




GGGI

Project Cycle Management

Manual

VERSION 1.0

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Acronyms

ADG	Assistant Director General
DG	Director General
ERP	Enterprise Resource Planning system
GGPI	Green Growth Planning and Implementation Division
HR	Human Resources Unit
IEU	Impact and Evaluation Unit
IPSD	Investment and Policy Solutions Division
MT	Management Team
ODG	Office of the Director General
OED	Operations Enabling Division
PCM	Project Cycle Management
WPB	Work Program and Budget

1. INTRODUCTION

PURPOSE OF THIS MANUAL

1. The purpose of this manual is to clearly describe the key processes, responsibilities and tools for managing GGGI projects in an effective and efficient way.
2. This manual is supported by various subsidiary templates and guidelines which provide additional explanation on how certain project management processes should be undertaken. Where relevant, these documents are described throughout the manual and links to them are provided.
3. This manual gives effect to strategic commitments made by the GGGI and obligations set in administrative instruments, including:
 - a) the commitment made in the Strategic Plan 2015-20 for GGGI to be an organization that manages for results, maximizes impact and delivers value for money;
 - b) Financial Regulation 3.8(a), which states that “the DG shall establish a system for measuring performance against the approved Work Program and Budget”.
4. The processes and responsibilities set out in this manual are intended to be aligned to other relevant GGGI policies, such as the Financial Regulations and Delegations of Authority. References to other policies are made throughout the manual where relevant.

WHAT IS PROJECT CYCLE MANAGEMENT?

5. In the context of this manual, the term *project* refers to any project that:
 - a) Is approved for implementation under a Work Program and Budget (core funded) OR under an agreement with a specific donor (earmarked funded);
 - b) Is allocated a Project ID in the ERP.
 - c) Has a logframe that sets out the planned results to be delivered within a defined time period using an approved budget.
6. Note that the term *project* is related to, but different from, the term *country program*. A country program refers to a group of one or more projects in a single country. It is also different from *bankable projects*, which are considered outputs of a project as defined here.
7. *Project Cycle Management (PCM)* is a common approach to management of projects in the international development sector. It refers to a series of stages through which a project is managed from start to end. In GGGI, the project cycle is broken down into various stages:
 - Identification
 - Design

- Delivery
- Monitoring and reporting
- Evaluation

8. The rest of this manual is structured according to these stages. For each stage, the steps and responsibilities for a number of key business processes are outlined.

HOW PROJECT CYCLE MANAGEMENT SUPPORTS OTHER GGGI PRIORITIES

9. As shown in *Figure 1* below, the PCM plays a critical role in supporting a number of key functions in GGGI.

- Delivering on Strategic Plans:*** The Strategic Plan 2015-20 and Country Planning Frameworks set out the medium-term strategic priorities and directions for GGGI at the whole-of-organization and country levels. The Thematic Strategy outlines key thematic areas in which GGGI will focus its service offerings. The PCM supports the delivery of these strategies by ensuring that only projects aligned to their priorities are approved for funding and delivery.
- Preparing Work Program and Budgets:*** The PCM is closely aligned with GGGI's Work Program and Budget process. Specifically, the processes and templates outlined for the *Identification* and *Design* stages are used to prepare biennial Work Program and Budgets.
- Meeting accountability requirements:*** The PCM sets out the requirements for project reporting, including what, how and when. This reporting is used to meet a range of accountability requirements, such as production of GGGI's Annual Reports, reporting to GGGI's governance bodies and bilateral reporting requirements of individual donors.

Figure 1 – Project Cycle Management and links to GGGI’s strategic priorities and funding/accountability requirements

	Strategy & Planning	Implementation	Monitoring & Reporting	Evaluation
Whole of GGGI	<p>Strategic Plan 2015-2020</p> <ul style="list-style-type: none"> • Sets overall vision and 3 strategic outcomes for GGGI • Corporate Results Framework measures progress/results <p>Work Program & Budget (WPB)</p> <ul style="list-style-type: none"> • Sets out planned projects and budgets over 2 year cycles 		<p>Monitoring & reporting on whole-of-GGGI results</p> <ul style="list-style-type: none"> • Report against Corp Results Framework • Info used for variety of internal and external activities 	<p>Donor evaluations</p> <ul style="list-style-type: none"> • Joint Donor Reviews commissioned by the Council • Single donor reviews for their own internal requirements
Country program	<p>Country Planning Frameworks</p> <ul style="list-style-type: none"> • Defines GGGI's medium-term outcomes at country level • Aligned to GGGI Strategic Plan & partner govt priorities • Guides the future design of new projects 			
Project	<p>Establishing new projects</p> <ul style="list-style-type: none"> • Can be proposed via the WPB process or outside of it (core) • Submission of project proposals to specific donors (earmarked) 	<p>Implementing & revising projects</p> <ul style="list-style-type: none"> • Flexibility exists to adjust existing projects, but needs to be done in a structured way and with sufficient justification 	<p>Monitoring and reporting on project results</p> <ul style="list-style-type: none"> • Report against logframes via ERP and end-of-year reports • Info used for a variety of internal and external activities 	<p>Project evaluations</p> <ul style="list-style-type: none"> • Independent project evaluations commissioned by GGGI and donors (for earmarked projects)

2. IDENTIFICATION STAGE

2.1 Requesting a budget to scope a new project

PURPOSE

1. The purpose of this process is to seek approval for a budget to undertake scoping work for a new project.
2. This process should be used where:
 - a project is still at an 'idea' stage and has not yet been discussed with government partners and other key stakeholders;
 - the project is not sufficiently defined for a logframe or budget to be prepared;
 - further scoping of the project will be a substantial exercise requiring a dedicated budget which has not already been allocated.
3. This process only applies to core-funded projects. For earmarked-funded projects, refer to Section 3.2 of this manual.
4. It is not mandatory for all projects to start with a Concept Note. Projects can also begin with preparation of a Delivery Proposal (see Section 3.1) if there is enough information to do so.

