

Annex 3 (Decision 7-I-18R)

# **Project Manual of the Asian Forest Cooperation Organization**



## CONTENTS

<b><u>1.</u></b>	<b><u>INTRODUCTION</u></b>	<b><u>1</u></b>
1.1	SCOPE OF THE PROJECT MANUAL	1
1.2	DEFINITION OF TERMS	1
<b><u>2.</u></b>	<b><u>PROJECT TYPES AND MANAGEMENT FLOW</u></b>	<b><u>3</u></b>
2.1	REGULAR PROJECT	3
2.2	PRE-PROJECT	3
2.3	APPROVAL PROCESS OF PROJECTS	4
<b><u>3.</u></b>	<b><u>PROJECT PROPOSAL</u></b>	<b><u>8</u></b>
3.1	PROJECT CONCEPT NOTE	8
3.2	FORMULATION OF PROJECT PROPOSAL	9
3.3	SUBMISSION OF PROJECT PROPOSAL	10
<b><u>4.</u></b>	<b><u>PROJECT APPRAISAL</u></b>	<b><u>11</u></b>
4.1	EXPERT POOL FOR PROJECT REVIEW	11
4.2	PROJECT APPRAISAL PANEL	12
4.3	APPRAISAL PROCEDURE	13
4.4	GRADING SYSTEMS	13
4.5	MODIFICATION AND RE-SUBMISSION OF PROPOSAL	14
<b><u>5.</u></b>	<b><u>PROJECT APPROVAL</u></b>	<b><u>15</u></b>
<b><u>6.</u></b>	<b><u>PROJECT FUNDING</u></b>	<b><u>16</u></b>
6.1	FISCAL YEAR AND OFFICIAL CURRENCY	16

<b>6.2</b>	<b>FUNDING</b>	<b>16</b>
<b>6.3</b>	<b>PROJECT SUNSET</b>	<b>17</b>
6.3.1	APPROVED PROJECT WITHOUT FULL FUND COMMITMENT	17
6.3.2	FUNDED PROJECTS WITH PENDING IMPLEMENTATION	17
6.3.3	NOTIFICATION OF SUNSET	17
<b><u>7.</u></b>	<b><u>LEGAL ARRANGEMENT</u></b>	<b><u>17</u></b>
7.1	MEMORANDUM OF UNDERSTANDING (MOU)	17
7.2	OTHER CONTRACTS AND LEGAL ARRANGEMENTS	18
<b><u>8.</u></b>	<b><u>PROJECT INCEPTION</u></b>	<b><u>18</u></b>
<b><u>9.</u></b>	<b><u>PROJECT STEERING COMMITTEE</u></b>	<b><u>19</u></b>
<b><u>10.</u></b>	<b><u>PROJECT IMPLEMENTATION</u></b>	<b><u>20</u></b>
10.1	ANNUAL WORK PLAN AND BUDGET	20
10.2	BUDGET REQUEST	21
10.3	REGULAR REPORTS	21
10.3.1	FINANCIAL REPORT	21
10.3.2	MID-YEAR REPORT	21
10.3.3	ANNUAL REPORT	21
10.4	SPECIAL REPORT	22
10.5	PROCUREMENT OF GOODS AND SERVICES	22
10.6	REVISION OF WORK PLAN AND BUDGET	22
10.7	MANAGEMENT OF PROJECT PERSONNEL	23
10.8	PROJECT EXTENSION	23
<b><u>11.</u></b>	<b><u>PROJECT MONITORING AND EVALUATION</u></b>	<b><u>24</u></b>
11.1	MONITORING	24

11.2	EVALUATION	25
<u>12.</u>	<u>PROJECT SUSPENSION</u>	<u>26</u>
12.1	CONDITIONS FOR SUSPENSION	26
12.2	PROCEDURES FOR SUSPENSION	27
12.3	LIFTING SUSPENSION	27
<u>13.</u>	<u>PROJECT TERMINATION</u>	<u>27</u>
13.1	CONDITIONS FOR TERMINATION	27
13.2	PROCEDURE FOR TERMINATION	28
<u>14.</u>	<u>FINANCIAL AUDITS</u>	<u>28</u>
<u>15.</u>	<u>PROJECT COMPLETION</u>	<u>29</u>
15.1	FINAL COORDINATION AND EVALUATION MEETING	29
15.2	COMPLETION REPORT	29
15.3	CLOSURE OF THE PROJECT	30
15.4	DISSEMINATION OF PROJECT ACCOMPLISHMENTS	30
<u>ANNEX 1.</u>	<u>TEMPLATE FOR PROJECT CONCEPT NOTE</u>	<u>31</u>
<u>ANNEX 2.</u>	<u>TEMPLATE FOR PROJECT PROPOSAL</u>	<u>35</u>
<u>ANNEX 3.</u>	<u>TEMPLATE FOR PRE-PROJECT PROPOSAL</u>	<u>50</u>
<u>ANNEX 4.</u>	<u>TEMPLATE FOR GRADING SHEET FOR PROJECT APPRAISAL</u>	<u>52</u>
<u>ANNEX 5.</u>	<u>TEMPLATE FOR PROJECT MEMORANDUM OF UNDERSTANDING</u>	<u>54</u>
<u>ANNEX 6.</u>	<u>TEMPLATE FOR RULES OF PROCEDURES AND MEETING REPORT OF PROJECT STEERING COMMITTEE</u>	<u>60</u>

<b><u>ANNEX 7.</u></b>	<b><u>TEMPLATES FOR ANNUAL WORK PLAN AND ANNUAL BUDGET</u></b>	<b><u>64</u></b>
<b><u>ANNEX 8.</u></b>	<b><u>TEMPLATE FOR BUDGET REQUEST</u></b>	<b><u>66</u></b>
<b><u>ANNEX 9.</u></b>	<b><u>TEMPLATE FOR FRONT PAGE OF THE DOCUMENTS</u></b>	<b><u>68</u></b>
<b><u>ANNEX 10.</u></b>	<b><u>TEMPLATE FOR FINANCIAL RECEIPT AND ATTENDANCE SHEET</u></b>	<b><u>70</u></b>
<b><u>ANNEX 11.</u></b>	<b><u>TEMPLATE FOR FINANCIAL REPORT</u></b>	<b><u>72</u></b>
<b><u>ANNEX 12.</u></b>	<b><u>TEMPLATE FOR MID-YEAR REPORT</u></b>	<b><u>78</u></b>
<b><u>ANNEX 13.</u></b>	<b><u>TEMPLATE FOR ANNUAL REPORT</u></b>	<b><u>82</u></b>
<b><u>ANNEX 14.</u></b>	<b><u>TEMPLATE FOR COMPLETION REPORT</u></b>	<b><u>88</u></b>

# 1. Introduction

## 1.1 Scope of the Project Manual

This manual provides guidelines for all stakeholders for management of projects under the Asian Forest Cooperation Organization (AFoCO). Stakeholders include, among others, the National Focal Point (NFP), the Secretariat, project implementers, [donor(s)] consultants, suppliers of goods and services, monitoring team, evaluation team, and financial auditors.

### **Comments:**

We suggest adding “donor(s)” as a stakeholder since they will be considered/involved in some of the project procedures such as monitoring and evaluation.

The manual exemplifies procedures and methodologies to be applied in the project management process from the stage of concept note development until closure of the project. If deemed necessary, the Assembly of AFoCO can overrule and make separate guidelines for specific projects. [Joint projects with other institution(s) or organization(s) should generally follow the basic principles of this manual.] [Projects which are party and/or fully supported by external funds may follow the principles and requirements of the donor(s). In the event where there are no specific principles or requirements provided by the donor(s), the project should generally follow the basic principles of this manual.]

### **Comments:**

We suggest deleting “Projects which are party and/or fully supported by external funds may follow the principles and requirements of the donor(s). In the event where there are no specific principles or requirements provided by the donor, the project should generally follow the basic principles of this manual”, to provide flexibility in project development, while ensuring time and costs efficiencies and eliminate the need to develop two separate manuals for AFoCO and project donors.

## 1.2 Definition of Terms

For applying this manual:

- a) “AFoCO” means the Organization established under the Agreement on the Establishment of the Asian Forest Cooperation Organization (AFoCO).
- b) “Assembly” means the highest decision-making organ of AFoCO comprising representatives appointed by the Parties to the Agreement on the Establishment of the Asian Forest Cooperation Organization.
- c) “Secretariat” means the body which shall provide administrative support to AFoCO as

well as carry out the activities guided by the Assembly.

- d) “Executive Director” means the chief administrative officer of AFoCO who is appointed by the Assembly.
- e) “Project” is defined as an execution of activities over a planned period to achieve the specific goals and objectives. [Normally, projects are proposed by the member countries and approved by the Assembly of AFoCO.]

**Comments:**

We suggest deleting the sentence “Normally, projects are proposed by the member countries and approved by the Assembly of AFoCO” since ‘Pre-project’ is approved by the Executive Director.

- f) “National Focal Point (NFP)” is a designated position for a member country to oversee and coordinate the implementation of all AFoCO activities. A member country should designate an official who will serve as a NFP and the official channel of communication.
- g) “Implementing Agency (IA)” is a body responsible for implementing and executing project activities. IA will be one of the following entities: government agency, international organization, non-governmental organization, educational institution, research institution, or a private sector body. [IA is identified and confirmed by the NFP from the proponent country based on its capability to carry out the project.]

**Comments:**

We suggest deleting a sentence “IA is identified and confirmed by the NFP from the proponent country based on its capability to carry out the project” so that the Secretariat can be an implementer.

- h) “Project Appraisal Panel (PAP)” is a body responsible for the appraisal of project proposals. The Executive Director should select and appoint three (3) experts from the expert pool\_for project review [for each project][and] appraisal.

**Comments:**

We suggest replacing “for each project” with “and” as the original sentence might confuse readers.

- i) “Project Concept Note” is the first document submitted by the NFP to the Secretariat for consideration as a potential project.
- j) “Project Proposal” is a project description submitted by a respective NFP to the Secretariat for appraisal and for subsequent approval by the Assembly.

- k) “Project Document” is a project proposal together with its annexes, approved by the Assembly.
- l) “Project Steering Committee (PSC)” is a supervisory and decision-making body for project implementation including approval of annual work plan and budget as well as monitoring activities. The composition of the PSC should be specified in the Project Document and its work plan in accordance with Article 9.

## 2. Project Types and Management Flow

There are two (2) types of project: “regular project” and “pre-project”. The specific aim of a pre-project is for the development of a proposal for a regular project.

One or multiple member countries can participate in any type of project. Participation of non-member countries is subject to approval by the Assembly.

The Implementing Agency (IA) is responsible for the implementation of project, including the submission of budget requests, reports, and financial statements. The Secretariat will provide administrative support to the IA.

### 2.1 Regular project

The “regular project” is subject to approval by the Assembly. [A Project Steering Committee (PSC) will be formed to supervise a regular project. However, the establishment of a PSC is not required for a regular project with a budget equal to or less than US\$ 200,000. The Secretariat, in consultation with the NFP, will supervise such projects.]

#### **Comments:**

We suggest moving the sentences reading “A Project Steering Committee (PSC) will be formed to supervise a regular project. However, the establishment of a PSC is not required for a regular project with a budget equal to or less than US\$ 200,000. The Secretariat, in consultation with the NFP, will supervise such projects.” to Article 9, along with other PSC related descriptions.

### 2.2 Pre-project

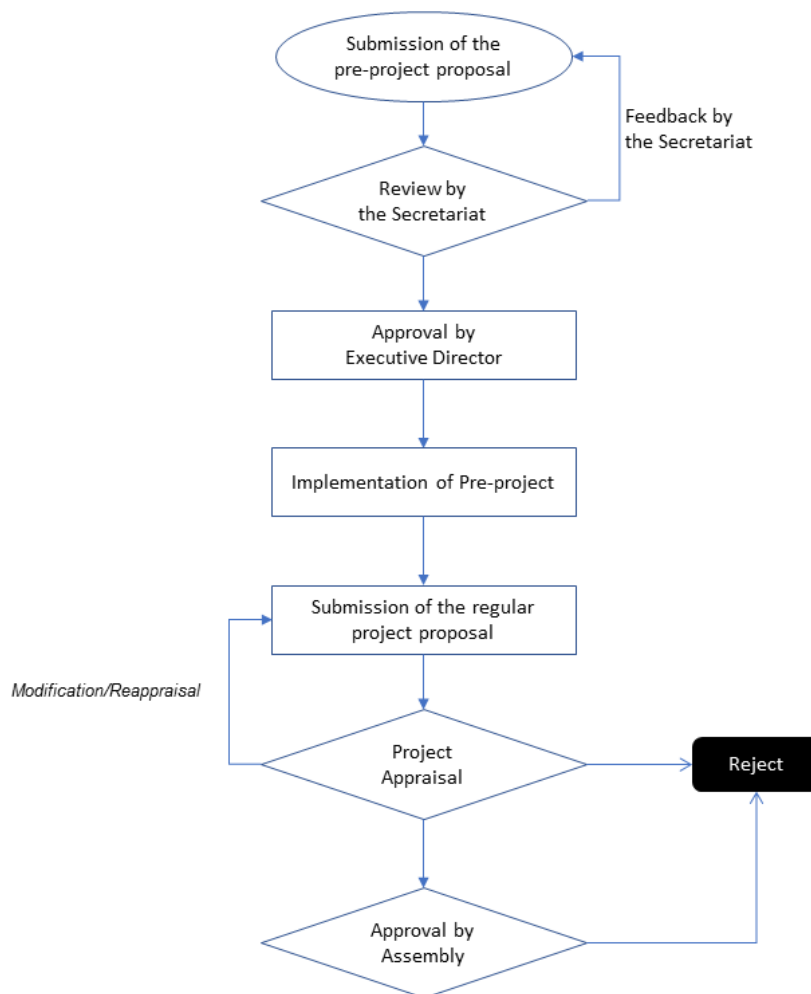
A “pre-project” is a preparatory project to develop a proposal for a regular project, including preliminary or baseline studies, which meets both criteria: (1) a duration of one (1) year or less; and (2) a budget less than US\$ 100,000.



