



Global Environment Facility Evaluation Office

ASSESSMENT OF PROJECT CYCLES

Technical Paper 4

Part of the **Joint Evaluation of the GEF Activity Cycle and Modalities**, conducted by the GEF Evaluation Office.

Evaluation Component 4: Assessment of project cycles

Not edited

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Table of Contents

	Page
1. Introduction And Background	1
2. Methodology	1
3. Evolution Of The Current GEF Activity Cycle	3
A. The Cycle From The GEF Perspective	3
B. The Cycle From An Executing Agency Perspective—The Case Of ADB	11
C. Recent Developments	13
4. The GEF As A Networked Organization: Cycle Implications	14
5. Mapping Of Agency Steps	15
6. Duration Of GEF Activity Cycle Phases	25
7. Application Of GEF Operational Principles In The Project Cycle	32
8. Conclusions And Recommendations	36
Bibliography	38
 List Of Tables	
1. Summary Mapping of Agency Steps in FSP Processing Cycle	18
2. Elapsed Time for Processing under GEF-2 and GEF-3, Average for All Agencies	27
3a. Elapsed Time for Processing FSPs, All GEF Periods	28
3b. Elapsed Time for Processing MSPs, All GEF Periods	28
4. Comparison of Agency Standard Timeframes with Actual Elapsed Time per Cycle Phase	29
5. Summary of Agency Responses on Importance of GEF Operational Principles	33
 List Of Figures	
1. GEF Project Cycle (2000)	4
2. GEF Project Cycle (2003)	5
3. The GEF Project Cycle as a Timeline	6
4. Evolving Guidelines under the GEFSec Operations Manual, Draft as of February 2006	8
5. Governance and Reporting Structure of the GEF	15
6. IFAD Project Cycle for GEF Financing	20
7. IDB Project Cycle for GEF Financing	22
8. GEF and IFAD Processes in Parallel	23
9. GEF and IDB Processes in Parallel	24
 List Of Boxes	
1. GEF Joint Evaluation Components	1
2. Players in the GEF Projects and Their Roles	2
3. Quality Enhancement Reviews for the GEF	7
 Appendices	
1. Roles of the Implementing and Executing Agencies of the GEF	42

2.	Terms of Reference for Component 4 of the Joint Evaluation	43
3.	Development of Direct Access Policy for Executing Agencies	50
4.	Phase Goals of GEF Implementing Agencies and Executing Agencies	53
4a	GEF Activity Cycle	
4a(i)	GEF Secretariat Operations Manual—Full-Size Projects	56
4a(ii)	GEF Secretariat Operations Manual—Medium-Size Projects	59
4a(iii)	GEF Secretariat Operations Manual—Expedited Enabling Activities	61
4b	African Development Bank Project Cycle	62
4c	Asian Development Bank Project Cycle	68
4d	EBRD Project Cycle	85
4e	FAO Project Cycle	87
4f	IDB Project Cycle	90
4g	IFAD Project Cycle	94
4h	UNDP Project Cycle	98
4i	UNEP Project Cycle	106
4j	UNIDO Project Cycle	107
4k	WB Project Cycle	109
ii:		
5.	Steps and Responsibilities under Agency Cycles in the GEF Network— Full-Size Project	137
6.	Specific Agency Responses on the Importance of Cycle Phases in Achieving GEF Operational Principles	156
7.	Application of GEF Operational Principles in the Agency Project Cycle	158

1. Introduction and Background

This assessment forms one component of a Joint Evaluation of the Global Environment Facility (GEF) Activity Cycle and Modalities undertaken by the 11 members of the GEF family¹. The components are outlined in **Box 1**. The objective of this Component of the Joint Evaluation is to provide a factual overview of the programming processes in the concerned agencies and of GEF's decision points in these project cycles, focusing on quality at entry. This will provide the basis for a comparative analysis of any gaps and synergies between GEF requirements and procedures, on the one hand, and those of the Implementing Agencies (IAs) or Executing Agencies (ExAs) for GEF-cofinanced projects, on the other.

This component report examines the longstanding request from GEF stakeholders to find ways to streamline project processing procedures for both full-size projects (FSPs) and medium-size projects (MSPs). It attempts to understand GEF's complex eligibility requirements and also to identify ways of exploiting potential synergies arising from opportunities for joint implementation by multiple players. **Box 2** presents the various actors in the cycle and their respective roles, as described in the 2003 GEF Project Cycle, which is useful in understanding the later discussions on processing steps and procedures. **Appendix 1** outlines the distinct roles of the IAs and ExAs, also based on the 2003 policies under the Third Replenishment of the GEF Trust Fund (GEF-3).

Box 1: GEF Joint Evaluation Components	
1.	Desk review of the legislative framework
2.	Desk review of evaluations
3.	Review of related initiatives
4.	Review of activity cycles
5.	Exploratory review of delivery modalities
6.	Review of project documentation
7.	Select field visits
8.	Stakeholder survey work
Source: Joint Evaluation TOR.	

2. Methodology

The terms of reference (TOR) prepared by the joint evaluation partners provided the methodological background for this component (**Appendix 2**). This review of activity cycles seeks to document the project development and approval processes in each IA/ExA and how the GEF decision points fit into these cycles, with a view to identifying gaps and synergies in GEF and agency requirements, using efficiency and effectiveness assessments. The findings would then be used to propose measures leading to the simplification and streamlining of GEF processes. As such, the outputs of this component would include definition of cycle phases and their goals; tracking of key GEF and agency requirements for the cycle; steps and responsibilities in each phase; data on duration of phases/steps; and variations for modalities.

This C4 report presents mainly the GEF cycle and how the agency cycles link to it. In addition, the project cycles of the different agencies are presented in Appendix 4. These outputs would serve to illustrate the various roles and responsibilities within the GEF network, particularly the work distribution at different cycle stages (a) within the agencies; and (b) between agencies and GEF partners like the GEF Secretariat (GEFSec), Scientific and Technical Advisory Panel (STAP), etc.². The work distribution between agencies in the case of joint implementation is not presented; in general, this is on a case-by-case basis, with the same steps taking place sequentially or in parallel.

Box 2. Players in the GEF Projects and Their Roles

The Recipient Countries

Appoint their operational focal points, identify concepts that meet national priorities, endorse requests for projects and project preparation grants, help estimate incremental cost, and organize country dialogue.

GEF Council

Approves GEF policies and procedures and the work programs.

GEF CEO

Approves PDF-B and PDF-C grants, medium-size projects, and enabling activities under expedited procedures; determines the content of the work programs submitted for Council approval; endorses full-size projects for final approval by IA's/EA's internal board; and leads the Secretariat.

The GEF Secretariat (GEFSec)

Organizes Council meetings; manages the project review process up to CEO approval, including arranging bilateral review meetings with IAs/EAs; advises on GEF policy regarding proposals at the time of pipeline entry, work program inclusion or CEO approval, endorsement, and completion; chairs the GEF Operations Committee; maintains a project tracking system; organizes the annual program performance review; and facilitates partnership with recipient countries and among agencies.

The GEF Evaluation Office

Improves the accountability of GEF projects and programs and promotes learning, feedback, and knowledge sharing.

The Implementing Agencies (IAs)—UNDP, UNEP, and WB

Assist countries with concept identification; actively expand opportunities for EAs in GEF work; manage project preparation; approve project documents according to internal procedures; and report progress quarterly and supervise, monitor, and report on project implementation, including project implementation review.

Executing Agencies (EAs) under Expanded Opportunities

Tier 1: ADB and IADB; Tier 2: AfDB and EBRD; Tier 3: UNIDO, FAO, and IFAD (see Appendix 1 for a description of their specific roles and functions).

Assist countries in identifying concepts and managing the preparation of projects and share implementation responsibilities with IAs for selected projects.

The Scientific and Technical Advisory Panel (STAP)

Maintains a roster of experts who can provide expert reviews of the scientific and technical aspects of project proposals; selectively reviews projects from a scientific and technical point of view; and (through its Chairman) participates in project review.

Source: GEF/C.22/Inf.9 – Annex A: Players in the GEF Projects and their Roles. GEF Project Cycle: An Update, 5 November 2003, and GEF website.

Cycle Efficiency. Each agency was requested to submit the goals, steps, responsibilities, and outputs per phase of their respective cycles³ for processing GEF-financed and/or regular projects, while documentation on GEF requirements and procedures was collected from GEF Council decisions and related GEFSec documents. A descriptive mapping was then prepared to allow for a qualitative assessment of effort and a gap/overlap analysis with GEF requirements. While some agencies differentiated their cycle submissions according to modalities,⁴ most of the agencies focused on FSPs.

The agencies were also requested to submit their processing timeframe standards (for generic GEF-financed projects). This was compared with data on actual durations or elapsed time for activity cycle

activities collected under Component 6.⁵ However, findings from this exercise should be viewed as tentative rather than indicative because of some qualifiers regarding the databases: (i) only five of the 10 agencies⁶ were able to provide generic timeframes for their processing cycles; (ii) the timeslice from first submission of concept note to GEFSec and entry of the concept into the GEF pipeline was not possible to document under Component 6;⁷ and (iii) certain “irregularities” had been noted from the Component 6 data referring to two time slices.⁸

The TOR for Component 4 listed other indicators of cycle efficiency: effort (number of times concept papers were reformulated or documents submitted to management, number of times review comments were made, number of people involved in each step, number of person days needed to formulate or submit); and cost (project financial data, fees, staff costs, travel costs). When it became clear that detailed data on effort and costs for various stages of agency cycles were not available, the Joint Evaluation Management Team decided in January 2006 to amend the TOR in order to remove these deliverables.

Cycle Effectiveness. The Component 4 TOR seeks to determine cycle effectiveness through a qualitative assessment of the value added at each cycle stage (defined as the application of the relevant GEF Operational Principles [OPs]),⁹ and how and when each phase is effective in addressing each OP as the projects move through the cycle, as well as the quality products produced by the various cycle phases. During the January 2006 Management Committee Meeting, a qualitative multistage analysis was adopted when it became apparent that collecting project-by-project information for this purpose would be too time-consuming.

The GEF Evaluation Office (GEF EO) requested the GEF coordinators in each agency to submit a ranking of the cycle phases in terms of their value added in achieving the OPs. They were asked to rate the relative importance played by each phase in meeting the OP using a four-point scale: 1 is very important; 2 is somewhat important; 3 is not important; and 4 is no opinion/don’t know. The numbers 1 to 4 may appear more than once in each column. The results will show which phases are most and least important in achieving the OPs.

The agencies were also asked to identify the specific steps within their own procedures that address the OPs, with a view to ascribing some measure of effectiveness to the agency procedures in meeting GEF values. The findings may serve to illustrate certain “good practices” with which other agencies can benchmark in terms of the contribution of the cycle steps towards addressing the GEF OPs.

3. Evolution Of The Current GEF Activity Cycle

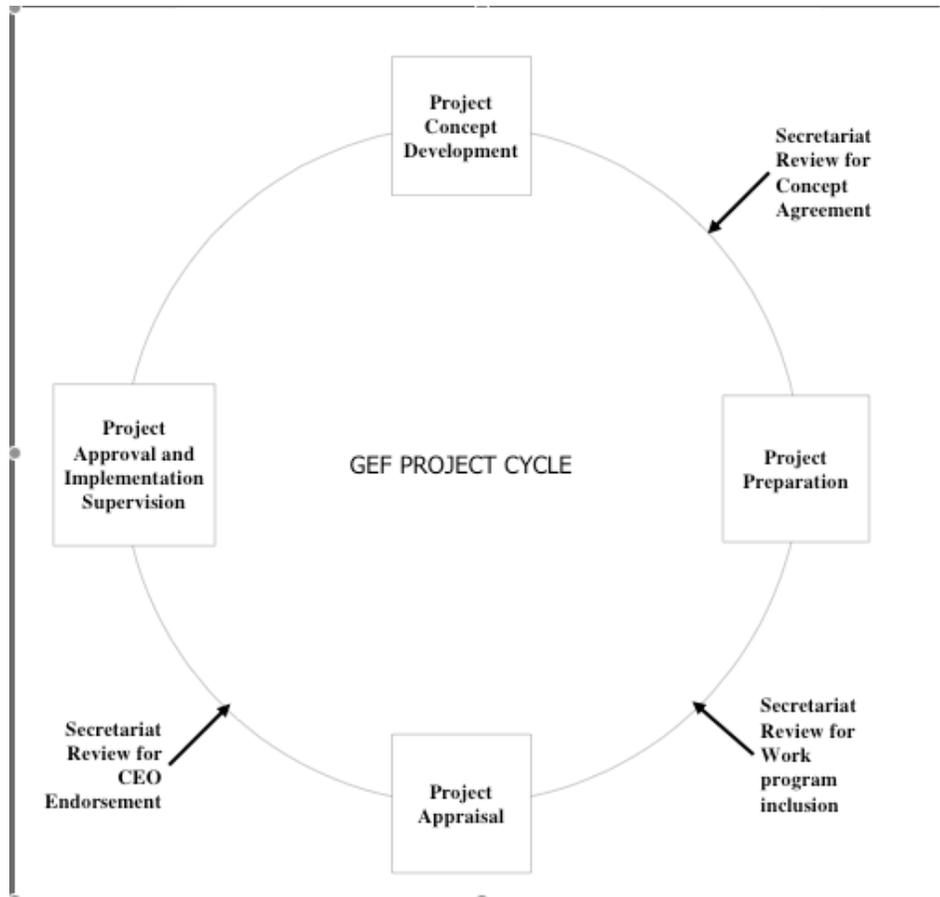
3.1. The Cycle from the GEF Perspective

In this section, most of the description and analysis of the activity cycle focuses on provisions for FSPs, which account for the largest share of GEF financing and probably also a major source of delays in the cycle. Where relevant, variations relating to medium-size operations are also mentioned.

Formally defined in a 1995 Council decision, the GEF activity cycle has undergone several modifications and efforts at streamlining. **Figure 1**, taken from a 2000 Council document, describes four major phases of the cycle plus three decision points for GEFSec review: concept approval, work program inclusion, and CEO endorsement. This graphic helped to clarify one area of occasional confusion, by illustrating an IA or ExA project cycle into which several GEF decision points are inserted, rather than speaking of a GEF project cycle *per se*. A minimum of three institutions are often involved during preparation—the IA or ExA, the relevant government (through its Focal Point) and the GEFSec—with the number of institutions involved even higher when an ExA had to work through an IA prior to the direct access mechanism. In

fact, it is probably this intermingling of the bureaucratic procedures of different institutions which has tended to generate many of the longstanding and persistent complaints about the processing of GEF projects despite numerous initiatives aimed at clarifying project review responsibilities and streamlining processing procedures.

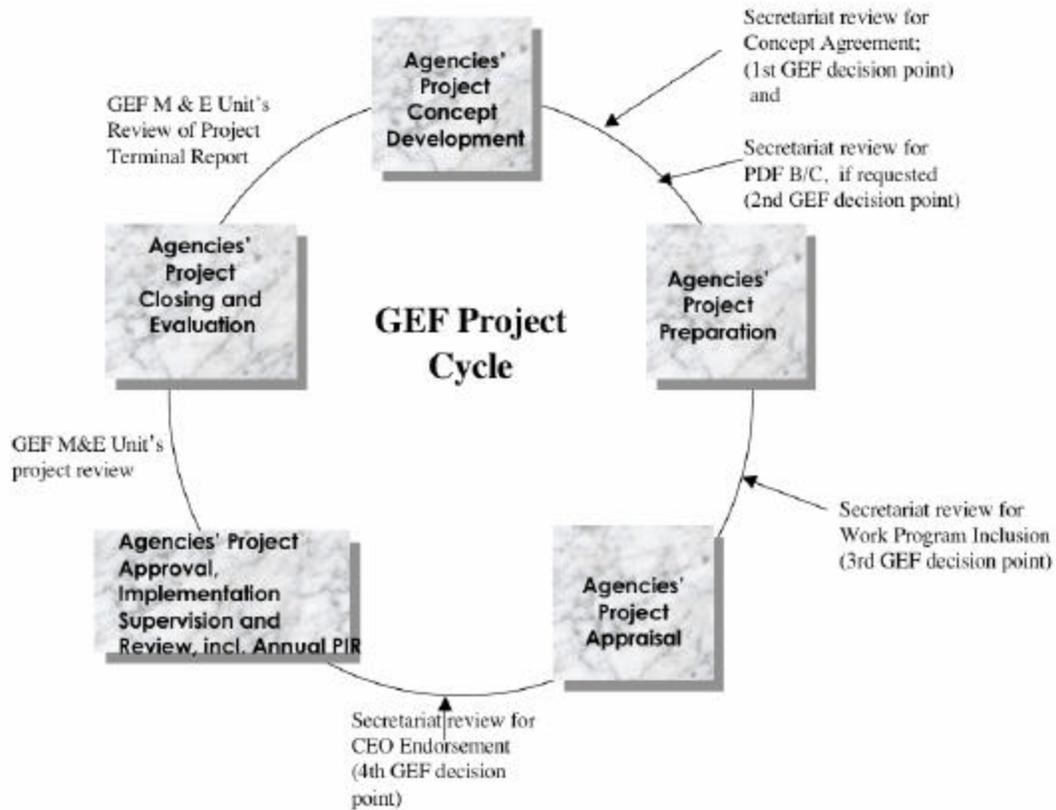
Figure 1: GEF Project Cycle (2000)



Source: GEF Project Cycle, 5 October 2000, GEF/c. 16/Inf. 7.

Figure 2 reflects the updated project cycle as of November 2003, adding M&E as a fifth discrete phase for IAs and ExAs,¹⁰ inserting the PDF-B or PDF-C approval as the second GEF decision point¹¹ and adding the GEF EO's review of the project terminal report as the sixth GEF review point. This is the formal cycle that governed GEF-3. The definition of cycle phases is given in **Annex A** of the C4 TOR (Appendix 2).

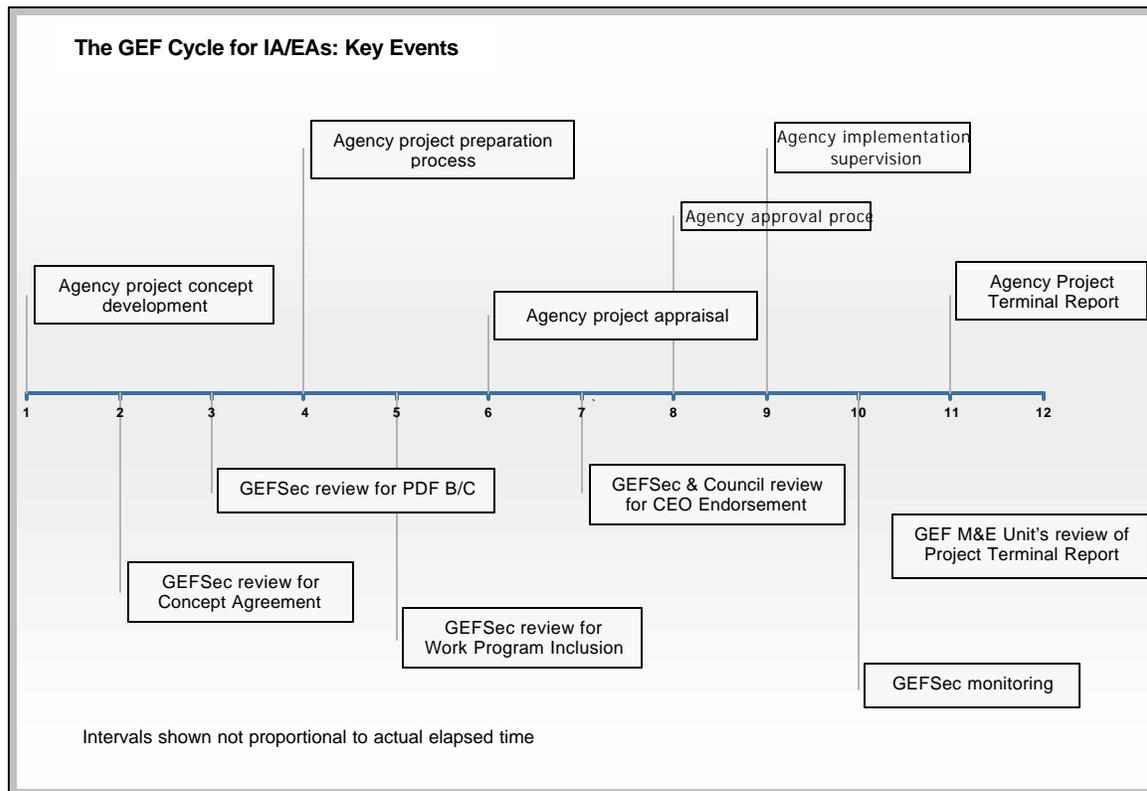
Figure 2: GEF Project Cycle (2003)



Source: GEF Project Cycle: An Update, 5 November 2003, GEF/c. 22/Inf. 9.

Figure 3 presents the information through another perspective by viewing the project cycle as a series of key events along a timeline. In this figure, the events are equally distributed for clarity, without trying to portray expected or actual processing times. Agency activities are shown above the timeline, while GEF activities are below the line. In order to highlight quality at entry and because of the elapsed time involved, the “Project Approval and Startup” stage was presented as a distinct phase, separate from “Implementation and Supervision,” thus allowing the assessment to focus on steps 1 through 8 on the timeline below; step 9 and subsequent steps are not examined in this report because the issues here were already covered substantially in the GEF annual performance reports.

Figure 3: The GEF Activity Cycle as a Timeline



In reality, even though the activity cycle has been updated and somewhat expanded over the years, this type of conceptualization inevitably oversimplifies the project process, as the GEF-specific steps (e.g., GEFSec review, Council review, CEO endorsement) are essentially time-specific decision points, while the IA or ExA “steps” are complex and time-consuming project development processes in and of themselves, which may also require substantial additional work, recruitment of specialized consultants, and complex negotiations with other partners in order to accommodate certain GEF-specific project eligibility aspects or design issues. In other words, the preparation process may be iterative and contingent in ways which are not adequately captured by a conventional project cycle or processing timeline. When the need for synchronizing certain time-bound processing steps is taken into account (Council meetings, Agency Board meetings, or even limited travel “windows” for appraisal or other missions), it is clear that even relatively modest “hiccups” in the process which result in missing a given time slot can lead to significant delays. The relative scarcity of consultants with the technical skills needed to address some GEF-specific issues (such as incremental costs), and the competing time demands on key government officials familiar with GEF requirements, may further complicate the process of assuring timely completion of processing stages.

The detailed steps described in the draft pages of the GEF Secretariat Operations Manual (February 2006 version) currently under preparation¹², have been converted into a flowchart (Figure 4) to give a clearer sequencing of steps from the GEF side, and the allocation of responsibilities related to the cycle. In the flowchart, GEF procedures are shown on the left in blue, and IA/ExA procedures are on the right, colored in yellow. Events which are specifically designated as joint responsibilities are in the middle, in violet color. In total, 17 steps are identified as GEF roles, 10 are IA/ExA steps, and two are identified as joint procedures. This GEF-centric flowchart, presents a very generic or simplified view of the process on the

IA/EA side. For example, the project approval (i.e., Board) step is absent the IA/ExA side and is subsumed under the box labeled “Full-Size Project Start-up” in Phase V (Project Implementation and Supervision) of the flowchart, instead of Phase IV (Project Approval and Start-up).

It should also be noted that the step relating to country focal point endorsement of the project concept was not included in the February 2006 draft guidelines.¹³ From the GEF point of view, it is the agency’s responsibility to secure such country approval, and under the Resource Allocation Framework (RAF), projects cannot enter the pipeline without it (though in the past, this was not mandatory for concept approval).

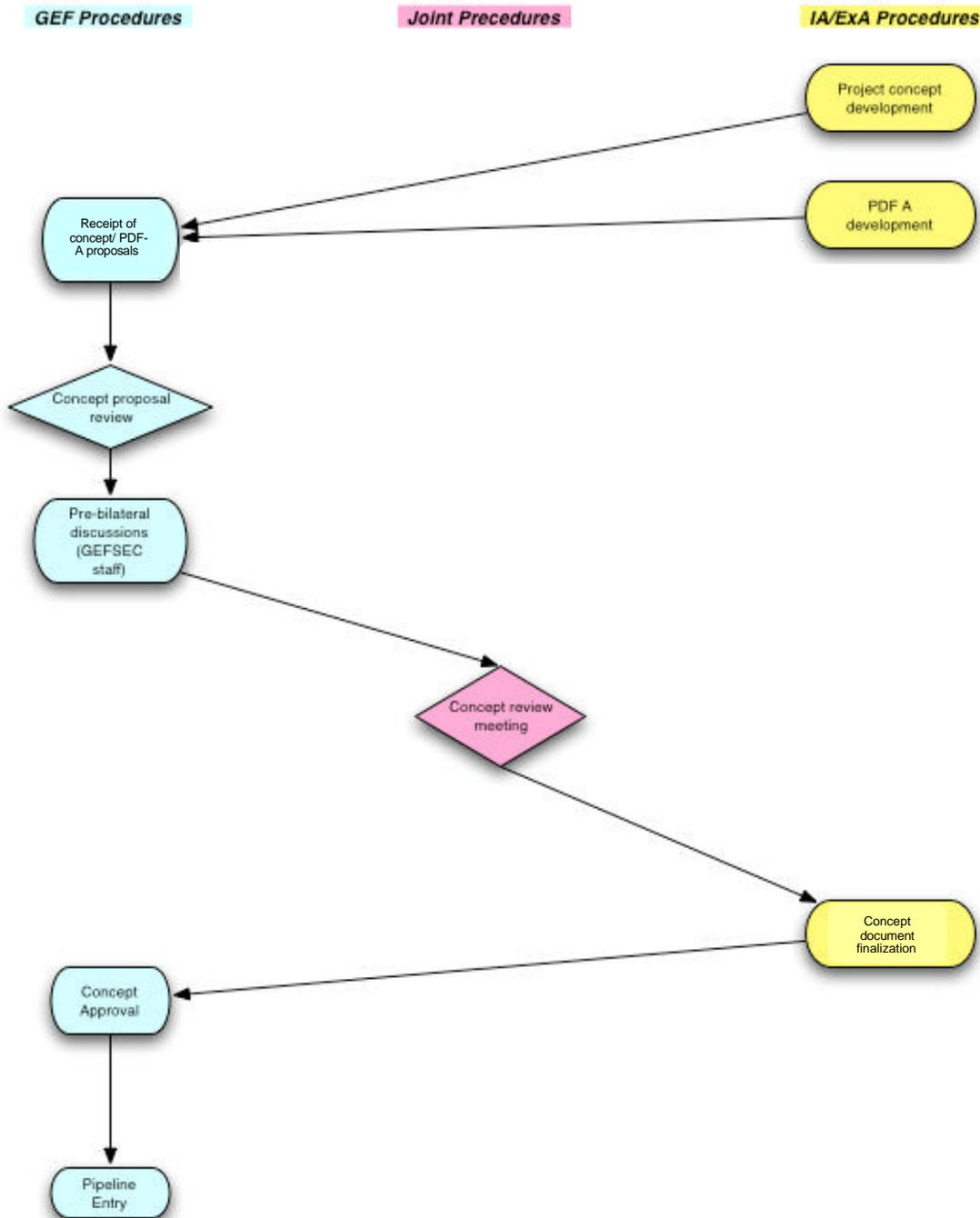
Moreover, it is striking that there are very few processes which are considered to be joint activities: throughout the many steps and procedures of the six phases as presently defined, only six are explicitly described as joint procedures, and these mainly involved reviews. Possibly one avenue for exploration of better synergy between GEF and agency procedures would be to give more attention to defining joint procedures in such a way that project development could become a more collaborative activity. An example of a joint activity is given in **Box 3**.

Box 3: Quality Enhancement Reviews for the GEF

One mechanism which could be explored as a means of strengthening collaborative efforts in the project cycle would be to offer Quality Enhancement Review (QER) panels which would bring together members from the IA/EA, GEFSec, and (perhaps) a member of the STAP roster, to review key issues of project design. In the World Bank, QERs are driven by regions and task teams seeking to get constructive feedback early in the project preparation process, especially on complex operations. The intention is to provide timely and high quality input to the project preparation team at a stage when such input can be most beneficial; **it is not a clearance function**, and should not result in unexpected delays in the preparation process. Implementing a QER involving several institutions would present some challenges, and the key would be ensuring a collaborative and non-judgmental atmosphere in which the added value for the project is clear to all the parties.

**Figure 4: Evolving Guidelines under the GEFSec Operations Manual,
Draft as of February 2006**

Phase I: Concept Development

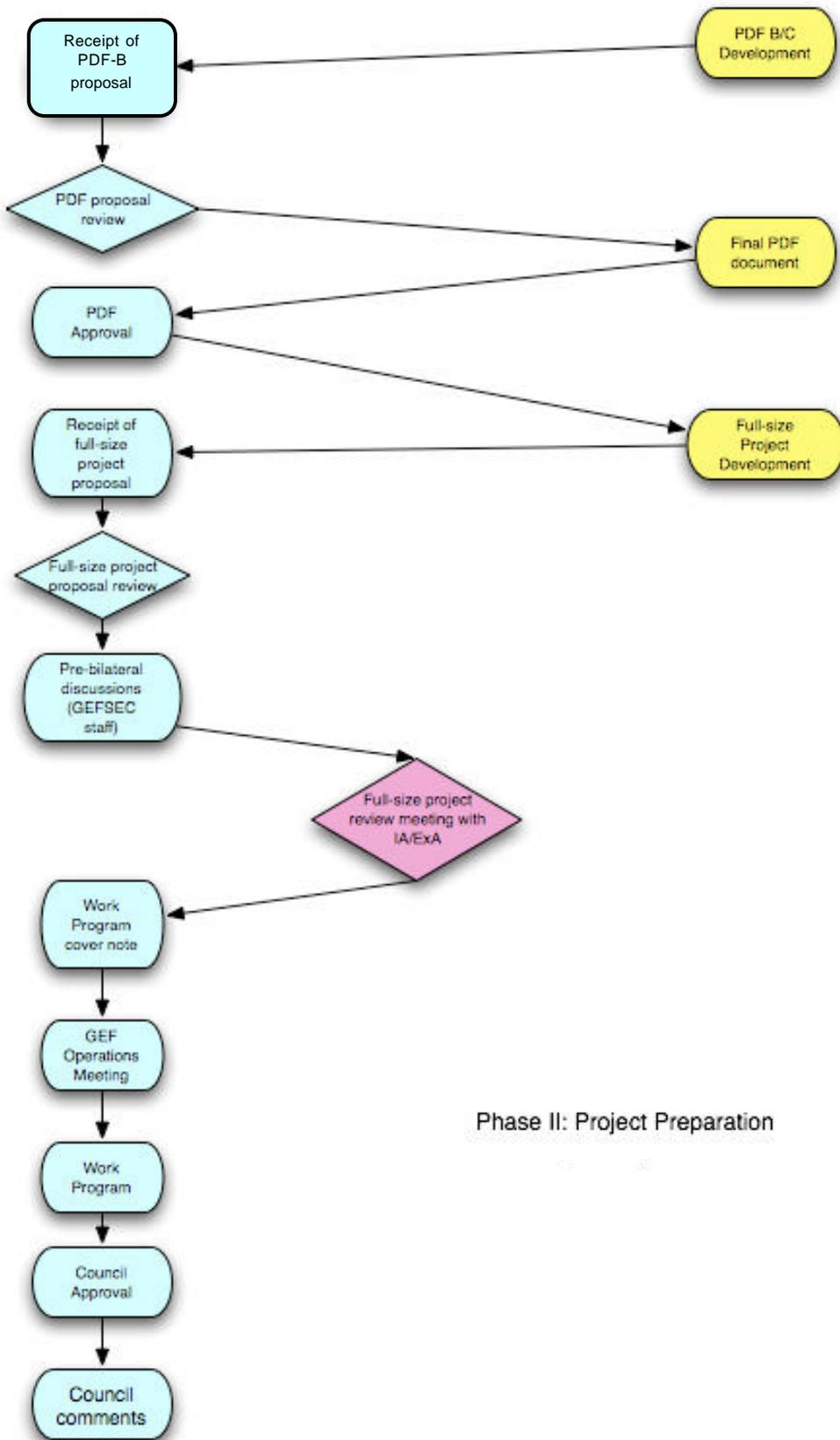


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GEF Procedures

Joint Procedures

IA/EA Procedures



Phase II: Project Preparation

Phase III: Project Appraisal

GEF Procedures

Joint Procedures

IA/EA Procedures

Full-size Project including Council comments

Final full-size project appraisal document

Phase IV: Project Approval and Start-up

CEO endorsement

Phase V: Project Implementation and Supervision

Full-size project start-up

Phase VI: Project Completion and Evaluation

Full-size project completion

Legend

GEF Procedures

IA/ExA Procedures

Joint Procedure

3.2. The Cycle from an Executing Agency Perspective: The Case of ADB

The GEF activity cycle has also been affected by the changing roles and responsibilities of the GEF family members, especially those of the Executing Agencies which initially had to work through IAs but are gradually gaining direct access to GEF funds. ADB was one such ExA which saw its status change and is currently quite active in processing GEF projects. Staff knowledgeable about the ADB history of processing GEF projects (**Appendix 3**) were interviewed to gain insights into lessons learned so far from ADB's interactions with GEF.

Concerns prior to being granted direct access in 2002:

- a. **Project Cycle**. A proposal going through an ExA had to contend with four project cycles: (a) the Government's, (b) GEF's, the (c) IA's through which the ExA had to apply, and (d) the ExA's. This meant that layers of bureaucracy were added to the processing cycle, making it more tedious.
- b. **Transaction Costs**. There were substantial transactions costs because of lack of clarity as well as multiple interests and procedures of IAs. GEF operations had to be embedded in the ExAs and IAs country strategies, and this often involved substantial delays. In addition, IAs needed to iron out the fee base with the ExAs for accessing GEF through them. It would have been useful to have greater transparency and service standards.

Remaining issues after expanded access:

- c. **Clarity of Roles within the GEF Family**. The distinction between the roles of the agency members of the GEF family has been murky. The processes facing the EAs have been evolving throughout the period due to the changes in accessibility and modifications to the process cycle. Direct access was granted in stages, first for PDF-B and then for MSPs and FSPs. At each stage, operationalizing the new arrangements took time, adding to processing delays. At times, there was a 2-year gap between approving the policy of changed status and implementing it, due to the drafting of administrative MOUs and financial agreements and ironing out details about fees, etc. At other times, it was not clear who was responsible for the review – there were instances where the Executive Coordinators of the IA undertook the review instead of GEFSec. The roles of IA, ExA, GEFSec can change on a case-by-case basis, depending on the specific project and/or focal area. There was no clear procedure.
- d. **Timing of the Decision Points**. The fixed times assigned to GEF decision points (depending on the holding of Council meetings) also have an impact on whether GEF grant financing is used in a normal operation of the ExA. If the timing of the GEF decision point does not coincide with the project schedule, the request for the GEF grant may be dropped to avoid delaying the client's needs.
- e. **Complexity vs. Funding**. At times, the complexity and anticipated/unanticipated delays in GEF processing is weighed against the benefits of securing grant funding. If the GEF process is likely to cause undue delays in project processing, then the project design sometimes separates the GEF component(s) such that other project components can proceed without the GEF funds (and GEF cofinancing may or may not be further pursued).
- f. **GEF Incentives**. Some agencies work on GEF projects as a separate channel, and rely on the GEF fees and funding to finance this process. Other agencies which have substantial lending and technical assistance capacity of their own have mainstreamed GEF cofinancing as part of normal operations and may proceed with the base project irrespective of the GEF funding, but they may also use the GEF funds to add project elements consistent with generating incremental global benefits while simultaneously reducing the overall cost of the project to the client. The GEF, therefore, provides different incentives to different agencies.
- g. **GEF Fund Availability**. While direct access is working better in terms of streamlining the project process, recent projects had been held up due to lack of GEF-3 funds, leaving project cofinancing decisions in limbo.

- h. **Processing Lag and Pipeline Congestion.** There are concept papers in the GEF pipeline registered by various agencies at a very early stage in their conceptualization in order to bid for scarce resources allocated on a first-come first-served basis (prior to introduction of the RAF), even if the project proposal may not be ready (concept languishing) and the quality of preparation weak. As a result, the processing time for such a proposal tends to be long.
- i. **Value Added from GEF Reviews.** In general, there is value added from the GEF Secretariat upstream and final project review, with comments from focal area experts considered very useful, especially the informal upstream review. In addition, the STAP review often provides a fresh perspective on the project's design and anticipated results.

12 Executing Agencies whose frustrations over the extra layer of IA decision-making¹⁴ and perceived conflict-of-interest first gained ground in the early 1990s (see **Appendix 6**). Discussions supporting a more active role for ExAs within the GEF system bogged down due to disagreements regarding its operationalization, until 1999 when the need to leverage GEF funds, stabilize its administrative costs and extend the IA delivery capacities became more evident. However, while the principle of expanded opportunities was approved in May 1999 direct access effectively began only in 2002, for certain ExAs and modalities based on their comparative advantages (presented in Appendix 1). Extensive discussions that contributed to the delay included those on establishing accountability for the GEF funds (financial controls, disbursement and funds transfer), assuring project preparation quality, and in some cases, the sharing of the corporate budget and responsibilities. These concerns were evident at ADB, which mirrors those of the other ExAs.

One of the recent issues involving ExAs relate to the blurring of pre-assigned roles as more projects feature integrated approaches. This has led to the assessment of GEF partners on a case-by-case basis depending on the structural and procedural conditions¹⁵ specific to the project proposal, which had placed an additional burden on the GEF activity cycle. Another concern is that ExAs still have not been effectively integrated into GEF project and policy work (with their participation accounting, thus far, for only 3% of GEF-3 funding), owing to “strong biases¹⁶ that continue to favor the IAs” and the narrow definition of comparative advantages with respect to IFAD (largely limited to the focal area of land degradation) and FAO and UNIDO (strictly limited in their direct access to the persistent organic pollutants focal area). In response, the GEF Council asked the GEFSec to draft a policy paper to clarify the roles and comparative advantages of the IAs and ExAs. The policy paper was not discussed during the 6-9 June 2006 GEF Council Meeting, but the donors to the GEF-4 replenishment requested that GEFSec prepare an action plan for strengthening the engagement of ExAs based, in part, on a GEF EO evaluation of ExAs' experience in GEF activities¹⁷. Until then, it is expected that the status quo will be preserved, wherein the primary role for policy development is maintained within the IAs, ExAs keep to their assigned comparative advantages for project development and delivery, and partnerships between IAs and ExAs are established with clear complementary roles for each. At the same time it is evident that ExAs are increasingly engaged with GEFSec and the IAs in broader strategic and policy development functions, providing comments on all related documents and participating in focal area task forces.

Since the mandated evaluation had not yet started as GEF-4 programming was underway, the ExAs have expressed¹⁸ apprehension about possibly missing the opportunity to strengthen the involvement of ExAs before GEF-4 resources are committed under the Resource Allocation Framework (see next subsection). The seven ExAs proposed in a document tabled as a Conference Room Paper during the June 2006 Council Meeting that work on the action plan begin without awaiting the results of the GEFEO evaluation, and suggested steps that may be implemented right away to level the playing between IAs and ExAs, i.e., provide ExAs the same access to policy and operational information as IAs, allow ExA representatives to participate in GEF operations meetings between the GEFSec and IAs' GEF Executive Coordinators, etc.

3.3. Recent Developments

Resource Allocation Framework¹⁹. One of the policy recommendations agreed as part of the GEF-3 (FY2003–FY2006) was the development of a system to allocate scarce resources within and among focal areas, as well as among countries based on performance. The result was the GEF RAF, which was approved during the GEF Council meeting held in early September 2005. The RAF comprises two pillars: the first reflects a given country's potential to generate global environmental benefits within a given focal area, while the second represents a country's demonstrated record of performance with respect to policies and the enabling environment to successfully implement GEF projects (see GEF/C.27/Inf.8/Rev.1). Two indices had been developed as indicators of country ranking on each of these two pillars: the Global Benefits Index (GBI), which measures the potential to generate global environmental benefits within a focal area, and the GEF Performance Index (GPI), which measures a country's capacity and policies related to successful implementation of GEF programs and projects.

Work is ongoing in the challenging technical area of developing specific indices for the various GEF focal areas, but initial results of calculations for biodiversity and climate change were used to cluster countries into groupings ranked according to their scores. Countries with the highest scores would receive individual allocations, and the highest priority for financing, while lower-ranked countries would be clustered into groups with lower priority for financing. It is important to note that these allocations are not considered entitlements (for which the countries automatically qualify), but are resource envelopes or indicative allocations. Thus, to benefit from these allocations, countries would still need to present project proposals which meet existing GEF processing standards and other requirements. According to the guidelines for the country focal points to manage GEF resources (GEF/C.28/12, 11 May 2006), the RAF does not change the technical review criteria during the GEF activity cycle.

There is little question though that introducing this system will also introduce new dynamics into the processing of GEF project proposals. Until now, the system has operated essentially on a first-come, first-served basis in which any country could apply for projects in any focal area with a reasonable expectation of success, so long as eligibility requirements were met and funds remained available for that focal area. Project proposals with quality shortcomings were seldom rejected outright once in the GEF pipeline, though there were often long delays as a consequence of an iterative process of modification and resubmission. The implementation of the RAF will change the first-come, first-served dynamics by prioritizing countries and limiting the number of proposals, which will need country endorsement from the outset, and re-endorsement for projects currently in the pipeline. The additive nature of the multiple stages of GEF review when combined with those of the IA or ExA has already been discussed and has been an important factor in the many attempts to reform the GEF activity cycle. The involvement of the country focal point in prioritization will add another layer to the already prolonged process.

Taking into consideration the complex network of stakeholders shown in **Figure 5**, it seems very likely that different institutional interests will be affected by the shift envisioned under RAF. In essence, after the number of EAs had been expanded under direct access, the RAF will probably result in a smaller pool of potential projects, thus fostering more competition among agencies for those projects.