STEPS AND RESPONSIBILITIES

Step 1: Initial discussion with Assistant Director General

5. To begin with, the project idea and potential budget availability must be discussed with the Assistant Director General (ADG) of the lead division to ensure they support the preparation of a Concept Note.
6. The ADG shall ensure a staff member from their division is assigned to be responsible for preparation of the Concept Note (referred to hereon as the 'Project Manager').

Step 2: Draft a Concept Note and consult

7. The Project Manager shall prepare a draft Concept Note using [PCM template T2.1a](#). They are also responsible for ensuring that other divisions¹ in GGPI are adequately consulted, particularly if the project scoping is expected to require their input.
8. In addition to relevant staff in GGPI and IPSD, the draft Concept Note must be sent to the Heads of ODG, Finance, IEU and HR for review, to be completed within 2 working days, before

¹ In IPSD, this should include Sector Leads and the Head of GIS.

proceeding to the next step.

Step 3: Submit Concept Note to ADG for review

9. Once a draft of the Concept Note has been completed, it must be submitted to the ADG of the lead division for review.

Step 4: Submit to Management Team for clearance

10. Following ADG review, the Concept Note must be submitted to the Management Team (MT) for review and clearance. This may occur in one of the following ways:
 - a) If the Concept Note is being prepared as part of a Work Program and Budget (WPB) preparation process, it will be submitted in accordance with corporate instructions issued about this. Typically, the MT will review Concept Notes and Delivery Proposals in bulk as part of the WPB ‘challenge sessions’.
 - b) If the Concept Note is not being prepared as part of a WPB preparation process, it can be submitted to any meeting of the MT for review and decision.
11. The MT shall review the Concept Note and decide whether to:
 - a) Clear the Concept Note
 - b) Request that the Concept Note be revised and resubmitted for clearance
 - c) Reject the Concept Note

Step 5: Submit DG Memo to formalize budget approval

12. If the Concept Note has been prepared as part of a WPB preparation process, this step is not required. Budget approval will be formally given by Council when the WPB is approved.
13. If the Concept Note has not been prepared as part of a WPB preparation process, then the Project Manager must prepare a memo for signing using **DG Memo template** to formalize the approval of budget, in accordance with Financial Regulation 3.3.
14. A copy of the signed DG Memo and final approved Concept Note must be emailed to all relevant staff, including as a minimum:
 - MT members
 - The relevant Head of Programs and Country Representative
 - Head of GIS and Sector Leads
 - Heads of ODG, Finance, IEU and HR

Step 6: Activate the budget in ERP for use

15. If the Concept Note has been prepared as part of a WPB preparation process, the budget will be activated by Finance after the WPB has been approved by Council. Generally this will occur at the start of the financial year.
16. If the Concept Note has been approved outside of a WPB preparation process, the Project Manager can, at any time, create a new project ID in ERP to enable the approved budget for project scoping to be uploaded. For instructions on how to do this, refer to the [ERP Project Module Guidelines](#).

Step 7: Attach key documents in ERP for record keeping

17. Once a project ID has been assigned in ERP, upload the final Concept Note and signed DG Memo as an attachment in the ERP Project Management module. For instructions on how to do this, refer to the [Guide on Reporting Project Progress in ERP](#).

TEMPLATES & GUIDELINES

18. Templates and guidelines that relate to this process are include the following:
 - T2.1a – Project Concept Note template, including annexes:
 - Annex A - Workplan for scoping of the project
 - Annex B - Procurement plan for scoping of the project
 - Detailed budget template
 - DG Memo template
 - ERP Project Module Guidelines
 - Guide on Reporting Project Progress in ERP
19. Templates and guidelines can be accessed in the *Process Asset Library* site in Sharepoint, under the *Project Cycle Management* folder.

3. DESIGN STAGE

3.1 Requesting a budget to deliver a new project

PURPOSE

1. The purpose of this process is to seek approval for a budget to deliver a new project.
2. This process should be used where:
 - there is sufficient information available to prepare and submit a Project Delivery Proposal;
 - the proposed project has been discussed with partner governments who have expressed support for it;
 - no budget has been yet allocated for delivery of the proposed project.
3. This process applies only to core funded projects. For earmarked projects, see Section 3.2 of this manual.
4. If scoping work has previously been undertaken for a project (see Section 2.1 of this manual), the final output of this is expected to be a Project Delivery Proposal. This document becomes the basis for requesting a budget to deliver a new project, as described below.

STEPS & RESPONSIBILITIES

Step 1: Initial discussion with Assistant Director General

5. The proposed project and potential budget availability should be discussed with the ADG of the lead division to ensure they support the preparation of a Delivery Proposal.
6. The ADG shall ensure a Project Manager from their division is assigned to be responsible for preparation of a Delivery Proposal (referred to hereon as the 'Project Manager').

Step 2: Draft a Delivery Proposal and consult

7. The Project Manager shall prepare a draft Delivery Proposal using **PCM template T3.1a**. They are also responsible for ensuring that other divisions² in GGGI and external stakeholders are adequately consulted, especially if project delivery is expected to require their input, support or consent.
8. For projects that country-based, any consultations with partner governments or other country-based stakeholders should be done in close coordination with GGGI's Country Representative.
9. In addition to relevant staff in GGPI/IPSD, the draft Delivery Proposal should be sent to the

² In IPSD, this should include the Sector Leads and Head of GIS.

following staff for review, to be completed within 3 working days, before proceeding to the next step:

- a) Head of ODG – responsible for reviewing strategic relevance and implications of the project, including donor-related considerations.
- b) Head of Finance – responsible for reviewing the budget and procurement plan.
- c) Head of IEU – responsible for reviewing the logframe and other results-related issues.
- d) Head of HR – responsible for reviewing staffing and individual consultant needs.
- e) Senior Sustainability and Safeguards Specialist – responsible for reviewing the environmental and social safeguards assessment.

