



MINISTRY ASSESSMENT FORMAT (MAF) MANUAL

STRENGTHENING PUBLIC INVESTMENT MANAGEMENT SYSTEM PROJECT

Programming Division
Bangladesh Planning Commission
Government of the People's Republic of Bangladesh

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Manual for Project Assessment Ministry/Division

For Investment Projects Only

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A Note on this Edition:

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1. Bangladesh Planning Commission: <https://plancomm.gov.bd/>
2. Planning Division: <https://plandiv.gov.bd/>

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Preface

The Government is implementing the Public Investment Management (PIM) Reform: more efficient and effective use of development budget to materialize the national vision: an upper-middle income country by 2031, and a high-income country by 2041.

In 2018, to bring about efficiency in the overall PIM system, the Government developed Ministry Assessment Format (MAF) and Sector Appraisal Format (SAF) in 2018, under the Strengthening Public Investment Management System (SPIMS) project, led by the Programming Division of the Planning Commission, with the technical support of the Japan International Cooperation Agency (JICA). Since March 2023, the Government has made the use of MAF and SAF mandatory for all Ministries/Divisions and Planning Commission (Memo no: 20.00.0000.404.14.061.2020(Part- 2)/.89, Date: March 29, 2023)) .

Both MAF and SAF are the standard formats used to prepare the working paper of Project Scrutiny Committee of Ministry/Division, and Project Evaluation Committee of Sector Division/ Planning Commission, respectively. Using the standard formats: the MAF and SAF can improve the quality of DPP and the efficiency of project appraisal procedure.

The MAF and SAF were developed in full compliance with Planning Division Circular “Procedure for Development Project Preparation, Processing, Appraisal and Revision in the Public Sector” 2016 (Memo No. 20.804.014.00.00. 014.2012(Part-1)/204, Date: October 10, 2016). The MAF and SAF were revised to ensure consistency with the revised Circular in 2022 Memo no: 20.00.0000.404.014 .61.2020(Part- 1)/133, Date: June 12, 2022).

The Manuals for MAF and SAF were prepared taking into consideration the stipulations of the Green Book. The Manuals explain not only how to fill the format, but also conceptual background and procedure of project formulation and appraisal at Ministry/Division and Planning Commission. The Manuals lay down the instructions structurally and systematically to assess/ appraise a proposed DPP with detailed explanation of various terms along with specific references where to find the necessary information to fill up the MAF or SAF. Thus, the officers in Planning Wings/Units of the Ministry/Division, and Planning Commission will find the Manuals for MAF and SAF useful in assessing and appraising newly proposed project, respectively.

Overview of the Manual

What is the main purpose of this Manual?

This Manual has been prepared as one of the supplementary documents to the Planning Division Circular for Instructions on Development Project Formulation, Processing, Approval and Revision (Memo no: 20.00.0000.404.014.61.2020(Part- 1)/133, Date: June 12 2022), (Hereafter, named “**Green Book**”).

The main purpose of this Manual is to provide a detailed explanation of how to conduct Project Assessment at the Ministry/Division. It explains the importance and necessity of assessing the development project proposals by the Ministry/Division, including “What Ministry Project Assessment is”, “How Ministry Project Assessment is to be conducted”, and “How concerned officers are expected to use Ministry Assessment Format (MAF).

The main users of this Manual and when to use it.

The main users of this Manual are the officers who work in the Planning Wing/Branch of Ministry/Division. This Manual is designed to be used when these officers assess a Development Project Proposal (DPP) submitted by the Implementing Agencies for consideration of the Ministry/Division.

In this Manual, these officers are addressed as “**Project Assessors**”.

Expected benefits for the user of this Manual.

The Project Assessor can conduct project assessment more efficiently by following the articulated procedures of project assessment. Also, the Project Assessor can prepare project assessment documents/reports more effectively using the standard formats and criteria.

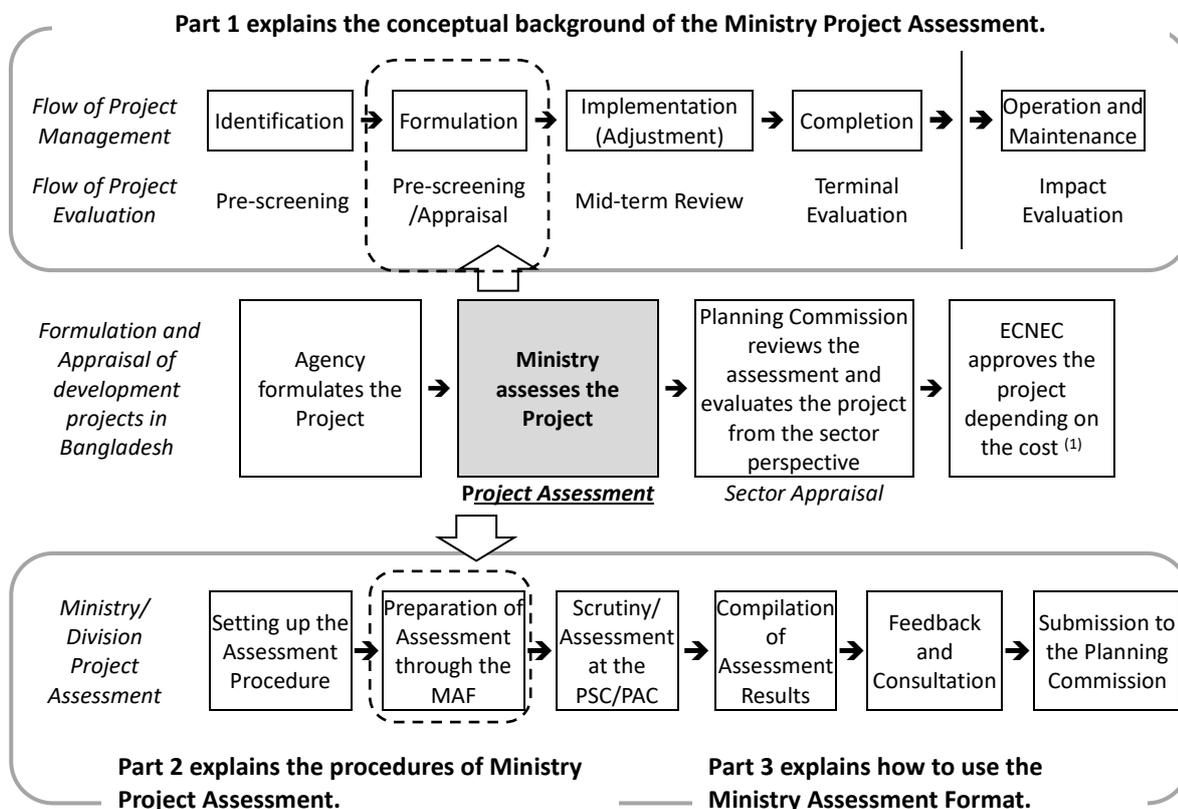
Definitions of key terms used in the Manual

The following definitions are used throughout this Manual:

- **Project Evaluation:** Depending on the stages of formulation and implementation of development projects, the general term of evaluation of a development project includes pre-screening, appraisal, mid-term review, terminal evaluation, and impact evaluation.
- **Project Appraisal:** A project evaluation performed before the implementation of a development project. Project appraisal is sometimes called ex-ante evaluation. In this Manual, project appraisal consists of the Ministry Project Assessment/ Project Assessment and Sector Project Appraisal/ Sector Appraisal as explained below.
 - **Project Assessment:** An overall assessment of the relevance, feasibility and potential sustainability of a development project conducted at the Ministry/Division after receiving from the Implementing Agency.
 - **Sector Appraisal:** Sector-level justification of a development project conducted by the Sector Divisions of the Planning Commission.

The figure below illustrates the overall framework of this Manual.

It should be stressed that **the Ministry Project Assessment, the main focus of this Manual, corresponds to the stages of project formulation and appraisal as an integral part of the overall project management process of the Government of Bangladesh.**



Note 1: Only in the case of an investment project with an estimated cost above 50 crores in Taka (BDT). In the case of an investment project with an estimated cost of up to 50 crores, the Minister/State -Minister for Planning approves the project.

[Legend] ECNEC: Executive Committee of National Economic Council, MAF: Ministry Assessment Format, PSC/PAC: Project Assessment Committee (renaming Project Scrutiny Committee)

The contents of this Manual

This Manual is composed of three parts:

- Part 1 Conceptual Background of Ministry Project Assessment.
- Part 2 Procedures to be followed for Ministry Project Assessment.
- Part 3 Instructions: How to assess the project at Ministry/ Division using Ministry Assessment Format (MAF)

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Abbreviations and Acronyms

| | |
|-------|--|
| ADP | Annual Development Programme |
| BCR | Benefit-Cost Ratio |
| BDT | Bangladesh Taka |
| CBA | Cost Benefit Analysis |
| DAC | Development Assistance Committee |
| DPP | Development Project Proforma/ Proposal |
| EA | Economic Analysis |
| ECC | Environmental Clearance Certificate |
| ECNEC | Executive Committee of the National Economic Council |
| EIA | Environmental Impact Assessment |
| EMHF | Eight Must Have Features |
| ERD | Economic Relations Division |
| FA | Financial Analysis |
| FD | Finance Division |
| FYP | Five Year Plan |
| GED | General Economics Division |
| GOB | Government of Bangladesh |
| IA | Important Assumption |
| ICT | Information and communication technology |
| IEE | Initial Environment Examination |
| IMED | Implementation Monitoring and Evaluation Division |
| IP | Input |
| IRR | Internal Rate of Return |
| JICA | Japan International Cooperation Agency |
| MAF | Ministry Assessment Format |
| MD | Ministry/ Division |
| MDA | Ministry Division, Agency |
| MM | Meeting Minutes/ Minutes of Meeting |
| MTBF | Medium-Term Budget Framework |
| MTSBP | Medium-Term Strategy and Business Plan |
| MOV | Means of Verification |
| MYPIP | Multi-Year Public Investment Programme |
| NDB | Non-Development Budget |
| NEC | National Economic Council |
| NPV | Net Present Value |
| NS | Narrative Summary |
| OECD | Organization for Economic Co-operation and Development |
| OP | Output |

| | |
|-------------|---|
| OVI | Objectively Verifiable Indicator |
| PG/PL | Project Grant/ Project Loan |
| PSC | Project Scrutiny Committee |
| PCR | Project Completion Report |
| PDPP | Preliminary Development Project Proposal |
| PEC | Project Evaluation Committee |
| PIM | Public Investment Management |
| PSC | Project Steering Committee |
| PSC | Project Scrutiny Committee |
| RADP | Revised Annual Development Programme |
| RDPP | Revised Development Project Proposal |
| RTAPP/ RTPP | Revised Technical Assistance Project Proforma/ Proposal |
| SAF | Sector Appraisal Format |
| SD | Sector Division |
| SDR | Social discount rate |
| SMART | Specific, Measurable, Achievable, Relevant and Time-bound |
| SPIMS | Strengthening Public Investment Management System |
| SSP | Sector Strategy Paper |
| TA | Technical Assistance |
| TAPP/ TPP | Technical Assistance Project Proforma/ Proposal |
| TOR | Terms of Reference |
| USAID | United States Agency for International Development |
| WB | World Bank |
| WP | Working Paper |

Part 1

Conceptual Background of Ministry Project Assessment

Conceptual Background of Ministry Project Assessment

1.1 Framework of Public Investment Management

After reading this Chapter, the User of this Manual, who conducts the project assessment, named the Project Assessor, can understand the roles of a respective organization on each feature within the Public Investment Management (PIM) system in Bangladesh.

This Chapter will guide the Project Assessor to understand the conceptual framework of the PIM.

PIM Guideline of the Government of Bangladesh (PIM Guideline 2023) stipulates the Public Investment Management as the management of development projects and programs at the three stages of the public investment cycle: planning, allocation, and implementation.

This Chapter has 3 sub-chapters: in sub-chapter 1.1.1) the outline of the PIM is explained from the perspectives of development planning; in 1.1.2) the concept of Eight Must Have Features (EMHFs) for sound PIM system introduced by the World Bank is explained; and in 1.1. 3) the current structure of the PIM system in Bangladesh is analyzed using the EMHF framework.

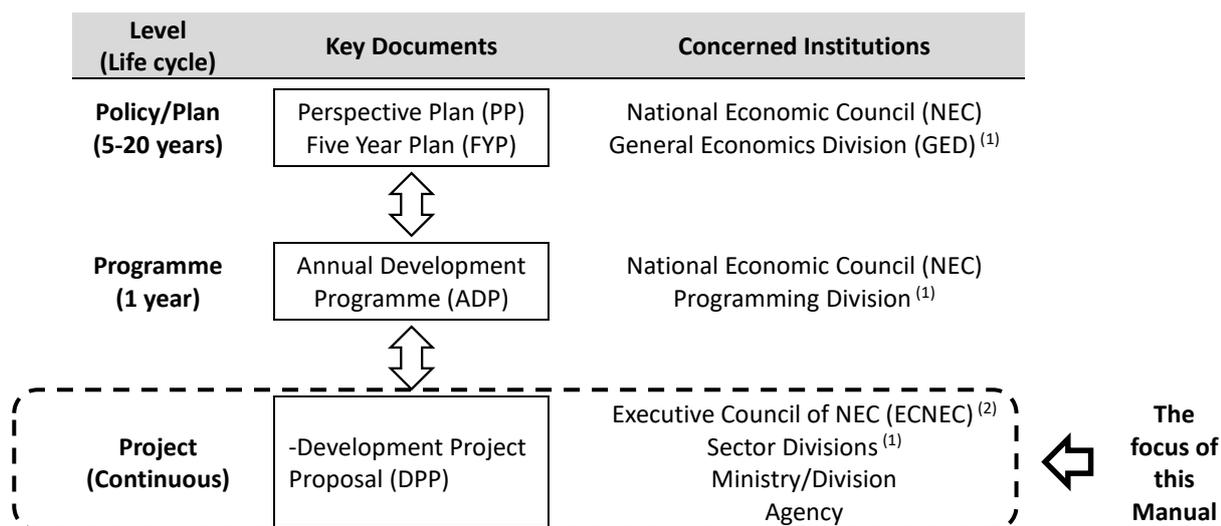
1-1-1 Development Planning (Policy/Plan, Programme and Project)

Public Investment is managed by three levels: 1) Policy/Plan, 2) Programme, and 3) Project in general. These three levels are interlinked.

- **Policy/Plan:** A set of ideas of what to do for particular situations and purposes, composed of a series of programmes and projects.
- **Programme:** Important means to achieve the goals and targets set in the policy/plan. Generally, a combination of several programmes is required to do so.
- **Project:** An important means to achieve the targets/goals set in the programme. Generally, a combination of several projects is required to do so.

Among these three levels, this Manual focuses on the project level. Figure 1 shows the image of the conceptual linkage of these three levels in planning, along with key documents produced/ generated at each level and their corresponding major stakeholders of PIM in Bangladesh.

For a detailed explanation of PIM in Bangladesh, read the PIM Guidelines issued by Planning Commission in 2023, which you can find at <http://www.plancomm.gov.bd/>.



Source: SPIMS

Note 1: GED, Programming Division, and four Sector Divisions are the Divisions under the Planning Commission.

Note 2: If the project cost is up to BDT 50 crore, the project proposal is approved by the Minister/State Minister in charge of Ministry of Planning.

Figure 1 Framework of development planning and concerned main institutions

For reference, the concept of “Development Planning” explained in the Planning Commission Handbook 1983 is quoted in Box 1.

Box 1 Development Planning explained in the Planning Commission Handbook 1983

The content of "development planning" and the structure of Government administration in Bangladesh between them determine the functions of the Bangladesh Planning Commission. Development planning entails the determination of a long-term development perspective of priorities and objectives, goals and strategies of medium and short-term plans within the framework of the long-term perspective and formulation of policy measures for the achievement of planned goals and targets. Translated in terms of functions, the above scope of development planning refers to the following elements:

- (i) Policy Planning, i.e., determination of goals and objectives, priorities and strategies and policy measures for development plans;
- (ii) Sectoral Planning, i.e., identification of the role that the various sectors of the economy are required to play in the context of the goals and objectives set out under element (i);
- (iii) Programme Planning, i.e., formulation of detailed sectoral programmes to realize the sectoral plans identified under element (ii);
- (iv) Project Planning, i.e., preparation of projects embodying investment decisions for the implementation of the sectoral programmes formulated under element (iii);
- (v) Project implementation and monitoring, i.e., institution of appropriate management apparatus for supervision and efficient completion of projects adopted under element (iv); and
- (vi) Evaluation, i.e., review of effects of projects, programmes and plans.

Source: GoB (1983) Planning Commission Handbook

1-1-2 Key Features of Public Investment Management

The standardized conceptual framework of PIM developed by the World Bank (Rajaram, Anand, et al. 2010) is a practical diagnostic framework to assess the PIM system. This framework provides standard practices in managing public investment effectively and efficiently. This Manual is prepared in line with the concept of this framework. The standard framework of PIM is composed of the following eight features.

- **Feature 1. Strategic Guidance:** the extent to which there is sound guidance on national and sector policy priorities, a formal process for project development, and first-level screening of all projects for strategic alignment.
- **Feature 2. Formal Project Appraisal:** the quality of /proposal presented to justify new investment spending.
- **Feature 3. Independent Review of Appraisal:** a review of the quality of project proposals.
- **Feature 4. Project Selection and Budgeting:** deciding on priority projects to be funded in the budget.
- **Feature 5. Project Implementation:** actual construction of the physical assets.
- **Feature 6. Project Adjustment:** monitoring project implementation and adjusting as necessary.
- **Feature 7. Facility Operation:** use of the assets for service delivery.
- **Feature 8. Basic Completion Review and Evaluation:** an ex-post data collection on total cost and time compared to planned and evaluation of project results/impacts.

Source: WB-PIM (2014)

The Focus of this Manual addresses Feature 2, "Formal Project Appraisal". Figure 2 shows the conceptual framework of PIM's Eight Must Have Features (EMHFs) and the focus of this Manual within that framework.

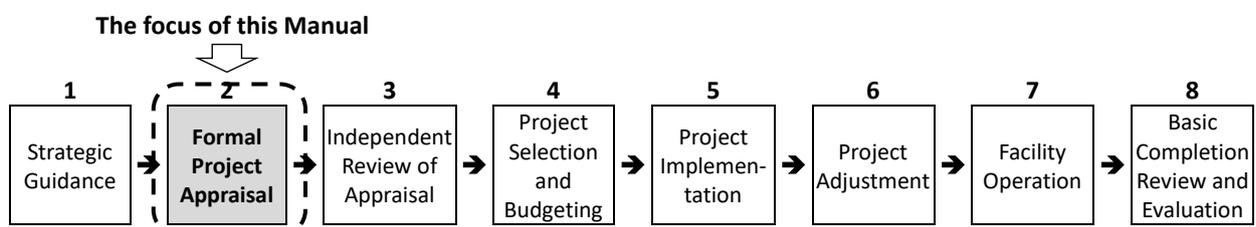


Figure 2 Conceptual Framework of Public Investment Management

1-1-3 Overall Structure of Public Investment Management in Bangladesh

The Planning Commission is the key institution for the PIM in Bangladesh. The major PIM functions of the Planning Commission are to 1) formulate medium and long-term development plans such as the Perspective Plan and the Five Year Plan (FYP); 2) prepare Annual Development Programme (ADP) ; 3) prepare guidelines and issue call circular for the ADP/ Revised Annual Development Programme (RADP) and allocate the development budget among Ministries /Divisions through ADP/RADP; and 4) appraise public investment and technical assistance projects funded from the development budget, namely the ADP.

A summary of the PIM system in Bangladesh through the viewpoint of the EMHF framework is given below.

- **Feature 1. Strategic Guidance:** The GoB has a suite of national and sector planning documents, for example, the Perspective Plan and the FYP. The General Economics Division (GED) and Sector Divisions are responsible for preparing mid- or long-term plans, such as the Perspective Plan and the FYP. Based on the development purposes stipulated in the plans and programmes, the Ministry, Division and Agency level identifies the potential scope of the project.
- **Feature 2. Formal project appraisal:** The Agency formulates the project by preparing the DPP, and submits it to the sponsoring Ministry/Division. **The Ministry/Division assesses the project,** and, if the contents and quality of the DPP meet their requirements, submits the assessed DPP along with the Ministry Assessment Report (MAR) to the concerned Sector Division of Planning Commission.
- **Feature 3. Independent review of appraisal:** The Sector Division reviews the results of the assessment conducted by the Ministry/Division and also appraises the project from the sector priority perspective.
- **Feature 4. Project selection and budgeting:** The ECNEC approves projects throughout the year. The project approved by ECNEC is entitled to receive the budget from the current fiscal year.
- **Feature 5. Project implementation:** The Agency prepares the Total Procurement Plan as an attachment of the DPP in addition to the Annual Procurement Plan. The Agency prepares the monitoring reports of the project implementation on financial progress and sends them to the sponsoring Ministry/Division, the Finance Division, the Planning Commission, and the Implementation, Monitoring and Evaluation Division (IMED).
- **Feature 6. Project adjustment:** The Agency is allowed to revise the approved project up to twice on the grounds of specific and justifiable reasons, if it becomes absolutely necessary for changing the cost, time, nature and volume of work, inclusion of new activity, financing, manpower and vehicles. However, there is a provision for revision of more than two times for special reasons with the consent of the Minister/State-minister for Planning, which needs to be processed through the Planning Commission. The Revised DPP (RDPP) is prepared by the Agency and is examined and approved by the Ministry/Division or the ECNEC. Besides, suppose the revision of the project becomes necessary only for the extension of time without any other change. In that case, this can be approved by the Minister/State-minister of the concerned Ministry/Division, the concerned Member of the Planning Commission or the Minister/State-minister for Planning.
- **Feature 7. Facility operation:** The Agency prepares the proposal to the Finance Division to transfer the funding for officials/staff, and the cost of operation and maintenance from the project budget/ Development Budget, namely the Annual Development Programme, to the Non-Development Budget/ Recurrent Budget after completion of the project implementation.
- **Feature 8. Basic completion review and evaluation:** The Agency prepares the Project Completion Reports (PCR) and sends them to the IMED. The IMED conducts a Terminal evaluation of the project after six months of receipt of the PCR. The Comptroller and Auditor

General’s Office (C&AG) conducts external audits on some GoB-funded completed projects and foreign-funded projects. In each fiscal year, the IMED conducts an impact evaluation of a selected number of completed projects (completed before 2/3 years).

Ministry Project Assessment in Bangladesh falls into Feature 2 of EMHF, namely “Formal Project Appraisal”.

Table 1 summarises the key documents and stakeholders categorized based on the conceptual EMHFs. The 2nd feature, “Formal Project Appraisal”, is the Ministry Project Assessment in Bangladesh, and the Ministry Assessment Format (MAF) is the tool to conduct project assessment effectively and efficiently. The MAF, filled in properly, will be transformed into a Ministry Assessment Report (MAR).

Table 1 Key Documents and Stakeholders of PIM in Bangladesh

| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
|----------------------------------|---|---------------------------------|---------------------------------|--|---|---|--------------------|--|
| Features (EMHFs) | Strategic Guidance | Formal Project Appraisal | Independent Review of Appraisal | Project Selection and Budgeting | Project Implementation | Project Adjustment | Facility Operation | Basic Completion Review and Evaluation |
| Key Documents | PP FYP SSP ⁽¹⁾ SAP ⁽²⁾ MYPIP ⁽¹⁾ MTSBP ⁽¹⁾ | DPP MAF/MAR | DPP SAF/SAR | DPP MTBF | DPP AWP Total/ Annual PP MADPR | Revised DPP | DPP NDB | PCR Audit Report. IMED’s Evaluation Report |
| Key Agencies/Institutions | NEC/ECNEC GED Prog. Div. Sector Div. MDA FD | MDA | Sector Div. | ECNEC/Minister for Planning NEC Sector Divisions Prog. Div. FD | MDA IMED | ECNEC/Minister for Planning MDA IMED Sector Div. | MDA FD | MDA IMED C&AG |

[Legend] ADP: Annual Development Programme, AWP: Annual Work Plan, C&AG: Comptroller and Auditor General, DPP: Development Project Proposal, ECNEC: Executive Committee of the NEC, EMHFs: Eight Must Have Features, FD: Finance Division. RADP: Revised ADP, FYP: Five Year Plan, GED: General Economics Division, IMED: Implementation, Monitoring, and Evaluation Division, MAF/MAR: Ministry Assessment Format/ Ministry Assessment Report, MADPR: Monthly Annual Development Programme Review, MDA: Ministry, Division, and Agency, MTBF: Mid-Term Budget Framework, MTSBP: Medium Term Strategic and Business Plan, NDB: Non-Development Budget, NEC: National Economic Council, PCR: Project Completion Report, PP: Perspective Plan, Prog. Div.: Programming Division, RDPP: Revised DPP, SAF/SAR: Sector Appraisal Format/ Sector Appraisal Report, Sector Div.: Sector Division, SSP: Sector Strategy Paper, Total/ Annual PP: Total/ Annual Procurement Plan, TAPP: Technical Assistance Project Proposal,

Note 1: MYPIP, SSP, and MTSBP are introduced on a pilot basis, and have yet to be officially institutionalized.

Note 2: Some sectors have Sector Action Plan (SAP), which has similar features to the SSP, such as a Theory of Change and a Sector Results Framework. In such a case, the SAP can be used as a reference document.

Box 2 and Box 3 explain the SPP and MYPIP, respectively.

Box 2 What is SSP

The SSP is a key planning tool to help translate national (macro) goals and priorities outlined in the FYP into Sector objectives and strategies. The FYP sets out national (macro) goals across the Sectors and has a high-level Development Results Framework (DRF). The SSPs will complement this by providing greater detail and structure to Sector-level objectives and strategies, thus aiding project design, appraisal and approval, as well as broader planning, budgeting and Monitoring and Evaluation (M&E) processes.

Source: Guidelines for a Strategic ADP, forthcoming

Box 3 What is MTBF, MYPIP, FBE, and Fiscal Space

Medium Term Budgetary Framework (MTBF) is a budgeting approach that adopts a medium-term perspective to budgeting for 3-5 years. It links public policy priorities for resource allocation and performance emphasizing efficient and effective use of limited public resources towards achieving (national level) results and goals. It provides (1) greater responsibility of resource allocation and budget implementation by line Ministry/Divisions; and (2) set 'resource envelopes' for each Ministry/Division/Budget Entity within a medium-term framework (for 3 financial/budget years). MTBF consists of a 'top-down resource envelope' and a 'bottom-up estimation' of the current and medium-term costs of existing policies (including the projects and programmes)

Multi-Year Public Investment Program (MYPIP) is one of PIM tools developed by the SPIMS project with support of JICA in 2018, and adopted by the government in the Green Book in 2022. It envisages transformation of the current 'one-year ADP' into a multi-year (i.e., for 3 budget years) strategic document, enabling ADP to match with the 3-year perspective of MTBF to make resource allocation for projects and programmes clearly targeted to achieve development results for each sector following the Sector Strategy Paper and Five-Year Plan. The MYPIP considers allocation for the current budget year along with the projections (based on **Forward Baselined Estimations***/ FBEs) of two outer years consisting of MTBF ceilings for the Ministry/ Division). MYPIP analysis provides project wise demand of allocation which helps in bargaining the Ministry/Division for their required MTBF ceiling; thus, becomes a PIM tool for determining MTBF ceiling for the ADP.

Forward baseline estimates (FBE) are cost estimations or projections of projects for two outer years of a 3-year MTBF cycle based on the current years' budget allocation. Forward based estimates are used in the process of MYPIP as the basis for future allocation proposals for ADP projects to fix the MTBF ceiling of Ministry/Division.

Fiscal space is the difference between approved MTBF ceiling and calculated demand for resources of a Ministry /Division for a particular financial (budget) year and outer (future) years, which may be positive or negative. Decision of taking new project depends on fiscal space. If fiscal space is positive, new project may be taken based on the size of fiscal space. If fiscal space is negative or zero, theoretically, it indicates that it would not be wise to take new project for implementation by the Ministry/Division to avoid resource shortage.

Source: GoB 2023 Public Investment Management (PIM) Guideline

1-2 Framework of Project

After reading this Chapter, the User of this Manual, the Project Assessor, can understand “What the project is”, “How the Logical Framework explains the project” and “What the project management flow is”.

This Chapter will help the Project Assessor understand the conceptual framework of Project Evaluation. Project assessment, the main focus of this Manual, is explained as a significant type of evaluation.

This Chapter has three sub-chapters: sub-chapter 1-2-1 explains the definition of the project along with the key elements and through the causal relationship, sub-chapter 1-2-2 explains the framework of the project through the Logical Framework, and sub-chapter 1-2-3 shows the project management flow in the context of the life cycle and budget cycle of the project.

1-2-1 Concept of Project

(1) Definition of Project

The definition of a project in general, quoted from the Cambridge Dictionary, is below.

“A piece of planned work or an activity that is finished over a period of time and intended to achieve a particular aim”.

From this definition, the key elements of the project are identified as below in Figure 3.

- **Activity/Input:** A piece of planned work or activity, and a definite budget
- **Purpose:** Intended to achieve a particular aim
- **Period:** Finished over a period of time

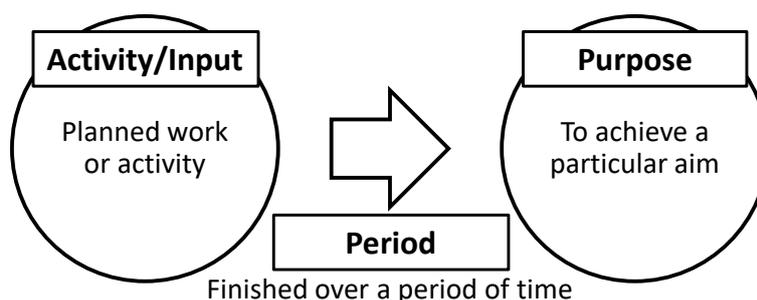


Figure 3 Concept of the Project in General

Thus, the project has the “planned” causal relationship from the input to the project goal. Based on the initial results of a project, subsequent results may be achieved in the long run. The causal relationship can be illustrated in the following phases: 1) input, 2) activity, 3) output, 4) project purpose, and 5) project goal. Figure 4 shows the causal relationship of the project and the explanation of each phase.

| Project Period | Start | | | End | After completion |
|----------------|--|--|--|--|---|
| Phases | Inputs | Activities | Outputs | Purpose | Goal |
| Definition | Resources (finance, human resources, etc.) required to materialize the Activities of the project. | Interventions aiming to produce the Outputs of the project. | Components to achieve the Project Purpose . | Results of the project, expected to be achieved at the time of project completion* | Results of the project, expected to be reached, 2 to 3 years after the Project Purpose is achieved** |

Figure 4 Causal relationship of the Project

Source: Based on GOB SPIMS 2023 Logical Framework for Investment Project

* Outcome of the project: The short-term effects that the beneficiaries obtain using the Outputs should be captured as a project purpose.

** Impact of the project: The longer development effects aligned with the short-term and medium-term effects can be captured as a goal.

(2) Context of Project

As explained in sub-chapter 1-1-1, the Public Investment is generally managed by three levels: 1) Policy/Plan, 2) Programme, and 3) Project. These three levels should be interlinked logically.

In general, the level for the Project Goal of each project under the same programme can be consistent with the programme purpose. Understanding this logic is important to consider the linkage of programme and projects, and the position of a project in a programme. Figure 5 presents the said relationship between the Project Goal of projects within one programme and how it is linked to Programme Purpose.

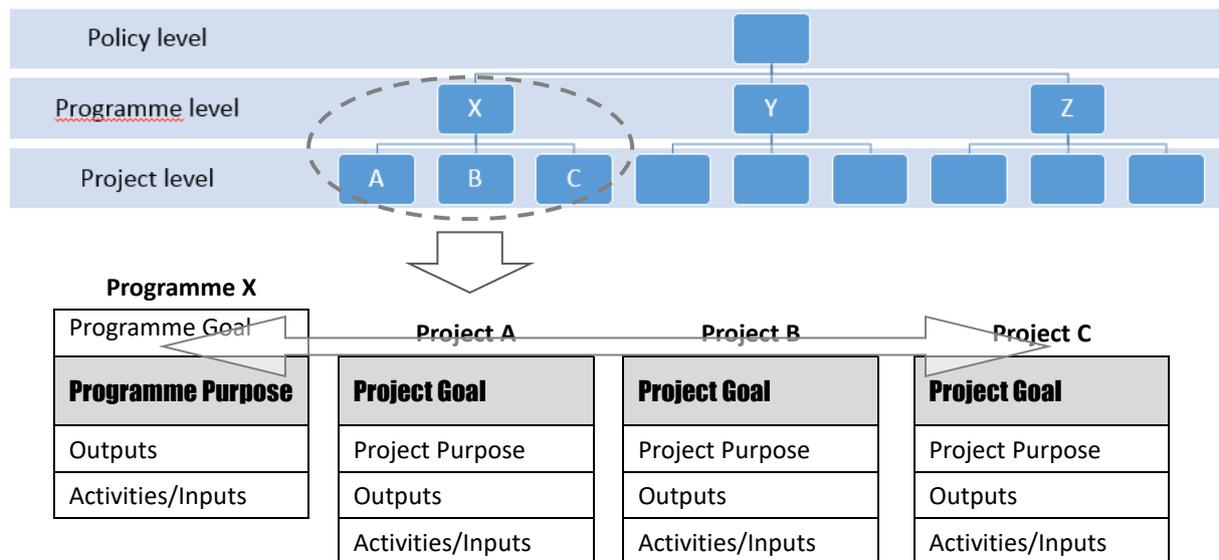
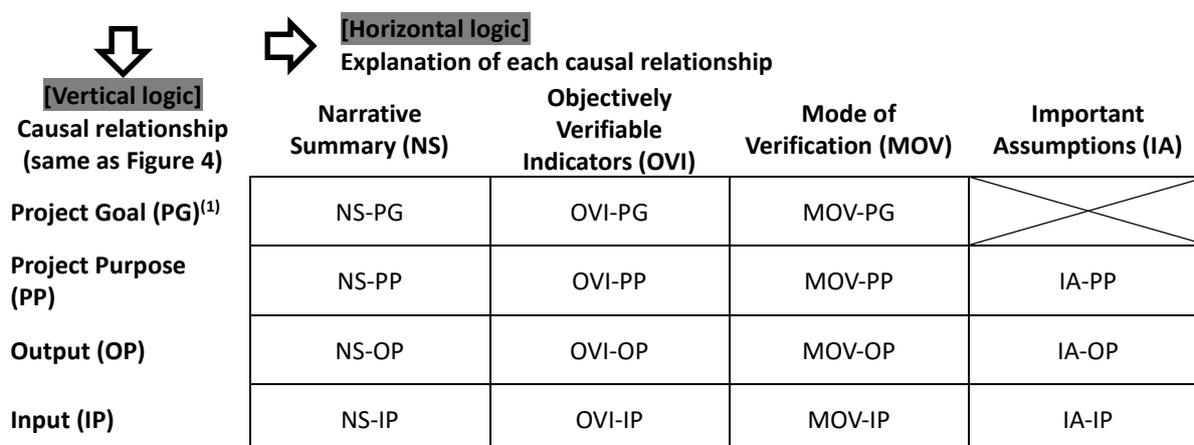


Figure 5 Linkage between Programme and Project in Causal Relationship

1-2-2 Logical Framework-based Structure of the Project

The project's "Causal relationship" (Figure 4) can be translated in the form of "Logical Framework". Logical Framework is shown in a matrix composed of four-by-four cells. The vertical logic is the phases of causal relationships: 1) Project Goal (PG); 2) Project Purpose (PP); 3) Outputs (OP); and 4) Inputs (IP). The horizontal logic is the explanation of each phase: 1) narrative summary (NS); 2) Objectively Verifiable Indicators (OVIs); 3) Mode of Verification (MOV); and 4) Important Assumptions (IA). Thus, the vertical logic should maintain the relevance and logical consistency from the project inputs to project goals. The information in the horizontal logic supports understanding the relevance and logical consistency by providing their respective description, clear indicators, means to verify the indicators, and possible key factors that may negatively impact the project intervention logic.

Figure 6 illustrates the Logical Framework with vertical and horizontal logic.



Note 1: Logical Framework given in Item 10 of the Green Book has "Goal", not "Project Goal", but this Manual uses the Project Goal to avoid the confusion among project goal, program goal, and sector goal.
Source: SPIMS team.

Figure 6 Structure of Logical Framework

The brief description of each component in horizontal logic is given in Table 2. The definition of each stage in vertical logic has been explained in Figure 4.

Table 2 Definitions of Components of the Logical Framework

| Components | Description |
|---|---|
| 1 Narrative summary (NS) | A concise statement of the achievement in each element of vertical logic of the Logical Framework |
| 2 Objectively Verifiable Indicator (OVIs) | The indicator to measure the results of achievement |
| 3 Mode of Verification (MOV) | A data source that specifies where the data for the proposed indicator comes from |
| 4 Important Assumptions (IA) | Critical factors uncontrollable by the project, that could affect the achievement of the planned results |
| | [Pre-Condition] Important assumptions that have to be considered before the project starts its implementation |

Source: Based on USAID (2012) Technical Note: The Logical Framework, and GOB SPIMS 2023 Logical Framework for Investment Project

1-2-3 Project Management Flow

To consider the Project Evaluation in the context of the PIM, the project management is required to be considered from two perspectives: 1) project life cycle and 2) annual budget cycle. The following sections explain these two cycles. Sub chapter 1-3-2 (p. 17) explains the alignment of the project evaluation cycle with the project management cycle.

(1) Flow across the project life cycle

With respect to the project life cycle perspective, project management flow considers the flow from its starting (identification) to end (completion). The project life could be divided into four stages, as shown in Figure 7. After the "completion" stage ends, operation and maintenance management begin for the facilities created under the project. An explanation of each stage is given below.

- **Stage 1 Identification:** Generating the initial project/ programme idea/ concept and preliminary design.
- **Stage 2 Formulation:** Translating the concept into a detailed proposal, including preparing an implementation plan.
- **Stage 3 Implementation:** Implementing the project by mobilizing the inputs, i.e., budget/ finance, human resources, etc.
- **Stage 4 Completion:** Closing the project and handing over the facilities developed under the project for its operation and maintenance.
- **After Completion, Operation and Maintenance:** Operating and maintaining the facilities developed under the project.

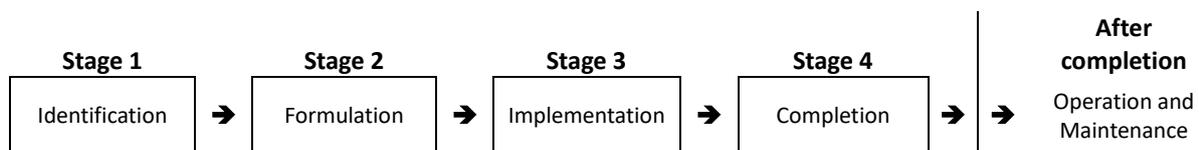


Figure 7 Flow of Project Management (Project Life Cycle)

(2) Flow in the annual budget cycle

Projects are also managed in line with the annual budget preparation and execution. The basic steps in budget preparation are summarized below and in Figure 8.

- **Stage 1. Determining the macroeconomic framework:** Macroeconomic projections should be agreed with the Ministry of Finance. This determines the global level of expenditure that can be afforded without adverse macroeconomic implications, given expected revenues and the level of deficit that can be safely financed.
- **Stage 2. Determining allocation among Ministries/Divisions:** The Budget Circular is issued to provide instructions to line Ministries/Divisions, with the indicative aggregate spending ceiling for each Ministry /Division, which will guide them to prepare their estimates in a way that will be consistent with macro-objectives.
- **Stage 3. Collecting the proposals from Ministries/Divisions:** Proposals, including the budget for on-going projects and expected projects, are collected from Ministries and Divisions.
- **Stage 4. Negotiating the proposal with Ministries/Divisions:** Negotiations are made, usually both at official and then bilateral or collective Ministerial levels, leading to the final agreement.
- **Stage 5. Endorsing and approving the budget:** Cabinet endorsement of the proposals for inclusion in the budget that is submitted to the Parliament.

Source: Based on Potter and Diamond 1999 Guidelines for Public Expenditure Management

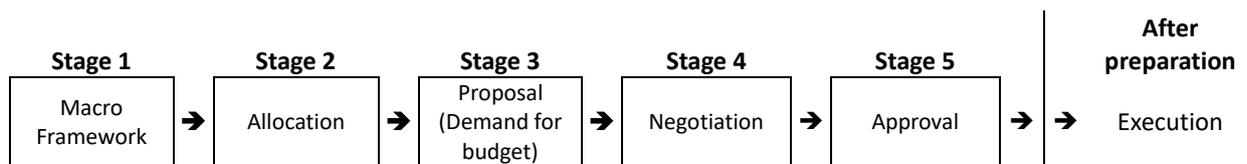


Figure 8 Flow of Project Management (Annual Budget Cycle)

1-3 Framework of Project Evaluation

After reading this chapter, the User of this Manual, the “Project Assessor”, can understand “What the Project Evaluation* is”, “Where the Project Assessment is in the Project Management cycle”, and “What are the criteria for Project Evaluation with the linkage of the Logical Framework.”

* In this Manual, "Project Evaluation" is defined as "a general term of evaluation of a development project, including pre-screening, appraisal, mid-term review, terminal evaluation, and impact evaluation." The Project Assessment is one type of Project Evaluation, and the general criteria of Project Evaluation are applicable for Project Assessment.

To understand the Project Evaluation in Project Management, this chapter explains the Project Evaluation as a whole.

1-3-1 Definition of Project Evaluation

In the Cambridge Dictionary, “Evaluation” is defined as “to judge the quality, importance, amount, or value of someone or something”.

Based on the Organisation for Economic Co-operation and Development (OECD)/ Development Assistance Committee (DAC) report (2000), “Project Evaluation” is defined as “The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and DPs. Evaluation also refers to the process of determining the worth or significance of an activity, policy or program. It is an assessment, as systematic and objective as possible, of a planned, on-going, or completed development intervention”.

In sum, the key concept of project evaluation is "to judge the value of a project for making a decision". Figure 9 illustrates the image of that concept.

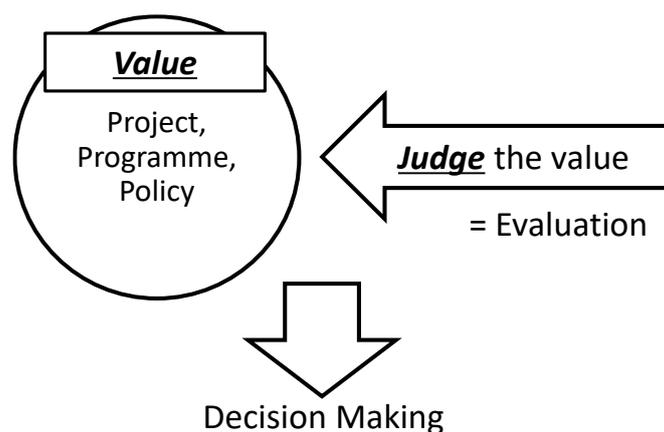


Figure 9 Illustration of What is Evaluation?

Project evaluation is “to judge the value of project for making decision”.

For reference, the definition of key terms used among development partners is quoted from the

Box 4 Glossary of Key Terms in Evaluation and Results-Based Management

- **Appraisal:** An overall assessment of the relevance, feasibility and potential sustainability of a development intervention prior to a decision on funding. Note: In development agencies, banks, etc., the purpose of the appraisal is to enable decision-makers to decide whether the activity represents an appropriate use of corporate resources. [**Related term: ex-ante evaluation**]
- **Evaluation:** The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors. Evaluation also refers to the process of determining the worth or significance of an activity, policy or program. An assessment, as systematic and objective as possible, of a planned, on-going, or completed development intervention. Note: Evaluation in some instances involves the definition of appropriate standards, the examination of performance against those standards, an assessment of actual and expected results and the identification of relevant lessons. [Related term: review]
- **Ex-ante evaluation:** An evaluation that is performed before implementation of a development intervention. [**Related terms: appraisal, quality at entry**]
- **Ex-post evaluation:** Evaluation of a development intervention after it has been completed. Note: It may be undertaken directly after or long after completion. The intention is to identify the factors of success or failure, to assess the sustainability of results and impacts, and to draw conclusions that may inform other interventions.
- **Monitoring:** A continuing function that uses systematic collection of data of specified indicators to provide management and the main stakeholders of an on-going development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. [Related terms: performance monitoring, indicator]
- **Review:** An assessment of the performance of an intervention, periodically or on an ad hoc basis. Note: Frequently, "evaluation" is used for a more comprehensive and/or more in-depth assessment than "review". Reviews tend to emphasize operational aspects. Sometimes the terms "review" and "evaluation" are used as synonyms. [Related term: evaluation]

Source: OECD/DAC (2000) Glossary of Key Terms in Evaluation and Results-Based Management

1-3-2 Project Evaluation Flow

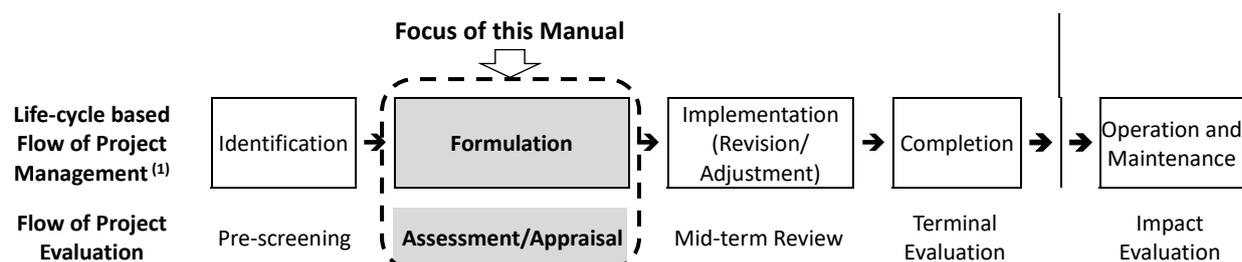
Sub-chapter 1-2-3 (p.13) describes two flows of project management. Evaluation is explained along with these two project management flows.