Quality at Entry. In recent years, there has been growing discussion within the GEF Council about the need to focus on quality at entry as an instrument for strengthening the GEF portfolio.²⁰ The common perception is that the competition for scarce resources among agencies was driving the pressure to register concepts even before due diligence had been conducted. Because country focal point endorsement has not always been a requirement for pipeline entry, some observers believe that agencies have at times identified and begun developing projects on a rather speculative basis, on the assumption that the country will assent to the proposal once it is presented, with no harm being done by “keeping a foot in the programming door.” There are also examples of projects being developed which appear outside the

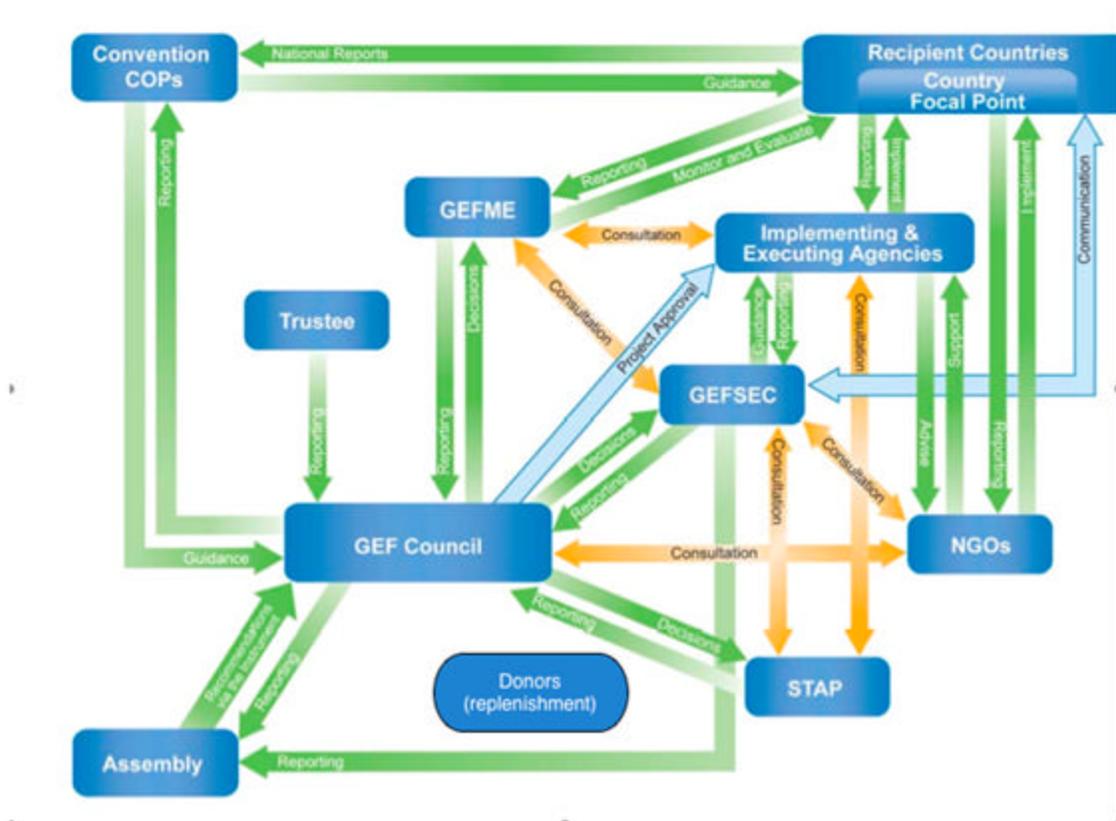
expected technical area or comparative advantage of a particular agency, prompting the GEF Council to request a report on this point for the June 2006 Council²¹. The concern is that some agencies may be seeking to use GEF funds to help develop new areas of business, and that the system of agency fees may represent an incentive to identify and prepare as many GEF projects as possible. The agency competition and the fee incentive issues may partially account for the large number of projects in the pipeline which have lingered, sometimes for many years, without advancing to approval.

4. The GEF as a Networked Organization: Cycle Implications

The graphic shown in **Figure 5**, adapted from the 2005 GEF-3 evaluation,²² illustrates the institutional complexity of the GEF which has evolved since the pilot phase into a network of very diverse stakeholders. While the activity cycle is only one of the functions of this network, and therefore not all aspects of the graphic are directly relevant here, it is a useful reminder that the activity cycle serves as the financing and implementation mechanism of the Conventions and thereby serves a larger purpose. For this reason, project decisions (whether individually or cumulatively) are necessarily of interest to a broad range of stakeholders with very different institutional, technical, and operational perspectives. In one sense, therefore, the search for greater efficiency in the project review and approval process needs to be balanced with the principles of country ownership, disclosure, and public involvement in the activities of the GEF (OPs 4, 6 and 7), as these may entail more time needed for discussion and reaching consensus among a larger set of stakeholders than would be needed if the project were being developed purely as an internal product of the agency involved.

A significant omission from the GEF activity cycle as it is usually presented relates to the internal procedures on the recipient country side (shown in the upper-right corner of the GEF Network graphic), which are becoming more important with the introduction of the RAF. As countries take a more direct role in the setting of operational priorities for the national work program, more decision points and processing windows will come into play, further complicating the task of synchronizing the various partners' components of the GEF activity cycle. Some observers believe that permitting pipeline entry without endorsement from the national GEF Focal Point may have permitted some concepts to enter the pipeline at a premature stage, meaning that the "downstream" preparation stages could be encumbered by some of the basic project identification work, thereby lengthening the time needed to reach key decision points (CEO endorsement and IA/ExA approval). Another omission in the original graphic was the role of the GEF donor countries, which carry out direct discussions with the GEF Secretariat around issues such as replenishment, outside of the framework of the Council. A new box has been added at the bottom center of the graphic to illustrate this point.

Figure 5: Governance and Reporting Structure of the GEF



Source: *Interim Report – Third Overall Performance Study of the GEF*, 2005.

5. Mapping Of Agency Steps

A detailed listing of phase goals is given in Appendix 4, while the specific steps, and responsibilities within the activity cycle is given in Appendix 4a for GEFSec²³ (representing portions of the GEFSec Operations Manual currently being prepared on FSPs, MSPs, and enabling activities) and Appendices 4b to 4k for the project cycles submitted by the different agencies.

Appendix 5 attempts to lay out the various steps submitted by the different agencies, based on the phases defined by the GEF, with a view to highlighting the agency efforts that go into project processing and identifying possible gaps or synergies from the process.

The limitations of this exercise are given below:

- The agency submissions contain various levels of detail on steps and procedures.²⁴
- Some of the agency processes provided were still in draft form or are being redrafted.²⁵
- Some of the steps “missing” in the submissions may, in fact, have been undertaken in the actual processing, but were not documented as the formal procedures.
- Some of the agencies categorized their steps under different phases.²⁶ To resolve this, the GEF definition was followed.

Table 1 below presents a summary count of the steps under each phase, up until approval. The table was extended to include a programming phase, to reflect cases where agencies indicated in their submissions their use of strategy blueprints to guide the identification of project ideas.

Concept Development. Under the concept development phase, most of the agencies seemed to have a majority of steps indicated from the concept identification step up to the step on technical review of draft concept papers, indicating the importance of GEF feedback and approval at this stage. However, few had documented steps after the GEFSec decision, such as notification of GEF decision, signing of the letter of agreement, etc. This may be due to the lack of symmetry in the data received: while some agencies may have submitted their regular cycle procedures, the others submitted cycle steps that incorporates GEF-related steps. Of the 10 agencies, two were able to provide average timeframes for the entire concept development phase, ranging from 2 to 6 months. UNDP reported two steps less than IFAD, and also estimated a relatively shorter processing period.

Preparation. For the preparation phase, only the multilateral development banks and IFAD reported steps involving the conduct of full-blown studies to prepare the project appraisal document; UNDP identified this to be the responsibility of the proponent, while FAO undertakes this internally. UNIDO did not specify which institution prepares the initial draft of the project brief, but clarifies that the finalization is done by the relevant IA.

Another point is that the row on “Country Endorsement” was not filled in, as most agencies were silent about this GEF requirement under Phase 2. Aside from the possible asymmetry discussed in para. 34, one other explanation is that some agencies²⁷ had already incorporated this under the “consultation” step in Phase 1, since the Country Focal Point endorsement of a PDF-B proposal can suffice as the endorsement of a proposal for work program inclusion. However, it is possible that some agencies defined country endorsement under Phase 1 as approval coming from the borrower’s representative and not from the GEF Operational Focal Point. About half of the agencies²⁸ did not mention a step relating to a GEF STAP expert review.

Although the steps on focal point endorsement and STAP review are necessary elements of processing all the agency proposals, their conspicuous absence from most agency cycles could imply that GEF guidelines have not been integrated well into agency procedures. The average timeframes estimated by agencies for the preparation phase range from 7 to 31 months. Two of the regional development banks (ADB and AfDB) gave the higher duration estimates consistent with their high number of reported phase steps. In contrast, while IFAD provided eight steps,²⁹ its preparation phase was slightly over half of the ADB and AfDB standard timeframes, suggesting a relative efficiency in preparing a project brief.

Appraisal. The number of steps for this phase is quite varied, ranging from a high of 7–8 steps for ADB and WB, to a low of 2–3 steps for UNEP and EBRD. Consultation, country commitment, and negotiations with the borrower on project details do not appear to be integral to the appraisal phase of some of the UN agencies and RDBs. In terms of average timeframes, ADB reported a lower duration of 2 to 4 months despite having slightly more steps than IFAD and UNDP, whose appraisal steps take about 3 to 6 months. This may possibly indicate that extra preparation time invested under Phase 2 could lead to shorter appraisal time under Phase 3.

Approval and Start of Implementation. WB and ADB reported a bit more steps leading to FSP approval and start-up compared to the other agencies, representing extra preparations prior to Board approval and signing, as well as notification of decision. Unfortunately, both agencies had not been able to provide standard timeframes for this particular phase, which could have offered hints on whether the extra steps also entailed significant additional time. EBRD clocked the shortest timeframe at 2 weeks, but

this is confined only to the approval steps. IFAD, UNDP, and AfDB recorded very similar durations of 3 to 6 months.

Overall. Two IAs—UNDP and UNEP—documented the least number of steps for all the phases except appraisal. This suggests that the internal FSP cycles of these IAs may be more concise and require less requirements than the WB’s and the ExAs’, but not necessarily shorter. A more obvious explanation though is that these agencies, along with other agencies that also reported fewer steps like EBRD, FAO, and UNIDO, merely reported an abbreviation of their respective cycles. It would be quite interesting to pursue the subject by comparing the quality of the projects rolled out by the UNDP and UNEP “minimalist” processes and the WB’s and ADB’s “comprehensive” procedures, in order to find out if more cycle steps really contribute to improving the quality of the cycle product. This comparison will be seen in Section 7, discussing the agencies’ application of the OPs in their respective project cycles.

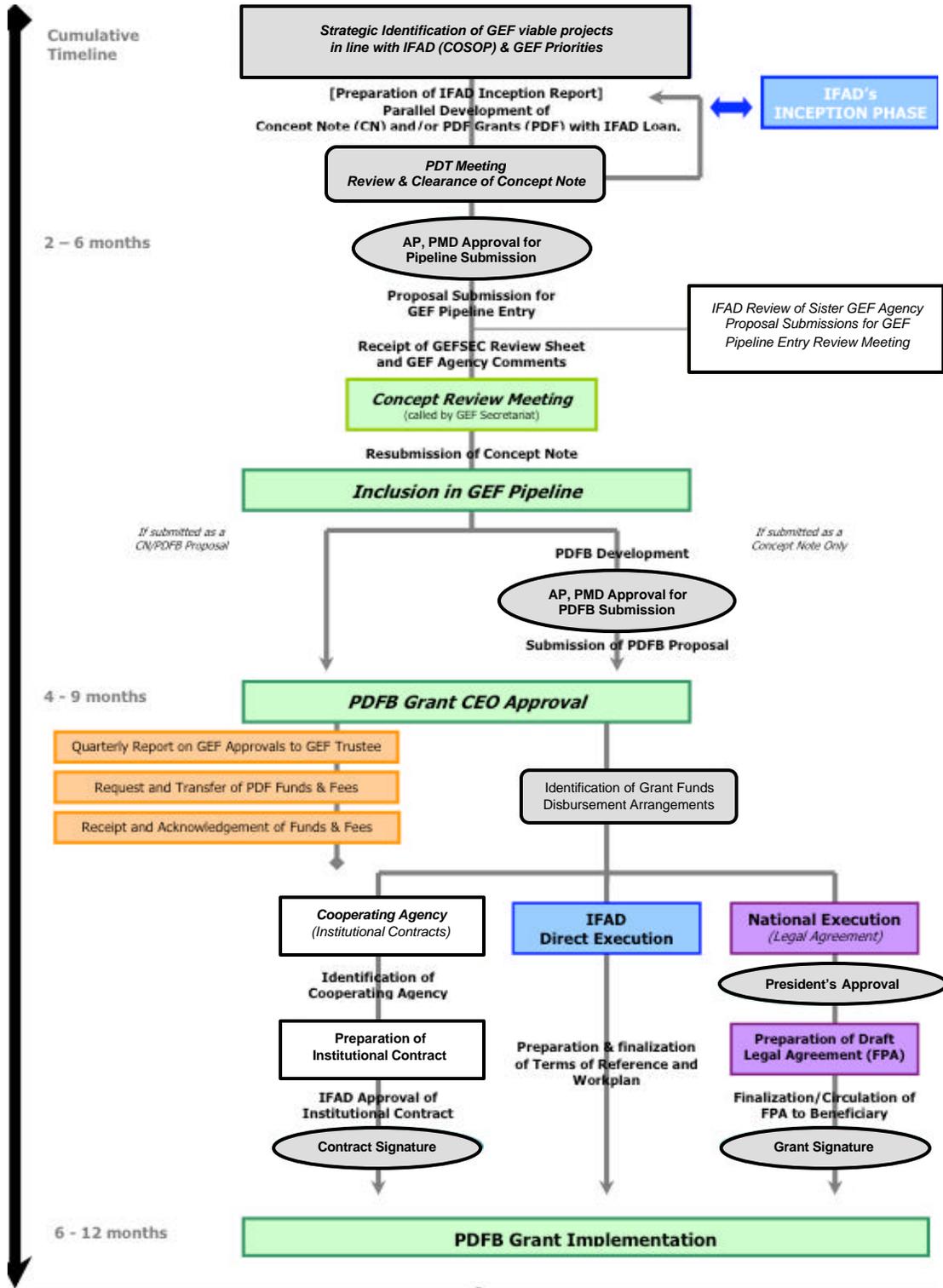
To present a more visual representation of what is actually required on the IA/ExA side to prepare an FSP, two examples of agency processing flowcharts are shown here. The IFAD flowchart (Figure 6) illustrates the somewhat different, though not less complex, process for a United Nations (UN) agency, in which the relationship with the host country government may take several forms, depending on whether the project is to be implemented through direct execution, national execution, or contracted through a cooperating agency. The IDB chart (Figure 7) provides a good illustration of the processing steps typically required for an RDB, in which a project is handled as a loan made to a sovereign government but including the GEF grant as a project component. Variations are found within the procedures of the various RDBs and the specialized UN agencies, but the general approaches are very similar in that project preparation entails multiple levels of review and clearance, as well as a substantial volume of staff work and documentation. The most significant point may be that the criteria, procedures, and reviews specific to the GEF are in each case **additive**—no case has been found in which a GEF procedure **replaces** an equivalent procedure of the IA or ExA, nor has there been a case where the GEF accepted an Agency processing step to replace a GEFSec procedure.

Table 1: Summary Mapping of Agency Steps in FSP Processing Cycle

Phase and Steps	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO	IDB	IFAD	UNIDO
Phase 0: Programming										
Strategy document			x	x	x			x	x	
Phase 1: Concept Development and/or PDF Processing										
Idea identification, team formation		x	x	x	x	x	x	x	x	x
First draft of the concept document	x	x	x	x	x	x	x	x	x	x
Consultation	x		x	x	x		x	x	x	x
Technical review	x	x	x	x	x	x	x	x	x	x
Submission to GEFSec for pipeline entry/PDF-B approval	x		x			x	x	x	x	x
GEF decision-enabling actions			x			x		x		x
Notification about GEF decision		x		x					x	
<i>Subtotal of steps</i>	4	4	6	5	4	5	5	6	6	6
<i>Duration (in months)</i>	3		1/2 month for mission alone	1/4 to 1/2 months for team formation					2 to 6	
Phase 2: Preparation										
Consultant/ resource mobilization			x	x	x	x		x	x	
Fact-finding/ pre-appraisal			x	x	x			x	x	
Consultation				x	x	x	x	x	x	x
Drafting of proposed project document	x		x	x	x	x	x	x	x	x
Technical review		x		x	x	x	x	x	x	x
Country endorsement	x									x
GEF STAP expert review	x		x	x					x	x
Management/Other review			x	x	x	x	x	x	x	x
Submission to GEFSec for Work Program Inclusion		x	x		x		x	x	x	x
<i>Subtotal of steps</i>	3	2	6	7	7	5	5	7	8	7
<i>Duration (in months)</i>	12			15 to 31	7 to 30				9 to 18	

Phase and Steps	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO	IDB	IFAD	UNIDO
Phase 3: Appraisal										
Preparation for appraisal			x					x	x	
Consultation			x	x	x				x	x
Refinement of project appraisal document	x	x		x	x				x	x
Review	x		x	x	x	x		x	x	x
Finalization of project appraisal document				x	x	x				x
Country commitment	x		x							
Preparation for negotiations			x	x	x					
Negotiations			x	x				x		
Post negotiations	x		x	x	x	x			x	
Submission to GEFSec for CEO endorsement	x	x	x					x	x	x
<i>Subtotal of steps</i>	5	2	8	7	6	3	0	4	6	5
<i>Duration (in months)</i>	3.5 to 6.5		3 to 4 for mission alone	2 to 4	4				3 to 6	
Phase 4: Approval and Start of Implementation										
Preparation of Documents for Board Approval	x	x	x		x	x				
Clearance of Board package	x	x	x	x		x		x		
Pre-Board Meeting			x							
Presentation to Board and Board Approval			x		x	x		x	x	
Post-Board Approval			x						x	
Pre-Signing	x		x	x	x			x	x	
Signing		x	x	x	x	x			x	
Effectiveness			x	x	x	x		x	x	
Notification				x				x		
GEF Action				x						
Mobilization/Procurement (up to 1st year of Implementation)	x	x	x	x					x	
<i>Subtotal of steps</i>	4	4	9	7	5	5	0	5	6	0
<i>Duration (in months)</i>	3 to 6		several months		4 to 6	0.5 for approval only			3 to 6	

Figure 6: IFAD Project Cycle for GEF Financing



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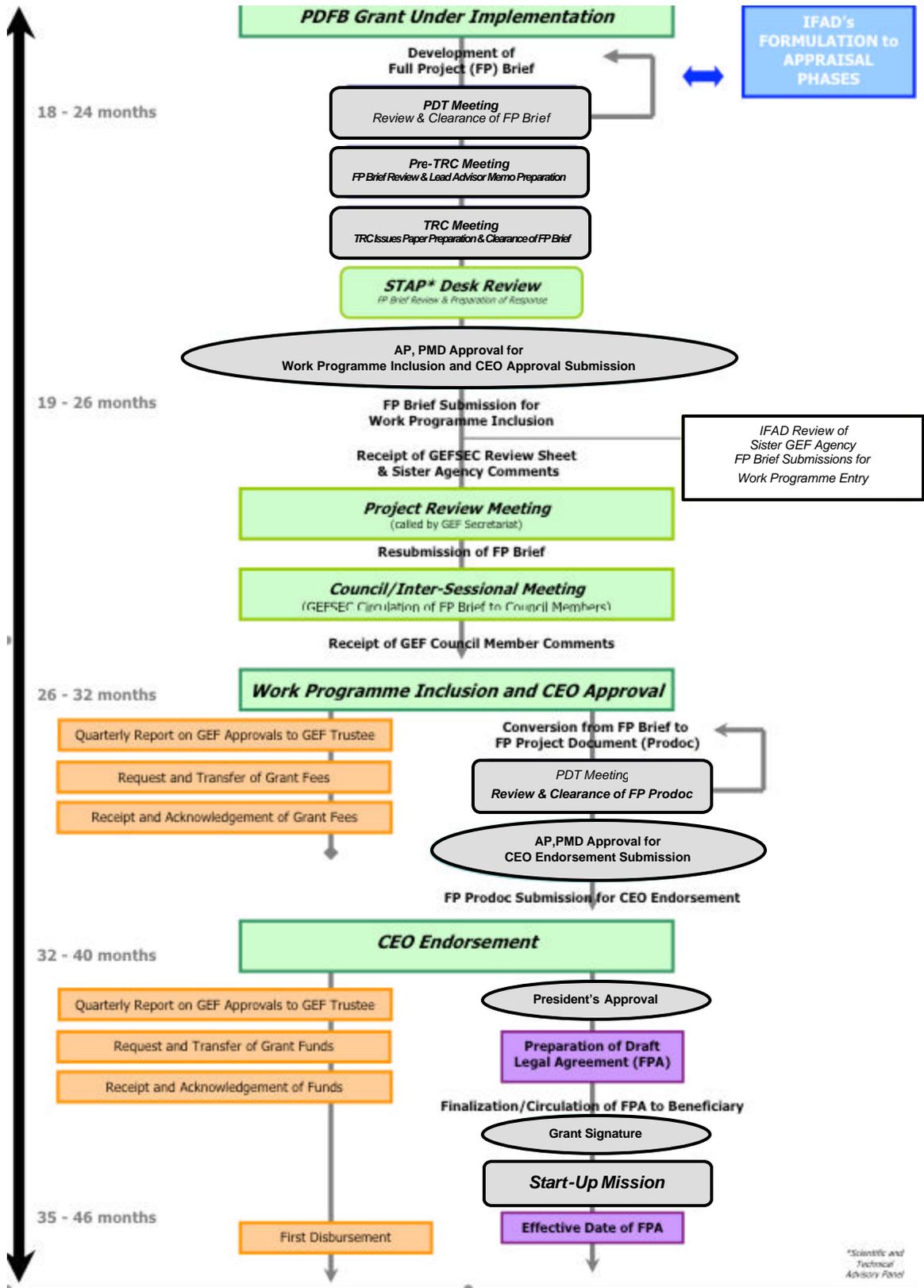
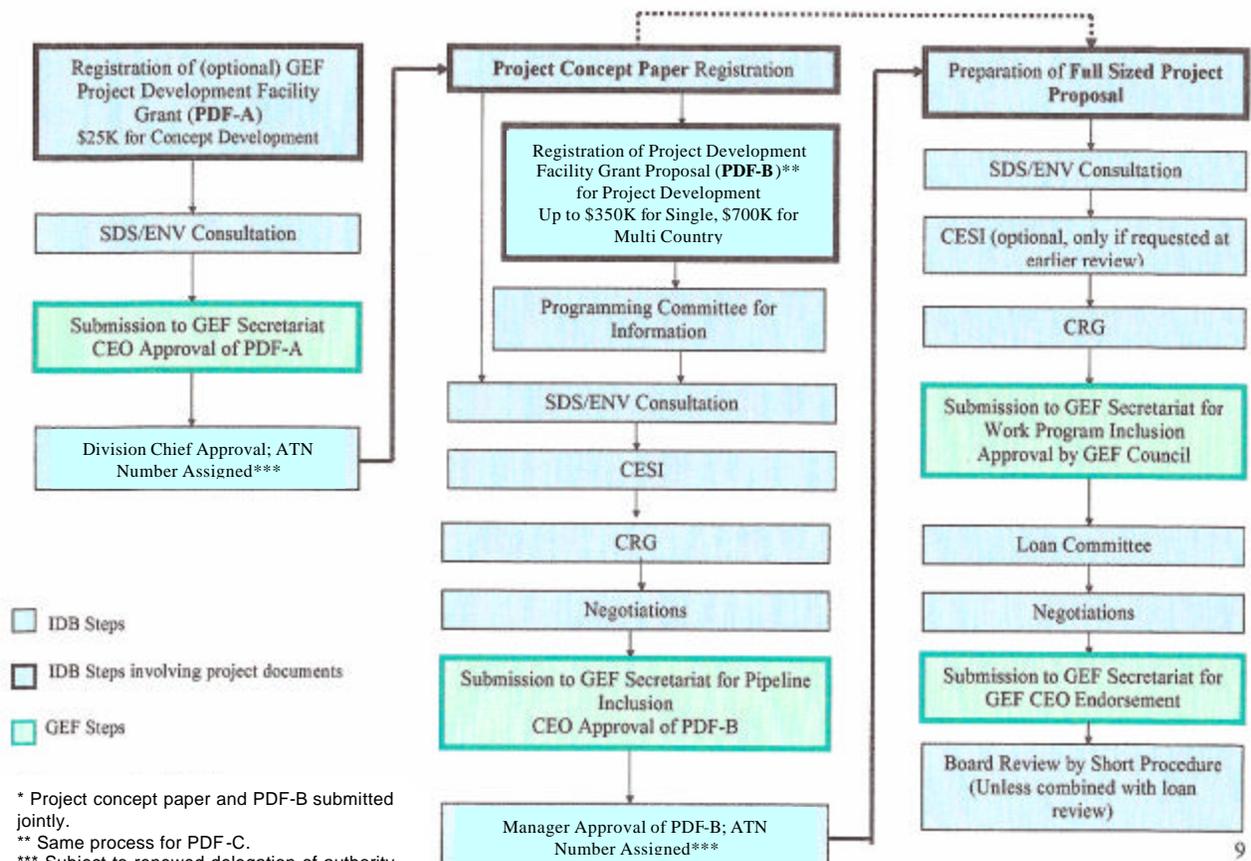


Figure 7: IDB Project Cycle for GEF Financing*



Source: Inter-American Development Bank.

Figures 8 and 9 below tries to superimpose the IFAD and IDB steps under Phases 2 to 4 (FSP preparation, appraisal, and approval procedures at the right-hand side) with main GEF decision points (at the left-hand side). The comparison serves to illustrate how the number of agency procedures could vary so dramatically, without necessarily making judgments about their effectiveness.

Figure 8: GEF and IFAD Processes in Parallel

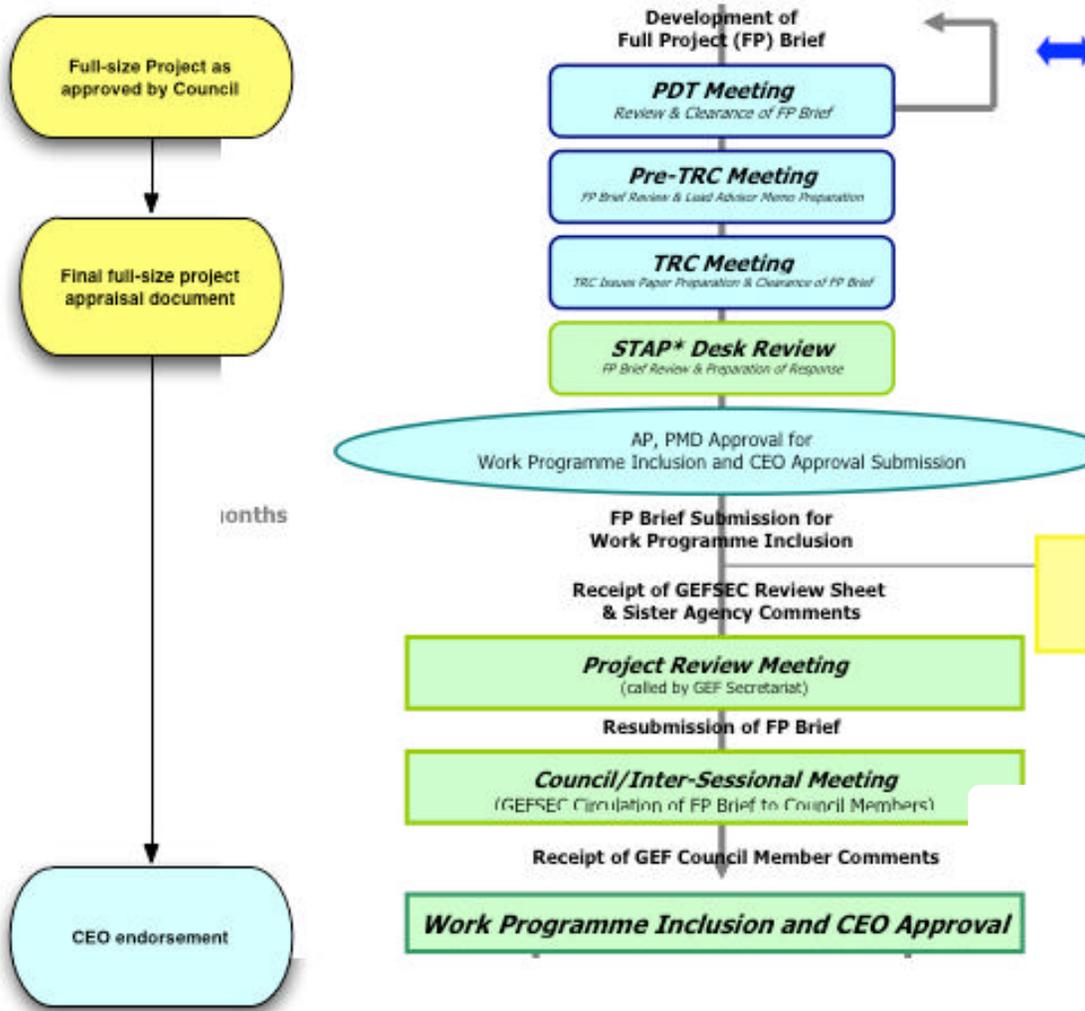
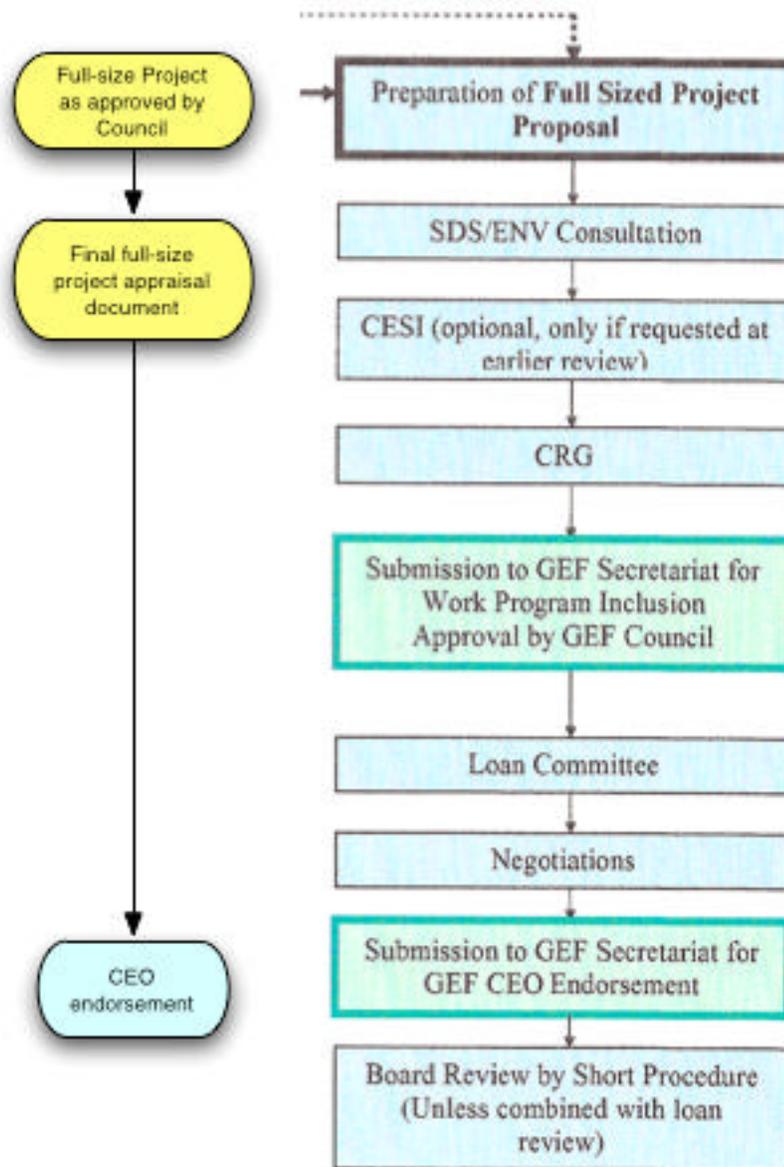


Figure 9: GEF and IDB Processes in Parallel



6. Duration Of GEF Activity Cycle Phases

This section discusses the information available on (elapsed time) the duration of the activity cycle steps. A study commissioned by the GEF EO (W. Arensberg, April 2005 draft) quoted the amount of time required by each of the three IAs (UNDP, UNEP and WB) to prepare, process, and begin implementation of GEF FSPs and MSPs. This study sought to assess the factors behind the delays, addressing not only efficiency but also quality. For FSPs, the IAs overall took over 38 months on average from pipeline entry to effectiveness; UNDP had the longest elapsed time at 41 months, while the WB and UNEP were slightly faster, at 37.6 and 36 months respectively. In terms of performance by GEF focal area, climate change had the shortest elapsed times at 36 months on average; International Waters averaged 39.6 months, and biodiversity projects showed the longest times at 42 months. Overall, the study found that it took 3.2 years (38.4 months) for an IA to develop an FSP.

Since multilateral development banks generally expect a 2-year total processing time for a typical investment or TA project, this suggests that processing a GEF projects adds more than 1 year (14.4 months, or about 37.5% longer) to the total project processing time. Of this incremental processing time of over 14 months, the various internal review and approval procedures of the GEF (Secretariat, STAP, Council, and CEO) averaged 6–7 months, or half of the additional time, with the remaining half comprising other delays on the IA side or within the host country. The nominal processing time for an FSP, as stipulated in the GEF Program Management Bulletin, would total some 5 months due to the various stages of review and approval which are required:

- a. Review of concept documents for pipeline entry (by IAs and EAs, convention secretariats, and GEFSec staff) and concept review meeting: 1.5 months
- b. PDF-B processing where requested separately: 0.5 months
- c. Review for work program inclusion: 3 months
- d. CEO endorsement: 0.5 months.

In some cases, proposals would be re-circulated to the Council before CEO endorsement, which would add another month to the process. Thus, given a nominal GEF processing time of 5–6 months for an FSP, the actual processing period on the GEF side of 6-7 months mentioned above is longer, but not remarkably so given the number of participants in the review process. The time consumed on the IA side of the process includes time taken to respond to questions or suggestions made during the review process, to make modifications to the project design, and the need to communicate with host country partners about proposed changes or additional information sought during the review process. Where this would entail detailed, field-based discussions or data gathering (such as field missions), the process would require more time and result in possible scheduling difficulties. Taken as a whole, none of these steps appear in their own right to be inordinately complex or time-consuming, yet it is not difficult to see that the process as a whole entails numerous opportunities for delay, especially when the time-bound processing windows mentioned earlier need to be accommodated (i.e., scheduling of missions, Board or Council dates). This suggests the need for a degree of skepticism concerning the potential time efficiencies to be gained by further refining existing procedures, in the absence of major changes in the way the process as a whole is designed. Such refinements have been attempted at numerous points in the past, as will be discussed later.

The Arensberg study also examined GEF processing of MSPs, which are intended to be smaller (below \$1 million) and substantially faster to process. Here, the report reported that on average MSPs take 27.6 months for processing, which is well beyond original expectations and has been fairly consistent despite past efforts toward streamlining. The GEF review process for MSPs was found to take on average 3 months rather than the 25 working days envisaged by the GEF procedures. Put in other terms, MSP take

about the same total processing time as a conventional size investment or TA project—without GEF financing—of one of the multilateral development banks.

For this report, another evaluation component (Component 6) supplied data regarding the average elapsed time for processing FSPs and MSPs under the various GEF replenishment periods. The number of observations or projects noted for the different “time slices” differ as projects are at varying stages in the cycle. The “Concept to Pipeline Entry” time slice and those on implementation were not available from the Component 6 database, so these were not included in the tables.

Since the more relevant periods for this report would be the recent GEF-2 and GEF-3 cohorts, the elapsed time results for these periods, given in terms of months, are highlighted in Table 2 below. The emerging pattern (under both GEF-2 and GEF-3) is that the average elapsed time for processing an MSP is less than half of the period for an FSP, except during the preparation phase (from Pipeline Entry to Work Program Inclusion)

³⁰. This supports the (sometimes-contested) view that the expedited MSP processing system actually translates to relatively faster approval of MSPs. However, the finding that agencies still take about 12 months to prepare an MSP for Work Program Inclusion (or about 70% of the time it takes for FSPs) also validates certain agency complaints that GEF requirements for approving MSPs approximate those for FSPs’, and therefore complying with them take about the same time.

From **Table 2**, we observed a relative doubling in the preparation time (pipeline to work program) for FSPs and MSPs from GEF-2 to GEF-3, but offset by a big reduction in the approval phase timeframe. This could be the offshoot of previous initiatives to enhance quality-at-entry, leading to the frontloading of reviews. There may be little benefit in terms of time saved, though, because the total processing time (from PDF-B approval to effectiveness) was not reduced across the two periods.

**Table 2: Elapsed Time for Processing under GEF-2 and GEF-3
Average for All Agencies**

Time Slice	Full-Size Projects		Medium-Size Projects	
	Months	No. of Projects	Months	No. of Projects
GEF-2				
Pipeline Entry to Work Program Inclusion	17.0	121	12.0	56
Work Program Inclusion to CEO Endorsement	17.0	185	5.5	20
CEO Endorsement to Agency Approval	1.0	180	2.0	20
Agency Approval to Effectiveness	5.5	143	2.5	100
PDF-A Approval to Effectiveness	49.7	15	26.0	64
PDF-B Approval to Effectiveness	40.7	100	NA	NA
GEF-3				
Pipeline Entry to Work Program Inclusion	30.1	241	31.8	12
Work Program Inclusion to CEO Endorsement	9.7	169	2.8	1
CEO Endorsement to Agency Approval	1.4	135	4.5	2
Agency Approval to Effectiveness	2.4	109	0.9	61
PDF-A Approval to Effectiveness	65.9	12	36.0	50
PDF-B Approval to Effectiveness	44.1	100	NA	NA

Source of raw data: Component 6 database.

Tables 3a (for FSPs) and **3b** (for MSPs) present a glimpse into the relative processing efficiencies of IAs (vs. all agencies). Note that these tables would only capture projects meant for single-agency and not multi-agency implementation. The three IAs, on average, invest about 5 more months in FSP preparation than the average for all agencies. At first glance, this appears unusual considering that the IAs have had extensive experience with the GEF and should therefore present shorter preparation times compared to other agencies. However, a closer look at the dataset revealed that most of the EAs did have preparation times higher than 30 months, and that the average for “all agencies” had been pulled down by the shorter timeframes (ranging from 10 to 11 months) recorded for certain jointly-implemented FSPs. These “efficient” joint projects involve the IAs working together (UNDP-UNEP and UNDP-UNEP-WB), hinting at synergies that may arise from having great familiarity with GEF requirements. Although other factors may be influencing this result, it would be difficult at this point to speculate without further information.

For MSPs, the processing times between IAs only and all agencies are not very different from each other.

Table 3a: Elapsed Time for Processing FSPs, All GEF Periods

Time Slice	All Agencies		IAs only	
	Months	No. of Projects	Months	No. of Projects
Pipeline Entry to Work Program Inclusion	23.6	414	28.3	355
Work Program Inclusion to CEO Endorsement	14.5	480	13.8	404
CEO Endorsement to Agency Approval	1.5	435	1.7	364
Agency Approval to Effectiveness	4.9	423	3.3	359
PDF-A Approval to Effectiveness	46.3	46	47.1	39
PDF-B Approval to Effectiveness	40.1	243	44.9	207

Source of raw data: Component 6 database.

Table 3b: Elapsed Time for Processing MSPs, All GEF Periods

Time Slice	All Agencies		IAs only	
	Months	No. of Projects	Months	No. of Projects
Pipeline Entry to Work Program Inclusion	15.0	71	14.6	68
Work Program Inclusion to CEO Endorsement	5.4	21	5.9	19
CEO Endorsement to Agency Approval	2.2	22	1.8	20
Agency Approval to Effectiveness	1.9	166	1.9	152
PDF-A Approval to Effectiveness	30.2	115	30.4	110
PDF-B Approval to Effectiveness	NA	NA	NA	NA

Source of raw data: Component 6 database.

Table 4 was developed by taking the average generic timeframes per cycle phase submitted by the agencies and putting them next to the actual elapsed times derived under Component 6. This was done to benchmark the actual processing durations of GEF-cofinanced projects with their respective agency standards. It is important to note that Table 4 presented durations for projects managed solely by one agency (not jointly-implemented projects), referring therefore to projects approved under direct access arrangements for the ExAs. It follows then that the number of observations for the ExAs are quite limited considering that direct access was operationalized only in 2002.

Table 4. Comparison of Agency Standard Timeframes with Actual Elapsed Time* per Cycle Phase, in Months

Cycle Phase	UNDP	UNEP	WB	ADB	AfDB	IDB	IFAD
Preparation Phase/ Pipeline Entry to Work Program Approval							
Standard Duration	12	ND	ND	15 to 31	7 to 30	ND	9 to 18
Actual Elapsed Time	33	34.5	17.5	39	ND	41	30.5
Number of FSPs	115	27	213	4	0	2	2
Appraisal Phase/ Work Program Approval to CEO Endorsement							
Standard Duration	3.5 to 6.5	ND	ND	2 to 4	4	ND	3 to 6
Actual Elapsed Time	15	12.5	14	10	ND	3.5	16
Number of FSPs	177	38	189	3	0	2	2
Approval to Start-up Phase/ CEO Endorsement to IA Approval and IA Approval to Effectiveness							
Standard Duration	3 to 6	ND	ND	ND	4 to 6	ND	3 to 6
Actual Elapsed Time: CEO Endorsement to IA Approval**	1.5	2	1.5	2.5	ND	5	(0.5)
Number of FSPs	153	29	182	3	0	2	2
Actual Elapsed Time: IA Approval to Effectiveness	3	0.5	6.5	6	ND	1	4.5
Number of FSPs	145	8	206	3	0	2	2
Actual Elapsed Time: CEO Endorsement to Effectiveness	4.5	2.5	8.0	8.5	ND	6.0	4.0
Number of FSPs	153	29	206	3	0	2	2

* Elapsed time data for all GEF periods, single-agency (excluding jointly-implemented projects), rounded off to the nearest 0.5

** Negative number recorded for IFAD refers to 2 projects where the IFAD Board approval came before the GEF CEO endorsement

ND = No data. No data was also reported for EBRD, FAO and UNIDO.

Source: Agency submissions for standard durations, and Component 6 database for the actual timeframes

Preparation Phase. Five agencies reported actual elapsed times for GEF FSPs that exceeded 2 ½ years, which are closer to the upper bounds of the regular timeframes submitted by ADB and AfDB. Since the non-GEF and GEF preparation timeframes of ADB³¹ are nearer to each other (an 8-month difference) compared to those for the other agencies, its regular procedures under this phase may have complemented GEF requirements³² well enough to allow for easier adaptation to GEF processing. However, this may not be a robust point since only four ADB FSPs are involved.

The WB registered a 1 ½ year period between GEF pipeline entry to Work Program inclusion, almost a full year less than the next shortest time (30.5 months for IFAD). This abbreviated preparation time is

notable because it represents the average for 213 FSP proposals (the highest number of agency FSPs across timeslices), possibly implying there could be economies of scale in preparing FSP proposals.

Appraisal Phase. The elapsed times of most agencies in appraising GEF projects ranged from 1 year to 1 year and 4 months, which are still more than twice the standard times they observe for projects overall (from 2 months to 6 months). This suggests that agencies need a lot more additional time to finalize FSPs for GEF CEO endorsement relative to finalizing the document for internal approval. This extra time may have been spent on firming up the incremental cost calculations and the cofinancing arrangements. IDB posted the shorter elapsed time of less than 4 months, although this was based on only four FSPs.

Project Approval and Start-Up. Two timeslices fall under this phase: GEF CEO endorsement up to IA approval, and IA approval up to effectiveness. The elapsed time results for these two periods should be added to become comparable to the standard durations for the entire phase. Data for UNDP and IFAD showed that their actual elapsed times were within the range for their overall projects, between 3 and 6 months. WB and ADB chalked the longest elapsed times of 8 to 8.5 months, due perhaps to procedures specific to the borrowing country since 75% of this time was posted from IA approval to effectiveness (para. 73 shows that, as early as the project preparation phase, WB staff already undertakes facilitation measures to minimize delays in loan effectiveness). UNEP had the shortest elapsed time of 2.5 months, even more notable if we consider that its loans (only eight though in the sample) could be declared effective 2 weeks after UNEP approval.

An important distinction needs to be made between the processing time which may be stipulated for a specific task (i.e., review of a concept paper) and the actual elapsed time for a given phase of the activity cycle (i.e., project concept development) to be completed. The preparation process entails a series of interactive steps which may involve two or more partners, each of whom may be operating under different time constraints. The processing timelines published by the GEF for its various decision points, which are not long (ranging from 5 to 30 working days) if added together do not capture all of the time which may be needed for reformulation or resubmission of documentation as a result of feedback from a prior decision point (as well as internal discussion about how to handle a given comment or suggestion). In 2005,³³ the WB did a detailed analysis of the length of time its GEF projects took at various stages of review (pipeline entry, work plan inclusion, CEO endorsement). The results showed that there were numerous occasions when review memos or other GEF notifications were received later than scheduled, typically in the range of one or two weeks later. The averages cited by the Bank were, however, significantly skewed by a small number of outliers with very long delays, especially in the case of new and multi-focal area projects where institutions were still learning the criteria applied to the operations. Using as an example the average delay in submitting the project review sheets³⁴ during the concept development phase for WB FSPs, the overall result of 15 days tend to overstate the more typical period of 9 days it takes to review a WB concept document for entry into the GEF pipeline.

