.00 | 0.00 | 20.00 | 30.00 | 35.00 |
| **Component 3: Institutional Capacity Strengthening and Project Management** | | | | | | |
| IR 3.1 Number of MoIT, TDA and other national/local stakeholders trained in social entrepreneurship and other project functions (Number) |  | 0.00 | 100.00 | 200.00 | 300.00 | 400.00 |
| IR 3.2 Development of social enterprise strategy and policy recommendations (Text) |  | 0.00 | (1) Update of analysis and mapping of ecosystem | (2) Workshops held on Turkey’s ecosystem and international best practice | (3) Draft report with recommendations on policy, legal and financing framework | (4) Final report and dissemination workshops held. |
| IR 3.3 Number of learning and capacity building events held on project-related topics (Number) |  | 0.00 | 7.00 | 13.00 | 19.00 | 25.00 |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Monitoring & Evaluation Plan: PDO Indicators** | | | | | | | | |
| **Indicator Name** | **Definition/Description** | **Frequency** | | **Datasource** | | **Methodology for Data Collection** | | **Responsibility for Data Collection** |
| PDO 1. Percentage of beneficiaries (social entrepreneurs and employees) whose earnings have increased as a result of project interventions | Measures whether the livelihood opportunities offered by the project for both social entrepreneurs and their employees have increased their earnings supported through the project (disaggregated by refugees/host community members; gender; youth, and reported by the TDA) | Baseline, Mid-line, End-line | | Review of SE accounts | | Project surveys | | TDAs/MoIT |
| PDO 2. Percentage of beneficiaries reporting that access to project-supported livelihoods facilities enables their participation in social enterprises | Beneficiary feedback measures whether the support for livelihoods facilities better enables women (and youth) to engage in livelihood opportunities (disaggregated by gender and location) | Annual; Baseline, Mid-line, End-line | | Beneficiary feedback; Survey results | | Interactive community scorecard; Project surveys | | TDAs/MoIT |
| PDO 3. Percentage of refugees and host community beneficiaries reporting that project activities have improved cooperation between refugees and host communities | Beneficiary feedback measure on whether project activities contribute to greater cooperation in the community (one measure of social cohesion). “Cooperation” is defined by communities in initial community meetings for Component 2.  (disaggregated by refugees/host communities, location, gender, youth) | Each cycle; Baseline, Mid-Line, End-Line | | Beneficiary feedback results; Survey results | | Interactive community scorecard; Project surveys | | TDAs/MoIT |
| PDO 4. Percentage of project-supported social entrepreneurs reporting that: (a) support services; (b) subgrants, meet their needs | Perception measure on whether project-supported entrepreneurs view project activities as relevant and meeting their needs (disaggregated by refugees/host communities, location and gender, youth) | Each cycle; Baseline, Mid-line, End-line | | Interactive community scorecard; beneficiary survey results | | Interactive community scorecard; beneficiary survey | | TDAs/MoIT |
| PDO 5. Total number of refugee and host community members supported under the project | Measures the total number of beneficiaries of project activities under Components 1 and 2, includes SE trainees and subgrantees, employees and users of livelihood facilities (disaggregated by refugees/host communities, location, gender, youth) | Annual | | MIS, CIP Monitoring Reports | | Review of project monitoring records | | TDAs/MoIT |
| **Monitoring & Evaluation Plan: Intermediate Results Indicators** | | | | | | | | |
| **Indicator Name** | **Definition/Description** | **Frequency** | **Datasource** | | **Methodology for Data Collection** | | **Responsibility for Data Collection** | |
| IR 1.1 Number of beneficiaries supported by the project receiving training to incubate or accelerate SE startups | Measures the number of participants in the support services that receive SE incubation or acceleration training/coaching support for SE development. (disaggregated by refugees/host community members; gender; youth). At least 50 percent beneficiaries of training to be refugees. | Semi-annual | MIS | | Review of project monitoring reports | | TDAs/MoIT | |
| IR 1.2 Number of project-supported SEs: (a) incubated; (b) accelerated | Measures the number of SEs incubated or accelerated through project support  (disaggregated by refugees/host community member SEs; gender; youth) | Semi-annual | MIS | | Review of project monitoring reports | | TDAs/MoIT | |
| IR 1.3 Number of refugee and host community members employed in project-funded SEs | Measures the number of people (in addition to the subgrantees) who join project-supported SEs to support their livelihoods SEs (disaggregated by gender and refugee/host community, employed and self-employed). | Semi-annual; Baseline, Mid-Line, End-line | MIS; survey results | | Review of project monitoring reports; survey of SEs supported by the project | | TDAs/MoIT | |
| IR 1.4 Number of responsible business sourcing alliances established with project support | Measures the number of companies engaged in responsible sourcing alliances developed under the project (assumes an average of 3 alliances per project TDA linked to size of allocation) (disaggregated by location) | Semi-annual | MIS | | Review of project monitoring reports | | TDA/MoIT | |
| IR 2.1 Percentage of local authorities utilizing project funds to establish livelihoods facilities requested jointly by refugees and host communities | Measures whether local authorities (municipalities and Governors’ offices) acted on joint community decisions for livelihoods facilities (disaggregated by location) | Semi-annual | MIS | | Review of project monitoring reports | | TDA/MoIT | |
| IR 2.2 Number of livelihood-facilities supported by the project (e.g. maker-spaces, co-worker spaces, child care facilities) that meet agreed criteria | Measures the number of livelihoods facilities that meet the project ToRs (disaggregated by location) | Semi-annual | MIS | | Review of project monitoring reports | | TDA/MoIT | |
| IR 2.3 Number of refugee and host community members utilizing livelihoods facilities supported by the project | Measures the number of people utilizing livelihoods facilities; includes all users of livelihoods facilities, including and beyond component 1 beneficiaries (disaggregated by gender, youth, location) | Baseline, Mid-line, End-line | Survey results | | Project surveys | | TDA/MoIT | |
| IR 2.4 Percentage of local authorities (a) producing timely feasibility plans for livelihood-related facilities, and (b) including the project-supported facility on their annual O&M budget | Measures timeliness, sustainability and institutionalization of livelihoods investments by local authorities (municipalities and Governors’ offices) | Semi-annual | MIS | | Review of project monitoring reports | | TDA/MoIT | |
| IR 2.5 Percentage of livelihoods facilities operated/managed by project-supported social enterprises | Measures whether local authorities enable Social Enterprises to manage the facilities (e.g. kitchens, maker spaces) that the project invested in (disaggregated by location) | Semi-annual | MIS | | Review of project monitoring reports | | TDA/MoIT | |
| IR 3.1 Number of MoIT, TDA and other national/local stakeholders trained in social entrepreneurship and other project functions | Measures number of learning and capacity building events as a of those planned(disaggregated by location, topic) | Semi-annual | MIS | | Review of project monitoring reports | | MoIT/TDAs | |
| IR 3.2 Development of social enterprise strategy and policy recommendations | Measures level of completion of MoIT support to a social enterprise enabling framework in Turkey. | Annual | MIS | | Review of project monitoring reports | | MoIT/TDAs | |
| IR 3.3 Number of learning and capacity building events held on project-related topics | Measures commitment to capacity building (disaggregated by location) | Annual | MIS | | Review of project monitoring reports | | MoIT/TDAs | |

* 1. **Activities and Procedures**

**M&E implementation and institutional arrangements**

M&E will be undertaken by an M&E specialist appointed by MoIT/PIU. He/she will be responsible for:

* + - Agreeing with the World Bank and other relevant stakeholders on annual targets for all indicators and managing performance in line with these targets.
    - Collecting all indicators in the results framework and implementing all the M&E processes described in this manual.
    - Making data, including raw data from surveys, databases and other instruments publicly available and readily accessible in a timely basis.
    - Ensuring the accuracy and credibility of all data and information provided, including the collection of relevant means of verification.
    - Preparing quarterly and annual reports on a timely basis.
    - Learning what is working, what is not and why.
    - With the World Bank, ensuring the completion of an independent mid-term review and a project completion report.
    - Working closely with program management and communications experts to ensure M&E results are explained in a simple and useful manner and are appropriately disseminated.
    - In terms of additional institutional arrangements, the M&E specialist will be responsible for routine control and monitoring through regular and ad-hoc reports provided by the Project, independent auditors’ reports, specific survey reports, spot checks, etc.

**M&E processes**

The following M&E activities will be implemented:

* + - Activity 1: Manage results by establishing clear performance targets
    - Activity 2: Computerize the operations manual, to monitor key processes and generate required reports and indicators
    - Activity 3: Develop and implement surveys
    - Activity 4: Undertake regular spot checks and supervision missions to monitor implementation and assess data quality
    - Activity 5: Implement learning initiatives
    - Activity 6: Prepare annual, semi-annual, and other implementation reports
    - Activity 7: Complete mid-term evaluation and end of project external reports
    - Activity 8: Develop the M&E capacity of key program managers and implementers

**Activity 1 - Manage results by establishing clear performance targets**

Performance management is different than M&E. It is the process by which an organization identifies its goals and priorities and then goes about ensuring they are met. It starts with targets and works backwards from them. It often involves: (i) developing a culture and willingness to learn; (ii) strategic planning (the development of clear targets, priorities and organizational goals based on problem analysis and client needs); (iii) accountability and aligning organizational goals to individual goals; (iv) development of mechanisms and processes to discuss and debate performance (for example, clear, well designed meetings) and (iv) making clear public statements (being more transparent to stakeholders) in the form of performance commitments. It is about managing for results, creating incentives for results, and being accountable for results. Performance management systems are often very simple and often do not require large financial investments or significant quantities of data.

Each indicator will have an annual performance target. The focus on targets will be at the activity / output level (i.e. the implementation level). These indicators are at the subcomponent level. Targets have been developed to be ambitious but realistic. They have been developed to be challenging and to “stretch performance.” The assumption in developing targets is that it is better to reach 80% of a set of challenging targets, than 100% of a set of trivial targets. The M&E Specialist and other managers are expected to:

* + - Understand and own all performance targets described in the results framework and operations manual.
    - Plan and adjust their activities and budgets in order to ensure targets are reached.
    - Understand why targets may or may not have been met.
    - Be accountable for achieving most of their implementation targets; accountability in this sense means “answerable,” being able to provide credible and acceptable reasons when performance has been below expectation.
    - Review progress against targets during internal meetings with staff and external meetings with development partners; report publicly and honestly on targets.
    - Be able to verify reported values.

Each year, the planning process will begin with a review of all upcoming performance targets and an assessment of past and current performance (against targets). Activities will be developed and resources allocated to ensure targets are achieved. Where targets are very unrealistic or were miscalculated and are therefore not achievable, the M&E Specialist and MoIT team will revise them with the consent of the World Bank.

Quarterly and annual reports will review progress against each and every annual performance target, will contain a time series of targets vs. actual performance, and, where performance falls shorts will provide detailed reasons why targets were not met. In interpreting targets, in many cases the end result is more important than intermediate results or the path taken.

**Activity 2 - Computerize the operations manual and generate required report/indicators**

Key procedures and steps of the operations manual will be computerized. Computerization (MIS) has several objectives. The first is to provide tools that will enable technical and administrative staff to be more productive and effective. The software developed will support the implementation of processes described in these operations manual. Well-designed software can help ensure that jobs are done on time, the right people are kept informed, that each step is followed and that remedial action is taken promptly. So, as well as managers having the information necessary to manage the process, by virtue of the data being stored on a secure server, it is possible for authorized users at different levels to monitor progress. This will deliver relevant and timely information about the functions each party performs. Since information is computerized, standard reports and indicators will be generated automatically. The system will undertake all calculations, minimizing the risk of human error. Creating standard and automatic reports based on the data entered will reduce the reporting burden and minimize potential repeat requests for information. Using the same system, it will also be possible to produce reports that will keep local citizens and communities as well as development partners informed about the activities undertaken, in real time. Using the same data, different reports can be produced for different audiences. The system will maintain historical data from its point of development onwards (i.e. maintain a history of implementation and a time series of data).

Some key elements (user requirements) of the MIS are as follows:

* + - It implements the POM and tracks (i.e. records) indicator targets, i.e. to undertake a **comprehensive process monitoring approach.**
    - Responsible parties (actors) are identified for implementing each step or process; these implementers are also responsible for providing the relevant information and data, documenting each step they undertake.
    - Data collection forms are created for each step and assigned to each implementer; forms are printed automatically from the system.
    - The system monitors what forms were filled out by whom and which data is incomplete.
    - Ideally, supporting evidence (such as attendance lists for training) can be scanned and uploaded as a means of verification.
    - All relevant indicators in the results framework are automatically generated (implementers do not undertake calculations, the computer does).
    - Based on data inputted, automatic reports are generated. These reports are designed according to the needs of various managers and users, document all processes and can compare all indicators against their targets.
    - Ideally, reports can be dynamically filtered or grouped for analytical purposes.
    - The system is easy to use, not-fragmented, and intuitive; training on its use should therefore be very short.

The MIS will be designed in three main modules – corresponding to the three components of SEECO, in addition to other components such as GTS. The project monitoring and management system will include data on all the levels of project implementation activities required for efficient project management and submission of reports to all the stakeholders. The finance and accounting system is a tool for finance management and the Project reporting. Both systems will be unified and will interact at national and local levels. The MIS system will be able to provide information by region as well.

***MIS databases***

The MIS has the following key databases, all of which will be differentiated for Components 1, 2, and 3 of the SEECO.

* + - **Implementation partners**. This database includes complete information on all the entities cooperating with MoIT in course of Projects implementation: national and international NGOs, contractors, service providers, consulting firms, etc. This database is updated every year.
    - **Portfolio of subprojects**. This database is used to manage and monitor subprojects. The database is updated as the subprojects are approved and awarded.
    - **Documents**. This database includes information on the documents developed during implementation of the project (agreements, contracts and other official documents, monitoring and evaluation reports, etc.).

The MoIT staff and PIU members will be provided with an access to the MIS database for management and other purposes through financial and non-financial databases. To secure information, the access to the databases will be regulated by the internal MoIT documents. The access for the TDAs will be provided online. Besides obtaining the required information, this will also allow prompt entering the data into the MIS.

**The MIS may be developed progressively over time**. It may not be necessary, or indeed advisable to go for 100% computerization in all areas simultaneously. For a period, new computerized systems may co-exist alongside manual processes and/or excel spreadsheets. A decision will need to be made concerning the level of complexity and computerization. In terms of data collection, a customized web-enabled system can be developed, on-line survey software (or other data collection forms) can be employed or standalone MS Access or standardized excel spreadsheets can be developed. In terms of reporting, either a customized system can be is designed or off-the-shelf reporting software can be used.

Forms are paper based. Once data is collected on paper, the forms will be used to input the information into the MIS. The original paper forms, and other means of verification are maintained for accountability reasons.

Forms are a way to collect data—they are not reports, which are a way to analyze, summarize and present data. The database will automatically undertake calculations and automatically print standard reports. Each form will contain directions. Some data collected on each form will have an explanation, describing in more detail what it is. Each form will contain accountability statements that the data is correct and complete and that it has been verified. Forms will be linked to processes, through their numbers and titles.

Monitoring of the Project activities (at national and local level) includes continuous and regular monitoring of both the processes described in this manual and the annual plan and budget. Monitoring and reporting will primarily be done using a computerized MIS and will: (i) measure physical progress against targets; (ii) measure whether something is completed on time; and (iii) compare actual budgets and expenditures.

**Activity 3 - Develop and implement surveys**

The theory of change and results framework identify three main result areas that should be evaluated by assessing community knowledge, attitudes and perceptions. To do so, a community perception survey will be developed and will be undertaken on a baseline, mid-year, and end of project basis. These results will be complemented by perceptions captured through community scorecards, as participants in these events are not random and results may be biased.

Sample sizes will be determined by calculating the number of respondents that may be required to: (i) conclude statistically whether an indicator’s increase or decrease was statistically significant or not and (ii) to determine whether there are statistically significant differences between control and treatment groups. Each instrument is discussed in turn.

The design and analysis of the Community Perception Survey will attempt to answer **evaluative questions including, but not limited to**:

* + - Which groups are most impacted?
    - What are the social impacts of implementing incubation and acceleration projects?
    - Does civic engagement increase returns / improve performance (or, which processes most positively impact results?)
    - How did implementing projects affect the perceptions of communities in terms of social entrepreneurship?
    - How big do projects have to be to affect perceptions?
    - Which projects or processes (for example citizen engagement) most positively affect perceptions?
    - Are there differences in perceptions amongst different community groups?

**Activity 4 - Undertake regular spot checks and supervision missions to monitor implementation**

In terms of supervision, MoIT and TDA staff and PIU monitors the project activities through (i) spot-check visits to regions and subproject facilities; (ii) regular analysis of the data entered into MIS, as well as the project indicators (iii) regular reports from TDAs and CIPs.

TDAs are responsible for control and monitoring of the project-financed activities at the local level, which is carried out through (i) TDAs' reports; (ii) reports from CIPs, local consultants and supervisors (individuals/NGOs/ private firms) engaged by TDAs; and (iii) regular analysis of the data introduced into the MIS. **TDAs** will carry out spot-check visits to subproject facilities and participate in transfer and acceptance of subproject facilities.

**Spot** **checks** will be independently undertaken. They aim to:

* + - Verify that the information provided, is accurate and complete and that information found in the MIS will be the starting point of the visit.
    - Observe various processes to ensure they comply with this manual and to ensure staff are capable and motivated to implement them.
    - Observe the functioning of key institutions like livelihood facilities.
    - Verify completed projects were completed according to contract and that they meet acceptable quality standards.

The disbursement of funds may depend on results of spot checks and data verification. Internal auditing and financial management spot checks are not considered an M&E activity.

**Activity 5 - Implement learning initiatives**

Learning will not “just happen” by itself. It needs to be promoted, cultivated, and encouraged through specifically designed activities and events. In this project, learning is a process of collecting experiences, verifying them, and making joint decisions to take action based on what was learnt.

The goal of these initiatives is to learn what is working, what is not and why. The process will:

* + - Identify challenges, together with a set of feasible actions that leads to improved performance.
    - Identify successes, document them (in a series of tips and guidelines), and disseminate best practices so they are more widely adopted and replicated.
    - Develop pilots and experiments to better understand key factors in determining performance

Learning initiatives will be organized around the process of preparing semi-annual reports and annual plans / annual reports, so that lessons learned can be agreed upon and remedial actions planned and budgeted for. These reports will be used to identify what was learnt and how learning will be translated into improved performance. Learning will largely take place through participatory field level monitoring exercises, where key beneficiaries and stakeholders will be consulted with. Field monitoring will be undertaken with mixed teams of program managers, not just M&E staff. Very short field reports will be prepared prioritizing constraints and possible actions to take.

The design of the mid-term review and other analytical exercises will emphasize the importance of lesson learning, in particular identifying a short set of feasible actions managers may take.

**Activity 6 - Prepare annual, semi-annual, and other implementation reports**

The project will produce annual and semi-annual reports. These are considered essential communication instruments which build consensus amongst project implementers and key stakeholders about the direction the project has taken and will take in the future. Reports are expected to be used and actionable and to provide an opportunity for implementers to reflect and strategize. M&E is considered an input into the report, but in isolation M&E forms, tables, and matrices cannot substitute for the analysis and explanation found in a report. The focus of the projects reports will be performance against annual targets and action plans and the indicators and targets of the PAD and results framework.

Reports aim to:

* + - Assist management to identify problems, assess progress, and take **corrective action** at an early stage. Reporting is expected to contribute towards more systematic **decision making**.
    - Satisfy **accountability** requirements both within and outside MoIT and TDAs.
    - Support an environment of transparency.
    - Stir **debate** about key issues both within MoIT and more broadly across all beneficiaries and stakeholders.
    - Shape **organizational culture** by communicating a common story, documenting the history of the project, thus unifying opinion and contributing towards its institutional memory.

Reports will meet their objectives only if they are available, accessible, read, and understood by their audience, only if stakeholders provide feedback, and only if management takes action based on the report (where required). In reports, the content, style, and detail will be determined by the intended audience and by the frequency of the reporting process.

In general, a good performance-related report should have the following features. It:

* + - Is readable and easily understandable; it “captures” the audience and encourages the audience’s participation.
    - Provides enough background so readers can put the main results into their proper context.
    - Documents the methods used in gathering data and information and drawing inferences or conclusions.
    - Clearly separates the key points from the minor, secondary ones. This allows readers with different goals or different amounts of time to make better use of the report. Highlights are generally found in the main body with details and long matrices placed in an annex.
    - Is analytical and evidence based; this establishes the logic of the results presented. Where recommendations are made or inferences are drawn, these need to logically flow from the data and analysis undertaken.
    - Makes use of graphs or pictures to make numbers more “digestible.” (A picture tells a thousand words).
    - Is truthful and accurate.
    - Is structured and aligned according to the PAD and annual plans.

Reporting steps are as follows:

1. The Project Coordinator and specialists engaged in implementation will agree on hard and electronic formats of all financial, descriptive, analytical reports with defined deadlines and procedures of their provision so that reporting is consistent. Formats, deadlines, and procedures for all types of reports will be agreed with the World Bank and approved by MoIT management.
2. Each TDA coordinator will prepare the initial financial, descriptive, and analytical reports on activities in their regions in accordance with the established procedures, formats and terms supplied by the MoIT.
3. The MoIT, based on this initial information, will draw up a consolidated regional report of activities.
4. After the preparation of reports at the TDA level, reports will be exchanged via online, offline discussions, emails, and a unified project report will be prepared. Quarterly, semi-annual, and annual reports will be officially agreed with the WB for further MoIT management approval.

***Annual and semi-annual reporting***

Below are periodic reports to be provided during both Project’s implementation:

* + - **Ad-hoc reports** will comprise the findings of the reports provided by external financial and technical auditors, procurement auditors, special survey report, grant completion reports, etc.
    - **Quarterly reports** will be prepared according to the MIS information about performance of the activities and fund flows. Quarterly reports should be completed by the end of the second week of the following quarter.
    - **The semi-annual report** will be shorter and will focus on implementation to date as the identification of immediate challenges. The semi-annual report will be completed by the end of July each year (except the first year). The structure of the report will be the same as the annual report except: (i) there is no reporting against indicators/targets; (ii) there is no reporting against project outcomes; (iii) the focus on challenges and issues is on “immediate” challenges that can be solved addressed by the end of the year; (iv) reporting on implementation is much shorter; (v) financial report is a short summary (subcomponent, component, and project totals) without balance sheet or procurement reports; and (vi) Annexes 2 and 3 are much shorter.
    - **Annual reports** will describe implementation against both the annual work plan and the results framework/implementation indicators. Annual reports will focus more on the longer term issues confronting the project. It will describe implementation in terms of milestones, targets, outputs, and budgets, ensuring greater explanation and analysis for cases of under-performance. The report will be discussed by stakeholders and made available on the internet. Annual reports should be completed by the end of February. Their main elements will include:
* Title page, table of content, executive summary, etc..
* A short introduction of the report and the project, reviewing what the project wants to achieve, and how it is structured (components etc.). In the introduction an overall view of performance can be provided, for example, looking at which annual priorities were met or not met and analyzing expenditure against budget. Project wide issues, challenges, and remedial actions can be highlighted.
* A subcomponent by subcomponent review of implementation. For each subcomponent, the report will: (i) provide a short introduction to the subcomponent; (ii) review implementation against the plan (providing, where necessary reasons why implementation may have been behind schedule or below expectations); (iii) review all annual targets in this operations manual (providing, where necessary reasons why targets were not met); (iv) identify and analyze constraints, challenges, issues, lessons learned, and agreed remedial actions.
* Review and summarization of any information on project outcomes, for example when analytical work is completed.
* Annex 1: Financial analysis, including budget vs. expenditure for all activities, summed to the subcomponent, component and project level. Financial analysis will include a procurement report and final (unaudited) balance sheet.
* Annex 2: Details on the implementation of community support projects. This is likely to come from the MIS.
* Annex 3: Any other detailed and supporting data, including data on capacity development.

**Quality assurance of progress reporting**. The reporting system will be regulated by the project documents, orders and provisions of the MoIT Project Director. The Project M&E Specialist is responsible for preparation of reports. The data on social mobilization, training, internal audit and beneficiary feedback mechanism for reporting are to be taken from the MIS system. The report prepared by the M&E Specialist and distributed among the project team members to provide their comments/feedback/additions. Later, the report is to be consolidated with all changes and additions by the M&E Specialist and sent to the Project Coordinator for approval. After approval by the Project Coordinator, the report is submitted to the Bank.

**Activity 7 - Complete mid-term evaluation and end of project external reports**

A Project Completion Report will be independently prepared at the end of the project. A mid-term review will be carried out at the beginning of the second year of the project to assess whether the format of the project remains valid for assessing the progress in achieving the PDO and to propose any mitigation actions or necessary changes in the project format. As described in this manual an MIS with a web based reporting tool for documenting indicators, targets and implementation of key processes will be developed. A web site will be used for uploading technical reports, impact assessments and public information prepared and provided under the project.

**Activity 8 - Develop the M&E capacity of key program managers and implementers**

TheMoIT is responsible for ensuring all manager and staff are capable of undertaking their M&E functions. MoIT is responsible for ensuring all managers understand the theory of change and understand and own their indicators. MoIT, TDAs, and CIPs will collect data, monitor, oversee consultants and evaluations, and develop reports. Depending on capacity, MoIT and TDAs may benefit from periodic support, coaching, mentoring, and quality assurance.

Each year, MoIT will identify the M&E capacity development needs of both itself and key implementers, and based on this will develop a plan of action to address capacity gaps. These actions will be budgeted for in each year’s plan.

Key indicators of MoIT’s own M&E capacity includes: (i) % of indicators in the results framework and this manual that are reported upon in the annual report; (ii) % of MIS data entered into the database; (iii) number of downloads of key M&E analytical reports

**Indicator descriptions and targets.** The description of each indicator is provided in Annex 7.

## CHAPTER 8: ENVIRONMENTAL AND SOCIAL FRAMEWORK

* 1. **Introduction**

The World Bank’s Environmental and Social Standards (ESSs) set the requirements to be met by Borrowers with respect to the identification and evaluation of social and environmental risks and impacts associated with projects supported by the WB through Investment Project Financing. The 10 ESSs establish the standards that the Borrower and the project will meet through the project life cycle.

The project will finance support services, capacity building, and under Subcomponent 1B, provide small grants for social enterprise incubation and acceleration (EUR 10,000- EUR 25,000), and under Subcomponent 2b, grants for community livelihoods related facilities (EUR 100,000 - EUR 300,000).

The project will exclude funding to any activity listed under Annex A of the ESMF and ones that involve any type of land acquisition relevant to ESS5 (Annex C of the ESMF provides a Land Acquisition Checklist to be filled out by MoIT and/or TDAs prior to approval of any subproject, that no businesses or activities of the businesses require land take), adverse impact on biodiversity, natural or critical habitat (relevant for ESS6) or cultural heritage (ESS8), involves transaction in hazardous substance or illegal substance. Real estate purchase and major construction works will also be excluded, as will any the subproject which trigger WB policy on Projects on International Waterways (OP/BP 7.50), or if a subproject would be classified as High Risk or Substantial Risk.

Based on the planned scope of the present project, the WB’s ESSs relevant to the project are as follows:

* + - ESS1: Assessment and Management of Environmental and Social Risks and Impacts
    - ESS2: Labor and Working Conditions
    - ESS3: Resource Efficiency and Pollution Prevention and Management
    - ESS4: Community Health and Safety
    - ESS10: Stakeholder Engagement and Information Disclosure

In accordance with the ESSs, the project will also apply the relevant requirements of the Environment, Health and Safety Guidelines. When the Turkish requirements differ from the levels and measures presented in the Environment, Health and Safety Guidelines, the more stringent one (such as the most stringent discharge and emission standards) will be applied in the project specifications.

In line with the relevant ESSs of the WB, the project will be implemented in line with the ESMF, SEP, and LMP, which are all committed in the Environmental and Social Commitment Plan by the MoIT PIU and TDAs.

* 1. **Environmental and Social Management Procedures**

Based on the planned scope of the project, the environmental and social risks and impacts are expected to be low/moderate in magnitude and temporary. Since the subprojects/subgrants under the project cannot be defined until the project implementation, an environmental and social standard review framework has been prepared. The operations of subgrant applicants will be executed in compliance with the Turkish environmental, labor, and occupational health and safety legislation as well as the WB’s ESF and other WB safeguards policies.

The TDAs together with the MoIT PIU’s support, will decide on the subgrants in line with the project SGM. The subgrants will be categorized as per Bank’s screening defined herein and those that do not meet the guidelines will be rejected. The list of ineligible sub-projects is available in annex 8.

* + - Subgrants/subprojects for social enterprise incubation and acceleration, and subgrants/subprojects for community livelihoods-related facilities will be screened and classified according to the environmental and social risk categorization principles provided in the World Bank’s ESF, and only subgrants/subprojects of **“Moderate Risk”** or **“Low Risk”** will be eligible for financing.
    - Subgrants/projects that **require land acquisition will not be eligible** for grant financing. (Annex C- Land acquisition checklist in the ESMF would need to be completed by the subgrant applicant and will be reviewed by the TDA before grant approval).

The environmental and social (E&S) assessment process is applied to identify the potential positive or negative impacts of proposed subprojects, prevent or minimize the negative impacts that may harm the environment and to evaluate the measures to be taken to control and supervise subproject implementation. While no further environmental and social assessment is required if the subproject is determined to be low risk, an environmental and social management plan (ESMP) will be prepared for the moderate risk subprojects.

A subproject is classified as **Moderate Risk** after considering, in an integrated manner, the risks and impacts of the project, taking into account the following, as applicable:

* + - The potential adverse risks and impacts on human populations and/or the environment are not likely to be significant. This is because the project is not complex and/or large, does not involve activities that have a high potential for harming people or the environment, and is located away from environmentally or socially sensitive areas. As such, the potential risks and impacts and issues are likely to have the following characteristics:
* predictable and expected to be temporary and/or reversible;
* low in magnitude;
* site-specific, without likelihood of impacts beyond the actual footprint of the project; and
* low probability of serious adverse effects to human health and/or the environment (e.g. do not involve use or disposal of toxic materials, routine safety precautions are expected to be sufficient to prevent accidents, etc.).
  + - The project’s risks and impacts can be easily mitigated in a predictable manner.

A project is classified as **Low Risk** if its potential adverse risks to and impacts on human populations and/or the environment are likely to be minimal or negligible. These projects, with few or no adverse risks and impacts and issues, do not require further E&S assessment following the initial screening.

The subprojects to be financed under Component 1 and Component 2 of the project must be subject to an E&S review by the TDAs, according to the procedures outlined below. The MoIT and TDAs will be responsible for successful implementation of the project.

* + 1. ***Screening and E&S Assessment for Component 1 (Subgrants for Social Enterprise Incubation and Acceleration***
    - The subgrant applicant will apply to the TDAs for the grant for a subproject after obtaining all required environmental permits and approvals from the Ministry of Environment and Urbanization (MoEU) or related Provincial Directorates of the MoEU required under Turkish legislation. These required EIA and related environmental documents will only be requested from social enterprises which have reached the final application stage.
    - The TDAs will undertake initial screening of subprojects and categorize them based on the criteria outlined above. To assist the TDAs fulfill review obligations in line with this ESMF, T**DAs will provide the ESMPs of the first three “Moderate Risk” subprojects to the World Bank’s review and approval. After this “pilot” period, if the WB and TDAs agree, the WB will convert the E&S assessment process to “post” review.**
    - TDAs will screen the project against the Ineligibility List (Annex A) of the ESMF, and pursuant to the WB ESF Policy, Section A: Environmental and social risk classification. An indicative list of potential sectors to be financed within the scope of the project and respective anticipated environmental and social impacts and corresponding risk rating can be found in **Annex I of the ESMF. This will be also part of the SGM.**
    - After eligibility check, the environmental and social screening will be applied to the subprojects to identify the environmental and social risk category of the subprojects.
    - For the existing facilities (acceleration subgrants), the CIPs and TDAs will be filling out the screening form given in Annex H of the ESMF while incubation subprojects will be screened through the environmental and social screening checklist provided in Annex J of the ESMF. Depending on the outcomes of the screening process, the subgrants will be categorized as **“Moderate”** or **“Low”** which are eligible for financing under this project.

It is anticipated that one of the following three options would apply to subprojects classified as “Moderate Risk” or “Low Risk”:

1. If a subproject classified as “**Moderate Risk**” is covered by Annex-II according to the Turkish EIA Regulation, then a Project Information File (PIF) must be sent to the related Provincial Directorate of the MoEU according to the Turkish EIA regulation. Such projects will require ESMP (an indicative ESMP outline is given in Annex E and a checklist ESMP for minor construction works is given in Annex F of the ESMF) as an ES assessment requirement of the World Bank. As mentioned above, subprojects involving large scale construction activities will not be eligible under this project, but only minor construction/modification works to be required as a result of machinery/equipment procurement may be included.
2. If a subproject classified as “**Moderate Risk**” is subject to neither Annex-I nor Annex-II according to Turkish EIA Regulation (i.e. if it is a “No-Annex” project) then there will not be any environmental documentation most probably. Such projects will require ESMP (an indicative ESMP outline is given in Annex E and a checklist ESMP for minor construction works is given in Annex F) as an ES assessment requirement of the World Bank. As mentioned above, subprojects involving large scale construction activities will not be eligible under this project, but only minor construction/modification works to be required as a result of machinery/equipment procurement may be included.

It must be noted that the installations of existing building and the extension of existing buildings are often regarded as “No-Annex”/“No-EIA” projects according to the Turkish EIA Regulation; but they will be classified as “**Moderate Risk**” subproject according to the World Bank criteria. In such cases, as mentioned above, environmental documentation will not be required under the Turkish legislation, but an ESMP will be prepared to meet the ES assessment requirements of the World Bank.

1. If a subproject classified as “**Low Risk**” is subject to neither Annex-I nor Annex-II according to Turkish EIA Regulation (i.e. if it is a “No-Annex” project) then there will not be any environmental documentation most probably. As mentioned above, these projects, with few or no adverse risks and impacts and issues, do not require further ES assessment following the initial screening according to the World Bank’s ES Policy.

Renovation works that cover only the replacement of machinery/equipment are also regarded as “No-Annex”/“No-EIA” project according to the Turkish EIA Regulation (as long as the resulting wastes, emissions, wastewater discharges, etc. do not substantially change the result of that replacement process) and they will be categorized as “Low Risk” subprojects according to the WB criteria. Such subprojects will not require any additional environmental and social assessment.

**At the time of initial application, the subgrant applicant will declare the category of the activity to be funded by subgrant, according to the Turkish EIA Regulation.** The subgrant applicant (and with CIPs support) will declare that the activity is No-Annex if it is not covered by the annexes of the Turkish EIA Regulations, and will submit supporting documents (e.g. EIA No-Annex letter) at the final application stage together with other application documents, to the TDAs for their review and approval. In addition, the subgrant recipient will undertake to comply with all national permits required under the Environment Law.

For the incubation subgrants, the subgrant applicant will provide information required in the environmental screening form provided in Annex J together with the support of the CIPs. The CIPs will submit the filled-out forms to the TDAs where the information validity and the categorization is approved by the TDAs. Based on that, TDAs will be able to categorize the incubation subgrants and propose the respective ESF instrument, if needed. For the acceleration subgrants, the TDAs should verify by using the Environmental and Social Screening Forms (provided in Annex H), that the existing facility/activity is compliant with the Turkish environmental legislation and all necessary permits and approvals have been obtained. In addition, the subgrant recipient must undertake all labor, and occupational health and safety measures that are pursuant to the national labor, and occupational health and safety legislation, for the activity to be financed from the subgrant.

**Incident notification.** The subgrant recipient will inform the TDAs of any significant environmental or social incidents (e.g. fatalities, accident involving an injury that occurs at the workplace, environmental spills, major social conflict, any incidents related to work place harassment, etc.) within three business days and TDAs will share that information with the World Bank within three business days. The TDAs will send an incident investigation report together with the corrective action plan in 30 business days to the Bank.

**Subprojects involving any type of land acquisition are ineligible**, so the TDAs will make sure that all the planned works will be carried out in the existing factory/production buildings and/or on existing lands owned by public institutions or industrial zones and that investment assessments confirm that the related areas are currently not occupied by any other person or is not used for any economic activity.

**With regard to cultural assets**, local municipalities are responsible for enforcing Turkish laws and regulations including those governing cultural heritage. Relevant provisions will be incorporated into business contracts requiring that construction works be stopped, and relevant authorities are informed immediately if a contractor finds or comes across a chance-find. Since the national legislation on protection of cultural assets is already strict, and any subproject having an impact on cultural heritage will not be eligible for the subgrants, it is anticipated that no extra requirement will need to be satisfied under the WB ESF.

Once the environmental and social conditions are determined and the subproject file is prepared together with relevant permits and explanations, the TDAs will evaluate the proposed subgrant application. The TDAs will monitor compliance with the environmental and social obligations established by legal authorities and the requirements of WB ESF.

* + 1. ***Screening and E&S Assessment for Component 2 (Subgrants for Livelihoods Facilities)***

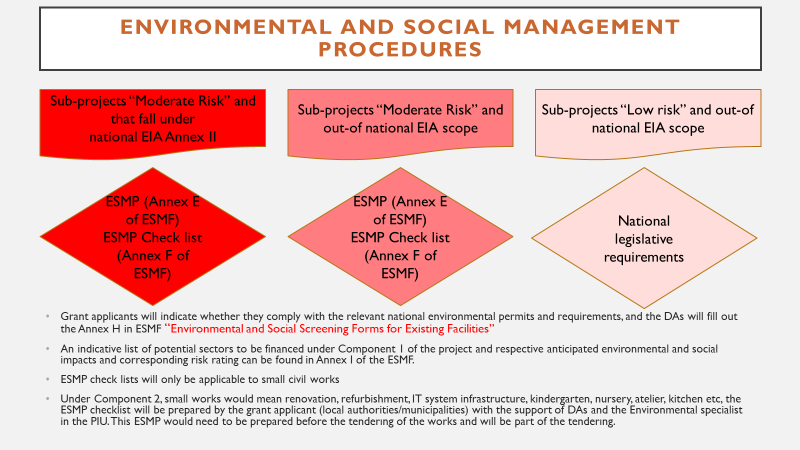
Subprojects to be financed under Component 2 (Livelihoods facilities for refugee and host communities) will be mainly for refurbishment, renovation, and extension of facilities on public land, and will likely include kindergartens and childcare facilities, child-friendly spaces, refurbishment of incubation facilities, workshops and kitchens, market facilities and virtual platforms. The refurbishment, renovation, and extension of existing buildings are often regarded as “No-Annex”/“No-EIA” project according to the Turkish EIA Regulation.

* + - If a subproject to be financed under Component 2 is classified as “**Moderate Risk**”, ESMP checklist (provided in Annex F) will be prepared for minor rehabilitation or small-scale construction works as an ES assessment requirement of the World Bank. Since these subprojects will be implemented through the “guided project support” instrument of the TDA, ES assessment requirements will be a part of the feasibility study of the planned subproject and will be prepared accordingly.
    - If a subproject to be financed under Component 2 is classified as “**Low Risk**”, it will not require further E&S review following the initial screening according to the World Bank’s ES Policy, as also described above.

The subgrant recipient will undertake to comply with all permits required under the Environment Law. In addition, the subgrant recipient must undertake all labor, and occupational health and safety measures that are pursuant to the national labor, and occupational health and safety legislation, for the activity to be financed from the subgrant. In addition, subgrant recipients shall ensure the contractors to comply with the labor provisions of the LMP, including signing the code of conduct (sample in Annex D of ESMF) of the MoIT for this project.

**Incident notification:** The subgrant recipient will inform the TDAs of any significant environmental or social incidents (e.g. fatalities, accident involving an injury that occurs at the workplace, environmental spills, major social conflict, any incidents related to work place harassment, pandemic/outbreak of communicable diseases etc.) within three business days and the TDAs will share that information with the World Bank within three business days. The TDAs will send an incident investigation report together with the corrective action plan in 30 business days to the World Bank.

Figure 8. Environmental and Social Management Procedures



* + 1. ***Labor Management Procedures***

The minimum working age of workers employed by the social enterprises will be 18 years. Also there will be no one under 18 years old engaged in the small civil works under the establishment of the livelihood facilities. National law and the MoIT’s and TDAs’ policies do not permit child labor. Even the national law defines as minimum working age the age of 15 years (for only certain sectors, with working hour limitations), the social enterprises will be required to verify the age of all workers. This will require workers to provide official documentation, which could include a national identification card, passport, birth certificate, certificate based on the results of a medical examination, or any other government issued identification.

If a child under the minimum age is discovered working on the project, measures will be taken to immediately terminate the employment or engagement of the child in a responsible manner, taking into account the best interest of the child. If possible, the child will be enrolled in school.

The contracts with social enterprises will include provisions on the prohibition of child and forced labor. The trainings for social enterprises provided by CIPs will include awareness sessions on the prohibition of child and forced labor, trainings on labor rights.

