

GLOBAL  
ENVIRONMENT  
FACILITY

GEF PROJECT CYCLE

GEF Council Meeting  
Washington, D.C.  
May 3 - 5, 1995

DRAFT COUNCIL DECISION

The Council reviewed and approved the GEF project cycle described in document GEF/C.4/7, subject to the revisions agreed to by the Council meeting. The Council agreed that the project cycle should be updated by the Secretariat, as necessary to reflect any additional policies approved by the Council as a result of its future work. The Council requested the Secretariat to use the project cycle paper as a basis for preparing and widely distributing a GEF information kit that would inform interested parties how to present project concepts and develop project proposals for GEF financing.

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## INTRODUCTION

At its November meeting, the Council considered the *Proposed GEF Project Cycle*, document GEF/C.2/3. The Council requested that another paper be prepared for the fourth Council meeting, taking into account the comments that had been made by the Council and any subsequent comments that were submitted in writing by Council Members.

At its February meeting, the Council considered the *Project Development and Preparation Facility (PDF)*, document GEF/C.3/6. This document provided a more detailed explanation of the policies on eligibility for, and use of, PDF resources. The PDF policies approved by the Council are reflected in the description of Phase I of the project cycle presented in this document.

This document builds upon these previous documents, and is an effort to present a pragmatic description of the procedural steps that will be followed throughout the project cycle for GEF-financed activities. The document addresses the role and responsibilities of the major actors in the GEF project cycle: recipient Governments, Implementing Agencies, STAP, the Council, and the GEF Secretariat.

The first part of the document summarizes the principles relevant to the project cycle that have been agreed to in the Instrument for the Establishment of the Restructured GEF.

Part II of this document summarizes the procedural steps that must be followed in project preparation and implementation.

Part III identifies areas for which a clear policy has yet to be approved by the Council. The project cycle is to be flexible and pragmatic, and should be responsive to the continuous guidance of the Council. It is expected that relevant policy decisions will be incorporated in the project cycle once they are fully developed, especially with regard to monitoring and evaluation.

As noted above, this project cycle describes the basic steps to be followed in preparing and implementing a GEF-financed project. It should be recognized, however, that projects will vary in their nature, in the focal area addressed, and in their size and complexity. These variations call for flexibility in the implementation of the project cycle, while ensuring that the fundamental policy requirements of the GEF are adhered to for purposes of each GEF-financed activity.

*Basic  
principles*

I. PRINCIPLES OF PROJECT CYCLE

1. The GEF shall ensure the cost-effectiveness of its activities in addressing the targeted global environmental issues, shall fund programs and projects which are country driven and based on national priorities designed to support sustainable development and shall maintain sufficient flexibility to respond to changing circumstances in order to achieve its purposes.<sup>1</sup>

2. The GEF operational policies shall be determined by the Council and with respect to GEF-financed projects shall provide for full disclosure of all non-confidential information, and consultation with, and participation as appropriate of, major groups and local communities throughout the project cycle.<sup>2</sup>

3. The Secretariat and the Implementing Agencies under the guidance of the Council shall cooperate with other international organizations to promote achievement of the purposes of the GEF. The Implementing Agencies may make arrangements for GEF project preparation and execution by multilateral development banks, specialized agencies and programs of the United Nations, other international organizations, bilateral development agencies, national institutions, non-governmental organizations, private sector entities and academic institutions, taking into account their comparative advantages in efficient and cost-effective project execution. Such arrangements shall be made in accordance with national priorities.<sup>3</sup>

4. The three Implementing Agencies recognize the need for institutional arrangements in conformity with, and providing input to the fulfillment of, GEF objectives, based on a results-oriented approach and in a spirit of partnership, and consistent with the principles of universality, democracy, transparency, cost-effectiveness and accountability.<sup>4</sup>

5. The Implementing Agencies will put these principles into practice by ensuring the development and implementation of programs and projects which are country-driven and based on national priorities designed to support

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1. Instrument, paragraph 4.

2. Instrument, paragraph 5.

3. Instrument, paragraph 28.

4. Instrument, Annex D, paragraph 4.

sustainable development. Actions needed to attain global environmental benefits are strongly influenced by existing national policies and subregional and regional cooperative mechanisms. GEF financing will need to be coordinated with appropriate national policies and strategies as well as with development financing. To the extent that the GEF operates a funding mechanism for global environmental conventions, the Implementing Agencies will collaborate with eligible countries on project programming and implementation, either directly or, where appropriate, at a subregional or regional level, of the program priorities and criteria adopted by the Conference of the Parties to each Convention.<sup>5</sup>

6. In developing GEF work programs and in project preparation, the Implementing Agencies will, through country-driven initiatives, collaborate with eligible countries in the identification of projects for GEF funding through the Project Preparation and Development Facility. Priority will be given to integrating global environmental concerns with national ones in the framework of national sustainable development.<sup>6</sup>