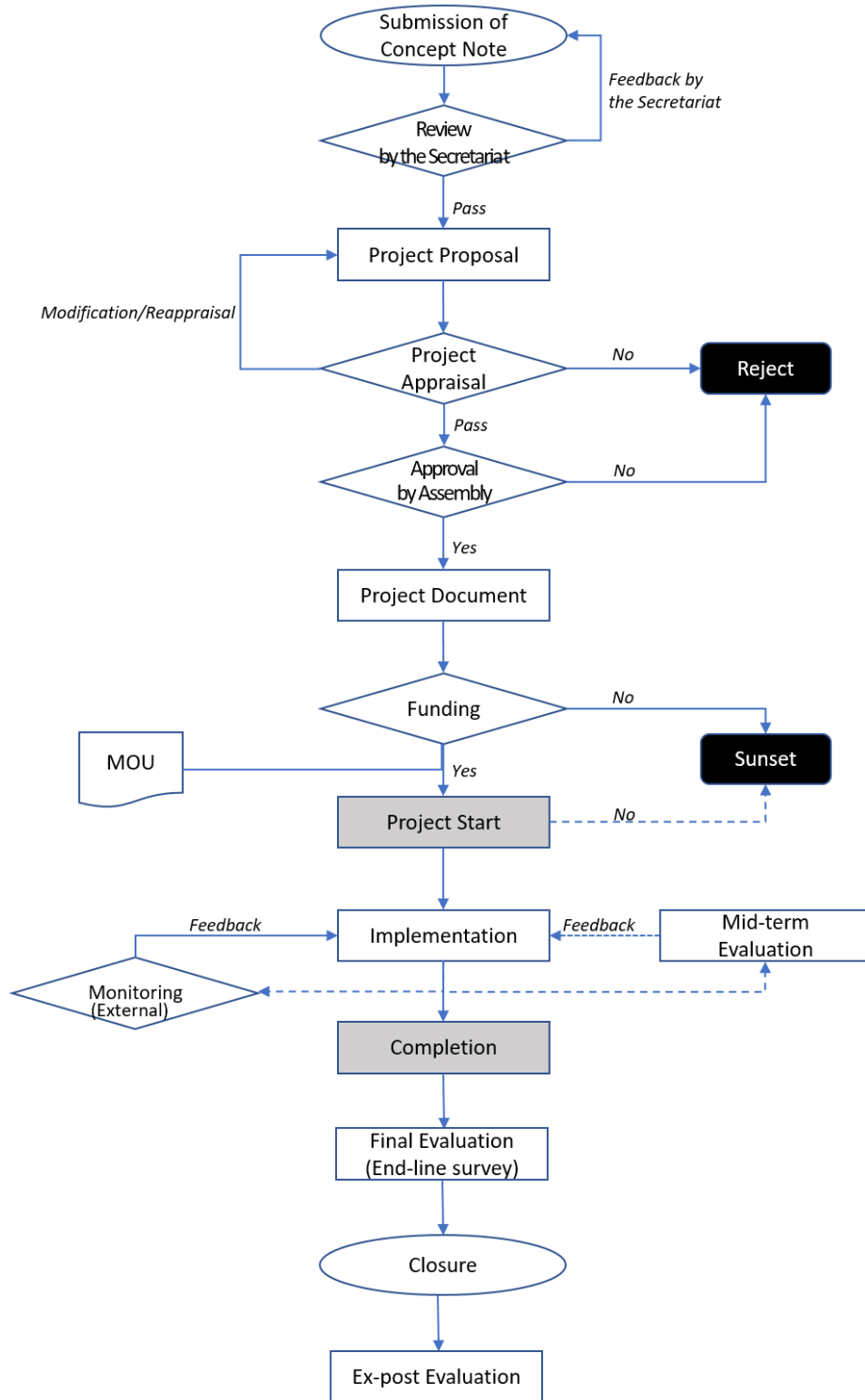
The pre-project is subject to approval by the Executive Director. The NFP, in consultation with the Secretariat, will supervise the pre-project. The Executive Director is responsible for reporting on the approval and status of pre-projects during the regular session of the Assembly.

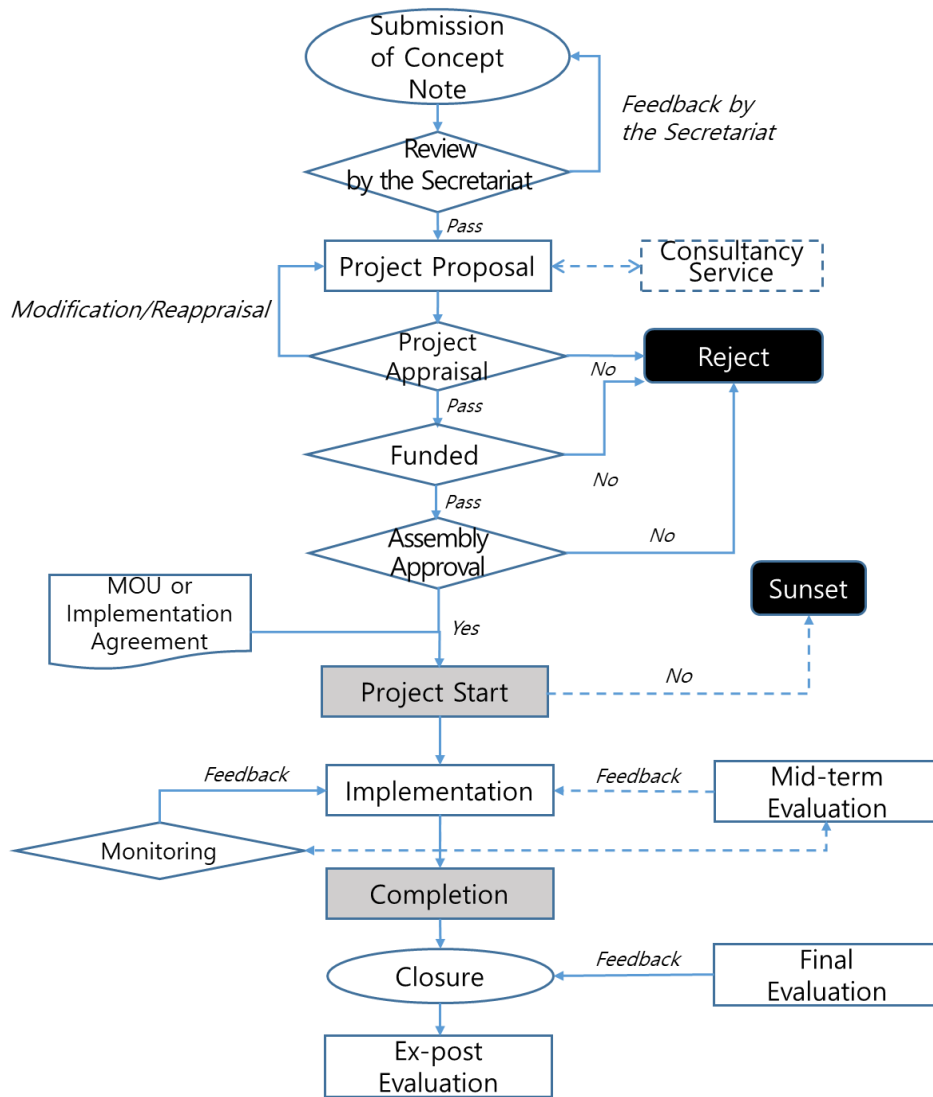
### 2.3 Approval Process of Projects

The approval and implementation process as well as the timeline from the stage of development of the concept note to the closure of the project are illustrated in **Figure 1**, **Figure 2** and **Figure 3** below.

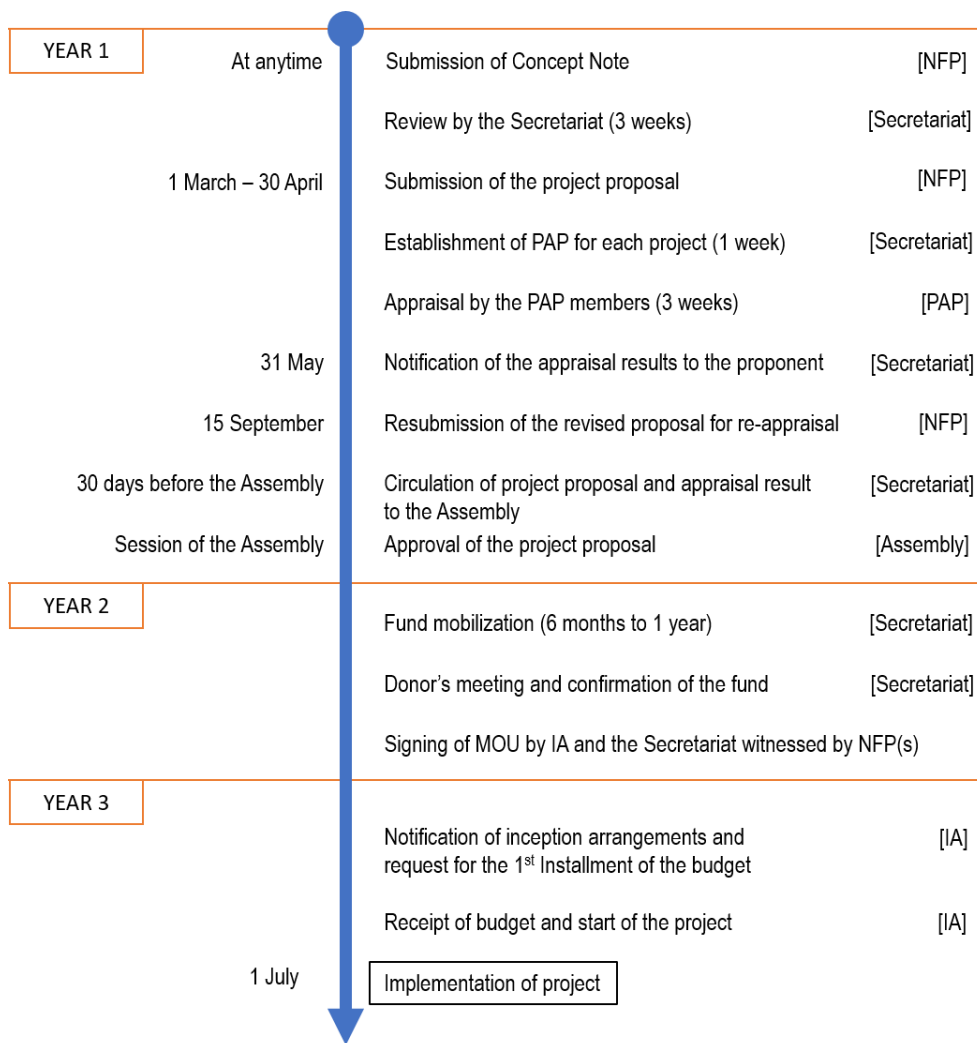


**Figure 1. Approval and implementation process of a pre-project**

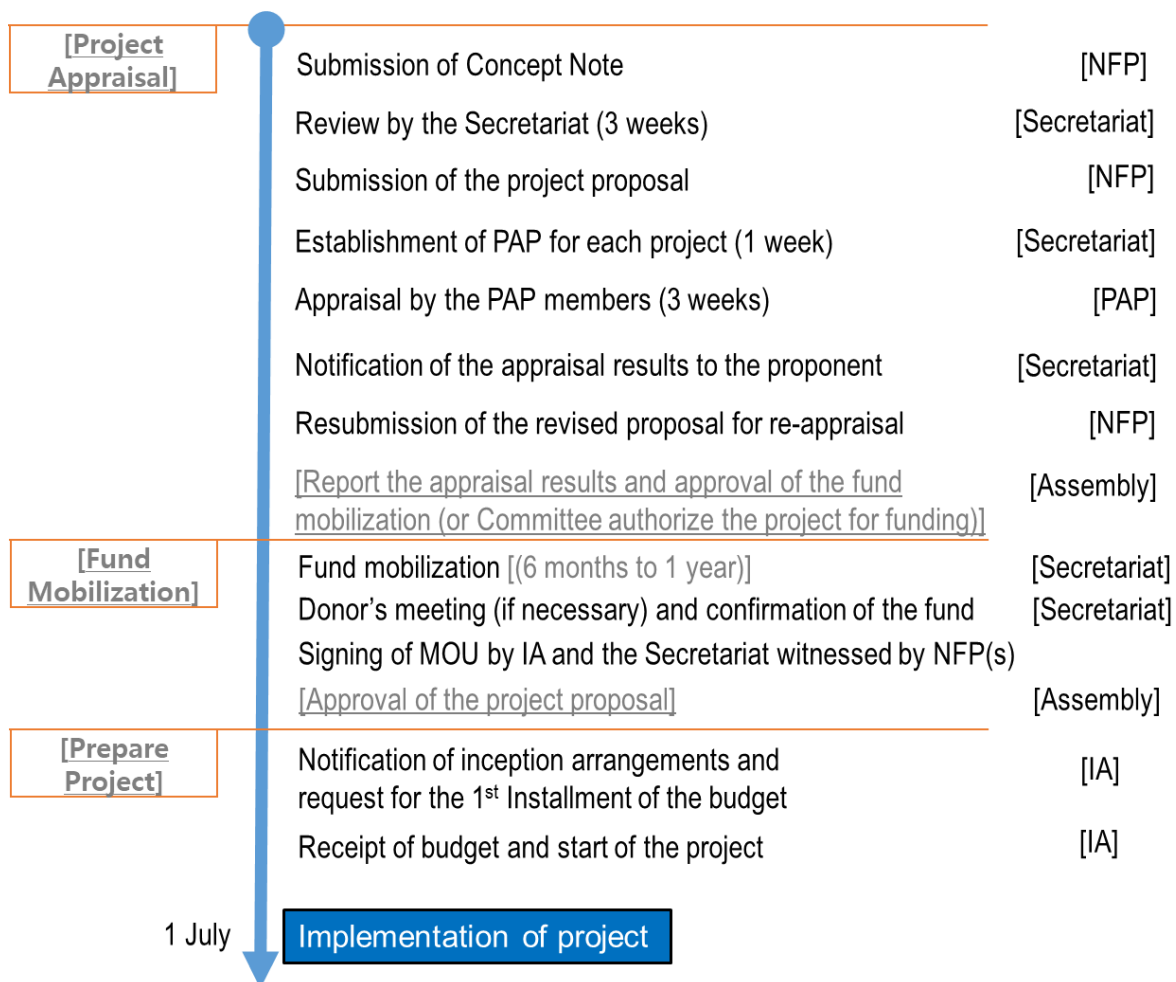




**Figure 2. Approval and implementation process of a regular project**



**Figure 3. Project timeline**



**Comments:**

We suggest a new project timeline according to the revision of the Project Manual.

### 3. Project Proposal

#### 3.1 Project Concept Note

This is the first step of Project Proposal development. NFPs of member countries can submit a Project Concept Note to the Secretariat, using the template in **Annex 1**. This procedure is applicable for regular projects only.

A project should be consistent with the objectives of AFoCO [and be within the scope of the prevailing strategic plan of AFoCO. The Secretariat should distribute the most recent strategic plan of AFoCO to facilitate the preparation of the project concept note. The strategic areas of AFoCO are as follows ] [in the following areas:]

- Sustainable forest management, biodiversity conservation, maintenance and enhancement of ecosystem services as well as reforestation and forest rehabilitation;
- Climate change mitigation and adaptation activities and supporting initiatives under REDD+;
- Reduction of deforestation, forest degradation, desertification, land degradation, and the mitigation of the impact of forest-related disasters;
- Capacity building of stakeholders through research and development, sharing experiences, and the transfer of technology as well as education and exchange programs; and
- Establishing Partnerships among the Parties and with other entities to carry out cooperative activities by building upon the current initiatives of other forest-related international agreements and organizations.

[A project should be within the scope of the prevailing strategic plan of AFoCO. The Secretariat should distribute the most recent strategic plan of AFoCO to facilitate the preparation of the project concept note.]

**Comments:**

We suggest changing the order of the paragraphs since the scope of the prevailing strategic plan should be mentioned first.

The Secretariat will review the contents and budget of the proposed Project Concept Note and provide comments/recommendations for further action within three (3) weeks from the date of submission.

[A concept note is not required in cases where a project proposal is developed through a pre-project.]

**Comments:**

We suggest deleting the sentence “A concept note is not required in cases where a project proposal is developed through a pre-project” since it is clear from the sentence above that “This procedure is applicable for regular projects only.”

## 3.2 Formulation of Project Proposal

Upon confirmation of the Project Concept Note by the Secretariat, the IA and NFP should formulate a Project Proposal for a regular project using the template in **Annex 2**. [The project proposal should adequately describe the stakeholder analysis, problem analysis, logical

framework, objectives, performance indicators, work plan and budget in detail.] For a pre-Project Proposal, the attached template in **Annex 3** should be used.

**Comments:**

We suggest deleting the sentence “The project proposal should adequately describe the stakeholder analysis, problem analysis, logical framework, objectives, performance indicators, work plan and budget in detail.” since the template includes these items and it is not necessary to list them here.

In the formulation of the Project Proposal, the budget for the monitoring and [evaluation], mid-term evaluation, when applicable, and final evaluation] should be included in the Work Plan and Budget of the Project Proposal.

**Comments:**

We suggest stating “evaluation” instead of mentioning “mid-term evaluation, when applicable, and final evaluation” since other types of evaluation may also be implemented.

The project budget shall also include Program Support which is [up to] 12% of the basic budget (all budget components which are not a Program Support charge).

**Comments:**

We suggest adding “up to” to be consistent with Article 3.4.2 of the Financial Regulations.

The proposal should not exceed 50 pages inclusive of the detailed work plan, budget breakdown, and necessary annexes. The proposal should be printed on single-sided A4 paper and the formatting requirements of the proposal document include: “Arial” font type, font size 11, 1.15 line spacing, 2.54 cm on the top and bottom margins, and 1.9 cm on the right and left margins. The proposal should be prepared in one (1) electronic file in either Microsoft Word® or PDF® format only, including tables, maps, pictures, and annexes.