(1) Flow in project life

The evaluation by means of judgment of project value can be conducted at any stage within the project life. Figure 10 shows the relationship between the flow of project management and evaluation in project life. The flow of project management has been explained in Figure 7 (p. 13).

A brief explanation of the evaluation in each stage is given below:

- **Pre-screening:** The concept of the project is preliminarily assessed prior to a decision of project formulation.
- **Appraisal:** A project is comprehensively assessed from the viewpoints of relevance, feasibility and potential sustainability prior to a decision of its funding.
- **Mid-term review:** In the course of project implementation, the performance of a project is assessed periodically or on an ad-hoc basis to bring necessary revision/adjustment, if required.
- **Terminal Evaluation:** A project is assessed immediately after its completion to know whether it has been implemented as planned.
- **Ex-post Evaluation:** In-depth/ comprehensive assessment of a project well after its completion to learn about the effects of the project. (in Bangladesh, named as Impact evaluation)



Note 1: Each stage of the flow is explained in Figure 7 (p. 10)

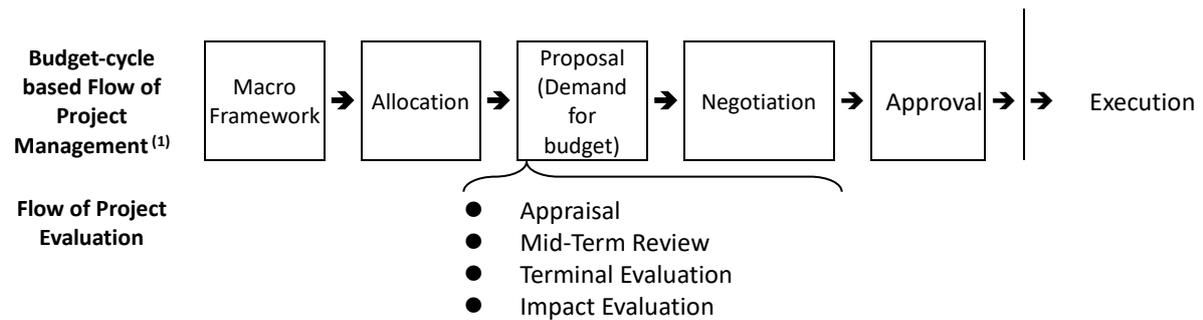
Figure 10 Flow of Project Evaluation with Flow in Project Life

Ministry Project Assessment in Bangladesh is a part of the action in the appraisal stage. Project evaluation conducted in the project formulation stage is generally termed as Appraisal. As explained in chapter 1-4, in the course of project formulation and appraisal, the Ministry assesses the project, and the Sector Division of Planning Commission reviews the results of the assessment and also conducts the sectoral appraisal. Both Ministry Project Assessment and Sectoral Project Appraisal are “Project Appraisal”. In the Bangladesh context, the functions of Appraisal are embedded in the Ministry Project Assessment at the Ministry/ Division, and the Sector Project Appraisal at the Sector Division, Planning Commission.

(2) Flow in the annual budget cycle

The relationship between project evaluation and project management in the budget flow is shown in Figure 11. Project evaluation mainly involves the stages of proposal, negotiation, approval and execution.

- **Proposal:** Appraisal can be conducted before the course of budget proposal and preparation. The results of the mid-term review, terminal evaluation and impact evaluation can also be used in the proposal and negotiations.



Note 1: Each stage of the flow is explained in Figure 8 (page 14)

Figure 11 Relation between Flow of Project Evaluation with Flow in Annual Budget Cycle

1-3-3 Project Value illustrated in Logical Framework

The Logical Framework explained in 1-2-2 “Logical Framework-based Structure of the Project” shows the project value in summary form. Appropriate Logical Framework formulation is required to demonstrate the value of the project precisely. To check the appropriateness of the Logical Framework, the Project Assessor will examine the vertical and horizontal logic of each component in the Logical Framework using the following three checkpoints.

- Checkpoint 1: Vertical Logic of the Logical Framework
- Checkpoint 2: Horizontal Logic of the Logical Framework
- Checkpoint 3: Important Assumptions & Pre-conditions

As explained in 1-2-2 Structure of the Project the Logical Framework is shown in a matrix composed of four-by-four cells. The vertical logic shows the causal relationships: 1) Project Goal, 2) Project Purpose, 3) Outputs, and 4) Inputs/Activities. The horizontal relation is the explanation of each phase: 1) Narrative Summary (NS), 2) Objectively Verifiable Indicators (OVI), 3) Means of Verification (MOV), and 4) Important Assumptions (IA). Figure 12 (overleaf) shows the structure of the Logical Framework and its logical sequences.

The first checkpoint is the vertical logic in the Logical Framework, checking the linkage of planned/expected causal relationship, explained in 1-2-2 “Structure of the Project (Logical Framework)”. Table 3 shows the first checkpoint.

The second checkpoint is the horizontal logic in the Logical Framework, checking the clarity of the statement in the required format. Table 4 explains the second checkpoint for horizontal logic, namely component-wise checkpoints.

The third checkpoint is the Important Assumptions and Pre-conditions in the Logical Framework, checking the external factors that lead to the project's failure. Table 5 shows the third checkpoint.

The logical sequence in the Logical Framework should be clear, consistent, and simple to present the sound value of the proposed project. The sequence starts from pre-condition and ends up in MOV of Project Goal. The cell of important assumptions in the Project Goal level will be left blank. Figure 12 illustrates the logical sequence of each phase and component of the Logical Framework.

Table 3 Checkpoint 1: Vertical Logic of the Logical Framework

| Phases | Definitions/explanations | Checkpoints |
|-------------------|---|--|
| 1 Project Goal | The result of the project, expected to be reached 2 to 3 years after the project purpose is achieved | <ul style="list-style-type: none"> • Are they achievable after project completion? • Aren't they too ambitious? Too much to say it is contributed from the project? |
| 2 Project Purpose | The result of the project, expected to be achieved at the time of completion | <ul style="list-style-type: none"> • Is the result achievable at the completion of the project? |
| 3 Outputs | Products and services generated by using the Inputs via Activities and delivered to the beneficiaries | <ul style="list-style-type: none"> • Are they divided into critical components? • Are they not duplicated with each other? |
| 4 Activities | Interventions aimed to produce the Outputs of the project. | <ul style="list-style-type: none"> • Alignment of activities and work • Technical aspects to conduct activities • Timing of inputs required |
| 5 Inputs | Resources required to materialize the activities of the project effectively and | <ul style="list-style-type: none"> • Provision of required Manpower. • Provision of adequate material, |

| Phases | Definitions/explanations | Checkpoints |
|--------|--------------------------|---|
| | on time | <ul style="list-style-type: none"> equipment, machinery Provision of necessary technical expertise Provision of Funds /money |

Source: GOB SPIMS 2023 Logical Framework for Investment Project

Table 4 Checkpoint 2: Horizontal Logic of the Logical Framework

| Components | Definitions/explanations | Checkpoints |
|--|---|---|
| 1 Narrative summary (NS) | A concise statement of the achievement in each element of vertical logic of the Logical Framework | <ul style="list-style-type: none"> Whether the relation of the causal relationship given in the narrative summary is expressed logically from the lowest to the highest order. |
| 2 Objectively Verifiable Indicators (OVIs) | The indicator to measure the results of achievement: | <ul style="list-style-type: none"> Are they quantifiable? Are they measurable? Do they measure what the Narrative Summary aims? Do they cover all aspects of the Narrative Summary? |
| 3 Means of Verification (MOV) | A data source that specifies where the data for the proposed indicator comes from | <ul style="list-style-type: none"> (For PP & Outputs) Are they verifiable within the project scope? |

Source: GOB SPIMS 2023 Logical Framework for Investment Project

Table 5 Checkpoint 3: Important Assumptions & Pre-conditions

| Topics | Definitions/explanations | Checkpoints |
|------------------------------|--|--|
| 1 Important Assumptions (IA) | Critical factors uncontrollable by the project, that could affect the achievement of the planned results | <ul style="list-style-type: none"> What is the probability of this kind of situation to occur? Be as specific as possible To what extent the project will be affected if such a situation occurs at all |
| 2 Pre-Condition | Important assumptions that have to be considered before the project starts its implementation | <ul style="list-style-type: none"> Be as specific as possible Are these factors uncontrollable? |

Source: GOB SPIMS 2023 Logical Framework for Investment Project

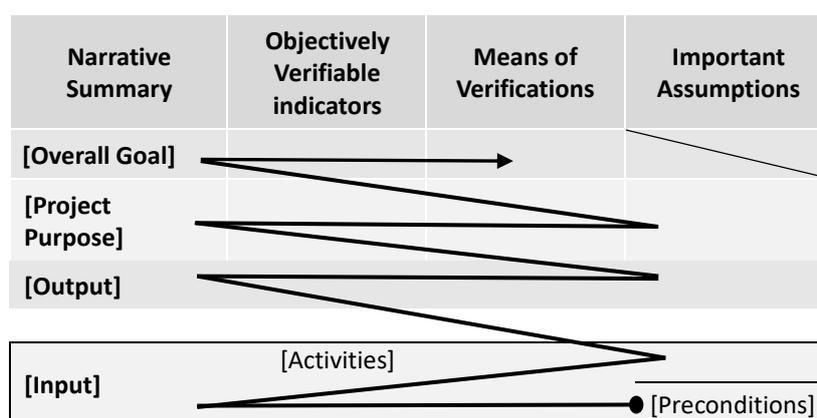


Figure 12 Structure of Logical Framework and Logical Sequence

For a detailed explanation of Logical Framework, read Logical Framework for Investment Project. 1-3-4 Project Evaluation Criteria

To judge the value of the project, **the basic conceptual framework for project evaluation is composed of five evaluation criteria: 1) relevance; 2) efficiency; 3) effectiveness; 4) impact; and 5) sustainability.** These five aspects are introduced by OECD/DAC, and commonly used by many development partners. In the case of Bangladesh, the evaluation from the perspective of “risk” and mitigation measures thereof are included.

Table 6 indicates the summary of each evaluation criteria.

Table 6 Explanation of Project Evaluation Criteria

| Criteria | Explanation |
|-------------------------|---|
| 1 Relevance | Examine whether project objectives, project goal, and project scope are/have been in line with the priority needs and concerns of the country. |
| 2 Effectiveness | Examine the extent to which the project objectives would be/have been achieved in relation to the outputs. |
| 3 Efficiency | Examine how efficiently the various inputs (funds, expertise, time etc.) would be converted/have been converted into outputs of the project. |
| 4 Impact | Examine the extent to which the Project Goal had been achieved / would have been achieved, and verify intended and unintended, direct and indirect, positive and negative changes in technical, social-economic, institutional and environmental aspects as results of the project. |
| 5 Sustainability | Examine whether project benefits are likely to continue after the completion of the project. |

Source: Based on OECD/DAC (2004) Glossary of Key Terms in Evaluation and Results Based Management, JICA (2010) Guidelines for Project Evaluation (First Edition)

1-3-5 Relation between Project and Project Evaluation (Logical Framework and Evaluation Criteria)

The evaluation is the judgement of the value of the project, explained in sub-chapter 1-3-1 (p.15). The previous sub-chapters explain: 1) what the project is (sub-chapter 1-2-1, p.10); and 2) what the basic evaluation criteria are (sub-chapter 1-3-3, p.21). The value of the project is explained in inputs, activities, outputs, project purpose and project goal after the project implementation. The criteria to assess the value of a project are relevance, effectiveness, efficiency, impact and sustainability. Figure 13 shows the conceptual image of the relationship among "What is evaluation", and "What the project is", and "What the criteria for evaluation are".

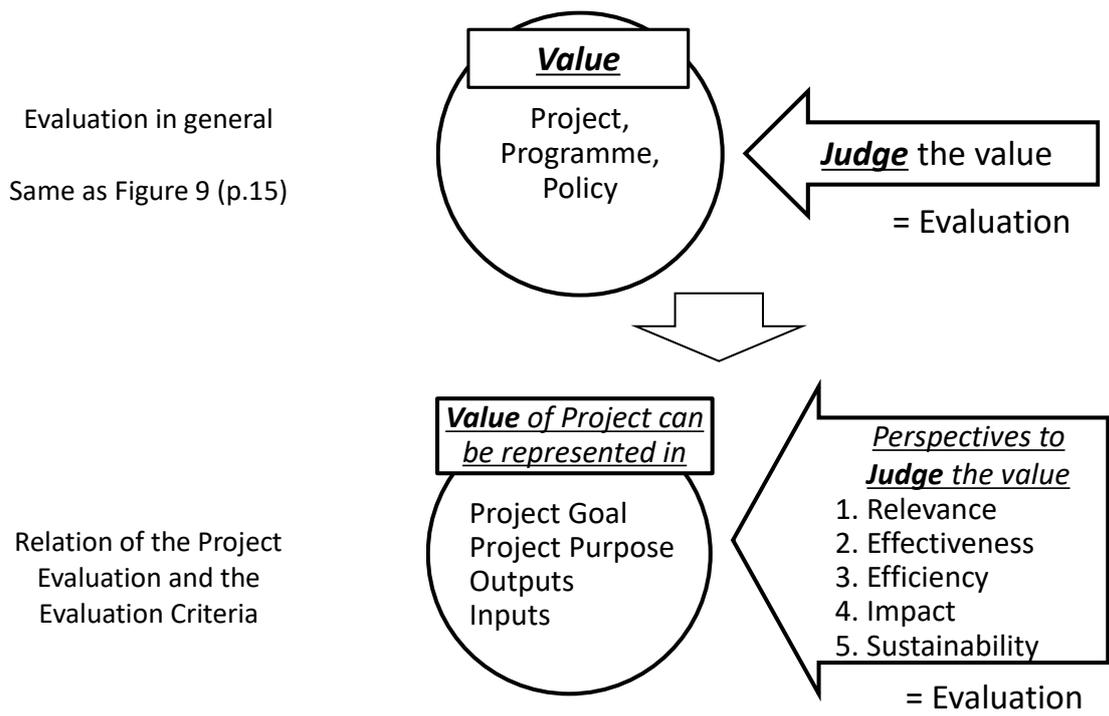


Figure 13 Illustration of Project Evaluation

The value of the project or the element of the project in the Logical Framework is assessed using the five evaluation criteria. The following sections and Figure 14 explain how the information of the Logical Framework provides references for evaluation.

The brief explanations of five evaluation criteria in the lineage of Logical Framework are as below.

- **Relevance:** The logical linkage between the Project Purpose and Project Goal is examined.
- **Effectiveness:** The logical linkage between the Outputs and the Project Purpose is examined.
- **Efficiency:** Inputs and activities using the Inputs (as a process to use Inputs towards Outputs) are examined, along with the logical linkage between Inputs and Outputs.
- **Impact:** The logical linkage between the Project Purpose and Project Goal, excluding the causal link examined in the relevance, is examined.
- **Sustainability:** The logical linkage among all four project stages and the potential of project effects to be continued after its completion is examined.

| | Relevance | Effectiveness | Efficiency | Impact | Sustainability |
|-----------------------------|---|---|---|---|--|
| Project Goal (PG) | The degree to which the project can be justified in relation to development priorities. | The extent to which the purpose has been achieved on the basis of the outputs of the project. | How economically inputs are converted into outputs. | The changes and effects positive and negative, planned and unforeseen of the project. | The extent to which the positive effects of the project will continue after the completion of the project. |
| Project Purpose (PP) | | | | | |
| Output (OP) | | | | | |
| Input (IP) | | | | | |

Source: JICA Note for Project Evaluation

Figure 14 Coverage of Five Evaluation Criteria in the Logical Framework

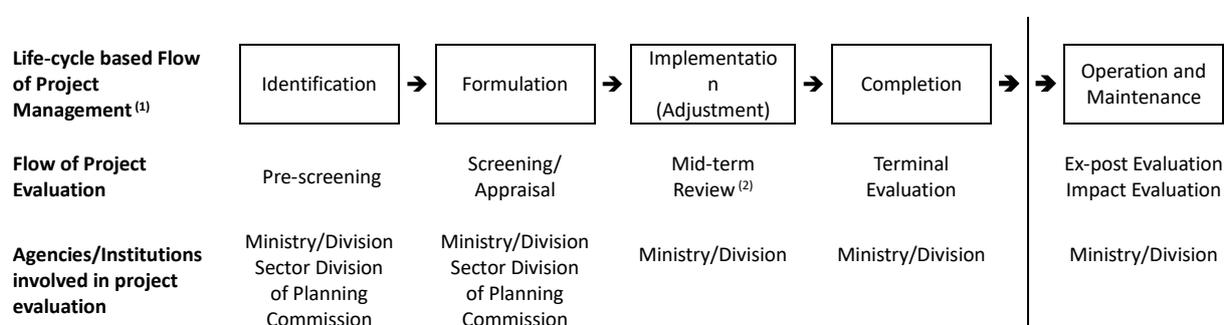
1-4 Overview of Project Assessment in Bangladesh

After reading this chapter, the User of this Manual “Project Assessor”, can understand "What the Ministry Project Assessment system is" and "What the assessment points stipulated in the Green Book are".

1-4-1 System of Project Evaluation

In the case of Bangladesh, project appraisal before the funding decision is managed by the sponsoring Ministry/Division and the Sector Divisions of the Planning Commission. After the project has been approved, the IMED of the Ministry of Planning has primary responsibilities for the Monitoring and Evaluation (M&E) of projects. In addition, the implementing Agency and sponsoring Ministry/Division are involved in all steps of project evaluation.

Figure 15 illustrates the flow of project management and evaluation, and key stakeholders in each stage.



Note 1: Each stage of the flow is explained in sub-chapter 1-2-3.

Note 2: Only donor-supported projects are reviewed in the middle of the project period.

Figure 15 Flow of Project Evaluation in the Project Life with Key Stakeholders

The actions performed in each stage are explained below in brief:

- 1) **Pre-Screening:** The Agency internally discusses the concept of proposed project, considering the alignment of the proposed project to the sector strategy.
- 2) **Appraisal:** The Agency formulates the project, prepares the DPP, and submits it to the sponsoring Ministry/Division. In the course of formulation, the feasibility study is conducted when required. **The Ministry/Division conducts Project Assessment and sends the DPP to Sector-Division of the Planning Commission along with the Assessment Report. The concerned Sector Division of the Planning Commission reviews the assessment result and conducts the sectoral appraisal.** Following sector appraisal, the project is submitted to the Minister/ State Minister for Planning or the ECNEC for final approval, depending on the project's cost.
- 3) **Mid-term Review:** The project's progress is regularly reviewed by the Implementing Agency as per the IMED prescribed format. All the development projects included in the Annual Development Programme are reviewed in the monthly meeting of the Ministry/Division based on the project-wise progress report submitted by the Agency. In addition, the Implementing Agency submits quarterly and yearly project-wise progress reports to IMED through the Ministry/Division. During this review, some projects are recommended for revision. The implementing agencies formulate revised project proposal (RDPP) for these projects. Following the stipulated processing steps, the project is submitted to the Minister/State-minister of the

sponsoring Ministry/Division, Minister/State-minister for Planning or the ECNEC for final approval. At present, the mid-term review is conducted only for the development partner-funded projects subject to provision in the DPP.

- 4) **Terminal Evaluation:** Within one month after the completion of the project, the Agency submits the Project Completion Report (PCR) to the IMED. The IMED prepares the Terminal Evaluation Report. The IMED examines mainly the effectiveness and efficiency of the project.
- 5) **Ex-post Evaluation/ Impact Evaluation:** Two to three years after the project completion, the IMED conducts the impact evaluation of selected projects, to examine mainly the impact and sustainability of the project.

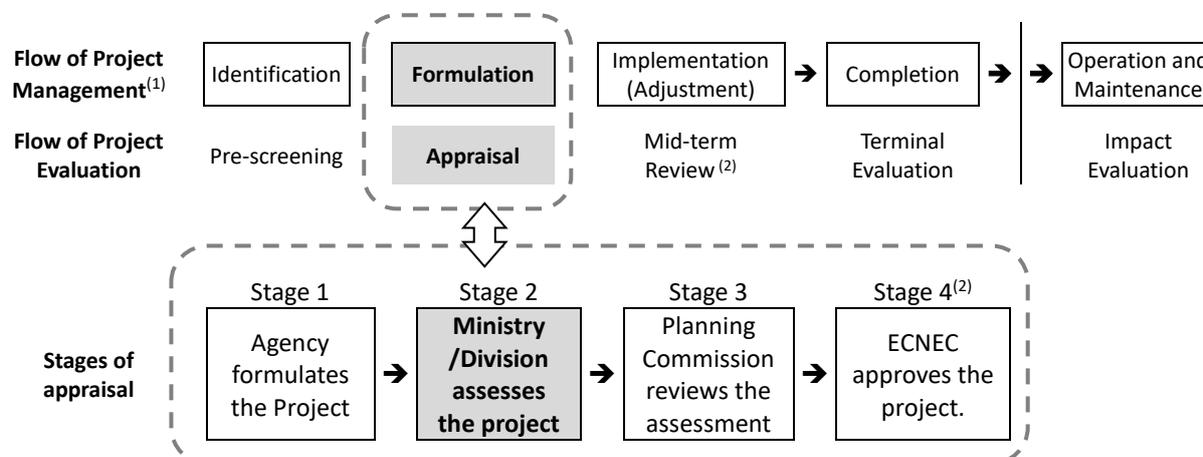
Definitions of the Terms used in this Manual (Refer to World Bank PIM project)

The following definitions are used in this Manual.

- **Project Identification:** To identify possible interventions that are consistent with national and sector goals and needs.
- **Project Design:** To prepare a preliminary/project plan/design for implementation after its identification, e.g., project concept note.
- **Project Formulation:** It is to elaborate a project design into a comprehensive project plan in detail by preparing a detailed project design, management and coordination arrangements, financing plan, cost-benefit analysis, risk management, monitoring, evaluation and audit arrangements. In the Government of Bangladesh (GoB) context, preparation of the DPP fits into this step.
- **Project Appraisal:** Activities performed to judge the value of a development project **before its** implementation. Project appraisal is sometimes called ex-ante Evaluation. In this Manual, project appraisal consists of the Project Assessment at the Ministry level and Sector Appraisal at the Planning Commission level, as explained below.
- **Project Assessment:** An overall assessment of the relevance, feasibility and potential impact and sustainability of a development project at the Ministry/Division level.
- **Sector Appraisal:** Review of the results of assessment given by the PSC, and appraisal of the project from the overall sectoral priority and perspective conducted by the Sector- Division, Planning Commission.
- **Project Evaluation:** The general term of evaluation of a development project refers to pre-screening, appraisal, mid-term review, terminal evaluation, and impact evaluation.
- **Monitoring and Evaluation:** To monitor the project performance and to judge the project in the course of implementation, at completion or after the project.

1-4-2 Flow for the Project Assessment/Appraisal

The Green Book stipulates overall procedures of Project Planning, Project Formulation, Appraisal, Approval and Revision. Figure 16 illustrates the position of stipulated procedures in the general flow of project management and evaluation and their detailed stages.



Note 1: Each stage of the flow is explained in 1-2-3.

Note 2: Only in the case of an investment project with an estimated cost above 50 crores in Taka (BDT). In the case of an investment project with an estimated cost of up to 50 crores, the Minister/ State Minister for Planning approves the project.

Figure 16 Procedure for processing Development Project Planning in Bangladesh

Each stage is summarized below:

- **Stage 1. Project Design:** The Agency identifies and formulates the project and prepares the DPP. The Agency conducts preparatory works, including cost-benefit analysis, social analysis, risk analysis, environmental impact assessment and other analyses upon requirements, to formulate the DPP. After an internal check, the Agency submits the DPP to the Ministry/Division.
- **Stage 2. Project Assessment:** The Project Assessment Committee (PAC) assesses the value of the project. The PAC is presently called the Project Scrutinizing Committee (PSC) at the Ministry/Division. The Planning Wing/Branch of the Ministry/ Division examines the DPP from assessment points aspects stipulated in the Green Book. The Wing/Branch specifies the discussion points for the PSC/PAC meeting to ensure that the quality of the project is sufficient for implementation. The PSC/PAC suggests necessary improvements to the Agency, and, when ready, accepts the DPP to be sent to the ECNEC via Planning Commission to obtain approval. When required, after recasting the DPP by the Agency as per the PSC/PAC suggestion, the Ministry/Division sends the recast DPP to the Sector Division of the Planning Commission.
- **Stage 3. Review of Project Assessment Results and Sector Appraisal:** The Project Evaluation Committee (PEC) at the Planning Commission reviews the assessment results given by the PSC, appraises the project from the overall sectoral priority and perspective and appraises the project. If necessary, the PEC advises the Agency and the Ministry/Division to recast the DPP. After recasting the DPP as per the decision of the PEC meeting, the Sector Division submits the project to ECNEC or the Minister/State-minister for Planning (depending on estimated cost) for consideration and approval.
- **Stage 4. Approval:** Based on the PEC recommendation, the Minister/ State Minister for Planning approves the project with an estimated cost of up to BDT50.00 crore, and the ECNEC approves the project with an estimated cost above BDT50.00 crore.

Table 7 shows the timeframe of the DPP formulation and approval process explained above.

Table 7 Time Frame of Processing the DPP

| Stage | Institutional Framework | Timeframe of processing Development Project Proposal (DPP) for the project with an estimated cost above Taka 50 crore |
|-------|--|--|
| 1 | Agency | Step 0.0: No specific time frame for drafting the DPP |
| 2 | Ministry/ Division (Project Assessment Committee: PSC) | <p><u>Before the PSC/PAC meeting</u></p> <p>Step 1.1a: No specific time frame for examining the DPP</p> <p>Step 1.1b: No specific timeframe for issuing the notice for the PSC/PAC meeting</p> <p><u>After the PSC/PAC meeting</u></p> <p>Step 1.2: 7 working days for issuing the meeting minutes of PSC/PAC</p> <p>Step 1.3: No specific time frame for recasting the DPP</p> <p>Step 2.1: 15 working days for Manpower Fixation ⁽¹⁾</p> <p>Step 2.2: 10 working days for sending to Planning Commission (para 2.4)</p> |
| 3 | Planning Commission (Project Evaluation Committee: PEC) | <p><u>Before the PEC meeting</u></p> <p>Step 3.1: 20 working days for evaluation (para 3.1.6)</p> <p>Step 3.2a: [if the DPP is sent back to the Agency] 15 working days for recasting by the Agency (para 3.1.7)</p> <p>Step 3.2b: [if the DPP is NOT sent back to the Agency] 10 working days for recasting by the Planning Commission (para 3.1.8)</p> <p>Step 3.3: No specific time frame for PEC preparation</p> <p>Step 3.4: 5 working days for issuing the notice of the meeting before the PEC meeting (para 3.1.9)</p> <p><u>After the PEC meeting</u></p> <p>Step 4.0: 7 working days for issuing the meeting minutes after the PEC meeting (para 3.1.9)</p> <p>Step 5.0: 15 working days for cost rationalization at the Cost Rationalization Committee (in special case) (para 3.1.10)</p> <p>Step 6.0: 20 working days for recasting the DPP-(para 3.1.10)</p> <p>Step 7.0: No specific time frame for the preparation to present in the ECNEC after issuing the PEC minutes if the DPP is not required to recast.</p> |
| 4 | Executive Committee for National Economic Council (ECNEC) | <p><u>Before ECNEC meeting</u></p> <p>Step 8.1: 7 working days for furnishing Working paper for the ECNEC meeting (para 3.2)</p> <p><u>After ECNEC meeting</u></p> <p>Step 8.2a: No specific time frame for issuing the meeting minutes after the ECNEC meeting</p> <p>Step 8.2b: 3 working days for issuing Approval letter from the NEC-ECNEC & Coordination Wing of Planning Division to Mistry after the receipt of approved minutes of the ECNEC meeting. (Para 16.1.1)</p> <p>Step 9.0: 5 working days for issuing Administrative Order from Ministry to Agency (para 16.1.2)</p> <p>Step 10: [In Case of Conditional Approval] 14 working days for recasting DPP (para 16.2.1), 7 working days for scrutinizing the recast DPP by the Sector Division of Planning Commission, after getting the approval from Minister/ State Minister (if applicable) and submit to NEC-ECNEC and Coordination Wing, 3 working days for issuing the Approval letter from NEC-ECNEC and Coordination Wing (para 16.2.2)</p> |

Source: Green Book 2022

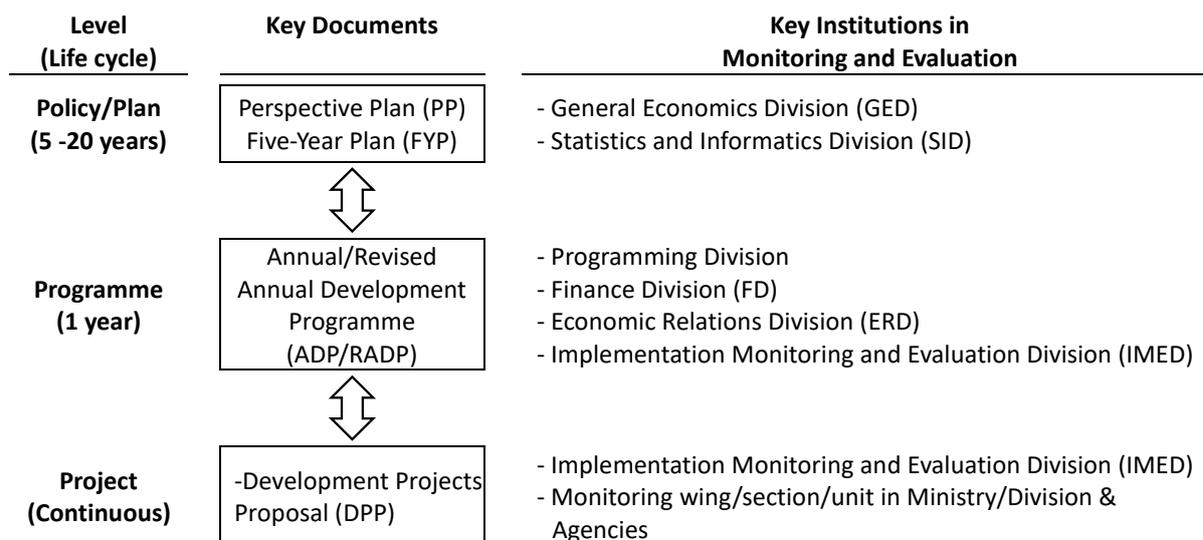
Note 1: Green Book 2008 and Cabinet Division's Circular

For reference, the explanation of the Monitoring and Evaluation system of Bangladesh's PIM is given in Box 5.

Box 5 Monitoring and Evaluation System in Bangladesh PIM

In the PIM system of Bangladesh, the responsibility of monitoring and evaluation is vested in some institutions. Basically, the Planning Commission, the Divisions under the Ministry of Planning, the sponsoring Ministries/Divisions and the Implementing Agencies perform this responsibility.

The following figure shows the image of the M&E framework in Bangladesh.



Framework of M&E of development budget and the functions of concerned main institutions:

| Name of institutions | Functions |
|--|---|
| General Economics Division (GED) | Monitoring the implementation of the long-term and medium plans and the Sustainable Development Goals (SDGs). |
| Statistics and Informatics Division (SID) | Monitoring the macro-M&E information and conducting the Census. |
| Programming Division | Overseeing the implementation of the ADP and its overall management. |
| Finance Division | Monitoring the Ministry/ Division's budget on a quarterly basis. |
| Economic Relations Division (ERD) | Monitoring utilization of external resources of donor-supported projects. |
| Implementation Monitoring and Evaluation Division (IMED) | Monitoring the progress of the projects in the development budget (ADP), and conducting limited Mid-term and impact evaluation. |
| Monitoring wing/section/unit in Ministry/Division & Agencies | Monitoring project implementation and submitting the monthly, quarterly and yearly report from Agency to Ministry/Division, and Ministry/Division to the IMED (with a copy to the Sector Division of the Planning Commission and, if applicable, ERD) |

1-4-3 Project Assessment Points at the Ministry/Division level

The Green Book 2022 instructs the Ministry to assess project proposals from various viewpoints. Some relevant sections are reflected in the box below:

- 1.1 The following issues/factors shall have to be given **special consideration** by the Implementing Agency and the sponsoring Ministry/Division at the time of identification and preparation of projects:

(Sub-paragraphs 1.1.1 to 1.1.16 of the Green Book 2022 stipulate special points for consideration during project assessment, details of which are given in Table 8

- 2.2 The sponsoring Ministry/Division will conduct a thorough assessment/ examination /appraisal of the Project Proposal (DPP) after receiving it from the Agency. Steps should be taken to examine and assess the correctness, appropriateness, duplication and, sustainability and location and justification of the project in terms of the information attached with the DPP, and the project site should be visited for obtaining on-the-spot and clear understanding and knowledge about the project for its appraisal. At the time of assessment/ examination/appraisal by the Ministry/Division, **the points mentioned at paras 1 and 21** will have to be considered. In addition, the points mentioned at para **3.1 (where applicable)** also will have to be considered.

(Source: Green Book 2022)

The assessment points stipulated in sub-paragraphs of 1.1 of the Green Book are shown in Table 8.

Table 8 Summary of Project Assessment Points at the Ministry/Division level

| Para | Description |
|------|---|
| | 1.1 The following issues/factors shall have to be given special consideration by the Implementing Agency and the sponsoring Ministry/Division at the time of identification and preparation of projects: |
| 1 | 1.1.1 Consistency with the Allocation of Business: The Allocation of Business by the Government must have to be taken into consideration at the time of preparation/formulation of the Project Proposal. The Ministry/Division will take up the project within its own jurisdiction as per the Allocation of Business. If a Project is proposed involving the coordination of more than 1 (one) Ministry/Division, then the appropriate Ministry/ Division has to be selected as the Lead Ministry/ Division. However, taking up of cluster/umbrella project involving more than 1 (one) Ministry/Division will have to be generally avoided. But the opinion/comments of the Ministries/Divisions/Agencies which have linkage with the activities of the project will have to be obtained. |
| 2 | 1.1.2 Feasibility Study: Before taking up any Investment Project with an estimated cost of above Tk. 50 (fifty) crore, Feasibility Study must be conducted by an experienced organization in the concerned field and Feasibility Study Report has to be prepared in the prescribed format (Annexure – KA/KHA). Recommendations and important parts (Executive Summary, Cost estimates, design/conceptual design etc.) of the Report will have to be attached with the Project Proposal (DPP). A feasibility Study will have to be conducted also for projects with an estimated cost of up to Tk. 50 (fifty) crore in consideration of the importance and nature of a project. |
| 3 | 1.1.3 Stakeholder consultation: If necessary, the concerned Ministry/Division/Agency will have to obtain the comments/views of the stakeholders including the officials of field administration and relevant field level officials at the time of formulation of the Development Project. |
| 4 | 1.1.4 Purpose of the Project: The purpose of the Project has to be Specific, Measurable, Achievable, Relevant and Time-bound. Any activity not consistent with the title and purpose of the project cannot be included. |
| | 1.1.5 Consistency with short, medium and long-term Development Plan, Policy and Strategy: |
| 5 | (a) Consider Bangladesh Delta Plan 2100, the objectives , targets and strategy of the Five-Year Plan and the Perspective Plan; |
| 6 | (b) Consider the National Sustainable Development Strategy, the Sustainable Development Goals (SDGs) declared by the United Nations and the Development Goals adopted by other International Organizations; |
| 7 | (c) Selection of suitable/ appropriate Projects based on priority in terms of the Sectoral Policy and strategy of the concerned Ministry/ Division; |
| 8 | (d) Justification for taking the project in the context of the priority of the Government and the overall economic situation of the country. |
| | 1.1.6 Consideration of availability of resources: |
| 9 | (a) Preparation of projects based on rational cost estimates within the resources ceiling/limit of the Mid-term Budget Framework (MTBF) and checking the appropriateness of MTBF related information and the MTBF Certificate; |
| 10 | (b) Not taking up project without confirmation of the availability of funding and |
| 11 | (c) Formulating one comprehensive project instead of preparing more than one small and separate projects for achieving the same and similar objectives. |
| | 1.1.7 Consideration of results of the projects of the same nature /type and avoidance of duplication: |
| 12 | (a) Considering the results and experience of similar projects implemented earlier or under implementation at present to determine plan and strategy for mitigating the possible risks of the proposed project; |

| Para | Description |
|--------|---|
| 13 | (b) For taking up projects to be implemented in phases, considering the results and recommendations of the completed project, the recommendations of IMED Project Completion Report and providing a comparative picture of the possible results of the next phase of the proposed project; and |
| 14 | (c) Ensuring avoidance of duplication of the activities of the proposed project with those of development programmes outside ADP, on-going projects/programs under the Climate Change Trust Fund (CCTF) or other Fund and the on-going activities under the Operating Budget. |
| 1.1.8 | Cost estimate and the basis and appropriateness of preparing the cost estimates of the project: |
| 15 | 1.1.8.1 The concerned Ministry/Division will prepare the cost estimates of the development project considering the population, geographical location of the District/Upazila, hard to reach area and zone-based unit cost (Rate schedule) of physical construction with the consent of the Finance Division. In addition, for the non-scheduled items (medical, ICT, and other specialized equipment/materials/commodities) the concerned Ministry/Division will prepare a list of an item-wise unit price considering the market price and the Ministry /Division will have to prepare the cost estimate of the project on the basis of that price list. |
| 16 | 1.1.8.2 (a) Making the cost estimates practical mentioning the basis / justification of component-wise cost estimates relating to consultants, manpower, seminar, and training ; |
| 17 | (b) Justification for procurement of consulting services and vehicles under the project, |
| 18 | (c) Present condition/ location of the vehicles/equipment procured by the same Agency for the projects implemented earlier; |
| 19 | (d) Identification of possible risks during project implementation (economic, technical, environmental, the impact of climate change and disaster, etc.) and mitigation measures thereof; |
| 20 | (e) information regarding the present market price of land from the appropriate authority, the existing resources (infrastructure, trees, and plants)and preparation of estimation of cost for land acquisition considering the possible time frame after approval of the project |
| 21 | (f) Considering procurement of physical services through Service Outsourcing in possible cases; and |
| 22 | (g) Conducting realistic financial and economic analysis. |
| 23 | 1.1.8.3. Provision funds may be kept for Price Contingency for inflation and for Physical Contingency for a limited amount of additional physical work in the special case in accordance with Economic Cde/Sub-code). A maximum of 8 % of the total estimated cost of the project may be provided for Price Contingency and a maximum of 2% of the total estimated cost may be provided only for Physical Contingency for physical items. |
| 1.1.9 | Poverty alleviation and removal of regional disparity: |
| 24 | (a) For removing regional disparity in the context of the socio-economic situation, priority should be given to selection of projects from the less developed areas of the country and incorporation of specific information about the project beneficiary group ; |
| 25 | (b) Arrangements for ensuring that the lion's share of the allocation for Poverty Alleviation Projects reaches the beneficiaries directly; and |
| 26 | (c)The location of the project should be selected keeping in view the policy of reaching the project benefits to all Divisions and Districts for ensuring balanced development in all the areas of the country and |
| 27 | (d) Creation and preservation of digital data-base of the beneficiaries. |
| 1.1.10 | Making the project results sustainable: |
| 28 | (a) Furnish specific information /plan relating to maintenance and operation of the institutions /infrastructure created under the completed project and all necessary information for its institutionalization and sustainability (Exit Plan); |

| Para | Description |
|------|--|
| 29 | (b)Detailed Plan for use of the equipment, furniture and vehicles procured under the development project/programme after the completion of the project/programme should be stated in the DPP. |
| 30 | 1.1.11 Analysis of the impact of the project on Environment, Climate Change and other Cross Cutting Issues: The Development Project Proposal shall include information regarding the effects of climate change and impacts of the proposed project on environment, ecology, natural disaster, employment generation, nutrition, women , children, gender issues, disabled persons, food security, safe food, statistical data on poverty reduction, institutionalization, productivity, adverse impact of the proposed project on the infrastructures of the projects completed earlier or under implementation at present and clear description of the remedial measures for mitigating those. At the time of preparation /formulation of the project, Disaster Impact Assessment (DIA) will have to be done/conducted by using Disaster and Climate Risk Information Platform (DRIP) for identification of disaster and climate risk in the project area and for taking measures to mitigate them. |
| 31 | 1.1.12 Project duration: Generally, the duration of a Project will be 3 (three) years except for the Special cases. |
| 32 | 1.1.13 Source of data/ information: The Source of the data /information used in the DPP will have to be mentioned. |
| 33 | 1.1.14 Project Manpower: Information regarding the institutional capacity (Technical and Financial) of the Implementing Authority during implementation and operational phase of the project will have to be furnished. Specially, the outline of the experience and efficient manpower necessary for the operation of the infrastructure and establishments created as output of the project should be specifically mentioned. The post /type and number of manpower should be properly reflected in the DPP along with the recommendations of the Manpower Committee of Finance Division constituted by the Cabinet Division. However, the recommendation of the Finance Division's Manpower Committee will not be required if there is no provision for employment of manpower either directly/ through out-sourcing/deputation during implementation stage of the project. |
| 34 | 1.1.15 The proposed projects for construction of highways under the Roads and Highways Division should include provision for construction of service roads on both sides of the highway to facilitate the movement of slow-moving vehicles and pedestrians. The national highways will have to be constructed taking into consideration the highest level (height) of floods in last one hundred years. There should not be any slope/ditch or low land by the side of the high way. In addition, under-pass/over-pass or U-loop will have to be constructed in phases on the four-lane highways and in the busiest location /area and the inter-sections during expansion of the highways. |
| 35 | 1.1.16 Provision for installing Weighing Machines for controlling the excel load of the vehicles have to be kept for ensuring the sustainability of the existing /to be constructed bridges, Express Way and Tunnel on the Highways. In addition, special control measures have to be in place to ensure that heavy vehicles are not allowed to run on the village roads/bridges. |

Source: GoB (2022) Green Book

In addition to above mentioned assessment points given in Table 8, the Green Book stipulates some **additional examination points** for some specific types of projects which are given at Box 12 (sector specification).

The abovementioned points can be reorganized into five common evaluation criteria stipulated in OECD-DAC, explained in sub-chapter 1-3-3 (p.21), namely Relevance, Effectiveness, Efficiency, Impact and Sustainability, as described in Table 9. These restructured assessment points are used in the MAF.