7. The Implementing Agencies will assure the cost-effectiveness and sustainability of their activities in addressing the targeted global environmental issues. In this context, one important feature of adhering to these principles is that the least-cost sustainable means of meeting many global environmental objectives lie in a combination of investment, technical assistance, and policy actions at the national and regional level. The experience and mandate of each Implementing Agency will contribute to bringing to light, when assessing specific project interventions, the range of possible policy, technical assistance and investment options. In addition, each Implementing Agency will strive to promote measures to achieve global environmental benefits within the context of its regular work programs.<sup>7</sup>

8. The Implementing Agencies are committed to facilitating continued effective participation, as appropriate, of major groups and local communities and to promoting opportunities for mobilizing outside resources in support of GEF activities.<sup>8</sup>

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5. Instrument, Annex D, paragraph 5.

6. Instrument, Annex D, paragraph 6.

7. Instrument, Annex D, paragraph 7.

8. Instrument, Annex D, paragraph 8.

9. Collaboration among the Implementing Agencies will be sufficiently flexible to promote introduction of modifications as the need arises. Within an overall cooperative framework, the Implementing Agencies will strive for innovative approaches to strengthening their collaboration and effectiveness, in particular at the country level, and an efficient division of labor that maximizes the synergy among them and recognizes their terms of reference and comparative advantages.<sup>9</sup>

## II. PROCEDURAL STEPS IN PROJECT CYCLE

### Phase I: From Project Concept to Work Program Approval

#### *Country focus*

#### *Country "operational" focal points*

10. Each recipient country will be invited to identify an operational focal point with which the Implementing Agencies will collaborate on GEF operational activities. This focal point will need to be linked closely to those in the country responsible for national environmental policies and programs. GEF resources would be available to assist the focal point in organizing national GEF contact groups.

#### *National GEF contact group*

11. The national GEF contact group should be comprised of representatives from ministries responsible for the government's activities in the GEF focal areas as well as from organizations or groups representing civil society, such as non-governmental organizations, private sector entities or academic institutions. Acting under the direction of the operational focal point, the contact group should have the following functions:

- (a) to facilitate national interagency coordination and discussions of issues of substantive interest to the GEF;
- (b) to act as the principal contact point for all GEF activities in the country;
- (c) to review project ideas and concepts, endorse their consistency with respect to the national programs and the country's participation in the Climate Change or Biological Diversity conventions, and confirm their national priority;
- (d) to facilitate broad based as well as project-related consultation; and

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9.. Instrument, Annex D, paragraph 9.

- (e) to provide feedback on GEF activities.

GEF resources would also be available to assist the focal point and the contact group to organize local consultations, national hearings and/or information workshops about GEF purposes and procedures.

*Project Identification and Preparation*

***Project  
identification***

12. Project ideas should be identified in full consultation with the recipient country operational focal point and contact group. The Implementing Agencies will work with the operational focal point and national contact group to develop project ideas that are consistent with the country's national programs and priorities as well as the GEF operational strategies.

***Project  
preparation***

13. Careful preparation of project ideas is an essential prerequisite for quality projects. When a recipient country needs financial and technical help with project preparation, it may seek such assistance from a variety of sources. GEF project preparation funding is available through the Project Preparation and Development Facility (PDF). Where feasible, the PDF would normally complement other sources of finance for project preparation: World Bank loans, UNDP technical assistance grants, bilateral finance, and private funds. GEF project preparation resources should be allocated on an incremental cost basis; that is, in proportion to the likely level of project preparation costs financed by the non-incremental financier.

14. Recourse to GEF project preparation funds will not always be necessary. There may be cases where GEF funds are not requested, or where the level of project preparation is sufficiently advanced that GEF resources are not required to prepare a project for inclusion in the GEF work program. Whatever the source of project preparation financing, it is important for purposes of portfolio management that the Implementing Agencies keep the Secretariat informed of all project proposals under development for which GEF financing will be sought, and that the Secretariat maintains a project concept tracking system.

***PDF***

15. PDF financing will be available for project preparation under three Blocks. Table 1 is a summary of the objectives and approval procedures for each of the blocks. Annex A sets forth the formats for use in informing the Secretariat of Block A funding and for seeking GEFOP review of Block B and C funding requests.

***Government  
endorsement***

16. Before any PDF funds are committed by an Implementing Agency, the project idea will be discussed, reviewed and endorsed at the country level through the operational focal point and national contact group. The recipient



country national contact group should be responsible for ensuring that "the net is cast widely" in seeking project ideas.

17. In addition to the reporting on PDF expenditures that will be included in the GEF Quarterly Operational Report, the Annual Report to the Council will include a review of PDF operations and expenditures.