**Prevention measures**

* + - Trainings for social enterprises will include awareness sessions about detrimental aspects of child labor and awareness about national legislation pertaining prohibition of child labor. The trainings will include age verification procedure.
    - Social enterprises will provide awareness sessions about prohibition of child labor to its employees.
    - CIPs will inform social enterprises and workers they employ about the grievance mechanism which they can use to report child labor, including anonymous reports.
    - CIPs will carry to periodic supervision visits to social enterprises to monitor that they do not engage child labor.

In instances where a child (person below the age of 15) is found working in the social enterprise, the contract with the social enterprise will be terminated and support to the social enterprise will seize. In such instances, the Labor Inspectorate of the Ministry of Labor will be informed about the child exploitation.

**Workers’ grievance mechanisms**

The Civil Servants Code and its relevant regulation provide for the grievance procedure for **civil servants**.

* + - Pursuant to Article 21 of Law No. 657 (Civil Servants Law), civil servants have the right to file a complaint and file a lawsuit against their institutions. Appeals and complaints (letter of application, petition etc.) are made by submitting the complaints to the next superior in the hierarchy after the employee’s direct superior. Applications and complaints are examined and notified to the relevant party as soon as possible.
    - The complaint must be concluded within 30 days, from date of receipt of the first disciplinary supervisor authorized to decide. Civil servants who exercise their right to complain cannot be fined for their complaints.

However, consultants (direct workers) and TDA employees cannot use the grievance mechanism available to civil servants. They are covered under a different GRM as detailed below.

***Grievance redress mechanism for TDA employees***

The Development Agencies Personnel Regulation states that each TDA should develop necessary measures for enabling TDA personnel’s active participation in decision-making processes and establish an efficient feedback mechanism to share their views, comments, and complaints with their superiors (article 5/1-f).

In case of not having a satisfactory result from internal mechanisms, TDA personnel have the right to apply individually to the MoIT through the Presidential Communication Center system. The Presidential Communication Center can receive requests and complaints either via e-government app, phone, email or through petition. Anonymous grievances can also be submitted. The MoIT is obliged to respond the request within 15 working days.

The PIU shall include into the contracts with the consultants the manner in which consultants can raise grievances and complaints in the course of their engagement, in alignment with the TDA’s employees. Such provisions shall define: the deadline in which a complaint can be lodged, to whom it is to be lodged, and in which timeframe it would be resolved.

The GRM for TDA employees and consultants of such TDAs, will include:

* + - A procedure to receive grievances such as comment/complaint form, suggestion boxes, email, a telephone hotline etc.
    - Stipulated timeframes to respond to grievances.
    - A register to record and track the timely resolution of grievances.
    - A responsible department (the M&E Department of the TDAs) to receive, record, and track resolution of grievances.
    - A procedure to report grievances related to harassment in the workplace (i.e. sexual exploitation and abuse/harassment in the workplace) and gender-based violence harassment.

TDAs will monitor the recording and resolution of grievances, and report these to the MoIT in their monthly progress reports. The process will be monitored by the GRM Focal Point, a MoIT representative who will be responsible for the project GRM.

The workers grievance mechanism will be described in staff induction trainings, which will be provided to all project workers. The mechanism will be based on the following principles:

* + - The process will be transparent and allow workers to express their concerns and file grievances.
    - There will be no discrimination against those who express grievances and any grievances will be treated confidentially.
    - Anonymous grievances will be treated equally as other grievances, whose origin is known.
    - Management will treat grievances seriously and take timely and appropriate action in response.

Information about the existence of the grievance mechanism will be readily available to all project workers (direct and contracted) through notice boards, the presence of “suggestion/complaint boxes”, and other means as needed.

The grievance mechanism will be established by no later than 30 days after the Effective Date of the Grant Agreement and will be maintained over the life of the project.

The project workers’ grievance mechanism will not prevent workers to use the conciliation procedure (Law on Labor Courts, numbered 7036 published in the Official Gazette dated 25.10.2017- Article 3) provided in the Turkish Labor Legislation.

In addition to the workers’ grievance mechanism, the MoIT also has separate project grievance mechanism defined in its updated SEP for the wider public as per ESS10 requirements. Therefore, two separate grievance mechanisms will be implemented during the project and reported in the quarterly monitoring reports.

**Contractor management**

MoIT and the TDAs shall ensure that the contractors are legitimate and reliable entities and that they have procedures established for management of labor in compliance with this procedure.

Contracts with contractors shall include a provision on the obligation to comply with current legislation on labor and protection at work. During selection of contractors, the TDAs can ask to be provided with an insight into additional documentation, including, without limitations, the following:

* + - Information in public records, for example, corporate registers and public documents relating to violations of applicable labor law, including reports from labor inspectorates and other enforcement bodies
    - Business licenses, registrations, permits, and approvals
    - Documents relating to a labor management system, including OHS issues, for example, labor management procedures
    - Identification of labor management, safety, and health personnel, their qualifications, and certifications
    - Workers’ certifications/permits/training to perform required work
    - Records of safety and health violations, and responses
    - Accident and fatality records and notifications to authorities
    - Records of legally required worker benefits and proof of workers’ enrollment in the related programs;
    - Worker payroll records, including hours worked and pay received
    - Identification of safety committee members and records of meetings
    - Copies of previous contracts with contractors and suppliers, showing inclusion of provisions and terms reflecting ESS2

The contracts with selected contractors will include provisions related to labor and occupational health and safety, as provided in the World Bank Standard Biding Documents and Turkish Law.

The TDAs will monitor the performance of contractors in relation to contracted workers, focusing on compliance by contractors with their contractual agreements (obligations, representations, and warranties). This may include periodic audits, inspections, and/or spot checks of project locations or work sites and/or of labor management records and reports compiled by contractors. Contractors’ labor management records and reports may include: (i) a representative sample of employment contracts or arrangements between third parties and contracted workers; (ii) records relating to grievances received and their resolution; (iii) reports relating to safety inspections, including fatalities and incidents and implementation of corrective actions; (iv) records relating to incidents of non-compliance with national law; and (v) records of training provided for contracted workers to explain labor and working conditions and OHS for the project.

**Primary supply workers**

The local authorities will oversee the procurements of goods and materials requirements under the civil works.

Project contractors for civil works will be responsible for procurement and supply of materials and equipment under the same conditions and specifications on ESHS aspects in its contracting agreements.

The primary suppliers to the subprojects shall be companies that manufacture construction materials such as cement, bricks, etc. These sectors are not known to involve significant risks of child labor and forced labor in Turkey.

In instances where local suppliers would be engaged, contractors shall be required to carry out due diligence procedure to identify if there are significant risks that the suppliers are exploiting child or forced labor or exposing worker to serious safety issues.

In instances where foreign suppliers would be contracted, contractors will be required to inquire during their procurement process whether the supplier has been accused or sanctioned for any of these issues and their corporate requirements related to child labor, forced labor, and safety. If there are any risks related to child and forced labor, and safety identified, the MoIT will use the World Bank’s SPD documents for construction contracts, which covers remedies for non-compliances.

Table 8. Process Flow for Development of ESF Documents

| **Step No.** | **Activity** |
| --- | --- |
| 1 | * TDAs screen the subprojects for prohibited/excluded activities. * If the subproject passes the screening of prohibited/excluded activities list, then the PIU conducts initial environmental and social screening and categorizes it. * Based on the Environmental and Social Checklists, an environmental and social risk rating is performed and the type of ES document (and need for improvement) will be identified. |
| 2 | * If the rating is Low Risk, no further ES evaluation is needed. If the subproject is categorized as Moderate Risk, then a project-specific ESMP will be developed. If a Moderate Risk project is covered by Annex-II according to the Turkish EIA Regulation, then a Project Information File (PIF) must be sent to the related Provincial Directorate of the MoEU. |
| 3 | * DAs will provide the ESMPs of the first three Moderate Risk subprojects for the World Bank’s review and approval. After this pilot period, if the WB and TDAs agree, the WB will convert the E&S assessment process to post review. |
| 4 | * PIU will disclose the draft ESMPs and request feedback from relevant parties. |
| 5 | * The ESMPs will be revised to include the feedback received through consultations and will be finalized. |
| 6 | * On approval of the subprojects, PIU will complete the subproject evaluation. |
| 7 | * PIU environmental and social experts carry out regular audits, monitoring and reporting according to the agreed monitoring plan. |

**Process**

As explained above, for moderate risk activities/subprojects, subproject specific evaluation will be conducted in accordance with the WB’s ESF, and subproject specific ESMPs will be prepared as a result of such evaluation. For moderate risk subprojects, the ESMP should be a part of the subgrant proposal package and must be an annex to any procurement activities. LMP provisions will also form a part of the ESMP. The MoIT PIU, with the Environmental and Social specialists will have overall responsibility for ensuring the implementation of ESMP on the ground, providing support and advisory services to the responsible TDAs. The subgrant recipients will be responsible for the implementation of subproject mitigation measures as defined in the respective ESMPs. Distribution of the responsibilities of all parties involved in the project is presented in Table 9 below.

Table 9. Summary of ESF-Related Responsibilities

| **Responsible Party** | **Responsibilities** |
| --- | --- |
| World Bank | * Review, approve, and disclose ESMF, LMP and SEP on the WB’s official website. * Review a number of ESMPs prior to approval (submitted by the MoIT PIU). * Conduct implementation support and supervision missions in order to ensure that the Project is in compliance with WB ESF requirements and standards. |
| MoIT PIU (Environmental and Social Specialists) | * Prepare ESMF, SEP, LMP and submit for Bank approval. * Disclose the ESMF, SEP, LMP on MoIT PIU website. * Undertake screening of project activities as per the screening criteria. * Support the TDAs and applicants in preparing ESMPs in line with the ESMF for moderate risk subprojects. * Disclose ESMPs on the official website of the MoIT PIU together with the TDA websites as relevant and incorporate ESMPs into the agreement with beneficiaries and procurement documents. * Assign field specialists for the environmental and social monitoring. * Monitor implementation of labor management procedures * Monitor the implementation of ESMPs, make recommendations and decide whether additional measures are needed. * In case of non-compliance, ensure that the agreement with beneficiaries and procurement eliminates the noncompliance and inform the WB about the noncompliance and follow up. * Prepare, update and implement a SEP that considers vulnerable groups in addition to paying attention to the gender aspect of the project. * Hold consultation meetings and prepare and distribute leaflets other informative documents to inform communities. * Set up a GRM, monitor and address grievances related to the project under specified timelines. * Set up a workers’ grievance mechanism. * Summarize the environmental and social issues related to project implementation to WB in regular progress reports. * Be open to comments from affected groups and local environmental authorities regarding environmental aspects of project implementation. Meet with these groups during site visits, as necessary. * Coordinate and liaise with WB supervision missions regarding environmental and social aspects of project implementation. * Inform the WB in case of any emergency or serious event (community grievance, accident, pandemic, sexual harassment/ gender-based violence issue that needs to be handled in confidentiality) in as per the commitments in the Environmental and Social Commitment Plan. |
| TDA | * Review E&S screening forms and guide subgrant applicants (with the CIP and local authorities) on the E&S requirements of the subprojects depending on their risk of subprojects (moderate or low). * Once the environmental and social conditions are determined and the subproject file is prepared together with relevant permits and explanations, TDAs will evaluate the proposed subgrant application. TDAs will monitor compliance with the environmental and social obligations established by legal authorities and the requirements of WB ESF. * Manage the grievance mechanism; communicate grievances to MoIT PIU regularly through monitoring reports. * Monitor site activities on a regular basis (weekly monthly etc.). * Include ESMP progress summary into the regular reports to be submitted to the MoIT PIU. |
| Environmental and Social Specialists in the PIU | * Ensure that environmental and social risks are addressed correctly and promptly. * Perform environmental and social monitoring as defined in ESMF and subproject-specific ESMPs. * Collect information on environmental and social issues for project progress reports submitted to the MoIT PIU and make sure that these are all compliant with the Bank’s requirements. |

* 1. **Environmental** **and Social Monitoring and Reporting**

Component 3 will support M&E activities to track, document, and communicate the progress and results of the project. An M&E specialist within MoIT PIU will be responsible for overall compilation of progress and results. This component will also include an MIS that the MoIT PIU will establish and utilize for project monitoring, automatic generation of project reports, project transparency and citizen feedback.

**Monitoring plan**

Implementation of environmental and social mitigation measures will be monitored by the Environmental and Social specialists within the MoIT PIU. The environmental and social monitoring system will be activated in the process from the grant preparation and implementation stages to the operation phase in order to prevent the negative impacts of the project and to ensure the effectiveness of the mitigation measures. This system will assist the World Bank in its assessment of mitigation success as part of the project supervision activities within MoIT PIU and will make it possible to take action as necessary.

**Roles and Responsibilities**

**Environmental and social monitoring and reporting**. The environmental and social performance of project activities should be regularly monitored, documented, and reported. In the case of instrumental monitoring data, original records of the required instrumental environmental monitoring results (air, water and soil quality) should also be submitted in a separate file for records. Relevant MoIT PIU E&S specialists as well as TDA experts will make regular monitoring visits to the project sites.

As part of environmental and social monitoring, the MoIT and/or its regional/TDA representatives or consultants will conduct random inspections at project sites to determine the effectiveness of the measures taken within the ESMF, LMP and SEP to meet the required environmental and social standards.

The environmental and social specialist will carry out the activities listed below:

* + - Recording and maintaining project supervision and monitoring results throughout the project lifetime.
    - Submitting summary progress reports on ESMF/ESMP implementation and the environmental and social aspects of the subprojects, including the complaints/ feedback addressed and pending, to the World Bank on bi-annual basis.
    - Preparing quarterly reports on implementation of the measures proposed by the ESMP for selected subprojects.
    - Preparing outlines and requirements for contractors' reports on environmental protection and mitigation measures and reviewing the contractor's monitoring plans and reports.
    - Publicly disclosing the environmental and social safeguards measures through specific publications and annual public seminars.
    - Monitoring grievances and ensuring that grievances are registered accordingly, and channels to receive grievances both in Turkish and Arabic are available at all three levels.
    - Reporting grievances (both workers and project related) in every progress report and E&S monitoring reports.

The MoIT PIU will communicate serious environmental or social incidents (e.g. fatalities, lost time incidents, environmental spills, persisting occupational health and safety issues, community health and safety-related diseases, gender-based violence/Sexual Harassment (SH)/Sexual Exploitation and Abuse (SEA)-related complaints and community complaints, etc.) within three business days. The MoIT will also submit a Root Cause Analysis (RCA), including the reasons for the incident, the actions taken, and grievance measures within 30 business days.

The MoIT will add a section specifying the responsibility of incidents and accidents recording and reporting in CIP contracts. If any incident/accident occurs these will be recorded and reported by TDA Regional Offices during the implementation of the CIP contracts.

The Social Specialist will monitor the overall activities related to LMP, including:

* + - Ensuring the age verification processes are embedded in CIPs, TDA screening and within the SGM.
    - Ensuring the contractors are meeting obligations towards contracted and subcontracted workers.
    - Reviewing the employment process of contracted workers to ensure it is carried out in accordance with this LMP and the national labor law.
    - Ensuring compliance of the employees and employers participating in the project.
    - Ensuring that occupational health and safety standards are met at workplaces.
    - Training the project workers on OHS together with the Environmental specialist.
    - Reviewing workers’ grievances.

The PIU’s GRM focal point, who will be the Social Specialist, will be responsible for:

* + - Collecting and analyzing the qualitative data from the grievance redress focal points on the number, substance, and status of complaints and uploading them into the single project database.
    - Monitoring outstanding issues and proposing measures to resolve them.
    - Submitting quarterly reports on GRM mechanisms to the Project Coordinator at the PIU.

Quarterly reports to be submitted by the PIU shall include a section related to GRM which provides updated information on the following:

* + - Status of GRM implementation (procedures, training, public awareness campaigns, budgeting etc.).
    - Qualitative data on the number of received grievances (applications, suggestions, complaints, requests, positive feedback) and the number of resolved grievances.
    - Quantitative data on the types of grievances and responses, issues provided, and grievances that remain unresolved.
    - Level of satisfaction by the measures (response) taken.
    - Any correction measures taken.

## CHAPTER 9: GRIEVANCE REDRESS MECHANISM

The SEECO project will adopt a grievance redress mechanism (GRM) to enable the project beneficiaries and other stakeholder groups to provide feedback on the project. The GRM is a process of receiving prompt, objective information, evaluation, and consideration of appeals (claims, suggestions, complaints, requests, positive feedback) under the SEECO project. The GRM will be managed by the Social Specialist in the national level PIU.

In accordance with the GT Law on Right to Information Law Number: 4982 and internal regulations of the MoIT, citizens/beneficiaries may send any appeals on the issues related to the implementation of MoIT projects at all implementation stages, including the Resettlement Program issues (to identify resettlement needs); follow the procedures of involuntary resettlement in accordance with the laws and regulations of Turkey.

The MoIT will establish a GRM, which includes an expanded GRM that includes all project activities, including safeguards. The systems and requirements (including staffing) for the grievance redress chain of action—from uptake, sorting and processing, and acknowledgement and follow-up, to verification and action, M&E, and finally feedback—are embodied in this GRM. To encourage proactive beneficiary engagement, the GRM will be communicated at project orientation and on TDA, CIP websites, to reach direct and indirect project beneficiaries. MoIT will conduct annual outreach and ensure that staff are fully trained, and that information is available in target communities. The SEECO project will utilize this system (written and telephone complaints channels), while ensuring all project-related information is disseminated and complaints and responses are disaggregated and reported.

* 1. **Scope of the GRM**

The centralized GRM will cover all project areas.

**Principles.** Project stakeholders are those who are likely to be directly or indirectly affected positively or negatively by the project. Project stakeholders have, among others, the following rights under the project:

* + - Right to information
    - Right against inappropriate intervention by an outside party
    - Right to a project free of fraud and corruption

Any stakeholders (including refugees, host community members, contractors, project staff, authorities, and other involved parties) may file a grievance if s/he believes one or more of these rights have been infringed, or if any of the project’s principles and procedures has been violated.

* + - Information about the GRM, including contact details, is distributed in all participating areas at public meetings through brochures/pamphlets in Turkish and Arabic to the extent possible, and posted at relevant project sites such as the TDA buildings, CIP training venues, beneficiary municipalities building and funded livelihood centers.
    - The GRM offers a number of different channels for providing feedback (see below). Beneficiaries and other stakeholders themselves decide on the best ways to file complaints.
    - Grievances are disclosed publicly, but no one who files a grievance is identified unless they self-identify. The identity of all those who have filed grievances is treated with confidentially.
    - There is no charge for filing a grievance.
    - The timeframe for responding to a grievance should not exceed 30 days from the time the grievance is originally received. Grievances should be resolved within 90 days of receipt.
    - Grievances are resolved locally, at the lowest level, if possible. If not, they are “escalated” or sent up to a higher level within 30 days. Anyone may convey comments or suggestions about any aspect of the project through the GRM. Comments, suggestions, appreciations, or questions should be recorded and submitted to the beneficiary feedback mechanism/GRM handling officer of the MoIT Central Office to provide an answer in coordination with relevant project staff, ensuring that responses are in line with the POM.
  1. **Channels for Feedback**

Within the framework of SEECO MoIT, the following channels will be established through which stakeholders can apply at various stages of implementation:

* + - **SEECO MoIT phone line.** Incoming calls related to the project will be recorded by the Project Assistant via the grievance form (see Annex 9) in the project's Grievance Tracking form. The call record will be evaluated by the Social Specialist and forwarded to the relevant person/unit. Calls can be received in Turkish, Arabic, and English.
    - **Communication forms on project websites.** Complaints/suggestions/questions about the project will be received through the contact forms in website. Forms will also be suitable to be written in Arabic. Incoming forms will be transferred to the Grievance Tracking Module created in the Project MIS by Communication Specialist.
    - **Email addresses (seeco.grm@sanayi.gov.tr).** Complaints/suggestions/questions about the project can also be received via email address. The information specified in the incoming email will be recorded by the Social Specialist through the grievance form (see Annex 9) in the Grievance Tracking form. After evaluation, the Social Specialist forwards to the relevant person/unit.
    - **Project social media accounts.** The Communication Specialist will record the complaints/suggestions/questions coming to the social media accounts via the grievance form (see Annex 9) in the Grievance Tracking form. The registration will be assessed by the Social Specialist and forwarded to the relevant person/unit.
    - **Field activities by PIU, TDAs and CIPs.** Complaints, questions, and suggestions received from the beneficiaries during face-to-face activities with PIU, TDAs, CIPs will be reported on the grievance form (see Annex 9) by the TDAs or CIPs. If the TDAs or CIPs receive the feedback, relevant information will be submitted to the PIU’s email address (seeco.grm@sanay.gov.tr) by filling in the form in Annex 9.
  1. **Steps for Processing and Responding to Feedback**

**Step 1. Logging of feedback**

For the purpose of consolidating, analyzing and providing unified data (reports to donors, MoIT Project Director and project coordinators), all appeals are logged. Complaints received from any channel will be inserted into the Grievance Tracking module created in the Project MIS and evaluated from a single point. Roles, responsibilities, and procedures for each feedback channel are defined in the “Channels for Feedback” section above.

The appeals may be submitted anonymously. In cases where the appeals were received in the absence of any of the above data, it is recorded in the log of incoming correspondence of the GRM, and the results of the appeal will be published in the media at the local level, on the MoIT website, or made public at the session of the AK.

**Step 2. GRM category sorting/distribution by category**

When feedback is received, the Social Specialist will classify it by category in the Grievance Tracking Module in the MIS.

Table 10. Grievance Classification by Category

|  |  |
| --- | --- |
| **Category No.** | **Classification** |
| 1 | General enquiries |
| 2 | Grievances regarding violations of policies, guidelines, and procedures |
| 3 | Grievances regarding contract violations/breach of contract |
| 4 | Grievances regarding the misuse of project funds |
| 5 | Grievances regarding abuse of power/intervention |
| 6 | Reports of force majeure |
| 7 | Suggestions |
| 8 | Appreciation |

In order to ensure the complex work with beneficiaries’ appeals regarding safeguards measures, the appeals received have to be distributed by the Social Specialist in the Grievance Tracking Module of the MIS.

Table 11. Grievance Classification of Safeguards Measures

| **No.** | **Safeguards measures** | **Classification of measures (during construction and operation)** |
| --- | --- | --- |
| 1. | Environmental (biological) | Flora  Fauna |
| 2. | Social | Health and safety  Access of communities to existing communications  Gender-based violence |
| 3. | Physical | Soil  Water resources  Air quality  Waste management |

**Step 3. Action/Response**

Once sorted, cases categorized as a grievance (Categories 2-6) are assigned to a responsible individual for investigation if needed. The staff handling the complaint gathers facts and clarifies information in order to generate a clear picture of the circumstances surrounding the grievance. Verification normally includes site visits, a review of documents, a meeting with the complainant (if known and willing to engage), and meetings with those who could resolve the issue (including formal and informal community leaders). For grievances related to the misuse of funds, it may also require meetings with suppliers and contractors. The responsible individual will agree an action plan with the Social Specialist and set a deadline for resolving the issue.

* + - If the grievance relates to a CIP, the Social Specialist forwards it to the respective TDA.
    - If the grievance relates to a TDA, the Social Specialist forwards it to the TDA SEECO Coordinator.
    - If the grievance relates to a PIU issue, the GRM Specialist forwards it to the Head of Dept MoIT.
    - The Social Specialist decides on a course of action within two weeks of receiving the information.

**Step 4. Notification**

If the person sending feedback is not anonymous, they will be sent a notification via telephone or other GRM channels that their grievance is being investigated. The notification will be registered in the log of outgoing correspondence. The GRM Officer will provide the following information:

* + - Name and surname of the executor to which the appeal was forwarded.
    - Deadlines for the execution (minimum ­­­­\_\_ days, maximum \_\_ days since the day it was registered).
    - Deadlines and actions are determined in accordance with the MoIT GRM instructions on handling grievances.

**Step 5. Follow Up**

Once the investigation is complete, the beneficiary will be notified of the decision made by MoIT regarding their case. The citizen/beneficiary has a right to appeal is not satisfied with the resolution of the case. Instructions on appeal will be provided with the response.

**Step 6. Appeals**

Appeals are considered by the MoIT special Review Committee. The ­­­­­Head of Department of MoIT will form the Review Committee from staff of MoIT. The Review Committee will consist of 4 staff from MoIT. After review of the appeal the citizen/beneficiary unsatisfied with the solution received has a right to appeal against the decision in court in accordance with Turkish Law.

* 1. **Public Awareness-building on the GRM**

Information on the GRM will be disseminated to all beneficiaries and people having been influenced by SEECO project via regular information channels, organization of meetings, roundtables, working meetings at all stages of MoIT project implementation; and through MoIT Grievance Tracking Module trainings and other awareness building.

SEECO project will provide information on the scope of the GRM, eligibility criteria for submission of the appeals, procedure of appeal submission (where, when and how), deadlines of response, as well as the privacy principle and the right to submit anonymous appeals.

Awareness building will be conducted annually. They will be designed by the SEECO Communication Specialist to encourage the use of the GRM and publish information on complaints received and resolved. When organizing and conducting these campaigns, special efforts shall be made to reach vulnerable groups. The campaigns should include information on the scope of the /GRM, the eligibility criteria to make a complaint, the procedure to make a complaint (where, when and how), the investigation process, the timeframe(s) for responding to the complainant, principle of confidentiality and right to make anonymous complaints.

* 1. **Reporting on GRM Progress**

Quarterly and annual reports of the SEECO MoIT project shall include a section related to the GRM, which provides updated information on the following:

* + - Status of GRM formation (procedures, training, population awareness campaigns, budgeting etc.)
    - Qualitative data on the number of received appeals (applications, suggestions, complaints, requests, positive feedback), of them the appeals related to the WB ESS on Involuntary Resettlement, and number of resolved appeals
    - Quantitative data on the types of appeals and responses, issues provided, and remaining unsolved
    - Level of satisfaction by the measures (response) taken
    - Any correction measures taken
  1. **Monitoring GRM Effectiveness**

In addition, the following measures will be taken to monitor whether the GRM is functioning as intended:

* + - During the social audit open meetings, community members discuss the effectiveness of the grievance handling system and gather suggestions on how to improve it.
    - In its regular supervision visits, the SEECO PIU will assess the functioning of the grievance handling system.
    - The SEECO project team and World Bank jointly review GRM monitoring data as part of regular implementation support missions.

## CHAPTER 10: CITIZEN ENGAGEMENT, CLIMATE CHANGE CO-BENEFITS, GENDER

* 1. **Citizen Engagement**

**Project requirements for citizen engagement**

The SEECO project is required to meet the World Bank corporate requirements for citizen engagement (CE). This is captured in the following paragraphs of the PAD which relate to both Components 1 and 2. The CE activities will also ensure that the development of the Social Enterprise policy framework under Component 3 has benefited from the engagement of existing and potential social entrepreneurs and other stakeholders. These CE activities ,when developed, can be included in the SEP where relevant.

**Citizen engagement.** The project is fundamentally concerned with the socioeconomic inclusion of refugees and host communities – achieved through the development of social enterprises that bring social and environmental benefit. The women and youth beneficiaries of the training and subgrants provided under Component 1 will be engaged in a program of support services that will be tailored to address their challenges and support their needs, and they will themselves be the drivers of the decision making over the social enterprises on which they are embarking. Project activities will be developed to enable women and youth beneficiaries to become empowered and access the forums to voice their needs, views, and concerns. Developing women and youth’s capability to optimize the engagement opportunities in the project will be key, as will the identification of the vulnerable within these groups of beneficiaries and the development of their voice. CIPs – local community-based organizations and NGOs and other institutions trusted by women and youth – will be tasked with ensuring this engagement in the varied contexts in which the project will operate.

The project will adopt a citizen engagement framework that incorporates a set of structured tools adapted to any restrictions of the COVID-19 pandemic. Under Component 1, during implementation, refugees and host community members will be involved, sequentially, in: (i) participatory needs assessments; (ii) participatory skills/training assessments linked to decision making over the form that capacity building will take (e.g. training, coaching, mentoring); and (iii) participatory monitoring and feedback, through an annual feedback event using an interactive community scorecard tool to review and course correct as need be to enhance the quality of the training and mentoring services. These processes will be implemented through a blended approach which incorporates innovative digital (civic technology) solutions, draws on local actors and pays attention to effective facilitation in the COVID-19 context. These processes will build on the beneficiary dialogues undertaken during preparation.

Under Component 2, beneficiaries will engage in a process in which they jointly agree on the priorities for the support facilities that are needed in their communities and neighborhoods to enable them to work (this will be developed at the TDA level, linked to the participatory needs assessments at the outset of each cycle). The project will also include: (iv) a beneficiary perception survey that captures perceptions on both outcomes and processes; and (v) a multi-layered grievance redress mechanism that will enable vulnerable beneficiaries to find an easily-accessed channel to lodge complaints and ensure a timely and objective response. To support women to engage in feedback, the CIPs will appoint community-level ombudswomen to support vulnerable women to report issues that arise.

The results of the regular feedback mechanisms (i.e. the complaint and the response) will be discussed by the project steering committee, and during Bank supervision. Through the development of the above tools in the POM, the project will ensure that citizen engagement tools seek depth in engagement, are designed to target the beneficiaries and the vulnerable, are structured for the intended purpose, and occur frequently throughout the entrepreneurship cycle. The project will measure beneficiaries’ feedback on whether the social enterprise support system met beneficiary needs, whether the project interventions improved social cohesion, and the effectiveness of the abovementioned citizen engagement activities.

**Citizen/beneficiary engagement framework**

The following citizen engagement framework will be adopted by the TDAs and CIPs as well as the MoIT, as applicable.

Table 12. Citizen Engagement Framework

| **Activity Sets** | **Description of Activity and Intention** | **Timing** | **Responsibility** | **Gender/Strategy for Inclusion** | **Digital or Blended Solution** |
| --- | --- | --- | --- | --- | --- |
| 1. **Participatory needs assessments** | Under Component 1, the development of the market and community needs assessments will include focus group discussions with potential beneficiaries to ensure their contribution and that their needs are reflected. | Needs assessment will be conducted by no later than 90 days after the effectiveness of project. | MoIT  TDAs | TBD  Structure of the needs assessment will have specific focus on needs on women | Blended |
| 1. **Participatory skills/training assessments** | Under Component 1, the development of the training plans will include focus group discussions with potential beneficiaries to ensure their contribution and that their capacity building needs are met through training, coaching, mentoring. | Before the finalization of the skills/training assessments and plans, by the CIPs | CIPs | To support women to engage in feedback, the CIPs will appoint community-level ombudswomen to support vulnerable women to report issues that arise. | Blended |
| 1. **Participatory planning of livelihoods facilities** | Under component 2, target beneficiaries will work together using participatory planning tools to facility gaps and prioritize the livelihoods facilities for support under component 2B. This activity will be implemented at province level. | During the implementation of the first and second cycle of the support program of Component-1. | CIPs |  | Blended |
| 1. **Participatory monitoring and feedback** | Feedback event in open day format will be conducted toto enable beneficiaries to discuss and provide feedback on components 1 and 2 to help improve relevance and approaches,  Interactive community scorecard tool to review and course correct as need be to enhance the quality of the training and mentoring services. | Feedback event will be implemented at the end of each cycle.  Annual/ each cycle? | CIPs |  | Blended |
| 1. **Beneficiary perception survey** | The BP survey is established to obtain quantitative feedback after each cycle. Results will be used to adjust the design for subsequent cycles. | End of the each cycle | CIPs |  | Blended |
| 1. **Grievance redress mechanism** | Beneficiaries will have access to a grievance redress mechanism at the CIP, TDA and MoIT levels. | Established within 30 days of effectiveness. | MoIT  TDAs  CIP |  | Blended |
| 1. **Development of online platform** | Online platform launched to share information, receive feedback, conduct surveys, a channel for the GRM, planning and monitoring, etc (aim to include all activities above).  Online platforms will be established at TDA level. | Established within 120 days of effectiveness | TDA |  | Digital |

The procedures for each of the above activities will be developed by the CIPs and added to the POM.

**Citizen engagement indicators**

The citizen engagement activities in the project will be measured through a number of indicators in the results framework:

PDO Indicators

PDO 2. Percentage of refugee and host community beneficiaries reporting that access to project-supported livelihoods facilities enables their participation in social enterprises

PDO 3. Percentage of refugees and host community beneficiaries reporting that project activities have improved cooperation between refugees and host communities

PDO 4. Percentage of project-supported social entrepreneurs reporting that: (a) support services; (b) subgrants, meet their needs

Intermediate Results Indicators

IR 1.3 Number of refugee and host community members employed in project-funded SEs

IR 2.1 Percentage of local authorities utilizing project funds to establish livelihoods facilities requested jointly by refugees and host communities

IR 2.3 Number of refugee and host community members utilizing livelihoods facilities supported by the project

* 1. **Climate Change Co-Benefits**

The climate change adaptation and mitigation response in the SEECO project is designed with three pathways.

**Pathway 1:** Climate mitigation and adaptation in the construction of livelihoods facilities (Subcomponent 2B).

**Pathway 2:** The project will promote the development of environmentally responsible enterprises and enterprises focused on climate-aware initiatives (such as recycling and energy efficiency).

**Pathway 3:** Community mobilization activities of the project will include modules that help women and other household members engage in energy efficiency practices, understanding the benefits to their households and the environment. This enhanced awareness, transparency, and communication can be expected to increase the resilience of participating communities.

**Pathway 1: Climate mitigation and adaptation in the construction of livelihoods facilities (Subcomponent 2B)**

Impacts of the project on climate change will be mitigated through careful design and implementation of project activities in line with Turkey’s national commitments on climate change. In addition, positive climate co-benefits will be achieved through climate resilient design of rehabilitation, renovation and upgrades planned for the livelihood facilities. These designs will ensure, inter alia:

* + - Energy efficiency measures are adopted in the construction materials and design (e.g. double glazing, insulation)
    - Appropriate energy sources: no coal or other extractive fuel sources are allowed for heating (or other purposes)
    - Seismic resilience

During implementation, checks for seismic resilience and climate risks will be part of the standard construction approval and oversight.

**Pathway 2: Environmentally responsible enterprises (Component 1)**

The business plans for the incubation and acceleration of social enterprises will be evaluated with climate risks and co-benefits as a criteria for subgranting under Subcomponent 1B.

To this end, the project will, through the support services, help develop businesses that have a clear environmental benefit.

* + - The CIPs will be responsible for developing specific training modules and coaching focused at the development of environmental businesses.
    - Rounds of subgrants could be specifically focused on environmental business development (e.g. recycling, solar products and services add here).
    - Funds can be ringfenced to ensure that at least 15 percent of social enterprises are specifically working in this sector.
    - A business alliance of environmentally sustainable businesses will be created.

At the same time, all social enterprises, irrespective of products and services, will need ensure that they have reduce their carbon footprint as a part of the social enterprise principles. This would be achieved through:

* + - Specific training modules focused on ensuring businesses first do no harm.
    - Supporting all SEs to build in sustainable practices irrespective of the products and services.

**Pathway 3:** **Community mobilization, awareness building and voice (Subcomponent 2A)**

To ensure external benefits from the project, community mobilization activities of the project (undertaken through component 2A an designed by CIPs) will include modules that help women and other household members reduce the household and community carbon footprint. This will have two areas of action:

1. Enhancing awareness, understanding, and responsibility at the household level (e.g. adopting energy efficiency practices, recycling, agricultural practices). CIPs will formulate community awareness building strategies and develop a set of events annually (this can be in conjunction with other events such as community fairs). This will include but not be limited to digital outreach and awareness building events.
2. Creating champions of change. Building awareness, transparency, and voice of a group of climate change advocates in participating communities – these climate change champions can support communities to make change and advocate at the municipal level for change (as a part of the dialogue on the livelihoods facilities).

**Climate action plan**

To ensure these pathways are integrated into the implementation of the support services program and thedevelopment of the livelihoods facilities, the environmental specialist in the PIU will develop a project climate action plan P-CAP, which will include for each pathway:

* + - Action planned
    - Target beneficiaries
    - Responsibility for action
    - Timing of action in the cycle
    - Expected results
    - Approach to monitoring and tracking

**Roles and responsibilities**

The responsibility for climate co-benefits of the project is an all of project effort:

* + - The PIU will appoint an Environmental Specialist whose responsibility it will be to drive the climate change approach and results of the project, motivating staff in the TDAs and CIPs to ensure implementation through the components.
    - TDAs, through CIPs, will have a perspective on creating an environmental window that promotes social enterprise in this area, including the provision of coaching and mentoring to support business development, depending on demand and market opportunity. TDAs will look out for the design and construction of livelihoods facilities that will have to support climate adaptation and mitigation in subproject feasibility plans, in particular, the refurbishment of existing buildings or new construction of, where applicable, will be energy-efficient, climate-aware and seismic-proof. In addition, TDAs will oversight the fact that the project will ensure investments (design, specifications, materials) conform to requirements, that any construction is properly supervised by an appointed, qualified environmental engineer to improve climate change knowledge and performance by the municipalities.
    - The CIPs will provide awareness building and capacity building to refugee and host communities to help develop entrepreneurial interest and capacity to sustain environmental enterprises and the opportunity offered by the project to develop “environmental” social enterprises that contribute to the circular economy or products that have climate co-benefits.

**Monitoring and tracking**. The results of these pathways are measured through an indicator in the RF indicators:

* + - Percentage of climate-aware livelihoods facilities that incorporate energy efficiency or environmental considerations (target: 70%)
  1. **Gender**

**Introduction**

The project aims to close the gender gap in economic opportunities through: (i) increasing women’s engagement in social enterprises; and (ii) the participatory selection and establishment of livelihoods facilities to support women’s employment in social enterprises. Through its support for the creation and development of social enterprises and ensuring sustainable access to livelihoods facilities that bring benefit to women from both refugee and host communities, boost local economies, and generate local employment, the project will engage refugees and host communities as economic actors – agents of their own socioeconomic inclusion in Turkey.

First, the project will support social enterprises; profit-making businesses that prioritize social or environmental impact while reinvesting profit primarily in their mission and/or benefitting target social groups through employment or other activities that may increase their income. Social enterprises present an innovative socioeconomic opportunity that can bring about the dual benefit of jobs for refugees and host community members while focusing on local social needs and benefits. In Turkey, social enterprises have empowered marginalized groups, especially women, to engage in production-related activities and value chains and help them earn incomes. The project will provide women and youth with training, coaching, support in business development, and subgrants for women beneficiaries to startup their own businesses within the social enterprise model or expand existing women-owned social enterprises. The project will monitor whether the gender gap is decreasing through the indicators: (i) percentage of project-supported social entrepreneurs whose income has increased (disaggregated by gender; target is 70 percent of women beneficiaries have increased income; baseline is 0 percent); and (ii) number of social enterprises: (a) incubated; and (b) accelerated (targets are: (a) 3,350; and (b) 320).

Second, the project will support the participatory selection and establishment of livelihoods facilities that support women’s participation in social enterprises and the labor force. The development and survival of the business is not only a function of business and technical skills; women will face a number of other constraints to their successful engagement in livelihoods opportunities. While the neighborhoods in the municipalities covered by the project are generally provided with basic services and infrastructure, assessments carried out during preparation revealed that other services that would support women’s participation in social enterprise are either unavailable or only partially available in most of the project locations. Such services include childcare facilities or kindergartens, access to community-based workshop facilities or maker-spaces, and access to local marketplaces. The project will therefore provide capacity building and facilitation activities for refugees and host communities to engage in participatory decision-making processes over local needs and priorities for livelihoods-related facilities and provide subgrants for establishing/renovating selected livelihoods-related facilities. The project will monitor whether the gender gap is decreasing through the indicators: (i) percentage of beneficiaries with improved access to livelihoods facilities that support social enterprises (disaggregated by gender; target is 70 percent of women with improved access; baseline is 0 percent); and (ii) number of facilities (maker-spaces, coworker spaces, childcare facilities) in target communities supporting women’s livelihoods completed (number; target is 70 percent; baseline is 0).

Given that the project beneficiaries are 70 percent women, each CIP will be focused on ensuring this project focus. Project monitoring will track the gender actions under the project, and if necessary, to improve gender outcomes, draft a Gender Action Plan (to be decided after one year of implementation).

## CHAPTER 11: FINANCIAL MANAGEMENT AND DISBURSEMENT ARRANGEMENTS

* 1. **Introduction**

This chapter includes the business and operations that are required to be done in the field of financial management (FM) services during the execution of SEECO (Social Entrepreneurship, Empowerment and Cohesion Project). The Ministry of Industry and Technology of Turkey (MoIT) has applied for grant financing in the amount of EUR 39.5 million from the European Commission Development Fund (ECDF) toward the cost of the SEECO project, and it intends to apply part of the proceeds to payments for goods, works, non-consulting services, and consulting services to be procured under this project. The World Bank will be acting as the administrator of the grant funds provided by ECDF.

A project-specific FM system has been established by taking into account the legislation arrangements in Turkish financial system that are obligatory for public administrations and the principles and procedures in the World Bank’s FM guidelines.

