



**The Hashemite Kingdom of Jordan**  
**The Ministry of Planning and International Cooperation**

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**Guideline I: Project Concept Note Preparation  
and Preliminary Screening**

**February 2020**

# Guideline I: Project Concept Note Preparation and Preliminary Screening

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# Guideline I: Project Concept Note Preparation and Preliminary Screening

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## GUIDELINE I

### Project Concept Note Preparation and Preliminary Screening

#### 1. Introduction

**1.1 This Guideline supports the new Jordan 2019 Public Investment management – Public Private Partnership Policy by promoting a unified approach for preparing and implementing public investment projects.** The guideline responds to the benefit of officials who have the responsibility for submitting public capital investment project proposals through the Project Concept Note (**hereinafter referred to as the PCN**), which is now available to line ministries. Any national and sub-national public sector entities and their agencies that has the authority to create and generate public investment projects<sup>1</sup> in accordance with the General Budget Law is subject to the requirements of the PCN and must therefore comply with the instructions and guidance contained in this document.

**1.2 Capital funds are precious and must be spent wisely.** The PCN requires more information about project proposals than may have been previously required but this is necessary in order to assess their need, rationale and quality of initial preparation. This is part of a drive by the Government of Jordan to improve the overall quality of public investments. Quality assurance is a process that needs to run through the entire project cycle but it begins with the PCN, and it is particularly important that it is completed, fully and accurately. The information in the submitted PCN will be used as a means of identifying high quality proposals for inclusion into the public investment program. Project proposals for which the sponsor is unable to demonstrate a sufficient need or quality of preparation will be either returned for further work, or rejected.

**1.3 The completed PCNs should be submitted to the Public Investment Management Unit (PIM) / Ministry of Planning and International Cooperation for compliance and quality assessment.** The requirements for achieving compliance and attaining sufficient quality standards are also explained in this document so that there is full transparency for both sponsor and reviewer. Both have access to exactly the same information and guidance and proposers should therefore be able to understand what is required in order to develop a good quality project proposal.

**1.4 It is expected that PIM Unit will examine the affordability issues contained in the PCN, particularly those in PCN Section 3 – Financial Information, in consultation with the General Budget Department / Ministry of Finance.** Affordability must be considered in the context of the availability of capital and O&M requirements over the lifetime of the project.

**1.5 There are a number of ways in which new projects can be conceived by sponsoring agencies:**

- Legal fulfilment: sometimes projects are necessary in order to fulfil legal requirements – an example of which would be to comply with environmental standards; but could also relate to new safety legislation on highways for example. Projects driven by legal necessity are likely to be strong candidates for approval, provided that they are prepared correctly.
- National Development Plans and the Executive Development Plan can identify key

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<sup>1</sup> A public investment project is the acquisition of an asset by the public sector in the expectation of generating a stream of future benefits. This definition implies that PIM focus is capital expenditure which is financed through the discretionary surplus of the fiscal budget, after considering the recurrent expenditure commitments and ongoing capital investments.

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development projects and their priority sequencing. Other published government programs that require investment for their fulfilment can also point towards good project ideas.

- Sectoral strategic plans may highlight priority areas for public investment and therefore guide project identification.
- Asset Registers, where they exist, can provide information on the condition and remaining life of specific capital assets – such as buildings or equipment – and be used to identify those assets requiring replacement or renovation in the near future.
- Participation by relevant stakeholders, including local communities, in identifying new public investment ideas is also recognized as a legitimate way of identifying project ideas, provided that a structured approach to consultation has been used.

## 2. The Benefits of first level Screening of Public Investment Project Proposals

**2.1 The PCN will provide the means to conduct a first level screening of public investment project proposals.** First level screening is the decision point that decides the fate of an initial project proposal – whether it is to be rejected or allowed to continue to be developed.

**2.2 The objective of first level screening is to improve the quality and consistency of information received from project sponsors.** This will allow properly informed decisions to be made on whether projects should be considered for prioritization and inclusion in the budget for funding (in the case of small projects) or allowed to continue to the next stage of project preparation (in the case of medium and large projects<sup>2</sup>). Checking the quality at this early stage increases the probability of successful project results (outputs outcomes and impacts) and decreases the probability of poor outcomes and wasted investments. It is intended to exclude from further consideration those projects that:

- Are not needed
- Are lacking rationale or logic
- Are inconsistent with government or sector priorities
- Are unlikely to be viable
- Involve unacceptable risks
- Lack the required implementation capacity
- Have little chance of being affordable under foreseeable fiscal circumstances

**2.3 All investment projects, large, medium or small, must follow the same format for first level screening.** A positive decision at this early stage requires that the strategic policy relevance, rationale, demand and realism of the project proposal have been demonstrated to the satisfaction of the reviewers at the **PIM Unit** and a convincing case has been made to justify expenditure, whether it is to consider funding to directly implement a small project or on further project planning and appraisal for a larger one.

**2.4 There are a number of reasons why only quality assured projects should become eligible for capital expenditure:**

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<sup>2</sup> <sup>1</sup> The legal definition of ‘small’, ‘medium’ and ‘large’ projects can be found in Section 3.

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- A well-prepared project is less likely to over-spend – thereby preventing budget problems in future years; or run over time – meaning that they are likely to contribute more quickly to the economic and social development of the Kingdom.
- First level screening also prevents financial and human resources from being wasted on feasibility studies for projects that would never be funded after years of waiting on a list of potential projects, and assists in reducing pressures on the budget or on development partners and implementing ministries by keeping the project pipeline at a manageable level.
- First level screening provides an important opportunity for the sponsoring agencies to test the robustness of their project proposals in terms of need, risk and sustainability. It is, after all, in the interests of the sponsoring agencies that their projects provide real solutions to real problems or deliver benefits when opportunities arise. Therefore, it makes sense to check that proposals are planned well so that they can be implemented effectively. This would include considering risks related to climate change, disasters, and environmental in today's projects to increase the long-term success of development efforts. Doing this helps to avoid problems throughout the operational life of the project – problems that impact long-term on the users as well as the public agency that would be responsible for fixing these problems.

## 3. Purpose and Scope of the Project Concept Note

**3.1 The overall purpose of the PCN is to improve the quality of public investments in Jordan.** It will achieve this through a more *consistent presentation of information* by project proposers and careful *quality checking* of that information. This will require line ministries to complete a PCN for each project idea, creating a single entry-point for all project proposals regardless of size, type of project or implementing body within the relevant sector. Therefore, line ministries will be the PIM single point of contact per sector and will have to internally quality assure all sectoral project proposals.

**3.2 The PCN has been designed in order to make an initial assessment of new project proposals in Jordan, irrespective of funding source.** The reasons for this are:

- It is important that the government has a comprehensive overview of all economic and social development activity so that it can be properly coordinated planned and sequenced.
- Even though the capital costs of a project are often financed from external funding sources, the long term operational and maintenance costs are usually paid from national or local budgets. It is therefore important that these long term costs are taken into account in budget planning and decision-making before commitments are made for approving the project.

**3.3 The PCN is a single template that serves two related purposes depending on the scale and/or complexity of the proposed project:**

**a) For small projects (<10 Million JOD)** the PCN will serve as the only document through which authorized public agencies can make a request for small scale capital funding for a project.