Step 3: Submit Delivery Proposal to Assistant Director General for review

- 10. Once a draft of the Project Delivery Proposal has been completed, it should be submitted to the ADG of the lead division for review.

Step 4: Submit to Management Team for clearance

- 11. Following ADG review, the Delivery Proposal must be submitted to MT for review and clearance. This may occur in one of the following ways:
 - a) If the Delivery Proposal is being prepared as part of a WPB preparation process, it will be submitted in accordance with specific corporate instructions about this. Typically the MT will review Concept Notes and Delivery Proposals in bulk as part of WPB ‘challenge sessions’.
 - b) If the Delivery Proposal is not being prepared as part of a WPB preparation process, it can be submitted to any regular meeting of the MT for review and decision.
- 12. The MT shall review the Delivery Proposal and decide whether to:
 - a) Clear the Delivery Proposal
 - b) Request that the Delivery Proposal be revised and resubmitted for clearance
 - c) Reject the Delivery Proposal

Step 5: Submit DG Memo to formalize budget approval

- 13. If the Delivery Proposal has been prepared as part of a WPB preparation process, this step is not required. Budget approval will be formally given by Council when the WPB is approved.
- 14. If the Delivery Proposal has not been prepared as part of a WPB preparation process, then

the Project Manager must prepare a memo for signing using the [DG Memo template](#) to formalize the approval of budget to deliver the project in accordance with Financial Regulation 3.3.

15. A copy of the signed DG Memo and final approved Delivery Proposal must be emailed to all relevant staff, including as a minimum:
 - Management Team members
 - The relevant Head of Programs and Country Representative
 - Sector Leads and Head of GIS
 - Heads of ODG, Finance, IEU and HR

Step 6: Activate the budget in ERP for use

16. If the Delivery Proposal has been prepared as part of a WPB preparation process, the budget will be activated by Finance after the WPB has been approved by Council. Generally this will occur at the start of the financial year.
17. If the Delivery Proposal has been approved outside of a WPB preparation process, the Project Manager can create a new project ID in ERP to enable the approved budget for project delivery to be uploaded. For instructions on how to do this, refer to the [ERP Project Module Guidelines](#).
18. If scoping work has previously been undertaken and a project ID has already been created, then the same project ID should be used and the 'Project Phase' changed to 'Delivery' in ERP. For instructions on how to do this, refer to the [ERP Project Module Guidelines](#).

Step 7: Attach key documents in ERP for record keeping

19. Once a project ID has been established for the project, attach the final Delivery Proposal and signed DG Memo in ERP. For instructions on how to do this, refer to the [Guide on Reporting Project Progress in ERP](#).

TEMPLATES & TOOLS

20. Templates and guidelines that relate to this process include the following:
 - T3.1a – Project Delivery Proposal template, including annexes:
 - Annex A - Logframe
 - Annex B – Workplan

- Annex C - Procurement plan
- Annex D – Environmental and social safeguards assessment
- Detailed budget template
- DG Memo template
- ERP Project Module Guidelines
- Guide on Reporting Project Progress in ERP

21. Templates and guidelines can be accessed in the *Process Asset Library* site in Sharepoint, under the *Project Cycle Management* folder.

3.2 Submitting project proposals for earmarked funding

PURPOSE

1. The purpose of this process is to ensure there is a clear and coordinated mechanism for preparation and submission of high quality earmarked funding proposals.
2. In addition to the process set out in this section, further guidance on preparing and submitting earmarked funding proposals is also available in the Checklist for Submitting Proposals (see [PCM template T3.2a](#)).

STEPS & RESPONSIBILITIES

Step 1: Identify and seek approval to pursue an earmarked funding opportunity

3. Opportunities for earmarked funding may be identified by any GGPI or IPSD staff member in headquarters or in-country (“Project Originator”). Once identified, the opportunity shall be brought to the attention of the Head of ODG, the relevant Country Representative and ADG GGPI for in-country projects opportunities or ADG IPSD for global projects opportunities.³
4. The Project Originator shall inform the Head of ODG and ADG (GGPI and/or IPSD) whether they are interested in pursuing the identified funding opportunity.
5. The Project Originator shall complete the Earmarked Funding Identification Form (using [PCM template T3.2b](#)) and submit this to the ADG (GGPI and/or IPSD) and Head of ODG for endorsement. For assistance in completing this form, contact ODG (Resource Mobilization Focal Point).
6. The ADG shall review the form in consultation with the Head of ODG and sign the document to formally confirm the decision to proceed with developing the project concept note/proposal.

Step 2: Assign a Project Development Team

7. A cross-functional Project Development Team shall be appointed, which will be coordinated by the ODG Focal Point. The team is to be comprised of focal points from all relevant divisions/units who can contribute to development and quality assurance of the proposal and coordinate within their divisions/departments as necessary. Composition of the team must include, as a minimum:
 - **Project Originator:** The Project Originator, as confirmed in the Earmarked Proposal Identification Form, is responsible for developing the technical content of the proposal on behalf of the lead division.

³ Typically, GGPI has lead responsibility for in-country projects and IPSD for global projects.