DESCRIPTION OF BLOCKS A, B, AND C

	BLOCK A	BLOCK B	BLOCK C
CEILING:	\$25,000	\$350,000	\$1 million
OBJECTIVE:	To make funds available at very early stages of project or program identification for pre-project activities at the national level.	To provide information necessary to complete project proposals and necessary supporting documentation.	To provide additional financing where required for large scale projects to complete technical design and feasibility work. Normally funds will be made available after Council has approved project proposal.
APPROVAL:	Implementing Agency	CEO taking into account recommendations of GEFOP.	<p>1. If Council has approved project, by CEO taking into account recommendations of GEFOP.</p> <p>2. If Council has not approved project proposal, taking into account, recommendations of GEFOP:                      (a) by CEO up to \$750,000,                      (b) by CEO in consultation with the Council for funds between \$750,000 and \$1 million.</p>
ENDORSEMENT:	National Operational Focal Point	National Operational Focal Point	National Operational Focal Point
DOCUMENT:	Information Sheet including basic project description, executing agency, expected outputs, and budget.	2-page proposal including: project description, objectives and justification in view of GEF operational strategy; summary of recipient's commitment; identification of key stakeholders; level and nature of national-level consultations; relationships to conventions, national strategies and plans, and Implementing Agency country assistance; and preliminary financing plan.	PDF proposal including: (i) an explanation of project preparation resources (PDF or other) that have already been utilized; (ii) justification for the requested resources; (iii) a financing plan for use of Block C funds; and (iv) a description of, and schedule for, outputs.
REPORTING:	Allocations to Implementing Agencies reported in quarterly operational bulletin.	Approved funding reported in quarterly operational bulletin.	Approved funding reported in quarterly operational bulletin.
REVIEW OF FUNDS USE:	Information sheet to be submitted to the Secretariat for its information and record keeping. Each quarter GEFOP to review coverage, direction and eligibility of Block A funded activities and to make recommendations on their content and direction.	Report on how funds were used to be submitted to Council together with project proposal that is prepared with PDF resources.	Report on how funds were used to be submitted to Council.
OUTPUTS:	Information necessary to prepare a preliminary initial project brief or draft project document; scientific, technical and environmental and economic assessments; documentation on in-country consultations	Final project appraisal and supporting documentation and information required for preparing project documentation for approval.	Technical Design and Feasibility Reports, Engineering designs and projects.

*GEF Operations Committee*

***GEFOP***

18. The GEF Operations Committee (GEFOP) is an interagency committee with important responsibilities in the project cycle. The GEFOP is composed of representatives of the three Implementing Agencies, the Chairperson of STAP and, as appropriate, representatives of the secretariats of the Convention on Biological Diversity and the Framework Convention on Climate Change. The Committee is chaired by a representative of the GEF Secretariat.

***GEFOP role  
in project  
preparation***

19. With regard to the PDF, the GEFOP has a role under each of the three blocks. Under Block A, the GEFOP is informed of Block A grants approved by the Implementing Agencies. Every three months, the GEFOP will review the coverage and overall direction of Block A funded activities and will make recommendations concerning future Block A funding.

20. Proposals for Block B funding are to be submitted to the GEFOP for its review and recommendation as to whether the funding should be approved. The recommendations of GEFOP are submitted to the Chief Executive Officer (CEO) who is responsible for approving Block B funding.

21. Proposals for Block C funding are also to be submitted to the GEFOP for its review and recommendations on funding. If Block C funding is requested for a project that has already been approved by the Council, the CEO may approve the Block C funding taking into account the recommendation of the GEFOP. If the Council has not approved the project proposal, then the CEO is authorized to approve Block C funding up to \$750,000. For funding between \$750,000 and \$1 million, the CEO will consult with the Council prior to approval.

***GEFOP role in  
project review***

22. The GEFOP is also responsible for recommending to the CEO projects to be included in the work program to be considered by the Council at its regular meetings. In submitting proposals for consideration by the GEFOP, the Implementing Agencies are to take into account the operational and funding guidance provided by the CEO prior to the GEFOP meeting. Project proposals to be considered by the GEFOP for inclusion in the work program are to be prepared in the project proposal format set forth in Annex B to this document. Each project must be endorsed by the recipient country operational focal point. Each project must have attached to it a technical review by an expert chosen from the roster developed and managed by the STAP. Each project proposal must also record the consultations that have been undertaken with major groups and local communities during the preparation of the project.

***Government  
endorsement***

***STAP expert  
technical review***

***Consultations***

*Criteria for  
GEFOP review*

23. Projects will be reviewed by the GEFOP taking into account the following considerations, as appropriate:

*· eligibility*

- (a) Country Eligibility:
  - (i) within the financial mechanism:
    - . Party to Convention
    - . Developing country, or
  - (ii) Outside the financial mechanism:
    - . Where relevant, Party to Convention
    - . Eligibility under UNDP/World Bank criteria

*policy and  
program  
framework*

- (b) Policy and Program Framework of the proposed project:
  - (i) Endorsement by recipient country operational focal point;
  - (ii) Consultation and coordination among Implementing Agencies,
  - (iii) Substantive eligibility: Consistency with GEF operational strategy, including COP policies, strategies, and program priorities and Council guidance.
  - (iv) Linkages to:
    - a. Country/sector programs, national strategies, action plans;
    - b. Implementing Agencies in-country programmatic framework;
    - c. Pilot Phase activities;
    - d. Other focal areas;
    - e. Other programs and action plans at region/sub-regional levels.

