



Food and Agriculture Organization
of the United Nations

GUIDE TO THE PROJECT CYCLE

APPENDIX 1

TCP MANUAL

2015

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PROJECT CYCLE
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**TCP
MANUAL**

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FOREWORD

Following the decentralization of the Technical Cooperation Programme (TCP), the transformational change process and the Strategic Thinking Process that led to the reviewed Strategic Framework, member countries requested assurance that the TCP adapt to this new organizational context and remain a programme of importance and relevance as a means for accessing FAO's technical expertise.

In December 2013, the Council endorsed a comprehensive document¹ for the enhancement of the TCP, along with an implementation plan, to improve alignment to the Strategic Framework and enhance the strategic use of TCP resources. The document took into account the transformational changes in the Organization, and earlier guidance received from Council. The plan was also reviewed and endorsed by the Corporate Programme Monitoring Board.

The approved measures led to the simplification of TCP procedures through the revision of the TCP Manual, including the alignment of procedures between the project cycle for trust fund projects and that of the TCP. Furthermore DGB 2014/53² sets out the policy, roles and responsibilities in relation to resource mobilization and the project cycle, aimed at enhancing the alignment of these functions to the implementation of FAO's Strategic Framework and empowerment of decentralized offices. Therefore this manual constitutes an integral part of the Guide to the Project Cycle and forms one of its appendices detailing specific guidelines for the TCP.

This manual governing the use of the TCP appropriation is divided into two main sections: the first is dedicated to the specificities of the TCP (TCP appropriation, TCP criteria and the TCP facility [TCPf]) while the second focuses on the project cycle for TCP projects, detailing the specific TCP requirements throughout the six phases of the FAO project cycle.

While undertaking this exercise consideration was given to fundamental characteristics of the TCP, in particular the fact that the TCP appropriation is funded by the Regular Programme (RP) and governed by the TCP criteria approved by the Governing Bodies.

1 <http://www.fao.org/docrep/meeting/029/mi537e.pdf>

2 http://intranet.fao.org/fileadmin/user_upload/FAO_Communications/dgb/dgb14_53.pdf

ACRONYMS

ADG/RR	Assistant Director-General/Regional Representative
ADG-TC	Assistant Director-General, Technical Cooperation
CPF	Country Programming Framework
CN	Concept Note
DSA	United Nations Daily Subsistence Allowance
ESMU	Environment and Social Management Unit
FAOR	FAO Representative
FPMIS	Field Programme Management Information System
GOE	General Operating Expenses
GRMS	Global Resource Management System
LDC	Least Developed Country
LIFDC	Low-Income Food-Deficit Country
LLDC	Land-Locked Developing Country
LOA	Letter of Agreement
LTO	Lead Technical Officer
NPC	National Project Coordinator
OSD	Office of Support to Decentralization
OSP	Office of Strategy, Planning and Resources Management
PSC	Project Servicing Cost
PTF	Project Task Force
RO	Regional Office
RP	Regular Programme
SIDS	Small Island Developing State
SOC	Strategic Objective Coordinator
SPD	Standard Project Document
SPP	Short Project Proposal
SRC	Subregional Coordinator
SRO	Subregional Office
TAS	TCP Appraisal Sheet
TCP	Technical Cooperation Programme
TCPf	Technical Cooperation Programme Facility
TOR	Terms of Reference
TSS	Technical Support Service by FAO technical staff
UNDAF	United Nations Development Assistance Framework

PART ONE

The Technical Cooperation Programme



Chapter 1 – Introduction

1.1 Purpose of the TCP

The Technical Cooperation Programme (TCP) was created to allow the Organization, drawing from its own RP resources, to make its know-how and technical expertise available to member countries and respond to its constitutional function “to furnish technical assistance as governments may request”³. The TCP allows the implementation of demand-driven technical assistance that can respond to governments’ priority needs, catalyse change, foster capacity development and assist member countries in mobilizing resources.

The **TCP aims to provide FAO’s technical expertise** to its Members through targeted, short-term, catalytic and sustainable projects. These projects address technical challenges in the fields of agriculture, fisheries, forestry and rural livelihoods that prevent member countries, either individually or collectively, from implementing their development programmes. The TCP may be used in all areas of action that pertain to FAO’s mandate and competence that are covered by the Strategic Framework.

At country level, TCP assistance should contribute to one or more country priorities as expressed in the Country Programming Framework (CPF). At subregional, regional and interregional levels TCP assistance should be aligned to the Strategic Framework, regional priorities and/or initiatives as expressed in Regional Conferences, regional technical commissions, and other relevant political processes and agreements.

TCP projects are categorized as being either for Development Support (D) or Emergency Assistance and Support to Early Rehabilitation (E). The eligibility criteria, responsibilities for the approval process and, in some cases, the subsequent implementation, will be different depending on the type of assistance.

1.2 TCP appropriation management

The TCP appropriation is approved by the FAO Conference in the context of the Programme Work and Budget as part of the Organization’s Regular Programme⁴.

³ *FAO Constitution, article I, paragraph 3a.*

⁴ *The appropriation of the TCP as approved by Conference for the 2014-15 biennium amounts to about USD 134.7 million equivalent to approximately 13.4 percent of the Net Appropriation of the Organization to converge towards the target of 14 percent of the Net Appropriation as per Conference resolution 9/89.*

The Director-General is accountable for the use of the TCP appropriation to the Governing Bodies. The Assistant Director-General, Technical Cooperation (ADG-TC) has the delegated responsibility for the corporate management and oversight of the TCP and reports to the Governing Bodies on a regular basis on the use of the appropriation. Therefore, all FAO decentralized offices are accountable to the ADG-TC for all issues related to the TCP.

In November 2008, the FAO Conference approved the Immediate Plan of Action for FAO Renewal. In this context, the Conference decided that an indicative share of 82 percent of the TCP appropriation be allocated to each region under the authority of the Assistant Director-General/Regional Representatives (ADG/RRs) while the remaining appropriation of 15 percent and 3 percent be retained under the authority of the ADG-TC for emergency and interregional projects, respectively.

While the responsibility for managing the regional allocations is delegated to the respective ADG/RRs by the ADG-TC, the ADG-TC retains the authority to take remedial measures in the event that responsibilities assigned to the decentralized levels are not fulfilled, including redistribution of part of the regional allocation.

The distribution of the TCP appropriation for projects as approved by the Governing Bodies is as follows:

- 3 percent for interregional projects;
- 15 percent for emergency projects; and
- 82 percent for development projects.

The share of the TCP appropriation is decided by the Governing Bodies during the discussions on the Programme of Work and Budget. The respective share at the disposal of each FAO region is decided based on:

- the number of countries, in particular Least Developed Countries (LDCs) in a region;
- the need to allocate a minimum amount of resources to all eligible countries;
- the effective utilization of the regional allocation in the previous two biennia; and
- any other considerations that Governing Bodies may decide.

It is not expected that the regional allocation will vary greatly over time.

By approving the Immediate Plan of Action for FAO Renewal, the FAO Conference decided that the TCP appropriation for national, subregional and regional non-emergency projects will indicatively be used by the countries of the regions as follows:

- Africa: 40 percent
- Asia and the Pacific: 24 percent
- Europe and Central Asia: 10 percent
- Latin America and the Caribbean: 18 percent
- Near East and North Africa: 8 percent

The ADG/RR allocates the regional TCP resources to national, subregional and regional projects approved by TCP Coordinators⁵. The ADG/RR manages the TCP regional allocation taking into account the corporate obligation to:

- commit the entire allocation within the biennium in which it was approved;
- deliver the entire appropriation by the end of the biennium following the biennium of approval of that appropriation;
- ensure that, in allocating resources, special attention is given to Low-Income Food-Deficit Countries (LIFDCs), Least-Developed Countries (LDCs), Land-Locked Developing Countries (LLDCs) and Small-Island Developing States (SIDS)⁶; and
- ensure the involvement of the FAO Representatives (FAORs) in the prioritization and selection process of regional and subregional TCP projects.

In carrying out the above functions, the ADG/RR is guided by a number of principles and best practices for ensuring both the equitable distribution of the TCP regional allocation and its full utilization:

- encourage that up to 70 percent of the regional allocation be committed to approved projects during the first year of the biennium and follow up with the TCP Coordinators in this regard.
- for countries that do not appear on the special attention list, give preference to the use of the TCP facility (TCPf). For this group of countries, TCP assistance should be limited and focus on the provision of technical expertise for capacity development and not on material inputs.

5 *TCP Coordinators are the prospective Budget Holders of TCP projects. They chair the project task force and coordinate all phases of the TCP project, including in particular formulation, appraisal and implementation. This role corresponds to the project formulator role as outlined in the guide to the project cycle.*

6 *For a comprehensive list of special attention countries please refer to the TCP web site www.fao.org/tc/tcp.*

- establish indicative approval targets for countries per biennium. Such targets should be based on transparent and objective criteria, be communicated to the FAORs and provide indicative guidance on resource allocation. This is particularly important in the context of CPF preparation when the FAOR should identify those activities and outputs to which the TCP can contribute to (as detailed in Section 1.1 of Part Two).
- any TCP resources allocated in a given biennium must be used, at the latest, by the end of the following biennium. For this reason, projects approved in a biennium against uncommitted resources of the previous biennium must be of a short duration.
- encourage the TCP Coordinators to calculate and provide realistic budgets keeping the project budgets as contained as possible without jeopardizing the quality of outputs, so as to allow for a higher number of projects.

Given that the financial rules of the Organization allow for the continuation of commitment of TCP biennial resources into the subsequent biennium, the ADG-TC may also decide to allow ADG/RRs with undercommitted regional allocations to retain all or part of this allocation for commitment in the subsequent biennium. Such decisions will be taken by the ADG-TC in consultation with all ADG/RRs, taking into account the reasons for the undercommitments.