- **Program Division Focal Points:** For projects led by GGPI, a focal point for IPSD shall be appointed to coordinate and provide input relating to relevant content, and vice versa for projects led by IPSD.
 - **ODG Focal Point:** A focal point from the ODG shall be appointed to coordinate the overall proposal preparation process, and ensure the quality of engagement with the donor.
 - **OED Focal Points:** OED focal points provide quality assurance for key proposal documents, including the logframe, budget and legal advice.
8. The endorsed Identification Form shall be circulated to the Project Development Team by the ODG Focal Point.

Step 3: Prepare and seek approval to submit a Concept Note (if required)

9. Some donors require a Concept Note⁴ prior to submission of a detailed Project Proposal. These are typically used by donors to decide whether a proposed project idea (or GGGI) is sufficiently attractive to proceed with preparation of a detailed Project Proposal. Concept Notes do not usually lead directly to a funding decision. If the donor requires a Concept Note, complete this step; otherwise proceed to Step 5.
10. If the donor has a specified format and process for this, then the Concept Note shall be prepared in accordance with the required format/procedure.
11. If the donor has no specified format, then the Concept Note for Earmarked Projects template (under development) shall be used.
12. Once drafted, the Project Originator shall circulate the Concept Note to project development team for their review and clearance.
13. The Project Originator shall revise and finalize the Concept Note to address any feedback from reviewers.

Step 3. MT approval to submit Concept Note

14. The project originator shall submit the Concept Note and approval memo to MT for endorsement before submitting the final Concept Note to the donor. The **DG Memo template** shall be used for this purpose.
15. Once approved by the MT, and requested revisions have been addressed, the Project Originator is responsible for submitting the Concept Note to the donor.

⁴ Some donors may have different names for this, such as “Expression of Interest” or “Capability Statements”.

Step 4: Develop Project Proposal

16. A Project Proposal usually provides all key details regarding the delivery of proposed project and is generally intended to enable the donor to make a decision on funding.
17. If the donor has a specified format and process for this, then the Project Proposal shall be prepared in accordance with the required format/procedure. Note, however, that in addition to any donor requirements, the project budget and logframe must also be completed using GGGI's internal **Budget template** and **Logframe template** formats. This is to allow the information to be entered into ERP later if the proposal is successful.
18. A Project Development Team shall be appointed (using the same process outlined under Step 2) to prepare the proposal. If a team has already been appointed to develop a Concept Note, the same team can continue to prepare the Project Proposal.
19. If the donor has no specified format, the proposal shall be prepared using GGGI's format for full proposals using the Project Proposal for Earmarked Funding template (under development).

Step 5: Internal review of Project Proposal

20. Once drafted, the Project Originator shall, as a minimum, circulate the Project Proposal to the following staff for review and clearance:
 - a) Head of ODG
 - b) Relevant Head of Division, Heads of Programs
 - c) Sector Leads and Head of GIS
 - d) Head of IEU
 - e) Head of Finance
 - f) Head of HR
21. The ODG Focal Point shall coordinate revisions to finalize the Project Proposal to address any feedback from reviewers.

Step 6: Submit proposal for MT review

22. The ADG GGPI/IPSD shall table the draft Project Proposal at a meeting of the MT for discussion, review and endorsement to submit.
23. The MT are responsible for reviewing the Project Proposal and, subject to any requested revisions, endorsing its submission to the donor.

24. Once endorsed by MT, the project originator shall prepare a memo for DG approval to submit the finalized Project Proposal to the donor. The **DG Memo template** shall be used for this purpose.

Step 7: Finalize submission of completed proposal

25. Once approved by the DG, the Project Originator shall submit the Project Proposal to the donor, and send a copy of the signed memo to all relevant staff including the Heads of ODG, IEU and Finance for information.

TEMPLATES & TOOLS

26. Templates and tools that relate to this process include the following:
- T3.2a - Checklist for Submitting Proposals
 - T3.2b - Earmarked Proposal Identification Form
 - Budget template
 - Logframe template
 - DG Memo template
27. Templates and guidelines can be accessed in the *Process Asset Library* site in Sharepoint, under the *Project Cycle Management* folder.

4. DELIVERY STAGE

4.1 Establishing Project-related Agreements

PURPOSE

1. The purpose of this process is to ensure that appropriate agreements are formally established with government and other partners, as well as earmarked funding agencies, to facilitate project delivery.
2. For the purposes of this section, Project-related Agreements refer to memoranda of understanding, letters of intent, frameworks of cooperation, funding agreements (in relation to funds from GGGI to a third party), or other similar institutional arrangements that commit organizational resources or associate GGGI with a third-party. This section does not cover employment contracts and contracts that involve procurement of goods, works or services, or agreements in relation to the provision of core funds into GGGI.
3. Earmarked funding agreements relates to the provision of funding from donor agencies provided for the delivery of a specific project. This will typically be based on earmarked project proposals submitted by GGGI to donors, as outlined in section 3.2.
4. This process applies to core and earmarked funded projects.

STEPS AND RESPONSIBILITIES: Earmarked funding agreements with donor agencies for country projects

Step 1: Obtain draft funding agreement from donor

5. In general, donor agencies will have their own formats for earmarked funding agreements, and will initiate the process by preparing a draft funding agreement and providing this to GGGI to comment on.

Step 2: Internal review and clearance of the funding agreement

6. The Country Representative for the country where the project is to be delivered shall review the funding agreement and identify any necessary revisions.
7. In addition, the Country Representative shall circulate the draft funding agreement to relevant staff for review and/or clearance. At a minimum, this should include:
 - a) Head of Programs for the relevant country and ADG GGPI
 - b) Sector Leads, Head of GIS and ADG IPSD
 - c) Head of ODG
 - d) Deputy Director General, OED
 - e) Head of Legal

- f) Head of Finance

Step 3: Revise agreement with funding agency

8. If any required revisions to the draft funding agreement have been identified, the Country Representative shall collate and submit these to the funding agency for consideration and negotiation.

