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*Project Manual of the
Asian Forest Cooperation Organization*

Effective on 27 November 2020

Asian Forest Cooperation Organization

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1. Introduction

1.1 Purpose

The purpose of the Project Manual (**the Manual**) is to provide guidelines for all stakeholders for projects under the Asian Forest Cooperation Organization (**AFoCO**), primarily the National Focal Point (**NFP**), the Secretariat, project implementers, including the implementing agency (**IA**), the donor(s), consultants, suppliers of goods and services, monitoring team, and evaluation team, among others.

1.2 Scope

The manual exemplifies procedures and methodologies to be applied in the project management from the stage of concept note development up to final or end-of-project evaluation. As deemed necessary, projects which are partially and/or fully supported by external funds will follow the principles and requirements of the respective 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.

1.3 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.
- (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) “Observer” means a signatory country which has signed the Agreement but has yet to deposit its instrument of ratification, acceptance or approval; country, or international non-governmental organization granted Observer status by the Assembly in accordance with Article 6 of the Agreement.
- (f) “Party” means a country which has signed the Agreement and has deposited its instrument of ratification, acceptance, or approval for which the Agreement has entered into force, or a country that has acceded to the Agreement.
- (g) “Gender” refers to the roles, behaviors, activities and attributes that a given society at a given time considers appropriate for men and women. In addition, gender is part of the broader socio-cultural context, including class, race, poverty level, ethnic group, sexual orientation, and age. In most societies there are differences and inequalities

between women and men in responsibilities assigned, activities undertaken, access to and control over resources, as well as decision-making opportunities.

- (h) “Gender Policy¹” refers to Gender Policy of AFoCO which was approved by the Assembly.
- (i) “Environmental and Social Safeguard (ESS) Policy²” refers to ESS policy of AFoCO which was approved by the Assembly.
- (j) “Project” is defined as an execution of activities over a planned period to achieve the specific goals and objectives vis-à-vis AFoCO’s Strategic Priorities and the policies, priorities and plans of member countries.
- (k) “National Focal Point (NFP)” is a designated position for a member country to oversee and coordinate the implementation of all AFoCO activities, as the official channel of communication.
- (l) “Implementing Agency (IA)” is a body responsible for implementing and executing project activities.
- (m) “Project Appraisal Committee (PAC)” is a body responsible to deliver a final decision on the project appraisal that will proceed to fund mobilization process.
- (n) “Project Appraisal Panel (PAP)” is a body responsible for the appraisal of project proposals.
- (o) “Project Concept Note (PCN)” is the first document submitted by the NFP to the Secretariat for consideration as a potential project.
- (p) “Project Proposal” is a project description submitted by a respective NFP to the Secretariat for appraisal for subsequent approval by the Assembly.
- (q) “Project Document” is a project description translated from the project proposal as approved by the Assembly together with its annexes.
- (r) “Work Plan and Budget (WPB)” is a set of document comprised of the schedule of activities and the respective budget.
- (s) “Project Implementation Plan (PIP)” is a multi-year physical and financial plan covering the whole duration of the Project which is developed based on the Logical Framework Matrix. PIP serves as the basis in the preparation of the annual Work Plan and Budget.

¹ Environmental and social safeguard policy: <http://afocosec.org/policies-5/>

² Gender policy: <http://afocosec.org/policies-6/>

- (t) “Project Inception Meeting (PIM)” is a technical meeting between IA and the Secretariat to update the Project Documents.
- (u) “Project Steering Committee (PSC)” is a supervisory and decision-making body for project implementation.
- (v) “Soft asset” refers to an intangible asset which is not physical in nature (e.g. data, research outputs, photos, videos, intellectual outputs, etc.).
- (w) “Hard asset” refers to a fixed asset or tangible resource with fundamental value, such as the assets most commonly appear on the balance sheet as property, plant, and equipment (PP&E) (e.g. computers, furniture, vehicles, machinery, etc.).
- (x) “Direct costs” are **costs that can be directly attributed to the achievement of a specific project output**, e.g. labor, raw materials, equipment procurement/rental costs, etc.
- (y) “Indirect costs” are costs that **cannot be directly attributed to and/or traceable to the achievement of a specific project output**, e.g. management, general administration, office rental, utility costs, etc.

2. Project Management Flow

2.1 AFoCO Projects

AFoCO projects, called “regular project” , which may involve one or multiple member countries, are subject to approval by the Assembly. Participation of non-member countries as an implementing partner is also subject to approval by the Assembly.

All projects should consider five (5) Environmental and Social Performance Standards (ESPS) and integrate gender related concerns accompanied by efforts to introduce gender-fair language in all phases of the project cycle. Both ESS and Gender considerations will respect national/domestic policies of the respective member countries.

The Implementing Agency (IA) is responsible for the implementation of project, including the submission of budget requests, reports, and financial statements. IA is government agency of the Member Countries, to be endorsed by the NFP/appropriate government agency of the proponent country based on its capability to carry out the project. IA can also nominate international organization, non-governmental organization, educational institution, research institution, or a private sector body as an implementing partner to fill-in technical capacity gaps, as and when required.

As and when necessary, the Secretariat may also provide technical and/or financial support to the proponent country(ies) to for the development of a full project proposal.

The Secretariat will issue an annual plan for the development and approval of Projects, including its timelines.

2.2 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** below.

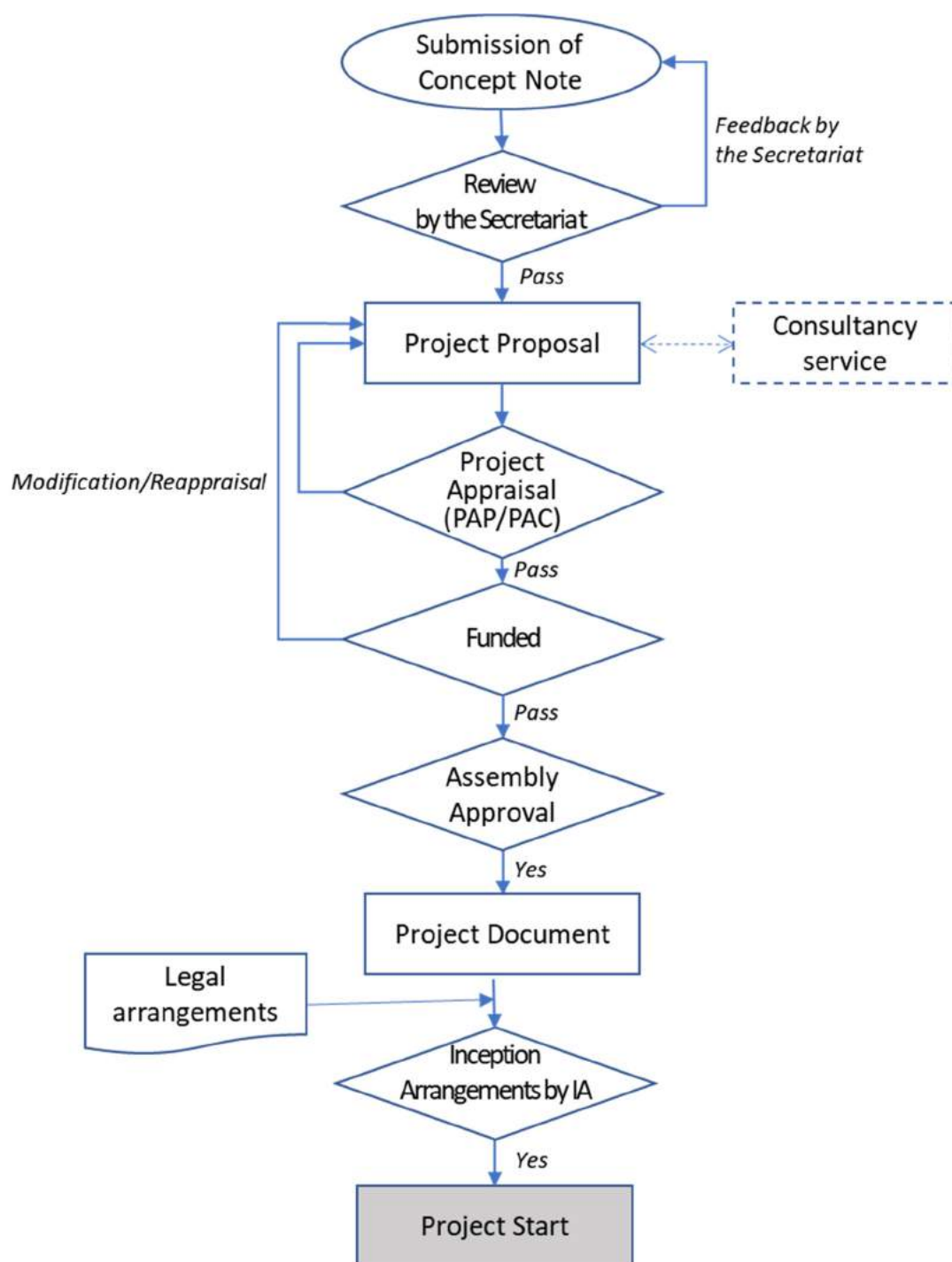


Figure 1. Approval process of a regular project

3. Project Proposal

3.1 Project Concept Note

This is the first step of Project Proposal development. Project Concept Note (PCN) shall be submitted to the Secretariat with an accompanying endorsement from NFP of the proponent country, using the template in **Annex 1**. NFPs may submit more than one PCN which 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 framework of AFoCO. The Secretariat should distribute the most recent strategic plan of AFoCO to facilitate the preparation of the PCN.

The Secretariat will review submitted PCN based on the completeness, clarity and appropriateness of required information including budget estimates and subsequently provide comments/recommendations for further action of the proponent within three (3) weeks from the date of submission. Upon consideration of such comments, the Secretariat will notify the NFP to proceed to full proposal development.

3.2 Formulation of Project Proposal

Upon confirmation and approval 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**.

In the formulation of the Project Proposal, the budget for the monitoring, mid-term evaluation, when applicable, and final evaluation should be included in the Work Plan and Budget including cost assumption of the Project Proposal, following the template in **Annex 3**.

The project budget shall also include Program Support Fee which is up to 12% of the basic budget (all budget components which are not a Program Support charge). Likewise, indirect costs shall not exceed 20% of the total project budget.

3.3 Submission of Project Proposal

Project proposals should be submitted in time for the incoming Session of the Assembly each year. Respective NFPs should submit project proposal(s) to the Secretariat for official review and appraisal processes, following the templates.

A country can submit up to two (2) proposals at a time or within a year. Each country can implement a maximum of three (3) projects, which are fully or partially funded by AFoCO, 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.