In the management of the TCP appropriation, the decentralization and subsidiarity principles apply. Since 2010, the responsibility relating to the various phases of the TCP project cycle is decentralized to the lowest possible level. In this regard, the ADG/RR in his/her role as manager of the regional TCP appropriation provides the financial resources to fund TCP development assistance based on availability of funds, while the responsibility for the contents of the TCP projects and their adherence to TCP criteria rests with the TCP Coordinator.

The responsibility and accountability for the approval and quality of emergency and interregional projects rests with the ADG-TC. The responsibility and accountability for the approval and the quality of non-emergency TCP projects is delegated to the lowest possible level of the FAO decentralized structure. The ADG/RR is thus authorized to approve regional projects, the Subregional Coordinator can approve subregional projects and the FAOR can approve national projects. In this manual and in the context of the approval process for TCP projects, the ADG/RR, the Subregional Coordinator (SRC) and FAOR are collectively referred to as “TCP Coordinator” unless otherwise indicated.

It should be noted that:

- in countries with an accredited, but non-resident FAOR, the responsibility for the national TCP is with the accredited FAOR;
- in countries with no accredited FAOR, the SRC acts as the TCP Coordinator for national projects from those countries; and
- the ADG/RR assumes the responsibility of TCP Coordinator for TCP requests from countries covered neither by an FAOR nor SRC.

It should be further noted that a subregional project is defined as a project requested by more than one country belonging to the subregion covered by a Subregional Office (SRO) or requested by a subregional or regional organization with which the SRC ensures the liaison. A regional project is defined as a project requested by countries belonging to more than one subregion in the same region or by a regional organization with which the ADG/RR ensures the liaison. A project requested by countries belonging to more than one region or by an intergovernmental organization with members from more than one region is considered interregional.

Chapter 2 – TCP Criteria

Ten TCP criteria set by FAO's Governing Bodies govern the use of the TCP appropriation. These criteria are reviewed by the FAO Programme Committee, as required, and are endorsed by the Council⁷.

All interventions to be funded by the TCP, including the TCPf, must respect the TCP criteria in order to be eligible for TCP funding. These criteria aim at ensuring that projects funded by the TCP lead to a transfer of FAO's technical knowledge to the country and provide emergency response in time of crises. The ten criteria are the same for emergency and development projects as well as for TCP facilities, yet their application changes depending on the type of intervention, as explained below.

While the emphasis placed on each of the criteria can vary, depending on the nature of the project, **the respect of these criteria is mandatory for all TCP projects**. A summary table of the TCP criteria for development and emergency TCP assistance can be found in Annex 1.

2.1 The TCP criteria for development TCP assistance and TCPf

Criterion 1 – Country Eligibility

All FAO Members are eligible for access to TCP-supported technical assistance. However, TCP gives special attention to assisting the neediest countries, especially the Low-Income Food-Deficit Countries (LIFDCs), Least Developed Countries (LDCs), Landlocked Developing Countries (LLDCs), and/or Small Island Developing States (SIDS). Access by high-income economies and by members of the European Union to technical assistance through the TCP modality should only be on a full cost-recovery basis.

TCP funding should give priority to special attention countries: (i) LIFDCs as classified by FAO; and (ii) LDCs, LLDCs, and SIDS as classified by the UN Office of the High Representative for the LDCs, LLDCs and SIDS⁸.

⁷ The latest set of criteria was approved by Council in December 2013.

⁸ For an updated list of these country classifications please consult the TCP web site www.fao.org/TC/TCP.

Middle income economies, as classified by the World Bank, can receive TCP funding on a grant basis, yet the interventions should focus on the provision of technical expertise and capacity development to address critical constraints, not of material inputs. High-income economies, as classified by the World Bank, can access TCP funding on a full cost-recovery basis only.

For those countries that fall in both the special attention category and high income economies classification, the Programme Committee recommended “that while keeping the status quo, some consideration be given by Governing Bodies to progressively work towards discouraging the use by the [...] countries concerned of full TCP projects and by favouring the use of only the TCPf⁹”.

Criterion 2 – Aims and Purposes

TCP-supported assistance contributes directly to at least one Organizational Outcome of FAO’s Strategic Framework.

The revised Strategic Framework of FAO for the 2014-15 biennium includes five Strategic Objectives and Objective 6 on technical quality, knowledge and services. The TCP intervention should contribute directly to one or more Organizational Outcomes.

Criterion 3 – Country or Regional Priorities

TCP-supported assistance should be directed at national or regional priorities linked to the aims and purposes identified in Criterion 2 and, where they are in place, should be consistent with FAO’s CPFs and emerge from TCP priority-setting processes at the country level.

TCP assistance should contribute to one or more country priorities as expressed in the CPF. During the CPF formulation phase, the FAOR will highlight, under the strategic priorities identified, those outputs and/or activities which could be achieved through TCP. These will form the indicative TCP pipeline that will be added as an annex to the CPF document and included in its resource mobilization plan¹⁰.

⁹ *Report of the Hundred and Eighth Session of the Programme Committee (Rome, 10 – 14 October 2011).*

¹⁰ *Further information on the establishment of the TCP pipeline in the CPF can be found in the guidelines for CPF formulation and its related addendum.*

The TCP at subregional, regional and interregional levels should be aligned to the Strategic Framework, regional priorities and/or initiatives as expressed in Regional Conferences, regional technical commissions, and other relevant political processes and agreements and to the extent possible, the CPF results.

Criterion 4 – Critical Gap or Problem

TCP-supported assistance should be directed at a clearly defined critical technical gap or problem that has been identified by beneficiaries or stakeholders and which necessitates technical cooperation within the timeframe that can be provided by the Programme but which either cannot or should not be provided through other resources.

The assistance to be funded through the TCP should aim at filling a technical gap in one or more of the technical domains in which FAO has recognized competences and comparative advantage, and which cannot be provided more effectively by other entities. TCP funds should not fill a financial gap of the government counterparts (henceforth: counterparts) or substitute for governments' RP and budget. No more than one TCP project can be foreseen to address a given problem or critical gap.

Primary beneficiaries and other stakeholders should be clearly identified and should not be able to receive the same assistance through other means than the TCP.

Results-based management principles should be used while designing the TCP intervention and to assist in the identification of the critical gap. The Logical Framework Approach should be used for all TCP interventions clearly identifying activities, outputs, outcomes and impact together with appropriate realistically achievable performance indicators (at the outcome level).

Criterion 5 – Sustainable Impacts

TCP-supported assistance should result in clearly defined outputs and outcomes leading to impacts. It should have catalytic or multiplier effects such as increased mobilization of investment funds. The outcomes and impacts should be sustainable. TCP requests will not be accepted when they are a consequence of the ineffective follow-up to previous TCPs.

Sustainable impact is one of the most important criteria when identifying a TCP project. TCP projects should lead to concrete and tangible outputs, which should lead to a broader impact.

TCP assistance should be used strategically as a catalyst for change and as a tool for resource mobilization to attract funding from resource partners or enter into co-financing arrangements, yet TCP funding should not fund interventions that are already funded by other projects.

Counterparts should commit to undertake any activity required to ensure the sustainability of the TCP intervention after the TCP project is closed without requesting further assistance from the TCP. Therefore, approval cannot be granted when a project would correspond to a repetition of prior TCP assistance or a follow-up of a previous TCP project.

Criterion 6 – Scale and Duration

No TCP project should require a budget of more than USD 500 000 and it should be completed within 24 months. The duration may be extended to 36 months, when justified, and on a case-by-case basis. The budget ceiling for a TCPf project is USD 200 000 per biennium which can be increased to a maximum of USD 300 000 per biennium subject to the agreement of the Regional Representative responsible for the regional allocation. A TCPf project should be completed within 24 months, but may be extended to 36 months, when justified, and on a case-by-case basis.

The maximum budget for a TCP project is USD 500 000. For a TCPf the maximum budget is USD 300 000 within a biennium. TCP Coordinators are encouraged to plan for cost effective and efficient interventions, thus requesting lesser amounts to allow for more interventions to be funded.

Criterion 7 – Government Commitment

Requests for TCP assistance should include a formal commitment by government(s) or regional organization(s) to provide all necessary inputs, staff and institutional arrangements to ensure the timely and effective start-up, implementation and follow-up of the requested TCP-supported assistance.

Government commitment is a fundamental condition for proper project implementation and future sustainability. The government must commit to participating fully in project execution, providing the use of national institutions, personnel and resources such as staff, transport, venues for training, etc. The TCP can only promote concrete changes if the government commits itself to adequate follow-up. The project document should clearly explain how the counterparts intend to follow up on the project's activities, to ensure its sustainability and impact.

Requests for TCP assistance should be signed at cabinet level (Minister, Permanent Secretary or similar) to ensure the government's commitment. The government should also nominate a National Project Coordinator (NPC), at no cost to the project, who together with the TCP Coordinator should manage the project and coordinate project activities. NPCs should not receive any compensation from the TCP.

Should a project proposal be part of the indicative TCP pipeline included as an annex to the CPF document agreed by the national authorities, the requirement for a specific government request is waived.

Criterion 8 – Capacity Building

Wherever possible, TCP-supported assistance should help build national or regional capacities to ensure that the critical gaps and problems to which they are directed would either not appear again or that they could be resolved effectively at the national or regional level.

Counterparts and stakeholders should acquire the necessary knowledge and skills during the implementation of the project to use its results effectively in the future. They should be able to replicate or scale up the activities. The project should create a critical mass of knowledge and skills that did not exist prior to project implementation. The TCP can develop capacity at all levels, such as individuals, institutions, the policy and enabling environment as well as to a wide range of beneficiaries (farmers, government staff, non-governmental or civil society organizations' staff, etc.).