Step 4: Sign funding agreement

9. Once the funding agreement has been finalized to the satisfaction of both parties, the Country Representative shall arrange for the agreement, along with a covering memo, to be submitted to the Director-General for signing.
10. Once the agreement has been signed by both GGGI and the funding agency, the Country Representative must send the original signed agreement to Head of Legal for record keeping.
11. Copies of the signed agreement should be circulated to all relevant staff for information, including:
 - a) Head of Programs for the relevant country and ADG GGPI
 - b) Head of ODG
 - c) Head of Finance

STEPS AND RESPONSIBILITIES: Project-related Agreements

12. Upon approval of core or earmarked funding for any new project, the Project Manager must ensure appropriate agreements are established with (i) the main government counterpart for the project and (ii) each non-government partner, if any, that under the project design are committing organizational resources that are necessary for project delivery. This should be done before or as soon as practicable upon the commencement of any new project.
13. For steps and responsibilities on establishing Project-related Agreements, refer to separate Rules for Processing and Approval of Institutional Arrangements and Agreements (under development).

TEMPLATES & TOOLS

14. Templates and guidelines relating to this process include:
 - Rules for Processing and Approval of Institutional Arrangements and Agreements (click [here](#) to access).
15. Templates and guidelines can be accessed in the *Process Asset Library* site in Sharepoint, under the *Project Cycle Management* folder.

4.2 Monthly and quarterly reporting on project progress in ERP

PURPOSE

1. The purpose of this process is to provide a mechanism for regular collection of information on project progress to support internal oversight and adaptive management, and external reporting to GGGI members/donors.
2. This process applies to all core and earmarked funded projects.
3. ADGs GGPI and IPSD are responsible for establishing arrangements within and/or across their respective divisions to:
 - a) oversee the progress of projects led by their division;
 - b) communicate this to the MT and other key stakeholders on a regular basis; and
 - c) identify and address any issues or risks that require management action.

STEPS & RESPONSIBILITIES

Step 1: Update ERP on progress in delivering results against the project logframe

4. In the context of this section, it should be noted that:
 - the term “Output Manager” refers to staff identified in ERP as holding responsibility for delivery of a project output and managing the budget associated with this; and
 - the term “Project Manager” refers to staff identified in ERP as holding responsibility for overall delivery of a project including all outputs related to it. A Project Manager may also be an Output Manager for one or more outputs related to their project.
5. Project Managers are responsible for liaising with all relevant Output Managers to agree on roles and arrangements for reporting and ensuring that information reported is timely and accurate.
6. Every first week of every month, all Project Managers must ensure ERP is updated with the previous month’s accomplishments and/or progress in delivering results against the project logframe. Detailed guidance on how to update ERP is provided in the [Guide on Reporting Project Progress in ERP](#).
7. **Note:** For country teams having difficulty accessing ERP, assistance can be requested from their respective Country Portfolio Officers.

Step 2: Monthly progress report on implementation of country programs

8. Every second week of every month, Country Representatives for all country programs must submit a monthly report using **PCM template 4.2a** to their respective Head of Programs for review before submitting to ADG. The monthly report provides information on results delivery, budget utilization and internal and external implementation challenges and includes explanation and remedial action for delays and underspending, if needed.
9. Reports on budgeted vs actual expenditure of projects are made available separately by the Finance unit.

Step 3: Quarterly report on integration

10. Every first week of every January, April, July and October, Country Representatives must submit a quarterly report using **PCM template 4.2b** on integration to GGPI Office of the ADG, Strategy and Integration team.
11. These monthly and quarterly integration reports serve as reference for GGPI and IPSD integration meetings where strategic initiatives, key integration issues and implementation challenges are being followed-up and discussed.

TEMPLATES & TOOLS

12. Templates and guidelines that relate to this process include the following:
 - Guide to Reporting Project Progress in ERP
 - T4.2a - GGPI monthly report template
 - T4.2b - Quarterly integration report template
13. Templates and guidelines can be accessed in the *Process Asset Library* site in Sharepoint, under the *Project Cycle Management* folder.

4.3 Annual reporting of project and corporate results

PURPOSE

1. The purpose of this process is to provide a coordinated mechanism for collecting and reporting annual project and corporate results, to serve a range of accountability and communication requirements, including:
 - Meeting reporting requirements of donors under their funding agreements with GGGI;
 - Reporting results of implementing the WPB and Strategic Plan to GGGI's governance organs, eg: MPSC, Council and Assembly; and
 - Preparation and publication of corporate communication products including GGGI's Annual Report and website.
2. This process applies to all core and earmarked funded projects.
3. In the context of this process, it should be noted that:
 - the term "Output Manager" refers to staff identified in ERP as holding responsibility for delivery of a project output and managing the budget associated with this; and
 - the term "Project Manager" refers to staff identified in ERP as holding responsibility for overall delivery of a project. A Project Manager may also be an Output Manager for one or more outputs related to their project.

STEPS & RESPONSIBILITIES

Step 1: ODG develops and issues templates and instructions for annual reporting

4. At the end of each financial year, the Head of ODG shall develop and issue instructions and templates for annual reporting of project results to all Project Managers.
5. In preparing these, the Head of ODG shall consult with other units/divisions who may use the collected information, in order to minimize unnecessary duplication of reporting requests.

Step 2: Project Managers prepare and submit reports to ADGs

6. Project Managers are responsible for completing the End of Year Results Report template (**PCM template T4.3a**) in line with quality standards and timeframes issued by ODG.
7. Project Managers are responsible for reporting on all outputs under their project. In doing so, they are responsible for liaising with all relevant Output Managers to ensure their reporting is accurate and up-to-date.