### **3.3 Submission of Project Proposal**

Proposals for regular projects should be submitted between 1 March and 30 April each year. Pre-project proposals can be submitted at any time. The respective NFPs can submit project proposal(s) to the Secretariat for official review and appraisal processes. [The Secretariat will then submit the proposal, with the appraisal results, for consideration and approval by the Assembly. No modifications are allowed after submission.]

**Comments:**

We suggest deleting the sentence “The Secretariat will then submit the proposal, with the appraisal results, for consideration and approval by the Assembly. No modifications are allowed after submission.” in accordance with the change in the approval and implementation process, wherein funds for a project are secured before it is submitted for approval by the Assembly.

A country can submit up to two (2) proposals, including a pre-project proposal, at a time or within a year. Each country can implement a maximum of three (3) projects [which are fully funded by AFoCO and/or participating countries] at any point of time to ensure balanced opportunities for all member countries. If necessary, the Secretariat can provide consultancy services to improve the project proposal during its development phase.

**Comments:**

We suggest adding “which are fully funded by AFoCO and/or participating countries” to provide more opportunities for the donor to support any other projects that the IA hopes to implement.

## 4. Project Appraisal

### 4.1 Expert pool for project review

An expert pool will be established for project review. Each member country can nominate two (2) experts per area of expertise described below. A country can nominate up to twelve (12) experts and a nominated expert can be either a national of the country or a professional from any institution or international organization outside the country. The Executive Director will nominate any eligible international expert to maintain professional quality and balance of the expert pool. The Secretariat will develop a set of criteria to verify the qualifications of nominated experts.

#### Area of Expertise for Expert Pool

- (a) Forest restoration and rehabilitation
- (b) Forest and climate change
- (c) Forest ecosystems services and biodiversity conservation
- (d) Social forestry and local livelihood improvement
- (e) Forest disaster management
- (f) [Project management]



- (g) [Social science and economics]
- (h) Soil and land
- (i) Any other relevant area]

The list of experts in the expert pool will be regularly updated by the Secretariat. The areas of expertise will be updated according to the strategic direction of AFoCO.

**Comments:**

We suggest deleting (f) and adding “social science and economics, soil and land, any other relevant area” considering that substantial number of AFoCO projects are associated with livelihood improvement and degradation and restoration.

## 4.2 [Project] Appraisal [Panel][Procedure]

Immediately after submission of the Project Proposal by the NFP, the Secretariat will proceed with the appraisal of the Project Proposal.

The Executive Director will appoint three (3) Project Appraisal Panel (PAP) members from the expert pool for the appraisal of each project proposal. [The selected] PAP members [selected from the expert pool] are entitled to receive consultancy fees in accordance with the rate applied by the Secretariat. Nationals of the proponent country of the project are not eligible to become members of the PAP.

**Comments:**

We suggest altering this Article by adding “the Secretariat will proceed with the appraisal of the project proposal.

We suggest deleting “The selected” and adding “selected from the expert pool” as only external experts will be paid consultation fees.

Also, we suggest combining two Articles 4.2 Project Appraisal Panel and 4.3 Appraisal Procedure into 4.2 Appraisal Procedure.

[There is no appraisal process for pre-projects and the Secretariat will review the proposal] [For pre-projects, if necessary, the Secretariat will proceed with the appraisal of the project proposal by the Secretariat or by PAP members, appointed by the Executive Director] in accordance with the objectives and strategic priorities of AFoCO as well as budget availability.

**Comments:**

We suggest to utilize expert pool for appraising the pre-project proposal as well.

### 4.3 [Appraisal Procedure]

The PAP members shall work independently and the Secretariat will communicate and coordinate with the members to complete the appraisal process on time.

Following the establishment of the PAP, the Secretariat will forward the proposal to all PAP members electronically for their review and grading. The PAP will assess the proposal based on the following criteria.

- a. Alignment to the objectives and strategic plan of AFoCO
- b. Technical feasibility to address the problems identified in the project
- c. Consideration and use of AFoCO's comparative advantages
- d. Cost effectiveness
- e. Sustainability or relevance of project to country's needs and policy direction

The Secretariat [will][may] organize an appraisal meeting within four (4) weeks after circulation of the proposal among the PAP members. The PAP members should give their final grading scores and comments [at the meeting], using the prescribed template in **Annex 4**. If deemed necessary, the Secretariat may organize a field visit to the proposed project site(s).

**Comments:**

We suggest replacing “will” with “may” since an appraisal meeting might not be necessary in certain instances.

We suggest deleting “at the meeting” since the meeting may not be organized.

The Secretariat will officially notify the respective NFP of the final grade and outcome of the appraisal by 31 May each year. [The Secretariat will also report on the outcome of the appraisal to the Assembly for its approval at the forthcoming session.]

**Comments:**

We suggest deleting the sentence “The Secretariat will also report on the outcome of the appraisal to the Assembly for its approval at the forthcoming session.” in accordance with the change in the approval and implementation process, wherein funds for a project are secured before it is submitted for approval by the Assembly.

### 4.4 Grading Systems

After receiving the appraisal grades from all three (3) PAP members, a final grade will be given for a project proposal and follow-up action will be determined as shown in **Table 1**.

**Table 1: Grading system for project proposal and follow-up actions**

PAP member 1	PAP member 2	PAP member 3	Final grade	Follow-up action
A	A	A	<b>A</b>	<b>Submission</b> to the Assembly for approval
A	A	B	<b>A</b>	<b>Submission</b> to the Assembly for approval
A	A	C	<b>C</b>	<b>Reject</b>
A	B	B	<b>B</b>	Re-appraisal after revision by the proponent
A	B	C	<b>C</b>	<b>Reject</b>
A	C	C	<b>C</b>	<b>Reject</b>
B	B	B	<b>B</b>	Re-appraisal after revision by the proponent
B	B	C	<b>C</b>	<b>Reject</b>
B	C	C	<b>C</b>	<b>Reject</b>
C	C	C	<b>C</b>	<b>Reject</b>

Based on the final grade ('A', 'B' or 'C') of the project proposal, one of the following actions will be undertaken:

A: [Proposal that could be commended to the Assembly for approval]  
[Proceed to seek funds for project]

B: [Proposal that requires modification and re-appraisal]  
[Proceed to seek funds after minor revisions]

C: [Proposal that does not satisfy the requirements (reject)] [Major revisions required]

**Comments:**

We suggest amending the follow-up action 'Reject' considering that a proposal would have been adequately reviewed by the Secretariat and revised accordingly prior to appraisal and hence, there is a low possibility of it being unsatisfactory/unappealing to the PAP members.

Annex 4 will have to be revised according to this policy.

## 4.5 Modification and Re-submission of Proposal

[If a proposal receives a final grade of 'B', it will require further modification and re-appraisal by the same PAP members. The Secretariat will highlight the modified parts of the proposal and forward it to the same members of PAP for re-appraisal. The same proposal may be re-

appraised two (2) times only within two (2) immediate sessions of the Assembly. Otherwise, the proposal will be rejected.]

[If a proposal receives a final grade of 'B' or 'C', it will require further modification by the proponent. The proponent will submit to the Secretariat, the revised proposal with modified parts highlighted, and a list of responses to the comments and questions raised by the PAP members within three (3) weeks. The Secretariat will check the revised proposal and may request further modification until all comments and questions by the PAP members are fully reflected.]

**Comments:**

We suggest adding "or 'C'" since proposals awarded with a final grade of either 'B' or 'C' will require revisions and/or the addition of more information.

We suggest altering the whole paragraph considering that the revised appraisal, together with the responses to the comments and specific questions of the PAP members, may be sufficient for the further review and checking by the Secretariat.

[In case a revised proposal is submitted by 15 September each year and receives a final grade of 'A', it will be submitted for approval by the Assembly of the same year. If the revised proposal is submitted later than 15 September, it will be processed for the next session of the Assembly. ]

**Comments:**

We suggest deleting this paragraph considering the change in the approval and implementation process of regular projects.

[Immediately after receiving a final grade by PAP, the Secretariat will establish a Project Appraisal Committee composed of Executive Director to deliver final decision on the project appraisal to proceed to the fund mobilization.]

**Comments:**

We suggest to have a Project Appraisal Committee (mainly for KFS) to start the fund mobilization.

## 5. Project Approval

In accordance with the Rules of Procedures of the Assembly, the Secretariat will submit the project proposal(s)[, which have secured funding,] [with the grading results and recommendations of the PAP for consideration] at the immediate session of the Assembly.

The decision of the Assembly is final and no modification of the proposal is allowed after approval.

**Comments:**

We suggest adding “, which have secured funding” and deleting “with the grading results and recommendations of the PAP for consideration” considering the change in the approval and implementation process of regular projects.

## 6. Project Funding

### 6.1 Fiscal Year and Official Currency

The fiscal year of an AFoCO project will follow the fiscal year of the Secretariat. The official currency of AFoCO projects will be the United States Dollar (US\$).

### 6.2 Funding

The sources of funding for the projects are voluntary contributions, gifts, donations, and other sources. The Secretariat will organize a donors meeting [once a year in consultation with the donors ][as and when required.]

**Comments:**

We suggest deleting “once a year in consultation with the donors” and adding “as and when required” since it may not be necessary to hold a donors' meeting every year.

[Upon approval of the project proposals by the Assembly, t][T]he Secretariat will seek funding for the approved project [as well as the project in a pipeline] from potential donors. Following the confirmation by the donor and receipt of fund, the Secretariat will notify the concerned NFP accordingly. [,and the project budget will be made available for remittance upon request by the IA.]

**Comments:**

We suggest deleting most of this paragraph and retaining only the sentence “the Secretariat will seek funding for the approved project from potential donors.” considering the change in the approval and implementation process of regular projects.

## 6.3 Project Sunset

### [6.3.1 Approved project without full fund commitment

An approved project for which funds have not been committed or partially committed will be considered as a pending project and will be sunset after thirty-six (36) months from the date of approval.]

#### **Comments:**

We suggest deleting Article 6.3.1 considering the changes in the approval and implementation process of regular projects, wherein funds for a project are secured before it is submitted for approval by the Assembly

### 6.3.2 Funded projects with pending implementation

An approved project for which funds have been committed, but for which the IA has not submitted the notification of inception arrangements within twelve (12) months from the date of approval will be sunset automatically.

### 6.3.3 Notification of Sunset

When a project has reached the point of sunset, the Executive Director will inform the concerned NFP(s) on the sunset condition immediately and report the matter to the immediate session of the Assembly for consideration and further action.

## 7. Legal Arrangement

### [7.1 Memorandum of Understanding (MOU)]

[The IA should prepare a draft MOU and finalize it in consultation with the Secretariat and the NFPs of all participating countries, using the template in **Annex 5**. The concerned parties should sign the MOU upon confirmation of funding commitment.

The MOU should include provisions on the confidentiality and use of all intellectual property rights, including copyright, transfer of genetic materials, any technological development, products, and services that need legal protection.

The signatories of the MOU are the Executive Director and the head of the IA or any person authorized by the respective proponent country. The signing of the MOU should be witnessed

by all NFPs of the participating countries. Other signing arrangements may be applied subject to the requirements of domestic law and regulations of the proponent country.]

[The Secretariat and the NFPs of all participating countries will sign on any legal arrangement such as a MOU or an Implementation Agreement using the template in **Annex 5** in accordance with country's and/or donor's requirements. The MOU or Implementation Agreement will come into effect from the date of signing.]

**Comments:**

We suggest to simplify the legal arrangement processes. The legal arrangement is not compulsory, but can be signed in accordance with country's and/or donor's requirements.

## **[7.2 Other Contracts and Legal Arrangements]**

The IA is authorized to make any [other legal arrangements][subcontracts] solely for the implementation of the project, among others, service contracts, [MOUs,] and agreements in accordance with the annual work plan and budget.

**Comments:**

We suggest replacing “any other legal arrangements” with “subcontracts”, and deleting “MOUs,” as this Article describes all other contracts made with subcontractors, suppliers, and consultants, among others, for the implementation of project activities.

For legal arrangements that are not stipulated in the annual work plan and budget, prior consultation with the Secretariat is required.

## **8. Project Inception**

Upon [notification of project funding by the Secretariat][approval by the Assembly], the IA should submit a notification on inception arrangements within two (2) months.–

**Comments:**

We suggest deleting “notification of project funding by the Secretariat” to “approval by the Assembly” considering the changes in the approval and implementation process of regular projects, wherein funds for a project are secured before it is submitted for approval by the Assembly

The notification on inception arrangements ensures that proper preparation is completed for project implementation. In the notification, the IA must confirm that the following three (3)

issues have been addressed: 1) a project bank account in US\$ has been opened; 2) a Project Steering Committee (PSC) has been formed in cases where the project budget exceeds US\$ 200,000; and 3) adequate resources such as appointment of core project personnel, installment of office facilities, and local contracts with collaborating agencies are in progress. The annual work plan and budget for the first year should be attached with the notification on inception arrangements. In addition, the IA should make a budget request, using the template in **Annex 8**.

[The official starting date of the project is the date of signing of the MOU of the project. In the case where the MOU is signed by circulation among the signatories, the signing date of the last signatory will become the official starting date of the project.]

**Comments:**

We suggest deleting this paragraph, which elaborates on signing of the MOU, in accordance with the suggested deletion of Article 7.1.

## 9. Project Steering Committee

[A Project Steering Committee (PSC) will be formed to supervise a regular project. However, the establishment of a PSC is not required for a regular project with a budget equal to or less than US\$ 200,000. The Secretariat, in consultation with the NFP, will supervise such projects.]

**Comments:**

This paragraph was originally under Article 2.

In the case of a regular project, the NFP of the proponent country should establish a PSC with at least three (3) members in the committee, including the NFP, one (1) member from the Secretariat and a third-party expert nominated by the NFP.

The PSC is responsible for project monitoring in accordance with Article 11.1, reviewing the progress of activities, and making necessary decisions for project implementation.

The PSC meeting will be held at least once a year, preferably in the first quarter of each year after annual monitoring conducted under Article 11. The IA, in consultation with the Secretariat, should promptly circulate the meeting report to the PSC members.

The standard rules of procedures, structure, and a template of the meeting report of the PSC is attached in **Annex 6**.

[In the case of a pre-project, the NFP, in consultation with the Secretariat, will supervise the project.]

**Comments:**



We suggest deleting the sentence “In the case of a pre-project, the NFP, in consultation with the Secretariat, will supervise the project.” since it is clear from the sentence above that “The Secretariat, in consultation with the NFP, will supervise such projects.”

## 10. Project Implementation

The guidelines for project implementation listed in this section are applicable for regular projects only. A pre-project is implemented under its own terms and conditions.

### [10.1 Project Document Review

After all project inception have been set in place, the IA should review the original project document and check all information including project design, project budget, and the start and end dates of the project is still valid.

If any changes are required, the IA should submit the revised project document to the Secretariat, and consult with the Secretariat to provide the final revised version of the project document before the project is launched.]

#### **Comments:**

We suggest adding this additional sub-article so that the approved project documents can be revised reflecting any changes (usually project start/end dates) between the project approval to the project start.

### 10.1 Annual Work Plan and Budget

The IA should prepare the annual work plan and annual budget, using the templates in **Annex 7**. The annual work plan should cover a detailed account of deliverable work in the form of expected output with time schedule, whereas the annual budget should cover a detailed breakdown by quarter for each fiscal year. The PSC should approve the annual work plan and budget through written official communication prior to its regular meeting before submission to the Secretariat.

Following approval by the PSC, the IA should submit the annual work plan and budget to the Secretariat through NFP. In the first fiscal year, they should be submitted together with the notification on inception arrangements (see Article 8). For the following fiscal year, the date of submission shall be no later than 31 October.

## 10.2 Budget Request

The IA can submit the first budget request to the Secretariat together with the notification of inception arrangements, annual work plan and budget for the first fiscal year.