In the preparation of the FM system, to follow the project's resources and expenditures, to facilitate the decision-making and control mechanism of the management in the implementation of the project and to inform the beneficiary individuals and institutions and the public, transparent, understandable and consistent financial information is taken as the basis principle.

Grant issues under the project components are dealt with in the content of the FM system.

These explanations in the FM chapter will enter into force from the date of implementation of the project and will be valid for the duration of the project. In case of a change in the local legislation and the guidelines of the World Bank in the later stages of the project, the explanations made in this section will be revised in accordance with the new regulations. In addition, due to the needs arising out of legal regulations, revisions can be made in the explanations made in this section. However, for such revisions, no-objection will be required from the World Bank.

* 1. **Objective**

The purpose of explanations made in this section is to ensure the efficient and economic use of external project grant in the form of public resources by regulating the FM structure and operation of SEECO (Social Entrepreneurship, Empowerment and Cohesion Project).

In line with this purpose, a FM structure in line with the applicable legislation including the procurement, budgeting, financing flow, expenditure, content and order of documents, accounting, reporting and other financial and administrative transactions of external project grant have been established.

* 1. **Basis**

In the preparation of the FM system, the following mentioned laws, regulations, communiqués, and guidelines, etc. are taken as the basis:

* + - In the Turkish national legislation:
* Law No. 5018 on Public Financial Management and Control
* Law No. 4749 on the Regulation of Public Finance and Debt Management
* Regulations and communiqués issued based on Law No. 5018
* Budget Laws
* Practice directions issued based on the Budget Laws
* General Communiqué on Accounting Practice (Uniform Chart of Accounts)
* Accounting Principles and Policies, Accounting Plans and Financial Statements Manual for Partial or Fully Financed Projects by the World Bank prepared by the Board of Controllers of the Ministry of Treasury and Finance
  + - World Bank Guidelines for Financial Management and Disbursement
    - Disbursement Handbook; Guidelines for Borrowers
    - International Accounting Standards (IAS) and International Financial Reporting
    - General Communiqué of the Framework Agreement between Turkey and European Union For Assistance Under The Instrument For Pre-Accession (IPA)
    - Commission Decision of 14.3.2018 on the Facility for Refugees in Turkey amending Commission Decision C(2015)9500 as regards the Contribution to the Facility for Refugees in Turkey
    - Regulation on the Spending and Accounting of the Grants Transferred from the Sources of the European Union and International Organizations to Public Administrations
    - Regulation on Public Treasury
  1. **Scope of Financial Management Operations**

FM operations include the budgeting, the flow of the funds, incurring expenditures, internal controls including the content and order of the documents, project accounting, reporting, and the other financial and administrative procedures of the grant.

* 1. **Budgeting of Grant**

Public resources are described in Article 3 - Definitions of the Public Financial Management and Control Law No. 5018. Accordingly, grants from the World Bank is a public source. The use and management of grants are subject to Law No. 5018. The budgeting of the grants is not subject to Law No. 5018.

The budget for the projects with external financing is decided by the Grant Agreement as a result of the proposal of the state institution and organization. In the project budget, the categories of expenditures, the amount of funds and the percentage of expenditures to be financed are included and the expenditures are distributed according to the project components.

As grants are not included in the central government budget for budget expenditures and therefore in the general budget of the MoIT, no funds are allocated for grants. However, the grants are followed in the state accounts by including them in the extra budgetary revenues and expenses. In other words, no funds shall be allocated from the general budget of the MoIT for the expenses to be made from the grant and these expenses shall not be associated with the 830-Budget Expense Account included in the Central Government Accounting Regulation. Grant expenses will be accounted only under the heading 630-Expenses Account.

**The following points are to be fulfilled in the preparation of the grant budget**:

Purchasing plan is prepared

Grants shall not be associated with the central government budget. In accordance with the provisions of the Regulation on the Disposal and Accounting of the Grant Amounts Granted to the Public Administrations from the Sources of the European Union and International Organizations which entered into force on the basis of Article 32 of Law No. 5234 on the Amendment of Some Laws and Decree Laws, the grants received in return for the project are used without being included in the budget.

The SEECO Project has three components; under Component 1, social entrepreneurship for women and youth in refugee and host communities will be supported (EUR 26.00 million total). The allocation of funds among TDAs is as follows:

* + - SilkRoad TDA (EUR 7.20 million)
    - Eastern Mediterranean TDA (EUR 7.20 million)
    - Karacadağ TDA (EUR 5.80 million)
    - Çukurova TDA (EUR 4.30 million)
    - Tigris TDA (EUR 1.50 million)

Under Component 2, community livelihoods-related facilities in refugee and host communities will be financed (EUR 9.50 million total). The allocation of funds among TDAs is as follows:

* + - SilkRoad TDA (EUR 2.60 million)
    - Eastern Mediterranean TDA (EUR 2.60 million)
    - Karacadağ TDA (EUR 2.20 million)
    - Çukurova TDA (EUR 1.60 million)
    - Tigris TDA (EUR 0.50 million)

Component 3 is for institutional capacity strengthening and project management (EUR 4.00 million) and will finance project management, M&E, and communications (and visibility) as well as the targeted capacity building of national (MoIT, TDAs) and local actors, etc.

The MoIT PIU will prepare and furnish to the World Bank not later than December 15 of each year during the implementation of the project, a proposed Annual Work Plan and Budget containing:

* + - All activities to be carried out under the Project during the following year.
    - A proposed financing plan for expenditures required for such activities, setting forth the proposed amounts and sources of financing.
    - A consolidated training plan for any training activities that may be required under the project including, inter alia, the type of training, the purpose of the training, the length of the training, the number of trainees, and the projected cost;

The MoIT PIU will afford the World Bank a reasonable opportunity to exchange views on each such proposed Annual Work Plan and Budget, and shall thereafter ensure that the project is implemented with due diligence during said following year, in accordance with such Annual Work Plan and Budget as shall have been approved by the World Bank. It will not make or allow to be made any change to the approved Annual Work Plan and Budget without the Bank’s prior written approval.

* 1. **Provision of Grant Resources (Use)**

In order to use grant resources, money is withdrawn from the World Bank to the Designated Accounts that will be opened for the Project. The withdrawal is carried out according to the procedures and principles set out in the World Bank Disbursement Handbook.

There will be two designated accounts for the project. One designated account will be dedicated solely for the disbursement of grants under Subcomponent 1B. There will be subaccounts under both designated accounts for each TDA. The designated accounts will be opened at Vakifbank of Turkey. The payments from the designated accounts will be registered by the PIU, and the payments from the subaccounts will be registered by the TDAs.

The MoIT is not required to budget for grant funds in the line with the requirements of the Public Financial Management and Control Law. But in order to plan for the disbursements, annual work plans will provide for indicative project expenditures on an annual basis. MoIT is required to keep records of Project expenditures, including Grants disbursed in a specific accounting system designed specifically for the Project. The FM staff and consultants who will be assigned to the project will maintain the project accounts and will be responsible for the preparation of project reports and financial statements.

**The following actions will be fulfilled before the withdrawal request:**

* + - Prior to the use of the World Bank grant, important documents such as the Grant Agreement, the Disbursement and Financial Information Letter (DFIL) , and the User Manual, are negotiated, accepted and entered into force.
    - A separate special account is opened at the Vakifbank of Turkey for the grant.
    - The officials who are authorized to sign the withdrawal applications of the project shall be identified and the signature samples of the authorities and the name, surname and title of the authorities shall be notifies to the World Bank through the Ministry of Treasury and Finance.
    - The request for withdrawal from the World Bank is made by logging through the client connection system. A request is made to obtain a password on behalf of authorized personnel in order to enter the system.

**Money is withdrawn from the World Bank for the use of grant (money):**

* + - Withdrawal requests are made by using forms determined by the World Bank and by making electronic applications on the client connection system. The transactions to be made on the client connection system are done by authorized persons. Money withdrawal methods will follow the methods specified in the Disbursement and Financial Information Letter (DFIL), details of which are described in the World Bank Disbursement Handbook. Accordingly, the following methods will be applicable:

1. **Advance payment to special account**

The advance payment is the prepayment to be paid to the MoIT by the World Bank for project expenditures. Provided that the limits stated in the Disbursement Letters, which are integral parts of the Grant Agreement, are not exceeded, in order to be used in the expenditures, a withdrawal request from the World Bank shall be requested and the amount requested shall be transferred to the special account of the MoIT. No supporting documents will be added to the withdrawal application for the initial advance. If the advance limit is insufficient due to compulsory reasons, the World Bank shall be consulted by stating the reasons, if the reasons for the demand are deemed appropriate by the World Bank, withdrawal over advance limit may be made.

**Replenishment of advance.** The funds transferred as advance payments to the project special account shall be renewed as they are used for the appropriate expenditures within the scope of the grant. The MoIT shall submit to the World Bank the relevant documents showing that the appropriate expenditures have been made within the scope of the project and have been met from the advance amount. The MoIT shall make the replenishment applications in the time and conditions determined in the agreed disbursement letters after receiving monthly bank notifications and reconciliation with the special account. The lower limit to be determined in the disbursement letter is taken as a basis for the application for withdrawal. The withdrawal application is made at least quarterly. It is not expected that the three-month period will expire in order to make withdrawal for the expenditures over the lower limit. Two methods are used for withdrawal requests from the World Bank for the project special account:

* + - **SOE (Statement of Expenditures) method.** In this method, which is named as Statement of Expenditures (SOE), the MoIT submits the Withdrawal Application Form-2380 together with the form of SOE as a supporting document and submits the application to the Bank for the withdrawal of the payments made. The SOE form example is included in the Disbursement Letter, which is an annex to the Grant Agreement. Detailed information is given in SOE forms by including the exchange rates related to project expenditures. Also, if requested by the World Bank, the documents (invoice, bank receipt) indicating payment are included in the appendix of all transfer applications. SOE limits are determined in the disbursement letter approved by the World Bank.
    - **Summary Sheet Method.** In case the SOE limits are set in disbursement letters; the Summary Sheet method is used in the filing applications for the expenditures of the contracts over these limits. In this method, referred to as the Summary Sheet method, the MoIT shall apply to the World Bank for the withdrawal of the payments made by filling the Application for Withdrawal Form-2380.

In the case of expenditures exceeding the contract (SOE) limits, it is compulsory to have all supporting documents required by the World Bank in the annex of the withdrawal applications.

**Returning to the World Bank the money in the project special account and closing the special account.** Closing dates of projects are determined in Grant Agreements. The closing date of the project, as well as the withdrawal from the World Bank, also has a closing date and is usually determined by the Grant Agreement. The closing date of the project is also the deadline for withdrawal from the World Bank. After this determined date, withdrawal cannot be made from the World Bank.

After all expenses related to the project have been realized by the MoIT, the debts and receivables are closed and the accounting records are completed, the balance in the project special account is returned to the World Bank by applying to the Ministry of Treasury and Finance and the project special account is closed.

1. **Direct payments**

Direct usages take place in two ways: payment of payable debts and payment by letter of credit (special commitment). The payment of debts that have become payable is covered under this heading, while payment via letter of credit (special commitment) is discussed under subheading (c) below.

Payable debts are made directly through the World Bank Account. For direct use, the World Bank Account is used directly instead of the Project Special Account. Upon the request of the MoIT, the World Bank makes direct payments to third parties from this account.

In case the payment is made from the project special account for payments over withdrawal limit and below the withdrawal limit, the MoIT may make payments from the World Bank account directly, which are considered to have a negative impact on the cash plan.

In the method of direct use, the user and/or the implementing organizations shall apply to the Bank by filling out the Form-2380 for the withdrawal application.

1. **Special commitment (letter of credit) method**

It is used to finance imported goods under the project. In some cases, the MoIT may supply the goods it needs from abroad and prepare the tender documents accordingly. According to the tender document and the terms of the contract with the supplier, the MoIT may have to open a letter of credit to finance the purchase of goods under the project. Commercial-intermediary banks may not seek to open or issue a letter of credit, to notify or make a confirmation without guarantee or assurance. In this case, it is expected to make a special commitment to the commercial-intermediary bank by making a request from the World Bank in order to overcome the difficulties experienced in opening a letter of credit by the MoIT. A special commitment is made by the World Bank to a commercial-intermediary bank and the letter of credit is opened.

1931 numbered Form is prepared by the MoIT for the special commitment application and signed by the authorized persons and sent to the World Bank.

In the form of a supporting document for the annex of Form 1931, the letter of credit, the proforma invoice, the contract sample, and the no-objection are added.

Supporting documents are prepared in two copies.

* 1. **Expenditure of External Project Grant**

Expenditures under the project are public expenditures. An expenditure, to be a public expenditure, should be spent on public services foreseen in the budget.

The MoIT needs to complete some stages to be able to use the funds provided by grant budget and spend. These stages can be explained in terms of both process and sequence.

**Legal basis should be established**

First, there is a need for a legal basis for public service and thus for public expenditure. For example, if there is a purchase of goods or services on behalf of the state, the expenditures made on the basis of external project grants shall be acted according to the provisions of the International Agreement (Grant Agreement) in the Public Procurement Law No. 4734.

The legal basis of the SEECO (Social Entrepreneurship, Empowerment and Cohesion) Project is the Grant Agreement between Republic of Turkey Ministry of Industry and Technology and International Bank for Reconstruction and Development - acting as administrator of the European Commission Development Fund- (Grant Number TF08504). A Presidential Decree (date: 9/12/2020 and number: 3277) has been published to authorize the MoIT for executing the SEECO Project.

**Fund is created and funds are released**

In the process of public expenditure, the important step after the legal basis is to have a budget allocation for the public expenditure and to allow for such allocations to be released. The expenses required by the state services are determined by the funds allocated to the budget of each year. Necessary explanations were made in the budget section about this subject. Since the grant source is not included in the central government budget; there is no need for the releasing of fund and funds for the grant.

**Fund submission document is issued**

When available funds are determined, the MoIT determines the needs by making a service program. The authorizing authorities of the central organization of the MoIT organize the **Fund Submission Document** on behalf of the expenditure units by allocating the available funds according to the needs and ensure that they are sent to the relevant places.

**The expenditure process is started (commitment of expense)**

After the provision and distribution of the fund use authorization, stages for preparation of the certificate of approval required for making the expenditure and obtaining the permission from the authorizing officer follows.

The commitment of the expense can be expressed as the decision to purchase the goods and services that require an expense. This decision is made by the expenditure authorities according to the requested proposals. The authorizing officer is the top manager of each expenditure unit allocated with the budget. The authorizing officer of the General Directorate of Development Agencies, who is responsible for the implementation of the Social Entrepreneurship, Empowerment and Cohesion Project, is the General Manager. In the event that the General Manager deems it appropriate, such authorization may be transferred to the Assistant General Managers, provided that it does not exceed 250.000 Turkish Liras in the purchase of goods and services and 1.000.000 Turkish Liras in the construction works.

Each of the process, such as preparation of specifications, approval certificate, announcement, commission decision, contract refers to the stage of undertaking of the expenditure namely commitment stage.

The cost commitments related to the procurement of goods and services and construction works for the project expenses are fulfilled by tender according to “the International Bank for Reconstruction and Development Loans and International Development Association Loans Guidelines”.

**Purchasing and tender transactions are performed**

Public procurement in general; refers to procurement or procurement process for all kinds of goods and services needed by public administrations and works. Public administrations enter into the procurement/bidding process in order to purchase the most favourable price, at the most appropriate time, and to keep the cost of purchase as low as possible.

According to Article 3 (c) of the Public Procurement Law No. 4734 *“Procurement of goods or services and construction works specified that different tender procedures and principles will be implemented in the financing agreement to be executed with the external financing provided in accordance with international agreements”* is exempted from the provisions of the Law No. 4734. Accordingly, loan/grant that have an arrangement regarding the application of different tender procedures and principles in the financing agreement are excluded from the scope of the Law No. 4734.

In accordance with the provisions of the Grant Agreement for the Social Entrepreneurship, Empowerment and Cohesion Project, any purchases required for the project are expected to be fulfilled according to the World Bank Procurement Regulations. Therefore, the provisions of the Law No. 4734 cannot be applied for the expenditures to be made within the scope of this project.

According to the World Bank Procurement Regulations, the procurement/tender process generally goes through the stages listed below.

Detailed descriptions of these stages are included in the Procurement Chapter. It may not be compulsory to perform some of these stages according to the tender procedure.

* + - The need and nature of the work subject to the tender is determined.
    - Administrative and technical specifications and draft contract are prepared.
    - Approximate cost is determined.
    - Where necessary, the appropriate opinion from the World Bank for the tender document shall be obtained.
    - Tender Approval/Expenditure Instruction is taken.
    - Tender/Evaluation Commission is formed.
    - The tender is announced.
    - The tender process file is created and submitted to the tender commission.
    - Bidding envelopes are prepared by the bidders and submitted to the MoIT.
    - Bidding envelopes are delivered to the tender/evaluation commission by the administration.
    - Bidding envelopes are opened, reviewed and evaluated by the tender commission.
    - Bids are announced and the session is closed.
    - A detailed evaluation of bids and competences is made.
    - Arithmetic errors are corrected.
    - Tender/Evaluation commission decision is taken.
    - It is investigated whether the contractor to sign the contract is banned.
    - For the works subject to the preliminary examination, the decision of the tender and the draft contract shall be approved by the World Bank.
    - The decision of the tender/evaluation commission shall be approved by the authorizing officer.
    - The tender result is notified to all bidders.
    - The bidder who is awarded the contract is invited to the contract.
    - Tender decision and contract stamp taxes are deposited and if required, performance guarantee is taken.
    - The contract is signed.
    - The public is informed.

**Accrual of expense/expenditure**

The accrual of the expense can be defined as the determination of the fulfilment of the conditions in question for commitment. In the accrual phase of the expense, the state debt is determined by the state in return for goods or services. The accrual of the expense is made by assessment officers.

According to the amount of the expense, the assessment officer of the Social Entrepreneurship, Empowerment and Cohesion Project may be the General Director or if authorized, may be a public officer in charge of the project or Head of Departments or Project Coordinator.

In order to make an expense from the budgets according to the Article 33 of the Law No. 5018, it is necessary that the work, the goods or the services are received or performed in accordance with the determined procedures and principles, and the approval and realization documents of the persons or commissions should be arranged. Assessment officers, on the instruction of expenditure; they carry out the tasks of obtaining the work, receiving the goods or services, carrying out the transactions related to the receipt, documentation and preparation of the necessary documents for the payment.

**Payment order document is prepared for expense/expenditure**

The connection of the expense to the payment order shall be made by the payment order document issued by the assessment officer designated by the authorizing officer; this is signed by the official and authorizing officer. The connection of the expense to the payment order document is the process of issuing a written order to the accountant/accounting officer with regard to the payment of the accrued expense to the beneficiary. This order is made by the Payment Order Document. Payment Order Document is prepared via external accounting software or MIS system of project.

**Expense/expenditure is subject to preliminary financial control**

Preliminary financial control is performed separately by the expenditure unit and financial services unit. The preliminary financial control to be performed by the financial services unit consists of the controls specified in the “Principles and Procedures for Internal Control and Preliminary Financial Control” and the controls to be performed by these units within the framework of the arrangements to be made by the administrations.

Since the grant of the project will not be included in the central government budget; expenses incurred under this project do not have to be subject to the preliminary financial control of the financial services unit. In this case, the preliminary financial control of the project is made only in the expenditure unit. However, in case of necessity, the expenses related to the grant from the project may also be subject to preliminary financial control by the financial services unit.

1. **Preliminary financial control in expenditure unit**

Process control is made in expenditure units. In process control, each process is designed and implemented to include control of previous operations. Those who are involved in the execution of financial transactions also control the transactions prior to the transaction they will make.

The assessment officers assigned to issue a Payment Order Document sign the payment order document by making preliminary financial checks on the payment order certificate and the attached documents.

The FM and financial expert assigned by the purchase of services in the expenditures units where the grants are used, checks the procedures in accordance with the procedure of performing the necessary examinations on behalf assessment officer and the authorizing officer in the preliminary financial control process, completes the deficiencies and informs the Project Coordinator.

1. **Expenses subject to preliminary financial control of financial services (strategy development)**

According to Article 17 of the By-Law on Procedures and Principles on Internal Control and Preliminary Financial Control, the authorities, whether or not subject to procurement laws, are subject to the control of the Financial Services (Strategy Development) Unit who are exceeding the amount of 1.000.000 Turkish Liras for the purchase of goods and services and the amount exceeding 3.000.000 Turkish Liras for the construction works.

The Financial Services (Strategy Development) Unit has the authority to determine the above amounts at lower levels than the type of expenditure. If a lower limit is determined and announced to the expenditure units, the commitment documents and contract proposals exceeding this limit are sent to the Financial Services (Strategy Development) Unit by the expenditure units for preliminary financial control.

As the Strategy Development Authority of the MoIT does not set a limit below the legal limits, the contract documents and contract designs exceeding 1.000.000 Turkish Liras from procurement of goods and services belonging to the project and over 3.000.000 Turkish Liras in construction works will be sent to the Financial Services (Strategy Development) Unit for control purposes.

While the grant of the project carried out by the General Directorate of Development Agencies is not included in the budget of the central government, if the financial services unit decides to subject the financial expenses to the preliminary financial control; the documents related to the expenses incurred under this project are sent to the preliminary financial control of the financial services unit. If such a decision is not made, it is not necessary to send the grant-based expenditure documents to the Financial Services Unit.

1. **Considerations during preliminary financial control**

The purpose of the preliminary financial control is to check compatibility of the financial decisions and transactions related to income, expenses, assets and liabilities with the purpose of the project, the budget of the administration, the arrangement in the budget, the available cash, the detailed expenditure and financing programs and other financial legislation provisions.

Preliminary financial control is performed on the following subjects.

* + - Preliminary financial control is made in terms of expense.
    - Preliminary financial control is made in terms of tax deductions:
* Income tax withholding
* Corporate tax withholding
* Value added tax withholding
* Stamp duty collection and withholding
  + - Preliminary financial control is made in terms of execution and foreclosures.
    - Preliminary financial control shall be performed for the assignment of the receivables.
    - Preliminary financial control is performed for tax liability inquiries and interruption.
    - Preliminary financial control is performed for insurance debt inquiries and interruption.
    - Preliminary financial control is performed for workers’ claims.

**Payment to the beneficiary**

The payment of the expense is the process of paying the state expense accrued to the beneficiaries by the accounting officer based on the payment order certificate.After the necessary documents have been prepared by the expenditure unit and the preliminary financial control is made with the accrual procedures, a Commitment File shall be prepared covering the expenditure documents set out in the Regulation on Central Government Expenditure Documents and the Payment Order Document shall be issued and signed by the authorizing officer with the assessment officer.

For the payments to be made from the Project Designated Account together with the payment order document and the attached expenditure documents signed by the realization officer and the authorizing officer, Annex-3 Form is issued for the payments to be made from the Designated Account. The accounting officer of the MoIT who receives the payment order and the attached expenditure documents, checks the signature of the authorities on the payment order and the attached documents, and checks whether the documents listed in the relevant legislation of payment are complete, and whether there are any material errors and confirms the identity of the beneficiary.

After the necessary transactions are completed by the accounting officer, the budgeting and accounting record is made in the Government accounting system and the Annex-3 Form issued for the payments to be made from the Project Designated Account is signed and sent to Vakıfbank and the Annex-2 Form issued for the payments to be made directly by the lender institution is signed and sent to the lender institution (the World Bank) and to the General Directorate of Public Finance of the Ministry of Treasury and Finance.

The process of expenditure is completed by transferring to the account of the beneficiary by Vakıfbank who receives Annex-3 Form and by the lender institution (the World Bank) that receives the Annex-2 Form.

Examples of Annex-2 and Annex-3 Forms are included in the Annex to the Regulation on Principles and Procedures on External Debt Record of External Project Loans.

Components 1 and 2, which will be implemented by the TDAs and make up the major part of the project, will include contracts with CIPs and subgrant agreements with beneficiaries. The procurement for the CIP contracts will be conducted centrally by the MoIT PIU. The roles and responsibilities of the PIU, TDAs, and CIPs regarding FM will be documented in the SGM. CIPs will have escrow accounts for subgrant funding to pass through, and all payments will be transferred to beneficiary bank accounts.

Each TDA will open an operational bank account, in a public commercial bank allowed as per its relevant regulation. Payments under Components 1 and 2 will flow through these operational bank accounts, which will be exclusive to the project. These accounts will only be used to facilitate payments at the local level, no funds will be deposited to these accounts and they will not carry a balance. Upon receipt of payment request letters by the TDAs, supported with invoices, payment lists, or other documents depending on the type of payment, the MoIT PIU will transfer the requested amount to the operational project account of the TDA. The TDA will then disburse the requested amount to the recipient of the payment and make sure that the operational bank account balance is zero after each transaction is complete.

The subgrant beneficiaries (refugees and host community members) under Subcomponent 1B will be required to open bank accounts at the same bank where the TDA has its project account. The procedures for the disbursement and management of these subgrants will be dependent on the financial capacity and controls of the selected CIPs, and the respective TDAs. Procedures will be finalized and approved by the Bank in the SGM, which will be a condition of disbursement. Based on beneficiary payment lists prepared and submitted by the CIPs, the TDAs will send payment request letters to the MoIT PIU for the MoIT to release the funding tranches for the subgrants to the TDAs.

The withdrawal applications for the project accounts will be prepared and authorized by the MoIT PIU. Basically, disbursements below the thresholds indicated in the disbursement letter will be reported and reimbursed according to certified SOEs. Full documentation in support of SOEs will be retained by the MoIT and TDAs for at least seven years after the World Bank has received the audit report for the fiscal year in which the last withdrawal from the designated accounts was made. This information will be made available for review during supervision by Bank staff and for annual audits that will be required to specifically comment on the propriety of SOE disbursements and the quality of the associated recordkeeping.

IPA Framework Agreement between EU and Turkey allows exemption on VAT payments in project expenses. The following steps need to be taken to ensure tax exemption on VAT expenses of all relevant parties in the project:

1. First, following the signing of the Grant Agreement, MoIT applies to the Turkish Revenue Administration for exemption of the tax expenses of beneficiaries of the projects. A VAT exemption certificate is expected to be given to MoIT.
2. MoIT will provide this VAT exemption certificate to suppliers during the procurement process. Suppliers will deduct VAT in the total invoice cost so MoIT will not have to pay for VAT.
3. After that, all relevant parties and beneficiaries (TDAs, local authorities, subgrant beneficiaries) in the project will apply to the local Turkish Revenue Administrations separately to get their own VAT exemption certificate.

Pursuant to Article 26/3 of the IPA Framework Agreement, it is obligatory for the tax administration to draw up and issue VAT Exemption Certificate for the Contractor within 30 days from the date of its application with the requested documents.

It’s likely that especially some of the incubation grant beneficiaries who are not experienced with legal processes related with business and taxation may face with difficulties during exemption application. In order to mitigate these risks, CIPs may provide legal business and consultation service to beneficiaries and assist them during VAT exemption certificate application.

The expenditure and payment process are summarized in Table 13 below.

Table 13. Financial Transactions and Descriptions

| No. | Financial Transaction | Description |
| --- | --- | --- |
| 1 | Requirements are determined and tender documents are prepared. | The administrative and technical experts of the PIU prepare documents related to the tender procedures in line with the needs, and if required by the World Bank, they are sent to the World Bank for no-objection. |
| 2 | Receiving Expenditure Instruction | In order to make an expenditure from the Grant budget, an expenditure instruction shall be received from the authorizing officer in order to allow the expenditure, and the Procurement Documents shall be attached with the tender documents and, if applicable, the Approximate Cost Schedule. The expenditure instruction is prepared by the Procurement Specialist and submitted to the control and initials of the public official in charge of the project to be submitted to the approval and signature of the authorizing officer as a requirement of the process control. The expenditure instruction, which is initiated by the public official, is presented to the approval and signature of the Head of Department and the General Director. |
| 3 | Tender process is started and finalized | Tender method is determined by Procurement Specialist in accordance with Procurement Plan and WB Procurement Regulations published by World Bank and tender process is started and necessary procedures are completed and tender is finalized. |
| 4 | Tender/ Evaluation Commission decision | The Tender/Evaluation Commission is established with the approval of the authorizing officer and the staff of the institution is usually assigned to the commission. The tender commission is composed of at least three persons and the tender is concluded according to the decision of the majority. In addition, the decision taken by the tender commission shall enter into force upon the proposal of the Head of Department, the appropriate opinion of the Assistant General Manager and the approval of the General Manager. |
| 5 | Signing of the contract | The contract prepared by the Procurement Specialist is submitted to the control and initials of the relevant public official to be submitted to the approval and signature of the authorizing officer as a requirement of the process control. The contract approved and initialled by the public official shall be submitted to the approval and signature of the Head of Department and the General Manager. |
| 6 | Implement-ation of the contract | After the signing of the contract, the “Control Organization” is formed with the approval of the General Directorate Authority in order to determine whether the purchased goods or services and the works are carried out in accordance with the specifications and contractual provisions. It may not be necessary to establish a control organization in the procurement of goods and services according to the condition of the goods purchased and the work performed. The Control Organization shall be composed of at least three persons and the minutes shall be issued according to the decision of the majority. It is checked and inspected whether the delivered goods and services performed and construction works are performed in accordance with the specifications and contractual provisions. If deemed appropriate, the minutes are issued and signed by the members. As a result of the controls, the control organization shall issue the progress payment as a response to the works performed in accordance with the contractual provisions. |
| 7 | Issuance of Inspection and Acceptance Report | The Inspection and Acceptance Commission is established with the approval of the Directorate General in order to determine whether the purchased goods or services and the works are carried out in accordance with the specifications and contract provisions. The Commission shall consist of at least three persons and the minutes shall be issued according to the decision of the majority. It is checked and inspected whether the goods and works delivered are fulfilled in accordance with the specifications and contractual provisions. If deemed appropriate, the minutes are issued and signed by the members. In addition, the decision taken by the inspection and acceptance commission comes into force with the approval of the authorized person. The minutes prepared by the Control Organization shall provide a light to the work of the Inspection and Acceptance Commission. |
| 8 | Issuance of Movable Transaction Receipt | The goods are received by the Movable Registration and Control Officer responsible for the processing of goods for the goods deemed appropriate by the inspection and acceptance commission and in return, the Movable Transaction Receipt is issued. |
| 9 | Issuance of invoice | In return for the goods delivered and the works performed, the contractor shall issue an invoice and deliver to the project implementation unit in accordance with the contractual provisions. The invoice is duly checked by the procurement specialist and the financial expert. |
| 10 | Issuance of payment order document for payment transactions and making payment | The tender transaction file is submitted to the FM expert by the Procurement Specialist. The documents required to be added to the payment order document by the Management Specialist according to the Regulation on Central Administration Expenditure Documents are selected and collected in a file together with the documents to be prepared. The payment order document is issued and the necessary preparations are made for the payment to be made within 30 days at the latest. The payment order document and additional proof documents are submitted to the control and initials of the competent public official to be submitted to the approval and signature of the authorizing officer as a requirement of the expenditure process control. The payment order certificate, which is initiated by the public official, is presented to the signature of the Head of Department or the General Director as the authorizing officer, of the Branch Manager, as the authorizing officer, for the signature of the Assistant General Manager or the General Manager. After the signature of the authorizing officer, the payment order document is sent to the accounting officer for payment to the beneficiary. Payment is made after the control and signature of the accounting officer. |
| 11 | Accounting of financial transactions and payments | Accounting records related to financial transactions and payments are made by FM Specialist in the accounting software that is used for the Project. The recognition certificate received from the accounting program shall be submitted to the authorized public official as a controlling person by initializing or signing by the said person. The public official checks whether the data on the payment order document, which is signed by the authorizing officer and sent to the accounting officer and of which one copy is kept by the authority, is transferred correctly to the accounting program and signs and initials the accounting transaction slip. |
| 12 | Checking payment by bank | The monthly bank statement showing the account movements of the special account of the project is transferred to the public official by the authorities when it is sent to the institution by post. The payment files made by the public official in the relevant month are requested from the FM Specialist and the payment amounts made by the bank and the payment amounts in the payment files are checked. The same transaction is performed by the FM Specialist and removed to the monthly bank statement file. On the other hand, the monthly statement of the special account of the project is also sent to the Central Accounting Office by the Bank. The accounting officer checks the balance on the foreign currency account balance and the monthly bank statement in the records and if any discrepancy is detected, contact with the project implementation unit. |

* 1. **Government Expenditure Documents**

Government expenditures should be based on documents bearing the signature of those responsible for being prepared for the inspection of the competent authorities and persons, and these documents should be prepared in accordance with the predetermined standard forms.

According to Article 33 of Public Financial Management and Control Law No. 5018; the forms and types of the realization documents to be sought according to the type of expenditure are determined by the Ministry of Treasury and Finance in the Regulation on Central Government Expenditure Documents. In the project payments; according to the type of payment, expenditure documents determined in this Regulation are used.

The expenditure documents shall be kept for at least 10 years according to the provisions of the Code of Obligations No. 6098.

**Paymentdocument**

The payment documents to be used in payments are determined by the Management Accounting Regulation. According to this, for the final payments to be made from the budget, this will be done in the form of the Annex to the relevant regulation, the Payment Order document with the number 1 example, and the Accounting Operation Slip number 2 in the payments to be made by prepayment.

**Expenditure instruction**

The expenditure instruction, which is used for the temporary or final payment of expenses not subject to public procurement legislation (Public Procurement Law No. 4734), shall be signed by the assessment officer and the authorizing officer and shall be allowed to spend with this document.

Since the expenses made by the MoIT based on the grant resources are realized outside the Public Procurement Law No. 4734, an expenditure instruction shall be issued for temporary or definite payments of such expenses.

**Invoice**

In Article 229 of the Tax Procedures Law No. 213, the invoice is defined as the trade certificate issued to the customer by the merchant who sells the commodity or does the job to show the amount owed to the customer in return for the goods sold or work performed.

An invoice is issued for payments to the beneficiary.

**Market price survey report**

It is a document issued as a result of the market price survey conducted by the person or persons assigned to conduct the procurement process to be made according to the World Bank Procurement Regulations. The market price survey is generally done using available data obtained through previous tender(s) either by the institution itself or other governmental institutions.

If the procurement commission decision or tender evaluation report is issued in the purchases made according to the World Bank Procurement Regulations through the Request Quotations method, there is no need to regulate the market price survey report.

**Payment documents**

Evidence that the expenditure made on behalf of the project is carried out and that the documents issued by the MoIT are arranged and approved by the persons or commissions assigned to carry out the expenditure.

These documents are as follows:

* + - **Commitment files**

The MoIT shall provide the documents to be prepared, searched and received in the relevant legislation for the expenses to be made from the grant budget. The tender dossier prepared in accordance with the World Bank's Procurement Procedures and Principles includes all documents issued during the tender process. In the commitment file, only the documents required to be attached to the payment document are included. The documents required to be included in the commitment file are included in the Regulation on Central Government Expenditure Documents.

* + - **Progress reports**

The MoIT PIU will maintain records and will ensure appropriate accounting for the funds provided for the project. Financial statements for the project will be prepared by the PIU. Interim unaudited financial reports will be prepared on a quarterly basis and will be submitted to the Bank no later than 45 days after the end of the quarter.

The **interim unaudited financial reports** will include the following reports:

* + - Expenditure Tables per activity, including explanation of significant variances between budgeted and actual figures
    - Expenditure Tables per category, including explanation of significant variances between budgeted and actual figures
    - Designated Account Statements
    - Contract/Grant Management Tables
    - Other financial tables that may be requested by the EU or other stakeholders

A narrative report on the progress in each component and any variances from the planned expenditures will be added to the set of financial tables mentioned above.

In the case of the procurement of works and service procurements to be carried out through a tender or direct procurement selection, the progress reports issued below shall be issued in the payment of the contractual fees fulfilled in accordance with the provisions of the contract:

* + - **Construction Work Progress Report**. This report consists of the documents that are the basis for the calculation of the amount of interim and final progress payable to the contractor in the construction works.
    - **Service Work Progress Report**. This report consists of documents that are the basis for calculating the amount of interim and final progress payable to the contractor in service works.

The progress payment report refers to the document that proves that a job or service has been made and signed and approved by the authorities, indicating the fee to be paid in return for the work or service.

In the procurement of goods made through the tender and direct procurement Selection, no progress report is prepared. Examples of Progress Report are included in the Regulation on Central Government Expenditure Documents.

**Substitutive documents to be attached to the payment documents**

The documents to be prepared for the expenditures of the goods and services purchased with the external financing provided by the international agreements and the expenses of the construction works are regulated in the Article 59 (c) of the Regulation on Central Management Expenditure Documents.

Accordingly, in accordance with Article 3(c) of the Public Procurement Law, the external financing provided in accordance with the international agreements and the financing agreement, for the payment of expenses regarding the procurement of goods and services and works related to construction works, it is essential that the documents specified in the relevant articles of the Regulation on Central Management Expenditure Documents be added to the payment certificate as per the types of expenses.

The Turkish translations of these documents, which are approved by the administrations in foreign language, shall be added to the payment certificate together with the original invoice, while the original documents shall be kept by the expenditure units to be submitted to the related parties during the internal and external audits.

* 1. **Accounting Transactions**

Accounting is an information system that generates the information about the formation of the resources of a project, how these resources are used, the increase or decrease of these resources as a result of the operations of the project and the financial situation of the project and transmits them to the related persons and organizations.

Information about the project is generated through accounting and this information is presented to the relevant people and organizations with the project in a universal language. Accounting summarizes the information it produces, making it suitable for the purposes of those who will benefit from this information.

An accounting that is organized in accordance with the nature of the project is effectively useful to management. For this reason, an accounting system will be developed in accordance with the requirements of the project, guided by the International Accounting Standards, Uniform Chart of Accounts and the Accounting Principles and Policies, Policies and Financial Statements Manual of the World Bank which is prepared by the Board of Controllers of the Ministry of Treasury and Finance.

Accounting is an information processing system that produces and presents the information that the people and institutions need about the project.

It is planned to keep the accounting records of SEECO Project in an electronic environment by using the accounting software program. For security purposes, the accounting software program shall be backed up at least once a month and shall be saved on another computer or external disk.

The following transactions are carried out during the execution of the accounting services.

* + - Account plan suitable for the structure of the project is prepared.
    - Accounts are coded according to project activities.
    - Accounting records are made on the basis of a document.
    - Registration errors are corrected.
    - Monthly temporary trial balance is prepared.
    - At the end of the calendar year, inventory transactions are performed.
    - At the end of the project, income and expense accounts are closed.
    - Closing trial balance is prepared.
    - Period-end balance sheet is prepared.
    - Accounting records are kept in both foreign currency and Turkish Lira.
    - The accounting records of the documents issued in foreign currency are converted into Turkish Lira at the foreign exchange buying rate.

* 1. **Reporting and Financial Statements**

Accounting summarizes the information it produces and prepares reports according to the aims of those who will benefit from this information. Reports are issued to show the result or summary of the transactions for a certain period. The reporting period is one year at most and the length of the period depends on the nature and wish of the report user. A report is prepared once a year to be submitted to the Controllers of the Ministry of Treasury and Finance and a report is prepared quarterly to be submitted to the World Bank and at least once a month to be submitted to the Project Manager.

The reports serve mainly for three purposes; it provides information to managers contributes to the evaluation of activities and helps managers to analyse and interpret themselves. One of the main objectives of the reports is to be used for performance evaluation.

Reports for the use of World Bank grants will also serve this purpose.

Reports consist of financial statements. The financial statements to be prepared for the project are shown below.

* + - **Financial reports to be prepared for project management**
* Monthly temporary trial balance
* Annual closing trial balance
* Balance sheet
* Expenditure Table
* Commitments Table
  + - **Financial reports to be prepared for the World Bank**
* Table for project resources and their use (by spending categories)
* Table for project resources and their use (by project components)
* Designated Account Statement
  + - **Financial reports to be prepared for the Ministry of Treasury and Finance**
* Table for resources and uses of funds
* Table for cumulative investments
* Withdrawals Table in form of Statement of Expenditures (SOE)
* Designated account table
* Replenishment information table
* Direct payments table
* Return to special account table
* Expenditure table
* Contract Information Table
* Table for the information on fixtures purchased within the scope of the project.
* Table for the information on goods purchased within the scope of the project.
* Explanations and footnotes on financial statements

The financial covenants for the MoIT PIU throughout the implementation will be the following:

* + - The MoIT PIU will establish and maintain an adequate project FM system.
    - The MoIT PIU will prepare the FM section of the POM.
    - The MoIT PIU, together with the TDAs, will prepare the FM section of the SGM.
    - The MoIT PIU will prepare and maintain an up to date Financial Management Manual for the Project
    - The MoIT PIU will maintain at least one FM staff/consultant throughout the implementation and payment period of the project.
    - The TDAs will each maintain at least one FM staff/consultant throughout the implementation and payment period of the project.
    - The TDAs will submit regular reports to the MoIT PIU that sufficiently reflect their operations during the quarter, in the format that will be included in the POM.
    - The MoIT PIU will prepare interim unaudited financial reports for the project on a quarterly basis and submit these to the Bank no later than 45 days after the end of each quarter.
    - The project financial statements will be audited by the Treasury Controllers on a ToR agreed with the Bank.
    - The annual audited financial statements of the project will be provided to the Bank within six months of the end of each fiscal year.
    - The audit reports will be publicly disclosed by the MoIT PIU and World Bank.
  1. **Internal Control and Preliminary Financial Control**

The effective use of grant from the World Bank and the priorities in the allocation of this grant is under the responsibility of the public administration. One of the most important thing that should be done in order for the grant to contribute to the economy of the country is to check whether the use of grant has been used in accordance with its purpose. This control is done in two ways.

