



*The Regional Organization for the Conservation  
of the Environment of the Red Sea and Gulf of Aden*

**PERSGA**

# PROJECT GUIDELINES: PLANNING AND MANAGEMENT 2012



# The Regional Organization for the Conservation of the Environment of the Red Sea and Gulf of Aden

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2012

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## ABBREVIATIONS AND ACRONYMS

|         |   |
|---------|---|
| BWP     | Biennial Work Plan  |
| CEO     | Chief Executive Officer   |
| CPA     | Certified Public Accountant   |
| CPUE    | Cost per Unit Effort  |
| DFID    | Department for International Development (UK)   |
| EMARSGA | Emergency Mutual Aid Centre for the Red Sea and Gulf of Aden Region                               |
| EPI     | Environmental Performance Indicator   |
| EU      | European Union  |
| FAO     | Food and Agriculture Organization of the United Nations   |
| FM      | Finance Manager   |
| FP      | Focal Point   |
| GEF     | Global Environment Facility   |
| GIS     | Geographic Information System   |
| HR      | Human Resources   |
| ICZM    | Integrated Coastal Zone Management  |
| IDB     | Islamic Development Bank  |
| IDPP    | Interdivision Policy Panel  |
| IMO     | International Maritime Organization   |
| ISESCO  | Islamic Educational, Scientific and Cultural Organization   |
| LBA     | Land-Based Activities   |
| LFA     | Logical Framework Approach  |
| LMR     | Living Marine Resources   |
| MDG     | Millennium Development Goal   |
| MEMAC   | Marine Emergency Mutual Aid Centre  |
| MPA     | Marine Protected Area   |
| NGO     | Non-governmental Organization   |
| PC      | Programme Coordinator   |
| PCR     | Project Completion Review   |
| PERSGA  | The Regional Organization for the Conservation of the Environment of the Red Sea and Gulf of Aden |
| PIR     | Project Implementation Report   |
| PM      | Project Manager   |
| PMU     | Project Management Unit   |
| POPs    | Persistent Organic Pollutants   |
| PR      | Public Relations  |
| RAP     | Regional Action Plan  |
| REMP    | Regional Environmental Monitoring Programme   |
| RMP     | Regional Master Plan  |
| RSGA    | Red Sea and Gulf of Aden Region   |
| SAP     | Strategic Action Programme  |
| SD      | Sustainable Development   |
| SG      | Secretary General   |
| SOMER   | State of the Marine Environment Report  |
| UNDP    | United Nations Development Programme  |
| UNEP    | United Nations Environment Programme  |
| UNIDO   | United Nations Industrial Development Organization  |
| WB      | World Bank  |

## PREFACE

PERSGA is accountable to its member countries and the international organizations and donors that it partners with, to apply stringent standards in operating its programmes and executing its projects and activities.

PERSGA has emerged as a significantly stronger organization following the Strategic Action Programme for the Red Sea and Gulf of Aden (SAP), implemented from 1998 to 2004. This five year programme was funded through the offices of GEF (World Bank), UNDP, UNEP, and the Islamic Development Bank. The Regional Organization has maintained momentum from this programme, built on previous successes and expanded them. Significant growth in PERSGA's programmes, projects and activities has taken place. This has been driven by implementation of the Business Plan, the development of strategies to address new issues such as climate change, and by the adoption of more regional protocols further to the Jeddah Convention. Several on-the-ground projects have been supported by PERSGA and executed in all member countries. There has been significant expansion of the PERSGA Annual Training Program and the establishment of regional projects and collaborative interventions with international and regional organizations through new partnerships (e.g., with ISESCO, IMO, UNIDO, UNEP, WB) addressing various issues and themes.

Management of PERSGA projects and activities has been based on knowledge gained, capacities developed and systems learned from the Strategic Action Programme. However, these management protocols include the wide variety of guidelines and procedures of the many different partners that supported the various components of the SAP project. There are inconsistencies and differences in these guidelines, due in part to the particular mandate and vision of each organization. Furthermore, these procedures have, in general, undergone significant development and improvement by their respective UN agencies in the recent past.

Consequently, PERSGA has become increasingly aware of the need to formulate its own guidelines including procedures for project planning and management, which meet the particular characteristics of the PERSGA region, mission, mandate and its own specific requirements for project development and implementation.

These guidelines are designed to assist PERSGA technical, finance and administrative staff in planning, preparing and implementing high-quality projects and activities that promote PERSGA's mandate and mission. It sets out procedures and requirements for project preparation, approval, revision, reporting, monitoring and evaluation. The expected outcome is that PERSGA's projects and activities will comply with its mandate, be focused and effective, and have substantial and sustainable long-term impacts in the region.

Although the main users of these guidelines will be PERSGA staff, the guidelines will also be applied by national project teams/coordinators designing projects to be considered, supported and funded by PERSGA, or to develop concept papers and fully fledged project proposals targeting external donors.



Prof. Ziad H. Abu Ghararah  
PERSGA Secretary General

# 1. INTRODUCTION

## 1.1 THE REGION AND THE ISSUES

The Red Sea and Gulf of Aden (RSGA or ‘the Region’) is recognized for its unique coastal and marine environments. This deep and highly productive waterway has nourished a thriving maritime and trading culture for thousands of years (Figure 1).



**Figure 1: The Red Sea and Gulf of Aden Region (PERSGA, 2005a)**

The Red Sea is renowned for its globally important repository of marine biodiversity, its complex systems of coral reefs, combined with mangroves, seagrass beds and other diverse coastal habitats. The relative physical isolation has given rise to high levels of species endemism, especially amongst some groups of reef fishes and reef-associated invertebrates. The Gulf of Aden presents a different situation—cold, nutrient-rich upwelling waters inhibit coral development but give rise to prodigious fisheries production, and the coasts of Yemen and Somalia provide regionally important turtle nesting habitats. The region as a whole is an important flyway for many species of birds migrating between Europe and Africa, and provides a number of important habitats for large numbers of both resident and migratory species.

Although the RSGA is still one of the least ecologically disturbed marine areas relative to other enclosed water bodies, it is at increasing risk of pollution from land-based activities.

The current transboundary and region-wide concerns are far-reaching and require national, regional, and international coordination to minimise loss of vital ecological and economic services.

Rapid development in some countries has caused an unprecedented economic transformation resulting in a surge in coastal development. Alongside this largely beneficial progress has been the emergence of a range of threats to the natural environment, in particular pollution from land-based activities leading to environmental degradation. Human activities (e.g., urbanization, industry, and tourism) create environmental pressures (dredging and filling operations, disposal of domestic and industrial effluent, non-sustainable use of resources). However, many of the threats and impacts that have been identified can be circumvented by proper environmental planning and management, use of environmental assessments, and through the enforcement of appropriate regulations, most of which are already in place.

PERSGA, the ‘Regional Organization for the Conservation of the Environment of the Red Sea and Gulf of Aden,’ is committed to follow the mandate set out in the Jeddah Convention in a cost effective manner. This is to ensure rational use by man of the living and non-living marine and coastal resources that ensures optimum benefit for the present generation while maintaining the potential of the environment to satisfy the needs and aspirations of future generations; an expression of the sustainability principle. This commitment has been demonstrated through implementation of the Convention, its Protocols and Action Plan, by initiation and execution of the SAP through to its exit strategy, and by the development of the Business Plan (2004–2014).

PERSGA has become increasingly aware of the need to prepare its own procedures for project planning and management, which suit the unique identity of the PERSGA region, the organization’s mandate, vision and mission, and the specific local requirements for project development and implementation.

## 1.2 THE ORGANIZATION

The plan to establish a ‘Programme for the Environment of the Red Sea and Gulf of Aden’ was the result of a regional intergovernmental conference supported by the United Nations Environment Programme (UNEP) in 1977. This initiative was further developed with the launch of the ‘Regional Organization for the Conservation of the Environment of the Red Sea and Gulf of Aden’ (PERSGA) during the first meeting of the Council of the Organization held in Cairo in September 1995. PERSGA is hosted by the Kingdom of Saudi Arabia in Jeddah (in accordance with the Jeddah Convention).

The primary function of PERSGA is to ensure long-term management and conservation of the coastal and marine resources of the Region, to support environmentally and socially sustainable development, and implement the Jeddah Convention and its related legal instruments such as the Protocols and the Action Plan. PERSGA’s current management structure is shown in Figure 2 as an organogram.

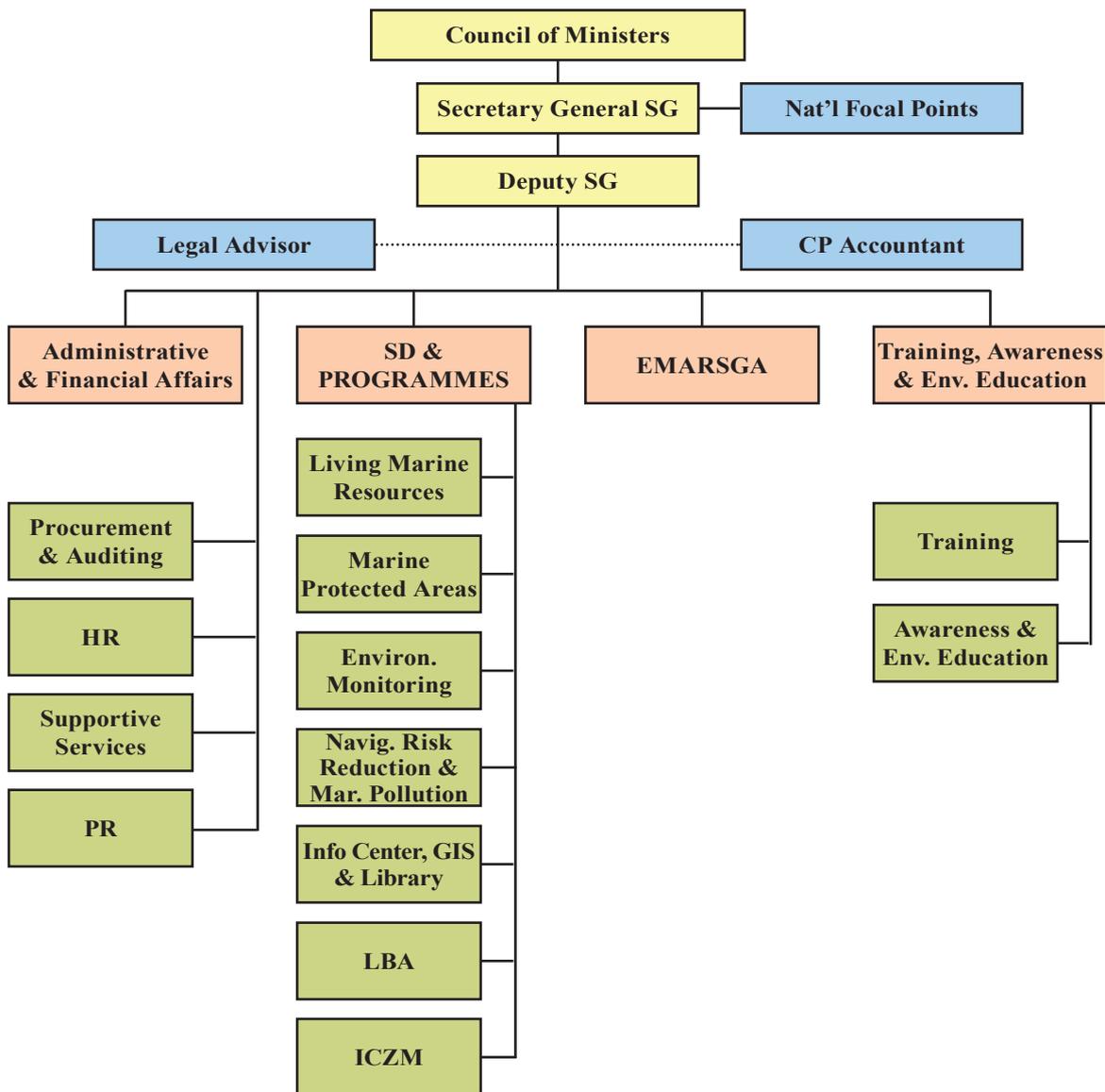


Figure 2: PERSGA Management Structure

### 1.3 PURPOSE OF THE GUIDELINES

These guidelines are designed to assist PERSGA’s technical, finance and administrative staff to plan and implement high-quality projects and activities that will effectively promote the organization’s mandate and mission. It sets out procedures and requirements for project preparation, approval, revision, reporting, monitoring and evaluation. The expected outcome is that PERSGA projects and activities comply with its mandate, are focused and effective, and have substantial and sustainable long-term impacts in the Region.

Although the main users of the guidelines will be PERSGA staff, the guidelines will also be used by national project teams/coordinators while designing projects to be considered, supported and funded by PERSGA, or to prepare concept papers or fully developed project proposals targeting external donors.

## 2. UNDERLYING PRINCIPLES

**These guidelines are founded on concepts and principles from:**

- The Jeddah Convention, its related legal instruments such as the Protocols and the Action Plan (legally binding documents)
- PERSGA's mission and vision
- The Strategic Action Programme for the Red Sea and Gulf of Aden 1998–2004 and the Action Plans and Programmes arising from it
- PERSGA Framework and Vision Beyond the Funded Phase of the Strategic Action Programme: Sustainability of activities, sustainable development and integrated environmental conservation for the Red Sea and Gulf of Aden; prepared in 2003
- The 'Agenda for the New Millennium: Sustainable Development in the Red Sea and Gulf of Aden' prepared in the framework of the Millennium Development Goals
- PERSGA Biennial Programme
- PERSGA Integrated Strategy and Business Plan (2004–2014)
- PERSGA Council resolutions
- UNEP Project Manual (2005); since PERSGA's mission and approach corresponds closely to that of UNEP, alignment with UNEP allows for harmonization of project design and comparability of assessments
- UN agencies and international donors' principles and guidelines for project development.

### 2.1 PERSGA'S MANDATE, VISION, MISSION AND GUIDING PRINCIPLES

#### 2.1.1 MANDATE

PERSGA's mandate is to assure long-term management and conservation of the coastal and marine resources of the Region, in order to support environmentally and socially sustainable development. This will be achieved through implementation of the Jeddah Convention, its Protocol and the Action Plan, using a functional and interdisciplinary approach. Priorities are primarily derived from Agenda 21, the Millennium Declaration, the World Summit on Sustainable Development, and outcomes from PERSGA Council resolutions.

## 2.1.2 VISION AND MISSION

### A Shared Vision

PERSGA and its member states envisage a situation in the Red Sea and Gulf of Aden where there are:

**Healthy environments** that can maintain their functional integrity and resilience and support a wide diversity of species and habitats, many of which are in pristine condition.

**Sustainable multiple uses;** all activities that are carried out allow for a wide range of possible future opportunities, and do not adversely affect the ecological integrity of natural systems.

**Diverse aesthetic, ecological, economic, cultural and social values** that provide for the aspirations of residents, users, transiting visitors and the global community, and which continue to be maintained and enhanced.

**Shared goals, integrated coordinated management and conservation programmes** among the coastal nations of the Red Sea and Gulf of Aden.

**Strong and vocal champions and effective partnerships** for marine and coastal issues at all levels of society including the private sector, community-based organizations, and NGOs.

**Committed, prosperous and vibrant coastal communities** who benefit from and actively contribute to this shared vision.

### The Mission

*PERSGA's mission is to lead the shared vision of its member states and to help achieve the conservation, responsible use and sustainable economic development of their coastal and marine resources.*

PERSGA's mission will be realized through the provision of regional assistance to accomplish the following four key goals:

- 1. Sustainable development and multiple uses of the Region's coasts and seas:** To allow planned development and use of the coastal and marine areas that is sustainable in nature and that permits the fair sharing of resources and equal access and enjoyment by all who inhabit the Region.
- 2. Precautionary management and conservation of the Region's biodiversity:** To reduce, and where possible reverse, biodiversity loss through the combined approach of precautionary development planning and the consolidation of the regional network of biodiversity management and conservation initiatives that secure representative habitats and species at an appropriate regional scale.
- 3. Regional capability for marine emergency planning and response:** To further develop the Region's capacity to ensure the safe transit of ships and their cargoes, particularly oil tankers, through the Red Sea and Gulf of Aden with the minimum possible risk to the environment.

- 
- 4. Informed, committed and active stakeholder participation:** A stakeholder community that is fully aware of the unique coastal environment in which it exists and operates, with opportunities and incentives for active, joint participation in planning and decision-making processes that will benefit the quality of life for all.

### 2.1.3 PERSGA'S GUIDING PRINCIPLES

PERSGA's mission was founded on the following principles:

- To pursue a common and integrated strategy to achieve the vision that can be undertaken at all levels of government in the Region with the participation of multi-sectoral stakeholders to ensure public support
- To nurture the self-reliance of PERSGA member states to undertake their own concrete steps to prevent and mitigate threats to the marine and coastal environment through their own national and local efforts
- To share the responsibility to address complex transboundary environmental threats and issues which are beyond the capability of any single government, agency or other group
- To address environmental issues collectively by working intra-regionally and, with the donor community and other international organizations, to implement international conventions.

In addition, PERSGA will strive to ensure that:

- Conservation, protection and management of the Region's resources and their habitats is sustainable and ecosystem-based and reflects a holistic understanding of ecosystem structure, processes and interactions
- Resource development and other coastal zone activities are based on ecologically sound integrated coastal planning and management
- Effective communication and active co-operation takes place between all citizens with an interest in the Region's coasts and seas; linkages with groups and programmes that share similar objectives are vital to this enterprise
- The strength of the private sector is mobilized to provide efficient and sustainable environmental solutions, and that
- Strategies and actions adopted are robust and flexible in light of changing priorities as well as political and economic uncertainty at both the Regional level and beyond.

### **3. FOUNDATIONS UNDERLYING PERSGA PROJECTS**

Planning is essential for the delivery of any desired results. Planning has many stages and is an iterative process, meaning that plans are constantly revisited and revised in the light of new information. In the initial stages of project development it is impossible to foresee exactly how progress will proceed and what contingency plans will be needed. One of the most important aspects is that plans have to be used not only for project execution but also for monitoring, control and assessment of results (UNDP, 2007). Plans are always developed within a context and with certain underlying principles or elements at their core.

#### **3.1 KEY ELEMENTS**

##### **3.1.1 SUSTAINABLE DEVELOPMENT AND LINKAGE WITH POVERTY ALLEVIATION**

Sustainable development is development that meets the needs of the present without compromising the ability of future generations to meet their own needs. It contains within it two key concepts:

- The concept of ‘needs’, in particular the essential needs of the world’s poor, to which overriding priority should be given; and
- The idea of limitations imposed by the state of technology and social organization on the environment’s ability to meet present and future needs.

In accordance with the Millennium Development Goals (MDGs), PERSGA aims to make a direct contribution to poverty alleviation and socioeconomic development. This principle stems from the Jeddah Action Plan (PERSGA, 1982) that includes the statements “Continuous socioeconomic development can be achieved on a sustainable basis if environmental considerations are taken into account”, and “the conservation of the marine and coastal areas is considered as the axis of the Action Plan; and it is intended that measures taken for marine and coastal protection should lead to the promotion of human health and well-being as the ultimate goal of the Action Plan”.

##### **3.1.2 APPLYING THE PRECAUTIONARY PRINCIPLE AND ECOSYSTEM MANAGEMENT APPROACHES**

As in the Jeddah Action Plan (1982) which “sets forth a framework for an environmentally sound and comprehensive approach to coastal area development” and the Convention on Biological Diversity: Programme of Work on Marine and Coastal Biological Diversity, the ecosystem approach and the precautionary principle play central roles in guiding PERSGA’s activities.

##### **3.1.3 GENDER EQUALITY**

There has been a growing consensus that sustainable development requires an understanding of gender roles and responsibilities within the community, country or region. Improving the

status of women is no longer seen as just a women's issue, but as a goal that requires their active participation. Providing access to resources and opportunities for women is seen as crucial for achieving environmental conservation and sustainable development.

## **3.2 PERSGA PROGRAMMES AND PROJECTS: ROADMAP AND MILESTONES**

The development of the PERSGA Project Guidelines is anchored in the uniqueness of the Region, the PERSGA mandate, vision and mission, and the particular institutional and legal frameworks present. It builds upon the action plans, programmes and projects that have been developed in the Region in the past, and on PERSGA's Biennial Programme including current thematic, cross-cutting and supporting programmes. Below are some of the previous and current initiatives.

### **3.2.1 JEDDAH CONVENTION, PROTOCOLS AND ACTION PLAN**

The Jeddah Convention of 1982 and its Protocol Concerning Regional Cooperation in Combating Pollution by Oil and Other Harmful Substances in Cases of Emergency provide an important basis for environmental cooperation in the Region. In addition, another supportive instrument developed that year was the 'Action Plan for the Conservation of the Marine Environment and Coastal Areas in the Red Sea and Gulf of Aden.'

Two further protocols to the Convention were prepared in 2005. The first, concerning land-based sources of pollution, is the Protocol Concerning the Protection of the Marine Environment from Land-based Activities in the Red Sea and Gulf of Aden. The second is the Protocol Concerning the Conservation of Biological Diversity and the Establishment of a Network of Protected Areas in the Red Sea and Gulf of Aden.

### **3.2.2 THE STRATEGIC ACTION PROGRAMME FOR THE RED SEA AND GULF OF ADEN**

PERSGA succeeded in providing support to the countries of the Region to mobilize financial resources from the Global Environment Facility (GEF) for sustainable development and integrated environmental management. This initiative culminated in the development of the Strategic Action Programme 'SAP' (1998–2004). The objective of this programme was to assist PERSGA in achieving its primary goal, "the conservation of the coastal and marine environment of the Red Sea and Gulf of Aden and assurance of the sustainable use of their resources".

The priorities of the SAP were to strengthen the capacity of PERSGA to coordinate and implement programmes with international, regional and national level stakeholders; provide support for a series of priority activities; and to facilitate further resource mobilization through national and international partnerships.

The SAP was designed around a series of complementary, preventive and curative actions that collectively addressed the transboundary nature and sustainable development of marine resources in the RSGA Region as a whole. Several specific Action Plans were developed during the implementation of the SAP.

### **3.2.3 PERSGA INTEGRATED STRATEGY AND BUSINESS PLAN (2004–2014)**

The purpose of the Integrated Strategy is to present a time-bound business plan for PERSGA's activities following the cessation of the SAP. The building blocks of the Strategy are based upon a number of key elements. The first is the further development of the regional vision first expressed in November 2003 for the future status of the coastal and marine environments and the well-being and commitment of the key stakeholders and beneficiaries. This is followed by an outline of PERSGA's mission towards this vision and the principles that will be followed. PERSGA's goals and objectives are then revisited in light of the outcomes of the SAP with key strategic approaches identified.