All PCN proposals (whether later implemented as a Public Investment Project or Public Private Partnership) will be registered in the National Registry of Investment Projects (NRIP), once they are submitted to the **PIM Unit**, by assigning a single, unambiguous identification number (P-Code). This identification number will accompany the project during its entire life cycle. If the proposal is

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assessed positively, it will enter into a pipeline of assessed projects to be considered for prioritization and inclusion in the budget for funding, alongside other project proposals that have achieved the same status. In the event of a delay of 12 months or more between approval and funding, a further review of the project assumptions and implementation readiness will be undertaken, before considering a project eligible for funding. It may still be possible for the PIM to request a feasibility study for a small project for example in the case of new technologies or processes being introduced. **In the case of small projects ‘Approval’ of a project proposal and ‘Selection’ for financing should not be seen as the same thing.** It is possible to approve a project as a ‘good’ project without necessarily having the funds to allocate to it immediately. It may be a good project and approved through the quality check in the PCN, but not a current priority compared to other approved projects.

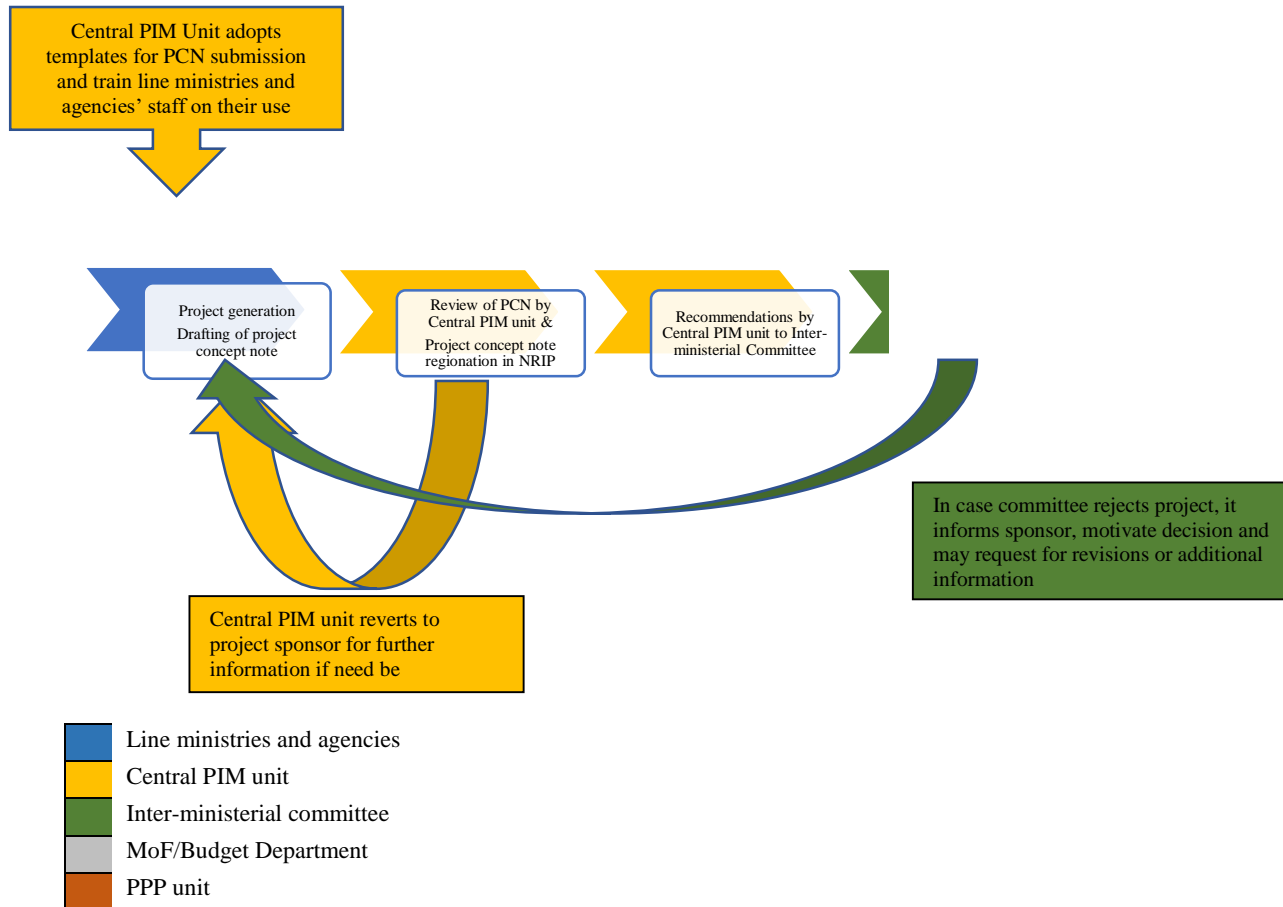
**b) For medium and large projects (>10 Million JOD)** the PCN will still be the only document through which authorized public agencies can make a request for capital funding for a project. However, these larger (or more complex) projects will be required to undergo more detailed appraisal (feasibility study level) under conditions that will be prescribed by further guidance. Therefore, in the event that the proposal is assessed positively, it will be allowed to progress to the next stage of preparation which will involve more detailed preparation and appraisal during which a feasibility study (including a more detailed risk assessment), will be prepared. This feasibility study will then be assessed in accordance with Guidance II.

**3.4 In the case of medium or large projects, the PCN should only be seen as a means of identifying potentially good projects.** ‘Approval’ in this case allows them to proceed to the next stage of planning, preparation and appraisal – a feasibility study (FS) - ensuring they are adequately presented with all relevant information. It can be seen therefore as a ‘stepping stone’. The PCN in larger projects represents the first stage of a quality management process that will also involve the checking of feasibility studies as they are prepared at a later stage.

**Figure 1: The Role of the PCN in Project Submissions**

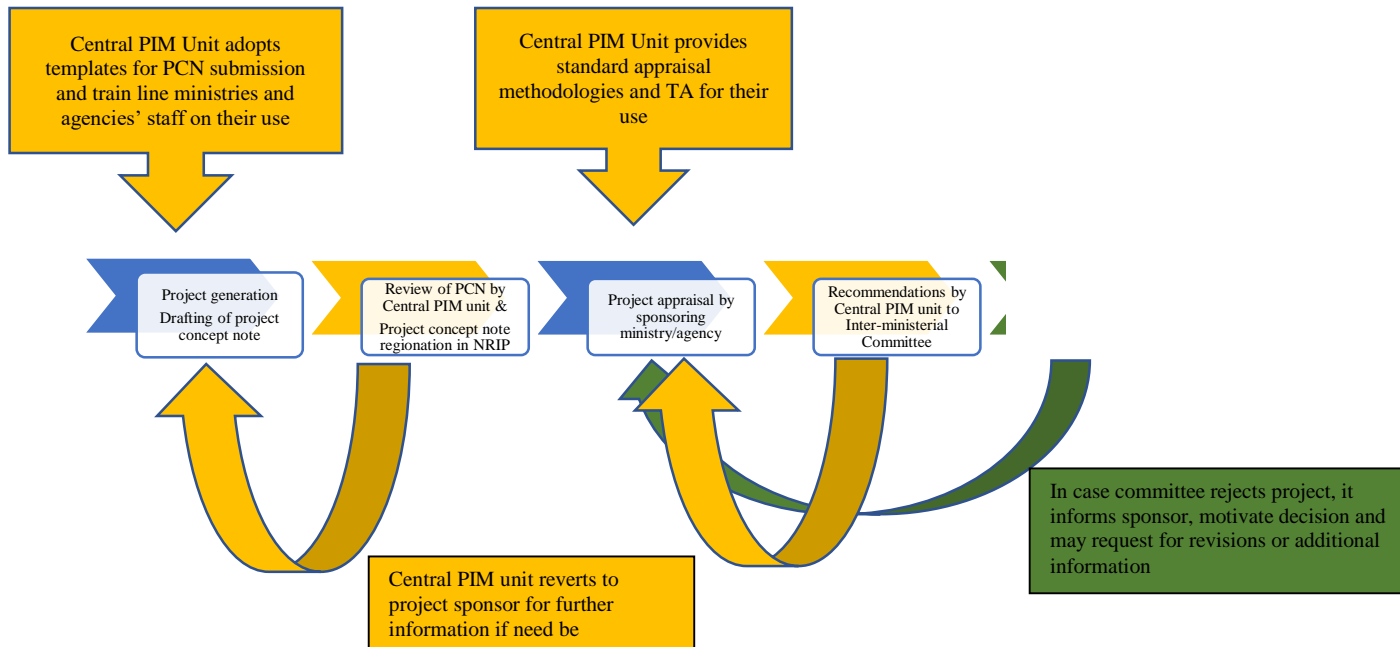
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Recommended workflow for the preparation of capital projects: track 1 (<10 M JOD)