Table 9 Project Assessment Points Categorized in Five Evaluation Criteria

| Para | Description |
|-------|---|
| | Relevance |
| 1.1.1 | Consistency with the Allocation of Business: The Allocation of Business by the Government must have to be taken into consideration at the time of preparation/formulation of the Project Proposal. The Ministry/Division will take up the project within its own jurisdiction as per the Allocation of Business. If a Project is proposed involving the coordination of more than 1 (one) Ministry/Division, then the appropriate Ministry/ Division has to be selected as the Lead Ministry/ Division. However, taking up of cluster/umbrella project involving more than 1 (one) Ministry/Division will have to be generally avoided. But the opinion/comments of the Ministries/Divisions/Agencies which have linkage with the activities of the project will have to be obtained. |
| 1.1.5 | Consistency with short, medium and long-term Development Plan, Policy and Strategy: |
| 1.1.5 | (a) Consider Bangladesh Delta Plan 2100, the objectives, targets and strategy of the Five-Year Plan and the Perspective Plan; |
| 1.1.5 | (b) Consider the National Sustainable Development Strategy, the Sustainable Development Goals (SDGs) declared by the United Nations and the Development Goals adopted by other International Organizations; |
| 1.1.5 | (c) Selection of suitable/ appropriate Projects based on priority in terms of the Sectoral Policy and strategy of the concerned Ministry/ Division; |
| 1.1.5 | (d) Justification for taking the project in the context of the priority of the Government and the overall economic situation of the country. |
| 1.1.6 | Consideration of availability of resources: |
| 1.1.6 | (a) Preparation of projects based on rational cost estimates within the resources ceiling/limit of the Mid-term Budget Framework (MTBF) and checking the appropriateness of MTBF related information and the MTBF Certificate; |
| 1.1.6 | (b) Not taking up project without confirmation of the availability of funding and |
| 1.1.6 | (c) Formulating one comprehensive project instead of preparing more than one small and separate projects for achieving the same and similar objectives. |
| 1.1.7 | (c) Ensuring avoidance of duplication of the activities of the proposed project with those of development programmes outside ADP, on-going projects/programs under the Climate Change Trust Fund (CCTF) or other Fund and the on-going activities under the Operating Budget. |
| 1.1.9 | Poverty alleviation and removal of regional disparity: |
| 1.1.9 | (a) For removing regional disparity in the context of the socio-economic situation, priority should be given to selection of projects from the less developed areas of the country and incorporation of specific information about the project beneficiary group ; |
| 1.1.9 | (b) Arrangements for ensuring that the lion's share of the allocation for Poverty Alleviation Projects reaches the beneficiaries directly; and |
| 1.1.9 | (c)The location of the project should be selected keeping in view the policy of reaching the project benefits to all Divisions and Districts for ensuring balanced development in all the areas of the country and |
| 1.1.9 | (d) Creation and preservation of digital data-base of the beneficiaries. |
| | Effectiveness |
| 1.1.4 | Purpose of the Project: The purpose of the Project has to be Specific, Measurable, Achievable, Relevant and Time-bound. Any activity not consistent with the title and purpose of the project cannot be included. |
| | Efficiency |
| 1.1.7 | Consideration of results of the projects of the same nature /type and avoidance of duplication: |

| Para | Description |
|----------|---|
| 1.1.7 | (a) Considering the results and experience of similar projects implemented earlier or under implementation at present to determine plan and strategy for mitigating the possible risks of the proposed project; |
| 1.1.7 | (b) For taking up projects to be implemented in phases, considering the results and recommendations of the completed project, the recommendations of IMED Project Completion Report and providing a comparative picture of the possible results of the next phase of the proposed project; and |
| 1.1.8 | Cost estimate and the basis and appropriateness of preparing the cost estimates of the project: |
| 1.1.8.1 | The concerned Ministry/Division will prepare the cost estimates of the development project considering the population, geographical location of the District/Upazila, hard to reach area and zone-based unit cost (Rate schedule) of physical construction with the consent of the Finance Division. In addition, for the non-scheduled items (medical, ICT, and other specialized equipment/materials/commodities) the concerned Ministry/Division will prepare a list of an item-wise unit price considering the market price and the Ministry /Division will have to prepare the cost estimate of the project on the basis of that price list. |
| 1.1.8.2 | (a) Making the cost estimates practical mentioning the basis / justification of component-wise cost estimates relating to consultants, manpower, seminar, and training ; |
| 1.1.8.2 | (b) Justification for procurement of consulting services and vehicles under the project, |
| 1.1.8.2 | (c) Present condition/ location of the vehicles/equipment procured by the same Agency for the projects implemented earlier; |
| 1.1.8.2 | (d) Identification of possible risks during project implementation (economic, technical, environmental, the impact of climate change and disaster, etc.) and mitigation measures thereof; |
| 1.1.8.2 | (e) information regarding the present market price of land from the appropriate authority, the existing resources (infrastructure, trees, and plants)and preparation of estimation of cost for land acquisition considering the possible time frame after approval of the project |
| 1.1.8.2 | (f) Considering procurement of physical services through Service Outsourcing in possible cases; and |
| 1.1.8.2 | (g) Conducting realistic financial and economic analysis. |
| 1.1.8.3. | Provision funds may be kept for Price Contingency for inflation and for Physical Contingency for a limited amount of additional physical work in the special case in accordance with Economic Cde/Sub-code). A maximum of 8 % of the total estimated cost of the project may be provided for Price Contingency and a maximum of 2% of the total estimated cost may be provided only for Physical Contingency for physical items. |
| 1.1.12 | Project duration: Generally, the duration of a Project will be 3 (three) years except for the Special cases. |
| 1.1.14 | Project Manpower: Information regarding the institutional capacity (Technical and Financial) of the Implementing Authority during implementation and operational phase of the project will have to be furnished. Specially, the outline of the experience and efficient manpower necessary for the operation of the infrastructure and establishments created as output of the project should be specifically mentioned. The post /type and number of manpower should be properly reflected in the DPP along with the recommendations of the Manpower Committee of Finance Division constituted by the Cabinet Division. However, the recommendation of the Finance Division's Manpower Committee will not be required if there is no provision for employment of manpower either directly/ through out-sourcing/deputation during implementation stage of the project. |
| 1.1.15 | The proposed projects for construction of highways under the Roads and Highways Division should include provision for construction of service roads on both sides of the highway to facilitate the movement of slow-moving vehicles and pedestrians. The national highways will have to be constructed taking into consideration the highest level (height) of floods in last one hundred years. There should not be any slope/ditch or low land by the side of the high way. In addition, under-pass/over-pass or U-loop will have to be constructed in phases on the four-lane highways and in the busiest location /area and the inter-sections during expansion of the highways. |
| 1.1.16 | Provision for installing Weighing Machines for controlling the excel load of the vehicles have to be kept for ensuring the sustainability of the existing /to be constructed brides, Express Way and |

| Para | Description |
|----------------|---|
| | Tunnel on the Highways. In addition, special control measures have to be in place to ensure that heavy vehicles are not allowed to run on the village roads/bridges. |
| Impact | |
| 1.1.11 | Analysis of the impact of the project on Environment, Climate Change and other Cross Cutting Issues: The Development Project Proposal shall include information regarding the effects of climate change and impacts of the proposed project on environment, ecology, natural disaster, employment generation, nutrition, women , children, gender issues, disabled persons, food security, safe food, statistical data on poverty reduction, institutionalization, productivity, adverse impact of the proposed project on the infrastructures of the projects completed earlier or under implementation at present and clear description of the remedial measures for mitigating those. At the time of preparation /formulation of the project, Disaster Impact Assessment (DIA) will have to be done/conducted by using Disaster and Climate Risk Information Platform (DRIP) for identification of disaster and climate risk in the project area and for taking measures to mitigate them. |
| Sustainability | |
| 1.1.10 | Making the project results sustainable: |
| 1.1.10 | (a) Furnish specific information /plan relating to maintenance and operation of the institutions /infrastructure created under the completed project and all necessary information for its institutionalization and sustainability (Exit Plan); |
| 1.1.10 | (b)Detailed Plan for use of the equipment, furniture and vehicles procured under the development project/programme after the completion of the project/programme should be stated in the DPP. |
| Common | |
| 1.1.2 | Feasibility Study: Before taking up any Investment Project with an estimated cost of above Tk. 50 (fifty) crore, Feasibility Study must be conducted by an experienced organization in the concerned field and Feasibility Study Report has to be prepared in the prescribed format (Annexure – KA/KHA). Recommendations and important parts (Executive Summary, Cost estimates, design/conceptual design etc.) of the Report will have to be attached with the Project Proposal (DPP). A feasibility Study will have to be conducted also for projects with an estimated cost of up to Tk. 50 (fifty) crore in consideration of the importance and nature of a project. |
| 1.1.3 | Stakeholder consultation: If necessary, the concerned Ministry/Division/Agency will have to obtain the comments/views of the stakeholders including the officials of field administration and relevant field level officials at the time of formulation of the Development Project. |
| 1.1.13 | Source of data/ information: The Source of the data /information used in the DPP will have to be mentioned. |

Source: Green Book 2022

Part 2

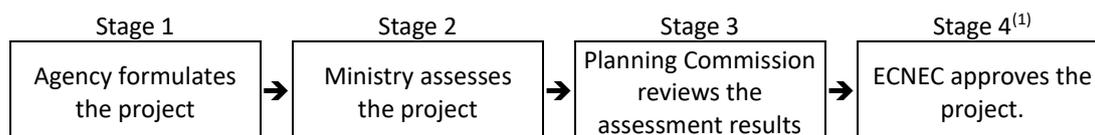
Procedure of Ministry Project Assessment

1 Procedure of Ministry Project Assessment

2-1 Overall Framework for Ministry Project Assessment

2-1-1 The position of Ministry Project Assessment

The Green Book stipulates the overall procedure of Project Planning, including Project Formulation, Appraisal, Approval and Revision. Figure 17 illustrates the four stages of the stipulated overall procedure.



Note 1: Only in the case of the investment project with an estimated cost of 50 Crore and above in Taka (BDT). Based on the PEC recommendation, the Minister/ State Minister in charge of the Ministry of Planning approves investment projects having an estimated cost of up to BDT 50 crore, and TA projects with an estimated cost of above BDT 10 crore or a share of GOB financing is more than 20% of the total estimated cost.

Figure 17 Four stages for project formulation, appraisal and approval

The explanation of each stage is summarized below, for the investment project with an estimated cost of Tk.50 Crore and above.

- **Stage 1. Agency Formulates the Project:** The Agency identifies and formulates the project and prepares the Development Project Proposal (DPP). The Agency conducts preparatory works and feasibility studies, including cost-benefit analysis, social analysis, risk analysis, environmental impact assessment, disaster impact assessment, and other analyses when required, to formulate the DPP. After the internal check, the Agency submits the DPP to the sponsoring Ministry/Division.
- **Stage 2. Ministry assesses the project: The Project Scrutiny Committee/ Project Assessment Committee (PSC/PAC)* at the Ministry/Division assesses the content and quality of the DPP.** The Planning Wing/Branch of the Ministry/ Division examines the DPP from the assessment points stipulated in the Green Book in consultation with the Agency. The Planning Wing/Branch specifies the discussion points for the PSC/PAC meeting to ensure that the content and quality of the project is appropriate for implementation. The PSC/PAC suggests necessary improvements to the DPP. After recasting the DPP by the Agency as per the PSC/PAC suggestion, the Ministry/Division sends the recast DPP to the concerned Sector Division of the Planning Commission.
- **Stage 3. Sector Division of the Planning Commission reviews the results of the assessment, and appraises the project:** The Project Evaluation Committee (PEC) at the Planning Commission reviews the results of the Project assessment made by the PSC/PAC, appraises the DPP from the sector perspective, and makes a recommendation to the ECNEC for approval of the project (DPP). The concerned Sector Division of the Planning Commission organizes the PEC meeting and prepares the working paper with specific discussion points after reviewing the result of the project assessment and the DPP. After recasting the DPP by the Sponsoring Ministry/Division, and Agency as per the PEC decision, the Sector Division sends the DPP to the ECNEC via NEC-ECNEC and Coordination Wing of Planning Division.
- **Stage 4. ECNEC approves the project:** The ECNEC** approves the project based on the PEC recommendation only in the case of an investment project with an estimated cost of Tk.50 crore and above.

* This Manual named the Committee to assess the project as the Project **Assessment** Committee (PAC). The Green Book calls for the same committee as the Project **Scrutiny** Committee (PSC). This is to avoid

confusion in connection with the abbreviation of Project Scrutiny Committee: “PSC”, as, in general, PSC stands for Project **Steering** Committee.

** Based on the PEC recommendation, the Minister/ State Minister in charge of the Ministry of Planning approves investment in a project with an estimated cost of up to BDT 50 crore.

2-1-2 The composition and Terms of Reference (TOR) of the Project Scrutiny Committee/ Project Assessment Committee (PSC/PAC), including roles of the Planning Wing/Branch of the Ministry/Division with respect to the PSC/PAC

The Annexure DA of Green Book 2022 illustrates the composition/ members and TOR of PSC/PAC.

Para 2.3 of Green Book 2022: 2.3 The Planning Wing /Branch of the sponsoring Ministry /Division shall examine the DPP in the context of the above points and arrange the meeting of the Project Scrutiny Committee (PSC) under the chairmanship of the Sr. Secretary/Secretary of the Ministry/ Division (Annexure- DA/সংযোজনী দ/সংযোজনী ড). Suppose the project is acceptable in consideration of the points mentioned above. In that case, the Implementing Agency will revise/recast the DPP, if necessary, as per the recommendations of the PSC meeting. The minutes of the PSC meeting (along with a checklist) will have to be attached to the DPP.

The Members of the PSC/PAC are as follows.

- Sr. Secretary/ Secretary of the concerned Ministry/Division (Chairperson)
- Planning Wing/Branch Chief of the concerned Ministry/Division (Member)
- Representative (Budget Wing) of the concerned Ministry/Division (Member)
- Representative (Development Wing) of the concerned Ministry/Division (Member)
- Head of the concerned Implementing Agency (Member)
- Representative of the Concerned Architecture/Engineering Department (Member)
- Concerned Assistant Secretary of the Sponsoring Ministry/Division (Member-secretary)

The TOR of the PSC/PAC is:

- To examine whether the project proposal is formulated in compliance with the guidelines provided in the ‘Procedures for the Formulation, Processing, Approval and Revision of the Development Projects in the Public Sector’.

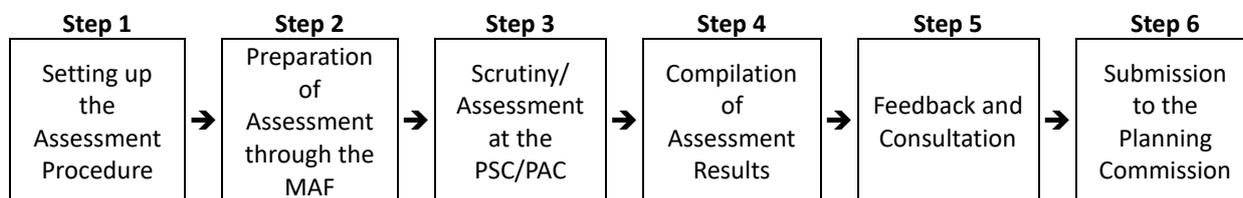
Although Green Book 2022 does not specifically mention the TOR of the Planning Wing/Branch of the sponsoring Ministry/Division with respect to project formulation and appraisal, these can be interpreted as follows.

- To assess the project proposal in reference to the assessment points stipulated in the Green Book 2022
- To prepare a working paper for the PSC/PAC meeting. Template of the working paper is in Annexure RA(৩) of the Green Book 2022
- To arrange the PSC/PAC meeting
- To prepare the minutes of the PSC/PAC meeting
- To examine the recast DPP for compliance with the recommendations of the PSC/PAC
- (when required) to submit the assessed/recast DPP to the Manpower Fixation Committee of the Finance Division
- To submit the assessed/recast DPP to the concerned Sector Division, Planning Commission

2-1-3 Preparation for PSC/PAC Meeting

The procedures to achieve the purpose of the PSC/PAC, "to assess the quality of the project in a

systematic way and send the appropriate DPP with respect to content and quality to the Planning Commission", are composed of six steps shown in Figure 18. Table 10 explains each step. The steps for post-PSC/PAC meeting/consultation are also included in these six steps, namely steps 5 and 6. They are included because the purpose of the PSC/PAC is accomplished only when the DPP is recast appropriately in line with the recommendations of the PSC/PAC.



Source: SPIMS

Figure 18 6 Steps of Project Assessment at the Ministry/Division level

Table 10 Steps and Sub-steps of Project Assessment at the Ministry/Division

| Step ¹ | Short description (sub-steps) |
|--|--|
| 1. Setting up the Assessment Procedure | <ul style="list-style-type: none"> The Planning Unit of the concerned Implementing Agency (hereafter named "Planning (A)") formulates the project and drafts the DPP. The Planning (A), with the endorsement of the Head of Agency (hereafter named "Head (A)"), submits the DPP to the Secretary/Sr. Secretary of the sponsoring Ministry/ Division with cc/attention to the Planning Wing/Branch/Section of the sponsoring Ministry/Division (hereafter named "Planning (M/D)"). <p>(Before the PSC/PAC meeting)</p> <ol style="list-style-type: none"> The Planning (M/D) receives the DPP from the Secretary/Sr. Secretary (M/D) The Planning (M/D) registers and files the DPP. The Planning (M/D) communicates with the Planning (A) to confirm some basic requirements of DPP formulation, and, if required, form a Task Team among officers at both Ministry/Division and Agency levels. |
| 2. Preparation of Assessment through MAF | <ol style="list-style-type: none"> The Planning (M/D) assesses the project (DPP) using the Ministry Assessment Format (MAF). The Planning (M/D) communicates with the Planning (A), upon necessity, to clarify issues in the course of assessment. The Planning (M/D) prepares the working paper for the PSC/PAC (Annexure RA/ of Green Book 2022) based on the assessment results and identifies the discussion points of the PSC/PAC meeting. The Planning (M/D) holds an internal meeting to confirm the assessment results, the PSC/PAC discussion points and their proposed recommendations. The Planning (M/D) discusses with the Secretary/ Sr. Secretary (M/D) to finalize the working paper for PSC/PAC. The Planning (M/D), with the endorsement of the Secretary/ Sr. Secretary (M/D), issues the notification of the PSC/PAC meeting, and distributes the working paper for the PSC/PAC meeting along with the completed MAF, within reasonable working days before the PSC/PAC meeting. The Planning (M/D) and the Planning (A) continue communicating to clarify some issues, when required, before the PSC meeting. |
| 3. Scrutiny/ Assessment at the PSC/PAC | <p>(At the PSC/PAC meeting)</p> <ol style="list-style-type: none"> The Planning (M/D) explains the assessment results and presents the discussion points and proposed recommendations based on the working paper and MAF. The Planning (A) responds to the points and recommendations. The members of the PSC/PAC discuss the contents of the project in line with the discussion points. The members of the PSC/PAC decide whether the project is appropriate for submission to the Planning Commission, including conditions upon necessity. They will/may also advise the Implementing Agency about how to recast the quality of the DPP. |
| 4. Compilation of | <p>(After the PSC/PAC meeting)</p> |

| Step ¹ | Short description (sub-steps) |
|--|--|
| Assessment Results | <p>4.1 The Desk Officer of the Planning (M/D) prepares the draft Minutes of Meeting (MM) for the PSC/PAC meeting.</p> <p>4.2 The Head of the Planning (M/D) examines the MM of PSC/PAC, and provides comments.</p> <p>4.3 If required, the Planning (M/D) communicates with Planning (A) to clarify outstanding issues based on the PSC/PAC results.</p> <p>4.4 The Planning (M/D) finalizes the MM of PSC/PAC.</p> <p>4.5 The Planning (M/D), with the endorsement of the Secretary/ Sr. Secretary (M/D) and the Chairperson of PSC/PAC, sends the MM of PSC/PAC, to the Head (A) and all concerned.</p> |
| 5. Feedback and Consultation | <p>5.1 The Planning (A) receives the MM of PSC/PAC via the Head (A).</p> <p>5.2 [If required] Manpower Fixation committee examine the post /type and number of manpower. When the Manpower Fixation is completed, Secretary (M/D), and Head (A) receives the report prepared by the Manpower Fixation Committee.</p> <p>5.3 The Desk Officer of Planning (A) recasts the DPP based on the decisions of the PSC/PAC Meeting, and Manpower Fixation Committee Meeting, and prepares the compliance table, namely a table showing compliances made against each instruction/ recommendation/ decision of the PSC/PAC meeting.</p> <p>5.4 The Planning (A) finalizes the recast DPP.</p> <p>5.5 The Planning (A), with the endorsement of the Head (A), sends the recast DPP to the Secretary/ Sr. Secretary (M/D) with a compliance table.</p> |
| 6. Submission to the Planning Commission | <p>6.1 The Planning (M/D) receives the recast DPP via the Secretary/Sr. Secretary (M/D)</p> <p>6.2 The Desk Officer of Planning (M/D) assesses the quality of the project/ the recast DPP, examining whether compliances were made per the PSC/PAC meeting decisions. The Desk Officer of Planning (M/D) recasts the ministry assessment contents by using a Check Sheet.</p> <p>6.3 The Planning (M/D) communicates with Planning (A) to clarify outstanding issues when required.</p> <p>6.4 The Planning (M/D) holds an internal meeting to confirm the assessment results on the recast DPP, and discusses with the Secretary/ Sr. Secretary (M/D) to endorse the recast DPP and finalizes the project assessment process at the Ministry level.</p> <p>If the Secretary/ Sr. Secretary (M/D) decides to hold another round of the PSC/PAC Meeting to discuss some unresolved issues, steps 2 to 5 will continue until the quality of DPP becomes adequate for endorsement. In this case, the Desk Officer of Planning (M/D) recasts the MAF based on the recast DPP.</p> <p>6.5 The Planning (M/D), with the endorsement of the Secretary/ Sr. Secretary (M/D), submits the recast DPP and the Ministry Assessment Report, including the Check Sheet, to the Member of Sector Division, Planning Commission.</p> |

Source: SPIMS

Note 1: The code and title of the sub-steps in this table are consistent with the code and tile in the following sections.

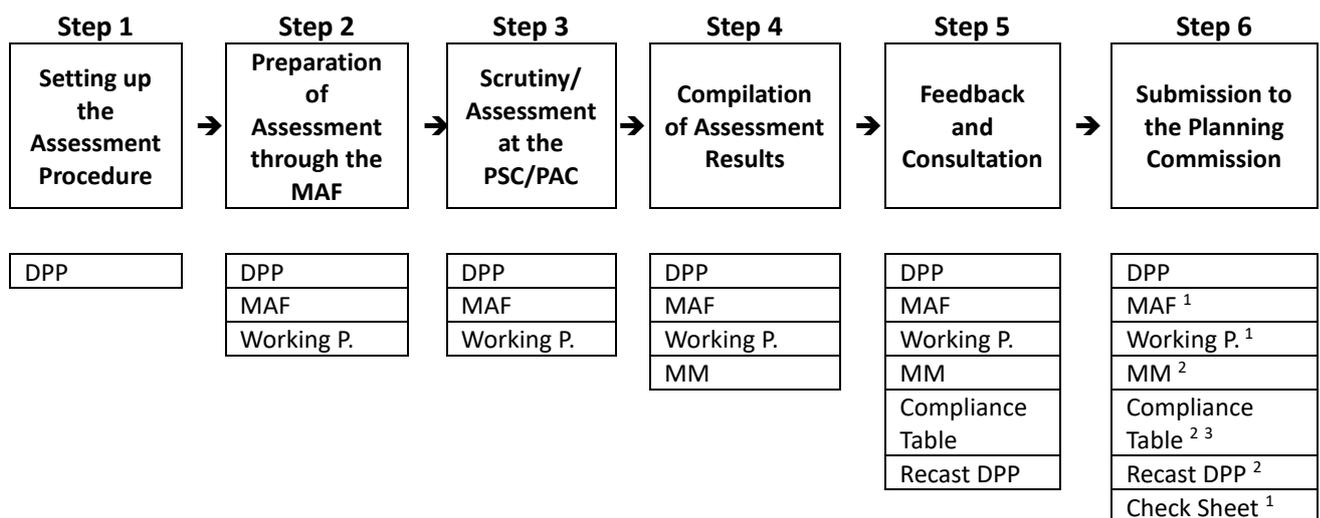
NOTE: If the Secretary/ Sr. Secretary (M/D) decides to hold another round of the PSC/PAC Meeting to discuss some unresolved issues, steps 2 to 5 will continue until the quality of DPP becomes adequate for endorsement.

2-1-4 Deliverables of each step

The documents produced in each step must be submitted to the next steps. To complete the task of each step, officers must produce the deliverables shown in Figure 19. The deliverables described in bold are the documents to be produced in each step. The following chapters explain the functions and contents of the documents. The simple descriptions of inter-relations among the documents are given below.

- Step 1: The file is registered after receiving the DPP from the Agency.
- Step 2: The MAF will have to be prepared properly based on the information in the DPP
- Step 3: The Working Paper for the PSC/PAC meeting will be prepared based on the Ministry assessment results.
- Step 4: The Minutes of the Meeting will be prepared based on the Working Paper and the decisions of the PSC/PAC meeting.
- Step 5: The recast DPP is prepared based on the minutes of the PSC/PAC meeting. A compliance table of the decisions of the PSC/PAC meeting is prepared.
- Step 6: The recast MAF/ Check Sheet is prepared based on the recast DPP.

As the report of the Project Assessment at the Ministry/Division level, the Working Paper for the PSC/PAC meeting and the filled MAF with Check Sheet will be sent to the Sector Division for project appraisal along with the recast DPP.



[Legend]: MM: Minutes of PSC/PAC meeting, Working P.: Working Paper

Note 1: Working Paper for the PSC/PAC. and the filled MAF with Check Sheet will be sent to the Sector Division for project appraisal along with the recast DPP

Note 2: Minutes of the PSC/PAC meeting and Compliance Table will be attached to the DPP.

Note 3: A table showing compliances made against each instruction/ recommendation decision of the PSC/PAC meeting

Figure 19 Relevant Outputs of each step in the Ministry/Division for project assessment

2-2 Step 1: Setting up the Assessment Procedure

This chapter provides the detailed operational instructions for “Setting up the Assessment Procedure”. This is the first step of the whole procedure related to Project Assessment at the Ministry/ Division level, as shown in Figure 20.

In the step 1, the sub-steps in the following sequence are completed (Figure 20). Among them, the next sub-chapter explains the action for the underscored sub-steps:

- (Before step 1): The Planning Unit of the concerned Implementing Agency (Planning (A)) formulates the project and drafts the DPP.
- (Before step 1): The Planning (A), with the endorsement of the Head of Agency (Head (A)), submits the DPP to the Head of the sponsoring Ministry/ Division (Secretary/ Sr. Secretary (M/D)) with cc/attention to the Planning Wing/Branch/Section of the sponsoring Ministry/Division (Planning (M/D)).
- Sub-step 1.1: Planning (M/D) receives the DPP from the Secretary/ Sr. Secretary (M/D)
- Sub-step 1.2: Planning (M/D) registers and files the DPP.
- Sub-step 1.3: Planning (M/D) communicates with Planning (A) to confirm some basic requirements of DPP formulation, and, if required, form a Task Team among officers at both Ministry/Division and Agency levels.

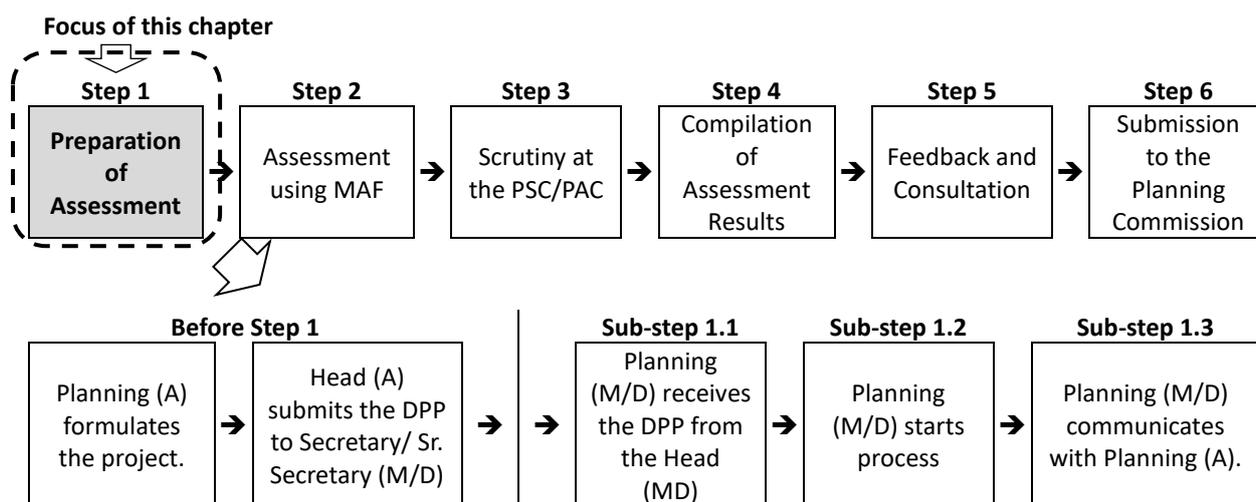


Figure 20 Step 1 “Setting up Assessment Procedure”

For the steps “Planning (A) formulates the DPP” and “Head (A) submits the DPP to Secretary/ Sr. Secretary (M/D)”, for this see “the Handbook for DPP preparation”.

2-2-1 Registering/ filing the DPP

The Project Assessor in the Planning Unit of the Ministry/Division will register the DPP. The DPP is filed according to the Government of Bangladesh Secretariat Instructions 2014. The file code also is selected, and the file is registered accordingly.

2-2-2 Process of communication between Ministry/Division and Agency

Before conducting a project assessment using MAF, if required, the Planning (M/D) may consult with the Planning (A) to confirm some basic requirements to fulfil the formalities of the DPP procedure.

Table 1 (overleaf) shows the points the Planning (M/D) checks as basic requirements and formalities. The Project Assessor is expected to check the points at the initial stages of the project assessment procedure.

When the Planning (M/D) finds some points which cannot be overlooked before proceeding to assessment at the PSC/PAC meeting, the Planning (M/D) will directly consult them with the Planning (A). When the issues are vital and require the Agency to reconsider and reformulate the project, the Planning (M/D) sends back the DPP via the Secretary/ Sr. Secretary (M/D) to the Head (A).

To make the communication smooth between the Planning (M/D) and the Planning (A), it is recommendable to formulate a “Task Team for PSC/PAC meeting preparation” among the stakeholders. The proposed members and TOR are given as below:

The members of the Task Team could be as follows.

- Head of Planning Wing/Branch/Section of Sponsoring Ministry/Division (chair)
- Desk officer of Planning Wing/Branch/Section of Sponsoring Ministry/Division (member)
- Head of Planning Wing/Branch/Section of Agency (member)
- Desk officer of Planning Wing/Branch/Section of Agency (member)
- Designated Project Director(member)

The TOR of this Task Team would be:

- To exchange information and opinions regarding the project assessment.

Alternatively, the Planning (M/D) will hold the pre-PSC/PAC meeting before the official PSC/PAC meeting to discuss the contents of the discussion at the PSC/PAC. The members of pre- PSC/PAC meeting would be the same as those of the proposed Task Team.

Tips:

It is essential to know the context of the project clearly before starting the project assessment. To check the context, the Project Assessor will examine the DPP items: 14 Background, and 15 Project Description.

Table 11 List of Attachments of the DPP

The DPP has two (2) parts with 33/34 items*, seven (7) stipulated attachments named “Annexure” and seven (7) supporting attachments (named Appendix in this Handbook) which are explained in the table below.

* Bangla and English formats have 33 and 34 items, respectively. **The Handbook follows the English format to explain all items.**

| | | |
|---------------|--|--------------|
| Part A: | Project Summary (Item number 1 to 13) | |
| Part B: | Project Details (Item number 14 to 34) | |
| Annexures: | Attachment of the DPP <i>always applicable</i> | DPP item no. |
| Annexure I: | Location-wise cost breakdown of the Project | 8. |
| Annexure II: | Management setup of the Project (Organogram of proposed setup) | 11.1 |
| Annexure III: | Total procurement plan for development project | 12.1 |
| Annexure IV: | Year-wise financial and physical target plan | 12.1 |
| Annexure V: | Detailed estimated cost and detailed annual phasing of estimated cost | 22. |
| Annexure VI: | Amortization schedule (only for projects funded with loan from Gov.) | 24. |
| Annexure VII: | Financial Plan of proposed project considering MTBF ceiling and allocation required for on-going projects in ADP | 6.3 |
| Appendices: | Attachment of the DPP <i>when applicable</i> | |
| Appendix 1: | Location of the project (map) | 7.1 |
| Appendix 2: | Summary of findings & recommendations of pre-appraisal/ feasibility study/pre-investment study (if applicable) | 17. |
| Appendix 3: | Calculation sheet for financial and economic analysis | 18. |
| Appendix 4: | Technical specification/design of major components | 23. |
| Appendix 5: | Environmental Impact Assessment documents, when the proposed project’s environmental category is “red category” | 25.2 |
| Appendix 6: | Environment Clearance Certificate | 26.2 |
| Appendix 7: | Copy of relevant pages of (i) Bangladesh Delta Plan 2100, (ii) Perspective PI 2021-2041, (iii) Five Year Plan, (iv) SDGs, and (v) Ministry/ Sector Priority, and (vi) Sector Strategy Paper (SSP)/Sector Action Plan (SAP) | 27 |

In addition to the Annexures and Appendices listed above, the Green Book 2022 requires that the documents listed in the table below be attached to the DPP, as appropriate and necessary. The table below shows the cases when each document should be attached

| DPP Item No. | Cases | Documents | Green Book Para No. |
|--------------|--|--|---------------------|
| 2.1 | Project linking more than one sector | Compliance Table/ Meeting Minute/ Working Paper of inter-Ministerial meeting | 3.1.1 (1) |
| 6. | Project Aid | Copy of Preliminary DPP (PDPP) | 7.1 |
| 6. | Project Aid | In-principal Approval of the project | 7.1 |
| 6. | Own Fund/ Projects of State-owned/ Autonomous Institutions | Prior-consent of the Finance Division (Require the GOB fund) | 1.7.1 |
| 6. | Own Fund/ Projects of State-owned/ Autonomous Institutions | Non-objection of Finance Division (Invest their surplus funds) | 11.1.1 |
| 7. | Climate Change Risks | Hazard Map (justification about the selection of site) | 1.16 |
| 17. | Feasibility Study | Recommendation of Technical Committee | 3.1.3 |

| | | | |
|------------|-------------------------|--|---------------|
| 23 | Technical Specification | e.g., No-Objection/ Clearance Certificate form WARPO (for projects related to Water Resources) | 3.1.3 |
| 23. 25. | Technical test | Reports of technical tests (soil test, DIA and others), speed of cyclone, the maximum height of the flood etc. | 1.16 |
| 25.3 | Disaster Management | Disaster Impact Assessment Report | 1.16/ 21.3 |
| 24 | A loan from Gov. | Copy of Loan Agreement (together with Annexure VI) | 1.7.2 |
| 30. | Project Aid | Copy of Loan/ Grant Agreement/ MOU/ Appraisal report | 7.1 |
| 31. | Land Acquisition | Certificate from the Deputy Commissioner | 1.4 |
| 33.1 | Sustainability | Exit Plan | 1.1.10 |

| Cases Related to Project Appraisal Procedure | Documents | |
|---|---|--------|
| Project Not listed in Green Page | Letter of prior approval of the Hon'ble Minister/ State-Minister of the Planning | 21.5 |
| Before DPP is submitted to the Ministry/ Division | Meeting Minute/ Working Paper of Committee of Agency | 2.1 |
| After the Project Scrutiny Committee Meeting | Compliance Table/ Meeting Minute/ Working Paper of Project Scrutiny Committee Meeting | 2.3 |
| | Compliance Table/ Meeting Minute/ Working Paper of Manpower Fixation Committee Meeting | 1.1.14 |
| | MAF and Check Sheet | 1.9 |
| After the Project Evaluation Committee Meeting | Compliance Table/ Meeting Minute/ Working Paper of Project Evaluation Committee Meeting | |
| | Compliance Table/ Meeting Minute/ Working Paper of Cost Rationalization Committee Meeting | 3.1.10 |
| | SAF and Check Sheet | 1.9 |

Although it is not clearly stated in the DPP or the Green Paper, the following documents should be attached to the DPP to support the statement in the DPP.

| DPP | Case | Documents |
|------------|---------------------|--|
| 17 | Compensation | Land Acquisition Management Plan |
| 17 | Compensation | Rehabilitation/ Resettlement Action Plan |
| 25.2 | Environment | Environmental Management Plan |
| 25.3 | Disaster Management | Contingency Plan for Emergency Disaster Management |

2-3 Step 2: Preparation of Assessment through MAF

This chapter gives the detailed operational instructions for “Preparation of Assessment through the Ministry Assessment Format (MAF)”. This is the second step of the whole procedure related to Project Assessment at the Ministry/ Division level, as shown in Figure 21.

In the step 2, the sub-steps in the following sequence are completed. Among them, the next sub-chapters explain the detailed action for the underscored sub-steps.

- Sub-step 2.1: Planning (M/D) assesses the project (DPP) using the Ministry Assessment Format (MAF). The MAF prepared correctly will be considered as the preliminary assessment report.
- Sub-step 2.2: Planning (M/D) communicates with Planning (A), upon necessity, to clarify issues in the course of assessment.
- Sub-step 2.3: Planning (M/D) prepares the working paper for PSC/PAC based on the preliminary assessment results and identifies the discussion points of the PSC meeting. The summary of the Ministry assessment results will be attached to the working paper, or be used as a part of the working paper.
- Sub-step 2.4: Planning (M/D) holds an internal meeting to review the preliminary assessment results, PSC/PAC discussion points and their proposed recommendations. Planning (M/D) discusses with the Secretary/ Sr. Secretary (M/D) to finalize the working paper and, if necessary, will revise the preliminary assessment report and its summary for PSC.
- Sub-step 2.5: Planning (M/D), with the endorsement of the Secretary/Sr. Secretary (M/D), issues the notification of the PSC meeting, and distributes the working paper for PSC along with the summary ministry assessment results, and the completed MAF, within reasonable working days before the PSC/PAC meeting.
- Sub-step 2.6: Planning (M/D) and Planning (A) continue communication for clarification of some issues, when required, before the PSC meeting.

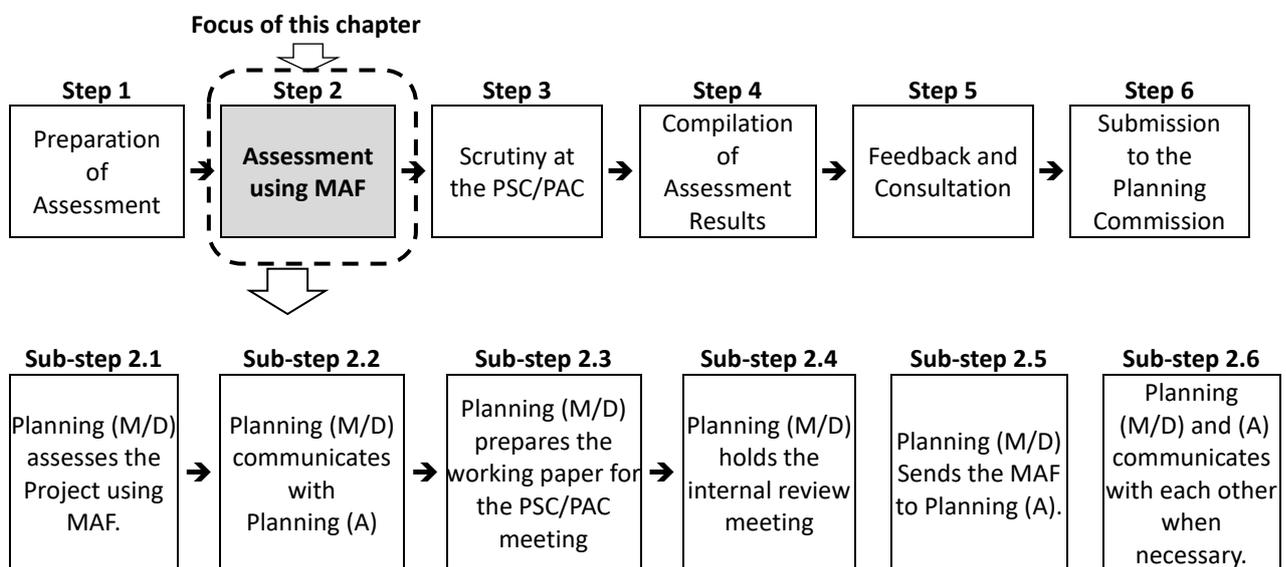


Figure 21 Step 2 “Assessment using MAF”

2-3-1 Assessment Criteria of the Ministry Assessment Format (MAF)

(1) Purpose of the MAF

MAF contains a standardized assessment framework and criteria for the Ministry/Division to make preliminary decisions on the value of the project, as well as whether the project is worthy of investment from institutional, financial/economic, and social/environmental aspects.

(2) Contents of the MAF

The MAF covers assessment points stipulated in the Green Book 2022. The MAF restructures and fits all assessment points into five basic evaluation criteria and one additional criterion: 1) Relevance, 2) Effectiveness, 3) Efficiency, 4) Impact, 5) Sustainability and 6) Risk & mitigation measures. The principle of the project evaluation, and the definitions of the five evaluation criteria are explained in Part 1 of this manual.

The MAF is composed of the following ten components.

1. **Cover page:** To keep the record of actions for project assessment
2. **Compliance Check:** to check whether the project has been formulated in accordance with the relevant rules and regulations.
3. **Part I. Basic information:** To check whether the basic information is included in the DPP
4. **Part II. Clarity of Logical Framework:** To check whether the Logical Framework is prepared appropriately.
5. **Part III. Land Acquisition, Rehabilitation and Resettlement:** To check the conditions and status of land acquisition-related issues and whether advance actions for land acquisition and resettlement are taken appropriately.
6. **Part IV. Environmental Requirements and Disaster & Climate Change Risks:** To check whether the initial environmental evaluation and/or the environmental impact assessment is conducted in a manner stipulated in the relevant rules and regulations, and whether the project is environmentally viable.
7. **Part V. Sector-Specific Analysis:** To check whether the project meets the sector specific standards and requirements, if available;
8. **Part VI. Cost-Benefit Analysis:** To check whether the cost-benefit analysis is conducted adequately, and whether the project is economically and financially viable.
9. **Part VII. Evaluation Criteria:** To check whether the project is prepared in an appropriate manner in terms of relevance, effectiveness, efficiency, impact, sustainability and risk.
10. **Check Sheet:** to confirm whether the DPP is recast based on recommendations of the PSC/PAC meeting.

Table presents the seven parts of MAF and their corresponding questions. The following section briefly explains how the Project Assessor can complete the MAF. Part 3 of this Manual explains the detailed steps for filling the MAF.