*· technical  
review*

- (c) Technical review including:
  - (i) Specification of global benefits;
  - (ii) Thoroughness of technical reviews by experts from STAP roster;
  - (iii) Response to recommendations of technical reviewers;
  - (iv) Plans to make natural resource use sustainable;
  - (v) Environmental assessment and measures to prevent or mitigate potential damage;
  - (vi) Technology cooperation and transfer.

- *social assessment and consultation*
  - (d) Social assessment and consultation including:
    - (i) Evidence of local participation/consultation in project preparations and processes for participation and consultation throughout project implementation;
    - (ii) Role of local communities;
    - (iii) Role of indigenous people;
    - (iv) Resettlement plans if human populations are going to be resettled;
    - (v) Plans for public awareness, environmental education, and social communication.
  
- *capacity building*
  - (e) Capacity building
    - (i) Training;
    - (ii) Institution building;
    - (iii) Planning and policy development;
    - (iv) Targeted research;
    - (v) Linkage of capacity building to enabling activities and to investment.
  
- *financial information*
  - (f) Financial information:
    - (i) Funding and budget
    - (ii) Overhead and management costs from Implementing Agencies and Executing Agencies.
    - (iii) Use of PDF resources
    - (iv) Co-financing from other sources and the Implementing Agencies
  
- *incremental cost*
  - (g) Incremental cost (preliminary estimates):
    - (i) Correct application of methodology;
    - (ii) Procedures for estimation and agreement with recipient country;
    - (iii) Reasonableness of estimates and assumptions; and
    - (iv) Lessons of experience from comparable cases.
  
- *monitoring and evaluation*
  - (h) Monitoring and Evaluation:
    - (i) Provision for monitoring and evaluation;
    - (ii) If continuation of previously funded project, requirement that evaluation has been completed and recommendations of evaluation have been taken into account in formulation of project being proposed.

*CEO proposes work program*

24. On the basis of its review, the GEFOP recommends to the CEO projects to be included in the work program. The CEO determines the content of the work program proposed to the Council for approval.

*Council approval*

25. The Council approves work programs at its regular meetings. In its review of the work program, the Council will focus primarily on the strategic and policy issues raised therein. Council Members may also provide written technical comments on specific project proposals. Such written comments should be submitted to the Secretariat no later than three weeks after the conclusion of the Council meeting concerned.

## **Phase II: From Work Program Approval to Project Approval**

*Implementing Agency prepares final project document*

26. Once the work program is approved, the Implementing Agency is responsible for the further preparation of any of its projects presented in the work program. In preparing the project for final approval, each agency is to take into account the comments made by the Council during its consideration of the work program, and subsequent technical comments submitted by the Council Members.

27. The Implementing Agencies are accountable to the Council for the preparation and cost-effectiveness of the projects they prepare and for the implementation of the operational policies, strategies and decisions of the Council. It is expected that the Implementing Agencies will follow their own internal procedures when preparing projects while ensuring that any additional policies or operational requirements for use of GEF funds are met.

*Incremental Costs*

28. An important consideration in preparing the final project will be the negotiation with the recipient country of the "agreed incremental costs" of the project. The Secretariat will develop guidelines to be followed by the Implementing Agencies in their negotiations with a recipient country.

*Circulation of project document to the Council*

29. Before an Implementing Agency undertakes final approval of a GEF-financed project in accordance with its internal procedures, the project will be endorsed by the CEO. Before endorsing the project, the CEO will circulate the final project document to Council Members with a request that they submit any comments that they may have to the Secretariat within three weeks. If at least four Council Members consider that the project is not consistent with the Instrument or GEF policies and procedures, they may request that the project be reviewed at a Council meeting before its approval. The CEO shall then submit the project document to the next regular Council meeting.

***CEO  
endorsement***

30. The CEO shall endorse the project for final approval by the Implementing Agency after reviewing it to ascertain whether it is consistent with the project proposal approved by the Council in the work program and GEF policies and procedures. Recognizing that the costing of projects for purposes of the work program is quite tentative, the CEO will examine the final budget of a project, including the incremental cost calculations.

