

**ANNEX A: PROJECT RESULTS FRAMEWORK** (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Long-term goal: To enable SPREP to support 14 Pacific Island Countries to more effectively achieve global environmental benefits by strengthening their key institutional and individual capacities.					
<u>Project objectives:</u>  A. To strengthen SPREP's capacity to assist Pacific Island Countries' implementation of the three Rio Conventions.  B. To enable pacific island countries to expedite access to GEF resources through SPREP.	<u>Outcome indicators:</u>  ▪ Pacific island countries capacity enhanced to access MEAs funding.  ▪ SPREP fiduciary capacity strengthened.  ▪ SPREP management policies and procedures aligned to GEF's social and environmental safeguard including gender mainstreaming policies.  ▪ SPREP accredited as a GEF Project Agency.	  ▪ Pacific island countries continue to be slow in accessing MEAs funding.  ▪ Limited SPREP fiduciary capacity.  ▪ There are no social and environmental policy in place.  ▪ Gender mainstreaming considered at project levels but no such policy exists for the organizations as a whole.  ▪ SPREP Stage I application submitted.	<u>By the end of the project:</u>  ▪ Pacific island countries will have fast track access to MEA funding such as the GEF.  ▪ SPREP fiduciary capacity enhanced to meet GEF minimum fiduciary standards.  ▪ A social and environmental safeguard policy and procedures approved and practiced successfully.  ▪ A gender mainstreaming policy for SPREP approved and practiced successfully.  ▪ SPREP Stage II prepared and submitted.	  ▪ Meeting Minutes <sup>1</sup>  ▪ Working Group meeting reports  ▪ UNDP quarterly progress reports  ▪ Independent mid-term and final evaluation reports  ▪ Social and environmental policy.  ▪ Gender mainstreaming policy.  ▪ GEF Cross-Cutting Capacity Development	  ▪ Pacific island government's and the GEF maintain deep commitment to SPREP's accreditation application.  ▪ The project will be executed in a transparent, holistic, adaptive, and collaborative manner  ▪ Policy and institutional reforms and modifications recommended by the project are correct and match GEF's minimum accreditation standards.

<sup>1</sup>Meeting minutes includes records of key meetings such as local, regional and national consultations regarding inputs on the design and implementation of the relevant output and associated activities. Meetings may be individual or group meetings, with government officials or non-state stakeholders.

				Scorecard <ul style="list-style-type: none"><li>▪ SPREP Stage II application.</li></ul>	
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Outcome 1: MEA funding access fast tracked.					
<b>Output 1.1</b> Stage I &II application for GEF accreditation completed and submitted.	<ul style="list-style-type: none"><li>▪ Stage II applications write-up completed.</li><li>▪ Application submitted to the GEF Secretariat.</li></ul>	<ul style="list-style-type: none"><li>▪ Stage II application prepared for submission in 2012.</li></ul>	<ul style="list-style-type: none"><li>▪ Stage II applications finalized and received by the GEF Secretariat by 31 December 2014.</li></ul>	<ul style="list-style-type: none"><li>▪ Final Stage II application form.</li><li>▪ GEF Secretariat acknowledgement of receipt.</li></ul>	<ul style="list-style-type: none"><li>▪ GEF Council maintains support to SPREP's application.</li><li>▪ The MSP is not completed in time the accreditation deadline expires by the 31st December 2014. Assume that the GEF Council will approve a second or third round of accreditation.</li><li>▪ New Policies introduced through this project will need time to be tested and reported back to the GEF; Stage II application will be affected from the lack of evidence to testify the success of new policies that would meet GEF minimum accredited standards.</li></ul>

Outcome 2: SPREP Fiduciary Capacity Enhanced					
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
<b>Output 2.1:</b> Strengthening of External Financial and Audit Function.	<ul style="list-style-type: none"> <li>External Auditor firm appointed.</li> <li>Audit committee to oversee management of issues raised by the internal auditor.</li> </ul>	<ul style="list-style-type: none"> <li>Existing SPREP Independent Audit Committee.</li> <li>External Audit Firms recruited biennial under the financial regulations.</li> <li>EU audit in 2008, 2011, and end of 2014.</li> </ul>	<ul style="list-style-type: none"> <li>Strong external audit function for SPREP.</li> </ul>	<ul style="list-style-type: none"> <li>External auditor ToR</li> <li>Meeting minutes</li> <li>Tracking and progress reports</li> <li>Audit Reports</li> <li>SPREP Governing Council Meeting approval of external auditor reports.</li> </ul>	<ul style="list-style-type: none"> <li>Independent external auditor has always been recruited annual and audit opinion reports are submitted to the SPREP Governing Council Meeting for discussions and approval.</li> <li>Management response and action plans for every audit are channeled through the independent audit committee consisting of Non-SPREP staff.</li> <li>New Policies introduced through this project will need time to be tested and reported back to the GEF; Stage II application will be affected from the lack of evidence to testify the success of new policies that would meet GEF minimum accredited standards.</li> </ul>