The GEF Annual Performance Review for 2004 (which also included portions of the Arensberg study), identified another aspect of the GEF activity cycle which has tended to slow the process. Because there were no costs or consequences associated with submitting a project for GEF consideration, some projects have been entered into the system which for various reasons did not have strong support from the applicants, or had other underlying problems:

“A recent review identified some 72 projects that had been in the pipeline for over 3 years without moving beyond the concept stage to work program inclusion. The projects had been held up for a variety of reasons ranging from difficult political, institutional, and technical issues to bureaucratic neglect. In order to address this problem, the GEF Secretariat instituted a more aggressive approach to pipeline management. This ‘use or lose’ policy on the part of the GEF Secretariat should have a ripple effect that may do a

great deal to discipline and expedite the development and approval of GEF projects overall.” (2004 Annual Performance Review (APR), p.12).

The fact that, in the past, projects could be entered into the pipeline without the need for country endorsement has, according to some observers, tended to reinforce the temptation to submit project concepts on a more speculative basis than might otherwise be the case: should circumstances turn out well and the concept actually move forward then this would be a successful venture, whereas a stalled or failed concept would have no cost to the agency submitting the concept. Access to PDF-A resources might even make such a venture entirely free of cost to the applying agency, which otherwise would at least have to invest some staff time or consultant budget in preparation of a concept note. Under the new RAF this is no longer possible, and observers expect that this form of speculative concept submission will quickly disappear (though some worry that it could be replaced by other problems associated with the new gate-keeping function of country focal points). Whether the ‘use or lose’ policy by itself would have been effective in curbing speculative applications for GEF resources is difficult to say.

A review of previous efforts to reform and streamline the GEF activity cycle reveals that there had been many reforms whose results fell below expectations, such as those initiatives included in the 2000 GEF Project Cycle³⁵ and 2003 GEF Project Cycle Update³⁶. An instructive example of over-optimism can be seen in several aspects of the 1998 initiative “*Streamlining the Project Cycle*” (GEF/C.12/9). First, the introduction of the intersessional work program mechanism led to high hopes in several areas, with the claim that this had...

“...not only streamlined the project cycle by facilitating timely entry of projects into the work program, but has also promoted better quality in preparation of proposals by easing the bunching of projects and reducing the ‘now or never’ pressures on the GEF Secretariat and the Implementing Agencies which existed when work programs were only approved every six months.”(GEF/C.12/9, p.2).

Second, this 1998 document also claimed that expedited the procedures for processing MSPs, which were approved in October 1996, had already “*significantly reduced the time from concept to final approval.*”³⁷ Third, a set of “*effective, time-bound systems for consultation and coordination*” were expected to bring new efficiency to the project development and review process, and fourth, an information kit clarifying incremental cost concepts and tools was to be disseminated to country stakeholders, to simplify and standardize the GEF’s approach to incremental costs, and reduce delays and concerns associated with this concept. Fifth, the logframe methodology was to be promoted “*as a means to streamline GEF project cycle management, since its full value may best be realized where it is applied systematically as a design, management and evaluation tool.*”

UNDP’s strong support for logframe training for decentralized staff was expected to be a significant effort (with some basis, as it turns out; see para. 87). The WB’s introduction of new “project processing systems” (more accurately, new document formats, namely the Project Concept Document and the Project Appraisal Document, the latter replacing the earlier Staff Appraisal Report) were described as innovations with significant potential to streamline project processing, as were the new Learning and Innovation Loans (LILs) which were intended to greatly simplify smaller projects (below \$5 million) that would be oriented toward pilot-tests and applied research.

With the benefit of hindsight, it is clear that most of these claims were overly optimistic, and did not sufficiently probe the underlying reasons for the bureaucratic delays and complexity they tried to address. As we have already seen, MSPs remain disproportionately complex and slow to bring to approval despite the reform efforts, and on average an MSP takes about the same time to prepare as a non-GEF FSP in the IAs. Incremental cost concepts and criteria remain mysterious to many stakeholders. While there has been much discussion, in the GEF Council and elsewhere, of applying strict time limits and giving more

attention to coordination, it is not clear that this has resulted in a faster or more efficient cycle. The results of the elapsed time analysis show the changes have not effectively reduced the overall processing time for GEF proposals. As discussed in para. 49, while the average elapsed time for the approval phase was reduced from GEF-2 to GEF-3, the preparation time increased somewhat proportionally.

On the other hand, the problems described here are not purely a function of GEF requirements and procedures. Indeed, the example of the WB LILs, mentioned above, illustrates a larger trend which is relevant here. LILs were intended to give task teams a new tool for rapidly testing innovative ideas, which could then be replicated on a larger scale once their essential elements had been successfully demonstrated. But in practice, there were at least two problems with the LIL mechanism as it was implemented. The first problem relates to the tendency to misuse the LIL instrument. In several quality at entry and quality of supervision reviews, the WB's Quality Assurance Group found that some weak project concepts had been submitted as LILs, or larger concepts were repackaged in order to meet the \$5 million threshold, with insufficient attention being given to the learning objectives that were the original purpose of this instrument. Secondly, and ironically, in many cases it turned out that the actual processing time for a LIL was far longer than initially envisaged (very much in line with the experience of the GEF's MSPs), and were requiring nearly as much preparation effort as an FSP.

In part, the slower-than-expected processing appears to be related to reluctance to dispense with the regular review and clearance procedures (and this point is very relevant to the GEF as well). While in principle everyone may have agreed that it would make sense for LILs to be handled on an expedited basis, in practice there was great reluctance to dispense with standard review and clearance procedures, with few individuals being willing to relinquish their oversight responsibilities. In each case, legitimate concerns could be cited: it would not be prudent to dispense with fiduciary or safeguard oversight, to risk shortcuts on procurement regulations, technical standards, and so forth. But the aggregate results of individual caution are almost inevitably a slower process than initially expected. These developments have led to a recent initiative by the WB to reengineer the LIL instrument to better focus on the learning objective as well as to ensure more timely processing (though it is still too early to know the results of this reform). This experience points to the need for more realism in developing new project modalities or refining existing ones, and for a better understanding of the institutional incentive systems which influence the way agency staff actually function within the GEF activity cycle, which may differ from the initial expectations.

7. Application Of GEF Operational Principles In The Project Cycle

As described under methodology, the IAs and ExAs were asked to complete a survey questionnaire³⁸ ranking the relative importance of each of the six phases of the GEF activity cycle (concept development, preparation, appraisal, approval and start-up, implementation and supervision, and completion and evaluation) in achieving the relevant GEF OPs. It is expected that the effectiveness of the GEF cycle can be seen from how the OPs are applied in the cycle.

The results of the survey are presented in the table below. The 1-rated responses are shown with an 'X', to indicate those areas on which agencies clearly feel that the GEF OPs most directly apply. Cells filled with a "0" are those where 3-rated responses indicated a view that the OP was clearly not important in that case. The 2-rated responses ("somewhat important") are not shown here, in order to capture the most salient views, both positive and negative. The responses indicate strong support for the public involvement OP throughout the cycle (all six phases), and nearly as strong for country ownership, catalytic role/leveraging, and M&E (five phases rated "1"). Four negative responses at the concept stage are worth noting: for incremental costs, cost-effectiveness, disclosure and M&E. This simply suggests that for most respondents, these are factors which would come into play later in the development of the project.

Table 5: Summary of Agency Responses on Importance of GEF Operational Principles

(X=most important; 0=least important)

Principle Phase	Incremental Costs	Cost-Effectiveness	Country Ownership	Flexibility	Disclosure	Public Involvement	Catalytic Role	M&E
Concept	0=3	0=4	X=9		0=2	X=4	X=6	0=4
Preparation	X=9	X=5	X=8			X=9	X=9	X=6
Appraisal	X=7	X=5	X=6	X=6	X=3	X=3	X=7	X=5
Approval and Startup			X=5		X=4	X=5	X=5	X=5
Implementation and Supervision	0=5	X=4	X=7	X=6		X=7	X=5	X=8
Completion and Evaluation					X=4	X=6		X=8

Source: Agency survey conducted by GEF Evaluation Office.

The rather weak support for the flexibility OP (being shown as important only in two phases) is also interesting, though the data does not permit us to delve more deeply into its meaning. Given the subjectivity of the data collected for Table 3, a more extensive analysis of such data may not be warranted. Nevertheless, the specific agency rankings are presented in Appendix 6.

Instead, the proceeding discussion will focus on the agencies' submission of information relating to which OPs are specifically supported in their own organizational procedures, presented in Appendix 7³⁹. The purpose would be to compare the relative efficiency of the agency cycles (as discussed in Section 5 on the mapping of steps) with the effectiveness of the phase steps in terms of supporting the GEF OPs. This will draw attention to possible "best practices" within an agency cycle that enhance the achievement of the GEF OPs.

Incremental cost (OP2). It was logical for the agencies (AfDB, ADB, UNDP and WB) to identify the project preparation, appraisal and approval phases as the most critical for this OP. The incremental cost analysis is drafted during the preparation period either as an output of the PDF or as part of the requirements for GEF Work Program Inclusion, while the incremental cost evaluation is finalized for GEF and IA approval during the appraisal and approval phases. Within these three phases, WB subjects incremental cost issues to several reviews: the Quality Enhancement Review (QER), the Project Appraisal Document (PAD) Review, the (optional) Appraisal Mission, official negotiations and consideration by the Board of Executive Directors. ADB addresses this OP during the preparation of its project financing plan and the financial and economic analyses, while AfDB reviews the cost calculations for technical soundness.

Some of the agencies felt that incremental cost analysis is equally important during the concept development stage. For instance, WB subjects its draft concept paper to a GEF eligibility review from the WB GEF Regional Coordinator and technical specialists, possibly touching on the incremental costs and benefits. AfDB considers the analysis during its meeting with different stakeholders under this early phase as well.

Cost-Effectiveness (OP3). WB and ADB, and UNDP to a lesser extent, affirmed the important opportunities offered by most phases in realizing cost-effectiveness, implying that their internal reviewers may be quite conscious of cost-benefit options through most of the cycle. Their deliberations on cost-effectiveness may sometimes coincide with the reviews conducted for incremental cost, except that WB

reviews extend up to the completion and evaluation phase⁴⁰. AfDB develops several technical and institutional alternatives achieving the set objectives and compares these for cost-effectiveness at the preparation phase, while EBRD addresses cost-effectiveness at the concept development phase when it makes a preliminary assessment of the project's feasibility.

Country Ownership (OP4). WB has steps that enhance country ownership in the five phases, indicating the utmost importance of meeting this OP in its project cycle (monitoring and evaluation is the only other OP that WB incorporated in all five phases). For instance, the WB explicitly requires the endorsement of the GEF Operational Focal Point before a concept is submitted for Pipeline Entry, which is more stringent than the GEFSec's former requirement. During the appraisal phase, the WB spends three to four weeks in the client country to reach an agreement with both government and borrower on all aspects of the project. Early into the project preparation phase, WB staff also address any special country requirements pertaining to effectiveness, thereby allowing the borrower to approve legal opinions in advance of the date set for effectiveness⁴¹. ADB also has very similar measures, like devoting two to four weeks to an appraisal mission where ADB discusses the details of the proposed project with the borrower and the directly-affected agencies. ADB coordinates extensively with the borrower during the start-up stage, in terms of finalizing the project administration memorandum and getting agreement on counterpart funding and special financial procedures. The borrower also co-signs all Memoranda of Understanding resulting from ADB review missions. Unlike the WB⁴², however, ADB did not identify the completion and evaluation phase as vital to enhancing country ownership.

AfDB has adopted as a key goal its role of encouraging the borrower to be in the driver's seat, with respect to the identification of investment operations (phase 1) and the negotiation the loan agreement (phase 4). In the case of UNDP, OP 4 is supported mainly through the formal endorsement letter from the GEF Operational Focal Point at the preparation phase, and the review of the final project document at the fourth phase. EBRD is more categorical in stating that it has to receive first a request (either formal or informal) from the promoter or government to provide a loan before undertaking any concept development. After entry into the GEF pipeline, EBRD also signs a mandate letter with the borrower, describing the project plan, the development expenses and the responsibilities. After the approval phase, EBRD stresses that the project sponsor will be primarily responsible for implementation.

Flexibility (OP5). The agencies seemed more polarized about flexibility, with UNDP and AfDB having only one or no phase at all where it is pursued. EBRD indicated that the early phases from Concept Development up to Appraisal offer more room for flexibility rather than the last three phases, while ADB and the WB perceive almost all phases to be material to flexibly respond to changing circumstance. Again, the multiple reviews carried out by both banks give opportunities to revise approaches, consider new policies, assess action on loan covenants, provide supplementary financing or extend the project closing dates.

Full Disclosure (OP6). This principle is the least integrated into the agency cycles, with not much similarity between agencies in terms of relevant phases. EBRD authorizes the release of draft project documents 30 to 60 days before Board review, and the release of environmental impact assessments, 60 to 120 days prior to Board consideration. WB uploads the GEF Project Brief to its Operations Portal during the preparation stage, and GEFSec posts the project document on its website upon approval. ADB already uploads the project document in its website prior to signing by the Board.

Public Involvement and Participation (OP7). UNDP identified all the phases (except completion and evaluation) as crucial in strengthening public participation. Similarly, AfDB already meets with different stakeholders before drafting the project brief at the concept development stage, as well as during the preparation and appraisal missions. In the case of ADB, the project framework is discussed with prospective beneficiaries and interested NGOs at the concept development phase to ensure common

understanding by all parties. This is followed up in an inception workshop held during the PPTA stage to reach agreement on the best project design. EBRD notifies affected people and interested NGOs about the project during the preparation phase, conducting consultations and documenting public comments for presentation to the Board. Curiously, WB did not name a specific phase that enhances this OP although there are references within the procedures that involve public participation. For instance, stakeholder consultation was claimed to be critical in the Midterm Review stage, such that the planning of the reviews should be fully coordinated with the Borrower and stakeholders.

GEF's Catalytic Role and Financial Leverage (OP9). WB has learned how to leverage the GEF's reputation and resources in the four earlier phases, but did not specify which particular steps enhance these. In ADB, these coincide with the client discussions during the preparation and appraisal phases and during the finalization of the cofinancing arrangements at the approval phase. It is not so clear though why UNDP indicated the implementation and completion phases as supportive of GEF's catalytic role, without a specific phase step to provide the context. AfDB relates the preparation of the financial analysis and the review of the quality and technical soundness of the appraisal report as steps that take advantage of the GEF's clout.

Monitoring and Evaluation (OP10). WB builds into all the phases the procedures that promote this OP, similar to ADB but excluding the concept development phase. The major ones include:

- a. ADB's formulation of the project framework, where the project's objectives, inputs and activities, expected outputs and key indicators facilitates the monitoring implementation later on;
- b. WB's oversight of the project financial management, including periodically audited financial statements;
- c. WB-wide reporting standard of once a year as a minimum, wherein a supervision mission visits the project sites or representative subprojects and prepares an Implementation Status Report that will serve as the key internal reporting tool for project progress. The ADB-counterpart is the Project Performance Report that uses inputs review missions and is discussed quarterly. The review includes not only overall implementation, but actions taken to reduce poverty, comply with loan covenants (including social safeguards);
- d. WB Regional Coordinators provide feedback on the quality of the Implementation Status Report, especially the use of monitoring and evaluation in supervision;
- e. ADB assesses at the project completion review whether the borrower, the executing agency and ADB monitored the project's progress effectively against targets, in addition to their management and implementation of the project.

AfDB identified the appraisal and implementation phases as crucial for monitoring and evaluation, the former because it delineates accountability and the latter by naming the Task Manager as having primary responsibility for monitoring progress towards the achievement of project objectives and development impact. Both EBRD and UNDP highlighted the only last two phases. UNDP tasks the Project Coordinator to oversee the conduct of studies that will verify project purpose indicators, while the GEF Technical Advisor and the Project Coordinator will oversee the field offices' and supervising agencies' monitoring (annual) of project progress and performance. It also conducts a final external evaluation, a terminal report and a documentation of lessons learned. EBRD fields semiannual monitoring missions and an expanded mission every 3 years, to monitor the project's implementation in relation to agreed schedules, loan agreements and the use of project outputs by the borrower and the beneficiaries. EBRD also prepares a Project Completion Report and possible Operation Performance Evaluation Review.

Overall. The analysis shows that, of the five agencies that submitted OP data, the WB and ADB have more procedures that support the achievement of the GEF OPs, a possible indication of effectiveness within the GEF context. While having different procedures, both agencies have them in place for almost the same OPs (mainly country ownership, M&E, cost-effectiveness, and flexibility) and phases

(particularly in the preparation, appraisal, and approval). The only divergences deal with their mode of informing stakeholders: WB has more procedures on full disclosure while ADB incorporates more steps on public participation. Comparing these to the findings from Section 5 that WB and ADB tend to have more comprehensive procedures, there is basis for stating that the quantity of their phase steps is balanced by the higher quality of each phase product, as represented by the wide array of GEF OPs supported in each phase.

UNDP also indicated OP data for most phases but did not identify specific procedures that address the OPs. The OP that had the highest count of UNDP phase steps is public involvement, followed by incremental cost and country ownership. While data from Section 5 showed that it has a concise project cycle with relatively minimal procedures, UNDP still managed to include a good number of OPs in its phases, closer in number to those of WB's and ADB's. It would have been more enlightening though if UNDP had reflected the specific procedures in its submission, to offer insights to other agencies on how it has addressed the OPs with less requirements.

AfDB and EBRD indicated the least number of phases that support the GEF OPs, but this should not be seen as imputing judgment on quality, especially because these agencies may have submitted their regular cycles instead of the ones that incorporate the GEF. For instance, EBRD did not reflect any procedure that includes incremental cost and GEF's catalytic role, OPs that are unique to the GEF.

8. Conclusions And Recommendations

This review of the GEF activity cycle has found that there has been little change in the duration of review processes despite numerous attempts at streamlining and reforming procedures, dating back as far as 1998. Although evidence is mainly indirect, the preponderance of this evidence points to underlying institutional incentive issues and behaviors which have been resistant to change. And while some of the complicating factors are specific to the GEF (i.e., incremental costs as a condition for financing), there is also evidence of the importance of factors internal to the IAs (i.e., the experience of LILs in the WB, which in some ways parallels the case of MSPs in the GEF). Moreover, it is probably not the case that there is a single factor which is responsible for delays in project processing. If this were the case, then administrative measures to enforce strict turn-around times for review procedures would be a reasonable avenue for mitigating the problem. While there is some evidence that these service standards are sometimes violated, by themselves they do not account for the long delays which have characterized GEF processing over the years. A more plausible explanation is the complex interaction of activities by different partners, which frequently includes the need for substantial rework, which may also throw rather tight processing schedules out of sync with rigid timing windows such as Board dates. Another complicating factor is that the timing of certain GEF decision points may not "mesh" well with agency processing schedules, but nevertheless must be complied with, resulting in additional time pressures on project preparation staff.

The specialized nature of GEF projects also plays a role. By their nature these projects are complex, and involve technical issues for which there may be limited numbers of staff or consultants with relevant qualifications as well as institutional experience. When a GEF review raises an issue of eligibility, or requires additional information to be collected, it may not be possible for this to be quickly resolved through desk work alone, but may require mission travel, recruitment of a consultant, and meetings with national counterparts who themselves are often overstretched (especially those most familiar with GEF criteria and procedures). As one observer has noted, "as designed, the GEF project cycle can work only if everything goes smoothly."

This point also has relevance for the value-added of GEF review processes. A frequently-heard complaint concerns the duplication of review processes, when one considers the various review and approval steps within the IA or EA, as well as those of GEFSec and Council. It is understandable that task teams within IAs and EAs would be in favor of reducing the scope for GEF review in order to expedite the preparation and approval process. From their point of view, the IAs and EAs should be considered responsible for preparing project designs that meet professional standards, but are also fully consistent with the GEF's specific criteria (such as incremental costs) and so, therefore, GEF reviews should only focus on the latter elements, and not scrutinize all aspects of project design.

On the other hand, the GEF Council had often expressed concern that the quality of project proposals had been inconsistent, which does not argue in favor of reducing the intensity of the review process. Evidence for this viewpoint is provided in the 2005 APR, which examined the quality of monitoring and evaluation arrangements at entry, for some 74 projects receiving GEF CEO endorsement during FY05. The results showed that about 42% of the projects were not compliant in certain M&E parameters, in spite of the prevailing multiple review procedures (see 2005 APR,). Interestingly, the results for UNDP were significantly better (only 32% do not meet overall expectations), which indicates that there has been some measurable improvement as a result of that agency's strong focus on the logframe as a key element of design. The role of quality assurance procedures probably needs to be given more attention, therefore.

The quality at entry review of M&E carried out in the 2005 APR represents a useful start, which could be expanded in future years to include broader aspects of project design (as well as supervision). Based on the experience of past revisions of the cycle, it would probably be a mistake to count on further streamlining initiatives which are not backed by strong management support within the GEF and the agencies, and verified by independent quality assurance reviews. The positive aspect of this point is that some streamlining **may** be possible, **if** overall quality at entry is strengthened and accountability systems provide reasonable assurance that quality standards will be maintained.

With the application of direct access and the increasing importance of integrated approaches, the distinctions between agencies and the comparative advantages discussed in Appendix 1 has become blurred. Therefore there is a need to really promote cooperation between agencies, and between IAs and EAs. The factors leading to the competition among agencies to access the pipeline and the allegations of poaching need to be addressed carefully. The incentive systems created by the fee base has to be considered in this context. This competition will, however, take a different form with the advent of RAF.

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¹ These include the GEF, Asian Development Bank (ADB), United Nations Industrial Development Organization (UNIDO), United Nations Environment Programme (UNEP), United Nations Development Programme (UNDP), World Bank (WB), Food and Agriculture Organization (FAO), International Fund for Agricultural Development (IFAD), Inter-American Development Bank (IDB), African Development Bank (AfDB), and European Bank for Reconstruction and Development (EBRD).

² Other ideas of assessing the different operational systems; possible comparative advantages; current capacities and skills and organizational incentives to GEF project management; and the GEF's use of such agency systems, capacities, and processes were not followed through due to lack of detailed information.

³ Some of the agency submissions were in draft form as revisions were being undertaken (i.e., AfDB, FAO).

⁴ ADB, IDB, and UNDP provided their cycles for FSPs and MSPs, while WB and GEFSec submitted for all FSPs, MSPs, and enabling activities.

⁵ Originally covering projects processed during the second and third GEF replenishment cycles (GEF-2 and GEF-3), the Component 6 study was eventually extended to include the analysis of all projects since the GEF pilot phase in the early 1990s. However, this report will dwell only on GEF-2 and GEF-3 periods because these possibly represent the most efficient process cycles, having benefited from streamlining initiatives since 1996.

⁶ AfDB, ADB, EBRD, FAO, IFAD, UNDP, and WB.

⁷ From the GEF perspective, the project cycle begins once a concept proposal has been submitted by an IA or EA, but in reality considerable identification work may have been done by the agency before submission of a concept note. Therefore, the precise moment at which a project idea becomes formally a "concept" is not always clear. After an initial review of a sample of GEF concept papers submitted by the WB, GEFSec discovered that there were often multiple versions with different dates, giving little indication of which version should be considered the "official" starting point. Presumably, within an agency, there would have been some internal action taken at which point a project officer or team is given the go-ahead to begin exploring a potential GEF operation and spending staff time in the process, but investigating this was beyond the scope of the present study.

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- ⁸ For instance, negative durations were noted for some projects under the “CEO Endorsement to IA Approval” and “IA Approval to Effectiveness” timeslices. These were clarified to refer to cases where the agency approval came ahead of GEF endorsement, and where the project effectiveness preceded agency approval.
- ⁹ There are 10 GEF OPs but only eight were deemed relevant: incremental cost, cost-effectiveness, country ownership, flexibility, full disclosure, public involvement and participation, country eligibility, GEF’s catalytic role, and financial leverage and monitoring and evaluation.
- ¹⁰ The 2000 project cycle document did not elaborate whether the terminal evaluation report would be prepared by the IA/EA or the GEF, so this was incorporated in the 2003 project cycle.
- ¹¹ The PDF-A was already mentioned in the 2000 project cycle document, but was not explicitly identified as GEF decision point, possibly because the “GEF Secretariat reviews (such) proposals ex-post for conformity with the purposes of the PDF xxx.” (para 14, GEF/C.16/Inf.7)
- ¹² These steps were submitted to the joint evaluation by the GEF Sec.
- ¹³ This step is also not specifically mentioned in most of the agency submissions concerning the steps involved in processing of GEF operations, as discussed in the next section. Similarly, agency cycles do not refer explicitly to all GEF steps.
- ¹⁴ Along with the duplication of review procedures and documentation, thus increasing the cost of coordination and communication. Another EA disadvantage referred to the relative lack of understanding of GEF policies and procedures, a barrier that the IAs had overcome through the corporate biannual GEF Staff Familiarization Seminars and frequent interaction with the GEF Secretariat.
- ¹⁵ These may include the EA’s mainstream programs, staff skills, scope and size of country assistance programs, sector strategies, cofinancing, etc.
- ¹⁶ Relates to a) the flow of information within the GEF family, e.g., actions of the focal area task forces, RAF preparations, etc.; and b) the distribution of resources, i.e., the three IAs receive payments for staff time, travel and other costs for participating in GEF policy or strategic functions while EAs finance their contributions through their own budgets.
- ¹⁷ Comparative Advantages and Complementary Roles of the Implementing Agencies and Executing Agencies of the GEF, 9 May 2006, GEF/C.28/15
- ¹⁸ Through the “Joint Response of the GEF Executing Agencies to the Paper Prepared by the GEF Secretariat on Comparative Advantages and Complementary Roles of the Implementing Agencies and Executing Agencies of the GEF, 20 June 2006, GEF/C.28/CRP.5 (Conference Room Paper)
- ¹⁹ Some of the material in this section has been prepared by Frederick Swartzendruber for a parallel report to the GEFSec in planning for a Results-Management Framework for the GEF.
- ²⁰ An assessment of quality of M&E arrangements at entry was conducted by the GEF EO for the FY2005 Annual Portfolio Review, but the projects being assessed had already received CEO endorsement by that time, and the review had no direct operational bearing on the projects.
- ²¹ GEF/C.28/15.
- ²² GEF/C.25/12/Rev. 2 “Third Overall Study of the Global Environment Facility,” August 2005.
- ²³ The GEFSec provided the draft process cycles to the Joint Evaluation in February 2006.
- ²⁴ For instance, UNEP submitted a 1-page schematic, while UNIDO gave a 2-page table.
- ²⁵ Referring to FAO and AfDB.
- ²⁶ For instance, while the GEF considers the process of GEF CEO endorsement to fall under the appraisal phase, most of the agencies grouped these steps under the approval phase. UNDP and AfDB also placed their appraisal and negotiation steps under the approval phase.
- ²⁷ WB, IDB, and IFAD explicitly mentioned an endorsement from the country focal point in their procedures.
- ²⁸ Referring to UNEP, AfDB, EBRD, FAO, and IDB.
- ²⁹ Although this could be linked to recent efforts at IFAD to simplify some of its processes.
- ³⁰ A minor case involves the approval period (from CEO endorsement to IA approval), where the MSP average was greater than the FSP timeframe, owing to three MSPs jointly financed by WB and IFC that unduly raised the average timeframes for that timeslice under both GEF-2 and GEF-3.
- ³¹ AfDB data on actual elapsed times was not available, unfortunately.
- ³² Drafting, review and finalization of the FSP proposal for GEF work program inclusion. ADB usually absorbs the cost of the preparatory work through its project preparatory technical assistance (PPTA), so it is possible that bypassing the PDF route at GEF may have translated to shorter preparation elapsed time.
- ³³ *Reference to be provided by Siv Tokle.*

³⁴ The project review sheet is the template used by the GEFSec, other IAs, relevant EAs and convention secretariats to evaluate the concept document using the GEF review criteria, and is used as the basis for the bilateral discussion between the GEFSec and the IA.

³⁵ GEF/C.16/Inf.7

³⁶ GEF/C.22/Inf.9

³⁷ GEF/C.12/9 “Streamlining the Project Cycle,” September 11, 1998, footnote 23.

³⁸ EBRD was not able to participate in the survey.

³⁹ Since fewer agencies submitted data for Appendix 7 relative to Appendix 6, only the cases of the five agencies common to both appendices will be discussed here.

⁴⁰ Including the annual WB implementation status reports, WB Midterm Review, annual GEF project implementation reviews, WB Implementation Completion Report, and WB IEG Project Performance Assessment Report.

⁴¹ Thus, the elapsed time after WB approval will effectively represent the time it takes for the client country to ratify the loan or credit agreements.

⁴² The WB did not identify an explicit procedure under this phase that supports OP4; there is a reference though to the sending of the project closing notification letter to the client.

Appendix 1: Roles Of The Implementing Agencies And Executing Agencies Of The GEF¹

A. Roles of Implementing Agencies as Stipulated in the GEF Instrument²

1. United Nations Development Programme
 - a. Primary Role. Ensure the development and management of capacity building programs and technical assistance projects;
 - b. Assist countries in promoting, designing, and implementing activities consistent with the purpose of the Global Environment Facility (GEF) and national sustainable development strategies; and
 - c. Contribute to the development of regional and global projects within the GEF work program in cooperation with other implementing agencies.
2. United Nations Environment Programme
 - a. Primary Role: Catalyze the development of scientific and technical analysis and advance environmental management;
 - b. Provide guidance on relating the GEF-financed activities to global, regional, and national environmental agreements; and
 - c. Establish and support the Scientific and Technical Advisory Panel (STAP) as an advisory body to the GEF.
3. World Bank
 - a. Primary Role: Ensure the development and management of investment projects; and
 - b. Mobilize private sector resources that are consistent with GEF objectives and national sustainable development strategies.

B. Roles of Executing Agencies as Described in the GEF Business Plan FY2003–FY2005³

4. Regional development banks (African Development Bank, Asian Development Bank, European Bank for Reconstruction and Development and Inter-American Development Bank)
 - a. Develop and manage investment projects at the country or multicountry level; and
 - b. Mobilize private sector resources within their respective regions.
5. Food and Agriculture Organization:
Focus on persistent organic pollutants in the agriculture sector.
6. International Fund for Agriculture Development:
Focus on land degradation, with emphasis on smaller countries such as those in Africa.
7. United Nations Industrial Development Organization:
Focus on persistent organic pollutants in the industrial sector.

¹ Based on GEF/C.28/15 dated 9 May 2006: Comparative Advantages and Complementary Roles of the Implementing Agencies and Executing Agencies of the GEF.

² Instrument for the Establishment of the Restructured Global Environment Facility, May 2004.

³ GEF/C.19/10.

Appendix 2: Terms Of Reference For Component 4-Review Of Activity Cycles

A. Background

The Global Environment Facility (GEF) provides new and additional funding to meet the agreed incremental costs of measures to achieve agreed global environmental benefits in six focal areas. The GEF functions as a mechanism for international cooperation, with three implementing agencies (IAs) (United Nations Environment Programme [UNEP], United Nations Development Programme [UNDP], World Bank); seven executing agencies (EAs) (African Development Bank [AfDB], Asian Development Bank [ADB], European Bank for Reconstruction and Development [EBRD], Inter-American Development Bank [IADB], International Fund for Agricultural Development [IFAD], Food and Agriculture Organization [FAO], United Nations Industrial Development Organization [UNIDO]); and a Scientific and Technical Advisory Panel (STAP). In June 2005, the GEF Council approved, as a special initiative, a Joint Evaluation of the GEF Activity Cycle and Modalities. The need for this joint evaluation was identified during a process of consultation with GEF partners on monitoring and evaluation (M&E) within the GEF.

The **objective** of the evaluation is to review the experience in the programming and management of GEF activities and recommend improvements, with a view to supporting further simplification and standardization in GEF operations. Specifically, the evaluation will: (a) Demonstrate the strengths and weaknesses in the GEF activity cycle and modalities and identify the contributing factors; (b) Identify and analyze the constraints which need to be addressed to improve the efficiency in GEF operations, including possible changes in procedures and systems; and (c) Provide recommendations to increase the efficiency and effectiveness of GEF operations and modalities.

As per the overall Terms of Reference (TOR) and Evaluation Matrix (see separate papers), the evaluation would address the following five **key questions**: (a) Is the GEF activity cycle efficient?; (b) Is the GEF activity cycle effective?; (c) Are the GEF modalities efficient?; (d) Are the GEF modalities effective?; and (e) Are the GEF modalities relevant? The evaluation will be undertaken through specific components (see Box 1). These TOR relate to Component 4: Review of activity cycles.

Box 1: Evaluation Components:

- 1: Desk review of the legislative framework
- 2: Desk review of evaluations
- 3: Review of related initiatives
- 4: Review of activity cycles
- 5: Exploratory review of delivery modalities
- 6: Review of project documentation
- 7: Select field visits
- 8: Stakeholder survey work

The evaluation will be undertaken through eight specific components. This terms of reference (TOR) relate to Component 4 on the Review of Activity Cycles.

B. Goal and Scope of the Review of Activity Cycles

The review of Agency activity cycles aims to provide a factual overview of the programming processes in the concerned agencies and of GEF's decisions points in these project cycles.

The evaluation will cover all Phases of the project cycle. It will focus on quality-at-entry, namely Phases I: Concept Development, II: Preparation, III: Appraisal, and IV: Approval/Implementation Start (of first year of project).

For Phase V: Implementation Supervision and VI: Completion and Evaluation, issues are covered by the GEF Annual Performance Report, and the evaluation will therefore limit itself to gathering existing data. Specific issues in implementation should be addressed, such as joint Agency implementation and evaluation of medium-sized projects (MSPs). Where parameters for cycle/modalities have changed notably over time, the effect of these may be identified.

This assessment will focus on the cycle for instruments used for GEF programming (equivalent of full-sized projects [FSPs]), to be defined for each agency. To provide comparability, the assessment will be based on the evaluation matrix.

The evaluation will research basic data and statistics for GEF projects with regard to cycle phases, such as timelags, etc., in Component 6. This Component 4 on activity cycles will provide the building block for analyzing such data.

C. Expected Outputs

Main expected products from this component are (i) a paper on the GEF cycle, and (ii) papers on agency cycles. These will contain, at a minimum:

- Definition of cycle phases, their goals (if any);
- Tracking of key GEF and agency requirements for the cycle (possibly in table format);
- Steps and responsibilities in each phase;
- Data on duration of phases/steps; and
- Variations for modalities (if any).

The outputs will be used as a contribution to the main evaluation report (chapter on the activity cycle); and as further input to the Evaluation Matrix (norms and indicators). The review would allow a comparative analysis of gaps and synergies with the GEF requirements and the GEF steps in the project cycles. It will also be used to guide the work of other components such as Component 6 on documentation review and statistics.

D. Tasks

Identify and compile documentation, including relevant legislative body documents and decisions, as well as other corporate guidance. The review would be based on manuals, operational guides, as well as interviews and/or studies on actual experience where available.

For the GEF, this would include Council and Convention decisions, and the recent Operational Manual and the key legislative documents on cycle issues:

- The GEF instrument;
- The GEF operational strategy;
- Proposed GEF Project Cycle (GEF/C.2/3);
- GEF Project Cycle (GEF/C.4/7);
- Staff Recommendations for Selective Review of Projects (GEF/C.5/7);
- STAP Recommendations for Selective Review of Projects by STAP (GEF/C.6/Inf.8);
- Proposal for Approval of GEF Work Program (GEF/C.7/7);
- Streamlining the Project Cycle (GEF/C.12/9);
- Driving for Results in the GEF: Streamlining and Balancing Project Cycle Management (GEF/C.16/5);
- GEF Project Cycle (GEF/C.16/Inf.7);
- Progress Report on the Project Management Information System (GEF/C.17/Inf.12);
- Overall Structure, Processes and Procedures of the GEF (GEF/C.18/8);
- Format for the Executive Summaries of GEF Project Proposals (GEF/C.20/Inf.4);
- GEF Project Cycle: An Update (GEF/C.22/Inf.9);
- Project Cycle Update: Clarification of Policies and Procedures for Project Amendments and Drops/Cancellations (GEF/C.24/Inf.5);

- A Conceptual Design Tool for Exploiting Interlinkages between the Focal Areas of the GEF (GEF/C.24/Inf.10);
- Clarification of Procedures for Council Review and Approval of the Work Program (GEF/C.25/10).

Corporate GEF evaluations that specifically address cycle issues include:

- Evaluation of experience with conservation trust funds (1998);
- Study of impacts of GEF activities on phase-out of ozone depleting substances (2000);
- Review of GEF engagement with the private sector (2004);
- Local benefits study (2005); and
- Project performance reports (PPRs), all program studies, and all three overall performance studies.

For the agencies, these include the UNEP Project Manual; the UNDP Programming Manual; the FAO Project Cycle Management Technical Guide (2001), the UNIDO Manual for the Preparation of Industrial Feasibility Studies, Manual for the Evaluation of Industrial Projects and Guide to Practical Project Appraisal; the IFAD Managing for Impact in Rural Development: A Practical Guide for M&E, Loans and grants Administration: Operational Manual; and the World Bank Operational Manual (list not exhaustive).

Analyze and review documentation by summarizing and codifying phase steps, including:

- identification of terminology used by the agencies (see preliminary list below),
- definition of cycle phases and their goals (if any),
- tracking of key GEF and agency requirements for the cycle,
- identify steps and responsibilities in each phase (using format in Annex B),
- obtain data on duration of phases/steps,
- analyze application of GEF norms/criteria ,
- specify any variations for modalities (if any) or joint implementation, and
- draft paper with above items.

Consult and interview relevant resource persons, as necessary, such as GEF Secretariat (GEFSec) management and staff, agency operational policy units, GEF coordinators, and task managers. Identification of staff to interview will be done when tasks (i) and (ii) are completed, and items needing clarification are identified.

Aggregate and analyze the various inputs by a comparative analysis of gaps and synergies with the GEF requirements and the GEF steps in the project cycles.

E. Methodology

Definition. An activity cycle (also called “project cycle”) represents a fundamental process of development interventions, irrespective of the nature of the activity or the actors. This evaluation uses the term ‘activity cycle’ to denote that GEF provides support in different forms, all of which follow a specific process. The dominant form of support is the project. The definition of concepts (terminology) of each cycle phase varies among stakeholders and would be clarified by the evaluation.

The evaluation aims to analyze (i) the efficiency of the GEF activity cycle, by looking at the time, effort, and money it takes to develop and implement a project; and (ii) its effectiveness, in terms of value added at each cycle stage, and the quality products produced. Ultimately, the evaluation looks at the extent to which the cycle (and phases) does what it is intended to do, with timely and successful completion of each phase with optimal use of resources. It should also bring out any focal-area specific issues or requirements or practices.

Key Question 1 – “Is the GEF activity cycle efficient?” As a first step, the terms, goals, steps, and responsibilities will be mapped for each agency. This will allow for assessment of effort, and aggregation and

gap/overlap analysis with GEF requirements. The mapping will be descriptive and summarized in a template in Annex B, according to the following generic cycle phases:

- (i) Phase I: Concept Development;
- (ii) Phase II: Preparation;
- (iii) Phase III: Appraisal;
- (iv) Phase IV: Approval and Start (1st year);
- (v) Phase V: Implementation and Supervision; and
- (vi) Phase VI: Completion and Evaluation.

As a second step, data will be identified for time, effort, and costs in general for the agency cycle and for the GEF projects in particular. This will provide information for assessment against external practice. (The IAs already have data on elapsed time for GEF projects and for their own regular projects.) This will be complemented by assessment of processing timeframe standards for GEF projects (from the GEF Operational Manual) of technical reviews, processing, CEO approval/endorsement, Council review/approval, etc. (from Component 6 on project review).

Indicators concern time (timelag/elapsed time for phases and steps, project actual duration vs. intended); effort (number of reformulations concept papers, number of project resubmissions to Council, number of review comments made, number of people involved each step, number of steps involved each phase, number of person-days needed to formulate/submit, reformulate/submit); and cost (project financial data, fees, staff costs).

As a third step, the application of GEF norms/criteria (relevant operational principles) will be assessed for the agency cycle (and subsequently for GEF-specific decision points). The basic issue is what time, effort, and costs it takes for agencies to address these principles in their own cycles (if at all); and what extra is added by GEF requirements,¹ for the following relevant criteria:

- **Flexibility** to respond to changing circumstances. What elements of flexibility are built into the cycle procedures? What are the implications of (non)flexibility on time, effort, and efficiency? Examples of ability to manage activities flexibly within that system (adaptive management).
- **Full disclosure** of non-confidential information. What are disclosure policies? How is disclosure addressed in the cycle (of what, by whom, to whom)? What are the implications of (non)disclosure on time, effort and efficiency? Examples of trade-offs with transparency vs. efficiency?
- **Catalytic role and financial leverage.** How is catalytic role and leverage addressed at each phase? What are the implications of leverage requirements (incremental cost calculations, cofinancing requirement) on time, effort, and efficiency? Examples of trade-offs with efficiency?
- **Regular monitoring and evaluation.** How is M&E addressed in the cycle? What are the implications of (non)disclosure on time, effort and efficiency? Examples of trade-offs with transparency vs. efficiency? (Note: This aspect will not be studied in-depth as it is covered by PPRs, APRs).

Key Question 2 – “Is the GEF activity cycle effective?” looks at cycle phase effectiveness, in terms of value added at each cycle stage and the quality products produced. The basic data for GEF projects will be provided by Component 6 on documentation review, including qualitative assessment of products resulting from its effectiveness, in terms of value added at each cycle stage, and the quality products produced by the various cycle phases/steps. The ‘value added’ will be defined in terms of application of the relevant operational principles, and how and when each phase is effective in addressing each principle as the projects move through the cycle. (Component 6 will provide project statistics on value added; this component will address this in terms of organizational procedures/requirements). Table 1 provides a format for summarizing findings.

¹ However, given the absence of more detailed procedures specific to the GEF operational principles, this assessment of the agencies’ application of the GEF norms or criteria in their respective cycles could not be carried out.

Table 1: Application of GEF Principles in the Project Cycle^a

	2 – Incremental Cost	3 – Cost Effective	4 – Country Driven	5 – Flexibility	6 – Dis-closure	7 – Public Involvement	9 – Catalytic Leverage	10 – M&E
Phase I: Concept Development								
Phase II: Preparation								
Phase III: Appraisal								
Phase IV: Approval and Start (1 st year)								
Phase V: Implementation and Supervision								
Phase VI: Completion and Evaluation								

^a Principle 1-COP mainly applies to relevance and effectiveness of modalities (Q4 and Q5); Principle 8-Country eligibility mainly applies to relevance (Q5), but is an underlying parameter and not a main focus of the evaluation.

This component is linked to the review of possible delivery modalities, in the sense that cycles may differ depending on modality. The assessment will highlight such differences (if any), complemented with Component 5 on whether other modalities address GEF criteria equally well.

Finally, aggregation will analyze the roles and responsibilities in project cycle implementation within the GEF network. The combined assessment of cycles will help to assess:

- The work distribution at different stages of the activity cycle within agencies, between agencies (for jointly implemented projects); between agencies and partners (governments, GEF Secretariat, STAP, ...).
- The operational systems; comparative advantages; capacities and skills, organizational incentives to GEF project management.
- The GEF use of agency systems, capacities, and processes.

F. Key Responsibilities and Process

This task requires good knowledge of agency systems and procedures, and is best undertaken through self-assessments, possibly with the support of consultants.