Table 12 Contents of the Ministry Assessment Format (MAF)

| Part | Item | Criteria | Question |
|------------|---|---|--|
| | Cover page | Track Record | |
| | Compliance Check A | A-1 Examination by Committee of Agency A-2 Feasibility Study [if applicable] A-3 Foreign Financing [if applicable] A-4 Projects of State-Owned/ Autonomous Institutions | |
| | Compliance Check B | B-1 Land B-2 Rehabilitation/ Resettlement B-3 Environmental Consideration B-4 Disaster and Climate Change Risks | |
| I | Basic Information of the Project | - Sponsoring Ministry/Division - Implementing Agency - Concerned Sector Division of the Planning Commission - Planned duration of the project - Estimated Cost of the Project (in Taka) - Project Location | |
| II | Clarity of the Logical Framework | 1) Project Purpose 2) Project Goal 3) Output 4) Input | 1) Is the Project Purpose in the Narrative Summary stated clearly? 2) Are the Objectively Verifiable Indicators (OVIs) for the Project Purpose set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly? 1) Is the Project Goal in the Narrative Summary stated clearly? 2) Are the OVIs for the Project Goal set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly? 3) Are important assumptions of the Project Purpose level indicated appropriately as conditions of the Project Goal achievement? 1) Are the Outputs in the Narrative Summary stated clearly? Are they properly aligned so that they are not duplicating with one another? 2) Are the OVIs for each of the Outputs set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly? 3) Are important assumptions of this level indicated appropriately as conditions of Project Purpose achievement? 1) Are the Inputs aligned clearly to achieve their Outputs? 2) Is Procurement Plan prepared adequately? 3) Manpower formulation of the project implementation 4) Are important assumptions and preconditions indicated appropriately as conditions for the achievement of each Output? |
| III | Land acquisition, compensation and resettlement | 1) Category of Land: Does the Project require the acquisition of land? If yes, are both the quantity and the category of the land to be acquisitioned clearly stated? 2) Basis of cost estimation: For projects requiring land acquisition, is the prevailing market price from the office of Deputy Commissioner obtained properly and stated and attached with the DPP? 3) Rehabilitation/ Resettlement: Does the project involve compensation, rehabilitation/ resettlement? If so, is the required compensation in line with the Real Property Acquisition and Requisition Act, 2017? | |
| IV | Environmental Requirements and Disaster & Climate Change Risks | 1. Environmental requirement | 1) Which environmental category is the proposed project in? 2) Has the project obtained an Environmental Clearance Certificate (ECC) stipulated under the Environment Conservation Act 1995? 3) If the project is categorized as Red, is the EIA document attached? 4) If the project is categorized as Red, is the Environmental Management Plan attached? |

| Part | Item | Criteria | Question |
|------|-------------------------------------|---|---|
| | | | 5) 5). What are the major impacts of the project to the natural and social environment? And what kind of mitigation measures are incorporated into the project design? |
| | 2 Disaster and Climate Change Risks | 2.1 Green and Climate Resilience Development (GCRD) Priority | Is the project proposed in line with the Green and Climate Resilience Development (GCRD) concept and priority actions (Sector-wise) as stipulated in the GCRD guidelines? |
| | | 2.2 Disaster Impact Assessment (DIA) | 1) In the case of infrastructure project, was Disaster Impact Assessment (DIA) conducted and is the report of DIA attached to the DPP? 2) What are the expected impacts of climate change to the proposed project, and mitigation measures? 3) What are the expected impacts of the project to increase the existing disaster and climate change related risks and/or contribute to create new risks, and mitigation measures? 4) Are Contingency Plan for Emergency Disaster Management and/ or Business Continuity Plan prepared and attached to the DPP? |
| V | Sector- Specific Analysis | | Is proposed project design and planned according to the specific requirements/ standards of the infrastructure type? |
| VI | Cost-Benefit Analysis | 1) Financial Analysis: is Financial Analysis conducted adequately? 2) Economic Analysis: is Economic Analysis conducted adequately? 3) Estimation of Economic and Financial Value: Is the proposed project worth public investment? | |
| VII | Evaluation Criteria | 1) Relevance | 1) Consistency with Plans, Strategies, and Programmes: Is the project included in the strategies, development plans and programmes stipulated by the Government / Sector? Are the Project Goal and Project Purpose consistent with these? 2) Consistency with financing resources (Ministry/Division-Level Multi-Year Public Investment Programme (MYPIP) if available and/or Medium-Term Budget Framework (MTBF)): Is the financing secured for the project? 3) Beneficiaries: Are the project beneficiaries appropriately identified? Does the Project Purpose match the needs of the beneficiaries? 4) Project Location: Can the Project Purpose be achieved given the location(s) where the project will be implemented? |
| | | 2) Effectiveness | 1) Are the Outputs identified appropriately so that the Project Purpose would be achieved? |
| | | 3) Efficiency | 1) (1) Is the cost estimation of the project appropriate and reliable? (2) Cost Comparison 2) Is the duration of the project reasonable? Is the schedule of the project reasonable, considering seasonal/ functional fluctuations? 3) Are the materials, equipment, facilities and technology required for the implementation of the project sufficient to conduct activities and achieve the Outputs? 4) Is the manpower required for the implementation management of the project sufficient to conduct activities and achieve the Outputs? |

| Part | Item | Criteria | Question |
|--------------------|----------------------------------|---|---|
| | | | 5) Are there any important controllable and uncontrollable risks that are liable to affect the implementation of the project? |
| | | | 6) What are the <i>mitigation measures considered for risks</i> that are indicated in (5) above? |
| | 4) Impact | 4.1 Impact (A): To evaluate the extent to which the longer and broader development effects are aligned with the achievement of Project Purpose. | |
| | | 4.2 Impact (B): To evaluate the indirect effects of the project (both positive and negative) on matters not related to the long-term goal of the project. | |
| | | 1) During the project implementation: | |
| | | - Negative impact: Are there any possibilities of the project and its activities generating negative social and natural environmental impacts? Are Mitigation measures considered and incorporated into the project design? | |
| | | - Positive Impact: Are there likely to be any positive impact that improves social and natural environmental conditions? | |
| | | 2) During the Operation and Maintenance | |
| | | - Negative impact: Are there any possibilities of the project and its activities generating negative social and natural environmental impacts? Are Mitigation measures considered and incorporated into the project design? | |
| | | - Positive Impact: Are there likely to be any positive impact that improves social and natural environmental conditions? | |
| | 5) Sustainability | 1) Institutional Sustainability: Does the organization proposed for O&M have legal or administrative responsibilities and functions for O&M facilities to be developed by the proposed project? | |
| | | 2) Organizational Sustainability: Does the organization assigned for O&M have enough human and technical capacity for O&M?; | |
| | | 3) Financial Sustainability: Are there any documented plans for operation and maintenance after the project is completed, with clear foundation of financial resources to maintain realized effects by the project? | |
| | 6) Risks and mitigation measures | 1) Are there any important controllable and uncontrollable risks that are liable to affect the project after its completion and during its operation? | |
| | | 2) What are the mitigation measures considered for risks that are indicated in (1)? | |
| Check Sheet | | 1 | Manpower Fixation Committee |
| | | 2. | Confirm if all the PSC/PAC's comments and suggestions based on the MAF are incorporated into the recast DPP. |

Source: SPIMS

2-3-2 Framework of assessment in the MAF

Each assessment question section is composed of three parts in general: Part A) Assessment questions, Part B) Source of information, and Part C) Assessment results.

- Part A “Assessment question” shows the assessment questions in MAF and relevant paragraphs in Green Book 2022.
- Part B “Source of information” gives guidance of which part(s) of the DPP provides the contents to be assessed.
- Part C “Assessment Results” is where the Project Assessor provides the comments and results regarding the assessment question.

| | | | | | | | | | | | |
|---|--|---|--|---|--|--|--|---|--|---|--|
| Part A: Assessment Question | <p>2) Organisational Sustainability: Does the organization assigned for O&M have enough human and technical capacity for O&M?</p> <p>Paragraphs/ Examination aspects stipulated in the Green Book:</p> <p>- 1.1.10 Making the project results sustainable: (a) Furnish specific information /plan relating to maintenance and operation of the institutions /infrastructure created under the completed project and all necessary information for its institutionalization and sustainability (Exit Plan); (b) Detailed Plan for the use of the equipment, furniture and vehicles procured under the development project/programme after the completion of the project/programme should be stated in the DPP Check whether nominal /current or real/constant prices have been used to calculate the future O&M funding needs</p> | | | | | | | | | | |
| Part B: Source of Information | <p>a) Refer to the following items of the DPP and relevant attachments</p> <table border="1"> <tr> <td>- 13. After completion, whether the project needs to be transferred to the revenue budget</td> <td>- [If applicable] Feasibility Study, Section 7: Human Resources and Administration Support</td> </tr> <tr> <td>- 32.1/33.1 (if foreign financing is involved): Sustainability of the project benefit</td> <td>- [If applicable] Feasibility Study, Section 8: Institutional and Legal Analysis</td> </tr> <tr> <td>- [Appendix] Exit Plan/ Operation and Maintenance Plan</td> <td></td> </tr> </table> <p>b) Check the availability of information</p> <table border="1"> <tr> <td><input type="checkbox"/> Information is available</td> <td><input type="checkbox"/> Information is Not available (→ skip c and go to d)</td> </tr> </table> <p>c) Check the quality of information</p> <table border="1"> <tr> <td><input type="checkbox"/> Appropriate as indicated</td> <td><input type="checkbox"/> Needs amendment</td> </tr> </table> <p>d) Remarks and suggestions</p> | - 13. After completion, whether the project needs to be transferred to the revenue budget | - [If applicable] Feasibility Study, Section 7: Human Resources and Administration Support | - 32.1/33.1 (if foreign financing is involved): Sustainability of the project benefit | - [If applicable] Feasibility Study, Section 8: Institutional and Legal Analysis | - [Appendix] Exit Plan/ Operation and Maintenance Plan | | <input type="checkbox"/> Information is available | <input type="checkbox"/> Information is Not available (→ skip c and go to d) | <input type="checkbox"/> Appropriate as indicated | <input type="checkbox"/> Needs amendment |
| - 13. After completion, whether the project needs to be transferred to the revenue budget | - [If applicable] Feasibility Study, Section 7: Human Resources and Administration Support | | | | | | | | | | |
| - 32.1/33.1 (if foreign financing is involved): Sustainability of the project benefit | - [If applicable] Feasibility Study, Section 8: Institutional and Legal Analysis | | | | | | | | | | |
| - [Appendix] Exit Plan/ Operation and Maintenance Plan | | | | | | | | | | | |
| <input type="checkbox"/> Information is available | <input type="checkbox"/> Information is Not available (→ skip c and go to d) | | | | | | | | | | |
| <input type="checkbox"/> Appropriate as indicated | <input type="checkbox"/> Needs amendment | | | | | | | | | | |
| Part C: Assessment Results | <p>d) Remarks and suggestions</p> | | | | | | | | | | |

Figure 22 Framework for Assessment in the MAF

Part A: Assessment Question

A-1 Assessment Question in MAF

The Project Assessor reads A-1, to understand the core assessment question.

A-2 Paragraphs/ Examination aspects stipulated in the Green Book

The Project Assessor refers to A-2 to understand the background of the Assessment question (A-1).

Part B: Source of Information

B Items of the DPP

The Project Assessor refers to the DPP items and attachments listed in B, when examining the project design from the perspective of the assessment question described in A.

Part C: Assessment Results

C-1 Check the availability of the information

By referring to the items in the DPP suggested in [A-2], the Project Assessor will check if the information is available and enough to answer the assessment questions. The Project Assessor selects one of following two options and ticks the box.

- Information is Available:** The current content of the corresponding item(s) of the DPP is

sufficient for checking the quality of information.

- Information is Not Available:** Information and/or data are missing. The current content of the corresponding item(s) of the DPP is NOT sufficient for checking the quality of information.

When the tick the box for “Information is Not available”, provide the comment in C-3, what kinds of information should be provided in respective DPP items.

C-2 Check the quality of the information

The Project Assessor checks whether the information given in the relevant DPP items is logically adequate to answer the assessment questions. The Project Assessor will select one of the following two options and tick the box.

- Appropriate as indicated:** The current content of the corresponding item(s) of the DPP is adequate in terms of both logic and quality of information. The current contents can be kept without change.
- Needs amendment:** The current content of the corresponding item(s) of the DPP may be adequate in terms of quantity but NOT its logic. The logic is not reasonable and/or practical. The DPP should be modified to ensure logic.

When tick the box for information is "Need amendment", provide the comments in C-3 as to exactly what kind of modifications are necessary to be made.

C-3 Remarks and Suggestions

The Project Assessor writes the comments and suggestions in response to the assessment question in A. The comments and suggestions should be concrete and constructive. **The general comments such as “the information of the DPP is not good”, or “DPP should be modified” are NOT acceptable.** The Project Assessor gives directions and alternatives on how the information of DPP can be improved.

Figure 23 shows the framework to check the quantity and quality of the information in project assessment at the Ministry/Division level.

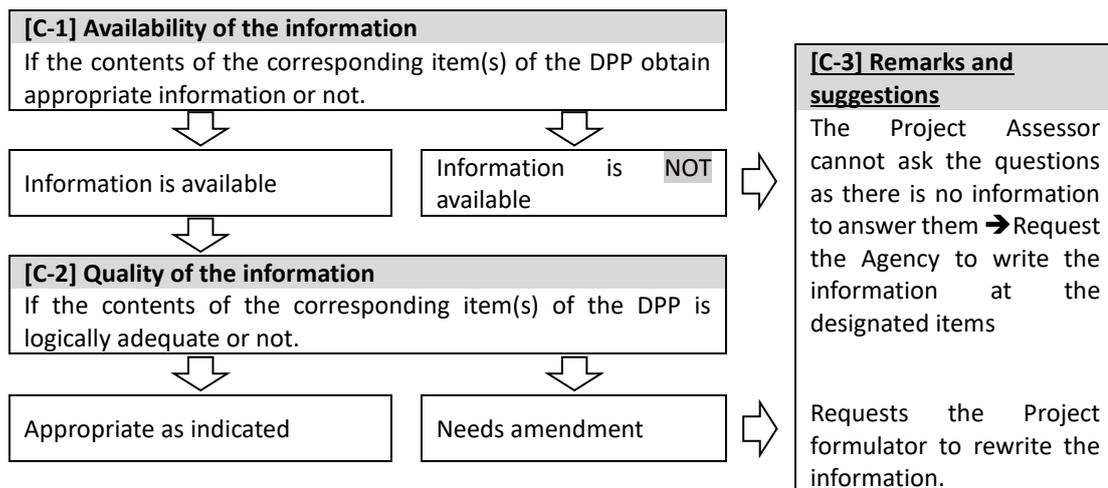


Figure 23 Framework of Ministry Project Assessment

2-3-3 Contents of the Working Paper for the PSC/PAC meeting

The Project Assessor prepares the Working Paper for the PSC/PAC meeting*, using the template (Annexure RA/५, Green Book 2022). Table of contents of the PSC/PAC Working Paper template is given in **Error! Reference source not found.7**.

* A working paper for the PSC/PAC Meeting can be defined as "Notes listing the issues needed to be sorted out and decisions to make for the next course of action" and as "Note proposing solutions to the problems/issues for consideration and conclusion in the meeting including suggestions for improvements."

The working paper should have the discussion points and proposed solutions/suggestions for the PSC/PAC, since the members of PSC/PAC discuss points and suggestions proposed in the working paper. At the end of the PSC/PAC meeting, a decision is made on whether the quality of project design in DPP shows the value of the project adequately and is sufficient enough to be sent to the Sector Division, Planning Commission. If the quality is not up to the mark, suggestions are given on how the Agency has to improve the DPP.

The Project Assessor replaces item 12 of the Working Paper with the results of the Ministry Assessment using MAF, namely the Remarks and suggestions in MAF (explained C-3 in 2.3.2).

Box 6 shows the table of contents of said working paper.

Box 6 Table of Contents of the Working Paper (Annexure RA/५, Green Book 2022)

1. Name of the Project
2. Sponsoring Ministry/Division Implementing Agency
3. Planned Project Period
4. Estimated Project Cost
5. Nature/Type and Source of Funding of the Project
6. Project Location
7. Status of the project in the Annual Development Programme and Allocation
8. Objective of the project
9. Main Activities/Outputs of the Project:
10. Component -wise distribution of the Project Cost:
11. Reasons for the revision of the Project (Applicable for Revised Projects)
12. Analysis of the Planning Commission/Ministry:
 - (A) Analysis of the background, objective/s and purpose of the project:
 - Beneficiaries of the project, developments problems
 - Analysis of the beneficial consequences of the project to be achieved as well as the harms/losses if the project is not implemented
 - Analysis of whether the objectives of the project are specific, measurable, achievable, relevant and time-bound
 - (B) Analysis of the relevance/consistency of the project objectives with those of the Five-Year Plan, Perspective Plan as well as the development targets of the United Nations and other International Organizations
 - (C) Analysis of the following factors if the project is found to be acceptable in the light of the above analysis:
 - Appropriateness of the components and component-wise cost estimates
 - Financial and Economic Analysis of the project
 - Analysis of the possible impact of the of the project on environment, climate change, employment generation, women and children, poverty alleviation, reduction of regional disparity etc. (with numerical examples/explanations)
 - Analysis of the Project Design and Logical Framework, relations between the objectives, purpose, output, input and activities and the indicators to measure them along with their sources and risk analysis
 - Analysis of the overlapping of activities under the Programmes of the Revenue Budget and other Projects
 - Analysis of the benefits and the sustainability of the facilities after the completion of the project
 - Examination /assessment of the appropriateness of duration of the project
 - Examination of the liabilities of the on-going projects along with those of the project under consideration
 - Analysis of the impact of the project on the revenue Budget after completion
 - (D) Analysis of the nature, number, qualification and system /procedure for employment of the proposed manpower for the project
 - (E) Analysis of the rationale /justification for the revision (In the case of Revised Projects)
 - (F) Analysis of other relevant factors/Issues

Source: Green Book 2022

2-4 Step 3: Scrutiny/ Assessment at the PSC/PAC

This chapter provides instructions for effectively conducting the Project Scrutiny Committee (PSC)/ Project Assessment Committee (PAC). This is the third step of the whole procedure related to Project Assessment at the Ministry/Division level, as shown in Figure 24.

Sub-chapters 2-1-2 (p.2-2) of this manual explain the members and their TOR of the PSC/PAC.

In the step 3, the sub-steps in the following sequence are completed. Among them, the next sub-chapters explain the detailed action for the underscored sub-steps (Figure 24):

[To be deleted once the table 10 is confirmed]

- Sub-step 3.1: The Head of Planning (M/D) explains the assessment results and presents the discussion points and proposed recommendations based on the working paper and the summary of assessment results.
- Sub-step 3.2: The Head (A) responds to the points and recommendations.
- Sub-step 3.3: The members of the PSC discuss the contents of the project in line with the discussion points and provide comments on other relevant points/issues
- Sub-step 3.4: The members of PSC decide collectively whether the project is appropriate and acceptable for submission to the Planning Commission and provide suggestion for improving the DPP by the implementing agency.

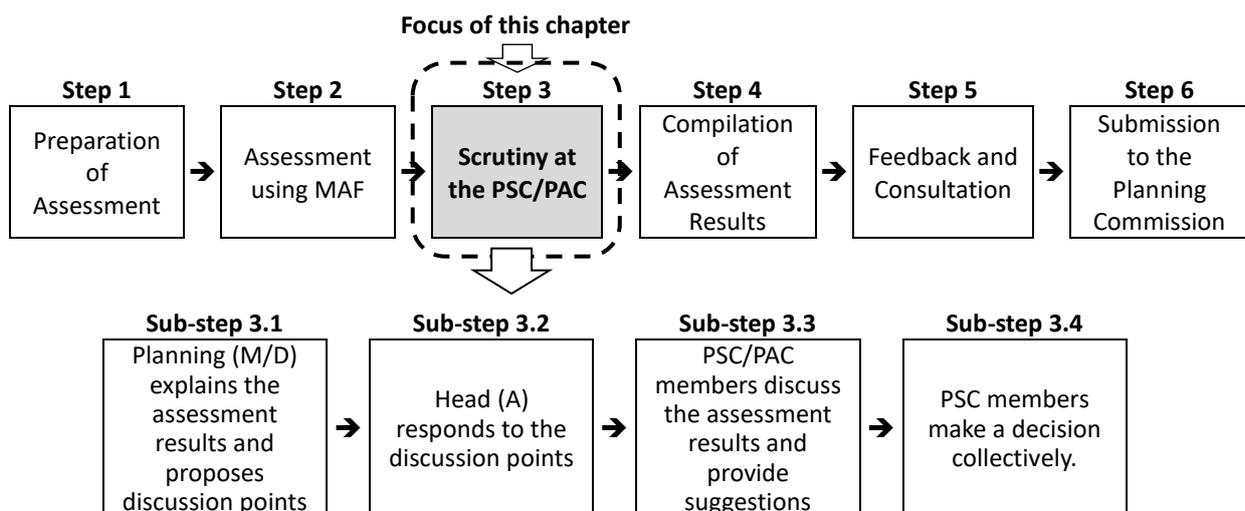


Figure 24 Step 3 “Scrutiny at the PSC/PAC”

2-4-1 Procedures for conducting the PSC/PAC Meeting

The Secretary/Additional Secretary of the sponsoring Ministry/Division will chair the PSC/PAC meeting. The Chair manages the meeting, ensuring that issues are discussed point by point. Table shows an example of a PSC/PAC meeting agenda. The members discuss the findings and suggestions proposed by the Planning (M/D) in the form of the drafted Working Paper based on the filled Ministry Assessment Format (MAF)/ Ministry Assessment Report (MAR). At the end of the meeting, the members of PSC/PAC are expected to reach a conclusion on project assessment with consensus.

Table 13 Sample Agenda of PSC/PAC meeting

| Items | Responsibility |
|---|--|
| Opening Remarks | Secretary, Chair of the meeting |
| Presentation of the projects, proposing the discussion points and suggestions | Chief of Planning (M/D): Joint Chief or Deputy Chief with the support of Desk Officer (s)/ Project Assessor. |
| Response from Agency | Head of Agency supported by the Planning (A) |
| Open discussions | The Secretary, the Chair of the meeting, will moderate. |
| Conclusion | Secretary, Chair of the meeting |

2-4-2 Use of Working Paper

The proposed suggestions put in the Working Paper or Ministry Assessment Report are the basis for discussion. The suggestions made by the Ministry/Division are proposed based on the findings and results of project assessment using the MAF.

As explained in Step 2, the points for discussion cover the following points.

- Compliance check
- Clarity of Logical Framework
- Land acquisition, resettlement and rehabilitation
- Environmental Requirements and Disaster and Climate Change Risks
- Sector-specific analysis
- Cost-benefit analysis
- Evaluation criteria (relevance, efficiency, effectiveness, impact, sustainability, and risks)

Before the PSC/PAC meeting, the proposed suggestions are also shared with the Agency, and the Agency prepares the responses to the suggestions before the meeting.

In the meeting, the members of PSC/PAC have opportunities to hear from both sides: suggestions from Ministry/Division and the replies from the Agency. The members of PSC/PAC discuss the proposed points and make decisions if the project is appropriate for submission to the Planning Commission.

2-5 Step 4: Compilation of Assessment Results

This chapter provides detailed instructions for “**Compilation of Assessment Results**”. This is the fourth step of the whole procedure related to Project Assessment at the Ministry/ Division level, as shown in Figure 25.

In step 4, the sub-steps in the following sequence will be completed. Among them, the next sub-chapters explain the detailed action for the underscored sub-steps (Figure 25):

[to be replaced once the contents of table 10 are fixed]

- Sub-step 4.1: Desk officer of the Planning (M/D) prepares the Minutes of Meeting (MM) of the PSC meeting.
- Sub-step 4.2: Head of the Planning (M/D) reviews the MM of PSC meeting, and provides comments.
- Sub-step 4.3: The Planning (M/D) communicates with Planning (A) to clarify outstanding issues, if required, based on the PSC results.
- Sub-step 4.4: Secretary/ Sr. Secretary (M/D) finalizes the MM of PSC meeting.
- Sub-step 4.5: The Planning (M/D), with the endorsement of the Secretary/ Sr. Secretary (M/D) and the Chairperson of PSC, sends the MM of PSC attaching the working paper of the PSC meeting, summary of recast Ministry assessment report and the completed MAF to the Head (A) and all concerned.

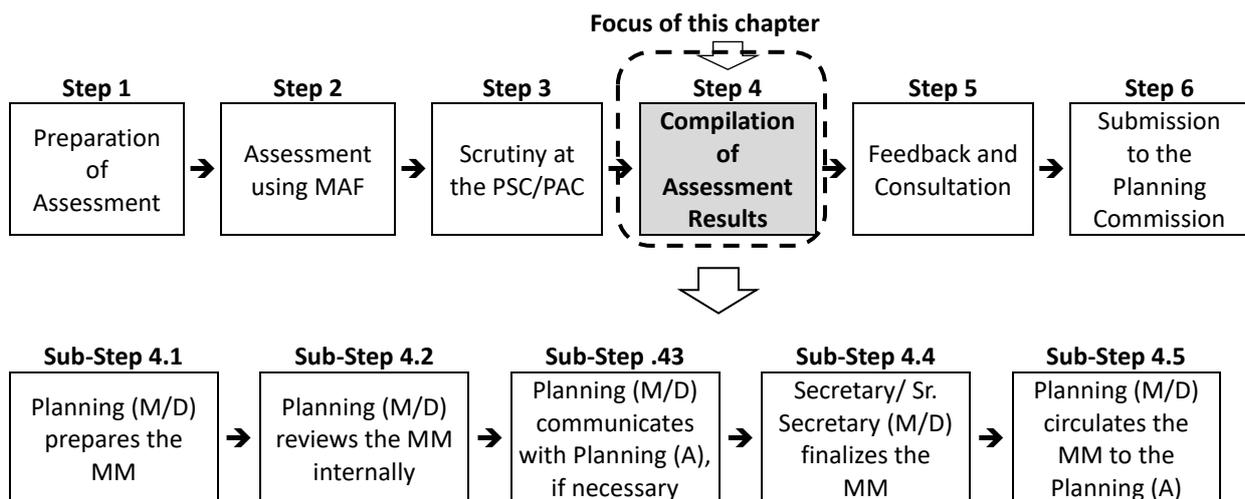


Figure 25 Step 4 “Sub-steps of Project Assessment”

2-5-1 Contents of Minutes of Meeting

The Planning (M/D) takes note during discussions, conclusions and decisions made in the PSC/PAC meeting to draft the Minutes of the Meeting.

The MM is recorded in two parts.

- Part 1: General Statement
- Part 2: Discussions and decisions/recommendations

Part 1 includes the basic facts of the Meeting including the date, location and name/designation of the participants.

Part 2 covers the following three topics:

- 1) Proposed suggestions: Same contents as those of the Working Paper
- 2) Results of discussions: Inclusion of brief comments, suggestions and recommendations of the participants indicating their names/designations
- 3) Decisions: The consensus decisions /recommendations, vote of thanks by the Chair and closing the meeting. The proposed comparison table of part 2 is shown in Figure 26.

| Items | Proposed suggestion | Discussion | Decision |
|--|--|------------|----------|
| Compliance Check | <div style="border: 1px dashed gray; border-radius: 15px; padding: 10px; width: fit-content; margin: auto;"> This part will have the same contents as those of the working paper. </div> | | |
| Clarity of Logical Framework | | | |
| Land acquisition, resettlement and rehabilitation | | | |
| Environmental requirements and Disaster and Climate Change Risks | | | |
| Sector specific analysis | | | |
| Cost-benefit analysis | | | |
| Evaluation criteria (relevance, efficiency, impact, and sustainability, and risks) | | | |

Figure 26 Proposed Comparison Table for inclusion of PSC Meeting Minutes

2-5-2 Issuance of the minutes of the PSC/PAC meeting

The Minutes of the PSC/PAC Meeting will be sent to the Agency. The Agency receives the conclusions and decisions made in the PSC Meeting in the form of MM. By reading the minutes of the meeting and the Ministry Assessment Report, the Desk Officer in Planning (A) can understand the reasons for discussion and decisions, and obtain some concrete ideas for improving the quality of the DPP.

2-6 Step 5: Feedback and Consultation

This chapter provides detailed instructions for “Feedback and Consultation”. This is the fifth step of the whole procedure related to Project Assessment at the Ministry/Division, as shown in Figure 27.

In step 5, the sub-steps in the following sequence are completed. Among them, the next sub-chapters explain the detailed actions for the underscored sub-steps (Figure 27):
[to be replace once the contents of table 10 is fixed]

- Sub-step 5.1: The Planning (A) receives the MM of PSC/PAC via the Head (A).
- Sub-step 5.2: [If required] Manpower Fixation committee examine the post /type and number of manpower. When the Manpower Fixation is completed, Secretary (M/D), and Head (A) receives the report prepared by the Manpower Fixation Committee.
- Sub-step 5.3: The Desk Officer of Planning (A) recasts the DPP based on the decisions of the PSC/PAC Meeting, and Manpower Fixation Committee Meeting, and prepares the compliance table, namely a table showing compliances made against each instruction/ recommendation/ decision of the PSC/PAC meeting and attaches with the DPP.
- Sub-step 5.4: The Planning (A) finalizes the recast DPP.
- Sub-step 5.5: The Planning (A), with the endorsement of the Head (A), sends the recast DPP to the Secretary/ Sr. Secretary (M/D) with a compliance table.

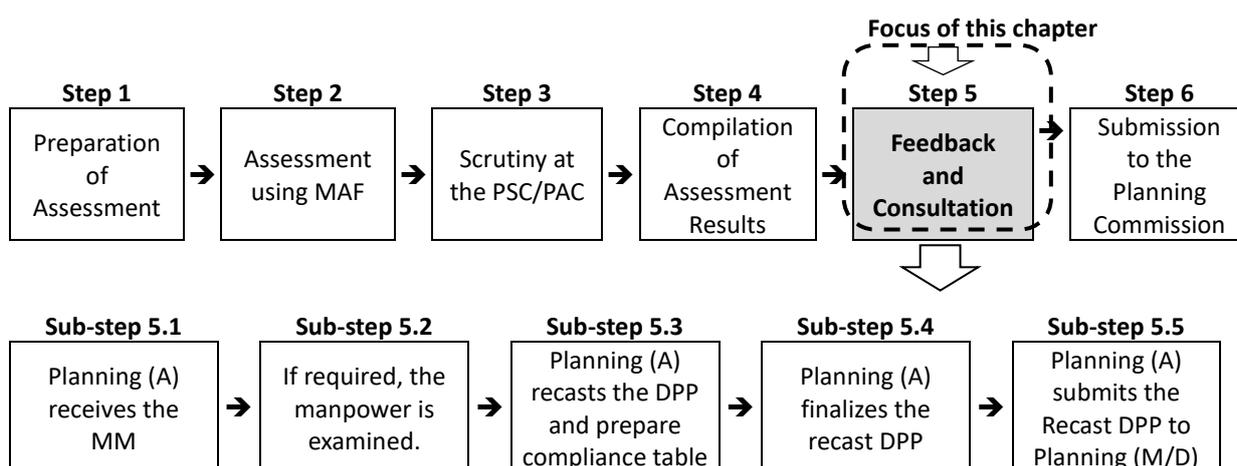


Figure 27 Step 5 “Feedback and consultation”

2-6-1 Manpower Fixation Committee

When there is a plan to hire the manpower either directly, through out-sourcing, on deputation during implementation stage of the project, the DPP should be sent to the Manpower Fixation Committee of the Finance Division. The Agency prepares the working paper of the Committee meeting. This working paper is called Situation Analysis Report, including the comparative information of the manpower among the projects of similar nature.

Para 1.1.14 of Green Book 2022: Project Manpower: Information regarding the institutional capacity (Technical and Financial) of the Implementing Authority during implementation and operational phase of the project will have to be furnished. Specially, the outline of the experience and efficient manpower necessary for the operation of the infrastructure and establishments created as output of the project should be specifically mentioned. The post /type and number of manpower should be properly reflected in the DPP along with the recommendations of the Manpower Fixation Committee of Finance Division constituted by the Cabinet Division. However, the recommendation of the Finance Division’s Manpower Committee will not be required if there is no provision for employment of manpower either directly/ through out-sourcing/deputation during implementation stage of the project.

2-6-2 Recasting the DPP

The Desk Officer(s) in the Planning (A) recast(s) the DPP based on the PSC/PAC’s decisions, and the Manpower Fixation Committee’s decision. The proposed template for indicating PSC/PAC decisions is shown in Figure 26.

It is also recommendable for the Desk Officer(s) in the Planning (A) to read the Working Paper and Ministry Assessment Report to get to know the background of the PSC/PAC’s decisions.

2-6-2 Preparing the compliance table

A compliance table showing PSC meeting decisions and action taken on each of them by the Agency is prepared and sent to the Ministry/Division with the recast DPP.

The compliance table can illustrate how the Agency incorporates the PSC’s decisions into the recast DPP. To specify the Agency’s actions on the PSC’s decision, each cell of the compliance table should include the information on the item number and page number of the recast DPP. One proposed idea of the template of compliance is shown in Figure 28.

When the Agency cannot incorporate the suggestions fully, the Agency should explain the reasons and propose alternative actions.

| Items | Decisions of PSC/PAC meeting | Action taken by the Agency in the recast DPP |
|--|---|--|
| Compliance Check | <div data-bbox="651 1093 976 1518" style="border: 1px dashed gray; border-radius: 15px; padding: 10px; background-color: #e0e0e0;"> This part will have the same contents as those in the Meeting Minutes (Figure 26). </div> | |
| Clarity of Logical Framework | | |
| Land acquisition, resettlement and rehabilitation | | |
| Environmental Requirements and Disaster and Climate Change Risks | | |
| Sector Specific analysis | | |
| Cost-benefit analysis | | |
| Evaluation criteria (relevance, efficiency, impact, and sustainability, and risks) | | |
| Suggestions by the Manpower Fixation Committee | <div data-bbox="651 1534 976 1738" style="border: 1px dashed gray; border-radius: 15px; padding: 10px; background-color: #e0e0e0;"> This part will have the same contents as the decisions of the Manpower Fixation Committee. </div> | |

Figure 28 Proposed Compliance Table

2-7 Step 6: Submission and Follow-up

This chapter provides detailed instructions for “Submission and follow up”. This is the sixth and final step of the whole procedure related to Project Assessment at the Ministry/ Division level, as shown in Figure 29.

In step 6, the sub-steps in the following sequence are completed. Among them, the next sub-chapters explain the detailed actions for the underscored sub-steps (Figure 29):

[to be replace once the contents of table 10 is fixed]

- Sub-step 6.1: Planning (M/D) receives the recast DPP via the Secretary/ Sr. Secretary (M/D).
- Sub-step 6.2: The Desk officer of Planning (M/D) assesses the project through the recast DPP by examining whether compliances were made as per the minutes of PSC/PAC meeting and recasts the Ministry assessment contents (by revising the completed MAF) and its summary accordingly.
- Sub-step 6.3: Planning (M/D) communicates with Planning (A) to clarify outstanding issues when required.
- Sub-step 6.4: Planning (M/D) holds an internal meeting to review the assessment results on the recast DPP, and discusses with the Secretary/ Sr. Secretary (M/D) to endorse the recast DPP and finalizes the project assessment process in the Ministry level.

If the Secretary/ Sr. Secretary (M/D) decides to hold another session of the PSC/PAC Meeting to discuss some unresolved issues, steps 2 to 5 will continue until the quality of DPP becomes adequate for endorsement. In this case, desk officer of Planning (M/D) recasts the MAF based on the recast DPP.

- Sub-step 6.5: Planning (M/D) submits the recast DPP and the final Ministry Assessment Report to the Chief of Sector-Division of Planning Commission.

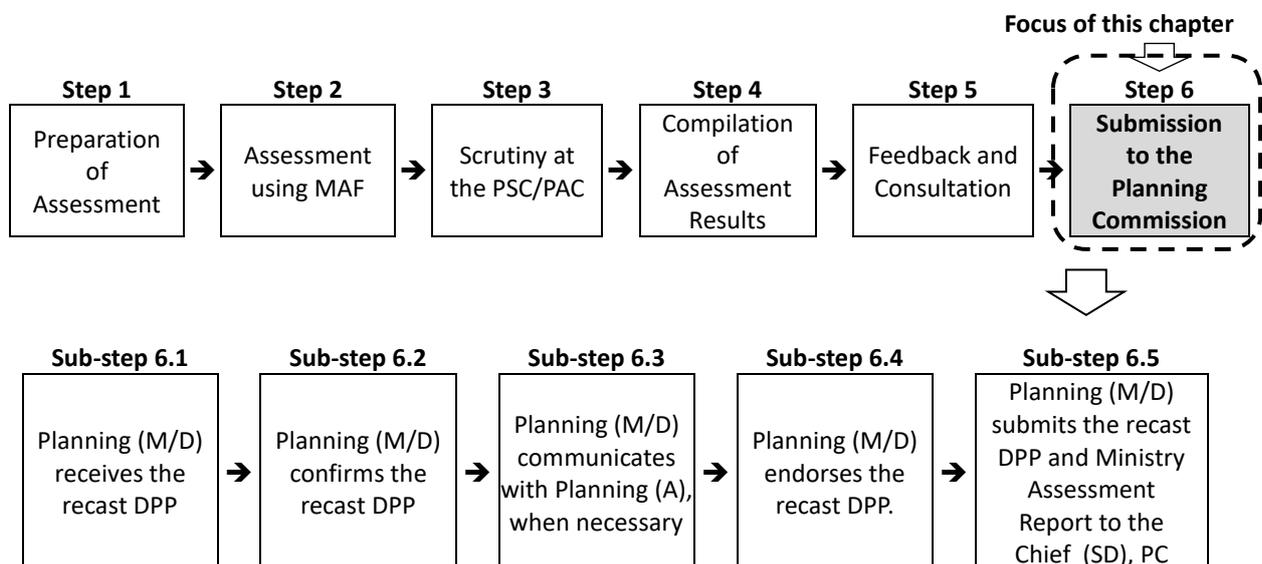


Figure 29 Step 6: “Follow-up and Submission”

2-7-1 Confirming the recast DPP

Planning (M/D) confirms whether the DPP was recast appropriately based on the decisions of the PSC/PAC meeting by using the Check Sheet.

Suppose the Secretary/ Sr. Secretary (M/D) decides to hold another round of the PSC/PAC Meeting to discuss some unresolved issues. In that case, Planning (M/D) assesses the recast DPP by recasting Ministry assessment results in line with the revised contents of the recast DPP.

Part 3 of this manual explains how to fill the Check Sheet.

2-7-2 Finalization of project assessment

The Secretary/ Sr. Secretary (M/D), as the Chairperson of the PSC/PAC, makes the final decision on the project assessment/ to complete the Ministry Project Assessment process. Ministry Assessment Report/ The results of Project Assessment are finalized with the endorsement of the Secretary/ Sr. Secretary (M/D) as the Chair of the PSC/PAC.

2-7-3 Sending the recast DPP and Ministry Assessment Report

The recast DPP and Ministry Assessment Report will be sent to the *Sector Division of Planning Commission* along with other documents: Working Paper of the PSC/PAC meeting, Minute of the PSC/PAC meeting, and compliance table are attached with the recast DPP.

The Ministry Assessment Report is composed of i) a filled Check Sheet, ii) the compliance table, iii) MM of the PSC/PAC, iv) the working paper of the PSC/PAC meeting and v) a filled MAF.

NOTE: If the Secretary/ Sr. Secretary (M/D) decides to hold another round of the PSC/PAC Meeting to discuss some unresolved issues, steps 2 to 5 will continue until the quality of DPP becomes adequate for endorsement.

Part 3

How to complete the Ministry Assessment Format (MAF)

2 Instruction: How to complete the Ministry Assessment Format (MAF)

The MAF has the following components. This chapter gives detailed explanations of how to complete each component of MAF.

1. **Cover page:** To keep a record of actions for project assessment in the Ministry/Division
2. **Compliance Check:** to check whether the project has been formulated in accordance with the relevant rules and regulations.
3. **Part I. Basic information:** To check whether the basic information is included in the DPP
4. **Part II. Clarity of Logical Framework:** To check whether the Logical Framework is prepared appropriately.
5. **Part III. Land Acquisition, Rehabilitation and Resettlement:** To check the conditions and status of land acquisition-related issues and whether advance actions for land acquisition and resettlement are taken appropriately.
6. **Part IV. Environmental Requirements and Disaster & Climate Change Risks:** To check whether the initial environmental evaluation and/or the environmental impact assessment is conducted in a manner stipulated in the relevant rules and regulations, and whether the project is environmentally viable.
7. **Part V. Sector-Specific Analysis:** To check whether the project meets the sector-specific standards and requirements, if available;
8. **Part VI. Cost-Benefit Analysis:** To check whether the cost-benefit analysis is conducted adequately, and whether the project is economically and financially viable.
9. **Part VII. Evaluation Criteria:** To check whether the project is prepared in an appropriate manner in terms of relevance, effectiveness, efficiency, impact, sustainability and risk.
10. **Check Sheet:** to confirm whether the DPP is recast based on recommendations of the PSC/PAC meeting.

3-1 Cover Page

The main objective of the cover page is to give instructions on how to use the format and keep track of actions for project assessment in the Ministry/Division.

Instruction

Reference: MAF

Instructions

- Desk Officer prepares Working Paper for Project Scrutiny Committee based on the information of this format. The assessment is to be completed by the Planning Wings in the relevant Ministry/Division by scrutinizing the submitted DPP and attached documents, as well as conducting hearings with the Agencies/Departments responsible for formulating the project. The Working Paper and the filled MAF will be placed to the Committee meeting.

The following points/aspects need to be assessed.

- Compliance Check

- [Part I] Basic Information on the Project

- [Part II] Clarity of the Logical framework

- [Part III] Land Acquisition, and Rehabilitation/ Resettlement

- [Part IV] Environmental Requirements and Disaster & Climate Change Risks

- [Part V] Sector-Specific Analysis/ Sector-Specific Requirements

- [Part VI] Cost-Benefit Analysis

- [Part VII] Evaluation Criteria (Relevance, Effectiveness, Efficiency, Impact, Sustainability and Risks & Mitigation Measures)

[After receiving the recast DPP]

1. If it is necessary to hold Project Scrutiny Committee Meeting for assessing the recast DPP, the Desk officer will examine the recast DPP using MAF.

2. If it is not necessary to hold Project Scrutiny Committee Meeting for assessing the recast DPP, by using Simplified Check Sheet (SCS), the Desk officer will confirm if all decisions of last Project Scrutiny Committee Meeting based on the relevant comments in MAF are reflected into the recast DPP.

[When sending the DPP to the Planning Commission]

Working Paper for Project Scrutiny Committee and the filled MAF and SCS will be sent to the Sector Division for project appraisal along with DPP.

- NOTE: This format outlines the criteria for assessment of new Development Project Proposals (DPPs) based on Planning Division Circular for Instructions on Development Project Formulation, Processing, Approval and Revision (Memo no: 20.00.0000.404.014.61.2020(Part- 1)/133, Date: June 12 2022) (Hereinafter, named "Greenbook")

This instruction explains when and how to use the Ministry Assessment Format (MAF). For the Procedure of Ministry Project Assessment in detail, see Part 2 of this manual.

When and how

- Use MAF when checking the compliance.
 - by completing the part "compliance check".
- Use MAF when scrutinizing the DPP* and attached documents, and preparing the working paper for Project Scrutiny Committee.
 - by completing Part I to Part VII.
- Use MAF when confirming if all decisions of the Project Scrutiny Committee Meeting based on the relevant comments in MAF are reflected in the recast DPP.
 - by completing the Check Sheet

* According to the circular (20.00.0000.404.061.2020 (Part- 2).89) of Planning Division issued on 29th March 2023, MAF is applicable for new DPP (Including projects consider own finance).

When If the Project Scrutiny Committee Meeting need to be held again, use the MAF again/ recast the MAF to examine the recast DPP.

Project Name

Reference: MAF

Project Name: _____

The project name should be the same as indicated in the DPP. During the project formulation period, a project proposal can only be identified through its project name, since the project's unique identification code is obtained after the approved project is budgeted. Suppose the project name is different from what is indicated in the DPP. In that case, it may need to clarify in the formulation and assessment process.

Questions:

Examines this item from the following perspectives.

- Whether the project title explains the key concept of the project explicitly.
- Whether the meaning of the project title in English and Bangla is the same.
- Whether the project name is not confused with other projects of similar nature.

Date of actions before Ministry Assessment

Reference: MAF

Date of signature in DPP by officer(s) responsible for DPP preparation: _____

Date of signature in DPP by the Head of Agency: _____

Date of receipt of DPP by Ministry/Division: _____

Date of receipt of DPP by the Desk Officer: _____

Date of signature of the officer(s) responsible for the preparation of DPP, and Head of the Implementing Agency

The signing date of the officer(s) responsible for the preparation of DPP can be obtained from the last page of Part A: Project Summary of DPP. The signature of the Head of the Implementing Agency can be found on the last page of Part B: Project Details which indicates the endorsement of the DPP by the appropriate authority.

Tips:

The aim of tracking the date is to ensure efficiency in the process; by checking the signing date, the Project Assessor will understand the starting date of the DPP assessment (or how many days it has taken to reach the Project Assessor after it was formulated at the Agency).

Dates of DPP received at the Ministry/ Division, and by the Desk Officer/ Project Assessor

The dates, when Ministry/ Division and the Desk Officer/ Project Assessor received the DPP, are recorded separately. In some cases, gap is noticed between the first and the second because of administrative constraints.

Date of actions during Ministry Assessment

Reference: MAF

Ministry Assessment (preparation) Track Record

| Date | Activity conducted | Follow-up requirements |
|------|--|------------------------|
| | Started Project Assessment | |
| | Prepared working paper of Project Scrutiny Committee | |
| | Held Project Scrutiny Committee Meeting | |
| | Issued Minutes of Project Scrutiny Committee Meeting | |
| | Received the recommendations related to Manpower Fixation, if applicable | |
| | Received recast DPP from Agency at Ministry/Division | |
| | Received recast DPP from Agency at Desk officer | |

Each activity within the procedure will be recorded to make the process accountable and transparent. The record is important to show the progress in following the stipulated process and in case of countermeasures against unexpected issues. The assessment process has two flows of communication: 1) intra-flow within the sponsoring Ministry/Division, and 2) inter-flow between the Ministry/Division and Agency. The record can cover both flows. The track record has three parts to be completed:

- Date: write the dates of activities started and completed
- Activity conducted: describe the type of activity conducted
- Follow-up requirements: provide steps for the next action

The template of MAF shows the following activities as generic applications:

- Started Project Assessment
- Prepared a working paper for Project Scrutiny Committee
- Held Project Scrutiny Committee Meeting
- Issued Minutes of Project Scrutiny Committee Meeting
- Received the comments related to Manpower Fixation, if applicable
- Received recast DPP from Agency at Ministry/Division
- Received recast DPP from Agency at Desk officer

Tips:

The minimum requirement of the track record is to indicate the dates and contents of each activity. When further discussions and activities will be conducted, those should also be included in chronological order.

Date of finalizing the Ministry Assessment

Reference: MAF

- Date of confirmation of the recast DPP by Desk Officer, using Check Sheet:

- Date of endorsement of the recast DPP by the Chairperson, Project Scrutiny Committee and the Head, Ministry / Division:

- Date of Submission of the recast DPP along with recast Project Assessment to the concerned Sector Division, Planning Commission:

Date of Conformation

Indicate the date on which the Desk officer will confirm, using a Check Sheet, whether all decisions of the last Project Scrutiny Committee Meeting based on the relevant comments in MAF are reflected in the recast DPP.

