



Guidelines

July 2, 2012

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# **Results-Based Management**

## **GEF Trust Fund and LDCF/SCCF Reporting Guidelines**

## **Introduction**

1. Results-Based Management (RBM) was introduced at the GEF during GEF-4, when the fundamental building blocks of the system were conceptualized based on the experience and input from all GEF partners. The system has been updated further in GEF-5 to include clearly defined corporate objectives, outcomes, and targets, to which focal area goals align.
2. Taken together, the GEF's RBM framework, GEF-5 results architecture, and the revised monitoring and evaluation (M&E) policy lay out the blueprint for how the GEF tracks results. The processes that are in place to operationalize these policies ensure the alignment of objectives and indicators with GEF focal strategies and goals.
3. The Secretariat provides guidance and minimum requirements for the setting of objectives, completion of baselines, inclusion of relevant results indicators, and annual reporting. The partnership model of the GEF, needs the use of the combined capacities of the GEF partnership to monitor and report results. The GEF Secretariat therefore relies on the internal monitoring systems of the GEF Agencies and the breadth of the Agencies' implementation expertise to track and report on progress at the project or program level.
4. For the GEF Secretariat to track and report on progress at the portfolio level, there are several reporting requirements that Agencies adhere to at the project and program level. The following guidance document lays out the requirements associated with the GEF's overall RBM system. Section one details the requirement for a budgeted M&E plan at the project design stage. Section two outlines all reporting requirements for GEF Trust Fund and LDCF/SCCF. Section three provides the process and requirements for the Annual Monitoring Review.

## **Section 1: M&E Design and Budget**

5. As outlined in the GEFs M&E Policy (2010), all projects and programs must include a concrete and fully budgeted M&E plan by CEO endorsement for full-size projects (FSPs) and CEO approval for medium-size projects (MSPs). GEF project and program objectives as well as intended results should be specific and measurable so as to make it possible to monitor and evaluate the project and program effectively.<sup>1</sup>

### **Design of M&E Plan**

6. A project or program's logical/results framework should align to the GEF's focal area results frameworks (<http://www.thegef.org/gef/node/3624>). Minimum requirement 1, established in the M&E policy is as follows:

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<sup>1</sup> Refer to the Minimum Requirement 1 of the M&E Plan, in *The GEF Monitoring and Evaluation Policy 2010*, Evaluation Document November 2010, No. 4 (p.29).

- “SMART indicators for results and implementation linked appropriately to the focal area results frameworks; additional indicators that can deliver reliable and valid information to management may also be identified in the M&E plan.
- Baseline for the project or program, with a description of the problem to be addressed, with indicator data or, if major baseline indicators are not identified, an alternative plan for addressing this, by CEO endorsement.
- Identification of reviews and evaluations that will be undertaken, including midterm reviews and terminal evaluations.
- Organizational set-up and budgets for M&E.”

7. The GEF Secretariat program managers review all projects and programs prior to their approval to ensure that they meet the above minimum requirement, including the use of indicators and targets that align with focal area objectives and indicators.

### **Monitoring and Evaluation Budget Requirement**

8. A budgeted M&E plan is distinct from the project management cost (PMC) budget. When project documentation is submitted at the PIF stage an estimate of the M&E costs should be embedded in the project budget. A fully outlined and budgeted M&E plan must be included by CEO Endorsement. The budget for the M&E plan can be spread across the various components of a project, as applicable. In the CEO Endorsement document a separate budget for what will be spent on M&E should be provided.

9. For the application of M&E plans, minimum requirement 2 in the GEF M&E Policy (p.30) states that:

“Project and program monitoring and supervision will include implementation of the M&E plan, comprising the following:

- i. SMART indicators for implementation actively used
- ii. SMART indicators for results actively measure, or if not, a reasonable explanation provided
- iii. The baseline for the project fully established and data complied to review progress, and evaluations undertaken as planned
- iv. The organizational set-up for M&E is operational and its budget is spent as planned.”

10. A budgeted M&E Plan therefore includes activities to monitor project indicators, to complete tracking tools, to undertake monitoring reports and related mid-term and evaluation reports.

### **Examples of Activities covered include:**

- Tracking tool measurement, monitoring of Global Environmental Benefits (GEBs),
- and any associated monitoring expenses;
- Monitoring of all project indicators, including assessment and inventory stocktaking for chemicals, pollution reduction, and/or documenting, evaluation of project changes;
- Periodic monitoring reports;

- Independent terminal evaluation of the project; and
- Midterm review/evaluation: either by independent reviewer/consultant or government entity.