For GEF-specific cycle requirements, the GEF Secretariat will provide input to the GEF Evaluation Office who will review and consolidate a paper. GEF Agency evaluation offices will take the lead on their own agency cycles, to be undertaken by evaluation unit and/or operational unit. The ADB Operations Evaluation Department (Ms. Mala Hettige) will take the lead in coordinating and consolidating the inputs from this component.

Estimated time for GEF cycle review: 1 week for description, 1–2 weeks for analysis, and consolidation.

Suggested timeline:

- Compile and analyze GEF cycle documentation (task a and b): By end year 2005, share products with partners;
- Compile and analyze agency documentation (task a and b): By 15 January 2006, share products with partners;
- Determination by core evaluation group of complementary information: end January 2006, with possible interviews January–February 2006; and
- Aggregation and comparison of the cycles: January–February 2006.

Annex B: Table on Agency Cycle Phases and Steps

Generic phase Modality	Phase I: Concept Development	Phase II: Preparation	Phase III: Appraisal.	Phase IV: Approval and Start	Phase IV: Implementation Supervision	Phase VI: Completion and Evaluation
Project (full-sized)	Term of phase: Goal of phase: Normal/average duration: Steps/responsibilities: • •	Term of phase: Goal of phase: Normal/average duration: Steps/responsibilities: • •	Etc.			
Project (medium-sized)	Etc.					
PDFs						
Other						

G. Terminology for Agency Cycle Phases

1. World Bank
 - Poverty Reduction and Country Assistance Strategies,
 - The Identification Phase,
 - The Preparation Phase,
 - The Appraisal Phase,
 - The Negotiation and Approval Phase,
 - The Implementation and Supervision Phase, and
 - The Evaluation Phase.

2. International Finance Corporation (IFC)
 - Application for IFC Financing,
 - Project Appraisal,
 - Public Notification,
 - Board Review and Approval,
 - Resource Mobilization,
 - Legal Commitment,
 - Disbursement of Funds,
 - Project Supervision, and
 - Closing.

3. IFAD
 - Inception,
 - Formulation,
 - Appraisal,
 - Negotiation and approval,
 - Implementation, and
 - Evaluation.

4. ADB
 - Country Strategy and Program,
 - Preparation,
 - Project Identification/Preparation,
 - Project Examination,
 - Appraisal/Approval,
 - Appraisal,
 - Loan Negotiation,
 - Board Approval,
 - Loan Signing,
 - Loan Effectiveness,
 - Implementation, and
 - Evaluation.

5. AfDB
(not accessible on website)

6. IADB
 - Preparation,
 - Approval, and
 - Implementation.

Appendix 3: Development Of Direct Access Policy For Executing Agencies

Date	Milestone	Source
Jun 1992	ADB, AfDB, and IDB suggested a meeting with WB to discuss the role of RDBs in GEF, particularly in the allocation and management of GEF resources	24 September 1993 ADB memo on Bank participation in GEF
Oct 1992	RDBs and WB met and agreed to propose to GEF (i) RDB autonomy to identify, appraise, supervise, monitor, and evaluate GEF operations according to their own procedures but following GEF technical review standards and project design criteria; (ii) RDB representation in the STAP Implementing Committee, including charging of all administrative costs; and (iii) encouragement of joint programming exercise.	ADB notes for November 1998 GEF Council meeting
Dec 1992	The GEF Participants' Assembly encouraged IAs to work with RDBs on Framework Agreements to enable them to act as EAs in the restructured GEF. However, the Assembly emphasized that the implementation function should continue with the three established IAs, and that they were not in favor of earmarking resources to the RDBs/UN agencies.	9 September 1998 memo suggesting material for s speech by Chief OESD
May 1993	ADB restated during the Participants' Assembly in Beijing that RDBs are prepared to take part in its planning, programming, and implementation in accordance with acceptable regulations and procedures. The Assembly noted that the question is not of RDBs' participation in GEF operations <i>per se</i> but how.	9 September 1998 memo suggesting material for s speech by Chief OESD
Jul 1995	The GEF Council did not advise the RDBs and WB to enter into framework agreements, but instead, urged that such collaboration may be pursued on a "project-by-project" basis, with collaboration taking the form of project-specific EA agreements.	9 September 1998 memo suggesting material for s speech by Chief OESD
Mar 1998	The IAs have been expanding, deepening, and diversifying their collaboration with capable EAs for project execution and building continuously on their experience.	Para. 19, page 9, Council Document, 10 Sep 1998
Oct 1998	GEF/C.12/10 on "Expanded Opportunities for Executing Agencies" was discussed during the GEF Council session, arguing that the projected growth in GEF business will need to come from increased involvement from EAs, especially given the need to stabilize GEF administrative costs and the fact that the three IAs are already approaching their delivery capacity. The paper proposed three options: (i) business as usual, (ii) expanding shared implementation with EAs, and (iii) introducing full responsibility by EAs. The second option has been applied in the case of the Bangladesh Sundarbans, where ADB and WB share implementation tasks but where WB remains accountable to the GEF Council. This option remains untested for other RDBs. Some countries and IAs were not comfortable with Option 3, and the Secretariat was requested to revise the approach by May 1999.	Para. 4, page 2, 10 Feb 1999 ADB Back-to-Office-Report (BTOR)
Jan 1999	According to GEFSec, any medium term increased role for EAs should not require an amendment to the Instrument for the Restructured GEF, since this would need the decision of the GEF Assembly (which would not convene in 3 years). Thus, any proposal to present RDBs with full IA status was not on the table.	Para. 6, page 2, 10 Feb 1999 ADB BTOR
May 1999	The Council granted the four RDBs (AfDB, ADB, EBRD, IDB) direct access to GEFSec for determinations on project eligibility and for approval of PDF-B grants, without having to pass through an IA, provided an IA agreed to remain fully accountable to the Council for the project's implementation. The Council limited the IA's accountability for EA activities under expanded opportunities to conducting the due diligence review to ensure compliance of the EAs with the policies and procedures of the GEF. Once such compliance was assured, the EA would be solely accountable for fulfilling the policies and procedures and assuring the	Page 5, Council Document, 19–21 Nov 2003 (Review of Experience with EAs Under Expanded Opportunities) GEF/C.13/3

Date	Milestone	Source
	quality, implementation, and financial integrity of their GEF projects.	
May 2000	The Council raised concerns over the complex arrangements and division of labor between EAs and IAs and stressed the need to develop a clearer definition of “accountability”. The Council suggested the following to be the responsibilities of the IA: (i) assessment of whether the EA can comply with the policies and standards of GEF; (ii) an assurance of quality at entry of project proposal in the work program based on project preparation; and (iii) a defined role for the IA in the evaluation process at project completion.	Para. 13, page 6, Council Document, 1–3 Nov 2000 (Driving for Results in the GEF: Streamlining and Balancing Project Cycle Management)
May 2001	The Council approved the criteria for selecting new EAs, based on strategic match with the GEF corporate plan, capacity, and complementarity.	Page 1, 9–11 May 2001, Council Document (Criteria for the Expansion of Opportunities for EAs)
Oct 2002	The Council expanded the access of ADB and IDB for PDF-A, PDF-B, MSP, and FSP, in response to the policy recommendations of the Third Replenishment. Other EAs (EBRD, AfDB, IFAD, UNIDO, and FAO) were given access to PDF-B only, although the last two EAs could also access enabling activities for POPs.	Page 6, Council Document, 19–21 Nov 2003 (Review of Experience with EAs Under Expanded Opportunities)
Nov 2003	The Council approved direct access for IFAD, EBRD, AfDB, UNIDO, and FAO acting within their agreed scope for GEF operations. GEFSec, EAs, and Trustee were asked to aim for the necessary legal agreements by May 2004.	Page 7, 31 Aug to 1 Sep 2005 (Review of Action Plan to Respond to Recommendations for Improving GEF’s Performance)
Jun 2004	Memorandum of Understanding and Financial Procedures Agreement for direct access to GEF full project resources was finalized for ADB	ADB files
Oct 2004	Memoranda of Understanding and Financial Procedures Agreements for direct access to GEF full project resources were finalized for IDB and UNIDO	Page 5, para 10, Council Document, 17-19 Nov 2004 (Trustee Report)
Apr 2005	Memoranda of Understanding and Financial Procedures Agreements for direct access to GEF full project resources were finalized for FAO and AfDB	Page 5, para 10, Council Document, 3-8 June 2005 (Trustee Report)
Aug 2005	Memorandum of Understanding and Financial Procedures Agreement for direct access to GEF full project resources was finalized for IFAD	Page 9, Council Document, 9-11 Nov 2005 (Review of Action Plan to Respond to Recommendations for Improving GEF’s Performance)
2005	GEFSec will prepare an annual review of experience of EAs designated under expanded opportunities. Based on these reports, the Council will consider whether additional agencies should benefit from direct access for GEF financing.	Page 7, 31 Aug to 1 Sep 2005 (Review of Action Plan to Respond to Recommendations for Improving GEF’s Performance)
Jun 2006	The OPS3 found that the roles and responsibilities of IAs and EAs are not always clear, especially with regard to collaboration and competition. While majority of projects in the pipeline are well aligned with comparative advantages, a number apparently cross over into the comparative advantage of other agencies, as projects move towards more integrated approaches. It also noted that EAs have “uncertain” mandates and that some still face a steep learning curve to climb in order to function competitively in the GEF market.	Page 5, para. 20, Council Document, 6–9 Jun 2006 (Comparative Advantages and Complementary Roles of the IAs and EAs of the GEF)
Jun 2006	Council supported the conduct of a review of the engagement of EAs by the GEF Evaluation Office, leading to the preparation of an action plan to strengthen their engagement.	Page i, Council Document, 6-9 Jun 2006 (Comparative Advantages and Complementary Roles of the IAs and EAs of the GEF)
Jun 2006	EAs expressed concern that the action plan (see previous row) may be delayed because it would be dependent on the outcomes of the evaluation. As a result, the GEF-4 resources could have been largely programmed by	Pages 4–5, Council Document, (Conference Room Paper reacting to <i>Comparative Advantages and</i>

Date	Milestone	Source
	the time action plan is in place, implying that EAs need to wait for the GEF-5 cycle before meaningfully implementing expanded opportunities.	<i>Complementary Roles of the IAs and EAs of the GEF</i>
June 2006	Memorandum of Understanding and the Financial Procedures Agreement for direct access to GEF full project resources still being negotiated for EBRD.	Page 7, para 16, 5 June 2006 (Trustee Report)

ADB = Asian Development Bank, AfDB = African Development Bank, BTOR = back-to-office report, EA = executing agency, EBRD = European Bank for Reconstruction and Development, FAO = Food and Agriculture Organization, FPA = Financial Procedures Agreement, FSP = full-size project, GEF = Global Environment Facility, GEFSec = Global Environment Facility Secretariat, IA = implementing agency, IDB = Inter-American Development Bank, IFAD = International Fund for Agricultural Development, MOU = memorandum of understanding, OESD = Office of Environment and Social Development, OIC = officer-in-charge, OPS3 = Third Overall Performance Study of the GEF, PDF = project preparation and development facility, POP = persistent organic pollutant, RDB = regional development bank, STAP = Scientific and Technical Advisory Panel, UN = United Nations, UNIDO = United Nations Industrial Development Organization, WB = World Bank.

Appendix 4: Phase Goals Of Gef Implementing Agencies And Executing Agencies

AfDB	ADB	EBRD	IDB	IFAD	UNDP	WB
Phase 1 – Concept Development						
Project Identification	Concept Clearance/Project Classification	Initiation/ Identification:	Identification	Inception	Concept/ PDF-B	Identification/ PCN Stage/ GEF Pipeline Entry/ GEF Project Preparation Grants
Identify investment operations that are in conformity with the AfDB strategy, the country strategy papers, and the regional member country sectoral priorities (<i>flexible, may go straight to preparation</i>)	Establish the socioeconomic basis, strategic focus, and priority areas for ADB intervention in a country; enable categories of project mix to be analyzed	Identify if the project is potentially suitable for EBRD financing	Determine whether the project idea is aligned with the policy and strategy agreed upon with the borrowing country during the programming process	Develop the concept note and include this in IFAD/GEF pipeline and GEF pipeline	Draft a concept or PDF-B for entry into the GEF pipeline	Identify projects that have a high priority and advise on probable GEF eligibility; determine concept's conformity with GEF operational programs, priorities, and criteria.
Phase 2 – Preparation						
Project Preparation	Fact-Finding/ Review (Interdepartmental and Management)	Project Preparation	Orientation	Formulation	Preparation	Quality Enhancement Review/ GEF STAP Expert Review/ GEF Work Program Entry/ Project Appraisal Document Review
Identify and compare technical and institutional alternatives for achieving overall ADB, Borrower, and project objectives; ensure capacity of Borrower to prepare projects (<i>convert idea to reality</i>)	Resolve outstanding issues after meeting with stakeholders; review all aspects of project design (by project team, consultants, and other ADB departments); senior management to determine project's readiness for approval	Develop the final review memorandum, project structure, terms and conditions (through the FAO investment center)	Define the medium-term objectives, project components, and concrete activities for each component	Implement preparatory grant and prepare full project brief	Develop an FSP proposal	Improve the quality of project design; review scientific and technical aspects; provide guidance on whether the project is sufficiently well prepared or should be appraised
Phase 3 – Appraisal						
Project Appraisal	<i>(Second review)</i>	<i>(Merged with preparation phase)</i>	Analysis	Appraisal	Technical and Financial	Appraisal/ Negotiation

AfDB	ADB	EBRD	IDB	IFAD	UNDP	WB
					Clearance	
Provide value-added and delineate accountability; ensure consistent quality and technical soundness (<i>critical assessment of relevance, feasibility, and potential effectiveness before a decision is made to undertake project</i>)		Review of documents by EBRD Operations Committee for approval	Ensure the feasibility of the project from an economic, technical, financial, environmental, legal, and institutional standpoint, and that plans for its implementation are solid	Develop full project document, clarifying implementation arrangements	Internal review and clearance prior to GEF submission	Assess the economic, technical, institutional, financial, environmental, and social aspects; reach agreement with Borrower on measures to assure project success and terms and conditions of the loan
Phase 4 – Approval and Start						
Negotiations/Board Presentation/ Signing and Effectiveness	Signing/ Effectiveness/ Project Inception	Approval/Signing	Negotiation and Approval	Approval and Negotiation	Approval and Start	GEF CEO Endorsement/WB Board Approval/ Signing
Finalize agreement on project objectives and implementation, the amount and terms of the loan, conditions and procedures for disbursement and procurement, and specific measures to achieve project objectives	Enable smooth project implementation by having timely signing and fulfillment by the Borrower of conditions necessary for loan effectiveness; ensure that Borrower understand ADB procedures	Give EBRD commitment to provide financing		Prepare IFAD/ Beneficiary Grant Agreement	CEO approval and project document signature of FSP	Obtain GEF CEO endorsement prior to Board presentation; obtain approval of WB Board of Executive Directors
Phase 5 – Implementation						
Project Implementation and	Project Performance	Project Implementation/	Implementation and Supervision	Implementation and Supervision	Implementation Supervision	Project Supervision/ Midterm Review/ Extensions

AfDB	ADB	EBRD	IDB	IFAD	UNDP	WB
Supervision	Reviews	Disbursement and Repayments				
Monitor progress towards achievement of project objectives and development impact	Track progress and deal with specific project implementation matters	Disbursement of the loan for project implementation, construction and subsequent operation	<i>Borrower is wholly responsible for project execution. IDB only ensures that project stays in schedule and that IDB procurement procedures are followed.</i>	Implement full project grant	Provide management and main stakeholders information on implementation progress	Ensure that grant proceeds are used for grant purposes, with regard for economy, efficiency, and effectiveness; conduct systematic assessment of implementation experience; extend closing date, if necessary
Phase 6 – Completion and Evaluation						
Project Completion Reporting/ Evaluation	Project Completion Review/ Operations Evaluation Review	Project Completion	Completion and Evaluation	Project Completion	Operational Completion	Project Closing/ Implementation Completion Report (ICR)/ Evaluation
Certify completion of implementation, assess project effects and impact, and identify operational lessons learnt for future operations (<i>ensure accountability and lessons learnt</i>)	Assess the performance and impacts of the project	Financial completion is built into operations as the last disbursement.	<i>Evaluation activities are incorporated into every phase of the project cycle.</i>	Project financial and operational closure	Provide management and main stakeholders an assessment of achievement of results, sustainability and cofinancing	Identify accomplishment, problems and lessons learned, for submission to WB Board of Executive Directors; measure project outcome against original objectives and validate ICR ratings

ADB = Asian Development Bank, AfDB = African Development Bank, EBRD = European Bank for Reconstruction and Development, FAO = Food and Agriculture Organization, GEF = Global Environment Facility, IDB = Inter-American Development Bank, IFAD = International Fund for Agricultural Development, PCN = Project Concept Note, UNDP = United Nations Development Programme, WB = World Bank.

Appendix 4a: Global Environment Facility Project Cycle

Table 4a(i): GEF Secretariat Operations Manual—Full-Sized Projects (Draft as of 1 February 2006)

FULL-SIZED PROJECT CYCLE

Phase	Steps	Responsibilities	Outputs
<i>Phase I – Concept Development</i>	PDF-A Development; Project Concept Development	<ul style="list-style-type: none"> • IAs • EAs under the policy of expanded opportunities 	<ul style="list-style-type: none"> • PDF-A proposal
	Concept Development	<ul style="list-style-type: none"> • IAs • EAs under the policy of expanded opportunities 	<ul style="list-style-type: none"> • Project concept
	Receipt of Concept Proposals	<ul style="list-style-type: none"> • PA logs project document in the GEF project database • PA prepares blue cover sheet^a and assigns to PM • Team Assistant distributes document to team members 	<ul style="list-style-type: none"> • Bluesheet • Concept document with cover note from IA/EA
	Concept Proposal Review	<ul style="list-style-type: none"> • PM reviews proposals through the GEF database within 10 workdays. • Other GEF staff provides comments, if any • PA flags comments from IAs, EAs, and Convention Secretariats, and forwards them to PM • PM/PA circulates CRS to teams for info/comments prior to pre-bilateral meeting 	<ul style="list-style-type: none"> • PRS
	Pre-Bilateral Discussions Among GEFSec Staff	<ul style="list-style-type: none"> • TL presides over the discussions • PA compiles all CRS and sends them to IA/EA 	<ul style="list-style-type: none"> • PRS • Transmittal letter to IAs/EA
	Concept Review Meeting with IA/EA	<ul style="list-style-type: none"> • Program Coordinator liaises with IA/EA on meeting arrangements (sequencing, timing, additional numbers for telecon, etc.) • PA reserves room and arranges for teleconference • TL presides over the meeting • PM incorporates results of discussion in the CRS under “Further Processing” • PA compiles updated CRS and prepares decision summaries • Program Coordinator transmits summary of recommendations to IA/EA once cleared by PMs, TLs, and HOBS 	<ul style="list-style-type: none"> • Telecon reservation confirmation • Summary of recommendations to IAs/EA
	Final Concept Document	<ul style="list-style-type: none"> • PA logs revised project document and repeats steps 3 and 4 of Phase I • PM reviews revised concept and updates GEF database for clearance recommendation. • PA routes project clearance/ approval sheet (yellow)^b to PM and TL (yellow sheet) 	<ul style="list-style-type: none"> • Final electronic document • Clearance sheet
	Concept Approval	<ul style="list-style-type: none"> • CEO approves project concepts for pipeline entry • PA prepares and HOBS sends transmittal note of approval to IA/EAs • PA creates/updates database 	<ul style="list-style-type: none"> • Clearance (yellow) sheet • HOBS transmittal letter
	Pipeline Entry/Update	<ul style="list-style-type: none"> • Program Coordinator prepares list of new project concepts entering the pipeline; pipeline posted in the web • PA provides electronic linkages and arranges with John Clyde for posting in the web 	<ul style="list-style-type: none"> • Pipeline publication in GEF website
<i>Phase II – Project Preparation</i>	Stage I		
	PDF-B/C Development	<ul style="list-style-type: none"> • IAs • EAs under the policy of expanded opportunities 	<ul style="list-style-type: none"> •
	Receipt of PDF Proposals	<ul style="list-style-type: none"> • PA logs project document in the project database • PA prepares blue cover sheet and assigns to PM • PA distributes document to team members 	<ul style="list-style-type: none"> • Bluesheet • PDF document with cover note from IA/ EA
	PDF Proposal Review	<ul style="list-style-type: none"> • PM reviews proposals through the GEF database within 5 	<ul style="list-style-type: none"> • PDFRS

Phase	Steps	Responsibilities	Outputs
		<ul style="list-style-type: none"> days • Other GEF staff provides comments, if any • PA flags comments from IAs, EAs, and Convention Secretariats, and forwards them to PMs • PM/PA circulates PDFRS to teams for info/comments prior to pre-bilateral meeting 	
	Final PDF Document	<ul style="list-style-type: none"> • PA logs revised PDF document and repeats steps 2 and 3 of Stage I • PM reviews revised PDF and updates PRS for clearance recommendation • PA routes project clearance/ approval sheet (yellow) to PM and TL (yellow sheet) 	<ul style="list-style-type: none"> • Final electronic document • Clearance sheet
	PDF Approval	<ul style="list-style-type: none"> • CEO approves PDF-B/C • PA prepares and HOBS sends transmittal note of approval to IA/EA • PA updates GEF database 	<ul style="list-style-type: none"> • Clearance sheet • HOBS transmittal letter
	Stage II		
	Full-Sized Project Development	<ul style="list-style-type: none"> • IAs • EAs under the policy of expanded opportunities 	<ul style="list-style-type: none"> • Project executive summary • Full-size project document
	Receipt of Full-Size Project Proposals	<ul style="list-style-type: none"> • PA logs proposal in database, prepares blue cover sheet, assigns to PM and distributes documents to team members 	<ul style="list-style-type: none"> • Bluesheet • Project document with cover note from IA
	Full-Size Project Proposal Review	<ul style="list-style-type: none"> • PA flags comments from IAs, EAs, and Convention Secretariats, and forwards to PMs • PM reviews project executive summary and project documents • Other GEF staff provides comments, if any • PM/PA circulates PRS to teams for info/comments prior to pre-bilateral meeting 	<ul style="list-style-type: none"> • PRS
	Pre-Bilateral Discussions Among GEFSec Staff	<ul style="list-style-type: none"> • TL presides over the discussions • PA compiles all PRS and sends them to IA with cc to Program Coordinator 	<ul style="list-style-type: none"> • PRS • Transmittal letter to IAs/EAs
	Full-Size Project Review Meeting with IA/EA	<ul style="list-style-type: none"> • Program Coordinator liaises with IAs on meeting arrangements (sequencing, timing, additional numbers for telecon, etc.) • PA reserves room and arranges for teleconference • TL presides over the meeting • PM incorporates results of discussion in the PRS under "Further Processing" • Program Coordinator prepares and transmits bilateral review summary recommendations to IA/EA once cleared by PMs, TLs, and HOBS 	<ul style="list-style-type: none"> • Telecon reservation confirmation • Summary of recommendations to IAs
	Work Program Cover Note	<ul style="list-style-type: none"> • OCT prepares the Cover Note • Focal area TLs and PMs provide inputs to cover note 	<ul style="list-style-type: none"> • Draft cover note • Tables/annexes
	GEF Operations Meeting (GEFOP)	<ul style="list-style-type: none"> • Program Coordinator prepares notice of meeting/arranges teleconference • HOBS presides over the meeting • HOBS recommends work program to CEO 	<ul style="list-style-type: none"> • Agenda
	Work Program	<ul style="list-style-type: none"> • IAs/EAs revise project executive summary and/or project document 	<ul style="list-style-type: none"> • Final electronic copies of proposals

Phase	Steps	Responsibilities	Outputs
		<ul style="list-style-type: none"> OCT finalizes cover note PA prepares project clearance sheet (yellow) if project is recommended for WP inclusion; updates database CEO approval Program Coordinator assembles final documentation for Council circulation/web posting 	<ul style="list-style-type: none"> Final cover note Web posting
	Council Approval	<ul style="list-style-type: none"> Council approves WP subject to additional comments. Council decisions and discussions reflected in the joint summary of Chairs 	<ul style="list-style-type: none"> Joint summary of Chairs
	Council Comments	<ul style="list-style-type: none"> Two weeks after Council meeting, Program Coordinator compiles all council comments and submits to IAs/EAs 	<ul style="list-style-type: none"> Compilation of Council comments
<i>Phase III – Project Appraisal</i>	Full-Size Project as Approved by Council	<ul style="list-style-type: none"> IAs EAs under the policy of expanded opportunities 	
	Final Full-Size Project Appraisal Document	<ul style="list-style-type: none"> PM reviews project appraisal document for consistency with WP; updates the database PA prepares clearances from PM, TL, HOBS (yellow sheet) PA prepares letter to Council 	<ul style="list-style-type: none"> Final full-sized project appraisal document
<i>Phase IV – Project Approval and Start Up</i>	CEO Endorsement	<ul style="list-style-type: none"> CEO endorses project for IA/EA final approval PA prepares and HOBS sends transmittal note of approval to IA/EA PA arranges posting of document in the web for Council info/comments PA files relevant documents and updates database 	<ul style="list-style-type: none"> CEO endorsement letter Clearance sheet Web posting
<i>Phase V – Project Implementation/ Supervision</i>	Full-Size Project Start Up	<ul style="list-style-type: none"> IAs EAs under the policy of expanded opportunities 	<ul style="list-style-type: none"> Project implementation review
<i>Phase VI – Project Completion and Evaluation</i>	Full-Size Project Completion	<ul style="list-style-type: none"> IA/EA Office of Evaluation 	<ul style="list-style-type: none"> Completion report Evaluation report

CEO = Chief Executive Officer; CRS = concept review sheet; EA = executing agency under the policy of expanded opportunities; GEF = Global Environment Facility; GEFOP = GEF Operations Committee; GEFSec = Global Environment Facility Secretariat; HOBS = Head, GEF Operations and Business Strategy; IA = implementing agency; OCT = Operations Cluster, GEF Operations and Business Strategy; PA = Program Assistant; PDF = project preparation and development facility; PDFRS = project preparation and development facility review sheet; PM = Program Manager; PRS = project review sheet; TL = Team Leader; WP = Work Program.

^a Blue cover sheet is created for Program Manager assigned to review the proposal

^b Yellow sheet refers to GEFSec clearance/approval sheet.

Table 4a(ii): GEFSec Operations Manual—Medium-Sized Projects (Draft as of 1 February 2006)**MEDIUM-SIZED PROJECT CYCLE**

Phase	Steps	Responsibilities	Outputs
<i>Phase I – MSP Concept Development</i>	PDF-A Development; MSP Concept Development	<ul style="list-style-type: none"> • IAs • EAs under the policy of expanded opportunities 	<ul style="list-style-type: none"> • PDF-A proposal • MSP concept
<i>Phase II – MSP Preparation</i>	MSP Proposal Development	<ul style="list-style-type: none"> • IAs • EAs under the policy of expanded opportunities 	<ul style="list-style-type: none"> • MSP proposal
<i>Phase III – MSP Appraisal</i>	Receipt of MSP Proposals	<ul style="list-style-type: none"> • PA logs project document in the project database • PA prepares blue cover sheet^a and assigns to PM 	<ul style="list-style-type: none"> • Bluesheet • Project document with cover note from IA/EXA
	MSP Proposal Review	<ul style="list-style-type: none"> • PM reviews proposals through the GEF database within 15 working days. • Other GEF staff provides comments, if any • PA flags comments from IAs, EAs and Convention Secretariats, and forwards them to PMs • PM sends MSPRS to IA/EA (or alternatively, the PA) 	<ul style="list-style-type: none"> • PRS
	Optional Upstream Consultation with IA (normally with Task Manager) and GEFSec	<ul style="list-style-type: none"> • PA reserves room and arranges for teleconference • PM presides over the meeting (normally one on one if single project is discussed) • PM incorporates results of discussion in the MSPRS under “Further Processing” • PA sends updated MSPRS to IA/ EA 	<ul style="list-style-type: none"> • Telecon reservation confirmation • Summary of recommendations to IAs/EAs
	Final MSP Document	<ul style="list-style-type: none"> • IA/EA provides revised project document • PA logs revised project document and repeats step 1 of Phase III • PM reviews revised project document and updates MSPRS for clearance recommendation 	<ul style="list-style-type: none"> • Final electronic document
	Council Circulation	<ul style="list-style-type: none"> • PM reviews revised project document and updates MSPRS for clearance recommendation • PA prepares project clearance/approval sheet (yellow)^b • PA routes clearance form to PM and TL (yellow sheet) • PA prepares letter to Council • PA coordinates for Council circulation via GEF website 	<ul style="list-style-type: none"> • Final electronic copy of MSP brief • Clearance/approval sheet • CEO letter to Council • Web posting
<i>Phase IV – MSP Approval</i>	CEO Approval	<ul style="list-style-type: none"> • If no Council comments received on due date (after 15 workdays), PA routes clearance sheet (yellow) to PM and TL • CEO approval • PA prepares and HOBS sends transmittal note of approval to IA/EA • PA files docs and updates portfolio database 	<ul style="list-style-type: none"> • Clearance/approval sheet • HOBS transmittal letter
<i>Phase V – MSP Implementation, Supervision</i>	Project Start Up	<ul style="list-style-type: none"> • IAs • EAs 	<ul style="list-style-type: none"> • MSP implementation review
<i>Phase VI – MSP</i>	Project Completion	<ul style="list-style-type: none"> • IAs/EAs 	<ul style="list-style-type: none"> • MSP completion report

Phase	Steps	Responsibilities	Outputs
<i>Completion and Evaluation</i>		<ul style="list-style-type: none"> Office of Evaluation 	<ul style="list-style-type: none"> MSP evaluation report

CEO = Chief Executive Officer; EA = executing agency under the policy of expanded opportunities; GEF = Global Environment Facility; GEFSec = Global Environment Facility Secretariat; HOBS = Head, Operations and Business Strategy; IA = implementing agency; MSP = medium-sized project; MSPRS = medium-sized project review sheet; PA = Program Assistant; PDF = project preparation and development facility; PM = Program Manager; PRS = project review sheet; TL = Team Leader.

^a Blue cover sheet is created for Program Manager assigned to review the proposal.

^b Yellow sheet refers to GEFSec clearance/approval sheet.

Table 4a(iii): GEFSec Operations Manual—Expedited Enabling Activities (1 February 2006 Draft)**EXPEDITED ENABLING ACTIVITY PROJECT CYCLE**

Phase	Steps	Responsibilities	Outputs
<i>Phase I – Concept Development</i>	PDF-A development; Enabling Activity Concept Development	<ul style="list-style-type: none"> • IAs • EAs under the policy of expanded opportunities 	<ul style="list-style-type: none"> • PDF-A proposal • Enabling activity concept
<i>Phase II – Enabling Activity Preparation</i>	Enabling Activity Proposal Development	<ul style="list-style-type: none"> • IAs • EAs under the policy of expanded opportunities 	<ul style="list-style-type: none"> • EA proposal
<i>Phase III – Enabling Activity Appraisal</i>	Receipt of Enabling Activity Proposals	<ul style="list-style-type: none"> • PA logs project document in the project database • PA prepares blue cover sheet^a and assigns to PM • PA distributes document to team members 	<ul style="list-style-type: none"> • Bluesheet • Enabling activity document with cover note from IA/ EA
	Enabling Activity Proposal Review	<ul style="list-style-type: none"> • PM reviews proposals through the GEF database within 8 working days • Other GEF staff provides comments, if any • PA flags comments from other IAs, relevant EAs, and Convention Secretariats, and forwards them to PM • PM sends comments to IA/EA (or alternatively, the PA) 	<ul style="list-style-type: none"> • Enabling activity review sheets
	Optional Upstream consultation with IA (normally with Task Manager), and GEFSec	<ul style="list-style-type: none"> • PA reserves room and arranges for teleconference • PM presides over the meeting (normally one on one if single project is discussed) 	<ul style="list-style-type: none"> • Telecon reservation confirmation • Summary of recommendations to IAs/EAs
	Final Enabling activity Document	<ul style="list-style-type: none"> • IA/EA provides revised enabling activity project document • PA logs revised project document and repeats step 1 of Phase III • PM reviews revised project document and updates GEF database for clearance recommendation 	<ul style="list-style-type: none"> • Final electronic document
<i>Phase IV – Enabling Activity Approval</i>	CEO Approval	<ul style="list-style-type: none"> • PA routes clearance sheet (yellow) to PM and CEO • CEO approval • PA prepares and HOBS sends transmittal note of approval to IA/EA • PA files docs and updates portfolio database 	<ul style="list-style-type: none"> • Clearance/approval sheet • HOBS transmittal letter
<i>Phase V – Enabling Activity Implementation, Supervision</i>	Enabling Activity Start Up	<ul style="list-style-type: none"> • IAs • EAs 	<ul style="list-style-type: none"> • Enabling activity implementation review
<i>Phase VI – Enabling Activity Completion</i>	Enabling Activity Completion	<ul style="list-style-type: none"> • IA/EA • GEF Office of Evaluation 	<ul style="list-style-type: none"> • Enabling activity completion report • Enabling activity evaluation report

CEO = Chief Executive Officer; EA = executing agency under the policy of expanded opportunities; GEF = Global Environment Facility; GEFSec = Global Environment Facility Secretariat; HOBS = Head, Operations and Business Strategy; IA = implementing agency; PA = Program Assistant; PDF = project preparation and development facility; PM = Program Manager.

^a Blue cover sheet is created for Program Manager assigned to review the proposal.

^b Yellow sheet refers to GEFSec clearance/approval sheet.

Appendix 4b: African Development Bank Project Cycle

Project Phases	Concept/Term Definition	Key Goals and Ideas	Key Tasks and Activities	Outcomes	Duration	Responsibilities
1. Identification	<ul style="list-style-type: none"> • Identification covers both sectors and projects • Term: Project identification Flexible: May go straight to preparation	<ul style="list-style-type: none"> • Goal: Identify investment operations that are in conformity with the AfDB strategy, the country strategy papers (CSPs), and regional member county (RMC) sectoral priorities • Bank should facilitate borrower to be in the driver seat [OPr4] • Apply participatory approach [OPr7] • Ensure first-hand knowledge of sector potential and underlying constraints 	A. Preparation of issues paper by ADB before departure to the field (“TOR”) B. Identification Mission(s): <ul style="list-style-type: none"> ○Familiarization of borrower with Bank procedures and objectives ○Meeting with different stakeholders [OPr7, 2] ○Identifying social, environmental, poverty issues ○Assessing political and economic risks <ul style="list-style-type: none"> • Internal ADB review of identification report • Incorporation of identified project in multi-year lending framework 	General, sector, or project identification report (Sometimes: Project brief) CSP – with assessment of context, Bank strategy, and expected program in country	<ul style="list-style-type: none"> • Duration N/A • Identification mission to be carried out at regular intervals: annual meeting govt and county economist, annual for each operational complex (dept.) • CSP is developed every 3 years (in future up to 5), reviewed annually/at end 	Flexible phase B. Normally not for <i>one</i> project, but for country or sector Identification can be done by AfDB, the government, others CSP is responsibility of country economist/ country team. After the project is incorporated into lending program, normally 1 or 2 years to project development
2. Preparation	<ul style="list-style-type: none"> • The process that converts a project idea into reality • Term: Project preparation 	<ul style="list-style-type: none"> • Identification and comparison of technical and institutional alternatives for achieving overall ADB, borrower, and project 	<ul style="list-style-type: none"> • Preparation mission (optional, if feasibility study is good project can go to appraisal phase) • Review preparation report 	Preparation of report <ul style="list-style-type: none"> • Financing plan [OPr2,9] • Procurement 	<ul style="list-style-type: none"> • Period from identification to preparation can be long • Normal time of feasibility study 	<ul style="list-style-type: none"> • Normally to be carried out by the borrower • Supported by AfDB through: <ul style="list-style-type: none"> ○TA

Project Phases	Concept/Term Definition	Key Goals and Ideas	Key Tasks and Activities	Outcomes	Duration	Responsibilities
		objectives [OPr3] <ul style="list-style-type: none"> • Ensure capacity of borrower to prepare projects 	<ul style="list-style-type: none"> ○ Participatory approach used? [OPr7] ○ Realistic project objectives and design? ○ Technically sound cost calculation? [OPr2] Development of project feasibility study (normal AfDB practice), also termed preparation Report: <ul style="list-style-type: none"> • Develop TOR • Obtain financing (bottleneck) [OPr9] • Contract consultants and launch mission • Conduct mission • Review by Task Manager (TM)/ sectoral experts of report 	<ul style="list-style-type: none"> requirements • Sound accounting requirements • Realistic implementation plan • Address environment, gender, cross-cutting issues [OPr7] • Poverty analysis • Financial, economic, and risk analysis to assess viability and sustainability [OPr9] • Feasibility report 	6 months <ul style="list-style-type: none"> • Time from feasibility study to appraisal can range from 1 month to 2 years (if study weak) • Goal: 4 months from preparation is finished to Board submission 	<ul style="list-style-type: none"> ○ Funding feasibility study ○ Preparation with UN agency ○ Preparation by AfDB Feasibility studies – managed by task manager, normally by consultants
3. Appraisal	<ul style="list-style-type: none"> • Definition: critical assessment of relevance, feasibility, and potential effectiveness of a project (or program) before 	<ul style="list-style-type: none"> • Provide value-added and delineate accountability • Ensure consistent quality and technical soundness (by addressing that key requirements have been effectively carried out during the project 	A. Conduct field appraisal/appraisal mission B. Preparation of appraisal report (incl. validation by TM, and classification of project in categories) C. Review by IWG of appraisal report (using the appraisal quality	<ul style="list-style-type: none"> • Appraisal Report • Aide-memoire, signed by Govt at end of appraisal mission 	A. Mission duration 2–3 weeks Normal duration 4–6 weeks after mission: B. 21 working days (wkds) after return, normally 2	<ul style="list-style-type: none"> • Appraisal led by TM and team • Main input from sectoral experts and ‘peer review’ panels • Appraisal report can be developed from

Project Phases	Concept/Term Definition	Key Goals and Ideas	Key Tasks and Activities	Outcomes	Duration	Responsibilities
	<p>a decision is made by the Board of Directors to undertake the project</p> <ul style="list-style-type: none"> Finalization of all major project issues Term: Project appraisal 	<p>development process (see list Annex) [OPr2, 7,9,10]</p>	<p>assessment checklist) D. Second draft to IDWG E. IDWG meeting F. Third Draft to VP to sign and convene SMC G. SMC/loans committee meeting (resubmission can be needed)</p>		<p>weeks C. 5 wkds after distribution of report D.5 wkds to revise report after IWG E.5wkds after distribution of report F.10 wkds after IDWG meeting (incl.5 days for POPR clearance) G.5 wkds after distribution of report</p>	<p>preparation report</p> <p>Quality at entry: 2005 assessment: 70% satisfactory</p>
4. Approval And Start-Up (Negotiation, Board Presentation, Loan Signature)	<ul style="list-style-type: none"> Term: Negotiations (4th stage), and Board Presentation, Signing and Effectiveness (5th stage) 	<p>Negotiations are held before Board presentation. They aim at finalizing agreement on:</p> <ul style="list-style-type: none"> project objective and implement; amount and terms of loan, conditions and procedures for disbursement and procurement specific measures to achieve project objectives <p>[OPr4]</p>	<ul style="list-style-type: none"> Two main documents are required for negotiations : <ul style="list-style-type: none"> oDraft loan agreement oAppraisal report <p>Steps:</p> <p>A. After SMC meeting (end of previous phase), invitation to country to negotiate loan (only for ADB countries) B. After negotiation, prepare for Board submission (of project appraisal report, draft Loan Agreement, resolution signed by President) C. Board meeting and Approval, where ADB</p>	<ul style="list-style-type: none"> Summary Record Outcome of Negotiations Loan Agreement, signed by President 	<p>Board presentation is continuous (break Christmas and August)</p> <p>Total phase estimate 4–6 weeks A.1 month B.1 month (translation, distribution)</p> <p>Loan Agreement must be signed within 180 days of approval</p> <p>Goal is effectiveness</p>	<ul style="list-style-type: none"> Start-up is borrower responsibility

Project Phases	Concept/Term Definition	Key Goals and Ideas	Key Tasks and Activities	Outcomes	Duration	Responsibilities
			<p>staff makes formal presentation</p> <p>D. Loan signing - After Board Approval borrower is informed and invited for loan signature</p> <p>E. Declaration of effectiveness (based of fulfillment of conditions by borrower, generally for loans only). Loan Agreement enters into force after fulfillment of all general and specific conditions precedent to effectiveness</p>		(start) within 12 months	
<p>21</p> <p>5. Implementation and Supervision</p>	<ul style="list-style-type: none"> • Continuous set of implementation related activities taking place in Bank headquarters and during field mission • Term: Project implementation and supervision 	<ul style="list-style-type: none"> • ADB is responsible not only for providing finance, but also for monitoring progress towards achievement of project objectives and development impact [OPr10] 	<ul style="list-style-type: none"> • The first step is to conduct a launching mission /workshop to familiarize the borrower with all aspects of the project and its implementation [OPr6,7] • Supervision reports: by TM to Country Team Meeting, second draft to Director for approval • Supervision instruments include: <ul style="list-style-type: none"> ○Quarterly progress reports ○Field supervision 	<ul style="list-style-type: none"> • Quarterly borrower progress reports; • Supervision summaries; • Midterm review • Various supervision related mission reports, audit reports, and reviews 	<p>Standard is 1.5 supervision missions per year</p> <p>All supervision reports: 15 working days (wkds)after return to CTM</p> <p>1998 review: average cost of launch mission UA 8.240, for supervision</p>	<ul style="list-style-type: none"> • Portfolio monitoring by Country Department Director (CDD) • TM has primary responsibility • Matrix responsibility country and sector divisions

Project Phases	Concept/Term Definition	Key Goals and Ideas	Key Tasks and Activities	Outcomes	Duration	Responsibilities
			missions oDesk supervision oDisbursement missions oCountry procurement assessment review oExternal audit reports oADB audit missions oMid-term review oCountry portfolio review		mission UA 19.430. For average time of launch mission (5.36 budgeted days), for supervision mission 11.72 budgeted days. Average actual mission time 13 days. ???	
6. Completion and evaluation	The completion phase ensures accountability and lessons learned for the borrower and ADB Term: Project completion reporting (8 th stage) and evaluation (9 th and final stage)	<ul style="list-style-type: none"> • Certify completion of implementation • Assess effects and impact of project and efficiency in resource use • Identify operational lessons learned for future operations • Evaluation criteria include <ul style="list-style-type: none"> oRelevance oEfficacy oEfficiency oInstitutional impact oSustainability oBorrower performance oADB performance 	A. Self-evaluation in the form of project completion reports (PCR) done by the borrower in cooperation with ADB for all projects; B. IWG meeting C. 2 nd draft to IDWG D. IDWG meeting E. Final draft to Director for approval F. Evaluation notes by ADB's independent evaluation department (OPEV) G. Independent evaluations (project performance evaluation reports [PPER]) for 1/4 th of all completed projects (OPEV)	<ul style="list-style-type: none"> • Project completion reports • Project evaluation notes (OPEV) • Project performance evaluation reports (OPEV) 	A. After 6 month of closing; report after mission return: 1 st draft to IWG/CTM in 15 days B. 5 wkds after distribution of report C.5 wkds to revise report after IWG D.5wkds after distribution of report E.5 wkds after IDWG meeting F. 3-5 days G. 6-12 months after PCR	A. By borrower or TM, or consultants, backlog. Closing date not clear (last disbursement?) G. With consultants

AfDB's key requirements for appraisal:

- *Knowledge assessment:*
 - Relevant sector work
 - Lessons learnt (from Project Completion Reports and Annual Portfolio Performance Review)
 - Indigenous knowledge
- *M&E:*
 - Are development objectives clearly defined?
 - Have good M&E indicators been identified?
 - Logical Framework?
- *Economic:*
 - What is the potential contribution of the project to the country's development objective?
 - Assessment of best designs through cost-benefit analysis
- *Technical:* Assure sound project design and engineering
- *Social and environmental:*
 - Identify key stakeholders
 - Identify and describe social, cultural and institutional factors
 - Assess social and environmental impact
- *Fiduciary:* Covers financial management/ procurement
- *Risk:*
 - Critical assumptions for achieving outcomes?
 - Constraints?
 - Mitigation measures?
- *Institutional:*
 - Institutional arrangements and management adequate?
 - Utilization of local capabilities?
 - Need for policy or institutional changes?
- *Implementation:*
 - Project implementation document
 - Supervision plan
 - Coordination mechanisms in place?
 - Responsibilities and relationships of experts and local staff
 - TA

Appendix 4c: Asian Development Bank Project Cycle

Table 4c(i): ADB Project Cycle—Full-Sized Projects

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Term of Phase	A. Concept Clearance	A. Preparation for PPTA fact-finding	A. Appraisal Mission (optional)	A. Signing and Effectiveness of Letter of Agreement	A. PPR	A. Project Completion Review Mission
Goal of Phase	To establish the socioeconomic basis, strategic focus and priority areas for ADB intervention in a country as reflected in a CSP or through verified information from borrower	To ascertain if existing information is adequate and to establish contact points within departments and networks and receive advice on key issues that the PT should be considering		To enable smooth project implementation by having a timely signing and subsequent fulfilment by the borrower of conditions necessary for loan effectiveness	To assess, during implementation, the likelihood that development objectives will be achieved, by tracking progress from the baseline situation against the targets and indicators identified in the project framework	To prepare the project completion report after the project is closed, within 12–24 months of completion
Normal/Average Duration		1–5 weeks	2–4 weeks + 1–2 weeks for BTOR preparation			
Normal/Average Staff Inputs		2–4 staff weeks	4–20 staff weeks + 1 staff week for BTOR preparation			
Other Resources, on Average			2–5 business trips			
Steps/Responsibilities	<ol style="list-style-type: none"> 1. SD reviews if proposal is included in CSP "sector roadmaps." 2. If not, SD gets sufficient information to establish proposal's linkage with the development priorities of the borrower (through government concurrence) and ADB's strategic focus for the country (through Management clearance). Such information should enable the OVP to make a prima facie judgment whether the project is to be included in the CSP, and loan processing started. [OPr4] 3. SD drafts concept clearance paper, including a summary project description. 4. RDG submits draft concept clearance paper to OVP for consideration 	<ol style="list-style-type: none"> 1. PT identifies major sectoral and thematic issues, major stakeholders, lessons learned and macroeconomic factors. [OPr5] 2. PT assesses existing information and the extent to which more data need to be collected during fact-finding mission. 	<ol style="list-style-type: none"> 1. PT to discuss proposed investment project with borrower, EA, IA, and stakeholders to prepare draft loan documents. [OPrs 2,3,4,5,9,10] 	<ol style="list-style-type: none"> 1. President and borrower's representative sign the letter of agreement respectively. The OCD of the RD is responsible for prompt signing of the loan by the borrower's representative. 2. PT finalizes any cofinancing arrangement and facilitates the signing of cofinancing agreements. [OPrs 2,3,9] 3. OGC prepares loan effectiveness letter stipulating all conditions the borrower must fulfill in order to have the loan declared effective. Letter should be signed by the SD. 	<ol style="list-style-type: none"> 1. PTL prepares the initial PPR using the project framework, within 1 month after loan approval. SD or RM prepares the subsequent PPRs periodically, using inputs from review missions and EA/IA reports (the content, format, and timing of which were determined during loan processing). 2. RDs hold PPR meetings at least quarterly to review performance and discuss specific project implementation issues. [OPr 10] 	<ol style="list-style-type: none"> 1. ML evaluates the processing and design of the project, and assesses whether borrower, EA and ADB monitored progress effectively vs monitoring targets [OPr 10] 2. ML assesses the borrower's and EA's performance in managing and implementing the project, including financial and economic performance. He will also assess the performance of consultants, contractors and suppliers with respect to services, construction, supply, delivery, and installation [OPrs 4,10] 3. ML reviews problems encountered and effectiveness of measures to resolve them, and assesses future operation and steps to ensure sustainability. [OPrs 5,10]

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
				4. SD ensures that any loan conditions have been met by the borrower. OGC renders opinion that borrower met all legal requirements. [OPr 4] 5. SD makes a formal loan effectiveness declaration and advises borrower and project EA, through OCD.		
Term of Phase	B. Team Formation	B. PPTA Fact-Finding	B. Second Interdepartmental Review	B. Notification of ADB Approval to GEF and Request for Funding	B. Project Review Mission	B. Operations Evaluation Mission
Goal of Phase	To secure agreement on roles and responsibilities	To resolve outstanding issues or analysis after completion of meetings with borrower and beneficiaries.	To review the resolutions reached among the project team, borrower, and stakeholders concerning pending issues or analysis.		To conduct a detailed review of the overall progress of the project based on the PPR format and any other information.	To assess the performance and development impacts of the project, if it is selected as part of a sample, 3–5 years after project completion, a project performance evaluation report is done by an independent party within ADB.
Normal/ Average Duration	1-2 weeks	2-3 weeks in the field + 1-2 weeks for back to office report (BTOR) preparation	2-4 weeks + 1-2 weeks for preparation of 3rd draft of RRP			
Normal/ Average Staff Inputs	1-2 staff weeks (team consultations, including meeting times)	2-15 staff weeks in the field; 0-8 consultant weeks; 1-5 trips; 1 staff week for BTOR preparation 1-5 business trips	2-12 staff weeks + 1-4 staff weeks for preparation of 3rd draft of RRP			
Other Resources, on Average Steps/ Responsibilities	1. SD designates a PTL. 2. RDG endorses PTL and PT members.	1. To prepare an investment project that meets the requirements for ADB financing, PT seeks to forge agreement between ADB and borrower on: the scope of work, implementation arrangements, financing arrangements, and time frame. [OPrs 2,3,4,5,6,7,9,10]	1. PT to prepare and circulate the second draft of RRP and draft loan agreement for interdepartmental comments. [OPrs 3,5] 2. PT consolidates comments into comments matrix, showing how they will be addressed, and attaches this to issues paper.	1. ADB shall send to the GEF Trustee a notice of approvals by ADB of GEF project, within 30 days after the end of each quarter of the GEF Fiscal Year. 2. GEF Trustee shall commit the funds to ADB on a monthly basis, by means of a letter of commitment, but shall be adjusted to reflect previously-approved GEF projects that were subsequently dropped, cancelled, or amended.	1. ML reviews overall implementation, examines implementation problems and how to resolve them, and assesses the need to extend the loan closing date. [OPrs 5,10] 2. ML reviews actions required in terms of poverty reduction, environmental impact assessment and resettlement plans, as well as the borrower's compliance with loan covenants. [OPrs 4,10]	1. OED representative assesses planning and implementation performance, the overall project performance, and ADB and borrower performance. [OPr 10] 2. He also evaluates the development impacts and degree of achievement of project purpose. [OPr 10]

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
	3. PTL assigns responsibilities for major tasks			3. ADB shall submit a cash transfer request to the Trustee, who shall then transfer the appropriate amount based on information verified by the Secretariat, its own review of undisbursed funds, and ADB's intentions for the undisbursed funds.	3. ML checks on availability and timeliness of budgetary allocations and counterpart funding, reviews project expenditures, identifies likely cost overruns or savings, and reviews progress with procurement and disbursement. [OPrs 3,4,10]	3. He identifies issues, lessons learned, and recommended follow-up actions. [OPr 10]
	4. PTL develops preliminary preparation and processing schedule, including individual work plans					
Term of Phase	C. Project Classification	C. PPTA Approval to Conclusion	C. Staff Review Committee or Second MRM Meeting	C. Project Inception Mission	C. Special Administration Mission	
Goal of Phase	To enable categories of project mix to be analyzed by number, total project costs, loan amount, country, sector and source of financing. Classification may be tentative at this stage and can be changed during processing		To allow Management to review the resolutions reached among the project team, borrower, and stakeholders concerning pending issues or analysis	To ensure that the borrower and EA understand ADB procedures, and to give copies of the loan documents, ADB guidelines and samples of standard bidding and contract documents to EA staff directly involved.	To deal with specific project implementation matters (financial and disbursement problems in the case of the loan disbursement mission) that have not been covered by a project inception or review mission.	
Normal/Average Duration		43–80 weeks	Included in B. Second interdepartmental review			
Normal/Average Staff Inputs		19–47 staff weeks (excluding consultant time for the actual PPTA)	Included in B. Second interdepartmental review			
Other Resources, on Average		3–15 business trips	Included in B. 2nd interdepartmental review			
Steps/Responsibilities	1. RD classifies current year and pipeline projects according to linkages to strategic development goals and to sectors. He sets up a record in the PPIS.	1. Consulting Services Division and PT prepare invitation documents, a shortlist of consultants; also schedule a CSC meeting. Consulting firms prepare and submit proposal. CSC selects consultant based on evaluation of proposal. SD issues notice to proceed.	1. RDG sends invitation and chairs the SRC; RDG also invites for second MRM but VP or President chairs.	1. PTL explains in detail ADB's requirements for recruiting consultants, procuring goods and related services and conducting disbursement, as well as the project financing plan. Also checks on preparatory work done by EA. [OPrs 3,4,10]	1. ML assists EAs, when requested, in evaluating consultants' proposals or conducting contract negotiations with consultants.	
	2. RSES sends to RD an advice on classification with respect to environmental and social concerns.	2. Consultant team submits inception report, holds inception workshop, and reaches agreement on course of action to be taken. PTL submits BTOR. [OPrs 4,5,7]	2. Meeting confirms whether issues from the first MRM had been addressed and outstanding disagreements had been resolved.	2. PTL advises borrower and EA to establish a project implementation unit, project steering committee, independent project records, and accounting systems for the project and loan. [OPrs 3,4,10]	2. ML reviews, discusses, and resolves procurement-related issues such as local competitive bidding procedures, draft bidding documents, and bid evaluation problems. [OPr 10]	

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
		<p>3. Consultant team submits midterm review report (with draft project framework and borrower EA or EA + ADB comments), holds midterm workshop, and reaches agreement on best design. PTL submits BTOR. [OPrs 4,5,7,10]</p> <p>4. Consultant team elaborates design in draft final report. PT reviews and circulates it for interdepartment review. [OPrs 5,10]</p> <p>5. Consultant team drafts detailed implementation plan and final tripartite meeting held to agree on project design. PTL submits MOU or Aide Memoire on proposed investment project. [OPrs 4,5,7,10]</p>	<p>3. Chair gives decision to proceed and decision on summary procedures.</p> <p>4. PTL prepares and circulates minutes. RDG approves SRC minutes; VP approves second MRM minutes.</p> <p>5. PTL prepares third draft of RRP and loan agreement, incorporating all SRC/second MRM comments.</p>	<p>3. PTL explains ADB's reporting requirements, the reporting format, allocation of responsibility, and funding in line with project design and monitoring framework. [OPrs 3,4,10]</p> <p>4. PTL gets agreement on budget allocations, counterpart funding, withdrawal applications, and other special financial procedures. [OPrs 3,4,5,10]</p> <p>5. PTL finalizes with implementing agencies the PAM. [OPr 3,4,5,10]</p>	<p>3. ML discusses specific implementation problems and issues arising from the design and monitoring framework and PPR. [OPrs 5,10]</p> <p>4. ML consults with the borrower and EA on specific institutional, technical, or financial matters. [OPr 10]</p>	
Term of Phase	D. Project Framework Development	D. First Interdepartmental Review of Draft RRP	D. Submission to GEF of Project Document, for Approval		D. Midterm Review Mission	
Goal of Phase	To enable the monitoring of project implementation and provides indications on where and when necessary remedial interventions need to be carried out.	To allow all aspects of the project design (technical, financial, economic, institutional, social, environmental, resettlement, sector policy and legal) to be reviewed in detail by the project team, the consultants and other ADB departments. 13–35 weeks	To seek the allocation of GEF resources to ADB for projects that promote the achievement of GEF purposes.		To assess whether the project's immediate objectives may still be attained. It is conducted for a project facing major difficulties, and may be waived for a project provided justification is supplied.	
Normal/Average Duration		14–71 staff weeks (of PT and reviewers)				
Normal/Average Staff Inputs		2–10 business trips				
Other Resources, on Average						

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Steps/ Responsibilities	<p>1. PT discusses how to logically link the project's goal, objectives, inputs and activities, expected outputs, key indicators, risks and assumptions, the analysis that needs to be undertaken, the manner in which data is collected, the expected beneficiaries and stakeholders. [OPrs 3,5]</p> <p>2. PT to discuss project framework in detail with EA, IA, consultants, prospective beneficiaries, and interested NGOs to ensure common understanding by all parties. [OPrs 4,6,7]</p>	<p>1. PTL prepares and circulates first draft of RRP for comments to RDG and deputy, intra-RD directors, RM, OGC, RSDD, OED, Economics and Research Dept, Central Operations Services Office, Controller's Dept, Office of Cofinancing Operations, network contacts and VP's assistant. PTL consolidates comments into a Comments Matrix [OPrs 2,3,4,5,6,10]</p> <p>2. PTL circulates SEIA for 120-day rule. [OPr 7]</p> <p>3. PTL finalizes resettlement plan, if required. [OPr 7]</p> <p>4. RSDD DG issues to the chair of MRM a memo on compliance with safeguard policies and project quality.</p>	<p>1. ADB drafts a project document containing a description of the activities to be funded by GEF, a specific budget for such activities and a proposed allocation amount. [OPrs 2,3,5,9]</p> <p>2. GEF Secretariat reviews the project document and forwards proposal for a full-sized project to GEF Council. [OPrs 2,3,5,9]</p> <p>3. After Council approval, ADB submits a final project proposal to the GEF CEO for endorsement. [OPrs 2,3,5,9]</p>		<p>1. ML drafts a position paper that reviews the institutional, administrative, organizational, technical, environmental, social, economic and financial aspects of the project, as well as a review of the relevance of loan covenants. [OPr 10]</p> <p>2. ML assesses the need to restructure or reformulate the project. If there is, he updates the project's design and monitoring framework. These will be reflected in an MOU to be cosigned by the mission, the borrower/EA and authorities responsible for the recommendations. [OPrs 4,5,10]</p> <p>3. If the project reformulation would change the immediate objectives, ML prepares an issue paper and submits it to the SD for approval.</p> <p>4. SD decides if reappraisal of the project is necessary, which would require Management or Board approval.</p> <p>5. ML updates the PPR accordingly. [OPr 10]</p>	
Term of Phase		E. Management Review Meeting	E. Loan Negotiations		E. Project Reappraisal Mission	
Goal of Phase		To enable senior management (like the OVP) to encounter details of the project, and determine its readiness for approval.			To obtain all the necessary information to analyze the various aspects of the project, which would form the basis of the RRP and legal documents for a supplementary loan.	
Normal/ Average Duration		Included in D. first interdepartmental review of draft RRP.	1–4 weeks to conduct negotiations + 1–3 weeks for other tasks.			

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Normal/ Average Staff Inputs Other Resources, on Average Steps/ Responsi- bilities		<p>Included in D. first interdepartmental review of draft RRP.</p> <p>Included in D. first interdepartmental review of draft RRP.</p> <ol style="list-style-type: none"> RDG issues invitation to MRM 2-3 days before scheduled meeting. VP or President chairs. Meeting will focus on getting approval for appraisal, and management decision regarding advance actions, direct selection, variations in percent financing or retroactive financing. For projects with no remaining issues and well-prepared documentation, MRM can approve proceeding directly to loan negotiations. MRM minutes to be submitted to President. 	<p>1-3 staff weeks to conduct negotiations + 1-3 staff weeks for other tasks.</p> <ol style="list-style-type: none"> RDG requests VP to authorize loan negotiations, with a memo indicating SRC's decision on summary procedure. After approval, OSEC issues a notice of loan negotiations to the Board and draft loan documents are sent to borrower with an invitation for loan negotiations. PTL leads negotiations. Project counsel prepares minutes of loan negotiations for signature by both parties. SD and PT conduct final quality check of documents and seek OGC clearance as well as OSEC clearance for printing. RDG requests President's approval to circulate the final RRP and loan documents to the Board, through VP. PTL arranges printing and sends memo to OSEC requesting circulation. Office of External Relations prepares press releases. [OPr 6] 		<ol style="list-style-type: none"> ML examines the completed and ongoing works of the approved project and determines whether supplementary financing of cost overruns could be considered, taking into account any new policies or revised policies approved by the Board. [OPrs 3,5,10] ML should reach a written understanding with the borrower/EA in the form of an MOU. [OPr 4] 	
Term of Phase			F. Board		F. Loan Disbursement Mission	
Goal of Phase			Consideration/Approval			
Normal/ Average Duration			3 weeks			
Normal/ Average Staff Inputs			1-2 staff weeks			

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Other Resources, on Average Steps/ Responsibilities			1. Board consideration cannot be given until more than 120 days after posting the SEIA on ADB website. [OPr 6]		1. A representative from the Controller's Department reviews the accounting and budgetary systems, internal control and audit aspects of the borrower and EA, as well as banks that handle the letters of credit. 2. He explains ADB procedures and policies on loan service payments and follows up repayment of principal and interest. 3. He also advises the EA on its financial and accounting problems and assists it in resolving cash flow or withdrawal difficulties.	

Notes:

Cells that are colored green correspond to procedures that are specific to GEF.

Text that is colored blue refers to output, while red pertains to an operational principle.

BTOR = back-to-office report, CSC = Consultant Selection Committee, CSP = country strategy and program, EA = executing agency, IA = implementing agency, ML = mission leader, MRM = management review meeting, MOU = memorandum of understanding, OCD = Operations Coordination Division, OED = Operations Evaluation Department, OGC = Office of the General Counsel, OSEC = Office of the Secretary, OVP = Operations Vice President, PAM = project administration memorandum, PDF-B = project preparation and development facility-B, PPIS = project processing information system, PPR = project performance report, PT = project team, PTL = project team leader, RD = regional department, RDG = regional director general, RM = resident mission, RRP = report and recommendation to the President, RSDD = Regional and Sustainable Development department, SD = Sector Division, SEIA = summary environmental impact assessment, SRC = Staff Review Committee.
RSDD - Regional & Sustainable Development Department

Table 4c(ii): ADB Project Cycle —Medium-Sized Projects

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Term of Phase	A. Concept Clearance	A. Preparation Mission	A. TA Paper Drafting and Review	A. TA Paper Editing and Approval	A. Implementation supervision	A. TA Completion
Goal of Phase		To identify a competent external (in-country) reviewer of the service output	To undertake a substantive review and conformity review of the TA paper, the latter review focusing on policy/procedure only when there is deviation from the standards		To assist in the management of the TA portfolio and resources, including the maintenance of historical records on major issues, problems and actions taken and information on the TA framework needed for TA evaluation. TA-specific	
Normal/Average Duration		2 weeks	2-3 weeks	2 weeks		1 week (because submission of consultant's final claim is allowed within 60–90 days of completion).
Normal/Average Staff Inputs						
Other Resources, on Average						
Steps/Responsibilities	1. Sector Div (SD) reviews if proposal is included in country strategy and program (CSP) or Subregional Cooperation Strategy and Program (SCSP) "sector roadmaps." [OPr 4]	1. TL meets with borrower, its Executing Agency (EA), other donors, NGOs, and local experts to: [OPrs 3,4,5,6,7,10]	1. TL drafts TA paper, focusing on detailed terms of reference. [OPrs 2,3,4,5]			1. TASU decides when the consultant has completed the assignment, usually when TASU receives the final report. TASU will send to the consultant a notice of the deadline to submit his final claim and turnover/disposal of equipment/vehicles.
	2. If not, SD prepares a separate concept paper, to be cleared by Vice-President (VP). [OPrs 2,3,7,10]	1.a Reconfirm the purpose or expected outcome of the TA. 1.b Define key inputs, costing, and financing.	2. TL also includes in the draft TA paper a proposed plan for dissemination and output/outcome evaluation. [OPrs 6,10]	1. TAPU head requests Office of the Secretary (OSEC) to edit the draft TA paper 2. OSEC returns edited TA paper to TAPU head.	1. TASU monitors the consultant's outputs against its targets, particularly its deadlines for producing the required reports (inception, interim, draft final, and final reports). [OPr 10] 2. TASU circulates copies of the consultant's report to the team and relevant departments and offices for comments. [OPr 10]	2. TASU also sends to ADB a memo to inform that it will close TA account as soon as it processes the consultant's final claim, with copies of the letter sent to government, COCS and CTL. 3. TL prepares TA completion report, focusing on the effectiveness of TA implementation in achieving the expected outcomes. It is usually prepared within 6–12 months of TA completion. [OPr 10]

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
		<p>1.c Agree on broad terms of reference, including EA's duties.</p> <p>1.d Plan for implementation and dissemination.</p>		<p>3. For TA funding up to \$500,000, the President may assign to Regional Vice President (RVP) the authority to approve the TA, but will report the TA's approval to the Board.</p> <p>4. For TA funding above \$500,000 but less than \$1 million, RDG sends memo to President requesting the President's approval of the TA.</p> <p>5. For TA funding above \$1 million, RDG sends memo to President requesting circulation of the TA paper to the Board for approval on a no-objection basis.</p>	<p>3. TASU arranges tripartite meetings with the EA and the consultant, shortly after receiving each major report, to make sure they all have a common understanding of the TA progress and to follow a participatory approach in reviewing the outputs. [OPRs 3,4,5,10]</p> <p>4. TASU fields review missions as required, to check the consultant's progress, reassess the expected completion date, and review the TA's finances. [OPr 3,5,10]</p> <p>5. TASU updates the TA performance report (TPR) to record the progress of implementation, at least quarterly. COPP summarizes the TPRs in quarterly reports to Management and the Board. [OPr 10]</p>	
Term of Phase	B. Pre-Mission Internal Consultation	B. Post-Mission Steps	B. (Optional) Staff Review Committee (SRC) Meeting	B. Communication with Government after TA Approval	B. Output Dissemination	B. Feedback to CSP/SCSP
Goal of Phase	To determine necessary support from relevant offices and for sector and thematic networks to provide experience and practices.					
Normal/Average Duration	1-2 weeks			2-3 weeks	TA-specific	
Normal/Average Staff Inputs						
Other Resources, on Average						

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Steps/Responsibilities	<p>1. TA Leader (TL), together with Country Team (CT), TA Processing Unit (TAPU) head, Economics and Research Dept, Operations Evaluation Dept (OED) and Regional and Sustainable Devt Dept, reviews concept paper and discuss key issues, including plan for output dissemination and outcome evaluation. [OPRs 3,6,7,10]</p>	<p>1. TL sets up records in the Project Processing Information System and ADB Business Opportunities. [OPr 6]</p> <p>2. TL confirms TA funding [from the Project Coordination and Procurement Div, Office of Cofinancing Operations].</p>	<p>1. Regional Director General (RDG) may decide to hold an SRC meeting, based on the issues raised during the interdepartmental review. [OPRs 3,4,5,10]</p> <p>2. RDG confirms funding source and amount. [OPRs 2,3,9]</p>	<p>1. In developing member countries (DMCs) which have entered into a TA framework agreement with ADB, TAPU prepares the TA letter, which is then reviewed by Office of the General Counsel (OGC). This is then sent to the DMC counterpart office, with a copy furnished to EA.</p> <p>2. In DMCs which are yet to sign a TA framework agreement with ADB, a standalone TA agreement will be prepared by OGC.</p> <p>3. Authorized representatives of the DMC and ADB will sign the TA letter/agreement. Effectivity is on the date the borrower signs the TA letter/agreement. [OPr 4]</p> <p>4. For regional TAs (RETAs), effectiveness is on the date of approval (if ADB administers them) or on the date all the parties sign the RETA agreement (when third parties administer them).</p>	<p>1. TL prepares synopsis of TA output and outcomes, as well as manuscript for publication (for analytical and good practice services).</p> <p>2. Knowledge Management Committee secretariat aggregates the TA synopsis into ADB annual compendium of knowledge dissemination while the Office of Information Systems and Technology inputs this into ADB knowledge depository. [OPr 6]</p>	<p>1. CT addresses TA findings and follow-up actions in the CSPU or SCSPU, prior to every CSPU or SCSPU exercise. [OPr 10]</p>

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Term of Phase			C. Submission to GEF of Project Document, for Approval	C. After TA Signing		C. Operations Evaluation
Goal of Phase			To seek the allocation of GEF resources to ADB for projects that promote the achievement of GEF purposes.			To have an independent evaluation of a sample of projects, which are fed back into CSP development and formulation of new projects.
Normal/Average Duration						
Normal/Average Staff Inputs						
Other Resources, on Average						
Steps/Responsibilities			<ol style="list-style-type: none"> 1. ADB drafts a project document containing a description of the activities to be funded by GEF, a specific budget for such activities and a proposed allocation amount. [OPrs 2,3,5,9] 2. GEF Secretariat reviews the project document and forwards medium-sized project proposal to GEF CEO for approval. [OPrs 2,3,5,9] 	<p><i>For TA Letter</i></p> <ol style="list-style-type: none"> 1. DMC returns original TA letter to TL, who would forward it to OSEC with a memo indicating the date the TA letter was signed by government, and name and title of the authorized representative. 2. TL sends copy of the TA letter to the Consulting Services Div (COCS), Controller's Dept (CTL), and OGC. If there is any doubt whether the TA letter has been duly signed on behalf of the government, OGC should be consulted. [OPr 4] <p><i>For TA Agreement</i></p> <ol style="list-style-type: none"> 1. DMC delivers original TA agreement to OGC, who gives one original copy to the executive director of the concerned DMC and the other original to the OSEC, with a copy to other relevant departments and offices (similar to the process for loan agreement). 	<ol style="list-style-type: none"> 1. OED selects a TA for evaluation, based on ADB-wide priorities (including strategic planning considerations) and the relevance and appropriateness of lessons learned for future design and implementation of TAs in a particular sector or country. [OPr 10] 2. Usually, several TAs are covered in the same TA performance evaluation report to optimize evaluation resources. [OPr 10] 	

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Term of Phase				D. Notification of ADB Approval to GEF and Request for Funding		
Goal of Phase						
Normal/Average Duration						
Normal/Average Staff Inputs						
Other Resources, on Average						
Steps/Responsibilities				<ol style="list-style-type: none"> 1. ADB shall send to the GEF Trustee a notice of approvals by ADB of GEF project, within 30 days after the end of each quarter of the GEF Fiscal Year. 2. GEF Trustee shall commit the funds to ADB on a monthly basis, by means of a Letter of Commitment, but shall be adjusted to reflect previously-approved GEF projects that were subsequently dropped, cancelled, or amended. 3. ADB shall submit a Cash Transfer Request to the Trustee, who shall then transfer the appropriate amount based on information verified by the Secretariat, its own review of undisbursed funds and ADB's intentions for the undisbursed funds. 		

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Term of Phase				E. Consultant Engagement		
Goal of Phase						
Normal/Average Duration				10–15 weeks		
Normal/Average Staff Inputs						
Other Resources, on Average						
Steps/Responsibilities				<ol style="list-style-type: none"> 1. The TA Supervising Unit (TASU) recruits consultants, with assistance from COCS, following ADB guidelines (re - long- and shortlisting of consultants, invitation to bid, evaluation, and negotiation). COCS negotiates each contract within the TA budget. [OPr 3.5] 2. After negotiations, COCS director signs the consultant contract if the amount is \$500,000 or less. The Central Operations Services Office principal director signs if the amount is greater than \$500,000. 3. COCS sends copies of the signed contract to the consultant, TASU, CTL, and OGC, and enters contract details in the TA information system. 4. TASU sends a copy of the contract to the government and sends a notice to proceed to the consultant. 		

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Term of Phase				F. Preparation for Service Commencement		
Goal of Phase						
Normal/Average Duration				1-2 weeks		
Normal/Average Staff Inputs						
Other Resources, on Average						
Steps/Responsibilities				<ol style="list-style-type: none"> 1. TL reconfirms staff assignment (within TASU) for TA supervision. [OPr 10] 2. TL firms up or revises supervision plan for TA implementation. [OPr 10] 		

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Term of Phase				G. Formal TA Start-Up		
Goal of Phase						
Normal/Average Duration				1 week		
Normal/Average Staff Inputs						
Other Resources, on Average Steps/Responsibilities				1. TL reviews the TA implementation and supervision plans with the EA, consultants, and selected external reviewers, and gets agreement. [OPrs 4,10]		

Notes:

Cells that are colored green refer to GEF procedures while those that are colored yellow correspond to procedures that are specific to RETAs.

Text that is colored blue refers to output while red pertains to an Operational Principle.

COCS = Consulting Services Division, COPP = Project Coordination and Procurement Division, CSP = country strategy and program, CT = country team, CTL = Controller's Department, DMC = developing member country, EA = executing agency, IA = implementing agency, ML = mission leader, OED = Operations Evaluation Department, OGC = Office of the General Counsel, OSEC = Office of the Secretary, RDG = regional director general, RETA = regional technical assistance, SCSP = Subregional Cooperation Strategy and Program, SD = sector division, SRC = Staff Review Committee, TAPU = technical assistance processing unit, TASU = technical assistance supervising unit.

Definition of Terms Used in the ADB Project Cycle

<p>CSP: defines the ADB's medium-term strategy for the country, including the initial 3-year operational program. CSPU: updates of the CSP based on the President's annual planning directions, ADB's resource position, and the overall framework for lending and nonlending for the next 3 years.</p>
<p>PPTA: prepares a project, program loan, or sector loan for financing by ADB and other external sources. It is utilized for developing a pipeline of projects suitable for financing, or in some cases, for preparing preliminary sectoral survey or a sectoral review to identify sectoral issues to be addressed by the project or a master plan. SSTA: used for TAs where ADB financing does not exceed \$150,000 and does not require substantial logistic support from the recipient country. This is usually categorized further as a PPTA, ADTA, or RETA.</p>
<p>Reconnaissance mission: exploratory mission.</p>
<p>Sector loan: used where the policy and institutional framework of a developing country member can be improved through a sector project.</p>
<p>Program loan: puts emphasis on understanding the existing policy framework in the sector and on assessing the need and scope for reform and development. It supports a government program for sector reform and development.</p>
<p>PPIS: an internal system that tracks information on the pipeline projects. It enables the categories of project mix to be analyzed by number, total project costs, loan amount, DMC, sector, and source of financing.</p>
<p>RRP: translates the feasibility report into project design per ADB requirements. The draft RRP at this stage allows for early feedback from support departments.</p>
<p>BTOR: highlights the issues of project implementation and proposed remedial actions to resolve the issues.</p>
<p>DPL: a key document in program loan processing, which spells out details of medium- to long-term sector objectives, the measures already taken those to be taken to achieve them, and various indicators to be used in monitoring program implementation and sector performance.</p>
<p>Quality Assurance Panel: At least 1 governance specialist shall ensure that projects with major institutional development components are consistent with ADB's governance policy and priorities, as well as review project quality.</p>
<p>MRM: forum for discussing interdepartmental comments on a proposed project, as well as potential problems that might need further confirmation with the borrower. It is the first stage at which Management encounters details of a project. It is chaired by the President (or RVP), and senior staff members from the programs, projects, and other departments. Issues Paper: states all substantive issues raised and how they have been dealt with, as well as unresolved issues requiring the President's guidance. No new issues should be raised at the MRM outside the Issues Paper, except as a result of more recent developments.</p>
<p>Loan effectiveness: the loan takes effect after borrower's compliance with certain legal conditions to protect ADB's interest as a development financing institution: (i) standard conditions, which relate to the legal validity of the relevant loan documents like legal opinion, cross-effectiveness of cofinancing and execution of subsidiary loan agreements; and (ii) special or project specific conditions, which are critical to the effective implementation of the project.</p>
<p>SRC: should focus on the quality and consistency of the RRP and loan documents. Chaired by the project directors and attended by key department representatives, it seeks to resolve all outstanding issues since the MRM. Unresolved issues will be brought to the attention of the President and the RVP through the SRC minutes, to lead possibly to convening of a 2nd MRM or a smaller management meeting.</p>
<p>Threshold: in physical or financial terms; would be established based on the experience and capability of the borrower EA.</p>

<p>Category A project: Projects with significant adverse environmental impacts. EIA: A report prepared by the borrower, which includes a description of the project and the environment, anticipated environmental impacts and mitigation measures, alternatives, economic assessment, an environmental management plan, public consultation, and disclosure and conclusion. It is cleared by the regulatory agency of the borrowing country and ADB. IEE: has almost the same contents as an EIA, except that the adverse impacts has lesser degree, significance or probability/causality. SEIA/SIEE: highlights the main findings of the EIA/IEE.</p>
<p>Cofinancing: categorized as parallel financing (used when cofinanciers stipulate procurement policies and procedures different from ADB, thus requiring specific identifiable components that can be separately financed), joint financing (cofinanciers fund a common list of goods and services in agreed upon proportions), or special arrangements. Special arrangements include (i) umbrella/standby financing, where initial ADB financing could be cancelled when cofinancing becomes available later; (ii) channel financing, where the cofinancier does not have any direct financial relationship with the country, channeling their funds through ADB instead. Framework agreement: minimize detailed negotiations with cofinancing sources through streamlined methods and practices concerning the exchange of information and simplified cofinancing modalities.</p>
<p>PAM: contains project data and information that allows the borrower and ADB to monitor project implementation and evaluate project impact. It is an active document that is progressively updated and revised as necessary.</p>
<p>PPR: a management tool for monitoring implementation progress and assessing the likelihood that public sector projects will achieve their development objectives. It tracks progress from the baseline situation against the targets and indicators in the project framework.</p>
<p>PCR: self-evaluation of all completed projects and programs, prepared within 12–24 months of completion. An assessment of achievements against targets and using indicators established in the project framework, reflecting revisions made during implementation.</p>
<p>PPAR: ensures the availability of adequate data relating to project/program benefits and costs, including operation and maintenance costs, thereby allowing for a more objective assessment of performance and sustainability.</p>
<p>ADTA: used to finance institution building, plan formulation and implementation, operation and management of ADB-financed projects and sector-, policy-, and issues-oriented studies. RETA: ADTA that covers more than one developing member country and serves to further the common interests of benefiting countries or to provide a cost-effective means of assisting individual countries on a joint basis. RCSP: provides a clear rationale for proposed assistance at the subregional level, and is critically linked to relevant CSPs. It includes a subregional 3-year nonlending products and services work plan.</p>
<p>ADBBO: a list that is intended to inform consultants, suppliers, and contractors of business opportunities likely to arise from ADB activities.</p>
<p>TPR: a tool to assist management of the TA portfolio and resources, and expands the scope of TA monitoring to include the maintenance of historical records on major issues, problems, and actions taken and information on the TA framework. It has a performance rating methodology and guidelines similar to the PPR.</p>
<p>TCR: assesses the TA's achievements against its objectives.</p>
<p>TPAR: evaluates the design, implementation and performance of TA projects in terms of relevance, efficacy, efficiency, and sustainability criteria.</p>

Appendix 4d: European Bank For Reconstruction And Development Project Cycle

Generic phase	Phase I: Concept Development	Phase II: Preparation	Phase III: Appraisal (merged with preparation phase; simultaneous)	Phase IV: Approval and Start	Phase IV: Implementation	Phase VI: Completion and Evaluation
Modality Project (full-size) Linked to: Direct loan Indirect loan TC/TA	Term of phase: Initiation (or identification) Goal of phase: Identify if the project is potentially suitable for EBRD financing. <ul style="list-style-type: none"> Business development team (periodic missions to countries) identify project ideas. Receives request (formal or informal) to provide a loan (from promoter - or govt) [OPr4] Investigates the proposed business plan and decides to further consider the project or reject it. (Banking team): can be electronic and/or by mission (1-7 days visit) Analyzes information from Borrower of business proposal with economic/commercial aspects and available environmental information (permits, impact assessments, policies). [OPr3] Makes a preliminary assessment of the project's feasibility (technical, financial, economic, environmental and institutional) [OPr3] Determines if project is complementary to the Bank's sectoral and country policies. Prepares Concept Review Memorandum (CRM) (=first 	Term of phase: Project Preparation Development of Final Review Memorandum, project Structure, terms and conditions. For GEF projects, EBRD contracted FAO investment center to develop proposal. Structure review (optional): Only for projects with deal structure issues Environmental Review is undertaken to ensure that the project is environmentally sound. Environmental Impact Assessments (EIAs, duration 1 year): notify affected people and interested NGOs about project, conduct public consultations. All public submissions are documented and presented to the Bank with the EIA report. (see annex) [OPr7, 5] Project Summary Documents (2 pg) are available before Board consideration (on website) consideration) (see below). [OPr5]	Final review: Final Review Memorandum, Structure, terms and conditions are presented to the Bank's Operations Committee for approval. Contains more detailed terms and conditions for financing of the project, including signed term sheet. Documents for the Board of Directors are prepared. Responsibilities: EBRD staff are responsible for most tasks of preparation. Sponsor is responsible for making a public announcement of proposed project and completing Environmental Impact Assessments, other environmental reports. [OPr5]	Term of phase: Approval (also called signing) Goal: EBRD's commitment to provide financing. The final review with the President's recommendation and other loan documents are presented to the Board of Executive Directors. GEF focal point signs before the Board signs. Signing loan agreement by EBRD and client; loan becomes legally binding [often same day as Board]. Duration: <ul style="list-style-type: none"> 2 weeks (max 10 days) between Final Review and Board mtg. Signature: often same day as Board. 	Term of phase: Project Implementation (also Disbursement, Repayments) Goal: Disbursement of the loan for project implementation, construction and subsequent operation. Implementation is the responsibility of the project sponsor. EBRD articles of agreement require that the loan is used only for the purposes for which it was granted. [OPr4] Monitoring of project's implementation in relation to agreed schedules, loan agreements and use of project outputs, by project beneficiaries, by borrower. [OPr10] EBRD's role is to supervise the project to ensure that projects achieve their objectives by working with sponsors to identify and deal with any problems. Annual monitoring (two missions/yr), expanded mission every 3 years. [OPr10] EBRD takes necessary action to ensure compliance. For GEF: EBRD retains control over funds and	Term of phase: Project Completion Completion (financial) is built into operations as last disbursement. Repayment of loan is much later. Phase may also include sale of equity, of final maturity (final loan amount due for repayment). Project Completion Reports: [OPr10] <ul style="list-style-type: none"> by Banking Team Certify completion of implementation Assess results of project and efficiency of their achievement; Identify operational lessons for future operations PCRs lay groundwork for OPER (operation Performance evaluation review). OPER by PED of min. 50% of projects, 1-2 years after final disbursement.

Generic phase Modality	Phase I: Concept Development	Phase II: Preparation	Phase III: Appraisal (merged with preparation phase; simultaneous)	Phase IV: Approval and Start	Phase IV: Implementation	Phase VI: Completion and Evaluation
	<p>approval process paper, not publicly available) with analyses conducted.</p> <ul style="list-style-type: none"> • Concept review. CRM is presented to Operations Committee (OPSCOM) for approval. Decision on project category. • Project enters "pipeline". • EBRD signs mandate letter with project plan, development expenses and responsibilities. [OPr4] <p>Responsibilities:</p> <ul style="list-style-type: none"> • Banking Team, assisted by network of EBRD regional offices <p>Duration phase 1: Ideas can incubate with companies for 2-3 years, waiting for conditions to be met. [OPr4, 5]</p>	<p>Responsibilities: Banking team with promoter, environment department in review.</p> <p>Normal/average duration:</p> <p>Release of documents before Board: [OPr6]</p> <ul style="list-style-type: none"> • private sector projects at least 30 days • public sector 60 days • EIAs private sector 60 days • EIA public sector projects 120 days 		<p>Overall average duration:</p> <ul style="list-style-type: none"> • 3-4 months from initial contact to signing (approval). • Emergency projects 4-6 weeks • larger natural resource projects around a year. 	<p>recruited local environment expert for independent monitoring.</p> <p>Normal/average duration: From initiation to repayment: 1 year for working capital, 15 years sovereign infrastructure projects. Normal implementation period for a loan is 5-7 years (private sector), for municipalities up to 10 years.</p>	

Annex:

The Bank's Environmental Procedures requires an independent review of the environmental compliance of projects. The environmental review is based on the findings of the EIA. A summary of the environmental review is incorporated into the final review. The environmental section of the Final Review should contain: the current environmental status of the project; potential environmental impacts; environmental additionality; status of public consultations.

Appendix 4e: Food And Agriculture Organization Project Cycle

GEF Project Cycle Phase	FAO's Standard Project Cycle Phase	Lead FAO Responsible Unit	FAO-GEF Project Cycle (in development) ⁴	Lead FAO Responsible Unit	Estimated Level of Effort (sw)		Percentage of Total Estimated LOE (%)	
					Best Case ²	Worse Case ³	Best Case ²	Worse Case ³
Concept Development	Project Identification		Project Identification		5	20	5.7%	12.6%
<ul style="list-style-type: none"> - Preparation of pre-feasibility studies - Preparation/submission of PDF request (if applicable) - Preparation of Project Concept Document (PCD) - Submission of PCD (Pipeline Entry)	<ul style="list-style-type: none"> - Identification - Project Idea - Screening/Pre-feasibility - Project Outline - Consultation potential donors - Official Request - In-country Appraisal - Compliance with Funding Criteria 	<ul style="list-style-type: none"> - - LTU/DLU LTU DLU, LTU, FAOR FAOR/RR, ADG/Technical Department for inter-regional and global projects DLU	<ul style="list-style-type: none"> - Concept identification - Compliance with GEF criteria - Preparation of concept paper - Preparation of PCD/Block B - FAO clearances <ul style="list-style-type: none"> ▪ technical ▪ financial ▪ operational ▪ budget ▪ legal (if necessary) - PPRC - Submission to GEFSEC (or IA) 	LTU/TCI TCAP GEF team LTU/TCI/TCAP GEF team LTU/TCI/TCAP GEF team LTU AFF TCO PBE LEG TCAP TCAP				
Preparation	Formulation		Formulation		21	40	24.1%	25.2 %
<ul style="list-style-type: none"> - Preparation of detailed project design - Preparation/submission of Project Brief for: (i) CEO approval (MSP/EA < \$450 K), (ii) work program approval by Council (FSP) - Implementation Services Fee (CEO/Council Approval)	<ul style="list-style-type: none"> - Formulation - Coordination with Donor 	LTU/PFTF DLU	<ul style="list-style-type: none"> - Formulation - Clearance and approval process (repeat steps followed in project identification) 	LTU/TCAP GEF team as specified above				
Appraisal	Approval Phase		Appraisal		6	9	6.9%	5.7%

GEF Project Cycle Phase	FAO's Standard Project Cycle Phase	Lead FAO Responsible Unit	FAO-GEF Project Cycle (in development) ⁴	Lead FAO Responsible Unit	Estimated Level of Effort (sw)		Percentage of Total Estimated LOE (%)	
					Best Case ²	Worse Case ³	Best Case ²	Worse Case ³
<ul style="list-style-type: none"> - Finalization of project design/budget/negotiations - Preparation of legal documents - Preparation/submission of Final Project Document (FPD) - Agency internal project review/approval (CEO Endorsement) 	<ul style="list-style-type: none"> - Appraisal <ul style="list-style-type: none"> ▪ clearances: ▪ technical ▪ financial ▪ operational ▪ budget ▪ legal (if necessary) - PPRC - Government - Approval - Signature - Designation of Operational and BH Responsibility - Receipt of Funds 	LTU/PFTF LTU AFF TCO (ROB/TD) PBE LEG TCAP FAOR/RR TC TC TC AFF	New procedures are under development					
Supervision <ul style="list-style-type: none"> - Supervision of project implementation (project progress, procurement, disbursements) - Preparation/submission of interim reviews/reports and Project Implementation Review (PIR) (Project Effectiveness) 	Implementation and Supervision <ul style="list-style-type: none"> - Implementation - Monitoring and Supervision (technical) (operational) - Reporting (technical) - Financial reporting - Midterm Evaluation - Project/Budget Revision(s) 	BH, LTU, TCAP GEF team -- LTU, TCAP GEF team BH, AFFC PBEE BH, LTU, TCAP GEF team	Supervision New procedures are under discussion		50 (@ 10 sw/yr x 5 yrs) 45	84 (@ 12 sw/yr x 7 yrs)	57.5%	52.8%

Evaluation - Preparation/submission of Project Completion Report (PCR) (Project Completion) (Project Closure)	Evaluation and Closure - Evaluation - Terminal Reporting - Project Completion - Operational Closure - Financial Closure	PBEE BH/TCOM BH TCOM AFF	Evaluation and Closure Same as FAO Project Cycle		5	6	5.7%	3.8%
Total LOE (sw)					87	159	100%	100%
Total Estimated Costs (000)¹					\$513	\$938		
¹ Estimated at \$5,900 per sw (fully loaded)								
² Based on the following assumptions: a "simple" FSP in terms of size, complexity, difficulty of in-country working conditions, existence of parallel project which could defray travel expenses and a 5 year appraisal to completion period.								
³ Based on the following assumptions: a "problem" project in terms of size, complexity, difficulty of in-country working conditions including national execution, lack of parallel projects in country, and a 7 year appraisal to completion period.								
⁴ Refer to Steps 2&3 for more detail of FAO -GEF project cycle.								