***STAP***

31. The Council may request STAP to review a project prior to CEO endorsement.

***Approval by  
Implementing  
Agency***

32. The Implementing Agency is responsible for final approval of the project in accordance with its internal procedures.

**Phase III: From Project Approval to Project Completion**

***Reporting and  
project  
implementation  
review***

33. Each Implementing Agency will be responsible for monitoring project implementation. The GEF Secretariat should be kept informed about progress in the implementation of the projects through semi-annual reports. Once a year, in preparation for the Annual Report, the Secretariat will organize a Project Implementation Review of all GEF activities. The Implementing Agencies and STAP will participate in this review. Each project will be reviewed to determine: status of implementation, progress towards the objectives of the project, compliance with GEF policies, project modifications made, and an assessment of potential problems. The results of the project implementation review will be summarized in the Annual Report.

***STAP***

34. On the basis of the project implementation review, and consistent with criteria approved by the Council, STAP may selectively identify projects for further review of the scientific and technical aspects of the project implementation.

***Monitoring  
and  
evaluation***

35. In addition, once a Monitoring and Evaluation Policy is approved by the Council, the Secretariat will prepare guidelines to implement the policy. The Implementing Agencies will be expected to implement the guidelines in each of their projects.

***Project  
completion***

36. Whenever a project is fully disbursed or substantially completed, a final evaluation report will be prepared by the Implementing Agency. This report should explicitly address the performance of the project and assess whether it has achieved its objectives. Guidelines for final project evaluation will be prepared by the Secretariat on the basis of the monitoring and evaluation policy approved by the Council.

37. The evaluations should assist the GEF, with the advice of STAP, to ascertain whether the Facility is achieving its overall objective of providing global environmental benefits in the four focal areas. The evaluation guidelines will clarify the role of STAP in evaluating the scientific and technical aspects of project implementation and the scientific and technical effectiveness of the GEF portfolio.

### III. FURTHER POLICY GUIDANCE AND ELABORATION TO BE INCORPORATED IN PROJECT CYCLE

*Further elaboration of policy*

38. The Council is still developing policies that will have a direct influence on the project cycle. In addition, it is expected that the project cycle will be revisited as experience is gained in preparing and implementing projects. As experience is gained and evaluated, the lessons learned should be brought to the attention of the Council which is responsible for keeping under review the operation of the Facility. The Council could then revisit the project cycle if appropriate. It is necessary to recognize the need for flexibility and innovation to facilitate the evolution in the cycle over time.

39. In the next twelve months, the Council is expected to consider and approve the following policies that will need to be fully incorporated in the GEF project cycle:

- (a) Monitoring and Evaluation;
- (b) Information disclosure;
- (c) Consultation with, and participation of, major groups and local communities; and
- (d) Criteria to guide the selective review of projects by STAP.

40. Until such time as these policies are approved by the Council, it is expected that each Implementing Agency will adhere to its own policies and procedures concerning monitoring and evaluation, information disclosure, and consultation with, and participation of, major groups and local communities. With regard to information disclosure and consultations, the Council had before it at its February meeting document GEF/C.3/Inf.7, *Implementing Agencies Policies on Information Disclosure and Consultations*.