4. Project Appraisal

4.1 Expert pool for project review

An expert pool will be established for project review. Each member country may recommend two (2) experts per area of expertise described below to the Assembly for their final nomination and approval on the Expert Pool. The nominated experts can be either a national of the country or a professional from any institution or international organization outside the country. At a given project appraisal period, 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) Forest policy and economics
- (g) Forest products
- (h) Social science and economics
- (i) Soil and land

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.

4.2 Appraisal 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. 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. 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.

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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
- (f) Consideration of gender mainstreaming in the project cycle

The Secretariat 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, using the prescribed template in Annex 4. If deemed necessary, the Secretariat may organize a field visit to the proposed project site(s).

The Secretariat will officially notify the respective NFP of the final grade and outcome of the appraisal in due course.

4.3 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	A	Proceed to seek funds for project
A	A	B	A	Proceed to seek funds for project
A	A	C	C	Major revisions required
A	B	B	B	Proceed to seek funds after minor revisions
A	B	C	C	Major revisions required
A	C	C	C	Major revisions required
B	B	B	B	Proceed to seek funds after minor revisions
B	B	C	C	Major revisions required

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

- A: Proceed to seek funds for project
- B: Proceed to seek funds after minor revisions
- C: Major revisions required

4.4 Modification and Re-submission of Proposal

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 recommendations 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 addressed.

Immediately after receiving a final grade by PAP, the Secretariat will establish a Project Appraisal Committee (PAC) headed by Executive Director to deliver final decision on the project appraisal to proceed to the fund mobilization.

All comments and recommendations of the PAP and PAC on the project proposal should be appropriately addressed by the NFP prior to its approval by the Assembly. As necessary, the Secretariat may provide a consultancy service to improve the quality of the project proposal.

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, at the immediate session of the Assembly. The decision of the Assembly is final and no modification of the proposal is allowed after approval, particularly its objectives and outputs.

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, i.e. from 1 January to 31 December, except for particular requirements from donor(s). The official currency of AFoCO projects will be the United States Dollar (US\$), except for particular requirements from donor(s).

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 as and when required.

The Secretariat will seek funding for the approved project.

7. Implementation Arrangement

The Secretariat and the NFPs of all participating countries will sign a project implementation arrangement which may be in the form of any of the following, subject to the consideration and requirements of the concerned donor and Member Country(ies), e.g. signed project document, Memorandum of Understanding (MoU), Project Agreement, etc. using the template in **Annex 5**.

The said arrangement will take effect from the date of its signing until the end of the project period. The start and completion date of the project will be stipulated in the said legal arrangement, considering its actual implementation after the completion of such arrangement.

At this stage of the project inception, the IA should review the 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 may introduce revisions/enhancements at the activity level only and thereafter submit the revised project document to the Secretariat. Likewise, project duration may be reduced provided that the project objectives, outputs and project budget remain the same. Upon mutual consultation, the final revised version of the project document with a cover page in the said template will be used as the attachment to the legal instrument.

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

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

8. Project Inception

8.1 Notification of Inception Arrangement

Upon signing of the project implementation arrangement, the IA should submit a notification on inception arrangements within two (2) months, following the template of letter and the report in **Annex 6**.

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:

- Subject to domestic policies and regulations, a project bank account in US\$ has been opened;
- a Project Steering Committee (PSC) has been formed in cases where the project budget exceeds US\$ 200,000;
- a multi-year Project Implementation Plan (PIP), and
- 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 (WPB) for the first year should be attached with the notification on inception arrangements. In addition, the IA should make a budget request.

8.2 Project Inception Meeting

A Project Inception Meeting (PIM) will also be organized which may coincide with the 1st PSC meeting. The PIM serves as a venue to update the Project Documents in view of the changes or circumstances that have occurred since the Project Proposal was prepared and approved. The meeting is expected to enhance and update the PIP based on the confirmed and submitted first year annual WPB. Likewise, review and updating/enhancement of the Project's Logical Framework especially its indicators, baseline information and relevant assumptions will be tackled by the IA and project stakeholders during the PIM. The output of the PIM will basically include its Record of Discussions (RoD), finalized WPB, PIP and updated Logical Framework.

Upon confirmation of the Project Steering Committee (PSC), the updated and enhanced WPB, PIP and Logical Framework will be the basis of the IA, PSC and the Secretariat in the approval of the Annual WPB as well as in the monitoring and evaluation of the Project.

8.3 Pending Inception

In case that the IA, without any prior consultation with the Secretariat, has not submitted the notification of inception arrangements within twelve (12) months from the date of signing MOU, a pre-termination or further extension of the project inception will be mutually discussed by the concerned NFP and the Project the Executive Director. Upon which, such discussion and/or agreements will be reported to the Assembly for consideration and further action.

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.

In the case of a regular project, the NFP of the implementing country should facilitate the establishment of a PSC, in consultation with the Secretariat. The composition of the PSC should include the NFP, the representative of the Secretariat, an official/expert in charge of ESS, and representatives from relevant ministry, departments and project stakeholders, as and when necessary.

The PSC is responsible to form a project monitoring team in accordance with Article 3.4 of the AFoCO Guidelines for Project Monitoring and Evaluation. In case there is a need for revision of work plan and budget, the PSC is responsible to review and decide on such revision for as long as the objectives and outputs of the Projects will be maintained and the cost adjustment will be within 10% of the annual budget. The PSC should also be assisted by its Secretariat headed by the Project Manager/Coordinator.

The operationalization and management of the PSC to include roles and functions, composition and Rules of Procedures (RoP) is discussed in details in **Annex 7**.

10. Project Implementation

The guidelines for project implementation listed in this section are applicable for regular projects only. An annual cycle of project implementation is described as follows (**Figure 4**).

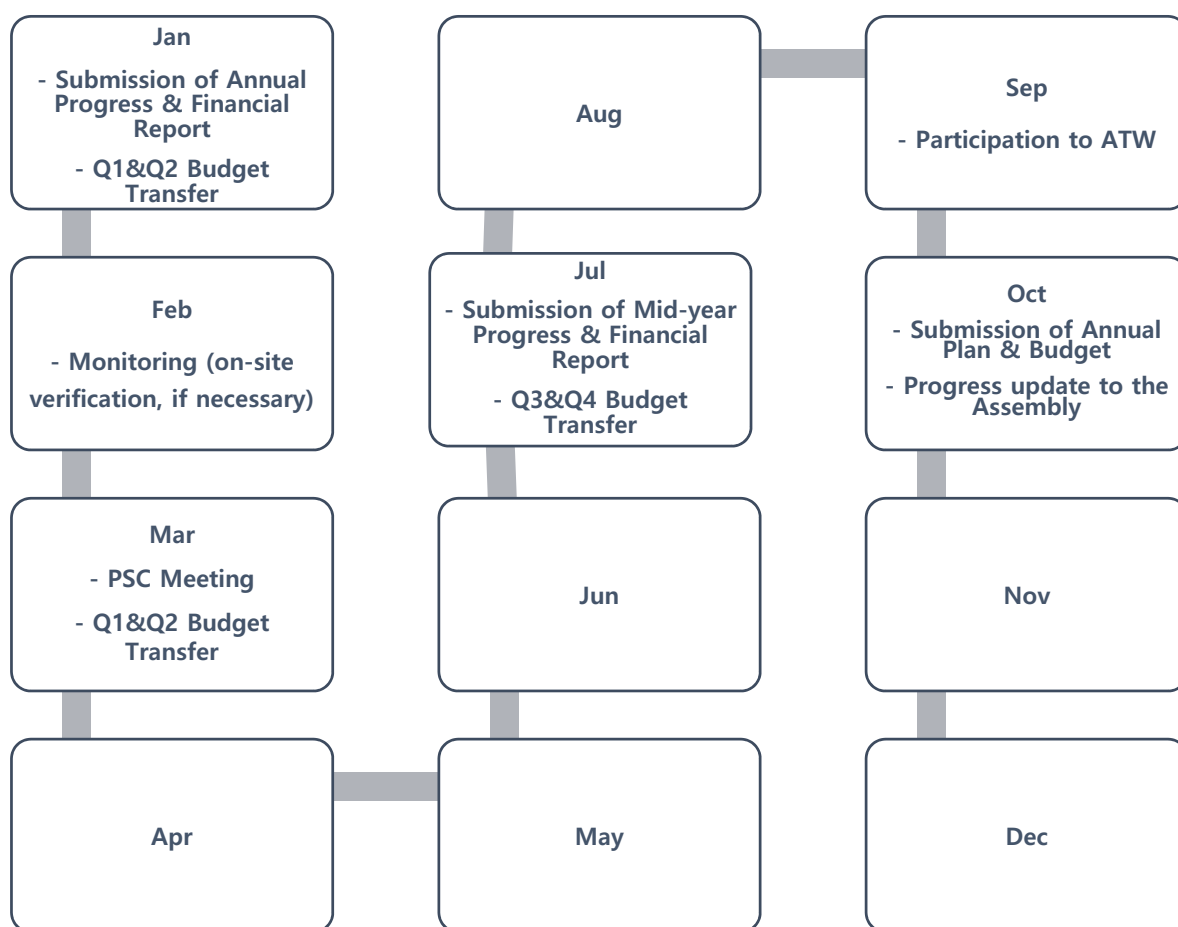


Figure 4. Annual cycle of project implementation

10.1 Annual Work Plan and Budget

Consistent with the updated PIP, the IA should prepare the annual work plan and annual budget, using the templates in **Annex 8**. The annual work plan should cover.

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 9**. All subsequent budget requests should be based on the approved annual work plan and annual budget. All budget requests shall be approved by Secretariat taking into consideration the request of the IA and any other relevant considerations in order to optimize the use of budget/resources for AFoCO projects.

10.3 Annual Technical Workshop for Project Management and Performance Review

During the stage of project implementation until its termination, the Secretariat will organize the Annual Technical Workshop for Project Management and Performance Review (ATW). The purpose of the Workshop is to revisit the current year's achievements/progress, as reflecting and sharing each project's lessons-learned, successful cases/practices, interesting project development ideas (potential in-country or regional projects) among IAs.

The ATW is a leading platform to invite all the implementing agencies in one place to discuss the technical issues during the project implementation. As a channel between the IA and the Assembly, the recommendations of the IAs for AFoCO's project implementation and management will be reported to the Assembly in due course.

10.4 Project Reports

All the project reports should be submitted to the Secretariat following the standard templates. A standard template for financial receipts and attendance sheet is shown collectively in **Annex 10**.

When the IA submits other reports such as technical reports and workshop proceedings produced, the IA can utilize its own template and design for such other reports. These reports may contain, among others, procedures and methodologies adopted, data collected, information shared, results achieved and conclusions reached. The reports should be submitted to the Secretariat with accompanying front page, using the template in **Annex 11**.

10.4.1 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 12**. Delays in the submission of financial reports without prior notification may affect subsequent budget releases. 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.