The Business Plan elaborates on:

- Identification of deliverable outputs
- Management structure and systems
- Partnership development
- Financial planning

## **3.3 BUILDING BLOCKS OF PERSGA'S CURRENT PROGRAMMES**

PERSGA's current thematic, cross-cutting and supporting programmes have been developed through an extensive, consultative exercise that commenced during the SAP and continued into the post-SAP period. The action plans and programmes listed below form the foundations on which PERSGA's current and future activities will be developed.

### **3.3.1 ACTION PLANS DEVELOPED DURING THE SAP**

Five important action plans were developed during the SAP:

- Regional Action Plan for the Conservation of Coral Reefs in the RSGA
- Regional Action Plan for the Conservation of Breeding Seabirds
- Regional Action Plan for the Conservation of Mangroves
- Regional Action Plan for the Conservation of Turtles
- The Red Sea and Gulf of Aden Regional Network of Marine Protected Areas, Regional Master Plan

### **3.3.2 EMERGING INITIATIVES**

Some regionally and nationally significant initiatives emerged after the SAP, these are:

- Regional Programme of Action for the Protection of the Red Sea and Gulf of Aden Marine Environment from Land-Based Activities
- Regional Action Plan for Marine Contingency Planning
- Regional Environmental Monitoring Programme (REMP) for the RSGA, and
- Demonstration Projects

The final SAP Project Evaluation Report (PERSGA/GEF, 2004) considered these emerging initiatives as important areas for further work and support.

More recently, further to Council directions, PERSGA has established additional initiatives to address some emerging issues, including:

- Regional Process for Integrated Assessment of the Marine Environment (State of the Marine Environment Reports, SOMERs)
- Regional Strategy for Adaptation to the Impacts of Climate Change
- Regional Initiatives for the Adoption of the Ecosystem Approach to Fisheries (EAF), and Ecosystem-based Management of Oceans and Coasts
- Regional Strategy for Ballast Water Management
- Regional Strategy for Reduction of Unintentional Production of Persistent Organic Pollutants (UP-POPs)
- Regional MoU Concerning Cooperation in Port State Control
- Regional MoU Concerning Cooperation in Fisheries Management
- Inauguration of PERSGA-EMARSGA
- Regional Protocol Concerning Movement of Personnel and Equipment Across Borders During Marine Emergency

### **3.3.3 PROTECTION OF THE MARINE ENVIRONMENT FROM LAND-BASED ACTIVITIES AND THE PORTFOLIO OF PROJECT PROPOSALS**

The SAP Terminal Evaluation Report lists as one of the emerging initiatives the ‘Protection of the Marine Environment from Land-Based Activities’ (PERSGA/GEF, 2004). Issues related to land-based activities (LBA) have gained prominence since the original GEF project design and project implementation plan (PIP) were prepared (PERSGA/GEF, 1999). The recent Regional LBA Protocol and Action Plan address protection of the marine environment from land-based sources of pollution, respond to emerging LBA issues from recent global summits and support the goals of the Global Programme of Action (GPA).

The Regional Programme of Action for the Protection of the Red Sea and Gulf of Aden Marine Environment from Land-based Activities: Preparatory and Fund Raising Phase, comes in two parts. Part 1 is the Road Map and Part 2 contains a portfolio of five project proposals (PERSGA, 2005a,b); these are titled as follows:

- Sewage Collection, Treatment and Disposal from Coastal Cities with a Population over 50,000 Inhabitants in the PERSGA Region
- Pollution Hot Spots and Sensitive Areas in the Coastal Region of PERSGA
- Management of Marine Litter in the PERSGA Region
- Quality of Bathing Waters and Beaches in the Coastal Region of PERSGA, and
- Management of Hazardous Waste in the Coastal Region of PERSGA.

Further connected to the issue of land-based pollution is the recent development of a cross-cutting Regional Environmental Monitoring Programme.

### **3.3.4 REGIONAL ENVIRONMENTAL MONITORING PROGRAMME FOR THE RED SEA AND GULF OF ADEN**

PERSGA has designed an overarching Regional Environmental Monitoring Programme (REMP), with a focus on contaminant monitoring. The intention is for the REMP to be, at the minimum level, a common set of monitoring parameters/requirements to be undertaken by all member states as an integral part of their national monitoring programmes. It primarily targets transboundary pollution issues.

As a first step PERSGA, in cooperation with the Marine Environment Laboratory of the International Atomic Energy Authority (IAEA), has provided a basis for future funding and action and addressed the following:

- The aims and objectives of the proposed REMP,
- Existing national and regional, chemical and biological monitoring capacities, and
- A proposal for the implementation of the first phase of the REMP, including resource mobilization.

### **3.3.5 REGIONAL ACTION PLAN FOR MARINE CONTINGENCY PLANNING**

PERSGA and the International Maritime Organization (IMO) prepared a draft Action Plan (and related project document for donor consideration) to develop national and regional systems and sub-regional contingency plans in the RSGA area in light of the increasing risks from marine activities. This Action Plan focuses on:

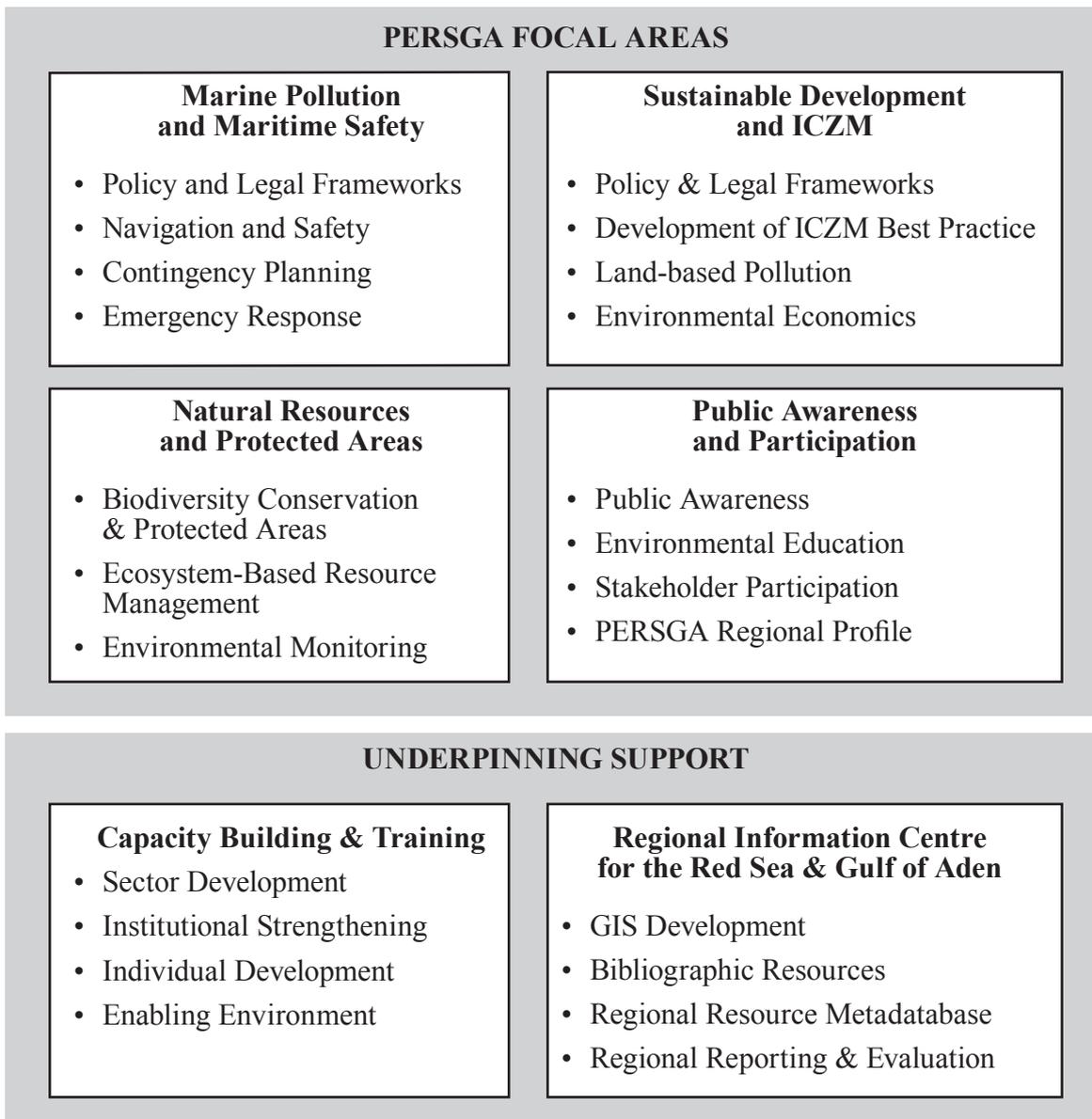
- The development of national systems for oil spill preparedness and response,
- The enhancement of regional cooperation through the development of a sub-regional framework between neighboring states, and
- Further establishment and realization of the EMARSGA to coordinate activities and assist Parties in their preparation and response plans.

### **3.3.6 FOCAL AREAS IDENTIFIED IN PERSGA'S INTEGRATED STRATEGY AND BUSINESS PLAN**

Based on PERSGA's vision, combined with the findings of the SAP final evaluation (PERSGA/GEF 2004), four focal areas have been identified as appropriate to achieving the Regional Organization's vision.

These four focal areas are in turn underpinned by two cross-cutting units that provide the capacity-building needs and information support that all four focal areas require (Figure 3).

Activities corresponding to the identified focal areas and the underpinning support are detailed in PERSGA's Integrated Strategy and Business Plan (2004), and future activities/projects will be developed in order to realize the objectives of these focal areas.



**Figure 3: PERSGA Focal Areas and Underpinning Support (PERSGA, 2004)**

### **3.3.7 PROGRAMME ELEMENTS IN THE PERSGA FRAMEWORK OF ACTION (2006–2010)**

Based on the recommendation of the World Bank (WB) during the Sea to Sea Conference, PERSGA participated in the Global Conference of GEF-International Waters in Brazil in June 2005. It was agreed to proceed with the preparation of a concept paper for a new GEF project (SAP-2) based on the successes of the PERSGA SAP (1998–2004), including:

- Programme element 1: Capacity building and leadership
- Programme element 2: Marine and coastal science research
- Programme element 3: Socioeconomic initiative and stakeholder participation
- Programme element 4: Reduction of navigation risk and marine pollution

### 3.3.8 PERSGA BIENNIAL PROGRAMME

PERSGA has recently adopted a Biennial Programme Approach. Until 2010 PERSGA used to have an annual programme along with the annual Council Meeting. In 2010 the Council decided to hold its Council of Ministers every two years. Accordingly, the current 2011–2012 Biennial Programme is the first of its kind and outlines the policy focus, strategic direction and proposed accomplishments for the Organization over the two year period. Preparation of the PERSGA Biennial Programme is driven by legislative mandates that reflect the priorities set by the PERSGA Council of Ministers as well as emerging environmental issues and challenges. The cycle of developing, approving, implementing and follow-up of the PERSGA Biennial Work Plan (BWP) is shown in Table 1.

**Table 1: Development Sequence for the PERSGA Biennial Work Plan**

|  | March<br>PERSGA<br>Council | A | M | J | J | A | S | O | N | D | J | F | March | A | M | J | J | A | S | O | N | D | J | F |
|--|----------------------------|---|---|---|---|---|---|---|---|---|---|---|-------|---|---|---|---|---|---|---|---|---|---|---|
| <b>BWP Approval by PERSGA Council</b>  |                            |   |   |   |   |   |   |   |   |   |   |   |       |   |   |   |   |   |   |   |   |   |   |   |
| <b>Quarterly progress reporting to PERSGA SG by the Programme Coordinators (PCs)</b> |                            |   |   |   |   |   |   |   |   |   |   |   |       |   |   |   |   |   |   |   |   |   |   |   |
| <b>Regional Focal Points (FPs) Committee follow-up meeting</b>                       |                            |   |   |   |   |   |   |   |   |   |   |   |       |   |   |   |   |   |   |   |   |   |   |   |
| <b>Drafting Work Plan and budget for the next biennium</b>                           |                            |   |   |   |   |   |   |   |   |   |   |   |       |   |   |   |   |   |   |   |   |   |   |   |
| <b>Review by PERSGA Interdivision Policy Panel (IDPP)</b>                            |                            |   |   |   |   |   |   |   |   |   |   |   |       |   |   |   |   |   |   |   |   |   |   |   |
| <b>Approval by PERSGA SG</b>   |                            |   |   |   |   |   |   |   |   |   |   |   |       |   |   |   |   |   |   |   |   |   |   |   |
| <b>Submission of the new BWP to PERSGA Council for approval</b>                      |                            |   |   |   |   |   |   |   |   |   |   |   |       |   |   |   |   |   |   |   |   |   |   |   |

### **3.4 CURRENT PROGRAMMES**

PERSGA's thematic programmes have been established through the SAP. These programmes are complemented by cross-cutting programmes and reinforced by supporting programmes. Expansion of the Annual Training Programme and the On-the-Ground Programme and establishing a Climate Change Adaptation Programme were founded on the basis of Council recommendations from the past four years.

#### **3.4.1 THEMATIC PROGRAMMES**

- Living Marine Resources
- Biodiversity and Marine Protected Areas
- Regional Environmental Monitoring Programme
- Control of Pollution from Land-based Activities
- Marine Pollution Reduction and Control (Sea Based)

#### **3.4.2 CROSS-CUTTING PROGRAMMES**

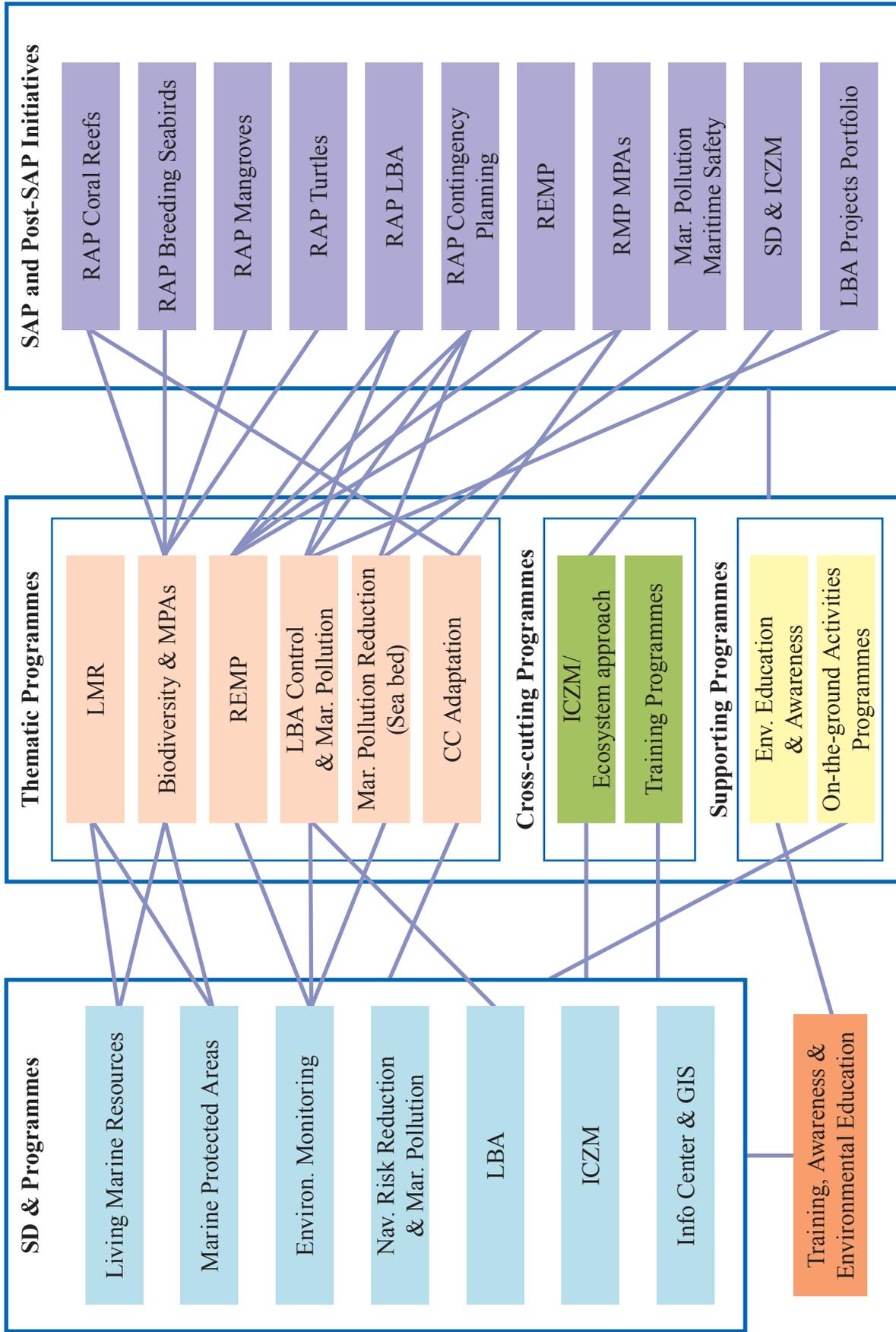
- Adaptations to Climate Change: implements PERSGA's climate change adaptation strategy addressing the main objectives of vulnerability assessment and monitoring, building resilience, ecosystem based adaptation, assessment and management of coastal climate change induced risks, and capacity building for climate change adaptation.
- ICZM: the current vision, concept and focus has been revised to focus on an ecosystem approach; (Ecosystem Based Management 'EBM' and Ecosystem Approach to Fisheries 'EAF' activities are integrated into the thematic programmes).

#### **3.4.3 SUPPORTING PROGRAMMES**

- Annual Training Programme
- Environmental Education and Awareness
- On-the-Ground Activities Programme

#### **3.4.4 RELATIONSHIP BETWEEN PERSGA PROGRAMMES AND IDENTIFIED PROJECTS**

Figure 4 illustrates how programmes, projects and internally implemented activities are ordered and interrelated. Projects and internally implemented activities are the primary means for achieving the overall mandate and objectives of the PERSGA programme.



**Figure 4: Relationships between PERSGA's Units, Thematic/Cross-Cutting/Supportive Programmes and Current Projects, Plans and Initiatives**

### 3.5 PERSGA PROJECT FUNDING

The primary sources of project funds in the post-SAP period have been:

1. The contributions from PERSGA member countries; this has been the major source of funds since 2005.
2. GEF funded projects: UNIDO: POPs project (2 years); WB: Ecosystem Based Management for Fisheries (4 years); IMO: Global Ballast Water Management (5 years).
3. Small-scale funding agreements:
  - UNEP, several agreements addressing: ecosystem based management, MPA management, marine litter, economic valuation for biodiversity and MPAs, climate change adaptation and LBA assessment
  - FAO: Strengthen Regional Fisheries Management mechanism
  - IMO: Technical cooperation agreements addressing capacity building in marine pollution control
  - ISESCO: Regular support for PERSGA regional training workshops on various capacity building issues.
4. Other partners, such as IOC and IUCN, are providing technical assistance for capacity building on issues such as sea level rise and biodiversity conservation.

#### **PERSGA On-the-Ground (Internally Funded) Projects Budgeting Procedures**

These projects are of small size (not to exceed US\$40 K per year per country). The countries usually express their intention for PERSGA to implement a project based on certain aspects of PERSGA's Action Plan.

## 4. PROJECT PLANNING

The PERSGA Programme Coordinator(s) or Focal Points are usually the originators and developers of project proposals. The preparation of project proposals for funding, either by PERSGA or by external funding agencies follows a similar path. Smaller projects, aimed only at PERSGA funding may not require the scope and depth of analysis required by more complex proposals with a higher budgetary demand that will be submitted for external funding.

All project proposals however, will follow the project cycle.

### THE PROJECT CYCLE CONCEPT

Though projects may appear to be linear, that is they have a clear beginning and an end, the term project cycle is widely used as the results and evaluations from previous projects are often fed into the preparation of subsequent projects.

The way in which projects<sup>1</sup> and programmes<sup>2</sup> are planned and carried out follows a sequence that has become known as the project cycle. The cycle starts with the identification of an idea and develops that idea into a working plan that can be implemented and evaluated. Ideas are usually identified in the context of an agreed strategy (EC, 1999).

Although the definitions of the project phases differ between different organizations (e.g., UNDP, World Bank, EU), the basic principles underlying the project cycle are similar in all cases. For UNEP, the project cycle can be explained in terms of five phases: identification, preparation and formulation, review and approval, implementation, and evaluation (UNEP, 2005). Since the RSGA Region is identified by UNEP as one of the Regional Seas, PERSGA adopts the same principles and structures as the UNEP project cycle in order to harmonize the process of project development and comparability of assessments (Figure 5).