**Internal control**

Internal control refers to the policies adopted by the project management and the procedures and methods applied to achieve the determined goals and objectives.

The existence of an effective internal control system is crucial for achieving the objectives and ensuring the reliability of financial reporting, as well as ensuring compliance with the established policies and legal/managerial regulations.

The objectives of the internal control system are as follows:

* + - Protection of assets of the project.
    - Ensuring the accuracy and reliability of the information regarding the project
    - Ensuring the efficiency of project activities and compliance with policies
    - Management control
    - Accounting control

The PIU, housed in the MoIT’s General Directorate of Development Agencies, will be responsible for the coordination of the project’s FM arrangements. The project will utilize the internal control procedures of the institution. The internal control mechanisms relating to the subgrants as well as the roles and responsibilities of the TDAs and CIPs will be detailed in the SGM, and it will be a disbursement condition for Subcomponent 1B.

TDAs will be responsible for monitoring the implementation of internal control systems related to grants at the CIPs. These internal control systems as well as the role of the TDAs will be detailed in the SGM. The TDAs will sign subsidiary agreements with the MoIT prior to effectiveness.

The MoIT has adequate internal controls over expenditures as per the Public Financial Management and Control Law. The MoIT PIU will define additional internal control procedures for the project in the POM. The MoIT PIU will minimize the risk of misuse or fraud with respect to FM by strengthening internal controls in the following ways:

* + - The MoIT PIU will process the payments to contractors upon receipt of the payment request letter by the spending unit, supported by the invoices and other payment documents containing all required technical approvals. It will also make sure that the payment requests are in line with the contracts.
    - The MoIT PIU will release payments to project beneficiaries for small grants to be processed by the TDAs, upon receipt of payment request letters by the TDAs, supported by payment lists and other payment documents. These lists and documents will be prepared and submitted by the CIPs, and must contain all required technical and financial approvals. The CIPs and TDAs will make sure that the payment requests are in line with the contracts.
    - The MoIT PIU will be responsible for making regular reconciliations of the designated accounts and the grant account at the World Bank. The reconciliation files will be supervised by the head of the PIU and signed by the FM consultant on a monthly basis.
    - The assets and equipment purchased for use by the MoIT or TDAs from the project funds, if any, will be followed in a separate asset register. Annual asset counts will be performed and documented by a committee whose members are appointed by the head of the PIU.
    - The MoIT PIU will ensure that regular back-ups of the FM system are made and kept in a safe place. One copy of the back-up files should be kept offsite to prevent any data losses.

**Preliminary financial control**

Preliminary financial control is part of internal control.

* 1. **Audit**

The audit of the grant, which is included in the public expenditures, starts in the process of preparation of the budget and continues until the time of payment to the beneficiary. At any stage of this process can be audited at any time.

The audit is the inspection and control of the financial statements, the effectiveness and efficiency of the operations and transactions, and the inspection and control of experts and institutions to ensure that the activities are in compliance with the laws and regulations.

Public expenditures are subject to audit in administrative, legislative and judicial areas. The administrative control of public expenditures is carried out by the auditing units of the Ministry of Treasury and Finance and the MoIT. The project financial statements will be audited by Treasury Controllers. The project audit report will be made publicly available as per the Access to Information Policy of the World Bank.

The legislative control of public expenditures takes place in three stages, including the preparation of the budget, the implementation of the budget and after the implementation of the budget. Judicial review of public expenditures is made by the Constitutional Court, judicial and administrative judicial bodies and the Court of Accounts.

Expenditures based on grant sources from the World Bank are also an element of public expenditure and are therefore subject to all of these audits. In addition, the grant resources obtained from the World Bank are subject to independent audit (see Audit ToRs in Annex 13).

**Internal audit**

Internal audit is an administrative audit and aims to improve the work of the administration and to add value. Internal audit is independent. This independence does not mean not to be dependent to any place in the organization. Internal audit shall be carried out by internal auditors. Internal audit is carried out by internal auditors, supervisors, auditors etc. in the organization. Internal audit cannot be made by an external auditor or to another person within the organization.

The MoIT has an Internal Audit Unit that operates on the basis of the Turkish Public Sector Internal Audit Standards, which are consistent with the International Internal Audit Standards published by the Institute of Internal Auditors. The Internal Audit Unit performs its duties based on the annual audit program that is agreed with upper management at the beginning of each calendar year. The internal auditors will include the project in their annual audit plan by mid-term review to provide qualitative information and recommendations regarding the implementation of the project.

**External audit**

According to Law No. 5018, the external audit is divided into two groups as audits by the Court of Accounts and audits performed by independent auditors (Controllers of the Ministry of Treasury and Finance) according to the Grant Agreements.

***External audit by the Court of Accounts***

According to Article 68 of Law No. 5018, the Court of Accounts was appointed as the institution that would carry out external audit after the expenditure. The Court of Accounts performs both judicial review and legislative control on behalf of the Turkish Grand National Assembly.

The purpose of the external audit to be performed by the Court of Accounts is to examine the financial activities, decisions and operations of the management in terms of compliance with laws, public objectives, objectives and plans within the framework of accountability of public administrations within the scope of general government and report the results to the Turkish Grand National Assembly.

***External audit by independent auditors (Controllers of the Ministry of Treasury and Finance)***

The World Bank, which is the lender institution under the supervision of the financed investment projects, may put forward a different audit mechanism as a prerequisite and provide the Grant Agreement with such provisions.

The World Bank expects the audit to be carried out by the auditors approved by the World Bank through the special provisions set forth in the grant agreements. This audit is an audit by the independent audit organizations on behalf of the World Bank. The audits of the projects financed by the World Bank can be made by independent auditing firms, but also by the Board of Controllers of the Ministry of Treasury and Finance on behalf of the World Bank. Therefore, it is expected that the independent audit to be performed by the World Bank will be performed by the Board of Controllers of the Ministry of Treasury and Finance.

As part of the Bank’s auditing requirements, the project financial statements will be subject to external auditing. The first set of audit reports will be submitted to the Bank before June 30 of the year following the calendar year in which the first disbursement from the grant has been made. The project financial statements will be audited by the Treasury Controllers in accordance with International Standards on Auditing. The Treasury Controllers are the external auditors for all EU and World Bank-financed projects implemented by ministries and government institutions. The following table (Table 14) identifies the audit reports that will be required to be submitted by the project implementing entity and the due date for submission:

Table 14. Audit Reports and Due Dates

|  |  |
| --- | --- |
| **Audit Report** | **Due Date** |
| Project financial statements, including SOEs and designated accounts. Project financial statements include sources and uses of funds by category and by components; SOE statements, Statements of Designated Account, notes to the financial statements, and a reconciliation statement. | Within six months after the end of each calendar year and also at the closing of the project. |

* 1. **Personnel Employment**

In the scope of the Project, the FM Specialist will be responsible for the financial management, disbursement and auditing arrangements throughout project implementation. The FM Specialist will perform these functions by using the systems and procedures of the MoIT, World Bank FM requirements and the project FM Manual, enable necessary coordination and support on FM issues and provide technical support to MoIT General Directorate for Development Agencies for project-related FM issues.

The FM Specialist shall report on a day-to-day basis to the Project Manager of Project Implementation Unit (PIU). The main output of the Financial Management Specialist shall be the delivery of a wide range of professional services related to the effective day-to-day FM of the project. These services shall involve both analytical and operational activities.

**Duties and Responsibilities of FM Specialist**

***General***

* + - Design and establish an FM system for the project as described in the PAD. The FM system includes budgeting, accounting, funds flow, internal controls, reporting and auditing arrangements to ensure that the project funds are used for the purposes intended both economically and efficiently.
    - Collaborate with the accounting software developers to customize the accounting software for the needs of the project and effectively use it over the life of the project.
    - Prepare and, as necessary, update, the FM Manual of the project including all financial activities (budgeting, planning, fund management, sourcing, accounting, reporting and monitoring), procedures and work flows aligned with the WB procedures and requirements and MoIT FM systems.
    - Perform the following duties within the scope of project FM.

***Budget and Planning***

* + - Perform tasks assigned by the MoIT regarding the project in preparation and revision of plans, programs and budgets.
    - Define and record annual budgets in the project accounting software as a basis for monitoring disbursements against budget during the year.
    - Allocate annual project budget to calendar quarters based on disbursement categories and project components, in line with procurement plan and grant allocations and in all relevant currencies, in order to follow budgets and disbursements comparatively throughout the year.

***Fund Management and Disbursement***

* + - Support the development of traceable and auditable fund management and disbursement procedures for the use of project funds.
    - Support the management of designated account of the Project and grant account in line with the Project Disbursement and Financing Letter, World Bank Disbursement Guidelines and other relevant procedures.
    - Prepare WB Grant Withdrawal Applications and replenishment requests for financing project expenditures.
    - Assign payment order numbers for disbursements to be made out of grant account and designated account and ensure that the payments are made in line with the provisions of the grant agreement.
    - Perform monthly reconciliation of bank accounts, monitor fund flows and perform resource planning.
    - Monitor the designated account balance against disbursement plans based on contract management, to ensure that sufficient cash is available for uninterrupted project implementation.

***Accounting and Archiving***

* + - Develop chart of accounts, cost centers, project codes for expense and budget items as well as standard formats for journal vouchers, financial tables and reports, ledgers and other reports and statement; and support relevant units of the MoIT in defining them to the accounting software and making necessary revisions as required.
    - Gather and consolidate financial information as a basis for reporting and accounting activities, especially essential expenditure documents and payment supporting documents.
    - Perform all accounting and bookkeeping activities of the project including the timely recording of financial transactions and budget realizations in line with FM procedures, as instructed by the MoIT.
    - File and archive all supporting documents of financial transactions together with the books and the accounting records of the project.

***Financial Reporting and Audits***

* + - Prepare the annual financial statements and interim unaudited financial reports for the project.
    - Prepare monthly, quarterly, annual budget reports, financial statements, financial/managerial reports and ad-hoc financial and budget reports when requested.
    - Prepare necessary documentation and reports for external audit and support all internal and external auditing activities.

***Other***

* + - Support the implementing units regarding financial matters of the contracts between the MoIT- General Directorate for Development Agencies and suppliers, contractors and consultants,
    - Perform financial monitoring of the project by designing and keeping financial progress tables for the contracts and activities under the project,
    - Prepare relevant tables, analyses, information and documents included in the project reports,
    - Cooperate and coordinate with Procurement Specialists as necessary for the FM function.
  1. **Financial Management Manual**

A more detailed, explanatory and exemplary FM Manual will be prepared on the abovementioned FM work and transactions and will be available over the implementation period of the Project.

## CHAPTER 12: PROCUREMENT MANAGEMENT

* 1. **General Information**

The procurement of Goods, Works, Non-Consulting and consultancy services under the project shall follow the provisions of the World Bank Procurement Regulations for IPF Borrowers (November 2020) (Procurement-Regulations) and the provisions set out in the Grant Agreement. A General Procurement Notice will be published on the World Bank’s external website and United Nations Development Business website immediately after the project negotiations as per para. 5.22 of the Procurement Regulations.

* 1. **Procurement Principles**

The following Core Procurement Principles shall guide our decisions under the project: value for money, economy, integrity, fit for purpose, efficiency, transparency, and fairness.

* 1. **Procurement Responsibilities**

**For the project subcomponents in general**

All major procurements will be conducted by the PIU established under the MoIT’s Directorate General of Development Agencies, except the procurements under Subcomponents 1B and 2B. TDAs will participate in the bid evaluation committees for the procurement to be conducted by the MoIT PIU in their regions, and will sign the resulting contracts. This is part of a mutual understanding for achievement of a joint effort and collaboration for ownership and transfer of knowledge and capacity in between the aforesaid parties, whereas one will be acting as the procuring entity with its relevant procurement capacity and know-how and the other as the future Client of the selected/contracted Consultant/Contractor/Supplier of the eventual contract with its local knowledge for potential beneficiaries/actors and conditions.

The procurement to be carried out by the beneficiaries/CIPs acting on behalf of beneficiaries under Subcomponent 1B of the project will be done in accordance with well-established commercial practices as stipulated in the SGM and confirmed by the MoIT/relevant TDA that these practices are consistent with the Bank’s Core Procurement Principles of value for money, economy, integrity, fit for purpose, efficiency, transparency, and fairness.

The procurements to be proposed by the local authorities and agreed to by the TDA/MoIT under Subcomponent 2B will be conducted by the relevant local authorities in accordance with the procurement arrangements stipulated in the SGM and/or agreed procurement plans.

**Roles and responsibilities of the MoIT PIU Procurement Division**

The MoIT PIU, through its procurement division ensures that the Procurement Plan as cleared by World Bank is pursued and implemented in accordance with the procedures specified in the Grant Agreement. To that end, PIU Procurement Division shall:

* + - Ensure the procurement of goods, works, non-consulting services and consultancy services comply with the conditions of the Grant Agreement and Procurement Regulations.
    - Prepare/update the procurement plan and submit to the World Bank on the STEP System and ensure that procurement of all goods, works, non-consulting services and consulting services are undertaken in accordance with the approved Procurement Plan.
    - Prepare, and assist the other PIU staff in the preparation of all sorts of bidding documents for goods, works, consultancy and non-consulting services and review the completeness and acceptability of the documents before submission to the World Bank for “no objection” for prior-review contracts.
    - Provide support to the PIU’s Technical Team for the preparation of ToRs, technical specifications and bidding documents of procurements according to different procurement methods as defined in the Procurement Plan.
    - Provide support to PIU’s Technical Team the in preparing the Addendum (Addenda) to the bidding documents including clarifications to the questions raised by the prospective bidders/consultants.
    - Organize and participate in the bid/proposal openings and for the evaluation of bids/proposals and preparation of standard or sample evaluation reports and review the completeness and acceptability of the documents before submission to the World Bank for "no objection” for prior-review contracts.
    - (Make use of national stakeholders, UNDB and other platforms for the publication of bid notices, Request for Expression of Interests and procurement items.
    - (Finalize the contract negotiations.
    - Prepare the contracts awarded for the signature, timely notify the firms awarded for the contracts and review the completeness and acceptability of the documents before submission to the World Bank for no-objection for prior-review contracts; publish contract award notices on a timely basis as per the Procurement Regulations.
    - Contribute to the contract management processes by consulting to the World Bank in the case of amendments on the contracts or emergence of related needs.
    - Establish an adequate document filing system, in providing contract and progress information for disbursement needs.
    - Prepare/Revise the procurement section of the SGM, provide technical assistance and support in the evaluation of the subgrant applications from a procurement standpoint of view, conduct all assessment/s, documentation reviews and site visits and etc. as required by the PIU Director in line with the provisions of the SGM and other legal documents.
    - Oversee and monitor the TDAs and ensure that they are carrying out the fiduciary oversight according to the agreed-upon procurement arrangements and procedures.
    - Conduct other activities related to procurement as entrusted by the PIU Director.

**Procurement roles and responsibilities of the selected TDAs under Subcomponents 1B and 2B**

The selected development agencies under Subcomponents 1B and 2B:

* + - Sign contracts with the selected CIPs, manage/monitor their contracts.
    - Assess the capacity of the Subgrant applicant/s to carry out the procurements efficiently through the assessment of their accountability for procurement decisions, availability of internal manuals for processing procurement related matters, availability of good record keeping and documents management system, staffing, previous experience in similar operations and private sector practices.
    - After the approval and signing of the subgrant financing agreements with the subgrant beneficiaries, monitor/procurement oversight of incubation and acceleration support services and subgrants.
    - Conclude MoUs and sign subfinancing agreements with local authorities.
    - Prepare/conduct all bidding process of procurements as defined to be conducted by the TDAs in the initial agreed Procurement Plan as per the Procurement-Regulations and agreed procedures, manage all eventual contracts.
    - Technical support for design contracts and feasibility studies.
    - Monitoring/procurement oversight of subgrants to local authorities.

**Roles and responsibilities of the CIPs in procurement** **under Subcomponents 1B and 2B**

The procurement roles and responsibilities of the CIPs in procurement under Subcomponents 1B and 2B are outlined inCHAPTER 12: Subprojects Procurement Management Section of the SGM.

* 1. **Project Procurement Strategy for Development**

As required by the Procurement-Regulations, a Project Procurement Strategy for Development (PPSD) has been developed by the MoIT and uploaded into World Bank’s Systematic Tracking of Exchanges in Procurement (STEP) whereby how procurement activities would support project operations under the project for the achievement of the PDOs are defined in detail.

The PPSD and Procurement Plan shall be updated at least annually or as required to reflect actual project implementation needs.

Once a contract package is determined by a local authority under Subcomponent 2B, the relevant TDA will assess its procurement capacity and prepare an update to the project PPSD with the support of MoIT PIU, which will be submitted to the Bank for its review and approval. Furthermore, the resulting procurement plan will be submitted by the MoIT and approved by the Bank before initiating the procurement.

* 1. **Procurement Planning**

The PPSD is linked to the overall project implementation strategy by ensuring the proper sequencing of procurement activities. A procurement plan covering the first 18 months is agreed and attached to the PAD as Annex 6. Given that some of the contracts are demand driven and their scope, size, and duration can only be determined after a needs analysis is conducted by either the MoIT or CIP consultants, indicative contract amounts and time schedules were given for these contracts in the procurement plan. The MoIT PIU will prepare an update to the project PPSD for such contracts determined after the needs analysis, and procurement plan will be updated accordingly. The contracts, envisaged as to be multiple contracts in the Procurement Plan shall be uploaded into STEP when the related activity is due to support project implementation and meanwhile still allowing the necessary time required for the relevant procurement transactions in the initial stages of procurement roadmap.

* 1. **Systematic Tracking of Exchanges in Procurement**

The project will use STEP, a planning and tracking system that provides data on procurement activities, establishes benchmarks, monitors delays, and measures procurement performance. STEP will also be used for preparing, clearing and updating procurement plans. Prior to commencing any procurement activity, the PIU shall prepare the project Procurement Plan through STEP.

Only the MoIT is given STEP access in the project portal to safeguard the confidentiality of the contract information recorded by different contracting entities. Hence, the local authority/ies who are implementing subprojects under the “guided project support” (Subcomponent 2B) will share the procurement information with the relevant TDA. The TDAs will ensure and maintain that this information is forwarded to the MoIT and processed in STEP by the PIU. This is also relevant to the procurements to be conducted by the selected TDAs under the Project. The same transfer of information shall flow from TDAs to MoIT PIU on a timely basis (i) before the initiation of the procurement activity for its clearance by the Bank and (ii) as soon as the activity is approved through STEP, all relevant documents as appeared in in the Procurement Roadmap of STEP shall be informed by the MoIT PIU in writing and as the process progressed by the TDA doing the procurement shall be forwarded to MoIT PIU.

A list of the procurements performed by the beneficiaries under Subcomponent 1B will be recorded in the format as provided in the SGM, and these records will be uploaded into STEP by the MoIT at least annually but not later than the closing date of the project.

* 1. **Procurement Methods and Thresholds**

The following conditions and procurement methods apply to all procurement activities under the project. The other elements of the Procurement Plan as required under paragraph 4.4 of the Procurement Regulations are set forth in STEP, including brief description of the activities/contracts; the selection methods to be applied; cost estimates; time schedules; the Bank’s review requirements; and any other relevant procurement information.

Table 15. Procurement Methods for Goods, Works, and Non-Consulting Services

|  |  |
| --- | --- |
| **Procurement Method** | **Procurement Method Threshold** |
| **RFB/Open International** | Default Method (no procurement method threshold) |
| **RFB/Open National** | Goods and non-consulting services contracts valued at less than US$2 million |
| Works contracts valued at less than US$3 million |
| **RFQ** | Contracts valued at less than US$1 million |
| **Direct Contracting** | No threshold |

Table 16. Selection Methods for Consultants

| **Selection Method** | **Selection Method Threshold** |
| --- | --- |
| Quality and Cost-Based Selection (QCBS) | Default Method (no selection method threshold) |
| Least Cost Selection (LCS) | No selection method threshold |
| Quality-Based Selection (QBS) | No selection method threshold |
| Selection Based on Consultant Qualifications (CQS) | Contracts valued at less than US$8 million |
| Single Source Selection of Firms (SSS) | No selection method threshold |
| Individual Consultants (INDV) | No selection method threshold |

The ToRs of any audit, procurement or legal consultants financed by the project shall be sent to the Bank for its comments.

* 1. **Procurement Monitoring by the World Bank**

All procurement under the project is subject to the Bank’s ex-post review unless otherwise specified in STEP. CIP contracts will be subject to the Bank’s ex-ante due diligence (prior) review, meaning that all relevant documentation as specified in the Procurement Roadmap of the relevant activity shall be sent to Bank’s review/comments before proceeding with the next step.

The World Bank will review the procurement arrangements performed by the implementing agencies, including contract packaging, applicable procedures, and the scheduling of the procurement processes, for their conformity with the legal agreement. Procurements that did not have ex-ante due diligence by the World Bank will be subject to ex-post due diligence on a sampling basis in accordance with the procedures set forth in Paragraph 4 of Annex II of the Procurement-Regulations. A post review of the procurement documents will normally be undertaken annually and/or during the World Bank’s supervision mission, or the World Bank may request to review any particular contracts at any time. In such cases, the PIU will provide the World Bank the relevant documentation for its review.

Procurement supervision will include an additional procurement process review after the selection of the CIPs; the first cycles of Subcomponent 1B subgrants to social entrepreneurs; and the initial cycle of Subcomponent 2B subgrants for livelihoods facilities development.

* 1. **Bid Evaluation Committee**

Bid Evaluation Committee shall be formed of three to five members depending on the size of the Procurement to evaluate and analyze bids, assign technical committees if necessary, report on bid’s evaluation results and conclude the evaluation result. One member shall be appointed to act as the Head of the Committee. When assigning Bid Evaluation Committee members, special attention shall be paid to assign staff with relevant experience and knowledge on the subject matter of procurement.

The Evaluation Committee members may be selected from:

* + - Procurement officers of the concerned unit of the Procuring Entity; and
    - officers experienced in technical, commercial, financial or legal matters.

The committee members are expected to be impartial and objective in the process and disclose any actual or potential Conflict of Interest in writing to the Procuring Entity. The concerning official must be removed from that particular procurement A file shall be documented accordingly.

The Procuring Entity, whether it be the MoIT PIU, selected TDAs, CIPS providing procurement support to Beneficiaries under Subcomponent 1B or the local authorities under Subcomponent 2B shall treat information relating to the examination, clarification, and evaluation of Applications/Bids/Proposals in such a way as to avoid disclosure of their contents to any other Applicant/Bidder/Proposer/Consultant participating in the selection process, or any other party not authorized to have access to this type of information, until the Procuring Entity notifies the outcome of evaluation of Applications/Bids/Proposals, in accordance with the procedures in the applicable Procurement Documents.

* 1. **General Procurement Procedures**

**Applicability**

The rights and obligations of the Procuring Entity/ies and the providers of goods, works, non-consulting services, and consulting services for Investment Project Financing (IPF) operations are governed by the relevant request for bids/request for proposals document and by the contracts signed by the Procuring Entity/ies and the providers of Goods, Works, Non-consulting Services, and Consulting Services, and not by the Procurement-Regulations or the Grant Agreement under which these contracts are financed.

**Eligibility**

The Bank permits eligible firms and individuals from all countries to offer Goods, Works, Non consulting Services, and Consulting Services for Bank-financed projects. The provisions governing eligibility under Bank financed projects are further detailed in the “Procurement Guideline for SEECO Project”, which shall be provided as a separate handbook for implementing agencies to follow when conducting procurement under the project. This handbook, prepared in Turkish has been reviewed by the World Bank procurement team, and is a document separate from the POM.

**Special Procurement Arrangements**

* + - The Bank’s Standard Procurement Documents shall be used for all contracts subject to international competitive procurement and those contracts as specified in the Procurement Plan tables in STEP.
    - When approaching the national market, as agreed in the procurement plan, Turkey’s National Procurement Procedures may be used by the MoIT and local authorities in accordance with the provisions in paragraphs 3.21-3.24; 3.31; 3.33; 5.3; 5.4; 5.5, and 5.7(a) of the Procurement Regulations**. In such procurements, bidding documents agreed by the Bank in the Turkish language, which include the mandatory provisions specified in Item 3, will be used.**
    - The procedures to be followed for National Open Competitive Bidding will be those set forth in the Public Procurement Law of the Recipient (Law No. 4734), as amended from time to time, with the latest amendment dated December 30, 2020 notwithstanding anything to the contrary in the Recipient’s Law on Public Procurement Contracts (Law No. 4735), as amended from time to time, with the latest amendment dated December 02, 2020, and subject to the following provisions:
* Bidder eligibility will be determined as per the specifications under Section III of the Procurement Regulations; accordingly, no bidder or potential bidder will be declared ineligible for contracts financed by the Bank for reasons other than those provided in Section III of the Procurement-Regulations.
* Bidding will not be restricted to domestic bidders. There will be no restrictions in respect to eligibility to participate in bidding for contracts on the basis of the nationality of the bidder and/or the origin of goods other than those set forth in paragraph 3.23 of the Procurement-Regulations. There will be no restriction of any kind on foreign bidders who wish to submit a bid.
* Bidding will not be restricted to pre-registered firms, and foreign bidders will not be required to be registered with the local authorities as a prerequisite for submitting bids.
* Participation will be allowed from joint ventures on the condition that such joint venture partners will be jointly and severally liable under the contract.
* Procuring entities shall use the bidding documents agreed by the Bank.
* The request for bids/request for proposals document will require that Bidders/Proposers submitting Bids/Proposals present a signed acceptance at the time of bidding, to be incorporated in any resulting contracts, confirming application of, and compliance with, the Bank’s Anti-Corruption Guidelines, including without limitation, the Bank’s right to sanction and the Bank’s inspection and audit rights.
* The Bank may recognize, if requested by the Recipient, exclusion from participation as a result of debarment under the national system, provided that the debarment is for offenses involving fraud and corruption, and further provided that the Bank confirms that the particular debarment procedure afforded due process, and the debarment decision is final.
  + - Paragraphs 5.1 and 5.2 (Advance Contracting and Retroactive Financing) of the Procurement Regulations permits a Borrower/Recipient to proceed with the procurement process before the signing of the legal agreement. In such cases, for the eventual contracts to be eligible for Bank financing, the procurement procedures, including advertising, must be consistent with Sections I, II, and III of the Procurement-Regulations.

Accordingly, the MoIT PIU will initiate the selection of the PIU consultants immediately after the project negotiations upon publication of the General Procurement Notice on the United Nations Development Business website.

* + - Domestic preference (as specified in Paragraph 5.51 of Procurement-Regulations) and Procurement of Second-Hand Goods (as specified in Paragraph 5.11 of Procurement-Regulations) are not applicable under the Project.

**Operational costs**

Operational costs shall not be subject to the World Bank Procurement-Regulations and shall be handled by the MoIT PIU in line with the Recipient’s procurement procedures. These procurements shall not be subject to Bank’s prior or post-review, and in the case of using Bank’s procurement methods, provisions that are related to the method in Procurement Regulations shall be applied. In addition, the Bank has the authorization to check the eligibility of the expenditures and their relevance to the Grant funds.

* 1. **Development of Technical Requirements**

Standards and technical specifications in applicable Procurement Documents shall promote the broadest possible competition, while ensuring performance or other requirements for the procurement. When such international standards do not exist or are inappropriate, national standards may be specified. In all cases, the Procurement Documents shall state that equipment, material, or workmanship meeting other standards that are at least substantially equivalent to the specified standards will also be accepted.

Specifications shall be based on relevant technical characteristics and/or performance requirements. References to brand names, catalogue numbers, or similar classifications shall be avoided.

* 1. **Competitive selection**

The default market approach is open competitive selection under Bank procurement. The use of other methods/market approaches requires justification/further elaboration in the PPSD and/or its updates.

* 1. **Evaluation of Bids**

Evaluation criteria and methodology shall be specified in detail in the request for bids/request for proposals document. The evaluation criteria and methodology shall be appropriate to the type, nature, market conditions, and complexity of what is being procured.

* 1. **Notification on the Results of the Tender**

Notification of the Intention to Award process as defined in the [Procurement-Regulations](http://?) will not apply in any procurement under the Project. The Procuring Entity shall transmit the notification of award to the successful Bidder/Proposer/ Consultant, along with other documents as specified in the request for bids/request for proposals document for the contract. For all contracts, whether subject to the Bank’s prior review or post review, the Procuring Entity shall publish a public notice of award of contract (Contract Award Notice) within 10 (ten) Business Days from the Notification of Contract Award to the successful Bidder/Proposer/Consultant. The Procurement Guideline for SEECO Project underlines the minimum information requirements that the Contract Award Notice shall include and where it shall be published.

* 1. **Standstill Period and Debriefing by the Borrower/Recipient**

A standstill period and debriefing by the Borrower/Recipient will not apply in any procurement under the Project.

* 1. **Contract Management**

The aim of contract management is to ensure that all parties meet their obligations. Contracts shall be actively managed by the Procuring Entities throughout their life to ensure that Contractor/Consultant/Supplier performance is satisfactory, appropriate stakeholders are informed and all contract requirements are met. The CIPs shall provide hands on implementation support to the Sub-Beneficiaries in contract implementation under Subcomponent 1B.

* 1. **Conflict of Interest**

The Bank requires that firms or individuals involved in Bank IPF procurement shall not have a conflict of interest. The Project follow the provisions stipulated in para. 3.15 in the case of Goods, Works and Non-consulting Services for a firm to be considered to have a conflict of interest and para. 3.17 in the case of Consulting Services for the Consultants not to be hired under such circumstances. These are further detailed in the “Procurement Guideline for SEECO Project” to be published in the institutional web sites of MoIT’s Directorate General of Development Agencies and the selected TDAs.

* 1. **Procurement-Related Complaints**

Immediately upon received, all the procurement related complaints will be recorded in the STEP complaint module by MoIT PIU. As the only implementing entity given access to STEP, CIPs under Subcomponent 1B and Local authorities under Subcomponent 2B when received such procurement related complaint/s, shall share it in writing with the relevant TDA, which shall then be forwarded to the MoIT and processed in STEP by the PIU.

**In any case, none of the Procuring Entities/Sub-Beneficiaries as the case may be will proceed with the next stage/phase of the procurement process, including with awarding a contract without satisfactory resolution of the complaint(s).** Complaints will be responded by the MoIT PIU/Procuring Entity/Sub Beneficiary within a reasonable timeframe and no later than fifteen business days. **Not recording Complaints in STEP constitutes procurement noncompliance per paragraph 3.25 of the Procurement Regulations**. In cases of procurement noncompliance, the World Bank may, in addition to exercising the legal remedies set out in the legal agreement for the project, take other appropriate actions, including declaring misprocurement.

The World Bank monitors how Borrowers/Recipients handle Complaints received on all contracts to ensure that they are addressed promptly and fairly. However, for contracts not subject to prior review, PIU is not required to submit the proposed draft response to the Complaint for the World Bank’s review prior to its issuance to the complainant. When selecting a sample of contracts to be post reviewed, contracts that have a Complaint will be prioritized.

**Right to complain**

Circumstances in which a formal complaint may be lodged against a Procuring Entity, whether it be MoIT PIU, selected TDAS under the project, CIPs providing procurement support to beneficiaries under Subcomponent 1B or the local authorities under Subcomponent 2B are outlined below and are by no means exhaustive:

* + - In the case of National Procurement Procedures as per paras 5.3 -5.7 of the Procurement Regulations and Request for Quotations Method:
* Advertisement procedures not properly adhered to
* Bid documents not ready when the advertisement was published by the Procuring Entity or not available when requested by a potential Person, where applicable
* Failure to respond to a request for clarification from a potential Bidder as per the Bidding Documents
* Technical specification that can be met by only one or a small number of manufacturers
* Failure to hold an advertised pre-bid meeting or to properly notify potential Persons of a change in the date, location, time, etc. that resulted in some potential Persons failing to attend the meeting, where applicable
* Failure to hold the Bid opening as stated in the Invitation for Bids or improper conduct at the Bid opening, where applicable
* Mishandling of Bids received from Persons resulting in the early opening of one or more Bids that produces either a loss of confidentiality of the Bid or an actual failure to open a Bid at a public opening
* Failure to open all Bids which were received prior to the deadline for the submission of Bids
* Failure by the Bid Evaluation Committee to evaluate the Bids in compliance with the evaluation criteria stated in the Bid Documents
* Any attempt by the Procuring Entity to ‘negotiate’ with the successful Bidder
* Perceived unfair or erroneous award of Contract
* Possible corrupt or collusive or similar practices
  + - Conditions/possibilities peculiar to National Procurement Procedures as per paras 5.3 -5.7 of the Procurement Regulations:
* Bidding restricted to domestic bidders/ pre-registered firms
* Foreign bidders required to be registered with the local authorities as a prerequisite for submitting bids
* Restrictions on the origin of goods
  + - In the case of Requests for Proposals as per Consultant’s Qualification-based Selection:
* Failure on the part of the Procuring Entity to maintain confidentiality of the Proposals
* Failure to evaluate the Proposals in accordance with the evaluation criteria set out in the RFP
* Perceived unfair conclusion of the negotiations and proceed to the next ranking Consultant/award of Contract
* Possible corrupt or collusive practices
  + - In the case of commercial Practices under Subcomponent 1B if the following documentation have been prepared and under use in the procurement process:
* Technical specification that can be met by only one or a small number of manufacturers
* Perceived unfair or erroneous award of Contract/Purchase Order
* Possible corrupt or collusive or similar practices
* Bidding process not properly adhered to specified terms and Conditions

**General requirements for procurement-related complaints**

Complaints submitted in writing to the PIU/Procuring Entities by “interested parties”[[5]](#footnote-5) and identifying the name, contact details, and address of the complainant are subject to the timelines and procedures set out below:

***Timeline and process for review and resolution of complaints***

Complaints challenging the terms of request for proposals documents, and any other PIU’s/Procuring Entity’s document requesting Bids, Proposals or Applications: The PIU/Procuring Entity shall acknowledge in writing the receipt of the Complaint at the latest the following Business Day, and shall review the Complaint and respond to the complainant not later than three (3) Business Days from the date of receipt of the Complaint. If as a result of the review of the Complaint, the PIU/Procuring Entity decides to modify the request for bids/ request for proposals, or other documents, the PIU/Procuring Entity shall issue an addendum, and if necessary, extend the application/Bid/Proposal submission deadline.

Complaints challenging the exclusion from a procurement process prior to contract award: The PIU/Procuring Entity shall acknowledge in writing the receipt of the Complaint at the latest the following Business Day, and shall review the Complaint and respond to the complainant not later than three (3) Business Days from the date of receipt of Complaint. If as a result of the review of a Complaint, the results of the earlier stage/phase of the procurement process are changed, the PIU shall promptly transmit a revised notification of evaluation results to all relevant parties advising on the next steps.

In resolving a complaint, the MoIT PIU/Procuring Entity shall ensure a timely and meaningful review of the Complaint, including all relevant documentation and facts and circumstances related to it. The PIU/Procuring Entity shall provide sufficient information as in Paragraph 3.6 of Annex III of the Procurement-Regulations in its response to the complainant, while maintaining the confidentiality of information as provided under Paragraphs 5.19 and 5.20 of the Procurement-Regulations.

* 1. **Anti-Corruption Guidelines**

The World Bank’s “Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants”, dated October 15, 2006 and revised in January 2011 and as of July 1, 2016 (Anti-Corruption Guidelines) will apply to the project.

* 1. **Documentation and records maintenance**

All records evidencing expenditures under the project are retained for five years and six months after the Closing Date, such records to include: the Recipient’s implementation documentation (including sub-agreements, procurement files, contracts, purchase orders) as well as the other records as specified in Section II.A of Schedule 2 of the Grant Agreement.

# ANNEXES

1. Draft Project Information Form
2. Draft Project Feasibility Form
3. Draft Incubation Program Application Form
4. Draft Acceleration Program Application Form
5. Draft ToRs for Key PIU Positions
6. Communication and Visibility Plan
7. Indicator Descriptions
8. List of Ineligible Subprojects
9. Grievance Form
10. Grievance Closure Form
11. Grievance Mechanism System Log
12. Draft ToR for Baseline Evaluation
13. Draft Audit ToRs

**ANNEX 1: DRAFT PROJECT INFORMATION FORM**

**……. Development Agency**

**Guided Project Support**

**Proposal Form**

(Activity Year …….)

**SECTIONS OF GUIDED PROJECT SUPPORT PROPOSAL FORM**

**1. PROJECT INFORMATION**

**2. APPLICANT INFORMATION FORM**

**3. PROJECT IDENTIFICATION**

**4. INFORMATION ON PARTNERS AND DECLARATION OF PARTNERSHIP**

**5. INFORMATION ON PARTICIPANTS**

**6. CHECKLIST**

**7. APPLICANT’S DECLARATION**

**8. ANNEXES**

1. PROJECT INFORMATION

|  |  |
| --- | --- |
| Applicant Organization: |  |

|  |  |
| --- | --- |
| Legal Status**[[6]](#footnote-6)**: |  |

|  |  |
| --- | --- |
| Project Name: (Maximum 8 Words) |  |

|  |  |
| --- | --- |
| Type of Project: | The guided project support area in which the Project is categorized, as described in the Support Management Manual |

|  |  |
| --- | --- |
| Project Duration: |  |

|  |  |
| --- | --- |
| Project Partner Organizations (only names, if any): |  |

|  |
| --- |
| Total Eligible Cost of the Project |
| TL |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Geographical Area where the Project will be Implemented** | | | | |
| **Region** | **Province** | **District** | **County** | **Village** |
|  |  |  |  |  |

|  |  |
| --- | --- |
| File No |  |
| (to be filled in by the Agency) | |

**2. APPLICANT INFORMATION FORM**

|  |  |
| --- | --- |
| Full Name |  |
| Abbreviation |  |
| Nationality |  |
| Legal Status[[7]](#footnote-7) |  |
| Date of Establishment |  |
| Address |  |
| Contact Person 1 | Name :  Phone:  Mobile:  Email: |
| Contact Person 2 | Name :  Phone:  Mobile:  Email: |

**3. PROJECT IDENTIFICATION**

**3.1 Project Objectives:** (please describe in items and in maximum 1 page. As necessary, objectives may be organized under two different headings, i.e. general objectives and specific objectives)

**3.2 Expected Results:** (please describe in items and in maximum 1 page)

**3.3 Detailed Description of Activities** (maximum 3 pages)

Provide the name and detailed description of each activity to be carried out to achieve results, justifications for why these activities were selected, and the role of each partner (or participants or subcontractors), if any, in these activities.

**3.4 Activity Timetable**

The project duration specified here must be the same as the project duration indicated in the activity plan and all other sections.

The indicative activity plan must not specify actual dates but simply note “Month 1”, “Month 2” etc. The activity plan must not include a detailed description of activities, but rather provide headings only. The month(s) during which no activity is carried out must be included in the activity plan and project duration.

The activity plan must be prepared using the following format. Additions could be made to the table below considering project duration.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Activity | Month 1 | Month 2 | Month 3 | Month 4 | Month 5 | Month 6 |
| Example | Example |  |  |  |  |  |
| Activity 1 |  |  |  |  |  |  |
| Activity 2 |  |  |  |  |  |  |
| so on |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

**3.5 Target Groups and End Beneficiaries**

“Target groups” consist of groups/organizations to be affected directly and positively from then Project, within the framework of project objectives.

“End beneficiaries” are those groups who will benefit from the project at social and sectoral levels in the long term and in broad terms.

**3.6 Project Rationale** (Please answer the following questions in maximum 2 pages.)

* What is the basic rationale for developing the project?
* How relevant is the proposal with the areas to be supported within the framework of the guided project support defined in the Project Operations Manual?
* Does the project involve elements that will create value added when compared with other programs being implemented or to be implemented? What are these elements?
* Are the expected results of the Project sustainable? Financially and institutionally)

**3.7 Expertise and Operational Capacity** (Please explain the following in 2 maximum pages.)

* Do the applicant and partners, if any, have sufficient experience in project management?

In this section, provide information demonstrating the project management capacity of the applicant and partners, if any, (number of staff, support staff, etc.) and projects implemented during the past 5 years in the their fields of activity, specifically indicating, for each project, the objective and location off project, project results, role of the your organization/ institution in the project (lead organization or partner), degree of involvement in the project, project cost, funders of the project (name, amount of contribution).