10.4.2 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 13**. The report should include relevant project photographs with proper descriptions. Original electronic files of the photographs in the reports should also be submitted.

10.4.3 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 14**. The report should also include relevant project photographs with proper descriptions. Original electronic files of the photographs in the reports should also be submitted.

10.5 Revision of Multi-year Work Plan and Budget

Substantial revision of the multi-year work plan and budget may be considered based on the results and recommendations from the conduct of mid- project evaluation. The revision may refer and cover, among others changes beyond the activity level, such as: cost cutting, reduction of project components/outputs and project extension without cost to be effected for the remaining years of the Project. Correspondingly, the NFP, in consultation with the Secretariat and donor(s), should submit a proposal for the revision of multi-year work plan and budget to the Assembly for approval.

10.6 Procurement of Goods and Services

Procurement of goods and services including its disposal arrangement should follow “Procurement Guidelines for Project Goods and Services” including the basic principles of the Policy of AFoCO on Anti-Money Laundering and Countering the Financing of Terrorism³, and the Policy on Information Disclosure⁴.

10.6.1 Tax Exemption

Following the provisions in the MOU, AFoCO, as an inter-governmental organization, encourages IAs to undertake necessary actions and provide administrative support by communicating with the relevant authorities to ensure that procurements are exempt from tax. For the procurements for contracts costing less than US\$3,000 (including tax), tax exemption may be omitted with a consultation with the Secretariat.

³ Policy of AFoCO on Anti-Money Laundering and Countering the Financing of Terrorism <http://afocosec.org/policies-3/>

⁴ Policy on Information Disclosure <http://afocosec.org/policies-4/>

10.6.2 Publicity

The IA should acknowledge funding from AFoCO, the IA and any other donor and display their emblem and inventory code in all procured project properties under the guidance of the Secretariat. The logo and emblem of AFoCO shall be downloaded from the official website of AFoCO (www.afocosec.org). The instruction and samples for the display of emblem and inventory code is in **Annex 15**.

10.7 Property Management

Consistent with the prevailing domestic regulations of the implementing country, the IA should be responsible for the management of AFoCO project property pertaining to all systems governing its receipt, recording, utilization, safekeeping, maintenance and disposal, including by sale. The IA should submit to the Secretariat, the statement of procurement and inventory status of procured goods as part of the project annual report and/or upon request by the Secretariat whenever necessary.

During the Project Inception Meeting (PIM) both IA and the Secretariat will agree on the initial property management arrangements for the purchased items by project with due consideration of relevant domestic policy of the implementing country. Said arrangements will be documented as part of the Record of Discussion of the Meeting.

10.7.1 Soft Asset Management

During the implementation of the project, the IA should ensure to regularly update soft asset of the Project using the template in **Annex 16**.

10.7.2 Hard Asset Management

Any other physical items procured by the project fund are regarded as hard asset of AFoCO until its disposal process will be arranged between IA and the Secretariat.

Similarly, the use of the said items, during the implementation of the project, should be connected with the work and activities of the project. The IA shall be responsible for ensuring adequate maintenance during and after the project implementation, following its national policy. Maintenance of the items, during and after the project implementation, will be covered by the IA. During the implementation of the project, the IA should ensure to regularly update the status using the template in **Annex 16**.

The depreciation period will generally follow the government policy of the concerned implementing country. If the project implementation period is longer than the depreciation period, the items shall be used until the end of the project implementation.

10.7.3 Vehicle Management

Project vehicle procured by the project fund is regarded as hard asset of AFoCO until its disposal process is arranged between IA and the Secretariat.

The use of project vehicles, during the implementation of the project, should be connected with the work and activities of the project. The IA shall be responsible for ensuring adequate maintenance during and after the project implementation, including arrangements for insurance coverage following the national policy on vehicle management of the government.

The depreciation period of project vehicles will generally follow the government policy of the concerned implementing country. If the project implementation period is longer than the depreciation period, the project vehicle shall be used until the end of the project implementation.

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%.

10.8 Management of Project Personnel

Any project personnel appointed for day-to-day management and implementation of project activities should meet the minimum criteria, in accordance with existing norms and regulations of the government of the IA. 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 according to existing norms and policies of the government of the IA. 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.

11. Project Monitoring and Evaluation

Generally, monitoring focuses on project input, activity and output, while evaluation considers beyond them towards project outcomes and goals considering external factors of the project. As interactive activities, monitoring and evaluation is conducted in the project cycle as described in **Figure 5**. Detailed information and guidance for monitoring and evaluation are stipulated in “**Guidelines for Project Monitoring and Evaluation**”.

M&E of AFoCO project is based and oriented on Results Based Management (RBM), which is a ‘management strategy focusing on performance and achievement of outputs, outcomes, and impacts’ according to the OECD Development Assistance Committee (DAC). In light of the RBM framework, project monitoring and evaluation is guided by the following principles:

- **Impartiality**

M&E processes should be impartial and take into account the views of all stakeholders. M&E processes should be free from external influence and bias to provide comprehensive and objective results of the project including a truthful description of successes and shortcomings of the project.

- **Utility**

M&E should be usable for intended users. Those findings and recommendations, which are relevant to the issue as well as at an appropriate time, will contribute to better project performance and decision-making.

- **Credibility**

M&E should be based on reliable data, observations, and references ensuring a high quality of standards in a professional field. M&E results should be replicable to build on existing evidence and reference.

- **Measurability**

M&E should be implemented using measurable indicators as much as possible to assess the contribution and achievements of AFoCO.

- **Partnership**

M&E processes should be pursue involving multiple stakeholders, who are affected by the M&E results. Those active partnerships will make M&E results better understanding and more utilized for future actions.

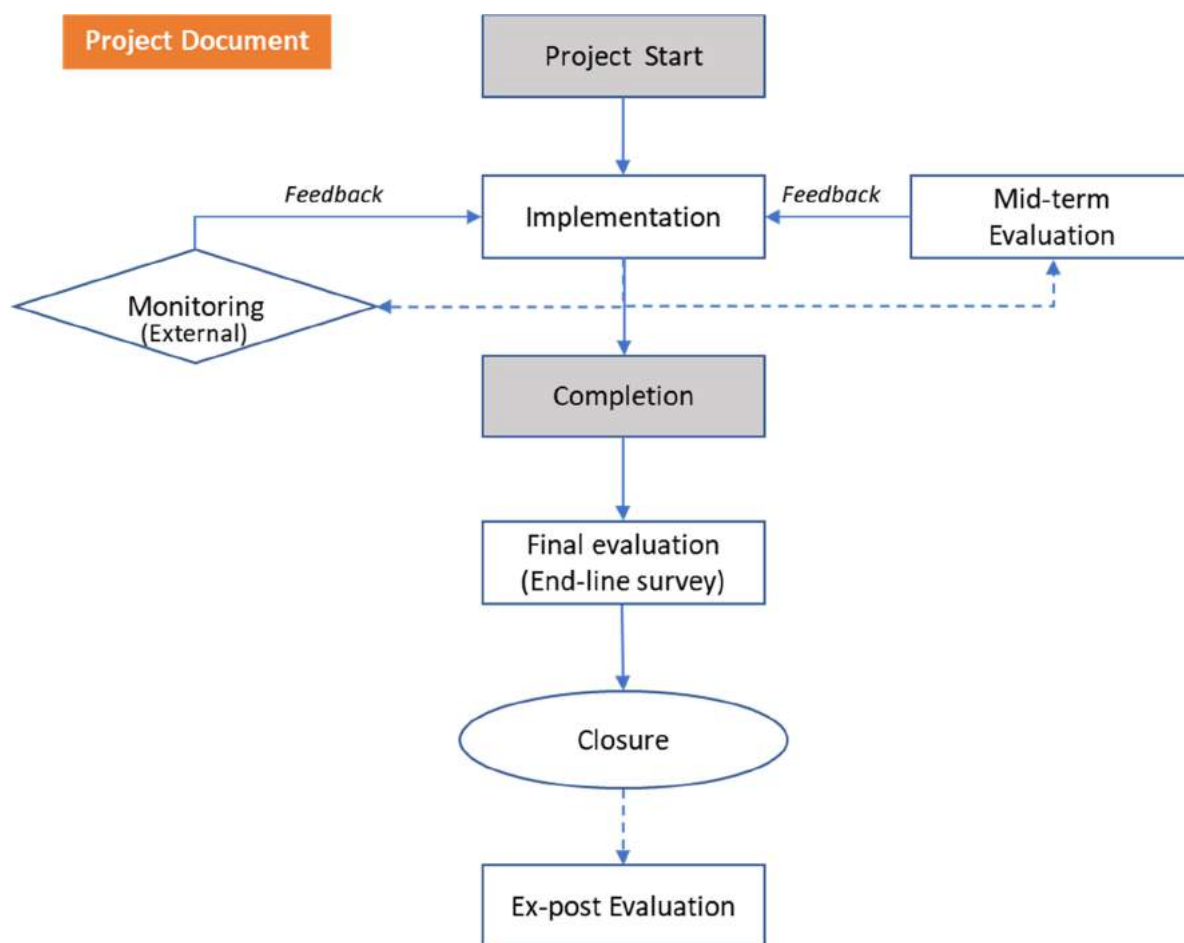


Figure 5. Flow chart of project monitoring and evaluation

12. Project Suspension

12.1 Conditions for Suspension

The project can be suspended in cases where the terms and conditions of the project are changed to the extent that the successful completion of the project is at risk.

12.2 Procedures for Suspension

When any situation or terms of the project is regarded and mutually agreed by the PSC as the conditions stipulated in Article 12.1, 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 President of 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

Upon the mutual agreement by the PSC, 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 officer-in-charge will issue the audit certificates following the template in **Annex 17**.

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.

Upon the submission of the draft project completion report by the IA to the Secretariat, the Secretariat conducts the final evaluation. The procedures of the final evaluation is in **“Guidelines for Project Monitoring and Evaluation”**.

The findings and recommendations, as discussed at the final evaluation meeting, 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.

In accordance with the Policy on Information Disclosure, both IA and the Secretariat will decide the sustainable knowledge sharing strategies of soft property (e.g. data, photos, videos) and the final disposal process and arrangements for the hard asset (e.g. computers, furniture, vehicles, machinery). IA will update to the Meeting on the list of soft and hard asset inventory. Following the decisions, the IA should include the relevant information in the project completion report. The detailed guidelines and principles related thereto are discussed in the **“Procurement Guidelines for Project Goods and Services”**.

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 18**. 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) accordingly.

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

15.3.1 Administrative Termination

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.

Subject to the availability of the Program Support Fee in the last implementation year, the Fee can be considered as the project emergency grant for IA, in order to compensate the loss from the fluctuation of exchange rates between the currency(ies) of donor(s) and that of the project (USD).