The project cycle provides a structure to ensure that stakeholders are consulted and relevant information is available, so that informed decisions can be made at key stages. Although the procedures for each phase differ between institutions, all cycles shares three common themes:

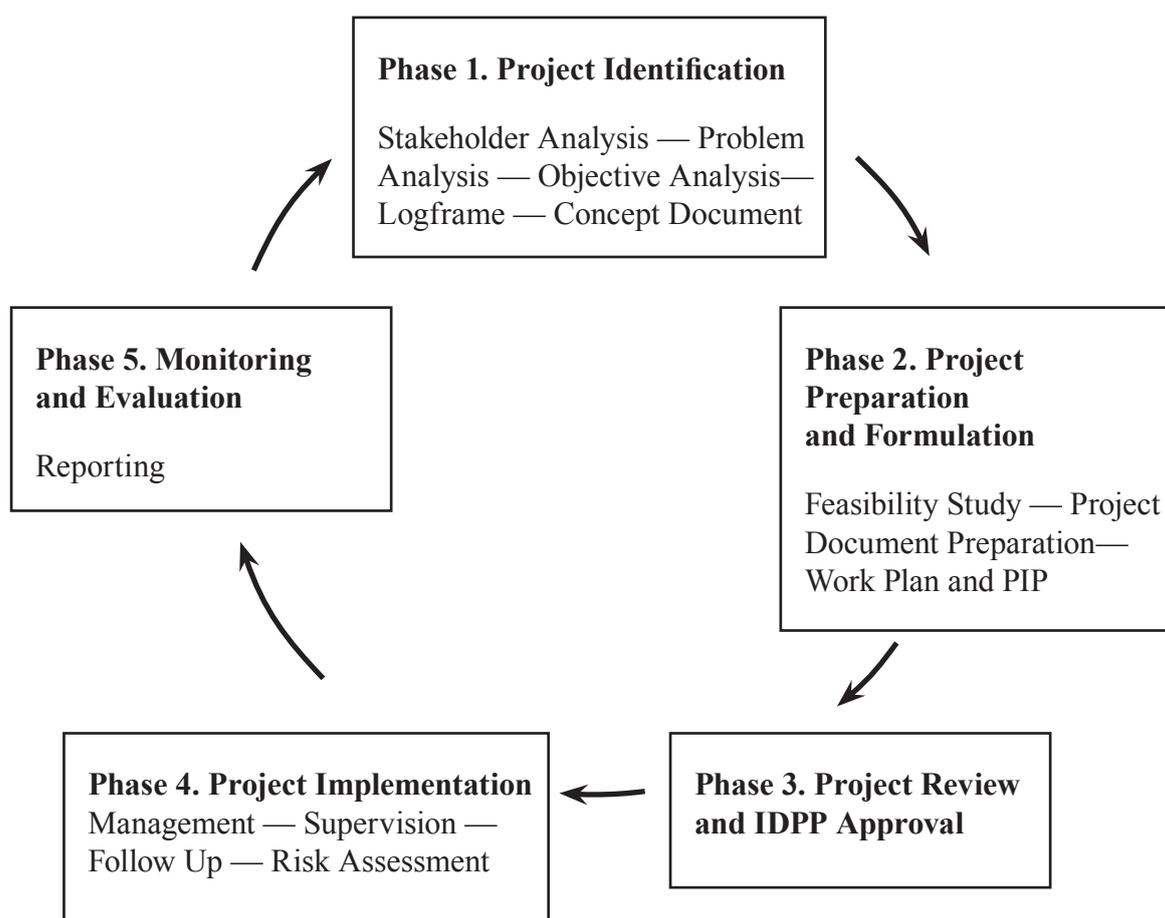
1. The cycle defines the key decision points, information requirements and responsibilities at each phase.
2. The phases in the cycle are progressive—each phase needs to be completed for the next to be tackled with success.
3. The cycle draws on evaluation to build experience from previous and existing projects into the design of future programmes and projects (EC, 1999).

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1 Projects often constitute a clear and distinct element of a larger programme.

2 A programme can be described as a set of 'joined-up' projects, comprising a number of project components.

In the PERSGA project cycle there are two key decision points during project preparation, and others during project implementation. The first takes place at the end of the identification phase with the preparation and submission of a Concept Proposal for Sponsorship. The second is synonymous with Phase 3, the review and approval process. Key decision points during project implementation are discussed in the monitoring and evaluation section and may include a Mid Term Review.



**Figure 5: The PERSGA Project Cycle**

This chapter of the guidelines provides an *outline* of the various project cycle phases; further details are made available in other chapters. Although UNEP procedures form the pillar of this section, other reliable sources have been used to support and clarify some issues. These guidelines are therefore regarded as ‘universal’ in nature allowing their use in project development for other funding organizations, so long as their specific requirements are given due consideration.

## 4.1 PHASE 1: PROJECT IDENTIFICATION

This phase involves identifying environmental problems to be addressed and the needs and interests of possible beneficiaries and stakeholders. The current environmental situation must be assessed and analyzed first. This objective analysis enhances understanding of the likely causes and linkages between existing problems and the actions needed. A **Situation Analysis** based on a scientifically sound conceptual framework generates key actions and strategies to be applied for the intended project intervention. Latest country reports and statistics prepared by governments, researchers, or international organizations on the relevant environmental, social and economic issues, including gender and poverty, can facilitate the assessment.

**Situation Analysis** uses a structured approach and comprises the following steps:

- Stakeholder analysis
- Problem analysis
- Objective analysis

Stakeholder, problem and objective analyses are iterative and simultaneous processes. Overall, the analysis facilitates formulation of the logical framework elements and defines the scope of the project. This is followed by submission of a Concept Proposal for Sponsorship to complete the phase.

### 4.1.1 STAKEHOLDER ANALYSIS

The analysis of stakeholders, their needs and interests, is an important part of the Situation Analysis. Stakeholders are groups of people, organizations and institutions that will affect or may be affected by the project. DFID (2002) identified a stakeholder as any individual, community, group or organization with an interest in the outcome of a project, either as a result of being affected by it positively or negatively or being able to influence the project in a positive or negative way.

Stakeholders may be classified as:

- **Key stakeholders:** those who can significantly influence the project and are therefore important for the success of the project
- **Primary stakeholders:** those that will be ultimately affected
- **Secondary stakeholders:** all other persons or groups that have a stake in the project.

Stakeholders must be involved as early as possible in both the background studies and in any further project planning. This helps to focus the project on relevant needs and opportunities, increases ownership and improves sustainability. Stakeholders can be categorized on the basis of each one's interest. For example, government agencies, NGOs, and low-income households, are often distinct stakeholder groups. Analysis of stakeholders is conducted as a participatory exercise, often in the form of seminars or workshops. The analysis covers the needs, interests and priorities of the different stakeholder groups as well as their human, institutional, economic and physical resources. A stakeholder importance/influence matrix is shown in Figure 6.

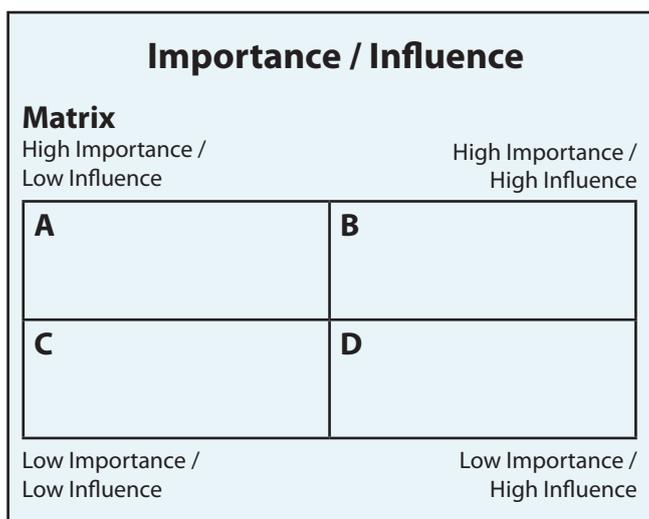
A stakeholder analysis may be conducted prior to the preparation of a new project in order to determine whom to involve during the preparation, implementation and monitoring phases, or prior to mid-term reviews or final evaluations.

The main purposes of a stakeholder analysis are:

- To better address and manage the distributional and social impacts of projects, programmes and policies, and
- To identify existing or potential conflicts of interest and to factor appropriate mitigation strategies into activity design.

**Procedure:**

- Identify the principal stakeholders at various levels—local, national, regional and international
- Investigate their roles, interests, and relative powers and capacities to participate
- Identify the extent of cooperation or conflict in the relationships among stakeholders, and
- Interpret the findings of the analysis and define how they should be incorporated into project design.



**Figure 6: Stakeholder Importance/Influence Matrix (DFID, 2002)**

**4.1.2 PROBLEM ANALYSIS AND THE PROBLEM TREE**

In order to understand how a situation may be influenced by a project, it is essential to be aware of problem conditions which constitute development constraints as well as their causes. Precise descriptions of problems as deviations between some desired conditions and the *status quo*, and the major root causes of the situation need to be identified in order to devise effective ways of dealing with them. Problems and their interrelationships can be identified and visualized using the so-called ‘problem tree’. The problem tree is a diagram showing the cause–effect relationships between problem conditions in a defined context (Figure 7).

### Procedure:

- Define precisely the situation (sector, sub-sector, area, etc.) to be analyzed
- Define some (approximately five) major problem conditions related to the selected situation
- Organize the problem conditions according to their cause–effect relationships
- Add additional problems, thus describing causes and effects, and
- Check the diagram (tree) for completeness (most relevant conditions) and logical order.

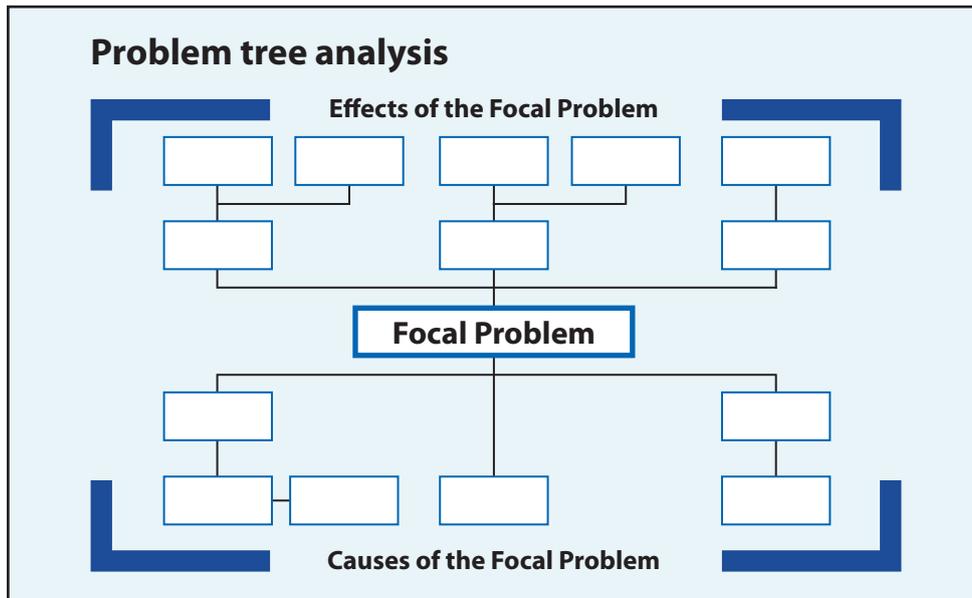


Figure 7: A Problem Tree Model (DFID, 2002)

### 4.1.3 OBJECTIVE ANALYSIS AND THE OBJECTIVE TREE

It is important to identify, on the basis of the problem tree analysis, the objectives and results that the project is intended to achieve. The objective tree is created by transforming the hierarchy of problems into a hierarchy of objectives describing future conditions which are desirable and realistically achievable. The objective tree can form the basis for further decision making on alternative interventions (projects) that would aim to influence a given situation.

#### Objective Tree Analysis:

- Reformulate all the elements in the problem tree into positive desirable conditions
- Review the resulting means–ends relationships to assure the validity and completeness of the objective tree
- Revise statements
- Delete objectives that appear unrealistic or unnecessary
- Add new objectives where required
- Draw connecting lines to indicate the means–ends relationships.

Further details and examples of Problem Analysis and Objective Analysis can be found in the UNEP (2005) project manual. See the reference section for a website link to the PDF file.

#### **4.1.4 USE OF THE LOGICAL FRAMEWORK APPROACH**

The Logical Framework or ‘Logframe’ Approach (LFA) is an analytical process and set of tools used to support project planning and management. A logframe may be used during several stages of project development. It is used initially during the project identification phase as an aid to the thinking and design process. Secondly, during the project preparation phase, as the logframe is developed it clarifies the linkages between different levels of project goals and their interaction with the external environment, highlighting the coherence of the theory underlying the project and showing its technical feasibility. During the implementation phase the logframe provides both measures of progress, and also the monitoring mechanisms to determine progress. Finally, during evaluation the logframe provides a reference for evaluation design.

The Logframe matrix consists of:

- The project’s hierarchy of objectives
- Monitoring of project achievements (indicators and data sources)
- Key external factors critical to the project’s success.

Preparation of a logframe may or may not be required by PERSGA for the preparation of all projects, and is not a requirement of the Concept Proposal for Sponsorship; it is nonetheless a useful exercise to undertake. Chapter 5 provides further details.

#### **4.1.5 PREPARATION OF A CONCEPT PROPOSAL FOR SPONSORSHIP**

The end of the first phase begins with drafting a proposal for sponsorship (a short concept proposal of 4–5 pages) that lays out the preliminary ideas, objectives, results, strategies, outputs and activities. This proposal is submitted to PERSGA for review and, if accepted, may be used as the basis for consultations with implementing partners and governments for funding support. The outline and contents for PERSGA concept proposals, adapted from UNEP 2005, is shown in Box 1.

Before submitting a proposal to PERSGA it should be reviewed to ensure that it meets the following criteria:

- There is compatibility with the Organization’s mandate and objectives
- Major options and alternatives have been identified and some initial choices made
- The principal institutional and policy issues affecting project outcomes have been identified and deemed amenable to solution
- The project options selected are expected to be justified, given rough estimates of the expected costs and benefits
- There is justifiable expectation that the project will have adequate support from the relevant political authorities, other stakeholders and the intended beneficiaries.

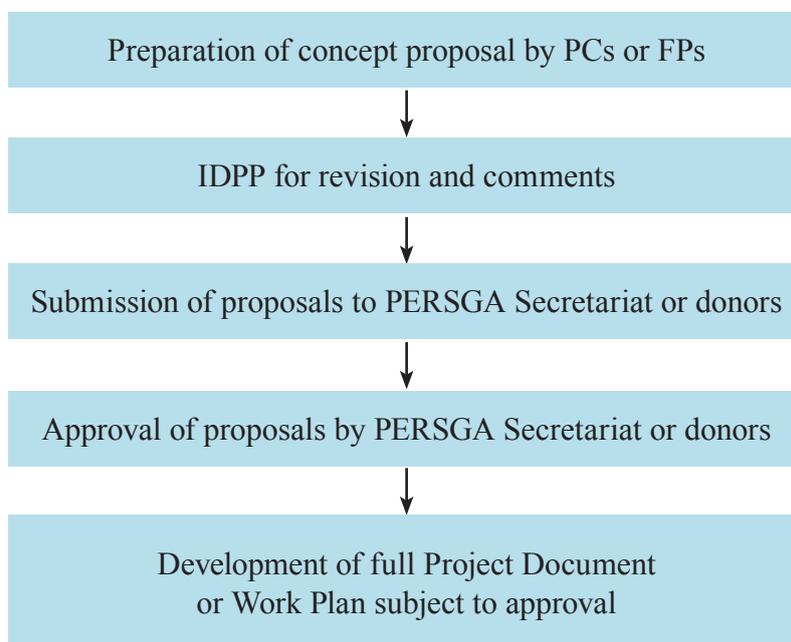
#### **4.1.6 SUBMISSION OF THE CONCEPT PROPOSAL FOR SPONSORSHIP**

PERSGA has established an Interdivision Policy Panel (IDPP) to review all project proposals for technical and scientific integrity. The IDPP includes the PERSGA Programme Coordinators, Finance Manager and relevant experts at PERSGA, as appropriate. The

criteria used by the IDPP are discussed in detail in section 4.3 concerning Phase 3 Review and Approval.

Once the Concept Proposal document is ready the following steps are taken (Figure 8):

- Proposals are inspected by the finance manager (FM) to ensure their feasibility and the accuracy of proposed budgets
- Screening takes place in the IDPP and comments on the proposal are made
- IDPP comments are then forwarded to the project developers
- Proposals are considered fully compliant and final only after all comments and concerns have been adequately addressed
- Proposals are submitted to the PERSGA Secretariat
- The SG, or DSG, makes a selection or prioritization based on overall priorities and funding needs
- If the project is destined for external funding, the Concept Proposal may be submitted to donors for consideration
- If the project is approved and funding is secured, the project proceeds to the next stage of the project cycle (Phase 2)
- If funding is secured from PERSGA the subsequent planning stage leads to the development of the full Project Document including its implementation plan, and incorporation of the project into the PERSGA Work Plan
- If funding is secured by an external donor, the next planning stage leads to preparation of a fully comprehensive Project Document tailored to meet the specific requirements of the donor organization.



**Figure 8: Steps from Delivery of the Concept Proposal to the Initiation of the Project Document**

## Box 1: Format for PERSGA Concept Proposal for Sponsorship

**Title of Programme or Work Plan:**

**Title of Project:**

**Geographical Scope:**

**Cooperating Agency/Supporting Organization:**

**Duration of the Project:** (total number of months with starting month and year)

**Cost of Project:** (expressed in US\$)

| Activity  | Year 1 | Year 2 | Total | %          |
|---|--------|--------|-------|------------|
| Funding requested from PERSGA                           |        |        |       |            |
| List of activities                                      |        |        |       |            |
| Programme support cost                                  |        |        |       |            |
| Cash and in-kind including staff-time, logistic support |        |        |       |            |
| <b>Total cost of the project</b>                        |        |        |       | <b>100</b> |

### Project Summary:

A project summary is required for all PERSGA projects. The project summary should include information on the targeted problems, objective(s) of the project, the target group, the main activities and geographical area(s) where the proposed project would be implemented.

### Background:

The project background identifies the issues the project is trying to solve. As the project submission for sponsorship tends to be short (3-5 pages), this section should be concise, including only directly relevant information.

The background should include the following essential information:

- Specific problem or challenges faced by the targeted area or population
- Urgency of addressing the core problem
- Relevant PERSGA legislative authority and contribution to Programmes
- Prior actions to address the problem and how the proposed project complements them
- Achievements and lessons learned from similar past projects
- Specific knowledge, experiences or competency that PERSGA possesses in order to implement the project successfully
- Institutional capacities of PERSGA and other implementing agencies

**Proposal:**

The overall outline of the project is described here. It includes information on:

- How the project will ensure successful implementation (strategies)
- How activities and outputs will be carried out (methodology)
- How the division of responsibilities will be allocated between PERSGA, cooperating agencies and/or supporting organizations, and other stakeholders
- Criteria or justification for the project countries or regions selected, and
- Target beneficiaries and expected impacts on the target beneficiaries

**Objectives:****Results:****Outputs:****Activities:**

(List objectives, results, outputs and activities in bullet point format)



## 4.2 PHASE 2: PROJECT PREPARATION AND FORMULATION

The steps taken during this stage are key to the eventual success and realization of the project objectives. The end product of this phase is the Project Document. This is not, in fact, a document, but a collection of documents.

### 4.2.1 THE PROJECT DOCUMENT

The Project Document is a tool for formulating and implementing projects, as well as for project monitoring and evaluation. It is also a legal tool. The Project Document must be appropriately signed in order for funds to be disbursed for the project. The document forms the contractual basis for any undertaking with a cooperating agency or supporting organization. It also forms the basis for the terms of agreement for any consultancy or contractual services for the project.

The key elements of the Project Document are shown in Box 2 on page 30 and in Annex 1. It is worth examining these elements first before considering the steps that are required to achieve them.

### 4.2.2 FEASIBILITY STUDY

A feasibility study should form the core of the project preparation process. Its purpose is to provide stakeholders with the basis for deciding whether or not to proceed with the project and for choosing the most desirable options. The feasibility study must provide answers to the following basic questions:

- Does the project conform to the development and environmental objectives and priorities of the specific country or region?
- Is the project technically and scientifically sound, and is the methodology the best among the available alternatives?
- Is the project administratively manageable?
- Is there adequate demand for the project's outputs?
- Is the project financially justifiable and feasible?
- Is the project compatible with the customs and traditions of the beneficiaries?
- Is the project likely to be sustained beyond the intervention period?

### 4.2.3 SUSTAINABILITY OF THE EFFECTIVENESS AND IMPACT OF THE PROJECT

Sustainability is defined as: the ability of a project or programme to deliver benefits to the target group for an extended period of time after completion. A project can be said to be sustainable when it continues to deliver benefits to the project beneficiaries for an extended period after the main part of the donor assistance has been completed (EC, 1999). Too often in the past it has been found that projects have failed to deliver sustainable benefits because they did not take sufficient account of a number of critical success factors.

The long-term sustainability of the achievements of the project for the target beneficiaries needs to be clearly thought out. The effectiveness or impacts of the project will be sustainable depending on the following factors:

**Ownership by beneficiaries:** The extent to which target groups and beneficiaries of the project participated in its design and are involved in its implementation so that it has their support and is sustainable after the end of project financing.

**Policy support:** The quality of the relevant sector policy and the extent to which the partner government has demonstrated support for the continuation of project services beyond the period of donor support.

**Appropriate technology:** Whether the technologies to be used by the project will continue to be operated in the long term (e.g., availability of spare parts, sufficiency of safety regulations, local capabilities of women and men to operate and maintain equipment).

**Social and cultural issues:** Whether the project takes into account local social and cultural norms and attitudes, and what measures could be taken to ensure that all beneficiary groups have appropriate access to project services and benefits during and after implementation.

**Equality:** Whether the project takes into account the specific needs and interests of all members of the community, and whether it will lead to sustained and equitable access by the community to the services and infrastructure, and whether it will contribute to the goal of reducing gender inequalities.

**Environmental protection:** Whether and to what extent the project will preserve or damage the environment and, therefore, support or undermine the achievement of longer-term benefits.

**Institutional and management capacity:** What is the extent of the ability and commitment of the implementing agencies to implement the project and continue to provide services beyond the period of donor support.

**Economic and financial viability:** Whether the incremental benefits of the project will outweigh its costs and the project will represent a viable long-term investment.

Sustainability can be embedded in the project through activities or strategies to provide necessary skills, training and tools to local people so they can keep the project going and maintain the relevant technology or equipment.

### **Strategies for Ensuring Sustainability**

- Strengthen local negotiating capacity
- Create or reinforce multi-sectoral and multi-level co-ordination mechanisms
- Improve learning
- Integrate project activities and national action plans
- Give value to biodiversity and equitably balance costs and benefits
- Explore innovative financial arrangements

### **Factors that Influence Sustainability**

- Political will
- Awareness and understanding
- Capable institutions and people
- Policy, legal framework and incentives
- Uses of natural resources
- Financial resources
- International context
- Science and information

## 4.2.4 THE WORK PLAN

The work plan (template shown below) is another important tool used in formulating and implementing a project. The work plan is a document derived from the logical framework. It focuses on each specific output and the activities designed to deliver that output; it provides the next level of implementation detail.

From the work plan, it is possible to assess project progress as follows:

- Are the time horizons realistic (for approval, negotiation with cooperating agencies or supporting organizations, delivery of outputs and administration)?
- Is the work load reasonably balanced?
- Are any activities likely to be held up by the timing of other activities?