**Activities not covered under M&E Budget<sup>2</sup>:**

- Oversight activities on the implementation of a project, which should be covered under the project management cost (PMC);
- Periodic progress reporting of the project to the GEF Agencies;
- Consultation with project stakeholders, which should be covered under the PMC;
- Financial audit for the project, should be included in the PMC; and
- Technical reports for specific technical components, which should be part of the project component cost, not an M&E item, nor should it be charged to PMC.

**Other Activities not covered in M&E Budget but are functions of the GEF Agencies<sup>3</sup> include the following:**

- All activities related to the performance of project cycle management services by a GEF Agency which include identification, preparation, appraisal and supervision of projects;
- Midterm review performed by a GEF Agency;
- A review of the terminal evaluation reports that are prepared by an independent consultant hired by the government;
- Quality control and review of tracking tools; and
- Preparation of annual Project Implementation Reviews (PIRs) and other related GEF portfolio reports to GEF Secretariat or to GEF Trustee.

## **Section 2: Reporting Requirements**

### **Project Implementation Reports (PIR) Requirements**

11. Project Implementation Reports (PIR): The GEF Agencies will submit to the GEF Secretariat individual PIRs for all full and medium-sized GEF projects which began implementation on or before June 30, of a set fiscal year, including projects which completed implementation during the following fiscal year.<sup>4</sup> Each Agency must submit the yearly report that is required of their respective Agency in English<sup>5</sup>. The reports must include the following:

- i. **Basic Data:** Project Name, GEF ID Number, Country, Focal Area, GEF Grant Amount, Co-finance amount, Total Project Cost

**NOTE:**

**Reports should be submitted with the respective GEF ID; Agencies may, but are not required to, include their internal Agency ID.**

<sup>2</sup> Most of the confusion in charges to M&E is with respect to project management activities handled by the project executing agency. Most of the activities listed here should be charged to PMC.

<sup>3</sup> All functions performed by a GEF Agency which involved the project cycle management services should be charged to the GEF Agency fee.

<sup>4</sup> A fiscal year the GEF starts on July 1<sup>st</sup>, and ends on June 30<sup>th</sup> of the following year.

<sup>5</sup> If an Agency's early report does not include the data outlined in bullets i-iv, then the Agency will need to adjust their report accordingly so that the information outlined is captured on a yearly basis

- ii. **Project Status:** Project Start Date, Expected Project Close Date, and Disbursements to Date
- iii. **Rating project performance:** Make an overall assessment and provide ratings of “likelihood of achieving project objective” and “implementation progress”. The definition of ratings is provided in Annex 3.
- iv. **Risk Rating:** An overall risk rating. Risk ratings will assess the overall risk of factors internal or external to the project which may affect implementation or prospects for achieving project objectives. The risk rating scale/definition is provided in Annex 3.

### **Mid-Term Review (MTR) Requirements**

12. Mid-term reviews are required for all full-size projects and are encouraged for medium-sized projects, where appropriate and feasible. Mid-term Reviews should be accompanied by tracking tools for full-size projects.

13. Each focal area has developed a set of learning questions for GEF-5, if applicable, Agencies may voluntarily integrate these questions when undertaking MTRs.

### **Terminal Evaluations**

14. All full-size and medium size projects are required to submit a terminal evaluation (TE) report to the GEF Evaluation Office (EO) immediately after it is completed and no more than 12 months after project completion.

15. GEF Agencies are required to send a list to the EO indicating the terminal evaluations scheduled for the next fiscal year, including the approximate schedule of missions and of completion of terminal evaluation reports.<sup>6</sup>

16. Terminal Evaluations should be submitted to the EO on a rolling basis; please refer to the TE guidelines issued by the EO for more detailed information (<http://www.thegef.org/gef/node/1905>).

### **Co-financing**

17. Only those projects which, during the reporting fiscal year, have gone through mid-term reviews/evaluations or that have been closed are required to report on co-financing.<sup>7</sup> Cofinancing resources comprise those project resources that are committed by the GEF Agencies, governments, other multilateral and bilateral sources, the private sector, civil society organizations (CSOs) and the beneficiaries themselves and which are essential for meeting the GEF project objectives. They exclude any direct GEF funding. Only those cofinancing resources that are committed as part of the initial financing package are termed “Cofinancing Resources.”<sup>8</sup>

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<sup>6</sup> Paragraph 11: Page 21 of the GEF EO TE Guidelines

<sup>7</sup> The GEF Council approved the GEF policy on Co-financing (C.20/6) on September 16, 2002 and a revision (C.20/6/Rev.1) on May 16, 2003. This policy required that all projects regularly report type and source of co-financing.