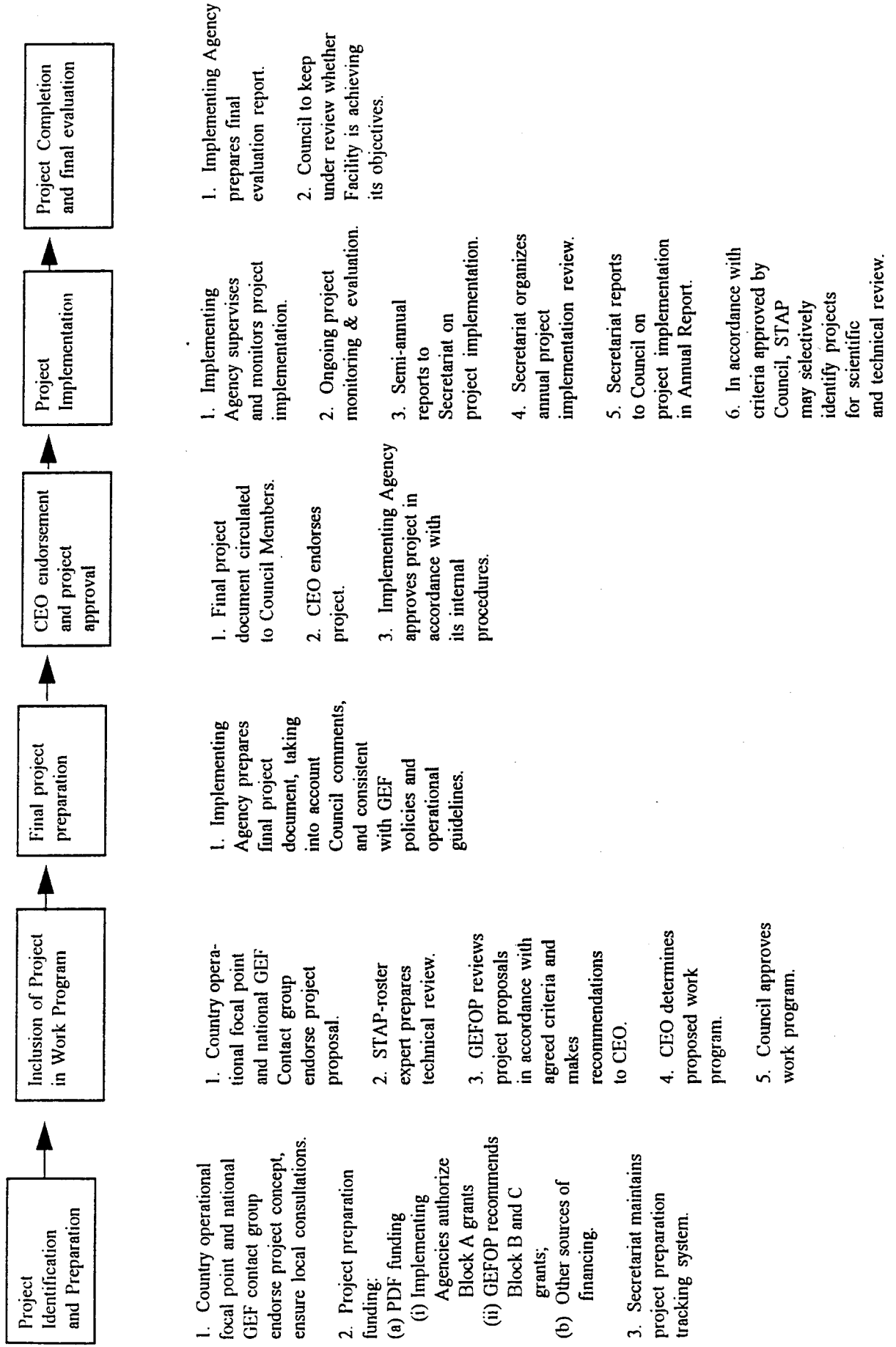
#### IV. TIMING OF THE PROJECT CYCLE

41. It is very difficult to assign a specific time frame to the project cycle, since each project will vary according to its focal area, to project complexity and to the procedures of the Implementing Agency. Annex C summarizes the experience of the pilot phase. The Implementing Agencies are all committed to expediting project development to the greatest extent possible and will continuously seek means to streamline the project cycle and to reduce the time between commitments and disbursement of funds. Also, it is expected that in the restructured GEF the project proposals presented for Council approval will be well advanced in their preparation, which should reduce the time between Council approval and final project approval by the Implementing Agency. This aspect of the project cycle will be kept under review by the GEFOP.

**ROLE OF KEY "ACTORS"**

<b>ACTOR</b>	<b>FUNCTIONS</b>
<i>Recipient Country</i>	<ol style="list-style-type: none"> <li>1. Identification of operational focal point and establishment of national GEF contact group.</li> <li>2. Identification of project ideas, endorsement of project proposals.</li> <li>3. Facilitates broad based, as well as, project related consultations.</li> <li>4. Feedback on GEF activities, including implementation of projects.</li> </ol>
<i>Implementing Agency</i>	<ol style="list-style-type: none"> <li>1. Works with recipient country to facilitate identification of operational focal point and establishment of national GEF contact group.</li> <li>2. Assists in identification of project ideas.</li> <li>3. Manages project preparation.</li> <li>4. Approves final project in accordance with internal procedures.</li> <li>5. Supervises and monitors project implementation. Prepares semi-annual project reports for Secretariat.</li> </ol>
<i>GEFOP</i>	<ol style="list-style-type: none"> <li>1. Informed of Block A grants.</li> <li>2. Recommends to CEO PDF-Blocks B and C grants.</li> <li>3. Reviews project proposals and recommends to CEO projects for inclusion in proposed work program.</li> </ol>
<i>STAP</i>	<ol style="list-style-type: none"> <li>1. STAP-roster expert to review each project proposal.</li> <li>2. STAP to develop, for Council approval, criteria for selective review of projects.</li> <li>3. Evaluation of scientific and technical aspects of project implementation and technical effectiveness of GEF portfolio. Chair to brief Council at its regular meetings.</li> </ol>
<i>CEO</i>	<ol style="list-style-type: none"> <li>1. Approves PDF Block B and C grants.</li> <li>2. Financial and Operational guidance to GEFOP on proposed work program.</li> <li>3. Determines content of proposed work program.</li> <li>4. Endorses projects before final approval.</li> </ol>
<i>Council</i>	<ol style="list-style-type: none"> <li>1. Approves GEF policies and operational strategies which will include guidance received from Conventions.</li> <li>2. Approves work program.</li> <li>3. Members review projects before final approval. Members may request project be reviewed at a Council meeting.</li> <li>4. Approves Annual Report.</li> </ol>
<i>Secretariat</i>	<ol style="list-style-type: none"> <li>1. General portfolio management and record keeping.</li> <li>2. Chairs GEFOP.</li> <li>3. Develops operational guidelines on basis of Council - approved policy.</li> <li>4. Organizes annual project implementation review.</li> <li>5. Prepares Annual Report to Council.</li> </ol>

## Project Cycle Procedural Steps



## PROPOSAL FOR PDF BLOCK A GRANTS

### PART I: ELIGIBILITY [To be filled out by the GEF Implementing Agency]

1.