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<b>Output 2.2:</b> Strengthen Financial Management and Control Frameworks	<ul style="list-style-type: none"> <li>▪ SPREP's internal control framework documented.</li> <li>▪ Roles and responsibilities pertaining to accountability of fiscal agents and fiduciary trustees.</li> <li>▪ Procedures for identifying internal controls and assessing control details annually for core financing management areas in place.</li> <li>▪ Incompatible duties segregated.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP Financial Regulations.</li> <li>▪ Procurement Manual.</li> <li>▪ Financial Manual of Procedures.</li> <li>▪ Travel Policy.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's internal control framework and procedures are revised/developed to meet GEF Minimum accredited standards.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP Internal Control Framework Approved.</li> <li>▪ Meeting minutes</li> <li>▪ Tracking and progress reports</li> </ul>	<ul style="list-style-type: none"> <li>▪ Internal control frameworks will consolidate all of SPREP's operational and management procedures and policies including upgrades where necessary to meet GEF minimum accredited standards.</li> <li>▪ New Policies introduced through this project will need time to be tested and reported back to the GEF; Stage II application will be affected from the lack of evidence to testify the success of new policies that would meet GEF minimum accredited standards.</li> </ul>
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<b>Output 2.3:</b> Enhance SPREP's Financial Disclosure Capacity.	<ul style="list-style-type: none"> <li>▪ SPREP's internal control framework documented.</li> <li>▪ SPREP's Financial Disclosure Policy approved.</li> <li>▪ Procedures for financial disclosure documented and in place.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Use International Financial Reporting Standards - World Bank Compliance.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's Financial Disclosure Policy and Procedures Approved.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's internal control framework documented.</li> <li>▪ SPREP's Financial Disclosure Policy.</li> <li>▪ Financial Disclosure Procedures documented and practiced.</li> </ul>	<ul style="list-style-type: none"> <li>▪ New Policies introduced through this project will need time to be tested and reported back to the GEF; Stage II application will be affected from the lack of evidence to testify the success of new policies that would meet GEF minimum accredited standards.</li> </ul>
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
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<b>Output 2.4:</b> Strengthens SPREP's Code of Ethics.	<ul style="list-style-type: none"> <li>▪ SPREP's internal control framework documented.</li> <li>▪ SPREP's Code of Ethics updated and approved.</li> <li>▪ Procedures for administering the Code of Ethics documented.</li> </ul>		<ul style="list-style-type: none"> <li>▪ SPREP's Code of Ethics approved and practiced.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's internal control framework documented.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Current Code of Ethics are appropriate but may need revision to meet GEF minimum accredited standards.</li> <li>▪ New Policies introduced through this project will need time to be tested and reported back to the GEF; Stage II application will be affected from the lack of evidence to testify the success of new policies that would meet GEF minimum accredited standards.</li> </ul>

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<b>Output 2.5:</b> Strengthens SPREP's internal audit functions.	<ul style="list-style-type: none"> <li>▪ SPREP's internal control framework documented.</li> <li>▪ IIA standards applied.</li> <li>▪ Terms of Reference revised.</li> <li>▪ Audit Plan</li> </ul>	<ul style="list-style-type: none"> <li>▪ Internal Auditor post established and filled since 2011.</li> <li>▪ Terms of Reference.</li> <li>▪ Independent Audit Committee.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Revised Terms of Reference</li> <li>▪ IIA compliance.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's internal control framework.</li> <li>▪ Revised Terms of Reference.</li> <li>▪ Audit Plan.</li> <li>▪ Meeting Minutes</li> </ul>	<ul style="list-style-type: none"> <li>▪ Current Terms of Reference may need revisions to meet GEF minimum accredited standards.</li> <li>▪ New Policies introduced through this project will need time to be tested and reported back to the GEF; Stage II application will be affected from the lack of evidence to testify the success of new policies that would meet GEF minimum accredited</li> </ul>