The TCP cannot fund posts or substitute for human resources that the counterparts should have, as such assistance is not sustainable.

Criterion 9 – Gender Sensitivity

TCP-supported assistance must be gender-sensitive in identification, design and implementation, in line with the Organization's Gender Plan of Action.

TCP projects should show that a gender analysis has been undertaken during project formulation, addressing the roles and responsibilities of men and women benefiting directly or indirectly from the project, taking into consideration gender, age, ethnicity, social class and geographic location¹¹. The gender analysis should assess the specific needs of men and women in terms of their access to and control over productive resources and services, as well as their participation in decision-making. The document should further define the approach that will be used to involve both men and women in the project, including, when relevant, specific activities tailored at addressing gender equality.

Criterion 10 – Partnership and Participation

Wherever possible, TCP-supported assistance should contribute to new or strengthened partnerships and alliances, including through co-financing, and should lead to the increased participation of food-insecure and poor men and women in key decision-making processes.

It is important that the main stakeholders of TCP assistance are identified as early as possible and involved in the project design and implementation. This promotes ownership and builds dynamism between the different parties concerned which should continue after the project. Participation of stakeholders and involvement of the most vulnerable in key decision-making processes is also a way of empowering them.

As a way to attract funds to support the strengthening and follow-up of the project activities, partnership with potential resource partners should be sought throughout implementation.

¹¹ For guidance on gender analysis, please consult the FAO Socio-Economic and Gender Analysis Programme (SEAGA) Project Cycle Management Technical Guide <http://www.fao.org/docrep/012/ak211e/ak211e00.pdf>

The ten TCP criteria aim at ensuring that the TCP remains a source of technical expertise, rather than financial resources. The TCP criteria limit the types of assistance or interventions that can be supported by the Programme. In particular:

- the TCP cannot be used for projects that do not require a major technical input from FAO;
- the TCP cannot substitute for lack of human resources in the counterpart institution by funding the recruitment of project staff to be assigned to the counterparts to carry out its core or mandated activities, as such assistance is not sustainable;
- the TCP cannot be used for the mobilization of existing expertise and capacities within the counterpart institution through Letters of Agreement (LOAs), consultancies, etc. Only incremental costs incurred as a consequence of project activities may be partially covered by the project. The expertise and capacities of the counterparts should be a contribution of the government to the project;
- the TCP cannot be used to support research, to repeat previous TCP projects in the same country, as a substitute for government follow-up to previous TCP projects or to compensate for ineffective follow-up; and
- the TCP cannot be used to support commercial companies in any other form than the provision of expertise, only upon the explicit request of the government and only if it can be demonstrated that such assistance would be of major value to small-scale resource-poor producers. Such assistance should not provide an unfair competitive advantage to a particular enterprise and must be provided in a manner that ensures that competitors can benefit from the assistance.

2.2 The TCP criteria for emergency TCP assistance

Criterion 1 – Country Eligibility

Fifteen percent of the TCP appropriation is indicatively earmarked for emergency and rehabilitation projects, accessible to all FAO Members.

Given the geographical unpredictability of emergencies, the TCP appropriation for emergencies is managed centrally by the TCP unit in headquarters. The availability of funds should be requested from this unit before developing any project proposal.

All FAO Members, including high-income countries, are eligible for TCP emergency assistance on a full grant basis.

Criterion 2 – Aims and Purposes

TCP-supported emergency and early rehabilitation assistance should contribute to Organizational Outcome 4 of Strategic Objective 5, aiming at ensuring that countries and partners respond more effectively to crises and emergencies with food and agriculture related interventions.

Emergency TCP activities are directly linked to the Strategic Framework as they support the achievement of results under Strategic Objective 5, Organizational Outcome 4, “Countries and regions affected by disasters and crises with impact on agriculture, food and nutrition prepare for, and manage effective responses”. TCP assistance for emergencies, therefore, supports immediate response and early rehabilitation activities. Emergency prevention, preparedness and long-term rehabilitation should be funded through the TCP regional appropriation earmarked for development projects.

Emergency TCP projects should thus provide an immediate reaction to a disaster situation and be aimed at the early rehabilitation of the productive capacity of the rural communities and the provision of technical assistance to catalyse government or donor response.

In case of doubt as to whether a specific request should be considered TCP development or emergency assistance, a decision will be taken by the ADG-TC, upon consultation with the concerned FAOR, SRO or Regional Office (RO), as relevant, and with the Strategic Objective 5 team.

Criterion 3 – Country or Regional Priorities

Emergency TCP assistance is not subject to any priority setting process.

Emergency TCP assistance is not subject to any priority setting process, yet when possible, the emergency intervention funded by the TCP could relate to the country priorities expressed in the CPF.

Criterion 4 – Critical Gap or Problem

Emergency TCP assistance should be designed for very rapid response in support of interventions in thematic areas in which the Organization has a demonstrated comparative advantage.

FAO's emergency interventions through the TCP should support and mobilize expertise that no other player can handle more effectively within the required timeframe for addressing the crises. The proposed response should be adequate to the magnitude of the disaster and take into consideration agricultural cycle(s), ensuring that the required assistance (inputs in particular) will reach the beneficiaries in time.

Criterion 5 – Sustainable Impacts

TCP emergency assistance should be directed at the sustainable rehabilitation of productive activities and at technical cooperation to support effective government (or donor) responses. TCP-supported emergency and early rehabilitation assistance should be directed at interventions that increase the likelihood of additional donor and/or government resources being directed to immediate relief and longer-term rehabilitation. Repetitive assistance to address recurrent types of emergencies in the same country should be avoided and be redirected towards more lasting impact assistance for the prevention of and preparedness for these same emergencies.

TCP emergency interventions should promote sustainable and integrated approaches aimed at restoring production and agricultural systems in collaboration with the government and other entities that may be involved in the response activities. The project should ideally lead to additional resource partner funding and counterparts should have a clear plan for how they will follow up on the project.

The type of intervention requested should not have been provided in the country in the past in similar circumstances. This is to ensure that TCP funded interventions are sustainable and that the proposed interventions reduce vulnerability and impact of future similar disasters.

Criterion 6 – Scale and Duration

No TCP project should require a budget of more than USD 500 000 and should be completed within 24 months. The duration may be extended to 36 months, when justified, and on a case-by-case basis. The budget ceiling for a TCPf project is USD 200 000 per biennium which can be increased to a maximum of USD 300 000 per biennium subject to the agreement of the Regional Representative responsible for the regional allocation. A TCPf project should be completed within 24 months, but may be extended to 36 months, when justified, and on a case-by-case basis.

Given the emergency and early rehabilitation nature of TCP emergency interventions, these should normally not exceed 12 months. Rules on input composition of emergency TCP projects differ from those for development projects (further details can be found in Section 2.3 of Part Two).

Criterion 7 – Government Commitment

Requests for TCP assistance should include a formal commitment by government/s or regional organizations to provide all necessary inputs, staff and institutional arrangements to ensure the timely and effective start-up, implementation and follow-up of the requested TCP-supported assistance.

Requests for emergency TCP assistance should be signed at cabinet level (Minister, Permanent Secretary or similar) to ensure the government's commitment. However, in cases when a Level 3 emergency is declared by the Director-General of FAO, the requirement of a government request is waived and special procedures apply.

The government should nominate an NPC at no cost to the project that together with the TCP Coordinator should manage the project and coordinate project activities. NPCs should not receive any compensation from the TCP.

The national services or other partners should be ready to take responsibility for the distribution of the project inputs. The stakeholders should be ready to participate in the implementation of the project without being paid and/or compensated for this participation.

Criterion 8 – Capacity Building

TCP-supported emergency and early rehabilitation assistance should increase the capacity of the government and affected communities and households to either withstand, or respond to, similar shocks in the future, without resorting to external assistance.

Technical assistance should be foreseen by the project to strengthen beneficiaries' capacity to reduce their vulnerability to future disasters without resorting to external assistance. Counterparts and stakeholders should acquire the necessary skills during the course of the project to replicate its good practices and use its outputs.

Criterion 9 – Gender Sensitivity

TCP-supported assistance must be gender-sensitive in identification, design and implementation, in line with the Organization's Gender Plan of Action.

Equal participation of beneficiaries, irrespective of gender, age, ethnicity, social class or geographic location should be ensured. Starting from the needs assessment and targeting, the specific roles and priorities of men, women, boys and girls in access to productive resources and services, and their participation in decision-making should be reflected in project implementation. To monitor the gender-related impacts, sex-disaggregated data should be collected and analysed.

Criterion 10 – Partnership and Participation

Wherever possible, TCP-supported assistance should contribute to new or strengthened partnerships and alliances, including through co-financing, and should lead to the increased participation of food-insecure and poor men and women in key decision-making processes.

The beneficiaries and other stakeholders should be involved in the project formulation and in its implementation and follow-up. The project should activate new partnerships at the local level that could further serve as a collaborative model for future rehabilitation or prevention activities.

Chapter 3 – The TCP Facility (TCPf)

The TCPf aims at providing critical technical expertise and strengthening field programme planning and development processes. A TCPf project is an umbrella project (parent project) under which several requests for specific and very short-term assistance in any technical area falling within FAO's technical mandate (henceforth referred to as "TCPf component" or "baby project") can be addressed. TCPf cannot be opened to address emergency assistance.

The TCPf is governed by the TCP criteria for development assistance and adheres to the TCP general provisions. There can only be one TCPf per country, subregion or region, per biennium.

Funds provided under the TCPf are meant to respond to requests for technical assistance originating from one or more line ministries, national institutions¹², subregional or regional organizations.