Key Acronyms

AFF = Finance Division

AFH = Human Resources Division

BH = Budget Holder

DLU = Donor Liaison Unit

LEG = Legal Office

LTU = Lead Technical Unit

PBE = Office of Programme Budget & Evaluation

PBEE = Evaluation Service

PFTF = Project Formulation Task Force

PPRC = Programme and Project Review Committee

ROB = Regional Operations Branch

SPFS = Special Programme for Food Security

TCAP = Field Programme Development Service

TCI = Investment Centre Division

TCOM = Field Operation and Co-ordination Service

TCP = Technical Cooperation Programme

Appendix 4f: Inter-American Development Bank Project Cycle

Phase 0: Programming Process	Phase I: Project Preparation			Phase II: Negotiation and Approval	Phase III: Implementation Supervision	Phase IV: Completion and Evaluation
	Identification	Orientation	Analysis			
<p>Goal: To identify potential new initiatives by sector and financing instrument and review existing IDB portfolio. Main product: country strategy.</p> <ul style="list-style-type: none"> - Every 4-6 years depending on the country's political cycle. - Conducted between government and IDB management 	<p>Goal: To determine whether the project idea is aligned with the policy and strategy agreed upon with the borrowing country during the programming process. Main product: project outline.</p> <ul style="list-style-type: none"> - An idea for a project usually originates from a country's national plan or through dialogue with country authorities - initial document (project outline) is prepared and approved by IDB management to be included in the pipeline. - Project outline: provides basic information on the project, including relationship to the Bank's Country Strategy, principal characteristics, and indicative funding amounts. Normally less than 2 pages in length. - Bank conducts identification mission(s) 	<p>Goal: To define medium-term objectives, project components, and concrete activities for each component. Main product: project concept document.</p> <ul style="list-style-type: none"> - Bank's Committee on Environmental and Social Impact devotes particular importance to the direct and indirect social and environmental impacts of the project. As such, the Bank requires studies on actions to mitigate any expected adverse effects. - Preparation includes a justification and comparison of different technical and institutional options for achieving the project's objectives - Preparation requires feasibility studies to identify the preliminary designs for 	<p>Goal: To ensure feasibility of the project from an economic, technical, financial, environmental, legal, and institutional standpoint, and that plans for its implementation are solid. Main product: Loan proposal.</p> <ul style="list-style-type: none"> - Loan proposals are released to the public after approval. They can be up to 45 pages in length. Loan proposals contain background information on the country, project implementing agency, donor coordination, and the Bank's strategies relating to the project: a detailed description of the project's objectives, activities and budget; the project's implementation plan and timetable; and a section on 	<ul style="list-style-type: none"> - Loan proposal is submitted to Loan Committee - Negotiations are held before Board presentation - Loan proposal is presented to the Board and Committee of the Whole - Loan Signature and Loan Effectiveness: - After Board Approval Bank informs Borrower of Board approval. Borrower defines signature date - Loan agreement enters into force after fulfillment of all conditions precedent to first disbursement. - After they have been signed and have entered into effect, public sector loan contracts, are made available to the public. 	<ul style="list-style-type: none"> - Borrower is wholly responsible for project execution, including any procurement it entails, the Bank supervises the process to ensure that the project stays on schedule and that Bank procedures are followed in the procurement process. - Launching mission to familiarize borrower with project execution. - Bank's Country Office in the borrowing country will supervise the project in accordance with the instructions contained in the loan proposal and the respective contract. The contract may describe the form and frequency of reviews. - Bank monitors progress towards 	<ul style="list-style-type: none"> - Evaluation activities are incorporated into every phase of the project cycle, beginning with the studies and impact analyses carried out during the preparation process and continuing until the project is completely implemented. - After a project has completed its implementation, the Bank's Country Offices and borrowers jointly produce project completion reports within three months following the end of project implementation. - The purpose of Project Completion Reports (PCRs) is to assess and evaluate the project in order to improve the effectiveness of Bank-financed operations. PCRs are prepared at the end of each project's

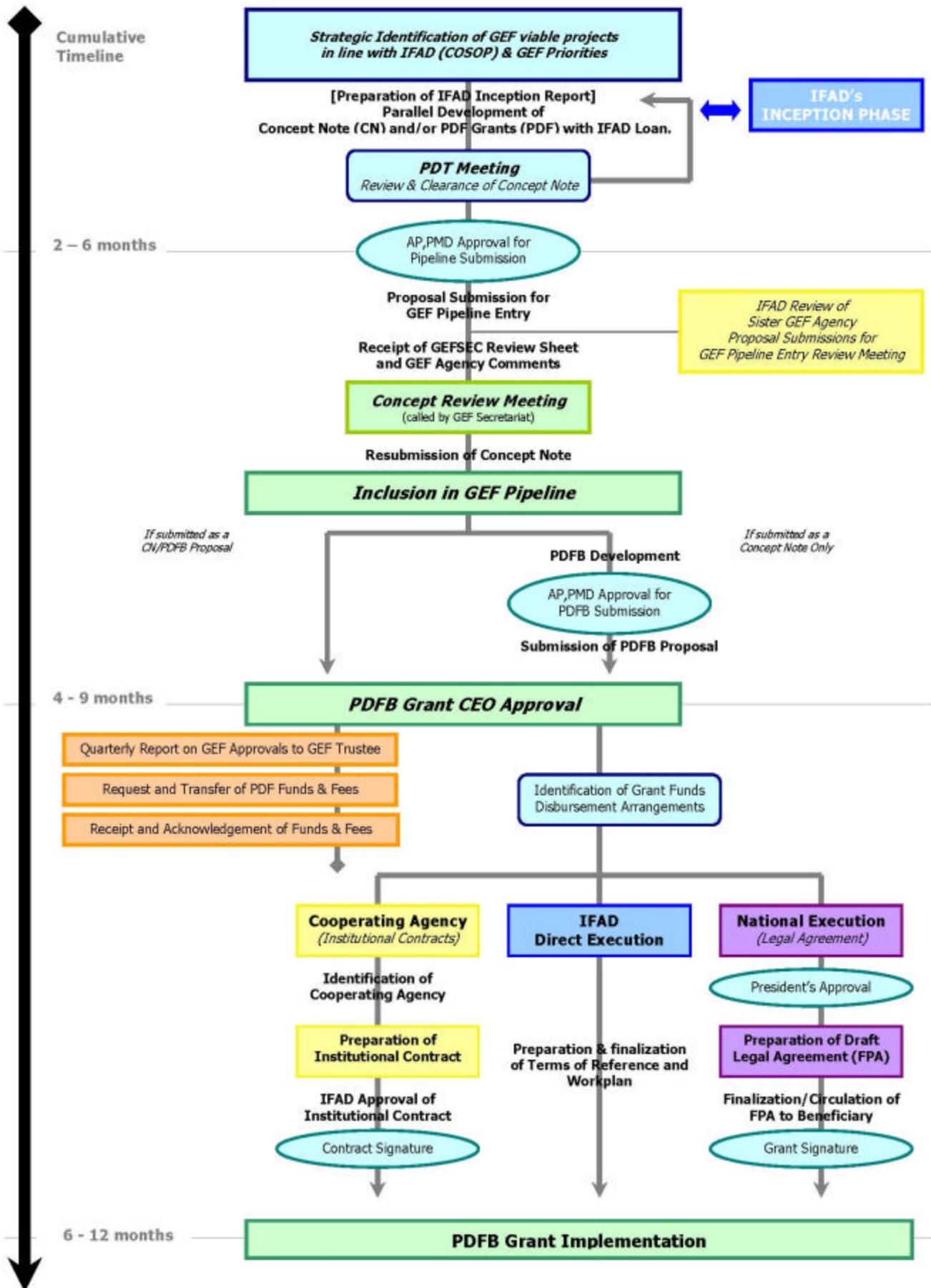
Phase 0: Programming Process	Phase I: Project Preparation			Phase II: Negotiation and Approval	Phase III: Implementation Supervision	Phase IV: Completion and Evaluation
	Identification	Orientation	Analysis			
		<p>technical and institutional operations. Costs and benefits are compared.</p> <ul style="list-style-type: none"> - Project's budget and procurement requirements are also determined, as are methods for monitoring project implementation and its impact. - the Bank's project team produces a second, more detailed document, called a project concept document, to communicate the objectives and activities of the proposed project. - <u>Project Concept Document (PCD)</u>: generally 10-15 pages in length, excluding annexes, and contain a project's principal characteristics, frame of reference, description and expected financing structure, preliminary implementation plan and expected development 	<p>the project's viability, risks and expected environmental and social impacts.</p> <ul style="list-style-type: none"> - Project teams also develop a logical framework for the project. Logical framework details the project's specific goals and expected outcomes and outputs, broken out by project component, as well as specifies any assumptions the team has made and provides specific indicators for evaluating outcomes and the means for their verification. - Environmental Impact Assessments are made available locally and through the Bank's public information centers. <p><u>Environmental assessments</u> are produced for projects that may pose substantial environmental risks</p>		<p>achievement of project objectives and development goals.</p> <ul style="list-style-type: none"> - Bank conducts administration missions and a set of supervisory activities. - Procurement plans are updated annually by the borrowers while projects are in execution. General procurement notices and specific procurement notices are published on the IDB's Procurement Website, as required by the Bank's procurement procedures. 	<p>implementation and include information on outputs and outcomes, and ratings on its performance, sustainability and probability of achieving development objectives. They also contain provisions for the ex-post evaluation and make recommendations based on lessons learned.</p> <ul style="list-style-type: none"> - Ex post evaluations may be also conducted at the request of the borrower after the project is completed. However, the Bank can decide to conduct its own project evaluation.

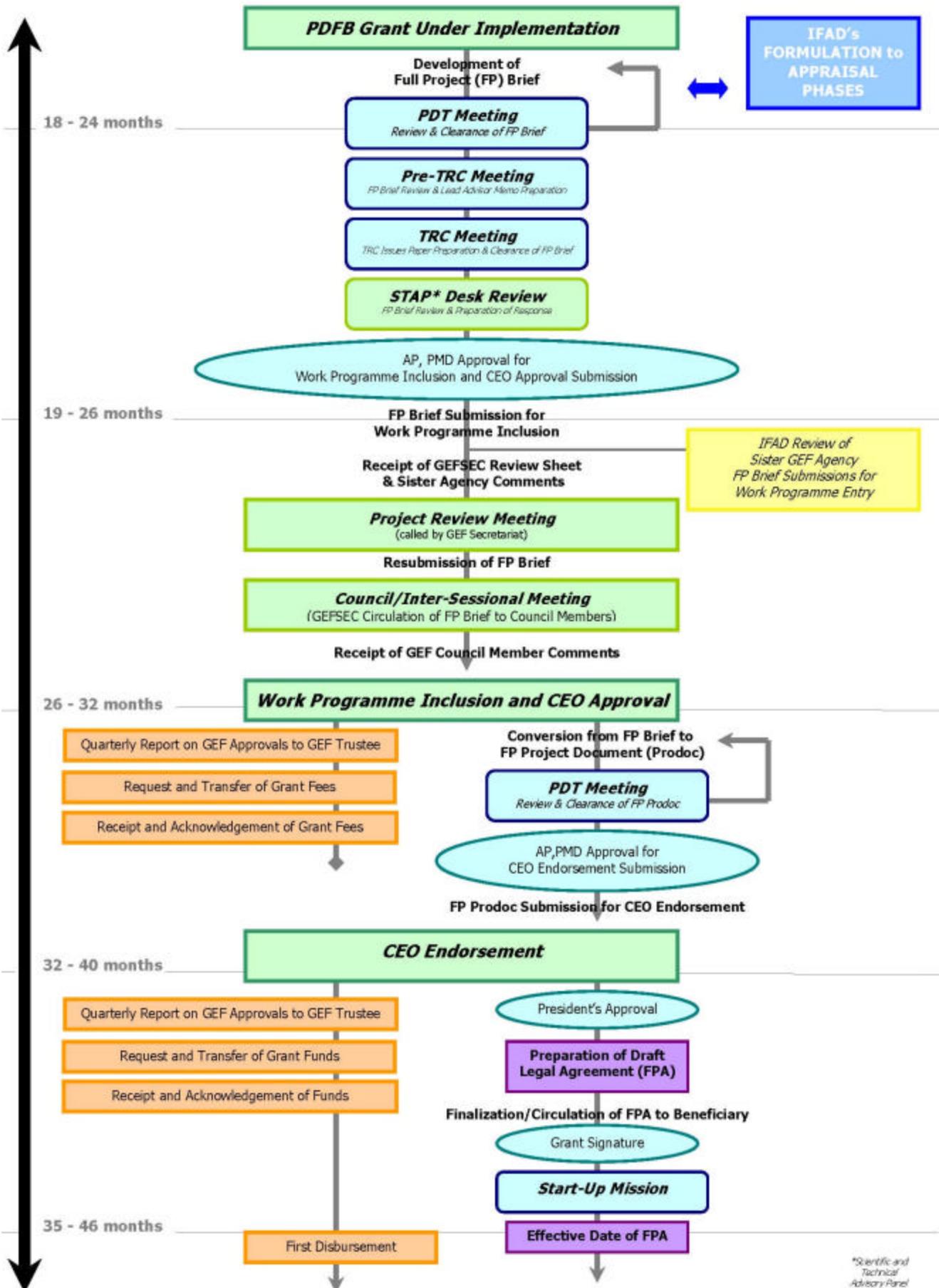
Phase 0: Programming Process	Phase I: Project Preparation			Phase II: Negotiation and Approval	Phase III: Implementation Supervision	Phase IV: Completion and Evaluation
	Identification	Orientation	Analysis			
		<p>impact, as well as its status and any special aspects that require additional consideration.</p> <ul style="list-style-type: none"> - PCD is submitted to an internal review committee. - Bank conducts orientation mission 	<p>and challenges, including large infrastructure projects; projects based on extractive use of natural resources; projects with transboundary implications; projects that may affect protected areas, critical cultural sites, or internationally recognized fragile or unique ecosystems; and projects that may pose health and physical vulnerability risks to people. They generally identify and assess potential environmental and social impacts from the project, contain measures to mitigate those impacts and propose alternative solutions for accomplishing project objectives.</p> <p><u>Procurement plans</u> are prepared by the borrower and initially included as part of the loan proposal or plan of operations. They contain a brief description of the procurement foreseen</p>			

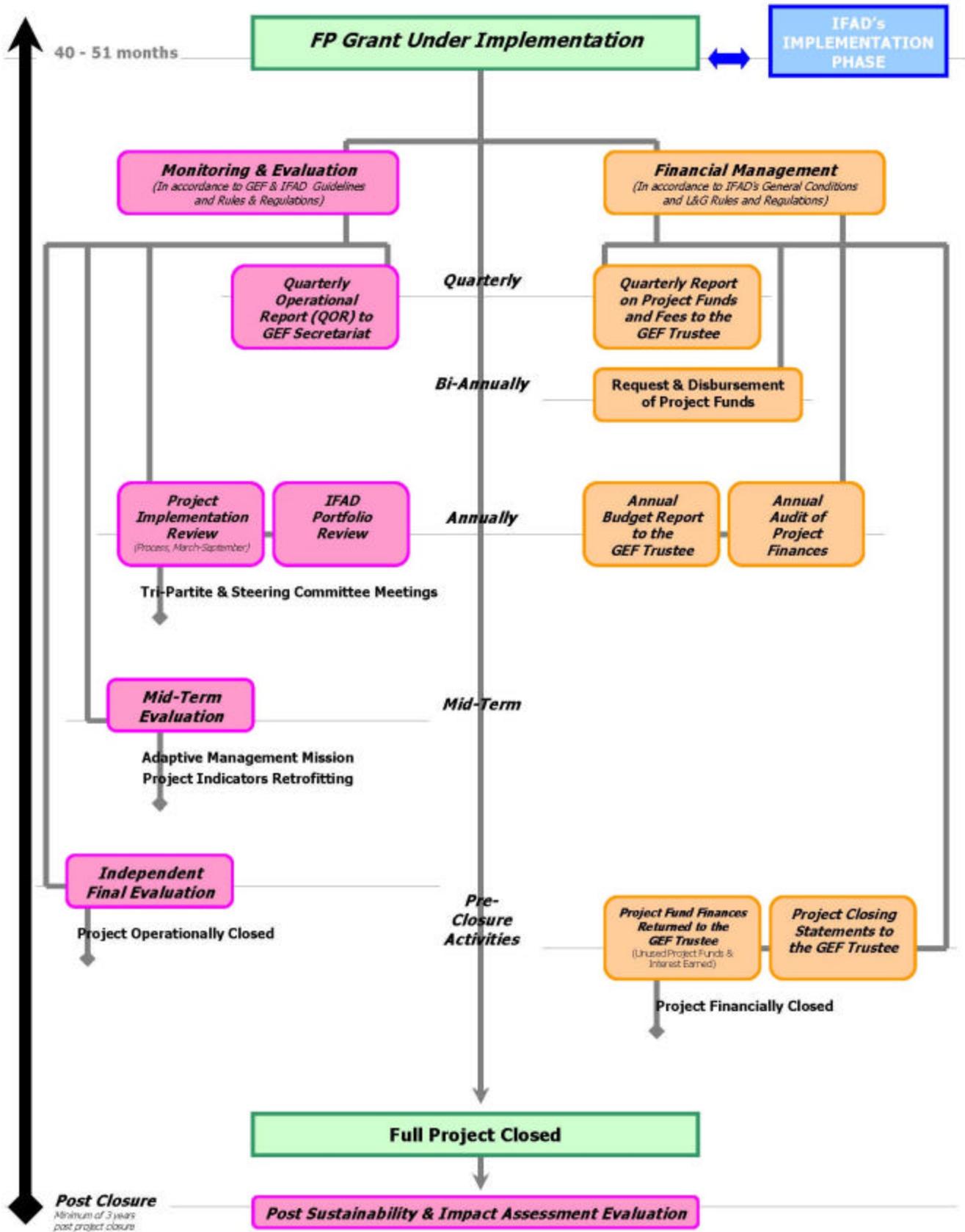
Appendix 4g: International Fund For Agricultural Development Project Cycle

The draft project cycle for the GEF Full Sized Project Grants encompasses both GEF and IFAD Critical Milestones from inception and formulation of the preparatory grant to the implementation of the Full Project. Please see below legend to identify critical GEF or IFAD Milestones, and specific steps, as follows:

<i>Color of Boxes</i>	<i>Description</i>
	Critical IFAD Milestones including Identification of IFAD/GEF viable Projects, Internal Review and Clearance Meetings, AP/PMD or OP Approvals and Signatures.
	Critical GEF Milestones including Review Meetings and Approval Milestones.
	Specific IFAD contributions i.e. (PT or OL); for internal reviews of Sister GEF Agency Submissions or implementation arrangements- Cooperating Agency Implementation or National Execution.
	FAD Contributions, specifically FC-Accounting and FC- Loans and Grants.
	Monitoring and Evaluation milestones during Project implementation.







Appendix 4h: United Nations Development Programme Project Cycle

Generic phase	Phase I: Concept Development
Modality	
Full-size project	<p>Term of phase: Concept/PDF B Goal of phase: Draft a Concept/PDF B for entry into the GEF pipeline Normal/average duration: 3 months Operational Principles: 2, 4, 7 Steps/responsibilities:</p> <p>Proponent</p> <ul style="list-style-type: none"> •Finalizes concept and submits to UNDP Country Office for review and transmittal to GEF Regional Unit; •Contributes to response to comments consolidated by UNDP Country Office and GEF Regional Unit. <p>Government</p> <ul style="list-style-type: none"> •Reviews concept; •Contributes to response to comments consolidated by UNDP Country Office and GEF Regional Unit. <p>UNDP Country Office</p> <ul style="list-style-type: none"> •Assists Proponent with finalization of concept, recommending changes and ensuring comments from GEF Regional Unit, Headquarters Focal Area Team, GEF Secretariat (GEFSEC) and other GEF partners are satisfactorily addressed; •Submits concept to GEF Regional Unit for clearance and transmittal to Headquarters Focal Area Team; •Consolidates response to comments from Headquarters Focal Area Team, GEFSEC and/or other GEF partners, liaising with Proponent, and Government and submits to GEF Regional Unit for clearance and transmittal to Headquarters Focal Area Team; •In case of regional project, refer to the UNDP Programming Manual for the selection of the Host Country. <p>GEF Regional Unit</p> <ul style="list-style-type: none"> •Assists UNDP Country Office(s) and Proponent with finalization of concept, overseeing technical quality, recommending changes and ensuring comments from Headquarters Focal Area Team, GEFSEC and/or other partners are satisfactorily addressed; •Reviews and clears response to comments from Headquarters Focal Area Team, GEFSEC and/or other GEF partners, liaising with Proponent, Government and UNDP Country Office, overseeing technical quality and recommending changes prior to transmittal to Headquarters Focal Area Team; •Clears and submits concept to Headquarters Focal Area Team, recommending formal technical and managerial clearances prior to submission to GEFSEC for approval. <p>Headquarters Focal Area Team</p> <ul style="list-style-type: none"> •Reviews concept and response to comments and recommends changes; •Provides formal technical clearance of concept and response to comments prior to submission to GEF Secretariat <p>Deputy Executive Coordinator</p> <ul style="list-style-type: none"> •Provides managerial clearance prior to submission to GEF Secretariat, ensuring consistency with UNDP GEF Business Plan. <p>UNDP-GEF Registry</p> <ul style="list-style-type: none"> •Circulates concept to GEF Secretariat and GEF partners for comments; •Forwards comments from GEFSEC and other GEF Partners to GEF Regional Unit, copying Headquarters Focal Area Team and following-up on response due for transmittal within required timeframe •Forwards to GEFSEC and other GEF Partners formal UNDP response to comments received. <p>GEF Secretariat (GEFSec)</p> <ul style="list-style-type: none"> •Provides Review Sheet conveying comments and recommending changes to be addressed in a revised concept; •CEO approves Pipeline entry of concept via formal memo to UNDP-GEF Executive Coordinator; •Concept is included in GEF Pipeline on GEF website. <p>Executive Coordinator</p> <ul style="list-style-type: none"> •Formally notifies UNDP Resident Representative of Concept approval by GEF CEO via a notification letter. <p>Approval timeline: UNDP-GEF Registry submits/circulates Concept Paper: Day 1 Partners provide comments: Day 1 + 5 working days (approximately)</p>

	<p>GEFSEC issues review sheets: Day 1 + 8 working days (approximately) Review Meeting takes place: Day 1 + 15 working days (approximately) CEO approves Concept Paper: Day 1 + 25 working days (approximately) Concept Paper included in GEF Pipeline on GEF website: Day 1 + 25 working days (approximately) Outputs: Concept/PDF B</p>
	<p style="text-align: center;">Phase II: Preparation</p> <p>Term of phase: Preparation Goal of phase: Develop an FSP proposal Normal/average duration: 12 months Operational Principles: 2, 3, 4, 7, 9 Steps/responsibilities:</p> <p>Proponent</p> <ul style="list-style-type: none"> • Finalizes executive summary and project document and submits to UNDP Country Office for review and transmittal to GEF Regional Unit; • Contributes to response to comments consolidated by UNDP Country Office and GEF Regional Unit. <p>Government</p> <ul style="list-style-type: none"> • Reviews executive summary and project document and provides formal endorsement via letter from GEF Operational Focal Point to UNDP Resident Representative; • Contributes to response to comments consolidated by UNDP Country Office and GEF Regional Unit. <p>UNDP Country Office</p> <ul style="list-style-type: none"> • Assists Proponent with finalization of executive summary and project document, recommending changes and ensuring comments from GEF Regional Unit, Headquarters Focal Area Team, GEF Secretariat (GEFSEC) and other GEF partners are satisfactorily addressed; • Obtains government endorsement letter(s) signed by the GEF Operational Focal Point(s); • Submits executive summary and project document to GEF Regional Unit for clearance and transmittal to Headquarters Focal Area Team; • Consolidates response to comments from Headquarters Focal Area Team, GEFSEC and/or other GEF partners, liaising with Proponent, and Government and submits to GEF Regional Unit for clearance and transmittal to Headquarters Focal Area Team; • In case of regional project, refer to the UNDP Programming Manual for the selection of the Host Country. <p>GEF Regional Unit</p> <ul style="list-style-type: none"> • Assists UNDP Country Office(s) and Proponent with finalization of executive summary and project document, overseeing technical quality, recommending changes and ensuring comments from Headquarters Focal Area Team, GEFSEC and/or other partners are satisfactorily addressed; • Reviews and clears response to comments from Headquarters Focal Area Team, GEFSEC and/or other GEF partners, liaising with Proponent, Government and UNDP Country Office, overseeing technical quality and recommending changes prior to transmittal to Headquarters Focal Area Team. <p>Outputs: FSP proposal</p> <p style="text-align: center;">Phase III: Appraisal</p> <p>Term of phase: Technical and financial clearance Goal of phase: Internal review and clearance prior to GEF submission Normal/average duration: 15 days Operational Principles: 2, 3, 4, 7 Steps/responsibilities:</p> <p>GEF Regional Unit</p> <ul style="list-style-type: none"> • Clears and submits executive summary and project document to Headquarters Focal Area Team, recommending formal technical and managerial clearances prior to submission to GEFSEC for approval. <p>Headquarters Focal Area Team</p> <ul style="list-style-type: none"> • Reviews executive summary, project document and response to comments and recommends changes; • Provides formal technical clearance of executive summary, project document and response to comments prior to submission to the GEF Secretariat. <p>Deputy Executive Coordinator</p> <ul style="list-style-type: none"> • Provides managerial clearance prior to submission to GEF Secretariat, ensuring consistency with UNDP-GEF Business Plan. <p>UNDP-GEF Registry</p> <ul style="list-style-type: none"> • Circulates executive summary, project document and government endorsement letter(s) to GEF Secretariat and GEF partners for comments; • Forwards comments from GEFSEC and other GEF Partners to GEF Regional Unit, copying Headquarters Focal Area Team and following-up on response due for transmittal within required timeframe; • Forwards to GEFSEC and other GEF Partners formal UNDP response to comments received. <p>Outputs: Submission of FSP to GEF for Work Program Inclusion</p>

Phase IV: Approval and Start

Term of phase: Approval and Start

Goal of phase: CEO approval and project document signature of FSP

Normal/average duration: 3-6 months

Operational Principles: 2, 3, 4, 7

Steps/responsibilities:

GEF Secretariat (GEFSec)

- Provides a Review Sheet transmitting comments, recommending changes to be addressed in a revised executive summary and project document and conveying decision on Work Programme entry;
- Includes project in Work Programme and circulates to GEF Council Members via website;

GEF Council

- Reviews Work Programme, providing comments on individual projects to be addressed at the time of project document finalization within two weeks after the conclusion of the Council meeting (see para. (c) of Council Decisions affecting the Project Cycle);
- Approves Work Programme.

Proponent

- Attends Project Appraisal Committee (PAC) meeting;
- Finalizes project document including co-financing, implementation and Monitoring & Evaluation arrangements and ensuring PAC comments are satisfactorily addressed;
- Drafts UNDP response to GEF Council Comments;
- Obtains letter(s) of financial commitment.
- Submits project document to UNDP Country Office for clearance and transmittal to GEF Regional Unit.

Government

- Attends Project Appraisal Review (PAC) meeting;
- Reviews and clears final project document.

UNDP Country Office

- Organizes and attends Project Appraisal Committee (PAC) meeting;
- Finalizes and distributes PAC Minutes;
- Assists Proponent with project document finalization; ensuring availability of letters of financial commitment and completion of UNDP response to GEF Council comments;
- Clears final project document and submits to GEF Regional Unit for clearance and transmittal to UNDP-GEF Headquarters.

GEF Regional Unit

- Assists Proponent and UNDP Country Office(s) with project document finalization, overseeing technical quality and reviewing co-financing, implementation and Monitoring & Evaluation arrangements;
- Finalizes UNDP response to GEF Council comments;
- Clears and submits final project document and attachments to UNDP-GEF Headquarters recommending technical and managerial clearances prior to transmittal to GEF Secretariat.

Headquarters Focal Area Team

- Reviews and recommends changes;
- Provides formal technical clearances prior to submission to GEF Secretariat.

Programme Operations Support and Information Unit

- Reviews budgetary, co-financing and implementation arrangements and recommends changes;
- Provides formal financial clearance prior to submission to GEF Secretariat

Deputy Executive Coordinator

- Provides managerial clearance prior to submission to GEF Secretariat, ensuring consistency with UNDP-GEF Business Plan.

UNDP-GEF Registry

- Submits project document and attachments to GEF Secretariat for endorsement by CEO.

GEF Secretariat (GEFSec)

- Provides Review Sheet conveying comments and recommending changes to be addressed in a revised project document;
- CEO endorses the project document via formal memo to the UNDP-GEF Executive Coordinator.

UNDP-GEF Executive Coordinator

- Formally delegates authority to UNDP Resident Representative to sign project document on behalf of UNDP and execute GEF-funded project.

Approval timeline:
 UNDP-GEF Registry submits/circulates Executive Summary and Project Document: Day 1
 Partners provide comments: Day 1 + 5 working days
 GEFSEC issues review sheets: Day 1 + 8 working days
 Review Meeting takes place: Day 1 + 15 working days
 Project is included in Work Programme: Day 1 + 20 working days

Outputs: Project document signature

Phase V: Implementation Supervision

Term of phase: Monitoring and Evaluation
 Goal of phase: To provide management and main stakeholders information on implementation progress
 Normal/average duration: 4-5 years
 Operational Principles: 5, 6, 7, 9, 10
 Steps/responsibilities:

Type of M&E activity	Responsible Parties
Inception Workshop	<ul style="list-style-type: none"> ▪ Project Coordinator ▪ UNDP CO ▪ UNDP GEF
Inception Report	<ul style="list-style-type: none"> ▪ Project Team ▪ UNDP CO
Measurement of Means of Verification for Project Purpose Indicators	<ul style="list-style-type: none"> ▪ Project Coordinator will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members
Measurement of Means of Verification for Project Progress and Performance (measured on an annual basis)	<ul style="list-style-type: none"> ▪ Oversight by Project GEF Technical Advisor and Project Coordinator ▪ Measurements by regional field officers and local IAs
APR and PIR	<ul style="list-style-type: none"> ▪ Project Team ▪ UNDP-CO ▪ UNDP-GEF
TPR and TPR report	<ul style="list-style-type: none"> ▪ Government Counterparts ▪ UNDP CO ▪ Project team ▪ UNDP-GEF Regional Coordinating Unit
Steering Committee Meetings	<ul style="list-style-type: none"> ▪ Project Coordinator ▪ UNDP CO
Periodic status reports	<ul style="list-style-type: none"> ▪ Project team
Technical reports	<ul style="list-style-type: none"> ▪ Project team ▪ Hired consultants as needed
Mid-term External Evaluation	<ul style="list-style-type: none"> ▪ Project team ▪ UNDP- CO ▪ UNDP-GEF Regional Coordinating Unit ▪ External Consultants (i.e. evaluation team)

Outputs: Timely, accurate information on implementation progress

Phase VI: Completion and Evaluation

Term of phase: Operational Completion
 Goal of phase: To provide management and main stakeholders an assessment of achievement of results, sustainability and cofinancing
 Normal/average duration: 3 months
 Operational Principles: 6, 9, 10
 Steps/responsibilities:

Type of M&E activity	Responsible Parties
Final External Evaluation	<ul style="list-style-type: none"> ▪ Project team ▪ UNDP-CO ▪ UNDP-GEF Regional Coordinating Unit ▪ External Consultants (i.e. evaluation team)
Terminal Report	<ul style="list-style-type: none"> ▪ Project team ▪ UNDP-CO ▪ External Consultant
Lessons learned	<ul style="list-style-type: none"> ▪ Project team ▪ UNDP-GEF Regional Coordinating Unit (suggested formats for documenting best practices, etc)

Outputs: Terminal evaluation report

Modality	Phase I: Concept Development
Medium-size project	<p>Term of phase: PDF A Goal of phase: Draft a PDF A for UNDP approval Normal/average duration: 3 months Operational Principles: 2, 4, 7 Steps/responsibilities:</p> <p>Proponent</p> <ul style="list-style-type: none"> Finalizes PID and submits to UNDP Country Office for review and transmittal to GEF Regional Unit; Contributes to response to Headquarters Focal Area Team comments consolidated by UNDP Country Office and GEF Regional Unit. <p>Government</p> <ul style="list-style-type: none"> Reviews PID and provides formal endorsement via letter from GEF Operational Focal Point to UNDP Resident Representative; Contributes to response to Headquarters Focal Area Team comments consolidated by UNDP Country Office and GEF Regional Unit. <p>UNDP Country Office</p> <ul style="list-style-type: none"> Assists Proponent with finalization of PID, recommending changes and ensuring comments from GEF Regional Unit and Headquarters Focal Area Team are satisfactorily addressed; Obtains government endorsement letter(s) signed by the GEF Operational Focal Point(s); Submits PID to GEF Regional Unit for clearance and transmittal to Headquarters Focal Area Team; Consolidates response to comments from Headquarters Focal Area Team, liaising with Proponent, and Government and submits to GEF Regional Unit for clearance and transmittal to Headquarters Focal Area Team; In case of regional project, refer to the UNDP Programming Manual for the selection of the Host Country. <p>GEF Regional Unit</p> <ul style="list-style-type: none"> Assists UNDP Country Office(s) and Proponent with finalization of PID, overseeing technical quality, recommending changes and ensuring comments from Headquarters Focal Area Team are satisfactorily addressed; Reviews and clears response to comments from Headquarters Focal Area Team, liaising with Proponent, Government and UNDP Country Office, overseeing technical quality and recommending changes prior to transmittal to Headquarters Focal Area Team; Clears and submits PID to Headquarters Focal Area Team, recommending (1) formal technical clearance to Principal Technical Adviser (PTA) and entry of final-type project into UNDP-GEF pipeline (2) financial clearance by POSI and (3) formal approval by Executive Coordinator; Prompts Headquarters Focal Area to obtain signature of the Delegation of Authority letter (DOA) after completion of 5-day Headquarters review period, which includes POSI clearance and PID approval by Executive Coordinator. <p>Headquarters Focal Area Team</p> <ul style="list-style-type: none"> Reviews PID and recommends changes to GEF Regional Unit; Provides formal technical clearance of PID and entry of final-type project into UNDP-GEF pipeline via completion by PTA of PIMS box "<i>First accepted into UNDP HQ Pipeline</i>" in the Concept leaf; Posts all relevant documentation in PIMS including the draft <i>Delegation of Authority (DOA)</i> letter. <p>UNDP GEF Executive Coordinator</p> <ul style="list-style-type: none"> Approves PDF A PID/project document via signature of a Delegation of Authority letter. <p>UNDP-GEF Registry</p> <ul style="list-style-type: none"> Circulates PID and government endorsement letter(s) to GEF Secretariat and GEF partners for information and comments; In case of comments received from GEFSEC and/or other GEF Partners, forwards same to GEF Regional Unit copying Headquarters Focal Area Team; <p>GEF Secretariat (GEFSec)</p> <ul style="list-style-type: none"> Provides comments, via Review Sheet or other, recommending changes to be addressed in final type proposal; <p>Approval timeline: GEF Regional Unit submits final PID to Headquarters Focal Area Team for approval: Day 1 POSI clears PID and Executive Coordinator approves PID via DOA letter: Day 1 + 5 working days UNDP-GEF Registry circulates PID to GEFSEC and partners: Day 1 + 5 or 6 working days</p> <p>Outputs: PDF A Project Initiation Document (PID)</p>

Phase II: Preparation	
<p>Term of phase: Preparation Goal of phase: Develop an MSP proposal Normal/average duration: 6 months Operational Principles: 2, 3, 4, 7, 9 Steps/responsibilities:</p>	<p>Proponent</p> <ul style="list-style-type: none"> Finalizes proposal and submits to UNDP Country Office for review and transmittal to GEF Regional Unit; Contributes to response to comments consolidated by UNDP Country Office and GEF Regional Unit. <p>Government</p> <ul style="list-style-type: none"> Reviews proposal and provides formal endorsement via letter from GEF Operational Focal Point to UNDP Resident Representative; Contributes to response to comments consolidated by UNDP Country Office and GEF Regional Unit. <p>UNDP Country Office</p> <ul style="list-style-type: none"> Assists Proponent with finalization of proposal, recommending changes and ensuring comments from GEF Regional Unit, Headquarters Focal Area Team, GEF Secretariat (GEFSEC) and other GEF partners are satisfactorily addressed; Obtains government endorsement letter(s) signed by the GEF Operational Focal Point(s); Submits proposal to GEF Regional Unit for clearance and transmittal to Headquarters Focal Area Team; Consolidates response to comments from Headquarters Focal Area Team, GEFSEC and/or other GEF partners, liaising with Proponent, and Government and submits to GEF Regional Unit for clearance and transmittal to Headquarters Focal Area Team; In case of regional project, refer to the UNDP Programming Manual for selection of Host Country. <p>GEF Regional Unit</p> <ul style="list-style-type: none"> Assists UNDP Country Office(s) and Proponent with finalization of proposal, overseeing technical quality, recommending changes and ensuring comments from Headquarters Focal Area Team, GEFSEC and/or other partners are satisfactorily addressed; Reviews and clears response to comments from Headquarters Focal Area Team, GEFSEC and/or other GEF partners, liaising with Proponent, Government and UNDP Country Office, overseeing technical quality and recommending changes prior to transmittal to Headquarters Focal Area Team; <p>Outputs: MSP proposal</p>
Phase III: Appraisal	
<p>Term of phase: Technical and financial clearance Goal of phase: Internal review and clearance prior to GEF submission Normal/average duration: 15 days Operational Principles: 2, 3, 4, 7 Steps/responsibilities:</p>	<p>GEF Regional Unit</p> <ul style="list-style-type: none"> Clears and submits proposal to Headquarters Focal Area Team, recommending formal technical and managerial clearances prior to submission to GEFSEC for approval. <p>Headquarters Focal Area Team</p> <ul style="list-style-type: none"> Reviews proposal and recommends changes to GEF Regional Unit; Provides formal technical clearance prior to submission to GEF Secretariat. <p>Deputy Executive Coordinator</p> <ul style="list-style-type: none"> Provides managerial clearance prior to submission to GEF Secretariat, ensuring consistency with UNDP-GEF Business Plan. <p>UNDP-GEF Registry</p> <ul style="list-style-type: none"> Circulates proposal and government endorsement letter(s) to GEF Secretariat and GEF partners for comments; Forwards comments from GEFSEC and other GEF Partners to GEF Regional Unit, copying Headquarters Focal Area Team and following-up on response due for transmittal within required timeframe; Forwards to GEFSEC and other GEF Partners formal UNDP response to comments received. <p>GEF Secretariat (GEFSec)</p> <ul style="list-style-type: none"> Provides Review Sheet conveying comments and recommending changes to be addressed in a revised proposal; CEO circulates MSP proposal to GEF Council Members via GEF website for comments, recommending approval; Following review period by Council Members, CEO approves MSP funds via formal memo to UNDP-GEF Executive Coordinator. <p>Outputs: Submission of MSP to GEF for CEO approval</p>

Phase IV: Approval and Start

Term of phase: Approval and Start

Goal of phase: CEO approval and project document signature of MSP

Normal/average duration: 3-6 months

Operational Principles: 2, 3, 4, 7

Steps/responsibilities:

GEF Secretariat (GEFSec)

- Provides Review Sheet conveying comments and recommending changes to be addressed in a revised proposal;
- CEO circulates MSP proposal to GEF Council Members via GEF website for comments, recommending approval;
- Following review period by Council Members, CEO approves MSP funds via formal memo to UNDP-GEF Executive Coordinator.

Proponent

- Attends Project Appraisal Committee (PAC) meeting;
- Finalizes project document including co-financing, implementation and Monitoring & Evaluation arrangements and ensuring PAC comments are satisfactorily addressed;
- Submits project document to UNDP Country Office for clearance and transmittal to GEF Regional Unit.

Government

- Attends Project Appraisal Review (PAC) meeting;
- Reviews and clears final project document.

UNDP Country Office

- Organizes and attends Project Appraisal Committee (PAC) meeting;
- Finalizes and distributes PAC Minutes;
- Clears final project document and submits to GEF Regional Unit for clearance and transmittal to UNDP-GEF Headquarters.

GEF Regional Unit

- Assists Proponent and UNDP Country Office(s) with project document finalization, overseeing technical quality and reviewing co-financing, implementation and Monitoring & Evaluation arrangements;
- Clears and submits final project document and attachments to UNDP-GEF Headquarters recommending technical and managerial clearances prior to transmittal to GEF Secretariat.

Headquarters Focal Area Team

- Reviews and recommends changes;
- Provides formal technical clearances prior to submission to GEF Secretariat.

Programme Operations Support and Information Unit

- Reviews budgetary, co-financing and implementation arrangements and recommends changes;
- Provides formal financial clearance prior to submission to GEF Secretariat

UNDP-GEF Executive Coordinator

- Formally delegates authority to UNDP Resident Representative to sign project document on behalf of UNDP and execute GEF-funded project.