<sup>8</sup> Please refer to GEF/C.39/Inf.3 para 72 for more details

18. .. Please see Annex 4 for the reporting format.

## **Tracking Tools (TT) Requirements**

19. Tracking tools are intended to roll up indicators from the individual project level to the portfolio level and track overall portfolio performance in focal areas. Each focal area has developed its own tracking tool to meet its unique needs. The overall approach for capturing data and reporting to the GEF Secretariat will be uniform across all focal areas, this includes:

- i. Agencies must fill out TTs **three** times during the life of a project for FSPs: CEO Endorsement; at mid-term; and project completion.
- ii. Agencies must fill out TTs **two** times during the life of a project for MSPs: CEO Approval and project completion.
- iii. Tools must be filled out in the Excel sheets provided by the Focal Area teams, posted on the GEF [webpage](#)<sup>9</sup>.
- iv. When a project is implemented by more than one Agency, only the Agency with largest portion of the GEF grant should submit a TT on behalf of the entire project. Other cooperating Agencies are expected to provide the reporting Agency with relevant input.

### ***Submission by project type***

20. For Full Sized Projects (FSP): Any project in any focal area that is CEO endorsed after December 31, 2010 is expected to submit tracking tools three times during the life of the project: at CEO endorsement, Midterm, and Closing.

21. For Medium Sized Projects (MSP): Any project in any focal area that is CEO approved after December 31, 2010 is expected to submit tracking tools at approval and at closing.

### ***Submission by focal area***

22. *Biodiversity Tracking Tool:* In GEF-5, projects are fully aligned with one specific objective of the GEF-5 strategy and hence only one tracking tool will need to be completed. On *very rare occasions*, projects make substantive contributions to more than one strategy objective. In these instances, the tracking tools for the relevant objectives should be applied. The GEF Agency will guide the project teams in the choice of the tracking tools. The GEF requests that multi-country projects complete one tracking tool per country involved in the project, based on the project circumstances and activities in each respective country. Completed forms for each country should be submitted as one package to the GEF. Global projects which do not have a country focus, but for which the tracking tool is applicable, should complete the tracking tool as comprehensively as possible. Please submit all information on a single project as one package even where more than one tracking tool is applied. GEF BD tracking tool with accompanied guideline can be found here: <http://www.thegef.org/gef/node/4465>

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<sup>9</sup> Please do not use alternative formats when submitting the tool since data validation settings were designed within the tool to ensure data quality and consistency. If additional data fields are needed for the benefit of internal reporting, please inform the Secretariat so that Agency needs can be incorporated into the official format

23. *GEF CC Mitigation Tracking Tool:* While all projects that come for CEO endorsement after December 2010 (including GEF-4 projects) will need to complete the CCM tracking tool, the CCM focal area encourages *all projects* that reach mid-term or completion to submit tracking tools (the tracking tool submission should be based on targets laid out in the original CEO endorsement/approval document). Please ensure targets and results reported in the tracking tools are consistent with targets and results in the mid-term reviews or terminal evaluations. The GEF CCM tracking tool can be found here:  
[http://www.thegef.org/gef/tracking\\_tool\\_CCM](http://www.thegef.org/gef/tracking_tool_CCM)

24. *GEF CC Adaptation Tracking Tool:* The Adaptation Monitoring and Assessment Tool (AMAT) was introduced for the LDCF/SCCF projects and programs in GEF-5. The AMAT with accompanied guideline can be found here: [http://www.thegef.org/gef/tracking\\_tool\\_LDCF\\_SCCF](http://www.thegef.org/gef/tracking_tool_LDCF_SCCF)

25. *GEF IW Tracking Tool:* The new GEF IW TT consolidates the GEF-3, GEF-4 and GEF-5 replenishment targets and strategic outcomes and outputs as per the different IW strategies into one TT, making reporting easier and more accurate. GEF IW tracking tool with accompanied guideline can be found here: <http://www.thegef.org/gef/node/4402>

26. *GEF Persistent Organic Pollutants (POPs) Tracking Tool:* The GEF POPs tracking tool can be found here: [http://www.thegef.org/gef/POPs\\_tracking\\_tool](http://www.thegef.org/gef/POPs_tracking_tool)