For the subsequent budget requests, the IA should make budget requests to the Secretariat twice a year, no later than 15 June and 15 December each year using the template in **Annex 8**. All subsequent budget requests should be based on the approved annual work plan and annual budget.

## 10.3 Regular Reports

All regular reports should be submitted to the Secretariat and any submitted report and document should have a front page, using the template in **Annex 9**. A standard template for financial receipts and attendance sheet is shown collectively in **Annex 10**. The regular reports should include relevant project photographs with proper descriptions. Original electronic files of the photographs in the reports should also be submitted.

### 10.3.1 Financial Report

The IA should submit regular financial reports twice a year for the periods from 1 January to 30 June and 1 July to 31 December, no later than 15 January and 15 July each year, using the attached template in **Annex 11**. [Delayed submission of the financial reports without any prior notification, the next budget release may be affected.] A financial report includes a statement of cash flow, a balance sheet, a statement of expenditures, and where applicable, other in-kind and in-cash contributions. The IA should maintain all supporting documents and proof of payments or receipts for financial audit and other verification purposes.

#### **Comments:**

We suggest adding the sentence “Delayed submission of the financial reports without any prior notification, the next budget release may be affected.” as IAs did not submit their financial reports on time.

### 10.3.2 Mid-year Report

The IA should submit a mid-year report which covers the period from 1 January to 30 June, no later than 15 July each year, using the attached template in **Annex 12**.

### 10.3.3 Annual Report

The IA, through NFP, should submit an annual report for the period from 1 January to 31 December, no later than 31 January of the next year, using the attached template in **Annex 13**.

## 10.4 [Special Report] [Other Reports]

The IA should submit [special][other] reports such as technical reports and workshop proceedings produced during or after completion of the project to the Secretariat. The IA can utilize its own template and design for such [special][other] reports. [The special report contains][These reports may contain], among others, procedures and methodologies adopted, data collected, information shared, results achieved and conclusions reached.

### **Comments:**

We suggest changing the title of this Article to “Other Reports” and altering the relevant terms as the scope of other reports is broad.

## 10.5 Procurement of Goods and Services

[For the purchase of goods and services or procurement for contracts costing less than US\$1,000, no quotation is required, and the IA should select the most cost effective procurement option with the highest value for money.]

### **Comments:**

We suggest adding “For the purchase of goods and services or procurement for contracts costing less than US\$1,000, no quotation is required, and the IA should select the most cost effective procurement option with the highest value for money.” as it is not necessary to collect 3 quotations for minor purchases. This will give IAs flexibility in the purchase of relatively inexpensive items such as stationery.

For the purchase of goods and services or procurement for contracts costing [exceed US\$1,000 but less than] US\$20,000[ and below], the IA should collect quotations from at least three (3) suppliers. In the case where less than three (3) suppliers are available, the IA should select most efficient and cost effective procurement option.

For the purchase of goods and services or procurement for contracts costing more than US\$20,000, the IA should conduct a competitive bidding process in accordance with the relevant rules and regulations of the country where the project is operated. In the case where there is a lack of competition or a limited number of suppliers, the IA should consult with the Secretariat to decide on the most efficient and cost effective procurement.

## 10.6 Revision of Work Plan and Budget

If a substantial revision of the work plan and budget is necessary for the forthcoming year, the IA should submit a proposal for the revised work plan and budget to the PSC. Any proposed revision should not affect and alter the original project objectives and duration.

The PSC can authorize the revision of the work plan and reallocation of up to 10% of the total budget, provided that any budget reallocation within each key activity is kept below 10%.

## 10.7 Management of Project Personnel

Any project personnel appointed for day-to-day management and implementation of project activities should meet the minimum criteria on educational qualification, knowledge of AFoCO objectives, English language proficiency, and basic computer skills. The recruitment of the project staff should be based on their experience working on similar projects, performance in other projects, compliance with rules and procedures, and previous remuneration rate.

For the recruitment of any project personnel, the IA should develop Terms and Conditions, and enter a service contract with the candidate on an annual basis. The remuneration for project personnel should be decided based on the average remuneration received by similar employees of other nonprofit organizations in the country where the project is operated.

For the assignment of seconded government officials as project personnel, the IA should make appropriate arrangements for remuneration and other entitlements. The IA should consider the workload and human resources allocation of the project personnel in the work plan and budget.

Domestic responsibilities and entitlements such as income tax, health insurance, travel insurance, office hour, leave and holiday entitlements should be in accordance with the national laws and regulations of the country where the project is operated. Regarding international travel and daily allowances, the standard rates of the Secretariat should be applied.

For any other personnel who do not receive regular payment such as consultancy or special service, the IA should have a separate service contract signed with such personnel under specific terms and conditions.

## 10.8 Project Extension

Project extension can be considered only in situations that are beyond the control of the IA. In such a situation, the IA can request for an extension of the project without additional budget. IA should provide justification and NFP should submit the request for extension with a revised work plan and budget to the Executive Director for further action. [The Executive Director should report to the immediate session of the Assembly on this matter.]

### **Comments:**

We suggest deleting “The Executive Director should report to the immediate session of the Assembly on this matter.” as this may impede the smooth and timely implementation of the project.

# 11. Project Monitoring and Evaluation

## 11.1 Monitoring

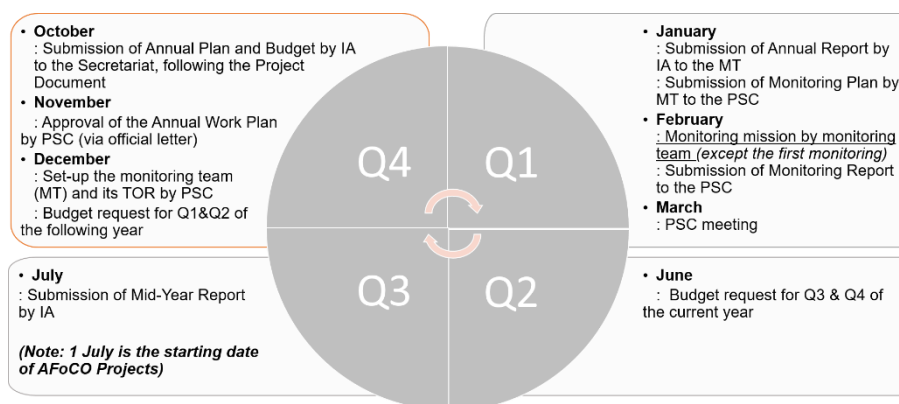
The objective of project monitoring is to provide regular and timely updates on project implementation as well as to identify any corrective actions needed for effective and efficient implementation of the project.

Monitoring is an annually planned activity and the IA is responsible for including this activity in the annual work plan and allocating the budget accordingly starting from the second fiscal year. Monitoring shall not be conducted in the final year. Final evaluation will be conducted in accordance with Article 15 in the final year.

For regular projects, the PSC [in consultation with the Secretariat,] is responsible for conducting regular project monitoring. A project monitoring team is comprised of two (2) members: one (1) external expert (e.g. an expert nominated from the expert pool for project review) and one (1) member nominated by the Secretariat. In consultation with the IA, the Secretariat will propose a monitoring schedule and terms of reference of the monitoring team at the PSC meeting. Monitoring is recommended to be carried out one-month prior to the annual PSC meeting. If necessary, on-site monitoring will be conducted. A monitoring report should be submitted, in accordance with the procedure and template provided in the guidelines for project monitoring and evaluation, for consideration by the PSC at its regular meeting. Based on the findings and recommendations of the monitoring report, the PSC will decide on the follow-up actions.

### Comments:

We suggest adding “in consultation with the Secretariat” as the Secretariat takes on overall process on track.



**Figure 4. Diagram of Project Monitoring**

## 11.2 Evaluation

Evaluation of a project will be conducted using the criteria of relevance, effectiveness, efficiency, impact and sustainability. [Under the guidance of the Assembly,] the Secretariat will develop specific evaluation guidelines based on these five criteria. All regular projects will set basic direction and budget for mid-term, final and ex-post evaluation at the planning stage of the project when designing the project proposal. [Typically,] Evaluation of the project is done by an independent third party and conducted in the form of mid-term, final, and ex-post evaluations [unless decided otherwise by Executive Director]. [The mid-term evaluation is optional for projects with implementation period of less than five (5) years.]

### **Comments:**

We suggest deleting “Under the guidance of the Assembly” as the evaluation process will be managed by the Secretariat.

We suggest to adding “,unless decided otherwise by Executive Director” since the evaluation of projects should be handled on a case by case basis depending on implementation progress or achieved outcomes (certain projects may not require evaluations and may also can conduct internal evaluations to reduce costs). Also, a separate Monitoring and Evaluation Guidelines detailing the mechanisms and specific processes of different types of evaluation methods is undergoing development.

The purpose of a mid-term evaluation is to draw conclusions and recommendations, based on all factors relevant for the current implementation of the project. The purpose of a final evaluation is to assess how well the project achieved its intended objective, in terms of a summative evaluation at the completion of project implementation. The purpose of an ex-post evaluation is to learn lessons, draw conclusions for future Projects, and identify reasons for success and failure. An evaluation could also provide a comprehensive assessment on the extent of influence of external factors on the implementation of project activities and propose preventive or protective actions.

The cost for mid-term, when applicable, and final evaluation should be included in the [management costs of the project] budget while the cost for ex-post evaluation is covered by the [Secretariat’s budget][program support fee of project according to Article 3.4 of the financial regulations].

### **Comments:**

We suggest adding “management costs of the project” as well as “program support fee of project according to Article 3.4 of the financial regulations” to specifically state the source of the project cost.

Based on the observation and findings from the regular reports and any [special][other] reports, the Secretariat may identify the needs for additional thematic evaluation which is not included in the project work plan in case (i) there are issues in the problem implementation which demands decisions beyond the PSC, and/or (ii) there is a specific objective such as to collect data and information from the project for development of new activities. The cost for additional evaluation will be covered by the [Secretariat][program support fee of project according to Article 3.4 of the financial regulations].

**Comments:**

We suggest adding “program support fee of project according to Article 3.4 of the financial regulations” to specifically state the source of the project cost.

In all types of evaluation, the Secretariat will form an evaluation team comprising of third-party members[,unless decided otherwise by Executive Director]. In consultation with the IA and NFP, the evaluation team will develop an evaluation plan, schedule, and structure of the evaluation report and submit them to the Executive Director.

The IA should provide necessary information such as project documents, reports and an annual work plan for prior-review. The IA is also responsible for providing logistic support in the case of field visits to the project site(s) and when interviews are held with the stakeholders and other relevant personnel.

[The Executive Director should submit the evaluation report to the Assembly for further consideration.] [The evaluation report will be submitted to the Assembly for further consideration]

**Comments:**

We suggest deleting “The Executive Director should submit the evaluation report to the Assembly for further consideration.” and replacing it with “The evaluation report will be submitted to the Assembly for further consideration” since the ED or any Secretariat staff or IA could submit it.

## 12. Project Suspension

### 12.1 Conditions for Suspension

The project can be suspended in cases where the terms and conditions of the project [Implementation Agreement, MOU or any other legal arrangements] [MOU] are violated or the prevailing conditions of the project are changed to the extent that the successful completion of the project is at risk.

**Comments:**

In accordance with the deletion of Article 7.1, we suggest adding “Implementation Agreement, MOU or any other legal arrangements” and deleting “MOU” since there may be other types of legal arrangements.

## **12.2 Procedures for Suspension**

When any condition stipulated under Article 12.1 is observed or reported, the Executive Director should notify the NFP with the effective date of suspension to immediately suspend the implementation of the project, including suspension of funds.

Upon the notification of suspension, the NFP should notify the IA immediately on the suspension actions. The IA shall not incur any further expenditure and shall keep all assets and funds in safe custody from the effective date of suspension. The NFP should inform the Executive Director that the suspension is duly notified to the IA and the project is under suspension.

The Executive Director should report the suspension of the project to the Assembly and the donor(s) immediately upon notification of suspension. The Executive Director will take the required action in accordance with the decision and guidance of the Assembly.

## **12.3 Lifting Suspension**

The NFP may request the Executive Director to lift the suspension on the project after the IA has satisfactorily taken corrective measures for suspension in accordance with the decision and guidance by the Assembly and when it is ready to resume project operations. The Executive Director may lift the suspension upon the request from the NFP and must report on the action taken immediately to the Assembly.

# **13. Project Termination**

## **13.1 Conditions for Termination**

The project shall be terminated with one (1) month prior notice in the following cases where the objectives of the project are no longer achievable:

- a. waste, fraud, and abuse of the project budget;
- b. inappropriate use of resources, personnel, and/or technical means;
- c. lack of funding; and
- d. withdrawal of proponent country from its membership to AFoCO.



## **13.2 Procedure for Termination**

When any condition stipulated under Article 13.1 is observed or reported, the Executive Director should notify the NFP to immediately suspend the implementation of the project with the effective date of suspension, including suspension of funds. The Executive Director should propose the termination of the project to the immediate session of the Assembly for consideration and approval. The project will be terminated in accordance with the schedule and arrangement decided by the Assembly. The Secretariat will inform the donor(s) of the decision of the Assembly to terminate the project.

In accordance with the decision of the Assembly, the IA shall submit a termination report, and return the unused funds to the Secretariat together with a financial statement within three (3) months from the date of the project termination. The IA should cover any costs incurred for any arrangement from the date of termination until the submission of the termination report to the Secretariat. The termination report should include relevant evidence and project photographs, if any, with proper descriptions. Original electronic files of the photographs in the report should also be submitted.

The Executive Director will arrange a financial audit upon receipt of the financial statements from the IA.

## **14. Financial Audits**

Normally, a financial audit is required after the completion of the last project activity and the IA is responsible for allocating the budget for financial audit. For regular projects, the NFP, in consultation with the IA, will select an independent auditor or a similar third-party auditor. The contract for financial audit should be signed by the NFP, the IA, and the auditor, in accordance with the rules and regulations of the country where project is operated. Depending on domestic requirements/regulations, internal audits may be conducted by a competent government agency as long as it is independent from the IA. The cost for all financial audits should be estimated based on the market rate and be included in the budget of the project accordingly.

The auditor will conduct the audit in accordance with generally accepted accounting principles. The IA should ensure that all records are available, all accounting entries and adjusting entries are completed, and that all other necessary steps have been conducted to enable the auditor to perform the audit. The auditor will submit the financial audit report to the NFP, the IA, and the Secretariat before submitting the completion report, which will include the auditor's opinions, general information, and financial statements.

The Secretariat will review the financial audit report and request the IA to take any corrective action, if required, before the submission of the completion report and final audit report.

If deemed necessary, the Secretariat, in consultation with NFP, will conduct a financial audit for pre-projects.

In the case where an interim or special financial audit is required for a project, the Secretariat will cover the costs and conduct a financial audit through an independent auditor or a similar third-party auditor.

## 15. Project Completion

### 15.1 Final Coordination and Evaluation Meeting

As part of project completion, the IA should organize a Final Coordination and Evaluation Meeting at least forty-five (45) days prior to the completion date. The IA, in consultation with the PSC members, will prepare the Meeting agenda and program, and identify the date and venue of the Meeting.

IA should prepare and circulate a draft completion report in accordance with Article 15.2 sixty (60) days before the Meeting. When preparing the draft completion report, the IA should ensure that all information and accomplishments in the report are properly validated.

As a compulsory work, the final evaluation under Article 11.2 will be conducted after the IA submit the draft project completion report to the Secretariat.

The findings and recommendations in the draft completion report and the final evaluation provide the IA an opportunity for corrective measures before the project formally closes, and supports the continuation of a new phase or implementation of follow-up projects. The IA should present the draft completion report at the Meeting.

The Meeting will make comprehensive consideration of the final evaluation and finalize the completion report.

### 15.2 Completion Report

The completion report is the final project report, and should be drafted using template given in **Annex 14**. The completion report should include relevant project photographs with proper descriptions. Original electronic files of the photographs in the completion report should also be submitted. The IA should submit the completion report and the financial audit report to the Secretariat within three (3) months from the completion date of the project. The completion report will be submitted to the Assembly and the donor(s) [through the Executive Director. ][accordingly.]