The TCPf specifically aims at:

- rapidly solving a specific technical problem for which the expertise may not be immediately available within government services;
- formulating project proposals or documents in the areas of FAO's mandate, required for submission to potential funding sources, including to the TCP; and
- preparing background documents, or carrying out small sector- and subsector-related studies or assessments, as required by the government, including to facilitate field programme development and participation in related UN processes.

The TCPf is not meant to fund bridging activities between projects or to implement uncompleted activities foreseen under other TCP projects.

The ceiling for a TCPf umbrella project (parent project) is USD 200 000 per country, subregion or region, per biennium, however the budget for a TCPf component (baby project) cannot exceed USD 100 000. Subject to the availability of TCP resources for the country, subregion or region in question, and of uncommitted resources in the regional TCP allocation, it may be possible to obtain TCPf resources for a country, subregion or region up to USD 300 000. This can occur **if and only if the delivery against that TCPf approaches the USD 200 000 ceiling**, and only for components that will effectively start before the end of the biennium. The decision on the increase of the TCPf budget is made by the ADG/RR, on a case-by-case basis.

¹² With the endorsement of the appropriate line ministry, as required.

PART TWO

The TCP Project Cycle



Phase 1 – Identification

1.1 Alignment with the Strategic Framework

With the revised Strategic Framework, FAO reoriented its efforts in a more focused manner. All resources available under the integrated budget (assessed contributions and voluntary contributions) should support the achievement of results within the Strategic Framework. Against this background, the TCP is an important instrument available to support Members' priorities as expressed in the Strategic Objectives, Regional Priorities and/or initiatives as expressed in Regional Conferences and CPFs.

One of the principles for the implementation of the Strategic Framework is that FAO moves as rapidly as possible to a full programmatic alignment and convergence between programmes and projects in the Decentralized Offices and the Strategic Objectives' action plans and their results frameworks. All activities funded from the Regular Programme, TCP resources and voluntary contributions should converge and be aligned with the Strategic Objectives' action plans. CPFs identify the priorities that guide the mobilization of resources, including through the TCP. Therefore, at country level the alignment of the TCP to the Strategic Framework is ensured through the CPF process.

1.1.1 TCP pipeline in the CPF

During the CPF formulation phase, the FAOR should highlight, under the strategic priorities identified, those outputs and/or activities, which could be achieved through TCP assistance. Those outputs and/or activities constitute an indicative TCP pipeline that is included as an annex to the CPF document. For the use of the TCP at subregional, regional and interregional level, alignment to the Strategic Framework is ensured through consultation between the formulating unit (SRO and RO) and Strategic Objective teams, taking into consideration country priorities as expressed in the CPFs¹³.

¹³ Further information on the establishment of the TCP pipeline in the CPF can be found in the guidelines for CPF formulation and its related addendum. Available on the CPF intranet: <http://intranet.fao.org/cpf/65942/en/>

Therefore, it is important that during CPF formulation, the FAOR ensures that:

- the outputs and/or activities which could be achieved through TCP assistance are in the sectors or technical fields that present the most strategic areas for FAO's intervention and that a solid rationale for their choice is provided in the CPF;
- a prioritization exercise is undertaken together with the counterparts;
- information is obtained from the RO on the TCP resources that could be made available for the country during the biennium and/or for the given CPF programming cycle;
- during the CPF interdisciplinary technical and quality assurance review, the project proposals to be included in the pipeline are assessed by: (i) the relevant technical officers involved in the formulation of the CPF for the technical feasibility; (ii) the Strategic Objective focal points at regional level for alignment with the Strategic Framework and indication of the lead Strategic Objective Coordinator (SOC); and (iii) the ADG/RR for political sensitivity risks; and
- throughout the prioritization process of TCP project proposals, the TCP criteria are considered, in order to avoid the TCP pipeline process leading to the identification of high-priority projects that are not eligible for TCP assistance.

The pipeline of national TCP project proposals is included as a CPF annex, together with the TCP general provisions. This is approved by the Government and considered as substituting an official government request. For those projects that were not included in the CPF/TCP indicative pipeline, a government request is needed (see Section 1.1.2), unless during the CPF annual review the new project proposal is added to the pipeline agreed by the national authorities.

TCP project proposals included in the CPF annex go through the screening process described in Section 1.1.5.

1.1.2 Submission of a request for TCP development assistance

In cases where a TCP proposal for a national development project is not included in the CPF pipeline (but is still in line with the CPF priorities) and for subregional, regional and interregional TCP project proposals, an official request for TCP assistance is required.

An official request is a letter from a government, a group of governments or an intergovernmental organization. Unless arising from an FAO Regional Conference (as described below), requests for TCP assistance must be addressed and channelled to the head of the relevant FAO Decentralized Office responsible for liaison with the country or organization concerned (FAOR, SRC or ADG/RR). Requests can also be accepted that have been addressed to the Director-General or to the ADG-TC and routed to headquarters. Unless related to emergency or interregional assistance, these will be forwarded to the relevant decentralized office for further processing¹⁴. **Requests addressed to an FAO technical officer or ADG of a technical department cannot be accepted.**

The request for assistance should be submitted by the technical ministry concerned with the subject matter or by any other government entity officially designated to liaise with FAO on such matters, at cabinet level (Minister, Permanent Secretary or similar).

Requests for subregional, regional and interregional development assistance may be submitted through three modalities:

1. By FAO Regional Conferences¹⁵ on the condition that:
 - the assistance requested is clearly described in the Regional Conference report;
 - the request falls within the remit of the TCP and not within what would typically be considered an FAO Regular Programme activity; and
 - the request has been adequately prioritized.
2. By intergovernmental organizations of which FAO member countries are members, and which are recognized as such by FAO¹⁶, on behalf of all or some of their members. Such requests are submitted at the level of the Executive Head of such organizations and do not require further validation from individual governments.
3. By several governments when there are no established regional bodies or when governments seek to work together directly rather than through a regional organization. A request is required from all the governments that are to benefit from the project (except in the case of emergency projects, see below).

14 In countries where there is no accredited FAOR, national requests can be channelled through the UNDP Resident Representative or through the nearest SRO, RO or to headquarters, as appropriate.

15 Note that no other entity of the FAO governance structure may submit requests for TCP assistance.

16 If in doubt regarding the eligibility of an organization, contact the FAO Legal Office (LEG).

Requests for interregional projects should be received from an intergovernmental organization whose membership spans at least two of FAO's regions or by governments of member countries belonging to two or more regions. In the absence of a request from an intergovernmental organization, a request must be received from each of the governments of the countries interested in benefiting from the assistance.

High-income countries that are eligible for national, non-emergency TCP assistance on a full cost-recovery basis only, can also benefit: (i) from emergency assistance on a full grant basis; and (ii) from regional and subregional assistance on a full grant basis on the condition that the assistance also benefits one or several special attention or intermediate countries.

When a valid official request is received, the TCP Coordinator checks that the requested assistance:

- falls within FAO's technical expertise and Strategic Framework;
- is in line with the country, subregional, regional or interregional priorities; and
- adheres to TCP criteria and is therefore, eligible for TCP assistance.

Should these conditions be met, the TCP Coordinator goes through the screening process described in Section 1.1.5.

1.1.3 Submission of a request for TCP emergency assistance

Requests for TCP emergency assistance follow the same rules described for TCP development assistance in Section 1.1.2 except in the following cases:

- in cases when a Level 3 emergency is declared by the Director-General of FAO, the requirement of a government request is waived and special procedures apply;
- for subregional and regional emergency TCP projects, requests from at least three governments from the subregion or region are sufficient to trigger wider regional action, in particular in the neighbouring countries, if these are affected by the same emergency; and
- for interregional emergency TCP assistance, at least three requests, and at least one from each participating region, are required.

With the integration of emergency and development activities and the decentralization of emergency operations, TCP emergency assistance also follows the subsidiarity principle, i.e. it is the concerned TCP Coordinator (FAOR, SRC or ADG/RR) that manages TCP emergency projects at country, subregional or regional level respectively, in collaboration with the Strategic Objective 5 team at subregional or regional level.

When a valid official request is received, the TCP Coordinator in collaboration with the Strategic Objective 5 team at subregional, regional or global level checks that the requested emergency assistance:

- falls within FAO's technical expertise and Strategic Framework;
- adheres to the TCP criteria and is therefore, eligible for TCP assistance;
- is adequate to the magnitude and type of crisis;
- cannot be funded in a timely manner by other resource partners; and
- prepares and/or complements major initiatives or programmes foreseen for which resource partners are being approached or funds mobilized.

Should these conditions be met, the TCP coordinator goes through the screening process described in Section 1.1.5.

1.1.4 Opening of a TCPf pipeline

A national TCPf umbrella project (parent project) may be opened when:

- the proposed TCPf component (baby project) is included in the indicative pipeline of TCP projects in the CPF; or
- a government request for a TCPf component (baby project) signed at the cabinet level or by a lower, but still significant decision-making level of the same or other ministries, and related institutions, is received by the TCP Coordinator.

In the case of a subregional or regional TCPf, the request for the first component (baby project) should be submitted at the level of the Executive Head of a subregional or regional intergovernmental organization or at the ministerial level in each of the interested countries. A minimum of three countries should submit a government request to activate a subregional or regional TCPf.

Subsequent requests for TCPf components (baby project) that are not included in the indicative pipeline of TCP projects in the CPF, can be submitted, in writing, by a lower, but still significant decision-making level of the same or other ministries, and related institutions.

For opening of the first TCPf component (baby project) in a new biennium, the TCP Coordinator follows the related workflow in FPMIS to create a TCPf umbrella/parent project and subsequently creates the baby project for the first component.