15.3.2 Property Management after the Project

The Secretariat and/or IA will ensure that goods and/or services to be procured conform to applicable legal and other requirements whenever possible, and the procured goods and/or services as well as soft and hard assets generated by project fund to be properly managed as functional and usable during and after the project implementation.

15.4 Dissemination of Project Accomplishments

All the project reports 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

Project code	(to be provided by the Secretariat)
---------------------	-------------------------------------

Project Profile			
Project Title			
Project Duration		Estimated start date: Estimated end date:	
Proposed Implementing Agency			
Participating Country(ies)			
Project Site (Province/District level)			
Project Objectives		1. 2.	
Primary Priority Area <i>(Please tick the most appropriate (only one) target area that best fit with the project)</i> <i>[Note: Priority areas are subject to change based on the guidance of the AFoCO Assembly]</i>		<input type="checkbox"/> 1. Initiating customized restoration & reforestation models <input type="checkbox"/> 2. Supporting research & development in climate change adaptation approaches <input type="checkbox"/> 3. Introducing systematic management on forest-related disasters <input type="checkbox"/> 4. Local livelihood improvement & community-based small enterprise development <input type="checkbox"/> 5. Strengthening institutional capabilities, diversifying resources, & promoting regional actions	
Secondary Priority Areas <i>(Please tick the appropriate target area(s) that fit with the project)</i> <i>[Note: Priority areas are subject to change based on the guidance of the AFoCO Assembly]</i>		<input type="checkbox"/> 1. Initiating customized restoration & reforestation models <input type="checkbox"/> 2. Supporting research & development in climate change adaptation approaches <input type="checkbox"/> 3. Introducing systematic management on forest-related disasters <input type="checkbox"/> 4. Local livelihood improvement & community-based small enterprise development <input type="checkbox"/> 5. Strengthening institutional capabilities, diversifying resources, & promoting regional actions	
Estimated Total Budget		Total: US\$ _____ AFoCO: US\$ _____ National: US\$ _____ (In-cash) National: US\$ _____ (In-kind) Others: US\$ _____ (to be specified)	
Proponent's Contact Information			
Name/ Position	Mr./Ms. Position	Signature Date	
Organization			
Address			
Contact	Tel:	Fax:	Email:

Official Use Only	
Date of Receipt	
Reference No.	

Signature	Date	Name/Title
National Focal Point	_____	_____

Notes to the Proponent

This project concept note is subject to the following conditions and criteria, otherwise, the concept note may be not be given due consideration.

1. The concept note should be relevant to the current needs of the country.
2. The concept note is developed in accordance with the AFoCO Project Manual.
3. The proponent should ensure the originality of the concept note and its activities.
4. The proponent should ensure that the concept note is not duplicating outputs and activities of other on-going or completed projects.
5. The proponent should ensure that budget estimates are based on prevailing market prices.

1. Problem Analysis

1.1 Problem Identification

Identify the problem that this project will try to address with the help of a problem tree clearly reflecting the sub-causes and causes towards the identification of the core problem to be addressed (The core problem is usually reflected in the Project title). Brief description/inter-relationship of the core problem vis-à-vis causes and effects should be explained. (400-500 words)

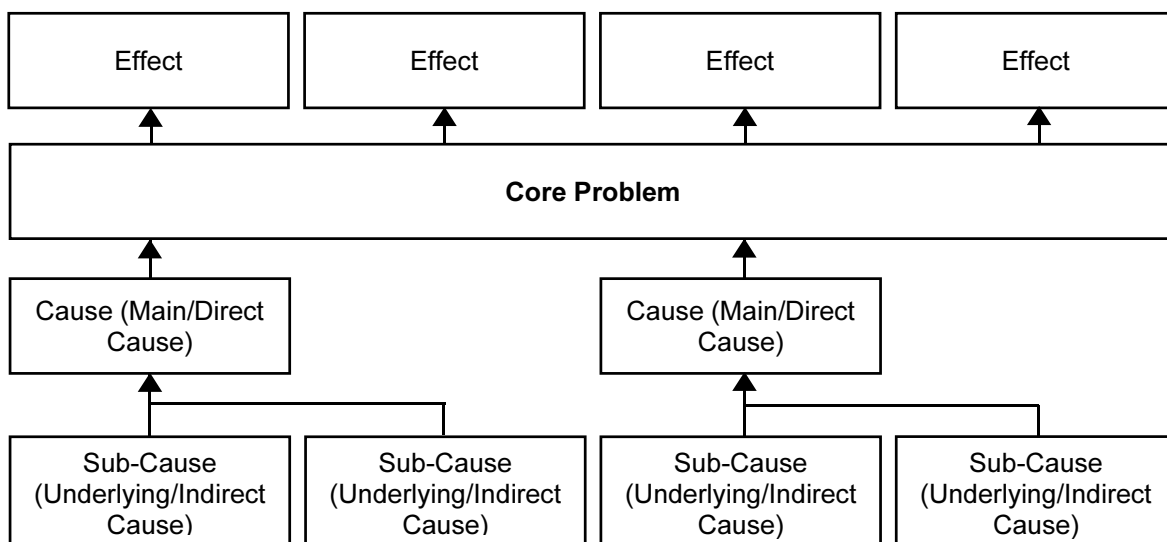


Figure: Problem Tree

1.2 Problem Description

Following the preliminary problem analysis, describe the core problem to be resolved/addressed. Provide adequate baseline data and information to justify the existence of the problem. (1000 words or 1 page)

2. Summary of the Proposed Actions

2.1 Project Objectives

Identify and list the specific objectives of the project (Project objectives usually answers the causes of the core problem).

2.2 Project Outcomes

Describe/list down the long-term impact(s) of the project.

2.3 Project Outputs

List the output(s) of the project with an indicative budget (in percentage) for each output in the format presented below.

Output(s)	Indicative Budget (%)
Output 1:	
Output 2:	
Output 3:	
.....	
Total (should add-up to 100%)	

2.4 Project Activities and Indicative Budget Allocation

List the activities that are proposed to contribute to the achievement of the outputs and objectives of the project. The activities should be expressed with an active verb and should be grouped based on its contribution to achieve each outputs following the format below. Also mention the indicative budget (in %) allotted for each outputs. (The details of the budget breakdown categories i.e. personnel cost, sub-contract, project management and supervision and other indirect cost will be provided at the full proposal stage)

Objective/ Output/ Activity
Objective 1:
Output 1: (Indicative Budget:%)
Activity 1.1:
Activity 1.2:
Output 2: (Indicative Budget:%)
Activity 2.1:
Activity 2.2:
Objective 2:
.....
.....

3. Project Stakeholders and Beneficiaries

3.1 Implementing Agency

Identify the Implementing Agency (IA) for the proposed project and briefly list down its general mandates, roles and responsibility during the implementation of the project. (200-300 words)

3.2 Implementing Partners

Describe the roles and functions of the identified partner institutions (other Government institutions, NGOs, International Organizations, private sector, etc.) which will collaborate in terms of providing technical assistance for the implementation of the project. (200-300 words)

3.3 Project Beneficiaries

List down the direct and indirect beneficiaries of the project and provide brief description of the benefits they will be receiving from the implementation of the project. (400-500 words)

4. Implementation Arrangements

4.1 Project Organogram

Illustrate the project implementation arrangements in the form of an organogram. The organogram should include those institutions and organizations that will be collaborating with the IA in carrying out Project activities at different levels of implementation.

4.2 Description of the Implementing Arrangements

Based on the project organogram, describe the compositions of the committees/offices involved in the implementation of the project to present inter-relationships of roles and responsibilities across relevant implementing/oversight institutions or bodies. (400-500 words)

4.3 Potential Environmental and Social Risks and Management

Assess and categorize the environmental and social risks of the proposed project which could hinder and/or adversely affect the implementation of project activities as per the checklist. With reference to the identified potential risks, identify appropriate mitigation measures in the format presented below:*

Potential Risk(s)	Mitigation Measures

**The template of the checklist to be filled up by the proponent can be found in AFoCO's website: www.afocosec.org*

4.4 Sustainability

Briefly describe mechanisms and exit strategies to ensure project sustainability. Correspondingly, specify the institutions and/or stakeholders that will implement these mechanisms/strategies. Among others, please consider key sustainability factors such as: capacity development and sustainability in environmental, financial and technological aspects. (400-500 words)

Annex 2. Template for Project Proposal



AFoCO Project Proposal

		Project code	(to be provided by the Secretariat)	
Project Profile				
Project Title				
Project Duration	Estimated start date: Estimated end date:			
Implementing Agency				
Participating Country(ies)				
Project Site (Province/District level)				
Project Objectives	1. 2. 3.			
Primary Priority Area (<i>Please tick the most appropriate (only one) target area that best fit with the project</i>) <i>[Note: Priority areas are subject to change based on the guidance of the AFoCO Assembly]</i>	<input type="checkbox"/> 1. Initiating customized restoration & reforestation models <input type="checkbox"/> 2. Supporting research & development in climate change adaptation approaches <input type="checkbox"/> 3. Introducing systematic management on forest-related disasters <input type="checkbox"/> 4. Local livelihood improvement & community-based small enterprise development <input type="checkbox"/> 5. Strengthening institutional capabilities, diversifying resources, & promoting regional actions			
Secondary Priority Areas (<i>Please tick the most appropriate (only one) target area that best fit with the project</i>) <i>[Note: Priority areas are subject to change based on the guidance of the AFoCO Assembly]</i>	<input type="checkbox"/> 1. Initiating customized restoration & reforestation models <input type="checkbox"/> 2. Supporting research & development in climate change adaptation approaches <input type="checkbox"/> 3. Introducing systematic management on forest-related disasters <input type="checkbox"/> 4. Local livelihood improvement & community-based small enterprise development <input type="checkbox"/> 5. Strengthening institutional capabilities, diversifying resources, & promoting regional actions			
Budget and Source of Finance	Total: US\$ _____ AFoCO: US\$ _____ National: US\$ _____ (In-cash) National: US\$ _____ (In-kind) Others: US\$ _____ (to be specified)			
Proponent's Contact Information				
Name/ Position	Mr./Ms. Position	Signature Date		
Organization				
Address				
Contact	Tel:	Fax:	Email:	
Official Use Only				
Date of receipt		Reference No.		
PAP Review Date				

Signature

Date

Name/Title

National Focal Point

Notes to the Proponent

This project proposal is subject to the following conditions and criteria, otherwise, the proposal may not be given due consideration.