# Guideline I: Project Concept Note Preparation and Preliminary Screening

Recommended workflow for the preparation of capital projects: track 2 (>10 M JOD)



- Line ministries and agencies
- Central PIM unit
- Inter-ministerial committee
- MoF/Budget Department
- PPP unit



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### 4. Internal Quality Control in Proposing Authorities

#### 4.1 The quality of project proposals is the ultimate responsibility of the sponsoring agencies.

When a PCN is being prepared and prior to its submission for assessment to the PIM Unit, the proposing agency should take measures to ensure that the quality of the PCN is good enough to stand the best possible chance of success. It is in nobody's interest to submit a poor quality PCN because it wastes the time not only of the PIM Unit but also of the sponsoring agency itself.

#### 4.2 All projects that are being conceived or developed should be internally reviewed in the relevant line ministry prior to the submission of the PCN.

This is not only to check for completion and overall quality but also to guard against simple mistakes or omissions that could result in them being returned or rejected and, consequently, wasting time. Therefore, all departments and agencies of one sector must first present their projects in the PCN format to their line ministry for initial review and approval. The minister will assign a department to conduct the internal quality review of all new project proposals prior to signature and formal submission of the PCN.

#### 4.3 A PCN can only be submitted by the responsible line ministry and requires the signature of the minister as well as the most senior official holding overall responsibility in the public entity that is proposing the project.

For example, in the case of an agency this would be the head of the agency. Projects may be proposed by any public body in the administration with legal authority to do so but without these signatures it will be assumed that the proposal does not have the support of the minister. This will also mean that the PCN cannot be validated and will be returned without assessment.

### 5. How to Complete the Project Concept Note

#### 5.1 The table below is a full reproduction of the PCN template and contains all the same sections and text.

For the purposes of this guidance note, at each section or sub-section heading is a narrative description of the information required and an explanation of how to complete that section. This narrative is shown in *blue italic font*. Please read ALL the notes provided before attempting to complete the PCN.

<b>Project Concept Note Template for Public Investment Projects in the Infrastructure and Social Sectors</b>	
<b>Section 1: Executive Information and Project Profile</b>	
<i>Executive Information is provided to allow decision makers easy access to relevant data. It may be preferable or even easier to complete this section after the other detailed sections have been completed.</i>	
<b>Name of Sponsoring Public Agency/entity:</b>	<i>Clearly identify the public agency responsible to submit/in charge of the project</i>
<b>Responsible Line Ministry:</b>	<i>Clearly identify the line ministry responsible for the public agency</i>
<b>Submission Date:</b>	<i>The date is automatically created once the project is submitted/registered at the NRIP</i>
<b>Name of Project:</b>	<i>Be sure to use the correct title of the project in full. Avoid any abbreviated names or 'working titles'. Once a project has been accepted and issued with a reference number in the NRIP, the title shown in this box will become its official name</i>

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<b>Project ID Number (according to NRIP)</b>	<i>The project ID Number is automatically created once the project is submitted/registered at the NRIP</i>								
<b>Sector:</b>	<i>Clearly identify the sector and corresponding sub-sector, according to the sector policies</i>								
<b>Physical Description of the Project / Type:</b>	<i>Provide only enough information to illustrate the physical nature of the project. For example: Construction of 235km of paved road between [town] and [town], Expansion of 30 bed hospital, Rehabilitation of a 10 km 1200mm water pipeline, etc. Type of project: construction, expansion, rehabilitation, replacement, improvement, etc.</i>								
<b>Location (Governorate/Sub-Governorate/City/Municipality):</b>	<i>Name the location of the project or locations if the project includes more than one site. If possible please use map reference or GPS coordinates</i>								
<b>Name of partners – if applicable:</b>	<i>Related to project coordination and permit issuance i.e. environmental permits, road excavation permits, etc. If more than one organization are requesting this project and will collaborate in its implementation, please list the name(s) of the other co-requesting organization(s)</i>								
<b>Estimated start date of the project (month / year):</b>	<i>The start date would be:</i> <ul style="list-style-type: none"> <li>• <i>In the case of a small project not requiring a Feasibility Study: the point at which the Procurement Notice is published</i></li> <li>• <i>In the case of medium and large projects where a Feasibility Study is required: the point at which the Feasibility Study begins. This is the point at which expenditure starts to be committed (for the FS).</i></li> </ul>								
<b>Estimated date of operation of the completed project (month / year):</b>	<i>In all cases, this would be the date at which the project is expected to enter operational service and start delivering, partially or totally, the expected benefits</i>								
<b>Project Readiness:</b>	<i>Describe any relevant information regarding the readiness of the project. For example, if land expropriation is required or not. Add information regarding the status of pre-investment analysis (studies, surveys, etc.) and any permits to implement and operate the project. Provide any information regarding the status of appraisal studies (technical, financial, economic, environmental, social and stakeholders)</i>								
<b>Estimated Capital Cost of the Project (CAPEX):</b>									
<i>This is the total capital cost required to complete the proposed project which must include all items necessary to allow the project to achieve its designed functions and objectives. Provide an estimate of the cost of further preparatory studies required for project appraisal. As an example, in a health clinic, in addition to building and construction costs, all the medical equipment, fixtures, fittings and furniture should be included. The costs of acquiring land (including compensation and settlement costs) as well as all technical consultancy fees (feasibility, design and supervision) and costs should also be included. Please also include the add-on costs of bringing necessary utility service to the site eg water pipe, electricity cable or even a service road to create access in the construction costs.</i>									
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 25%;"><i>Component</i></th> <th style="width: 25%;"><i>Cost (JOD)</i></th> <th style="width: 25%;"><i>Estimated duration (months)</i></th> <th style="width: 25%;"><i>Sources used for costing</i></th> </tr> </thead> <tbody> <tr> <td><i>Land acquisition</i></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		<i>Component</i>	<i>Cost (JOD)</i>	<i>Estimated duration (months)</i>	<i>Sources used for costing</i>	<i>Land acquisition</i>			
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<i>Feasibility</i>				
<i>Design and Supervision</i>				
<i>Construction</i>				

*It is also necessary to specify the total amount of the capital requirement in terms of*

- a) National Budget funds required (state the actual amount required) and the amount which could be provided through foreign sources*
- b) Estimated capital costs should be presented in real costs*
- c) The sources for costing include: none; secondary sources (conceptual design: averages, website, expert opinion); primary sources (detailed data: detailed design, well-defined specifications, final data, plans, actual quotes, final prices in contracts)*