1.1.5 Screening process

After having received a valid TCP request, the TCP coordinator prepares a Short Project Proposal (SPP) as per FAO's Guide to the Project Cycle. The SPP is submitted for screening regarding alignment with the Strategic Framework and priorities and assessment of political sensitivity risks as follows:

- for country level TCP projects, FAORs submit the project proposal to the relevant SRC for clearance on alignment to subregional and regional priorities and Strategic Framework with copy to the ADG/RR for clearance against political sensitivity risks;
- for subregional level TCP projects, SRCs take responsibility for alignment of the project proposal with regional priorities and the Strategic Framework and submit the project proposal to the ADG/RR for clearance against political sensitivity risks;
- for regional level TCP projects, ADG/RRs take responsibility for alignment of the project proposal with regional priorities and the Strategic Framework and for analysis against political sensitivity risks;
- for interregional level TCP projects, heads of headquarters technical units submit the project proposal to the relevant Strategic Objective Coordinator (SOC) for review of alignment to the Strategic Framework and political sensitivity. In case of doubt on potential political sensitivity, the SOC consults with DDO; and
- for interregional level TCP projects, SOCs take responsibility for alignment of the project proposal with the Strategic Framework and analysis against political sensitivity risks. In case of doubt on potential political sensitivity, the SOC consults with DDO. The SOC consults appropriately with FAORs and ADG/RRs regarding country/ regional dimensions of the project proposal.

Once the clearances described above are received, following the related workflow in FPMIS, the TCP coordinator proposes the lead SOC (or SOC regional focal point, as required) for the project, copying the Director, Office of Strategy, Planning and Resources Management (OSP). In case of doubt on the selection of the appropriate SOC, the Director, OSP is consulted.

For TCP emergency projects, fast track procedures apply, before requesting the clearances against political sensitivity and alignment to the SF, the TCP coordinator completes the SPP and the CN (see Section 1.2.4 below).

1.2 Development of the Concept Note

1.2.1 Appointment of the LTO

The TCP Coordinator contacts the lead SOC or the designated SOC regional focal point, proposing the appointment of the LTO, copying the supervisor of the proposed LTO, noting that the LTO is identified according to the principles of subsidiarity, proximity and technical competency. This proposal is endorsed by the lead SOC and the LTO's supervisor on a no-objection basis (i.e. the proposal is considered accepted unless a message to the contrary is sent within five working days).

In rare cases where arbitration is required in designating the LTO, this will be ensured by the ADG-TC after consultation with the ADG of the headquarters technical unit/s concerned, the relevant ADG/RR or SRC and the relevant SOC. In cases where the relevant headquarters technical unit does not have an ADG, this function will be ensured by the Deputy Director-General Natural Resources or by the concerned Head of Office.

To ensure the correct segregation of duties, the same staff member cannot perform the function of LTO and budget holder in the same project. These functions must be performed by different staff members. The LTO must ensure collaboration with other technical officers and the funding liaison officer of the PTF, in order to provide the most effective mix of skills and high standards of inter-disciplinarity throughout the project cycle.

Following the nomination, the LTO screens the project against environmental and social risks by completing the environmental and social screening checklist¹⁷.

1.2.2 First Technical Review

For those project proposals that were not included in the CPF annex of TCP project proposals, the appointed LTO reviews the technical feasibility of the project proposal and provides the TCP Coordinator with an opinion on the technical feasibility of the project, taking into account the TCP criteria and rules.

If the LTO does not consider the idea or proposal to be technically feasible, s/he informs the TCP Coordinator of the reasons of non-feasibility and the TCP Coordinator in turn informs the counterparts.

1.2.3 Establishment of the PTF

The PTF is established to ensure that the project is formulated in a technically coherent and consistent manner, compatible with the Organization's goals and

¹⁷ Please refer to the PC guide for additional information on this process.

policies. The TCP Coordinator establishes the PTF and chairs it with the LTO as alternate chair. The headquarters technical unit to which the LTO directly relates from a technical perspective, designates a headquarters officer as a member of the PTF who will provide usual lead backstopping to the LTO.

In identifying the other members of the PTF, attention must be paid to the possible need for involvement of other technical officers and/or officers responsible for cross-cutting issues (such as emergency, policy, investment, food security, climate change and gender). Particular attention should be paid to obtaining technical expertise that is not present within the subregional or regional technical teams (in particular for such topics as legal matters, trade, statistics, rural financing, insurance and marketing).

The TCP Coordinator is to invite the SRC, ADG/RR and/or the HQ units having the required expertise to designate a member of the PTF. The TCP Coordinator has to enter the names of the members of the PTF into FPMIS and keep this information updated at all times.

For TCP emergency assistance and TCPf components only the LTO needs to be identified while the requirement to establish a PTF is waived.

1.2.4 Concept Note

The PTF develops the CN.

The CN is submitted by the TCP Coordinator to the lead SOC and/or the SOC's designated representative in the region or at headquarters for clearance following the related workflow in FPMIS.

The lead SOC and/or designated SOC representative in the region reviews the relevance of the concept note (including alignment and strategic fit), its feasibility (including risk assessment) and sustainability (including adherence to UN standards and FAO policies).

1.2.5 Funds availability and change of status

Once the LTO is identified and PTF established, the TCP Coordinator enquires into the availability of funds (i) for TCP development assistance at country, subregional and regional level, with the RO; and (ii) for TCP development assistance at interregional level, with the TCP unit in HQ, confirming that the above-mentioned steps have been completed and that all relevant information in FPMIS is up-to-date. For TCP emergency assistance, after the LTO has been identified the TCP coordinator can contact directly the TCP unit in HQ to enquire about availability of funds.

The TCP Coordinator is required to ensure that there are no projects in the pipeline that cannot be funded in the foreseeable future (12 months). Should this be the case, the RO invites the TCP Coordinator to contact the counterpart to ascertain the relative priority of each project in the pipeline. Only projects with the highest priority will be retained in the pipeline.

Once these steps are completed, the TCP Coordinator can start the formulation of the project proposal.

Phase 2 – Formulation

The formulation phase should normally not exceed four to six weeks. Should a significant delay arise after the project has been included in the pipeline, the TCP Coordinator should inform the RO, at the latest after two months, confirming that the project is still under formulation, explaining what is causing the delay and documenting this explanation in the comments section in FPMIS.

2.1 Basic principles

The TCP project document constitutes the legal contract between FAO and the government counterpart. It specifies the agreement reached on the results to be achieved, the outputs to be produced, the expertise and other inputs to be provided by FAO and the contribution and participation expected by the government counterpart and other stakeholders. It is therefore, important that the document be as clear and unambiguous as possible.

The PTF takes full responsibility and is accountable for the soundness, completeness, operational and technical quality of the Project Document. The TCP Coordinator in collaboration with the LTO coordinates the preparation of the project document, using the Standard Project Document (SPD) format (template in Annex 2). S/he is also expected to facilitate the work of the technical officers by inserting relevant information required into the SPD, based on his/her knowledge of FAO and partners' past, ongoing and planned projects and programmes in the country. For the TCPf, the TCP Coordinator is responsible for the preparation of the TCPf component (baby project) description form (template in Annex 3).

The technical officers are responsible for formulating the technical contents of the project document. Should consultation with the government counterpart be needed during this process, this can be undertaken by the TCP Coordinator or by the technical officers directly, keeping the TCP Coordinator informed.

The government counterpart will designate the appropriate technical service/personnel or partner institution to collaborate with FAO in the formulation of the project. This counterpart must also be available for consultation and clarification throughout the formulation process and will facilitate the participation of all concerned stakeholders in the project. The project beneficiaries and stakeholders participating in and contributing to the implementation of the project must be identified and involved from the formulation of the TCP project.

The government counterpart is also responsible for developing mechanisms and creating the enabling environment that will ensure follow-up to the TCP project's outputs and activities after FAO's assistance ends. The counterpart, through the partner institution and the NPC, will take the lead in this follow-up.

TCP projects adopt the Logical Framework Approach in line with the introduction of Results-Based Management in the Organization. All TCP interventions must include a logical framework matrix detailing activities, outputs, outcomes and impact to be achieved during the project, together with an associated budget and outcome level performance indicators (to be reported in the terminal report).

The project document must be written in the official language of communication¹⁸ between FAO and the government counterpart and should, to the extent possible, follow the official FAO editorial standards (FAO house style)¹⁹. It is the responsibility of the TCP Coordinator to ensure that the project document is available in the required official language(s).

2.2 Gender analysis

The gender analysis²⁰ that the TCP Coordinator and the LTO have to perform during the project formulation addresses the roles and responsibilities of men and women benefiting directly or indirectly from the project, taking into consideration gender, age, ethnicity, social class and geographic location. Gender analysis should assess the specific needs of men and women in terms of their access to and control over productive resources and services, as well as their participation in decision-making. The analysis has to take into consideration the mandatory gender marker system as explained in this chapter.