1. The proposal should be prepared based on the project concept note and further comments of the Secretariat.
2. The proposal should be developed in accordance with the AFoCO Project Manual.
3. The proponent should ensure the originality of the proposal and its activities.
4. The proponent should ensure that the proposal is not duplicating outputs and activities of other on-going or completed projects.
5. The proponent should ensure that budget estimates are based on prevailing market prices.
6. Under the Budget Item 'Management and Operation', the proponent should annually allocate funds for [the DSA (USD 35/day) and round-trip airfare of two participants for their participation in] the regular AFoCO training workshop "Annual Performance and Management Review" to be organized at the AFoCO Regional Education and Training Center.
7. The project budget shall also include Program Support Fee which is up to 12% of the basic budget (all budget components which are not a Program Support charge). Likewise, indirect costs shall not exceed 20% of the total project budget. Indirect costs generally refers to expenditures that are not directly contribute and support the achievement of a particular project output.
8. In accordance with the Article 12 in the Agreement on the Establishment of the AFoCO, the project proponent is highly encouraged to make efforts to provide in-kind or cash counterpart project fund.
9. As much as possible, the proposal should not exceed 50 pages inclusive of the detailed work plan and budget breakdown. 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 a Microsoft Word® and PDF® copy, including tables, maps, pictures, and annexes.
10. The project proponent is encouraged to provide relevant references (if any) as annexure to the proposal for use during review and project appraisal.

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Summary

(The Summary section is a brief description of the project. It should be presented in narrative form with the information of the core problem to be addressed, goals, objectives and brief description of the interventions needed to resolve the problem.) (500-600 words or 1 page)

Section A. Project Context

1. Background

(Provide adequate baseline scenario, policy information, related research activities and project history to present a clear background of the problem and the need to address it. Relevant information on baseline figures and information can be attached) (800-1200 words or 1-2 page)

2. 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.) (300-500 words)

3. 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.) (maximum 300-500 words)

4. Information on Project Site

(The geographical, environmental and socio-economic information with adequate baseline data of the project site(s) should be provided before project intervention. This section should also include appropriate map of the project site, environmental factors, demography and gender concerns of the project site) (400-500 words)

--

5. 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.)

Stakeholder analysis table

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

6. Gender Analysis and Mainstreaming

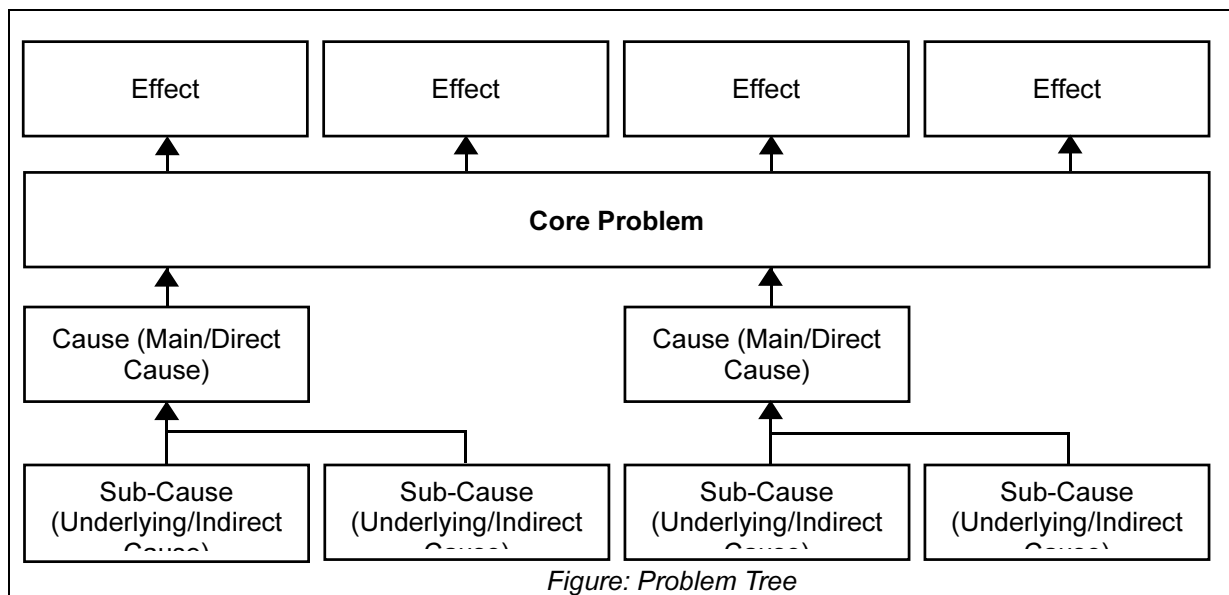
(Based on the gender information, analyze the gender related concerns and describe how this project will help address perceived gender issues). (300-400 words)

--

Section B. Rationale and Objectives

1. Problem Tree

Identify the problem that this project will try to address with the help of a problem tree clearly reflecting the sub-causes and causes towards the identification of the core problem to be addressed (The core problem is usually reflected in the Project title).



2. Problem Description

(Following the preliminary problem analysis, describe core problem to be resolved/addressed. Provide adequate baseline data and information to justify the existence of the problem. Brief description/inter-relationship of the core problem vis-à-vis causes and effects should also be explained.) (1000 words or 1 page)

3. Logical Framework Matrix

(A Logical framework matrix is needed to illustrate how the inputs and activities will contribute to the achievement of 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 and/or associated issues and concerns.)

Table #. Logical framework matrix

Output/ Activities	Narrative ¹	Objectively Verifiable Indicators (OVIs) ²	Means of Verification ³	Important Assumptions ⁴
Goal ⁵ :				
Outcome(s) ⁶ :				
Objective ⁷ 1:				
Output ⁸ 1:				
Activity ⁹ 1.1:				
Activity 1.2:				
Output 2:				
Activity 2.1:				
Activity 2.2:				
Objective 2:				
Output				
Activity				
Activity				

¹The narrative is the description of the project activities and are expressed by using an action verb.

²The OVIs show the important characteristics of the objectives and the performance standard expected to be reached in terms of quantity, quality, time frame and location

³The means of verification tell us where we should obtain the data necessary to prove the objectives defined by the indicator has been reached

⁴Important assumptions are events or circumstances that are expected to occur during the project life-cycle. This may include identification of policy and institutional support that leads to project sustainability including potential roles associated with certain project activities.

⁵The overall goal tells us the higher level objective(s) to which the project is expected to contribute to (national/regional interest).

⁶ Outcomes are the events, occurrences, or changes in conditions, behavior, or attitudes that indicate progress toward a project's goals. Outcomes are specific, measurable, and meaningful.

⁷Objective describes the desired results of a project, which often includes a tangible item. An objective is specific and measurable, and must meet time, budget, and quality constraints.

⁸Outputs are specific results to be produced by the project

⁹Activities are the actions necessary to achieve the outputs

4. Perceived Project Impacts

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(The project should provide description on how it will address the key problems and what are the perceived impacts that the project may positively contribute in the mid and long terms. Note that one output can lead to one or more outcomes and vice versa) (400-500 words)

a. Impacts at the Outcome level

b. Impacts at the Output level

c. Impacts at the Activity level

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

[illegible]

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2. Budget (USD)

Objective/ Output/ Activity	Unit Cost (USD)	Unit 1	Quantity 1	Unit 2	Quantity 2	Total Cost	Budget Allocation by Year (USD)					
							Year 1	Year 2	Year 3	Year 4	Total Cost
Objective 1												
Output 1:												
1.1												
1.2												
Sub-total (Output 1)												
Output 2:												
2.1												
2.2												
Sub-total (Output 2)												
Total (Objective 1)												
Objective 2												
Output 3:												
3.1												
3.2												
Sub-total (Output 3)												
Output 4:												
.....												
.....												
Sub-total (Output 4)												
Total (Objective 2)												
Program Support (12% of subtotal)												
* Financial Regulations 3.4												
Grand Total												
*Note: Exchange rate							I USD = _____ (Please use the existing UN exchange rate applied to the budget estimates.)					

Section D. Project Implementation

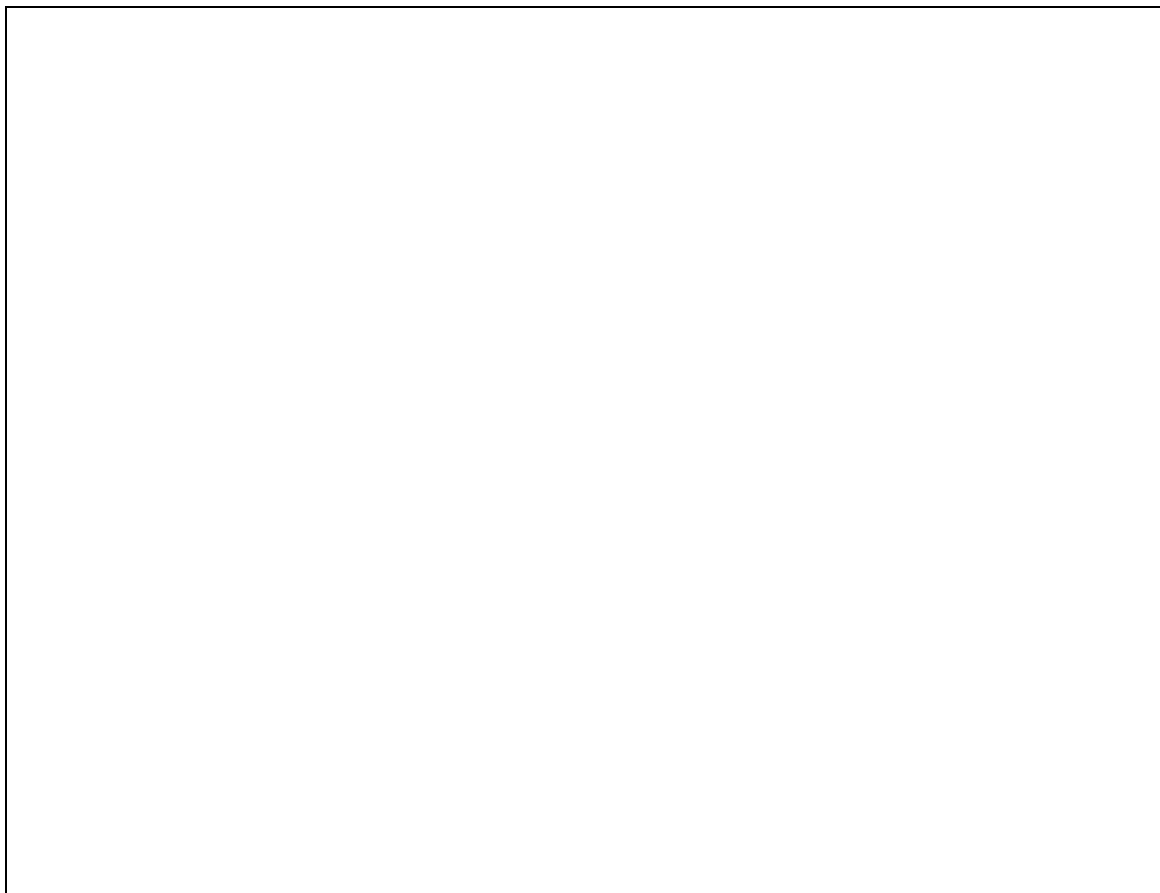
1. Implementation Arrangement

(Illustrate the project implementation arrangements in the form of an organogram. The organogram should include those institutions and organizations that will be collaborating with the IA in carrying out Project activities at different levels of implementation. As part of implementation, it will also cover how primary and other stakeholders are involved and linked each other in the project structure. Also provide the indicative number of staffs to be involved in the project) (400-500 words)