**4. INFORMATION ON PARTNERS AND DECLARATION OF PARTNERSHIP** (to be filled in if there is any project partner. This section will be left blank if there is no project partner)

**4.1. Information on Partners**

This section will be filled out for each partner organization. Please reproduce the table as many as necessary, depending on the number of your partners.

|  |  |
| --- | --- |
|  | **Partner 1** |
| Full Legal Name (Title) |  |
| Nationality |  |
| Legal Status |  |
| Official Address |  |
| Contact Person |  |
| Phone Number |  |
| Fax Number |  |
| Mobile Phone No. |  |
| Email address |  |
| Role and involvement in the preparation of the proposed project |  |
| Role and involvement in the implementation of the proposed project |  |

**4.2. Declaration of Partnership**

**Important**: **This declaration will be will out by each partner if the project involves any partner.**

Partnership refers to a considerable scale of joint work and cooperation involving the sharing of responsibility by two or more partners in order to undertake the project. In order to ensure smooth execution of the project, the Agency expects all partners to adopt the following principles of good partnership.

* All Partners must have read the Application Form and understood their role in the project before submitting the Application Form to the Agency.
* All Partners must have read the Project Operations Manual and be aware of what their respective obligations will be under the Contract if the subsidy is provided. All Partners authorize the Applicant, who is also the Lead Partner, to sign a contract with the Agency and to represent them before the Agency in all matters relating to the implementation of the project.
* The Applicant will communicate regularly with its partners and keep them informed of the status of the project.
* All Partners must receive copies of technical and financial reports submitted to the Agency.
* Proposals for significant changes to the project (e.g. activities, partners) must have been accepted by all Partners before they are submitted to the Agency. If such an agreement cannot be reached, the Applicant is obliged to notify this when submitting amendment proposals to the Agency for approval.
* Proposals for significant changes to the project (e.g. activities, partners) must have been accepted by all Partners before they are submitted to the Agency. If such an agreement cannot be reached, the Applicant will be obliged to note this fact when submitting draft modification to the Agency for approval.

I have read the contents of the proposal submitted to the agency and hereby approve it. I undertake to abide by the principles of good partnership.

|  |  |
| --- | --- |
| **Name and Surname :** |  |
| **Citizen ID Number:** |  |
| **Organization /Institution:** |  |
| **Position/Role:** |  |
| **Signature:** |  |
| **Date and Place:** |  |

**5. INFORMATION ON PARTICIPANTS** (This section will be filled out if there is any participant involved in the project. This section will be left blank if there is no participant in the project)

many as necessary, depending on the number of your participants.

|  |  |
| --- | --- |
|  | **Participant 1** |
| Full Legal Name (Commercial Title) |  |
| Nationality |  |
| Legal Status |  |
| Official Address |  |
| Contact Person |  |
| Phone Number |  |
| Fax Number |  |
| Email address: |  |
| Role and involvement in the preparation of the proposed project |  |
| Role and involvement in the implementation of the proposed project |  |

**6. CHECKLIST**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **BEFORE SENDING YOUR PROJECT, PLEASE MAKE SURE THAT EACH OF THE ITEMS BELOW HAVE BEEN COMPLETED AND THAT YOUR APPLICATION IS COMPLIANT WITH THE FOLLOWING CRITERIA**  **(PLEASE MAKE SURE THAT ALL BOXES ARE COMPLETED)** | **To be completed by the Applicant**  **BD21301_** | | **To be complete by the Agency**  **BD21301_** | |
|  | **Yes** | **No** | **Yes** | **No** |
| 1. **The applicant and partners are eligible.** |  |  |  |  |
| 1. **The project will be implemented in the target region** |  |  |  |  |
| 1. **Project duration is 1 year or shorter.** |  |  |  |  |
| 1. **Additional information and documents required in the application have been submitted to the Agency on time** |  |  |  |  |
| 1. **The letter of undertaking has been signed by the authorized official of the Applicant.** |  |  |  |  |
| 1. **Applicant’s Declaration has been filled out and signed by authorized person(s).** |  |  |  |  |
| 1. **Declarations of Partners and Participants have been filled out and signed by the authorized person(s). (If there is a partner or participant)** |  |  |  |  |
| 1. **Documents required from the project executing entity and its partners relating to the project <detailed work plans, business model, and letters of undertaking about co-finance and other principles of cooperation, etc.> have been submitted to the Agency together with the Project Proposal Form and its Annexes.** |  |  |  |  |
| 1. **This application is, at most, the fourth application filed by the Applicant within the scope of financial support in the last calendar year and it is, , at most, the second support to be received during this period.** |  |  |  |  |
| 1. **<… … … … … … … … … … …>** |  |  |  |  |

**7. APPLICANT’S DECLARATION**

**The Applicant declares that;**

* The information provided in this application is correct;
* The Applicant is directly responsible for the preparation and management of the project with its Partners (if any) and will not act as an intermediary;
* The Applicant has stable and sufficient financial resources to maintain its operations during the execution of the project and to participate in project finance when necessary;
* The Applicant has the necessary management capacity, professional competence and qualifications to successfully complete the proposed project;
* The Applicant or its Partners do not fall into any of the categories (a) through (ğ) listed in Section 2.1.1 (2) of the Standard Application Guidelines used for the request for project proposals procedure.

|  |
| --- |
| I, the undersigned, as authorized and responsible person within the Applicant institution / organization for the proposal, confirm the accuracy of the information provided in this declaration (Project Proposal Form and its Annexes).  Date:    Name and Surname:  Citizen ID Number:  Position: Signature: |

**8. ANNEXES:** (*The Annexes are integral parts of Proposal Form for Guided Support Project and it is mandatory that the Annexes be Submitted together with the Project Proposal Form.*)

**ANNEX 1: BUDGET** (It consists of three sections: ANNEX 1.1. Activity Budget, ANNEX 1.2. Rationale of Costs, ANNEX 1.3. Expected Sources of Finance)

**ANNEX 2: ADDITIONAL DOCUMENTS REQUIRED BY THE AGENCY**

(detailed work plans and business model relating to the project, and letters of undertaking about co-finance and other principles of cooperation, etc.)

**ANNEX 2: DRAFT PROJECT FEASIBILITY FORM**

**GUIDED PROJECT FEASIBILITY FORMAT**

1. **PROJECT IDENTIFICATION INFORMATION** 
   1. **Name of Project**

Write the name of your project. Please note that the project name must be short and original, and give an idea about the project.

* 1. **Project Implementers** 
     1. **Project Beneficiary**

Please write the institution / organization (applicant) who will be directly responsible for the execution of the project and sign the Applicant’s Declaration.

* + 1. **Partners**

Please write the institutions and organizations that will reap direct or indirect benefits or interests during the execution of the project or as a result of the project, and in return will contribute to the execution of the project and sign the Declaration of Partnership.

* + 1. **Participants**

Please write the real persons or legal entities who will contribute to the execution of the project (sponsorship, technical support, etc.) and sign the Participant Declaration, without obtaining direct benefits or benefits, during the execution of the project or as a result of the project.

* 1. **Total Budget and Amount of Requested Support** 
     1. **Project Budget**

Please write the estimated total budget of the project in TL.

* + 1. **Co-Finance**

Please write the total amount of contribution project implementers will provide in TL.

* 1. **Implementation Period**

Please write the implementation period in months.

* 1. **Place of Implementation** 
     1. **Province**

Please write the province where the project will be implemented.

* + 1. **District(s)**

Please write the district(s) where the project will be implemented.

* + 1. **Selection of Location**

Justifications for the selected location will be provided by establishing linkages with the target group, in terms of accessibility, participation and eligibility.

* 1. **Project Summary**

Please briefly describe the project. (maximum 75 words)

1. **PROJECT RATIONALE, OBJECTIVE AND GOALS**
   1. **Subject of the Project and Description of Issue/Need**
      1. **Subject of the Project**

Please describe the subject of the project.

* + 1. **Description of the Problem / Need Intended to be Solved / Addressed through the Project**

The project must be intended to resolve a bottleneck. The bottleneck in question must be clearly defined in this section. If available, reference must be made to the relevant analytical studies and existing data.

(In this section, the issue / need will be described briefly and the project background and justification will be explained in detail under the heading of "Project Background and Rationale for the Intervention".)

* 1. **Project Background and Rationale for the Intervention**

Please write the project background and rationale for its development, taking into consideration the needs and problems of the region where it will be implemented, using concrete data (qualified field studies, economic and social analysis, supply and demand assessments, etc.) and by establishing a linkage with the Agency's Regional Plan and the goals, strategies and measures included in national scale plans and programs (This section must be in the form of a detailed description of the definitions of problems and / or needs provided in the section titled 2.1.2. Description of the Problem / Need Intended to be Solved / Addressed through the Project.)

The relationship between the definition of the problem / need and the solution to be introduced by the project will be outlined using the logical framework matrix provided in the annex.

* 1. **Overall Goal of the Project**

Write down the aspects to which the project will contribute and change positively in the medium and long term following its completion.

Example: contributing to the development of the entrepreneurship ecosystem in the province

* 1. **Project Objectives**

Please write down the goal (s) to be achieved through the completion of the project, taking into account the solutions it will provide for the problems which formed the basis for the development of the project.

(Note: What is written here must be linked to the result indicator, not the output.)

* 1. **Target Group of the Project** 
     1. **Target Groups**

Please write the names of the persons, groups, institutions and organizations that will directly benefit from the project results during the implementation process or after completion of the project, indicating their estimated number and the justifications for their selection.

* + 1. **End Beneficiaries**

Please write the persons, groups, institutions and organizations that will directly or indirectly benefit from the project results in the medium and long term (1-5 years) following the completion of the project.

1. **SOURCE AND BASIS OF PROJECT IDEA** 
   1. **Linkages of the Project with SEECO**

Please write the role of the project in developing social entrepreneurship capacity in the region within the scope of the SEECO project.

* 1. **Related and/or Underlying Plans, Programs, Projects, etc.**

Please explain the relationship of the project with the related or underlying national, regional or local plans, programs, strategies (e.g. development plan, regional plan, National Strategy for Regional Development, national export strategy etc.). This section will also lay down the project’s linkages with the Result Oriented Program (SOP) prepared by development agencies and other analytical reports and activities.

* 1. **Complementariness of the Project**

Please write the relationship of the project with other projects (if any) implemented at the local, regional or national scale, taking into account the aspects of complementariness, duplication and synergy.

* 1. **Other Institutions Dealing with the Subject of the Project**

Write down the institutions and organizations that will carry out the permit procedures regarding the implementation of the project and / or that need to be informed about the project, together with justifications thereof.

1. **DETAILED INFORMATION ON THE PROJECT** 
   1. **Activities to be Carried out under the Project**

Please write down the main activities of the project (procurement, facility installation, service improvement training, consultancy, construction, human resources, etc.) and briefly explain the scope of each activity.

* 1. **Cost and Budget of Project Components**

Please indicate the budget envisaged for the main activities of the project. Since the detailed budget is included in the annex of the guided project feasibility form, it will be sufficient to specify the cost of basic activities in this section.

* 1. **Foreseen Sources of Finance** 
     1. **Project Budget**

Please write the project budget in TL.

* + 1. **Co-Finance**

Please write the amount to be covered from project budget in the form of co-finance, in TL.

* + 1. **Rate of Subsidy under the Project**

Please indicate as: [(Subsidy Amount/ Budget) x 100] %.

* + 1. **Ratio of the Estimated Cost of Construction Works to Project Budget**

Please indicate the ratio of construction works (construction and modifications) envisaged under the project to the project budget.

* 1. **Expected Output and Results**

Please describe the outputs and results expected from the project.

* 1. **Expected Impacts**

Please evaluate the economic, social and environmental impacts expected to be created by the project from a regional and sectoral perspective.

* 1. **Contribution of the project to the Economies of the Province /District/Region**

Contribution of the project to the development of regional economy, which is included in the overall goal of the Program, will be indicated using basic indicators in terms of the sectors it will affect.

* 1. **Performance Indicators**

Classify the critical indicators that will verify the successes to be achieved during the course of the project period or after its completion, as specific, measurable, acceptable, realistic, time-bound "output" and "result" indicators and write them down in the table below.

**Output Indicators:** These are indicators which represent the achievements made as a result of the activities carried out under the project. Example: number of entrepreneurship centers established: 1

**Result Indicators:** These are critical success indicators which relate to the expected results and objectives of the project and directly reveal the success and contributions of the project. Example: the number of entrepreneurs who started their own business, among those trained at the entrepreneurship centers established: 5

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Indicator | Unit | Baseline Value | Target |
| Output Indicators |  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| Result Indicators |  |  |  |  |
|  |  |  |  |
|  |  |  |  |

* 1. **Ownership Status of Immovable Properties Subject to the Project**

Please describe the ownership status of the immovable properties (building, land, etc.) on which the project will be implemented. Documents demonstrating the ownership status and the allocation of the subject property for the project must be provided in the annex.

* 1. **Work Plan**

Please explain the estimated work plan of the project, indicating which activities will be carried out during which month from the beginning, and show it on a timetable.

* 1. **Project Risks**

Please analyze the potential risks of the project for the implementation and post-implementation stages, in terms of probability (1 very low probability, 5 very high probability), level of impact (1 very low, 5 very high) and measures that can be taken against these risks.

In addition, the risk of not achieving the expected benefit from the project must also be evaluated and the measures to be taken must be determined.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| # | Definition of Risk | Period  (Implementation / Operation) | Probability  (1 to 5) | Level of Impact  (1 to 5) | Measure |
| 1 |  |  |  |  |  |
| 2 |  |  |  |  |  |
| … |  |  |  |  |  |

* 1. **Operation Model, Management Structure and Sustainability of the Project** 
     1. **Management Structure**

Please provide information about the personnel to be allocated by the project owner, partners and other stakeholders, if any, as well as the corporate management mechanism to be established. Organizational chart should also be added to this section.

* + 1. **Management Model to be Applied During the Project**

Please provide information on the project management team, project management approach in terms of administrative, financial and technical aspects, cooperation with project implementers, etc.?

* + 1. **Outputs and Services to be Produced**

What types of outputs and services will be produced as a result of the project?

* + 1. **Users of Outputs and Services**

Please explain who will benefit from these outputs and services, and under what conditions.

* + 1. **Management Model to be Applied After the Project**

Please explain how project sustainability will be ensured with regard to personnel need, input and operation costs, sales revenues, cash flow and similar institutional and financial aspects.

1. **GUIDED PROJECT FEASIBILITY ANNEXES**
2. Documents demonstrating the ownership status of the immovable properties subject to the project.
3. Justifications for project budget and costs (It will be submitted in Excel format using the budget format prepared for guided project subsidies in the Annex of the Subsidy Management Guidelines for Development Agencies.)
4. Work Plan
5. Cooperation protocols, comment letters from relevant institutions for projects that are not subject to EIA Regulation, “EIA Positive” decision or “EIA Not Necessary” decision for projects subject to EIA Regulation, other relevant supporting documents.
6. Detailed analyses and surveys on the information given in the guided project feasibility form.

**ANNEX 3: DRAFT INCUBATION PROGRAM APPLICATION FORM**

1- Surname:

2- First name:

3- Former surnames if different:

4- Preferred first name:

5- Citizenship ID No/ Foreign ID No:

6- Address:

7- Tel No (home):

8- Tel No (Business):

9- Tel No (Mobile):

10- Email:

11- Nationality:

12- Preferred Language:

13- Gender - Male/Female:

14- Age:

15- Education Level:

16- Do you require childcare in order to participate?

Yes/ No/ Other

17- If yes, for how many children and what are their ages?

18- Availability - Please circle which times and days work best for you:

- Monday- Tuesday- Wednesday- Thursday- Friday- Saturday- Sunday

- Morning (8-11am)

- Mid-day (11-3pm)

- Late afternoon (3-6pm)

- Evening (6-9pm)

- Later than 9 pm

***Relevant Skills and Experience***

We recognize that entrepreneurs come from different backgrounds and with different talents. We want all of our participants to become successful business people. Please fill in this section as best as you can. This will enable us to better serve your needs and build your skills.

19- Please describe where you are in the process of establishing your business. For example do you want to start a business but don’t know where to begin or do you already have an established business? Please explain:

20- Please describe what skills, abilities, knowledge or experience you possess that would make you a successful entrepreneur in this program:

21- What is your motivation to apply to this program? please address why you think this program would be useful to you as an entrepreneur and what would you like to get out of this program:

22- How did you hear about the project?

Friend/ Social Media/ From the website/ Other.

***Professional information:***

We look forward to serving entrepreneurs that have different levels of experience. From participants who are just starting out and have no business skills to seasoned entrepreneurs who want to improve their capacity and expand their businesses. Please update us about the current status of your business or future plans.

23- Where are you in the process of starting your business?

- In the process of launching/ Just started/ 6 months – 1 year/ 1-2 years/ 2-3 years/ 3-5 years/ More than 5 years/ Other

24- Name of your company (if applicable):

25- Company Type / Industry (circle one):

- Hospitality: Restaurant/Cafe/Catering

- Food and beverage production and packaging

- Agriculture

- Retail….etc.

26- In a few sentences, describe your business or idea and what services/products you provide or intend to provide:

27- Describe the unique features of your product/service. What makes it different?

28- Do you have business partners? Are there gaps in your management team? Please explain.

29- Does your business require special equipment?

Other? If yes, please describe.

30- Is this your first business ?

Yes/No

31- What other business experience do you have, if applicable? Please provide dates if possible:

32- Do you have any employees?

Yes/No

If yes, how many (how many men / how many women)?

33- How many of your employees are full time and how many are part time?

34- Do you need assistance in finding employees?

Yes/No

35- Do you require office space?

Yes/No

36- Current Annual Revenue:

- Not Applicable

- No Revenue Yet

- Up to 20,000 TL

- 20,001-50,000 TL

- 50,001- 100,000 TL

- 100,001-200,000 TL

- 200,001 TL +

- Other

**ANNEX 4: DRAFT ACCELERATION PROGRAM APPLICATION FORM**

1- Surname:

2- First name:

3- Former surnames if different:

4- Preferred first name:

5- Citizenship ID No/ Foreign ID No:

6- Address:

7- Tel No (home):

8- Tel No (Business):

9- Tel No (Mobile):

10- Email:

11- Nationality:

12- Preferred Language:

13- Gender - Male/Female:

14- Age:

15- Education Level:

16- Do you require childcare in order to participate?

Yes/ No/ Other

17- If yes, for how many children and what are their ages?

18- Availability - Please circle which times and days work best for you:

- Monday- Tuesday- Wednesday- Thursday- Friday- Saturday- Sunday

- Morning (8-11am)

- Mid-day (11-3pm)

- Late afternoon (3-6pm)

- Evening (6-9pm)

- Later than 9 pm

***Relevant Skills and Experience***

We recognize that entrepreneurs come from different backgrounds and with different talents. We want all of our participants to become successful business people. Please fill in this section as best as you can. This will enable us to better serve your needs and build your skills.

19- Please describe what skills, abilities, knowledge or experience you possess that would make you a successful entrepreneur in this program:

20- What is your motivation to apply to this program? please address why you think this program would be useful to you as an entrepreneur and what would you like to get out of this program:

21- How did you hear about the project?

Friend/ Social Media/ From the website/ Other.

***Professional information:***

We look forward to serving entrepreneurs that have different levels of experience. From participants who are just new entrepreneur to seasoned entrepreneurs who want to improve their capacity and expand their businesses. Please update us about the current status of your business or future plans.

22- Is your business a private enterprise or an NGO?

23- Name of your company (if applicable):

24- Institutional Legal ID No:

25- Company Type / Industry (circle one):

- Hospitality: Restaurant/Cafe/Catering

- Food and beverage production and packaging

- Agriculture

- Retail….etc.

26 – How long has your company generated revenue for? (Please provide evidence)

27 – Is your company legally registered? (Please provide evidence)

28- Have you submitted tax returns? (Please provide evidence)

29- In a few sentences, describe your business and what services/products you provide or intend to provide:

30- Describe the unique features of your product/service. What makes it different?

31- What is the social/environmental purpose of your business or idea for developing your business?

32 – In what way does or will your business benefit refugees?

33- Do you have business partners? Are there gaps in your management team? Please explain.

34- Does your business require special equipment?

Other? If yes, please describe.

35- Is this your first business ?

Yes/No

36- What other business experience do you have, if applicable? Please provide dates if possible:

37- Do you have any employees?

Yes/No

If yes, how many (how many men / how many women)?

38- How many of your employees are full time and how many are part time?

39- Do you need assistance in finding employees?

Yes/No

40- Do you require office space?

Yes/No

41- Current Annual Revenue:

- Not Applicable

- No Revenue Yet

- Up to 20,000 TL

- 20,001-50,000 TL

- 50,001- 100,000 TL

- 100,001-200,000 TL

- 200,001 TL +

- Other

**ANNEX 5: DRAFT TORS FOR KEY PIU POSITIONS**

**SOCIAL ENTREPRENEURSHIP, EMPOWERMENT AND COHESION**

**IN REFUGEE AND HOST COMMUNITIES IN TURKEY PROJECT**

**Terms of Reference**

**PROJECT MANAGER**

**Background**

Social Entrepreneurship, Empowerment and Cohesion in Refugee and Host Communities in Turkey Project is a project implemented by Ministry of Industry and Technology (MoIT) administered by the World Bank and financed by the European Union.

The proposed project of 39.5 Million EUR aims to support women and youth within refugee and host communities’ transition into sustainable economic opportunities and increased social cohesion through the micro-grant support provided by the selected 5 Development Agencies (TDAs) covering 11 provinces (Adana, Mersin, Gaziantep, Adıyaman, Kilis, Mardin, Hatay, Osmaniye, Kahramanmaraş, Diyarbakır, and Şanlıurfa), where vulnerable refugees mostly reside t. The project aims at: (i) expanding economic opportunities for mostly women refugee and host communities through support for social enterprises and vital livelihoods facilities; and (ii) improving social cohesion among refugees and host communities through enterprise development and participatory engagement in livelihoods facilities.

The project will be implemented through three components, namely as (i) Social Entrepreneurship for Women and Youth in Refugee and Host Communities, (ii) Community Livelihoods-related Facilities in Refugee and Host Communities and (iii) Institutional Capacity Strengthening and Project Management.

Component 1 will finance activities to support social entrepreneurship in refugee and host communities in the target provinces. The project defines a social enterprise to include profit-making businesses that prioritize social or environmental impact while reinvesting profit primarily in their mission and/or benefitting target social groups through employment or other activities that may increase their income. For the purposes of the project, this includes, inter alia, businesses that are established with the mission of employing, or self-employing, refugees and other vulnerable members of the community (e.g. disabled, at-risk youth, etc.). This component will directly benefit those receiving startup support services, subgrants, and employment in social enterprises; indirect beneficiaries are the buyers of goods and users of services provided by the social enterprises. Subcomponent 1A will finance support services for social entrepreneurs and Subcomponent 1B will fund subgrants for the incubation or acceleration of social enterprises. The elements of this approach aim to maximize the potential for success of the project-supported social enterprises and enables the participation of less-privileged women and youth in social entrepreneurship.

In order to develop sustainable microenterprises, women (and other vulnerable) social entrepreneurs supported under Component 1 will need to access a range of supporting facilities. The development and survival of the business is not only a function of business and technical skills; women face a number of other constraints to their successful engagement in livelihood opportunities. While some of these are addressed in Component 1 through support services (training, mentoring, and coaching), others require local community-level, small-scale investments, without which social enterprises will flounder and/or be unsustainable, and social cohesion outcomes will not be achieved.

While the neighborhoods in the local authorities covered by the project are generally provided with basic services and infrastructure (such as roads, water, sewerage, and solid waste management), other services that would support women’s participation in social enterprises are either unavailable or only partially available in most of the project locations. Such services include childcare facilities or kindergartens, access to community-based workshop facilities or market-spaces, and access to local marketplaces.

To address these gaps in facilities, support the efforts of refugee and host community women to earn income, and promote dialogue and engagement of refugees, host communities, and municipal authorities around social enterprises, component 2 will finance: (i) the capacity building and facilitation activities for refugees and host communities to engage in participatory decision-making processes over local needs and priorities for livelihoods-related facilities under Subcomponent 2A; and (ii) the cost of establishing/renovating selected livelihoods-related facilities under Subcomponent 2B.

The implementation of the proposed project will follow World Bank Policies and EU Requirements. Component 3 will finance project management, monitoring and evaluation, and communications (and visibility) as well as the targeted capacity building of national (MoIT, TDAs) and local actors (local authorities, NGOs, other stakeholders) to strengthen their capabilities to support women’s livelihoods development in this project and in the future.

**Scope and Objective**

The objective of this document is to define duties and responsibilities of the Project Manager who will work under “Social Entrepreneurship, Empowerment and Cohesion in Refugee and Host Communities in Turkey Project”. Under the guidance of General Directorate for Development Agencies - MoIT, the Project Manager is responsible to ensure that the Project Implementation Unit (PIU) supports the MoIT to implement the Project as designed and achieves its intended results.

**Qualifications and Skills**

* University degree preferably in management, economics or social sciences, an advanced degree would be an advantage,
* At least 8 years of work experience with a minimum of 2 years of managerial experience in internationally funded projects or related field,
* Proven experience in project design, management, implementation, monitoring, preferably in World Bank financed projects,
* Proven experience of projects targeting refugees in Turkey, issues of social cohesion and social inclusion will be an advantage,
* Experience in the implementation of social entrepreneurship/ microentrepreneurship projects will be an advantage,
* Experience in community-driven development would be an advantage,
* Experience in working with public institutions and international organizations,
* Experience in managing multidisciplinary teams, in managing personnel both in person and through remote arrangements,
* Capacity to communicate orally and in writing in both Turkish and English languages so as to produce content in English and Turkish languages,
* Ability to use Microsoft Office software (Word, Excel, Outlook, PowerPoint),
* Completed or postponed military service for male candidates (for Turkish citizens),
* Adaptability to flexible working hours and intensive schedule,
* Have no restriction for travel.

**Duties and Responsibilities**

* Under the supervision of the General Directorate for Development Agencies, ensure that the project activities are carried out in accordance with the Project documents (Grant Agreement, Project Appraisal Document, Project Operations Manual), World Bank procedures and principles and national legislation,
* Provide overall leadership and championship of the project objectives for social enterprise development and support for refugees and host communities,
* Ensure that all Project activities are carried out in compliance with the World Bank Environmental and Social Framework (ESF) and with the project’s ESF documents (Environmental and Social Management Framework, Social Engagement Plan, Labor Management Procedures, Environmental and Social Commitment Plan) and that reports are submitted regularly to MoIT and the World Bank, including incident reports, as required,
* Under the guidance of the General Directorate for Development Agencies assume responsibility for the overall management of the project, monitor the performance and progress of the project to ensure that objectives stated in the relevant Project documents are achieved,
* Support MoIT management and related units in undertaking, supervising and monitoring project activities to facilitate the Project implementation,
* Lead and supervise the PIU team, perform day-to-day management of the PIU consultants, support the related department of the MoIT in contracting and management of consultants,
* Ensure continuous coordination and communication within MoIT related units and the PIU, and among MoIT, project partners and counterparts, such as the World Bank, EU for the effective and timely execution of the Project,
* Represent and promote the Project as required,
* Supervise the planning and execution of procurement activities,
* In coordination with the General Directorate for Development Agencies, oversee the establishment and maintenance of an effective procurement system, to ensure that all procurement activities are carried out in accordance with the Procurement Plans, the Bank's no objections and procedures, guidelines and Project documents,
* Oversee contracting process (drafting, negotiation and signature) for services and goods to be procured, and ensure proper management and monitoring of the contracts until contract completion, supervising a procurement specialist,
* Provide regular briefings to responsible MoIT Staff who will approve, sign, modify and cancel contracts and other legal binding agreements,
* Oversee and coordinate work plan budget preparation, monitoring and revision activities to ensure timely submission to the responsible MoIT Departments for approval and onward submission to the WB,
* Under the supervision of the responsible General Directorate for Development Agencies, coordinate the development of transparent, accountable and auditable procedures and systems for uses of grant funds, to ensure that the funds are used in accordance with the relevant provisions of the project documents (Grant Agreement, Project Appraisal Document, Project Operations Manual, Financial Management Manual, Procurement Manual, Procurement Plan, Project Budget, Project Implementation Plan, annual work plan and budget and other Project documents) and in accordance with the relevant financial management and payment procedures, manuals and guidelines,
* Ensure all principles of integrity and good governance are upheld.
* Oversee the establishment of a functioning central and field level monitoring and evaluation system to track, record and report the progress of the Project,
* Monitor the issues or bottlenecks that may have an impact on the progress of the Project, to make suggestions for corrective actions, to recommend improvements for the acceleration of the Project, to MoIT management and to ensure corrective action is taken quickly by the PIU and service providers,
* Ensure that MoIT, World Bank, EU Delegation, Presidency and other reporting requirements are met, including but not limited to interim financial reports (financial monitoring reports), quarterly project reports, semiannual progress reports,
* Ensure that all documents related to the project are properly filed, archived and protected,
* Support decision-making for grievance management work stream; oversee the responsible specialist for grievances; review grievance framework; facilitate timely resolution of grievances,
* Ensure all grievances are recorded, responded and responded as agreed with the WB,
* Establish adequate internal controls to ensure the safeguarding and proper use of project assets,
* Coordinate and monitor the daily work of other consultants in the PIU,
* Liaise with the TDAs when needed,
* Perform other tasks to be that may be assigned in relation with these Terms of Reference.

**Duration**

The project has a 4-year duration. The planned duration of service of the Project Manager is foreseen to start in May/June of 2021 until the project’s extended closing date which is last quarter of 2024. Due to the phasing of the financing, a contract will be signed with the preferred candidate in two stages (May/June 2021 to December 30, 2022, and then after the extension of the Grant Agreement from January 1 2023 to October 2024). Two month probation period will be applied, by renewable 1-year contracts, and additional input days will be requested from time to time till the end of the implementation, if performance is satisfactory.

**SOCIAL ENTREPRENEURSHIP, EMPOWERMENT AND COHESION**

**IN REFUGEE AND HOST COMMUNITIES IN TURKEY PROJECT**

**Terms of Reference**

**SOCIAL SPECIALIST**

**Background**

Social Entrepreneurship, Empowerment and Cohesion in Refugee and Host Communities in Turkey Project is a project implemented by Ministry of Industry and Technology (MoIT) administered by the World Bank and financed by the European Union.

The proposed project of 39.5 Million EUR aims to support women and youth within refugee and host communities’ transition into sustainable economic opportunities and increased social cohesion through the micro-grant support provided by the selected 5 Development Agencies (DAs) covering 11 provinces (Adana, Mersin, Gaziantep, Adıyaman, Kilis, Mardin, Hatay, Osmaniye, Kahramanmaraş, Diyarbakır, and Şanlıurfa), where vulnerable refugees mostly reside. The project aims at: (i) expanding economic opportunities for mostly women refugee and host communities through support for social enterprises and vital livelihoods facilities; and (ii) improving social cohesion among refugees and host communities through enterprise development and participatory engagement in livelihoods facilities.

The project will be implemented through three components, namely as (i) Social Entrepreneurship for Women and Youth in Refugee and Host Communities, (ii) Community Livelihoods-related Facilities in Refugee and Host Communities and (iii) Institutional Capacity Strengthening and Project Management.

Component 1 will finance activities to support social entrepreneurship in refugee and host communities in the target provinces. The project defines a social enterprise to include profit-making businesses that prioritize social or environmental impact while reinvesting profit primarily in their mission and/or benefitting target social groups through employment or other activities that may increase their income. For the purposes of the project, this includes, inter alia, businesses that are established with the mission of employing, or self-employing, refugees and other vulnerable members of the community (e.g. disabled, at-risk youth, etc.).

This component will directly benefit those receiving startup support services, subgrants, and employment in social enterprises; indirect beneficiaries are the buyers of goods and users of services provided by the social enterprises. Subcomponent 1A will finance support services for social entrepreneurs and Subcomponent 1B will fund subgrants for the incubation or acceleration of social enterprises. The elements of this approach aim to maximize the potential for success of the project-supported social enterprises and enables the participation of less-privileged women and youth in social entrepreneurship.

In order to develop sustainable microenterprises, women (and other vulnerable) social entrepreneurs supported under Component 1 will need to access a range of supporting facilities. The development and survival of the business is not only a function of business and technical skills; women face a number of other constraints to their successful engagement in livelihood opportunities. While some of these are addressed in Component 1 through support services (training, mentoring, and coaching), others require local community-level, small-scale investments, without which social enterprises will flounder and/or be unsustainable, and social cohesion outcomes will not be achieved.

While the neighborhoods in the local authorities covered by the project are generally provided with basic services and infrastructure (such as roads, water, sewerage, and solid waste management), other services that would support women’s participation in social enterprises are either unavailable or only partially available in most of the project locations. Such services include childcare facilities or kindergartens, access to community-based workshop facilities or maker-spaces, and access to local marketplaces.

To address these gaps in facilities, support the efforts of refugee and host community women to earn income, and promote dialogue and engagement of refugees, host communities, and municipal authorities around social enterprises, component 2 will finance: (i) the capacity building and facilitation activities for refugees and host communities to engage in participatory decision-making processes over local needs and priorities for livelihoods-related facilities under Subcomponent 2A; and (ii) the cost of establishing/renovating selected livelihoods-related facilities under Subcomponent 2B.

The implementation of the proposed project will follow World Bank Policies and EU Requirements. Component 3 will finance project management, monitoring & evaluation, and communications (and visibility) as well as the targeted capacity building of national (MoIT, TDAs) and local actors (local authorities, NGOs, other stakeholders) to strengthen their capabilities to support women’s livelihoods development in this project and in the future.

**Scope and Objective**

In the scope of the Project, a Social Specialist needs to be assigned to: (i) manage implementation of the procedures and management plans related to labor, working conditions, stakeholder engagement, grievance redress mechanism, and community health and safety; (ii) ensure that the community-citizen engagement objectives are fully designed and implemented; and (iii) oversee other social aspects such as gender and social inclusion.

**Qualifications and Skills**

* University degree in Psychology, Sociology, Law or any other field related with social sciences,
* 5 years of relevant work experience in internationally funded projects, at least with 3 years of experience in internationally funded projects in areas such as migration, social policy, entrepreneurship or other related fields,
* Knowledge and relevant work experience on the Social requirements/policies/standards of the IFIs (e.g. WB, IFC, EBRD) required; preferably on The World Bank Environmental and Social Framework Standards, knowledge on preparation of World Bank ESF documents,
* Direct experience of citizen engagement/community participation including the mechanisms for beneficiary feedback on project design and implementation, grievance handling mechanisms, participatory planning and monitoring, and measurement,
* Demonstrated knowledge of other aspects of social inclusion and marginalized groups (gender, youth, LGBTI, disabilities),
* Knowledge and experience on stakeholder engagement and management, grievance management, labor rights of refugees and workers in Turkey is preferable,
* Familiarity with issues of refugee employment and access to services in Turkey is asset,
* Experience in working with public institutions and international organizations,
* Capacity to communicate orally and in writing in both Turkish and English languages,
* Excellent interpersonal and communications skills,
* Demonstrated ability to work in a team,
* Have no restriction for travel,
* Teamwork skills,
* Analytical thinking and problem-solving skills,
* Adaptability to flexible working hours,
* Completed or postponed military service for male candidates (for Turkish citizens).

**Duties and Responsibilities**

* Manage, monitor and report on implementation of the procedures and management plans related to labor, working conditions, stakeholder and community engagement, social and socio-economic impacts, gender, social inclusion, grievance mechanism, community health and safety,
* Conduct social risks and impacts reviews, internal supervision of project operations and contractors’ activities to ensure compliance with the Project’s disclosed Environmental and Social Management Framework (ESMF), Labor Management Procedures (LMP), Stakeholder Engagement Plan (SEP) procedures that are part of the Environmental and Social Commitment Plan (ESCP) as per the World Bank ESF and applicable national laws, regulations and standards,
* Provide leadership on the citizen engagement/community participation aspects of the project, ensuring that refugee and host communities are actively engaged in all aspects of the project and that project decision-making is community led in order to meet community needs; and ensuring their active role in the monitoring activities developed under the project,
* Ensure that contractor(s) hired under the Project are compliant with labor management procedure, national employment, health and safety laws and relevant mitigation measures included in the ESMF,
* Ensure that labor management procedure and age verification procedure is adequately implemented for the Project workers defined in the Project’s LMP,
* Ensure operationalization of workers’ grievance mechanism,
* Coordinate and oversee the implementation of citizen engagement framework of the project,
* Supervise, monitor and guide TDAs to help them monitor and report on compliance of the contractors, and project beneficiaries participating in the project activities under Component 1 and 2,
* Ensure ESMP checklists that are required as part of subgrants are filled out adequately by the beneficiaries and guide TDAs on how to support grant beneficiaries to comply with the mitigation measures in ESMF, LMP and SEP,
* Monitor and report on training of the project workers on OHS,
* Ensure that procurement documents include all necessary requirements to be consistent with ESF requirements, with special focus on social/labor elements,
* Provide corrective actions to social monitoring concerns and findings. Track corrective and preventive actions taken in response to internal and external audit/inspection findings,
* Provide guidance and direction to MoIT PIU management and MOIT and TDA personnel for achieving compliance with all applicable ESF social standards and requirements,
* Act as MoIT representative to communities for social issues, especially related to labor and stakeholder engagement issues,
* Maintain and manage all procedures related to the proper functioning of the Project and Workers’ Grievance Mechanism, as well as other procedures related to social incidents, including reporting and participation in route/cause analysis, recommendations to address identified issues,
* Oversee social incident/non-compliance investigations,
* Record and respond to grievances that are directed to MoIT,
* Maintain awareness of regulatory changes and informs MoIT PIU relevant personnel,
* Inform MoIT PIU about the need to updates LMP when/if necessary in the course of implementation of the Project, as well as in case of the domestic legislation changes,
* Implement social and labor-related training and provides knowledge transfer to staff members and teams as necessary,
* Liaise and coordinate with Environmental Specialist and Communications Consultant for the implementation and monitoring of ESMF/ESMPs and SEP,
* Together with the Communications consultant, ensure communication materials and content developed under the Project take into the considerations and needs of the stakeholder groups that are identified under the SEP,
* Replicate all tasks assigned to him/her for selected TDAs under the project if and when necessary. Support each and every TDA in the whole process of their project related social issues and ensure that they are carried out by the TDAs in line with the Bank's requirements and principles,
* Travel to project location sites as required to fulfill the relevant tasks of this assignment,
* Prepare monthly reports to MoIT on the implementation of LMP, SEP, Grievance Redress Mechanism and any other management plans,
* Contribute to Environmental and Social monitoring reports to World Bank as required in the timeline of the ESCP,
* Perform other qualified duties as assigned in this Terms of Reference.

**Duration**

The project has a 4-year duration. The planned duration of service of the Social Specialist is foreseen to start in May/June of 2021 until the project’s extended closing date which is last quarter of 2024. Due to the phasing of the financing, a contract will be signed with the preferred candidate in two stages (May/June2021 to December 30, 2022, and then after the extension of the Grant Agreement from January 1 2023 to October 2024). Two month probation period will be applied, by renewable 1-year contracts and additional input days will be requested from time to time till the end of the implementation, if performance is satisfactory.

**SOCIAL ENTREPRENEURSHIP, EMPOWERMENT AND COHESION**

**IN REFUGEE AND HOST COMMUNITIES IN TURKEY PROJECT**

**Terms of Reference**

**ENVIRONMENTAL SPECIALIST**

**Background**

Social Entrepreneurship, Empowerment and Cohesion in Refugee and Host Communities in Turkey Project is a project implemented by Ministry of Industry and Technology (MoIT) administered by the World Bank and financed by the European Union.

The proposed project of 39.5 Million EUR aims to support women and youth within refugee and host communities’ transition into sustainable economic opportunities and increased social cohesion through the micro-grant support provided by the selected 5 Development Agencies (DAs) covering 11 provinces (Adana, Mersin, Gaziantep, Adıyaman, Kilis, Mardin, Hatay, Osmaniye, Kahramanmaraş, Diyarbakır, and Şanlıurfa), where vulnerable refugee reside the most. The project (i) expands economic opportunities for mostly women refugee and host communities through support for social enterprises and vital livelihoods facilities; (ii) improve social cohesion among refugees and host communities through enterprise development and participatory engagement in livelihoods facilities.

The project will be implemented through three components, namely as (i) Social Entrepreneurship for Women and Youth in Refugee and Host Communities, (ii) Community Livelihoods-related Facilities in Refugee and Host Communities and (iii) Institutional Capacity Strengthening and Project Management.

Component 1 will finance activities to support social entrepreneurship in refugee and host communities in the target provinces. The project defines a social enterprise to include profit-making businesses that prioritize social or environmental impact while reinvesting profit primarily in their mission and/or benefitting target social groups through employment or other activities that may increase their income. For the purposes of the project, this includes, inter alia, businesses that are established with the mission of employing, or self-employing, refugees and other vulnerable members of the community (e.g. disabled, at-risk youth, etc.).