<b>LOG DATA</b>	
(a) Project Title	
(b) Identification No.	
(c) Implementing Agency	
(d) IA Focal Point	
(e) Principal Focal Area: CC/BD/TW/ODS	
(f) Cross-cutting Area: LD-BD/LD-CC/LD-IW	
(g) Scope: National/Regional/Global	
(h) Country(ies):	
(i) Country Endorsement:	Date:
(j) National Focal Point	

2. Country Eligibility:
- (a) Convention: \_\_\_\_\_  
Date of Ratification \_\_\_\_\_
- (b) GEF: Art. 9 (a) \_\_\_\_\_ Art. 9(b) \_\_\_\_\_
3. Program Eligibility:
- (a) COP  
Guidance \_\_\_\_\_
- (b) GEF: Operational  
Strategy \_\_\_\_\_
4. Policy Framework:
- (a) Country Priority:  
(i) National strategy/action plan  
(ii) Link to sustainable development planning
- (b) Other Links:  
(i) Other global agreements/conventions  
(ii) Regional agreements/conventions

5. Nature and Scope of expected project:

- (a) Investment
- (b) Technical Assistance
- (c) Convention-specific enabling activities
- (d:) Capacity Building
- (e) Targeted Research

6. Linkage of Expected Project to IA Program:

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7. IA Contact Person:

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**PART II: INFORMATION ON GRANT ACTIVITY(IES) [To be filled out by the Applicant]**

1. Summary Description of the Proposed Project or Program in terms of its (a) Objectives and (b) Activities:

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2. GEF Thematic Area:

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3. Expected Global Benefit(s):

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4. Activities to be financed by the PDF Block A grant:

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5. Expected Output(s) and Completion Date(s):

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6. Other possible contributors/donors and amounts:

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7. Total Budget and Information on how costs will be met (including the Block A grant):

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**Part III: Background on the Applicant Institution [To be filled out by the Applicant<sup>2</sup>]**

1. Applicant:

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2. Background (date established, purpose/mission, etc.):

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3. Organizational Structure (kind of organization, etc.) :

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<sup>2</sup> Government agency applicants fill out questions 1 and 9; all other applicants fill out all questions.

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4. Leadership (names of Board members, officers, etc.) and Personnel (paid staff and volunteers):

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5. Membership (who, how many, etc.):

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6. Recent Programs/Projects/Activities:

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7. Publications:

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8. Annual Budget and Sources of Revenue:

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9. Contact Person:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

**PROPOSAL FOR PDF BLOCK B & C GRANTS**

Country: \_\_\_\_\_

Project (Title, Provisional Cost and Financing Plan): \_\_\_\_\_

Requesting Agency: \_\_\_\_\_

Block B: \_\_\_\_\_

Block C: \_\_\_\_\_

Amount of PDF Funding Requested: \_\_\_\_\_

Cofunding: Yes \_\_\_\_\_ No \_\_\_\_\_ TBD \_\_\_\_\_ Source and Amount \_\_\_\_\_

Block A Grant Awarded: Yes \_\_\_\_\_ No \_\_\_\_\_ If yes, what activities were financed, and what were the results \_\_\_\_\_

Block B Grant Awarded: Yes \_\_\_\_\_ No \_\_\_\_\_ If yes, what activities were financed and what were the results \_\_\_\_\_

Summary Project Objectives and Description: \_\_\_\_\_

Description of PDF Activities by component for (i) GEF-funded and (ii) co-funded \_\_\_\_\_

Eligibility: \_\_\_\_\_

National Level Support (including key stakeholders, and level and nature of consultations) \_\_\_\_\_



Justification<sup>3</sup> for PDFgrant: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Items to be financed: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Cost Table:

ITEM	GEF	Govt	Other Co-funders
Activity 1			
Activity 2			

Outputs: \_\_\_\_\_

Expected Date of Preparation Completion: \_\_\_\_\_

Special Features: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
IA Representative

\_\_\_\_\_  
Date

<sup>3</sup> For Block C projects not approved by the Council, an explanation should be provided.

## Standard Profile of GEF Project Documentation

### *Proposal for Review*

*[Cover Page or insert Box Contents]*

**Project Title:**

**GEF Focal Area:**

**Country Eligibility:** Date of Ratification/Deposition of Instrument  
GEF Eligibility on the basis of Implementing Agency Eligibility  
(IDA/IBRD/UNDP, etc.)