2. Reporting and Monitoring Arrangements

(Monitoring arrangements must be formulated in line with logical framework matrix, AFoCO project manual and related guidelines.) (300-500 words)



3. Environmental and Social Risk and Management

With reference to the environmental and social risk category for the project, identify the specific potential risks and identify mitigation measures. For low risk project, integrate relevant mitigation in the project logical framework matrix as identified under 'important assumptions'. For medium and high risk projects, carry out Environmental and Social Impact Assessment and accordingly suggest mitigation measures through and Environmental and Social Management Plan as specified in the AFoCO's Environmental and Social Management System. Please indicate relevant domestic policies/guidelines relative to Environmental and Social Impact Assessment and Planning (400-500 words)

Potential Risk	Mitigation Measures

4. Sustainability Mechanism

(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 consistent with those that are identified in the logical framework matrix under 'Important Assumptions'.) (400-500 words)

--

Annex 3. Template for Cost Assumption

Output/ Activity	Unit	Unit Cost (USD)	Assumptions*
Example:			
<i>Output 1: 100 ha of forest restored through reforestation of degraded lands.</i>			
Activity 1.1: Establishment of plantation in 100 ha of degraded forest lands	Hectare	1,000	<i>Cost of Seedling: USD 0.4 per seedling</i> <i>Number of Seedling required: 1,600 per hectare</i> <i>Transportation to site: USD 0.1 per seeding</i> <i>Cost for Site Preparation: USD 200 per hectare</i> <i>Cost of Planting: USD 100 per hectare</i>
Activity 1.2:			
Output 2:			
Activity 2.1:			
Activity 2.2:			
.....			
.....			
.....			
.....			

* Provide the details of factors considered in determining the unit cost (refer to the example).

Annex 4. Template for Grading Sheet for Project Appraisal



AFoCO Project Appraisal Sheet

Project Profile		
Project Code	(to be provided by the Secretariat)	
Project Title		
Recipient Country(ies)		
Total Budget		
Date of Review	DD-MM-YYYY	
Overall Appraisal		
Appraisal Round (<i>Choose One</i>)	<input type="checkbox"/> Initial Appraisal	<input type="checkbox"/> Final Appraisal
Name of the Reviewer		
Professional Position		
Institution/Office		
Contact Information		
Appraisal Grading (tick the appropriate box)		
A Recommended for PAC deliberation <input type="checkbox"/>	B Recommended for PAC deliberation upon revision <input type="checkbox"/>	C Not recommended <input type="checkbox"/>

Official Use Only	
Date of Receipt	
Reference No.	

Project Review Criteria and Grading System

Criteria	Score Obtained	Comments and Recommendation
1. Problem Context		
A. Is the problem identified justifies the need to have a project?		
a. Clarity of the core problem as it relates to causes and effects (10 points)	Score:	(Specify justification on the score)
b. Adequacy of baseline data information about the justification of the problem (10 points)	Score:	(Specify justification on the score)
2. Technical feasibility		
A. Logical Framework Matrix		
i. Are the expected outputs clearly formulated in response to the problems to be addressed?		
a. Alignment of the objectives with the outputs(10 points)	Score:	(Specify justification on the score)
b. Alignment of the activities with the outputs (10 points)	Score:	(Specify justification on the score)
c. Formulation of Objectively Verifiable Indicators using SMART criteria and Means of Verification (10 points)	Score:	(Specify justification on the score)
B. Relevance to Policy and Programs		
i. Is the project consistent with the National/Regional Policies and Priority Programs?		
a. Responsiveness to relevant policies (5 points)	Score:	(Specify justification on the score)
b. Alignment with relevant programs (5 points)	Score:	(Specify justification on the score)
3. Financial Feasibility		
A. Are the direct and indirect costs justifiable against the workload and actions to be delivered?		
a. Direct cost (operational expenses) (15 points)	Score:	(Specify justification on the score)
b. Indirect cost (personnel cost, M&E and other support activities) (10 points)	Score:	(Specify justification on the score)
4. Sustainability or relevance of the Project		
A. Will the proposed technology/methodology by the project be appropriate and compatible with the prevailing socio-economic and cultural context?		
a. Appropriateness of the technology with the prevailing bio-physical, socio-economic and cultural context (5 points)	Score:	(Specify justification on the score)
b. Relevance of the exit strategies with the prevailing national policy/regional trends and future direction (10 points)	Score:	(Specify justification on the score)
Total Score (Out of 100 points) (add the score obtained for each criteria)	Total Score:	
FINAL GRADE (A, B, or C) A for an average score of 85~100 points (<i>the review criteria is mostly or fully met</i>); B for an average score of 60~84 Points (<i>the review criteria is not adequately met and improvements are required</i>); C for an average score below 60 points or if any of the criteria is score below 60 points (<i>the review criteria requires substantial improvements</i>)		(A, B, or C)
While the corresponding Score has been given, identify and describe (why and how) particular sections of the proposal that need further justification and enhancement.		

Annex 5. Template for Project Memorandum of Understanding

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]
---	-------------------------------

(This page is intentionally left blank.)

[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 title.....]”
(...project number...)

1. Introduction

This Memorandum of Understanding (hereinafter referred to as the “MOU”) is entered into by and between the Asian Forest Cooperation Organization (hereinafter referred to as "AFoCO") and [.....Implementing Agency.....] (hereinafter referred to as “XXXX”), hereinafter referred to individually as “Party” and collectively as the “Parties”. The AFoCO will make available to [.....Implementing Agency.....], project fund up to [United states dollars only (USD XXX,XXX.XX)], specified under Article [...6a...] “Terms of Payment” of this MOU for the implementation of Project [.....project number.....] “[.....project title.....]” (hereinafter referred to as the “Project”). The project was approved by the [.....XXth.....] 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

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- a) Funds provided by AFoCO will be used by the [.....Implementing Agency.....] exclusively for implementation of the activities identified as per “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) AFoCO Project Manual and related guidelines as approved by the Assembly of AFoCO will be used by the [...Implementing Agency.....] for implementation of the project.
- d) The AFoCO National Focal Point (hereinafter referred as “NFP”) of [...Participating Countries...] will coordinate and facilitate the implementation of the Project.
- e) 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.
- f) 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.
- g) The project management personnel assigned under this MOU for the implementation of Project activities will be subjected to the regulations, responsibilities and rights referred to in the Project Manual and not be entitled to any compensation, honorarium, and/or reimbursement by the AFoCO.
- h) 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 mutual agreement of the Parties and decision by the Assembly; and,
- i) Extension of the project without additional budget may be considered upon mutual agreement of the parties.

3.1 Role of [.....Implementing Agency.....]

- a) The [.....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 and provide a furnished office for the purpose of coordination and effective implementation of activities under the Project.
- b) The [.....Implementing Agency.....] will open a designated project bank account in USD, in accordance with domestic regulations;

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- c) Upon coming into effect of this MOU, the [.....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. The actions will, where appropriate, begin with the formation of Project Steering Committee (hereinafter referred to as the “PSC”) and relevant inception arrangements.
- d) [.....Implementing Agency.....], can make other legal arrangements solely for the implementation of the project, among others, service contracts, and other project-related 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.
- e) [.....Implementing Agency.....] will assist in arranging visas, stay permits, exit and re-entry permits to foreign officials and experts related to the Project activities to facilitate the entry into and exit from, and movement and sojourn within the country.
- f) [.....Implementing Agency.....] will ensure exemption of tax and duties on the imported materials related to the Project in accordance with existing laws and regulations of the country.
- g) [.....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; and,
- h) 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.

3.2. Role of AFoCO

- a) AFoCO will provide financial support for the implementation of the project.
- b) The AFoCO Secretariat will provide overall administrative and technical support to ensure effective financial management and implementation of the project.

4. Reporting

- a) [.....Implementing Agency.....], in collaboration with the participating countries, will ensure the submission of physical and financial reports to the Assembly through the Secretariat, every 15 January for the annual report and 15 July for the mid-year report for each implementation year in accordance with the Project Manual.
- b) [.....Implementing Agency.....], in collaboration with the participating countries, will ensure to submit to the Assembly through the Secretariat, a completion report and 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, during which

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period, it shall not be allowed to disburse any project budget for the project management;

- c) [.....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; and
- d) All documents under this Project will be done in English language.

5. Monitoring Arrangement

The PSC will create a project monitoring team to conduct regular or annual monitoring to assess the progress of Project implementation 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, 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 NFP, 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 to project bank account in accordance with the banking instructions provided by the [...Implementing Agency....] upon signing of this MOU.

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 shall be made upon mutual agreement by the parties through written instrument duly executed and signed. Such amendment will form the integral part of this MOU.

9. Entry into Effect

- a) This MOU will come into effect from the date of signing by all Parties and shall remain in effect until project completion. The official starting and completion dates of the project shall be [.....starting date.....] and [.....ending date...] respectively.
- 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.

Parties to this MOU	Signatures
1. Asian Forest Cooperation Organization 8 th 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 Asian Forest Cooperation Organization [.....name.....] [.....title.....] Date:

[PLEASE USE THIS TEMPLATE AS THE COVER PAGE OF THE PROJECT DOCUMENT]



AFoCO Project Document

Project code	[.....Project Code.....]
---------------------	--------------------------

Project Profile			
Project title	Times New Roman, Font size 14.0		
Project duration	Estimated start date: Times New Roman, Font size 12.0 Estimated end date: Times New Roman, Font size 12.0		
Implementing Agency	Times New Roman, Font size 12.0		
Participating countries	Times New Roman, Font size 12.0		
Project site	Times New Roman, Font size 12.0		
Main objective	Times New Roman, Font size 12.0		
Target Area⁵	Primary Target Area: Times New Roman, Font size 12.0 Secondary Target Area Times New Roman, Font size 12.0		
Budget and source of finance	Total: US\$ Times New Roman, Font size 12.0 - AFoCO: US\$ - National: US\$ _____ - Others: US\$ _____ (to be specified)		
Proponent Profile			
Name/ Position			
Organization			
Address			
Contact	Tel: _____	Fax: _____	Email: _____

⁵ Refer to the list of target areas in accordance with the objectives and prevailing strategic plan of AFoCO (provided by the Secretariat)

***Template for Procurement Plan**

[PLEASE ATTACH PROCUREMENT PLAN TO THE BUDGET TABLE IN PROJECT DOCUMENT]

Table x. Procurement Management Plan

Activity No.	Item	Unit	Unit Cost	Number	Total cost (USD)	Owner	Delivery Time	Remarks

Annex 6. Template for Letter of Notification of Inception Arrangements

[PLEASE USE YOUR OFFICIAL LETTER HEAD.]