A gender marker for the contribution of each TCP project (except for TCPf components) to the gender equality goals of the Organization must be indicated in FPMIS. The objective of these gender markers is to allow the Organization to retrieve information for monitoring and reporting on the incorporation of gender issues in TCP projects. Each TCP project has to be coded with one of the following gender markers:

18 http://intranet.fao.org/departments/cpa/protocol_services/official_correspondence/

19 http://intranet.fao.org/about_fao/faobrand

20 For guidance on gender analysis, please consult the FAO Socio-Economic and Gender Analysis Programme (SEAGA) Project Cycle Management Technical Guide <http://www.fao.org/docrep/012/ak211e/ak211e00.pdf>

Gender marker codes for TCP projects

Code	Description	Indicative Criteria	Examples
G-0	The project does not address gender equality	No potential to advance the cause of gender equality	<ul style="list-style-type: none"> • Global food price monitoring • Periodic update of Desert Locust Bulletin • Adoption of international trade agreements by countries
G-1	The project addresses gender equality only in some dimensions	<p>Gender is partially relevant</p> <p>Only some activities address gender equality in the project</p> <p>Some human and financial resources are devoted to addressing inequalities or women's empowerment</p>	<ul style="list-style-type: none"> • A food loss and waste programme includes one case study focusing on the implications of gender inequalities • Tools and technical materials to guide resilience and food vulnerability analysis including some gender dimensions • A project to build government capacity to control avian viruses develops also a strategy to involve women producers with low literacy levels
G-2a	The project addresses gender equality in a systematic way, but this is not one of its main objectives	<p>Gender is fully relevant, but not the main focus</p> <p>Gender is integrated (mainstreamed) in all relevant dimensions of the project</p>	<ul style="list-style-type: none"> • An impact assessment of food price changes generates and communicates the gender dimensions through sex-disaggregated data • A policy to invest in agriculture includes specific provisions to support women in agricultural production • A project to enhance smallholder returns by value-added processes addresses women's and men's specific roles in the production process
G-2b	The project addresses gender equality and/or women's empowerment as its main focus	<p>Gender is one of the main objectives</p> <p>Project specifically targets gender equality and/or women's empowerment</p>	<ul style="list-style-type: none"> • Stocktaking, analysis and dissemination of labour-saving technologies and practices in agriculture to reduce women's work burden • Strengthening fishing women's organizations to increase women's productivity and decision-making influence

2.3 Standards and policies for the input composition

Standards and policies apply to the type and quantity of inputs that can be provided by a TCP project. These standards and policies reflect the aim of the **TCP to provide technical expertise** and sustainable solutions and to build the capacity of project beneficiaries and **not to provide equipment and other material inputs**. Input details must be available in order to allow for the preparation of a realistic budget. It is the responsibility of the technical officers involved in the project formulation to advise on the quantity and quality of inputs required to implement the project. However, it is the responsibility of the TCP Coordinator to ensure that the input composition of the projects approved by him/her takes account of the below standards and policies, and that they are respected throughout the implementation.

The standards and policies for the input composition are²¹:

1. Cost effectiveness, i.e. the most cost effective solution should be sought. This means that:
 - partnership consultants (Technical Cooperation among Developing Countries [TCDC], Technical Cooperation between Countries in Transition [TCCT], retiree) should be preferred over international consultants at UN rates;
 - material inputs should be kept to the minimum necessary to implement the project;
 - the government counterpart should be requested to mobilize fully the expertise available in the national services and to contribute to the cost of workshops, training, etc.; and
 - travel and DSA costs for staff, consultants and counterparts should be kept at a minimum and modern means of communication used where possible.
2. Special daily reimbursement rates²² are applied to the Technical Support Services (TSS) provided by FAO staff contributing to TCP projects, irrespective of the grade of the staff member involved. The rate applied at the moment of reimbursement of TSS is the rate valid at that time, irrespective of the rate used at the time of preparation of the budget. TSS (whether provided from a Decentralized Office or from headquarters) is reimbursed as follows:
 - eight days standard TSS: for project formulation and standard tasks to be carried out during the implementation (clearance of consultant résumés, consultant reports, training programmes, etc.), are reimbursable to the unit of the LTO;

²¹ The rules regarding input composition that apply to the development TCP projects apply equally to emergency projects except for one main difference on input composition explained in this section. Guidance on the input composition is detailed in the Appendix of the Standard Project Document Template in Annex 2. Inputs allowed under the TCPf are detailed in Section 2.4.

²² This rate is updated every biennium by the Office of Strategy, Planning and Resources Management (OSP).

- three days standard TSS: for project formulation and standard tasks to be carried out during the implementation (clearance of consultant résumés, consultant reports, training programmes, etc.), are reimbursable to each of the other technical units involved; and
- specific TSS days: for specific tasks during the backstopping missions; the reimbursement is calculated per calendar day on mission using the same reimbursement rate; desk work days should be kept to a minimum and any desk work funded through the project must result in concrete and measurable outputs.

In cases where FAO cannot provide the technical staff to undertake the TSS work, FAO staff can be replaced, at the initiative of the FAO technical division concerned, by an external expert. In such cases, the honorarium of the expert is paid by the FAO technical division (not by the project), and the technical division is reimbursed by claiming the TSS.

3. Desk work by consultants should be kept to a minimum. Any desk work funded through the project must result in concrete and measurable outputs.
4. No salary payment or supplement can be made to the NPC or to any other counterpart staff contributing to, or being trained by the project. The release of counterpart staff to work as national consultants for the project is discouraged and should be considered only as a last resort when no other qualified candidates are available. Such arrangements should lead to specific outputs, well beyond what could be expected as the counterpart contribution to the project.
5. Consultants recruited under a TCP project should have technical Terms of Reference (TORs) and should not substitute for the NPC or the TCP Coordinator in terms of operating the project. Unless special circumstances apply (such as the absence of a full-fledged FAO Representation in the country concerned), the TCP should not fund consultants aimed at contributing solely or mainly to the operation of the project. This is the responsibility of the TCP Coordinator in collaboration with the NPC.
6. Long-term consultants (over six months) whether international, partnership or national should be avoided. The knowledge and expertise of consultants and other personnel should be transferred to counterpart staff. However, where support through a national consultant for a long duration is essential, when-actually-employed arrangements should be preferred, so that the consultant is funded by the project only when needed.
7. Inputs described as “contract” can include LOAs for technical services with specialized non-profit institutions, such as universities, civil society or non-governmental organizations. Clear TORs must be established with these institutions to determine the services or inputs to be provided and the expected results and conditions that such contractual arrangements

entail. Such contracts are governed by FAO Manual Section 507 on Letters of Agreement.

Contracts with for-profit companies for the provision of services are governed by the FAO Manual Section 502 on Procurement.

Contracts established with individuals recruited by the project are covered by the budget line for “consultants”.

Contracts cannot be established with the project’s national implementing/beneficiary institution to offset what should be part of the counterpart’s contribution.

8. For national projects, a maximum of **three persons** can go on study tour for a maximum of one month to a maximum of two countries. For subregional and regional projects a maximum of **five persons** in total (but not more than one per country) can go on study tour for a maximum of one month to a maximum of two countries. Participants in study tours are provided with DSA at UN rates, taking into account any arrangements for accommodation and meals, as per standard FAO regulations, that would lead to a reduction in the DSA rate. Benchmark fees may apply at the institution/organization accepting the study tour participants.
9. Regional training and workshops, organized in any of the beneficiary countries of subregional and regional projects, can be attended by **two non-staff travellers** per beneficiary country at the cost of the project. While a maximum of two participants is preferable, the ADG/RR has the authority to approve the participation of up to **three non-staff travellers** per beneficiary country if considered essential for achieving the project’s outputs. In addition to the non-staff travellers, the national consultants hired under the subregional or regional project can also participate at the regional training and workshops as resource persons, if technically justifiable. Organizing a subregional/regional training or workshop is also allowed at the location of the operating unit, if proved to be cost-efficient.
10. Travel and per diem costs related to in-country training and workshops should be a government contribution. Only if unavoidable should such costs be funded by the project. This would require a specific justification from the counterpart institution. Per diem rates should be those used by the counterpart and not those that apply to UN staff or international consultants. However, if the UN Country Team has officially agreed to apply a rate to nationals attending in-country training events that differ from the one used by the counterpart, then the former rate should be applied.
11. Trainees should not be paid to participate in training events, except to compensate them for travel costs as mentioned in the previous paragraph.
12. No vehicle or any heavy equipment should be procured unless absolutely essential for the implementation of the project. The TCP project should not procure more than one vehicle, every other biennium, for a given country and only if essential for the implementation of a project. While

other equipment will be handed over to the government at the closure of the project, any vehicle will remain the property of FAO for use by another TCP project. Provision or replacement of standard equipment (e.g. means of transport, office equipment, standard laboratory equipment, etc.) or investments in basic infrastructure/facilities of the counterpart cannot be supported with TCP funding. The maximum amount of the budget that can be allocated for expendable and non-expendable equipment would normally not exceed 30 percent and only as required for the implementation of the project related to training activities. In most projects, this share should be significantly lower, as it is not the aim of a TCP project to provide the counterparts with equipment and supplies but to provide technical expertise.

13. For TCP emergency projects, the share of expendable and non-expendable equipment and supplies **can exceed 30 percent**. However, it is recalled that the FAO Council in November 2005 endorsed a recommendation to “progressively shift the main emphasis of emergency TCP projects towards technical assistance and away from the provision of material inputs”. Thus, the provision of material inputs should be kept to the lowest level possible and should be accompanied by appropriate technical assistance that would strengthen the capacity of households to reduce their vulnerability to future disasters and facilitate the transition to development.
14. An amount must be budgeted for finalization of the terminal report by the Reports Group in HQ. This amount increases by approximately USD 50 per year and is calculated based on **the expected end-date of the project**. The reporting budget for a project ending in 2015 is thus USD 2 400, in 2016 USD 2 450, etc. This amount cannot cover any other reporting costs related to the project.
15. A maximum of **5 percent** of the total budget (without the Project Servicing Cost [PSC]) can be budgeted for General Operations Expenses (GOE). The GOE are not intended to cover the running costs of the office of the TCP Coordinator. Any requirements for GOE above 5 percent must be well justified in the project document.
16. The inclusion of PSC is mandatory and is 7 percent of total net budget.

Input requirements may change in the course of implementation, however, identifying the expected inputs with precision at the project formulation stage and reflecting them in the project document facilitates implementation and provides a greater level of transparency in the project.