<b>Estimated project duration (years):</b>	<i>Refer to above schedule. Time needed for the planning and execution of the project</i>
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**Estimated operation and maintenance costs (first full fiscal year of operation):**  
*This is the total cost of operating, supplying and maintaining the project in the first full budget year after the time of entry of the project in to its operational phase. The purpose of this information is to inform the budgeting process of future additional annual costs that would be incurred through implementing the project. It should include an estimate of all salaries, utility costs as well as the cost of supplies, and services. Some operational costs may already be taken into account in the budget planning. For example, in the case of replacing an old school with a new one, some - or maybe all - teachers' salaries are covered by the existing budget. It is important to identify separately those operational costs that will be new calls on the budget. In the case of completely new projects, all operational costs are usually new calls on the budget. The requirement to complete this section applies equally to externally funded projects.*

Note: *If the project is due to enter service part way through a budget year a separate note must be made of the costs of operation in the months immediately following the date of the project's entry in to operation to the end of the fiscal year.*

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<b>Section 2: Justification, Objective and Relevance</b>	
<p><b>2.1 Why does this project need to be implemented (In terms of problem to be resolved or opportunity to be exploited)? Include basic information about the scale of the problem or opportunity.</b></p> <p><i>a) Projects can be generated either to fix a problem that only the government can resolve or an opportunity that the private sector has been unable to address.</i></p> <p><i>b) To stand the best possible chance of justifying the commitment of government or external funding, it is essential to describe the nature and scale of the problem or opportunity that the proposed project will address.</i></p> <p><i>c) The description should explain the causes of the problem and its effect(s) or the origin of the opportunity. It should also explain why the problem/opportunity has occurred and for how long it has been a problem or opportunity.</i></p> <p><i>d) The scale of the problem / opportunity should be explained in terms of (as examples) how many people are affected by a problem or what size of market might be available in a certain market opportunity scenario. Please be clear about the numbers involved and where the evidence to support the numbers comes from.</i></p> <p><i>For example, the project is designed to solve the problem of transport trucks entering Amman city, which is causing traffic in the city. It is also expected to improve transport for trucks connecting Amman to Petra. This project is also crucial for the country's integration in terms of its connection to neighboring countries. In this regard, the project will facilitate international trade and commerce.</i></p>	<p style="text-align: center;"><b>Quality Score</b></p> <p><b>Fail</b> = Fails to describe the problem or opportunity or that the problem / opportunity is described but is not considered important</p> <p><b>Not Clear</b> = There is inadequate numerical information about the scale of the problem or opportunity</p> <p><b>Pass</b> = The problem, its reasons and causes are explained fully or opportunities are explained fully with evidence of scale</p>
<p><b>2.2 What is / are the objective(s) of the proposed project?</b></p> <p><i>State the objectives that the proposing authority aims to meet with this proposal. There should be a single primary objective expressed in no more than two or three sentences.</i></p> <p><i>The objectives should be specific to dealing with the problem/opportunity described in section 2.1; they should be measurable (to achieve what by when?). They should also be realistic against previous experience of similar projects.</i></p> <p><i>An example of an objective might be 'to reduce fatal road accidents in [location] to less than [number] by [date] through [construction of...]'</i></p> <p><i>A number of secondary objectives may also be listed if appropriate.</i></p>	<p style="text-align: center;"><b>Quality score</b></p> <p><b>Fail</b> = Objectives not described</p> <p><b>Not Clear</b> = Objectives described but not clearly in accordance with Guidance</p> <p><b>Pass</b> = Objectives clearly described</p>
<p><b>2.3 State how the project will fulfil objectives of the Vision 2025 National Development Plan, Sector Strategies and plans or other government policy.</b></p> <p><i>Project proposals need to demonstrate that they are being pursued in the interests of the economic or social development needs of the</i></p>	<p style="text-align: center;"><b>Quality Score</b></p> <p><b>Fail</b> = No link was established between the project and Vision 2025, NDP or sector strategies and plans</p> <p><b>Not Clear</b> = Reference has been made to the</p>

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<p><i>nation or a local area. The government policies or strategies that are relevant to the proposed project, must be referenced here, and it must be elaborated how the project contributes to their achievement. The project may only meet a single policy objective or it may aim to meet more than one. If this is the case, each one must be referenced.</i></p>	<p>relevant national or sector programs but their link to the proposed project is not clear  <b>Pass</b> = Reference has been made to the relevant Plan or Strategy and a clear explanation has been provided about the link to the proposed project.</p>
<p><b>2.4 Who are the intended beneficiaries of the project and how many?</b>  <i>Depending on the nature of the proposed project, describe the main beneficiaries of the project. Estimate the predicted use of the project using relevant available statistics. When forecasts are being quoted, please include the source of the forecast data.</i></p> <p><i>As an example, if the project relates to a road, provide traffic statistics. If the project relates to healthcare, provide statistics on numbers and the nature of hospitalizations within the project’s target area of coverage. If the project relates to a school, use population data to show how many school age children live within a realistic radius of the school.</i></p> <p><i>The source of the evidence should be provided as well as the date at which the statistics were gathered. Historic data showing trends would further strengthen the proposal, if available. Rather than just providing basic statistics, try to relate the numbers to the proposed scale of the project.</i></p>	<p style="text-align: center;"><b>Quality Score</b></p> <p><b>Fail</b> = fails to describe intended beneficiaries of the project  <b>Not Clear</b> = Intended beneficiaries of the project not clearly described or quantified  <b>Pass</b> = Intended beneficiaries of the project are described clearly and quantified</p>
<p><b>2.5 What are the intended activities, outputs (deliverables) and outcomes of the proposed project?</b></p> <p><b><u>Activities</u></b>  <i>List the main activities of the proposed project. Activities are the tasks or actions required to achieve the objective; for example, the construction of a new clinic at [location]; fit out with equipment and supplies; ensure adequate staffing and all other staff necessary to operationalize the clinic.</i></p> <p><b><u>Outputs (deliverables)</u></b>  <i>List the main outputs and outcomes of the project. Outputs might include (as examples) number of kilometers of new road or number of school places or hospital beds added by a certain date.</i></p> <p><b><u>Outcomes</u></b>  <i>Outcomes should relate to resolving the problem described in section 2.1: What will have been gained by implementing the project and how can we measure the degree of success of the project?</i>  <i>For example, in the case of a new road, one of the outcomes might be described as a 50% reduction in accidents in the first year of the new road. In the case of new hospital beds, a successful outcome might be the reduction of waiting times in hospital admissions by 2 hours in the first 12 months.</i></p> <p><i>Outcomes are likely to be variable over the operational life of the facility created by the project – often less in the first year of operation and greater in subsequent years as operating efficiency improves. Conversely as demand grows, delivery efficiency may</i></p>	<p style="text-align: center;"><b>Quality Score</b></p> <p><b>Fail</b> = Either activities, outputs and outcomes are not described  <b>Not Clear</b> = Activities, outputs and outcomes are described but not clearly or appear not to be linked to the description of the project  <b>Pass</b> = Intended activities, outputs and outcomes are described clearly</p>