### Example for a Project Annual Work Plan

#### a) Logical Framework for the Project (see Chapter 5 for details)

| Objectives          | Objectively Verifiable Indicators | Means of Verification | Critical Assumptions |
|---------------------|-----------------------------------|-----------------------|----------------------|
| Results or Outcomes |                                   |                       |                      |
| Output 1            |                                   |                       |                      |
| Activities          |                                   |                       |                      |

**b) Annual Work Plan for Output 1 of the Project:**

|               |   |                          |
|---------------|---|--------------------------|
| Output 1:     | Planned extent of achievement of result 1 in year x :     |                          |
| Indicators:   | Planned extent of achievement in year x using indicators: | Sources of verification: |
| Quantitative: | Quantitative:   |                          |
| Qualitative:  | Qualitative:  |                          |

| Activities | Operational responsibility | Jan  | Feb  | Mar  | Apr  | May  | Jun  | Jul  | Aug  | Sept | Oct  | Nov  | Dec  |
|------------|----------------------------|------|------|------|------|------|------|------|------|------|------|------|------|
| Process 1  |                            | ---- | ---- | ---- | ---- | ---- | ---- | ---- | ---- | ---- | ---- | ---- | ---- |
| Task 1.1   |                            |      | xxx  | xxx  |      |      |      |      |      |      |      |      |      |
| Task 1.2   |                            |      |      |      | xxx  | xxx  | xxx  |      |      |      |      |      |      |
| Task 1.3   |                            |      |      |      |      |      |      | xxx  | xxx  |      |      |      |      |
| Task 1.4   |                            | xxx  |      |      | xxx  |      |      |      | xxx  |      |      |      |      |
| Process 2  |                            |      |      |      |      | ---- | ---- | ---- | ---- | ---- | ---- | ---- |      |
| Task 2.1   |                            |      |      |      |      | xxx  |      |      | xxx  |      |      | xxx  |      |
| Task 2.2   |                            |      |      |      |      | xxx  | xxx  | xxx  |      |      |      |      |      |
| Task 2.3   |                            |      |      |      |      |      |      |      | xxx  | xxx  | xxx  | xxx  |      |
| Process 3  |                            | ---- | ---- | ---- | ---- | ---- | ---- | ---- | ---- | ---- | ---- | ---- | ---- |
| Task 3.1   |                            | xxx  |      |      |      |      | xxx  |      |      |      |      |      |      |
| Task 3.2   |                            |      | xxx  | xxx  | xxx  |      |      |      |      |      |      |      |      |

## **Box 2: Key Elements of the Project Document** (adapted from UNEP, 2005)

A Project Document template is presented in Annex 1.

### **Project Summary**

A project summary must accompany all project proposals to be forwarded for approval. The project summary should include information on the main problems to be addressed, objectives of the project, the target groups, the main activities and geographical areas where the proposed project is to be implemented.

### **Background**

The project background must identify and elaborate the problems the project intends to resolve. It must introduce readers and users of the document to the original logic of the project. This section should be concise, including only directly relevant material. The background sets the stage for understanding the subsequent segments of information presented in the Project Document.

The background should include the following essential information:

- Specific problems or challenges faced by the targeted area or population
- Priority and urgency of the core problem
- Previous actions to address the problem and how the project complements these efforts
- Achievements and lessons learned from similar past projects
- Specific knowledge, experiences or competency that PERSGA/Party possesses in order to deliver the project successfully
- Relevant institutional capacity of PERSGA/Party and other implementing agencies
- Relevant activities of the recipient government, donors, and other United Nations agencies as appropriate, in order to show how the project might tie in with those activities.

### **Legislative Authority and Contribution to Programmes**

The Project Document should provide clear linkages to the PERSGA Biennial Programme and the Council of Ministers' resolutions, the contribution to the Thematic and Supporting Programmes and, for externally funded projects, the decisions and resolutions of the relevant United Nations conferences (Millennium Summit, World Summit on Sustainable Development, and others).

## **Project Description**

The overall outline of the project should be described here. It should include information on:

- How activities and output generation will be carried out (methodology)
- Implementation modalities with internal and external partners and stakeholders
- Criteria or justification for the project country(ies) or the RSGA region
- How the proposed outputs and activities will help to address the current problem
- Target beneficiaries and expected impacts on the target beneficiaries
- How the project managers would ensure successful implementation (strategies)
- How the project will address the sustainability of capacities of the target beneficiaries
- If and how the project will ensure replicability of the project methodology, tool kits or lessons learned in other regions, countries or communities.

## **Project Impacts on Poverty Alleviation, Equality and Environmental Sustainability**

The project document needs to specify how the project contributes to achieving the Millennium Development Goals such as poverty reduction, equality and environmental sustainability.

## **Logical Framework**

Chapter 5 discusses the logical framework matrix.

## **Work Plan**

The work plan sets out the timetable for carrying out project activities. The timetable must include the expected starting and completion dates (month and year) for each activity. It must also state who is responsible for the implementation of each activity (cooperating agency, supporting organization, PERSGA or others). A work plan template is illustrated in section 4.2.4.

A well-prepared work plan is particularly useful for monitoring and evaluation. The work plan is used in the Progress report as the reference point for assessing the project's progress. As well as being an indicator of progress, the work plan also highlights difficulties likely to be encountered in project implementation, identifies backlogs or bottlenecks, and facilitates advance planning to resolve the anticipated problems.

### **Institutional Framework**

This subsection should give details of the management structure for project implementation. The roles and responsibilities of the cooperating agency or supporting organization should be clearly defined.

### **Monitoring and Evaluation**

The project document must specify the procedures to be used for monitoring and evaluation. This section should state what type of evaluation will be carried out (desk evaluation, mid-term, terminal). It should also list the organizations that will participate in the evaluation. (Refer to Chapter 6 for details.)

### **Reporting**

The project managers are responsible for ensuring that the involved parties respect all project requirements regarding reporting, terms and conditions, and new publications. These requirements should be accepted by PERSGA and any project partner organization(s) before the Project Document is approved by the IDPP.

### **Project Budget**

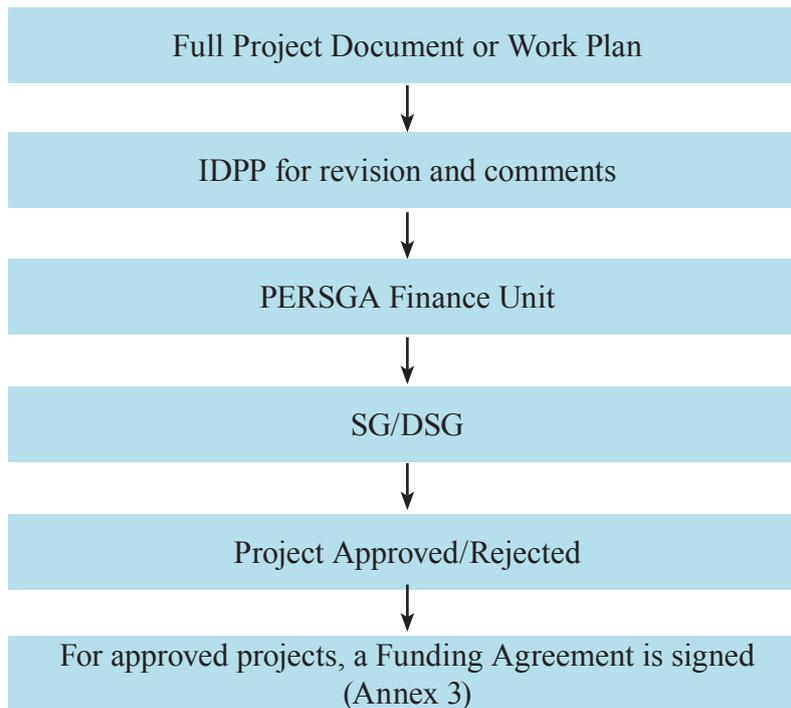
Some budget lines that may be included in the project document are presented in Annex 2.

## **4.3 PHASE 3: PROJECT REVIEW AND APPROVAL**

### **4.3.1 PERSGA'S PROJECT APPROVAL PROCESS**

Following the preparation of the Concept Proposal and its approval (section 4.1), the Proposal is developed into a Project Document with details on budget and implementation modalities (section 4.2). The Project Document is then subject to a second approval process according to the following (Figure 9):

- The Project Document is reviewed by the IDPP.
- PERSGA Finance Unit will review the budget requirements. Funding allocation will be considered in accordance to the project approval criteria.
- The IDPP and Finance Unit reviews and comments are the basis for the final approval or rejection of the Project Document.
- In cases of approval, a Funding Agreement (Annex 3) will be signed.



**Figure 9: PERSGA Approval Process for Projects**

#### 4.3.2 PERSGA INTERDIVISION POLICY PANEL

PERSGA has established a standing institutional entity for project review and approval. This panel, the “Interdivision Policy Panel (IDPP),” performs, *inter alia*, the following functions:

- Reviews submitted project concept papers, proposals, and final documents for technical and scientific integrity
- Provides proposals for fund raising and PERSGA projects to donors
- Coordinates development and submission of PERSGA’s Biennial Work Plan
- Assists in overseeing PERSGA’s ongoing biennial programme of activities and projects.

The IDPP includes PERSGA Programme Coordinators, the Finance Manager, and relevant PERSGA experts as appropriate.

The IDPP asks the following questions and applies these approval criteria. Project designers should review their proposals with regard to these questions before submitting them to the IDPP for review and approval:

- To what extent do the activities, results and objectives conform and contribute to the PERSGA mandate and programme objectives? (Preference is given to interventions that enhance implementation of Regional Action Plans, Biennial Programmes, and specific action plans/articles of the Convention/Protocols)
- To what extent are the MDGs reflected in project strategies and activities?
- In cases of national projects, does the relevant government support and endorse the project?

- Have all the relevant PERSGA Programmes and units been consulted and had the opportunity to review the Project Document?
- Have the roles and responsibilities of the implementing partners, including PERSGA Programmes, other agencies and supporting organizations, been clearly established and agreed upon?
- Do PERSGA and the implementing/executing partners have sufficient capacity to undertake the project (technical and human capacities)?
- Have all the key stakeholders been identified and included in a partnership for project management?
- Have the priorities of the countries selected for the project been incorporated into the project design?
- Have the linkages between the background and the intervention being proposed been demonstrated?
- Have duplications or complementarities with existing or former projects been examined? Does the project build on previous experience?
- Is the level of risk for full project implementation acceptable?
- Is the project substantively and technically sound?
- Is there objective clarity?
- Are tangible outcomes described?
- Does the project include activities to ensure policy, technical and financial sustainability beyond the project implementation period?
- Is the project replicable at the national level or scalable to a regional level?
- Has a social safeguards (gender) analysis been conducted and incorporated into the Project Document?
- Has the linkage to poverty alleviation been analyzed and incorporated into the Project Document?
- Is the project rational regarding PERSGA's funding limits and national partner(s) co-finance?
- Have all financial rules and regulations been adhered to?
- Is the project duration and budget range acceptable (e.g., for on-the-ground projects)?

#### **The project review aims:**

- To improve the quality of proposals
- To promote knowledge-sharing among colleagues in a similar field of expertise by sharing best practices, substantive and technical knowledge, and methodological or implementation suggestions, including information about cooperating agencies or supporting organizations, and
- To enhance inter-divisional dialogue and collaboration in project implementation.

### **4.3.3 EXTERNAL FUNDING**

For projects seeking funding from donor agencies, a similar procedure is conducted by the agency concerned, on receipt of the Project Document.

## 4.4 PHASE 4: PROJECT IMPLEMENTATION

Implementation planning is the process of determining how the project will be implemented in sufficient detail. Implementation planning has a strong management focus which requires best practice approaches, skills and experience to be applied in the various steps of the project cycle. This phase will involve the preparation of a Project Implementation Plan (PIP).

Success in project implementation often depends on the quality of project planning before the project begins. According to UNEP (2005), projects that go through the appropriate steps in phases 1 and 2 will have less time between approval and implementation, and significantly reduce the risks involved in implementing a project. Budgeted resources are more likely to be used to implement activities and achieve the intended results and objectives. Project managers can monitor expenditure, activities, output completion and workflows against their implementation plans, output delivery and the progress made towards achieving the results and objectives according to their anticipated milestones or benchmarks.

Project sustainability beyond the project duration and replicability of the project strategy and methodology should be borne in mind throughout the implementation period.

### Project Inception Phase

An Inception Phase is considered for some projects, particularly large and complex ones, in order to deal with any changes in circumstances that have emerged since the preparation of the project and Project Document, its approval, and the actual start of project implementation.

The overriding goal of the Inception Phase is for all stakeholders and project partners to achieve familiarity with the objectives, activities and deliverables of the project. The Inception Phase is therefore, the first critical stage in the implementation of the project. The Inception Phase and its following report provide an important means of taking stock of these changes through a review of current conditions (UNEP/MAP, 2010).

Towards the end of the Inception Phase an Inception Workshop may be held and an Inception Report prepared. Details regarding the contents of this report are included in Chapter 7.

### 4.4.1 RISK ASSESSMENT AND MANAGEMENT

Projects often encounter risks during implementation. Managing risks by recognizing and preparing for a range of possible future outcomes is an integral part of project management. Risks arise out of uncertainty, both from internal and external sources. They could include:

- Adverse changes in economic factors
- False assumptions regarding project logic or sustainability considerations
- Dissatisfaction on the part of target beneficiaries
- A breach of legal or contractual responsibility by the implementing agencies
- Changes in the political and bureaucratic structure of partner governments
- Failure of partner governments to meet their obligations to the project
- Fiscal fraud and/or deficiencies in financial controls and reporting
- A threat to physical safety of the personnel or breach of security, and
- Mismanagement.

During project implementation, the implementing agencies and project managers should update and refine their risk assessment and formulate a risk management plan. When situations arise, risk management strategies should be implemented.

#### 4.4.2 RISK ANALYSIS

Risk analysis is the process of identifying risks, assessing their individual and collective potential for causing damage, and defining counter-measures. Every development activity needs to describe risks and make an assessment of the overall risk of failure or limits to success (DFID, 2002). The procedure involves:

- Identifying the key risk factors that could affect programme viability or cost-effectiveness
- With this information presented in a Risk Assessment Matrix, estimating the overall risk of 'failure' (Figure 10).

| <b>Risk Assessment Matrix</b> |            |               |                     |
|-------------------------------|------------|---------------|---------------------|
| <b>Impact</b>                 | <b>Low</b> | <b>Medium</b> | <b>High</b>         |
| <b>Probability</b>            |            |               |                     |
| <b>Low</b>                    | 1          | 2             | 3                   |
| <b>Medium</b>                 | 4          | 5             | 6                   |
| <b>High</b>                   | 7          | 8             | 9                   |
|                               |            |               | <b>Killer risk!</b> |

**Figure 10: Risk Assessment Matrix (DFID, 2002)**

## **4.5 PHASE 5: MONITORING AND EVALUATION**

Monitoring and evaluation are a subset of activities that take place during project implementation. An essential component of each is the reporting structure.

### **4.5.1 MONITORING**

Monitoring is a continuous process that aims to provide project management and the main stakeholders with early indications of progress, or lack of progress, towards achieving project objectives. An analysis of project progress serves to validate initial project assumptions. Monitoring assists project managers and implementing agencies to address impediments to progress and make adjustments so that results can be achieved within the designated timeframe. Chapter 6 provides further details on the monitoring requirements for projects.

### **4.5.2 EVALUATION**

Evaluation is a time-bound exercise that attempts to assess the relevance, performance and success of current or completed projects, systematically and objectively. Evaluation determines to what extent the intervention has been successful in terms of its impact, effectiveness, sustainability of results, and contribution to capacity development. Evaluation, more than monitoring, asks fundamental questions on the ‘how’ and ‘why’ of the overall progress and results of an intervention, in order to improve performance and generate lessons learned.

When carried out after project completion, evaluation can contribute to extracting lessons to be applied in other projects. Evaluations at the midpoint of the project or programme also provide timely learning that can suggest mid-course adjustments. See Chapter 6 for further details.

### **4.5.3 REPORTING**

Regular and reliable reporting on project progress is essential to keep the project manager and stakeholders informed and aware of any delays that might take place. Together with financial reporting this aspect of project implementation is usually prescribed within the Project Document and is a contractual requirement.

The frequency of reporting and the content required may vary between projects of different size and complexity. A more detailed consideration of the topic is given in Chapter 7.

## 5. THE LOGICAL FRAMEWORK APPROACH AND SELECTION OF MONITORING INDICATORS

### 5.1 THE LOGICAL FRAMEWORK APPROACH

The logical framework approach (LFA) is a method, or process, to organize thinking and achieve a structured project design that includes both monitoring and evaluation. The logical framework matrix or ‘logframe’ that is produced is a document that demonstrates the relationship between the project’s activities and its objectives, and the indicators chosen to show that the objectives are met. The creation of a logframe requires a structured and analytical approach.

The logical framework matrix, or logframe, is a 4 x 4 design that has both a vertical and a horizontal logic. The (usually) four rows from top to bottom are used to describe the project in terms of its objectives, outputs, and activities. Hence the logframe can be read down, each subsequent level contributing to the former. The four columns (from left to right) provide a narrative description, a set of objectively verifiable indicators, a means for their verification, and a set of assumptions (these are factors external to the project that might have a bearing on whether or not the project can be successful). Hence the logframe can be read across (DFID, 2002). An example is given in Table 2, and a template is presented in Annex 4.

Objectively verifiable indicators are quantitative or qualitative statements that can be used to describe existing situations and measure changes or trends over time. In the context of the logframe, an indicator defines the performance standard that, when reached, represents achievement of an objective.

The logical framework matrix has been adopted by PERSGA for its project designs. The logframe is often used as a project-defining tool close to the start of the project cycle.

The following text provides some useful suggestions for development of a logical framework matrix (adapted from DFID 2002, PERSGA 2003, UNEP 2005, 2008).

#### **(a) Vertical logic: intervention logic (objectives, outputs, activities)**

##### ***Objectives***

The objectives of the project or programme are the overall desired achievements involving a process of change, to meet certain needs of identified end-users. Objectives should identify long-term benefits to final beneficiaries, the future desired situation or the conditions that must be satisfied.

Some suggestions for developing well-constructed objectives are:

- Set a level at which the objectives are both realistic and attainable
- Do not set objectives that are equivalent to strategies, activities, processes or outputs
- State a meaningful and detectable level of change over a given period of time
- One or two objectives are adequate for a programme or project
- Make a clear distinction in the formulation of objectives and outputs
- Do not write objectives with active verbs, such as: ‘to study, to advise or to cooperate’.



### ***Outputs***

Outputs are the specific products delivered by the activities that are needed to accomplish the project's objectives.

The following points are to be considered when specifying outputs:

- The outputs should constitute the optimal combination necessary for achieving the objective
- They should be deliverable, given the project timeframe and resources
- They should be described as concretely and precisely as possible, and in quantifiable terms.

### ***Activities***

Activities illustrate the links between inputs and outputs. Activities included in the project design should be targeted to produce outputs. If an activity does not produce an output, it should not be included.

Activities included must be pertinent not only to the project outputs but also to the wider context of the project's goals and objectives. Activities should be selected based on a clear understanding of the problems and an analysis of the opportunities and risks of the situation, and available or expected resources and capabilities.



**Table 2: Logical Framework – PERSGA SAP Component 2 – Reduction of Navigation Risk and Marine Pollution**

| OBJECTIVES  | OBJECTIVELY VERIFIABLE INDICATORS  | MEANS OF VERIFICATION  | CRITICAL ASSUMPTIONS   |
|---|--|--|--|
| <p><b>Result or Outcome</b></p> <p><b>To reduce Navigation Risk and Marine Pollution in the Red Sea and Gulf of Aden</b></p>  | <p>Reduction in maritime accidents and pollution incidents;<br/>Improved safety services for seafarers operating in the region</p> | <p>Statistics on accidents and incidents;<br/>Published records of new maritime safety services and communications facilities</p>  | <p>Commitment of regional states to improve navigation safety and provide pollution combating services;<br/>Effective cooperation between IMO, PERSGA and its Member States;<br/>Availability of sufficient trained manpower</p> |
| <p><b>Output 2.1</b></p> <p>Navigation Working Group (NWG) established and operating</p>  | <p>Members of NWG selected;<br/>Workshops held once or twice each year at planned dates</p>  | <p>Selection process completed in accordance with PERSGA procedures;<br/>Members' CVs, Workshop programmes and minutes on file</p>   | <p>Qualified and experienced NWG members from each state are available and will participate fully in and contribute to the Workshops</p>   |
| <p><b>Activities:</b></p> <p><b>2.1.1</b></p> <p>Formalize the NWG, consisting of personnel in the region experienced in port, shipping and environmental matters, communicate with members (primarily email and facsimile) to collect data and disseminate information</p>                                 | <p>Formal selection process followed;<br/>Communications between Component and members</p>   | <p>CVs of members on file;<br/>List of contact phone, fax and email addresses on file;<br/>Correspondence with PERSGA and states on file</p>   | <p>Qualified/experienced NWG members are available;<br/>Communication methods established will develop during the course of the SAP</p>  |
| <p><b>2.1.2</b></p> <p>Arrange NWG Workshops on selected themes each year at regular intervals, using specialist lecturers. Workshops to be designed to improve knowledge of the chosen theme, and increase member's capacity to engage in regional development; workshops to be held around the region</p> | <p>Meetings held each year in different locations, with specialist themes identified</p>   | <p>NWG Workshop programmes and minutes on file;<br/>Communication records between PERSGA and Component 2;<br/>PERSGA Technical Series produced recording significant NWG training events</p> | <p>Suitable venues available at the required times at acceptable cost;<br/>Expert speakers in the subjects selected will be identified in good time and will be available</p>  |

|  |   |   |   |
|--|---|---|---|
| <p><b>Output 2.2</b><br/>IMO (and ILO) Conventions ratified and being implemented</p>  | <p>Records of IMO (and ILO) Conventions ratified and implemented by regional states</p>                         | <p>IMO (and ILO) records of conventions ratified by regional states (IMO Web Site);<br/>National legislation in support of convention implementation on statute books</p> | <p>States are willing and technically capable of ratifying and implementing these international conventions</p> |
| <p><b>Activities</b><br/><b>2.2.1</b><br/>Complete a baseline study of the current situation on ratification of international conventions in member states and review records of progress in the region</p>              | <p>Baseline study on file;<br/>Published records of ratifications of international conventions</p>              | <p>Report on baseline conditions;<br/>Records of conventions ratified by regional states, now available on the IMO web site</p>   | <p>Required information is made available through NWG members, States and IMO/ILO records</p>                   |
| <p><b>2.2.2</b><br/>Support member states in ratifying conventions by identifying what support is needed, and consult with IMO (and ILO) headquarters or offices regarding ways in which assistance can be mobilized</p> | <p>Discussions at NWG Workshops on support for the ratification process;<br/>Consultations with IMO and ILO</p> | <p>NWG Workshop Minutes and reports;<br/>Records of discussions with IMO (and ILO) staff</p>  | <p>Channels of support can be identified;<br/>IMO (and ILO) are able and willing to provide useful support</p>  |

## (b) Horizontal logic: Objectively Verifiable Indicators, Means of Verification, Assumptions

### *Objectively Verifiable Indicators*

Objectively verifiable indicators provide an opportunity to restate results in specific and directly observable terms and are used to measure the extent to which the results have been achieved. They correspond directly or indirectly to the results and are used to measure performance.