This component will directly benefit those receiving startup support services, subgrants, and employment in social enterprises; indirect beneficiaries are the buyers of goods and users of services provided by the social enterprises. Subcomponent 1A will finance support services for social entrepreneurs and Subcomponent 1B will fund subgrants for the incubation or acceleration of social enterprises. The elements of this approach aim to maximize the potential for success of the project-supported social enterprises and enables the participation of less-privileged women and youth in social entrepreneurship.

In order to develop sustainable microenterprises, women (and other vulnerable) social entrepreneurs supported under Component 1 will need to access a range of supporting facilities. The development and survival of the business is not only a function of business and technical skills; women face a number of other constraints to their successful engagement in livelihood opportunities. While some of these are addressed in Component 1 through support services (training, mentoring, and coaching), others require local community-level, small-scale investments, without which social enterprises will flounder and/or be unsustainable, and social cohesion outcomes will not be achieved.

While the neighborhoods in the local authorities covered by the project are generally provided with basic services and infrastructure (such as roads, water, sewerage, and solid waste management), other services that would support women’s participation in social enterprises are either unavailable or only partially available in most of the project locations. Such services include childcare facilities or kindergartens, access to community-based workshop facilities or maker-spaces, and access to local marketplaces.

To address these gaps in facilities, support the efforts of refugee and host community women to earn income, and promote dialogue and engagement of refugees, host communities, and municipal authorities around social enterprises, component 2 will finance: (i) the capacity building and facilitation activities for refugees and host communities to engage in participatory decision-making processes over local needs and priorities for livelihoods-related facilities under Subcomponent 2A; and (ii) the cost of establishing/renovating selected livelihoods-related facilities under Subcomponent 2B.

The implementation of the project will follow the World Bank Policies and EU Requirements. Component 3 will finance project management, monitoring & evaluation, and communications (and visibility) as well as the targeted capacity building of national (MoIT, TDAs) and local actors (local authorities, NGOs, other stakeholders) to strengthen their capabilities to support women’s livelihoods development in this project and in the future.

**Scope and Objective**

I

n the scope of the Project, an Environmental Specialist will be assigned to (i) ensure adequate and regular management of the environmental risks associated with the project implementation as per the requirements of respective Environmental and Social Standards of the World Bank, environmental compliance of the project at each stage of project implementation, introduce early identification and proper handling of project related environmental matters as the envisaged by respective Environmental and Social Management Framework (ESMF); and (ii) ensure that the project fully meets its climate mitigation and adaptation objectives.

**Qualifications and Skills**

* University degree in Environmental Engineering or any other field related with environmental sciences,
* 5 years of work experience with at least 3 years of experience in internationally funded projects,
* Experience in working with public institutions and international organizations,
* Knowledge and proven experience on the national environmental legislation and environmental and social requirements/policies/standards of the IFIs (e.g. WB, IFC, EBRD – preferably WB) and sector specific international industrial good practices,
* Knowledge and interest in climate action, and specifically the development of climate adaptation and mitigation measures for entrepreneurship/employment projects and for small refurbishment works would be preferable,
* Knowledge on preparation of Environmental Assessments / Management Plans and preparation of World Bank ESMF document is required/highly preferable,
* Exposure to development work with international organizations required,
* Excellent interpersonal and communications skills,
* Demonstrated ability to work in a team,
* Willingness to travel frequently within and between the Project provinces,
* Good command of Turkish and English,
* Possessing sound Information Technology (IT) skills, in particular experience with MS office programs (i.e. Word, Excel, PowerPoint, etc.),
* Completed or postponed military service for male candidates (for Turkish citizens).

**Duties and Responsibilities**

The Environmental Specialist shall be guided by the provisions of the project ESMF. Specific tasks to be implemented by the PIU Environmental Specialist are as follows:

* Provide assistance to the MoIT PIU and TDAs, grant beneficiaries in screening of proposed subprojects and helping TDAs assigning environmental category; as well as checking whether the environmental categories of the subgrant projects are in line with the categorization and check lists of the ESMF,
* Provide leadership in the climate change objectives of the project and their formulation in a climate action plan,
* Visit proposed subproject sites to assess baseline conditions and potential site-specific impacts,
* Advise on anticipated environmental impacts and possible mitigation measures, and on relevant type of environmental review to be undertaken,
* Review subproject specific environmental documentation and give recommendations as needed, to applicant communities and designers,
* Participate in evaluation of subproject proposals and advise on environmental eligibility and acceptability of proposals,
* Ensure that environmental compliance is made contractually bound for contractors, and that contractors are fully aware of, and responsible for, specific mitigation measures identified for subprojects,
* For the approved subprojects, undertake regular environmental monitoring and supervision in order to verify whether and how provisions of the project ESMF and subproject specific ESMP are followed by all relevant stakeholders (designers, contractors, beneficiary communities),
* Regularly report to the Project Implementation Unit (PIU) on the results of monitoring visits, promptly identify any environmental issues or facts of incompliance, and make recommendations on dealing with those issues. This also includes discussions with contractors and beneficiary communities and agreeing on specific steps and timing,
* Along with other PIU staff, certify completion of each subprojects and report on overall environmental compliance,
* Closely collaborate with technical staff of the PIU so that all recommendations are duly incorporated at the very early stage of subproject design and site selection,
* Provide contribution to the PIU’s regular progress reports to be shared by MoIT with World Bank on the project implementation and contribute to environmental and social monitoring that is required as per Environmental and Social Commitment Plan,
* Undertake awareness raising and training activities on environmental requirements for the PIU staff, other related staff of TDAs, and potential beneficiary communities (potential grant beneficiaries etc),
* Coordinate and oversee the implementation climate change adaptation and mitigation practices within the project,
* Public disclosure of the environmental and social safeguard measures through specific publications and annual public seminars,
* Collaborate with the World Bank Environmental Specialist(s), as needed, and provide environmental documentation and information upon request,
* Replicate all tasks assigned to him/her for selected TDAs under the project if and when necessary.

**Duration**

The project has a 4-year duration. The planned duration of service of the Environmental Specialist is foreseen to start in May/June of 2021 until the project’s extended closing date which is last quarter of 2024. Due to the phasing of the financing, a contract will be signed with the preferred candidate in two stages (May/June 2021 to December 30, 2022, and then after the extension of the Grant Agreement from January 1 2023 to October 2024). Two month probation period will be applied by renewable 1-year contracts and additional input days will be requested from time to time till the end of the implementation, if performance is satisfactory.

**SOCIAL ENTREPRENEURSHIP, EMPOWERMENT AND COHESION**

**IN REFUGEE AND HOST COMMUNITIES IN TURKEY PROJECT**

**Terms of Reference**

**PROCUREMENT AND CONTRACT MANAGEMENT SPECIALIST**

**(recruitment of 2 Procurement and Contract Management Specialists)**

**Background**

The aim of the project is to improve women’s livelihoods and social cohesion for refugees and host communities in target areas of Turkey. Building on the experience of social enterprise in Turkey to date, the project will be implemented through three components. The social enterprise, livelihood facilities and institutional support components together meet economic, social and institutional goals, namely:

1. to expand economic opportunities for mostly women refugee and host communities through support for social enterprises and vital livelihoods facilities;
2. to improve social cohesion between refugees and host communities through social enterprise development and participatory engagement in livelihoods facilities; and
3. to enhance institutional capacities of the Ministry of Industry and Technology (MoIT), Turkish Development Agencies (DAs), municipalities, other relevant government agencies, and local development partners to support women’s social enterprises.

**Project Development Objective**. The objective of the Project is to improve livelihoods opportunities for women in refugee and host communities in targeted areas of Turkey.

**Project Components.** The Project consists of three components:

**Component 1. Social Entrepreneurship for Women and Youth in Refugee and Host Communities.** Component 1 will finance activities to support social entrepreneurship in refugee and host communities in the target provinces. The project defines a social enterprise to include profit-making businesses that prioritize social or environmental impact while reinvesting profit primarily in their mission and/or benefitting target social groups through employment or other activities that may increase their income. For the purposes of the project, this includes, inter alia, businesses that are established with the mission of employing, or self-employing, refugees and other vulnerable members of the community (e.g. disabled, at-risk youth, etc.).

This component will directly benefit those receiving startup support services, subgrants, and employment in social enterprises; indirect beneficiaries are the buyers of goods and users of services provided by the social enterprises. Subcomponent 1A will finance support services for social entrepreneurs and Subcomponent 1B will fund subgrants for the incubation or acceleration of social enterprises.

**Component 2. Community Livelihoods-related Facilities in Refugee and Host Communities.** To address gaps in facilities, support the efforts of refugee and host community women to earn income, and promote dialogue and engagement of refugees, host communities, and municipal authorities around social enterprises, Component-2 will finance: (i) the capacity building and facilitation activities for refugees and host communities to engage in participatory decision-making processes over local needs and priorities for livelihoods-related facilities through Subcomponent 2A; and (ii) the cost of establishing/renovating selected livelihoods-related facilities through Subcomponent 2B.

**Component 3. Institutional Capacity Strengthening and Project Management.** Component-3 will finance project management, M&E, and communications (and visibility) as well as the targeted capacity building of national (MoIT, TDAs) and local actors (local authorities, NGOs, other stakeholders) to strengthen their capabilities to support women’s livelihoods development in this project and in the future.

**Subcomponent 3A: Support for strengthening institutional capacity.** While the capacity of the implementing agencies in the project is high and there is much experience in the TDAs for the development of small and medium enterprise programs, there is less experience in establishing and expanding social enterprises, and supporting entrepreneurship among women and youth refugees and host community members. The project will support the development of knowledge and skills related to the concepts and practical application of the planned project activities. Subcomponent 3A will therefore finance a set of activities aimed at building the capacity of key stakeholders in the MoIT, TDAs, local authorities, and other agreed stakeholders. At the outset, an Institutional Capacity Needs Assessment and Action Plan will be prepared. This subcomponent will then finance the planned trainings, workshops, and conferences to build skills and understanding of the principles, design, implementation, and monitoring of social enterprise support programs in refugee and host community contexts.

**Subcomponent 3B: Project management, coordination and communications.** Subcomponent 3B will finance the operational costs of the MoIT to undertake all project management, M&E, and communications and visibility activities. The subcomponent will finance the incremental costs, including contracting staff, technical assistance for the MoIT for overall project coordination, management and supervision of implementation, procurement, financial management, including project audits, M&E, and the MIS.

**Subcomponent 3C. Monitoring and Evaluation.** This subcomponent will provide assistance to carry out monitoring and evaluation of activities implemented under the Project, including data collection and preparation of reports, in support of the project results framework under the Facility for Refugees in Turkey. It will support the development of a relevant and robust project M&E system involving MoIT, the TDAs and Community Implementing Partners (CIPs).

In accordance with paragraph 5.9 of the “World Bank Procurement Regulations for IPF Borrowers” (November 2020) (“Procurement Regulations”) the Word Bank’s Systematic Tracking and Exchanges in Procurement (STEP) system will be used to prepare, clear and update Procurement Plans and conduct all procurement transactions. Procurement Plan tables in STEP will constitute the Procurement Plan of the Project. All procurement activities will be conducted in accordance with the Procurement Plan of the Project.

**Scope and Objective of the Position**

Under the scope of the Project, a Procurement and Contract Management Specialist needs to be assigned to plan and provide procurement services in support of activities of the Project. The purpose of the Procurement and Contract Management Specialist is to carry out activities related to procurement and project implementation, enable necessary coordination and provide technical assistance to the PIU. The Procurement and Contract Management Specialist reports to Project Manager and has budget responsibility. The scope of procurement activities is given in Annex I.

**Tasks assigned for this position**

Procurement and Contract Management Specialist works under the supervision of the Project Manager.

Procurement and Contract Management Specialist will in his/her activities be guided by:

* Grant Agreement between the International Bank for Reconstruction and Development (IBRD) and Ministry of Industry and Technology of Turkey for Social Entrepreneurship, Empowerment and Cohesion Project,
* International Bank for Reconstruction and Development and International Development AssociationStandard Conditions for Grant Financing Made by the Bank out of Trust Funds”, dated February 25, 2019 (Standard Conditions for Grant Financing Made by the Bank out of Trust Funds)
* WB Procurement Regulations (Procurement-Regulations),
* Anti-Corruption Guidelines,
* Social Entrepreneurship, Empowerment and Cohesion Project Operations Manual,
* Procurement Plan for Social Entrepreneurship, Empowerment and Cohesion Project,
* Environmental and Social Commitment Plan for Social Entrepreneurship, Empowerment and Cohesion Project,
* Stakeholder Engagement Plan for Social Entrepreneurship, Empowerment and Cohesion Project,
* Labor Management Procedures for Social Entrepreneurship, Empowerment and Cohesion Project,
* Communication and Visibility Plan for Social Entrepreneurship, Empowerment and Cohesion Project,
* EU Communication and Visibility Manual for External Actions,
* FRIT Facility Visibility Guidelines,
* Project GRM procedures.

**Duties and Job Responsibilities**

Procurement and Contract Management Specialist will be responsible for the following:

* Prepare and provide assistance to the PIU in the preparation/updating/uploading to World Bank’s Systematic Tracking of Exchanges in Procurement (STEP) system of the procurement plan in the required format prior to submission of it to the World Bank and also provide advice and assistance to the PIU to ensure that procurement of all goods, works, non-consulting and consulting services are undertaken in accordance with the approved Procurement Plan and WB Procurement Regulations. In the preparation of the procurement plan, ensure that the contract packaging is effective for project implementation and meets the World Bank criteria,
* Record all procurement/s in STEP and keep it updated with all documents uploaded in relevant steps of the Procurement Roadmap,
* Contribute to preparation and revision of Plans, Programs and Budgets for procurement related tasks,
* Support PIU and MoIT’s related units for all procurement activities to be carried out in compliance with procurement rules and procedures of World Bank,
* Establish and maintain the databases of letter of interests received from suppliers of goods, works, non-consulting and consulting services for purposes of their possible inclusion on future short lists or for future evaluation,
* Support the PIU and the MoIT technical commissions to formulate appropriate evaluation criteria, prepare draft bidding documents in collaboration with the MoIT’s related departments and submit Terms of Reference and/or Technical Specifications to World Bank in a timely fashion for review and no objection as appropriate, in accordance with World Bank requirements,
* Work with related technical commissions in the preparation of technical specifications/Terms of Reference for agreed goods, works, non-consulting and consulting services to be procured under the Project in compliance with various procurement methods, give support to prepare draft contracts, letters of invitation, etc,
* Prepare and review not only the administrative/commercial parts of the procurement documents, but also review other sections such as technical specifications, BOQs, ToRs, etc. of the bidding documents and ensure the consistency of these sections with the other sections of the standard or sample bidding documents of the World Bank and make necessary recommendations for changes where required,
* Participate in receipt, opening and review of proposals to support bid evaluation commissions,
* Prepare/assist in the preparation of minutes of bid openings,
* Assist the bid evaluation committees in preparing bid evaluation forms and for the evaluation of proposals received, on the basis of criteria stipulated in the bidding documentation,
* Assist bid evaluation committees to prepare comprehensive evaluation reports in compliance with World Bank standard formats and submit evaluation reports in a timely fashion to World Bank for review and no objection if and only when an exceptional situation occurs as further explained and elaborated in the Project Operations Manual (POM) for Grant,
* Assist PIU in the notification of winning bidder/s in a timely fashion, draw up contract for approval and signature,
* Assist PIU in contract negotiations as needed,
* Ensure that the complaints regarding the tender/s are answered on a timely manner,
* Publish contract award notices/s on a timely manner,
* Monitor contract performance and fulfilment of contractual, administrative and legal requirements, support inspection and acceptance committees and contract managers in contacting with contractors, consultants and other suppliers to ensure successful completion and delivery of the contracted goods and services,
* Prepare other relevant documents such as addendums and bid announcements, contract award notices,
* Establish and maintain a fit-for-purpose procurement and contract monitoring system to monitor and chronologically record each step during bidding, evaluation and delivery (keeping records of important approval dates, notifications, contract amounts, etc.) including an established data base and filing system to ensure quick retrieval of procurement information by parties such as PIU, World Bank, internal and external auditors during post reviews, supervision visits and audits,
* Prepare requested tables, analysis, information and documents to be included in Project reports,
* Report for the delayed and realized procurements to the Client within the scope of the procurement plan at the intervals to be identified by the Client,
* Prepare/Revise the procurement section of the Subgrants Manual, provide technical assistance and support in the evaluation of the subgrant applications from a procurement standpoint of view, conduct all assessment/s, documentation reviews and site visits and etc. as required by the Project Manager in line with the provisions of the Subgrants Manual and other legal documents, upload all necessary information into STEP of the subgrants awarded under Subcomponents 1B and 2B on a timely basis,
* Provide input to any MIS/M&E systems to be developed as necessary,
* Undertake training of MoIT PIU and TDA staff for the implementation of procurement activities under the project and organize information meetings for Local Authorities under Subcomponent 2B,
* Replicate all tasks assigned to him/her for selected TDAs under the project if and when necessary. Support each and every TDA in the whole process of their project related procurement activities and ensure that they are carried out by the TDAs in line with the Bank's procurement procedures and principles,
* Perform other duties emerging in the frame of this Terms of Reference,
* Fulfil all national requirements and guidelines that involve Covid-19 pandemic and similar occasions encountered during project implementation.

**The Procurement and Contract Management Specialist is accountable for**

* Due follow up and adherence with the local legislation, responsibilities and tasks stated above, and ensuring timely delivery of reporting and other tasks (regular and annual reports),
* Failure or improper performance of his / her official duties under this job description,
* Offences committed in the course of activities carried out within the limits defined by current administrative, criminal and civil legislation of the Republic of Turkey,
* Causing damage to property within the limits of the existing labor and civil legislation of the Republic of Turkey.

**Experience and qualifications requirements**

* University degree in Engineering, Law, Economy, Finance, Business or Commerce or any other relevant field,
* Minimum 5 years of procurement experience in public procurement either in the government agencies or in the private sector with minimum 3 years of this experience in the procurement of World Bank financed projects or other international financing institutions,
* Experience working with public agencies and international institutions is an asset,
* Fluency in oral and written Turkish and English languages,
* Ability to use Office applications and other Professional software,
* Have no restriction for travel,
* Teamwork skills,
* Analytical thinking and problem-solving skills,
* Adaptability to flexible working hours,
* Completed or postponed military service for male candidates (for Turkish citizens).

**7. Duration of the services**

The project has a 4-year duration. The planned duration of service of the Procurement and Contract management Specialists are foreseen to start in May/June of 2021 until the project’s extended closing date which is last quarter of 2024. Due to the phasing of the financing, a contract will be signed with the preferred candidate in two stages (May/June 2021 to December 30, 2022, and then after the extension of the Grant Agreement from January 1 2023 to October 2024). Two month probation period will be applied by renewable 1-year contracts and additional input days will be requested from time to time till the end of the implementation, if performance is satisfactory.

**SOCIAL ENTREPRENEURSHIP, EMPOWERMENT AND COHESION**

**IN REFUGEE AND HOST COMMUNITIES IN TURKEY PROJECT**

**Terms of Reference**

**COMMUNICATION SPECIALIST**

**Background**

Social Entrepreneurship, Empowerment and Cohesion in Refugee and Host Communities in Turkey Project is a project implemented by Ministry of Industry and Technology (MoIT) administered by the World Bank and financed by the European Union.

The proposed project of 39.5 Million EUR aims to support women and youth within refugee and host communities’ transition into sustainable economic opportunities and increased social cohesion through the micro-grant support provided by the selected 5 Development Agencies (DAs) covering 11 provinces (Adana, Mersin, Gaziantep, Adıyaman, Kilis, Mardin, Hatay, Osmaniye, Kahramanmaraş, Diyarbakır, and Şanlıurfa), where vulnerable refugees mostly reside . The project aims at : (i) expanding economic opportunities for mostly women refugee and host communities through support for social enterprises and vital livelihoods facilities; and (ii) improving social cohesion among refugees and host communities through enterprise development and participatory engagement in livelihoods facilities.

The project will be implemented through three components, namely as (i) Social Entrepreneurship for Women and Youth in Refugee and Host Communities, (ii) Community Livelihoods-related Facilities in Refugee and Host Communities and (iii) Institutional Capacity Strengthening and Project Management.

Component 1 will finance activities to support social entrepreneurship in refugee and host communities in the target provinces. The project defines a social enterprise to include profit-making businesses that prioritize social or environmental impact while reinvesting profit primarily in their mission and/or benefitting target social groups through employment or other activities that may increase their income. For the purposes of the project, this includes, inter alia, businesses that are established with the mission of employing, or self-employing, refugees and other vulnerable members of the community (e.g. disabled, at-risk youth, etc.).

This component will directly benefit those receiving startup support services, subgrants, and employment in social enterprises; indirect beneficiaries are the buyers of goods and users of services provided by the social enterprises. Subcomponent 1A will finance support services for social entrepreneurs and Subcomponent 1B will fund subgrants for the incubation or acceleration of social enterprises. The elements of this approach aim to maximize the potential for success of the project-supported social enterprises and enables the participation of less-privileged women and youth in social entrepreneurship.

In order to develop sustainable microenterprises, women (and other vulnerable) social entrepreneurs supported under Component 1 will need to access a range of supporting facilities. The development and survival of the business is not only a function of business and technical skills; women face a number of other constraints to their successful engagement in livelihood opportunities. While some of these are addressed in Component 1 through support services (training, mentoring, and coaching), others require local community-level, small-scale investments, without which social enterprises will flounder and/or be unsustainable, and social cohesion outcomes will not be achieved.

While the neighborhoods in the local authorities covered by the project are generally provided with basic services and infrastructure (such as roads, water, sewerage, and solid waste management), other services that would support women’s participation in social enterprises are either unavailable or only partially available in most of the project locations. Such services include childcare facilities or kindergartens, access to community-based workshop facilities or market-spaces, and access to local marketplaces.

To address these gaps in facilities, support the efforts of refugee and host community women to earn income, and promote dialogue and engagement of refugees, host communities, and municipal authorities around social enterprises, component 2 will finance: (i) the capacity building and facilitation activities for refugees and host communities to engage in participatory decision-making processes over local needs and priorities for livelihoods-related facilities under Subcomponent 2A; and (ii) the cost of establishing/renovating selected livelihoods-related facilities under Subcomponent 2B.

The implementation of the proposed project will follow World Bank Policies and EU Requirements. Component 3 will finance project management, monitoring & evaluation, and communications (and visibility) as well as the targeted capacity building of national (MoIT, TDAs) and local actors (local authorities, NGOs, other stakeholders) to strengthen their capabilities to support women’s livelihoods development in this project and in the future.

**Scope and Objective**

Communication Consultant will be responsible for leading all communication and outreach related tasks including developing a communication strategy in line with project development objectives; ensuring timely and quality implementation of the communication strategy; informing beneficiaries and stakeholders on about the nature, planned timeline and expected outcomes of the project.

**Qualifications and Skills**

* University Degree in communications, journalism, advertisement or social sciences,
* At least 5 years of professional experience in preparation of communication strategy, management and implementation of communication work,
* Minimum 3 years of experience in the projects financed by the European Union,
* Experienced in working in the projects in coordination with public institutions in Turkey,
* Knowledge in Microsoft Office package (Word, Excel, Outlook, PowerPoint) as well as professional software relevant to the work area (Photoshop, Illustrator, Final Cut Pro, Adobe Premier Pro, After Effects etc.) to the degree that ensures supervision of the production processes,
* Good command of written and spoken Turkish and English,
* Ability to travel without restriction,
* Completed or postponed military service for male candidates (for Turkish citizens).

**Duties and Responsibilities**

* Preparation and Implementation of a Communication and Visibility Plan that outlines the communication work implemented under Project,
* Ensure timely implementation of the communication and visibility plan that outlines communication activities including a work calendar and communication budget, developed in line with the communication strategy,
* Work closely with Project Implementation Unit (PIU) in designing and developing the project web site and social media accounts,
* Management of project’s online presence (web site and social media accounts),
* Content generation for printed materials and supervise design processes,
* Content generation for online media platforms and supervise design processes,
* Coordinate and liaise with other PIU specialists, for instance Environment and Social specialists to ensure the communication materials are accessible and readable by project beneficiary groups,
* Liaise with social specialist on the implementation of the Project’s Stakeholder Engagement Plan, which sets out stakeholder engagement program, communication methods for different stakeholder groups under the Project,
* Supervise all content produced throughout the project-related visibility activities (launch, workshops, communication outreach events in selected localities), online/print communication products, as well as outreach events that aim at informing beneficiaries,
* Ensure preparation of all printed and audiovisual visibility materials in line with EU Communication and Visibility Manual and Communication and Visibility Manual for EU External Actions Projects funded under the EU Facility for Refugees in Turkey,
* Provide support for the organization of outreach events that aim at awareness raising and informing beneficiaries,
* Coordination of media relation, preparation of media advisories and press releases and support all activities concerning media relations,
* Support PIU in developing technical specifications for procurement of communication services and products by external service providers,
* Replicate all tasks assigned to him/her for selected TDAs under the project if and when necessary. Support each and every TDA in the whole process of their project related communication issues and ensure that they are carried out by the TDAs in line with the Bank's requirements and principles,
* Ensure coordinated communication among service providers and project partners.

**Duration**

The project has a 4-year duration. The planned duration of service of the Communication Specialist is foreseen to start in May/June of 2021 until the project’s extended closing date which is last quarter of 2024. Due to the phasing of the financing, a contract will be signed with the preferred candidate in two stages (May/June 2021 to December 30, 2022, and then after the extension of the Grant Agreement from January 1 2023 to October 2024). Two month probation period will be applied by renewable 1-year contracts and additional input days will be requested from time to time till the end of the implementation, if performance is satisfactory.

**SOCIAL ENTREPRENEURSHIP, EMPOWERMENT AND COHESION**

**IN REFUGEE AND HOST COMMUNITIES IN TURKEY PROJECT**

**Terms of Reference**

**FINANCIAL MANAGEMENT SPECIALIST**

**(Recruitment of two Financial Management Specialists)**

**Background**

The aim of the project is to improve women’s livelihoods and social cohesion for refugees and host communities in target areas of Turkey. Building on the experience of social enterprise in Turkey to date, the project will be implemented through three components. The social enterprise, livelihood facilities and institutional support components together meet economic, social and institutional goals, namely:

1. to expand economic opportunities for mostly women refugee and host communities through support for social enterprises and vital livelihoods facilities;
2. to improve social cohesion between refugees and host communities through social enterprise development and participatory engagement in livelihoods facilities; and
3. to enhance institutional capacities of the Ministry of Industry and Technology (MoIT), Turkish Development Agencies (DAs), municipalities, other relevant government agencies, and local development partners to support women’s social enterprises.

**Project Development Objective**. The objective of the Project is to improve livelihoods opportunities for women in refugee and host communities in targeted areas of Turkey.

**Project Components.** The Project consists of three components:

**Component 1. Social Entrepreneurship for Women and Youth in Refugee and Host Communities.** Component 1 will finance activities to support social entrepreneurship in refugee and host communities in the target provinces. The project defines a social enterprise to include profit-making businesses that prioritize social or environmental impact while reinvesting profit primarily in their mission and/or benefitting target social groups through employment or other activities that may increase their income. For the purposes of the project, this includes, inter alia, businesses that are established with the mission of employing, or self-employing, refugees and other vulnerable members of the community (e.g. disabled, at-risk youth, etc.).

This component will directly benefit those receiving startup support services, subgrants, and employment in social enterprises; indirect beneficiaries are the buyers of goods and users of services provided by the social enterprises. Subcomponent 1A will finance support services for social entrepreneurs and Subcomponent 1B will fund subgrants for the incubation or acceleration of social enterprises.

**Component 2. Community Livelihoods-related Facilities in Refugee and Host Communities.** To address gaps in facilities, support the efforts of refugee and host community women to earn income, and promote dialogue and engagement of refugees, host communities, and municipal authorities around social enterprises, Component-2 will finance: (i) the capacity building and facilitation activities for refugees and host communities to engage in participatory decision-making processes over local needs and priorities for livelihoods-related facilities through Subcomponent 2A; and (ii) the cost of establishing/renovating selected livelihoods-related facilities through Subcomponent 2B.

**Component 3. Institutional Capacity Strengthening and Project Management.** Component-3 will finance project management, M&E, and communications (and visibility) as well as the targeted capacity building of national (MoIT, TDAs) and local actors (local authorities, NGOs, other stakeholders) to strengthen their capabilities to support women’s livelihoods development in this project and in the future.

**Subcomponent 3A: Support for strengthening institutional capacity.** While the capacity of the implementing agencies in the project is high and there is much experience in the TDAs for the development of small and medium enterprise programs, there is less experience in establishing and expanding social enterprises, and supporting entrepreneurship among women and youth refugees and host community members. The project will support the development of knowledge and skills related to the concepts and practical application of the planned project activities. Subcomponent 3A will therefore finance a set of activities aimed at building the capacity of key stakeholders in the MoIT, TDAs, local authorities, and other agreed stakeholders. At the outset, an Institutional Capacity Needs Assessment and Action Plan will be prepared. This subcomponent will then finance the planned trainings, workshops, and conferences to build skills and understanding of the principles, design, implementation, and monitoring of social enterprise support programs in refugee and host community contexts.

**Subcomponent 3B: Project management, coordination and communications.** Subcomponent 3B will finance the operational costs of the MoIT to undertake all project management, M&E, and communications and visibility activities. The subcomponent will finance the incremental costs, including contracting staff, technical assistance for the MoIT for overall project coordination, management and supervision of implementation, procurement, financial management, including project audits, M&E, and the MIS.

**Subcomponent 3C. Monitoring and Evaluation.** This subcomponent will provide assistance to carry out monitoring and evaluation of activities implemented under the Project, including data collection and preparation of reports, in support of the project results framework under the Facility for Refugees in Turkey. It will support the development of a relevant and robust project M&E system involving MoIT, the TDAs and Community Implementing Partners (CIPs).

In accordance with paragraph 5.9 of the “World Bank Procurement Regulations for IPF Borrowers” (November 2020) (“Procurement Regulations”) the Word Bank’s Systematic Tracking and Exchanges in Procurement (STEP) system will be used to prepare, clear and update Procurement Plans and conduct all procurement transactions. Procurement Plan tables in STEP will constitute the Procurement Plan of the Project. All procurement activities will be conducted in accordance with the Procurement Plan of the Project.

**Scope and Objective**

In the scope of the Project, the Financial Management Specialist (FMS) will be responsible for the financial management, disbursement and auditing arrangements throughout project implementation. The FMS will perform these functions by using the systems and procedures of the MoIT, World Bank financial management requirements and the Project Financial Management Manual, enable necessary coordination and support on FM issues and provide technical support to MoIT General Directorate for Development Agencies (GDDA) for Project-related FM issues.

The Financial Management Specialist shall report on a day-to-day basis to the Project Manager of Project Implementation Unit (PIU). The main output of the Financial Management Specialist shall be the delivery of a wide range of professional services related to the effective day-to-day financial management of the Project. These services shall involve both analytical and operational activities.

**Qualifications and Skills**

* University degree in accounting, finance, economics, business and similar relevant fields,
* Demonstrated experience in designing and implementing financial management systems to cover budgeting, fund flow planning, accounting, reporting and internal controls,
* Experience in using accounting software,
* Minimum 3 years of relevant experience in internationally financed projects, preferably financial management experience in Word Bank financed projects.
* Preferably knowledge of and experience in financial management rules and procedures of the World Bank,
* Experience of working with public agencies and international institutions,
* Capacity to communicate orally and in writing in both Turkish and English languages and certification of this,
* Ability to use Microsoft Office software (Word, Excel, Outlook, PowerPoint),
* Ability to travel,
* Analytical thinking, problem solving and teamwork skills,
* Adaptability to flexible working hours,
* Completed or postponed military service for male candidates (for Turkish citizens)

**Duties and Responsibilities**

General

* Design and establish a financial management system for the Project as described in the Project Appraisal Document. The financial management system includes budgeting, accounting, funds flow, internal controls, reporting and auditing arrangements to ensure that the Project funds are used for the purposes intended both economically and efficiently,
* Collaborate with the accounting software developers to customize the accounting software for the needs of the Project and effectively use it over the life of the Project,
* Prepare and, as necessary, update the Financial Management Manual of the Project including all financial activities (budgeting, planning, fund management, sourcing, accounting, reporting and monitoring), procedures and work flows aligned with the WB procedures and requirements and MoIT FM Systems,
* Perform the following duties within the scope of project financial management.

Budget and Planning

* Perform tasks assigned by the MoIT regarding the project in preparation and revision of plans, programs and budgets,
* Define and record Annual Budgets in the project accounting software as a basis for monitoring disbursements against budget during the year,
* Allocate annual project budget to calendar quarters based on disbursement categories and project components, in line with procurement plan and grant allocations and in all relevant currencies, in order to follow budgets and disbursements comparatively throughout the year.

Fund Management and Disbursement

* Support the development of traceable and auditable fund management and disbursement procedures for the use of project funds,
* Support the management of designated account of the Project and grant account in line with the Project Disbursement and Financing Letter, World Bank Disbursement Guidelines and other relevant procedures,
* Prepare WB Grant Withdrawal Applications and replenishment requests for financing project expenditures,
* Assign payment order numbers for disbursements to be made out of grant account and designated account and ensure that the payments are made in line with the provisions of the grant agreement,
* Perform monthly reconciliation of bank accounts, monitor fund flows and perform resource planning,
* Monitor designated account balance against disbursement plans based on contract management, to ensure that sufficient cash is available for uninterrupted project implementation.

Accounting and Archiving

* Develop chart of accounts, cost centers, project codes for expense and budget items as well as standard formats for journal vouchers, financial tables and reports, ledgers and other reports and statement; and support relevant units of the MoIT in defining them to the accounting software and making necessary revisions as required,
* Gather and consolidate financial information as a basis for reporting and accounting activities, especially essential expenditure documents and payment supporting documents,
* Perform all accounting and bookkeeping activities of the project including the timely recording of financial transactions and budget realizations in line with financial management procedures, as instructed by the MoIT,
* File and archive all supporting documents of financial transactions together with the books and the accounting records of the Project.

Financial Reporting and Audits

* Prepare the Annual Financial Statements and Interim Un-audited Financial Reports (IFRs) for the Project
* Prepare monthly, quarterly, annual budget reports, financial statements, financial/managerial reports and ad-hoc financial and budget reports when requested
* Prepare necessary documentation and reports for external audit and support all internal and external auditing activities.

Other

* Support the implementing units regarding financial matters of the contracts between the MoIT-GDDA and suppliers, contractors and consultants,
* Perform financial monitoring of the project by designing and keeping financial progress tables for the contracts and activities under the project,
* Prepare relevant tables, analyses, information and documents included in the project reports,
* Cooperate and coordinate with Procurement Specialists as necessary for the FM function,
* Replicate all tasks assigned to him/her for selected TDAs under the project if and when necessary. Support each and every TDA in the whole process of their project related financial management issues and ensure that they are carried out by the TDAs in line with the Bank's requirements and principles,
* Perform other duties emerging in the frame of this Terms of Reference.

**Duration**

The project has a 4-year duration. The planned duration of service of the Financial Management Specialists are foreseen to start in May/June of 2021 until the project’s extended closing date which is last quarter of 2024. Due to the phasing of the financing, a contract will be signed with the preferred candidate in two stages (May/June 2021 to December 30, 2022, and then after the extension of the Grant Agreement from January 1 2023 to October 2024). month probation period will be applied by renewable 1-year contracts, and additional input days will be requested from time to time till the end of the implementation, if performance is satisfactory.

**SOCIAL ENTREPRENEURSHIP, EMPOWERMENT AND COHESION**

**IN REFUGEE AND HOST COMMUNITIES IN TURKEY PROJECT**

**Terms of Reference**

**MONITORING AND EVALUATION SPECIALIST**

**Background**

Social Entrepreneurship, Empowerment and Cohesion in Refugee and Host Communities in Turkey Project is a project implemented by Ministry of Industry and Technology (MoIT) administered by the World Bank and financed by the European Union.

The proposed project of 39.5 Million EUR aims to support women and youth within refugee and host communities’ transition into sustainable economic opportunities and increased social cohesion through the micro-grant support provided by the selected 5 Development Agencies (DAs) covering 11 provinces (Adana, Mersin, Gaziantep, Adıyaman, Kilis, Mardin, Hatay, Osmaniye, Kahramanmaraş, Diyarbakır, and Şanlıurfa), where vulnerable refugees mostly reside. The project aims at: (i) expanding economic opportunities for mostly women refugee and host communities through support for social enterprises and vital livelihoods facilities; and (ii) improving social cohesion among refugees and host communities through enterprise development and participatory engagement in livelihoods facilities.

The project will be implemented through three components, namely as (i) Social Entrepreneurship for Women and Youth in Refugee and Host Communities, (ii) Community Livelihoods-related Facilities in Refugee and Host Communities and (iii) Institutional Capacity Strengthening and Project Management.

Component 1 will finance activities to support social entrepreneurship in refugee and host communities in the target provinces. The project defines a social enterprise to include profit-making businesses that prioritize social or environmental impact while reinvesting profit primarily in their mission and/or benefitting target social groups through employment or other activities that may increase their income. For the purposes of the project, this includes, inter alia, businesses that are established with the mission of employing, or self-employing, refugees and other vulnerable members of the community (e.g. disabled, at-risk youth, etc.).

This component will directly benefit those receiving startup support services, subgrants, and employment in social enterprises; indirect beneficiaries are the buyers of goods and users of services provided by the social enterprises. Subcomponent 1A will finance support services for social entrepreneurs and Subcomponent 1B will fund subgrants for the incubation or acceleration of social enterprises. The elements of this approach aim to maximize the potential for success of the project-supported social enterprises and enables the participation of less-privileged women and youth in social entrepreneurship.

In order to develop sustainable microenterprises, women (and other vulnerable) social entrepreneurs supported under Component 1 will need to access a range of supporting facilities. The development and survival of the business is not only a function of business and technical skills; women face a number of other constraints to their successful engagement in livelihood opportunities. While some of these are addressed in Component 1 through support services (training, mentoring, and coaching), others require local community-level, small-scale investments, without which social enterprises will flounder and/or be unsustainable, and social cohesion outcomes will not be achieved.

While the neighborhoods in the local authorities covered by the project are generally provided with basic services and infrastructure (such as roads, water, sewerage, and solid waste management), other services that would support women’s participation in social enterprises are either unavailable or only partially available in most of the project locations. Such services include childcare facilities or kindergartens, access to community-based workshop facilities or maker-spaces, and access to local marketplaces.

To address these gaps in facilities, support the efforts of refugee and host community women to earn income, and promote dialogue and engagement of refugees, host communities, and municipal authorities around social enterprises, component 2 will finance: (i) the capacity building and facilitation activities for refugees and host communities to engage in participatory decision-making processes over local needs and priorities for livelihoods-related facilities under Subcomponent 2A; and (ii) the cost of establishing/renovating selected livelihoods-related facilities under Subcomponent 2B.

The implementation of the proposed project will follow World Bank Policies and EU Requirements. Component 3 will finance project management, monitoring & evaluation, and communications (and visibility) as well as the targeted capacity building of national (MoIT, TDAs) and local actors (local authorities, NGOs, other stakeholders) to strengthen their capabilities to support women’s livelihoods development in this project and in the future.

**Scope and Objective**

In the scope of the Project, a Monitoring and Evaluation Specialist will be assigned to carry out monitoring and evaluation activities of the project, as set out in the Monitoring and Evaluation (M&E) Manual and POM. The aim is to ensure a high-quality stream of information to the Project Manager to fulfil the reporting requirements of the MoIT, WB and EU. The M&E specialist will work under the guidance of the Project Manager and in close collaboration with the other members of the Project Implementation Unit (PIU).

**Qualifications and Skills**

* University degree in relevant departments is required and a Masters degree in business, economics or relevant area is preferable,
* Minimum 5 years of M&E experience, of which minimum 3 years are in internationally financed projects, with significant experience in ensuring the quality of monitoring data and preparing monitoring reports,
* Experience in M&E reporting; M&E system design and use in projects funded by international institutions is preferred,
* Familiarity with the monitoring and evaluation procedures of World Bank and/or EU-funded projects or other local and/or international investment and development and public institutions is an asset,
* Experience in projects and activities carried out related to refugees an advantage,
* Proven experience of designing research and knowledge of statistical methods (Experience in research methodology development and conducting research on refugees is preferred),
* Proven experience in qualitative measurements and participatory monitoring methodologies,
* A good command of MS Office programs and statistical software preferably Stata, R, SAS or SPSS,
* Proven experience of applying project evaluation and impact assessment techniques,
* Proven experience of coordinating, monitoring and reporting on project activities,
* Capacity to communicate orally and in writing in both Turkish and English languages,
* Capacity to communicate clearly, present complex matters in an understandable and compendious manner, provide counselling; high analytical and computational skills; ability to identify and analyze key points, provide solutions, evaluate alternatives objectively, make determined, rational, well-grounded and reconciling decisions considering the results of decisions,
* Have no restriction for travel,
* Teamwork skills,
* Analytical thinking and problem-solving skills,
* Adaptability to flexible working hours,
* Completed or postponed military service for male candidates (for Turkish citizens).