27. *GEF LD Tracking Tool:* The GEF LD tracking tool with accompanied guideline can be found here: <http://www.thegef.org/gef/node/4403>

28. *GEF Sustainable Forest Management (SFM) / REDD + Tracking Tool:* In GEF-5 all projects accessing funds from the SFM/REDD-plus incentive mechanism will have to complete a SMF/REDD-plus tracking tool. Additionally, project teams will have to complete tracking tool returns relevant to the GEF Focal Areas (FAs: biodiversity, climate change and land degradation) providing funding for the project. The GEF Implementing Agency/Executing Agency will guide the project teams in the choice of the tracking tools (see paragraph below MFA/MTF). GEF SFM/REDD+ tracking tool with accompanied guideline can be found here: <http://www.thegef.org/gef/TT/SFM-REDD>

*Multifocal Area Projects (MFA) and Multi Trust Funds (MTF):* for MFA and MTF projects, the Secretariat does not require the full set of tracking tools be applied. The tools should only be completed for the essential focal area indicators that need to be monitored throughout MFA and MTF projects. Prior to CEO Endorsement Agencies should consult with Secretariat program managers to identify which key indicators to include from relevant TTs.

## **Programmatic Approach Requirements**

29. All Agencies with Council approved Program Framework Documents (PFDs) are required to submit reports related to the approved PFD to the GEF Secretariat. Agencies are expected to submit a yearly report, on the status of the entire program within one year after Council approval of the PFD and every year thereafter. Individual projects under a program are expected to submit a PIR on a yearly basis and a tracking tool at CEO endorsement, mid-term, and project completion (for FSPs). The yearly programmatic report will provide the Secretariat with information on project status: project

approval/endorsed dates; project start dates; year of implementation; final project amount; final co-finance commitment; and key issues related to program development (see Annex 1).

30. At the estimated mid-term of the program (as indicated in the approved PFD), Agencies should provide a qualitative assessment to the question: “how is the strategic combination of projects progressing to produce results (outcomes and/or impacts) that would not be possible to achieve through a project-by-project approach?” The mid-term review of projects that fall under the program will be reported on separately based on the timing of the projects.

*Summary of Requirements by Project Type*

**For Full Sized Projects (FSP):**

- Submit baseline information at CEO endorsement;
- Start implementation six to eight months after CEO endorsement;
- Submit PIR annually until project closure for projects that have been under implementation for one year or longer;
- Submit a midterm review (MTR);
- Submit tracking tools **three** times during the life of the project: at CEO endorsement, midterm, and project closure; and
- Submit Terminal Evaluation (TE) to the GEF Evaluation Office immediately after it is completed and no more than 12 months after project completion.

**For Medium Sized Projects (MSP):**

- Submit baseline information at CEO approval;
- Start implementation six to eight months after CEO approval;
- Submit PIR annually until project closure for projects under implementation for one year or longer;
- Encouraged to but not required to submit a midterm review or evaluation report (MTR);
- Submit tracking tools **twice** during the life of the project; at CEO approval and at project closure;
- Submit Terminal Evaluation (TE) to the GEF Evaluation Office immediately after it is completed and no more than 12 months after project completion.

**For Enabling Activities (EA):**

- Submit a status report every year: start date, year of implementation (1, 2, etc), disbursements to date, close date.
- Submit a terminal evaluation for EAs that are \$500,000 or greater to the GEF EO immediately after it is completed and no more than 12 months after project completion.

### **Section 3: Annual Monitoring Review (AMR) Requirements**

31. The purpose of the AMR is to provide an overview of the progress and performance of the GEF portfolio amongst other purposes. The Annual Monitoring Review (AMR) covers all full and medium-sized GEF projects that began implementation on or before June 30, of a set fiscal year,<sup>10</sup> and have been under implementation for a full year. Projects that completed implementation during the fiscal year should submit a final project implementation report (PIR). The steps, responsibilities and outputs of the AMR process are as follows:

32. *Annual Monitoring Report:* The GEF Secretariat will prepare a draft AMR report for the fall Council based on the Agencies' summary tables and administrative expenses as well as data from the Secretariat's PMIS. A second report on lessons learned and focal area results will be presented to the spring Council of the following year.