#### **Comments:**

We suggest deleting “through the Executive Director.” and replacing it with “accordingly” since the ED or any Secretariat staff or IA could submit it.

The IA is responsible to maintain the reports and financial records, in both original copies and electronic files, for five (5) years after completion of the project in line with the financial regulations of the Secretariat.

### **15.3 Closure of the Project**

The Secretariat should announce the closure of the project after: (1) reporting on the completion of the project to the Assembly; (2) receipt of satisfactory financial audit report; and (3) receipt of unused funds from the IA.

The IA should close the project bank account after returning any remaining funds in the project account to the Secretariat.

### **15.4 Dissemination of Project Accomplishments**

The completion report and technical reports, if any, should be the main means for the dissemination of project accomplishments. All reports and other publications under the project should explicitly state that they are part of the documentation produced to disseminate the results to all member countries and other interested parties. The IA should also provide an effective means for national level dissemination of the results through press releases and featured articles in national publications.

## Annex 1. Template for Project Concept Note



### AFoCO Project Concept Note

<b>Project code</b>	<i>(to be provided by the Secretariat)</i>
---------------------	--

<b>Project Profile</b>			
Project Title			
Project Duration	Estimated start date: Estimated end date:		
Proposed Implementing Agency			
Participating Countries			
Project Site			
Main Objectives			
Target Area <sup>1</sup>	Primary Target Area: Secondary Target Area		
Estimate of Total Budget	US\$		
<b>Proponent Profile</b>			
Name/ Position	Mr./Ms. Position	Signature	Date
Organization			
Address			
Contact	Tel:	Fax:	Email:
<b>Official Use Only</b>			
Person-In-Charge (AFoCO Secretariat)			

<sup>1</sup> Refer to the list of target areas which is in accordance with the objectives and prevailing strategic plan of AFoCO (to be provided by the Secretariat).

## 1. Summary of Proposed Action

### 1.1 Problems to be Addressed

*Describe problem(s) identified in the preliminary problem analysis, which the proposed actions aim to resolve. Include reference to project history previously implemented by AFoCO or other entities (government, organizations, etc.), relevant evaluation recommendations, if any.*

### 1.2 Summary of the Proposed Strategy

*Briefly illustrate how the problem(s) described above will be addressed.*

### 1.3 Objectives

*Identify main objectives.*

### 1.4 Expected Results

*Describe the results identified in preliminary problem analysis, which the proposed actions will achieve.*

#### a) Expected Outputs

*Describe the immediate output of the project (specific objectives).*

#### b) Expected Outcome

*Describe the long term impact of the project.*

## 2. Stakeholders Analysis

*Identify primary and other stakeholders that are to be involvement in the project.*

## 3. Schedule and Potential Implementation Arrangements

### 3.1 Schedule

*Briefly describe when the proposed actions are carried out by years.*

### 3.2 Potential Implementation Arrangements

*List the institutions and organizations with which the implementing agency is likely to collaborate in carrying out the proposed actions and their likely role.*

### 3.3 Potential Risks

*Indicate the main potential risks which could hinder the achievement of the expected results, and possible mitigating measures.*

### 3.4 Sustainability

*Briefly describe how sustainability of results after completion of project will be ensured and specify the institutional partners that will contribute to this. Consider key sustainability factors such as: capacity development and sustainability in environmental, financial and technological aspects.*

## 4. Summary of Budget

<i>Project Personnel</i>	
<i>Sub-contracts</i>	
<i>Travel</i>	
<i>Non-expendable Items</i>	
<i>Consumable Items</i>	
<i>Miscellaneous</i>	
<i>Management Costs</i>	
<i>Subtotal</i>	
<i>Program Support (12% of subtotal)</i>	
<i>* Financial Regulations 3.4</i>	
<i>Grand Total</i>	

*(This page is intentionally left blank.)*

## Annex 2. Template for Project Proposal



### AFoCO Project Proposal

<b>Project code</b>	<i>(as provided to the concept note)</i>
---------------------	--

Project Profile		
Project Title		
Project Duration	Estimated start date: Estimated end date:	
Implementing Agency		
Participating Countries		
Project Site		
Main Objective		
Target Area <sup>1</sup>	Primary Target Area: Secondary Target Area	
Budget and Source of Finance	Total: US\$ _____ - AFoCO: US\$ _____ - National: US\$ _____ - Others: US\$ _____ (to be specified)	
Proponent Profile		
Name/ Position	Mr./Ms. Position	Signature Date
Organization		
Address		
Contact	Tel: _____	Fax: _____ Email: _____

Official Use Only			
Person-In-Charge (AFoCO Secretariat)		Date of receipt	
PAP Review Date			

	Signature	Date	Name/Title
<b>National Focal Point</b>	_____	_____	_____
<b>AFoCO Secretariat</b>	_____	_____	_____

<sup>1</sup> Refer to the list of target areas which is in accordance with the objectives and prevailing strategic plan of AFoCO (provided by the Secretariat).



## **Notes to the Proponent**

**This project proposal is subject to the following conditions and criteria, otherwise, the proposal may be rejected.**

1. The proposal should be based on its concept note considered by the Secretariat.
2. The proposal is developed in accordance with the AFoCO Project Manual.
3. The proponent should prove the originality of the proposal and its activities.
4. The proponent should prove not to duplicate with other on-going or completed projects.
5. The proponent should prove that budget estimates are based on prevailing market prices.

# Contents

**Summary** -----

**Section A. Project Context** -----

1. Background -----
2. Conformity with AFoCO's Objectives and Priorities -----
3. Regionality -----
4. Information on Project Target Area -----
  - 4.1. Geographic information -----
  - 4.2. Environmental information -----
  - 4.3. Socio-Economic information -----

**Section B. Rationale and Objectives** -----

1. Rationale -----
  - 1.1. Stakeholder analysis -----
  - 1.2. Problem analysis -----
  - 1.3. Logical Framework Matrix -----
  - 1.4. Justification -----
2. Objectives -----
  - 2.1. Main objective (development objective) -----
  - 2.2. Specific objective(s) and success criteria & indicators -----

**Section C. Description of Project Interventions** -----

1. Work Plan and Schedule -----
2. Budget -----

**Section D. Implementation Arrangements** -----

1. Organizational Structure -----
2. Staff Resource Plan -----
3. Reporting, Monitoring and Evaluation Arrangements -----
4. Risk Management and Sustainability -----
  - 4.1. Assumptions and risks -----
  - 4.2. Sustainability -----

## Summary

*(The Summary section is a brief description of the project. It should be presented in narrative form with the information of the problems to be addressed; goals and objectives, and interventions needed to resolve the problem.)*

## Section A. Project Context

### 1. Background

*(Provide factual information about the context of the problem that is to be addressed.)*

### Project History

*(Provide history of the project including project activities which are/were implemented previously by government/other organizations.)*

### 1. Conformity with AFoCO's objectives and strategic priorities

*(It is to exemplify how the project is in consistent with the objectives of AFoCO and which priority area will be addressed specifically.)*

### 2. Regionality

*(Is the project regional or transboundary in nature? How can the project address the issues appropriately and effectively at the regional level? Most development projects are bilateral or in line with national priorities, but for AFoCO projects, it is crucial to meet the challenges of transboundary or regional issues. Here it will highlight the regional impact of the project.)*

3. Information on project target area

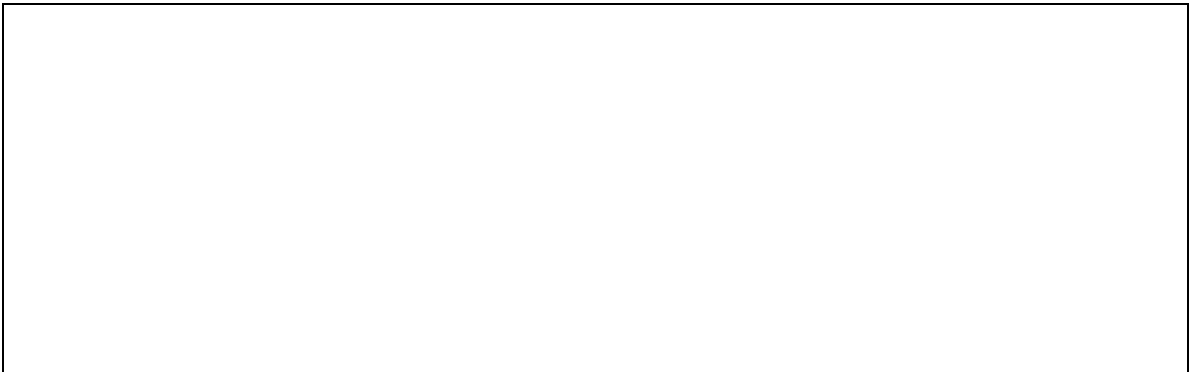
*(Reference data and baseline information here will provide a scenario of target area before project intervention.)*

3.1. Geographic information

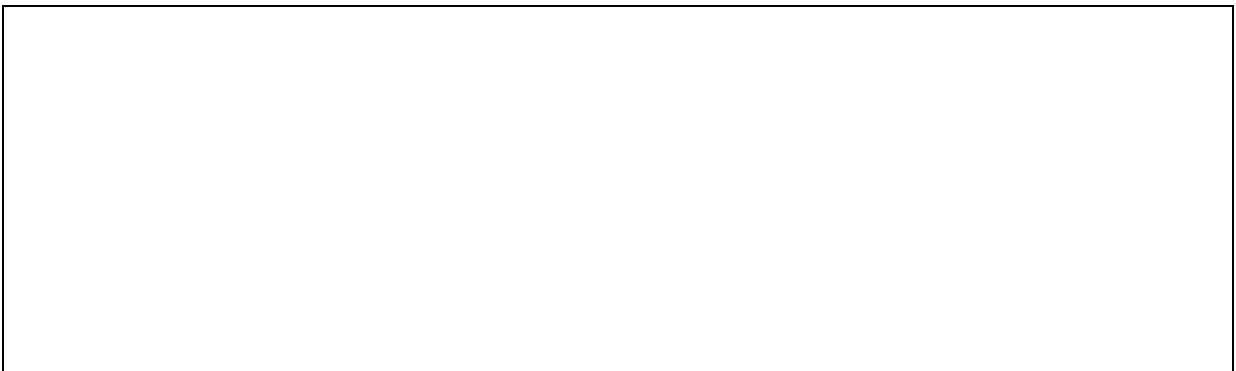
*(A map of the project site location will be included.)*

A large, empty rectangular box with a thin black border, intended for the inclusion of a map or geographic information related to the project site.

3.2. Environmental information

A large, empty rectangular box with a thin black border, intended for the inclusion of environmental information related to the project target area.

3.3. Socio-Economic information

A large, empty rectangular box with a thin black border, intended for the inclusion of socio-economic information related to the project target area.

## Section B. Rationale and Objectives

### 1. Rationale

#### 1.1. Stakeholder analysis

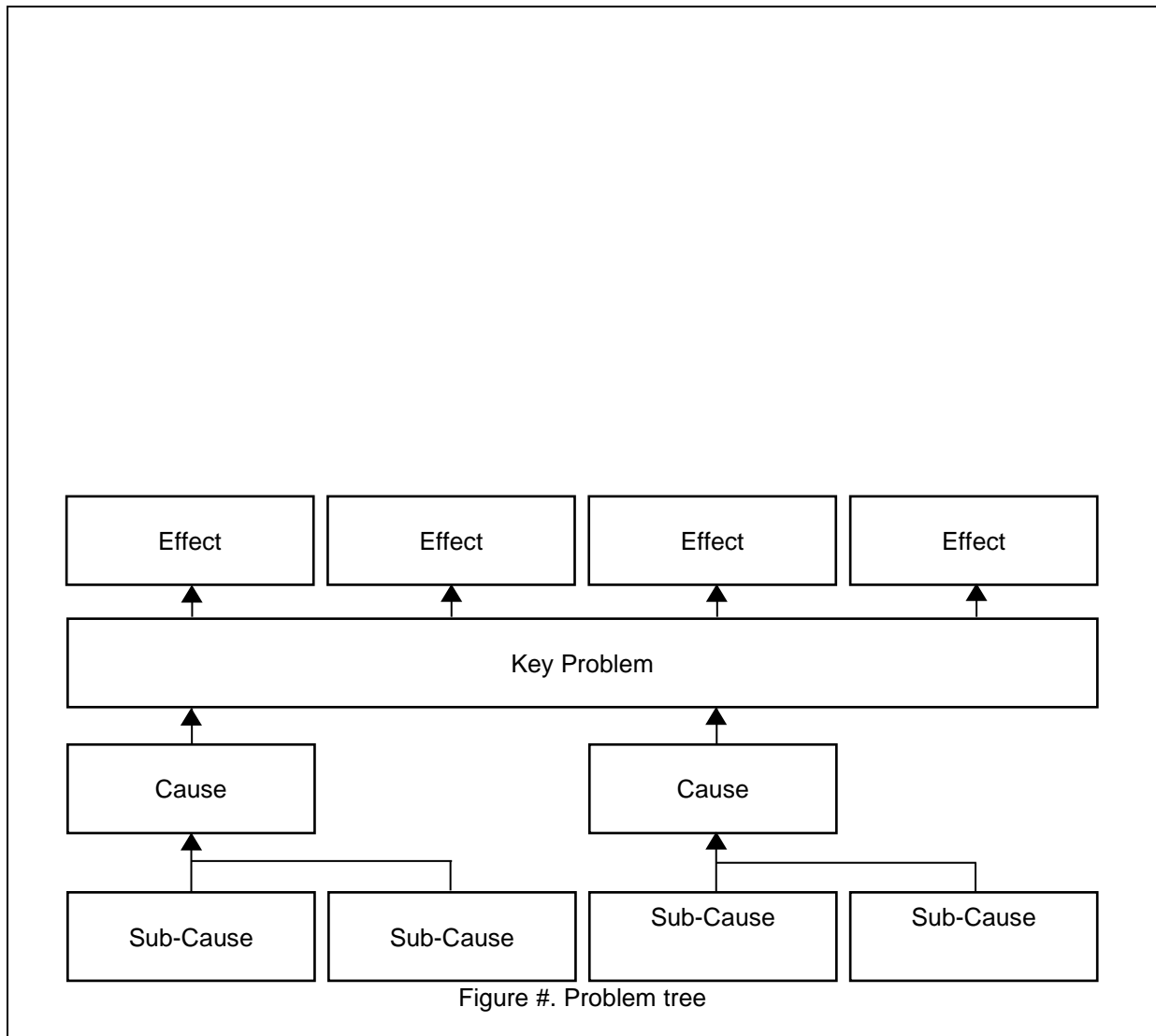
*(A matrix of stakeholder analysis can be presented to identify how primary and other stakeholders are involved and will be benefited from the project.)*

Table #. Stakeholder analysis table

Stakeholder group	Characteristics	Problems, needs, interests	Potential benefits	Involvement in the project
Primary stakeholders				
Secondary stakeholders				
Tertiary and other stakeholders				

## 1.2. Problem analysis

*(What are the underlying causes of the problem to be addressed? It can be described in text as well as in illustration such as problem tree or chart.)*



### 1.3. Logical framework matrix

*(A Logical framework matrix is needed to illustrate how the inputs and activities will achieve the objective of the project and what measurable indicators and means of verification will be used to evaluate the outputs. It provides a baseline for monitoring and evaluation of project achievements.)*

	Narrative	Objectively Verifiable Indicators	Means of Verification	Assumptions
Activities				
Outputs				
Objectives				
Goal				

### 1.4. Justification

*(The project should provide justification that how the project should solve the key problems and what benefits would be provided to project beneficiaries through what achievements.)*

--



2. Objectives

2.1. Main objective (development objective)

2.2. Specific objective(s) and success criteria & indicators

**Section C. Description of Project Interventions**

(Section C will be composed of two (2) matrices without narrative descriptions.)