AFoCO Secretariat
Seoul
Republic of Korea

**Subject: Notification on Inception Arrangements of [...project code...]:
[...project title...]**

Dear AFoCO Secretariat,

[...name of IA...], as Implementation Agency of the project [...project code...]: [...project title...], would like to notify that the inception arrangements for the said project has been accomplished in accordance with the Memorandum of Understanding and the project manual.

The detailed information of the inception arrangement is in the Project Inception Report (see [Attachment](#)).

Sincerely,

Name
Project Manager
[Position]
[...name of the Country]

cc. National Focal Point of [...name of the Country]

Attachment.



PROJECT INCEPTION REPORT

Project Profile

Project code	[...project code.....]
Project Title	
Project Duration	Start date: End date:
Implementing Agency	
Participating Countries	
National Focal Point(s)	
Project Site	
Target Area	Primary target area: Secondary target area:
Budget and Source of Finance	Total: US \$ - AFoCO: US \$ - National: US \$ - Others: US\$ (to be specified)
Information of Project Manager E-mail:..... Telephone:

TABLE OF CONTENTS

[PLEASE INSERT THE PAGE NUMBER]

1. INTENDED STARTING DATE

2. PROPOSED PROJECT PROFESSIONAL STAFF

5. AVAILABILITY OF ADEQUATE OFFICE FACILITIES

6. BANK ACCOUNT

7. CHANGES SINCE SUBMISSION/APPROVAL OF THE PROJECT PROPOSAL

ANNEX 1: ANNUAL WORK PLAN AND BUDGET FOR THE 1ST YEAR

ANNEX 2. BUDGET REQUEST

“...Project Title...”
AFoCO Project:

1. Intended starting date

The Government of [.....Implementing Country.....] authorized the [.....Implementing Agency.....] as the Implementing Agency to sign the Memorandum of Understanding between the AFoCO Secretariat and the [.....Implementing Agency.....], for implementing the project "[.....Project Title.....]" (....Project Code.....) at the [...th] Assembly Session on [dd/mm/yyyy]. Subsequently, the MoU have been duly signed by [...Implementing Agency.....] and AFoCO Secretariat on [.....date of MOU signing.....].

As stipulated in duly signed MOU between AFoCO Secretariat and [.....Implementing Agency.....], “[.....Project Title.....]” project starts on [.....date of inception.....].

3. Project Staff Resource Plan

The appointment of the Project Professional Staff has been made and initial contact has been conducted to individual persons.

Name	Position	Roles and functions Function during the Project Implementation	Contact/Tel/E-mail
			Phone: Email:

In order to optimize the effectiveness of the project workforce, the [...Implementing Agency.....] has designated the Project Team Leader and Project Personnel, the Project Steering Committee, as well as in project interactions with Government institutions and relevant stakeholders, including donors and other development assistance organizations.

The project management team will coordinate interactions with relevant government ministries and agencies in [.....implementing country.....], to ensure that the project is implemented with appropriate institutional mechanisms and coordinating day-to-day-project activities, especially those involving provincial stakeholders, to ensure that coordination occurs in a meaningful manner on a regular schedule.

The organogram of the project is in **Figure x**.

--

Insert the Organizational Structure Chart of the Project (Organogram)

Figure X. Organizational Structure of the Project.

3. Project Steering Committee

The [...Implementing Agency.....] as an Implementing Agency, through the Project Steering Committee, will initiate, as well as provide support to the project objectives. The Project Steering Committee is comprised as below:

Name	Position	Roles and functions Function during the Project Implementation	Contact/Tel/E-mail
			Phone: Email:
AFoCO Secretariat (Please leave them as blank.)			
AFoCO Secretariat (Please leave them as blank.)			
AFoCO Secretariat (Please leave them as blank.)			

4. Availability of adequate office facilities

The project Coordination Office used for overall project coordination and management of the project will be based in the [.....[Department/Institution/Organization.....](#)].

5. Bank account

The Bank Account information is:

Bank Name
Account Number
Account name
Swift Code
Bank Address
Currency	USD

Annexure**Annex 1: Annual Work Plan and Budget for the 1st year**

[\(Please use the template in Annex 8\)](#)

Annex 2: Budget Request

[\(Please use the template in Annex 9\)](#)

Annex 7. 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

(Instruction: Insert a paragraph about brief background of the project, including date of approval by the Assembly, MOU signing date, date of inception, implementing agency profile, etc.)

This Asian Forest Cooperation Organization (AFoCO) and *[.....Implementing Agency/Signing party.....]* (XXXX), have signed the Memorandum of Understanding (MOU) to implement the project titled "*[.....project title.....]* (**project code**)" on *[date - DD MMM YYYY]*. The project, with the commitment of *[United states dollars only (USD XXX,XXX.XX)]* by AFoCO, was approved by the *[.....XXth.....]* Session of the Assembly of the AFoCO, held on *[date - DD MMM YYYY]*, in *[.....venue.....]*. The implementing agency (IA) of the project is *[.....Implementing Agency.....]*. The official starting and completion dates of the project are *[.....starting date....]* and *[.....ending date...]* respectively.

In accordance with AFoCO Project Manual, the Project Steering Committee (**PSC**) is established to decide on **matters** related to the implementation of the project within the framework of the signed MOU. Rules of Procedure (**ROP**) are designed to guide and facilitate the work of the PSC articulating:

- composition of the PSC, vis-à-vis indicative provision in the Project Manual;
- functions and responsibilities of the PSC; and,
- mechanisms and procedures for decision-making.

2. Composition of the PSC

(Instruction: In accordance with Article 9 of the AFoCO Project Manual, the PSC will be established with at least three (3) members in the committee, including the National Focal Point, the representative of the Secretariat, the representatives from relevant ministry, departments and project stakeholders.)

The PSC will include *[.....number...]* members, in accordance with the Project Inception Report submitted by IA: (1) National Focal Point; (2) the representative of the AFoCO

Secretariat, (3) the representative of [.....agency...]; (4) the representative of [.....agency...]; and....; (**Figure-1**). Likewise, the IA will serve as the PSC Secretariat.

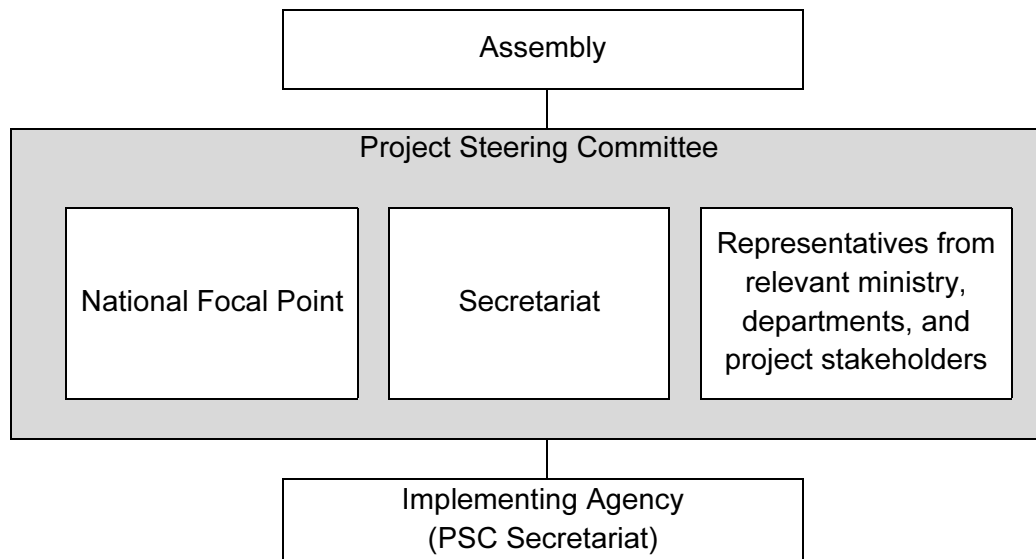


Figure-1. Structure of the Project Steering Committee

3. Functions and responsibilities of the PSC

The PSC is formed to ensure the timely delivery of project outputs and the achievement of project outcomes. As such, the PSC is tasked to provide guidance, management, and coordination between and among project implementers and stakeholders as well as necessary decision making on the implementation of the Project. 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% of the annual and total budget, in accordance with Article 9 of the AFoCO Project Manual.

The general duties and responsibilities of the PSC will include:

- reviewing/monitoring the progress of implementation of activities;
- ensuring the submission and review of regular reports;
- reviewing and approving the annual work plan and budget;
- addressing operational issues related to the implementation of the project; and,
- any other matters to be mutually agreed from time to time among the PSC.

The PSC is also responsible to form a project monitoring team in accordance with Article 3.4 of the AFoCO Guidelines for Project Monitoring and Evaluation.

4. Mechanisms and Procedures for Decision-making of PSC Meetings

4.1 Mechanisms

The PSC Meeting (hereinafter referred to as the “Meeting”) will be held at least once a year on a regular basis, preferably within January to March of each AFoCO fiscal year, until the completion of the Project. Each Meeting will elect the chairperson. Each Meeting will be held at a date and location, fixed by its previous meeting. The Meeting will have a quorum if the PSC will have its chair or his/her designate and at least three member representatives.

The IA, as the Secretariat for the PSC, will prepare and circulate the provisional agenda for each Meeting in consultation with the NFP and Secretariat at least two weeks (10 working days) before the Meeting.

The IA will prepare and circulate the draft Meeting Report to the PSC members for adoption. Accordingly, the IA, in consultation with the Secretariat, will circulate the adopted meeting report to the PSC members immediately after the Meeting.

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

As and when deemed necessary, the Meeting may be convened as a special session.