Step 3: ADGs quality assure reporting templates and submit to ODG

8. ADGs GGPI and IPSD should ensure arrangements to quality assure reports submitted by Project Managers in their respective divisions to verify that the information reported is accurate and of a quality suitable for release to external audiences.
9. Reports should be submitted to ODG in accordance with the instructions and timeframes issued under Step 1.

Step 4: ODG compiles a consolidated annual results report

10. Drawing on this information, ODG is responsible for preparing a consolidated report of GGGI's results from delivering the WPB and Strategic Plan. This shall include a summary of:
 - a) Results and expenditure of all projects against their approved logframes and budgets;
 - b) Significant changes made to projects as originally described in the WPB and explanations for these;
 - c) Corporate-level results against the Corporate Results Framework;
 - d) Other non-project related activities and results from all divisions (including OED and Office of the DG) that contributed to the delivery of the WPB and Strategic Plan.
11. In preparing this report, ODG may seek clarification or additional information from Project Managers as required.
12. ODG must submit this report to MT for consideration and clearance within 3 months of the end of the financial year being reported on.

Step 5: MT approves results information for external use

13. MT shall review and clear all material in the report for external use, eg: for GGGI's Annual Report, publication on GGGI's website, etc.
14. Once approved, material in the report should be regarded as GGGI's official account of results information for the reported year. Staff should avoid providing information to external stakeholders that conflicts with this cleared material.
15. Once approved, ODG must ensure the summary report is made known and accessible to all staff.

TEMPLATES & TOOLS

16. Templates and guidelines that relate to this process include the following:
 - T4.3a – End of year results report template⁵
17. Templates and guidelines can be accessed in the *Process Asset Library* site in Sharepoint, under the *Project Cycle Management* folder.

⁵ Note: This template is provided as a sample. Templates may be revised from year to year.

4.4 Mid-year review of project expenditure

PURPOSE

1. This process sets out a coordinated mechanism for mid-year review and adjustment of project budgets and expenditure. The aim of this process is to ensure GGGI resources are efficiently deployed across the project portfolio in response to expenditure performance and changes in project circumstances.
2. This process applies to core funded projects.
3. In the context of this process, it should be noted that:
 - the term “Output Manager” refers to staff identified in ERP as holding responsibility for delivery of a project output and managing the budget associated with this; and
 - the term “Project Manager” refers to staff identified in ERP as holding responsibility for overall delivery of a project. A Project Manager may also be an Output Manager for one or more outputs related to their project.

STEPS & RESPONSIBILITIES

Step 1: Finance issues instructions on mid-year project reviews

4. By end of May each year, Head of Finance shall issue instructions (including steps, timelines, templates and guidance) to all relevant staff for the mid-year project review and adjustment.⁶

Step 2: Project Managers review projects and identify proposed adjustments

5. Project Managers are responsible for coordinating a review of their project budgets and logframes with all Output Managers for their project.
6. As a result of this review, the Project Manager should complete the Project Adjustment template (under development) to identify:
 - a) whether output budgets should be increased, decreased or remain unchanged, and the reasons for this;
 - b) any changes to project logframes arising from the above.
7. Project Managers shall submit their Project Adjustment template to the relevant ADG/s for review:
 - Projects where all outputs are owned by one division should be submitted to the relevant

⁶ While the process described in this manual focuses on projects, the mid-year budget review process may also apply to non-programmatic units in ODG and OED divisions.

ADG.

- Projects containing outputs owned by GGGP and IPSD divisions should be submitted to both ADGs.
8. Project Managers are responsible for ensuring they agree to all proposed adjustments before submitting to ADGs. Submission of the proposed adjustments shall be regarded as endorsement by the Project Manager.

Step 3: ADGs review project adjustment templates

9. ADG GGPI and IPSD are responsible for reviewing all proposed project adjustments and revising them if necessary.
10. For projects containing outputs from both divisions, this review should be undertaken jointly.
11. Once endorsed by the ADG/s, all templates should be submitted to the Heads of Finance and IEU for review.

Step 4: Finance and IEU review proposed project adjustments

12. The Heads of Finance and IEU shall review and validate all proposed adjustments to budgets and logframes.
13. Once the adjustments have been validated, the Head of Finance (supported by the Head of IEU where changes to logframes are involved) shall prepare a consolidated summary of all proposed project adjustments;
14. A list of recommended approvals required to implement the adjustments, if they are cleared by MT in Step 5. Such recommendations could include one or more of the following:
- ADG approval to transfer budget within divisions
 - DG approval to transfer budget between divisions
 - ADG approval to release excess divisional budget back to general revenue
 - DG approval to approve allocation of, or a request for, additional budget⁷
 - ADG approval of any changes to project logframes as a result of the above

⁷ If additional budget is coming from an uncommitted budget envelope under an approved WPB, the DG may authorize this. If additional budget is required beyond the overall budget ceiling approved under a WPB, the DG must approve a submission of a request for supplementary budget to the Council.

Step 5: MT clearance of proposed project adjustments

15. The Head of Finance shall table the consolidated summary of all project adjustments, including recommended approvals, for discussion at a meeting of the MT.
16. MT shall review the proposed adjustments and clear the recommended approvals, or request revisions to be made before giving their clearance.

Step 6: Divisions prepare and submit approval memos to implement adjustments

17. In line with the MT clearance, ADG GGPI and/or IPSD shall prepare memos for signing to give effect to the recommended approvals in line with GGGI's Financial Regulations and Delegation of Authority. Memos should be prepared using the [DG Memo template](#).
18. Once signed, copies of the memo should be sent to all members of MT, as well as Heads of Finance and IEU for information/action.