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<p><i>be compromised if a facility has to operate at over- capacity. This variability should be reflected in stating the estimated outcomes – i.e. what will be achieved by when?</i></p>	
<p><b>2.6 Are there any precedents in the country, in the sector or the sub-sector?</b> (Either answer yes or no - if 'yes' please describe the lessons learned - if 'no' please describe the extra measures that will be taken to address this risk).</p> <p><i>Projects that have not had precedents are almost always at additional implementation risk. The purpose of this question is to ensure that:</i></p> <p><i>a) If there is a precedent for the project previously in Jordan, were the outputs and outcomes satisfactory and most importantly what were the lessons learned that could benefit the present proposal?</i></p> <p><i>b) If there are no precedents, what mitigation measures have been considered to manage the risks of time and budget over-runs?</i></p>	<p style="text-align: center;"><b>Quality score</b></p> <p><b>Fail = Either:</b> there are no precedents for the project in the country, sector or sub- sector and no credible mitigating measures have been described <b>OR:</b> there have been precedents in the country, sector or sub- sector but the outcomes were poor with no obvious mitigating measures.</p> <p><b>Not Clear=</b> Mitigating measures are not included or described.</p> <p><b>Pass = Either:</b> There has been no precedent for the project in the country, sector or sub-sector but credible mitigating measures have been described <b>OR:</b> There have been precedents and the outcomes were positive.</p>
<p><b>2.7 List all the positive and negative social and environmental effects of the project. In addition, please explain if the project may negatively affect different groups (by gender, race, religion, disability etc.) and if so how these effects can be mitigated</b></p> <p><i>List the positive effects of the project. All worthwhile projects should create positive effects. Some projects can disproportionately benefit some groups more than others. Often this is intended; for example, in the case of a project to build better access to government buildings for disabled people.</i></p> <p><i>Project proposers should consider the positive effects that the project would likely have on different groups of people or communities. For example, positive or negative social impacts include job creation/destruction, increase in public health and safety in the city, reduced air and environmental pollution, increased roadside traffic within the city, poverty alleviation.</i></p> <p><i>Many projects have some form of negative impact, the most common of which are climate change, disasters and environmental, and the displacement of people in order to free up space for a project. Careful consideration should be given to all negative impacts and how they can be mitigated. They should be listed here.</i></p> <p><i>Some projects may negatively affect a minority group disproportionately for example a proposed road that crosses a site that has some religious significance for a certain religious group. Again these disproportionate negative impacts should be listed here. This should include measures on how to reduce nuisance from construction activities from the project, in the local area.</i></p>	<p style="text-align: center;"><b>Quality Score</b></p> <p><b>Fail =</b> fails to list any effects of the project <b>OR</b> the negative effects are unacceptable</p> <p><b>Not Clear =</b> positive and negative effects are listed but not explained clearly</p> <p><b>Pass =</b> positive and negative effects are explained clearly and appear acceptable</p>
<p><b>2.8 Potential climate change impact or benefit – if applicable</b></p> <p><i>Clearly identify any positive and negative impact on climate change. For example, the project is expected to reduce carbon</i></p>	<p style="text-align: center;"><b>Quality Score</b></p> <p><b>Fail =</b> fails to list any effects of the project <b>OR</b> the negative effects are unacceptable</p> <p><b>Not Clear =</b> positive and negative effects are</p>

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<i>dioxide emissions, a leading cause of climate change. The corresponding benefit was estimated as the social cost of carbon for Jordan.</i>	listed but not explained clearly <b>Pass</b> = positive and negative effects are explained clearly and appear acceptable																																													
<b>2.9 List the alternative implementing options that have been considered for achieving the objectives</b>																																														
<i>No government can fulfil all tasks required in an economy. It is therefore more realistic to focus only on the projects that only the government can do. Identify if the project can be implemented as a Public Private Partnership (PPP), fill in the below form under the title “Applicability of PPP”</i>																																														
<b>APPLICABILITY OF PPP</b>																																														
<b>A.</b>	<b>PPP Project Rationale:</b> <span style="float: right;">(Please check all that apply)</span> i) Project is difficult to implement with financial resources or the expertise of Government alone <input type="checkbox"/> ii) Private investment would potentially increase quality / level of service compared to what Government could accomplish on its own <input type="checkbox"/> iii) There is an opportunity for competition among private investors which may reduce the cost of providing public service <input type="checkbox"/> iv) Private investment could allow the project to benefit from the private sector’s innovation, modern technologies, knowledge and expertise in project development and management <input type="checkbox"/> v) Project includes the construction, rehabilitation, operation, and / or maintenance of public infrastructure <input type="checkbox"/> vi) Others:																																													
<b>B.</b>	Please describe the end services that a PPP operator could deliver:																																													
<b>C.</b>	Please indicate the proposed risk allocation between the private and public sector illustrated below: <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <thead> <tr> <th style="width: 35%;">Risk Category</th> <th style="width: 10%;">Public Sector</th> <th style="width: 10%;">Shared</th> <th style="width: 10%;">Private Sector</th> <th style="width: 35%;">Additional information</th> </tr> </thead> <tbody> <tr><td>Design risk</td><td></td><td></td><td></td><td></td></tr> <tr><td>Land acquisition and resettlement</td><td></td><td></td><td></td><td></td></tr> <tr><td>Financing risk</td><td></td><td></td><td></td><td></td></tr> <tr><td>Construction risk</td><td></td><td></td><td></td><td></td></tr> <tr><td>Operating risk</td><td></td><td></td><td></td><td></td></tr> <tr><td>Environmental/social risk (operation)</td><td></td><td></td><td></td><td></td></tr> <tr><td>Demand risk</td><td></td><td></td><td></td><td></td></tr> <tr><td>Other</td><td></td><td></td><td></td><td></td></tr> </tbody> </table>	Risk Category	Public Sector	Shared	Private Sector	Additional information	Design risk					Land acquisition and resettlement					Financing risk					Construction risk					Operating risk					Environmental/social risk (operation)					Demand risk					Other				
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<b>D.</b>	Would any legislation/regulation need to be enacted to allow private sector to deliver and charge for services? Yes <input type="checkbox"/> No <input type="checkbox"/> Not Known <input type="checkbox"/>																																													
<b>E.</b>	<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;">                     i) Estimated period of contract: _____ years                      If uncertain, please specify a range -                      Less than 10 <input type="checkbox"/> 10-15 <input type="checkbox"/> 15-20 <input type="checkbox"/> 20-35 <input type="checkbox"/> </td> <td style="width: 50%; border: none;">                     ii) Estimated economic life of project: _____ years                      If uncertain, please specify a range -                      &lt;10 <input type="checkbox"/> 10-30 <input type="checkbox"/> &gt;30 <input type="checkbox"/> </td> </tr> </table>	i) Estimated period of contract: _____ years If uncertain, please specify a range - Less than 10 <input type="checkbox"/> 10-15 <input type="checkbox"/> 15-20 <input type="checkbox"/> 20-35 <input type="checkbox"/>	ii) Estimated economic life of project: _____ years If uncertain, please specify a range - <10 <input type="checkbox"/> 10-30 <input type="checkbox"/> >30 <input type="checkbox"/>																																											
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<b>F.</b>	Please specify the preferred mode of project procurement: Solicited <input type="checkbox"/> Unsolicited <input type="checkbox"/>  If “Unsolicited”, please indicate if the project complies with the conditions for direct / unsolicited proposals laid out in Article 22 of the PPP Law: Yes <input type="checkbox"/> No <input type="checkbox"/>  If yes, provide detail on how the project complies with the PPP Law and detail on the unsolicited proposer?																																													
<b>FINANCIAL ANALYSIS AND BANKABILITY</b>																																														
<b>A.</b>	i) <b>Please indicate the source of project revenue (Please tick as applicable):</b> User Charges <input type="checkbox"/> Line Ministry / Agency <input type="checkbox"/> Both <input type="checkbox"/> ii) <b>Please complete the following if you have ticked “User Charges” or “Both”:</b> Estimated average benchmark charges payable by User: _____ Estimated number of Users (per day): _____ JOD																																													