Date of Endorsement

Indicate the date of signing by the Chairperson of the Project Assessment Committee (PSC) at the designated place of the DPP. The signing date by the Secretary/ the Senior Secretary of the Ministry/ Division describes the date the DPP document (along with the project assessment results) is cleared /cleared at the Ministry /Division level.

Tips:

It needs to be remembered that it is NOT the date of the PSC meeting.

Date of Submission

The Date will be the official date of submission, therefore, taken from the covering letter of the Ministry/Division to send the recast DPP to the concerned Sector Division of Planning Commission.

Tips:

It must be ensured that the DPP is submitted to the concerned Sector Division of the Planning Commission as soon as the DPP is endorsed by the Secretary/Sr. Secretary of Ministry/Division and Chairperson of the PSC.

3-2 Compliance Check

There are two blocks of compliance check: Compliance A and Compliance B.

In Compliance A, verify compliance with the following project formulation, appraisal and approval procedures specified in Green Book 2022.

- A-1: Examination by Committee of Agency
- A-2: Feasibility Study
- A-3: Foreign Financing
- A-4: Project of State-owned/ Autonomous Institutions

If the DPP is not formulated in accordance with the prescribed procedures, the DPP will be returned to the Agency.

In Compliance B, verify compliance with the following basic requirements of the DPP before project assessment.

- B-1: Land
- B-2: Rehabilitation/ Resettlement
- B-3: Environmental consideration
- B-4: Disaster and Climate change risks

When the case is applicable, the proposed project will be carefully assessed, whether the project preparation complies with relevant rules and regulations.

A-1: Examination by Committee of Agency

Reference: MAF

A-1: Examination by Committee of Agency

| | |
|--|---|
| Paragraphs/ Examination aspects stipulated in Green Book | |
| - 2.1 The Project proposal formulated by the Agency will be examined in details and finalized by a committee comprising technical experts and chaired by the head of the Agency and then sent to the sponsoring Ministry/Division. If necessary Technical Sub-committee will have to be formed at the Directorate/ Department/Agency level for examination of the Project Proposal.- | |
| a) Was the committee comprising technical experts and chaired by the head of Agency formulated to examine the DPP? | |
| <input type="checkbox"/> Yes (→ go to b-1) | <input type="checkbox"/> No (→ The DPP should be sent back to the Agency) |
| b-1) Was the DPP examined and finalized by the Committee? | |
| <input type="checkbox"/> Yes (→ go to b-2) | <input type="checkbox"/> No (→ The DPP should be sent back to the Agency) |
| b-2) Date of decision of the committee | |
| Date (DD/MM/YYYY): | Appendix of DPP: |
| c) Remarks and suggestions | |
| | |

Paragraph 2.1 of the Green Book 2022 stipulates, "The Project proposal formulated by the Agency will be examined in detail and finalized by a committee comprising technical experts and chaired by the head of the Agency and then sent to the sponsoring Ministry/Division."

a) Establishment of the Committee

- Check that the Committee of the Agency is formulated by looking at the "Minutes of the Committee Meeting" as an appendix to the DPP.
- Select one of two options.
 - Yes: the committee is formulated.
 - No: the committee is not formulated.
- If the answer is Yes, go to question b-1).
- If the answer is No, skip the questions b-1) and b-2). The DPP will be returned to the Agency.

b-1) Decision of the Committee

- Check that the Committee of the Agency decided to send it to the sponsoring Ministry/Division by looking at the "Minutes of the Committee Meeting" as an appendix to the DPP.
- Select one of two options.
 - Yes: the committee decided on the submission.
 - No: the committee did not decide on the submission.
- If the answer is "Yes", go to question b-2).
- If the answer is "No", skip the questions b-2). The DPP will be returned to the Agency.

b-2) Record

- Write the date of the committee meeting by looking at the "Minutes of the Committee Meeting" as an appendix to the DPP.
- Write the serial number of the appendices "Minutes of the Committee Meeting".

c) Remarks and suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: To confirm the committee's decision, "Minutes of the Committee Meeting" should be attached to the DPP. This point can be discussed in the meeting.

A-2: Feasibility Study

Reference: MAF

A-2: Feasibility Study [Item 17. of the DPP]

| Paragraphs/ Examination aspects stipulated in Green Book | |
|---|---|
| <p>- 1.1.2 Before taking up any Investment Project with estimated cost of above Tk. 50 (fifty) crore, Feasibility Study must be <u>conducted</u> by an experienced organization in the concerned field, and Feasibility Study Report has to be prepared in the prescribed format (Annexure – KA/KHA). Recommendations and important parts (Executive Summary, Cost estimates, design/conceptual design etc.) of the Report will have to be attached with the Project Proposal (DPP). Feasibility Study will have to be conducted also for projects with estimated cost of up to Tk. 50 (fifty) crore in consideration of the importance and nature of a project.</p> <p>- 21.4 There will be a Technical Committee comprising officers having technical knowledge in every agency which implement Development Projects. If necessary, an experienced and efficient officer/ person on the concerned subject outside the Agency may be included as member of the Committee. The above-mentioned Committee will receive the Report of the Feasibility Survey and provide necessary directives /guidance regarding the strategy for implementation of the project according to the Study Report.</p> | |
| a) Is the cost of proposed projects more than TK. 50 crore? | |
| <input type="checkbox"/> Yes (→ go to b-1) | <input type="checkbox"/> No (→ go to c) |
| b-1) Whether a feasibility study was conducted? | |
| <input type="checkbox"/> Yes (→ go to b-2) | <input type="checkbox"/> No (→ The DPP should be sent back to the Agency) |
| b-2) Date of accepted by the implementing agency or Date of decision of Technical Committee | |
| Date (DD/MM/YYYY): | Appendix of DPP: |
| c) Remarks and suggestions | |
| | |

Paragraph 1.1.2 of the Green Book 2022 stipulates, “Before taking up any Investment Project costing more than Tk. 50 (fifty) crore, Feasibility Study must be conducted.”

Paragraph 6.2 explains how the proposal for of Feasibility Study is formulated, appraised, and approved, a summary of which is given below:

- The Implementing Agency will prepare Survey/ Feasibility Study proposals in the prescribed Format: Annexure-TA of Green Book 2022.
- Costing up to Tk. 5 crore (Tk. 50 million)
 - The Minister/ State -minister of the sponsoring Ministry/Division will approve the Feasibility Study Projects (Sample Summary: ANNEXURE-SHA) up to the estimated cost of Tk. 5 (five) crore with the recommendation of the Departmental Project Evaluation Committee (DPEC).
- Costing more than Tk. 5 crore (Tk. 50 million)
 - The concerned Sector/Division of the Planning Commission will appraise the Feasibility Study Proposal received from the Ministries/Divisions and submit it to the PEC meeting. With the recommendation of the PEC, the Project will have to be submitted to the appropriate authority for approval. Approval authorities are as follows.
 - For the case of Feasibility Study Projects with an estimated cost of above Tk. 5 (five) crore and up to Tk. 50 (fifty) crore: the Hon'ble Minister/State-minister in charge of the Ministry of Planning.
 - For the case of Feasibility Study Projects with an estimated cost of above Tk. 50 (fifty) crore: ECNEC

a) Assessment of the Estimated Cost of the project

- Check the estimated project cost, whether the project cost is over Tk. 50 crore. The overall project cost can be found in the DPP item 5.1.
- Select one of the following two options.
 - Yes: the project cost is over Tk. 50 crore.
 - No: project cost is up to Tk. 50 crore.
- If the answer is "Yes", go to question b-1).
- If the answer is "No", skip the following two questions b-1) and b-2), as those questions are not applicable to the project costing up to Tk. 50 crore.

b-1) Status of feasibility study

- Check the status of the feasibility study: whether the feasibility study was conducted by referring to the DPP item 17. "Whether any pre-appraisal/ feasibility study/ pre-investment study was done before the formulation of this project? If so, attach a summary of findings & recommendations. (If not, mention the causes)".
- Select one of the two options.
 - Yes: conducted.
 - No: not conducted.
- If the answer is "Yes", go to question b-2).
- If the answer is "No", skip the questions b-2). The DPP will be returned to the Agency.

b-2) Record

- Write the date of acceptance by the agency or technical committee by looking at the "summary of feasibility report" as an appendix to the DPP (item 17.)
- Write the serial number of appendices "summary of feasibility report".

c) Remarks and suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ". The example is provided below.

Example: As the estimated cost of the proposed project is more than BDT 50 crore, the Feasibility Study should be conducted, and the project design should be prepared based on the Feasibility Study. This point can be discussed in the meeting.

A-3: Foreign Financing

Reference: MAF

[If Applicable] A-3: Foreign Financing [Item 6. of the DPP]

| | | | |
|--|--------------|---|---------------------------------------|
| Paragraphs/ Examination aspects stipulated in the Green Book: | | | |
| - 7.1 For securing foreign funding for Investment and Technical Assistance Projects, the sponsoring Ministry/Division will prepare a Preliminary Development Project Proposal (PDPP) (ANNEXURE- DA/সংযোজনী ড) and submit it simultaneously to the Economic Relations Division (ERD) and the Sector Division of the Planning Commission. Notwithstanding or irrespective of the size or cost of the proposed project, the Sector Division of the Planning Commission, after 10 (10) days of receipt of the PDPP from the Ministry/ Division, will finalize its comments regarding acceptability of the project and obtain the approval of the Minister/State Minister for Planning and communicate the views/ "in-principle" approval of the project simultaneously to ERD and inform the sponsoring Ministry/Division. | | | |
| a) Is the proposed project to be financed fully or partially from foreign financing (Grant/Loan)? | | | |
| <input type="checkbox"/> Yes (→ go to b) | | <input type="checkbox"/> No (→ go to c) | |
| b-1) Was the Preliminary DPP (PDPP) approved? | | | |
| <input type="checkbox"/> Yes (→ go to b-2) | | <input type="checkbox"/> No (→ the DPP should be sent back to the Agency) (go to c) | |
| b-2) If the answer to b-1) is "YES", write the date of approval and appendix number of the DPP. | | | |
| Date of Approval: | | Appendix Number: | |
| c) Whether loan/grant agreement/MoU/Appraisal report of the development partners and related documents are attached with the DPP? | | | |
| <input type="checkbox"/> Yes | Appendix No: | Page No: | <input type="checkbox"/> Not Attached |
| d) Remarks and suggestions | | | |
| | | | |

Paragraph 7.1 of the Green Book 2022 stipulates, "For securing foreign aid for Investment and Technical Assistance Projects the sponsoring Ministry/Division will prepare respectively a Preliminary Development Project Proposal (PDPP) (ANNEXURE- DA) and submit it simultaneously to ERD and the concerned Sector Division of the Planning Commission."

a) Source of funding

- Check the source of funding: whether the project cost is fully/ partially funded by Development Partners, by referring to the DPP item 6.1: Mode of Funding with Source.
- Select one of two options.
 - Yes: project cost is fully/ partially funded by Development Partners.
 - No: project cost is fully funded by the Government of Bangladesh.
- If the answer is "Yes", go to question b-1).
- If the answer is "No", skip the following two questions b-1) and b-2), as those questions are not applicable to the proposed project, funded fully by the Government of Bangladesh.

b-1) Status of approval of the PDPP

- Check the status of the PDPP by referring to the attachment of the DPP.
- Select one of the two options.
 - Yes: the PDPP was approved.
 - No: the PDPP is not approved yet.
- If the answer is "Yes", go to question b-2).
- If the answer is "No", skip the questions b-2). The DPP will be returned to the Agency.

b-2) Record

- Provide brief information about the approval of PDPP, namely the date of approval by the Minister/ State Minister in charge of Planning.
- Provide the respective appendix number of the DPP, which contains a copy of the relevant papers.

c) Remarks and suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: As the proposed project is financed by Development Partners, the preliminary DPP should be formulated, endorsed by the authority, and attached to the DPP.

A-4: Projects of State-owned/Autonomous Institutions

Reference: MAF

[If Applicable] A-4: Projects of State-owned/Autonomous Institutions [Item 6. Of the DPP]

Paragraphs/ Examination aspects stipulated in the Green Book:

- 1.7.1 If funding from the GoB is necessary for the projects of the State-owned/Autonomous Institutions, prior consent from the Finance Division will have to be obtained for determining the nature/type (grant/equity) of funding. Action in this regard will have to be taken as per the latest (up to the time of preparation of the project) instruction/ decision of the Finance Division and mentioned in the project proposal.
- 11.1.1 The Autonomous/Semi-autonomous Agencies, Public Sector Corporations and State-owned Companies can invest their surplus funds, if any, in development projects. For such investment proposals the sponsoring Ministry/Division will have to obtain "No Objection Certificate" from the Monitoring Cell of the Finance Division in terms of the latest Policy and Circular of the Finance Division and subsequent amendments there to regarding investment of the surplus funds of the Autonomous Agencies/ Corporations. The Autonomous Agencies/ Corporations and the State-owned Companies will have to strictly follow the conditions laid down by the Finance Division for lending and relending of local and foreign currency loans for such projects.
- 12.1 If a project is prepared with adding together the funds from other sources (loan or grant secured from the GoB and Development Partners , funds collected from the beneficiaries/funds collected from the share market /funds other than the income of the Agency) with the funds of the Agency, then the procedures stated in paragraph 11.1 will have to be followed and for processing the approval of the project , the procedures applicable for the processing and approval of the Investment projects will be followed. For processing the approval, revision, extension of time, inter-component cost adjustment etc. of the project, the procedures applicable for investment projects (para 3,4,5, 18 and 19) will have to be followed.

| | |
|---|---|
| a) Is the implementing agency an Autonomous/Semi-autonomous Agency, Public Sector Corporation or State-owned Company? | |
| <input type="checkbox"/> Yes (→ go to b & then c) | <input type="checkbox"/> No (→ go to e) |
| b-1) If the Autonomous, Semi-autonomous Agencies, Public Sector Corporations and State-owned Companies invest their surplus funds to the proposed project, was the "No Objection Certificate" from the Finance Division obtained? | |
| <input type="checkbox"/> Yes (→ go to b-2) | <input type="checkbox"/> No (→ The DPP should be sent back to the Agency) (go to e) |
| b-2) Date of obtaining the Finance Division's "No Objection Certificate" | |
| Date (DD/MM/YYYY): | Appendix of DPP: |
| c) Is the funding from the GoB necessary for the proposed project? | |
| <input type="checkbox"/> Yes (→ go to d-1) | <input type="checkbox"/> No (→ go to e) |
| d-1) If the funding from the GoB is necessary for the proposed project, was the prior consent of the Finance Division obtained regarding the ratio of loan/grant/equity of the investment/re-investment? | |
| <input type="checkbox"/> Yes (→ go to d-2) | <input type="checkbox"/> No (→ The DPP should be sent back to the Agency) (go to e) |
| d-2) Date of obtaining the prior consent of the Finance Division regarding the ratio of loan/grant/equity of the investment/re-investment | |
| Date (DD/MM/YYYY): | Appendix of DPP: |
| e) Remarks and suggestions | |
| | |

Paragraph 1.7.1 of the Green Book 2022 stipulates, "If funding from the GoB is necessary for the projects of the State-owned/Autonomous Institutions, prior consent from the Finance Division will have to be obtained for determining the nature/type (grant/equity) of funding".

Paragraph 11.1.1 of the Green Book 2022 stipulates, "The Autonomous, Semi-autonomous Agencies, Public Sector Corporations and State-owned Companies can invest their surplus funds, if any, in development projects. For such investment proposals, the sponsoring Ministry/Division will have to obtain a 'No Objection Certificate' from the Monitoring Cell of the Finance Division".

a) The Autonomous, Semi-autonomous Agencies, Public Sector Corporations and State-owned Companies

- Confirm whether the implementation agency of the proposed project is "The Autonomous, Semi-autonomous Agencies, Public Sector Corporations and State-owned Companies" by referring to the DPP item 2.2: Implementing Agency.
- Select one of two options.
 - Yes: the project is proposed by Autonomous, Semi-autonomous Agencies, Public Sector Corporations or State-owned Companies.
 - No: the project is not proposed by Autonomous, Semi-autonomous Agencies, Public Sector Corporations or State-owned Companies.
- If the answer is "Yes", go to question b-1).
- If the answer is "No", skip the following two questions b), c) and d).

b-1) Status of "No Objection Certificate"

- Confirm whether the 'No Objection Certificate' from the Finance Division was obtained if the Autonomous, Semi-autonomous Agencies, Public Sector Corporations and State-owned Companies invests their surplus funds to the proposed project, by referring to the DPP item 6.1: Mode of Funding with Source, and Appendix of the proposed DPP.
- Select one of the two options.
 - Yes: obtained.
 - No: not obtained.
- If the answer is "Yes", go to question b-2).
- If the answer is "No", skip the questions b-2). The DPP will be returned to the Agency.

b-2) Record

- Provide brief information on obtaining "No Objection Certificate", namely the date obtained.
- Provide the respective appendix number of the DPP, which contains a copy of the relevant paper.

c) Need of GOB fund

- Confirm whether the funding from the GoB is necessary for the proposed project, by referring to the DPP item 6.1: Mode of Funding with Source
- Select one of the two options.
 - Yes: necessary
 - No: not necessary
- If the answer is "Yes", go to question d-1).
- If the answer is "No", skip the questions d-1). go to question e)

d-1) Status of "Prior consent"

- Confirm whether the 'Prior consent' from the Finance Division was obtained by referring to Appendix of the proposed DPP.
- Select one of the two options.
 - Yes: obtained.
 - No: not obtained.
- If the answer is "Yes", go to question d-2).
- If the answer is "No", skip the questions d-2). The DPP will be returned to the Agency.

d-2) Record

- Provide brief information on obtaining "Prior consent", namely the date obtained.
- Provide the respective appendix number of the DPP, which contains a copy of the relevant paper.

e) Remarks and suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: As the GoB fund is required for the proposed project, "Prior consent" of the Finance Division should be obtained and attached to the DPP. This point can be discussed in the meeting.

B-1 Land

Reference: MAF

B-1: Land [Economic Code 4141101, item 7.2, and item 9. of the DPP]

Paragraphs/ Examination aspects stipulated in the Green Book:

- 1.4 Generally, acquisition of land will have to be avoided for Development Projects. If acquisition of land is unavoidable, acquisition of agricultural/arable land should be discouraged along with maintaining conservatism in determining the amount of land. For projects requiring acquisition of land, information about quantity of the land to be acquisitioned, availability of land etc. will have to be obtained from the concerned Deputy Commissioner in this regard, and attached with the DPP. For ascertaining the previous condition/situation of the proposed land, it will be necessary to collect and preserve the photograph and/ video of the land before preparing the proposal.

a) Does the proposed project require land?

Yes

No

if yes, answer the questions in Part III of MAF

b) Remarks and suggestions

a) Conditions of the project

- Check the necessity of land acquisition: whether the project requires land acquisition. The source of information related to land acquisition can be found at the economic code 4141101 in the DPP item 9: Estimated cost summary.
- Select one of two options.
 - Yes: the proposed project requires land acquisition.
 - No: the proposed project does NOT require land acquisition.
- If the answer is "Yes", the Project Assessor needs to assess the project in Section III of the MAF.
- If the answer is "No", skip Section III of the MAF.

b) Remarks and suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: A project of similar nature needs land acquisition though the DPP mentioned that land acquisition is not required. Please reconfirm the demand of land acquisition for the proposed project.

B-2 Resettlement/ Rehabilitation

Reference: MAF

B-2: Rehabilitation/Resettlement [Item 30. Or Item 31. Of the DPP]

| | | |
|--|-----------------------------|---|
| a) Does the proposed project involve rehabilitation/resettlement? | | |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | if yes, answer the questions in Part III of MAF |
| b) Remarks and suggestions | | |
| | | |

a) Conditions of the project

- Check the necessity of rehabilitation/resettlement: whether the project requires rehabilitation/resettlement of Project Affected Persons. The source of information can be found at the economic code 3211103 in the DPP item 9: Estimated cost summary, and item 30: Compensation, Rehabilitation/ Resettlement.
- Select one of the two options.
 - Yes: the proposed project requires rehabilitation/resettlement.
 - No: the proposed project does NOT require rehabilitation/ resettlement.
- If the answer is "Yes", the Project Assessor needs to assess the project in Section III of the MAF.
- If the answer is "No", skip Section III of the MAF.

b) Remarks and suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: As a project of a similar type needs resettlement/ rehabilitation, the demand for resettlement/ rehabilitation for this proposed project should be reconfirmed.

B-3 Environmental impact

Reference: MAF

B-3: Environmental consideration [Item 25.2 and 26. Of the DPP]

Paragraphs/ Examination aspects stipulated in the Green Book:

- 21.3 As per Bangladesh Environment Protection Act, 1995 and Environment Protection Regulations, 1997, before taking up/formulation and approval of any Investment Project of the RED category (especially in the water, power, energy and mineral resources, industry, communication and transport sectors) Initial Environmental Examination (IEE) and Environmental Impact Assessment (EIA) Survey will have to be conducted, and the design of the project will have to be modified compulsorily according to the recommendations of Study with a view to the mitigating /reducing the adverse impact on environment, the Environmental Management Plan received from the EIA Survey will have to be attached with the DPP. (Skip the rest)

a) Is the environmental category of the proposed project, Orange Ka, Orange Kha, or Red?

Yes No if yes, answer the questions in Part IV of MAF

b) Remarks and suggestions

a) Conditions of the project

- Check the environmental impact and environmental category: whether the project affects the environment significantly. The source of information related to environmental impact can be found in the DPP item 25.2: “environmental sustainability like land, water, air, bio-diversity, ecosystem services”, and item 26, “Whether environmental clearance under the ECA 1995 (Revised 2010) has been obtained?” and Schedule 1 of Environmental Conservation Rules 2023.
- Select one of the two options:
 - Yes: the environmental category is Red, Orange, and Yellow.
 - No: the environmental category is Green.

To identify the environmental category, see the schedule 1 of Environmental Conservation Rules 2023*

- If the answer is "Yes", the Project Assessor needs to assess the project in Section IV of the MAF carefully.
- If the answer is "No", skip Section IV of the MAF.

b) Remarks and suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: According to the relevant regulation, the environmental category of the proposed project is 'red', but the proposed DPP categorizes the project as 'green'. Cross-checking by the DOE is required.

* The Government of Bangladesh repealed Environmental Conservation Rules 1997 and approved Environmental Conservation Rules 2023. The User of this Manual follows the Environmental Conservation Rules 2023.

B-4 Disaster and Climate Change Risks

Reference: MAF

B-4: Disaster and Climate Change Risks [Item 25.3 and 26.0 of the DPP]

Paragraphs/ Examination aspects stipulated in the Green Book:

- 1.1.11 Analysis of the impact of the project on Environment, Climate Change and other Cross-Cutting Issues: *snip* At the time of preparation /formulation of the project, Disaster Impact Assessment (DIA) will have to be done/conducted by using Disaster Risk Information Platform (DRIP) for identification of disaster and climate risk in the project area and for taking countermeasures to mitigate them.
- 1.1.11(a) For identification, formulation, and processing of Investment Projects the issue of Green and Climate Resilient Development (GCRD), a sub-paragraph (25.3(a)) will have to be added to paragraph 25.3 of the Development Project Proposal (DPP). In this case sector-wise statement and analysis in line with the concept of GCRD will have to be included in the DPP.
- 21.3: *snip* In applicable cases, Disaster Impact Assessment (DIA) will have to be conducted, and necessary countermeasures will have to be taken accordingly.
- 21.3(a) In the case of identification, formulation, processing of Development Projects the issue of Green and Climate Resilient Development (GCRD) will have to be included as sub-paragraph 25.3(a) of paragraph 25.3 of DPP in line with the stipulation at sub-paragraph 1.1.11(a).

a) Is Disaster Impact Assessment (DIA) required for this proposed project?

Yes No if yes, answer the questions in Part IV of MAF

b) Remarks and suggestions

a) Conditions of the project

- Check whether the proposed project is subject to Disaster Impact Assessment (DIA) by referring to the DIA Framework (forthcoming).
- Select one of the two options:
 - Yes: the DIA is required.
 - No: the DIA is not required.
- If the answer is "Yes", the Project Assessor needs to assess the project in Section IV of the MAF carefully.
- If the answer is "No", skip Section IV of the MAF.
-

b) Remarks and suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: According to the DIA Framework (Forthcoming), the proposed project is subject to DIA, but in the DPP, there are no results of DIA. DIA should be conducted, and according to the results of DIA, the project design needs to be modified.

In general, infrastructure project is subject to DIA.

Box 7 briefly explains the DIA framework (forthcoming).

Box 7 Disaster Impact Assessment (DIA) Framework

Key elements of 'DIA Framework' developed under National Resilience Programme (NRP)-Programming Division are highlighted below for better understanding of its scope and use as an 'ex-ante' tool for both the project proponents and appraisers:

Scope of the 'Framework': The 'Framework' developed is basically targeted for the application of DIA at the "project level" to address relevant Sections (i. e. 24.3 and 30.0/31.0) of the DPP format. At the initial stage 'scope' has been kept limited for 'infrastructure projects' only through providing a list of prospective infrastructures and probable hazards. However, the 'Framework' recognizes 'scale-up' opportunity for DIA application in other sectors, as well as at the policy and program levels.

Steps to be followed for conducting DIA: Following six steps are to be followed for conducting DIA of a development project/intervention as identified in the 'Framework':

- **Step-1: Locating the 'Project':** As the first step, project area or 'site' has to be located on available 'risk or hazard map' to identify and assess the severity of hazard(s), if any, and to follow respective design guidelines to make the project resilient. The 'Framework' refers to a list of Districts facing potential threats from 10 major hazards on 'risk maps' prepared by the Programming Division in 2018 with technical assistance from ADB.
- **Step-2: Identifying 'Impact of hazards':** The second step would be to report on the impacts of hazard(s) on the proposed project. The 'Framework' mainly refers to 'structural' interventions with service consideration, and provides a long list of impacts on major infrastructures in Bangladesh for different types of hazards as a guideline. The probability of whether the intervention (structures) can impact over the area or environment and may create new hazard(s) should also be considered and reported in this Step. Examples of such 'risk transfer' could be constructing a road that may cause 'water logging', or building embankment that may flood the 'unprotected' areas, etc.
- **Step-3: Proposing 'Countermeasures':** One of the most important parts of DIA process is to propose 'countermeasures' for risk reduction towards making a project resilient. The third step would identify 'required countermeasures' in response to the impacts reported by Step-2. The 'Framework' provides good example of cyclone shelter project with multiple indicators within a Matrix that can guide common users. However, such "Matrices" can be developed further to expand and extend DIA coverage for other projects and areas, which demonstrates the 'scale-up' opportunity of the 'DIA Framework'.
- **Step-4: Assessing 'Resilience':** The fourth step of DIA should consider and assess the level of 'resilience' that might be shown by a project immediately after facing a disaster. This can be done by a number of indicators, some of which are mentioned in the 'Framework' as for example: i) Emergency DM Plan- e. g. in case of a building collapse there needs to have an 'evacuation plan'; ii) Service Continuity Plan- e. g. a school needs to resume 'schooling' as soon as possible after a flood, while the building was used as a flood shelter; iii) Time of Recovery- e. g. if a project takes longer 'rehabilitation time' after facing a disaster (a damaged polder for example) then it causes prolonged sufferings to the people or inhabitants of the project area. Thus, it becomes extremely important for a project to have an 'assessment of resilience' during its design and appraisal phases.
- **Step-5: Estimating 'Cost of Disaster Risk Reduction- DRR':** The cost of DRR should be estimated and reported in the fifth step of DIA, e. g. may be in terms of percentages to the total project cost. It might have implications to the decision-making process and ideally should include in an 'incremental' way (e. g. in case of erosion protection cost for a road construction) or the full cost of a project to address DRR (e. g. in case of constructing a cyclone shelter or embankment). The cost estimation may ideally be reported on the basis of 'unit cost', i. e. how much would be the cost for sheltering a person while constructing a cyclone shelter.
- **Step-6: Reporting 'Residual risk':** As 'risks' cannot be eliminated entirely, it becomes important to report on the 'residual risk' to facilitate comparison with the cost of DRR while appraising a project.

For example, if a building is designed to withstand an earthquake with a magnitude of 7.0 in the Richter scale, then the probability of earthquake above 7.0 needs to be reported.

Reference: HAQUE, S. 2020. Developing and Institutionalizing Disaster Impact Assessment Tool & Guidelines Towards Making Public Investment Resilient: A Review of Policies & Practices. Final Report submitted to UNDP under the National Resilience Programme (NRP), Programming Division Part, Planning Commission.

3-3 Part I: Basic Information of the Project

| | | | |
|---|--|-------|---------------------------------------|
| Reference: MAF | | | |
| 1. Sponsoring Ministry/Division: | _____ | | |
| 2. Implementing Agency: | _____ | | |
| 3. Concerned Sector Division of the Planning Commission | _____ | | |
| 4. Project Implementation Period: (Month, Year) | Date of Commencement: | _____ | |
| | Date of Completion: | _____ | |
| | Duration in months: | _____ | |
| 5. Estimated Cost of the Project (in lakh Taka): | Total: | | |
| | GOB (IDCF/DRGA-CF or any Debt Cancellation): | lakh | (Funding Source)/ (mode of Financing) |
| | PA: | lakh | |
| | Own fund: | lakh | |
| | Others: | lakh | |
| 6. Project Location: | _____ | | |
| <p>Note: The project should be formulated within the jurisdiction of Sponsoring Ministry/ Division as per the Allocation of Business</p> | | | |

Part I provides basic information of the project.

(I-1, I-2, and I-3) Sponsoring Ministry/ Division, Implementing Agency, and concerned Sector Division of Planning Commission

The name of Sponsoring Ministry, Implementing Agency, and concerned Sector Division of Planning Commission can be taken respectively from Items 2.1, 2.2, and 2.3 of the DPP. Identifying and specifying the Ministry/ Division and Agency responsible for sponsoring and implementing the project is important.

Note: The project should be formulated within the jurisdiction of Sponsoring Ministry/ Division as per the Allocation of Business.

Tips:

Paragraphs 1.1.1 and 21.1 of Green Book 2022 stipulate, "The Ministries/Divisions will prepare /formulate projects within their jurisdiction as per the Allocation of Business" The Project Assessor needs to clarify the responsibilities and functions of the implementing agency and the sponsoring Ministry/Division, and their relevance to the project purpose. The information in Items 27.1 Vision and Mission of Ministry/Division and Agency, and 27.2 Allocation of Business of Ministry/ Division can be the reference points.

(I-4) Project Implementation Period

The information "Project Implementation Period" is Item 4 of the DPP. The date (or month) of commencement (start) and completion and the duration by months should be indicated. Duration by months can be calculated from i) the Date of commencement and ii) the Date of completion of item 4.

$$\text{Total Duration (months)} = \text{DPP item 4 (Kha) date/month completion} - \text{DPP item 4 (KA) Date /month of commencement} + 1 \text{ month}$$

Tips:

Duration of the project means the period of coverage to achieve the Project Purpose. The project does not necessarily end when Project Outputs are completed. Necessary to carefully check the narrative summary and OVI of the Project Purpose to know the actual duration of the project.

(I-5) Estimated Cost of the Project (Taka in lac)

"Project Cost" is indicated in the DPP Items 5.1 and 5.2. It is important to clarify the sour-wise project cost at the formulation stage of the project. It must be ensured that the total cost matches the sum of GOB, PA, Own Fund, and other costs.

Reference: DPP Format

| | | |
|-----|---|------------|
| 5.1 | Estimated Cost of the Project (<i>Taka in lac</i>) | Total : |
| | (JDCF/DRGA-CF or any other Debt Cancellation) | GOB : |
| | Project Aid (PA) : | Own Fund : |
| | Others : | : |
| 5.2 | Exchange Rate(s) with Date (Source: Bangladesh Bank) | : |

Questions:

Examines this item from the following perspectives.

- Whether the total project cost, and the breakdown in GOB, PA, Own Fund, and Others are identified.
- When Project Loan/ Grant is involved, whether the exchange rate with a date is referred correctly.

(I-6) Project Location

Project Location is indicated in Item 7.1 of the DPP. It is important to clarify the project location(s) at the formulation stage of the project.

- List the name of the Division, District and Upazila where the project is expected to be implemented.
- If the Project locations are in multiple Districts and City Corporations/ Pourashovas/ Upazilas, indicate the number of Districts and City Corporations/ Pourashovas/ Upazilas that are covered and the total list of the name of Districts and City Corporations/ Pourashovas/ Upazilas are attached as an appendix.
- Ideally, the project location map should be attached to the DPP to recognize the location visually.

7.0 **Name of Districts / City Corporations/Upazilas/Pouroshova**

| Division | District | City Corporation/Pouroshova/ Upazila |
|----------|----------|--------------------------------------|
| 1 | 2 | 3 |
| | | |

(Attach map, where necessary)

Questions:

Examines this item from the following perspectives.

- Whether the DPP has information about City Corporation/Paurashava/ Upazila wise location.
- The information in Item 7.1 has similarity to the information in Annexure-I (Location-wise Cost Breakdown).
- The information in Item 7.1 has a similarity to the location map of the project, where applicable (Appendix 1)..

3-4 Part II: Clarity of the Logical Framework

The main objective of Part II is to assess the quality of information in the Logical Framework. The Logical Framework provides the overall picture of the project when the information is rightly described. Part II looks into the Logical Framework to check whether the structure of the project is correctly designed. Part II has four sub-parts and 12 assessment questions, as shown in Table 14.

Table 14 Summary of Part II of MAF

| Part | Title | Sub-part | Assessment Questions | Code |
|------|----------------------------------|----------------------------|---|--------|
| II | Clarity of the Logical Framework | II-1. Project Purpose (PP) | 1) Is the Project Purpose in the Narrative Summary stated clearly? | II-1-1 |
| | | | 2) Are the Objectively Verifiable Indicators (OVIs) for the Project Purpose set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly? | II-1-2 |
| | | II-2. Project Goal (PG) | 1) Is the Project Goal in the Narrative Summary stated clearly? | II-2-1 |
| | | | 2) Are the OVIs for the Project Goal set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly? | II-2-2 |
| | | | 3) Are important assumptions of the Project Purpose level indicated appropriately as conditions of Project Goal achievement? | II-2-3 |
| | | II-3. Output (OP) | 1) Are the Outputs (OP) in the Narrative Summary (NS) stated clearly? Are they properly aligned so that they are not duplicating one another? | II-3-1 |
| | | | 2) Are the OVIs for each of the Outputs set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly? | II-3-2 |
| | | | 3) Are important assumptions (IA) of this level indicated appropriately as conditions of Project Purpose achievement? | II-3-3 |
| | | II-4. Input (IP) | 1) Are Project Inputs (IP) aligned clearly to achieve their Outputs (OP)? | II-4-1 |
| | | | 2) Is Procurement Plan prepared adequately? | II-4-2 |
| | | | 3) Manpower formulation of the project | II-4-3 |
| | | | 4) Are important assumptions (IA) and preconditions indicated appropriately as conditions for the achievement of each Output? | II-4-4 |

Source: SPIMS

In general term, the following assessment points are applicable to the questions under Part II of MAF.

- Whether the narrative summary of each level: Goal, Purpose/ Objective, Outputs and Inputs are logically set up, including the Important Assumptions (IA).
- Whether the Objectively Verifiable Indicators (OVIs) have correctly explained the achievement of narrative summary.
- Whether the Means of Verification (MOV) is identified and practical.
- Whether the Important Assumption (IA) is identified and practical.

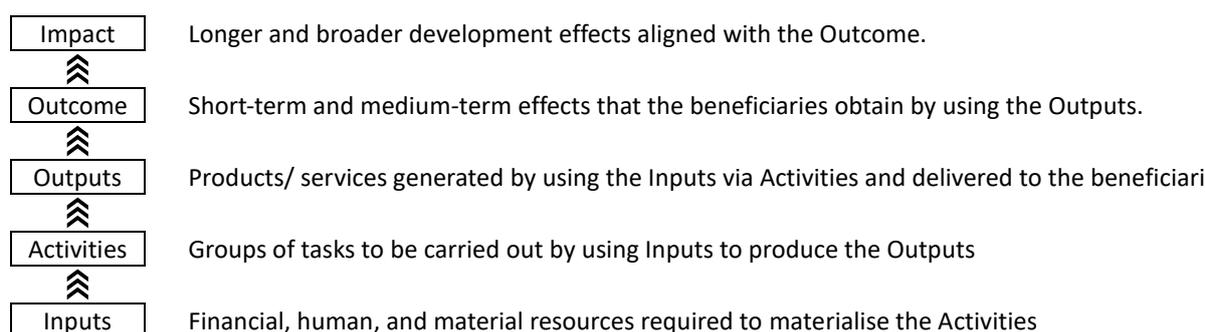
Box 8 briefly explains the points of the Logical Framework.

Box 8 Outline of Logical Framework

Structure of Logical Framework: The structure of the Logical Framework, in general, is as below.

- The Logical Framework shows a project design in the form of a four-by-four matrix.
- The **vertical logic of the Logical Framework** is the phases of expected situations, linked by the causality of the project: 1) Inputs; 2) Outputs; 3) Purpose/Objective, and 4) Goal.
- The **horizontal logic of the Logical Framework** explains the phases of expected situations: 1) Narrative Summary, 2) Objectively Verifiable Indicator (OVI), 3) Means of Verification (MOV), and 4) Important Assumptions (IA).

Vertical Logic: The vertical logic of the Logical Framework shows the necessary causal sequence in the project to achieve the desired objective, beginning with Inputs, moving through Activities and Outputs and culminating in Outcome and Impact." (Hereafter named "**results chain**".)



The Purpose/Objective of the project can be explained as "the result of the project that is expected to be achieved at the time of project completion." So, the level of Purpose/Objective of the Logical Framework in the DPP is positioned generally at the "Outcome" level of the results chain, expected to be reached at the time of project completion, in general.

The Goal of the project can be explained as "the result of the project that is expected to achieve after 2 to 3 years of achievements of the Purpose/Objective." The level of Goal of the Logical Framework in the DPP is located generally at the "Impact" level of the results chain, expected to achieve after 2 to 3 years of the achievement of the Purpose/Objective, in general.

It should be noted that the logic "Goal is at the Impact level" and "Purpose/Objective is at the Outcome level" is not always true. The achievement level of Outcome and Impact at the time of project completion, and after 2 to 3 years of the achievement of the Purpose/Objective, largely depends on the project's design and nature. For example, in some cases of infrastructure construction projects, the Outcome level in Purpose/Objective is very close to the "Outputs" level, because the effects that the beneficiaries obtain by using the outputs do not always start before the completion of the project.

Horizontal Logic: The horizontal logic of the Logical Framework explains each phase in the results chain: 1) Narrative Summary, 2) Objectively Verifiable Indicators (OVI), 3) Means of Verification (MOV), and 4) Important Assumptions (IA).

- The Narrative Summary concisely states the achievement of each element of vertical logic of the Logical Framework.
- OVI is the indicator to measure the results of achievement. OVI includes the targets to define "success."
- MOV is a data source that specifies where the data for the proposed indicator comes from. . MOV ensures that the proposed OVIs can be collected and analysed in practice.
- Important Assumptions are the critical factors uncontrollable by the project that could affect the achievement of the project's planned result. In other words, important assumptions are the conditions required to step up each phase of the results chain: Inputs to Outputs, Outputs to Purpose/Objective, and Purpose/Objective to Goal.

Source: GOB-SPIMS 2023 Logical Framework for Investment Projects

(II-1) Project Purpose

Project Purpose is a result of the project, expected to be achieved at the time of completion. The level of purpose/objective in the logical framework should be positioned at the Outcome level of the project.

This subsection intends to assess the adequacy of the Project Purpose. The adequacy of the scope involves positioning the Project Purpose and its indicators. It is expected to examine the following points.

- **Availability of the information:** the Narrative Summary and Objectively Verifiable Indicators (OVIs) for the Project Purpose are stated in item 10 of the DPP: Logical Framework. The DPP items 3, 14 and 15 explain the background of the Project Purpose, and the detailed project description; and
- **Quality of the information:** the Project Purpose is reasonable as the positioning and scope of the project and if the information is consistent among items 3, 10, 14 and 15.

The questions under this sub-part are as below.

- (II-1-1) Is the Project Purpose in the Narrative Summary stated clearly?
- (II-1-2) Are the Objectively Verifiable Indicators (OVIs) for the Project Purpose set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly?

(II-1-1) Narrative Summary of Project Purpose

Reference: MAF

1) Is the Project Purpose in the Narrative Summary stated clearly?

a) Write/ copy the description provided in the DPP by referring to Item 10. (Logical framework) as the main source of information, and also to other Items such as Items 3. (Objectives and Targets), 14. (Background), and 15. (Project Description) as additional sources of information

b) Check the availability of information

Information is available

Information is not available (→ skip c and go to d)

c) Check the quality of information

Appropriate as indicated

Needs amendment

d) Remarks and suggestions

Assessment question

Is the Project Purpose in the Narrative Summary stated clearly?

a) Reference

The Project Assessor completes the next sentence **“The Project Purpose indicated in the Logical Framework (item X, page Y*) is “ZZZ”** in the MAF. This part “ZZZ” is copied statement from NS-PP illustrated in the right figure.

* Note: The page number of DPP needs to be mentioned

| | Narrative Summary (NS) | Objectively Verifiable Indicators (OVI) | Means of Verification (MV) | Important Assumptions (IA) |
|----------------------|------------------------|---|----------------------------|----------------------------|
| Project Goal (PG) | NS-PG | OVI-PG | MV-PG | |
| Project Purpose (PP) | NS-PP | OVI-PP | MV-PP | IA-PP |
| Output (OP) | NS-OP | OVI-OP | MV-OP | IA-OP |
| Input (IP) | NS-IP | | | IA-IP (Precondition) |

b) The availability of the information

- Select one of the two options.
 - Information is available
 - Information is Not available

c) The quality of the information

- Select one of the two options.
 - Appropriate as indicated
 - Needs amendment.

Tips:

- Refer to the Sector Strategy Paper (SSP)* and find out where the project will contribute, starting from the **sector goal** and streaming down to **sector outcomes** and **sector intermediate outcomes**.
- The Project Assessor should be able to identify one or a few intermediate outcomes that strongly relate to the project.
- Suppose the Project Assessor cannot find any intermediate outcomes that correspond. In that case, the project will not be relevant for the development requirement of Bangladesh, or the Project Purpose setup may need to be corrected.

* See Box 2 in Page 8 about SSP.

Examine whether the “DIRECT” project purpose is specified and explained clearly. The Narrative Summary statement of the **Project Purpose** explains the true effects of the project's outputs. Generally, the achievement the project can bring immediately and independently at completion should be stated in the Project Purpose. True effects of the project should be expressed, not just achieving the required specification of the Outputs. It has to be checked whether the Project Purpose describes the ultimate target for which the implementing agency bears full responsibility.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: The narrative summary of purpose/ objective in a logical frame should not write "causality" in the text. The narrative summary should be rewritten.

(II-1-2) OVI and MOV of Project Purpose

Reference: MAF

- 2) Are the Objectively Verifiable Indicators (OVIs) for the Project Purpose set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly?
- ✓ [Note] OVIs should clearly capture the essence of the narrative summary and should be SMART (Specific, Measurable, Achievable, Relevant, and Time-bound), and include QQTL (Quantity, Quality, Time and Location) details.

a) Write/ copy the description provided in the DPP by referring to Item 10. (Logical framework) as the main source of information, and also to other Items such as Items 3. (Objectives and Targets), 14. (Background), and 15. (Project Description) as additional sources of information

b) Check the availability of information

Information is available Information is Not available (→ skip c and go to d)

c) Check the quality of information

Appropriate as indicated Needs amendment

d) Remarks and suggestions

Assessment question

Are the Objectively Verifiable Indicators (OVIs) for the Project Purpose set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly?

a) Reference

The Project Assessor completes the next sentence **“The OVIs and MOV of Project Purpose are indicated in the Logical Framework (item X, page Y) is “ZZZ”** in the MAF.

This part "ZZZ" is copied from the OVI-PP and MOV-PP illustrated in the right-side figure.

| | Narrative Summary (NS) | Objectively Verifiable Indicators (OVI) | Means of Verification (MV) | Important Assumptions (IA) |
|----------------------|------------------------|---|----------------------------|----------------------------|
| Project Goal (PG) | NS-PG | OVI-PG | MV-PG | |
| Project Purpose (PP) | NS-PP | OVI-PP | MV-PP | IA-PP |
| Output (OP) | NS-OP | OVI-OP | MV-OP | IA-OP |
| Input (IP) | NS-IP | | | IA-IP (Precondition) |

b) The availability of the information

- Select one of the two options.
 - Information is available
 - Information is Not available

c) The quality of the information

- Select one of the two options.
 - Appropriate as indicated
 - Needs amendment

Tips:

- References for the OVIs of the Project Purpose can also be seen from the designated sector intermediate outcomes. **Intermediate outcome indicators** in the SSP will be strong references.
- Many Output-level OVIs are seen mistakenly placed as OVIs at the Project Purpose level. Ensure that the OVIs are levelled to what the narrative summary of the Project Purpose truly expresses.