Assessing whether the objectively verifiable indicators are ‘SMART’ is the best way to see if they are formulated appropriately. SMART stands for:

- Specific:** Specific enough that a subsequent assessment can objectively determine whether the programme or project has been successful or not, and to what extent;
- Measurable:** Quantitative (in numbers, ratios and percentages) or qualitative value or rate, formulated to allow meaningful comparisons with actual accomplishments;
- Attainable:** Set at levels that can be achieved and that are the intended accomplishments;
- Realistic:** Levels should be set in a realistic way, given the project time and resources;
- Time-based:** Express the benefits or changes that a programme or project aims to bring about by the end of the implementation period.

### *Means of Verification*

The means of verification is an identification of the data sources and methodologies to be used to measure the objectively verifiable indicators. This information should be kept at a practical level e.g., review or content analysis of government documents; internal records, including memos and email; audit reports; reports by non-governmental organizations and other international agencies; surveys; interviews; and rapid assessments.

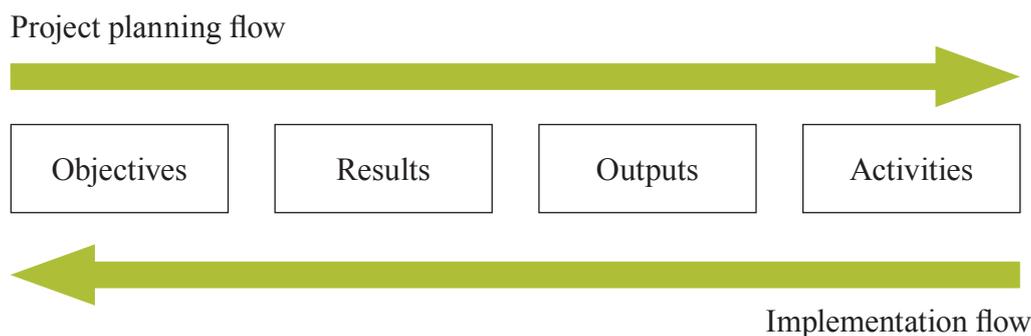
While selecting existing and available data sources it is recommended that caution is used regarding the validity and reliability of the data selected.

### *Assumptions*

Assumptions are external factors which could affect the progress and success of the programme or project, or its long-term sustainability, but over which the project manager has no direct control.

During the project implementation phase, project managers should monitor the influences of key external factors in order to assess the progress towards and barriers against the stated results and objectives.

Figure 11 shows links between elements of the logframe.



**Figure 11: Linkage between Elements of Logframe Analysis  
(adapted from UNEP, 2005)**

**The key points to constructing a logframe are:**

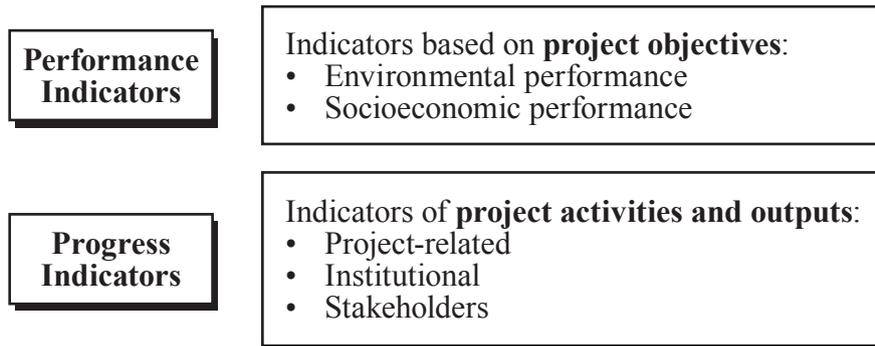
- The logframe should be simple and concise
- The logframe should be a ‘stand-alone document’—comprehensive yet immediately understandable
- The logframe is not just a design tool, it should be maintained as a primary monitoring and evaluation (M&E) tool throughout the project
- The logframe is a ‘living document’; it should be reviewed regularly during the programme.

## 5.2 INDICATORS

Essentially indicators are quantitative or qualitative statements that can be used to (i) describe situations that exist and (ii) measure changes or trends over a period of time.

There are two basic classes of indicators, these are Performance Indicators and Process Indicators (Figure 12):

- **Performance Indicators** are associated with the project’s objectives and impacts and include (i) environmental performance indicators (Changes in ‘Pressure – State – Response’ indicators) and (ii) socioeconomic performance indicators (human health, livelihoods and esteem).
- **Process Indicators** measure the progress of the project’s activities towards its goal. Indicators are (i) project-related: tasks, activities, staffing levels, procurement; (ii) institutional: related to capacity-building, multi-sector co-ordination, legislative support; and (iii) stakeholder indicators such as: participation, and use of project outputs by key communities.



**Figure 12: Monitoring and Evaluation Indicator Categories (PERSGA, 2003)**

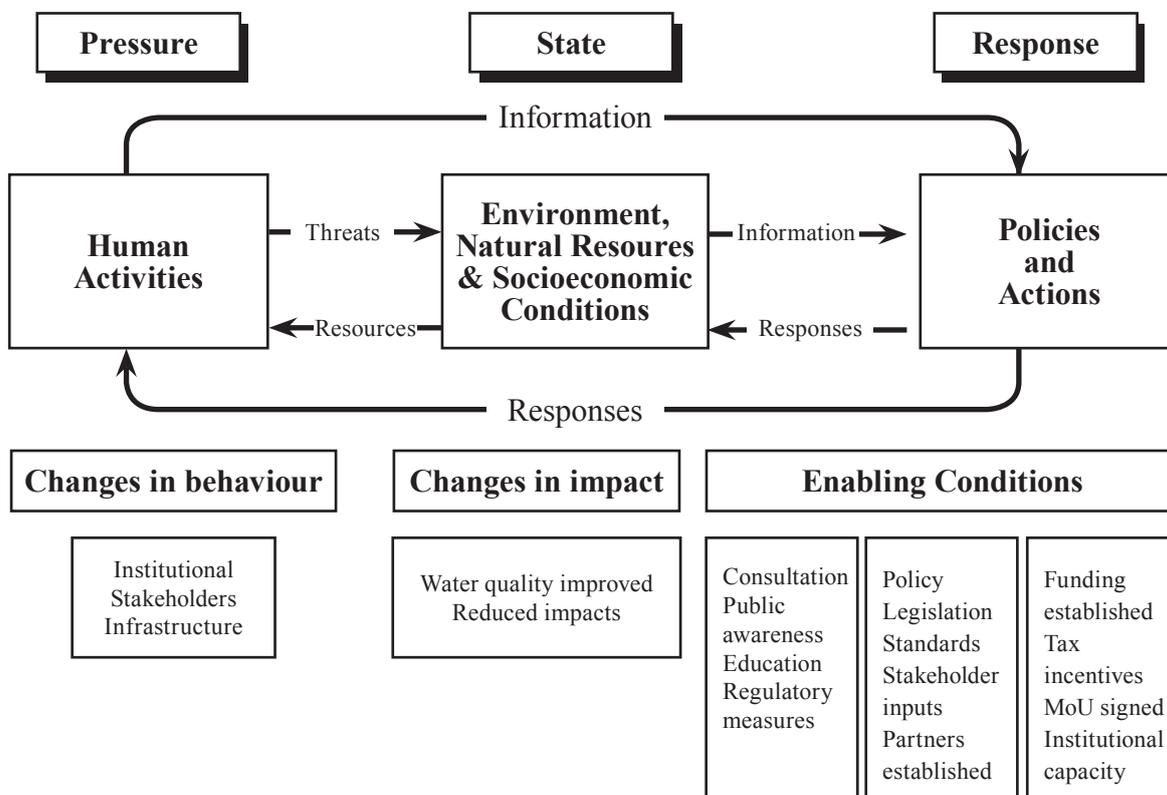
### 5.2.1 PERFORMANCE INDICATORS

There are two sub-classes of performance indicators—environmental performance indicators and socioeconomic performance indicators.

#### *Environmental Performance Indicators*

These measure the project’s specific contribution to the solution of environmental problems at a local level. However, it is important to remember that environmental performance indicators (EPIs) can be aggregated over the wider geographic area to present a higher-level picture of the regional environmental performance. However to do this, the selection of EPIs at the project level should conform to definitions appropriate to the wider ecosystem level.

The EPIs have different sub-classes depending on whether the measures will address the environmental ‘pressures, state or responses’ (Figure 13).



**Figure 13: ‘Pressure – State – Response’ Framework (PERSGA, 2003)**

## PRESSURE INDICATORS

Pressure indicators measure the underlying forces driving environmental degradation (Table 3). Although these can be natural changes, shorter-term pressures generally result from human activities.

**Table 3: Examples of Environmental Pressures and their Indicators**

| Pressure   | Indicator   |
|--|---|
| Fishing and resource exploitation pressures      | <ul style="list-style-type: none"><li>• Trends in fish catch as a function of fishing effort (i.e. CPUE), trends in fish stocks, point sources of overexploitation (coral/sand mining, dynamiting, etc.)</li></ul>  |
| Pollution inputs to the coastal and marine zones | <ul style="list-style-type: none"><li>• Quantities of nutrient loading in coastal waters as measured by remote sensing or coastal water sampling</li><li>• Volumes of land-based organic effluent estimated by (i) inventories of polluting industries and (ii) monitoring of point and non-point sources of pollution</li><li>• Volumes of wastes entering the marine environment from (i) shipping, (ii) offshore activities (e.g., oil extraction), (iii) dredging and (v) accidental spillage</li></ul> |
| Human pressure                                   | <ul style="list-style-type: none"><li>• Changes in land use and coastal development</li><li>• Urban expansion</li></ul>   |

## STATE INDICATORS

State indicators measure the quality or state of the environment (Table 4). State indicators help determine the need for action to reduce pressure as well as to measure the effectiveness of that action. State indicators are sometimes less efficient at monitoring the impacts of project-based activities as ecosystem changes are often slow and masked by other natural background dynamics.

**Table 4: Examples of States of the Environment and their Indicators**

| State            | Indicator   |
|------------------|---|
| Physico-chemical | <ul style="list-style-type: none"><li>• Coastal water quality and other physical and chemical indices</li></ul>   |
| Biodiversity     | <ul style="list-style-type: none"><li>• Coastal zone habitat coverage and change via remote sensing (coral reef, mangrove areas, mudflats, seagrass, etc.)</li><li>• Changes in biodiversity (coral reef fish assemblages, benthic communities, littoral communities), trophic status, etc.</li></ul> |

## RESPONSE INDICATORS

Response indicators measure efforts taken to improve a specific environment or mitigate its degradation (Table 5).

**Table 5: Examples of Responses and their Indicators**

| Response  | Indicator  |
|---|--|
| Prevention and control of land-based pollution        | Selection of demonstration areas for mitigation actions<br>Initiation of mitigation actions<br>Development of effluent standards<br>Incentive programmes for waste and pollution reduction   |
| Prevention and control of sea-borne pollution sources | Ship waste collection by ports and terminals (percent improvement)<br>Offshore mining (initiation of preventative/mitigation measures, operational performance of waste reduction systems)<br>Sea disposal of dredged materials (permits issued, compliance monitoring, EIAs at project and cumulative levels)<br>Proportion of ports/terminals/offshore facilities with spill contingency plans<br>Number of agencies in place for ensuring adequate waste reception facilities |
| Prevention and control of resource over-exploitation  | Establishment of technical and legislative measures to reduce fish catches<br>Reduction of fishing effort over critical times/areas (including MPA development)<br>Development of fisheries management plans<br>Reduction in freshwater use from coastal aquifers  |
| Prevention and control of habitat degradation         | Inventory of protected areas<br>Monitoring programmes to detect habitat degradation<br>Initiation of incentive schemes for habitat improvement<br>Implementation of a strategic plan for habitat management and conservation<br>Reduction in watershed impacts to reduce coastal sediment loads<br>Implementation of on-shore drainage and management to reduce flash flooding   |

***Socioeconomic Performance Indicators***

An important objective of projects is that the stakeholders and the beneficiaries of environmental resources should be better off as a result of the project’s activities and outputs. Socioeconomic performance indicators measure changes in terms of the social and economic impacts of project activities (Table 6). Again, if common design protocols are used at the individual country level, these can be aggregated to provide a reflection of regional socioeconomic performance.

**Table 6: Common Socioeconomic Indicators**

| Type     | Characteristic      | Indicators  |
|----------|---------------------|---|
| State    | Population dynamics | Population change in coastal areas<br>Demographic changes<br>Urban/rural population indices   |
|          | Economic conditions | Per capita income<br>Patterns in income distribution<br>Economic value of, and employment in, coastal industrial sectors (fishing, tourism, transportation, etc.)<br>Reliance on external funding support   |
|          | Social conditions   | Percentage of population with access to potable water<br>Education attainment<br>Percentage of population with Internet access<br>Cultural stability and integrity indicators/spatial mapping   |
| Pressure | Development         | Trends in coastal building permits<br>Public access points per kilometer of coastline<br>Percentage of water dependent industries<br>Service value of coastal habitat<br>Value of manufactured goods from coastal areas<br>Non-used values of coastal habitats<br>Cost of flood defense per annum<br>Beach replenishment costs        |
|          | Human activities    | Coastal and watershed aquaculture use<br>Number of coastal tourists (local and international)<br>Distribution of tourism benefits<br>Number/size of recreational marinas and coastal ports<br>Number of shipping vessels<br>Changes to coastal property values<br>Changes in livelihood patterns<br>Changes in user conflict patterns |

### 5.2.2 PROCESS INDICATORS

Whilst performance indicators are concerned with ‘project impact’, process indicators monitor the progress towards project ‘outputs’. This provides a measure as to whether project objectives are being achieved on schedule.

As with the performance indicators, there are a number of sub-classes of process indicators:

- Project management
- Environmental management capacity building
- Direct enhancement

#### *Project Management*

There are a number of key process indicators that are indicative of progress made in project implementation (Table 7).

**Table 7: Examples of Key Processes and their Indicators**

| Activity                  | Indicators  |
|---------------------------|---|
| Project management        | Project office facilities identified and established<br>Project Management Unit (PMU) staff identified and recruited<br>Administrative and financial systems established and documented |
| Monitoring and evaluation | Monitoring and evaluation plan designed, written and approved<br>Staff trained in monitoring and evaluation plan implementation   |

***Environmental Management Capacity Building***

Whilst many projects focus upon direct enhancement activities, the long-term sustainability of project interventions often depends on the development of sufficient environmental management capacity within natural resource governance institutions. Project activities that address this concern often target a number of capacity building opportunities including policy development, human resource development, and ensuring adequate stakeholder participation at local, regional, national and international levels (Table 8).

**Table 8: Examples of Activities in Environmental Management Capacity Building and their Indicators**

| Activity  | Indicators   |
|---|--|
| National level compliance, policy and authority   | Clear government policy on the use of living marine resources and integrated coastal management<br>Preparation and signature of appropriate agreements, conventions and/or regulatory bodies<br>Enabling legislation prepared and enacted<br>Authority for national and sub-national bodies clearly identified<br>Inter-sectoral coordination groups established<br>Financing needs identified and funds committed |
| Develop human resource / capacity building strategy   | Institutional capacity reviews<br>Achievement of training needs analysis to plan, implement, monitor and evaluate tasks  |
| Formulate and implement a stakeholder participation strategy                                      | Public awareness programme designed and initiated<br>Stakeholders identified and communication processes established<br>Stakeholder participation process in place   |
| Integration into the regional monitoring and evaluation strategy for the Red Sea and Gulf of Aden | Agreement of joint performance monitoring indicator protocols to allow regional monitoring from integration of national M&E programmes   |

***Direct Enhancement or Protection***

Direct enhancement looks at demonstration activities that have a direct impact on the environment. This might include the construction of artificial reefs or wastewater treatment plants. Indicators of such activities include achievement of the different stages of development, e.g., specification, design, procurement, construction and installation.

### **5.2.3 INDICATORS USED IN GEF INTERNATIONAL WATERS PROJECTS**

GEF International Waters developed three types of indicators for projects, these are: process indicators, stress reduction indicators, and environmental status indicators (Table 9). The following is extracted from the document “Monitoring and Evaluation Indicators for GEF International Waters Projects” (GEF, 2002).

#### ***Process Indicators***

Process indicators are a measure of progress in project activities involving procurement and production (inputs and outputs) of goods, physical structures, and services.

The establishment of process indicators is essential to characterize the completion of institutional processes on the multi-country level or the single-country national level that will result in joint action on needed policy, legal, and institutional reforms and investments that aim to reduce environmental stress on transboundary water bodies. Process indicators demonstrate actual, on-the-ground institutional and political progress in the often time-consuming, step-by-step journey to solving these complex problems. These process indicators assist in tracking the domestic and regional institutional, policy, legislative, and regulatory reforms necessary to bring about change.

Process indicators may be appropriate at various stages of maturity in multi-country cooperation for addressing transboundary water issues. In the initial, strategic stages of multi-country projects, regional process indicators, such as establishing country inter-ministerial committees or formulating a SAP, may be the only types of appropriate indicators. Further into implementation, national process indicators, such as a country ratifying regional conventions, enacting legal reforms, instituting regulatory programs, or seeking investment financing, become more important.

#### ***Stress Reduction Indicators***

Stress reduction indicators relate to the specific on-the-ground measures implemented by the collaborating countries. Often a combination of stress reduction indicators in several nations may be needed to produce detectable changes in transboundary waters. Whereas process indicators relate to the needed reforms or programs, stress reduction indicators represent documentation that an on-the-ground action has occurred. Such actions include, for example, an enforcement action on an industrial pollution discharge that resulted in less pollution loading, an investment that helped a municipal sewage treatment plant reduce nitrogen loading, or larger-sized mesh net regulations being enforced for a fishery.

#### ***Environmental Status Indicators***

For projects in damaged transboundary systems, years may go by before a sufficient number of countries have implemented sufficient stress reduction measures to enable a change to be detected in the transboundary water environment. Collaborating countries must harmonize their sampling, laboratory and analysis methods so that they all agree on what water quality, quantity, or ecosystem parameters (living resources) should be sampled to track progress toward a goal.

These agreed environmental status indicators are measures of actual performance or success in restoring and protecting the targeted water body. Social indicators may also be appropriate here to measure whether communities and stakeholders benefit from the changes in environmental conditions brought about by the project.

**Table 9: Examples of GEF Indicators (GEF, 2002)**

| Process Indicators  | Stress Reduction Indicators  | Environment Status Indicators  |
|---|--|--|
| <ul style="list-style-type: none"> <li>• Establishment of country-specific inter-ministerial committees to engage key ministries that may be involved with reducing sectoral stresses on the water body</li> <li>• High-level political commitment to follow up joint action as signified by, among other things, ministerial-level declarations or adoption of a joint legal/institutional framework</li> <li>• Adoption of a M&amp;E plan during project preparation that includes establishment of indicators</li> <li>• Country adoption of specific water, environment, or sector-related legal reforms, policies, institutions, standards, and programs necessary to address the transboundary priority issues, including stakeholder participation programmes</li> <li>• Country ratification of the regional or global conventions and protocols pertinent to the project</li> <li>• Country commitments to report progress in achieving stress reduction indicators, as well as environmental status data, to the regional or joint institution</li> </ul> | <ul style="list-style-type: none"> <li>• Point source pollution reduction investment completed (kg pollutants)</li> <li>• Non-point source pollution programs implemented (area treated with best management practices; kg pollutants reduced)</li> <li>• Amount of underwater or wetland area placed into protected management, including the establishment of no fishing zones</li> <li>• Amount of eroded land stabilized by tree planting (estimated sedimentation reduction)</li> <li>• Amount of fishing fleet removed (through alternative livelihoods)</li> <li>• Larger mesh fishnet policy enforced, fishing restrictions, marine protected areas established</li> <li>• Reduced releases of pollution to groundwater recharge zones</li> <li>• Additional releases of water from dams for environmental purposes</li> </ul> | <ul style="list-style-type: none"> <li>• Measurable improvements in trophic status</li> <li>• Improved (measurable) ecological or biological indices</li> <li>• Improved (measurable) chemical, physical (including flow regimes), or biological parameters</li> <li>• Improved recruitment classes of targeted fish species, diversity, or keystone species</li> <li>• Demonstrable reduction of persistent organic pollutants (POPs) in the food chain</li> <li>• Changes in local community income and social conditions (stable or not worsened by the GEF intervention and, in some cases, improved) as a result of improvements in environmental conditions</li> <li>• Demonstrable recovery of key flagship species or values as a result of changed rule (operating) curves for dams or vegetative response from wetland re-inundation</li> <li>• Improved hydrologic balance as increases occur in the number of hectares of trees as a result of reforestation programs</li> <li>• Increased stakeholder awareness documented</li> </ul> |

## 6. MONITORING AND EVALUATION

### 6.1 INTRODUCTION

Effective monitoring and evaluation (M&E) is increasingly recognized as an indispensable tool in project and programme management. If done well, a M&E plan and the indicators developed as part of it, can serve both a corrective function during the project cycle, enabling timely adjustments, and as a guide to structuring future projects more effectively (GEF, 2002).

M&E of development activities can provide funding agencies, project managers, implementing and executing agencies and civil society with better means for learning from past experiences, improving service delivery, planning and allocating resources, and demonstrating results as part of their accountability to key stakeholders. The objective of M&E is to support management at both project and portfolio levels by bringing appropriate, structured information to decision-making and management processes (UNEP, 2008).

Monitoring and evaluation look at five primary criteria for a project; these are:

- Impact
- Effectiveness
- Efficiency
- Relevance
- Sustainability

Key policy objectives for monitoring and evaluation:

- To monitor and evaluate the **results and impacts** of projects
- To provide a basis for **decision-making** on amending and improving the project policies, strategies, programmes, projects and procedures
- To promote **accountability** for resource use against objectives for executing agencies and participating countries, and
- To document, provide feed-back on, and disseminate results and **lessons learned**.

#### 6.1.1 PROJECT-LEVEL MONITORING AND EVALUATION

Whilst monitoring and evaluation may be primarily driven by the donors, it does have a number of advantages for project staff, management and the executive agency. M&E should not be seen as a threat but as a means of assisting the project to keep on track to achieve its objectives over the project lifetime and beyond.

The main objectives of M&E for projects are:

- To clarify project objectives, ensure appropriate indicators have been selected and identify threats to their achievement at an early stage
- Through monitoring of project performance indicators, identify the progress in achieving the project's stated objectives

- Through monitoring of project process indicators, identify the progress of the project in terms of the activities being carried out
- Based on this monitoring activity, evaluate the performance and progress of the project; from this, provide practical recommendations for revising project activities, inputs and monitoring
- Towards closure of the project, assist in the design of an appropriate exit strategy, including embedding lessons learned into future policy and institutional processes.