# Guideline I: Project Concept Note Preparation and Preliminary Screening

	<p><b>iii) Please complete the following if you ticked “Line Ministry / Agency” or “Both”:</b></p> <p>a) Does the Line Ministry / Agency have separate revenue raising power? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>b) Does the Line Ministry / Agency have a budget for delivering these services? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If “Yes”, please indicate how much:</p> <p>c) Please provide an estimate of the number of Users (per day):</p> <p>d) Please provide an estimate of the fiscal commitments and contingent liabilities (FCCL) arising from the project:</p> <p>e) Are the estimated FCCL arising from the project affordable to the Government?: Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<b>B.</b>	<p>Do the estimated user charges, line ministry/agency payments, or combination of both, provide sufficient revenue to cover project costs? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Please add detail on assumptions/calculations as necessary:</p>
<b>C.</b>	<p>Are you aware of a similar project being delivered through a PPP Model elsewhere? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If “Yes”, please indicate where: Jordan <input type="checkbox"/> Arab states <input type="checkbox"/> Rest of the world <input type="checkbox"/></p> <p>(Please attach any reference material i.e. project reports, website link etc.)</p>
<b>D.</b>	<p>Has the project received any feedback from lenders, equity providers, MDBs/DFIs, operators, etc.? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If “Yes”, please provide summary of feedback:</p>

## SECTION FOUR (REQUIRED)

### IMPLEMENTATION

<b>A.</b>	<p>Based on project information, we determine that this project should be procured as a PPP? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Please explain why:</p>
<b>B.</b>	<p>Please indicate if there are Financial Resources available for project development (e.g. feasibility study): Yes <input type="checkbox"/> No <input type="checkbox"/> (If “Yes”, indicate how much):</p>

## SECTION FIVE (REQUIRED)

### TIMELINE

<b>A.</b>	Please provide an indicative time line:			
	<b>PPP Project</b>	Date	<b>Public Project</b>	Date
	<b>i)</b> Submission of Project Concept Note		<b>i)</b> Submission of Project Concept Note	
	<b>ii)</b> NRIP Registration		<b>ii)</b> NRIP Registration	
	<b>iii)</b> Pre-feasibility study		<b>iii)</b> Pre-feasibility study	
	<b>iv)</b> Feasibility study and FCCL report		<b>iv)</b> Feasibility study	
	<b>v)</b> Development of tender documents		<b>v)</b> RFQ	
	<b>vi)</b> RFQ		<b>vi)</b> RFP	
	<b>vii)</b> RFP		<b>vii)</b> Contract negotiation	
	<b>viii)</b> Contract negotiation		<b>viii)</b> Signing the contract	
	<b>ix)</b> Signing the contract		<b>ix)</b> Project implementation	
	<b>x)</b> Financial closure			
	<b>xi)</b> Project implementation			

### Quality Score

**Fail** = No serious attempt to address the question

**Not Clear** = It is not clear whether the project could be best implemented by the public sector / private sector

**Pass** = It is clear why either the public sector / private sector would be the best implementer of this project proposal



# Guideline I: Project Concept Note Preparation and Preliminary Screening

## Section 3: Financial and Economic Information

*In this section, estimates must be shown of all capital, operational and maintenance costs necessary in order to realize the project. (all amounts in JOD). PIM may ask MoF for their opinion in terms of financial affordability. It is recognized that in larger projects, it is more difficult to estimate costs at an early stage prior to feasibility studies being made, however 'best endeavours' should be employed using precedent costs and as a principle should aim to include more contingency to cover unknown future costs.*

### 3.1 Estimated Total Capital Cost to complete the project

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*Costs must include, in addition to construction costs, pre-construction costs such as feasibility studies, architecture and engineering, land acquisition / expropriation / compensation and settlement costs, and the costs of all materials, equipment and services (including consultant costs) necessary to complete the project. The capital costs must be estimated to the best ability of the proposing authority and the source or basis for these estimates should be shown or attached as separate documents.*

### 3.2 Capital Requirement for each year

(total must equal the amount shown above)

*Costs for the first year during which disbursements are expected to be made should be shown even if it is only to pay for a feasibility study. Future years' figures should include the estimated disbursement in the case of multi-year implementation or phased projects. Please add additional years for extended period projects. State the exact year in all cases.*

Fiscal Year	Amount Required
.....	.....
.....	.....
.....	.....
.....	.....

### 3.3 Sources of Capital Funding

*Use the table below to input all sources of capital funding for the project by amount in JOD and also as a percentage.*

Type of Finance	Amount (JOD)	Amount (%)
Treasury		
External project loan		
External Grant Aid		
Domestic Borrowing		
Sales Revenue		
Tolls and Fees		
Community Contribution		
<b>Total</b> (calculated values)		

### Quality Score

**Fail** = The information is not realistic or credible  
**Not Clear** = The information may be credible but requires clarification  
**Pass** = The data is clear and estimates provided seem realistic

*Note that the Quality Score applies to the combined responses to questions 3.1; 3.2 and 3.3.*

# Guideline I: Project Concept Note Preparation and Preliminary Screening

<p><b>3.4 Annual Operating Costs (JOD):</b>  <i>The estimated on-going operating (recurrent) costs required to sustain the project over its useful life must be estimated and expressed as: [x amount] of JOD operating costs per annum. The figure should include costs for salaries, utilities, maintenance, supplies and materials etc. <u>The source or basis for these estimates must be shown or can be attached as a separate document if necessary.</u> As shown below, the operating costs should be expressed in terms of how much can be paid from the proposing authority (administrative unit) regular running costs and how much will be additional cost.</i></p> <p>Total Estimated Annual Operating Costs of the Project  <i>State the total estimated cost of operating the project for the first full fiscal year.</i></p> <p>How much of this will be recovered from the existing budget?  <i>Some projects involve replacing existing facilities meaning that there is already a budget attached to an old or previous facility. If this is the case enter here the amount in the existing budget. If the project is completely new, with no related previous budget, please enter '0' here.</i></p> <p>New operating costs (calculated value)</p>	<p><b>Quality Score</b></p> <p><b>Fail</b> = The information is not realistic or credible  <b>Not Clear</b> = The information may be credible but requires clarification  <b>Pass</b> = The data is clear and estimates provided seem realistic</p> <p><i>Note that the Quality Score applies to the combined responses to questions 3.4; and 3.5.</i></p>	
<p><b>3.5 Sources of additional operating and maintenance costs:</b>  <i>State here how the additional operating costs will be funded. This should amount to the same figure as shown above in 'New operating costs (calculated value)'. When sources other than Treasury funding are anticipated please add evidence of the offer to do so. This could be in the form of a letter of intent or email exchange. Sales revenues, tolls and fees should have calculated values and assumptions to support the predicted values of the income</i></p> <p>( ) Treasury          ( ) External Loan          ( ) External Grant          ( ) Domestic Borrowing          ( ) Sales Revenue          ( ) Tolls and Fees          ( ) Community Contribution</p>		