					standards.
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
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<b>Output 2.6:</b> Strengthens SPREP Project Management.	<ul style="list-style-type: none"> <li>▪ SPREP's internal control framework documented.</li> <li>▪ SPREP's Project and activity appraisal process in place.</li> <li>▪ SPREP's Project Management Guideline in place.</li> <li>▪ SPREP's Risk Management Plan in place.</li> <li>▪ SPREP's Environmental and Social Safeguard Policy and Procedures in place.</li> <li>▪ SPREP's Gender Mainstreaming Policy and Procedures in place.</li> </ul>	<ul style="list-style-type: none"> <li>▪ No SPREP Project Management Guidelines.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's Project Management Guideline.</li> <li>▪ SPREP Risk Management Plan.</li> <li>▪ SPREP's Environmental and Social Safeguard Policy.</li> <li>▪ SPREP's Gender Mainstreaming Policy.</li> <li>▪ Enterprise Risk Management</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's internal control framework.</li> <li>▪ SPREP's project appraisal process.</li> <li>▪ SPREP's Project Management Guideline.</li> <li>▪ SPREP's Risk Management Plan.</li> <li>▪ SPREP's Environmental Social Safeguard Policy and Procedures.</li> <li>▪ SPREP's Gender Mainstreaming and Procedures.</li> <li>▪ SPREP's Monitoring and Evaluation Policy and</li> </ul>	<ul style="list-style-type: none"> <li>▪ New Policies introduced through this project will need time to be tested and reported back to the GEF; Stage II application will be affected from the lack of evidence to testify the success of new policies that would meet GEF minimum accredited standards.</li> </ul>

	<ul style="list-style-type: none"> <li>▪ SPREP's Monitoring and Evaluation Policy and Guidelines in place.</li> <li>▪ Enterprise Risk Management Framework adopted in SPREP.</li> </ul>			Guidelines. <ul style="list-style-type: none"> <li>▪ Enterprise Risk Management Framework</li> </ul>	
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
<b>Output 2.7:</b> Strengthens SPREP's Evaluation Function.	<ul style="list-style-type: none"> <li>▪ SPREP's internal control framework documented.</li> <li>▪ SPREP's Monitoring and Evaluation Policy and Guidelines in place.</li> <li>▪ Enterprise Risk Management Framework adopted in SPREP.</li> <li>▪ Evaluation Reports</li> </ul>	<ul style="list-style-type: none"> <li>▪ Monitoring and Evaluation Adviser recruited.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's Monitoring and Evaluation Policy and Guidelines.</li> <li>▪ Enterprise Risk Management Framework.</li> <li>▪ Evaluation Reports.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's internal control framework.</li> <li>▪ SPREP's Monitoring and Evaluation Policy and Guidelines.</li> <li>▪ Enterprise Risk Management Framework.</li> <li>▪ .Evaluation Reports</li> </ul>	<ul style="list-style-type: none"> <li>▪ New Policies introduced through this project will need time to be tested and reported back to the GEF; Stage II application will be affected from the lack of evidence to testify the success of new policies that would meet GEF minimum accredited standards.</li> </ul>
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
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<b>Output 2.8:</b> Strengthens SPREP's Investigative Capacity.	<ul style="list-style-type: none"> <li>▪ SPREP's Fraud Policy Updated.</li> <li>▪ SPREP's investigation guidelines, procedures and Terms of Reference approved.</li> <li>▪ SPREP's Monitoring and Evaluation Policy and Guidelines in place.</li> <li>▪ Enterprise Risk Management Framework adopted in SPREP.</li> <li>▪ Case Trends Reports</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's Fraud Policy.</li> <li>▪ Staff Regulation.</li> <li>▪ Financial Regulation.</li> <li>▪ Risk Management Plan.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's Updated Fraud Policy.</li> <li>▪ SPREP's investigation guidelines, procedures and Terms of Reference.</li> <li>▪ SPREP's Monitoring and Evaluation Policy and Guidelines.</li> <li>▪ Enterprise Risk Management Framework adopted in SPREP.</li> <li>▪ Case Trends Reports.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's Fraud Policy.</li> <li>▪ SPREP's investigation guidelines, procedures and Terms of Reference.</li> <li>▪ SPREP's Monitoring and Evaluation Policy and Guidelines.</li> <li>▪ SPREP's Enterprise Risk Management Framework.</li> <li>▪ Case Trends Reports.</li> </ul>	<ul style="list-style-type: none"> <li>▪ New Policies introduced through this project will need time to be tested and reported back to the GEF; Stage II application will be affected from the lack of evidence to testify the success of new policies that would meet GEF minimum accredited standards.</li> </ul>
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
<b>Output 2.9:</b> Strengthens SPREP's Whistleblower Protection function.	<ul style="list-style-type: none"> <li>▪ SPREP's Fraud Policy and Procedures updated.</li> <li>▪ SPREP's Whistleblower Policy and Procedures approved.</li> <li>▪ Telephone Hotline Number operational.</li> <li>▪ SPREP webpage</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's Fraud Policy.</li> <li>▪ Staff Regulation.</li> <li>▪ Financial Regulation.</li> <li>▪ Risk Management Plan.</li> <li>▪ Email address for public complaints.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's Fraud Policy and Procedures.</li> <li>▪ SPREP's Whistleblower Policy and Procedures.</li> <li>▪ Hotline Number.</li> <li>▪ SPREP Website includes webpage for whistle-blowing/reporting fraud.</li> <li>▪ Periodical Reports.</li> </ul>	<ul style="list-style-type: none"> <li>▪ SPREP's Fraud Policy and Procedures.</li> <li>▪ SPREP's Whistleblower Policy and Procedures.</li> <li>▪ Telephone Hotline Number.</li> <li>▪ SPREP webpage</li> </ul>	<ul style="list-style-type: none"> <li>▪ New Policies introduced through this project will need time to be tested and reported back to the GEF; Stage II application will be affected from the lack of evidence to testify the success of new policies that would meet GEF minimum accredited standards.</li> </ul>