Therefore the key attribute of a good M&E programme is one that allows project management to recognize and act upon threats to project outcomes and sustainability at an early stage.

### **6.1.2 APPLICATION TO COASTAL AND MARINE ENVIRONMENTS**

Projects working in coastal and marine environmental conservation have a number of characteristics that influence the way in which M&E programmes are carried out, such as:

- Coastal and marine ecosystems are highly diverse in nature. As such, the level of interactions is high and thus monitoring of project impacts can be difficult.
- These ecosystems are subject to a variety of demands from a wide range of beneficiary groups. The diversity of user groups, which impact different parts of the ecosystem, further complicate impact monitoring.
- Many systems are transboundary in nature, especially in the PERSGA region.

The implications for this are:

- Monitoring coverage of space and user activities needs to be extensive; and
- The diverse sectoral activities and geography require coordination across local, national and international borders.

### **6.1.3 MONITORING AND EVALUATION BUDGET**

An effective M&E system requires a specific and adequately financed M&E plan. PERSGA projects should incorporate the full costs of M&E activities, including operational monitoring and the assessment of baselines. The budget for M&E should include the full costs of mid-term reviews (if required) and terminal evaluations.

## **6.2 MONITORING**

Monitoring is an essential part of the entire life cycle of a project or programme.

As described in “Monitoring and Evaluation Indicators for GEF International Waters Projects”, ‘monitoring is the continuous or periodic process of collecting and analyzing data to measure the performance of a program, project, or activity. As an integral and continuing part of project/programme management, it provides managers and stakeholders with regular feedback on implementation and progress towards the attainment of global environmental objectives. Monitoring enables management to take appropriate corrective action in project design or implementation, as the case may be, to achieve desired results. Reporting to GEF on the achievement of certain indicators can also help improve objectivity in the annual project implementation report (PIR) process. In extreme cases, it can also help

to determine whether a project or program continues to be relevant. Effective monitoring requires baseline data; indicators of performance and related measurements; activities such as field visits, stakeholder consultations, and regular reporting; and a feedback mechanism for management decision-making' (GEF, 2002).

According to UNEP (2005), 'monitoring is the continuous process of assessing the status of project implementation in relation to the approved work plan and budget. Monitoring helps to improve performance and achieve results. The overall purpose of monitoring is to ensure effectively managed results and outputs through measurement and assessment of performance. If a project is poorly designed or based on faulty assumptions, however, even the best monitoring is unlikely to ensure its success. Particularly important is the design of a realistic chain of results, outcomes, outputs and activities'.

The project coordinator and the project coordinator's supervisor are the principal beneficiaries of the monitoring information and should use it to ensure that projects are implemented as efficiently and effectively as possible.

Good monitoring consists of the following (UNDP, 2002):

**Focus on results and follow-ups:** It looks for "what is going well" and "what is not progressing" in terms of progress toward the intended results.

**Regular communication by the project coordinator or manager:** The project coordinator or manager should be dedicated to assessing progress, looking at the big picture and analyzing problem areas. They should ensure continuous documentation of the achievements and challenges as they occur and avoid having to try to remember the events some time later.

**Regular analysis of reports:** The project coordinator or manager should review project-related reports, including financial reports, by the implementing partners as a basis for the analysis.

**Use of participatory monitoring mechanisms:** These include outcome groups, stakeholder meetings, steering committees, and focus group interviews which ensure commitment, ownership, follow-up and feedback on performance.

**Objective assessment of progress and performance:** The project team should use the performance monitoring system with its baseline and indicators as stated in the logical framework matrix of the project document.

**Active generation of lessons learned:** Ensure learning through use of monitoring tools, adapting strategies accordingly, and avoid repeating mistakes from the past.

## 6.2.1 FINANCIAL MONITORING

Quarterly financial reports should assess financial management and should be submitted by the PERSGA Programme Coordinator (PC) or the PMU of the executing body to the Interdivision Policy Panel (IDPP) and/or the PERSGA Finance Manager (FM) (Annex 13). These reports should show the amount budgeted for the year against actual expenditures since the beginning of the year.

Reports should present project expenditures in connection with implementation progress. In-kind contributions should be systematically documented (UNEP, 2008).

## 6.3 EVALUATION

Evaluations are systematic and independent assessments of ongoing or completed projects or programmes, along with their design, implementation, and results. The steps involved in an evaluation exercise closely follow the hierarchical objective structure of the project design. By following this systematic approach all aspects of the project's achievements are evaluated. The evaluation draws on routine reports produced during implementation and may include additional investigations by external monitors or by specially constituted missions.

### 6.3.1 EVALUATION PURPOSE

The purpose of an evaluation is to review the achievements of a project against planned expectations, and to use experience from the project to improve the design of future projects and programmes. This helps to determine the relevance of objectives, development efficiency, effectiveness, impact, and sustainability.

According to the EU (EC, 1999), evaluation can be defined as a periodic assessment of the relevance, efficiency, effectiveness, impact, economic and financial viability and sustainability of a project in the context of its stated objectives.

The objective of evaluation as defined in the United Nations is “to determine as systematically and objectively as possible the relevance, efficiency, effectiveness and impact of the organizations' activities in relation to their objectives”. It provides recommendations and lessons learned for improving future policy, programmes and projects, and it establishes a basis for accountability.

The implementing agencies undertake interim evaluations during project execution as a first review of progress, a projection of likely impact, and a means to identify necessary adjustments to accomplish the indicators established for success. Mid-term reviews (MTR) constitute such an evaluation and adjustment tool. If conducted at the end of the project/programme cycle, they may be called terminal evaluations and determine project/programme impacts, and sustainability of the impacts.

### 6.3.2 EVALUATION CRITERIA

A major issue that affects any evaluation is the choice of criteria. The EU uses the following:

**Relevance:** the appropriateness of project objectives to the problems that it was supposed to address, and to the physical and policy environment within which it operated.

**Project preparation and design:** the logic and completeness of the project planning process, and the internal logic and coherence of the project design.

**Efficiency:** the cost, speed and management efficiency with which inputs and activities were converted into results, and the quality of the results achieved.

**Effectiveness:** an assessment of the contribution made by the results to achievement of the project purpose, and how assumptions have affected project achievements.

**Impact:** the effect of the project on its wider environment, and its contribution to the wider sectoral objectives as summarized in the project's overall objectives.

**Sustainability:** the likelihood of a continuation in the stream of benefits produced by the project, particularly continuation of the project's activities and achievement of results, and with particular reference to development factors of policy support, economic and financial factors, socio-cultural aspects, gender, appropriateness of technology, ecological aspects, and institutional capacity.

### 6.3.3 TYPES OF EVALUATION

Different forms of evaluation are used depending on the type, funding and timeframe of the project. Examples include the following: desk evaluations, in-depth evaluations, impact evaluations, and self-evaluations.

#### Desk evaluations

Desk evaluations focus on the process—the planning and implementation of activities and outputs—and less on results. Desk evaluations are limited to a review of existing data and information; no field visits take place.

#### In-depth evaluations

In-depth evaluations are comprehensive and examine a programme or a project in its entirety by using multiple data sources and methods, such as desk evaluations, field visits and interviews. Usually, these evaluations address the process—the planning and implementation of activities and outputs—as well as the overall effectiveness, efficiency and impact.

#### Impact evaluations

Impact evaluations are concerned with the entire range of effects of the programme or project activity, including unforeseen and longer term impacts as well as impacts on affected people outside the immediate target groups. They are particularly useful in assessing the overall performance of the project in achieving long-term improvements in the quality of the environment and sustainability of the impacts against the stated objectives.

#### Self-evaluations

Self-evaluations are assessments of programme or project activities carried out by individuals who manage implementation of the activities. These evaluations determine the extent of achievement of results, status and challenges of project implementation, budget management issues, gender issues, sustainability arrangements, impacts and risks. Self-assessments, by their very nature, are monitoring devices (UNEP, 2008).

### 6.3.4 EVALUATION CATEGORIES AND TIMING

All evaluations (except self-evaluations which are often conducted on an annual basis) can be undertaken at any point in the life of a project or programme but they can be divided into four main categories: mid-term, terminal, spot checks and ex-post evaluations.

#### Mid-term evaluation

Mid-term evaluation is undertaken approximately halfway through project implementation. These evaluations analyze whether the project is on track, what problems and challenges the project is encountering and what corrective actions are required. For mid-term evaluations, either in-depth evaluations or desk evaluations can be used.

#### Terminal evaluation

Terminal evaluations are undertaken at the end of a project. They assess whether the objectives and goals were achieved in an effective and efficient manner, and provide recommendations and lessons learned from project implementation in order to assist in determining whether to continue, replicate or expand a project. Terminal evaluations can be undertaken as both in-depth and desk evaluations.

#### Spot checks

Spot checks are normally done when progress is in doubt or when there is lack of information about a problem the project is facing. Spot checks are intended to identify causes and effects of the problems in order to provide solutions during project implementation. Spot checks can be requested by a programme or project manager.

#### Ex-post evaluations

Ex-post evaluations are normally conducted two or more years after the programme or project was completed in order to assess its success or failure, to ascertain the sustainability of results and impacts, and to draw conclusions that may inform other projects. Most ex-post evaluations are carried out as impact evaluations.

### 6.3.5 BUDGET IMPLICATIONS

The size of the total budget of the project has an impact on determining the evaluation type. The following criteria will be used when preparing the funding agreement (Annex 3):

- Short-term projects (duration less than 2 years) or projects with a budget between US\$ 40,000 and US\$ 100,000 are subject to a terminal evaluation conducted either as a desk or in-depth evaluation.
- Short-term projects (duration less than 2 years) or projects with budget over US\$ 100,000 are required to have a terminal in-depth evaluation and the necessary amount for this should be allocated in the project budget.
- Mid-term and evaluations are applicable to projects with longer implementation periods (more than 2 years) and/or a budget over US\$ 500,000.

## 6.4 THE EVALUATION PROCESS

For PERSGA, it is the responsibility of the IDPP, in consultation with the project manager and organizations involved with the project, to draft the Terms of Reference (ToR) for the evaluation. The terms of reference lay down the expectations and requirements for the evaluation and represent the basis of the contract with the evaluators.

### Selecting the Evaluator/Evaluation Team

According to UNEP (2008), when the ToR and the budget for evaluation are agreed, three or more suitable consultants for the evaluation will have to be identified.

In PERSGA, the IDPP screens and makes the final decision on the selection of the evaluators. When selecting evaluation consultants it is important to ensure that:

- the evaluators have not been involved with the project/programme design or its implementation
- the evaluator has the technical and language skills required, and
- the consultant has the required country/regional and evaluation experience (UNEP, 2008).

For complex evaluations where more than one evaluator is needed a team leader will normally be recruited in order to ensure that the primary responsibility for the evaluation is clear. The team leader will:

- work closely with the IDPP and the project manager throughout the process to ensure that expectations are met
- manage the team to ensure all aspects of the ToR are met
- oversee the preparation of the evaluation work plan
- facilitate agreement amongst the team on the findings, conclusions and recommendations
- draw together the draft report and present it
- present the report at any workshop required and facilitate feedback
- produce the final report, amended in response to comments.

A sample ToR used by the evaluation team for the PERSGA SAP terminal evaluation is presented in Annex 5. The ToR for a terminal evaluation should specify that the evaluator assess the project/programme's compliance with any recommendations made in an independent mid-term evaluation or a project/programme-managed mid-term review.

### 6.4.1 EVALUATION REPORT STRUCTURE

A good evaluation report communicates findings, lessons learned and recommendations clearly, accurately and appropriately, and while being an objective presentation of the project, ensures that the concerns and comments of the involved parties are correctly reflected. Elements to be included in the evaluation report are shown in Box 3. An example of an evaluation report structure is given in Annex 6.

### Box 3: Evaluation Report Structure

- **Executive summary:** provides a brief overview of the main conclusions and recommendations of the evaluation.
- **Introduction or background:** gives a brief overview of the evaluated programme or project; for example, objective and status of activities.
- **Scope and objective:** presents the evaluation's purpose, evaluation criteria used and questions to be addressed.
- **Findings:** provides factual evidence relevant to the questions asked by the evaluator and interpretations of such evidence.
- **Evaluative conclusions:** gives the evaluator's concluding assessments of the programme or project against given evaluation criteria and standards of performance. The conclusions provide answers to questions about whether the programme or project is considered good or bad, and whether the results are considered positive or negative.
- **Lessons learned:** presents general conclusions, based on established good and bad practices, with a potential for wider application and use.
- **Recommendations:** suggests actionable proposals regarding improvements for current or future programmes or projects. They may cover resource allocation, financing, planning, implementation, monitoring and/or evaluation. They should always be specific in terms of who would do what and provide a timeframe.
- **Annexes:** include terms of reference, list of interviewees, data sources.

### 6.4.2 REPORT FINALIZATION

Once the draft evaluation report is ready the following steps are taken:

- The draft report is submitted by the evaluator to the IDPP for initial review and consultation. This consultation is intended to confirm the facts and assess whether the report covers the terms of reference in a satisfactory manner and answers all the questions asked. The consultation also seeks agreement with the findings and recommendations.
- After any comments are incorporated, the report is sent for a second round of comments to the executing agency and to the IDPP to seek their perspectives on the overall management of the programme the project belongs to.
- PERSGA Information Centre/Production Unit then finalizes the report and sends it for editing.

### 6.4.3 DISSEMINATION

When the final edited report has been approved, it is distributed to all relevant stakeholders, national focal points and internally within divisions, programmes and units.

## 6.5 CRITERIA FOR CANCELLATION, SUSPENSION OR TERMINATION OF PROJECTS

Table 10 presents the criteria for cancellation, suspension or termination of projects according to the Policies and Procedures for the GEF Project Cycle (GEF, 2008). PERSGA agreements and MoUs could set some of these criteria for project objectives, activities and expected outputs in the Project Document.

**Table 10: Criteria for Cancellation, Suspension or Termination of Projects (GEF, 2008)**

| During Project Preparation   | During Project Implementation  |
|--|--|
| 1. Not meeting the agreed project cycle elapsed time benchmarks, i.e. milestones at the time of Project Concept Document clearance, unless agreed to revised milestone dates at a later stage.   | 1. Not meeting the agreed milestones at the time of CEO endorsement, unless agreed to revised milestone dates at a later stage. The milestones during the implementation include the following: <ul style="list-style-type: none"> <li>- Mid-term implementation status report, if a midterm review is planned (no later than six months from the mid-term evaluation mission);</li> <li>- Project completion date.</li> </ul>   |
| 2. Not meeting the agreed project review criteria for GEF projects during the proposal reviews.  | 2. Poor implementation performance leading to a conclusion that the project can no longer meet its objectives. Poor implementation performance may be interpreted from, <i>inter alia</i> : <ul style="list-style-type: none"> <li>- Project Implementation Report (PIR);</li> <li>- Mid-term Evaluation Report (MTE);</li> <li>- Record on the disbursement of funds;</li> <li>- Other monitoring reports and activities by the GEF Secretariat, agencies, or others.</li> </ul>                            |
| 3. Not meeting the following criteria during the implementation of the project: <ul style="list-style-type: none"> <li>- Changes in GEF focal area strategic priorities;</li> <li>- Changes in country national priorities;</li> <li>- The issue that the project was planned to address (e.g., threats, barriers removal, etc.) is removed or is no longer relevant;</li> <li>- Corruption or fraudulent practices were detected during the procurement of a contract, and the grantee/borrower has failed to take action acceptable to GEF to remedy the situation.</li> </ul> | 3. Not meeting the following criteria during project implementation: <ul style="list-style-type: none"> <li>- Changes in country national priorities;</li> <li>- The issues that the project was planned to address (e.g., threats, barrier removal, etc.) are removed or are no longer relevant;</li> <li>- Corruption or fraudulent practices were detected during the procurement of a contract, and the grantee/borrower has failed to take action acceptable to GEF to remedy the situation.</li> </ul> |
|  | Any other criteria established under the concerned GEF agency policy and/or rules on project cancellation or suspension.   |

## 7. PROJECT REPORTS AND REPORTING PROCEDURES

Project reporting is the formal presentation of monitoring information. The main reasons for reporting are as follows:

**To inform management and/or donors:** Reporting ensures that management is formally appraised of the progress made in project implementation and the project manager is aware at an early stage of actual or potential problems and any remedial actions that have been, or may have to be, taken.

**To validate requests for further funding:** Reporting ensures that the finance manager (FM) is kept informed of all aspects of project implementation. The FM, together with project managers, can then ensure that disbursed funds have been properly used before authorizing any further release of funds.

**To serve as an audit and evaluation trail:** It constitutes a vital resource for auditors and evaluators in assessing whether a project has been implemented in accordance with the rules and regulations, and as efficiently and effectively as possible.

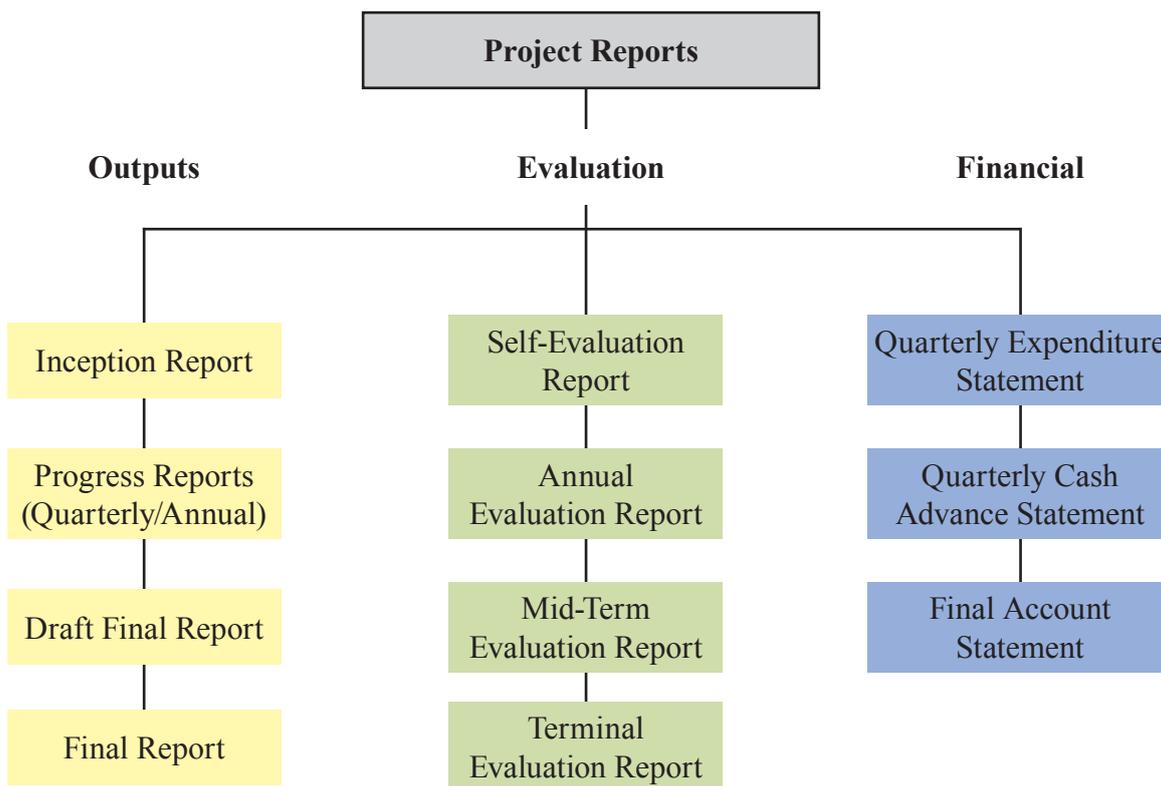
**To serve as a reference for future projects:** Reporting serves as a vital resource for ensuring that lessons learned (project successes, failures, best practices) through project implementation are available for consideration when formulating and implementing future projects.

The project coordinators/managers and focal points must ensure that all project reports are submitted on time. Projects can only be closed once all the reporting requirements have been met.

There are a variety of different types of reports. Each one serves a particular function. It should be noted, however, that not all types of report will be required for both PERSGA internally funded (small size) and for large size or externally funded projects (see Table 12 on page 67 for clarification).

- Technical/Output and Implementation Reports
- Evaluation Reports
- Financial Reports

Figure 14 shows the categories and types of project reports that may be generated.



**Figure 14: Flow Chart of Project Reports**

## 7.1 TECHNICAL/OUTPUT AND IMPLEMENTATION REPORTS

**These are the:**

- Inception Report
- Activity/Progress Reports
- Draft Final Report
- Final Report

### ***Inception Report***

The Inception Report is prepared at the end of the Inception Phase and required only for full size externally-funded projects. It is a key document as it provides the finer details for project implementation and M&E plans, as well as a summary of mobilisation progress. See Section 4.4. The Inception Report is essential for guiding the project implementation process over the succeeding phases of activities. The information contained in the report is supposed to complement the Project Document.

The Inception Report aims to do the following:

- To provide an agreed statement of the overall work programme and budget, i.e. the revised overall and first year work plan and timetable of the activities to be implemented, and to incorporate any comments following the Inception Workshop

- To develop, where necessary, the methodologies, tools and techniques to be applied
- To draw a baseline with regards to the regional context, and to outline complementary issues which the project has to deal with in the following phases of its implementation
- To indicate risks and point to activities where increased effort will have to be employed soon after the Inception Report is adopted.

The essential contents of an Inception Report include:

- Brief review of project objectives and the final logical framework analysis
- Mobilisation record (staffing, office space, facilities, information technology, and core procurement activities)
- Summary of principal activities conducted to date
- Procurement plan
- M&E plan, including details of indicators
- Training plan
- Detailed work plans (project activities, including M&E)
- Detailed budget (including M&E)
- Job descriptions for all project staff
- Terms of Reference for external consultants
- Details of mechanisms to ensure stakeholder participation in project activities and review, including records of workshops and any decisions made.

An outline for the Inception Report is presented in Annex 7.

### ***Activity/Progress Reports***

The Progress Report is required for all projects and internally implemented activities with earmarked funding. Although Progress Reports are *required* to be produced on a yearly basis (i.e. the Annual Progress Report), more frequent reports may be produced as the project coordinator's supervisor deems necessary (monthly or quarterly).

Progress Reports when requested quarterly (QPRs) are usually brief, essentially tabular documents that review activities-to-output progress, see Table 11.

The report provides a framework for assessing status, and a record of project implementation at any given time. Its primary purpose is to ensure that the project coordinator's supervisor or project manager is kept fully informed of the status of project implementation and that any decisions or actions necessary for successful implementation of the project have been, or are being, taken and documented in a timely manner.