Examines whether the MEASURABLE INDICATORS of the “DIRECT” project purpose are explained. OVIs should be set with quantified SMART criteria: **Specific, Measurable, Achievable, Relevant and Time-bound**, Quality, Quantity and Time, and specification of the project location. They should be directly linked to the Project Purpose’s narrative summary.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: The OVIs of purpose/ objective in a logical frame does not represent the corresponding narrative summary. The OVI should be revised.

(II-2) Project Goal

This sub-part aims to assess the adequacy of the scope of the Project Goal. The adequacy of the scope involves geographic coverage, time framework and corresponding sector & programme. The Project Goal in the DPP should be based on the outcome of the project after its Project Purpose has been achieved, generally, two to five years after its completion. It is expected to examine the following points.

- **Availability of the information:** the Narrative Summary for the Project Goal is stated in the DPP item 10: Logical Framework. The DPP items 3, 14 and 15 explain the background of the Project Purpose, and the detailed project description.
- **Quality of the information:** the Project Goal is reasonable as the positioning and scope of the project, and the information is consistent among items 3, 10, 14 and 15.

The questions under this sub-part are as below.

- (II-2-1) Is the Project Goal in the Narrative Summary stated clearly?
- (II-2-2) Are the OVIs for the Project Goal set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly?
- (II-2-3) Are important assumptions of the Project Purpose level indicated appropriately as conditions of Project Goal achievement?

(II-2-1) Narrative Summary of Project Goal

Reference: MAF

1) Is the Project Goal in the Narrative Summary stated clearly?

a) Use the description provided in the DPP by referring to Item 10. (Logical framework) as the main source of information, and also to other Items such as Items 3. (Objectives and Targets), 14. (Background) and 15. (Project Description) as additional sources of information

b) Check the availability of information

Information is available

Information is Not available (→ skip c and go to d)

c) Check the quality of information

Appropriate as indicated

Needs amendment

d) Remarks and suggestions

Assessment question

Is the Project Goal in the Narrative Summary stated clearly?

a) Reference

The Project Assessor fills in the next sentence **“The Project Goal indicated in the Logical Framework (item X, page Y) is “ZZZ”** in the MAF. This part "ZZZ" is copied from the NS-PG illustrated in the right-side figure.

| | Narrative Summary (NS) | Objectively Verifiable Indicators (OVI) | Means of Verification (MV) | Important Assumptions (IA) |
|----------------------|------------------------|---|----------------------------|----------------------------|
| Project Goal (PG) | NS-PG | OVI-PG | MV-PG | |
| Project Purpose (PP) | NS-PP | OVI-PP | MV-PP | IA-PP |
| Output (OP) | NS-OP | OVI-OP | MV-OP | IA-OP |
| Input (IP) | NS-IP | | | IA-IP (Precondition) |

b) The availability of the information

- Select one of the two options.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options.
 - Appropriate as indicated
 - Needs amendment

Tips:

- Refer to the *Sector Goal* and *Sector Outcomes* related to the Sector Intermediate Outcomes of the Sector Strategy Paper (SSP). Careful consideration of the *timeframe and coverage* of the Project Goal in relation to the SSP is needed.

The Project Goal of the project is not the development goal of the sector. Still, it is the expected development effects that the project can bring. It should be achievable within 2-5 years after its completion. Therefore, in some cases, Project Goal is much closer to Project Purpose than the Goal of the programme/ sector.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: The narrative summary of the project goal in a logical frame explains the national-level impact, and it is difficult to identify the specific linkage between the proposed project and the proposed goal. The Goal should be revised as the condition 2 to 3 years after project completion as the Outcome and Impact of the project.

(II-2-2) OVIs and MOV of Project Goal

Reference: MAF

- 2) Are the Objectively Verifiable Indicators (OVIs) for the Project Goal set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly?
- ✓ [Note] OVIs should clearly capture the essence of the narrative summary and should be SMART (Specific, Measurable, Achievable, Relevant, and Time-bound), and include QQTL (Quantity, Quality, Time and Location) details.

a) Write/ copy the description provided in the DPP by referring to Item 10. (Logical framework) as the main source of information, and also to other Items such as Items 3. (Objectives and Targets), 14. (Background) and 15. (Project Description) as additional sources of information

b) Check the availability of information

Information is available Information is Not available (→ skip c and go to d)

c) Check the quality of information

Appropriate as indicated Needs amendment

d) Remarks and suggestions

Assessment question

Are the OVIs for the Project Goal set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly?

a) Reference

The Project Assessor fills in the next sentence **“The OVIs and MOV of the Project Goal are indicated in the Logical Framework (item 10, page Y) is “ZZZ”** in the MAF. This part “ZZZ” is copied from the OVI-PG and MOV-PG illustrated in the right-side figure.

| | Narrative Summary (NS) | Objectively Verifiable Indicators (OVI) | Means of Verification (MV) | Important Assumptions (IA) |
|----------------------|------------------------|---|----------------------------|----------------------------|
| Project Goal (PG) | NS-PG | OVI-PG | MV-PG | |
| Project Purpose (PP) | NS-PP | OVI-PP | MV-PP | IA-PP |
| Output (OP) | NS-OP | OVI-OP | MV-OP | IA-OP |
| Input (IP) | NS-IP | | | IA-IP (Precondition) |

b) The availability of the information

- Select one of the two options.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options.
 - Appropriate as indicated
 - Needs amendment

Tips:

- References for the OVIs of the Project Goal can also be seen from the designated sector outcomes. **Intermediate outcome indicators in the SSP** will be strong references.

The OVIs follow the SMART and QQT criteria: **Specific, Measurable, Achievable, Relevant and Time-bound and Quantity, Quality and Time, respectively, and specification of the project location.** They should be directly linked to the Project Goal's narrative summary. MOV should be easily accessible.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: The OVIs of the goal in a logical frame do not represent the corresponding narrative summary. The OVIs of goals should be revised.

(II-2-3) Important Assumptions of Project Purpose

Reference: MAF

3) Are important assumptions (external assumptions) of Project Purpose level indicated appropriately as conditions of Project Goal achievement?

- ✓ [Note] Important Assumptions are critical factors uncontrollable by the project, which could affect the achievement of the planned results and have implications for the project's intervention logic.

a) Write/ copy the description provided in the DPP on the important assumptions between the Project Goal and the Project Purpose, including the location within the DPP/attachment, by referring to Item 10. (Logical framework) as the main source of information, and also to other Items such as Items 3. (Objectives and Targets), 14. (Background) and 15. (Project Description) as additional sources of information

b) Check the availability of information

Information is available Information is Not available (→ skip c and go to d)

c) Check the quality of information

Appropriate as indicated Needs amendment

d) Remarks and suggestions

Assessment question

Are important assumptions of the Project Purpose level indicated appropriately as conditions of Project Goal achievement?

a) Reference

The Project Assessor completes the next sentence, **“The Important Assumptions of Project Goal and Project Purpose and indicated in the Logical Framework (item X, page Y) are “ZZZ” and “AAA” respectively”** in the MAF. This part “ZZZ” and “AAA” is copied statement from IA-PP, respectively illustrated in the right-side figure.

| | Narrative Summary (NS) | Objectively Verifiable Indicators (OVI) | Means of Verification (MV) | Important Assumptions (IA) |
|----------------------|------------------------|---|----------------------------|----------------------------|
| Project Goal (PG) | NS-PG | OVI-PG | MV-PG | |
| Project Purpose (PP) | NS-PP | OVI-PP | MV-PP | IA-PP |
| Output (OP) | NS-OP | OVI-OP | MV-OP | IA-OP |
| Input (IP) | NS-IP | | | IA-IP (Precondition) |

b) The availability of the information

- Select one of the two options.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options.
 - Appropriate as indicated
 - Needs amendment

Tips:

- Some on-going/ planned projects may be assumptions to achieving the Project Goal. If so, ensure that these projects are mentioned.
- The Sector Strategy Paper (SSP) and Multi-Year Public Investment Programme (MYPIP) will be of strong reference, since they overview the achievement levels of other projects, including their target timeframe.

Important Assumptions are critical factors uncontrollable by the project, which could affect the achievement of the planned results and have implications for the project's hypothesis. It is important to look into the relations between the Project Purpose and the Project Goal. Many Outputs-level important assumptions are mistakenly located at the Project Purpose levels.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: The assumption "natural calamity does not take place" is not clear, and it is necessary to specify the condition for sustainability of the facilities to be constructed by the proposed project. For example, "Flooding does not reach above the designed capacity of xxx cm water level during operation (recorded once in every 30 years)."

(II-3) Outputs

Outputs are essential divided components to achieve the project purpose/ results or deliverables towards fulfilling the objectives of the project.

This subsection is to assess the adequacy of the scope of Outputs. It involves the logical linkage between Outputs and Inputs, and Outputs and the Project Purpose, including the important assumptions. It is expected to examine the following points:

- **Availability of the information:** the information on Narrative Summary for Outputs is stated in the DPP item 10: Logical Framework. The DPP items 3, 14 and 15 explain the background of the project purpose and the detailed project description; and
- **Quality** of the information: the information is reasonable considering the project's scope, including no duplication among outputs, and the information is consistent among items 10, 14 and 15.

The questions under this sub-part are as below.

- (II-3-1) Are the Outputs (OP) in the Narrative Summary (NS) stated clearly? Are they properly aligned so that they are not duplicating one another?
- (II-2-2) Are the OVIs for each Output (OP) set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly?
- (II-2-3) Are important assumptions (IA) of this level indicated appropriately as conditions of Project Purpose achievement?

(II-3-1) Narrative Summary of Outputs

Reference: MAF

- 1) Are the Outputs in the Narrative Summary stated clearly? Are they properly aligned so that they are not duplicating one another?

a) Write/ copy the description provided in the DPP by referring to Item 10. (Logical framework) as the main source of information, and also to other Items such as Items 3. (Objectives and Targets), 14. (Background) and 15. (Project Description) as additional sources of information

b) Check the availability of information

Information is available

Information is Not available (→ skip c and go to d)

c) Check the quality of information

Appropriate as indicated

Needs amendment

d) Remarks and suggestions

Assessment question

Are the Outputs in the Narrative Summary stated clearly? Are they properly aligned so that they are not duplicating one another?

a) Reference

The Project Assessor completes the following sentence **"The Outputs indicated in the Logical Framework (item X, page Y) are "ZZZ" in the MAF F. This part "ZZZ" is copied statement from the NS-OP illustrated in the right figure.**

| | Narrative Summary (NS) | Objectively Verifiable Indicators (OVI) | Means of Verification (MV) | Important Assumptions (IA) |
|----------------------|------------------------|---|----------------------------|----------------------------|
| Project Goal (PG) | NS-PG | OVI-PG | MV-PG | |
| Project Purpose (PP) | NS-PP | OVI-PP | MV-PP | IA-PP |
| Output (OP) | NS-OP | OVI-OP | MV-OP | IA-OP |
| Input (IP) | NS-IP | | | IA-IP (Precondition) |

b) The availability of the information

- Select one of the two options.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options.
 - Appropriate as indicated
 - Needs amendment

Tips:

- Required (maximum) specifications and/or standards of the Output are explained in the OVIs.
- If the formulation and capacity development of the group/organization for O&M is a part of the project scope and activities, check whether necessary outputs (and corresponding inputs) are designed. (See VII-2 Effectiveness)

The outputs are **important divided components** to achieve the Project Purpose. By achieving each output, the project can reach the Project Purpose. In other words, these components are necessary and sufficient conditions for achieving the Project Purpose. Ensure that Outputs are clearly divided, so that each output can be self-concluded. (It doesn't mean the set of activities and inputs have to be self-concluded).

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: The necessary components to achieve the Purpose/Objective of the project. For example, XXX is not included in the proposed Outputs.

(II-3-2) OVIs and MOV of Outputs

Reference: MAF

- 2) Are the OVIs for each of the Outputs set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly?
- ✓ [Note] OVIs should clearly capture the essence of the narrative summary and should be SMART (Specific, Measurable, Achievable, Relevant, and Time-bound), and include QQLT (Quantity, Quality, Time and Location) details.

a) Write/ copy the description provided in the DPP by referring to Item 10. (Logical framework) as the main source of information, and also to other Items such as Items 3. (Objectives and Targets), 14. (Background) and 15. (Project Description) as additional sources of information

b) Check the availability of information

Information is available Information is Not available (→ skip c and go to d)

c) Check the quality of information

Appropriate as indicated Needs amendment

d) Remarks and suggestions

Assessment question

Are the OVIs for each of the Outputs set up clearly? Is the corresponding Mode of Verification (MOV) set up clearly?

a) Reference

The Project Assessor completes the following sentence "The OVIs and MOV of Outputs indicated in the Logical Framework (item X, page Y) is "ZZZ" in the MAF. This part "ZZZ" is copied from OVI-OP and MOV-OP, illustrated in the right figure.

| | Narrative Summary (NS) | Objectively Verifiable Indicators (OVI) | Means of Verification (MV) | Important Assumptions (IA) |
|----------------------|------------------------|---|----------------------------|----------------------------|
| Project Goal (PG) | NS-PG | OVI-PG | MV-PG | |
| Project Purpose (PP) | NS-PP | OVI-PP | MV-PP | IA-PP |
| Output (OP) | NS-OP | OVI-OP | MV-OP | IA-OP |
| Input (IP) | NS-IP | | | IA-IP (Precondition) |

b) The availability of the information

- Select one of the two options.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options.
 - Appropriate as indicated
 - Needs amendment

Tips:

- Several OVIs are adopted to represent the corresponding narrative summary.
- The disaggregated indicator by locations and categories is adequate.
- Once the narrative summary is edited, the OVI should be revisited and revised accordingly.

The OVIs follow the SMART and QQT criteria: **Specific, Measurable, Achievable, Relevant and Time-bound and Quantity, Quality and Time, respectively, and specification of the project location.** Required specifications and/or standards of the Output are indicated in the OVIs.

MOV should be easily accessible.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: The OVIs of Outputs in a logical frame should be disaggregated by location and type of facilities. The OVI should be revised.

(II-3-3) Important Assumptions of Outputs

Reference: MAF

- 3) Are important assumptions (external assumptions) of this level indicated appropriately as conditions of Project Purpose achievement?
- ✓ [Note] Important Assumptions are critical factors uncontrollable by the project, which could affect the achievement of the planned results and have implications for the project's intervention logic.

| | |
|---|--|
| a) Write/ copy the description provided in the DPP on the important assumptions between the Project Purpose and Outputs, including the location within the DPP/attachment, by referring to Item 10. (Logical framework) as the main source of information, and also to other Items such as Items 3. (Objectives and Targets), 14. (Background) and 15. (Project Description) as additional sources of information | |
| | |
| b) Check the availability of information | |
| <input type="checkbox"/> Information is available | <input type="checkbox"/> Information is Not available (→ skip c and go to d) |
| c) Check the quality of information | |
| <input type="checkbox"/> Appropriate as indicated | <input type="checkbox"/> Needs amendment |
| d) Remarks and suggestions | |
| | |

Assessment question

Are important assumptions of this level indicated appropriately as conditions of Project Purpose achievement?

a) Reference

The Project Assessor completes the following sentence **"The Important Assumptions after Outputs achieved to reach Project Purpose indicated in the Logical Framework (item X, page Y) are "ZZZ" respectively"** in the MAF. This part "ZZZ" is copied statement from IA-OP respectively illustrated in the right figure.

| | Narrative Summary (NS) | Objectively Verifiable Indicators (OVI) | Means of Verification (MV) | Important Assumptions (IA) |
|----------------------|------------------------|---|----------------------------|----------------------------|
| Project Goal (PG) | NS-PG | OVI-PG | MV-PG | |
| Project Purpose (PP) | NS-PP | OVI-PP | MV-PP | IA-PP |
| Output (OP) | NS-OP | OVI-OP | MV-OP | IA-OP |
| Input (IP) | NS-IP | | | IA-IP (Precondition) |

b) The availability of the information

- Select one of the two options.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options.
 - Appropriate as indicated
 - Needs amendment

Tips:

- Other projects that relate to the Project Purpose achievement may be identified depending on the logical relations between the Project Purpose and Outputs.

The important assumptions are **critical factors uncontrollable by the project** that could affect the achievement of the planned results and have implications for the project's hypothesis.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: The important assumptions of outputs to purpose do not explain the risks that could affect the project's achievement after completing outputs and before reaching outcomes.

(II-4) Inputs

This sub-part is to assess the adequacy of the scope of Inputs and Activities. The adequacy of the scope involves the logical linkage between the Outputs and Inputs and into Activities as the process between them. It also looks into important assumptions and preconditions related to the Activities. For this purpose, the following issues are expected to be examined.

- **Availability of the information:** Summary of the inputs given at the DPP item 10: Logical Framework. In this case, the DPP items 5.1: estimate project cost, 6.1: source and type of funding, 9 summaries of estimated cost:11 project management;12.1: procurement plan; 12.2: financial and physical target; 13: post implementation operation and maintenance etc. can be additional reference source.
- **Quality of the information:** Appropriateness, adequacy, standard, efficiency, cost-effectiveness of the quantity/number of inputs, structure, cost, procurement and the time planned for implementation in relation to the scope of the project needs to be examined.

The questions under this sub-part are as below.

- (II-4-1) Are Project Inputs aligned clearly to achieve their Outputs?
- (II-4-2) Is Procurement Plan prepared adequately?
- (II-4-3) Manpower formulation of the project implementation
- (II-4-4) Are important assumptions and preconditions indicated appropriately as conditions for achieving each Output?

(II-4-1) Inputs

Reference: MAF

1) Are **Project Inputs** aligned clearly to achieve their Outputs?

| | |
|--|--|
| a) Tick the appropriate box and provide rationales for the unchecked boxes (if any) | |
| <p>Tick the box, when the required Annexures are attached to the DPP.</p> <p><input type="checkbox"/> Project inputs are indicated in the Logical framework. [Item 10]</p> <p><input type="checkbox"/> Location-wise cost breakdown is indicated. [Annexure I]</p> <p><input type="checkbox"/> Project Management Setup is indicated. [Annexure II]</p> <p><input type="checkbox"/> (if applicable) Total procurement plan for goods is indicated. [Annexure III (a)]</p> <p><input type="checkbox"/> (if applicable) Total procurement plan for works is indicated. [Annexure III (b)]</p> <p><input type="checkbox"/> (if applicable) Total procurement plan for services is indicated. [Annexure III (c)]</p> <p>Tick the box, when the following Appendixes are attached to the DPP, and write the serial number of Appendix.</p> <p><input type="checkbox"/> Detailed list of items with cost is indicated. [Appendix]</p> <p><input type="checkbox"/> Summary of cost for construction materials and equipment is indicated. [Appendix]</p> <p><input type="checkbox"/> Cost of office equipment, computer and furniture is indicated. [Appendix]</p> <p><input type="checkbox"/> Required vehicles, maintenance and fuel expenses are indicated. [Appendix]</p> <p><input type="checkbox"/> Operation and maintenance costs are indicated. [Appendix]</p> <p><input type="checkbox"/> Land acquisition and procurement costs are indicated. [Appendix]</p> <p><input type="checkbox"/> Terms of Reference of Services/ Consultants [Appendix]</p> <p>Add if other information besides the information mentioned above is provided.</p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> | |
| b) check the availability of information | |
| <input type="checkbox"/> Information is available | <input type="checkbox"/> Information is Not available (→ skip c and go to d) |
| c) Check the quality of information | |
| <input type="checkbox"/> Appropriate as indicated | <input type="checkbox"/> Needs amendment |
| d) Remarks and suggestions | |
| | |

Assessment question

Are Project Inputs aligned clearly to achieve their Outputs?

a) Reference

- Check the following DPP item, annexes and appendixes
 - [Item 10] Project inputs are indicated in the Logical framework.
 - [Annexure I] Location-wise cost breakdown is indicated.
 - [Annexure II] Project Management Setup is indicated.
 - [Annexure III (a)] (if applicable) Total procurement plan for goods is indicated.
 - [Annexure III (b)] (if applicable) Total procurement plan for works is indicated.
 - [Annexure III (c)] (if applicable) Total procurement plan for services is indicated.
 - [Appendix] A detailed list of items with costs is indicated.
 - [Appendix] A summary of the cost of construction materials and equipment is indicated.
 - [Appendix] A The cost of office equipment, computer and furniture is indicated.
 - [Appendix] A Required vehicles, maintenance and fuel expenses are indicated.
 - [Appendix] an operation and maintenance costs are indicated.
 - [Appendix] A Land acquisition and procurement costs are indicated.
 - [Appendix] A Terms of Reference of Services/ Consultants

b) The availability of the information

- Select one of the two options.
 - Information is available
 - Information is Not available

c) The quality of the information

- Select one of the two options.
 - Appropriate as indicated
 - Needs amendment

| | Narrative Summary (NS) | Objectively Verifiable Indicators (OVI) | Means of Verification (MV) | Important Assumptions (IA) |
|----------------------|------------------------|---|----------------------------|----------------------------|
| Project Goal (PG) | NS-PG | OVI-PG | MV-PG | |
| Project Purpose (PP) | NS-PP | OVI-PP | MV-PP | IA-PP |
| Output (OP) | NS-OP | OVI-OP | MV-OP | IA-OP |
| Input (IP) | NS-IP | | | IA-IP (Precondition) |

Inputs of the project are resources required to materialize the activities or interventions of the project, aimed to produce the Outputs of the project. Ideally, inputs and activities should be a set of processes that achieves each Output (Activity Based Costing). However, inputs can be described as a total sum of the project if they are identifiable by activity through costing sheets.

b) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: The narrative summary of inputs in a logical framework and relevant annexures and appendix does not explain enough resources required to materialize the activities to produce the Outputs of the project. So, they should be explained, and DPP can be recast accordingly.

(II-4-2) Procurement Plan

Reference: MAF

2) Is Procurement Plan prepared adequately?

| | |
|--|--|
| a) Tick the appropriate box and provide rationales for the unchecked boxes (if any) | |
| Tick the box, when the required information is stated adequately in each procurement plan. | |
| <input type="checkbox"/> Description of Packages <input type="checkbox"/> Type of Procurement (NCT: National Competitive Tendering or ICT: International Competitive Tendering) <input type="checkbox"/> Methods of Procurement (OTM: Open Tendering method, LTM: Limited Tendering method [with Enlistment], RFQ: Request for quotation, DPM: Direct Procurement method, OSTEM: One stage two envelop tendering method, TSTEM: Two stage two envelop tendering method) <input type="checkbox"/> Tender Approving Authority <input type="checkbox"/> Source of Funds <input type="checkbox"/> Estimated Cost <input type="checkbox"/> Indicative Dates | |
| b) check the availability of information | |
| <input type="checkbox"/> Information is available | <input type="checkbox"/> Information is Not available (→ skip c and go to d) |
| c) Check the quality of information | |
| <input type="checkbox"/> Appropriate as indicated | <input type="checkbox"/> Needs amendment |
| d) Remarks and suggestions | |
| | |

Assessment question

Is Procurement Plan prepared adequately?

Para 1.15 of Green Book 2022 stipulates that " In the Procurement Plan under the project, only one procurement method in the case of a package will have to be mentioned according to the PPR. More than one procurement method cannot be followed for a lot/package."

Consider the following points to describe the requirements in b) and c) and provide comments in d).

- Whether the Procurement Plan adequately addresses all necessary procurement requirements of the project in Goods, Works, and Services according to Public Procurement Rules. (Type of Procurement, Method of Procurement, Tender Approval Authority, etc.)

a) Reference

- Check the following annexes
 - [Annexure III (a)] (if applicable) Total procurement plan for goods
 - [Annexure III (b)] (if applicable) Total procurement plan for works
 - [Annexure III (c)] (if applicable) Total procurement plan for services

b) The availability of the information

- Select one of the two options.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options.
 - Appropriate as indicated
 - Needs amendment

Tips:

The Project Assessor assesses the quality of the information in light of parts VI and VII of the Public Procurement Regulations. (See Box 9 in page 104)

b) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Box 9 illustrates the conditions of type and method procurement, mentioned in Public Procurement Regulations

Box 9 Conditions of type and method procurement

15. Procurement Planning and Selection of Procurement methods

- (1) Prior to the preparation of a Procurement Plan in the case of splitting up a single procurement object into more than one package, the Procuring Entity shall decide on splitting the packages and the applicability of the Procurement methods considering the nature and size of the Procurement, by carefully reviewing the proposed Procurement activities and issues.
- (2) The Procuring Entity shall take into account the following when determining the method of Procurement and consolidating of Goods packages: (a) type of goods to be procured; (b) estimated cost as approved by the HOPE or an officer authorised by him or her; (c) availability of the relevant Goods in the local market; (d) quality, sources and brand of the Goods available in the local market; (e) price levels of the designated Goods; (f) capacity of local Suppliers to supply the required quantities; (g) capacity of the national industry and quality of its products; (h) market conditions and expected competition; (i) urgency of the Procurement; (j) capacity of beneficiary stores and proposed terms of delivery and schedule; and, (k) risks related to supply in the local and international markets.
- (3) The Procuring Entity may decide to use Framework Contracts following Rule 89 for repetitive supplies and may decide to go for Tenders on lot-by-lot or item-by-item basis if advantageous.
- (4) The Procuring Entity shall be very cautious in preparing the packages and shall not include too many items in one package, in order to ensure that the number of potential Suppliers is not reduced.
- (5) The Procuring Entity shall organize the lot by integrating only those the items that are normally supplied by the same range of Suppliers.
- (6) For special type of supplies (such as Health Sector Goods) Tenders may be invited on item-by-item basis, if the participation of the Manufacturers in the Tendering process is desired to be encouraged.
- (7) In the case of determining the method of Procurement for Works, the Procuring Entity shall consider the following: – (a) estimated cost as approved by the HOPE; (b) the prevalent conditions of the contracting industry; (c) capacity of local Contractors; (d) expected competition; (e) geographic location; (f) intended completion date and (g) other related matters.

17. Splitting of an Object of Procurement into More Than One Package

- (1) The Procuring Entity shall not generally split a Project or a Programme component into successive packages of lower value when preparing its Procurement Plan with the intention of avoiding either a particular Procurement method or the obligations of seeking the approval of a higher authority.
- (2) The Procuring Entity shall not usually split a package as approved in the Total Procurement Plan into more than five (5) lots in order to make application of the provisions of cross-discounts simple during evaluation.
- (3) The Procuring Entity shall take into account the following aspects for splitting single object of Procurement into smaller packages and packages into smaller lots - (a) the capacity of the local and international markets in submitting responsive Tenders for packages and lots of the size recommended; (b) the convenience of implementation with due regard to geographical location of sites for potential Works contracts.
- (4) The Head of the Procuring Entity or an officer authorised by him or her shall approve splitting smaller packages and lots on justifiable grounds.
- (5) In the cases where a single object of Procurement is split into more than one (1) package and packages are split into more than one (1) lot under Sub- Rules (1), (2) & (3), the Tenders for each of the packages or lots shall be placed for approval before the authority competent to approve the sum total of those packages or lots, prior to the issuance of Notification of Award for any one (1) of those packages or lots

Source: GOB CPTU 2008 Public Procurement Regulations

(II-4-3) Manpower

Reference: MAF

3) **Manpower** formulation of the project implementation [refer to DPP items 11, 12, Annexure II, Annexure III (c)] State the posts and consultants required for the project and their status within the Agency.

| | |
|---|--|
| a) Write/ copy the description provided in the DPP by referring to Annexures II and III (c) as the main source of information. | |
| 1) Project Management Setup | |
| 2) Consultancy Service | |
| b) Check the availability of information | |
| <input type="checkbox"/> Information is available | <input type="checkbox"/> Information is Not available (→ skip c and go to d) |
| c) Check the quality of information | |
| <input type="checkbox"/> Appropriate as indicated | <input type="checkbox"/> Needs amendment |
| d) Remarks and suggestions | |
| | |

Assessment question

Is Manpower for the project implementation described?

Consider the following points to select the option in b) and c) and provide comments in d) by reading the DPP item listed in a).

- Whether the organogram of management setup is attached.
- Whether the category of manpower procurement is clear.
- Whether the newly recruited manpower is just for project implementation.

a) Reference

- Checks the adequacy of the post and the number of posts for the project by observing the DPP item 11 and Annexure II, and the DPP item 12 and Annexure III (c).

b) The availability of the information

- Select one of the two options.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options.
 - Appropriate as indicated
 - Needs amendment

Tips:

- The manpower structure and posts will be discussed by the Manpower Fixation Committee in the Finance Division, scrutinizing the results of Situation Analysis Report.
- As a reference, the Agency is expected to attach the Situation Analysis Report of the Manpower.
- The Situation Analysis Report is composed of the manpower structure of the proposed project, and on-going or/and completed projects of a similar nature.

b) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

(II-4-4) Important Assumptions and Preconditions

Reference of MAF

4) Are important assumptions and preconditions indicated appropriately as conditions for the achievement of each Output?

✓ [Note] Important Assumptions are critical factors uncontrollable by the project, which could affect the achievement of the planned results and have implications for the project's intervention logic.

a) Write/ copy the description provided in the DPP on both the important assumptions between Outputs and Inputs, and the preconditions, including the location within the DPP/attachment, by referring to Item 10. (Logical framework) as the main source of information, and also to other Items such as Items 14. (Background), and 15. (Project Description) as additional sources of information

| |
|--|
| |
|--|

b) Check the availability of information

Information is available Information is Not available (→ skip c and go to d)

c) Check the quality of information

Appropriate as indicated Needs amendment

d) Remarks and suggestions

| |
|--|
| |
|--|

Assessment question

Are important assumptions and preconditions indicated appropriately as conditions for achieving each Output?

a) Reference

The Project Assessor completes the following sentence **“The Important Assumptions after Inputs achieved to reach Outputs indicated in the Logical Framework (item X, page Y) are “ZZZ” in the MAF. This part “ZZZ” is copied statement from IA-IP respectively illustrated in the right figure.**

| | Narrative Summary (NS) | Objectively Verifiable Indicators (OVI) | Means of Verification (MV) | Important Assumptions (IA) |
|----------------------|------------------------|---|----------------------------|----------------------------|
| Project Goal (PG) | NS-PG | OVI-PG | MV-PG | |
| Project Purpose (PP) | NS-PP | OVI-PP | MV-PP | IA-PP |
| Output (OP) | NS-OP | OVI-OP | MV-OP | IA-OP |
| Input (IP) | NS-IP | | | IA-IP (Precondition) |

b) The availability of the information

- Select one of the two options.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options.
 - Appropriate as indicated
 - Needs amendment

Tips:

- In a practical sense, if we strictly follow the Logical Framework starting point. “DPP process is cleared” will not be a precondition.

The Important Assumptions are **critical factors uncontrollable by the project that** could affect the achievement of the planned results and have implications for the project's hypothesis.

Preconditions are uncontrollable aspects that may have to consider before **starting the project.** “Starting the project” is after its approval.

b) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: Assumption should be specified as possible. So, the “Disaster does not occur” should be defined more precisely as “Rainfall over xxx mm/hour (recorded 50 years ago) will not occur during the construction of the dam spillway.”

3-5 Part III: Land Acquisition, Rehabilitation/ Resettlement

Check the conditions and status of land-related issues. The smooth acquisition of land is one of the key factors for efficient project implementation. Table 15 shows the three assessment points related to land acquisition and compensation, and/ or rehabilitation/ resettlement.

If required, some advance actions for land acquisition need to take place before approval of the project.

Table 15 Summary of Part III of MAF

| Part | Item | Question | Code |
|------|---------------------------|--|--------|
| III | Land Acquisition (Impact) | 1) Availability, Quantity, Category of Land: Is the availability, the quantity, and the category of the land clearly stated? | III-1 |
| | | 2) Basis of cost estimation: For projects requiring land acquisition, the estimated price from the office of the concerned Deputy Commissioner stated and attached to the DPP? | III -2 |
| | | 3) Does the project involve rehabilitation/ resettlement? If so, is the required compensation in line with the Real Property Acquisition and Requisition Act 2017? | III -3 |

Reference

Act, Rules and Regulations, Circulars related to Land Acquisition/ Resettlement

- Acquisition and Requisition of Immovable Property Act 2017
- Acquisition and Requisition of Immovable Property Ordinance 1982 (still applicable for acquisition cases undertaken before September 21, 2017.)
- Immovable Property Acquisition Manual 1997*
- Land Management Manual, 1991
- Land Administration Manual, 2014
- Chittagong Hill Tracts (Land Acquisition) Regulation 1958
- Chittagong Hill Tracts (Land Acquisition) Regulation (Amendment) Act, 2019

(III-1) Availability, Quantity, Category of Land

Assessment question

Is the availability, the quantity, and the category of the land clearly stated?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.4: Generally, the acquisition of land will have to be avoided for Development Projects.

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the project requires land acquisition.
- Whether the availability, quantity and the category of the land to be acquisitioned are stated.
- Whether the prevailing market price from the office of the concerned Deputy Commissioner is stated and attached with the DPP.
- Whether the photograph and/ video of the land before preparing the proposal is collected and preserved, to ascertain the previous condition /situation of the proposed land.
- Whether Land Acquisition Processing Plan/ Land Acquisition Management Plan is attached to the DPP.

a) Reference items in the DPP

- Check the following DPP items.
 - 9. Estimated Cost Summary (Economic Code 4141101: Land acquisition)
 - 10. Logical framework (INPUT)
 - 30. /31. (For foreign-funded projects): Compensation,
 - [Appendix] Letter of Deputy Commissioner related to land value, estimation of compensation etc.
 - [Appendix] Land Acquisition Processing Plan/ Land Acquisition Management Plan
- Check the following sections in the feasibility study report.
 - 4: Technical/ Technological & Engineering analysis, (a) Location

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips:

The Project Assessor assesses the quality of the information in light of articles 9 and 10 of the Real Property Acquisition and Requisition Act 2017.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

(III-2) Basis of cost estimation

Assessment question

For projects requiring land acquisition, is the prevailing market price from the office of the concerned Deputy Commissioner stated and attached to the DPP?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.8.2 Justification for preparing the cost estimates

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the prevailing market price from the office of the concerned Deputy Commissioner is stated and attached to the DPP
- Whether the compensation is estimated appropriately following the Acquisition and Requisition of Immovable Property Act, 2017.

a) Reference items in the DPP

- Check the following DPP items.
 - 30. /31. (For foreign-funded projects): Compensation,
 - [Appendix] Letter of Deputy Commissioner related to land value, estimation of compensation etc.
 - [Appendix] Land Acquisition Processing Plan/ Land Acquisition Management Plan
- Check the following sections in the feasibility study report.
 - 4: Technical/ Technological & Engineering analysis, (a) Location, (d) Cost Estimation

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips:

The Project Assessor assesses the quality of the information in light of articles 9 and 10 of the Real Property Acquisition and Requisition Act 2017.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

(III-3) Rehabilitation/ Resettlement

Assessment question

Does the project involve rehabilitation/ resettlement? If so, is the required compensation in line with the Real Property Acquisition and Requisition Act 2017?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.8.2 Justification for preparing the cost estimates

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the project involves Resettlement/ Rehabilitation
- Whether the project-affected people (PAPs) are identified
- Whether the compensation is estimated appropriately following the Acquisition and Requisition of Immovable Property Act, 2017.
- Whether Rehabilitation Plan/ Resettlement Action Plan attached to the DPP is attached

a) Reference items in the DPP

- Check the following DPP items.
 - 30. /31. (For foreign-funded projects): Compensation,
 - [Appendix] Letter of Deputy Commissioner related to land value, estimation of compensation etc.
 - [Appendix] Resettlement Action Plan
- Check the following sections in the feasibility study report.
 - 4: Technical/ Technological & Engineering analysis, (a) Location, (d) Cost Estimation
 - 5: Environmental Sustainability, Climate Resilience and Disaster Risk Analysis, 5.1 Environmental, Climate Change and Disaster Risk Analysis

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips:

The Project Assessor assesses the quality of the information in light of articles 9 and 10 of the Real Property Acquisition and Requisition Act 2017.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

3-6 Part IV: Environmental Requirements and Disaster and Climate Change Risks

Check the condition and status of the environmental and climate change risks. The ten assessment points are examined as shown in Table 16.

Table 16 Summary of Part IV of MAF

| Part | Title | Sub-part | Assessment Questions | Code |
|------|--|-------------------------------------|--|--------------------|
| IV | Environmental Requirements and Disaster & Climate Change Risks | 1. Environmental Requirements | <ol style="list-style-type: none"> 1) Which environmental category is the proposed project in? 2) Has the Project obtained an Environmental Clearance Certificate (ECC) stipulated under the Environment Conservation Act 1995? 3) If the Project is categorized as Red, is the EIA document attached? 4) If the Project is categorized as Red, is the Environmental Management Plan attached? 5) What are the major impacts of the project on the natural and social environment? And what kind of mitigation measures are incorporated into the project design? | IV-1-1 |
| | | 2 Disaster and Climate Change Risks | <ol style="list-style-type: none"> 2.1 Is the project proposed in line with the Green and Climate Resilience Development (GCRD) concept and priority actions (Sector-wise) as stipulated in the GCRD guidelines? 2.2 Disaster Impact Assessment (DIA) <ol style="list-style-type: none"> 1) In the case of the infrastructure project, was Disaster Impact Assessment (DIA) conducted, and is the report of the DIA attached to the DPP? 2) What are the expected impacts of climate change on the proposed project, and counter-measures 3) What are the expected impacts of the project to increase the existing disaster and climate change-related risks and/or contribute to creating new risks, and mitigation measures? 4) Are Contingency Plan for Emergency Disaster Management and/ or Business Continuity Plan prepared and attached to the DPP? | IV-2.1 IV-2.2-1 |

(IV-1) Environmental Requirements

Following Assessment points and Reference items are applicable to the questions under VI-1.

Consider the following points to select the option and provide comments by reading the DPP item listed in a).

- Whether the proposed project complies with relevant rules and regulations.
 - Whether the Environmental Clearance Certificate is obtained.
 - Whether the Environmental Impact Assessment (EIA) is conducted, if applicable.
 - Whether the EIA report is prepared and attached.
 - Whether the Environmental Management Plan is prepared and attached.
- Whether there are any possibilities of the project and its activities causing social and environmental negative effects/ impacts.
- Whether the mitigation measures are considered and incorporated into the project design.

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.8.2 Justification for preparing the cost estimates
- 1.1.111 Analysis of the impact of the project on the environment, climate change and other cross-cutting issues
- 1.16 Report of the technical test, etc.
- 21.3 Bangladesh Environment Conservation Act, 1995 and Environment Projection Regulations, 1997

a) Reference items in the DPP

- Check the following DPP items.
 - 25. The effect/impact, adaptation, and specific mitigation measures thereof, if any on: 25.2 environment sustainability 25.3 Disaster Management, Climate Change
 - 26. Whether environmental clearance under the ECA 1995 (Revised 2010) has been obtained? (If yes, attach the certificate. If not, mention the cause)
 - [Appendix] Environmental Impact Assessment Report
 - [Appendix] Environmental Clearance Certificate
 - [Appendix] Environmental Management Plan
- Check the following sections in the feasibility study report.
 - 1. Basic Information 6. Project Category
 - 5: Environmental Sustainability, Climate Resilience and Disaster Risk Analysis, 5.1 Environmental, Climate Change and Disaster Risk Analysis

Reference

Act, Rules and Regulations related to Environmental Conservation

- Bangladesh Environmental Conservation Act 1995
- Environment Conservation Rules 2023

(IV-1-1) Environmental Category

Assessment question

Which environmental category is the proposed project in?

Reference: MAF

1) Which environmental category is the proposed project in ?

| | | | |
|------------------------------|---|--|--------------------------------|
| <input type="checkbox"/> Red | <input type="checkbox"/> Orange B (Kha) | <input type="checkbox"/> Orange A (Ka) | <input type="checkbox"/> Green |
|------------------------------|---|--|--------------------------------|

Note: To check the Environmental Category, refer to Schedule 1 of the Environment Conservation Rules 1997.

Read the box with a dot-line in page 112, to understand the assessment points in the Green Book 2022 and reference items in DPP.

Selection of category

- Check the category of the project in the light of “Bangladesh Environment Conservation Regulation 1997”.
- Select one of the four options, and tick the box.
 - Red
 - Orange
 - Yellow
 - Green

- If the category is Red, answer V-1-2, V-1-3, V-1-4, V-1-5

- If the category is Orange (Kha), Orange (Ka), and Green, answer V-1-2, V-1-3, V-1-4, V-1-5

Tips:

Bangladesh Environment Protection Regulation 2023, Rule 7(6) (GA) and (GHA) and Schedule 1 thereof contains the list of projects/industries in each category (Green, Yellow, Orange, and Red).

(IV-1-2) Environmental Clearance Certificate (ECC)

Assessment question

Has the Project obtained an Environmental Clearance Certificate (ECC) stipulated under the Environment Conservation Act 1995?

Reference: MAF

2) Has the Project obtained an Environmental Clearance Certificate (ECC) stipulated under the Environment Conservation Act 1995? (Referred to in DPP Item 26.)

| | |
|---|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Remarks and suggestions: especially If answer is "no", are the reasons for not attaching provided? Are the provided reasons reasonable? | |
| | |

NOTE: an ECC is required for all projects according to Environment Conservation Rules 1997.

Read the box with a dot-line in page 112 to understand the assessment points in the Green Book 2022 and reference items in DPP.

Selection

- Select one of the two options, and tick the box.
 - Yes, obtained and attached to the DPP
 - No, not obtained or attached to the DPP

Tips

It is required to obtain Environmental Clearance for each and every type of industry and project as per Bangladesh Environment Conservation Act 1995 (Amended 2010) (Article 12).

Remarks and suggestions

- Provide comments where there is insufficient justification for not obtaining ECC.

** In some cases, site clearance certificate can serve for the same purpose. See Environmental Conservation Rules 2023

6. Obligation to Obtain Site Clearance and Environmental Clearance-

- (1) Before setting up new industries of yellow, orange and red categories and taking up the project, first of all, site clearance and later period environmental clearance will have to be obtained. In the case of green category, direct environmental clearance has to be taken. Also, for the industries in public or private export processing zone, economic zones or in BSCIC, environmental clearance will have to be obtained from the department.
- (2) No land development or any kind of infrastructure of any industrial establishment or project (other than green category) can be constructed without obtaining a site clearance from the Department.
- (3) Gas, electricity, water, and other necessary services cannot be taken up or received without obtaining a site clearance, and without obtaining environmental clearance, it cannot start projects in experimental production and other areas in the case of industrial establishments:
- (4) Experimental production or projects shall not be started in green, yellow, orange and red new industrial establishments without obtaining environmental clearance.

Source : Article 6, Environmental Conservation Rule 2023

(IV-1-3) Environmental Impact Assessment (EIA)

Assessment question

If the Project is categorized as Red, is the EIA document attached?

Reference: MAF

2) Has the Project obtained an Environmental Clearance Certificate (ECC) stipulated under the Environment Conservation Act 1995? (Referred to in DPP Item 26.)

Yes

No

Remarks and suggestions: especially if answer is "no", are the reasons for not attaching provided? Are the provided reasons reasonable?

NOTE: an ECC is required for all projects according to Environment Conservation Rules 1997.

Read the box with a dot-line in page 112, to understand the assessment points in the Green Book 2022 and reference items in DPP.

Selection

- Confirm the environmental category of the proposed project is "red".
- Select one of the two options, and tick the box.
 - Yes, obtained and attached to the DPP
 - No, not obtained or attached to the DPP

Remarks and Suggestions

- Provide comments where there is insufficient justification for not conducting EIA.

Tips:

See the Box 10
Typical contents
of the EIA report

(V-1-4) Environmental Management Plan (EMP)

Assessment question

If the Project is categorized as Red, is the Environmental Management Plan attached?

Reference: MAF

4) If the Project is categorized as Red, is the Environmental Management Plan attached? [Referred to in the DPP Item 25.2]

Yes

No

Remarks and suggestions: especially if answer is "no", are the reasons for not attaching provided? Are the provided reasons reasonable?

Read the box with a dot-line in page 112, to understand the assessment points in the Green Book 2022 and reference items in DPP.

Selection

- Confirm the environmental category of the proposed project is "Red"*.
- Select one of the four options, and tick the box.
 - Yes, conducted and attached to the DPP
 - No, not conducted or attached to the DPP

Remarks and Suggestions

- Provide comments where there is insufficient justification for not preparing an EMP.