33. *Project Implementation Reports (PIR):* The GEF Agencies will submit to the GEF Secretariat individual PIRs for all full and medium-sized GEF projects which have been under implementation for at least a year and began implementation on or before June 30 of a set fiscal year, including projects which completed implementation during the fiscal year. Each Agency will submit the same yearly report that is required of their respective Agency. Reports must include the following:

- i. **Basic Data:** Project Name, GEF ID Number, Country, Focal Area, GEF Grant Amount, Co-finance amount, Total Project Cost
- ii. **Project Status:** Project Start Date, Expected Project Close Date, and Disbursements to Date
- iii. **Rating project performance:** Make an overall assessment and provide ratings of “likelihood of achieving project objective” and “implementation progress”. The definition of ratings is provided in Annex 3.
- iv. **Risk Rating:** An overall risk rating. Risk ratings will assess the overall risk of factors internal or external to the project which may affect implementation or prospects for achieving project objectives. The risk rating scale/definition is provided in Annex 3.

34. *Focal Area Tracking Tools:* Tracking tools are due for all FSPs at mid-term and project completion. For MSPs TTs are due at project completion. Tracking tools and directions for completing them are explained in the ‘tracking tool requirement’ section above (section 2).

35. *Agency Summary Tables (in Excel):* Annex 1 provides the contents requested of the three Agency summary tables. An excel template is also provided as an attachment to this document. The three tables requested include:

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<sup>10</sup> A fiscal year the GEF starts on July 1<sup>st</sup>, and ends on June 30<sup>th</sup> of the following year.

- i. **MSPs and FSPs:** Provide the Secretariat a summary table that lists all projects required to submit PIRs as well as all CEO endorsed or approved projects that have not yet started implementation or have not been under implementation for a full year.
- ii. **Enabling Activities:** Provide the Secretariat with a summary table of all enabling activities that have been approved but not yet closed
- iii. **Programmatic Approaches:** Provide the Secretariat with a summary table of each programmatic approach

36. *Progress on Projects/Programs Receiving Sub-optimal Ratings:* Each Agency will prepare a report that includes a progress report on projects that received sub-optimal ratings in the AMR of the previous fiscal year. Agencies are requested to describe the status of projects that were at risk or were rated MU, U or HU in the previous fiscal year and to include any management actions taken to improve progress and any changes that have occurred as a result.

37. *Mid-term Review/Evaluations<sup>11</sup>:* The GEF Agencies are expected to submit copies of mid-term reviews that have been completed during that fiscal year for both MSPs and FSPs.

38. *Administrative Expenses:* Agencies will submit administrative expenses as agreed to in template provided in Annex 2.

39. Exact dates for when all submissions are due will vary slightly from year to year. In principle, the **summary tables from Annex 1 and administrative expenses are due in September and the PIRs, MTRs, tracking tools, and progress on sub-optimal ratings are due in December.**

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<sup>11</sup> Terminal Evaluations should be submitted directly to the Evaluation Office.

## **Annex 1. GEF Agency Summary Tables**

All Agency summary tables should be prepared in an Excel file. For table 1, include information on all projects that were under implementation for all or part of the fiscal year as well as all CEO endorsed or approved projects that have *not* yet started implementation or have *not* completed a full year of implementation. For table 2, please include all enabling activities that have been approved but not yet closed. For table 3, please provide a separate table for each programmatic approach approved starting in GEF-5.

*Please use the excel sheet template provided. If any information is not applicable, report as ‘not applicable (NA)’*

**TABLE 1: For Medium and Full Size Projects (MSP & FSP):** [ “AMR data template” attached]

1. General Information	1	GEF ID (PMIS ID)
	2	Focal Area(s) <sup>12</sup>
	3	Region <sup>13</sup>
	4	Country
	5	Project Title
	6	Project Size (FSP, MSP, EA)
	7	Trust Fund <sup>14</sup>
2. Milestone Dates <sup>15</sup>	8	Project Implementation Start Date
	9	Proposed/Revised Implementation End
	10	Actual Implementation End (operational) <sup>16</sup>
3. Funding	11	PPG/PDF Funding (if any) USD <sup>17</sup>
	12	GEF Grant (USD)
	13	Total GEF disbursement as of June 30, year (USD)
	14	Confirmed Co-finance at CEO Endorsement (USD)
	15	Materialized Co-finance at project Mid-term (USD)
	16	Materialized Co-finance at project completion (USD)
4. Evaluations	17	Mid-term date (if applicable)
	18	Terminal Evaluation Date (if applicable)
5. Ratings	20	Overall DO rating
	21	Overall IP rating
	22	Overall Risk rating
6. Status	23	Status (CEO Approved/Endorsed, Under Implementation, Cancelled, Withdrawn, Completed)
	24	Implementation Status (Not yet Started, Less than 1 year Implementation, 1 <sup>st</sup> PIR, 2 <sup>nd</sup> PIR, ... Closed) <i>Please indicate if this is the final PIR for the project</i>
7. Files	25	PIR – file name [GEFID_YYYY PIR_Agency_Country]