	dedicated for reporting fraud operational. <ul style="list-style-type: none"> <li>Periodical Reports of intake information available.</li> </ul>			dedicated for reporting fraud. <ul style="list-style-type: none"> <li>Periodical Reports of intake information.</li> </ul>	
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**Outcome 3: SPREP's Environmental and Social Safeguard Policy and Guideline Developed.**

Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
<b>Output 3.1:</b> Develop SPREP's Environmental and Social Safeguard Policy and Guideline.	<ul style="list-style-type: none"> <li>Recruitment of an Environmental Specialist/Expert.</li> <li>Recruitment of a Social Scientist.</li> <li>SPREP Environmental and Social Safeguard Policy and Guideline.</li> </ul>	<ul style="list-style-type: none"> <li>SPREP does not have an Environmental and Social Safeguard Policy and Guideline per se.</li> </ul>	<ul style="list-style-type: none"> <li>Environmental Specialist/Expert.</li> <li>Social Scientist.</li> <li>SPREP Environmental and Social Safeguard Policy and Guideline.</li> </ul>	<ul style="list-style-type: none"> <li>Consultancy Contracts.</li> <li>Meeting minutes</li> <li>Tracking and progress reports</li> <li>SPREP Environmental and Social Safeguard Policy and Guideline.</li> </ul>	<ul style="list-style-type: none"> <li>New Policies introduced through this project will need time to be tested and reported back to the GEF; Stage II application will be affected from the lack of evidence to testify the success of new policies that would meet GEF minimum accredited standards.</li> </ul>

**Outcome 4: SPREP's Mainstreaming Policy and Guideline Developed.**

Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		

<b>Output 4.1:</b> Develop SPREP's Gender Mainstreaming Policy and Guideline.	<ul style="list-style-type: none"> <li>Recruit Gender Specialist/Experts.</li> <li>SPREP's Gender Mainstreaming Policy and Guideline approved.</li> <li>SPREP Procedures and Tools in place for gender mainstreaming in the secretariat and project designs.</li> <li>Gender mainstreaming training undertaken for key staff.</li> </ul>	<ul style="list-style-type: none"> <li>Gender Mainstreaming at the project level.</li> </ul>	<ul style="list-style-type: none"> <li>SPREP's Gender Mainstreaming Policy and Guideline.</li> <li>SPREP Procedures and Tools.</li> <li>Gender mainstreaming training.</li> </ul>	<ul style="list-style-type: none"> <li>SPREP's Gender Mainstreaming Policy and Guideline.</li> <li>SPREP Procedures and Tools.</li> <li>Gender mainstreaming training.</li> </ul>	<ul style="list-style-type: none"> <li>New Policies introduced through this project will need time to be tested and reported back to the GEF; Stage II application will be affected from the lack of evidence to testify the success of new policies that would meet GEF minimum accredited standards.</li> </ul>
<b>Outcome 5: SPREP's Information, Communication and Technology Systems Enhanced.</b>					
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
<b>Output 5.1:</b> Strengthen SPREP's Information, Communication and Technology Systems.	<ul style="list-style-type: none"> <li>SPREP Intranet upgraded for including new functions and features to support policy implementation.</li> <li>SPREP Financial Management Information (FMIS) and Human Resource</li> </ul>	<ul style="list-style-type: none"> <li>SPREP Intranet.</li> <li>CC Portal</li> <li>Pacific Environment Information Network (PEIN).</li> <li>SPREP's FMIS and HRIS systems.</li> </ul>	<ul style="list-style-type: none"> <li>SPREP web-based project management information system.</li> <li>Ethics/Fraud/Whistle-blowing web-page.</li> <li>FMIS and HRIS upgraded.</li> </ul>	<ul style="list-style-type: none"> <li>SPREP web-based project management information system.</li> <li>FMIS and HRIS upgraded.</li> </ul>	<ul style="list-style-type: none"> <li>New Policies introduced through this project will need time to be tested and reported back to the GEF; Stage II application will be affected from the lack of evidence to testify the success of new policies that would meet GEF minimum accredited standards.</li> </ul>

	Information(HRIS) Systems upgraded with project management interface functions.				
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