(IV-1-5) Environmental and social impact and Mitigation measures

Assessment question

What are the major impacts of the project to the natural and social environment? And what kind of mitigation measures are incorporated into the project design?

Reference: MAF

5). What are the major impacts of the project to the natural and social environment? And what kind of mitigation measures are incorporated into the project design? (Referred to in the DPP Item 25.2 & 26., ECC, EIA document and Environmental Management Plan)

| Major Impacts* | Mitigation measures |
|--------------------------------|---------------------|
| | |
| | |
| Remarks and suggestions | |
| | |

*Examples of the impact of the project: land, water, air, bio-diversity, and ecosystem services

Read the box with a dot-line in page 112, to understand the assessment points in the Green Book 2022 and reference items in DPP.

a) Major Impacts and b) Mitigation measure

- Write the impact of the proposed project on the natural and social environment.
- Write the corresponding mitigation measure for the impact explained above.

c) Remarks and Suggestions

- Provide comments if the major impacts of the proposed project on the natural and social environment and mitigation measures to the corresponding impacts are missing.

Tips:

The impact identified that may be affected by a typical project are as below:

- Air quality
- Water quality
- Volume of water in stream
- Level of piezometric surface of groundwater

- Noise
- Land use
- Soils (type, quality and quantity) and terrain
- Vegetation
- Wildlife
- Hydrology
- Hydro-geology
- Aquatic resources
- Traditional ecological knowledge and land use

- Conservation and reclamation
- Human health
- Socioeconomic
- Paleontological resources.

[Source] GOB/GED 2014 DPP Manual

Box 10 illustrates the contents of EIA report and Environmental Management Plan, mentioned in environmental Conservation Rules 2023.

Box 10 Generic contents of EIA report and Environmental Management Plan

Environmental Impact Assessment (EIA) Report

| Serial No. | Subject | Description |
|------------|---------------------------------|---|
| (1) | (2) | (3) |
| 1. | Executive Summary | <p>The information and recommendations of the study will be written in non-technical language in the Executive Summary. The following information will be included in it:</p> <ul style="list-style-type: none"> • Project description: Brief description of the proposed project. • Study findings: Terms of Reference (TOR) or the environmental impacts assessed in the light of the main environmental issues identified through the study, the mitigation measures and the summary of plan for monitoring. |
| 2. | General Information | <p>In General Information the following information will have to be included:</p> <ul style="list-style-type: none"> • The name of the project and the sponsoring agency/entity and address of communication; the name, designation, phone number and e-mail number of the person responsible for the project and the name, designation, phone number and e-mail number of the person responsible for enquiring about any issue relating to assessment of environmental impact. • Environmental Consultant: Name of the Consulting Firm/Institution, communication address and e-mail number, the list and name of each member of the study team, scope of the study and signature |
| 3. | Project Description and options | <p>The following issues will have to be included in the Project Description:</p> <ul style="list-style-type: none"> • The necessity of the Project: Its justification, purpose and benefits; • Project description: The project description will have to include project activities, location, lay out, the phases of the project along with the implementation schedule and possible expansion of the project. The following issues will have to be included in the project description: • Amount of land: Amount of the required land, ownership of the land, land acquisition etc. • Location of the project and surrounding area: Location of the project (with location map), layout plan which will include utilities, machinery, storage yard, infrastructure, transportation route and other structures will have to be shown. • Project description: Site layout, detailed description of the production process including flow diagram, production |

| | | |
|----|---|---|
| | | <p>capacity, name and quantity of the products/commodities to be produced and description of the utilities.</p> <ul style="list-style-type: none"> • Project activities and implementation schedule: Land development, construction of infrastructure and list of major activities to be undertaken during operation; phases of implementation /development and implementation schedule. • Resources and demand for utility services: demand for oil, gas, electricity and coal etc.; list of raw materials, quantity and source; demand for water and source, infrastructure to be built for handling and storage of raw materials and produced commodities; opportunity for employment during implementation and operation of the project. • Pollution potential. • Options of the Project: Brief description of the options, selection of acceptable options and justification for rejection of other options. |
| 4. | Existing Environmental Condition of the Project area. | <p>For assessment of environmental impact in the study area information and statistics on the following issues will have to be provided:</p> <ul style="list-style-type: none"> • Physical environment: Topography, geology, geomorphology, soil, drainage, hydrology and water resources, weather and climate qualitative standard of air and water, degree/level of sound, sources of prevailing pollution etc. • Biological environment: neighborhood conditions (plants and vegetables, fauna land habitation, water habitation) water land, endemic/threatened/endangered species, nearly protected, sensitive or endangered habitat. • Land use: Ecologically important area for the use and protection of the existing and proposed land. • Social environment: Population distribution, economic activities, physical infrastructure and services, socio-cultural amenities, public health. • Map, graph and photo: The following information, map, picture/photo and other visual information will have to be attached with the description of project area. • Up to date photo/picture of the environment of the project and surrounding area. • Location of the project (with longitude and latitude), geographical boundary of the project and study area; macro-scale map (1: 50,000 and 1: 25,000) indicating the proposed location of the project area, plan, photo or satellite image, clear, readable color land use map. Updated satellite image can be used for understanding the present prevailing environmental condition. An area of the radius of minimum 5 km will have to be included in the land use map. • For explaining the prevailing condition of environment, any other map like topography map, hydrological map etc. may be attached according to the nature of the project. |

| | | |
|----|----------------------------------|--|
| 5 | Impact Prediction and Evaluation | <p>Impact Assessment will have to be conducted on the issues /subjects identified in the TOR for assessing environmental impact as well as the additional environmental issues identified in the Environmental Impact Assessment Study. Impact Assessment will have to be conducted mainly in the following three steps/stages:</p> <ul style="list-style-type: none"> • Impact Identification: Specific and detail impact will have to be identified for all the steps of the project. All-important impacts will have to be considered. At the same time all possible important indirect and cumulative impacts will also have to be identified. • Impact Prediction: Nature, magnitude, extent and duration of the important impacts will have to be preconceived. There are more one than one qualitative and quantitative assumptive tools for impact assessment. In this case appropriate tool or model has to be selected for the project and the area under study. • Impact Evacuation: The environmental impact caused by the activities of the project has to be assessed based on the following criteria: <ul style="list-style-type: none"> - Magnitude of impact - Extent of effect - Duration of the impact - Reversibility of condition/impacted area - Cumulative impact <p>The decisions taken on the basis of the above criterion will be as follows:</p> <ul style="list-style-type: none"> - No impact - Significant impact - Insignificant impact - Unknown impact - Mitigable impact |
| 6. | Mitigation Measures | <p>For mitigating the environmental impact, practical, cheap and effective mitigation measures will have to recommended. All possible options will have to be evaluated and recommendation for the best solution will have to be provided, the cost of which will be affordable by the sponsors and will be reasonably acceptable for mitigating the negative impact of the project. The effectiveness of mitigation means will have to be measurable so that these can be validated through monitoring and auditing.</p> <p>Description of all /each mitigation measure will have to be provided. It needs to mentioned when and where these will be included in the detail project design. If possible estimated cost of all proposed mitigation measures will have to be provided.</p> |
| 7. | Monitoring Programme | <p>Description of the following issues will have to be provided in the Monitoring Programme:</p> <ul style="list-style-type: none"> • Monitoring of the implementation of mitigation measures: |

| | | |
|--|--|--|
| | | <ul style="list-style-type: none"> • A system /procedure will have to be set up for ensuring proper implementation of all the proposed mitigation measures. For this purpose, the following information will have to be provided: • A methodology to test /examine whether all the recommended implementation measures have been implemented properly; • Location of arrangements for mitigation measures and map indicating the site and photo of monitoring; • Number of site inspection during project period and schedule; • Submission of Report and Review of result/procedure for auditing and schedule • Monitoring of the environmental impact of the project: Under the monitoring programme the negative environmental changes will have to be observed and for this purpose the detail descriptions of the following issues will have to be included in the monitoring programme: • For major environmental issues, the environmental standards of the indicators and monitoring the process of their application, location and schedule and responsibility of the sponsor (necessary manpower for implementation of monitoring programme, budget and requirement of consultancy services) reporting of monitoring. |
|--|--|--|

Environmental Management Plan

| Serial No. | Subject | Description |
|------------|---|---|
| 1 | 2 | 3 |
| 1 | Introduction | <ul style="list-style-type: none"> • Purpose of the Report |
| 2 | Project Description | <ul style="list-style-type: none"> • Location, area and purpose of the project • Project layout and design • Project Implementation Plan Schedule • Other necessary information of the project |
| 3 | Environmental Policy | <ul style="list-style-type: none"> • Policy of the Company regarding environmental management and environmental preservation. |
| 4 | Environmental Compliance Requirements | <ul style="list-style-type: none"> • Legal standard for compliance • Environmental conditions stipulated by the Department of Environment or any other Agency • Purpose and the indicators which will be filled • Policies which cannot be changed • Best practices which will be applied |
| 5 | Environmental Impacts and Mitigation Measures | <ul style="list-style-type: none"> • Detailed list of project activities and important environmental impact; • Adoptable pollution control measures; • Natural resources, ecological condition, site, characteristic of the area or adoptable activities for preservation of the species; • Arrangements for addressing the social and public issues (Cultural Religious) |

| | | |
|---|---|---|
| 6 | Environmental Surveillance, Monitoring and Auditing | <ul style="list-style-type: none"> • Outline of the adoptable surveillance and monitoring programme for ensuring proper implementation of the proposed mitigation measures; • Outline of the procedures and methods to be adopted for monitoring of environmental conditions; • Time line intervention for surveillance and monitoring; • Proposed Audit programme to check the conditions of compliance of the Environmental Clearance Certificate; • Collection of data preparation for submission of Report to the Department of Environment. |
| 7 | Contingency Planning | <ul style="list-style-type: none"> • Unusual and emergency situation (like: plan for facing /meeting break down of production process, emission of dangerous materials, breakdown of controlling equipment/machinery) • The following issues have to be included in the Contingency Planning: <ol style="list-style-type: none"> 1) Procedures and m measures to be adopted for Contingency Planning 2) Safety measures for working staff common people 3) Agencies which will have to be consulted during emergency situation and to be informed later 4) Raising awareness regarding safety and educational activities |
| 8 | Organizational Structure | <ul style="list-style-type: none"> • Organizational Structure for staff of implementation of EMP and supervision of related works • Responsibilities and Work Procedure the staff involved in the implementation EMP • Reporting hierarchy for both internal external agencies • Need for receiving services from external agencies or persons (e.g., Lab for environmental research and contractor for discharge of sludge) • Training Programme |
| 9 | Budget and Implementation Programme | <ul style="list-style-type: none"> • EMP Implementation Plan • Budget allocation for the following area /category: <ol style="list-style-type: none"> 1) Implementation mitigation measures 2) Surveillance, monitoring and auditing 3) Training and Emergency Response. |

Source: Schedule 11 of Environmental Conservation Rules 2023

(IV-2) Disaster and Climate Change Risks

Following Assessment points and Reference items are applicable for the questions under IV-2.

Consider the following points to select the option and provide comments by reading the DPP item listed in a).

- Whether the proposed project is aligned with the concept of "concept of "Green and Climate Resilient Development (GCRD)".
- Whether the proposed project is the priority project considering the priority actions stipulated in GRCD guidelines.
- Whether the proposed project complies with relevant rules and regulations.
 - Whether the DIA report is prepared and attached.
 - Whether the Contingency Plan for Emergency Disaster Management and/ or Business Continuity Plan is prepared and attached.
- Whether there are impacts of disaster and climate change on the proposed project.
 - Whether counter-measures are considered and incorporated into the project design.
- Whether there are impacts of the proposed project on climate change adaptation and mitigation.
 - Whether counter-measures are considered and incorporated into the project design
- Whether the proposed facilities are climate and disaster resilient.

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.8.2 Justification for preparing the cost estimates
- 1.1.11 Analysis of the impact of the project on the environment, climate change and other cross-cutting issues
- 1.16 Report of the technical test, etc.
- 21.3 Bangladesh Environment Conservation Act, 1995 and Environment Protection Regulations, 1997

Green Book was amended and included the following two paragraphs related to GCRD by circular (No-20.00.0000.404.14.061.2020(part-2)/63)

- 1.11.11(a) For identification, formulation, and processing of Investment Projects, the issue of GCRD, a sub-paragraph (25.3(a) will have to be added to paragraph 25.3 of the Development Project Proposal (DPP). In this case, sector-wise statements and analysis in line with the concept of GCRD will have to be included in the DPP.
- 21.3(a) In the case of identification, formulation, and processing of Development Projects the issue of GCRD will have to be included as sub-paragraph 25.3(a) of paragraph 25.3 of DPP in line with the stipulation in sub-paragraph 1.1.11(a).

a) Reference items in the DPP

- Check the following DPP items.
 - 25. The effect/impact, adaptation, and specific mitigation measures thereof, if any on: 25.2 environment sustainability 25.3 Disaster Management, Climate Change
 - 26. Whether environmental clearance under the ECA 1995 (Revised 2010) has been obtained? (If yes, attach the Certificate. If not, mention the cause)
 - [Appendix] Disaster Impact Assessment Report
 - [Appendix] Contingency Plan for Emergency Disaster Management and/ or Business Continuity Plan
- Check the following sections in the feasibility study report.
 - 1. Basic Information 6. Project Category
 - 5: Environmental Sustainability, Climate Resilience and Disaster Risk Analysis, 5.1 Environmental, Climate Change and Disaster Risk Analysis

(IV-2.1) Green and Climate Resilient Development (GCRD) Priority

Assessment question

Is the project proposed in line with the Green and Climate Resilience Development (GCRD) concept and priority actions (Sector-wise) as stipulated in the GRCD guidelines?

Reference: MAF

2.1 Green and Climate Resilience Development (GCRD) Priority

Is the project proposed in line with the Green and Climate Resilience Development (GCRD) concept and priority actions (Sector-wise) as stipulated in the GRCD guidelines?

| | |
|---|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Remarks and suggestions: especially if answer is "no", are there reasons for proposing the project, when the project is not proposed in line with Green and Climate Resilience Development (GCRD) Priority Actions stipulated in the GCRD guidelines. | |
| | |

Read the box with a dot-line in page 123, to understand the assessment points in the Green Book 2022 and reference items in the DPP.

Selection

- Check whether the proposed project is consistent with the GCRD priority match by referring to 25.3 Disaster Management, Climate Change and GCRD guidelines.
- Select one of the two options, and tick the box.
 - Yes, the proposed project aligns with the GCRD concept and priority actions.
 - No, the proposed project does not align with the GCRD concept and priority actions.

Tips

- GCRD guidelines obtain the list of priority actions by the ADP sector.

Remarks and Suggestions

- Provide comments where there is insufficient justification for the project not being proposed in line with Green and Climate Resilience Development (GCRD) Priority Actions.

(IV-2.2) Disaster Impact Assessment (DIA)

(IV-2.2-1) DIA report

Assessment question

In the case of the infrastructure project, was Disaster Impact Assessment (DIA) conducted, and is the report of the DIA attached to the DPP?

| |
|---|
| Reference: MAF |
| 1) In the case of infrastructure project, was Disaster Impact Assessment (DIA) conducted and is the report of DIA attached to the DPP? |
| Paragraphs/ Examination aspects stipulated in the Green Book: |
| - 1.16 In the case of infrastructure projects, reports of technical tests (soil test, DIA and others), speed of cyclone, maximum level of flood and justification about the selection of site will have to be attached with the DPP/RDPP. |
| <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Remarks and suggestions: especially If answer is "no", are the reasons for not attaching provided? Are the provided reasons reasonable? |
| |

Read the box with a dot-line in in page 123, to understand the assessment points in the Green Book 2022, and reference items in the DPP.

In addition, the following sub-paragraph of the Green Book 2022 is relevant to the above question.

- 1.16 In the case of infrastructure projects, reports of technical tests (soil test, DIA and others), speed of cyclone, maximum level of flood and justification about the selection of site will have to be attached with the DPP/RDPP.

Selection

- Check whether Disaster Impact Assessment (DIA) is conducted, and whether the report is prepared and attached to the DPP by referring to the attachment of the DPP.
- Select one of the four options, and tick the box.
 - Yes, the study was conducted, and the DIA report was prepared and attached
 - No, the study was not conducted, or the DIA report was not prepared and attached

Tips

- Not like Environmental Category, explained on page xxx, there are no criteria for categorization for Disaster Impact Assessment (DIA). In other words, basically all type of infrastructure project is subject to the DIA.
- Use the Disaster and Climate Risk Information Platform (DRIP) to conduct the DIA (See Box 11).

Remarks and Suggestions

- Provide comments where there is insufficient justification for not conducting DIA.

Box 11 explains about Disaster and Climate Risk Information Platform (DRIP).

Box 11 Disaster and Climate Risk Information Platform (DRIP)

The Disaster and Climate Risk Information Platform (DRIP), a specialized software application, aims to strengthen the institutional capacity of the Government of Bangladesh for assessing, understanding, and communicating disaster and climate-related risks, and to integrate disaster risk information into development planning & budgeting, policies, and programs. The specific objectives of the project are listed below.

- Integrate disaster and climate risk information into development projects, plans, programs, and policies to ensure risk-informed public investment
- Facilitate access to risk information from a common platform
- Assist the Planning Officials in different ministries with available risk information in different sectors

For further information, visit <http://drip.plancomm.gov.bd/> (as of 19 May 2023)

(IV-2.2-2) Impacts of climate change on the proposed project, and mitigation measures

Assessment question

What are the major impacts of the project to the natural and social environment? And what kind of mitigation measures are incorporated into the project design?

Reference: MAF

2) What are the expected impacts of climate change to the proposed project, and mitigation measures (Referred to in the DPP Item 25.3, DIA reports)

| Major Impacts | Counter- measures |
|-------------------------|-------------------|
| | |
| | |
| Remarks and suggestions | |
| | |

Read the box with a dot-line in in page 123, to understand the assessment points in the Green Book 2022, and reference items in the DPP.

a) Major Impacts and b) Mitigation measure

- Write the impact of climate change on the proposed project.
- Write the corresponding counter-measure for the impact explained above.
- The reference below shows example of impacts of the climate change on the project/ infrastructures and counter-measures.

c) Remarks and Suggestions

- Provide comments if the major impacts of climate change on the proposed project and counter-measures to the corresponding impacts are missing.

Reference: Example of Impacts of the Climate Change on the Project and Counter-measures

- Cyclone shelters will be exposed to wind hazards, storm surges and salinity.
- Embankments may be breached or overtopped by storm surges leading to water logging.
- The increase of salinity and water logging has a negative impact on women's reproductive health and hygiene practices.
- Roads through a floodplain may be submerged by flood, disrupting communication.
- Damage to infrastructure, specifically to road communication, can cut off the supply of goods and services that make a negative impact on the economic life of people.
- Bridges may be subject to river erosion.
- Earthquakes may damage buildings and then creating fire hazards.
- Collapsed or damaged infrastructure might cause injury and bring challenges for women, adolescent girls, persons with disability and aged people for equal access and safety.

| Project | Risk reduction | Measures | |
|-----------------|----------------|---------------------|---|
| Cyclone shelter | Hazard | Wind | Max wind speed considered as per BNBC |
| | | Storm surge | The plinth level is above the historically highest surge level. |
| | Vulnerability | Salinity | Thicker covering; modular construction |
| | | River erosion | Sufficient setback distance has been maintained. |
| | | Access to shelter | Roads and culverts have been provided. |
| | | Safety at shelter | Separate areas for men and women with separate WASH facilities; Emergency lighting facilities in place. |
| | | Services afterwards | A plan for resuming normal operation is in place |

Source: GOB (forthcoming) DIA Framework

(IV-2.2-3) Impacts of project on climate change

Assessment question

What are the expected impacts of the project to increase the existing disaster and climate change related risks and/or contribute to creating new risks, and mitigation measures?

Reference: MAF

3) What are the expected impacts of the project to increase the existing disaster and climate change related risks and/or contribute to create new risks, and mitigation measures? (Referred to in the DPP Item 25.3, DIA report)

| Major Impacts | Counter- measures |
|-------------------------|-------------------|
| | |
| | |
| Remarks and Suggestions | |
| | |

Read the box with a dot-line in page 123, to understand the assessment points in the Green Book 22, and reference items in the DPP.

a) Major Impacts and b) Mitigation measure

- Write the impact of the proposed project on climate change
- Write the corresponding counter-measure for the impact explained above.
- The reference below shows example of impacts of the project on the climate change.

c) Remarks and Suggestions

- Provide comments if the major impacts of the proposed project on climate change and counter-measures to the corresponding impacts are missing.

Reference: Example of Impact of the Project on the Climate Change

- Embankments can raise flood level in the unprotected area
- Roads may lead to water congestion

Source: GOB (forthcoming) DIA Framework

(IV-2.2-4) Emergency Disaster Management Plan/ Business Continuity Plan

Assessment question

Are Contingency Plan for Emergency Disaster Management and/ or Business Continuity Plan prepared and attached to the DPP?

Reference: MAF

4) Are Contingency Plan for Emergency Disaster Management and/ or Business Continuity Plan prepared and attached to the DPP?

| | |
|---|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Remarks and suggestions: especially if answer is "no", are the reasons for not attaching provided? Are the provided reasons reasonable? | |
| | |

Read the box with a dot-line in in page 123, to understand the assessment points in the Green Book 22, and reference items in the DPP.

a) Major Impacts and b) Mitigation measure

- Check whether Emergency Disaster Management Plan/ Business Continuity Plan are prepared and attached. The reference below describes those plans.
- Select one of the two options, and tick the box.
 - Yes, Plan was prepared and attached
 - No, Plan was not prepared and attached

c) Remarks and Suggestions

- Provide comments where there is insufficient justification for not preparing Emergency Disaster Management Plan/ Business Continuity Plan.

Reference: Emergency Disaster Management Plan/Service Continuity Plan

Resilience can be assessed by the following indicators.

- Whether the project has the Emergency Disaster Management Plan – all projects are subject to failure and therefore need an emergency/contingency plan. For example, suppose a building collapses during an earthquake. In that case, there needs to be an evacuation plan and arrangement for automatic shutdown of utilities such as electricity, gas etc., to prevent fire.
- Service Continuity Plan – Important installations, such as hospitals, schools, power plants, etc., need a service continuity plan for the immediate aftermath of a disaster. For example, a school need to resume schooling as soon as possible after a flood when a large number of people took shelter in that school building; community health services, including the provision of reproductive health services to women, need to continue even after a hospital is lost to river erosion; mobile network needs to resume operation quickly after a cyclone even if there is loss of few transmission towers.
- Time of recovery – If a project fails, it may require considerable time for rehabilitation if this issue is not considered during project planning and design. For example, many polders damaged after cyclones Aila and Sidr in the later part of the 2000s still await full rehabilitation, prolonging the inhabitants' sufferings, especially as seen during the recent cyclone Amphan.

Source: GOB (forthcoming) DIA Framework

3-7 Part V: Sector-Specific Analysis/Sector-Specific Requirements

Reference: MAF

Is the proposed project designed and planned according to the specific requirements/ standards of the infrastructure type/ project type?

| | |
|---|--|
| Paragraphs/ Examination aspects stipulated in the Green Book: | |
| - See in detail in the box below. | |
| - Note: In addition to specific requirements or standards mentioned in the Green Book 2022, other specific requirement or standards may be stipulated based on other relevant laws and regulations. | |

| | |
|--|--|
| a) Refer to the following items of the DPP and relevant attachments | |
| - 23. Technical Specification/ Design of Major Items | - [If applicable] Feasibility Study, Section 4: Technical/Technological & Engineering analysis, (b) technical design |

| a) Write specific requirements/ standards for the proposed project | b) Check if the proposed project is designed and planned according requirements and standards listed in a). | c) Remarks and suggestions |
|--|---|----------------------------|
| | | |
| | | |
| | | |
| | | |
| | | |

This section examines the proposed project from the specific standards required for the concerned sector. It is recommendable that the Office obtains the list of standards in the relevant sector(s)

Assessment question

Is the proposed project designed and planned according to the specific requirements/ standards of the infrastructure type/ project type?

Assessment Points of the Green Book

Answering the above question means addressing the paragraphs of Green Book 2022 listed on the next page.

In addition to specific requirements or standards mentioned in the Green Book 2022, other particular requirements or standards may be stipulated based on other relevant laws and regulations.

Consider the following points to describe the requirements in b) and c) and provide comments in d).

- What the sector-specific requirements are.
- Whether the project is formulated in alignment with sector-specific requirements.

a) Reference items in the DPP

- Check the following DPP items.
 - 23. Technical Specification/ Design of Major Items
 - [Appendix] Technical report, test results, or certificate
- Check the following sections in the feasibility study report.
 - Section 4: Technical/Technological & Engineering analysis, (b) technical design

b) Specific requirements/ standards

- Write specific requirements/ standards for the proposed project

It is recommended that Sponsoring Ministry/Division obtain the list of sector-specific requirements/ standards of typical projects of the relevant sector.

c) Project Design

- Check whether the proposed project is designed and planned according to the requirements and standards listed in b).

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Box 12 illustrates the Specific requirements mentioned in Green Book 2022

Box 12 Specific requirements mentioned in Green Book 2022

- 1.1.15 The proposed projects for construction of **highways** under the Roads and Highways Division should include provision for construction of service roads on both sides of the highway to facilitate the movement of slow-moving vehicles and pedestrians. The national highways will have to be constructed, taking into consideration the highest level (height) of floods in the last one hundred years. There should not be any slope/ditch or low land by the side of the highway. In addition, under-pass/over-pass or U-loop will have to be constructed in phases on the four-lane highways and in the busiest location /area and the inter-sections during expansion of the highways.
- 1.1.16 Provision for installing Weighing Machines for controlling the excel load of the vehicles have to be kept for ensuring the sustainability of the existing /to be constructed bridges, Express Way and Tunnel on the **Highways**. In addition, special control measures have to be in place to ensure that heavy vehicles are not allowed to run on the village roads/bridges.
- 1.2 **DPP for Road Transport Sector projects** will have to be prepared and processed based on the information given in the Project Appraisal Framework (PAF). Project Appraisal Report (PAR) and Appraisal Summary Table (AST) shall have to be prepared following the PAF and attached with the DPP. In addition, the classification and standard design of roads will have to be taken into consideration.
- 1.3 For project proposals for construction of **bridges longer than 100 meters in length**, and for projects for **river bank protection** and construction of **embankment on the river**, recommendations of hydrological and morphological study reports and navigational and bathymetric study shall have to be attached with the DPP. The Study should consider the characteristics of the river, flow of water, movement of boats, movement of the chars, aerial view of the hidden/underwater chars and also include information about changes of the course and bank of the rivers. In addition, taking into consideration the recommendations of the study necessary dredging and construction of embankment works have to be included in the DPP as per procedure stated below:
 - 1.3.1 Capital Dredging works need to be considered for inclusion in the **River Bank Protection projects**. For ensuring navigability of the rivers, arrangements have to be made for yearly Maintenance Dredging after Capital Dredging. Arrangements for the use of the dredged materials (mud, silt and sand) will have to be made as per relevant existing law in consultation with the local administration. However, priority will be given to works like elevating rail line and high way, earth filling on the roadside and other works (housing, economic zone). Cultivable and croplands cannot be used for these purposes. The recommendation of the Expert Committee/ Technical Committee for special cases (if any) will have to be mentioned in the DPP with proof/evidence;
 - 1.3.2 Where **embankments** will be constructed in coastal or other areas, the issue of climate change has to be considered for making the embankment sustainable and green belt has to be created /afforestation has to be done on both sides of the embankment;
 - 1.3.3 With a view to protecting the environment and ecology, consideration should be given to the construction of **submerged road/elevated road** where necessary in the Hoar and low-lying areas. For ensuring the normal flow of water, the tendency for construction of regulator and sluice gates should be avoided as far as possible for the projects for water management and construction of embankment and the opinion of the Department of Haor and Waterland Development will also have to be obtained;
 - 1.3.4 Before construction of any infrastructure in the countryside of the **embankment** by any organization, the opinion of the appropriate authority will have to be obtained.
 - 1.3.5 The **design of the bridge** should be prepared, taking into consideration the navigability and ensuring uninterrupted water flow of the river. There should be plan for construction of a minimum possible number of bridges on the river. The design of the bridge should be prepared in such a way that movement of boats are not obstructed, and the bridge is not damaged at the time of re-excavation/dredging of the river at a later stage;
 - 1.3.6 In this case, a Navigational Clearance Certificate from the concerned authority (BIWTA and Others) will have to be obtained and attached with the DPP.
 - 1.3.7 In accordance with the Bangladesh Water Act 2013 and Bangladesh Water Regulation 2018,

Certificate / No Objection has to be obtained from the Water Resources Planning Organization (WARPO) for specific type of projects and attached with the DPP.

- 1.3.8 Considering the involvement of the project where applicable Certificate / No Objection will have to be obtained from the appropriate Authority as per the prevailing **Rail Act**. In addition, necessary Certificate/ No Objection will have to be obtained from other concerned Authorities in the light of relevant Acts, Regulations and Policies.
- 1.6 In the case of **construction of Government Office buildings and residential buildings**, provision of sufficient open space and water body has to be kept and preserved in consideration of future need and the environment. Consideration should be given to construction of buildings with provision for vertical expansion instead of constructing more than one building horizontally. The instruction for accommodating all the offices in one building at the field level instead of constructing separate buildings for different offices will have to be followed. Provision should be made for using the same infrastructure e.g., Hall Room, Auditorium, Training Centre etc. by the various agencies for multipurpose use.
- 1.16 **In the case of infrastructure projects**, reports of technical tests (soil test, DIA and others), speed of cyclone, maximum height of flood and justification about the selection of site will have to be attached with the PDD/RDDP
- 21.19 The issue of **waste management for the projects** relating to development of the Upazila, district and towns will have to be included with special importance. The proposed activities for waste management will have to be included in the DPP with specific and firm allocations. The waste /sewage of the city/town cannot be drained into any river or canal.
- 21.20 There should be provision/arrangement for Central Effluent Treatment Plant (CETP) in **all the Industrial Areas**. Appropriate actions must be taken to ensure the use of the CETP compulsorily by paying fees as per scheduled rate.
- 21.21 Provision for Ramp and disabled-friendly toilets will have to be made **in all structures (in applicable cases)**.
- 21.22 A Master Plan will have to be prepared first for the development of the **Public Universities**, projects will be taken, and development works will be implemented accordingly. Student Hostels for the Universities/Colleges will have to be constructed with the provision of equal ratio of seats for boys and girls.
- 21.23 As land is scarce in the city of Dhaka and other big cities, the Government Agencies/ planning to construct office building in their own land will also consider accommodating space for offices of other Agencies/Organizations. Where applicable facilities and arrangements for commercial use should also be kept.
- 21.24 With the aim /objective of bringing /locating all **the Government offices** at Upazila, District, Division and at central level, provisions for under-ground parking, parking on the basement, 1st floor/2nd floor, waiting space, conference center, more than one meeting rooms, cafeteria, prayer room and daycare center etc. will have to be kept. In addition, a model design for a multi-storied building will have to be prepared with provision of facilities of separate and spacious wash-room/toilet for ladies and gents and mothers' corner on each floor. The Exterior Design of the Building will be the same for all locations.
- 21.25 If there is provision for **Auditorium/ large Hall Room** in the design of the project, it will have to be constructed on the ground floor/first floor or on the adjacent vacant space of the building. This can never be located on the upper floors of the building.
- 21.31 The issue of preservation of natural water body /pond/lake will have to be considered at the time of preparation of design of the projects for **construction of office, residential and commercial buildings**, and if necessary, provision for water body/ pond/ lake has to be kept. In addition, arrangements have to be made for using and preserving the rain water through separate drain from the roof of the buildings to the water body, pond and lake. It has to be very carefully seen/observed that the sewerage line does not have any connection/ or does not mix up with the rainwater drain. In addition, the buildings will have to have provision for setting up solar panels.

Source: Green Book 2022

3-8 Part VI: Cost-Benefit Analysis

Part VI is to assess the financial and economic value of the project. The financial and economic value is estimated using standard tools and techniques, namely, Cost-Benefit Analysis (CBA) in the form of Net Present Value (NPV), Benefit-Cost Ratio (BCR), and Internal Rate of Return (IRR). Part VI has three sub-parts, as shown in Table 178.

Table 178 Summary of Part VI of MAF

| Part | Title | Sub-part | Assessment Questions | Code |
|------|--------------|--|--|------|
| VI | Cost Benefit | 1. Financial Analysis | Is Financial Analysis conducted adequately? | VI-1 |
| | Analysis | 2. Economic Analysis | Is Economic Analysis conducted adequately? | VI-2 |
| | | 3. Estimation of Economic and Financial values | Is the proposed project worth public investment? | VI-3 |

Reference: MAF

Financial and Economic Parameters (DPP item 18.0)

| | Discount Rate | NPV | BCR | IRR |
|-----------|---------------|-----|-----|-----|
| Financial | | | | |
| Economic | | | | |

In this part, copy and paste the information in DPP Items 18.

Box 13 provides the outline of Financial and Economic Analysis. See Handbook for CBA for detailed information.

Box 13 Outline of Financial and Economic Analysis

- **The Economic Analysis (EA)** aims to provide the justification for “taking the project in the context of the overall economic situation in the country” (para 1.1.5 (d) Green Book 2022). The discount rate prescribed by the GOB is called the social discount rate (SDR). If the EIRR>SDR, then a project is considered to contribute sufficiently to welfare in the country to justify its inclusion in the ADP. This aligns with the fiscal policy principle of economic efficiency. The EA tries to monetize all significant positive and negative impacts of a project on the welfare in society. The calculation process involves; (i) categorizing the inputs and outputs in traded goods, non-traded goods, production factors and externalities; (ii) using data on conversion factors and Willingness to Pay values; and (iii) calculating the EIRR, ENPV, and EBCR.
- **The Financial Analysis (FA)** provides information on financing needs, profitability and financial sustainability of a project. The FA can calculate full cost recovery levels for setting user prices for the products and services generated by the project. The key profitability indicator is the financial rate or return on total investment (FIRRI) and equity capital (FIRRC); the FNPV and the FBCR provide additional information at a glance.
- **The Indicators EIRR, ENPV and EBCR** are expressed in constant prices. The calculations are done by applying the discounted cash flow technique (DCF) to the net cash flow of non-financial operations. The Government sets one discount rate for Financial Analysis (all sectors) and one separate discount rate for Economic Analysis. Note that the discount rate for analysis in constant prices should differ from the discount rate in nominal prices by a percentage approximately equal to the inflation rate.

The value of the project is judged by balancing the two factors: Economic Relevance and Financial Sustainability. The two factors will be shown in three forms, namely, 1) NPV, 2) BCR, and 3) IRR.

- **The Net Present Value (NPV)** shows the present (when the project is being formulated) value of the stream of costs and benefits over the economic lifetime of a project. The NPV is calculated using discounting techniques and a given discount factor. While in the EA, this is the social discount rate (SDR), in the FA, this is a market interest rate of discount (MDR). The $NPV > 0$ means that the Net benefit (the difference between the NPV of all revenues/benefits and the NPV of all costs) is positive, given the specified discount rate. The discount rate fixed by the GoB is called the Social Discount Rate.
- **The Benefit Cost Ratio (BCR)** gives a relative indicator of project performance. The $BCR > 1.1$ means that the NPV of the project benefits is 10% higher than the NPV of project costs. The $BCR = 1$ means that the NPV of benefits and the NPV of the costs are the same at the given discount rate.
- **The Internal Rate of Return (IRR)** shows the return on investment. The IRR shows the discount rate, which gives the NPV of zero for the projects net cash flow of non-financial operations. If the EA shows that the $EIRR > SDR$, then the project performance will be better than the welfare benchmark defined by the GOB with the SDR; If the FA shows that the $FIRR > MDR$, then this means the project will be profitable for all stakeholders.

Decision-Making Framework

The following matrix shows how the IRR information from FA and EA can be combined to inform decision-makers on the justification for allocating public investment resources for investing in development projects. The picture shows that there are four possible outcomes.

- **NO GO:** The Financial and economic indicators are both unsatisfactory.
- **GO and finance the gap.** This means provide government grants to the extent necessary for positive financial returns ($FNPV > 0$ or $FIRR > FDR$).
- **GO but no subsidies.** The financial and economic indicators are both satisfactory. However, in that case, there is no need for public investment.
- **Go & Tax or internalized welfare cos.** GO but only if the negative welfare cost associated with the project are internalized in the financial analysis (e.g. polluters pay taxation or additional investments to prevent pollution etc.)

CBA Decision rules

| CBA outcomes | EIRR < SDR ENPV < 0; EBCR < 1 | EIRR > SDR ENPV > 0 EBCR > 1 |
|------------------------------------|--|------------------------------------|
| FIRR < FDR FNPV < 0 FBCR < 1 | NO GO | GO and Finance the gap |
| FIRR > FDR FNPV > 0 FBCR > 1 | GO & Tax or internalize the welfare costs | GO but no subsidies |

EIRR = Economic Internal Rate of Return
 FIRR = Financial Rate of Return on Investment
 FDR = Financial Discount Rate
 SDR = Social Discount Rate

Source: SPIMS (2018) GUIDANCE FOR CBA TRAINERS

Check the necessity of conducting the Financial Analysis

Reference: MAF

| | |
|---|--|
| Is the proposed project a revenue generating project? | |
| <input type="checkbox"/> Yes (Financial and Economic Analysis are required) | <input type="checkbox"/> No (Only Economic Analysis is required) |

Question

Is the proposed project a revenue-generating project?

Nature of the project

- Check the nature of the project by referring to the finance plan for O&M in items 13, 18, and 33. **The reference shows the definitions of revenue-generating and non-revenue-generating projects.**
- Select one of two options.
 - Yes: project is a revenue-generating project.
 - No: project is a non-revenue generating project.
- If the answer is "Yes", go to "1. Financial Analysis"
- If the answer is "No", skip the following "1. Financial Analysis".

Reference: A distinction can be made between revenue-generating and non-revenue-generating projects.

- **Non-revenue-generating projects** include roads, bridges and other public goods for which there is no direct *user charge*. For this category of projects, the Operation and Maintenance (O&M) costs will always put a claim on the operating budget of the State; / or grants, or Project Aid.
- **Revenue-generating projects** include Infrastructure in Energy Networks, ICT networks, Ports and Rail, Agriculture, Education, Health etc. In this category, there will be projects which generate sufficient revenues to cover O&M expenditures fully; and projects for which the user fees and other charges/revenue sources are insufficient to cover O&M costs fully. The project's financial sustainability can only be assured if the Government or other sources of finance are available to make up for the difference.

(VI-1) Financial Analysis

Reference: MAF

1. Financial Analysis: Is Financial Analysis conducted adequately?

| | |
|--|--|
| Paragraphs/ Examination aspects stipulated in the Green Book: | |
| - 1.1.8.2 Justification for preparing the cost estimates: (g) Conducting realistic financial and economic analysis | |
| a) Refer to the following items of the DPP and relevant attachments | |
| - 18. Financial & Economic Analysis - [Appendix] Calculation sheets | - [If applicable] Feasibility Study, Section 6: Cost-Benefit Analysis, 6.1 Financial Analysis - [If applicable] Feasibility Study Section 9: Risk (uncertainty) and Sensitive Analysis - [If applicable] Feasibility Study, Section 10: Alternative/ Option Analysis |
| b) Check the availability of information | |
| <input type="checkbox"/> Information is available | <input type="checkbox"/> Information is Not available (→ skip c and go to d) |
| c) Check the quality of information | |
| <input type="checkbox"/> Appropriate as indicated | <input type="checkbox"/> Needs amendment |
| d) Comments | |
| | |

Assessment question

Is Financial Analysis conducted adequately?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.8.2 Justification for preparing the cost estimates: (g) Conducting realistic financial and economic analysis

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether incremental analysis is adopted correctly.
- Whether the source of information and the costing data are reliable.
- Whether inputs/costs, and benefits/outcomes/impact are identified adequately.
- Whether the constant price is used for the BCR, IRR and NPV calculations.
- Whether assumptions about demand for the project services are explained.
- Whether all key assumptions are spelt out.
- Whether discounted cash flow (DCF) calculations are correctly done.
- Whether the market price is used for the financial analysis.
- Whether financing needs and the justification for the mix of financing sources are explained.
- Whether the Sensitivity Analysis is conducted.
- Whether the results of Sensitivity Analysis are adequate.

a) Reference items in the DPP

- Check the following DPP items.
 - 18. Financial & Economic Analysis
 - [Appendix] Calculation sheets
- Check the following sections in the feasibility study report.
 - 3. Market Demand Analysis
 - 6. Cost-Benefit Analysis, 6.1 Financial Analysis
 - 9. Risk (uncertainty) and Sensitive Analysis
 - 10. Alternative/ Options Analysis

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips:

For Projects of State-owned/ Autonomous Institutions, besides Discount Cash Flow Analysis, liquidity analysis, solvency analysis, and more would be required to measure the capacity of the implementing agency for project implementation as well as operation and maintenance.

Follow the relevant regulation of the Finance Division.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Summary Table

- Fill out the Summary Table, shown below, to answer the assessment questions step by step.
 - a) Find the information in DPP item 18, appendixes of DPP item 18, and Feasibility Study Report.
 - b) Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Reference: MAF

Summary Table for Financial Analysis

| Items | a) Description in DPP and attachment | | b) Remarks & Suggestions |
|--|---|---|--------------------------|
| Economic Life (years) | | | |
| Narrative Summary of Financial Cost (Expenditure) components | | | |
| Total Financial Cost (including O&M) | | | |
| Narrative Summary of Financial Benefit components | | | |
| Total Financial Benefit | | | |
| Tax and duty | <input type="checkbox"/> Included | <input type="checkbox"/> Excluded | |
| Price contingency | <input type="checkbox"/> Included | <input type="checkbox"/> Excluded | |
| Physical contingency | <input type="checkbox"/> Included | <input type="checkbox"/> Excluded | |
| Narrative Summary of Key assumptions | | | |
| Results of Sensitivity Analysis: Which assumptions/ parameters are more sensitive to cost and benefit? | | | |
| Discount Rate | | | |
| Financial NPV (FNPV) | <input type="checkbox"/> FNPV ≤ 0 | <input type="checkbox"/> FNPV > 0 | |
| Financial BCR (FBCR) | <input type="checkbox"/> FBCR ≤ 1 | <input type="checkbox"/> FBCR > 1 | |
| Financial IRR (FIRR) | <input type="checkbox"/> FIRR ≤ Discount Rate | <input type="checkbox"/> FIRR > Discount Rate | |

(VI-2) Economic Analysis

Reference: MAF

2. Economic Analysis: Is Economic Analysis conducted adequately?

Paragraphs/ Examination aspects stipulated in the Green Book:

- 1.1.8.2 Justification for preparing the cost estimates: (g) Conducting realistic financial and economic analysis

a) Refer to the following items of the DPP and relevant attachments

- 18. Financial & Economic Analysis
- [Appendix] Calculation sheets

- [If applicable] Feasibility Study, Section 6: Cost-Benefit Analysis, 6.2 Economic Analysis
- [If applicable] Feasibility Study Section 9: Risk (uncertainty) and Sensitive Analysis
- [If applicable] Feasibility Study, Section 10: Alternative/ Option Analysis

b) Check the availability of information

Information is available

Information is Not available (→ skip c and go to d)

c) Check the quality of information

Appropriate as indicated

Needs amendment

d) Comments

Assessment question

Is Economic Analysis conducted adequately?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.8.2 Justification for preparing the cost estimates: (g) Conducting realistic financial and economic analysis

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether incremental analysis/ with-without analysis is adopted correctly.
- Whether the source of information and the costing data are reliable.
- Whether inputs/costs, and benefits/outcomes/impact are identified adequately.
- Whether the constant price is used for the BCR, IRR and NPV calculations.
- Whether assumptions about demand for the project services are explained.
- Whether all key assumptions are spelt out.
- Whether discounted cash flow (DCF) calculations are correctly done.
- Whether economic prices and conversion factors are used for the economic analysis.
- Whether all significant impacts are included in the Economic analysis (land, resettlement, environment, and greenhouse gas emissions).
- Whether financing needs and the justification for the mix of financing sources are explained.
- Whether the Sensitivity Analysis is conducted.
- Whether the results of Sensitivity Analysis are adequate.

a) Reference items in the DPP

- Check the following DPP items.
 - 18. Financial & Economic Analysis
 - [Appendix] Calculation sheets
- Check the following sections in the feasibility study report.
 - 3. Market Demand Analysis
 - 6. Cost-Benefit Analysis, 6.2 Economic Analysis
 - 9. Risk (uncertainty) and Sensitive Analysis
 - 10. Alternative/ Options Analysis

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips:

Sources of economic benefits may fall into the following categories.