1. Work Plan and Schedule

Outputs	Performance Indicator	Responsible Person/ Body	Annual Timeline																				Remarks				
			Year 1				Year 2				Year 3				Year 4				Year 5					...			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4					
<b>Objective 1</b>																											
<i>(Output 1)</i>																											
A.1 (1 <sup>st</sup> Activity of Output 1)																											
A.1.1																											
A.1.2																											
A.1.3																											
A.1.4																											
A.2 (2 <sup>nd</sup> Activity of Output 1)																											
A.2.1																											
A.2.2																											
A.2.3																											
A.2.4																											
<i>(Output 2)</i>																											
B.1 (1 <sup>st</sup> Activity of Output 2)																											
B.2 (2 <sup>nd</sup> Activity of Output 2)																											
<b>Objective 2</b>																											
<i>(Output 3)</i>																											

Need to

C.1 (1st Activity of Output 3)																									
(Output 4)																									
D.1 (1st Activity of Output 4)																									
...																									

Need to

2. Budget (USD)

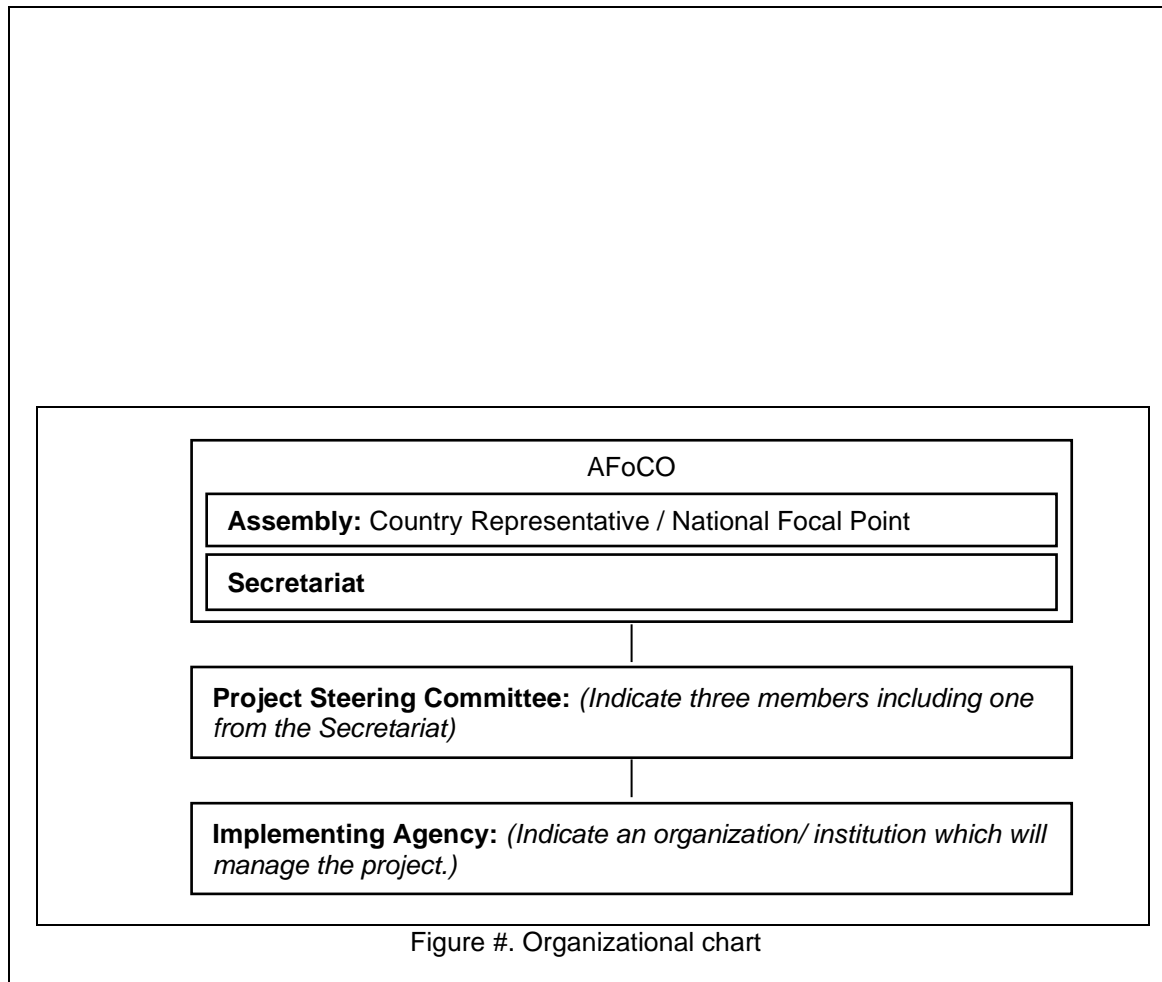
Activity	Budget Allocation by Year (USD)								
	Unit	Unit Cost	Quantity	Total	Year1	Year2	Year3	Year4	...
<b>Objective 1</b>									
<i>(Output 1)</i>									
A.1 (1 <sup>st</sup> Activity of Output 1)									
A.1.1									
A.1.2									
A.1.3									
A.1.4									
A.2 (2 <sup>nd</sup> Activity of Output 1)									
A.2.1									
A.2.2									
A.2.3									
A.2.4									
<i>(Output 2)</i>									
B.1 (1 <sup>st</sup> Activity of Output 2)									
B.2 (2 <sup>nd</sup> Activity of Output 2)									
<b>Objective 2</b>									
<i>(Output 3)</i>									
C.1 (1 <sup>st</sup> Activity of Output 3)									
<i>(Output 4)</i>									
D.1 (1 <sup>st</sup> Activity of Output 4)									
...									
<b>Subtotal (Objective 1~xx)</b>									
<b>Program Support (12% of subtotal )</b>									
<b>* Financial Regulations 3.4</b>									

Need to

## Section D. Implementation Arrangements

### 1. Organizational structure

*(Organizational structure includes the implementation bodies to be established (e.g. project steering committee and project manager) and decision-making process. As part of implementation, it will also cover how primary and other stakeholders are involved and linked each other in the project structure.)*



### 2. Staff resource plan

Blank area for the Staff resource plan.

3. Reporting and monitoring arrangements

*(Monitoring arrangements must be in line with logical framework matrix and AFoCO project manual.)*

4. Risk management and sustainability

4.1. Assumptions and risks

*(Assumptions refer to the external conditions such as local regulations and prevailing market, required for the project to succeed while a risk is defined as a probability of not meeting a required assumption. Here, a risk management strategy will be identified and how it will be conducted if certain assumptions are not met.)*

4.2. Sustainability

*(This will clarify how to sustain the results and outcome of the project in the aftermath of the project and clarify the political support, institutional capacity of the beneficiary, and sustainability in environmental, financial and technological aspects.)*

5. Gender

*(How this projects will be implemented with gender perspective needs to be specified according to the Gender Policy of AFoCO.)*

## Annex 3. Template for Pre-Project Proposal



### AFoCO Pre-Project Proposal

**Project code** | *(to be provided by the Secretariat)*

Pre-Project Profile	
Project Title	
Proposed Duration for Pre-project	<i>(Note: Duration for pre-project is 1 year or less.)</i>
Estimated Budget	<i>(Note: Budget ceiling for pre-project is US\$ 100,000.)</i>
Project Profile	
Expected Project Duration	Estimated start date: Estimated end date:
Implementing Agency	
Participating Countries	
Project Site	
Main Objectives	
Target Area <sup>3</sup>	Primary Target Area: Secondary Target Area
Estimated Total Budget	US\$
Proponent Profile	
Name/ Position	Mr./Ms. Position Signature Date
Organization	
Address	
Contact	Tel:                      Fax:                      Email:

Official Use Only	
Person-In-Charge (AFoCO Secretariat)	

	Signature	Date	Name/Title
<b>National Focal Point</b>	_____	_____	_____
<b>AFoCo Secretariat</b>	_____	_____	_____

#### 1. Project Context

<sup>3</sup> Refer to the list of target areas which is in accordance with the objectives and prevailing strategic plan of AFoCO (to be provided by the Secretariat).

<b>1.1 Summary of project to be developed</b>	
<i>Describe general activities of the project to be developed and its relevance to the objectives and strategic priorities of AFoCO.</i>	
<i>Describe expected total budget and duration, proposed project site, participating countries of the project to be proposed.</i>	
<b>1.2 Information on target project area</b>	
<i>Identify target area and describe the relevant baseline information of the target project site.</i>	
<b>2. Rationale and Objectives</b>	
<b>2.1 Rationale (problem and stakeholder identification)</b>	
<i>Briefly describe the problem or issues to be addressed in the regular project proposal. Briefly describe primary and other stakeholders likely to be involved and/or benefited from the regular project to be developed.</i>	
<b>2.2 Objectives and expected output</b>	
<i>Briefly describe objectives of the regular project to be developed. Describe the expected results from the project to be developed.</i>	
<b>3. Project development arrangements</b>	
<b>3.1 Potential partner(s)</b>	
<i>List the institutions, organizations or personnel with which the proponent will work together in the pre-project.</i>	
<b>3.2 Proposed duration</b>	
<i>Briefly describe the schedule of the pre-project.</i>	
<b>4. Summary of Budget</b>	
<i>Consultant Fee</i>	
<i>Travel</i>	
<i>Management Costs</i>	
<i>(Specify other costs)</i>	
<b>Grand Total</b>	

\* The output of the pre-project should be the regular project proposal in accordance with the Template for Project Proposal (**Annex 2**).



## Annex 4. Template for Grading Sheet for Project Appraisal



### AFoCO Project Appraisal Sheet

Project Profile		
Project Code	<i>(to be provided by the Secretariat)</i>	
Project Title		
Recipient Country/s		
Total Budget		
Date of Review	DD-MM-YYYY	
Overall Appraisal		
Name/position of Reviewer		
Appraisal Grading (tick the appropriate box)		
A. Fully endorsed <input type="checkbox"/>	B. Conditionally endorsed with modification <input type="checkbox"/>	C. [Not endorsed][Major modification required] <input type="checkbox"/>
Comments (Describe the main issues to be addressed. Justify the grading score.)		

Official Use Only	
Person-In-Charge (AFoCO Secretariat)	

The reviewer should assess how well the project addresses each criteria item below and provide a score of.

- 85%~100% (the review criteria is mostly or fully met)
- 60%~84% (the review criteria is not adequately met and improvements are required)
- Below 60% (the review criteria requires substantial improvements)

Criteria	Score (10%~100%)	Comments and Recommendation
<b>1. Alignment to the objectives and strategic plan of AFoCO</b>		
- Is the project aligned to the objectives of AFoCO?	Score:	<i>(Specify justification on the score)</i>
- Is the project's contribution specific and relevant to address AFoCO's strategic plan?	Score:	<i>(Specify justification on the score)</i>
<b>2. Technical feasibility to address the problems identified in the project</b>		
- Are the expected results clearly formulated in response to the problems to be solved?	Score:	<i>(Specify justification on the score)</i>
- Are the proposed project activities suitable to implement under the current situation of the country?	Score:	<i>(Specify justification on the score)</i>
- Has the stakeholder analysis been conducted adequately?	Score:	<i>(Specify justification on the score)</i>
<b>3. Consideration and use of AFoCO's comparative advantages</b>		
- How relevance is the use of AFoCO's comparative advantages in the project?	Score:	<i>(Specify justification on the score)</i>
- Are AFoCO's strengths/comparative advantages properly applied for maximum outcome?	Score:	<i>(Specify justification on the score)</i>
<b>4. Cost effectiveness</b>		
- Are the management expenses (support staff and operational cost) justifiable against the workload and actions to be delivered?	Score:	<i>(Specify justification on the score)</i>
- Are the cost estimates based on the prevailing market prices or is there any reference provided for justification?	Score:	<i>(Specify justification on the score)</i>
<b>5. Sustainability or relevance of project to country's need and policy direction</b>		
- Will the proposed technology/methodology by the project be appropriate and compatible with the prevailing socio-economic and cultural context?	Score:	<i>(Specify justification on the score)</i>
- Are there exit-strategies or how the project outputs are streamlined into prevailing national policy and future direction?	Score:	<i>(Specify justification on the score)</i>
<b>Average score of 5 criteria</b>	Score:	
<b>FINAL GRADE (A, B, or C)</b> <i>A for an average score of 85%~100%; B for an average score of 60%~84%; C for an average score below 60% or if any of the criteria is score below 60%</i>	<b>(A, B, or C)</b>	
Other comments (if any)		

## Annex 5. Template for Project Memorandum of Understanding

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### MEMORANDUM OF UNDERSTANDING

---

**BETWEEN**

**ASIAN FOREST COOPERATION ORGANIZATION**

**AND**

**[.....Implementing Agency.....]**

**FOR IMPLEMENTATION OF PROJECT:**

**[.....project number.....] “[.....project title.....]”**

[Logo of Asian Forest Cooperation Organization]	[Logo of Implementing Agency]
---	-------------------------------

[Logo of Asian Forest Cooperation Organization]	[Logo of Implementing Agency]
---	-------------------------------

**MEMORANDUM OF UNDERSTANDING**

Between

ASIAN FOREST COOPERATION ORGANIZATION (AFoCO)

and

[.....Implementing Agency.....]

for the implementation of Project [project number]

“[.....project title.....]”

**1. Introduction**

The Asian Forest Cooperation Organization (hereinafter referred to as "AFoCO") will make available to [.....Implementing Agency.....(hereinafter referred to as “XXXX”) project fund up to [United states dollars ..... only (USD XXX,XXX.XX)], specified under Article [...6...] “Terms of Payment” of this Memorandum of Understanding (hereinafter referred to as the “MOU”) for the implementation of Project [.....project number.....] “[.....project title.....]” (hereinafter referred to as the “Project”). The project was approved by the [.....XX<sup>th</sup>.....] Session of the Assembly of the AFoCO, held on [date - DD MMM YYYY], in [.....venue.....].

**2. Objectives**

The parties agree to undertake the activities under the terms and conditions of this MOU to meet the following objectives of the Project:

- a) [.....Project objective.....]
- b) [.....Project objective.....]
- c) [.....Project objective.....]

**3. General Conditions**

- a) Funds provided by AFoCO will be used by the [.....Implementing Agency.....] exclusively for implementation of the activities identified in the attached

“**Attachment A**” entitled “Project Document”, which constitutes an integral part of this MOU.

- b) The project information, among others, objectives, outputs, work plan, budget, implementation arrangement, monitoring arrangement and in-kind contribution by the participating countries, are given in detail in the attached Project Document.
- c) Letters of Intent submitted by the participating countries to the [.....Implementing Agency.....] and AFoCO Secretariat (hereinafter referred to as the “Secretariat”) on the implementation of activities are collectively attached in “**Attachment B**”, which also constitutes an integral part of this MOU.
- d) [...Implementing Agency.....], in collaboration with the participating countries, will apply the guidelines provided under the Project Manual “**Attachment C**” approved by the Assembly of AFoCO.
- e) The National Focal Points of participating countries will coordinate and facilitate the implementation of the Project.
- f) The Secretariat will support to ensure effective financial management and implementation of the Project.
- g) Upon coming into effect of this MOU, [.....Implementing Agency.....] will immediately appoint a Project Manager and core project personnel in accordance with the guidelines of Project Manual and domestic regulations of the participating countries.
- h) [.....Implementing Agency.....] will provide a furnished office for the purpose of coordination and effective implementation of activities under the Project.
- i) Upon coming into effect of this MOU, [.....Implementing Agency.....], in collaboration with the participating countries, will immediately undertake necessary management actions for implementation of activities identified in the Project Document, in accordance with Project Manual and the domestic regulations of each country. The actions will, where appropriate, begin with the formation of Project Steering Committee (hereinafter referred to as the “PSC”) and relevant inception arrangements.
- j) [.....Implementing Agency.....], can make other legal arrangements solely for the implementation of the project, among others, service contracts, MOUs, and agreements according to the annual work plan and budget. For those legal arrangements that are not stipulated in the annual work plan and budget, prior consultation with the Secretariat is required.
- k) Intellectual Property Rights (hereinafter referred to as “IPR”), including copyright, transfer of genetic materials, any technological development, products or services under this MOU, carried out jointly will be jointly owned by the respective countries. For those IPR, carried out through the sole and separate effort of the individual countries under this MOU, will be owned by the Party concerned. This provision will survive the expiration or termination of this MOU.