## Guideline I: Project Concept Note Preparation and Preliminary Screening

<p><b>3.6 Is land expropriation required? (Yes / No)</b>  <b>If ‘YES’, state the total expenses required to achieve this (compensation / re-settlement costs etc)</b></p> <p><i>Simply write ‘YES’ or ‘NO’ here depending on which is the case. In the case of a ‘YES’ answer, this amount should already have been included in the total values shown at 3.1 and 3.2 but <u>should be identified separately here.</u></i></p> <p><i>If expropriation is required in order to realize the project, this must be made clear at this point. The estimated cost of the entire expropriation should also be included here and should include all compensation and re-settlement costs if necessary.</i></p>  <p><i>The total cost of expropriation is estimated at:</i></p> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse;"> <tr> <td style="width: 100px; height: 30px;"></td> <td style="width: 100px; text-align: center; vertical-align: middle;">JOD</td> </tr> </table>		JOD	<p style="text-align: center;"><b>Quality Score</b></p> <p><b>Fail</b> = The information was provided but does not seem realistic</p> <p><b>Not Clear</b> = The information provided may be realistic but requires clarification</p> <p><b>Pass</b> = The information is clear and appears to be realistic</p>						
	JOD								
<p><b>3.7 Will the project generate revenues? (Yes / No)</b>  <b>If ‘YES’ provide the estimated revenues, their sources and the anticipated project IRR:</b></p> <p><i>Answer either ‘YES’ or ‘NO’ here.</i></p> <p><i>If the answer is ‘NO’ move to the next section.</i></p> <p><i>If the answer is ‘YES’ meaning that revenues are anticipated (e.g. fees from use of the facility or sales from goods produced) they should be estimated and expressed as JOD per annum according to the table below. If the first operational year is a part year as is often the case, the reduced values should be shown with the following three full years’ estimates.</i></p> <table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <thead> <tr> <th style="width: 25%;">1st operational year</th> <th style="width: 25%;">Year 2</th> <th style="width: 25%;">Year 3</th> <th style="width: 25%;">Year 4</th> </tr> </thead> <tbody> <tr> <td style="height: 30px;"></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p><b>Sources of Revenue:</b>  <i>State here where the anticipated revenue will come from. The answer given here should concur with the information given in sections 3.3 and 3.5.</i></p> <p><b>Anticipated Project IRR:</b>  <i>State here the estimated project IRR based on the revenue figures shown in the table above. Calculations should be shown in all cases.</i></p>	1st operational year	Year 2	Year 3	Year 4					<p style="text-align: center;"><b>Quality Score</b></p> <p><b>Fail</b> = The information was provided but does not seem realistic</p> <p><b>Not Clear</b> = The information provided may be realistic but requires clarification</p> <p><b>Pass</b> = The information is clear and appears to be realistic</p>
1st operational year	Year 2	Year 3	Year 4						
<p><b>3.8 What is the economic benefit and project net present value NPV in JOD – if applicable</b></p> <p><i>Include, if they are available, any information regarding expected benefits. For example, it is expected that the road improvement will generate savings in maintenance costs for substitute roads</i></p> <p><i>Include, if they are available indicators of evaluation criteria (NPV)</i></p> <p><i>State any information about the economic profitability of the project, estimated based on the revenue figures shown above in 3.7</i></p>	<p style="text-align: center;"><b>Quality Score</b></p> <p><b>Fail</b> = The information was provided but does not seem realistic</p> <p><b>Not Clear</b> = The information provided may be realistic but requires clarification</p> <p><b>Pass</b> = The information is clear and appears to be realistic</p>								

# Guideline I: Project Concept Note Preparation and Preliminary Screening

## 4. Implementation

*This section should provide evidence that a basic implementation plan has been considered. Although detail will not be possible or necessary at this early stage, basic planning will require consideration of the main challenges in implementing the project even though this may be adjusted as detailed planning progresses.*

*Basic information at this stage should include a timeline for implementation and a consideration of the risks involved in implementing the project effectively as well as a consideration of engagement with stakeholders in the project. The proposed governance and decision making process should be explained with clear roles and responsibilities. This should also identify which official is ultimately accountable for the project.*

### 4.1 Outline the planned timing of the project:

*All the important stages of project preparation and implementation should be listed in the table below with the planned target dates to achieve each one:*

Stage	Target Date
Preparation Feasibility / Appraisal Complete	
Procurement Notice	
Award of Contract	
Works Begin	
Works Finalize	
Project becomes Operational	

### Quality Score

**Fail** = Timings are not credible

**Not Clear** = The plan presented appears credible but requires clarification

**Pass** = The plan is clear and appears to be realistic.

### 4.2 List the human resources, goods, works and services necessary for the implementation and operation of the project. How will they be made available on time?

*The answer given to 4.2 should first and foremost justify the Target Dates shown in 4.1 above.*

*The physical resources necessary to implement the project in the required timescale should be listed here with approximate quantities and lead times for procuring them. State whether these resources are available domestically or might need to be imported; from where and what availability is possible. For example, there is no point in planning for a 12-month completion on a project if a key piece of technical equipment might not be available on site for 14 months.*

*Resources can include manpower, technical advice, plant and equipment; building materials and technical equipment required for the commissioning of the project.*

*An example of this might be a renewable energy project that requires specialized equipment to be procured, designed, manufactured and shipped to Ethiopia from another country. The time it takes to complete all these steps will have a significant bearing on the date by which the project becomes operational.*

### Quality Score

**Fail** = No serious attempt to address the issues

**Not Clear** = List of resources provided but no consideration of how they will be made available

**Pass** = Resources are listed with a credible acquisition plan

## Guideline I: Project Concept Note Preparation and Preliminary Screening

<p><b>4.3 What previous experience does the proposing body have in implementing similar projects? In the case of limited or no experience, explain how this issue will be addressed or mitigated.</b></p> <p><i>a) If the proposing authority has previous experience of implementing similar projects (for example 'repeat' projects like clinics or schools) this offers a high degree of confidence that the proposed project can be delivered well if it is approved for funding. The proposing authority should list the similar projects that it has successfully implemented over the previous 5 years.</i></p> <p><i>b) Conversely if there has been no previous experience or the proposed project contains significant levels of innovation, this will be seen as potentially risky in terms of successful delivery. In this case, the proposing authority should describe the measures (for example hiring specialist staff or external consultants) that would improve the prospects for success.</i></p>	<p style="text-align: center;"><b>Quality Score</b></p> <p><b>Fail</b> = No previous experience and no credible mitigation</p> <p><b>Not Clear</b> = No previous experience but mitigation might address the issue with further work</p> <p><b>Pass</b> = Previous relevant implementing experience is listed and can be verified</p> <p><b>OR</b> No previous experience but the proposed mitigation measures appear credible.</p>
<p><b>4.4 List the agencies, utilities or regulatory institutions that will need to be involved in the implementation of the proposed project and what legal issues will need to be addressed?</b></p> <p><i>Many implementation problems arise due to the need for liaison with utilities and regulatory bodies not being addressed at an early enough stage. This is a common cause for delays in many projects across the world and early planning and contact with these bodies will help to plan the work and negotiations required to keep a project on track.</i></p> <p><i>Therefore, please list all the agencies, utilities and regulatory bodies that will need to be consulted – in particular but not exclusively – the Ministry of Construction. Also write a very brief description of the legal / regulatory /permitting / institutional issues that need to be discussed with each of these bodies.</i></p>	<p style="text-align: center;"><b>Quality Score</b></p> <p><b>Fail</b> = No credible response</p> <p><b>Not Clear</b> = Institutions listed but with some obvious gaps on legal / institutional issues</p> <p><b>Pass</b> = All likely institutions are listed with clear information on legal / institutional issues to be addressed</p>
<p><b>4.5 List the stakeholders in the project and state whether they have been consulted</b></p> <p><i>'Stakeholders' are interested parties in the project. They are either persons or representative bodies that have an interest in the outcome of the proposal or those that may be affected by it. List them here.</i></p> <p><i>Against each of the stakeholders, indicate whether they have been consulted and if so, in a word or two, whether they support or do not support the project. This can be ascertained through initial contact / consultation.</i></p>	<p style="text-align: center;"><b>Quality Score</b></p> <p><b>Fail</b> = No stakeholders are listed</p> <p><b>Not Clear</b> = Stakeholders are listed but no consultation has taken place so far or the stakeholder list appears incomplete</p> <p><b>Pass</b> = Stakeholders list appears complete and initial consultation has started</p>
<p><b>4.6 Potential risk assessment and mitigation</b></p> <p><i>Briefly describe any potentially significant risk (environmental, social, stakeholder's impact) that may need further investigation and suggest possible mitigation measures where likely to be necessary.</i></p>	<p style="text-align: center;"><b>Quality Score</b></p> <p><b>Fail</b> = No serious attempt to address the issues</p> <p><b>Not Clear</b> = List of risks provided but no consideration of how they will be mitigated</p> <p><b>Pass</b> = Risks are listed with a credible mitigation plan</p>