- Consumer surplus.
 - > Incremental outputs (benefits)
 - > Non-incremental outputs (benefits)
- Producer’s (or Supplier’s) surplus
 - > Revenue increase
- Indirect benefits

Source: CBA Handbook

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Summary Table

- Fill in the Summary Table, , shown below, to answer the assessment questions step by step.
 - a) find the information in DPP item 18, appendixes of DPP item 18, and Feasibility Study Report.
 - b) Provide concrete opinions or alternatives; “XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ”.

Reference: MAF

Summary Table for Economic Analysis

| Items | a) Description in DPP and attachment | | b) Remarks |
|--|---|---|------------|
| Economic Life (years) | | | |
| Narrative Summary of Economic Cost components | | | |
| Total Economic Cost (including O&M) | | | |
| Narrative Summary of Economic Benefit components | | | |
| Total Economic Benefit | | | |
| Externality (if any) | | | |
| Tax and duty | <input type="checkbox"/> Included | <input type="checkbox"/> Excluded | |
| Price contingency | <input type="checkbox"/> Included | <input type="checkbox"/> Excluded | |
| Physical contingency | <input type="checkbox"/> Included | <input type="checkbox"/> Excluded | |
| Conversion factors | | | |
| Narrative Summary of Key assumptions | | | |
| [Results of Sensitivity Analysis] Which assumptions/parameters are more sensitive to cost and benefit? | | | |
| Discount Rate | | | |
| Economic NPV (ENPV) | <input type="checkbox"/> ENPV ≤ 0 | <input type="checkbox"/> ENPV > 0 | |
| Economic BCR (EBCR) | <input type="checkbox"/> EBCR ≤ 1 | <input type="checkbox"/> EBCR > 1 | |
| Economic IRR (EIRR) | <input type="checkbox"/> EIRR ≤ Discount Rate | <input type="checkbox"/> EIRR > Discount Rate | |

(VI-3) Estimation of Economic and Financial Values

Reference: MAF

3. Estimation of Economic and Financial values: Is the proposed project worth public investment?

Paragraphs/ Examination aspects stipulated in the Green Book:

- 1.1.8.2 Justification for preparing the cost estimates: (g) Conducting realistic financial and economic analysis
- 1.12 Projects which have prospect for implementation by private initiative should not be included in the ADP.

a) Refer to the following items of the DPP and relevant attachments

- | | |
|--|---|
| <ul style="list-style-type: none"> - 18. Financial & Economic Analysis - [Appendix] Calculation sheets | <ul style="list-style-type: none"> - [If applicable] Feasibility Study, Section 6: Cost-Benefit Analysis, 6.1 Financial Analysis, 6.2 Economic Analysis - [If applicable] Feasibility Study Section 9: Risk (uncertainty) and Sensitive Analysis - [If applicable] Feasibility Study, Section 10: Alternative/ Option Analysis |
|--|---|

b) Remarks and suggestions

Assessment question

Is the proposed project worth public investment?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.8.2 Justification for preparing the cost estimates: (g) Conducting realistic financial and economic analysis
- 1.12 Projects which have prospects for implementation by private initiative should not be included in the ADP.

Consider the following points in a) to provide comments in b).

- Whether the proposed project is worth "public" investment.

a) Reference items in the DPP

- Check the following DPP items.
 - 18. Financial & Economic Analysis
 - [Appendix] Calculation sheets
- Check the following sections in the feasibility study report.
 - 3. Market Demand Analysis
 - 6. Cost-Benefit Analysis, 6.1 Financial Analysis
 - 9. Risk (uncertainty) and Sensitive Analysis
 - 10. Alternative/ Options Analysis

Tips:

See the explanation in Box 13(Page 133) about CBA decision rules.

CBA Decision rules

| CBA outcomes | EIRR < SDR ENPV < 0; EBCR < 1 | EIRR > SDR ENPV > 0 EBCR > 1 |
|------------------------------------|--|------------------------------------|
| FIRR < FDR FNPV < 0 FBCR < 1 | NO GO | GO and Finance the gap |
| FIRR > FDR FNPV > 0 FBCR > 1 | GO & Tax or internalize the welfare costs | GO but no subsidies |

EIRR = Economic Internal Rate of Return

FIRR = Financial Rate of Return on Investment

FDR = Financial Discount Rate

SDR = Social Discount Rate

b) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ"

3-9 Part VII: Evaluation Criteria (Relevance, Effectiveness, Efficiency, Impact, Sustainability and Risks & Mitigation Measures)

Part VII assesses the value of the project from the principles of basic evaluation criteria, namely relevance, efficiency, impact and sustainability, including one additional criterion: risks and mitigation measures in the case of Bangladesh. The conceptual framework of the evaluation criteria and the definition of each criterion are explained in chapter 1-3.

Table 18 shows assessment questions in part VII.

Table 18 Summary of Part VII of MAF

| Part | Item | Criteria | Question | Code |
|---|---|------------------|---|---------|
| VII | Evaluation Criteria | 1) Relevance | 1) Consistency with Plans, Strategies, and Programmes: Is the project included in the strategies, development plans and programmes stipulated by the Government / Sector? Are the Project Goal and Project Purpose consistent with these? | VII-1-1 |
| | | | 2) Consistency with financing resources (Ministry/Division-Level Multi-Year Public Investment Programme (MYPIP) if available and/or Medium-Term Budget Framework (MTBF)): Is the financing secured for the project? | VII-1-2 |
| | | | 3) Beneficiaries: Are the project beneficiaries appropriately identified? Does the Project Purpose match the needs of the beneficiaries? | VII-1-3 |
| | | | 4) Project Location: Can the Project Purpose be achieved given the location(s) where the project will be implemented? | VII-1-4 |
| | | 2) Effectiveness | 1) Are the Outputs identified appropriately so that the Project Purpose would be achieved? | VII-2-1 |
| | | 3) Efficiency | 1) 1.1) Is the cost estimation of the project appropriate and reliable? | VII-3-1 |
| | | | 1.2) Cost comparison with other completed (or approved) projects of the same nature | VII-3-2 |
| | | | 2) Is the duration of the project reasonable? Is the schedule of the project reasonable, considering a sequence of activities/ procurement plan, and seasonal/functional fluctuations? | VII-3-3 |
| | | | 3) Are the materials, equipment, facilities and technology required for the implementation of the project sufficient to conduct activities and achieve the Outputs? | VII-3-4 |
| | | | 4) Is the manpower required for the implementation management of the project sufficient to conduct activities and achieve the Outputs? | VII-3-5 |
| 5) Are there any important controllable and uncontrollable risks that are liable to affect the implementation of the project? | VII-3-6 | | | |
| 4) Impact | 6) What are the <i>mitigation measures considered for risks</i> that are indicated in (5) above? | | | |
| | 4.1 Impact (A): To evaluate the extent to which the longer and broader development effects are aligned with the achievement of Project Purpose. Are the longer and broader development effects aligned with the achievement of the Project Purpose adequately identified and practically achievable? | VII-4.1 | | |

| Part | Item | Criteria | Question | Code |
|------|------|----------------------------------|---|--|
| | | | <p>4.2 Impact (B): To evaluate the indirect effects of the project (both positive and negative) on matters not related to the long-term goal of the project.</p> <p>1) During the project implementation</p> <p>1-1) Negative Impact: Are there any possibilities of the project and its activities generating negative social and natural environmental impacts? Are Mitigation measures considered and incorporated into the project design?</p> <p>1-2) Positive Impact: Are there likely to be any positive impact that improves social and natural environmental conditions?</p> <p>2) During Operation and Maintenance</p> <p>2-1) Negative Impact: Are there any possibilities of the project and its activities generating negative social and natural environmental impacts? Are Mitigation measures considered and incorporated into the project design?</p> <p>2-2) Positive Impact: Are there likely to be any positive impact that improves social and natural environmental conditions?</p> | <p>VII-4.2</p> <p>VII-4.2-1</p> <p>VII-4.2-1-1</p> <p>VII-4.2-1-2</p> <p>VII-4.2-2</p> <p>VII-4.2-2-1</p> <p>VII-4.2-2-2</p> |
| | | 5) Sustainability | <p>1) Institutional Sustainability: Does the organization proposed for O&M have legal or administrative responsibilities and functions for O&M facilities to be developed by the proposed project?</p> <p>2) Organizational Sustainability: Does the organization assigned for O&M have enough human and technical capacity for O&M?</p> <p>3) Financial Sustainability: Are there any documented plans for operation and maintenance after the project is completed, with a clear foundation of financial resources to maintain realized effects by the project?</p> | <p>VII-5-1</p> <p>VII-5-2</p> <p>VII-5-3</p> |
| | | 6) Risks and mitigation measures | <p>1) Are there any important controllable and uncontrollable risks that are liable to affect the project after its completion and during its operation?</p> <p>2) What are the mitigation measures considered for risks that are indicated in (1)?</p> | <p>VII-5-1</p> <p>VII-5-2</p> |

(VII-1) Relevance

This sub-part is to assess whether Project Purpose, Project Goal, and project scope are in line with the priority development needs of the nation at the time of the project assessment. The questions under this sub-part are related to the following topics.

- (VII-1-1) Consistency with development strategies, Programmes and Plans
- (VII-1-2) Consistency with Financing Sources (MYPIP and MTBF)
- (VII-1-3) Project Beneficiaries
- (VII-1-4) Project location

(VII-1-1) Consistency with Plans, Strategies, and Programmes

Assessment question

Is the project included in the strategies, development plans and programmes stipulated by the Government / Sector? Are the Project Goal and Project Purpose consistent with these?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.1 Consistency with the Allocation of Business
- 1.1.5 Consistency with a short, medium and long-term development plan, policy and strategy
- 1.1.9 Poverty alleviation and removal of regional disparity

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the problems to be addressed under the proposed project are consistent with the macro development objectives stipulated in the Five Year/ Perspective Plans and Programs and/or Sector Strategy Paper (SSP)/ Sector Action Plan (SAP).
- Whether the linkages shown with other projects/ institutions are appropriate and relevant.
- Whether the key indicators of Goal and the Purpose/Objective of the proposed Project are consistent and relevant with development plans and programs stipulated by the Government sector with reference to the Delta Plan, Perspective Plan, Five Year Plan, Sector Strategy Paper (SSP)/Sector Action Plan (SAP), and Sustainable Development Goals (SDGs).
- Whether the scope of the project is within the Allocation of Business of the Sponsoring Ministry/Division, the Vision, Mission of the sponsoring Ministry/Division and Implementing Agency, and within the jurisdiction of the concerned Sector Division of the Planning Commission.

Note: Part I of the Handbook for DPP preparation explains the linkage between projects and programmes. Refer to Figure 5 Linkage between Programme and Project in (page 4).

a) Reference items in the DPP

- Check the following DPP items.
 - 2.1 Sponsoring Ministry/Division
 - 2.2 Implementing Agency
 - 2.3 Concerned Division of Planning Commission
 - 14. Background
 - 15. Project Description
 - 27. Linkage
 - 28.1 Vision and Mission of Ministry/Division and Agency,
 - 28.2 Allocation of Business of Ministry/ Division
- Check the following sections in the feasibility study report.
 - 3. Market Demand Analysis (b) Relevance of the Project Idea
 - 8. Institutional and Legal Analysis

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Tips:

The Sector Strategy Paper (SSP) would be a strong reference. The **sector outcomes** and the **sector intermediate outcomes** of the Sector Strategy should be directly linked with the Project Goals and the Project Purpose.

See Box 2 (Page 8) in Part 2 about SSP

(VII-1-2) Consistency with Financing Sources

Assessment question

Is the financing secured for the project?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.6 Consideration of availability of resources
- 1.1.7 Consideration of results of the projects of the same nature /type and avoidance of duplication

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the sources of financing are adopted adequately: GOB, DPs, Implementing Agency and others.
- Whether the mode(s) of financing is/are adopted adequately.
- Whether the proposed budget allocation is consistent with sector programme budget allocation, Medium Term Budgetary Framework (MTBF) and Multi-Year Public Investment Programme (MYPIP)*
- Whether necessary attachments/ appendices, explained in the table below, are attached to the DPP.
- Whether the year-wise estimated cost is adequate considering the project implementation
- Whether the estimated project cost is adequate in light of year wise fiscal space of sectors
- Whether there is no overlap between the proposed project and other development projects/programmes outside the ADP, on-going projects/programmes under the Climate Change Trust Fund (CCTF) or other funds, and on-going activities under the operational budget.

* See the Box 3 (page 8) about MYPIP and Fiscal Space

a) Reference items in the DPP

- Check the following DPP items.
 - 6.3 Financing Plan (Annexure VII)
 - 12.2 Year-wise target (Annexure IV)
 - 22. Annual phasing of cost (Annexure V)
 - 24. Amortization Schedule (Annexure VI)

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Tips:

See the Sector Narrative/ Highlight of ADP/RADP for the sector and sub-sector-wise fiscal space information based on the Multi-Year Public Investment Programme (MYPIP).

For the projects to be implemented with loan (local/ foreign currency) from the GoB, consider the following points.

- Whether the amortization schedule is appropriate to the loan agreement.
- Whether the schedule of the project is reasonable.

For the project to be implemented with loan of Development Partners,

- Whether the conditionality of taking Foreign Aid for the proposed project is stated clearly.

(VII-1-3) Beneficiaries

Assessment question

Are the project beneficiaries appropriately identified? Does the Project Purpose match the needs of the beneficiaries?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.9 Poverty alleviation and removal of regional disparity

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the problems, the causes of the problems, and the possible sequences of the problem are identified.
- Whether the beneficiaries of this project are appropriately identified.
- Whether the current and future demands of beneficiaries are appropriately identified.
- Whether the proposed project responds the beneficiaries' demand.*

* See the box xx for Demand Analysis.

a) Reference items in the DPP

- Check the following DPP items.
 - 3. Objectives and Targets
 - 14. Background
 - 15. Project Description
 - 16. Population Statistics
- Check the following sections in the feasibility study report.
 - 3. Market Demand Analysis (d) Stakeholders, and (e) Demand Analysis

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Tips:

Check the following points too.

- key information of the beneficiaries
 - Characteristics: Who they are (both group and citizen)
 - Number: How many people are targeted
 - Location: Where they are residing
 - Needs/Demands: What kind of development needs/demands do they have
- Whether the overall and location-wise beneficiaries of the proposed project are identified and estimated correctly.
- Whether the project brings potential opportunities to women, senior citizens, children, physically & mentally challenged etc.: If yes, who they are.

Box 14 explains about Demand Analysis.

Box 14 What is Demand Analysis

Demand analysis identifies the need for an investment by assessing:

- Current demand (based on statistics provided by service suppliers/ regulators/ ministries/ national and regional statistical offices for the various types of users);
- Future demand (based on reliable demand forecasting models that take into consideration macro- and socio-economic forecasts, alternative sources of supply, elasticity of demand to relevant prices and income, etc.) in both the scenarios with- and without-the-project.

Both quantifications are essential to formulate demand projections, including generated/induced demand where relevant*, and to design a project with the appropriate productive capacity. For example, it is necessary to investigate which share of the demand for public services, rail transport, or disposal of waste material can be expected to be satisfied by the project.

Demand hypotheses should be tested by analysing the conditions of both the present and future supply, which may be affected by actions that are independent from the project.

Source: EU 2014 Guide to Cost-Benefit Analysis of Investment Projects for Cohesion Policy 2014-2020

* Future demand comes from: existing users, users diverted from other service providers, users generated/induced by the new activities that are allowed by the project. The capacity of a project to generate induced demand for example depends, among other things, on the size of the project compared to existing supply, the elasticity of demand and the related capacity to reduce the prevailing market price.

(VII-1-4) Project Location

Assessment question

Can the Project Purpose be achieved given the location(s) where the project will be implemented?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.9 Poverty alleviation and removal of regional disparity
- 1.16 In the case of infrastructure projects, reports of technical tests (soil test, DIA and others), speed of cyclone, maximum height of flood and justification about the selection of site will have to be attached with the DPP/RDPP

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the information of the project location up to City Corporation/Pouroshova/Upazila level is specified.
- Whether the selected project site is a prioritized geographical area, considering government policies and master plan, including poverty alleviation, removal of regional disparity, and existing, ongoing, and pipelined projects, institutions, and facilities.
- Whether the selected project site is suitable for the technology adopted for the proposed project.
- Whether the selected project site is NOT within or near the environmentally protected area.
- Whether the selected project site is adequate considering disaster and climate change risks.
- Whether a map is appended with the DPP, showing linkage to other existing, ongoing, and pipelined projects, institutions, and facilities.
- Whether a hazard map is attached to the DPP, showing the climate change risks and disaster management, e.g., the relations with Climate Stress Areas mentioned in the National Adaptation Plan. (Section 4: Technical/ Technological & Engineering analysis, (a) Location)
- If the location of sub-projects is planned to be selected during the project implementation stage, whether the selection criteria of the sub-project location are explained.

a) Reference items in the DPP

- Check the following DPP items.
 - 7.1 Location of the Project
 - 7.2 Justification of selecting the project area
 - [Appendix] MAP
- Check the following sections in the feasibility study report.
 - Section 4: Technical/ Technological & Engineering analysis, (a) Location

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips:

Maps are helpful and are recommendable to be attached to the DPP, since they provide visualized information showing the coverage of the project, locations of other projects with similar features, linkage with other facilities, and the like.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

(VII-2) Effectiveness

This sub-part is to assess the extent to which the Project Purpose will be achieved in relation to the outputs. The questions under this sub-part are related to the following topics:

Assessment question

Are the Outputs* identified appropriately so that the Project Purpose** would be achieved?

* Definition of Outputs: Important divided components to achieve the Project Purpose/ results or deliverables of the project to achieve the objectives

** Definition of Project Purpose: A Direct Result of the project, expected to be achieved at the time of completion

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.4 Purpose of the Project

Consider the following points to select the option in b) and c) and provide comments in d).

- Duplicate or missing outputs to achieve the project purpose
- Over or under specification to achieve the project purpose

a) Reference items in the DPP

- Check the following DPP items.
 - 10 Logical Framework
 - 14 Background
 - 15 Project Description
- Check the following sections in the feasibility study report.
 - 3. Market Demand Analysis (c) Proposed Project Interventions
 - 4. Technical/ Technological & Engineering analysis, (c) Output Plan
 - 10. Alternative/ Options Analysis

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips:

If the formulation and capacity development of the group/organization for O&M is a part of the project scope and activities, confirm whether necessary inputs and outputs are designed accordingly. (see VII-5-2, Organizational Sustainability)

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

(VII-3) Efficiency

This sub-part is to assess how efficiently (timeframe, cost, quality) the various inputs would be converted into outputs of the project during the implementation.

The questions under this sub-part are related to the following topics.

- (VII-3-1) (1.1) Cost estimation
- (VII-3-1) (1.2) Cost comparison
- (VII-3-2) Project Duration
- (VII-3-3) Materials and Technologies
- (VII-3-4) Manpower
- (VII-3-5) Risk during implementation
- (VII-3-6) Mitigation measures for risks during implementation

(VII-3-1) (1.1) Cost estimation

Assessment Question

Is the cost estimation of the project appropriate and reliable?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.8 Cost estimate and the basis and appropriateness of preparing the cost estimates
- 1.7.2 For the projects to be implemented with the loan (local/ foreign currency) from the GoB
- 21.6. The cost estimate will have to be finalized after thoroughly reviewing the design
- 21.9 (snip) It is to be noted that the provision of consultants, if it is at all necessary for the GoB-funded projects, should be kept at the minimum level.

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the process of cost estimation is adequate, e.g., estimation of contingency.
- Whether the ratio between revenue and capital components is reasonable with respect to the nature of the proposed project.
- Whether the updated rate of schedule/ standards/ pay scales, and the present market price are used.
- In the case of non-scheduled items, e.g., medical, ICT, and other specialized equipment/ materials/ commodities, whether the cost estimation conforms to unit price considering the market price.
- Whether the cost estimation of the project is appropriate and reliable at the item level (standards and prevailing market price).

a) Reference items in the DPP

- Check the following DPP items.
 - 9. Estimated Cost Summary
 - 11.1 Project management setup (Annexure II)
 - 12.1 Procurement Plan (Annexure III (a), III (b), III(c))
 - 20. Basis of item-wise cost estimation and date
 - 21. Comparative cost
 - 22. Detailed Annual Phasing of Cost (As per Annexure –V(a) & V(b))
- Check the following sections in the feasibility study report.
 - 4. Technical/ Technological & Engineering analysis, (d) Cost Estimation

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips:

- Revenue Component (A- Taka): including procurement of consultancy services
- Capital Component (B -Taka): including procurement of goods and works
- Physical Contingency (C- %): currently stipulated as up to 2% of Capital components (B)
- Price Contingency (D- %): currently stipulated as up to 8% of the sum of Revenue and Capital Components (A+B).

d) Remarks and Suggestions

- Provide concrete opinions or alternatives: “XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ”.

(VII-3-1) (1.2) Cost comparison

Assessment Question

Cost comparison with other completed (or approved) projects of the same nature

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.8 Cost estimate and the basis and appropriateness of preparing the cost estimates of the project
- 21.9 (snip) It is to be noted that the provision of consultants, if it is at all necessary for the GoB-funded projects, should be kept at the minimum level.

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the major Items and Units are comparable.
- Whether the unit costs of the main components of the proposed project are reasonable compared to other similar projects.
- Whether the reason(s) of differences is/are provided and justifiable.
- Whether the unit cost reflects the prevailing market prices.

a) Reference items in the DPP

- Check the following DPP items.
 - 21. Comparative cost

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips:

For an accurate comparison, the main items and units must be identical in the projects being compared.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives: "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

(VII-3-2) Project Duration

Assessment Question

Is the duration of the project reasonable? Is the schedule of the project reasonable, considering a sequence of activities/ procurement plan, seasonal/functional fluctuations?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.12 Project duration:
- 1.5 In case the acquisition of land and drawing and design related activities are necessary for the implementation of a project, a separate project may be formulated in consideration of the volume of such activities

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the proposed project period is appropriate compared to other similar completed/on-going projects.
- Whether the proposed project period is practical in consideration of the following issues.
 - Land acquisition/ Utility shifting
 - procurement schedule
 - seasonal fluctuation
 - project appraisal and approval schedule
 - availability of fund
- Whether the completion time of the project is appropriate considering the expected achievement status of the project purpose.
- Whether the Procurement Plan fits into the project period as a whole as well as the output-wise timeline, considering seasonal and functional fluctuations.

a) Reference items in the DPP

- Check the following DPP items.
 - 4. Project implementation period
 - 12.1 Procurement Plan (Annexure III)
 - 12.2 Year-wise Financial and Physical Target Plan (Annexure IV)
 - [Appendix] Gantt Chart of project activities
- Check the following sections in the feasibility study report.
 - 4. Technical/ Technological & Engineering analysis, (e) Implementation Plan

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips:

Look into the Gantt chart with the work plan to confirm whether the sequence of activities is practical.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives: "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

(VII-3-3) Materials, equipment, facilities and technology

Assessment question

Are the materials, equipment, facilities and technology required for the implementation of the project sufficient to conduct activities and achieve the Outputs?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- See Part V: Sector-Specific Analysis
- See Part IV: Environmental Requirements and Disaster & Climate Change Risks

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether prevailing norms, and technical standards are applied while preparing Specification/Design.
- Whether the technical specification/ design is sufficient to meet the objective of each component/ item.
Whether the proposed materials, equipment, facilities and technology are sufficient to conduct activities and achieve the Outputs.

a) Reference items in the DPP

- Check the following DPP items.
 - 12.1 Procurement Plan (Annexure III)
 - 23. Technical Specification/ Design of major items
 - [Appendix] for 23. Technical Specification/ Design of major items
- Check the following sections in the feasibility study report.
 - 4. Technical/ Technological & Engineering analysis, (b) Technical Design

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips:

Inputs to ensure technical standards and meet the required specification of Outputs are considered.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives: "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

(VII-3-4) Manpower

Assessment question

Is the manpower required for the implementation management of the project sufficient to conduct activities and achieve the Outputs?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.8.2 Justification of the cost estimates
- 1.1.14 project manpower*

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the manpower required for the project implementation is sufficient to conduct activities and to realize the outputs by comparing them with similar projects.
- Whether Organogram of the proposed project is attached.
- Whether the manpower setup is formulated along with the recommendations of the Manpower Fixation Committee of the Finance Division*.
- Whether necessary attachments/ appendices are attached to the DPP

* The recommendation of the Manpower Fixation Committee is required when there is provision for the employment of manpower either directly/ through out-sourcing/deputation during the implementation stage of the project. (para 1.1.14, Green Book 2022)

a) Reference items in the DPP

- Check the following DPP items.
 - 11.1 Project management setup (Annexure II)
 - 12.1 Procurement Plan (Service) (Annexure III (c))
 - [Appendix] Situation Analysis Paper/ Working Paper for Manpower Fixation Committee/ Comparison table for manpower setup of similar projects
 - [Appendix] Minutes of Manpower Fixation Committee Meeting
- Check the following sections in the feasibility study report.
 - 7. Human Resources and Administration Support
 - 8. Institutional and Legal Analysis
 -

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

Tips:

A comparison table of the manpower setup of similar completed/on-going projects is helpful in explaining whether the proposed project manpower is reasonable.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Check item 29 of DPP to examine the potential technical and financial contribution of Private Sector, Local Government and/or NGO is required to implement the project if any.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives: "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

(VII-3-5) Risk during implementation

(VII-3-6) Mitigation measures for risks during implementation

Assessment question

(5) Are there any important controllable and uncontrollable risks that are like to affect the implementation of the project?

(6) What are the mitigation measures considered for risks that are indicated in (5) above?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.7. (a) Considering the results and experience of similar projects for mitigating the possible risks of the proposed project
- 1.1.8.2 Justification for preparing the cost estimates: (d) possible risks and mitigation measures

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the risks (internal conditions and external conditions) are identified.
- Whether the mitigation measurements of risks (internal conditions) are identified, and incorporated into the activities of the project.
- Whether the risks, which cannot be controlled by the project (external conditions), are explained in the column "Important Assumptions" of the Logical Framework (DPP Item 10).
- Whether the lessons learnt and good practices from projects with a similar nature are adopted. .

a) Reference items in the DPP

- Check the following DPP items.
 - 10. Logical Framework "Important Assumptions"
 - 31. /32. (if foreign financing is involved) Risk analysis and mitigation measures
- Check the following sections in the feasibility study report.
 - 3. Market Demand Analysis, (f) SWOT analysis
 - 5. Environmental Sustainability, Climate Resilience and Disaster Risk Analysis
 - 9. Risk (uncertainly) and Sensitive analysis

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Tips:

Risks can be examined in the following aspect.

- Institutional aspect: the condition of policy & plan, law, rules, and guidelines
- Financial aspect: the cost and source, and financial capacity and management.
- Organizational/ Technical aspects: manpower and their required skills and qualifications.
- Environmental and Climate change aspects

E.g., the design of the facilities is changed because the natural environment conditions are changed.

(VII-4) Impact

This sub-part "Impact" is to assess the extent to which the Project Goal would be achieved, and verify intended and unintended, positive and/ or negative changes in technical, social-economic, institutional and environmental aspects generated as project results and outcomes.

The questions under this sub-part are related to the following topics:

- (VII-4.1) Impact (A) Longer and broader development effects/ long-term goal of the project
- (VII-4.2) Impact (B) Indirect effects of the project not related to the long-term goal of the project
- (VII-4.2-1) During the project implementation
- (VII-4.2-1) (1-1) Negative Impact
- (VII-4.2-1) (1-2) Positive Impact
- (VII-4.2-1) During the operation and maintenance
- (VII-4.2-1) (2-1) Negative Impact
- (VII-4.2-1) (2-1) Positive Impact

(VII-4.1) Impact (A) Longer and broader development effects/ long-term goal of the project

Assessment question

Are the longer and broader development effects aligned with the achievement of the Project Purpose adequately identified and practically achievable?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.9 Poverty alleviation and removal of regional disparity:

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the longer and broader development effects aligned with the achievement of Project Purpose are identified.

a) Reference items in the DPP

- Check the following DPP items.
 - 10. Logical Framework
 - 14. Background
 - 15. Project Description

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

Tips:

See the note for the logical framework for the impact of the project.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

(VII-4.2) Impact (B) Indirect effects of the project not related to the long-term goal of the project

Under Part III and Part IV of this format, some of the social and natural environmental impacts are identified and examined. In this part (VII-4.2), confirm and examine the broader social and natural environmental impacts, in addition to the finding in Part III and Part IV.

For example, the vulnerability of gender, women, children, persons with special needs, and excluded groups during the project implementation are not examined thoroughly under Part III and Part IV.

The following Assessment points and Reference items are applicable to the questions under VII-4.2.

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether there are any possibilities of the project and its activities causing social and environmental negative effects/ impacts.
- Whether the mitigation measures are considered and incorporated into the project design.
- Whether the proposed facilities are designed considering the negative social and environmental impacts and mitigation measures.

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.111 Analysis of the impact of the project on the environment, climate change and other cross-cutting issues

a) Reference items in the DPP

- Check the following DPP items.
 - 25. The effect/impact, adaptation, and specific mitigation measures thereof
 - 25.1 Other projects/ existing installations
 - 25.2 Environment sustainability
 - 25.3 Disaster management and Climate change
 - 25.4 Gender, etc
 - 25.5 Employment
 - 25.6 Poverty situation
 - 25.7 Organizational arrangement/ setup
 - 25.8 Institutional productivity
 - 25.9 Regional disparity
 - 25.10 Population
 - [Appendix] Gender Action Plan etc.
- Check the following sections in the feasibility study report.
 - 5: Environmental Sustainability, Climate Resilience and Disaster Risk Analysis, 5.1 Environmental, Climate Change and Disaster Risk Analysis

(VII-4.2-1) During the Project Implementation

(VII-4.2-1) (1.1) Negative Impact

(VII-4.2-1) (1.2) Positive Impact

Assessment question

(1.1) Are there any possibilities of the project and its activities generating negative social and natural environmental impacts? Are Mitigation measures considered and incorporated into the project design?

(1.2) Are there likely to be any positive impact that improves social and natural environmental conditions?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.111 Analysis of the impact of the project on the environment, climate change and other cross-cutting issues

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether there are any possibilities of the project and its activities causing social and environmental negative effect/ impact on
- Whether the mitigation measures are considered and incorporated into the project design.
- Whether the proposed facilities are designed considering the negative social and environmental impacts and mitigation measures.

a) Reference items in the DPP

- Check the following DPP items.
 - 25. The effect/impact, adaptation, and specific mitigation measures thereof
 - [Appendix] Gender Action Plan etc.
- Check the following sections in the feasibility study report.
 - 5: Environmental Sustainability, Climate Resilience and Disaster Risk Analysis, 5.1 Environmental, Climate Change and Disaster Risk Analysis

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips

Examine the following impact during the project implementation

- The vulnerability of gender, women, children, persons with special needs, excluded groups

For example, the persons mentioned above may be unintentionally excluded from project benefits.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; “XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ”.

(VII-4.2-2) During operation and maintenance

(VII-4.2-2) (2.1) Negative Impact

(VII-4.2-2) (2.2) Positive Impact

Assessment question

(1.1) Are there any possibilities of the project and its activities generating negative social and natural environmental impacts? Are Mitigation measures considered and incorporated into the project design?

(1.2) Are there likely to be any positive impact that improves social and natural environmental conditions?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.111 Analysis of the impact of the project on the environment, climate change and other cross-cutting issues

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether there are any possibilities of the project and its activities causing social and environmental negative effect/ impact on
- Whether the mitigation measures are considered and incorporated into the project design
- Whether the proposed facilities are designed considering the negative social and environmental impacts and mitigation measures.

a) Reference items in the DPP

- Check the following DPP items.
 - 25. The effect/impact, adaptation, and specific mitigation measures thereof
 - [Appendix] Gender Action Plan etc.
- Check the following sections in the feasibility study report.
 - 5: Environmental Sustainability, Climate Resilience and Disaster Risk Analysis, 5.1 Environmental, Climate Change and Disaster Risk Analysis

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Tips

Examine the following impact during the operation and maintenance

- The vulnerability of gender, women, children, persons with special needs, excluded groups

For example, the Labour Contracting Society of LGED to maintain the road is creating the scope of employment for the poor, including women.

(VII-5) Sustainability

The purpose of this sub-part “sustainability” is to assess if project benefits are likely to continue after the completion of the project.

The questions under this sub-part are related to the following topics.

- (VII-5-1) Institutional Sustainability
- (VII-5-2) Organizational Sustainability
- (VII-5-3) Financial Sustainability

(VII-5-1) Institutional Sustainability

Assessment question

Does the organization proposed for O&M have legal or administrative responsibilities and functions for O&M facilities to be developed by the proposed project?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.10 Making the project results sustainable

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the Operation and Maintenance (O&M) Plan/ Exit Plan is prepared.
- Whether the responsible group/organization for O&M already exists or is expected to be newly formed.
- If the organization for O&M is newly formed to specifically conduct O&M for the project, whether the formulation is part of the project scope and activities.
- If the Government involves in O&M, whether specific responsibilities to be borne by the Government are identified
- Whether the rules and regulations and guidelines and manuals for O&M to facilitate institutional sustainability are available and functional.
- Whether the proposed facilities are institutionally sustainable.

a) Reference items in the DPP

- Check the following DPP items.
 - 13. After completion, whether the project needs to be transferred to the revenue budget
 - 32.1/33.1 (if foreign financing is involved): Sustainability of the project benefit
 - [Appendix] Exit Plan/ Operation and Maintenance Plan
- Check the following sections in the feasibility study report.
 - Section 7: Human Resources and Administration Support
 - Section 8: Institutional and Legal Analysis

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

Tips:

If the formulation of the group/organization for O&M is a part of the project scope and activities, confirm whether necessary inputs and outputs are designed.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Check item 29 of DPP to examine the potential technical and financial contribution of Private Sector, Local Government and/or NGO is required to maintain the facilities to be developed under the project, if any.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

(VII-5-2) Organizational Sustainability

Assessment question

Does the organization assigned for O&M have enough human and technical capacity for O&M?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.10 Making the project results sustainable

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the existing group/organization is ready to cope with the O&M for the project
- If the organization for O&M already exists,
 - whether additional manpower is needed.
 - Whether the existing organization for O&M have the readiness to cope with the technical requirements for conducting O&M.
- If the organization for O&M is newly formed to specifically conduct O&M for the project,
 - whether technical training or manpower appointment activities are included as part of the project.
- Whether the proposed facilities are technically sustainable.

a) Reference items in the DPP

- Check the following DPP items.
 - 13. After completion, whether the project needs to be transferred to the revenue budget
 - 32.1/33.1 (if foreign financing is involved): Sustainability of the project benefit
 - [Appendix] Exit Plan/ Operation and Maintenance Plan
- Check the following sections in the feasibility study report.
 - Section 7: Human Resources and Administration Support
 - Section 8: Institutional and Legal Analysis

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips:

If the capacity development of the group/organization for O&M is a part of the project scope and activities, confirm whether necessary inputs and outputs are designed.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

(VII-5-1) Financial Sustainability

Assessment question

Are there any documented plans for operation and maintenance after the project is completed, with a clear foundation of financial resources to maintain realized effects by the project?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- 1.1.10 Making the project results sustainable

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the agency responsible for operations will have enough financing for effectively maintain the operation and maintenance (O&M) costs.
- Whether the implication of the recurrent budget for O&M is identified/determined.
- Whether the cost and manpower required for O&M are sufficient to provide the services adequately by comparing these with similar facilities presently under operation.
- Where the capacity for O&M is developed under the proposed project, if so, the budget for capacity development is proposed in the DPP.
- Where the O&M budget comes from.
- Whether the budget is secured.
- Whether the proposed facilities are financially sustainable.

a) Reference items in the DPP

- Check the following DPP items.
 - 13. After completion, whether the project needs to be transferred to the revenue budget
 - 18. Financial and Economic Analysis
 - 32.1/33.1 (if foreign financing is involved): Sustainability of the project benefit
 - [Appendix] Exit Plan/ Operation and Maintenance Plan
- Check the following sections in the feasibility study report.
 - 4. Technical/ Technological & Engineering analysis, (d) Cost Estimation
 - 6. Cost Benefit Analysis

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

Tips:

1. A distinction can be made between “revenue generating” and “non-revenue generating” projects. See the box in 3-8 Part VI: Cost-Benefit Analysis.

2. A project is financially sustainable when the liquidity and solvency situation is deemed adequate. See the box below for further explanation.

d) Remarks and Suggestions

- Provide concrete opinions or alternatives; “XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ”.

(VII-6) Risk Analysis and Mitigation Measures during Operation

This sub-part "Risk Analysis and Mitigation Measures during Operation" is to assess risk and mitigation measures during operation to maintain the project outputs and outcome.

NOTE: Risk Analysis and Mitigation Measures **during implementation** is examined under the questions related to "efficiency" [VII-3].

The questions under this sub-part are related to the following topics:

- (VII-6-1) Are there any important controllable and uncontrollable risks that are liable to affect the project after its completion and during its operation; and
- (VII-6-2) What are the *mitigation measures considered for risks* that are indicated in (1).

(VII-6-1) Risk during operation

(VII-6-2) Mitigation measures for risks during implementation

Assessment question

(1) Are there any important controllable and uncontrollable risks that are liable to affect the project after its completion and during its operation?

(2) What are the mitigation measures considered for risks that are indicated in (1) above?

Assessment Points of the Green Book

Answering the above question means addressing the following paragraphs of Green Book 2022.

- Paragraphs/ Examination aspects stipulated in the Green Book:
- 1.1.10 Making the project results sustainable

Consider the following points to select the option in b) and c) and provide comments in d).

- Whether the risks (internal conditions and external conditions) are identified.
- Whether the mitigation measurements of risks (internal conditions) are identified, and incorporated into the activities of the project.
- Whether the lessons learnt and good practices from projects with a similar nature are adopted.

a) Reference items in the DPP

- Check the following DPP items.
 - 13. After completion, whether the project needs to be transferred to the revenue budget
 - 31. /32. (if foreign financing is involved) Risk analysis and mitigation measures
 - 32.1/33.1 (if foreign financing is involved): Sustainability of the project benefit
 - [Appendix] Exit Plan/ Operation and Maintenance Plan
- Check the following sections in the feasibility study report.
 - 3. Market Demand Analysis, (f) SWOT analysis
 - 5. Environmental Sustainability, Climate Resilience and Disaster Risk Analysis
 - 9. Risk (uncertainly) and Sensitive analysis

b) The availability of the information

- Select one of the two options, and tick the box.
 - Information is available.
 - Information is Not available.

c) The quality of the information

- Select one of the two options and tick the box.
 - Appropriate as indicated
 - Needs amendment

d) Remarks and Suggestions

- Provide concrete opinions or alternatives: "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Tips:

Risks can be examined in the following aspect.

- Institutional aspect: the condition of policy & plan, law, rules, and guidelines
- Financial aspect: the cost and source, and financial capacity and management.
- Organizational/ Technical aspects: manpower and their required skills and qualifications.
- Environmental and Climate change aspects

E.g.

- The actual level of use is lower than initially estimated, due to changes in social and economic conditions.
- The starting of operation is delayed, because of delay in capacity development.
- The technology adopted for maintenance becomes obsolete, and the maintenance cost becomes higher than initially planned.

3-10 Check Sheet (After receiving the recast DPP.)

The chapter makes the Project Assessor understand how the Project Assessor should fill in each blank of the Check Sheet (hereafter the "Check Sheet").

After receiving the recast DPP,

- Check whether it is necessary to hold Project Scrutiny Committee Meeting for assessing the recast DPP,
 - If yes, use MAF to examine the recast DPP.
 - If no, use the Check Sheet to confirm whether all decisions of the last Project Scrutiny Committee Meeting based on the relevant comments in MAF are reflected in the recast DPP.

3-10-1 Manpower Fixation Committee

| | |
|---|---|
| Reference: MAF | |
| a) Is there provision for employment of manpower during implementation stage of the project? | |
| <input type="checkbox"/> Yes (→go to b-1) | <input type="checkbox"/> No (→go to c) |
| b-1) Was the DPP prepared on the basis of decision of the Manpower Rationalization Committee ? | |
| <input type="checkbox"/> Yes (→go to b-2) (Write date of meeting) | <input type="checkbox"/> No (→ Need to hold the Manpower Rationalization Committee and/or prepare the DPP based on decision of committee) |
| b-2) If the answer to b-1) is "YES", Is the Minutes of the meeting with Working Paper attached to the DPP? | |
| <input type="checkbox"/> Yes (→go to c) (Write Appendix No.) | <input type="checkbox"/> No (→ Attach the minutes of the meeting, working paper) |
| Appendix No. (): Minutes of the meeting | Appendix No. ():Working paper |
| c) Remarks and suggestions | |
| | |

Before confirming whether decisions of the last Project Scrutiny Committee Meeting are reflected in the recast DPP, confirm whether necessary actions related to Manpower Fixation have been taken.

Paragraph 1.1.14 of the Green Book 2022 stipulates, "The post/ type and number of manpower should be properly reflected in the DPP along with the recommendations of the Manpower Committee of Finance Division constituted by the Cabinet Division."

a) Employment of manpower

- Check whether the employment of manpower is proposed by looking at the DPP item 11.1 Proposed Project Management Setup and Annexure II.
 - Yes: the employment of manpower is proposed.
 - No: the employment of manpower is not proposed.
- If the answer is Yes, go to question b-1.
- If the answer is No, skip the following questions b-1) and b-2). Go to question c).

b-1) Decision of the Committee

- Check whether the proposed manpower is prepared according to the Manpower Fixation Committee's decision by looking at the "Minutes of the Manpower Fixation Committee Meeting" as an appendix to the DPP.
- Select one of two options:
 - Yes: the proposed manpower is designed based on the committee's decision.
 - No: the proposed manpower is not designed based on the committee's decision.
- If the answer is "Yes", go to question b-2.
- If the answer is "No", skip the questions b-2. Go to c). Provide suggestions like "Manpower Fixation Committee should be organized, and the DPP should be recast based on the committee's decision."

b-2) Record

- Write the date of the committee meeting by looking at the "Minutes of the Manpower Fixation Committee Meeting" as an appendix to the DPP.
- Write the serial number of the appendices "Minutes of the Committee Meeting".

c) Remarks and suggestions

- Provide concrete opinions or alternatives; "XXX is not clear enough in terms of YYY, and XXX can be changed as ZZZ".

Example: To verify the committee's decision, "Minutes of the Manpower Fixation Committee Meeting" should be attached to the DPP. This point can be discussed in the meeting.

3-10-2 Applicable for the Recast DPP

Reference: MAF

Instruction

- Confirm if all the comments and suggestions of PSC meeting based on the MAF are incorporated into the recast DPP.
- When the necessary comments are reflected into the recast DPP, tick the box "YES".
- When the necessary comments are NOT reflected into the Recast DPP, tick the box "No", and provide the remarks and suggestions.
- When there are no comments and suggestion in the concern section of the MAF, tick the box "Not Applicable".

General Instructions

- Confirm whether all the comments and suggestions of PSC/PAC based on MAF are incorporated into the recast DPP by looking into the "Compliance Table" and relevant items, annexures, and appendix of DPP.
 - Tick the box "yes", when the necessary comments are reflected into the recast DPP.
 - Tick the box "no", when the necessary comments are NOT reflected in the recast DPP.
 - In this case, provide the remarks and suggestions, e.g. "The decision of PSC/PAC meeting was not taken into account. Recast the relevant parts of the DPP based on the decision of PSC/PAC meeting. If it is difficult to recast the relevant parts, explain why."
 - Tick the box "Not Applicable, when there are no comments and suggestions in the concern section of the MAF.

Specific Instructions

- For compliance Check A, update the status of compliance based on the recast DPP.
 - Follow the instructions to fill in the check boxes for compliance check A, as explained in sub-chapter 3-2 Compliance Check.
- For compliance Check B, check the status of compliance when confirming the part III and part IV of MAF in the Check Sheet.
- For Parts I, II, III, IV and V, follow the general instructions mentioned above.
- For Part VI of MAF, Cost Benefit Analysis, check whether the recast DPP is appropriate for the items in the "Summary Table for Financial Analysis", and "Summary Table for Economic Analysis".
 - If required, rewrite the "Summary Table for Financial Analysis", and "Summary Table for Economic Analysis".
- For Part VII, follow the general instructions.

Note: As the Sector Division reviews the information of "compliance check A", "Summary Table for Financial Analysis", and "Summary Table for Economic Analysis", the Ministry/Division should update/recast the information of those sections must be updated before submitting the DPP to the Planning Commission.



STRENGTHENING PUBLIC INVESTMENT MANAGEMENT SYSTEM PROJECT

Programming Division
Bangladesh Planning Commission
Government of the People's Republic of Bangladesh

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