- l) All publications and technical reports resulting from implementation of the Project will carry statements of appropriate recognition to the contribution and role of Parties to this MOU and participating countries.
- m) The personnel assigned under this MOU for the implementation of the activities will be subject to the regulations, responsibilities and rights referred to in the Project Manual and not be entitled to any compensation or reimbursement by the AFoCO.
- n) If the continued implementation of the Project under this MOU becomes impossible or impractical, any Party concerned will, through the Secretariat, notify the other Parties its intention and reason for termination at least one (1) month prior to this effect. However, such termination of the Project will be in effect upon decision by the Assembly.
- o) [.....Implementing Agency.....] will ensure that the activities are implemented as effectively as possible in accordance with the Project Document. In the event of non-compliance or partial compliance with the terms of the Project Document and this MOU, the [.....Implementing Agency.....] will provide clarification, failing which, the payment of fund will be suspended or terminated.
- p) Either upon completion or termination of any activities under the Project including final payment of related expenses for such activities, [.....Implementing Agency.....], in collaboration with the participating countries, will arrange the refund of surplus or unspent budget to the Secretariat.

#### **4. Reporting**

- a) [.....Implementing Agency.....], in collaboration with the participating countries, will ensure to submit to the Assembly through the Secretariat annual reports, mid-year reports and other reports such as technical reports, in accordance with the Project Manual.
- b) [.....Implementing Agency.....], in collaboration with the participating countries, will ensure to submit regular financial reports twice a year on 15 January and 15 July each year in accordance with the Project Manual.
- c) [.....Implementing Agency.....], in collaboration with the participating countries, will ensure to submit to the Assembly through the Secretariat, a completion report within three (3) months from the completion date of the Project.
- d) [.....Implementing Agency.....], in collaboration with the participating countries, will submit to the Assembly through the Secretariat, a financial audit report certified by an independent auditor or a similar third party auditor within three (3) months from the completion date of the Project.
- e) [.....Implementing Agency.....], in collaboration with the participating countries, will ensure to maintain supporting documents showing the utilization of funds under this MOU and all other documents and records related to the activities for a period of five (5) years following the completion of the Project, during which period, the

Assembly or a person designated by the Assembly will have the right to review or audit the relevant records and documents.

- f) All documents under this Project will be done in English language.

## **5. Monitoring Arrangement**

The PSC will assign a project monitoring team to conduct regular or annual monitoring to assess and evaluate the implementation of the Project and submit the monitoring reports to the PSC (or designated authority) in accordance with the Project Manual.

## **6. Terms of Payment**

For the implementation of the activities under this MOU, the Secretariat, in accordance with the provision under 2 (a), will make the payment as follows:

- a) The fund allocation for implementation of project activities will be up to [United states dollars ..... only (USD XXX,XXX.XX)] as specified under the budget plan of the Project Document (Attachment A).
- b) The payment will be made upon the budget request by [.....Implementing Agency.....], in consultation with the National Focal Point, in every six (6) months with reference to the annual work plan and budget of the Project Document (Attachment A) and the Project Manual; and
- c) The Secretariat will remit the above-mentioned payments in accordance with the banking instructions provided by the Implementing Agency.

## **7. Settlement of Disputes**

Any dispute between the Parties arising out of the interpretation or execution of this MOU will be settled amicably through mutual consultations and/or negotiations between the Parties, without reference to any third party or international tribunal.

## **8. Amendments**

Any amendment to this MOU will be effected by consensus between the Parties.

## **9. Entry into Effect**

- a) This MOU will come into effect from the date of signing by all Parties and shall remain in effect for a period of [.....project period.....]. That date shall be designated as the official starting date of the project.
- b) The MOU must be signed in two (2) original copies in English. Each Party must have one (1) copy of the duly signed MOU.

IN WITNESS WHEREOF, the undersigned, duly authorized representatives of the AFoCO and [.....Implementing Agency.....], have signed this MOU.

Need to

Parties to this MOU	Signatures
1. Asian Forest Cooperation Organization 8 <sup>th</sup> Floor, 9 Gukhoe-daero 62-gil Yeongdeungpo-gu, Seoul Republic of Korea, 07236	..... [.....name.....] Executive Director  Date: .....
2. [.....Implementing Agency.....] [.....Address.....]	..... [.....name.....] [.....title.....]  Date: .....

Witness to this MOU	Signature
3. On behalf of the Government of [.....Participating Country.....] [.....National Focal Point.....] [.....Address.....]	..... [.....name.....] [.....title.....]  Date: .....
4. On behalf of the Government of [.....Participating Country.....] [..... National Focal Point.....] [.....Address.....]	..... [.....name.....] [.....title.....]  Date: .....
5. On behalf of the Government of [.....Participating Country.....] [..... National Focal Point.....] [.....Address.....]	..... [.....name.....] [.....title.....]  Date: .....





## **Annex 6. Template for Rules of Procedures and Meeting Report of Project Steering Committee**

### A. Standard Rules of Procedures and Structure of Project Steering Committee

#### **Rules of Procedures for the Project Steering Committee for the AFoCO Project entitled: *(insert full title of the project)***

(Project code)

##### 1. Background

*(Insert brief background of the project, including date of approval by the Assembly, MOU signing date, date of inception, implementing agency profile, etc.)*

##### 2. Objectives

*(Note: The PSC is responsible to form a project monitoring team in accordance with Article 11.1 of the AFoCO Project Manual. In case there is a need for revision of work plan and budget, the PSC is responsible to review and decide on such revision up to 10% in accordance with Article 10.6 of the AFoCO Project Manual.)*

The Project Steering Committee (hereinafter referred to as the “PSC”) is formed for proper coordination, management, monitoring, review, and necessary decision making on the implementation of the Project to achieve the goal and objectives of the Project.

The specific duties and responsibilities of the PSC will include:

- monitoring of the progress of implementation of activities;
- reviewing and approving the annual work plan and annual budget; and
- resolving issues related to the implementation of the Project.

##### 3. Members of PSC

*(Note: In accordance with the Article 9 of the AFoCO Project Manual, the PSC will be established with at least three (3) members in the committee, including NFP, one (1) member from the Secretariat and a third-party expert nominated by NFP.)*

The PSC will comprise of xx members, including NFP, one member from the Secretariat, and (insert more members as planned).

Need to

#### 4. Arrangement of PSC Meetings

The PSC Meeting (hereinafter referred to as the “Meeting”) will be held at least once a year, preferably in October until the completion of the Project.

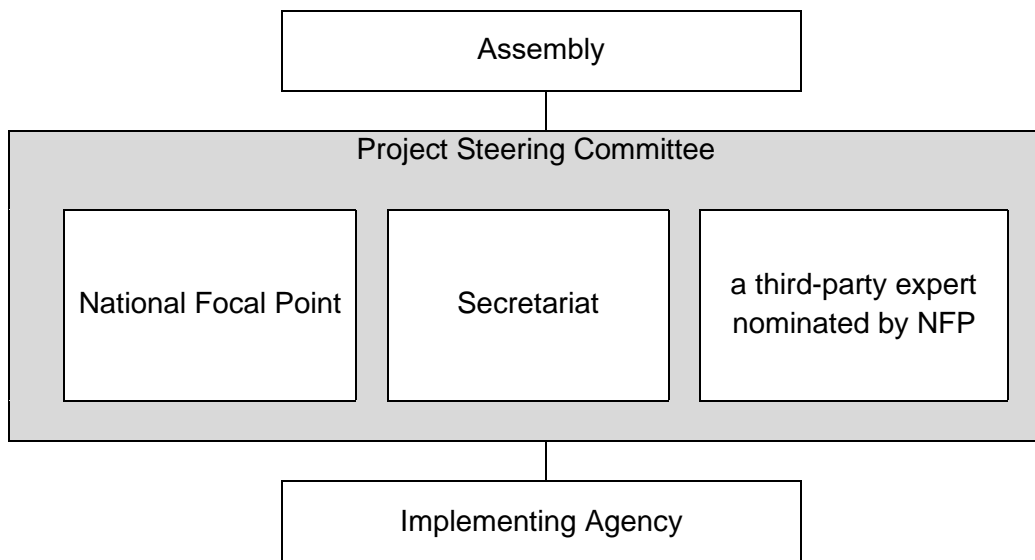
The Meeting will be organized by the Implementing Agency as planned in the work plan and budget.

Each Meeting will elect the chairperson of the Meeting.

#### 5. Agenda and Documentation of the Meeting

The Implementing Agency will prepare and circulate the provisional agenda for each Meeting in consultation with the NFP and Secretariat 3 weeks before the Meeting. The Implementing Agency will prepare and present the draft report of the Meeting. The Implementing Agency, in consultation with the Secretariat, will circulate the adopted meeting report to the PSC members immediately after the Meeting.

#### 6. Structure of Project Steering Committee



## B. Standard Project Steering Committee Meeting Report Format

(Logo of  
Implementing  
Agency)



### **xxth Project Steering Committee Meeting of the (Title of the Project)**

**(Project number)**

Date, Venue

---

### **Meeting Report**

**(Draft/Final)**

#### **Introduction**

1. *(Briefly describe in narrative form regarding PSC meeting including the date and venue and key agenda of the meeting. This section may include the name and position of the participants of the meeting.)*

#### **Opening Session**

xx. *(Specify full name and position in the case of any high-level (prominent person) participation at the opening session, and briefly summarize remarks in one paragraph per person.)*

#### **Agenda 1: (Title of agenda item, usually Election of Chair is Agenda 1)**

xx. *(Specify full name and position)* was unanimously elected as the Chairperson of the Meeting.

#### **Agenda 2: (Title of agenda item, usually Adoption of Agenda is Agenda 2)**

xx. The Meeting considered and adopted its agenda, which is attached in **ANNEX xx**.

#### **Agenda xx: (Title of agenda item)**

Need to

xx. *(Summarize the discussion and clearly state any decision made regarding the agenda.)*

**Agenda xx: Adoption of the Record of Discussion of the Meeting**

xx. The Meeting considered and adopted the meeting report of the xxth Project Steering Committee Meeting.

**Closing Session**

xx. *(Briefly describe in narrative form the regarding the closing, closing statement, appreciation to the host etc.)*

*Date, Venue*

---

## Annex 7. Templates for Annual Work Plan and Annual Budget

### 1. Annual Work Plan (20xx)

(To include objectives and expected outputs from the Project Document, and performance indicator for the output)

Expected Output and Activity of the Year	Performance Indicator	Responsible Person/ Body	Monthly Plan												Remark
			1	2	3	4	5	6	7	8	9	10	11	12	
<b>Objective 1</b>															
<i>(Output 1)</i>															
A.1 ( <i>1<sup>st</sup> Activity of Output 1</i> )		(e.g. DOF-Laos)													
A.1.1 ( <i>1<sup>st</sup> sub-activity of the 1<sup>st</sup> activity</i> )															
A.1.2															
A.1.3															
A.1.4															
A.2 ( <i>2<sup>nd</sup> Activity of Output 1</i> )															
A.2.1															
A.2.2															
A.2.3															
A.2.4															
<i>(Output 2)</i>															
B.1 ( <i>1<sup>st</sup> Activity of Output 2</i> )															
B.2 ( <i>2<sup>nd</sup> Activity of Output 2</i> )															
<b>Objective 2</b>															
<i>(Output 3)</i>															
C.1 ( <i>1<sup>st</sup> Activity of Output 3</i> )															
<i>(Output 4)</i>															
D.1 ( <i>1<sup>st</sup> Activity of Output 4</i> )															
...															

to be

2. Annual Budget (20xx)

(To include objectives and expected outputs from the Project Document)

Expected Output and Activity of the Year	Budget Allocation by Quarter (USD)								Original budget*	Remark
	Unit	Unit Cost	Quantity	Total	Q1	Q2	Q3	Q4		
				10,000						
<b>Objective 1</b>										
<i>(Output 1)</i>										
A.1 (1 <sup>st</sup> Activity of Output 1)										
A.1.1										
A.1.2										
A.1.3										
A.1.4										
A.2 (2 <sup>nd</sup> Activity of Output 1)										
A.2.1										
A.2.2										
A.2.3										
A.2.4										
<i>(Output 2)</i>										
B.1 (1 <sup>st</sup> Activity of Output 2)										
B.2 (2 <sup>nd</sup> Activity of Output 2)										
<b>Objective 2</b>										
<i>(Output 3)</i>										
C.1 (1 <sup>st</sup> Activity of Output 3)										
<i>(Output 4)</i>										
D.1 (1 <sup>st</sup> Activity of Output 4)										

(\*Note: Original budget indicated in the Project Document.)

Need to

## Annex 8. Template for Budget Request

### BUDGET REQUEST

Project Code: \_\_\_\_\_ Date \_\_\_\_\_  
 Ref. Number \_\_\_\_\_

Project Title: \_\_\_\_\_

#### 1. Information of Budget Request

Requesting Period	January – June 2018
Requested amount	
Bank Name	
Address	
Swift code	
Account Name	
A/C No.	
Customer ID (if applicable)	
Currency	USD

#### 2. Budget Status

Total Project Budget (A)	Total Budget Received (B)	Budget Requested (C)	Remaining Project Budget (D = A-B-C)
	g		

*Note: Attach approved annual work plan and budget*

*(This page is intentionally left blank.)*



## Annex 9. Template for front page of the documents



[.....TITLE OF DOCUMENT.....]

### <Project Profile>

<b>Project code</b>	
<b>Project Title</b>	
<b>Project Duration</b>	Start date: End date:
<b>Implementing Agency</b>	
<b>Participating Countries</b>	
<b>National Focal Point(s)</b>	
<b>Project Site</b>	
<b>Target Area</b>	Primary target area: Secondary target area:
<b>Budget and Source of Finance</b>	Total: US\$ - AFoCO: US\$ - National budget: US\$ _____ - Others: US\$ _____ (to be specified)

*(This page is intentionally left blank.)*


# Annex 10. Template for Financial Receipt and Attendance Sheet

## A. Standard Receipt Form

### (1) General Guideline on Receipt/Proof of Purchase

Receipt and/or credit card slips are acceptable forms of proof of purchase. Such proof of purchase needs to specify the date of purchase, amount, name of the supplier/shop, and product/services acquired. In cases where the list of product/services acquired is specified in the local language, the Implementing Agency should indicate a simple translation in English on the receipt/proof of purchase.

### (2) Standard Receipt Form for DSA/Honorarium Payments

<b>RECEIPT</b>		
<b>Recipient Information</b>		
<i>Full Name</i> :		
<i>Position and Affiliation</i> :		
<i>Address</i> :		
Items	Unit	Amount in USD
<i>Reimbursement for airfare (example)</i>		
<i>Daily allowance (example)</i>		
<i>List other items as applicable</i>		
TOTAL		
<p><b>(Amount in words in USD)</b> _____</p> <p><b>I certify that I received the above amount in cash as mentioned in this document.</b></p> <p><i>Full name:</i> _____ <span style="margin-left: 150px;"><i>Signature:</i> _____</span></p> <p><i>Date/Place:</i> _____</p>		
<b>Project title:</b> <b>Implementing Agency:</b>		

**B. Standard Attendance Sheet**

Title of event: \_\_\_\_\_

Date and venue: \_\_\_\_\_

Project title: \_\_\_\_\_

**Registration (Attendance Sheet)**

No	Full Name	Affiliation	Email	Signature

# Annex 11. Template for Financial Report

## Statement of Cash Flow

Project Code: Reporting Period: Ex) 1 Jan. 2017 to 30 Jun. 2017  
Project Title: SOC Number: 2017-1

Component	Timeline					
	2017-01	2017-02	2018-01	2018-02	2019-01	2019-02
<b>1 CASH IN</b>	(A)					
Balance		(C)				
Funds received						
Bank interest						
<b>2 CASH OUT</b>	(B)					
Bank charge						
<b>3 BALANCE</b>	(C) = (A)-(B)					

i. The Cash Flow Statement must be completed first, before the input into the Balance Sheet.