**Duties and Responsibilities**

* Ensure the regular collection and consolidation of high-quality data from related parties (and other members of the PIU, as needed) to satisfy reporting requirements.
* Design a methodology for the field visits/spot checks, and, as needed, attend the provincial (field) visits to be held regularly within the scope of the project M&E activities, prepare the reports of these visits which include an assessment of the project implementation
* Monitor project performance based on indicators, targets and objectives set in relevant project documents against outputs, results and outcomes and include these inputs in relevant reports of the Project
* Monitor implementation progress against Project Implementation Plan, inform those in charge of project coordination and management of any major deviations and suggest necessary revisions as needed
* Draft ToRs for the reviews to be carried-out by the Project, including evaluating and preparing research methods, monitoring the implementation and interpreting research results
* Provide support to the PIU to review and accept the deliverables submitted by consultants (firm/individual), as needed
* Monitor and advise for any issues, risks or bottlenecks that have actual/potential impact on project progress and suggest corrective actions for effective, fruitful and fast project performance
* Prepare periodical and non-periodical reports including Project/Progress Reports and other ad-hoc managerial/non-financial reports needed
* Receive reports, studies and other project documentation from project consultants as appropriate and arrange for meaningful overviews
* Assist project consultants on tasks on impact evaluation and process evaluation
* Prepare presentations for the project and contribute to the project web site
* Contribute to the preparation of the Mid-term Review and Implementation Completion Report
* Keep the physical and digital records of information and documents related to activities of monitoring, evaluation and reporting and establish necessary archiving and filing system and order
* Cooperate and coordinate with MoIT-General Directorate for Development Agencies, TDAs and the other specialists assigned for the project and support them within the scope of terms of reference when it is needed
* Replicate all tasks assigned to him/her for selected TDAs under the project if and when necessary. Support each and every TDA in the whole process of their project related monitoring & evaluation issues and ensure that they are carried out by the TDAs in line with the Bank's requirements and principles,
* Cooperate and coordinate with the World Bank task team on monitoring and evaluation activities and reporting
* Take part in daily routine processes of the project activities and carry out related works and operations if it is necessary
* Perform other duties emerging in the frame of this Terms of Reference

**Duration**

The project has a 4-year duration. The planned duration of service of the Monitoring and Evaluation Specialist is foreseen to start in May/June of 2021 until the project’s extended closing date which is last quarter of 2024. Due to the phasing of the financing, a contract will be signed with the preferred candidate in two stages (May/June 2021 to December 30, 2022, and then after the extension of the Grant Agreement from January 1 2023 to October 2024). Two month probation period will be applied by renewable 1-year contracts and additional input days will be requested from time to time till the end of the implementation, if performance is satisfactory.

**SOCIAL ENTREPRENEURSHIP, EMPOWERMENT AND COHESION**

**IN REFUGEE AND HOST COMMUNITIES IN TURKEY PROJECT**

**Terms of Reference**

**SOCIAL ENTREPRENEURSHIP SPECIALIST**

**Background**

Social Entrepreneurship, Empowerment and Cohesion in Refugee and Host Communities in Turkey Project is a project implemented by Ministry of Industry and Technology (MoIT) administered by the World Bank and financed by the European Union.

The proposed project of 39.5 Million EUR aims to support women and youth within refugee and host communities’ transition into sustainable economic opportunities and increased social cohesion through the micro-grant support provided by the selected 5 Development Agencies (DAs) covering 11 provinces (Adana, Mersin, Gaziantep, Adıyaman, Kilis, Mardin, Hatay, Osmaniye, Kahramanmaraş, Diyarbakır, and Şanlıurfa), where vulnerable refugees mostly reside. The project aims at: (i) expanding economic opportunities for mostly women refugee and host communities through support for social enterprises and vital livelihoods facilities; and (ii) improving social cohesion among refugees and host communities through enterprise development and participatory engagement in livelihoods facilities.

The project will be implemented through three components, namely as (i) Social Entrepreneurship for Women and Youth in Refugee and Host Communities, (ii) Community Livelihoods-related Facilities in Refugee and Host Communities and (iii) Institutional Capacity Strengthening and Project Management.

Component 1 will finance activities to support social entrepreneurship in refugee and host communities in the target provinces. The project defines a social enterprise to include profit-making businesses that prioritize social or environmental impact while reinvesting profit primarily in their mission and/or benefitting target social groups through employment or other activities that may increase their income. For the purposes of the project, this includes, inter alia, businesses that are established with the mission of employing, or self-employing, refugees and other vulnerable members of the community (e.g. disabled, at-risk youth, etc.).

This component will directly benefit those receiving startup support services, subgrants, and employment in social enterprises; indirect beneficiaries are the buyers of goods and users of services provided by the social enterprises. Subcomponent 1A will finance support services for social entrepreneurs and Subcomponent 1B will fund subgrants for the incubation or acceleration of social enterprises. The elements of this approach aim to maximize the potential for success of the project-supported social enterprises and enables the participation of less-privileged women and youth in social entrepreneurship.

Activities in Component 1 will be implemented by the Development Agencies (DAs) working with Community Implementing Partners (CIPs)) in an agreed number of cycles. Each cycle will start with the selection of beneficiaries (new and/or existing social entrepreneurs). Selected beneficiaries will receive training and coaching, and then be supported in submitting applications (in the form of business plans) for incubation or acceleration grants. Recipients of those subgrants will then be provided with continued mentoring.

In order to develop sustainable microenterprises, women (and other vulnerable) social entrepreneurs supported under Component 1 will need to access a range of supporting facilities. The development and survival of the business is not only a function of business and technical skills; women face a number of other constraints to their successful engagement in livelihood opportunities. While some of these are addressed in Component 1 through support services (training, mentoring, and coaching), others require local community-level, small-scale investments, without which social enterprises will flounder and/or be unsustainable, and social cohesion outcomes will not be achieved.

While the neighborhoods in the local authorities covered by the project are generally provided with basic services and infrastructure (such as roads, water, sewerage, and solid waste management), other services that would support women’s participation in social enterprises are either unavailable or only partially available in most of the project locations. Such services include childcare facilities or kindergartens, access to community-based workshop facilities or maker-spaces, and access to local marketplaces.

To address these gaps in facilities, support the efforts of refugee and host community women to earn income, and promote dialogue and engagement of refugees, host communities, and municipal authorities around social enterprises, component 2 will finance: (i) the capacity building and facilitation activities for refugees and host communities to engage in participatory decision-making processes over local needs and priorities for livelihoods-related facilities under Subcomponent 2A; and (ii) the cost of establishing/renovating selected livelihoods-related facilities under Subcomponent 2B.

The implementation of the proposed project will follow World Bank Policies and EU Requirements. Component 3 will finance project management, M&E, and communications (and visibility) as well as the targeted capacity building of national (MoIT, TDAs) and local actors (local authorities, NGOs, other stakeholders) to strengthen their capabilities to support women’s livelihoods development in this project and in the future.

**Scope and Objective**

The objective of this document is to define duties and responsibilities of the Social Entrepreneurship Specialist who will work under “Social Entrepreneurship, Empowerment and

Cohesion in Refugee and Host Communities in Turkey Project”.

In the scope of the Project, Social Entrepreneurship Specialist will be assigned to support implementation of the Project activities as set out under Component 1 and Component 2 such as development, design and implementation of social enterprise incubation and acceleration services and to supervise and provide technical assistance to project implementation agencies for building social entrepreneurship ecosystem.

**Qualifications and Skills**

* University degree in development studies, public policy, policy analysis, economics, business administration, enterprise development, humanitarian or any other field related with social sciences,
* 5 years of progressively responsible professional work experience in the field of social enterprise development, innovation and social-economic development, women economic engagement, as well as experience on supporting and coordinating sustainable solutions; direct experience with the concept of social entrepreneurship or women entrepreneurship compulsory,
* Demonstrated expertise in capacity building, mentoring, and project development support for social enterprise and entrepreneurs,
* Familiar with the current developments, research, best practices, on economic development models with a focus on social enterprise development,
* Preferably 5 years of professional experience in design and/or implementation and/or delivery of trainings in the field of livelihood improvement and entrepreneurship,
* Experience in interacting and collaborating with public institutions, private sector, NGOs and/or international organizations,
* Experience in working with refugees, with issues of refugee entrepreneurship, refugee employment and access to services in Turkey is an asset,
* Working experience in the Project’s target regions is an asset,
* Capacity to effectively communicate orally and in writing in both Turkish and English languages,
* Excellent interpersonal and communications skills,
* Demonstrated ability to work in a team,
* Have no restriction for travel,
* Teamwork skills,
* Analytical thinking and problem-solving skills,
* Adaptability to flexible working hours,
* Completed or postponed military service for male candidates (for Turkish citizens).

**Duties and Responsibilities**

* Provide assistance and guidance to the preparation of the community needs assessments, local market analyses including value chain assessments and training needs assessments and action plans for incubation and acceleration support services for each defined target area which will be conducted by related Development Agencies (DAs) and Community Implementing Partners (CIPs),
* Liaising with implementing development agencies (DAs) and CIPs to coordinate the cycles of incubation and acceleration services in the targeted areas.
* Provide guidance and direction to the training, coaching, and mentoring services for refugees and host community members to become successful social entrepreneurs,
* Ongoing technical assistance to CIPs for mobilization of community engagement activities for effective coordination with livelihood facilities investments.
* Provide support for additional national/local institutions to be engaged in project implementation,
* Provide guidance to the TDAs and CIPs regarding the implementation of the social enterprise incubation and acceleration subgranting programs,
* Contribute agenda and design of the awareness-raising events (e.g. conferences/festivals) on social entrepreneurship,
* Identify shortcomings in the enabling environment,
* Support and supervise the cycles of social entrepreneurship incubation and acceleration services and related subgranting schemes,
* Coordinate TDAs for spot checks of CIPs services and provide technical assistance audit processes.
* Coordinate institutional capacity building activities under Component 3 of the project,
* Provide support for the development and monitoring of the implementation of an Institutional Capacity Needs Assessment and Action Plan under Component 3 on SE issues,
* Review of SE mobilization approach and lessons to inform targeting for later rounds of SE support service and granting cycles,
* Liaising with social specialist in carrying out activities related with citizen engagement framework and gender issues,
* Support to the MoIT in developing its strategy paper on the SE sector in Turkey to promote an enabling policy and legal framework for SE development based on project lessons,
* Provide support for the formation of business alliances in the private sector to raise awareness on responsible sourcing and to purchase goods and services from social enterprises,
* Replicate all tasks assigned to him/her for selected TDAs under the project if and when necessary. Support each and every TDA in the whole process of their project related social entrepreneurship issues and ensure that they are carried out by the TDAs in line with the Bank's requirements and principles,
* Maintain awareness of regulatory changes and inform MoIT PIU staff,
* Travel to project location sites as required to fulfill the relevant tasks of this assignment,
* Perform other qualified duties as assigned in this ToR.

**Duration**

The project has a 4-year duration. The planned duration of service of the Monitoring and Evaluation Specialist is foreseen to start in May/June of 2021 until the project’s extended closing date which is last quarter of 2024. Due to the phasing of the financing, a contract will be signed with the preferred candidate in two stages (May/June 2021 to December 30, 2022, and then after the extension of the Grant Agreement from January 1 2023 to October 2024). Two month probation period will be applied by renewable 1-year contracts and additional input days will be requested from time to time till the end of the implementation, if performance is satisfactory.

**SOCIAL ENTREPRENEURSHIP, EMPOWERMENT AND COHESION**

**IN REFUGEE AND HOST COMMUNITIES IN TURKEY PROJECT**

**Terms of Reference**

**IT SPECIALIST**

**Background**

Social Entrepreneurship, Empowerment and Cohesion in Refugee and Host Communities in Turkey Project is a project implemented by Ministry of Industry and Technology (MoIT) administered by the World Bank and financed by the European Union.

The proposed project of 39.5 Million EUR aims to support women and youth within refugee and host communities’ transition into sustainable economic opportunities and increased social cohesion through the micro-grant support provided by the selected 5 Development Agencies (DAs) covering 11 provinces (Adana, Mersin, Gaziantep, Adıyaman, Kilis, Mardin, Hatay, Osmaniye, Kahramanmaraş, Diyarbakır, and Şanlıurfa), where vulnerable refugees mostly reside. The project aims at: (i) expanding economic opportunities for mostly women refugee and host communities through support for social enterprises and vital livelihoods facilities; and (ii) improving social cohesion among refugees and host communities through enterprise development and participatory engagement in livelihoods facilities.

The project will be implemented through three components, namely as (i) Social Entrepreneurship for Women and Youth in Refugee and Host Communities, (ii) Community Livelihoods-related Facilities in Refugee and Host Communities and (iii) Institutional Capacity Strengthening and Project Management.

Component 1 will finance activities to support social entrepreneurship in refugee and host communities in the target provinces. The project defines a social enterprise to include profit-making businesses that prioritize social or environmental impact while reinvesting profit primarily in their mission and/or benefitting target social groups through employment or other activities that may increase their income. For the purposes of the project, this includes, inter alia, businesses that are established with the mission of employing, or self-employing, refugees and other vulnerable members of the community (e.g. disabled, at-risk youth, etc.).

This component will directly benefit those receiving startup support services, subgrants, and employment in social enterprises; indirect beneficiaries are the buyers of goods and users of services provided by the social enterprises. Subcomponent 1A will finance support services for social entrepreneurs and Subcomponent 1B will fund subgrants for the incubation or acceleration of social enterprises. The elements of this approach aim to maximize the potential for success of the project-supported social enterprises and enables the participation of less-privileged women and youth in social entrepreneurship.

In order to develop sustainable microenterprises, women (and other vulnerable) social entrepreneurs supported under Component 1 will need to access a range of supporting facilities. The development and survival of the business is not only a function of business and technical skills; women face a number of other constraints to their successful engagement in livelihood opportunities. While some of these are addressed in Component 1 through support services (training, mentoring, and coaching), others require local community-level, small-scale investments, without which social enterprises will flounder and/or be unsustainable, and social cohesion outcomes will not be achieved.

While the neighborhoods in the local authorities covered by the project are generally provided with basic services and infrastructure (such as roads, water, sewerage, and solid waste management), other services that would support women’s participation in social enterprises are either unavailable or only partially available in most of the project locations. Such services include childcare facilities or kindergartens, access to community-based workshop facilities or market-spaces, and access to local marketplaces.

To address these gaps in facilities, support the efforts of refugee and host community women to earn income, and promote dialogue and engagement of refugees, host communities, and municipal authorities around social enterprises, component 2 will finance: (i) the capacity building and facilitation activities for refugees and host communities to engage in participatory decision-making processes over local needs and priorities for livelihoods-related facilities under Subcomponent 2A; and (ii) the cost of establishing/renovating selected livelihoods-related facilities under Subcomponent 2B.

The implementation of the proposed project will follow World Bank Policies and EU Requirements. Component 3 will finance project management, monitoring & evaluation, and communications (and visibility) as well as the targeted capacity building of national (MoIT, TDAs) and local actors (local authorities, NGOs, other stakeholders) to strengthen their capabilities to support women’s livelihoods development in this project and in the future.

**Scope and Objective**

The aim of this assignment is to support MoIT PIU to design and operate an IT system that will help ensure that the proposed project delivers its activities effectively and achieves its objectives.

In the scope of the Project, IT Coordinator will supervise and coordinate all needed IT related activities (Project Management Information System, Grievance Recording system, Project Website etc.) for the Project, enable necessary coordination and support and provide technical counselling to the consultancy services. Consultants will also provide software development services for needed integration issues between existing software systems of MoIT. In addition, the consultant will ensure its day to day functionality to produce required reports and data timely and regularly.

The IT Coordinator will work in close coordination with the General Directorate for Development Agencies, IT Department of the MoIT and other PIU consultants as needed and under the day-to-day management of the Project Manager.

**Qualifications and Skills**

* BA degree in relevant departments (Software Engineering, Information Technology, Management Information Systems) of universities,
* Fluent in written and spoken Turkish and English,
* At least 3 years professional experience in software development projects,
* At least 2 years professional experience in Management Information Systems, especially for donor funded projects,
* Strong experience in web development technologies,
* Strong experience in civic technologies which allow for interactive citizen engagement,
* Proven track record of understanding data privacy and security,
* Strong experience in MS Office applications,
* Preferred that familiarity with network infrastructure equipment,
* Experience in information technologies, project documents, software documentation,
* Supervising IT related problems / help desks and repairing IT issues,
* Strong experience in Java technologies (JS2E JEE, EJB 3.x etc.),
* Strong experience in Object Oriented Programming and Design Patterns,
* Experience in software development and testing with continuous integration tools, and project tracking and management tools (TFS, Jira,Trello etc.),
* Having experience in web service development (SOAP, REST, JAX-WS, AXIS, CXF etc.),
* Having knowledge on JSP, JSF, Primefaces, Servlet, Hibernate,
* Having experience and knowledge on Service Oriented Architecture,
* Knowledge on basic relational databases processes, querying, SQL ve PL/SQL,
* Knowledge on version control tools,
* Having strong attention to detail in documentation,
* No restriction for travel,
* Proactive teamwork skills,
* Analytical thinking and problem solving skills,
* Adaptability to flexible working hours,
* Completed or postponed military service for male candidates (for Turkish citizens).

**Duties and Responsibilities**

* Preparation of Technical Specifications Documents for Management Information System for the project in coordination with M&E consultants,
* Technical coordination of Management Information System of the project and oversee the activities and responsibilities of subcontractor firm,
* Technical coordination of Project website,
* Coordination of information/document hosting in the Project website,
* Overall coordination and launch of online platform using a proven civic technology, working in conjunction with the citizen engagement specialist,
* Coordination of online Project Grievance Redress mechanism,
* Oversight of design of digital outreach to project beneficiaries and implementing partners,
* Institute protocols for the use of IT across departments and projects,
* Determining web services requirements and contributing to software architecture,
* Reporting to and working with MoIT IT Department for approval of software, system and network related decisions,
* Design procedures for the use of IT resources,
* Preparing technical specifications for the revision of the system within the scope of the project,
* Supporting the technical evaluation of the bids, preparation of forms and reports as part of World Bank procurement processes for IT related services and equipment,
* Carrying out duties arising from this contract in cooperation and coordination with the personnel of the IT Department of MoIT,
* Assists in budgeting for IT expenses, including the purchase of new equipment and software when necessary,
* Supervising and coordinating IT related services to ensure the successful delivery of the Project and the achievement of its objectives,
* Coordinating business operations that are related to the IT/Software scope,
* Ensure the handover of the IT systems for the Project to MoIT at the end of the contract to ensure their use in the long-term,
* Replicate all tasks assigned to him/her for selected TDAs under the project if and when necessary. Support each and every TDA in the whole process of their project related IT issues and ensure that they are carried out by the TDAs in line with the Bank's requirements and principles,
* Carrying out other tasks that will arise on the basis of this Terms of Reference.

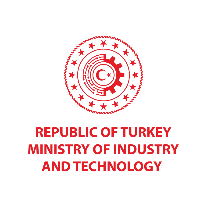
**Duration**

The project has a 4-year duration. The planned duration of service of the IT Specialist is foreseen to start in May/June of 2021 until the project’s extended closing date which is last quarter of 2024. Due to the phasing of the financing, a contract will be signed with the preferred candidate in two stages (May/June 2021 to December 30, 2022, and then after the extension of the Grant Agreement from January 1 2023 to October 2024). Two month probation period will be applied by renewable 1-year contracts and additional input days will be requested from time to time till the end of the implementation, if performance is satisfactory.

**ANNEX 6: COMMUNICATIONS AND VISIBILITY PLAN**

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| **SOCIAL ENTREPRENEURSHIP, EMPOWERMENT AND COHESION IN REFUGEE AND HOST COMMUNITIES IN TURKEY PROJECT (SEECO)** |
| Communication and Visibility Plan |
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| TARGET GROUPS AND KEY MESSAGES |
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| INDICATORS OF ACHIEVEMENT AND MEANS OF FEEDBACK |
| RESOURCES |

|  |  |
| --- | --- |
| ABBREVIATIONS | |
| CIP | Community Implementing Partner |
| EU | The European Union |
| GRM | Grievance Redress Mechanism |
| FRIT | Facility for Refugees in Turkey |
| MoIT | Ministry of Industry and Technology |
| PIU | Project Implementation Unit |
| SE | Social Enterprise |
| TDA | (Turkish) Development Agency |
| WB | World Bank |

BACKGROUND

As per the Administration Agreement between the European Commission, on behalf of the European Union, and the International Bank for Reconstruction and Development concerning the Parallel EC - World Bank Partnership Program for Europe and Central Asia Programmatic Single-Donor Trust Fund this Communication and Visibility Strategy is submitted under Social Entrepreneurship, Empowerment and Cohesion in Refugee and Host Communities in Turkey Project – Facility for Refugees in Turkey (P171456).

*This report is submitted to the European Union Delegation / Facility for Refugees in Turkey for* Social Entrepreneurship, Empowerment and Cohesion in Refugee and Host Communities in Turkey Project(P171456)*. The content of this report does not reflect the official opinion of the European Union. Responsibility for the information and views expressed in the report [therein] lies entirely with the author(s).*

|  |  |
| --- | --- |
| Title of Action and Project Reference: | Social Entrepreneurship, Empowerment and Cohesion in Refugee and Host Communities in Turkey Project (P171456) |
| Implementing Agencies | Ministry of Industry and Technology |
| Administrative Agency | The World Bank |
| Total Budget | EUR 39,500,000 |
| Objectives of the Action | To improve livelihoods opportunities for women in refugee and host communities in targeted areas of Turkey. |
| Project Activities | Community level training, needs assessment, market analysis  Capacity building, training and mentoring support provided for social enterprise incubation and acceleration  Business alliances on responsible sourcing established and a national campaign launched  Subgrants for incubation of new enterprises and acceleration of existing social enterprises  Training and community mobilization activity on local livelihoods facilities  Subgrants for livelihoods related facilities  Social enterprise public awareness campaigns and learning events  SE policy development and financing models developed for Turkey  Capacity Building and training for MoIT and TDA on SEs designed and delivered |

COMMUNICATION OBJECTIVES

This document covers a series of communication activities in order to conduct effective outreach and communication activities for target groups, highlighting the project outcomes and good practices and ensuring visibility of EU’s financial contribution in addressing the development needs of refugees and host communities.

The document is in line with the Communication and Visibility Requirements for EU External Actions document, and complemented by the visibility guidelines of the EUD at: http://avrupa.info.tr/eu-funding-in-turkey/visibility-guidelines.html

The communication and visibility activities will be implemented in coordination with the EU Delegation in Turkey. EUD will be informed about the events at least 10 days before for its participation. Designs of all visibility materials, publications, promotional items, and videos will be submitted to the EUD for review and approval before production. The communication and visibility activities will be in line with the Visibility Guideline prepared for non-humanitarian FRiT projects, available here: http://www.avrupa.info.tr/en/learn-about-eu-visibility-guidelines-16

Communication and Visibility Manual for EU External Actions Projects funded under the EU Facility for Refugees in Turkey

VisibilityGuidelines\_May2017\_FRIT\_EN\_20170605\_Final.docx

 The EU-Turkey joint logo should be accompanied by the following text in English, Turkish and Arabic (and any other language where needed):

 This project is funded by the European Union

Example:



The materials, items for beneficiary usage or office supplies to be used by the partners etc. procured under EU funds should display the EU flag accompanied by the following text in English, Turkish and Arabic (and any other language where needed):

"Funded by the European Union."

Example:



Following disclaimer will be used in relevant materials: “This leaflet/brochure/video… has been produced with the financial support of the European Union. Its content is the sole responsibility of MoIT and may not reflect the views of the European Union.”

The overall communication objectives of the project are to help manage expectations and mitigate against local political and governance risks; facilitate outreach and engagement of refugees and host communities in project activities; and share results and disseminate project lessons learned with key audiences for broader impact. Activities will also seek to inform and communicate to project beneficiaries and project stakeholders, the EU’s financial contribution to support refugees and host communities in Turkey.

Communications messaging will focus on the benefits for refugees and host communities, that social enterprises supported by the project will bring together refugee and host community members in pursuit of shared socioeconomic goals, which will positively impact the local economy. Along with the new jobs created, the social enterprise focus of the project will help the beneficiaries of subgrants, support services, and livelihoods facilities find innovative solutions to pressing social issues in the host communities and broader society. In addition to the outreach to the direct beneficiaries of component 1, critical elements of the communications plan will be to: engage with and conduct sessions for municipal leaders regarding the project approach, the livelihoods facilities that will benefit the municipal population, and the need for sustainability of investments; and build broad awareness through the media on the project and its impact, highlighting the potential of social entrepreneurship as a solution for communities in Turkey. Communications and visibility activities are also intended to communicate to project beneficiaries and stakeholders information about the EU’s financial contribution to support refugees and host communities in Turkey.

TARGET GROUPS and KEY MESSAGES

TARGET GROUPS

Project affected parties (Women and youth from refugee and host communities, Vulnerable groups, Male household members and community elders)

Potential/current social entrepreneurs

Private sector, businesses, companies, local stakeholders

Target municipalities

Media, national authorities, and communities/general public

SPECIFIC OBJECTIVES FOR EACH TARGET GROUP

| Target Group | Specific Communication Objectives |
| --- | --- |
| Project affected parties (Women and youth from refugee and host communities, Vulnerable groups, Male household members and community elders) | To promote enrollment of potential beneficiaries into the acceleration and incubation social enterprise programs under the project.  To advocate and raise awareness on social entrepreneurship  To provide awareness on the project and its impact; promoting the project as an approach to help harmonize refugees into the socioeconomic life in Turkey |
| Potential/current social entrepreneurs | To promote enrollment of potential beneficiaries into the acceleration and incubation social enterprise programs under the project. |
| Private sector, businesses, companies, local stakeholders | To increase visibility, public understanding, and awareness, and foster a common understanding among social enterprises, public institutions, and the private sector regarding the purpose and approach of social enterprises.  To advocate and raise awareness on social entrepreneurship for an enabling business environment with strategic, policy level, and future financing interventions.  To raise awareness to support a business alliance for the economic inclusion of refugees and host communities that promotes social enterprises’ services and products. |
| Target municipalities | To carry out sensitization sessions for leadership of municipalities regarding the project approach and the livelihoods facilities that will benefit their communities.  To consult with target municipalities throughout implementation to promote their engagement and the sustainability of investments; and to manage any risks. |
| Media, national authorities, and communities/general public | To provide awareness on the project and its impact; promoting the project as an approach to help harmonize refugees into the socioeconomic life in Turkey.  To highlight the potential of social entrepreneurship to offer solutions for communities in Turkey to support the progress of socioeconomic development.  To promote social enterprises to make their services or products visible for consumers and business networks. |

KEY MESSAGES FOR EACH TARGET GROUP

|  |
| --- |
| Project Affected Parties (Women and Youth From Refugee and Host Communities, Vulnerable Groups, Male Household Members and Community Elders)    Social entrepreneurship is a promising avenue for addressing key social and economic problems in your communities, including unemployment, social challenges, exclusion, and refugee integration.  The project will benefit both host communities and refugees.  A key motivation of the project is to unlock the potential of refugees and host communities by supporting economic empowerment and social cohesion. The project will support the development of social enterprises and ensure sustainable access to livelihoods facilities that bring benefits to women, youth, and others from both refugee and host communities, boost local economies, and generate local employment.  You can strengthen your business skills, receive training and coaching support and legal advice, and be eligible for subgrants to run your own social enterprise. Learn about entrepreneurship and grant opportunities from our service points and online platforms. |
| Potential/Current Social Entrepreneurs  You can strengthen your business skills, receive training and coaching support and legal advice, and be eligible for subgrants to run your own social enterprise. Learn about entrepreneurship and grant opportunities from our service points and online platforms.  Social enterprises supported by the project will bring together refugee and host community members in pursuit of shared socioeconomic goals, which will positively impact the local economy. Along with the new jobs created, the social enterprise focus of the project will help the beneficiaries of subgrants, support services, and livelihoods facilities find innovative solutions to pressing social issues in the host communities and broader society. |
| Private Sector, Businesses, Companies, Local Stakeholders  Social entrepreneurship is a promising avenue for addressing key social and economic problems in your communities, including unemployment, social challenges, exclusion, and refugee integration. The project will benefit both host communities and refugees.  Private sector support to social enterprises has social, economic, and financial value.  There is significant opportunity for partnerships and business alliances with social enterprises under the project. This will also promote the sustainability of project investments. |

|  |
| --- |
| Target Municipalities  A key motivation of the project is to unlock the potential of refugees and host communities by supporting economic empowerment and social cohesion. The project will support the development of social enterprises and ensure sustainable access to livelihoods facilities that bring benefits to women, youth, and others from both refugee and host communities, boost local economies, and generate local employment.  Social entrepreneurship is a promising avenue for addressing key social and economic problems in your communities, including unemployment, social challenges, exclusion, and refugee integration.  Municipal leaders have a key role to play in supporting sustainable livelihoods facilities under the project that will support social entrepreneurship and provide wider social and economic benefits to your communities (like daycare centers, markets, workshops). |

**Media, National Authorities, and Communities/General Public**

Increasing access to economic opportunities is a key component of achieving protection and lasting solutions for the socioeconomic integration of refugees. Economic inclusion requires access to labor markets, finance, and/or services and facilities that would support entrepreneurs to establish income-earning businesses.

The project will support the creation and development of social enterprises and ensure sustainable access to livelihoods facilities that bring benefits to women, youth, and others from both refugee and host communities, boost local economies, and generate local employment.

Social enterprises supported by the project will bring together refugee and host community members in pursuit of shared socioeconomic goals, which will positively impact the local economy. Along with the new jobs created, the social enterprise focus of the project will help the beneficiaries of subgrants, support services, and livelihoods facilities find innovative solutions to pressing social issues in the host communities and broader society.

The project will benefit both host communities and refugees.

COMMUNICATION ACTIVITIES and INDICATIVE SCHEDULE

***Opening and Closing Ceremonies:*** To inform public and all stakeholders, a launch event will be organized, presumably virtual (due to the pandemic), with the participation of high-level officials from public institutions and international organizations, local and national stakeholders. The national press will be invited to the event and a press release will be distributed to national media. A video/presentation about project’s activities and objectives will be screened during the launch event. Launch event will be announced from social media channels and websites of MoIT and the TDAs. All the health measures will be taken due to Covid-19 in case the event takes place in person. A Closing event will be held at the end of project implementation by featuring major Project outcomes through beneficiaries.

Budget: 50.000 Euro

***Information Campaigns in 11 Provinces:***

Information campaigns will be organized in each target province with the participation of officials from local public institutions and international organizations, and local stakeholders to inform all local stakeholders and outreach to community members. Local press engagement could be considered if local outreach networks do not meet the target number of applications.

Indicative communication tools: Conferences, Meetings, Brochures, posters, infographic of application process, information desks, social media posts, Whatsapp, and social media groups that are favored for communication by target beneficiaries.

Budget: 100.000 Euro

***Awareness-raising events (e.g. conferences/festivals) on social entrepreneurship, including to support the development of business alliances and Information Campaigns in 5 Regions:***

Awareness-raising events in 5 regions will be held to:

increase awareness, and foster a common understanding among social enterprises, public institutions, and the private sector regarding the purpose and approach of social enterprises

advocate and raise awareness on social entrepreneurship for an enabling business environment with strategic, policy level, and future financing interventions

raise awareness to support a business alliance for the economic inclusion of refugees and host communities that promotes social enterprises’ services and products

provide local stakeholders and community members with detailed information about the component activities, including where relevant, critical supporting activities for men

build broad awareness on the project and its impact, highlighting the potential of social entrepreneurship as a solution for communities in Turkey.

address the needs of refugee women, gender inequality and gender-based violence (the project will complement gender-related efforts)

Indicative communication tools: Outreach events with diverse activities to showcase the products or services of project beneficiaries. Festivals, panels, workshops, concerts to showcase the work of project beneficiaries/social entrepreneurs, including video and photo documentation and dissemination of the event

Events will be organized in each of the 5 regions in-person or virtual (depending on the state of the pandemic). All the health measures will be taken due to Covid-19 in case the event takes place in-person.

Budget: 220.000 Euro

**Community engagement events for livelihoods-related facilities to inform communities (refugees and host communities), local authorities and the media**

11 provinces - broad outreach to community members

Community engagement events in all provinces will aim to enhance community cooperation during the project, provide a forum for trust building and collaboration between refugees and host communities, and communities and local authorities, as well as resulting in the concrete benefit of livelihoods facilities that directly or indirectly facilitate the development of efficient and sustainable social enterprises. Events will be organized in each of the 5 regions in-person or virtual (depending on the state of the pandemic). All the health measures will be taken due to Covid-19 in case the event takes place in-person.

Indicative communication tools: Various community engagement events, such as opening ceremonies for completed facilities, arts and crafts workshops for children, concerts for youth, engagement activities for women.

Budget: 205.000 Euro

**Documentary series**

11 episodes (to be confirmed) from diverse project areas

In the final year of the project

A documentary series to inform the public about the success stories will be produced. Videos will focus on one pilot province in each episode while showcasing the stories of women entrepreneurs (project beneficiaries) who are successful in their work. The stories of employees in the enterprises as well as livelihoods facilities could also be featured.

Indicative communication tools: The video will be shared on social media channels and websites of MoIT and the TDAs. They will also be shared with national and local press.

Budget: 180.000 Euro

**Visibility, outreach materials and graphic design services**

The action includes;

Design of project’s visual identity,

all the design, print, translation and distribution work of outreach and visibility materials (brochures, posters, infographics),

Visual enhancement of registration desks,

visibility materials for information campaigns and awareness-raising events and Community engagement events

design work of social media templates

design work of the visuals on the project website.

production and placement of visibility materials in the 11 provinces

media management services

Design, development and management of project’s online presence

A website will be positioned as a communication tool, which will reflect the project’s successful outcomes and positive reflections. The website will contain quality images, videos and digital publications which will be in English, Turkish and Arabic. It is one of the important goals of the communication that the website conveys accurate and updated information during the Project

The social media tools (e.g. Facebook, Twitter, Instagram and Youtube) will be used to provide information and reflect project’s outcomes to all stakeholders.

Budget: 130.000 Euro

INDICATIVE SCHEDULE

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Activities | 1st Year | | | | 2nd Year | | | |
| Q1 | Q2 | Q3 | Q4 | Q5 | Q6 | Q7 | Q8 |
| Opening Ceremony |  | X |  |  |  |  |  |  |
| Information campaign |  | X | X | X | X | X | X |  |
| Awareness-raising events |  | X | X | X | X | X | X |  |
| Community engagement events |  | X | X | X | X | X | X |  |
| Documentary series |  |  |  |  |  | X | X | X |
| Closing Ceremony |  |  |  |  |  |  |  | X |

INDICATORS OF ACHIEVEMENT AND MEANS OF FEEDBACK

* Number of web stories and press releases for the events that are open to public.
* Number of participants attending to events.
* Views/shares of videos and other informative materials on online platforms.
* Number of visitors on the project website
* Number of inquiries received and responded to through GRM.

**Grievance Redress Mechanism (GRM)**

A specific grievance mechanism will be set-up to provide formal channels for feedback from beneficiaries on any matter concerning the project; various options will be provided to enable complaints to be made easily. The MoIT will coordinate a system that collects, processes, and addresses complaints through a structure reaching from the local to the national level.

Indicative communication tools: Tools such as pamphlets, posters will be created to help local residents familiarize themselves with the grievance redress channels and procedures. For in-person meetings, the GRM and its details will also be verbally communicated for those who are illiterate. A GRM guidebook/manual will also be developed and suggestion boxes installed in each affected municipality and village.

RESOURCES

HUMAN RESOURCES

The Project Implementation Unit is the main responsible for the communication activities of the project. It will provide supply management in the following subjects;

Project visibility - communication design

Social media management

Event management

PR and Media relations

Communication activities will be maintained from different channels throughout the project implementation process and the process will be managed in close coordination with the EU. The tools will be used during the project with the support of suppliers and with the coordination of the Communication Specialist in the Project Implementation Unit to reach the project communication goals.

**Dissemination Process** of visibility materials will take place through two channels: one for project activities that will be implemented directly by PIU/MoIT and one for those by contracted Community Implementing Partners (CIPs):

**Event Management**

It is important that the activities to be organized during the project reach the target audience in terms of communication goals, and in accordance with the EU visibility principles Within this framework, suppliers to be selected by the Project Implementation Unit will support followings;

In determining the time, place and conditions of the event correctly;

Enabling participants to attend, invite, welcome, host and participate in the event;

Reporting,

Facilitating communication by taking part in issues such as promotional materials and procurement of event materials.

**PR and Media Relations Management**

Access to the target audience is important in terms of the communication objectives of the project. In this context, media tools are important for the messages to reach the target audience correctly. In this framework, it is important to establish a healthy communication line between the project and media institutions during the project. The Project Implementation Unit will contribute to the project objectives by keeping this important communication channel alive with regular press releases, information notes, and press invitations.

TDAs will also manage the GRM at the regional level, and support implementation of the Communications and Visibility Plan working with and ensuring the collaboration of local authorities.

FINANCIAL RESOURCES

|  |  |
| --- | --- |
|  | BUDGET (Euro) |
| Information campaign for outreach to potential/current social entrepreneurs | 100,000 |
| Opening and Closing Ceremonies | 50.000 |
| Awareness-raising events (e.g. conferences/festivals) on social entrepreneurship, including to support the development of business alliances | 220,000 |
| Community engagement events for livelihoods-related facilities to inform communities (refugees and host communities), local authorities and the media | 205,000 |
| Documentary series: Videos of social entrepreneurship to inform the public about the success stories of the selected enterprises in each province | 180,000 |
| Visibility | 130,000 |
| Recruitment of a consultant for PIU as Communications Specialist | 96,000 |
|  |  |
| TOTAL BUDGET: 981,000 EUR | |

**ANNEX 7: INDICATOR DESCRIPTIONS**

**Indicator Descriptions**

* + - 1. Indicator descriptions and details on each indicator in the results framework described in the Annex

It is divided into PDO level indicators and indicators for each subcomponent (i.e. implementation indicators).

1. **PDO indicators**

* PDO1: Percentage of beneficiaries (social entrepreneurs and employees) whose earnings have increased as a result of project interventions.
* PDO2: Percentage of beneficiaries reporting that access to project-supported livelihoods facilities enables their participation in social enterprises.
* PDO3: Percentage of refugees and host community beneficiaries reporting that project activities have improved cooperation between refugees and host communities.
* PDO4: Percentage of project-supported social entrepreneurs reporting that: (a) support services; (b) subgrants, meet their needs.
* PDO5: Total number of refugee and host community members supported under the project.