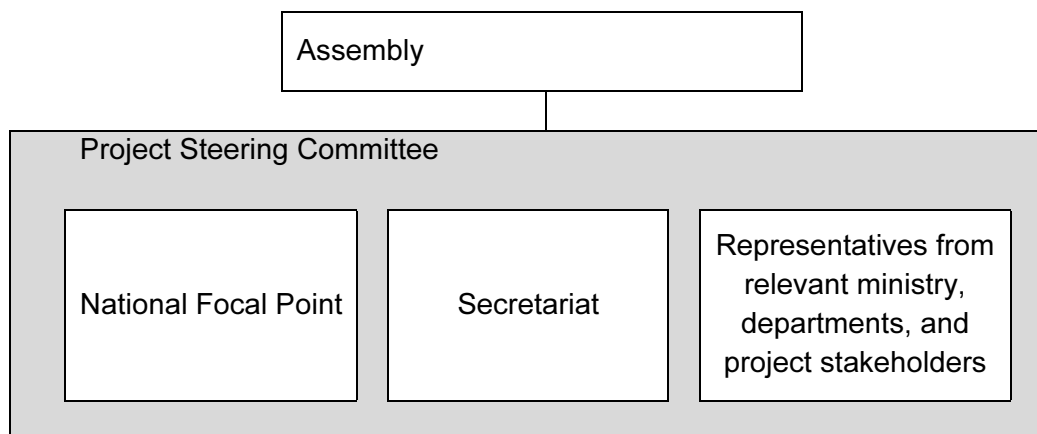
4.2 Procedures for decision-making

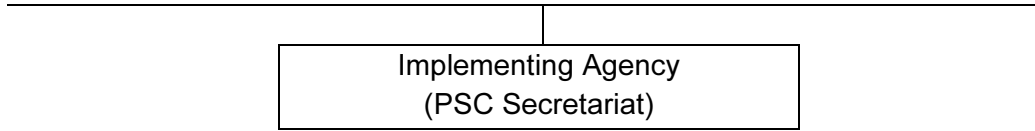
Decisions are made by consensus among the PSC members within the framework of the MOU. The Meeting will adopt any decision or agreement upon reaching a quorum. When there are issues beyond the said framework, the PSC has a responsibility to report on issues through the NFP to the Secretariat and/or the Assembly to seek further approval and guidance. Written communication and approval, such as an e-mail or a letter, can be applied for the issues in case of an emergency or trivial follow-up of the PSC meetings.

5. Amendment

The ROP may be amended with the agreement among the PSC members by written notifications, which will be considered to be an integral part of the ROP.

6. Structure of Project Steering Committee





B. Standard Project Steering Committee Meeting Report Format

(Logo Implementing Agency)	of
----------------------------------	----



**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)

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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 8. 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												Remarks
			1	2	3	4	5	6	7	8	9	10	11	12	
Objective 1:															
Output 1:															
A.1.1:		(e.g. DOF-Laos)													
A.1.2:															
A.1.3:															
A.1.4:															
Output 2:															
A.2.1															
A.2.2															
A.2.3															
A.2.4															
Objective 2:															
Output 3															
A.3.1															
A.3.2															
.....															
.....															

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2. Annual Budget (20xx)

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

[illegible]

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

Annex 9. 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 Transferred from the Secretariat (B*)	Budget Requested (C)	Remaining Project Budget (D = A-B-C)

(*Note: Please indicate the amount on the basis of the Secretariat's remittance)

3. Attachment: approved annual work plan and budget


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

RECEIPT		
Recipient Information <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		
(Amount in words in USD) _____ I certify that I received the above amount in cash as mentioned in this document. <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <i>Full name:</i> _____ <i>Date/Place:</i> _____ </div> <div style="width: 45%;"> <i>Signature:</i> _____ </div> </div>		
Project title: _____ Implementing Agency: _____		

B. Standard Attendance Sheet

Title of event: _____

Date and venue: _____

Project title: _____

Registration (Attendance Sheet)

No	Full Name	Gender		Affiliation	Email	Signature
		Male	Female			

Annex 11. Template for front page of the documents



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

<Project Profile>

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

(This page is intentionally left blank.)

Annex 12. Template for Financial Report

Statement of Cash Flow

Project Code:

Project Title:

 Reporting
 Period:
 SOC
 Number:

 Ex) 1 Jan. 2017 to 30
 Jun. 2017
 2017-1

Component		Timeline					
		2017-01	2017-02	2018-01	2018-02	2019-01	2019-02
1	CASH IN	(A)					
	Balance		(C)				
	Funds received						
	Bank interest						
2	CASH OUT	(B)					
	Bank charge						
3	BALANCE	(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>					
I. Total AFoCO funds received by the reporting period					
<u>Expenditures by Implementing Agency</u>					
A. (Output 1)					
A.1. (1st Activity of Output 1)					
A.2. (2nd Activity of Output 1)					
II. Sub Total A					
B. (Output 2)					
B.1. (1st Activity of Output 2)					
B.2. (2nd Activity of Output 2)					
III. Sub Total B					
C. (Output 3)					
C.1. (1st Activity of Output 3)					
C.2. (2nd Activity of Output 3)					
C.3. (3rd Activity of Output 3)					
VI. Sub Total C					
D. (Output 4)					
D.1. (1st Activity of Output 4)					
D.2. (2nd Activity of Output 4)					
D.3. (3rd Activity of Output 4)					
VII. Sub Total D					
E (Output 5)					

G-1-20R

E.1. (1st Activity of Output 5)					
E.2. (2nd Activity of Output 5)					
E.3. (3rd Activity of Output 5)					
VIII. Sub Total E					
F Contingency/Other expenditure					
Bank charge					
IX. Sub Total F					
x. Total Funds Retained by Secretariat:					
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. 2017

Project Title:

Period:
SOE Number

2017-1

Serial No.	Date	Description	Activity Reference	Amount (local currency)	Amount (USD equivalent)	Reference Number (Voucher no./Project No./Year of expenditure)
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						
TOTAL						

[Signature]

[Signature]

[Name]
 Account Officer

[Name]
 Project Manager

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Annex 13. Template for Mid-Year Report



PROJECT MID-YEAR REPORT

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

<Project Profile>

Project Code	
Project Title	
Project Duration	Start date: End date:
Implementing Agency	
Participating Country(ies)	
Project Site	
Target Area⁶	Primary Target Area: Secondary Target Area
Budget and Source of Finance	Total: US\$ - AFoCO: US\$ - National budget: US\$ _____ - Others: US\$ _____ (to be specified)
Annual Budget and Source of Finance	Total: US\$ - AFoCO: US\$ - National budget: US\$ _____ - Others: US\$ _____ (to be specified)

<Implementing Agency Profile>

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

⁶ 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 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.

Use of gender fair language in the preparation of report is highly recommended. The list of recommended gender fair language is attached hereto for reference.

Contents

[Please insert the page number]

1. **Project Overview**
2. **Implementation Progress & Review of Performance**
3. **Issues, Concerns and Actions Taken**
4. **Appendices**

G-1-20R

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. If the project has Project Implementation Plan, please use the 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

(Following the activity number, please provide main photos with description. 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 14. Template for Annual Report



PROJECT ANNUAL REPORT

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

<Project Profile>

Project Code	
Project Title	
Project Duration	Start date: End date:
Implementing Agency	
Proponent Country	
Project Site	
Target Area⁷	Primary Target Area: Secondary Target Area
Budget and Source of Finance	Total: US\$ - AFoCO: US\$ - National budget: US\$ _____ - Others: US\$ _____ (to be specified)
Annual Budget and Source of Finance	Total: US\$ - AFoCO: US\$ - National budget: US\$ _____ - Others: US\$ _____ (to be specified)

<Implementing Agency Profile>

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

⁷ 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 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

[Please insert the page number]

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

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 matrix. If the project has Project Implementation Plan, please use the 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						

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

(Following the activity number, please provide main photos with description. The original electronic files of the photos used in this section should be submitted separately.

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 Updates on Key Activities

(To include any material with both audio & visual records of project activities and any relevant documents to support the report)

1.1 Updates on the project map

(The legend must be written in English)

1.2 Updates on the capacity development activities (training / meetings / workshops)

Outputs/ Activities	2016			2017			2018			2019			Main target
	Total number	Achieved		Total number	Achieved		Total number	Achieved		Total number	Achieved		
		Male	Female		Male	Female		Male	Female		Male	Female	

1.3 Updates on the advocacy materials

(Please insert the template in Annex 16. 'Updates on the soft asset status')

1.4 Updates on the procurement status

(Please insert the template in Annex 16. 'Updates on the hart asset status')

Appendix x. Others, if any

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

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Annex 15. Instruction and Samples for Displaying Publicity

- 1 Inventory Code**
- 2 Acknowledgement in publication materials**
- 3 Display of emblems on the project publication and meetings**
- 4 Stickers**
 - 4.1 Material and size
 - 4.2 Design
 - Vehicle
 - Signboards
 - Others
 - 4.3 Sample image

Annex 16. Template for Asset Management

1 Updates on the hard asset procurement status

No.	Inventory code	List (model description)	Plan	Actual	Location	Remarks
1						
2						
3						
4						
5						
6						
...						

2 Updates on the soft asset status

	Inventory code	Type	Title	Number	Year	Language	Submission to the Secretariat
1		Audio-visual presentation					
2		News articles					
3		Brochure					
4		Manual					
5		Research article					
...		Proceedings					
		Others...					

Annex 17. Template for Certificate of Financial Audit

Certificate of Financial Audit

To: AFoCO Secretariat

Subject: Cover Letter to Certify Financial Audit for Project [...project code...]

In accordance to the Memorandum of Understanding between the Asian Forest Cooperation Organization (AFoCO) and [.....Implementing Agency.....] for the Implementation of the AFoCO Project: “[.....Project Title.....]” (.....Project Code.....), we certify that all the expenses in the statement of expenditures under the project covering the entire project duration have adequate reporting documents to prove its eligibility to be charged under said project funds. Likewise, expenses incurred are in line with the implementation of project activities to support the delivery of project outputs, consistent with the approved Project Work and Budget Plan, as confirmed in our Annual Financial Audit Reports which are attached hereto.

Sincerely,

(.....Name.....)

(.....Office.....)

Annex 18. Template for Completion Report



PROJECT COMPLETION REPORT

<Project Profile>

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

<Implementing Agency Profile>

Name	[.....Implementing Agency.....]	
Address		
Project Manager	Mr./Ms.	
Contact	Tel.: Fax: Email:	
Project Staff	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.

[Please insert the page number]

Summary

1. Introduction

2. Project Outcomes and Objectives

2.1. Project rationale

2.2. Project objectives

2.3. Assumption and risks

3. Project Management

3.1. Management structure

3.2. Work plan and schedule

4. Performance

4.1. Planned vs. actual implementation

4.2. Planned vs. actual budget

4.3. Implementation issues and constraints

5. Impact Analysis

5.1. Outputs and outcomes

5.2. Internal & external impacts

5.3. Local applicability

5.4. Sustainability Action Plan & Best Practices

6. Best Practices and Lesson Learned

6.1. Project formulation aspect

6.2. Operational aspect

6.3. External factors

7. Photo records

8. Conclusion and Recommendations

9. Sustainable Property Management after the Project

10. References

11. Appendices

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)

(This can be taken out from the project document, however, it can be updated as per the outputs of the project implementation)

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

Output/ activity	Planned Target	Accomplishment	Remarks/
------------------	----------------	----------------	----------

			Explanation

4.2. Planned vs. actual budget

Output/ activity	Planned USD	Revised	Expenditure	Remarks/ Explanation

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 Documentation

(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.)