The report should provide information on the status of delivery of project activities, outputs, results and impacts (if possible). It should include information on any actual or potential problems and deviations from the approved work plan and budget. The report should also indicate any agreed upon changes to the approved work plan and any decisions or actions regarding the future direction of the project.

**Table 11: Summary of Quarterly Progress Report Contents**

|  |   |   |
|--|---|---|
| Targets and Achievements for the Quarter | Physical Progress   | Narrative summary of progress and issues by objective.<br>Physical progress by project objective/component, showing<br>(i) the process indicators<br>(ii) the targets for each quarter<br>(iii) the actual achievement by quarter, and<br>(iv) the percentage accomplishment.<br>Noteworthy achievements to share with the other PERSGA Member Countries.   |
|  | Financial Management  | <b>Fund drawdown from PERSGA and other sources (including direct monetary contributions as well as those ‘in-kind’). Should be compared to project agreement with:</b><br>(i) planned disbursement by quarter<br>(ii) actual disbursement, and<br>(iii) a narrative summary of reasons for any disparities.<br>Quarterly Expenditure Report: Past quarter, projected expenditure, and financial status.<br>Analysis of quarterly expenditure by output.<br>Procurement status: targets against actual achievements. |
|  | Issues and Problems   | Narrative summary of issues and problems together with how they were dealt with.  |
|  | Summary table of activities   |   |
| Next Quarter Activities                  | For each objective/component, a detailed plan of activities for the next quarter and the anticipated resource requirements. |   |

For externally implemented projects, the project coordinators or implementing agencies may be required to submit an Activity Report for the first half of the calendar year. The reporting cycles demanded by different donors vary and it is very important to adhere to their requirements. The format for an Activity Report is presented in Annex 8 and for the Annual Progress Report in Annex 9.

***Draft Final and Final Reports***

The Draft Final and Final Reports are required on completion of all projects and internally implemented activities with earmarked funding. The Final Report should be prepared by the project coordinator and should contain information on the achievement of objectives, results and outputs. It should clearly explain any variances from the originally approved project in terms of duration, cost, results and outputs or services. The Final Report focuses on lessons learned, project sustainability and replicability (Annex 10).

Attention should be given to the requirements for project closure. These may include the requirement for an audit certificate. The Final Report should be submitted within 60 days of completion of the project.

## 7.2 PROJECT EVALUATION REPORTS

These include:

- Self-evaluation Report
- Annual Evaluation Report
- Mid-Term Evaluation Report
- Terminal Evaluation Report

Not all of these reports will be required for internally funded PERSGA projects with modest budgets (see Table 12).

### *Self-evaluation Report*

Self-evaluations should be submitted by project managers annually to the Evaluation Panel on all projects and internally implemented activities with earmarked and trust fund contributions. These evaluations determine the extent of achievement of results, status and challenges of project implementation, budget management issues, gender issues, sustainability arrangements, impacts and risks.

### *Annual Evaluation Report*

The Annual Evaluation Report aims to provide governments and PERSGA management with an assessment of the programme performance, based on a synthesis of all evaluation activities carried out during the year. The report highlights key findings and recommendations, and identifies lessons learned to help PERSGA improve its programme performance.

It is meant to be used as a tool to determine the direction of a PERSGA programme. The report is an intersessional Ministerial Council document.

### *Mid-term Evaluation Report*

Mid-term Evaluation (MTE) is an optional process and is considered for some projects as a Special Review of certain project components to determine, as systematically and objectively as possible, the relevance, efficiency, effectiveness, impact and sustainability of the project.

The Mid-term Evaluation Report (MTR) is based on the QPR structure with (i) a reporting period equivalent to the first half of the project, rather than three months, (ii) increased narrative assessment and (iii) a justified request for changes in project activities and outputs if required. It is assumed that project objectives will remain unchanged.

The MTE is important as it represents the only real chance to assess whether the project is on target to meet its objectives and that these objectives will serve the purpose for which the project was originally designed AND still to allow the project to make meaningful changes to activities and resource allocations where necessary. A successful MTE will depend on the availability of information showing the performance and process indicators against the original targets. This in turn will reflect the degree of planning that has gone into preparing the original Project Document.

Immediately following this review, the reviewing party would produce an *'Aide-Memoire'* with the following basic structure:

- Introduction
- Summary of issues and decisions
- Project development objectives
- Implementation status, issues and agreed actions
  - By project component
  - Project Management Unit (including the M&E cell)
  - Procurement, financial management and disbursement

### ***Project Terminal Evaluation (Completion Review)***

A Project Terminal Evaluation or Completion Review (PCR) would be carried out soon after the submission of the draft Final Report by the project management unit (PMU). This review would be carried out by PERSGA with representatives from the other main funding agencies or major participants in the project. A specialist third party may also assist with the evaluation process.

A PCR will review the extent to which the planned outputs have been achieved and whether this has been done within the timescale planned in accordance with the logframe. This information will enable PERSGA, and any other organizations providing project funds, to draw conclusions and learn lessons from the experience of implementation.

The Project Terminal Evaluation has a number of additional purposes. Firstly it provides an opportunity to assess the likely wider and longer-term impacts of the project. In relation to the logframe, this means making an initial assessment of the extent to which the goal and purpose identified in the logframe are likely to be met. It is important to realize that, in most cases, a really reliable impact assessment of this kind can only be made some years after the inputs have been completed, and that the primary tool for assessing impact is the evaluation system. Secondly it allows the PMU to identify activities that may be particularly suitable for evaluation at some future time.

An example of an evaluation report structure is presented in Annex 6; further details in section 6.4.1.

## **7.3 FINANCIAL REPORTS**

### **7.3.1 FINANCIAL REPORTS FOR ON-THE-GROUND PROJECTS**

The following financial reports are required for PERSGA projects:

- Project Budget
- Quarterly Progress Report/Actual Disbursement Report
- Request for Payment
- Cash Advance Status Report, and
- Annual Financial Report

### 7.3.2 FINANCIAL REPORTS FOR EXTERNALLY FUNDED PROJECTS

PERSGA applies the donor's recommended financial reports as set out in their Atlas, Manuals and Procedures.

The minimum common format for all financial reports is based on annual budgeting and quarterly financial reports. The project-specific financial reporting system is built on the minimum common format modified to include the specific requirements of the project and the varying levels of complexity required by different stakeholders. Simple standard tables and graphics promote understanding and use of the reports as planning tools.

Both PERSGA and partner country expenditure is reported. Contributions-in-kind such as premises or personnel, which may be difficult to report in financial terms, are described in words.

The following forms the minimum common format for financial reports (Box 4).

#### Box 4: Format for Financial Reports

**Executive summary** highlighting any major over expenditure or under use (failures in disbursement) of funds, reasons for them and action required from the donors, if any.

**Comparison of the planned budget for the quarter with the actual expenditure**, by component and, if necessary, by budget line.

**Explanation for the differences** between the budget and the actual expenditure, by component and, if necessary, by budget line.

**Cumulative expenditure** from the beginning of the fiscal year, by component and, if necessary, by budget line.

**Annexes:**

The original annual and quarterly budgets.

Financial reports are normally prepared quarterly. A request for payment (Annex 11) is usually attached to these reports. They should be prepared and submitted together so that the two combined provide a complete record of progress to donors and other stakeholders.

**Project expenditure statements:** The project manager (PM), or cooperating or supporting agencies, should submit to the finance manger (FM) quarterly project expenditure statements and final account statements for each project, showing the amount budgeted for the year, and amount spent since the beginning of the year (Annex 13).

**Cash advance statements:** A statement showing advances of cash (Annex 12) provided by PERSGA should be submitted to the FM quarterly, together with the project expenditure statement (Annex 13) and request for payments (Annex 11).

## 7.4 PROPOSED REPORTING SCHEDULE

The reporting schedule depends on the project time frame, while the report type will depend on the funding source and its magnitude. Table 12 presents the types of reports and the sequence of reporting.

**Table 12: Reporting Types and Schedule**

| Report  | Timing                                       | PERSGA internally funded project (Small size) up to US\$ 40K* | PERSGA/ Externally Funded Full-size project |
|---|--|---|---|
| <b>Inception Report</b>                         | Following the Inception Period               |   | √   |
| <b>Progress Reports</b>                         | Quarterly                                    | √   | √   |
| <b>Annual Progress Report</b>                   | Annually                                     | √   | √   |
| <b>Quarterly Expenditure Statements</b>         | Quarterly                                    | √   | √   |
| <b>Cash Advance Statements</b>                  | Quarterly                                    | √   | √   |
| <b>Financial Reports</b>                        | Annual                                       | √   | √   |
| <b>Self Evaluation Reports</b>                  | Annual                                       |   | √   |
| <b>Annual Evaluation Reports</b>                | Annual                                       | √   | √   |
| <b>Mid-term Evaluation (MTE)</b>                | Approximately half way through the project   |   | √   |
| <b>Project Completion Review</b>                | End of project                               | √   | √   |
| <b>Draft Final Report</b>                       | End of project                               | √   | √   |
| <b>Final Report and Final Account Statement</b> | Within 2 months of Project Completion Review | √   | √   |

\*subject to revision and increase

## REFERENCES

- DFID (2002). Tools for Development: A handbook for those engaged in development activity.
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- UNDP (2007). Project Implementation Manual.
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- UNEP (2008). Evaluation Manual. Evaluation and Oversight Unit.
- UNEP/MAP (2010). GEF Strategic Partnership for the Mediterranean Sea Large Marine Ecosystem: Inception Report.

## USEFUL WEB SITES

[www.ifad.org/evaluation/guide/annexb/index.htm](http://www.ifad.org/evaluation/guide/annexb/index.htm)

[http://iwlearn.net/publications/misc/bankgef\\_indicators.pdf](http://iwlearn.net/publications/misc/bankgef_indicators.pdf)

[www.persga.org](http://www.persga.org)

[www.unep.org](http://www.unep.org)

[www.unep.org/eou](http://www.unep.org/eou) [UNEP Evaluation Office]

[http://www.unep.org/pcmu/project\\_manual/Manual\\_chapters/project\\_manual.pdf](http://www.unep.org/pcmu/project_manual/Manual_chapters/project_manual.pdf)

[UNEP Project Manual]

[www.undp.org](http://www.undp.org)

<http://www.thegef.org/gef/node/4184>

## ANNEXES

- Annex 1. Project Document Template
- Annex 2. PERSGA Budget Lines for Project Document
- Annex 3. Outline for a Funding Agreement
- Annex 4. Logical Framework Template
- Annex 5. Sample TOR for Project Final Evaluation
- Annex 6. Example of an Evaluation Report Structure
- Annex 7. Outlines for an Inception Report
- Annex 8. Activity Delivery Report Format
- Annex 9. Annual Progress Report Format
- Annex 10. Final Report Format
- Annex 11. Request for Payment Format
- Annex 12. Cash Advance Statement Format
- Annex 13. Quarterly Expenditure Report Format



# ANNEX 1: PROJECT DOCUMENT TEMPLATE

## SECTION 1: PROJECT IDENTIFICATION

- 1.1 Title of PERSGA Programme
- 1.2 Title of project (refers to proposed project)
- 1.3 Project number\* (to be allocated by FM)
- 1.4 Geographical scope (refers the countries or regions where the project will be implemented)
- 1.5 Implementation (internal, or cooperating agency or supporting organizations)
- 1.6 Duration of the project (total number of months)

Commencing:     month, year

Completion:     month, year

- 1.7 Cost of project: (US\$)

US\$    %

Programme support cost (    %)

Cost to the cooperating agency/supporting organization

In-kind contribution

Total cost of the project \_\_\_\_\_

Signature

For the Cooperating Agency/Supporting Organization

For PERSGA

Name and Functional Title

Name and Functional Title

-----

-----

- 1.8 Project Summary



## **SECTION 2: PROJECT BACKGROUND**

- 2.1 Background
- 2.2 Legislative authority and contribution to PERSGA Programmes

## **SECTION 3: PROPOSAL**

- 3.1 Project description
- 3.2 Project impacts on sustainable development, poverty alleviation, and gender equality

## **SECTION 4: LOGICAL FRAMEWORK MATRIX**

(See Annex 4 logical framework matrix)

## **SECTION 5: WORK PLAN**

(See section 4.2.4 for example)

## **SECTION 6: INSTITUTIONAL FRAMEWORK**

## **SECTION 7: MONITORING AND EVALUATION (M&E)**

## **SECTION 8: REPORTING**

Activity reports

(See Annex 8 for format of the Activity Report)

Progress reports

(See Annex 9 for format of the Progress Report)

Final report

(See Annex 10 for format of the Final Report)

Cash advance requirements

(See Annex 12 for the Cash Advance Statement)

Financial reports

(See Annex 13 for Quarterly Expenditure Report)

Terms and conditions

Publications

## **SECTION 9: PROJECT BUDGET**

(See Annex 2 for the PERSGA project budget lines)

## ANNEX 2:

### PERSGA BUDGET LINES FOR PROJECT DOCUMENT

#### Chapter (1) Salaries and Benefits

|       |                |
|-------|----------------|
| 11100 | Administration |
| 11101 | Coordinators   |
| 11102 | Support Staff  |
| 11103 | Consultants    |

#### Chapter (2) Meetings

|       |                 |
|-------|-----------------|
| 21101 | Workshops       |
| 21102 | Meetings        |
| 21103 | Travel Expenses |
| 21104 | Accommodation   |
| 21105 | DSA             |
| 21106 | Other Expenses  |

#### Chapter (3) Procurement and Services

|       |                                  |
|-------|----------------------------------|
| 31100 | Advertising and Publishing       |
| 31101 | Advertising                      |
| 31102 | Media and Promotions             |
| 31103 | Printing                         |
| 31200 | Postage and Telephone            |
| 31201 | Postage and Courier Services     |
| 31202 | Telephone and Faxes              |
| 31300 | Rents                            |
| 31301 | Building Rental                  |
| 31302 | Equipment Rental                 |
| 31303 | Vehicles Rental                  |
| 31400 | Other Services                   |
| 31401 | Vehicle Insurance                |
| 31402 | Hospitality                      |
| 31403 | Travel Expenses —outside PERSGA  |
| 31404 | Bank Charges                     |
| 31405 | Currency Exchange Loss           |
| 31406 | Janitorial Services              |
| 31407 | Misc. Expenses                   |
| 31408 | Professional Charges – Audit     |
| 31409 | Repatriation (Household Removal) |

#### Chapter (4) Stationery and Maintenance

|       |                        |
|-------|------------------------|
| 41101 | Stationery             |
| 41102 | Printing               |
| 41103 | Fuel and Oils          |
| 41104 | Vehicles Maintenance   |
| 41105 | Equipment Maintenance  |
| 41106 | Materials and Supplies |

#### Chapter (5) Capital Expenditure

|       |                                |
|-------|--------------------------------|
| 5100  | Furniture and Office Equipment |
| 51101 | Vehicles                       |
| 51102 | Office Equipment               |

## **Chapter (6) Regional Training and Capacity Building**

- 6100 Biodiversity and Marine Protected Area Issues
- 6200 Climate Change and its Effects on the Marine Environment
- 6300 Integrated Coastal Zone Management Issues
- 6400 Regional Environmental Monitoring Issues
- 6500 Marine Pollution and Navigation Risk Issues
- 6600 Protection of Marine Environment from Land Based Activities Issues
- 6700 Regional Legalization and International Marine Agreements Issues
- 6800 Environmental Education and Public Awareness Issues

## **Chapter (7) Activities and Programmes**

- 701 PERSGA Capacity Building
- 7100 Capacity Building for Regional Cooperation
  - 71101 Geographic Information System
  - 71102 Internet Connectivity
  - 71103 Web Site Maintenance
  - 71104 Capacity Building for International Cooperation
  - 71105 Partnerships with Other Organizations
  - 71106 Electronic Library
  - 71107 Staff Capacity Building
- 702 Living Marine Resources and MPAs
- 7200 Fostering and Support for Regional MPA Network
  - 72101 Pilot Activities for Regional MPAs
  - 72102 Monitoring of Important Species
  - 72103 Ecosystem Approach to Fisheries
  - 72104 Regional Programme for Conservation of Shark Species
  - 72105 Regional Mangrove Rehabilitation
  - 72106 Adaptation to Climate Change
- 7400 Coastal and Marine Development Indicators
  - 74101 Mapping Economic Values of Living Marine Resources
  - 74102 Support for Regional ICZM Plans
  - 74103 Study of the Marine Environment (SOMER)
  - 74104 Economic Valuation of Marine Environmental Assets
- 705 Regional Training and Capacity Building
- 706 Marine Pollution and Navigation Risks
- 7600 Administration Costs – EMARSGA Centre
  - 76101 Technical Cooperation Programs – IMO
  - 76102 Commander Exercises for Combating Oil Slicks
  - 76103 Development of Models for Oil Pollution
  - 76104 MARPOL Agreement and Special Area Nomination
  - 76105 Guidelines for Response to Oil Pollution
- 707 Protection of Marine Environment from Land-Based Activities
- 7700 National Program for Egypt
- 7701 National Program for Sudan
- 7702 National Program for Saudi Arabia
- 7703 National Program for Djibouti
- 7704 National Program for Jordan
- 7705 National Program for Yemen
- 7706 Marine Litter Program
- 7707 Waste Water and Nutrient Treatment

- 
- 708 Legal Framework and Regional Legislation
    - 78800 Study of the Progress in the Execution of the Jeddah Convention
    - 78801 Follow up on the Execution of International Marine Conventions in RSGA
  
  - 709 Environmental Education and Public Awareness
    - 79900 RSGA Day Annual Campaign
    - 79901 Al-Sambouk and Other Media Materials
    - 79902 Environmental Education Program
    - 79903 Regional Strategy for Public Awareness
  
  - 710 On-the-Ground Projects in RSGA Countries
    - 71010 Marine Conservation Project: Saudi Arabia
    - 71012 Marine Conservation Project: Egypt
    - 71013 Marine Conservation Project: Sudan
    - 71014 Marine Conservation Project: Djibouti
    - 71015 Marine Conservation Project: Yemen
    - 71016 Marine Conservation Project: Jordan
    - 71017 Marine Conservation Project: Somalia

# ANNEX 3: OUTLINE FOR A FUNDING AGREEMENT

## Provision of Funds

from

**The Regional Organization for the Conservation of the Environment of the Red Sea  
and Gulf of Aden (PERSGA)**

to

*Recipient (state the title and address of the recipient)*

### 1. Background

The Regional Organization for the Conservation of the Environment of the Red Sea and Gulf of Aden (hereinafter referred to as “PERSGA”), will make available to ...*(state the title and address of the recipient)* (hereinafter referred to as “Recipient Party”) a financial contribution in the amount of US\$ *(state in number and words)* to implement the ...*(state the title of the project/activity)*. The project/activities are part of the PERSGA Biennial Work Plan *(state calendar of the biennium)* of the *(state the relevant PERSGA Programme Component)*.

### 2. Purpose

The project/activities for which the funds provided by PERSGA under this Agreement shall be used are as follows:

*(list main project/project phase activities)*

Further details on the background, the terms of reference, the inputs to be provided by the Recipient Party and PERSGA, the budget for the project and the monitoring/evaluation process are given in detail in the attached Annex (Project Document) that constitutes an integral part of this Agreement.

### 3. General Conditions

- a. Funds provided by PERSGA under this Agreement are to be used by the Recipient Party exclusively in support of the Project.
- b. The Recipient Party will be responsible for the organization and conduct of the Project. PERSGA will not be held responsible for any accident, illness, loss or damage that may occur during the implementation of the Project.

- c. All intellectual property rights (including copyright) in the work to be performed under this Agreement shall be vested in PERSGA, including, without any limitation, the right to use, publish, translate, sell or distribute, privately or publicly, any item or part thereof.
- d. PERSGA name and emblem shall be mentioned and shown clearly on banners or relevant documents of project activities/events such as workshops, seminars, outreach materials, etc. However, the use of the official emblem and name of PERSGA on any publication, document or paper is prohibited without prior written permission from PERSGA.
- e. Neither the Recipient Party nor its personnel shall communicate to any other person or entity any confidential information made known to it by PERSGA in the course of the performance of its obligations under the terms of this Agreement nor shall it use this information to private or company advantage. This provision shall survive the expiration or termination of this Agreement.
- f. The personnel assigned by the Recipient Party to the coordination and running of the Project shall not be considered as staff members of PERSGA and shall not be entitled to any privilege, immunity, compensation or reimbursement by PERSGA. Neither the Recipient Party nor its personnel shall be allowed to incur any commitment or expense on behalf of PERSGA. Nothing in this Agreement or in any document relating thereto shall be construed as constituting a waiver of privileges or immunities of PERSGA, or as conferring any privileges or immunities of PERSGA to the Recipient Party or its personnel.
- g. The present Agreement shall be governed by general principles of law, to the exclusion of any single national system of law.
- h. If, after meeting the costs of the activities, there are unexpended funds under this Agreement, the Recipient Party shall return such unexpended funds to PERSGA.
- i. PERSGA shall have the right to terminate this Agreement, by written notice to this effect, if it considers that the continued implementation of the Agreement is impossible or impractical:
  - i) for unforeseen causes beyond the control of PERSGA;
  - ii) in the event of a default or delay on the part of the Recipient Party.
- j. In the event of the Recipient Party's non-compliance or partial compliance with the terms of this Agreement, it will refund to PERSGA any payment already received in respect of activities that have not been performed by the Recipient Party to a standard considered acceptable to PERSGA.
- k. In the event of termination by PERSGA for unforeseen causes beyond its control, PERSGA shall complete all payments that may be due up to the effective date of termination.

#### **4. Reporting**

*(List here the reporting procedures for the specific project such as inception, interim, financial, progress, final, etc. Reports mentioning their timeframe as identified in the project work plan will be prepared and submitted by the National Coordinator of the project [as assigned by the Recipient Party] to the reference person monitoring the project at PERSGA referred to as the PERSGA Coordinating Officer.)*

*Include the paragraph:*

The Recipient Party shall submit to the PERSGA Coordinating Officer a Statement of Accounts. This will be certified as to its correctness by the PERSGA National Focal Point in the respective member country and will show the utilization of funds as determined under this Agreement and indicated by the project financial reporting procedures.

*State this paragraph:*

The Recipient Party shall (i) maintain supporting documentation showing the utilization of funds under this Agreement and all other documentation and records related to the project for a period of three years following the completion of the project, during which period PERSGA or any person designated by PERSGA shall have the right to review or audit the relevant records, and shall (ii) make available employees or agents with knowledge of the project to respond to questions from PERSGA.

#### **5. Terms of Payment**

For the execution of the Project under this Agreement, PERSGA will make a financial contribution of *(state total amount USD in numbers and words)*. The payments will be made as follows: *(list installment amounts, eligible dates, and required deliverables/approvals for their disbursements)*.