# Guideline I: Project Concept Note Preparation and Preliminary Screening

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<p><b>4.7 Potential operational budget constraints</b> <i>Explain how operating, maintenance and depreciation expenses are expected to be covered once the project is completed, indicating whether user charges must be implemented or raised.</i> <i>Identify is project sustainability can be compromised by a shortage of funding for operation and/or maintenance or by critical weaknesses in the capacities in the operating entity that are unlikely to be resolved in time for project completion.</i></p>	<p><b>Quality Score</b></p> <p><b>Fail</b> = No serious attempt to address the issues <b>Not Clear</b> = List of constraints provided but no consideration of how they will be resolved <b>Pass</b> = Constraints are listed with a credible resolution plan</p>
<p><b>4.8 In the event of a successful pre-screening, for projects that require a feasibility study or pre-feasibility study</b></p> <p><b>A. What budget would be required for a (pre)feasibility study?</b> <i>Please estimate the total costs for completing a feasibility study for the project. Since larger projects also need a pre-feasibility study, also include this cost-estimate.</i></p> <p><b>B. What is the source of funding for the (pre)feasibility study?</b> <i>Where will the funding for the (pre) feasibility study come from? Be precise about the source of funding particularly if it is being co-financed. If the (pre)feasibility study is being funded externally, please provide supporting evidence (in writing) of the external funder's intent to fund.</i></p> <p><b>C. Describe how the preparations / feasibility study will be completed</b> <i>Describe here what activities would need to take place between notification of a successful PCN and the completion of the feasibility study. This should include approximate time-lines and include realistic estimates of procurement lead times. The completion date for the preparations and (pre) feasibility study should also be estimated here</i></p>	

## Guideline I: Project Concept Note Preparation and Preliminary Screening

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<b>Section 5: Contact details and Sign-off</b>		
	Name	Signature
<b>Project prepared by:</b>	<i>This should be the person who has completed this PCN.</i>	
Telephone No:		
Email:		
<b>Project Representative:</b>	<i>The most senior official holding overall responsibility in the public entity that is proposing the project.</i>	
<b>Approval (Minister):</b>		

## Guideline I: Project Concept Note Preparation and Preliminary Screening

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### **This Section is for the use of Reviewers (only)**

The section must be filled out by PIM/MoPIC, including comments, observations and judgements regarding the PCN

*Once the Minister has signed his / her approval, the proposing authority must not write anything underneath. All comments from this point are made only by the assessors.*

*A PCN will be assessed by the PIM according to the instructions and quality assessment criteria that are clearly visible in the right hand column of the template shown above. The quality assessment criteria are deliberately included in the template in order to demonstrate full transparency but also so that project proposers can have no doubt as to what level and quality of information is required in order to get a project proposal successfully pre-screened.*

*The initial assessment will be administrative to ensure that all sections of the template have been completed and that there are no missing areas for completion. The PCN will also need to be signed by the relevant minister and most senior official in the proposing entity. The completion of all sections is mandatory, and the PCN will be returned to the originator for completion in the event of any gaps or incomplete questions in the template.*

*Once the administrative check has been completed satisfactorily, the assessors will follow the quality assessment criteria shown in the right-hand column of the template. These quality criteria are specifically designed for each section to ensure that responses to the questions posed and the information required are of a sufficient quality. Officials completing the template are able to view the criteria for each section as they complete the template in order to ensure that the answers they give, and the information that they provide, are sufficient to score the maximum number of points. Those completing the template have exactly the same information and guidance as the assessors, so there is every opportunity for a good project to proceed further. It is therefore in the interests of officials completing the template to follow the criteria and the instructions faithfully to give their proposal the best chance of success.*

*In order for a project to proceed further it is necessary to achieve a 'Pass' in each assessment question in the template. Each question in the PCN offers the possibility of three outcomes: 'Fail'; 'Not Clear' or 'Pass'. Each outcome will be awarded entirely on the criteria shown in the Scoring Guidance shown to the right hand side of the question. Assessors do not have the authority to use any other criteria.*

*The assessors will conclude their assessment in one of three ways:*

*1: "Pre-Screening Successful" subject to funding (for smaller projects) or approved to proceed to a feasibility study (for larger projects) – this means that passes have been achieved in all assessment questions*

*A unique project reference number will be assigned to the project at this point. Even though a PCN may be approved it could still be subject to conditions attached to the approval. These could require the resolution of issues such as land acquisition or the successful obtaining of permits and licenses.*

*2: "Return for Further Work" (clarifications required) – this conclusion would be reached if the proposal shows signs of being of value but the explanations provided are not clear, meaning that it is not possible to provide a 'Pass'. It could also indicate that not enough information has been provided for the assessor to reach a conclusion or there is no supporting evidence when the question requires it.*



## Guideline I: Project Concept Note Preparation and Preliminary Screening

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*When a PCN is assessed like this, the template will be returned with a reasoned description of where clarification or further information is required and giving instructions as to how the issue(s) identified could be resolved in order to improve the proposal. In order to save time, in the case of minor clarifications it may be possible to resolve an issue via an exchange of emails. When the proposing authority is confident that it has resolved the issue(s) identified, it will return the PCN to the PIM for further assessment.*

*Therefore, returning a Template for further work is a consequence of one or more questions being assessed as 'Not Clear'. In the event that 30% or more of the questions are assessed as 'Not Clear' this will be considered as a 'Fail'*

### **3: “Rejected” – unable to satisfy the assessors of the value of the project**

*In the event that one or more assessed questions of the PCN are awarded a 'Fail', it will be rejected. However, the assessor is obliged to give written reasons on the returned template for the score given. The proposing authority will then need to decide whether or not the proposal could be re-submitted after dealing with the identified inadequacies by adjusting it or to abandon the proposal as a bad idea.*

*The Budget Department at MoF will be informed by the PIM of the outcome in the event of a positive assessment.*

#### **Comments by reviewers:**

(        ) **Pre-Screening successful** (Passes received in all assessment questions)

(        ) **Return for further work** (less than all passes but not enough for Rejection)

#### **Reason(s):**

(        ) **Rejected** (received 'fail' for more than one assessment question)

#### **Reason(s):**

<b>Reviewed by:</b>	<b>Name</b>	<b>Signature</b>
<b>Date</b>		