**Total Project Costs:** \$

**GEF Financing:**

**Government Counterpart Financing of GEF Component:** dollar value of cash or in kind

**Cofinancing/Parallel Financing:** List them and \$\$

**Associated Project:** Name  
\$\$ by agency (e.g. IDA/IBRD, bilateral)

**GEF Implementing Agency:** (UNDP/Bank/UNEP)

**Executing Agency:** collaborating agency of UNDP or Bank, where appropriate

**Local Counterpart Agency:** national focal point or points

**Estimated Starting Date (Effectiveness):**

**Project Duration:**

**GEF Preparation Costs:** PDF A/B/C and dates

(Project Document Content Format: max. 10 pages (strict limit))

## **Format of Body of Project Brief (10 pages maximum)**

### **Country/Sector Background/Context**

- link with, and priority within, global environmental strategies defined in one or more of: country study, sector strategy, NEAP, other planning document, or economic sector work with global overlay (provide references)
- scientific/technical basis for assistance, as appropriate

### **Project Objectives**

- global environment objective
- anticipated global environmental benefits
- specific project objectives

### **Project Description**

- describe project components, distinguishing between investment and capacity building components and defining policy and planning, training, and targeted research separately under capacity building
- where appropriate, list key project documents in project file and indicate from whom they are available (name: ph, fx), e.g. feasibility study document, ODS sub-project/OORG review

### **Rationale for GEF Financing**

- state why project eligible for GEF financing, include reference to OPG/interim guidance, Convention priorities, etc.
- refer to global sector work which defines the project as high priority
- note how country-driven if not already obvious
- note innovation, demonstration effect, or replication of existing GEF project
- refer to leverage of financial nature
- note contribution to integrating global environment into development assistance (in Bank, reference to CAS)

### **Sustainability and Participation**

Sustainability is referred to in terms of:

- *government commitment*: specific measures by government which suggest/confirm this
- *financial*: recurrent costs, support after GEF project completed
- *institutional*: provisions for strengthening and capacity building, improved organizational arrangements
- *stakeholder commitment*, especially local community and NGOs:
  - indicate how public involvement and local participation and information dissemination were effected based on IA/GEF guidance;
  - what measures for community participation and information dissemination are envisaged in the course of project development, implementation and follow-up
- *incentive and regulatory system*: including legislation and regulatory support, pricing, taxation or other incentive measures, where adopted.

**Lessons Learned and Technical Review:**

- from previous GEF projects of phases of same project;
- from similar non-GEF projects/experiences in same country;
- from similar projects elsewhere
- note arrangements for Tech. Review: STAP roster specialists (#), no. Of TRPs and dates (month/year), other technical reviewers included.

**Project Financing and Budget**

- details of project costs, elaborating slightly on details on Box
- budget for GEF component: note split between GEF implementing/executing agency share and project expenditures where appropriate
- project costs budget to be broken down in a format consistent with the project components and description, especially as between investment and capacity building components (not standardized and not overly detailed)
- cost of preparation: note PDF financing, IA own financing, including GEF preparation costs from administrative budget, cofinancing of preparation

**Incremental Costs**

- define baseline without GEF and options for enhancing global benefits with GEF/other assistance
- note project and system boundary and changes due to project
- note additional domestic benefits generated over baseline case
- note present value of incremental costs and assumptions (DR time), and avoided costs of not adopting baseline
- note specific cost-effectiveness of project (unit abatement costs for GHG in OPD, for ODS in OPD, pollutants in IW, etc.)

**Issues, Actions and Risks**

- list of key issues and how the project addresses them, including specific provision of capacity, policy, incentives, institutional arrangements
- note project risks and how they are addressed by the project

**Institutional Framework and Project Implementation**

- note implementing agency locally, and oversight agency locally
- note existence of implementation plan and provide key implementation dates and milestones
- describe briefly monitoring and evaluation arrangements, including key process and status indicators as per IA/GEF Monitoring and Evaluation guidance
- note any GEF IA collaboration in support of the activity

## **Annexes**

### **Technical Opinion:**

*For GEFOPs only*, include the full technical opinions as submitted, signed by the STAP Technical Reviewer(s) and other outside reviewers appointed by the IA.

*For Final Project Brief*: Attach one page summary of technical opinion and note in section with sub-head how reviewers comments were taken into account. Note availability of full original technical reviews on request and from where.

## PILOT PHASE EXPERIENCE

Average length of time between a project's entry into the work program and its final approval:

**By Focal Area:**

Biodiversity:	19 months
Climate Change:	18 months
International Waters:	16 months
Ozone Depletion:	17 months

**By Implementing Agency:**

UNDP:	16 months
UNEP:	11 months
World Bank:	22 months