TEMPLATES & TOOLS

15. Templates and tools that relate to this process include the following:
 - T4.4a – Project Adjustment template (under development)
 - DG Memo template
16. Templates and guidelines can be accessed in the *Process Asset Library* site in Sharepoint, under the *Project Cycle Management* folder.

4.5 Revisions to project logframes with budget implications

PURPOSE

1. This process describes the steps for making a formal revision to the scope and budget of a project. This covers any situation involving changes to a project logframe that would also result in a change to one or more output budgets for that project.
2. This process applies to core and earmarked funded projects.
3. In the context of this process, it should be noted that:
 - the term “Output Manager” refers to staff identified in ERP as holding responsibility for delivery of a project output and managing the budget associated with this; and
 - the term “Project Manager” refers to staff identified in ERP as holding responsibility for overall delivery of a project. A Project Manager may also be an Output Manager for one or more outputs related to their project.

STEPS & RESPONSIBILITIES

Step 1: Project Managers identify and document the proposed revision

4. Periodically, Project Managers may identify (or be advised of) a need to revise the project scope (logframe) in a way that has budget implications. Such revisions may involve one or more of the following changes:
 - Changed scope of an output, requiring an increase or decrease to the output budget
 - Addition of a new output, requiring a new output budget
 - Deletion of an existing output, allowing reallocation of the output budget
5. The Project Manager should complete the Project Revision template using [PCM template T4.5a](#) to describe the proposed changes to the project logframe and budget. Where required, Project Managers should consult with relevant Output Managers on the proposed changes.

Step 2: Finance and IEU review proposed revision

6. Once completed, the Project Revision template should be submitted to the Heads of Finance and IEU for review.
7. The Heads of Finance and IEU shall review and validate the proposed revisions to budgets and logframes.

8. The Head of Finance shall also provide advice to the Project Manager on the type of approval(s) required to implement the proposed revisions. This could include one or more of the following:
 - ADG approval for revisions involving transfer budget within divisions
 - DG approval to transfer budget between divisions
 - DG approval to approve allocation of, or a request for, additional core budget⁸
 - Formal revision of funding agreement with donors, for earmarked funded projects

Step 3: ADGs review and endorse proposed revision

9. The Project Manager shall submit their Project Revision template to the relevant ADG/s for review.
 - Projects where all changed outputs are owned by one division should be submitted to the relevant ADG.
 - Projects containing changed outputs owned by GGGP and IPSD divisions should be submitted to both ADGs.
10. ADG GGPI and/or IPSD shall review and endorse the proposed revisions or request changes as necessary.

Step 4: Obtain approvals for the endorsed revisions

11. For earmarked funded projects, formal variation of the funding agreement with the donor should be undertaken. Refer to Section 4.1 of this manual for further details on handling of earmarked funding agreements.
12. In line with the advice provided by the Head of Finance under Step 2, the Project Manager shall prepare memos for signing to give effect to the recommended approvals in line with GGGI's Financial Regulations and Delegation of Authority. Memos should be prepared using the [DG Memo template](#).
13. Once signed, copies of the memo should be sent to relevant staff for information. This should include the Heads of Finance and IEU, who will provide assistance on how to reflect the budgetary and logframe revisions in ERP.

⁸ If additional budget is coming from an uncommitted budget envelope under an approved WPB, the DG may authorize this. If additional budget is required beyond the overall budget ceiling approved under a WPB, the DG must approve a submission of a request for supplementary budget to the Council.

TEMPLATES & TOOLS

14. Templates and tools that relate to this process include the following:
 - T4.5a – Project Revision template
 - DG Memo template
15. Templates and guidelines can be accessed in the *Process Asset Library* site in Sharepoint, under the *Project Cycle Management* folder.

4.6 Revisions project logframes with no budget implications

PURPOSE

1. The purpose of this process is to provide a coordinated mechanism for making minor revisions to project logframes.
2. In the context of this section, minor revisions refers to logframe revisions that do not have budgetary implications. If a logframe revision is expected to have budgetary implications, refer to section 4.4 instead.
3. This process applies to both core and earmarked funded projects.
4. In the context of this process, it should be noted that:
 - the term “Output Manager” refers to staff identified in ERP as holding responsibility for delivery of a project output and managing the budget associated with this; and
 - the term “Project Manager” refers to staff identified in ERP as holding responsibility for overall delivery of a project. A Project Manager may also be an Output Manager for one or more outputs related to their project.

STEPS & RESPONSIBILITIES

Step 1: Project Manager identifies/confirms potential logframe revisions

5. From time to time, Project Managers or Output Managers may identify a potential need to make minor revisions to a project logframe. Examples include, but are not limited to:
 - a) Revising result descriptions to improve their clarity;
 - b) Revising or changing indicators to improve the measurability of a result;
 - c) Changing the timeframe for delivery of an output or outcome due to a government request or other legitimate reason;
6. If a revision has been identified by an Output Manager, it should be discussed and confirmed with the Project Manager first before proceeding to Step 2.

Step 2: Discuss and seek IEU clearance

7. The Project Manager should contact the Head of IEU to discuss and obtain clearance for the proposed revision.

Step 3: Seek ADG approval

8. Once cleared by IEU, the Project Manager should seek written approval for the proposed change from the relevant ADG. This approval may be done via email and does not require a formal memo.

Step 4: Seek donor approval (for earmarked projects only)

9. For earmarked projects, if deemed necessary by the Project Manager, the proposed revision should also be discussed and agreed with the relevant donor providing earmarked funding.

Step 5: Update the logframe in ERP

10. Once ADG approval has been granted, the Project Manager should notify the Head of IEU that approval has been received, and update the logframe in the ERP.