#### **6. Settlement of Disputes**

Any dispute between PERSGA and the Recipient Party arising out of the interpretation or execution of this Agreement shall be settled by mutual agreement. The two parties undertake to resolve any controversial matter in connection with the execution of the present contract via mutual consultation in a friendly manner. In default, the controversy shall be settled through arbitration, according to the procedure agreed by the two parties, which is as follows: in case of dispute in the execution of the above mentioned Agreement, three arbitrators should be appointed, one from PERSGA, the second from the Recipient Party and a third will be selected by both parties, and the verdict is binding for both parties.

#### **7. Amendments**

Any amendment to this Agreement shall be effected only on the basis of written mutual consent by both of the Parties to this Agreement.

**8. Detailed banking instructions**

Name of account holder:

Account No.:

Account currency:

Name of the bank:

Bank code and/or Swift code:

Address of the bank:

Bank telephone:

Bank fax:

**9. Entry into Force**

- a. The present Agreement will enter into force upon signature by both Parties.
- b. The Recipient Party must sign two copies of this Agreement and return one to PERSGA.

Signed for PERSGA

Signed for (*state the Recipient Party*)

Prof. Ziad H. Abu Ghararah

Name:

Secretary General

Position:

Date \_\_\_\_\_

Date \_\_\_\_\_



**ANNEX 4:  
LOGICAL FRAMEWORK TEMPLATE**

| <b>Project Development Goal/Outcomes</b> | <b>Objectives</b>                                     | <b>Objectively Verifiable Indicators</b> | <b>Means of Verification</b> | <b>Important Risks and Assumptions</b> |
|--|---|--|------------------------------|--|
| <b>Goal 1</b>                            | <b>Specific Objective 1</b>                           |  |                              |  |
|  | <b>Output 1.1</b>                                     |  |                              |  |
|  | <i>Activities</i><br><b>1.1.1</b><br><br><b>1.1.2</b> |  |                              |  |
|  | <b>Output 1.2</b>                                     |  |                              |  |
|  | <i>Activities</i><br><b>1.2.1</b><br><br><b>1.2.2</b> |  |                              |  |





| <b>Project Development Goal/Outcomes</b> | <b>Objectives</b>                                     | <b>Objectively Verifiable Indicators</b> | <b>Means of Verification</b> | <b>Important Risks and Assumptions</b> |
|--|---|--|------------------------------|--|
|  | <b>Specific Objective 2</b>                           |  |                              |  |
|  | <b>Output 2.1</b>                                     |  |                              |  |
|  | <i>Activities</i><br><b>2.1.1</b><br><br><b>2.1.2</b> |  |                              |  |
|  | <b>Output 2.2</b>                                     |  |                              |  |
|  | <i>Activities</i><br><b>2.2.1</b><br><br><b>2.2.2</b> |  |                              |  |



## ANNEX 5:

# TERMS OF REFERENCE FOR THE FINAL (TERMINAL) EVALUATION OF THE GEF SUPPORTED PROJECT FOR THE IMPLEMENTATION OF THE STRATEGIC ACTION PROGRAMME (SAP) FOR THE RED SEA AND GULF OF ADEN

### Background

The **Regional Organization for the Conservation of the Environment of the Red Sea and Gulf of Aden (PERSGA)** is executing the GEF supported Project for the **Implementation of the Strategic Action Programme (SAP)** funded by the World Bank, United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP) and IDB.

The SAP provides a cooperatively developed framework for the long-term conservation and management of the coastal and marine resources of the Region. Programme activities are being carried out through the following components:

- Component 1. Institutional Strengthening to Facilitate Regional Cooperation
- Component 2. Reduction of Navigation Risks and Maritime Pollution
- Component 3. Sustainable Use and Management of Living Marine Resources
- Component 4. Habitat and Biodiversity Conservation
- Component 5. Development of a Regional Network of Marine Protected Areas
- Component 6. Support for Integrated Coastal Zone Management
- Component 7. Public Awareness and Participation
- Component 8. Monitoring and Evaluation of Programme Impacts

Terminal evaluations of projects by implementing agencies and executing agencies (IAs/EAs) represent one of the modalities under the GEF M&E evaluation programme. All regular and medium sized projects supported by GEF are required to undergo a terminal evaluation upon completion of implementation.

A terminal evaluation reviews the implementation experience and achievement of results of the project in question against the project objectives endorsed by GEF, including changes agreed during implementation.

In Section V of the SAP Project Implementation Plan “PIP” (PERSGA/GEF, 1999) titled “GEF Implementing Agency Reporting, Monitoring and Evaluation”, the process by which the Final Evaluation is to be carried out has been indicated.

### Introduction

A mix of tools is used to ensure effective project M&E. These might be applied continuously throughout the lifetime of the project—e.g., periodic monitoring of indicators—or as specific time-bound exercises such as mid-term reviews, audit reports and final evaluations.

In accordance with UNDP/GEF M&E policies and procedures, all regular and medium-sized projects supported by the GEF should undergo a final evaluation upon completion of implementation. However, a final evaluation is not an appraisal of the follow-up phase.

Final evaluations are intended to assess the relevance, performance and success of the project. It looks at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals.

Internal reviews of the Red Sea and Gulf of Aden SAP progress and adjustments are being undertaken at several levels of the programme implementation structure. The Task Force (TF), the PERSGA Secretariat and the IAs, provides overall guidance to the programme and periodically review its progress. Six thematic regional working groups (WGs) provide technical and operational advice at regional level, support and ensure broader participation of relevant national institutions to the SAP implementation.

Within the context of M&E, PERSGA and the IAs agreed to undertake a **Special Review** by an independent team of international and regional consultants to examine selected project components and to propose adequate adjustments in objectives and design in order to maximize their development impact. The Special Review report was produced in August 2001.

The formal **Mid-Term Evaluation** (MTE) in accordance with the GEF procedure follows the above Special Review. Findings and recommendations of this MTE were published in a report (July 2002) and disseminated to the main stakeholders.

Besides, project implementation was assessed annually in the UNDP/PIR reports.

## 1. Objectives of the Evaluation

The main objective of this evaluation is to assess the relevance, performance and success of the project. It looks at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. It will also identify/document lessons learned and make recommendations that might improve design and implementation of other GEF projects.

The Terminal Evaluation will present and analyze the main findings and key lessons, including examples of best practices for future projects in the country, the region and for GEF (technical, political, managerial, etc.).

The main stakeholders of this evaluation are the PERSGA Council, SAP management, IAs and the countries in the region.

The Terminal Evaluation will focus on review of the eight components of the SAP (see background section for details).

Emphasis is to be given to sustainability issues.

## 2. Scope of the Evaluation

The following issues will be covered in this evaluation:

- An analysis of the attainment of global environmental objectives, outcomes/impacts,

project objectives, and delivery and completion of project outputs/activities (based on indicators).

- Evaluation of project achievements according to GEF Project Review Criteria:
  - Implementation approach
  - Country ownership
  - Stakeholder participation/Public involvement
  - Sustainability
  - Replication approach
  - Financial planning
  - Cost-effectiveness

### 3. Methodology or Evaluation Approach

The methodology that will be used by the evaluation team will consist of the following:

- Documentation review (desk study), of available project related documents
- Interviews with relevant stakeholders from within the region and IAs as appropriate
- Field visits to the major institutions and or agencies involved in the project implementation
- Questionnaires
- Participatory techniques and other approaches for the gathering and analysis of data.

### 4. Rating

The evaluation will include **ratings** on the following criteria:

- Outcomes/Achievement of objectives (the extent to which the project's environmental and development objectives were achieved)
- Implementation approach
- Stakeholder participation/Public involvement
- Sustainability, and
- Monitoring and Evaluation.

**The ratings will be:** Highly Satisfactory, Satisfactory, Marginally Satisfactory, Unsatisfactory, and N/A. This system will allow consistency across all IAs/EAs.

### 5. Products Expected from the Evaluation

A Final Evaluation Report is expected as a major product from the final evaluation. It will include findings, assessment of performance, lessons learned, recommendations, description of best practices, and an "action list" in a certain area of particular importance for the project.

(Annex 6 gives an example of the content required for an Evaluation Report. Also, see section 6.4.1.)

## ANNEX 6:

# EVALUATION REPORT STRUCTURE OF THE GEF SUPPORTED PROJECT FOR THE IMPLEMENTATION OF THE STRATEGIC ACTION PROGRAMME (SAP) FOR THE RED SEA AND GULF OF ADEN

### Executive Summary

- Brief description of project
- Context and purpose of the evaluation
- Main conclusions, recommendations and lessons learned

### Introduction

- Purpose of the evaluation
- Key issues addressed
- Methodology of the evaluation
- Structure of the evaluation
- The project(s) and its development context
- Project start and its duration
- Problems that the project seeks to address
- Immediate and development objectives of the project
- Main stakeholders
- Results expected

### Findings and Conclusions

- **Project formulation**
  - Implementation approach
  - Country ownership
  - Stakeholder participation
  - Replication approach
  - Cost-effectiveness
  - UNDP comparative advantage
  - Linkages between project and other interventions within the sector
  - Indicators
  - Management arrangements



- **Implementation**

- Financial planning
- Monitoring and evaluation
- Execution and implementation modalities
- Management by the UNDP country office
- Coordination and operational issues

- **Results**

- Attainment of objectives
- Sustainability
- Contribution to upgrading skills of the national staff

- **Recommendations**

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining the main objectives
- Lessons learned
- Best and worst practices in addressing issues relating to relevance, performance and success

- **Annexes**

- TOR
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Questionnaire used and summary of results



## **ANNEX 7: INCEPTION REPORT CONTENTS**

**Organization/Country:**

**Project Title:**

**Project Number:**

### **1. Project Logical Framework**

### **2. Mobilization Status**

2.1 Personnel

2.2 Office Space and Equipment

2.3 Procurement Status

2.3.1 Procurement Procedures

2.3.2 Equipment Procurement and Specification

2.4 Problems, Issues and Suggested Solutions

2.4.1 Personnel

2.4.2 Procurement and Finance

2.4.3 Technical Issues

2.4.4 Other

### **3. Operational Work Plan**

(Source: PERSGA, 2003)



## ANNEX 8:

### ACTIVITY DELIVERY REPORT FORMAT

1.1 Project title:

1.2 Project number (if applicable):

1.3 Responsible Programme(s) in PERSGA:

1.4 Project start date:

1.5 Project completion date:

1.6 Reporting period: from \_\_\_\_\_ mm/yy to mm/yy \_\_\_\_\_

2.1 Output/Activity delivery status:

|    | Activities/Outputs<br>(e.g., meetings, publications, training,<br>technical information, technical<br>cooperation) | Status<br>(Complete/current) | Comments |
|----|--|------------------------------|----------|
| 1. |  |                              |          |
| 2. |  |                              |          |
| 3. |  |                              |          |
| 4. |  |                              |          |

2.2 If the project activities and outputs listed in the project work plan for the reporting period have not been completed and/or changes/delays in project delivery are expected, provide reasons and details of remedial action to be taken.

|                                    |                              |
|------------------------------------|------------------------------|
| Name and Title of PERSGA Official: | Name of Project Coordinator: |
| Signature: _____                   | Signature: _____             |
| Date: _____                        | Date: _____                  |

## ANNEX 9:

# ANNUAL PROGRESS REPORT FORMAT

### 1. Background information

- 1.1 Project title:
- 1.2 Project number (if applicable):
- 1.3 Responsible division(s) unit(s) in PERSGA:
- 1.4 Project start date:
- 1.5 Project completion date:
- 1.6 Reporting period:
- 1.7 Reference to PERSGA Programme(s) and expected accomplishment(s):
- 1.8 Overall objective(s) of the project: *(maximum quarter of a page)*
- 1.9 Total budget (US\$): *(specify contributions by donor/s)*
- 1.10 Partners and leveraged resources:

*Describe collaboration with partners. Specify implementing agencies as well as cooperating organizations and state their role.*

*List the additional resources leveraged (beyond those committed to the project itself at the time of approval) as a result of the project (financial and in-kind).*

## 2. Project status

| <b>2.1 Information on the delivery of the project:</b> |  |                                       |   |
|--|--|---------------------------------------|---|
|  | <b>Activities/Outputs</b><br>(as listed in the project document) | <b>Status</b><br>(Complete / ongoing) | <b>Results/Impact</b><br>(measured against the performance indicators stated in the project document) |
| 1.   |  |                                       |   |
| 2.   |  |                                       |   |
| 3.   |  |                                       |   |

2.2 If the project activities and outputs listed in the project work plan for the reporting period have not been completed and/or changes/delays in project delivery are expected, provide reasons and details of remedial action to be taken.

## 3. List of attached documents

*(For example: publications, reports of meetings/training seminars/workshops, lists of participants)*

|  |  |
|--|--|
| Name and Title of Project Coordinator: | Name and Title of Programme Coordinator: |
| Signature: _____                       | Signature: _____                         |
| Date: _____                            | Date: _____                              |

# ANNEX 10:

## FINAL REPORT FORMAT

### 1. Background information

- 1.1 Project title:
- 1.2 Project number (if applicable):
- 1.3 Responsible Programme(s) in PERSGA:
- 1.4 Project start date:
- 1.5 Project completion date:
- 1.6 Reporting period:
- 1.7 Reference to PERSGA Programmes and expected accomplishments:
- 1.8 Overall objectives of the project: *(maximum quarter of a page)*
- 1.9 Total budget (US\$):
- 1.10 Partners and leveraged resources:

*Describe collaboration with partners. Specify implementing agencies as well as cooperating organizations and state their role.*

*List any additional resources leveraged (beyond those committed to the project itself at the time of approval) as a result of the project (financial and in-kind).*

## 2. Project status

| <b>2.1 Information on the delivery of the project:</b>  |  |                                       |   |
|---|--|---------------------------------------|---|
|   | <b>Activities/Outputs</b><br>(as listed in the project document) | <b>Status</b><br>(Complete / ongoing) | <b>Results/Impact</b><br>(measured against the performance indicators stated in the project document) |
| 1.  |  |                                       |   |
| 2.  |  |                                       |   |
| 3.  |  |                                       |   |
| 4.  |  |                                       |   |
| 5.  |  |                                       |   |
| <b>2.2 List lessons learned and best practices:</b>   |  |                                       |   |
| <b>2.3 State how the project has nurtured sustainability. Is the project or project methodology replicable in other countries? If yes, are there any concrete examples or requests?</b> |  |                                       |   |

## 3. List of attached documents

*(For example, publications, reports of meetings/training seminars/workshops, lists of participants)*

|  |  |
|--|--|
| Name and Title of Project Coordinator: | Name and Title of Programme Coordinator: |
| Signature: _____                       | Signature: _____                         |
| Date: _____                            | Date: _____                              |

# ANNEX 11: REQUEST FOR PAYMENT FORMAT



## REQUEST FOR PAYMENT

**To:** His Excellency the Secretary General  
PERSGA - Jeddah Saudi Arabia  
**From:**

**Project No.:**

**Project Title:**

Period covering this request **from:** \_\_\_\_\_ **to:** \_\_\_\_\_

**Advance / Reimbursement**  
(Please select one of the above)

**Payment Information**  
(Please provide relevant information only):

|                     |                    |
|---------------------|--------------------|
| PAYMENT METHOD      | <b>EFT / Check</b> |
| PAYEE NAME          | *****              |
| ORGANIZATION        | *****              |
| STREET and NUMBER   | *****              |
| CITY & POSTAL CODE  | *****              |
| COUNTRY             | *****              |
| BANK NAME & ADDRESS | *****              |
| ROUTING NUMBER      | *****              |
| ACCOUNT NUMBER      | *****              |
| AMOUNT (US\$)       | 0.00               |
| SPECIAL NEEDS       |                    |

|  |  |   |
|--|--|---|
| <b>Prepared:</b><br><b>National Project Coordinator</b><br><br>Signature:<br>NAME:<br>TITLE:<br>DATE : ..... | <b>Revised:</b><br><b>National Project Accountant</b><br><br>Signature:<br>NAME:<br>TITLE:<br>DATE : ..... | <b>Certified:</b><br><b>National Financial Manager</b><br><br>Signature:<br>NAME:<br>TITLE:<br>DATE : ..... |
| <b>For PERSGA Use Only</b>   |  |   |
| <b>Revised:</b><br><b>PERSGA Project Coordinator</b><br><br>Signature:<br>NAME:<br>TITLE:<br>DATE : .....    | <b>Certified:</b><br><b>PERSGA Financial Manager</b><br><br>Signature:<br>NAME:<br>TITLE:<br>DATE : .....  | <b>Approved:</b><br><b>PERSGA Secretary General</b><br><br>Signature:<br>NAME:<br>TITLE:<br>DATE : .....    |

# ANNEX 12: CASH ADVANCE STATEMENT



## CASH ADVANCE STATUS REPORT

**Project Name:**  
**Project No.**  
**Onground Project for :**

**A. Period covered by this report:** \_\_\_\_\_ to \_\_\_\_\_  
**Period covered by the next report:** \_\_\_\_\_ to \_\_\_\_\_

**Project Termination:**

**B. Cash advance Use and Needs: (all in US dollars)**

|   |        |
|---|--------|
| 1. Cash advance on hand at the beginning of this reporting period   | \$0.00 |
| 2. PERSGA check advance(s) received during this reporting period  | \$0.00 |
| 3. Interest earned on cash advance during this reporting period   | \$0.00 |
| 4. GROSS cash advance available during this reporting period <i>(lines 1, 2, &amp; 3)</i>   | \$0.00 |
| 5. LESS, interest remitted to PERSGA during this reporting period   | \$0.00 |
| 6. NET cash advance available during this reporting period <i>(lines 4 -5)</i>  | \$0.00 |
| 7. Total disbursements during this reporting period, including sub advances <i>(Footnote 1)</i>   | \$0.00 |
| 8. Amount of cash advances available at the end of this reporting period <i>(Footnote 2)</i>  | \$0.00 |
| 9. Projected disbursements, including sub advances, for the next reporting period <i>(Footnote 3)</i>                                   | \$0.00 |
| 10. Additional cash advance requested for the next reporting period   | \$0.00 |
| 11. Total interest earned on cash advance from the start of the project to the end of this reporting period, but not remitted to PERSGA | \$0.00 |
| 12. Total cash advances to project partner, if any, as of the end of this reporting period  | \$0.00 |

**\* Footnotes**

1. The Project Partner shall submit a cumulative detailed report of disbursements by BUDGET Line item quarterly.
2. If the amount of disbursements in 7 is equal to or more than the advance amount in 6, the total must be '0'!
3. The Project Partner shall attach a Summary, by BUDGET Line item, of its projected disbursements for the next reporting period.

**C. Certification**

The undersigned hereby certifies: (1) that the amount in paragraph B.9 above represents the best estimate of funds needed for the disbursements to be incurred over the period described, (2) that appropriate refund or credit to the grant will be made in the event of disallowance in accordance with the terms of the grant, (3) that appropriate refund or credit to the grant will be made in the event funds are not expended, and (4) that any interest accrued on the funds made available herein will be refunded to PERSGA.

|   |   |  |
|---|---|--|
| <b>Prepared: National Project Coordinator</b> | <b>Revised: National Project Accountant</b> | <b>Certified: National Financial Manager</b> |
| Signature: _____                              | Signature: _____                            | Signature: _____                             |
| NAME: _____                                   | NAME: _____                                 | NAME: _____                                  |
| TITLE: _____                                  | TITLE: _____                                | TITLE: _____                                 |
| DATE : _____                                  | DATE : _____                                | DATE : _____                                 |
| <b>For PERSGA Use Only</b>                    |   |  |
| <b>Revised: PERSGA Project Coordinator</b>    | <b>Certified: PERSGA Financial Manager</b>  | <b>Approved: PERSGA Secretary General</b>    |
| Signature: _____                              | Signature: _____                            | Signature: _____                             |
| NAME: _____                                   | NAME: _____                                 | NAME: _____                                  |
| TITLE: _____                                  | TITLE: _____                                | TITLE: _____                                 |
| DATE : _____                                  | DATE : _____                                | DATE : _____                                 |

# ANNEX 13: QUARTERLY EXPENDITURE REPORT



## ACTUAL DISBURSEMENT REPORT

**To:** His Excellency the Secretary General  
PERSGA - Jeddah, Saudi Arabia

**From:** Project Partner

**Re:** Project short name - number

**Project Partner:**

**Project No.**

**From:** *date* **To:** *date*

| Budget Line Item (items below are just examples, they change according to the Project Document) | Budget | Disbursements this period | Cumulative Disbursements | Balance |
|---|--------|---------------------------|--------------------------|---------|
| Money transfer and bank charges   | \$0.00 | \$0.00                    | \$0.00                   | \$0.00  |
| Sample analysis and tools   | \$0.00 | \$0.00                    | \$0.00                   | \$0.00  |
| Local experts (consultants) inclusive with internal travel, lab and field work                  | \$0.00 | \$0.00                    | \$0.00                   | \$0.00  |
| Working group: technical staff expenses and internal travel                                     | \$0.00 | \$0.00                    | \$0.00                   | \$0.00  |
| Workshops, public awareness and outreach  | \$0.00 | \$0.00                    | \$0.00                   | \$0.00  |
| <b>Total Expenses</b>   | \$0.00 | \$0.00                    | \$0.00                   | \$0.00  |

Note: All amounts are in U.S. Dollars (\$)

The undersigned hereby certifies: (A) that payment of the sum claimed is proper and due and that appropriate refund to PERSGA will be made promptly upon request in the event of disallowance of costs not reimbursable under the terms of the agreement; (B) that information on the fiscal report is correct and such detailed supporting information as PERSGA may reasonably require will be furnished promptly to PERSGA on request; (C) that all requirements called for under the agreement to date of this certification have been met.

|  |   |   |
|--|---|---|
| <b>Prepared:</b><br><b>National Project Coordinator</b><br><br>Signature:<br>NAME:<br>TITLE:<br>DATE : ..... | <b>Revised:</b><br><b>National Project Accountant</b><br><br>Signature:<br>NAME:<br>TITLE:<br>DATE : .....  | <b>Certified:</b><br><b>National Financial Manager</b><br><br>Signature:<br>NAME:<br>TITLE:<br>DATE : ..... |
| <b>For PERSGA Use Only</b>   |   |   |
| <b>Revised:</b><br><b>PERSGA Project Coordinator</b><br><br>Signature:<br>NAME:<br>TITLE:<br>DATE : .....    | <b>Certified:</b><br><b>PERSGA Project Coordinator</b><br><br>Signature:<br>NAME:<br>TITLE:<br>DATE : ..... | <b>Approved:</b><br><b>PERSGA Secretary General</b><br><br>Signature:<br>NAME:<br>TITLE:<br>DATE : .....    |