<sup>12</sup> BD, CC, IW, LD, ODS, POPs, MFA

<sup>13</sup> AFR, ECA, EAP, LAC, MNA, SA, Regional, Global

<sup>14</sup> GEF TF, MTF, LDCF, SCCF

<sup>15</sup> Please provide dates as (mm/dd/yyyy)

<sup>16</sup> Operational closure: all activities have been closed and project is due for a TE.

<sup>17</sup> Please provide numbers as is (e.g. 1,438,000 and NOT 1.4million)

	26	MTR – file name [GEFID_YYYY MTR_Agency_Country]
	27	TT – file name [GEFID_YYYY TT_Agency_Country]
	28	TE – file name [GEFID_YYYY TE_Agency_Country] <sup>18</sup>

**TABLE 2: For Enabling Activities (EA):** [ “AMR data template” attached]

a. General Information	1	GEF ID (PMIS ID)
	2	Focal Area(s) <sup>19</sup>
	3	Region <sup>20</sup>
	4	Country
	5	EA Title
	6	EA Type <sup>21</sup>
b. Milestone Dates <sup>22</sup>	7	Project Implementation Start Date
	8	Proposed/Revised Implementation End Date
	9	Actual Implementation End Date (operational) <sup>23</sup>
c. Funding	10	GEF Grant (USD)
	11	Total GEF disbursement as of June 30, 2011 (USD)
	12	Expected Co-finance (USD)
d. Status	13	Status (Approved, Under Implementation, Cancelled, Withdrawn, Completed)

**TABLE 3: For Programs:** [ “AMR data template” attached]

a. General Information	1	Type (Program / sub-Project)
	2	Agency
	3	GEF ID (PMIS ID)
	4	Program/Project Title
b. Milestone Dates <sup>24</sup>	5	Estimated Program Duration
	6	Program Approval Date
	7	PIF Approval Date <sup>25</sup>
	8	CEO Endorsement / Approval Date
	9	Implementation Start Date
c. Funding	10	Approved GEF Amount
	11	PPG Amount
	11	Confirmed Co-finance
d. Status	12	Status

*Note: Items 7, 8, 9, and 11 apply to sub-Projects under a program and not to the program itself.*

<sup>18</sup> TE should be sent directly to the EO

<sup>19</sup> BD, CC, IW, LD, ODS, POPs, MFA

<sup>20</sup> AFR, ECA, EAP, LAC, MNA, SA, Regional, Global

<sup>21</sup> NBSAPs, National Communications, NIPs, NCSAs, NAPA, etc

<sup>22</sup> Please provide dates as (mm/dd/yyyy)

<sup>23</sup> Operational closure: all activities have been closed and project is due for a TE.

<sup>24</sup> Please provide dates as (mm/dd/yyyy)

<sup>25</sup> PIF Approval Date is only applicable to UN agencies. World Bank and other regional Banks need only provide the CEO Endorsement/Approval and Implementation Start Dates

## **Annex 2. Administrative Expenses Matrix**

[ “AMR data template” attached]

ADMINISTRATIVE EXPENSES							
AGENCY NAME							
GEF Fiscal Year (July 10-June 11)	Staff time	Consultant time	Staff cost	Consultant cost	Travel costs	General Operating Costs	Total Cost
Estimated actual administrative costs	(days)	(days)	(US\$)	(US\$)	(US\$)	(US\$)	(US\$)
1. GEF Corporate activities:							
<b>a) Policy support</b>	0	0	0	0	0	0	0
i) GEF Council Activities							0
ii) Assembly & Replenishment Activities							0
iii) GEF Network Activities (Inc. Executive coordination, Task force, Working groups)							0
iv) STAP Activities							0
<b>b) Portfolio Management</b>	0	0	0	0	0	0	0
i) Financial and Data Management							0
ii) Portfolio Reporting							0
<b>c) Outreach and knowledge sharing</b>	0	0	0	0	0	0	0
i) Country Dialogues & subregional meetings							0
ii) Familiarization seminar							0
iii) Knowledge Management							0
iv) Conventions Activities							0
<b>d) Support to the GEF Evaluation Office</b>							0
Subtotal	0	0	0	0	0	0	0
2. GEF Project Cycle management:							
<b>a) Project preparation and approval</b>							0
<b>b) Project supervision, monitoring and evaluation</b>							0
Subtotal	0	0	0	0	0	0	0
<b>Total:</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