5. EVALUATION STAGE

5.1 Undertaking a project evaluation

PURPOSE

1. The purpose of this section is to describe GGGI's approach to project evaluations, including measures to ensure the quality, independence and utility of evaluations for learning and accountability needs.
2. Evaluations of projects in GGGI is a centralized function, managed by IEU. A sample of projects will be selected by IEU at the beginning of each year for evaluation, in consultation with GGGI staff, MT and members.
3. In the context of this process, it should be noted that:
 - the term "Project Manager" refers to staff identified in ERP as holding responsibility for overall delivery of a project that has been selected for evaluation under IEU's Annual Work Plan (see Section 5.1).

STEPS & RESPONSIBILITIES

Step 1: Prepare an evaluation TOR and consult

4. A designated IEU staff member (the "Evaluation Manager") shall prepare a TOR for the evaluation. In preparing the TOR, IEU will consult the Project Manager, other GGGI staff and members as appropriate.
5. The Project Manager shall also be requested to share and discuss the draft TOR with partner governments. The purpose of this is to:
 - a) Provide advance notice to the partner government of GGGI's intention to undertake an evaluation of the project
 - b) Explain the purpose of the evaluation and the nature and level of involvement expected from partner governments
 - c) Provide an opportunity for partner governments to comment on the evaluation TOR
6. Once all feedback has been received, the TOR will be sent to MT for discussion and clearance.

Step 2: Pre-evaluation preparation

7. To prepare for the engagement of the independent evaluator(s), the following preparatory activities shall be undertaken by IEU with support of the Project Manager:
 - a) The project description and its theory of change and/or logframe should be reviewed, clarified and documented.

- b) All available information on performance of the project against the theory of change should be identified and collected.
- c) Additional information of relevance to the evaluation should also be identified and collated – eg: GGGI’s Strategic Plan, Work Program and Budgets, etc.

Step 3: Engage an independent evaluator

- 8. To ensure that evaluations produced by GGGI are credible, one or more independent evaluators shall be recruited by IEU, in accordance with GGGI’s policies on procurement and recruitment of individual consultants.

Step 4: Hold an inception meeting and finalize the evaluation TOR

- 9. Once the independent evaluator or evaluation team has been engaged, an inception meeting should be held involving IEU, the Project Manager and the evaluator to clarify or confirm some or all of the following:
 - a) the key evaluation questions to be answered by the evaluation
 - b) the evaluation methods to be used to answer these questions
 - c) the work plan for the evaluation, including any proposed in-country visits, and arrangements for coordination and communication
 - d) any GGGI requirements in terms of reporting formats
 - e) the list of documents and other information available to the evaluator

Step 5: Data collection and analysis

- 10. Once the evaluation TOR has been finalized, the independent evaluator or evaluation team will then commence work in line with the agreed TOR. Typically, the first stage involves collection and analysis of data, including one or more of the following:
 - a) Review of documents made available by GGGI and/or other stakeholders
 - b) Additional phone calls or meetings to gather additional information
 - c) An in-country visit⁹ to observe/verify project activities, interview key project stakeholders (eg: government counterparts) and collect any additional data required.
- 11. The IEU Evaluation Manager shall help address any additional requests by the evaluator for additional documents or information. The Project Manager will provide support to the Evaluation Manager in doing this.

⁹ In some instances, the IEU Evaluation Manager may accompany the independent evaluator on in-country visits.

Step 6: Prepare an evaluation report

12. The evaluator or evaluation team will prepare a draft of their report in line with the agreed timelines and reporting formats, and submit this to the IEU Evaluation Manager.
13. IEU should circulate the draft report to all relevant stakeholders for review and comment, including but not limited to:
 - a) the Project Manager
 - b) All relevant GGGI staff involved in the project at Seoul HQ and in-country
 - c) Relevant government counterparts (via the Project Manager)
 - d) Other stakeholders involved in the project who may have provided information to the evaluation or are the subject of commentary in the evaluation report
14. As GGGI's official working language is English, it is optional but not mandatory for evaluation reports to be translated into other languages. The IEU Evaluation Manager, in consultation with the Project Manager, may decide whether a partial¹⁰ or full translation of the report is required, and if so, ensuring that adequate budget is set aside for this when preparing the TOR (Step 1).
15. It is important to note that the role of the evaluator is to apply their independent judgement to arrive at conclusions and recommendations relating to the evaluation questions, based on the evidence available to them. In providing comments, reviewers can provide comments on factual matters, make presentational suggestions or query judgements that don't appear well supported by evidence. To ensure the integrity and credibility of evaluations, independent evaluators cannot be directed to publish conclusions or recommendations that they do not agree with.
16. The IEU Evaluation Manager should coordinate the provision of feedback to the evaluator.
17. The evaluator or evaluation team should consider all feedback received and revise the report as appropriate. The final report should be submitted to the IEU Project Manager.

Step 7: Identify lessons learned and management responses

18. Once the evaluation is finalized, the Head of IEU will convene a post-evaluation review meeting. The purpose of this meeting is to bring together key stakeholders with responsibilities for areas covered by the evaluation findings and recommendations to:
 - a) Identify and discuss key lessons learned from the evaluation;

¹⁰ An example of a partial translation could be a translation of only the executive summary.

- b) Develop proposed management responses to recommendations from the evaluation.
19. Management responses should be developed and cleared by all relevant GGGI staff identified as responsible for implementing a management response.

Step 8: Publish evaluation

20. The final evaluation report, along with the agreed management response, should be submitted to MT.
21. In addition to general discussion of the evaluation findings, the MT should review and clear:
- a) The proposed GGGI management response to the evaluator's recommendations
 - b) Publication of the evaluation report and management responses on the GGGI website.
22. Once cleared, the Head of IEU shall forward the evaluation report and management response to the Communications Unit for posting on GGGI's website.
23. IEU should also upload the evaluation report to GGGI intranet so that it is accessible to all staff.