These are defined below.

| **INDICATOR PDO.1: Percentage of beneficiaries (social entrepreneurs and employees) whose earnings have increased as a result of project interventions.** |
| --- |
| **Description**: This indicator measures whether the livelihood opportunities offered by the project for both social entrepreneurs and their employees have increased their earnings supported through the project (reported by CIP) |
| **Methodology and source of information:** Data will be collected through surveys (baseline, mid-project, end of project evaluation) which will be implemented to all the beneficiaries before, during and after all incubation and acceleration cycles. |
| **Method of Calculation:** This indicator will be calculated from the surveys.  A survey of all beneficiaries will be completed. The baseline, mid-project and endline surveys will include baseline measures of an estimate for the beneficiary’s monthly earnings.  The indicator should be calculated using the survey data from these midline and endline surveys. The surveys should ask whether respondents are aware of the specific project investments.   * The numerator is the no. of (i) total (ii) female and (iii) male respondents who report in the midline and endline report an increase in their monthly income * The denominator is the (i) total (ii) female and (iii) male respondents who are benefiting from the project |
| **Frequency and reporting:** Midline and Endline |
| **Means of Verification:** Project surveys |
| **Target:** By the end of the project the expected value is 70%. |
| **Disaggregation:** The survey data will be disaggregated by gender and youth, refugees/host community members and location |

| **INDICATOR PDO.2: Percentage of beneficiaries reporting that access to project-supported livelihoods facilities enables their participation in social enterprises.** |
| --- |
| **Description**: This indicator measures beneficiary feedback measures whether the support for livelihoods facilities better enables women (and youth) to engage in livelihood opportunities |
| **Methodology and source of information:** Data will be collected through periodic citizen perception surveys (baseline, mid-project, end of project evaluation) and interactive community scorecard tool. It is important that no leading or highly technical questions be asked. |
| **Method of Calculation:** This indicator will be calculated from surveys and scorecards.A survey of randomly selected respondents will be completed. The survey will include questions about their access to project supported facilities and their participation in social enterprise.  The indicator should be calculated using the survey data from these midline and endline surveys. The surveys should ask whether respondents are aware of the specific project investments.   * The numerator is the no. of (i) total (ii) female and (iii) male respondents who report in the midline and endline report that access to project-supported livelihoods facilities enables their participation in social enterprises. * The denominator is the (i) total (ii) female and (iii) male respondents who had access to project-supported livelihoods facilities. |
| **Frequency and reporting:** Annual,baseline, mid-project, end project |
| **Means of Verification:** The surveys and scorecards will probe respondents about their level of level of participation in social enterprises and their perceptions of whether access to project supported facilities have an effect on their participation |
| **Target:** By the end of the project the expected value is 70%. |
| **Disaggregation:** The data will be disaggregated by gender, youth, location and refugees/host community members. |

| **INDICATOR PDO.3: Percentage of refugees and host community beneficiaries reporting that project activities have improved cooperation between refugees and host communities.** |
| --- |
| **Description**: This indicator measures the beneficiary feedback on whether project activities contribute to greater cooperation in the community (one measure of social cohesion). “Cooperation” is defined by communities in initial community meetings for Component 2. |
| **Methodology and source of information:** Data will be collected through scorecards and project surveys |
| **Method of Calculation:** This indicator will be calculated from scorecards and surveys. The scorecards will ask men and women whether that project activities have improved cooperation between refugees and host communities. They will be asked whether they believe they have better cooperation when compared with the past.   * The numerator is no. of (i) total (ii) female and (iii) male respondents who report that their cooperation with host/refugee population has been enhanced as a result of project support. * Denominator is the total number of (i) total (ii) female and (iii) male respondents who complete this question on the scorecard. |
| **Frequency and reporting:** Each cycle; Baseline, Mid-Line, End-Line |
| **Means of Verification:** The surveys and scorecards will probe respondents about their level of level of cooperation and their perceptions of whether access to project supported their cooperation with host/refugee population |
| **Target:** By the end of the project the expected value is 50%. |
| **Disaggregation:** disaggregated by refugees/host communities, location, gender, youth |

| **INDICATOR PDO.4: Percentage of project-supported social entrepreneurs reporting that: (a) support services; (b) subgrants, meet their needs** |
| --- |
| **Description**: This indicator measures perception on whether project-supported entrepreneurs view project activities as relevant and meeting their needs |
| **Methodology and source of information:** Interactive community scorecard; beneficiary survey |
| **Method of Calculation:** This indicator will be calculated from scorecards and surveys. The scorecards will ask men and women whether the support services provided by the project meet needs.   * The numerator is no. of (i) total (ii) female and (iii) male respondents who report that support services provided by the project meet their needs. * Denominator is the total number of (i) total (ii) female and (iii) male respondents who complete this question on the scorecard. |
| **Frequency and reporting:** Each cycle; Baseline, Mid-Line, End-Line |
| **Means of Verification:** Community scorecards and the baseline/midline/endline beneficiary surveys. The surveys and scorecards will probe respondents about their perceptions of whether support services provided by the project meet their needs and that project activities are relevant. |
| **Target:** By the end of the project the expected value is (a) 50%, (b) 50%. |
| **Disaggregation:** Data is disaggregated by refugees/host communities, location and gender, youth |

| **INDICATOR PDO.5: Total number of refugee and host community members supported under the project** |
| --- |
| **Description**: This indicator measures the total number of beneficiaries of project activities under Components 1 and 2; includes SE trainees and subgrantees, employees and users of livelihood facilities |
| **Methodology and source of information:** MIS, CIP Monitoring Reports |
| **Method of Calculation:** This indicator will be calculated from CIP monitoring report and through MIS |
| **Frequency and reporting:** Annual |
| **Means of Verification:** Review of project monitoring reports will provide the information |
| **Target:** By the end of the project the expected value is 19,000. |
| **Disaggregation:** Data is disaggregated by refugees/host communities, location, gender, youth |

1. **Intermediate-level indicators**
   * + 1. Intermediate-level indicators for Component 1 include:

* IR 1.1 Number of beneficiaries supported by the project receiving training to incubate or accelerate SE startups
* IR 1.2 Number of project-supported SEs: (a) incubated; (b) accelerated
* IR 1.3 Number of refugee and host community members employed in project-funded SEs
* IR 1.4 Number of responsible business sourcing alliances established with project support

These are defined below.

| **INDICATOR IR 1.1: Number of beneficiaries supported by the project receiving training to incubate or accelerate SE startups** |
| --- |
| **Description**: Measures the number of participants in the support services that receive SE incubation or acceleration training/coaching support for SE development. |
| **Methodology and source of information:** Data will be collected through the review of project monitoring reports and MIS |
| **Method of Calculation:** This indicator will be calculated from project monitoring reports and MIS |
| **Frequency and reporting:** Semi-annual |
| **Means of Verification:** review of project monitoring reports and MIS |
| **Target:** By the end of the project the expected value is 4,400; at least 50 percent beneficiaries of training to be refugees. |
| **Disaggregation:** Data is disaggregated by refugees/host community members; gender; youth; location |

| **INDICATOR IR 1.2 Number of project-supported SEs: (a) incubated; (b) accelerated** |
| --- |
| **Description**: Measures the number of SEs incubated or accelerated through project support |
| **Methodology and source of information:** Data will be collected on MIS |
| **Method of Calculation:** This indicator will be calculated using data from MIS |
| **Frequency and reporting:** Semi-annual |
| **Means of Verification:** Review of project monitoring reports |
| **Target:** By the end of the project the expected value is (a) 3350 (b) 320;  of which, more than 2230 refugee beneficiary SEs |
| **Disaggregation:** data is disaggregated by refugees/host community member SEs; gender; youth; location |

| **INDICATOR IR 1.3 Number of refugee and host community members employed in project-funded SEs** |
| --- |
| **Description**: Measures the number of people (in addition to the subgrantees) who join project-supported SEs to support their livelihoods SEs. |
| **Methodology and source of information:** Data will be collected from MIS and survey results |
| **Method of Calculation:** Information on the number of refugee and host community members employed in project-funded SEs will be collected through surveys |
| **Frequency and reporting:** Semi-annual; Baseline, Mid-Line, End-line |
| **Means of Verification:** through review of project monitoring reports, data on MIS and surveys of SEs supported by the project. |
| **Target:** By the end of the project the expected value is 2,000 |
| **Disaggregation:** data is disaggregated by gender and refugee/host community, employed and self-employed, location. |

| **INDICATOR IR 1.4 Number of responsible business sourcing alliances established with project support** |
| --- |
| **Description**: Measures the number of companies engaged in responsible sourcing alliances developed under the project (assumes an average of 3 alliances per project TDA linked to size of allocation) |
| **Methodology and source of information:** Data will be collected from MIS. |
| **Method of Calculation:** Information on the number of responsible business sourcing alliances established with project support will be collected and saved in MIS |
| **Frequency and reporting:** Semi-annual |
| **Means of Verification:** through review of project monitoring reports, data on MIS. |
| **Target:** By the end of the project the expected value is 20 |
| **Disaggregation:** data is disaggregated by location |

* + - 1. Indicators for Component 2 include:
* IR 2.1: Percentage of local authorities utilizing project funds to establish livelihoods facilities requested jointly by refugees and host communities
* IR 2.2: Number of livelihood-facilities supported by the project (e.g. maker-spaces, co-worker spaces, child care facilities) that meet agreed criteria
* IR 2.3: Number of refugee and host community members utilizing livelihoods facilities supported by the project
* IR 2.4 Percentage of local authorities (a) producing timely feasibility plans for livelihood-related facilities, and (b) including the project-supported facility on their annual O&M budget
* IR 2.5 Percentage of livelihoods facilities operated/managed by project-supported social enterprises

These are defined below.

| **INDICATOR IR 2.1: Percentage of local authorities utilizing project funds to establish livelihoods facilities requested jointly by refugees and host communities** |
| --- |
| **Description**: This indicator measures whether local authorities (municipalities and Governors’ offices) acted on joint community decisions for livelihoods facilities |
| **Methodology and source of information:** Data will be collected fromproject monitoring reports. Total number of local authorities is an official data and will be saved in MIS. |
| **Method of Calculation:** The indicator takes a ratio:   * Numerator: the number of local authorities utilizing project funds to establish livelihoods facilities requested jointly by refugees and host communities * Denominator: total number of local authorities |
| **Frequency and reporting:** Semi-annual |
| **Means of Verification:** Project monitoring reports |
| **Target:** By the end of the project the expected value is 90% |
| **Disaggregation:** data will be disaggregated by location |

| **INDICATOR 2.2: Number of livelihood-facilities supported by the project (e.g. maker-spaces, co-worker spaces, child care facilities) that meet agreed criteria** |
| --- |
| **Description**: Measures the number of livelihoods facilities that meet the project ToRs |
| **Methodology and source of information:** Data will be collected fromproject monitoring reports and MIS |
| **Method of Calculation:** The indicator takes a ratio:   * Numerator: the number of livelihood-facilities supported by the project that meet agreed criteria * Denominator: total number of livelihood-facilities supported by the project |
| **Frequency and reporting:** semi annual |
| **Means of Verification:** Project monitoring reports |
| **Target:** By the end of the project the expected value is 70 |
| **Disaggregation:** data is disaggregated by location |

| **INDICATOR 2.3: Number of refugee and host community members utilizing livelihoods facilities supported by the project** |
| --- |
| **Description**: This indicator measures the number of people utilizing livelihoods facilities; includes all users of livelihoods facilities, including and beyond component 1 beneficiaries |
| **Methodology and source of information:** criteria will be developed to assess whether a particular project addresses climate change adaptation or mitigation. This will be recorded during the planning stage (for each project). This information will be self-reported by each village in a project planning database. |
| **Method of Calculation:** Results of project surveys will be used to calculate this indicator. |
| **Frequency and reporting:** Baseline, Mid-line, End-line |
| **Means of Verification:** Review of project monitoring reports |
| **Target:** By the end of the project the expected value is 11,000 |
| **Disaggregation:** data is disaggregated by gender, youth, location |

| **INDICATOR IR 2.4 Percentage of local authorities (a) producing timely feasibility plans for livelihood-related facilities, and (b) including the project-supported facility on their annual O&M budget** |
| --- |
| **Description**: Measures timeliness, sustainability and institutionalization of livelihoods investments by local authorities (municipalities and Governors’ offices) |
| **Methodology and source of information:** The data for this indicator will be collected through MIS |
| **Method of Calculation:** The indicator takes a ratio:   * Numerator: The numerator is no. of local authorities (a) producing timely feasibility plans for livelihood-related facilities, and (b) including the project-supported facility on their annual O&M budget * Denominator: total number of local authorities participating in the project |
| **Frequency and reporting:** Semi-annual |
| **Means of Verification:** Review of project monitoring reports |
| **Target:** By the end of the project the expected value is(a) 100% (b) 100% |
| **Disaggregation:** data is will be disaggregated by location |

| **INDICATOR IR 2.5 Percentage of livelihoods facilities operated/managed by project-supported social enterprises** |
| --- |
| **Description**: Measures whether local authorities enable Social Enterprises to manage the facilities (e.g. kitchens, maker spaces) that the project invested in |
| **Methodology and source of information:** The data for this indicator will be collected through MIS |
| **Method of Calculation:** The indicator takes a ratio:   * Numerator: The numerator is no. of livelihoods facilities operated/managed by project-supported social enterprises * Denominator: total number of livelihoods facilities supported by the project |
| **Frequency and reporting:** Semi-annual |
| **Means of Verification:** Review of project monitoring reports |
| **Target:** By the end of the project the expected value is 35% |
| **Disaggregation:** data is will be disaggregated by location |

* + - 1. Indicators for Component 3 include:
* IR 3.1: Number of MoIT, TDA and other national/local stakeholders trained in social entrepreneurship and other project functions
* IR 3.2: Development of social enterprise strategy and policy recommendations
* IR 3.3: Number of learning and capacity building events held on project-related topics

| **INDICATOR 3.1: Number of MoIT, TDA and other national/local stakeholders trained in**  **social entrepreneurship and other project functions** |
| --- |
| **Description**: This indicator measures the number of learning and capacity building events as a of those planned |
| **Methodology and source of information:** The data for this indicator will be collected through MIS |
| **Method of Calculation:** The indicator counts the total number of MoIT, TDA and other national/local stakeholders trained in social entrepreneurship and other project functions |
| **Frequency and reporting:** Semi-annual |
| **Means of Verification:** Review of project monitoring reports |
| **Target:** By the end of the project the expected value is 400 |
| **Disaggregation:** Data is disaggregated by location, topic, management level of participants, type of institution |

| **INDICATOR 3.2 Development of social enterprise strategy and policy recommendations** |
| --- |
| **Description**: This indicator measures level of completion of MoIT support to a social enterprise enabling framework in Turkey. |
| **Methodology and source of information:** The data for this indicator will be collected through MIS |
| **Method of Calculation:** The indicator checks the development of social enterprise strategy and policy recommendations |
| **Frequency and reporting:** Annual |
| **Means of Verification:** Review of project monitoring reports |
| **Target:** By the end of the project it is expected that Final report prepared and dissemination workshops held. |
| **Disaggregation:** NA |

| **INDICATOR IR 3.3: Number of learning and capacity building events held on project-related topics** |
| --- |
| **Description**: This indicator measures commitment to capacity building |
| **Methodology and source of information:** The data for this indicator will be collected through MIS |
| **Method of Calculation:** The indicator counts the total number of learning and capacity building events held on project-related topics |
| **Frequency and reporting:** Annual |
| **Means of Verification:** Review of project monitoring reports |
| **Target:** By the end of the project the expected value is 25 |
| **Disaggregation:** data will be disaggregated by location |

**ANNEX 8: LIST OF INELIGIBLE SUBPROJECTS**

1. Commercial activities regarding habitats and products, which are prohibited within the framework of CITES Convention
2. Release of genetically modified organisms to wildlife
3. Production, distribution and sales of prohibited pesticides (that fall under the World Health Organization’s Recommended Classification of Pesticides by Hazard Classes 1a (extremely hazardous) and 1b (highly hazardous), or Annexes A and B of the Stockholm Convention, or restricted by Government of Turkey) and herbicides
4. Trawl fishing
5. Radioactive products
6. Hazardous waste storage, processing and disposal
7. Production of equipment and materials containing CFC, halone and other substances regulated under Montreal Protocol
8. Manufacturing of electrical equipment containing more than 0.005% PCB (polychlorinated biphenyls) in weight
9. Manufacturing of asbestos containing products
10. Nuclear reactors and parts
11. Processes or unprocessed tobacco, and tobacco processing machinery
12. Involves the significant conversion or degradation of critical natural habitats
13. Will significantly damage non-replicable cultural property
14. Involuntary land acquisition and any activity on land or affecting land that has disputed ownership, tenure or user rights
15. Any activity on land that is considered dangerous due to security hazards or the presence of unexploded mines or bombs
16. Weapons including (but not limited to), mines, guns and ammunition
17. Any activity that will support drug crop production or processing of such crops
18. Activities involving child and forced labor
19. Activities that pose adverse impacts on any natural and critical habitats with respect to ESS6 and cultural resources with respect to ESS8

**ANNEX 9: GRIEVANCE FORM**

**Date:** ../../…. (day/month/year) Grievance Register Location: ……

**Grievance Number**: ……..

**Status:** Confidential / Not

**Complaints Points (Please circle the appropriate box)**

Phone Website Email Social Media Field Activities

**Complainant Information:**

**Name (**Optional)**:** …….. **Gender:** ……….

**Address:** ………… **Email:** ………..

**Mobile Number:** ………. **Citizenship: ……**

**Complaint Location**

**City / District:** ……..

**Category of Complainant (Please circle the appropriate box)**

1. Project Beneficiaries
2. CIPs
3. DAs
4. Subcontractor/Service Provider
5. Other relevant Person (Please Specify)

**Details of Complaints:**

**……………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………….**

**Prepared by:** ………………. **Date: ../../…. (**day**/**month**/**year**)**

**Signature:** ……………..

**ANNEX 10: GRIEVANCE CLOSURE FORM**

**Village / Town / City:** ……..

1. **Complaint No:**
2. **Name of Complainant:**
3. **Date of Complaint:**
4. **Complaint Summary:**

………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………..

1. **Correction Summary:**

………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………………..

1. **Correction Method (Please circle the appropriate box)**

**Internal Correction Stakeholder Engagement Referral Not Appropriate**

1. **Correction Result (Please circle the appropriate box)**

**Successful Unsuccessful – Redirecting Unsuccessful – Closure Not Appropriate**

1. **Date of Complaint Correction: …/…/….. (**day**/**month**/**year**)**

**ANNEX 11: GRIEVANCE MECHANISM SYSTEM LOG**

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **NO.** | **DATE** | **NAME** | **CONTACT INFORMATION** | **COMPLAINT ADDRESS** | **COMPLAINT POINT** | **COMPLAINT TOPIC** | **CORRECTION MECHANISM** | **CORRECTION DATE** | **NOTIFICATION TO COMPLAINTS** | **RESPONSIBLE PERSON** | **EXPLANATION** | **STATUS** |
| 1 |  |  |  |  |  |  |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |  |  |  |  |  |  |
| 3 |  |  |  |  |  |  |  |  |  |  |  |  |
| 4 |  |  |  |  |  |  |  |  |  |  |  |  |
| 5 |  |  |  |  |  |  |  |  |  |  |  |  |
| 6 |  |  |  |  |  |  |  |  |  |  |  |  |
| 7 |  |  |  |  |  |  |  |  |  |  |  |  |
| 8 |  |  |  |  |  |  |  |  |  |  |  |  |
| 9 |  |  |  |  |  |  |  |  |  |  |  |  |
| 10 |  |  |  |  |  |  |  |  |  |  |  |  |

**ANNEX 12: DRAFT TOR FOR BASELINE EVALUATION**

**DRAFT TOR BASELINE SURVEY**

1. **Project Overview**

Social Entrepreneurship, Empowerment and Cohesion in Refugee and Host Communities in Turkey Project is a project implemented by Ministry of Industry and Technology (MoIT) administered by the World Bank and financed by the European Union.

The proposed project of 39.5 Million EUR aims to support women and youth within refugee and host communities’ transition into sustainable economic opportunities and increased social cohesion through the micro-grant support provided by the selected 5 Development Agencies (DAs) covering 11 provinces (Adana, Mersin, Gaziantep, Adıyaman, Kilis, Mardin, Hatay, Osmaniye, Kahramanmaraş, Diyarbakır, and Şanlıurfa), where vulnerable refugee reside the most. The project (i) expands economic opportunities for mostly women refugee and host communities through support for social enterprises and vital livelihoods facilities; (ii) improve social cohesion among refugees and host communities through enterprise development and participatory engagement in livelihoods facilities.

The project will be implemented through three components, namely as (i) Social Entrepreneurship for Women and Youth in Refugee and Host Communities, (ii) Community Livelihoods-related Facilities in Refugee and Host Communities and (iii) Institutional Capacity Strengthening and Project Management.

Component 1 will finance activities to support social entrepreneurship in refugee and host communities in the target provinces. The project defines a social enterprise to include profit-making businesses that prioritize social or environmental impact while reinvesting profit primarily in their mission and/or benefitting target social groups through employment or other activities that may increase their income. For the purposes of the project, this includes, inter alia, businesses that are established with the mission of employing, or self-employing, refugees and other vulnerable members of the community (e.g. disabled, at-risk youth, etc.).

This component will directly benefit those receiving startup support services, subgrants, and employment in social enterprises; indirect beneficiaries are the buyers of goods and users of services provided by the social enterprises. Subcomponent 1A will finance support services for social entrepreneurs and Subcomponent 1B will fund subgrants for the incubation or acceleration of social enterprises. The elements of this approach aim to maximize the potential for success of the project-supported social enterprises and enables the participation of less-privileged women and youth in social entrepreneurship.

In order to develop sustainable microenterprises, women (and other vulnerable) social entrepreneurs supported under Component 1 will need to access a range of supporting facilities. The development and survival of the business is not only a function of business and technical skills; women face a number of other constraints to their successful engagement in livelihood opportunities. While some of these are addressed in Component 1 through support services (training, mentoring, and coaching), others require local community-level, small-scale investments, without which social enterprises will flounder and/or be unsustainable, and social cohesion outcomes will not be achieved.

While the neighborhoods in the local authorities covered by the project are generally provided with basic services and infrastructure (such as roads, water, sewerage, and solid waste management), other services that would support women’s participation in social enterprises are either unavailable or only partially available in most of the project locations. Such services include childcare facilities or kindergartens, access to community-based workshop facilities or maker-spaces, and access to local marketplaces.

To address these gaps in facilities, support the efforts of refugee and host community women to earn income, and promote dialogue and engagement of refugees, host communities, and municipal authorities around social enterprises, component 2 will finance: (i) the capacity building and facilitation activities for refugees and host communities to engage in participatory decision-making processes over local needs and priorities for livelihoods-related facilities under Subcomponent 2A; and (ii) the cost of establishing/renovating selected livelihoods-related facilities under Subcomponent 2B.

The implementation of the proposed project will follow World Bank Policies and EU Requirements. Component 3 will finance project management, monitoring & evaluation, and communications (and visibility) as well as the targeted capacity building of national (MoIT, TDAs) and local actors (local authorities, NGOs, other stakeholders) to strengthen their capabilities to support women’s livelihoods development in this project and in the future.

1. **Objectives of the Assignment**

MOIT invites eligible consulting firms (“Consultants”) for the expression of their interest in providing the Services. Interested Consultants should provide information demonstrating the required qualifications and relevant experience in performing data collection and analysis for “Baseline Evaluation Survey”to inform the SEECO monitoring and evaluation efforts.

The survey will be utilized to assess project progress and results based on SEECO results framework indicators.

The quantitative household and informant survey will reflect the SEECO results framework indicators and assess key household and local leaders’ perceptions and characteristics. Questions will probe respondents on their assets, access to services, shocks and risks, coping mechanisms and their perceptions of the project, local governance and social cohesion.

It is expected that the selected company will conduct the baseline survey with the focus on all TDA coverage areas.

1. **Scope of Services**

During the assignment the Consultant shall closely work with the staff of SEECO and take into account their recommendations.

In order to achieve the objectives, the Consultant will be responsible for the following tasks:

1. Development of the survey work plan and data collection strategy;
2. Development of a detailed COVID-19 contingency plan;
3. Finalizing baseline survey sampling strategy and survey tools in consultation with MOIT;
4. Translating the questionnaire from English into Turkish;
5. Preparing survey materials, including the interviewer manual;
6. Development of CAPI (Computer Assisted Personal Interview) system and relevant data cleaning programs, in consultation with the World Bank
7. Conducting training workshops for field staff (supervisors and interviewers)
8. Piloting tools and its update them according to the findings of pilot surveys
9. Undertaking CAPI interviews in target areas in accordance with the survey design, methodology, sampling, data collection, and COVID-19 contingency plans
10. Use the online platform to inform communities about the Baseline Survey and disseminate results of the Baseline Survey.
11. Ensure proper CAPI system and data cleaning programs
12. Conduct data quality assessment and data cleaning, and provide brief technical report
13. Conduct data analysis and prepare final report, including the key findings of the survey and baseline measures according to the SEECO results framework indicators, a summary of lesson learnt, suggestions for improving future survey and detailed explanation on unfilled questionnaire and problematic questions;
14. Translating the report from English to Turkish.
15. **Expected Deliverables**

|  | **Task** | **Deliverable** | **Timeline** |
| --- | --- | --- | --- |
| **Stage 1** | **Sampling strategy**: | Data collection plan and Sampling Strategy | 3 weeks after contract signing |
| **Stage 2** | **Questionnaire preparation and translation**: | Questionnaires in English, Turkish | 4 weeks after contract signing |
| **Stage 3** | **COVID-19 Contingency Plan:** developing a detailed COVID-19 contingency plan to undertake the survey based on the agreed time period and current risk environment and restrictions.  This may include budgeting for personal protective equipment for enumerators/data collection and other measures as appropriate based on occupational safety and health guidelines. | COVID-19 Contingency Plan | 4 weeks from the contract signing date |
| **Stage 4** | **Piloting**: piloting of the questionnaire to ensure accurate data collection, and sharing the resulting pilot data for review and clearance | Technical report on the pilot surveys | 6 weeks from the contract signing date |
| **Stage 5** | **Data collection**: implementing data collection for the baseline survey using the CAPI system covering an estimated XXX households … | Technical report on completed field work | 11 weeks from the contract signing date |
| **Stage 6** | **Compiling datasets**: After the first week of data collection is complete, raw concatenated datasets on Component A areas should be shared for quality review. Please note that the data quality and consistency is the responsibility of the selected organization. Immediately after the full survey datasets has been collected, a raw, unprocessed version of the data will be shared. The selected organization will then undertake cleaning (using a reproducible process, preferably in Stata syntax) of the resulting dataset for any identified data quality issues that can be addressed. The syntax files and related cleaned data files will be shared with MOIT within two weeks of survey completion, as well as complete descriptions of any changes made. In the cleaned version of the data, the selected firm will include full documentation of the data, approach, and replication files. | Databases in (1)Excel and (ii) SPSS or Stata format | 3 weeks after completion of the data collection |
| **Stage 7** | **Final baseline evaluation report**: finalizing a baseline evaluation report on Component A areas capturing the key results of the survey and to ensure baseline measures are taken for all SEECO results framework indicators of relevance. This would also include any lessons/experience/recommendations for follow-up on mid-line and end-line evaluation approach and methods.  The final report should be in English and Turkish. | Final baseline evaluation report with the relevant attachments | 4 weeks after submission of compiling datasets |

1. **Institutional arrangements**

The PIU will be responsible for managing the process of revision and approval of documents and materials according to the stages, deliverables, and timeline indicated above. All required documents should be provided to the PIU in hard (except for database) and electronic formats according to the agreed deadlines.

1. **Reporting and approval procedure**

The Consultant shall report to Project Coordinator in the PIU and work in close coordination with the TDAs.

Before proceeding to the next stage, all deliverables shall be approved by the PIU Project Coordinator.

1. **Client’s Contribution**

The PIU will provide the Consultant with relevant information and will coordinate and organize its activity to accomplish this assignment. Office space and equipment are not provided under the contract, as well as visits to government bodies will be organized by the Consultant. The consultant will strictly comply with the approved plans for organizing and conducting the survey. If necessary, the Consultant will participate in the discussion of the results of the survey.

1. **Timing**

The assignment period is 4 months from the date of the contract signing

1. **Payment schedule**

| **Timeline** | **Deliverable** | **Payment** |
| --- | --- | --- |
| 2 weeks after contract signing | Data collection plan and Sampling Strategy | 15% |
| 3 weeks after contract signing | Questionnaires in English, Turkish | 10% |
| 4 weeks from the contract signing date | COVID-19 Contingency Plan | 10% |
| 6 weeks from the contract signing date | Technical report on the pilot surveys | 15% |
| 10 weeks from the contract signing date | Technical report on completed field work | 10% |
| 2 weeks after completion of the data collection | Databases in (1)Excel and (ii) SPSS or Stata format | 10% |
| 4 weeks after submission of compiling datasets | Final baseline evaluation report with the relevant attachments | 30% |

1. **Qualification Requirements and Selection Criteria**

The Consultant shall comply with the following requirements (Request for Expression of Interest stage) :

* Minimum 5 years of experience conducting household surveys in Turkey, direct experience in conducting surveys in the areas of assessment of social-economic development projects including assessing local institutions and local self-governance, delivery municipal and social services water, sanitation and hygiene and electricity, community or youth development, social accountability in the past three years - 20 scores
* Experience with carrying out surveys under projects financed by donor agencies in Turkey such as World Bank, USAID, DFID, SDC, UNDP, other UN agencies - 20 scores
* Experience in conducting surveys in rural and remote areas of Turkey and experience in conducting surveys among key formal and informal leaders, vulnerable or marginalized groups in the communities – 25 scores
* Direct experience in managing at least five multi-province household surveys in Turkey using CAPI - 15 scores
* Direct experience as a firm in conducting a comparable large scale (minimum 2,000 respondents) household survey - 20 scores.

**Criteria for assessment of the Consultant’s technical proposal :**

1. Methodology and Work Plan…………………………………20%
2. Work experience and qualifications of key staff member…………….80%

**Required key staff members**

* **Research Leader: 25**

***Qualification:***

Masters in Sociology/Anthropology/Philosophy/Statistics

***Experience:***

At least ten years in impact evaluation;

Lead a minimum of five baseline and/or endline assessment, impact evaluation within the last ten years;

Proven skills in designing survey methods and managing survey processes;

Diplomacy for all interactions with international/ national officials and rural communities;

Flexibility and adaptability to plan, take initiative and organize work independently;

Language proficiency in English, Turkish

Proven experience in using SPSS, Stata, or R.

* **Research Expert: 20**

***Qualification:***

Masters in relevant social sciences and advanced statistics/mathematical analysis.

***Experience:***

At least five years of experience in impact assessment;

At least five years of experience in surveys using qualitative and quantitative methods;

At least five years of experience in policy assessment or evaluation of the project in socio-economic development sector;

Knowledge of multidimensional statistical methods and analysis;

Proven experience in using SPSS, Stata, or R;

Advanced proficiency in English, Turkish

* **Analyst: 20**

***Qualification:***

Bachelors in relevant social sciences and statistics/ mathematical analysis.

***Experience:***

At least 5 years in surveys;

of proven experience on analytical reports writing,

Knowledge of quantitative and qualitative data analyses instruments,

Knowledge of statistical methods and analysis,

Ability to clearly present findings,

Draw practical conclusions and make recommendations,

Proven experience in using SPSS, Stata, or R.

Advanced proficiency in English, Turkish

* **Field and Data Cleaning Supervisor: 15**

***Qualification:***

Bachelors in relevant social sciences and statistics.

***Experience:***

At least 3 years of experience in conducting surveys in rural areas;

At least 3 years of experience in supervising data collection work in Turkey;

Knowledge of data quality assessment and data control in quantitative and qualitative research;

Knowledge of CAPI interviews technologies

Proven experience in using SPSS, Stata, or R

**Required non-key staff members**

* **Enumerators, approximately 10 persons / Data collection staff:**

***Qualification*:**

Bachelors in social sciences.

***Experience:***

At least 2 years of experience in data collection;

At least two years of experience in conducting interviews for quantitative and qualitative surveys (individual contract);

Focus-Group Discussion (FGD), Key Informants Interview (KIIs), detailed interview);

Knowledge of CAPI interviews technologies

Consultant will be selected in accordance with the **Consultants Qualification Selection Method.**

**ANNEX 13. DRAFT AUDIT TORS**

***SAMPLE***

**TERMS OF REFERENCE FOR AUDIT**

**OF WORLD BANK FINANCED PROJECTS**

1. **BACKGROUND**

<*Provide the following information on the project*:

* + *Development objectives;*
  + *Size and implementation arrangements;*
  + *Recipient(s) of the Bank financing;*
  + *Co-financiers; the entity engaging the auditor, if acting on behalf of the recipient; implementing agency; and*
  + *The accounting period to be covered by the audit*.>

1. **OBJECTIVE OF THE PROJECT AUDIT**

The objective of the audit of the Project Financial Statements (PFSs) is to enable the auditor to express a professional opinion(s) on the financial position of the project at the end of each fiscal year, and on funds received and expenditures incurred for the relevant accounting period.

The project books of accounts provide the basis for preparation of the PFSs by the project implementing agency and are established to reflect the financial transactions in respect of the project. The implementing agency maintains adequate internal controls and supporting documentation for transactions.

1. **PREPARATION OF ANNUAL FINANCIAL STATEMENTS**

The responsibility for the preparation of financial statements including adequate disclosure is that of the implementing agency. The agency is also responsible for the selection and application of accounting policies. The agency would prepare the PFSs in accordance with <*state here the applicable accounting standards*>.

The auditor is responsible for forming and expressing opinions on the financial statements. The auditor would carry out the audit of the project in accordance with the International Standards on Auditing (ISA), as promulgated by the International Federation of Accountants (IFAC). As part of the audit process, the auditor may request from the implementing agency written confirmation concerning representations made in connection with the audit.

**4. SCOPE OF THE AUDIT**

As stated above, the audit of the project will be carried out in accordance with International Standards on Auditing (ISA) promulgated by the International Federation of Accountants (IFAC), and will include such tests and auditing procedures as the auditor will consider necessary under the circumstances. Special attention should be paid by the auditor as to whether the:

(a) World Bank financing (and all external financing where the World Bank is not the only financier) has been used in accordance with the conditions of the relevant financing agreement, with due attention to economy and efficiency, and only for the purposes for which the financing was provided – please see <*state here clearly the* r*elevant financing agreements>.*

(b) Counterpart funds have been provided and used in accordance with the relevant financing agreements, with due attention to economy and efficiency, and only for the purposes for which they were provided.

(c) Goods, works and services financed have been procured in accordance with the relevant financing agreements including specific provisions of the World Bank Procurement Policies and Procedures.[[8]](#footnote-8)

(d) All necessary supporting documents, records, and accounts have been maintained in respect of all project activities, including expenditures reported using Statements of Expenditure (SOE) or Interim Unaudited Financial Statements (IFS) methods of reporting. The auditor is expected to verify that respective reports issued during the period were in agreement with the underlying books of account.

1. Designated Accounts (if used) have been maintained in accordance with the provisions of the relevant financing agreements and funds disbursed out of the Accounts were used only for the purpose intended in the financing agreement.
2. National laws and regulations have been complied with, and that the financial and accounting procedures approved for the project (e.g. operational manual, financial procedures manual, etc.) were followed and used.
3. Financial performance of the project is satisfactory.
4. Assets procured from project funds exist and there is verifiable ownership by the implementing agency or beneficiaries in line with the financing agreement.
5. Ineligible expenditures included in withdrawal applications are identified and reimbursed to the Designated Accounts. These should be separately noted in the audit report.

In complying with International Standards on Auditing, the auditor is expected to pay particular attention to the following matters:

1. ***Fraud and Corruption***: Consider the risks of material misstatements in the financial statements due to fraud as required by ISA 240: The Auditor’s Responsibility to Consider Fraud in an Audit of Financial Statements. The auditor is required to identify and assess these risks (of material misstatement of the financial statements) due to fraud, obtain sufficient appropriate audit evidence about the assessed risks; and respond appropriately to identified or suspected fraud.
2. ***Laws and Regulations***: In designing and performing audit procedures, evaluating and reporting the results, consider that noncompliance by the implementing agency with laws and regulations may materially affect the financial statements as required by [ISA 250: Consideration of Laws and Regulations in an Audit of Financial Statements](http://?).
3. ***Governance***: Communicate audit matters of governance interest arising from the audit of financial statements with those charged with governance of an entity as required by International Standards on Auditing 260: Communication of Audit Matters with those Charged with Governance.
4. ***Risks***: In order to reduce audit risk to an acceptable low level, determine the overall responses to assessed risks at the financial statement level, and design and perform further audit procedures to respond to assessed risks at the assertion level as required by Internal Standard on Auditing 330: the Auditor’s Procedures in Response to Assessed Risks.

**5.** **PROJECT FINANCIAL STATEMENTS (PFSs)**

The auditor should verify that the project PFSs have been prepared in accordance with the agreed accounting standards (see paragraph 3 above) and give a true and fair view of the financial position of the project at the relevant date and of resources and expenditures for the financial year ended on that date.

The Project Financial Statements (PFSs) should include:

1. A statement of funds received, showing funds from the World Bank, project funds from other donors and counterpart funds separately, and of expenditures incurred
2. A summary of the activity in the Designated Account
3. A Balance Sheet (if deemed necessary)
4. A Summary of the principal accounting policies that have been adopted, and other explanatory notes
5. A list of material assets acquired or procured to date with project funds

As an Annex to the PFSs, the auditor should prepare a reconciliation of the amounts as “received by the Project from the World Bank”, with those shown as being disbursed by the Bank.

**6.** **STATEMENT OF EXPENDITURES (SOEs)/UNAUDITED INTERIM FINANCIAL REPORTS (IFRs)**

In addition to the audit of the PFSs, the auditor is required to verify all SOEs or IFRs used as a basis for the submission of loan withdrawal applications to the World Bank. The auditor will apply such tests and auditing procedures as considered necessary under the circumstances. Annexed to the PFSs should be a schedule listing individual SOE or IFR withdrawal applications by specific reference number and amount.

The total withdrawals under the SOE or IFR procedures should be part of the overall reconciliation of Bank disbursements described in paragraph 5 above.

**7.** **DESIGNATED ACCOUNT**

In conjunction with the audit of the Project PFSs, the auditor is also required to review the activities of the Designated Account associated with the project. The Designated Account usually comprises:

* Advance deposits received from World Bank;
* Replenishments substantiated by withdrawal applications;
* Interest that may have been earned on the accounts, and which belong to the recipient; and
* Withdrawals related to project expenditures.

The auditor should pay particular attention as to the compliance with the Bank's procedures and the balances of the Designated Accounts at the end of the fiscal year (or period). The auditor should examine the eligibility of financial transactions during the period under examination and fund balances at the end of such a period, the operation and use of the designated accounts in accordance with the relevant general conditions, relevant financing agreements and disbursement letter, and the adequacy of internal controls for this type of disbursement mechanism.

For this Project, the Designated Accounts are referred to in the general conditions, the Financing Agreement (subsection 5.3) and Disbursement Letter (para. I).

The auditor should also examine eligibility and correctness of:

* Financial transactions during the period under review;
* Account balances at the end of such a period;
* The operation and use of the Designated Account in accordance with the financing agreement; and
* The adequacy of internal controls for the type of disbursement mechanism.

**8.** **AUDIT REPORT**

The auditor will issue an opinion on the project financial statements (PFSs). The annual audit report of the project accounts should include a separate paragraph highlighting key internal control weaknesses and non-compliance with the financing agreement terms.

**9.** **MANAGEMENT LETTER**

In addition to the audit report, the auditor will prepare a management letter, in which the auditor will:

1. Give comments and observations on the accounting records, systems and controls that were examined during the course of the audit;
2. Identify specific deficiencies or areas of weakness in systems and controls, and make recommendations for their improvement;
3. Report on the degree of compliance of each of the financial covenants in the financing agreement and give comments, if any, on internal and external matters affecting such compliance;
4. Communicate matters that have come to his/her attention during the audit which might have a significant impact on the implementation of the project;
5. Give comments on the extent to which outstanding issues/qualifications issues have been addressed;
6. Give comments on previous audits’ recommendations that have not been satisfactorily implemented; and
7. Bring to the recipient’s attention any other matters that the auditor considers pertinent, including ineligible expenditures.

Ideally, the management letter should also include responses from the implementing agency to the issues highlighted by the auditor.

**10. AVAILABLE INFORMATION**

The auditor should have access to all legal documents, correspondences, and any other information associated with the project and deemed necessary by the auditor. The auditor will also obtain confirmation of amounts disbursed and outstanding at the Bank. Available information should include copies of the relevant: project appraisal document; financing agreement; financial management assessment reports; supervision mission reports and implementation status reports.

**11. GENERAL**

The financial statements, including the audit report, management letter and management response should be received by the Bank no later than xxxx months after the end of the accounting year to which the audit relates.

The auditor should submit the report to the recipient’s designated agent rather than to any staff member of the project entity. The agent should then promptly forward two copies of the audit report and accompanying statements to the Bank together with the management letter and management response.

It is highly desirable that the auditor becomes familiar with the Bank’s Guidelines on Annual Financial Reporting for World Bank-Financed Activities, June 30, 2003, which summarizes the Bank’s financial reporting and auditing requirements. The auditor should be familiar with World Bank Procurement Guidelines, which can be obtained from the project implementing agency. The auditor should also be familiar with *The* *Disbursement Guidelines for Investment Project Financing* dated February 1, 2017. These documents are available on the Bank’s website and could be obtained from the Task Team Leader.

1. Including the project GRM and how to lodge complaints, if any, and which they can use to report child labor, including anonymous reports. [↑](#footnote-ref-1)
2. The skills set to be provided (based on the findings of the local market assessment and community needs assessments made by the TDAs) through trainings shall be informed to the applicants and that they may/need to attend to such soft skills and business development training/s as a prerequisite for incubation/acceleration subgrant award/s. The preset skills set may be enlarged to address subproject specific training needs as appropriate. [↑](#footnote-ref-2)
3. STEP is an online system to help the World Bank and borrowers plan and track procurement activities under Bank-financed projects. It transforms data into knowledge, speeds up the procurement process, and improves accountability and transparency – driving results for development. [↑](#footnote-ref-3)
4. Except for the first year. [↑](#footnote-ref-4)
5. An interested party for this purpose means an actual Bidder/Proposer/Consultant seeking to obtain the contract at issue. Potential Applicants/ Bidders/Proposers/Consultants are also interested parties in relation to complaints challenging request for bids/request for proposals document, or any other Borrower document requesting bids/Proposals or Applications. [↑](#footnote-ref-5)
6. Please indicate the legal status of the applicant as it reads on the egal registration certificate of the organization/institution. [↑](#footnote-ref-6)
7. E.g. Municipality, Association, etc. [↑](#footnote-ref-7)
8. Depending on the complexity of procurement activities, the auditor may consider involving technical experts during the audit engagement. In cases where such experts are involved, the auditor is expected to comply with provisions of International Standard on Auditing 620: Using the Work of an Expert. Consideration to use of the work of experts should be brought to the early attention of the borrower and the World Bank for mutual agreement and appropriate guidance. [↑](#footnote-ref-8)