## BALANCE SHEET

**Project Number:**

**Reporting Period:** 1 Jan. 2017 to 30 Jun. 2017

**Project Title:**

**BS Number:** 2017-1

Component	Approved Budget (A)	Expenditures to Date			Available Funds (E = A - D)
		Committed (B)	Paid (C)	Total (D = B + C)	
<u>Funds received</u>					
<b>I. Total AFoCO funds received by the reporting period</b>					
<u>Expenditures by Implementing Agency</u>					
<b>A. (Output 1)</b>					
A.1. (1st Activity of Output 1)					
A.2. (2nd Activity of Output 1)					
<b>II. Sub Total A</b>					
<b>B. (Output 2)</b>					
B.1. (1st Activity of Output 2)					
B.2. (2nd Activity of Output 2)					
<b>III. Sub Total B</b>					
<b>C. (Output 3)</b>					
C.1. (1st Activity of Output 3)					
C.2. (2nd Activity of Output 3)					
C.3. (3rd Activity of Output 3)					
<b>VI. Sub Total C</b>					
<b>D. (Output 4)</b>					
D.1. (1st Activity of Output 4)					
D.2. (2nd Activity of Output 4)					
D.3. (3rd Activity of Output 4)					
<b>VII. Sub Total D</b>					
<b>E (Output 5)</b>					

Need to

E.1.	(1st Activity of Output 5)					
E.2.	(2nd Activity of Output 5)					
E.3.	(3rd Activity of Output 5)					
<b>VIII.</b>	<b>Sub Total E</b>					
F	Contingency/Other expenditure					
	Bank charge					
<b>IX.</b>	<b>Sub Total F</b>					
<b>x.</b>	<b>Total Funds Retained by Secretariat:</b>					
	GRAND TOTAL					

Note: Budget Components are those detailed in the Project Document.

- i Committed (B): expenditures incurred during the reporting period, but not yet settled.
- ii Amounts under the "Paid (C)" column will be imported from the Cash Flow Statement (with direct link).
- iii Available funds (F) represent the unused budget and surplus budget combined
- iv Any contingency expenditures including bank charge should be listed in the balance sheet and reflected underneath "Cash Out" of Statement Cash Flow

**STATEMENT OF EXPENDITURES**

**Project Number:**

**Reporting**

**1 Jan. 2017 to 30 Jun.**

**Project Title:**

**Period:**

**2017**

**SOE Number**

**2017-1**

<b>Serial No.</b>	<b>Date</b>	<b>Description</b>	<b>Activity Reference</b>	<b>Amount (local currency)</b>	<b>Amount (USD equivalent)</b>	<b>Reference Number (Voucher no./Project No./Year of expenditure)</b>
1	Ex) 01-Jan-2017	Ex) Accommodations	Ex) A.1.1.			Ex) 0001/PD-0001/2016
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
<b>TOTAL</b>						

[Signature]

[Signature]

**[Name]**

Account Officer

**[Name]**

Project Manager

Need to





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## Annex 12. Template for Mid-Year Report



### PROJECT MID-YEAR REPORT

[.....start date of reporting period.....]  
to [.....end date of reporting period.....]

#### <Project Profile>

<b>Project Code</b>	
<b>Project Title</b>	
<b>Project Duration</b>	Start date: End date:
<b>Implementing Agency</b>	
<b>Participating Countries</b>	
<b>Project Site</b>	
<b>Target Area<sup>4</sup></b>	Primary Target Area: Secondary Target Area
<b>Budget and Source of Finance</b>	Total: US\$ - AFoCO: US\$ - National budget: US\$ _____ - Others: US\$ _____ (to be specified)
<b>Annual Budget and Source of Finance</b>	Total: US\$ - AFoCO: US\$ - National budget: US\$ _____ - Others: US\$ _____ (to be specified)

#### <Implementing Agency Profile>

---

<sup>4</sup> Refer to the list of target areas which is in accordance with the objectives and prevailing strategic plan of AFoCO (provided by the Secretariat).

<b>Name</b>	[.....Implementing Agency.....]	
<b>Address</b>		
<b>Project Manager</b>	Mr./Ms.	
<b>Contact</b>	Tel.: Fax: Email:	
<b>Project Staff</b>	Mr./Ms.	[.....assigned tasks.....]
	Mr./Ms.	[.....assigned tasks.....]
	Mr./Ms.	[.....assigned tasks.....]
	Mr./Ms.	[.....assigned tasks.....]

**Notes to the Authors & Readers**

The project mid-year report should present information that are managerial in nature, such as the description of activities started or completed during the period covered, the percentage of work undertaken, and the costs incurred.

The report is expected to provide simple and concise information on project progress in accordance with formats provided below. If deemed necessary, the Appendices may include further elaborations on parts of the report.

## Contents

1. **Project Overview**-----
2. **Implementation Progress & Review of Performance**-----
3. **Issues & Lessons Learned** -----
4. **Photo records** -----
5. **Appendices**-----

1. Project Overview

*(To include immediate objectives and expected output, comprising extracts from the Project Document.)*

2. Implementation Progress & Review of Performance

*(To indicate the state of progress in matrix.)*

Activity No.	Activity	Timeline	Performance Indicators		Percentage Executed	Progress Description
			Baseline	Achieved		
Output 1						
A						
A.1						
A.2						
A.3						
Output 2						
B						
B.1						
...						

3. Issues & Lessons Learned

*(To describe the issues encountered and lessons learned during the reporting period in bullet points – a short paragraph for each issue identified and any action taken to address that issue and lessons learned thereof.)*

Description of Issues	Actions Taken and Lessons Learned

4. Photo records

*(To provide relevant project photos with proper description. the photos should include project site photos of before, during and after implementation of project activities. The original electronic files of the photos used in this section should be submitted separately.)*

5. Appendices

*(To include any material with both audio & visual records of project activities and any relevant documents such as maps, figures and/or maps as to support the report)*

## Annex 13. Template for Annual Report



# PROJECT ANNUAL REPORT

[.....start date of reporting period.....]  
to [.....end date of reporting period.....]

### <Project Profile>

<b>Project Code</b>	
<b>Project Title</b>	
<b>Project Duration</b>	Start date: End date:
<b>Implementing Agency</b>	
<b>Proponent Country</b>	
<b>Project Site</b>	
<b>Target Area<sup>5</sup></b>	Primary Target Area: Secondary Target Area
<b>Budget and Source of Finance</b>	Total: US\$ - AFoCO: US\$ - National budget: US\$ _____ - Others: US\$ _____ (to be specified)
<b>Annual Budget and Source of Finance</b>	Total: US\$ - AFoCO: US\$ - National budget: US\$ _____ - Others: US\$ _____ (to be specified)

<sup>5</sup> Refer to the list of target areas which is in accordance with the objectives and prevailing strategic plan of AFoCO (provided by the Secretariat).

**<Implementing Agency Profile>**

<b>Name</b>	[.....Implementing Agency.....]	
<b>Address</b>		
<b>Project Manager</b>	Mr./Ms.	
<b>Contact</b>	Tel.: Fax: Email:	
<b>Project Staff</b>	Mr./Ms.	[.....assigned tasks.....]
	Mr./Ms.	[.....assigned tasks.....]
	Mr./Ms.	[.....assigned tasks.....]
	Mr./Ms.	[.....assigned tasks.....]

**Notes to the Authors & Readers**

The project annual report intends to support the Implementing Agency (IA) exercise good management by providing regular, timely and relevant information on the project's progress and achievement. The report also aims to provide a tool for the senior management of the IA and the AFoCO, including the Assembly and the Secretariat, to review, assess and provide guidance in the progress of project implementation.

The project annual report should include the description of activities started or completed during the period covered, and the costs incurred. The report will also elaborate the technical and scientific data used, their analysis, and results/recommendations. The report is recommended to provide elaborations on the achievements following the given format, however the addition or revision of items is allowed in pursuit of more effective and transparent delivery of project results.



## Contents

<b>1. Project Overview</b>	-----
<b>2. Implementation Progress</b>	-----
2.1. Overall Progress & Review of Performance	-----
2.2. Key Decisions of PSC undertaken	-----
<b>3. Issues and Lessons Learned</b>	-----
<b>4. Outcome and Impact of Project Activity</b>	-----
<b>5. Conclusion and Recommendations</b>	-----
<b>6. Photo records</b>	-----
<b>7. Appendices</b>	-----

1. Project Overview

*(To include objectives and expected outputs from the Project Document, and expected outputs of the year)*

2. Implementation Progress

2.1 Overall Progress & Review of Performance

*(To indicate the state of progress in tabular form.)*

Activity No.	Activity	Timeline	Performance Indicators		Percentage Executed	Progress Description
			Baseline	Achieved		
Output 1						
A						
A.1						
A.2						
A.3						
Output 2						
B						
B.1						
...						

2.2 Key Decisions of PSC undertaken

*(To summarize key decisions made to address issues and guide the project during PSC meetings organized during the reporting period)*

Main Issues	Decisions	Follow-up Actions

3. Issues & Lessons Learned

*(To describe the issues encountered and lessons learned during the reporting period in bullet points – a short paragraph for each issue identified and any action taken to address that issue and lessons learned thereof.)*

Description of Issues	Actions Taken and Lessons Learned

4. Outcome and Impact of Project Activities

*(To describe the outcome and/or impact from the implementation of project activities)*

5. Conclusion and Recommendation

*(To provide the conclusion reached on the state of project implementation, based on the analyses made above. To also recommend any corrective actions or adjustment necessary for the achievement of the project's objectives.)*

6. Photo records

*(To provide relevant project photos with proper description. The photos should include project site photos of before, during and after implementation of project activities. The original electronic files of the photos used in this section should also be submitted.)*

7. Appendices

Appendix 1. Detailed Results of Key Activities

*(To include any material with both audio & visual records of project activities and any relevant documents such as maps, figures and/or maps as to support the report)*

1.1

1.2

...

Appendix x. Others, if any

*(To include any other relevant documents as to support the report.)*

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## Annex 14. Template for Completion Report



# PROJECT COMPLETION REPORT

### <Project Profile>

<b>Project Code</b>	
<b>Project Title</b>	
<b>Project Duration</b>	Start date: End date:
<b>Implementing Agency</b>	
<b>Participating Countries</b>	
<b>Project Site</b>	
<b>Target Area</b>	Primary target area: Secondary target area:
<b>Budget and Source of Finance</b>	Total: US\$ - AFoCO: US\$ - National budget: US\$ _____ - Others: US\$ _____ (to be specified)

**<Implementing Agency Profile>**

<b>Name</b>	[.....Implementing Agency.....]	
<b>Address</b>		
<b>Project Manager</b>	Mr./Ms.	
<b>Contact</b>	Tel.: Fax: Email:	
<b>Project Staff</b>	Mr./Ms.	[.....assigned tasks.....]
	Mr./Ms.	[.....assigned tasks.....]
	Mr./Ms.	[.....assigned tasks.....]
	Mr./Ms.	[.....assigned tasks.....]

**Notes to the Authors & Readers**

The project completion report is a formal document, which presents all the relevant information about the project implementation. The report should be written in an accessible language, avoiding very technical terms. The use of graphical information, such as maps, tables and graphs, is an effective way of improving communication.

The following table of contents presents a sample list of items to be included in the completion report; however, the addition or revision of those items is recommended in pursuit of more effective and transparent delivery of the project results.

Draft of this completion report should be presented at the Final Coordination and Evaluation Meeting. The final version of this completion report should be submitted to the Secretariat within 3 months from the completion the date of the project together with the financial audit report.

## Contents

<b>Summary</b>	-----
<b>1. Introduction</b>	-----
<b>2. Background and Objectives</b>	-----
2.1. Project rationale	-----
2.2. Project objectives	-----
2.3. Assumption and risks	-----
<b>3. Project Management</b>	-----
3.1. Management structure	-----
3.2. Work plan and schedule	-----
<b>4. Performance</b>	-----
4.1. Planned vs. actual implementation	-----
4.2. Planned vs. actual budget	-----
4.3. Implementation issues and constraints	-----
<b>5. Impact Analysis</b>	-----
5.1. Outputs and outcomes	-----
5.2. Internal & external impacts	-----
5.3. Local applicability	-----
5.4. Sustainability	-----
<b>6. Challenges and Lesson Learned</b>	-----
6.1. Project formulation aspect	-----
6.2. Operational aspect	-----
6.3. External factors	-----
<b>7. Photo records</b>	-----
<b>8. Conclusion and Recommendations</b>	-----
<b>9. References</b>	-----
<b>10. Appendices</b>	-----

## Summary

*(This summary should be written in an accessible and non-technical language and include pertinent information on the purpose and need for the proposed activity, the issues and alternatives considered, the existing environment, and the results and conclusions. Less than 1,000 words)*

### 1. Introduction

*(This section should briefly describe the social, economic and environmental context as well as relevant national and regional policies and programs. This text may comprise extracts from the Project Document. Less than 200 words.)*

### 2. Background and Objectives

*(This section should include the origin and the main problem addressed by the Project, highlighting the immediate objectives, expected output, and identified assumptions and risks required for the achievement of the objectives through the series of activities planned. Texts for this section may comprise extracts from the Project Document. Less than 400 words.)*

- 2.1. Project rationale
- 2.2. Project objectives
- 2.3. Assumption and risks

### 3. Project Management

*(This section should include a brief description of the implementation bodies and decision-making process established for implementation of project activities. It is also required to provide the final version of the work plan and schedule for readers to grasp the overall scheme of the project.)*

- 3.1. Management structure
- 3.2. Work plan and schedule



#### 4. Performance

*(The purpose of this section is to highlight critical differences between planned and actual project implementation of activities using the original Project Document as reference and issues and constraints encountered during the implementation of the project. It is highly recommended to include a comprehensive writing of the technical methods applied and comparison tables for presenting any deviation from the plan.)*

- 4.1. Planned vs. actual implementation
- 4.2. Planned vs. actual budget
- 4.3. Implementation issues and constraints

#### 5. Impact Analysis

*(This section should describe impacts of the implemented activities and outputs. It is advised to elaborate on the extent to which the project objectives were achieved, describe the internal and external conditions remained at project completion as those compared to the pre-project stage, describe applicability and adaptability of project intervention in local conditions and sustainability of activities after project completion. It is highly recommended to refer to relevant parts of the Project Document.)*

- 5.1. Outputs and outcomes
- 5.2. Internal & external impacts
- 5.3. Local applicability
- 5.4. Sustainability

#### 6. Challenges and Lesson Learned

*(Any challenges encountered and the lessons learned thereof are recommended to be described in detail by explicitly identifying how the incompleteness or uncertainty had impacted and the extent/magnitude of impact. The challenges could be classified either internal or external. The internal factors could be further classified either in operational or project formulation aspect while the external factors and their impacts should be described in a separate section. It is highly recommended to refer to relevant parts of the Project Document.)*

- 6.1. Project formulation aspect
- 6.2. Operational aspect
- 6.3. External factors

7. Conclusion and Recommendations

*(This section should clearly present overall impact and specific impact, if any, made by the project with clear outcomes and evidences. It is recommended to also cover recommendations for application of good practices found and appropriate follow-up actions needed to be pursued under current situation. Limitations or shortcomings of project interventions as well as potential scenarios and suggested actions could be featured.)*

8. Photo records

*(To provide relevant project photos with proper description. The photos should include project site photos of before, during and after implementation of project activities. The original electronic files of the photos used in this section should also be submitted.)*

9. References

*(This section should list any references used in preparing the report. Any formats for bibliographic information may be used, however, the following elements should at least be included – author(s), title of the publication, the edition, place of edition, the publisher and the year of publication.)*

10. Appendices

*(This may include reference documents, list of audio-visual records, or other relevant documents.)*

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