Reference Notes: (for detailed info refer to: Rules and Guidelines for Agency Fees and Project Management Costs – GEF/C.39/09, and Format for Reporting on Resources Provided to the Agencies for Administrative Purposes – GEF/C.40/Inf.11)

**Activity Categories:**

- 1) **Corporate Activities**
  - a. Policy support - Development, revision and operationalization of GEF policies, strategies, business plans and guidelines
  - b. Portfolio Management - The aggregation of information and data to enable preparation and reporting of projects at a portfolio level to facilitate analysis and decision making processes. For example, pipeline identification; financial information of GEF projects including the administrative fees; inputs in AMR and APR reporting etc; Trustee related activities
  - c. Outreach and Knowledge sharing - Includes participation in sub-regional consultation, country dialogues and familiarization seminars to present information on the GEF, its policies, its programs and its way of working with the GEF secretariat
  - d. Support to Evaluation Office - includes evaluations, reviews and studies initiated by EO office.
- 2) **Project Cycle Management:** Management of programmatic approaches & projects through the various phases of project cycle, including identification, preparation, supervision, quality assurance and oversight.

**Cost Categories:**

- 1) **Staff & Consultants:** Staff time multiplied by total salary costs (per staff day) to the agency, excluding travel & overhead costs, e.g. using average costs per category of staff. The agency may explain the used method.
- 2) **Travel:** Includes ticket cost, per diem and hotel.3) **General Operating cost:** include office space, equipments, utilities and Administrative expenses (e.g., IT, HR, Procurement, legal, finance etc).

### **Annex 3. Definition of Ratings**

#### ***Implementation Progress Ratings***

1. **Highly Satisfactory (HS):** Implementation of **all** components is in substantial compliance with the original/formally revised implementation plan for the project. The project can be presented as “good practice”.
2. **Satisfactory (S):** Implementation of **most** components is in substantial compliance with the original/formally revised plan except for only few that are subject to remedial action.
3. **Moderately Satisfactory (MS):** Implementation of **some** components is in substantial compliance with the original/formally revised plan with **some** components requiring remedial action.
4. **Moderately Unsatisfactory (MU):** Implementation of **some** components is not in substantial compliance with the original/formally revised plan with **most** components requiring remedial action.
5. **Unsatisfactory (U):** Implementation of **most** components is not in substantial compliance with the original/formally revised plan.
6. **Highly Unsatisfactory (HU):** Implementation of **none** of the components is in substantial compliance with the original/formally revised plan.

#### ***Global Environment Objective/Development Objective Ratings***

7. **Highly Satisfactory (HS):** Project is expected to achieve or exceed **all** its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”.
8. **Satisfactory (S):** Project is expected to achieve **most** of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.
9. **Moderately Satisfactory (MS):** Project is expected to achieve **most** of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve **some** of its major global environmental objectives or yield some of the expected global environment benefits.
10. **Moderately Unsatisfactory (MU):** Project is expected to achieve of its major global environmental objectives with major shortcomings or is expected to achieve only **some** of its major global environmental objectives.

11. **Unsatisfactory (U):** Project is expected **not** to achieve **most** of its major global environment objectives or to yield any satisfactory global environmental benefits.

12. **Highly Unsatisfactory (HU):** The project has failed to achieve, and is not expected to achieve, **any** of its major global environment objectives with no worthwhile benefits.

#### ***Development/Adaptation Objective Ratings (For LDCF/SCCF/SPA)***

8. **Highly Satisfactory (HS):** Project is expected to achieve or exceed **all** its major development/adaptation objectives, and yield substantial adaptation benefits, without major shortcomings. The project can be presented as “good practice”.

9. **Satisfactory (S):** Project is expected to achieve **most** of its major development/adaptation objectives, and yield satisfactory adaptation benefits, with only minor shortcomings.

10. **Marginally Satisfactory (MS):** Project is expected to achieve **most** of its major relevant development/adaptation objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve **some** of its major development objectives or yield some of the expected adaptation benefits.

11. **Marginally Unsatisfactory (MU):** Project is expected to achieve of its major development/adaptation objectives with major shortcomings or is expected to achieve only **some** of its major adaptation objectives.

12. **Unsatisfactory (U):** Project is expected **not** to achieve **most** of its major development/adaptation objectives or to yield any satisfactory adaptation benefits.