Approval timeline:

UNDP-GEF Registry submits/circulates MSP proposal: Day 1

GEFSEC provides comments: Day 1 + 15 working days

GEF CEO recommends approval and circulates MSP proposal to GEF Council Members via GEF website: Day 1 + 25 working days

GEF CEO approves MSP funds: Day 1 + 40 working days

Outputs: Project document signature

Phase V: Implementation Supervision

Term of phase: Monitoring and Evaluation

Goal of phase: To provide management and main stakeholders information on implementation progress

Normal/average duration: 3-4 years

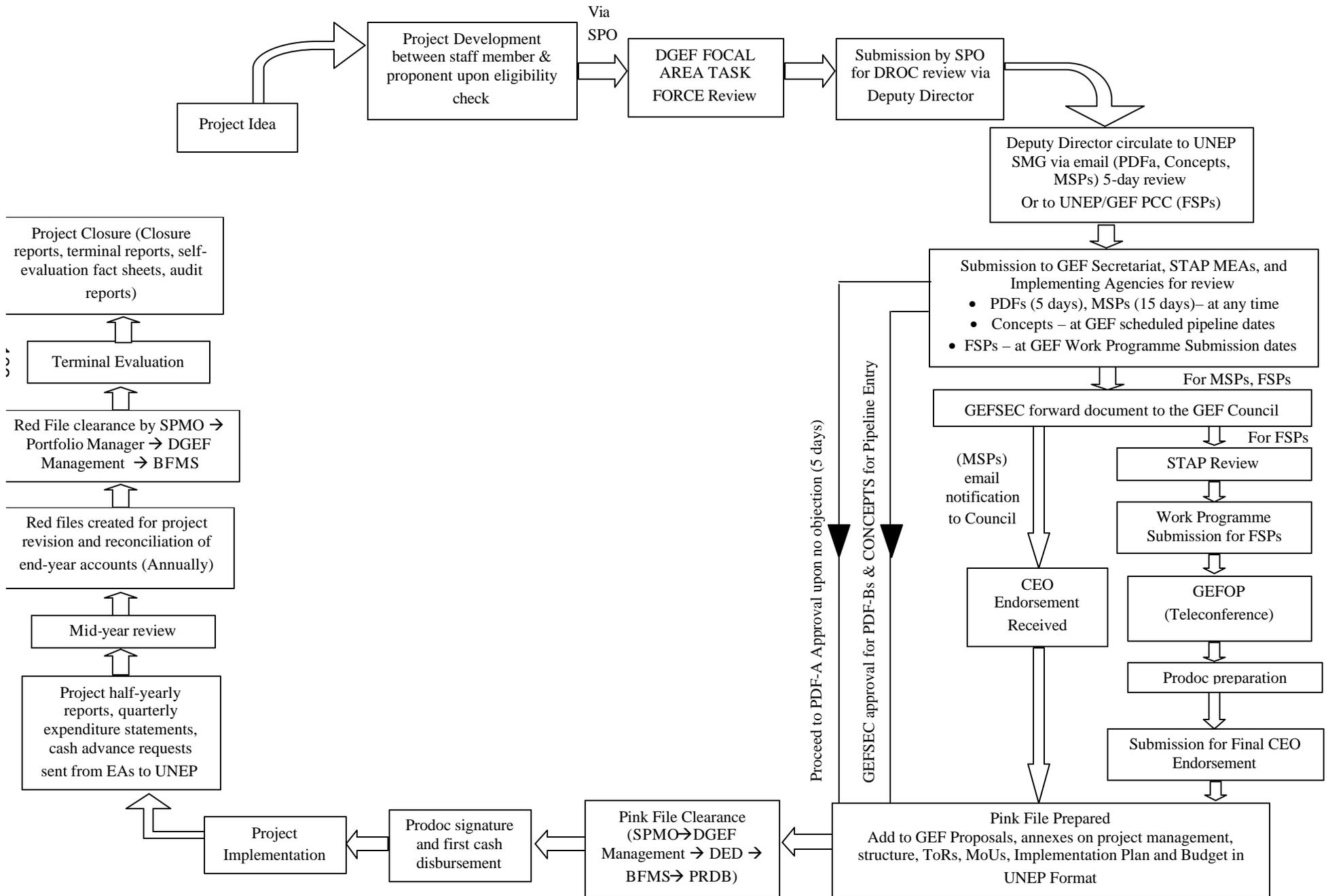
Operational Principles: 5, 6, 7, 9, 10

Steps/responsibilities:

Type of M&E activity	Responsible Parties
Inception Workshop	<ul style="list-style-type: none"> ▪ Project Coordinator ▪ UNDP CO ▪ UNDP GEF
Inception Report	<ul style="list-style-type: none"> ▪ Project Team ▪ UNDP CO

Measurement of Means of Verification for Project Purpose Indicators	<ul style="list-style-type: none"> ▪ Project Coordinator will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members
Measurement of Means of Verification for Project Progress and Performance (measured on an annual basis)	<ul style="list-style-type: none"> ▪ Oversight by Project GEF Technical Advisor and Project Coordinator ▪ Measurements by regional field officers and local IAs
APR and PIR	<ul style="list-style-type: none"> ▪ Project Team ▪ UNDP-CO ▪ UNDP-GEF
TPR and TPR report	<ul style="list-style-type: none"> ▪ Government Counterparts ▪ UNDP CO ▪ Project team ▪ UNDP-GEF Regional Coordinating Unit
Steering Committee Meetings	<ul style="list-style-type: none"> ▪ Project Coordinator ▪ UNDP CO
Periodic status reports	<ul style="list-style-type: none"> ▪ Project team
Technical reports	<ul style="list-style-type: none"> ▪ Project team ▪ Hired consultants as needed
Mid-term External Evaluation	<ul style="list-style-type: none"> ▪ Project team ▪ UNDP- CO ▪ UNDP-GEF Regional Coordinating Unit ▪ External Consultants (i.e. evaluation team)
Outputs: Timely, accurate information on implementation progress	
Phase VI: Completion and Evaluation	
<p>Term of phase: Operational Completion Goal of phase: To provide management and main stakeholders an assessment of achievement of results, sustainability and co-financing Normal/average duration: 3 months Operational Principles: 6, 9, 10 Steps/responsibilities:</p>	
Type of M&E activity	Responsible Parties
Final External Evaluation	<ul style="list-style-type: none"> ▪ Project team ▪ UNDP-CO ▪ UNDP-GEF Regional Coordinating Unit ▪ External Consultants (i.e. evaluation team)
Terminal Report	<ul style="list-style-type: none"> ▪ Project team ▪ UNDP-CO ▪ External Consultant
Lessons learned	<ul style="list-style-type: none"> ▪ Project team ▪ UNDP-GEF Regional Coordinating Unit (suggested formats for documenting best practices, etc)
Outputs: Terminal evaluation report	

Appendix 4i: United Nations Environment Programme Project Cycle



Phase 0: Programming Process	Phase I: Project Preparation			Phase II: Negotiation and Approval	Phase III: Implementation Supervision	Phase IV: Completion and Evaluation
	Identification	Orientation	Analysis			
			<p>for the project in the upcoming 18 months, an estimated budget for the various tenders for bids into which the procurement will be grouped, the source of financing and method of procurement for each bid, the estimated date for the first notice for bidding or prequalification (if applicable), and the status of the procurement. They are first made available to the public after a project is approved. Procurement plans are updated each year for projects in implementation and made available on the Bank's website.</p> <ul style="list-style-type: none"> - Bank conducts analysis mission - Loan proposal is submitted for internal review 			

Appendix 4j: United Nations Industrial Development Organization Project Cycle

UNIDO Requirements	GEF Requirements
Consultations with the country counterparts	Consultations with the country counterparts
Identification of national priority, focal area, scope, key stakeholders, Gaps and likely coverage of the PDF / full project	
Consultations with Implementing Agency (IA)	
Preparation of Service Summary Sheet (SSS)	
Approval of SSS by Project Approval Committee (PAC)	
Development of project concept / PDF document as per GEF requirements	Development of the Project concept / PDF document as per GEF requirements
Consultations with Country counterparts and Implementing Agency	
Endorsement of the PDF document by Country	Endorsement of the PDF document by Country
Review of the PDF project by Quality Advisory Group (QAG)	
Approval of the PDF project by PAC	
Review of the PDF project by IA	
Revision of the PDF project to incorporate comments made by IA and consultations with the national counterparts	
Finalized PDF document sent to IA	
IA sends the PDF document to GEF	IA/EA (Direct Access) sends the PDF document to GEF
Review of the PDF document by GEF	Review and approval by GEF, entry into the pipeline
Revision made in the PDF Document and again sent to GEF	
Approval of PDF document and entry into the pipeline by GEF	
Implementation of the PDF activities by IA/EA	Implementation of the PDF activities by IA/EA
Preparation of the draft project brief	Preparation of the draft project brief
Service Summary Sheet (for MSP or FSP) submitted to PAC	
Approval of SSS by Project Approval Committee (PAC)	
Preparation of draft project brief and review by the IA	
Consultations with country counterparts	
Review and approval of the project brief by QAG and PAC	
Review of the project brief by IA and comments made	
Revision made by EA and sent to IA	
Finalization of the project brief by IA	
Finalized project brief sent to the country for review and comments	Finalized project brief sent to the country for review and comments

UNIDO Requirements	GEF Requirements
Endorsement of the project brief by the country	Endorsement of the project brief by the country
Review of the project brief by STAP expert	Review of project brief by STAP expert
Comments made by STAP expert incorporated in the project brief	Comments made by STAP expert incorporated in the project brief
Finalized project brief sent to IA for review and comments of IA incorporated	
IA sends the project brief to the GEF Sec for review and entry into work plan	IA / EA (direct access) sends the project brief to GEF Sec for review and entry into work plan
Review by the GEF Sec and comments made	GEF Sec reviews the project brief and provides comments
Comments of GEF Sec incorporated into the project brief and resubmitted to GEF for work plan entry	Comments of GEF Sec incorporated into the project brief and resubmitted to GEF for work plan entry
Consideration of the work plan by the GEF Council and approval/ rejection/deferment on projects conveyed along with comments	Consideration of the work plan by the GEF Council and approval/ rejection/deferment on projects conveyed along with comments
If approved, the project brief is converted into a full document (including legal and administrative/implementation requirements/details)	If approved the project brief is converted into a full document (including legal and administrative/implementation requirements/details)
Comments received from the GEF Council members incorporated into the project document	Comments received from the GEF Council members incorporated into the project document
Consultations with the Country Counterparts and stakeholders	Consultations with the Country Counterparts and stakeholders
Preparation of the full document in IA format	Preparation of the full document in IA / EA (direct access) format
Review of the full document by QAG and PAC and comments incorporated	
Review of the full document by IA	
Comments received from the IA incorporated in the full document	
Endorsement of full document by the country	Endorsement by the country
Finalized project document is sent by IA to GEF	Finalized project document is sent by IA / EA (Direct Access) to GEF
Submission for CEO approval	Submission for CEO approval
CEO approval given	CEO Approval given

Appendix 4k: WORLD BANK PROJECT CYCLE

Table 4k(i): Full-Sized Projects

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Term of phase	A. Identification / PCN Stage	A. Quality Enhancement Review (QER)	A. Appraisal Mission	A. GEF CEO ENDORSEMENT	A. Project Supervision	A. Project Closing & ICR
Goal of phase	To identifying projects that have a high priority, and appear suitable for Bank/IDA support and advise on project concept's probable GEF eligibility. The PCN review is intended to be a brainstorming session on the strategic issues to be addressed by the p	To help the Task Team improve the quality of project design through an open and collaborative discussion with knowledgeable and independent reviewers. The QER should be the definitive point of closure on how to resolve major design, fiduciary, and safedua	To assess the economic, technical, institutional, financial, environmental, and social aspects of the project. (OPr2)(OPr3) (OPr4) (OPr5) (OPr9) (OPr10)	To obtain GEF CEO endorsement prior to Board presentation. (OPr6) (OPr9)	The Borrower implements the project, with agreed technical assistance from the Bank. The Bank ensures that the grant proceeds are used for the grant purposes, with due regard for economy, efficiency, and effectiveness. (OPr10) (OPr3) (OPr4) (OPr5)	The ICR identifies accomplishments, problems, and lessons learned and is submitted to the Bank Board of Executive Directors for information purposes. (OPr3) (OPr4) (OPr6) (OPr10)
Normal/ Average duration:			3-4 weeks (conducted as regional practice)			ICR submitted to Board within 6 months of closing.
Normal/ Average staff inputs:	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available
Other resources, on average:						
Steps/ responsibilities	1. World Bank Task Team Leader (TTL) organizes Identification Mission (Optional) - Statement of Mission Objectives (SMO) issued two weeks before departure. On the completion of the mission and the TTL issues Back to Office report in order to inform managemen	1. TTL in consultation with the Sector Manager/Leader selects a QER panel. Selection of QER participants follows the regional practice. GEF Regional Coordinator and ENV Technical Specialist are also be invited. TTL specifies the Panel's terms of reference an	1. TTLs follow the regional practice for Appraisal mission. The TTL notifies the Borrower of the composition of the Appraisal Mission. When there are substantive issues, the CD may be asked to sign the Notification.	1. The GEF RC reminds the Task Team that all GEFSEC conditions for CEO endorsement and all Council comments must be addressed in the CEO Endorsement memo , which needs to be submitted by the TTL to GEF RC separately .	1. Once the loan is approved, the borrowing government, with technical assistance from the Bank, prepares the specifications and evaluates bids for the procurement of goods and services for the project. The Bank reviews this activity to ensure that its procu	1. TTLs follow regional practices for project closing.

Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
2. A concept paper (developed either by TTL or an external proposer) is submitted to the appropriate GEF Regional Coordinator for internal GEF eligibility review.	2. TTL prepares QER package and sends to QER. Participants 5 working days before the QER meeting. QER package consisted of a transmittal memo with following attachments: draft PAD: Cover Sheet, Project Description, Implementation section ; draft ISDS PAD Stage	2. TT spends three to four weeks in the client country. Mission reaches agreement with government and borrower on all aspects of the project, including PIP and operational plan. The appraisal team reviews all the work conducted during identification and pre	2. The Task Team, with guidance from the RC, prepares a GEF Project Document . The GEF Project Document is created from the negotiated final Project Appraisal Document (PAD). All updating and editing must be done in PAD before generating the Project Document	2. TTLs follow regional practices for project supervision and ISRs. The Bank wide minimum reporting standard is annual. At least once a year, TTs conduct a supervision mission to visit sites of projects or representative samples of subprojects under implemen	2. TTL prepares project closing notification letter for the CD's signature. To complete the notification letter: ? Consults with the disbursement officer for the status of disbursements against withdrawal applications, including the amounts disbursed for eac
3. For externally proposed projects, once the GEF RC determines a concept to be eligible, he/she shares it with the appropriate sector specialists to determine the concept's fit with the Bank's country assistance strategy.	3. TTL prepares an AGENDA annotated with relevant issues to resolve.	3. The draft Aide-Memoire is prepared and discussed with the Borrower/Project Entity/Government while in the field; a copy is left with the Government/Borrower as well as with the Country Office. Upon return from the mission, the TTL prepares the BTOR, givin	3. The Task Team/RC prepares CEO Endorsement memo for GEF Executive Coordinator's signature, indicating: (i) how and where GEFSEC/Council comments have been addressed in the final document, and (ii) any substantial modifications in project design, phasing, c	3. GEF coordination Team reviews PSR / ISR as part of annual GEF Project Implementation Review (GEF PIR) for GEF Council.	3. TTL sends a copy of official notification to the client to disbursement, legal, GEF RC and ACTTF. TTLs must coordinate with ACTTF for legally closing the GEF project TF#.
4. RC seeks concurrence of Technical Specialists (TSs) and determines proposal's GEF eligibility.	4. QER Panel Meeting . The Panel meets for 1-2 days, full-time without disruption. The Panel interviews the Task Team, and frequently the Country Management Unit, the Sector Manager, and resource persons recommended by the Task Team. The Panel may invite the	4. TTL obtains Draft Letter of Sector Policy from Borrower; before negotiations.	4. GEF RC sends memo and final project document electronically through GEF Coordination Anchor's Project Tracking system to GEF Coordination Anchor, who forwards it to GEFSEC and faxes signed copy of the memo. GEFSEC will respond with clearance or revisions	4. Feedback on overall ISR quality especially the assessment of outcomes and use of M&E in supervision is provided to TTLs through RCs.	4. Task Team prepares implementation completion report (ICR) according to standard Bank guidelines and procedures. ICR report must address the GEF-related objectives. For blended projects, only one ICR is required unless the GEF grant and loan close in diffe

Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
<p>Project Concept Note (PCN) is reviewed and approved by the Bank's regional management.</p> <p>5 - GEF pipeline only when the PCN is reviewed and approved by the respective country unit. Review steps are as follows:</p> <p>5a. Issue concept package.</p>	<p>5. TTL prepares Concise QER Report with agreed actions and guidance; 5 days after meeting. QER report is reviewed by QER participants and cleared by SM before distribution. The Task Team is free to share the QER report with whomever it wishes and is encourag</p>		<p>5. The Bank GEF Executive Coordinator notifies GEF RC of GEFSEC clearance or revisions, if required. TTL revises project document, if necessary. If document has been modified, RC sends revised version to GEFSEC (again through GEF Coordination Anchor electron</p> <p>On scheduling Board Dates, it is recommended that: ?For a GEF project subject to Streamlined CEO Endorsement, the Board date should be no earlier than 6 weeks from the date of transmission of the project document by the GEF Coordination Anchor to GEFSEC</p>	<p>5. GEF team prepares annual review of GEF portfolio quality.</p> <p>6. Project Restructuring or Grant agreements require RC clearance</p>	

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
5b.	<p>Concept Review Meeting (CD or ROC); 8 days after concept package issued</p> <p>Draft Minutes of Concept Review Meeting circulated;</p>					
5c.	<p>participants have 3 days to respond.</p> <p>Issue PCN Review Minutes</p>					
5d.	<p>(after CD approval); within 3 days after participants response.</p> <p>A draft PID must be prepared with the draft PCN and included in the PCN package. Immediately following the</p>					
5e.	<p>Project Concept Review Meeting, the PID should be revised, cleared with the Country Director, sent to infoshop; within 5 days after CD approval of m</p> <p>A draft Integrated Safeguards Data Sheet (PCN-ISDS) must be prepared with the draft Project Concept Note (PCN),</p>					
5f.	<p>PID and included in the PCN package. Immediately following the Project Concept Review Meeting, the PCN-ISDS should be revised, cleared and sign</p>					

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Term of phase	B. GEF Pipeline Entry	B. GEF STAP EXPERT REVIEW	B. Negotiation	B. Bank Board Approval	B. Mid-Term Review	B. Evaluation
Goal of phase	To determine conformity with the GEF operational programs, GEF Strategic Priorities, and Project Review Criteria for pipeline entry. (OPr2) (OPr9) (OPr10)	To review scientific and technical aspects of project proposals.	To reach agreement with the borrower on: measures required to assure project success; the terms and conditions of the loan; and Public Disclosure of the PAD. (OPr2)(OPr3)(OPr4)(OPr5) (OPr9) (OPr10)	To obtain approval of the Bank's Board of Executive Directors. (OPr2) (OPr6) (OPr9)	To conduct a systematic assessment of implementation experience to date, progress in achieving the agreed performance indicators and update the economic analysis.(OPr3)(OPr4) (OPr5) (OPr10)	To measure project outcome against its original objectives and validate ICR ratings. Analysis is used for future project design. (OPr10) (OPr3)
Normal/ Average duration:	6 weeks - submission to CEO approval of Pipeline Entry			up to several months		
Normal/ Average staff inputs:	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available	ICR Review: 3 days PPAR: 6 weeks
Other resources, on average:						
Steps/ responsibilities	1. TTL prepares Request for GEF Pipeline Entry Approval	1. Task team contracts a member of STAP "Roster of Experts" to review final draft of GEF Project Brief.	1. Task Team prepares the negotiation package and forwards it to the RC for clearance. Note: If processing schedules for the GEF component and the associated Bank-financed projects differ, separate negotiations are necessary. Normally, however, negotiations	1. For cases where (1) GEF funds are blended with Bank or IDA funds, i.e., fully-blended projects , to finance the same components or (2) GEF and Bank/IDA funds finance discrete components, but those components are so closely linked that the rationale for und	1. Normally all projects would have a mid-term review. While staff and borrower/executing agencies should be constantly "re-working" the project to solve problems, the Mid-term Review is a stage where a systematic assessment will be undertaken of implementat	1. Bank Implemented GEF projects are subject to IEG evaluation as per regular Bank financed projects. IEG staff review every ICR, validate the self-rating, and identify projects that offer good potential for further learning (because of particularly good or

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
	<p>2. TTL submits drafts to RC and ENV TS for review and clearance.</p>	<p>2. Task Team incorporates STAP Expert comments and TTL response as an Annex to GEF Project Brief and submits to the STAP Secretariat (copy to RC and GEF Coordination Anchor).</p>	<p>2. The RC reviews package for consistency with Council and GEFSEC comments and either provides comments or approves the negotiation package. The RC's clearance should state: 1) what documents have been reviewed; 2) the date of the documents or transmittal do</p>	<p>1a. Stand-alone GEF co-financed projects require their own separate set of documents. GEF RCs provide guidance to task managers on projects which qualify as "fully blended".</p>	<p>2. Stakeholder consultation is critical in this exercise and the planning of the reviews should be fully coordinated with the Borrower and other stakeholders. The operation's development objectives should be revisited and, if necessary, modifications in the</p>	<p>2. GEFSec's M&E team also reviews all the ICR for GEF co-financed projects.</p>
	<p>3. RC submits final drafts to GEF Coordination Anchor after TS clearance; 7 days after submission to RC.</p>	<p>Deadline for submission of technical review: two weeks after submission of the GEF project brief. STAP Roster reviewer should be contacted at least 30 days prior to request a review. GEF Project Brief should be sent to the reviewer, at least 10 days before</p>	<p>3. LEG issues authorization to negotiate; 3 days after decision meeting.</p>	<p>2. TT prepares a "GEF" MOP for both GEF stand-alone projects and for projects receiving a combination of IBRD/IDA funding and GEF grant support. The GEF MOP is used to transmit the Project Document to the Board.</p>	<p>3. The Statement of Mission Objectives (SMO) of mid-term review missions would reflect consultations within the Country Team (CT), and advice of relevant staff from outside the Country and Task Team.</p>	<p>3. One in four completed projects is subject to an IEG Project Performance Assessment Report, which takes about six staff weeks to produce and normally includes a field mission. Project Performance Assessment Reports (PPAs), rate projects in terms of their o</p>
	<p>4. RC submits concept to GEF SEC and circulates it to other IAs, STAP and relevant Convention Secretariats for a 10 day review period; submitted to GEF SEC 3 days after receipt from RC.</p>		<p>4. ACTTF issues a GEF grant number after receiving the RC's clearance and following ACT's internal clearance procedure.</p>	<p>3. Clearance of Board Package: No Statutory Committee clearance is required for GEF grants. However, receipt of the GEF CEO endorsement letter clearing the project for approval by Bank management is required for the Secretary of the Executive Board to author</p>	<p>4. Normally, a pre-mission departure meeting, chaired by the Country Director or her/his designee or Sector Manager, would be held to discuss the focus of the review and the proposed strategy to address the outstanding issues, in order to provide management</p>	

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
5.	<p>GEFSEC reviews GEF Pipeline Entry Document (or the project concept note and PDF B request) and confirms, rejects or requests a review for GEF Pipeline Entry. Pipeline entry reviews are scheduled quarterly. The GEF Operational Focal Point endorsement letter</p>		<p>5. Notice of invitation to Negotiate sent to SECBO. SECBO then assigns a number and distributes the Notice to the Executive Directors. Simultaneously, the TTL sends an Invitation to Negotiations to the Borrower.</p>	<p>4. Task Team requests a document number from the Bank's Internal Document Unit (IDU).</p>	<p>5. Although task teams follow the regional guidelines for mid-term review and amendments, a set of guidelines has been prepared to help task teams assess performance of GEF co-financed projects as part of the mid-term review (MTR) of such projects with respect</p> <p>For purpose of project reporting, project changes could be considered minor or major with the following definitions:</p>	
6.	<p>Receive Secretariat Review Sheets; 5 days after submission.</p>		<p>6. TTL (chairs negotiation), lawyer, finance officer participate in Negotiations (field/headquarters); 3-5 days duration.</p>	<p>5. Task Team seeks RVP approval for circulation of loan package to the Board in accordance with Regional practice; 20 days before Board Presentation.</p>	<p>6. (a) Minor changes: Examples of minor changes include renaming of implementing entities, agreed revision of reporting schedules or formats,</p>	
7.	<p>Bi-lateral meeting scheduled by the GEF RC with the GEF SEC for the purpose of eligibility confirmation and pipeline entry; 5 days after review sheets circulated.</p>		<p>7. TTL prepares Agreed Minutes of Negotiation, which are signed by key members of the negotiating teams. Minutes of Negotiations are copied to GEF Operations Coordinator; upon completion of Negotiations. Any major changes proposed during negotiations with re</p>	<p>6. When the Board date is known, the task manager sends an EM to the Program Team Leader, GEF Coordination Anchor, with copy to the GEF RC, confirming the scheduled Board date.</p>	<p>6a. Minor changes (as defined above) will be reported as part of the annual Project Implementation Review (PIR) reports. In order to bring a major change (as defined above) to a project, agencies have to make a request to the GEF Secretariat for approval. Fur</p>	

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
8.	<p>GEFSEC's pipeline entry decision and conditions for further processing are communicated to the Bank in a Project Tracking Sheet; 2 days after bi-lateral meeting.</p>		<p>8. TTL issues Status of Negotiations; 20 days before Board Presentation. Must be issued before the Board package (MOP and PAD) can be submitted to the Board.</p>	<p>7. The Task Team then prepares the final version of the Project Document and MOP for submission to the Corporate Secretariat (SEC) and printing; 18 days before Board Presentation.</p>	<p>6b. For major changes to projects, the GEF Secretariat will respond to the agency within a ten-working day period, through an approval/non-approval of the changes or recommendation for Council decision.</p>	
9.	<p>The RC forwards Project Tracking Sheet to the TTL for information and guidance on subsequent preparation work. The final GEF Pipeline Entry document should be created that addresses all the comments received.</p>		<p>9. The Statutory Committee comprises the Expert/Nominee, Vice President and Secretary, Board Operations, Vice President, Legal, Regional Vice President. The Statutory Committee Report (prepared by Lawyer) is signed by RVP/LEG 14 days before Board package is</p>	<p>8. When GEF projects are to be submitted to the Board simultaneously with an associated Bank/IDA operation, the TTL prepares one Form 2337 and delivers it to Corporate Secretariat (SEC) with the final loan or credit package and the GEF MOP. For freestanding</p> <p>9. TTL send EM to SEC on Board Attendance and Speech (if applicable); 4 days before Board Presentation. A Preboard Meeting is scheduled one day before Board</p> <p>10. Presentation. TTL submits note for pre-board meeting; Ends questions and answers; and speech.</p> <p>11. Board presentation takes place as scheduled. After Board approval, each GEF co-financed project must be "Green Striped". RC submits</p> <p>12. Green Stripe Printing request to the GEF Coordination Anchor no later than 15 working days after the Bank Board approval.</p>		

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
				<p>Every Board-approved GEF co-financed project should be accompanied by a press release, if not an article in "Bank's World Today" at the time of Board approval. A regional staff (EXT or Task team in consultation with regional EXT) prepares a draft press re</p>		
Term of phase	C. GEF Project Preparation Grants	C. GEF Work Program Entry		C. Signing	C. Extensions	
Goal of phase	<p>PDF Block B grants are available to co-finance the preparation of GEF project/program proposals which have been admitted to the GEF Pipeline by the GEFSEC, either previously or simultaneously with the PDF review.</p> <p>PDF Block C grants for up to \$1 million ar</p>				<p>To extend closing date. (OPr4)(OPr5)(OPr10)</p>	

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Normal/ Average duration:						
Normal/ Average staff inputs:	Input in staff weeks is not readily available	Input in staff weeks is not readily available		Input in staff weeks is not readily available	Input in staff weeks is not readily available	
Other resources, on average:						
Steps/ responsi- bilities	<p>1. TTL submits PDF B/C request and GEF Country Focal Point endorsement letter to GEF RC.</p> <p>2. RC reviews, seeks concurrence of TS, clears and sends to Bank GEF Coordination Anchor for submission to GEFSEC, other Implementing Agencies (IAs), STAP, and relevant convention secretariat for their review and comments.</p> <p>3a. If the concept has already been approved by GEFSEC for pipeline entry the PDF B is submitted on a rolling basis and no bilateral is needed.</p> <p>At the end of a five working day review period, the GEF CEO issues a no objection letter. If comments are received, TTLs consolidate their comments.</p>	<p>1. Pre-appraisal Mission (optional)</p> <p>2. TTLs, through GEF RCs, circulate draft project briefs to the GEF Anchor and ENV thematic specialist's) for review; at least two weeks prior to the GEFSEC submission.</p> <p>3. Comments from ENV thematic specialist, GEF Anchor and/or RCs will be sent to TTLs through RCs. TTLs should make all the necessary updates in the draft PAD before generating the GEF Project Brief from the World Bank's Operations Portal.</p> <p>4. RC submits final drafts to GEF Coordination Anchor after TS clearance; 7 days after submission to RC by TTL</p>		<p>1. The task team leader (TTL) consults with the country director and lawyer and the representatives of other signing parties to arrange for signing to take place as soon as the requirements for signing are met. The GEF legal document is normally signed when TTL makes arrangements for signing ceremony with Lawyer, Borrower's representative/Ambassador, RVP and CMUDR. In case there is a project agreement, make arrangements with executing agency(ies).</p> <p>2. Once timing is confirmed, TTL informs relevant EDs office of the arrangements, in the event that the ED would like to attend the ceremony.</p> <p>4. Lawyer makes arrangements for printing of legal documents and prepares the Letter on Financial and Economic Data .</p>	<p>1. Any extensions of GEF Grant Agreement must receive RC's clearance. For second and subsequent extensions, RCs seek GEF Anchor's approval before granting their clearances</p> <p>2. Client submits an official request for a project extension including a justification and an action plan.</p> <p>3. Task Team prepares detailed memo justifying the extension for Country Director's consideration along with a letter to be sent to the client.</p> <p>4. The extension package includes the memo to CD and letter to the client which requires a clearance by the GEF RC, disbursement officer, sector manager/sector leader and legal.</p>	

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
3b.	TTL passes the CEO no objection letter and PDF request to the regions/country LEG for drafting a Letter of Agreement	5. Project brief submitted to GEF Sec and circulated to other IAs, STAP, and relevant Convention Secretariats; 3 days after receipt from RC		5. Lawyer ensures that she/he has received the satisfactory evidence of authorizations for signature of the legal documents.	5. Once the extension has been cleared by CD, task team sends a copy of the approval letter to the GEF RC and ACTTF	
	TTL prepares a brief memorandum along with other supporting documents in consultation with and final clearance from GEF RC, for Country Director's signature.	6. Receive comments from IAs, EAs, etc; 10 days after submission		6. TTL confirms with the Loan Accounting Officer that the Borrower has no overdue debt service payments.	6. For second and sub-sequent extensions, ENVGC clearance is also required.	
	If the concept has not entered the GEF pipeline the PDF B proposal can simultaneously cover submission of the project concept note for pipeline entry and PDF B request.	7. Receive Secretariat Review Sheets ; 15 days after submission		7. TTL prepares Notice of Signing and obtains clearance from the Lawyer.		
	Comments on both the concept note and PDF B request are due within 10 working days of submission.	8. GEFSEC requests a bilateral meeting with respective TTL, RC and ENV thematic specialist; 5 days after receipt of review sheets		8. TTL initials the cleared Notice , and Task Team delivers the initialed copy and a clean copy to SECBO for printing .		
	The concept note - but NOT the PDF B - is discussed at a bilateral project review meeting.	9. TTL revises project brief based on GEF Sec and other IA comments and resubmits to GEF Sec for Work Program Inclusion; 5 days after bilateral meeting.		9. At the signing ceremony , Lawyer handles documents. The Ambassador signs on behalf of the Government, and the Regional Vice President signs on behalf of the Bank/IDA.		
	3c.	If the request is for PDF C , it is submitted to GEFSEC copied to other IAs, STAP, and relevant convention secretariat for a bilateral discussion.	10. GEF Council reviews and approve (or dis-approve) the project for Work Program entry , posts work program on the web, and circulates to Council members; 2 days after receipt of revised briefs, one month before Council Meeting			
If the PDF C is agreed at the bilateral meeting, the GEF CEO issues an endorsement letter which the RC copies to TTL.		11. RC receives Council comments and sends them to TTL; 15 days after Council Meeting (37 days after submission of revised PB).				

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
<p>4.</p> <p>5.</p> <p>6.</p> <p>7.</p>	<p>The TTL provides the letter and PDF C request to LEG, which prepares a Letter of Agreement with standard attachments for signature by the Country Director.</p> <p>The TTL prepares a brief memorandum requesting the Country Director's signature of the PPG Letter of Agreement.</p> <p>The TTL attaches the Letter of Agreement, its Annex (Purpose and Conditions) and the attachment (Special Account) to the memorandum. circulates</p> <p>The RC reviews and clears the package.</p> <p>The RC requests ACTTF (copied to GEF Coordination Anchor, TTLs and other relevant regional staff) to assign a PPG Trust Fund number. On receipt of the RC's clearance of the PPG package, ACTTF assigns a PPG number that the TTL inserts in the final Letter o</p> <p>The signed letter is then transmitted to the Recipient for counter-signature. The counter-signed original is sent to the Country Lawyer for retention in LEG Files. Copies are provided to the GEF Regional Coordinator, LOA (Country Disbursement Officer) and</p>	<p>12. TT completes draft PAD; after return from pre-appraisal mission.</p> <p>13. Lawyer drafts Legal Document; 7 days after draft PAD completion.</p>				

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
	<p>When the PPG-funded activities are completed, the TTL should cancel any balance of unused funds so that these can be</p> <p>8. returned to the GEF Trust Fund. The PPG should be closed before the project is submitted for Bank Board approval. Activation of project Tr</p> <p>Within six months of completion of all the activities funded by the PDF B (or C), the Task Team Leader should submit to GEF</p> <p>9. Regional Coordinator a short note that: (i) summarizes the PPG outputs, (ii) how the grant funds were spent and (iii) confirms that</p> <p>Normal practice is for Recipients to implement PPGs but in special cases the Bank may execute PPGs on behalf of a recipient. Special circumstances include:</p> <p>10. • regional projects for which there is no existing regional entity or UN specialized agency that th</p>					

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
<p>10a</p> <p>10b</p>	<p>The RC, in consultation with the GEF Executive Coordinator, is responsible for reviewing requests for Bank execution at the stage when PDF funding approval is sought from the GEF Secretariat and for advising whether the request qualifies according to the</p> <p>Task Teams processing PPGs which are candidates for the Bank to execute the grant-funded activities should provide for the following:</p> <ul style="list-style-type: none"> The letter from the GEF focal point requesting the Bank to execute on the government/recipient's behalf and why this is 					

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
	The clearance processes for Bank-executed PPGs follow those of the standard PPGs, except that LOA is not involved in clearance since no disbursements will be made to the recipient government. Task teams should ensure that ACTTF receives a copy of the pack					
Term of phase	D. PAD Review		D. Effectiveness			
Goal of phase	To provide guidance to task teams on whether the project is sufficiently well prepared and should be appraised or, whether the project is sufficiently well prepared so that appraisal and negotiations can be combined. (OPr2) (OPr4) (OPr10) (OPr6)		To ensure that the legal agreements become effective as early as possible. (OPr4)(OPr6) (OPr10)			
Normal/ Average duration:						
Normal/ Average staff inputs:	Input in staff weeks is not readily available		Input in staff weeks is not readily available			
Other resources, on average:						

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Steps/ responsi- bilities		<ol style="list-style-type: none"> 1. Decision meeting package sent for clearance 2. Issue decision package to recipients (including the GEF Regional Coordinator); 8 working days before the meeting (or whatever the regional practice is) 3. TTL organizes PAD Review Meeting in consultation with Country Director; 10 days before Appraisal Mission. 		<p>Early in project preparation, Bank staff address any special country requirements pertaining to effectiveness. Proposed</p> <ol style="list-style-type: none"> 1. conditions of effectiveness are discussed during project appraisal and described in the Project Appraisal Document or Program Document. Following loan approval, the TTL monitors the borrower's progress toward compliance with the conditions of effectiveness to ensure that the legal agreements become effective as early as possible, and not later than the specified date, usually 90 days after 2. When all the conditions of effectiveness have been satisfied, Task Team assembles the formal documentary evidence for review 3. by the Lawyer. Compliance of effectiveness and conditions related to financial management or procurement should be cleared by the 		

Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
	<p>TTL drafts the Minutes of the decision meeting and sends for clearance to the Country Director and relevant Sector Manager with copy to the relevant Operations Adviser, GEF RC. The Country Director issues the Minutes of the Decision Meeting to all recipients.</p> <p>4. The TTL reviews the decisions made at the meeting and incorporates changes to the PAD while the Lawyer incorporates changes to the legal documents, as necessary.</p> <p>TTL clears PID and send to InfoShop, and clears PAD-ISDS and disclose signed PAD-ISDS to Info shop; 3 days after decision meeting.</p> <p>TTL discloses Safeguard documents (EA, RAP, IPDP, etc.) to InfoShop & in-country; prior to Appraisal Mission.</p>			<p>TTL prepares a Declaration of Effectiveness, cleared by the lawyer, for the CMUDR to send to the Borrower. Copies of the signed notice are sent to the Sector Manager, Sector Leader, GEF Regional Coordinator, CMUDR, Lawyer, Disbursement Officer and the Tas</p> <p>If the effectiveness conditions are not met by the specified date, in principle, Borrower should request an extension of effectiveness from the Bank. In response, the TTL prepares a Notice to Extend Deadline for Effectiveness, and a cover memo to the CMUD</p> <p>Upon approval, the CMUDR sends the Notice to the Borrower, with copies to the Lawyer, Disbursement Officer, SMUDR, Sector Manager and GEF RC.</p> <p>Extensions longer than 18 months require the approval of the RVP. Once cumulative delays reach 15 months after approval, the CMUDR advises the RVP of the actions taken to date and makes future recommendations to be approved by the RVP.</p>	

Acronyms:

ACT	Accounting Services
ACTTF	Trust Funds
AIS	Activity Initiation Summary
ARCS	Audit Report Compliance System
BTOR	Back to Office Report
CD	Country Director
CMUDR	Country Management Unit Director
CT	Country Team
EA	Enabling Activity; Environmental Assessment
ED	Executive Director
ENV	Environment Department
ENVGC	Global Environment Coordination Division
EPS	Executive Project Summary
GAL	Grant Agreement Letter
GEF RC	GEF Regional Coordinator
GEF SEC	GEF Secretariat
IA	Implementing Agency
ICR	Implementation Completion Report
IPDP	Indigenous Peoples Development Plan
IDU	Internal Document Unit (Information, Operations, Organization and Business Practices Department)
IEG	Independent Evaluation Group (formerly OED)
IEPS	Initial Executive Project Summary
IRIS	Integrated Records & Information Service
ISDS	Integrated Safeguard Data Sheet
ISR	Implementation Status and Results Report
LEG	Legal Vice Presidency
LOA	Country Disbursement Officer
MOP	Memorandum and Recommendation of the President
MTR	Mid-term Review
PAD	Project Appraisal Document
PB	Project Brief
PCD	Project concept document
PCN	Project Concept Note
PDF	Project Development Facility
PID	Project Information Document
PIP	Project Implementation Plan
PIR	Project Implementation Review
PPG	Project Preparation Grant
PSR	Project Status Report
QER	Quality Enhancement Review
RC	Regional Coordinator
RED	Regional Environment Division
ROC	Regional Operations Committee
RPA	Procurement
RVP	Regional Vice President
SD	Secretary's Department
SEC	Corporate Secretariat
SECBO	Board Operations Unit in the Office of the Vice President and Secretary
SM	Sector Manager
SMO	Statement of Mission Objectives
SOE	States of Expenditures
STAP	Scientific and Technical Advisory Panel
TFStar	Trust Fund Status Report
TOR	Terms of Reference
TS	Technical Specialist
TT	Task Team

Table 4k(ii): Medium-Sized Projects

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Term of phase	A. Project Concept Eligibility	A. MSP Project Brief Review	A. GEF CEO Review and Approval	A. Signing & Effectiveness	A. Supervision, Mid-Term Review and Amendments	A. Project Closing
Goal of phase	To determine concepts GEF eligibility and fit within the Bank's country assistance strategy.	To determine technical merits of proposal and ensure that the proposal is prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for a Medium-sized Project. <i>(OPr2) (OPr3) (OPr4)</i>		To ensure that the legal agreements become effective as early as possible. <i>(OPr10)</i>	To ensure that the loan proceeds are used for the grant purposes, with due regard for economy, efficiency, and effectiveness. <i>(OPr10)</i>	To identify accomplishments, problems and lessons learned. <i>(OPr6) (OPr10)</i>
Normal/ Average duration:					Average project implementation period is about 2.5 years.	
Normal/ Average staff inputs:	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available
Other resources, on average:						
Steps/ responsibilities	1. GEF Regional Coordinator (RC) reviews project concept developed either by World Bank Task Team Leader (TTL) or an external proposer. For NGO proposer, the TTL is responsible for determining if proposer is an eligible partner.	1. The TTL requests the project proposer to prepare the MSP brief . It is ultimately the responsibility of the TTL to review the MSP Brief and if necessary field visit to determine technical merits of the proposal.	1. GEF RC with TTL and the proposer ensures that the comments received on MSP Brief are included in the revised MSP Brief .	1. Recipient keeps one original Grant Agreement Letter (GAL) and returns the other to Task Team. Authenticated specimen signatures from Recipient , and first withdrawal request should also be submitted by Recipient with the countersigned GAL.	1. Supervision teams report project progress through the Bank's institutional system, TFStar .	1. TTL prepares project closing notification letter for the CD's signature. To complete the notification letter: 1- Consults SAP or with the disbursement officer (if LOA disbursed) for the status of disbursements against withdrawal applications, including th

Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
<p>2. RC seeks concurrence of Technical Specialists (TSs) and confirms proposal eligible or ineligible;</p> <p>3. CMU agrees to include proposal in Country Work Program. (Eligible concepts enter the Bank/GEF pipeline only when the responsible CU clears them for entry into the country work program)</p> <p>4. If RC determines that there are questions about eligibility, the RC may seek clarification by GEFSEC on these points.</p>	<p>2. The TTL submits the MSP brief to the GEF RC for clearance. The GEF RC is responsible for preparing the final MSP Brief package (i.e., MSP Brief and Country Focal Point letter) for submission to GEFSEC, other implementing agencies, STAP and appropriate Con</p> <p>3. GEFSEC consolidates comments received by other IAs, STAP and appropriate Convention Secretariat along with its own, and transmits to GEF RC in 15 working days, and recommends further action to GEF CEO.</p>	<p>2. TTL with GEF RC include as an Annex, a response to the GEFSEC and other agency comments indicating: (i) how and where</p> <p>3. GEFSEC/Council/STAP comments have been addressed in the revised document, and (ii) substantial modifications in project design, phasing,</p> <p>3. After receiving clearance from GEFSEC, RC sends directly to GEFSEC (again through the GEF Anchor electronic tracking system) the final project document for circulation to the Council and CEO approval.</p>	<p>2. Task Team sends to the Country Lawyer the original: (i) countersigned GAL, (ii) authenticated specimen signatures, and (iii) first withdrawal request for filing in Official Files</p> <p>3. Task Team sends copies of GAL, signatures, and withdrawal request to the GEF RC and to regional imaging (i.e., IRIS).</p> <p>4. Upon receipt of countersigned legal agreement, GEF RC or Task Team sends a copy to ACTTF and requests that MSP TF account be activated.</p> <p>5. Task Teams should ensure that MSP AIS has been approved by the CD and released by VPU, and the TF number has been linked to the project code as a separate WBS Element in SAP.</p>	<p>2. A mid-term review (MTR) for GEF co-financed MSPs is not required and generally not conducted. However, some task teams have conducted an MSP MTR.</p> <p>3. Project Restructuring or Grant agreement amendments require RC clearance.</p>	<p>2. TTL sends a copy of official notification to the client, disbursement, legal, GEF RC and ACTTF.</p> <p>3. Task Team prepares project completion report following the format provided by the GEF Coordination team.</p> <p>4. The MSP Project Completion Report package is sent to Country Director for approval. The package consists of the following: 1- Final Project Completion Report; 2- Memo from TTL to CD</p> <p>5. Prior to submission to CD, the final package needs to be cleared by: 1- GEF Regional Coordinator; and 2- Sector Leader.</p>

Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
			<p>6. Upon receiving authenticated signatures and withdrawal request, Task Team reviews request. If all is in order, Task Team requests an SAP Transaction Processor to process request. MSP grant processing will follow the established RM Business Process Guide f</p>		<p>6. After CD approval, TTL sends the report to the Internal Documents Unit (Internal Documents Unit/Service/World Bank) and Infoshop (InfoShop PIDs Service/Service/World Bank), to comply with World Bank's and GEF's document disclosure policies.</p>
			<p>7. Per established regional procedure, GEF RC clearance may be required for every MSP grant disbursement requests before a Transaction Processor processes the request in SAP.</p>		<p>7. GEF Regional team distributes to the GEF Anchor and GEF Secretariat.</p>
			<p>8. Task Teams should ensure that the grant recipient be properly notified about the release of funds, and keeping of grant disbursement records according to the established Bank procedures on TF record keeping</p>		
			<p>9. Per established regional procedure, GEF RC or TTL, up on RC's clearance, updates MSP disbursement log.</p>		

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Term of phase	B. GEF Project Preparation Grants - Block A	B. Bank Specific Annexes	B. Bank Country Director Approval		B. Project Extension	B. IEG Evaluation
Goal of phase	To obtain funding to cover in-country preparation expenditures.	To ascertain if the grant recipient is capable of purchasing goods or services efficiently, economically and with transparency, and will follow competitive practices whenever feasible, in order to make the best use of MSP grant funds awarded to it. To ens	To obtain Bank approval of proposed project.		To extend closing date. (OPr10)	N/A
Normal/ Average duration:						
Normal/ Average staff inputs:	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available		Input in staff weeks is not readily available	Input in staff weeks is not readily available
Other resources, on average:						
Steps/ responsibilities	1. TTL submits PDF A request and Country Focal Point endorsement letter to GEF RC. Focal point endorsement letters must be addressed to the project Task Team Leader, Sector Manager, Country Director, GEF Regional Coordinator, or GEF Executive Coordinator in	1. Bank specific annexes include (1) additional information on the project proposer, especially the project executing agency's experience with managing grants awarded by other institutions, financial management practices and purchasing/contracting practices;	1. An MSP Final Package for Country Director Approval includes 1- MSP Brief with Bank Specific Annexes 2- Letter of Agreement (prepared by TTL with Country Lawyer) 3- Memo from TTL to Country Director . The memo: (a) informs CD that a MSP grant of "\$x" has		1. Client submits an official request for a project extension including a justification and an action plan.	1. MSP Project Completion Reports are not subject to evaluation by IEG or GEF. However, TTLs follow the regional practice, if any. The Project Completion Reports are submitted to the GEF Secretariat M&E Unit for review as part of the GEF Project Implementat

Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
<p>2. RC reviews, seeks concurrence of TSs, clears and sends to Bank GEF Coordination Anchor for submission to GEFSEC and other Implementing Agencies (IAs) for their review. (PDF-A is submitted to other agencies and GEFSEC, where program managers may review the</p> <p>3. If comments are not received by the end of five working days, the GEF Coordination Anchor approves the request</p> <p>3a. If comments are received, TTL consolidates these comments</p> <p>4. TTL completes internal processing and grant transfer on standard Bank procedures.</p>		<p>The following internal clearances are required prior to CD submission:</p> <p>2. 1- from procurement 2- from legal 3- from GEF Regional Coordinator (GEF RC) 4- from Sector Leader</p> <p>3. GEF RC requests that ACTTF issue a TF number for the cleared MSP package.</p> <p>4. Once TF number has been assigned and MSP package is in final, Task Team submits Grant Agreement Letter (GAL) (2 originals) and Project Brief to Country Director for approval and signature</p> <p>5. Task Team sends two originals of GAL and Project Brief to the Recipient for counter signature. Withdrawal request format and specimen signature format are also sent along with GAL package for Recipient's use.</p>		<p>2. Task Team prepares detailed memo justifying the extension for Country Director's consideration along with a letter to be sent to the client.</p> <p>3. The extension package includes the memo to CD and letter to the client which requires a clearance by the GEF RC, disbursement officer, sector manager/sector leader and legal.</p> <p>4. Once the extension has been cleared by CD, task team sends a copy of the approval letter to the GEF RC and ACTTF.</p> <p>5. For second and sub-sequent extensions, ENVGC clearance is also required.</p>	

	Concept Development	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
	<p>It is expected that activities financed by a Block A grant will be completed within one year from the date of the Letter Agreement. GEF RC's clearance is required for any extensions, including retroactive extensions. Grant recipient has 60 days after completion date to provide Bank with the outputs specified in the Letter of Agreement and the final accounting of the use of the proceeds of the Grant.</p> <p>At completion TTL is responsible for providing a written statement to GEF</p>					
5.			6.	Task Team requests creation of WBS element for BBGEF supervision budget.		
6.			7.	Task Team requests creation of WBS element of the MSP grant which Director has just approved.		
7.			8.	Upon approval, the Activity Update Summary (AUS) should be updated to show: (i) actual approval date by CMU; (ii) the grant closing date; and (iii) target dates for receipt/finalization of project completion report. When the grant becomes effective, the M		

Acronyms:

ACTTF	Trust Funds
AUS	Activity Update Summary
CD	Country Director
CMU	Country Management Unit
CU	Country Unit
ED	Executive Director
ENV	Environment Department
ENVGC	Global Environment Coordination Division
GAL	Grant Agreement Letter
GEF RC	GEF Regional Coordinator
GEF SEC	GEF Secretariat
IA	Implementing Agency
ICR	Implementation Completion Report
IDU	Internal Document Unit
IEG	Independent Evaluation Group (formerly OED)
IRIS	Integrated Records & Information Service
ISDS	Integrated Safeguard Data Sheet
ISR	Implementation Status and Results Report
LOA	Country Disbursement Officer
MSP	Medium Sized Project
MTR	Mid-term Review
PDF	Project Development Facility
PID	Project Information Document
RC	Regional Coordinator

Table 4k(iii): Enabling Activities

	Project Concept Eligibility	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Term of phase	A. Identification	A. Preparation of Proposal	A. GEF CEO Review and Appraisal	A. Signing & Effectiveness	A. Supervision	A. Project Closing
Goal of phase	To identify concepts that are eligible for GEF EA funding. (OPr4)	To determine technical merits of proposal and confirm country ownership. (OPr4)			To ensure that proceeds are used for grant purposes, with due regard for economy, efficiency, and effectiveness.	
Normal/ Average duration:	On average, it takes about one year for an expedited EA from identification, preparation to approval.	On average, it takes about one year for an expedited EA from identification, preparation to approval.	On average, it takes about one year for an expedited EA from identification, preparation to approval.	On average, it takes about one year for an expedited EA from identification, preparation to approval.		
Normal/ Average staff inputs:	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available	Input in staff weeks is not readily available
Other resources, on average:						
Steps/ responsibilities	<ol style="list-style-type: none"> 1. Countries are informed about the Enabling Activity program through regular Bank-country dialogue (e.g., task teams on mission or based at headquarters), or through participation in convention events. GEF Regional Coordinators (GEF RCs) should ensure that 2. Countries expressing interest are sent examples of proposals by the GEF RCs through task teams, and may be requested to submit an official letter asking for Bank assistance. 	<ol style="list-style-type: none"> 1. Initial proposal is prepared in collaboration between the in-country lead agency and the task team, based on GEF Enabling Activity guidelines and on pre-existing proposals. On Occasion, in-country proposal development workshops are held. 2. Task team passes initial proposal to the GEF RC for clearance. 	<ol style="list-style-type: none"> 1. During the review period, some obvious lapses (such as lack of an endorsement letter from the GEF focal point, missing tables, calculation errors) are informally communicated to the GEF RCs to give a head start on corrective action. 2. At the end of the review period if there are no major comments, the proposal is recommended to the CEO for approval. 	<ol style="list-style-type: none"> 1. Recipient keeps one original Grant Agreement Letter (GAL) and returns the other to Task Team. Authenticated specimen signatures from Recipient, and first withdrawal request should also be submitted by Recipient with the countersigned GAL. 2. Task Team sends to the Country Lawyer the original: (i) countersigned GAL, (ii) authenticated specimen signatures, and (iii) first withdrawal request for filing in Official Files. 	<ol style="list-style-type: none"> 1. When the task team leader is based in Washington, field visits are undertaken usually in conjunction with supervision missions for related investment projects (2-3 times per year on average). Regular contact is maintained through e-mail and fax with the p 2. Financial and technical reporting is done as set out in the grant agreement. 	<ol style="list-style-type: none"> 1. TTL prepares project closing notification letter for the CD's signature. To complete the notification letter: Consults with the disbursement officer for the status of disbursements against withdrawal applications, including the amounts disbursed for each 2. TTL sends a copy of official notification to the client, disbursement, legal, GEF RC and ACTTF

	Project Concept Eligibility	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
3.	Early in the dialogue with the GEF Focal Point (the source of the formal request for assistance), the task team should check with the GEF RC as to whether the country is eligible for the Enabling Activity program, and whether another Implementing Agency	GEF RC reviews the eligibility of the proposal for GEF grant and with inputs from technical specialists, provides clarifications and revisions as needed to the in-country agency via the task team. GEF RCs usually does final editing and ensures that all Ba	If there are major comments, then all the appropriate comments are compiled by the GEF Program Manager at GEFSEC , and with his/her own comments, forwarded to GEF RCs for consideration.	Task Team sends copies of GAL, signatures, and withdrawal request to the GEF RC and to regional imaging (i.e., IRIS).	The Bank, i.e., task team, frequently advises the executing agency on international technical assistance.	Task Team prepares project completion report following the format provided by the GEF Coordination team.
4.	The Focal Point's request for assistance should be sent to the Country Director, copied to the GEF RC	When the proposal is included in the country work program and is cleared by GEF RCs, it enters in the Bank/GEF pipeline.	Revised project briefs are re-submitted to the GEF Secretariat for GEF CEO Approval by the GEF RC through the GEF Anchor tracking system.	Disbursement of EA funds is according to standard Bank practices (opening of a Special Account, as appropriate, Recipient's provision of specimen signatures and withdrawal application, etc.).	There is not a PSR (or TFStar) requirement for the GEF Enabling Activity.	The EA Project Completion Report is sent to the GEF Regional Coordinator for approval. A copy of approved completion report should be sent to ENVGC, and archived in IRIS.
5.	Before preparing the proposal, the task team obtains approval for the Enabling Activity's inclusion in the Country's Work Program Agreement. These discussions usually start with the appropriate PTL then the Country Officer and Country Director.	GEF RCs through the GEF Coordination Anchor, submits the proposal together with official GEF Focal Point letter of endorsement to GEFSEC, and other implementing agencies, STAP and relevant convention Secretariat along with a deadline, usually 8 business d	If the revised brief does not adequately address earlier comments, the task teams attention is drawn to it and attempts made by the Program Manager, in as informal a manner as possible, to reach agreement on further changes. Once the agreement is reached If agreement cannot be reached, the matter is brought to the attention of the CEO/Assistant CEO and guidance sought on further steps.	Disbursements are made upon receipt of proof of expenditures or as agreed in advance of large periods of expenditure.		

	Project Concept Eligibility	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
Term of phase			B. Bank Country Director Approval		B. Project Extensions	B. IEG Evaluation
Goal of phase			To obtain Bank Management approval.		To extend the closing date.	
Normal/Average duration:						
Normal/Average staff inputs:			Input in staff weeks is not readily available		Input in staff weeks is not readily available	Input in staff weeks is not readily available
Other resources, on average:						
Steps/responsibilities			<p>An Enabling Activity (EA) Final Package for Country Director Approval includes:</p> <p>Final EA Brief;</p> <p>Letter of Agreement (prepared by TTL with Country Lawyer); and,</p> <p>Memo from TTL to Country Director. The memo: (a) informs CD that a EA grant of "\$x" has been a</p> <p>The following internal clearances are required prior to CD submission:</p> <p>from procurement (RPA),</p> <p>from legal (LEG),</p> <p>from Country Disbursement Officer (LOA)</p> <p>from GEF Regional Coordinator (GEF RC),</p> <p>from Sector Leader</p>		<p>Client submits an official request for a project extension including a justification and an action plan.</p> <p>Task Team prepares detailed memo justifying the extension for Country Director's consideration along with a letter to be sent to the client.</p>	<p>Enabling Activity Completion Reports are not subject to evaluation by IEG or GEF. However, TTLs follow the regional practice, if any.</p>

Project Concept Eligibility	Preparation	Appraisal	Approval and Start	Implementation and Supervision	Completion and Evaluation
		<p>3. GEF RC requests that ACTTF issue a TF number for the cleared EA package.</p> <p>4. Once TF number has been assigned and EA package is in final, Task Team submits Grant Agreement Letter (GAL) (2 originals) and EA Brief to Country Director for approval and signature.</p> <p>5. Task Team sends two originals of GAL and Project Brief to the Recipient for counter signature. Withdrawal request format and specimen signature format are also sent along with GAL package for Recipient's use.</p>		<p>3. The extension package includes the memo to CD and letter to the client which requires a clearance by the GEF RC, disbursement officer, sector manager/sector leader and legal.</p> <p>4. Once the extension has been cleared by CD, task team sends a copy of the approval letter to the GEF RC and ACTTF.</p> <p>5. For second and sub-sequent extensions, ENVGC clearance is also required.</p>	

Acronyms:

ACTTF	Trust Funds
CD	Country Director
EA	Enabling Activity
ENVGC	Global Environment Coordination Division
GAL	Grant Agreement Letter
GEF RC	GEF Regional Coordinator
GEF SEC	GEF Secretariat
IEG	Independent Evaluation Group (formerly OED)
IRIS	Integrated Records & Information Service
LEG	Legal Vice Presidency
LOA	Country Disbursement Officer
PSR	Project Status Report
PTL	Program Team Leader
RPA	Procurement
STAP	Scientific and Technical Advisory Panel
TFStar	Trust Fund Status Report
TTL	Task Team Leader

Appendix 5: Steps And Responsibilities Under Agency Cycles In The GEF Network—Full-Size Project

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
Phase 0: Programming											
Strategy Document	GEF Business Plan			CAS	CSP	Country Strategy Paper	Not specified apart from periodic country visits		Country strategy every 4–6 years (depending on country's political cycle)	COSOP	
Phase I : Concept Development and/or PDF Processing											
Idea Identification and Team Formation			Upon eligibility check of project idea, staff member and proponent begins project development	TTL organizes team, which brainstorms on issues that may require early management attention	Sector Division forms team, and determines concept's fit with CSP or government priorities, while Regional Department checks fit with internal goals and safeguards; PT assesses existing information and the extent to which more data need to be collected for PDF-B or PPTA	Task Manager identifies a specific operation already included in the AfDB Pipeline, or proponent submits idea to Country Department	Business development team, through periodic country missions, identifies project ideas; proponent submits request for a loan	Country identifies the concept; divisional GEF focal point reviews compliance with divisional priorities; and the Field Program Development Service (TCAP) GEF Team reviews compliance with GEF criteria	Idea originates from the country's national plan or through dialogue with country authorities; usually, an official request for assistance is submitted to IDB by the country focal point, which is different from the GEF focal point endorsement	GEF Coordinator +Regional Director, in consultation with GEF Project Officer and IFAD Country Portfolio Manager, strategically identify proposals. If a country makes the request, they ensure that it is aligned with IFAD and GEF priorities as outlined in COSOP	Identify national priority, focal area, scope, ² stakeholders, gaps, and PDF coverage = preparation of Service Summary Sheet, which is approved by the PAC

¹ Based on 2 March 2006 mapping, representing a provisional FAO-GEF project cycle still under development.

² Except projects on persistent organic pollutants.

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
First Draft of the Concept Document		Proponent drafts concept with help from UNDP Country Office, for clearance of GEF Regional Unit and review of HQ Focal Area Team	Senior Program Office convenes Division of GEF Coord. (DGEF) Task Force Review, followed by Divisional Review and Oversight Committee headed by DD	TTL/external proponent drafts concept paper/PDF-B proposal for internal GEF eligibility review and regional department's review, refit with CAS; concept review (internal) meeting	Sector Division drafts concept clearance paper, Team prepares logframe for concept	Task Manager prepares issues paper, for clearance by the Division Manager	Banking team investigates proposed business plan and makes decision to consider or reject the project	Lead Technical Unit of Investment Center Division (LTU-TCI), as project champion, prepares concept document/PDF-B proposal	Concept Paper (or <i>Project Outline</i> ; 2-page) is prepared, following identification mission. It provides basic project information, link to IDB strategy and indicative funding	GEF Unit, under Government leadership, develops Concept Note/PDF-B proposal with help of consultant and in close collaboration with Regional Division	Development of project concept/ PDF document
Consultation		Government reviews concept		TTL submits Country Focal Point endorsement letter to GEF RC	Team consults stakeholders about concept framework; PT forges agreement with borrower on the scope, implementation and financing arrangements and timeframe for PPTA	During the Identification Mission, Team consults the Borrower, beneficiaries, NGOs and other stakeholders; social, environmental, and political/ economic issues are identified		Upstream consultation with GEFSec, TCAP GEF team, divisional GEF focal point; Government concept endorsement	IDB conducts identification mission; formal requests or no-objection from the counterpart Ministry must be in hand for concept and PDF-B proposals	Country Portfolio Manager facilitates acquisition of Letter of Endorsement	Consultations with country counterparts and IA
Technical Review		UNDP GEF-	DD circulates	TTL prepares	PT discusses concept	Task Manager	(Unnamed player)	FAO clearances:	Environment	Project Develop-	Review of PDF project

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
		Registry circulates to GEFSec and partners, after Deputy Executive Coordinator reviews consistency with UNDP GEF Business Plan	draft to DGEF Senior Management Group, for submission to GEFSec	and submits request for GEF Pipeline Entry Approval	framework with consultants, NGOs, etc.; Regional Department links to ADB goals and safeguards unit reviews for environmental and social concerns	prepares project identification report and includes proposal in provisional lending program after clearance from the Operations Management Team	makes preliminary assessment of technical, financial, economic, environmental and institutional feasibility + complementarity with EBRD sectoral and country policies	technical (LTU), financial (Finance Div), operational (Field Operation and Coordination Service), budget (Office of Program Budget and Evaluation), legal (Legal Office)	Division (ENV), the CESI for safeguard risks, and the Management Review Meeting (CRG) reviews and approve	ment Team (PDT) Meeting and clearance, prior to submission for IFAD approval	by the UNIDO Quality Advisory Group (QAG), IA and national counterparts
Submission to GEFSec for Pipeline Entry or PDF-B Approval	GEFSec receives concept note/PDF-B application from IA/EA and reviews it against priorities and review criteria	GEFSec provides review sheet conveying comments		GEF RC, thru GEF Coordination Anchor, circulates draft to other IAs, STAP and Convention Secretariat for review; bilateral meeting scheduled for eligibility confirmation and pipeline entry (none for PDF-B)			Banking Team prepares concept review memo, which is presented to Operations Committee for approval and categorization	After approval from Program and Project Review Committee, TCAP submits to IA or GEFSec, followed by bilateral discussions	Documents are sent to GEF	Project Management Department and GEF Unit finalizes proposal and submits to GEFSec via IFAD GEF Registry	PAC clears PDF proposal and sends to IA, who submits document to GEF
GEFSec Decision	GEFSec gives recommendation for	CEO approves pipeline entry of		GEFSec confirms, rejects, or requests a					GEFSec and CEO, with no-objection review by the	GEFSec calls concept review	Approval of PDF document and entry into

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
	either pipeline entry, pipeline entry subject to requirements or rejection.	concept via formal memo to UNDP-GEF Executive Coordinator, who notifies UNDP Resident Representative		review of a concept for GEF pipeline entry; GEF CEO approves PDF-B for pipeline entry					GEF Council, decide if the project concept should be included in the GEF pipeline. If approved, concept is registered by GEF	meeting, where IFAD and proponents participate via teleconference	GEF pipeline
GEF Decision Enabling Actions	GEFSec reaches understanding with IA/ExA re: level of project preparation expected for subsequent reviews			GEF RC confirms pipeline entry from GEFSec and guides TTL on subsequent work			EBRD signs mandate letter with project plan, development expenses and responsibilities		IDB Department Manager approves PDF-B activities while the IDB Division Chief approves PDF-A grants		Implementation of the PDF activities by the IA/ExA
Notification About GEF Decision	Resulting GEF pipeline is published quarterly	Concept is included in GEF Pipeline on GEF website		GEF CEO issues no-objection letter for PDF-B; TTL prepares Letter of Agreement for signature by Country Director, for PDF-B						GEF Unit circulates official notification of pipeline entry or PDF-B CEO approval to IFAD units. Country Portfolio Manager notifies government	

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
Average Timeframe	1.5–2 months	3 months		6 weeks (before submission to GEFSec)	1–2 weeks at least (referring only to team formation)	Duration not available	Ideas can incubate 2–3 years until conditions are met	5–20 <i>staff weeks</i>		2–6 months, <i>involving 9.6 staff weeks</i>	
Phase II: Preparation											
Consultant Mobilization				Prepare PDF for project preparation	Team prepares recruitment documents and selects consultant	Develop TOR, obtain financing, contract consultants, and launch mission to develop project feasibility study	EBRD contracts FAO investment center to develop proposal		Negotiations with entity that would execute the PDF-B	Identification of disbursement arrangements, TOR, and workplan for PDF-B	
Fact-Finding/ Pre-Appraisal				(Optional) Pre-appraisal mission to gather information supporting the drafting of the PAD	Consultant team prepares preliminary reports	Conduct pre-appraisal mission (optional if feasibility study is sufficient) to resolve outstanding issues			Conduct feasibility study to identify technical and institutional operations, costs, benefits, procurement. monitoring	Implementation of PDF either through IFAD's direct execution, thru another agency or government	
Consultation					Consultant team conducts workshops to reach agreement on best project design	Check if participatory approach was used	In relation to the EIA, notify affected people and NGOs and conduct public consultations	Upstream consultation: GEFSec, TCAP GEF team, divisional GEF focal point; Government	Bank conducts orientation mission	Bank conducts formulation mission	Consultations with country counterparts

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
								concept endorsement			
Drafting of Proposed Project Document	IA/ExA preparation may include feasibility studies, technical and scientific design, development of a financing plan, etc., supported with PDF-B and other resources	Proponent finalizes executive summary and project document		TTL generates the GEF project brief from the draft PAD	Consultant team drafts detailed project design and implementation plan for proposed investment project	Draft feasibility study containing the financing plan, procurement and accounting requirements, realistic implementation plan, poverty issues, risk analysis	Development of Final Review Memorandum, project structure, terms and conditions	LTU and TCAP GEF Team formulates detailed project design	PCD (15 pages) is registered, containing description, preliminary implementation plan and expected impact	Full project brief prepared and submitted to GEF Unit, who ensures quality design and provides GEF technical guidance	Preparation of the draft project brief
Technical Review		Proponent submits documents to UNDP Country Office and GEF Regional Unit for technical quality review, who circulates to HQ Focal Area Team, GEFSec, and other GEF partners		Team Leader circulates thru GEF RC the draft project brief to GEF Anchor and Env thematic specialists	PT reviews and circulates draft loan document for inter-department review (regional and country offices, legal, environment, economic, controllers, cofinancing, etc.)	Review by Task Manager/sectoral experts	(optional) structure review for projects with structural issues	FAO clearances: technical (LTU), financial (Finance Div), operational (Field Operation and Coordination Service), budget (Office of Program Budget and Evaluation), legal (Legal Office)	ENV and the CESI reviews [CESI is optional, only if requested by CESI during the earlier concept review]	Project brief is cleared through 3 meetings (PDT, pre-TRC Meeting and TRC meeting) prior to STAP review	Service summary sheet submitted to PAC; review of draft project brief by the UNIDO QAG and PAC, and IA; IA finalizes project brief before sending to country for review

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
Country Endorsement	Each project must obtain the endorsement of the GEF national operational focal point, except global projects	UNDP Country Office obtains government endorsement letter signed by the GEF Operational Focal Point addressed to UNDP Resident Representative							<i>Already required at project concept/ PDF stage</i>		Country endorses project brief
GEF STAP Expert Review	Each project must be submitted for review to a technical expert selected from the STAP roster		STAP review	Task Team contracts STAP member to review final draft of GEF project brief						GEF Unit recruits STAP reviewer and includes necessary revisions prior to IFAD clearance	STAP expert reviews project brief and sends to IA
Management Review or Other Review				Quality Enhancement Review Panel reviews project design and resolves design, fiduciary, and safeguard issues	Management Review Meeting	Task Manager states if project is ready for appraisal, making formal recommendation to the Operations VP to appraise it	EIAs are done to ensure project is environmentally sound.	Program and Project Review Committee approves	CRG reviews and approves	Project Management Department approves for submission to GEFSec, including finalization of project brief and preparations for submission	IA reviews and finalizes project brief

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
Submission to GEFSec for Work Program Inclusion	IA/EA submits project proposal documents, including project executive summary and a request for management fees, to GEFSec, other IAs, EXAs, convention secretariat, and STAP Chair for comments		Submission for work program Inclusion	GEF RC, thru GEF Coordination Anchor, submits project brief to GEFSec and circulates it to other IAs, STAP, and Convention Secretariat for review; bilateral meeting scheduled for work program inclusion		Task Manager updates the project brief		TCAP submits to IA or GEFSec; Bilateral discussions held	Submission to GEF for work program inclusion	GEF Unit submits to GEFSec via IFAD GEF Registry for work program inclusion and CEO approval, including all peer comments and necessary revisions to project brief	IA sends project brief to GEFSec
GEFSec Decision	GEFSec either recommends inclusion, inclusion subject to changes, deferment until issues are resolved, or rejection for ineligibility		GEFOP (teleconference)	GEFSec requests a bilateral meeting and provides comments						GEFSec calls Concept Review Meeting, where IFAD and proponents participate via teleconference	
Post GEFSec Action	Following GEF Operations Committee, CEO approves the work program for			GEFSec posts work program on the web and circulates to Council members							

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
	submission to GEF Council; GEFSec posts it on the web										
GEF Council Decision	Council may approve work program in whole (subject to comments), object to whole or object to some proposals in work program. Decision of fee will also be made.			GEF Council approve/disapprove the project for work program inclusion						GEF Council provides commitment to support the project by including it in the GEF work program	GEF Council approves/rejects/defers inclusion of the project in the work program
Post-GEF Council Action				WB RC receives Council comments and asks Team Leader to complete PAD; Team Leader organizes PAD Review Meeting, after which changes are reflected in PAD and			Project summary documents are available on website, before (EBRD?) Board consideration			GEF Unit circulates official notification of work program inclusion and CEO approval of project brief to IFAD units. Country Portfolio Manager notifies government	

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
				legal documents							
Average Timeframe		12 months			15–31 months total, including time for PPTA preparation	Goal is 4 months, but ranges from 7 months to 2.5 years		21 to 40 <i>staff weeks</i>		9–18 months, involving 42 <i>staff weeks</i>	
Phase III: Appraisal											
Preparation for Appraisal				Appraisal team reviews work conducted in identification and preparation, including PAD.			<i>EBRD has simultaneous preparation and appraisal phases</i>	<i>New procedures for appraisal are still being developed, including new legal agreements</i>	Loan proposals, which contain logical framework and EIA for project.	Appraisal mission	
Consultation				Task Team goes on appraisal mission to reach agreement with borrower on all aspects of the project	PT discusses proposed investment project with the borrower, EXA/IA and stakeholders prior to drafting loan documents	Conduct of field appraisal or Appraisal Mission				GEF Unit clarifies implementation arrangements through inter-agency consultations; if project is co-developed, task responsibilities are determined and fee-sharing scheme agreed on	Consultations with country counterparts and stakeholders

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
Refinement of Project Appraisal Document		GEF Regional Unit submits documents to HQ Focal Area Team	Preparation of project document (Prodoc)		PT prepares 2 nd draft of loan document for inter-departmental comments	Preparation of appraisal report, including validation by the Task Manager and classification of project in categories				Full project brief is operationalized and converted into project document	The project brief is converted into a full document (including legal and administrative, implementation details), following IA format
Review		HQ Focal Area Team provides technical clearance, while the Deputy Executive Director provides managerial clearance, for exec summary and project document		PAD is reviewed and redrafted for submission to WB management	Staff Review Committee Meeting resolves outstanding issues and gives decision to proceed	Review of Appraisal Report by Internal Working Group using the Appraisal Quality Assessment Checklist; review of 2 nd draft by the Inter-departmental Working Group	Final Review Memorandum presented to Bank Operations Committee for approval		Loan Committee	Project Development Team meets to finalize the Project Document prior to submission for IFAD approval	QAG and PAC reviews full document
Finalization of Project Appraisal Document	IA/EXA finalizes detailed project arrangements, legal agreements, including				PT Leader prepares draft report and recommendation to the President, and the loan agreement	Third draft to be signed by Vice President, to convene the SMC or loans	Documents for the Board of Directors are prepared				UNIDO revises full document based on IA reviews

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
	incremental cost, with the recipients					committee					
Country Commitment		Government reviews and clears final project document		TTL obtains draft letter of sector policy from Borrower, before negotiations							Country endorses full document
Preparation for Negotiations				Task Team prepares negotiation package for clearance by RC	VP authorizes loan negotiations and invites borrower	Country is invited to discuss the draft loan agreement and appraisal report					
Negotiations				TTL chairs negotiations, with lawyer and finance officer also participating	PT Leader leads negotiations				Negotiations		
Post-Negotiations		UNDP Country Office ensures availability of letters of financial commitment and submits to GEF Regional Unit for transmittal to UNDP-GEF HQ		Minutes of Negotiations are prepared, copied to GEF Operations Coordinator; Statutory Committee signs report prior to issuance of Board package	Sector Division and PT conduct final quality check of documents, General Counsel gives legal clearance	Prepare the loan agreement and project appraisal report for Board submission	Sponsor makes a public announcement about the proposed project and completes the EIA and other environmental reports			Project Management Department approves final project document for submission to GEFSec for CEO endorsement	

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
Submission to GEFSec	Once project is ready for IA/EXA approval, the final project document is sent to the GEFSec, seeking endorsement of the CEO	UNDP GEF Registry circulates executive summary, project document and government endorsement letters to GEFSec and GEF partners for comments	Submission for final CEO endorsement	Task Team prepares GEF project document from the negotiated final PAD, and sends to GEFSec thru GEF Coordination Anchor					Submission to GEFSec for GEF CEO endorsement	IFAD GEF Registry submits to GEFSec for CEO endorsement	IA submits final project document to GEF for CEO approval
GEFSec Decision	GEFSec decides whether to forward or not the project to the GEF CEO for endorsement	GEFSec circulates to Council Members vis website		GEFSec posts project document on the web and informs Council members of its availability	GEFSec reviews the project document and forwards to GEF Council						
GEF Council Decision					After Council approval ADB submits a final project proposal to the GEF CEO for endorsement						
GEF CEO Decision	CEO endorses the project at the end of the 4-week period, unless the project had	CEO endorses the project document via formal memo to the UNDP-GEF Executive								CEO endorsement	CEO approval given

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
	previously been identified for Council re-circulation	Coordinator									
Average Timeframe		15 days for internal clearance prior to GEF submission; 3–6 months for CEO approval and loan signature (<i>overlap with next phase</i>)		3 to 4 weeks (but excluding time for GEF CEO endorsement)	8 to 16 weeks	36 to 38 weeks	1 year for EIA			3–6 months, involving 6.5 <u>staff weeks</u>	
Phase IV: Approval and Start of Implementation											
Preparation of Documents for Board Approval		Proponent finalizes project document and obtains letter of financial commitment	Pink (project proposal) file is prepared, which will be added to GEF proposals, annexes on project management, structure, TORs, MOUs, implementation plan, and budget in UNEP format	Stand-alone GEF cofinanced projects require separate GEF documents. Blended projects do not. The GEF memo and recommendation of President is used to transmit project document to Board		After negotiation, prepare the project appraisal report, draft Loan Agreement, and resolution signed by President, for Board submission	EBRD requires an independent review of the environmental compliance of projects, a summary of which should be incorporated in the final review	<i>Merged with FAO appraisal phase, which is still being developed</i>			<i>Not mentioned in UNIDO submission</i>

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
Clearance of Board Package		UNDP Country Office clears final project document and submits to GEF Regional Unit for clearance and transmittal to UNDP-GEF HQ	Pink file clearance, from (i) Senior Program Officer, (ii) Division of GEF Coordination, (iii) Deputy Executive Director, (iv) Budget and Financial Management Service, and (v) project reports and database section	Receipt of the GEF CEO endorsement letter clears the project for Board approval. If Board Operations Unit results in material change to the document package endorsed by GEF CEO, the GEF Coordination Anchor should consult GEFSec	Board consideration cannot be given more than 120 days after posting the summary EIA on the ADB website		GEF Focal Point signs before the Board signs		Loan proposal is submitted to the Loan Committee		
Pre-Board Meeting				Team Leader submits note for pre-Board meeting							
Presentation to Board and Board Approval				Board presentation takes place		AfDB staff makes formal presentation at Board Meeting; Board approval	The final review with the President's recommendation and other loan documents are presented to the		Loan proposal is presented to the Board and the Committee of the Whole.	President's approval	

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
							Board of Executive Directors				
Post-Board Approval				After Board approval, printing request is forwarded to GEF Coordination Anchor, while press release is sent to GEFSec for review						Preparation of Legal Agreement between the full project beneficiary and IFAD, using the GEF CEO endorsed full project grant as basis for the agreement (including monetary transactions in preparation of project grant implementation)	
Pre-Signing		UNDP-GEF Executive Coordinator formally delegates authority to UNDP Resident Representative to sign project document on behalf of UNDP and execute GEF-		Team Leader arranges signing ceremony with lawyer, who should receive authorization for signing. Team Leader also confirms with Loan Accounting	ADB operations coordination division ensures prompt signing of the loan; PT finalizes cofinancing arrangement	Borrower is informed of Board approval and invited for loan signature			IDB informs borrower of Board approval, after which borrower defines signature date	Grant negotiations are held between Government and IFAD (Office of the General Counsel, GEF Unit, Regional Division, Controller's Office)	

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
		funded project		Officer that the Borrower has no overdue debt service payments							
Signing			Prodoc signature	Lawyer handles documents during the signing ceremony. The Ambassador signs on behalf of the Government while the Regional Vice President signs on behalf of the WB/IDA.	ADB President and borrower's representative sign the letter of agreement.	Loan signing	EBRD and client signs loan agreement			Loan Agreement is signed only upon receipt of the first tranche of project grant financing	
Effectiveness				Team Leader monitors compliance with conditions of effectiveness. After clearance by lawyer, Team Leader prepares Declaration	Sector Division ensures that borrower has met loan conditions; Office of General Counsel prepares loan effectiveness letter	Declaration of effectiveness based on fulfillment of conditions by borrower, (generally for loans only). Loan	Loan becomes legally binding, often on the same day as Board signing		Loan agreement enters into force after fulfillment of all conditions precedent to first disbursement	Upon fulfillment of the Legal Agreement-specified conditions, the Office of the Legal Counsel declares the grant effective	

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
				of Effective-ness		Agreement enters into force then					
Notification					ADB notifies GEF Trustee of project approval				After they have been signed and entered into affect, public sector loan contracts are made available to the public		
GEF Action					GEF Trustee commits funds to ADB on a monthly basis, by means of a Letter of Commitment. ADB submits Cash Transfer Request to Trustee						
Mobilization/ Procurement (up to 1st year of implementation)		Project Coordinator, UNDP Country Office and UNDP GEF Regional Unit organize Inception Workshop	First cash disbursement	WB prepares specifications and evaluates bids for the procurement of good and services.	Project Leader explains ADB procurement, disbursement and reporting requirements, and finalizes implementation arrangements	<i>Start-up is borrower responsibility</i>			<i>Borrower is wholly responsible for project execution, including any procurement it entails</i>	Start-up Mission to launch GEF full project grant through start-up workshop. Grant is implemented by national staff with guidance from IFAD.	
Average		3 to 6		Up to		4 to 6	2 weeks			3 to 6	

Steps	GEF	UNDP	UNEP	WB	ADB	AfDB	EBRD	FAO ¹	IDB	IFAD	UNIDO
Timeframe		months		several months		weeks	between final review and Board meeting			months	

ADB = Asian Development Bank, AfDB = African Development Bank, CAS = Country Assistance Strategy, CEO = Chief Executive Officer, CESI = Committee on Environment and Social Impact, COSOP = Country Strategic Opportunities Paper, CSP = Country Strategy and Program, DD = Deputy Director, EBRD = European Bank for Reconstruction and Development, EIA = environmental impact assessment, FAO = Food and Agriculture Organization, GEF = Global Environment Facility, HQ = Headquarters, IA = implementing agency, IDB = Inter-American Development Bank, IFAD = International Fund for Agricultural Development, MOU = memorandum of understanding, NGO = nongovernment organization, PAC = Project Approval Committee, PAD = Project Appraisal Document, PCD = Project Concept Document, PDF = project preparation and development facility, PPTA = project preparatory technical assistance, RC= Regional Coordinator, STAP = Scientific and Technical Advisory Panel, TOR = terms of reference, TRC = Technical Review Committee, TTL = Task Team Leader, UNDP = United Nations Development Programme, UNEP = United Nations Environment Programme, UNIDO = United Nations Industrial Development Organization, WB = World Bank.

Appendix 6: SPECIFIC AGENCY RESPONSES ON THE IMPORTANCE OF CYCLE PHASES IN ACHIEVING GEF OPERATIONAL PRINCIPLES

Agency/Phase	Opr 2	Opr 3	Opr 4	Opr 5	Opr 6	Opr 7	Opr 9	Opr 10
	Incremental Costs	Cost-Effectiveness	Country Ownership	Flexibility	Full Disclosure	Public Involvement and Participation	GEF's Catalytic Role and Financial Leverage	Monitoring and Evaluation
African Development Bank								
I. Concept Development	2	2	1	2	2	1	1	2
II. Preparation	1	1	1	2	2	1	1	1
III. Appraisal	1	1	2	1	2	1	1	1
IV. Approval and Start	2	2	2		1	2	1	2
V. Implementation and Supervision	3	2	2	1	2	2	2	1
VI. Completion and Evaluation	2	2	2	2		1	2	1
Asian Development Bank								
I. Concept Development	2	1	1	2	2	1	1	3
II. Preparation	1	1	1	2	2	1	1	3
III. Appraisal	1	1	2	1	2	3	1	3
IV. Approval and Start	2	2	2	1	2	3	2	1
V. Implementation and Supervision	2	2	1	1	2	1	1	1
VI. Completion and Evaluation	2	2	2	2	2	1	3	1
Inter-American Development Bank								
I. Concept Development	3	3	1	3	3	1	1	2
II. Preparation	1	2	1	2	2	1	1	2
III. Appraisal	1	2	1	1	2	1	1	1
IV. Approval and Start	2	4	4	1	4	1	1	2
V. Implementation and Supervision	4	4	4	4	4	4	4	4
VI. Completion and Evaluation	^a	^a	^a	^a	^a	^a	^a	^a
Food and Agriculture Organization								
I. Concept Development	1		1		^b	2		
II. Preparation	1	1	1	1	^b	1	1	1
III. Appraisal		2	1	1	^b	2	1	1
IV. Approval and Start		2	1	2	^b	1	2	1
V. Implementation and Supervision		2	1	1	^b	1	1	1
VI. Completion and Evaluation		2	2	2	^b	2	2	1
International Fund for Agricultural Development								
I. Concept Development			1	1	4 ^c	N/A	1	
II. Preparation	1	2		1	4 ^c	1	1	1
III. Appraisal	1	2		1				
IV. Approval and Start				1	4 ^c	N/A		
V. Implementation and Supervision	3	1	1	1		1	2	1
VI. Completion and Evaluation	1 ^d			1	1	2		1

Agency/Phase	Opr 2	Opr 3	Opr 4	Opr 5	Opr 6	Opr 7	Opr 9	Opr 10
	Incremental Costs	Cost-Effectiveness	Country Ownership	Flexibility	Full Disclosure	Public Involvement and Participation	GEF's Catalytic Role and Financial Leverage	Monitoring and Evaluation
United Nations Development Programme (Modal Average of 5 Samples)								
I. Concept Development	2	2	1	1	4	1	1	3
II. Preparation	1	1	1	2	1	1	1	2
III. Appraisal	1	1	1	3	1	2	2	2
IV. Approval and Start	3	1	1	2	1	1	2	1
V. Implementation and Supervision	3	1	1	1	1	1	1	1
VI. Completion and Evaluation	1	1	1	3	1	1	1	1
United Nations Environment Programme								
I. Concept Development	3	3	1	4	3	2	2	3
II. Preparation	1	2	1	4	2	1	1	1
III. Appraisal	3	1	1	4	1	1	1	1
IV. Approval and Start	3	3	1	2	1	1	1	2
V. Implementation and Supervision	3	1	1	2	2	1	1	1
VI. Completion and Evaluation	2	3	2	4	1	1	2	1
United Nations Industrial Development Organization								
I. Concept Development	3	3	1	2	1	2	2	3
II. Preparation	1	1	1	1	1	1	1	1
III. Appraisal	1	1	1	1	1	3	1	2
IV. Approval and Start	1	1	1	3	1	1	1	1
V. Implementation and Supervision	2	1	1	1	1	1	1	1
VI. Completion and Evaluation	2	1	1	1	1	1	1	1
World Bank								
I. Concept Development	1	3	1	2		3	1	1
II. Preparation	1	2	1	2		1	1	1
III. Appraisal	1	2	1	2		2	1	1
IV. Approval and Start	1	2	1	2		2	1	1
V. Implementation and Supervision	3	2	1	2		1	2	1
VI. Completion and Evaluation	3	2	2	3		1	3	1

Notes:

1 means VERY Important; 2 means SOMEWHAT Important; 3 means NOT Important; 4 means No Opinion or Do not Know. To compute the modal average, zeroes were used to replace blanks and comments outside of the 4 responses indicated in the survey form.

^a Does not apply because IDB does not have a project under this phase yet

^b FAO felt that importance does not really apply to OP 6 as it is "automatic."

^c IFAD felt OP 6 does not really apply because it is "automatic" or beyond the agency's decision (e.g., GEFSec posts in its website).

^d Refers to the global benefits part

Source: February 2006 agency survey done by the GEF Evaluation Office for Component 4.

Appendix 7: APPLICATION OF GEF OPERATIONAL PRINCIPLES IN THE AGENCY PROJECT CYCLE

Agency/Phase	Opr 2	Opr 3	Opr 4	Opr 5	Opr 6	Opr 7	Opr 9	Opr 10
	Incremental Costs	Cost-Effectiveness	Country Ownership	Flexibility	Full Disclosure	Public Involvement and Participation	GEF's Catalytic Role and Financial Leverage	Monitoring and Evaluation
African Development Bank								
I. Concept Development	x		x			x		
II. Preparation	x	x				x	x	
III. Appraisal	x					x	x	x
IV. Approval and Start			x					
V. Implementation and Supervision					x	x		x
VI. Completion and Evaluation								
Asian Development Bank								
I. Concept Development			x			x		x
II. Preparation	x	x	x	x		x	x	x
III. Appraisal	x	x	x	x	x		x	x
IV. Approval and Start	x	x	x	x			x	x
V. Implementation and Supervision		x	x	x				x
VI. Completion and Evaluation								x
European Bank for Reconstruction and Development								
I. Concept Development		x	x	x				
II. Preparation				x	x	x		
III. Appraisal				x				
IV. Approval and Start								
V. Implementation and Supervision			x					x
VI. Completion and Evaluation								x
United Nations Development Programme								
I. Concept Development	x		x			x		
II. Preparation	x	x	x			x	x	
III. Appraisal	x	x	x			x		
IV. Approval and Start	x	x	x			x		
V. Implementation and Supervision				x	x	x	x	x
VI. Completion and Evaluation					x		x	x
World Bank								
I. Concept Development	x		x	x			x	x
II. Preparation	x	x	x	x	x		x	x
III. Appraisal	x	x	x	x			x	x
IV. Approval and Start	x		x		x		x	x
V. Implementation and Supervision		x	x	x				x
VI. Completion and Evaluation		x	x		x			x

Source: Various agency submissions.