If the identified inputs needed for project implementation do not comply with these standards and policies, then the TCP is not the appropriate funding source for the project, and alternatives should be identified.

2.4 Inputs allowed under the TCPf

The TCPf can be used to provide the following inputs or services:

- national consultants (honorarium, DSA and in-country travel);
- partnership consultants (TCDC/TCCT and retired experts) (honorarium, DSA, international and in-country travel);
- international consultants (honorarium, DSA, international and in-country travel). In the interest of cost-efficiency, this type of consultant should be used only if no partnership consultant can be identified;
- TSS for specific task only (at standard rates established for TCP projects; DSA; international and in-country travel);
- contracts including LOAs with non-profit institutions, universities, civil society or non-governmental organizations, related to the provision of technical or advisory services;
- in-country training and workshops, including unavoidable costs related to transport and accommodation of participants. Training and workshops can only be funded if they are closely related to other activities implemented under the component. The TCPf cannot be used for funding costs related to workshops, training events or any other meetings that are not organized by FAO in the specific context of the TCPf project;
- subregional and regional training and workshops can be funded in the context of subregional or regional TCPf projects, although attention is drawn to the cost of such events;
- GOE to cover communications, printing and renting of vehicles related to project implementation, etc. (the GOE should not exceed 5 percent of the total budget of the component minus the PSC); and
- inclusion of PSC at the established rate is mandatory.

The TCPf cannot be used to cover:

- the establishment of posts;
- travel allowances for government staff (except for participation in workshops and training events as described above);
- study tours or other international travel except as indicated above;
- the procurement of expendable or non-expendable equipment and supplies;
- administrative costs and other operating costs of the office of the TCP Coordinator which are not directly related to the implementation of the TCPf (GOE);

- administrative costs or other operating costs of government agencies; and
- standard TSS.

2.5 Budget

The budget is prepared and finalized by the TCP Coordinator based on the input requirements indicated by the technical units involved, and on his/her own knowledge of relevant costs in the country. The budget must be prepared using the FPMIS results-based budget module. Efforts should be made to avoid significant over- and under-budgeting.

Under-budgeting may lead to a need for additional allocation of resources during implementation. These may not be available at that time and may, therefore, result in a reduction in the scope of the project or in the failure to achieve one or more outputs.

Over-budgeting may lead to the project not being eligible for TCP assistance (Criterion 6), or to a need to postpone approval until the next biennium because of lack of resources in the regional allocation. Further, substantial quantities of uncommitted funds at project closure do not allow for sound management of TCP resources at regional and global levels. For this reason, it is important that the formulation process leads to precise information on the inputs required for the implementation.

Project resources can be used solely for the provision of technical assistance services and limited procurement of inputs as described in the project document. **The commitment of FAO is limited to the provision of technical inputs and not to the delivery of a specific budget amount.** Therefore, if project outputs are achieved with fewer inputs than foreseen, the unspent funds are returned to the TCP appropriation (through a budget revision) and become available for the approval of other projects.

While the TCP Coordinator and FAO technical officers share the responsibility for ensuring cost-effectiveness in project implementation, the TCP Coordinator is responsible and accountable for ensuring that the use of project resources is in accordance with FAO rules and regulations and financial procedures.

The approved budget is fully fungible, except for the PSC and reporting costs, on the condition that the standards and policies on input composition continue to be respected.

No TCP project should require a budget of more than USD 500 000 and should be completed within 24 months. The duration may be extended to 36 months, when justified, and on a case-by-case basis.

2.6 Clearance for Environmental and Social Risks

Each TCP project is screened for the risks/ negative impacts based on the available information and using the environmental and social screening checklist intended to guide the LTO in classifying the project as either low, moderate or high risk based on FAO environmental and social standards. For projects with budget of USD 100 000 and above that are classified as medium or high risk during the project identification phase, the LTO must obtain clearance from the Environment and Social Management Unit (ESMU). Projects that are classified as low risk during the identification phase are not sent to ESMU clearance.

2.7 Technical Clearance

Each TCP project must be technically cleared by the LTO.

Projects that envisage the local or international procurement of seeds and planting material, veterinary medicines, or agricultural chemicals, such as pesticides and herbicides, must be submitted by the LTO to the concerned technical unit(s) at headquarters for formal clearance to procure such items.

Phase 3 – Appraisal and Approval

The Project Appraisal and Approval phase covers the required corporate technical reviews and quality assurance processes that enable the FAOR to provide final approval to the project.

3.1 The appraisal process of TCP development projects

Once the project has been formulated it has to go through the quality assurance review ensuring that clearance against environmental and social risks has been provided by the ESMU (for moderate and high risk projects only) and technical clearance has been provided by the LTO. The quality assurance review comprises the following two elements:

- operational clearance²³; and
- adherence to TCP criteria.

3.1.1 Operational clearance

When project formulation is finalized, the project document should be reviewed by the prospective budget holder (usually the FAOR) to provide operational clearance. The budget holder reviews the project using the operational clearance checklist, including:

- the logic of the intervention (outcome, outputs, inputs);
- the work plan and the budget;
- the conformity of the project document to the SPD and overall coherence; and
- the adherence to the input composition standards and policies.

Operational comments through the operational clearance form are integrated in the project document before technical clearance.

3.1.2 Adherence to TCP criteria

For TCP development projects the appraisal of the project against TCP criteria is done by the TCP Coordinator. The appraisal is reviewed and endorsed by the TCP Regional Programme Officer for TCP projects at country and subregional level or by the relevant Programme Officer in the TCP unit in headquarters for TCP projects at regional level, following the subsidiarity principle.

²³ The operational clearance form is available on the TCP web site www.fao.org/tc/tcp

Once the clearances have been obtained and uploaded in FPMIS, the TCP Coordinator appraises the project document against the TCP criteria using the TCP Appraisal Sheet (TAS) in Annex 5. When completed, the TAS is submitted to the TCP Regional Programme Officer for national and subregional projects, or to the relevant Programme Officer in the TCP unit in headquarters for regional and interregional projects²⁴, for review and endorsement.

By submitting the project document and the TAS, the TCP Coordinator is certifying that the project conforms to the TCP criteria, input standards and policies, and is considered ready for his/her approval.

The TAS review process supports the TCP Coordinator by providing guidance and suggestions to redress any major weaknesses in the project. Therefore, the review process does not reduce the responsibility or accountability of the TCP Coordinator for the quality of the project document and its conformity with the Organization's standards and policies.

Upon receipt of a TAS and the accompanying project documentation, the TCP Programme Officer should complete the review within seven working days. Should the documentation provided be incomplete, the submission is returned to the TCP Coordinator.

The review process:

1. reviews the analysis of the TCP criteria carried out by the TCP Coordinator as reflected in the TAS;
2. verifies that all of the required clearances have been obtained;
3. verifies the adherence to the TCP standards and policies of input composition; and
4. verifies the conformity of the project document to the SPD and its overall coherence.

Should any issue arise in the course of the review, both the original problem and the clarification received should be recorded in the TAS. This will also facilitate the collection of lessons learned and the detection of recurrent problems.

Following the review of the TAS, the TCP Programme Officer can:

- endorse without comments;
- endorse with comments aimed at providing advice to the TCP Coordinator and others involved in the formulation on how to improve the project document; or
- not endorse, clearly explaining her/his decision.

²⁴ Responsibilities in the TCP unit in headquarters are divided geographically. For additional information on the names of the Programme Officers in the TCP unit in headquarters and their geographic areas of responsibility, please visit the TCP web site www.fao.org/tc/tcp

Efforts should be made to solve any issue preventing the endorsement of a project. However, should the non-endorsement be unavoidable, advice through the TAS should be provided on how to address the issues preventing the endorsement of the project and inviting the TCP Coordinator to submit a revised project document together with a revised TAS, once the issues identified have been addressed.

Should the project proposal be rejected a second time, the TCP Coordinator may appeal the decision to the ADG/RR (for national and subregional projects) or to the ADG-TC (for regional projects). Such an appeal should be made within seven working days of receipt of the second non-endorsement.

Once the review is completed, the RO uploads the endorsed TAS to FPMIS and transmits it to the TCP Coordinator for finalization of the project document. Simultaneously, the RO changes the project status to “Final Consultation” (P3 status). If the project proposal was rejected, the TCP Coordinator must inform the RO whether a revised project document and TAS will be submitted or whether the request should be closed.

In the case of a project revision (see Section 4.3.4) that implies significant changes to the project document and results, the process as described above must be repeated.

3.2 The approval process of TCP development projects

Upon receipt of the endorsed TAS, the TCP Coordinator must review and address comments raised. The response may include:

- further consultations with the counterparts or the technical officers concerned;
- revision of the project document or the budget; and/or
- a decision to act on the comments during implementation.

The TCP Coordinator will be held accountable for the manner in which the comments from the TAS are taken into account in the project document and during the implementation.

The TCP Coordinator includes the relevant project qualifiers²⁵ in FPMIS and finalizes the project document and the budget using the results-based budget module in FPMIS. The budget, in Oracle format, is extracted from FPMIS and inserted into the project document.

²⁵ Gender qualifier (Section 2.2) and a qualifier for distinguishing between development and emergency projects (“Support to development” or “Emergencies”).

The TCP Coordinator uploads the project document to FPMIS, submits the budget through FPMIS for endorsement and allocation of funds and informs the ADG/RR and the TCP Regional Programme Officer that s/he has approved the project document. On this basis, the RO prepares and the ADG/RR signs the memorandum designating the TCP Coordinator as the budget holder for the project and allocating the funds for the implementation of the project, as approved by the TCP Coordinator.