13. **Highly Unsatisfactory (HU):** The project has failed to achieve, and is not expected to achieve, **any** of its major development/adaptation objectives with no worthwhile adaptation benefits.

#### ***Risk ratings***

*Risk ratings will assess the overall risk of factors internal or external to the project which may affect implementation or prospects for achieving project objectives. Risks of projects should be rated on the following scale:*

13. **High Risk (H):** There is a probability of greater than 75% that assumptions may fail to hold or materialize, and/or the project may face high risks.

14. **Substantial Risk (S):** There is a probability of between 51% and 75% that assumptions may fail to hold and/or the project may face substantial risks.

15. **Modest Risk (M):** There is a probability of between 26% and 50% that assumptions may fail to hold or materialize, and/ or the project may face only modest risks.

16. **Low Risk (L):** There is a probability of up to 25% that assumptions may fail to hold or materialize, and/ or the project may face only modest risks.

#### **Annex 4. Co-financing Table**

(For projects which underwent a mid-term review/evaluation or terminal evaluation in FY)

##### ***Materialized Co-financing***

[Please refer to the PIF template on the GEF webpage]

Sources of Co-financing <sup>26</sup>	Name of Co-financer	Type of Co-financing <sup>27</sup>	Amount Confirmed at CEO endorsement / approval	Actual Amount Materialized at Midterm	Actual Amount Materialized at Closing
<b>TOTAL</b>					

Explain “Other Sources of Co-financing”: \_\_\_\_\_

<sup>26</sup> Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Other

<sup>27</sup> Type of Co-financing may include: Grant, Soft Loan, Hard Loan, Guarantee, In-Kind, Other

## **Annex 5. Definitions**

Implementation Start	Date project starts implementation (effectiveness date)
Proposed Implementation End	Proposed date for end of implementation planned at CEO endorsement
Revised Implementation End	Revised date for end of implementation (if applicable)
Actual Implementation End	Actual date at which project implementation ends
Disbursement of GEF Grant Amount to date	Amount of GEF Grant amount disbursed at date of reporting
Confirmed Co-finance at CEO Endorsement	Amount of co-finance for the project with commitment letter at CEO endorsement
Materialized Co-finance at project Mid-term	Actual co-finance amount for the project received by Mid-term
Materialized Co-finance at project completion	Actual co-finance amount for the project received by project completion
DO Rating	Development/Global Environment Objectives Rating – Assess how well the project is meeting its development objective/s or the global environment objective/s it set out to meet
IP Rating	Implementation Progress Rating – Assess the progress of project implementation
GEF Project Agency	New GEF Agency accredited to implement the project
PPG	Project Preparation Grant
PPG Fee	Fees associated with the PPG
Agency Fee	Fees given to Agencies for project implementation
PMIS ID #	ID of Project as given in PMIS

Risk Rating	Rating of risk associated with the project
Status of Implementation	Stage of Implementation the project is at (e.g. 1 <sup>st</sup> PIR, 2 <sup>nd</sup> PIR, final PIR, etc...)
Mid-term Review	Review of project implementation progress at mid-course of project life
Tracking Tools	Intended to roll up indicators from the individual project level to the portfolio level and track overall portfolio performance in focal areas
Terminal Evaluation	Evaluation Report for projects at closing - provides a comprehensive and systematic account of the performance of a completed project
Terminal Evaluation Review (TER)	The Terminal Evaluation Review is an Agency's assessment of the quality of the Terminal Evaluation.

## **Annex 6. List of Acronyms**

**FSP** – Full Sized Project

**MSP** – Medium Sized Project

**EA** – Enabling Activities

### ***Focal Areas***

**BD** – Biodiversity

**CC** – Climate Change

**IW** – International Waters

**LD** – Land Degradation

**ODS** – Ozone Depleting Substances

**POPs** – Persistent Organic Pollutants

**MFA** – Multi-Focal Area

### ***Regions***

**AFR** – Africa

**ECA** – Europe and Central Asia

**EAP** – East Asia and Pacific

**LAC** – Latin America and Caribbean

**MNA** – Middle East and North Africa

**SA** – Southeast Asia

**Regional** – covers multiple countries in 1 region

**Global** – covers multiple countries in different regions

### ***Trust Funds:***

**GET** – GEF Trust Fund

**LDCF** – Least Developed Country Fund

**SCCF** – Special Climate Change Fund

**SPA** – Strategic Priority for Adaptation

**MTF** – Multi-Trust Fund