The RO uploads the scanned memorandum of designation of budget holder responsibility and endorses the budget in FPMIS, which changes the project status to “Operationally Active”.

When the designation memorandum has been received, the TCP Coordinator officially informs the counterparts that s/he has approved the project. The TCP Coordinator then signs the project document on behalf of the Organization, and organizes for the counterparts to sign the project document. The signed project document is sent to the ADG-TC for the Organization’s records and is scanned and uploaded to FPMIS²⁶.

The approval authority and the related responsibilities over the approval process for TCP projects are placed at the decentralized level closest to the project’s implementation. This aims to bring the process as close as possible to the users and to promote timely approval. However, it is important that the quality of approved projects be safeguarded.

3.3 The appraisal and approval process of TCP emergency projects²⁷

The appraisal process for emergency projects at all levels (national, subregional, regional or interregional) follows the same process described above for TCP development projects with regard to operational and technical clearances to be obtained, yet in view of the urgency of TCP emergency projects that address only response and early rehabilitation activities, the TAS requirement is waived.

TCP emergency projects are submitted by the TCP Coordinator to the relevant Programme Officer in the TCP unit in headquarters²⁸ for appraisal and on forwarding for approval to the ADG-TC. The submission should include operational and technical clearances as well as any other document deemed required to support the request (government emergency declaration; emergency assessment; etc.).

26 *If the project proposal is part of the CPF annex of TCP project proposals of the signed CPF document that also included the TCP general provisions, project implementation can start without a formal counter signature of the project agreement, should this procedure be acceptable at national level.*

27 *This procedure also applies to TCP development projects at interregional level.*

28 *Responsibilities in the TCP unit in headquarters are divided geographically. For additional information on the names of the Programme Officers in the TCP unit in headquarters and their geographic areas of responsibility, please visit the TCP web site www.fao.org/tc/tcp*

The Programme Officer in the TCP unit in headquarters assesses the project proposal against TCP emergency criteria. If required, s/he liaises with the TCP Coordinator and/or PTF members for any required adjustment to the project proposal. Through this consultation process the project document and the budget (using the results-based budget module in FPMIS) are finalized. The budget, in Oracle format, is extracted from FPMIS and inserted into the project document. At this stage the project status in FPMIS is changed to “Final Consultation” (P3 status).

When the project proposal is deemed as meeting TCP emergency criteria, the Programme Officer in the TCP unit in headquarters compiles a short appraisal note that:

- provides a short summary of the project proposal;
- describes how the project proposal meets the TCP emergency criteria;
- certifies that the required operational and technical clearances were received; and
- gives her/his advice on the endorsement of the project.

The appraisal note together with the project document is submitted to the ADG-TC for approval.

Once the ADG-TC approves the project, s/he:

- signs the memorandum designating the TCP Coordinator as the budget holder for the project; and
- signs the letter to the government notifying them of the approval of the project, on behalf of the Director-General.

The Programme Officer in the TCP unit in headquarters:

- uploads the final project document to FPMIS as well as the scanned memorandum of designation of budget holder responsibilities;
- endorses the budget through FPMIS which changes the project status to “Operationally Active”; and
- informs the TCP Coordinator that the ADG-TC has approved the project.

When the TCP Coordinator receives the designation memorandum, s/he then signs the project document on behalf of the Organization, and organizes for the counterpart to sign the project document. The signed project document is sent to the ADG-TC for the Organization’s records and is scanned and uploaded to FPMIS.

3.4 The appraisal and approval process of a TCPf

The appraisal of the TCPf component (baby project) is to be done by the TCP Coordinator as part of the TCPf component description preparation (template in Annex 3).

Following the appraisal of the TCPf component, the TCP Coordinator approves the TCPf component, uploads the relevant documents to FPMIS, submits the budget through FPMIS for endorsement and allocation of funds and informs the ADG/RR and the TCP Regional Programme Officer that s/he has approved the TCPf component. On this basis, the ADG/RR signs the memorandum designating the TCP Coordinator as the budget holder for the TCPf project allocating the funds for the implementation of the project as approved by the TCP Coordinator²⁹. The RO uploads the scanned memorandum of designation of budget holder responsibilities and endorses the budget in FPMIS, which changes the project status to “Operationally Active”. The TCP Coordinator informs the government of the approval of the project.

The TCPf will appear in the FPMIS as a TCPf umbrella project (parent) while each TCPf component will appear as a baby project under the parent. For effective monitoring of expenditure, each TCPf component will be assigned an oracle activity code. **Budget fungibility** between TCPf components belonging to the same TCPf umbrella project is possible through formal budget revisions.

Once a TCPf umbrella project (parent project) has been opened, the budget can be replenished to accommodate new component(s) (babies) based on the above mentioned procedure.

If a budget increase (or decrease) becomes necessary for a component that is already approved, a revised budget is transmitted to the RO using the FPMIS results-based budget module amending the budget lines for the given component, as required.

Resources allocated under a TCPf in a given biennium can be carried over for expenditure in the following biennium, in order to complete activities foreseen. However, no new component can be approved under a TCPf project in the biennium after the one in which the project was approved except to utilize any uncommitted resources from components approved during the previous biennium. Requests for assistance under the TCPf in the new biennium should be addressed through the opening of a new TCPf project.

²⁹ The memorandum designating the TCP Coordinator as the budget holder for the TCPf project is done only when the first TCPf component is approved.

Phase 4 – Implementation and Monitoring

In this phase, implementation of the project work plan and budget is carried out to ensure effective management for results. The implementation and monitoring phase starts when the project is declared “Operationally Active”. This phase includes the following steps:

1. Inception
2. Implementation
3. Monitoring and reporting

Phase 4 of a TCP project follows the same steps as for any other FAO project, including the role to be played by the PTF composed, *inter alia*, of all the technical officers involved in the project.

4.1 Inception

Project implementation may begin as soon as the TCP Coordinator officially informs the counterpart that s/he has approved the project and that the project has been declared “Operationally Active”. The TCP Coordinator then signs the project document on behalf of the Organization, and organizes for the counterpart to sign. The signed project document is scanned and transmitted to the RO, where it is uploaded to FPMIS, and the original is sent to the ADG-TC for the Organization’s records.

The TCP Coordinator convenes the first PTF meeting to operationalize the work plan. The PTF must review the work plan and budget to ensure its sound implementation in accordance with the project document.

The TCP Coordinator will, usually, be the designated budget holder for the approved project.

4.2 Implementation

Implementation involves the management of inputs and resources i.e. human resources, procurement, travel, training and contracts, and ensuring sound financial, technical and operational management to carry out project activities and achieve project objectives.

Corporate rules on inputs management as outlined in the FAO Manual and the FAO Handbook apply to TCP projects, while taking into consideration the standards and policies for the input composition requirements of TCP projects as outlined in Section 2.3 of this Manual.

During project implementation, the TCP Coordinator must ensure that funds are available before any expenditure is authorized in line with TCP rules and regulations.

The TCP Coordinator is fully accountable for the funds entrusted to him/her and for accurately recording transactions in FAO systems.

4.3 Monitoring and reporting

4.3.1 Monitoring

Monitoring and reporting are all integral features of managing for results. The purpose of monitoring is to ensure proactive management for results and to support efficient and effective implementation of the work plan and budget.

The TCP is part of FAO's Regular Programme and its use and management is regularly reported to member countries. The Organization is committed to providing the Governing Bodies with regular reports and ad hoc information on the TCP, including on:

- levels of approval and expenditure;
- respect for the TCP criteria;
- type of assistance;
- linkage with the Strategic Framework; and
- impact of projects, etc.

In order to fulfil this commitment, the ADG-TC will monitor closely the completeness, timeliness and quality of the information regarding the TCP entered into FPMIS by the Decentralized Offices and will take action to redress any problems related to information management.

The monitoring aims at facilitating timely and cost-effective implementation, including identification of issues and problems for corrective action by the project management at all levels.

The TCP Coordinator is responsible for ensuring full transparency in the utilization of project funds, e.g. by encouraging clear and unequivocal descriptions of expenditures that allow for easy monitoring of project transactions in the Global Resource Management System (GRMS) and by keeping records of all decisions taken during project implementation.

Progress towards the planned outputs and outcomes is monitored by the TCP Coordinator and by the PTF.

The workplan, budget, results matrix and risk matrix are a set of integrated tools for planning and management including monitoring, performance assessment and reporting. These integrated tools are dynamic and as such need to be regularly reviewed and, if necessary adjusted to enable the project to deliver agreed results. TCP Coordinators are encouraged to monitor the implementation of activities according to the project Annual Work Plan and on a quarterly basis.

The continued adherence to the input composition rules of the TCP (including but not limited to the share of supplies and equipment, procurement of vehicles, number of participants in study tours, use of international consultants versus partnership and national consultants) will be monitored by the dedicated TCP staff at the ROs, supported by the TCP Team at headquarters.

4.3.2 Project extension

The duration of a TCP project should be realistically assessed at the time of the formulation and approval of the project. The TCP Coordinator is responsible for the implementation of project activities within the stated duration.

While implementation should start as soon as the TCP Coordinator has been designated as budget holder, delays may occur between the official starting date of the project and the first activities leading to financial transactions. If this delay is significant, the TCP Coordinator may submit a request through FPMIS to the RO for endorsement to rephase the project entry-on-duty date (EOD) to the month of the first financial transaction and rephase the not-to-exceed date (NTE) commensurately to ensure unchanged total duration. Such a rephasing can only occur once.

Should unavoidable delays occur during implementation, an extension up to 24 months can be requested by the TCP Coordinator, in consultation with the PTF and the counterparts. The request for extension including a short justification and a revised work plan is submitted through FPMIS to the RO for endorsement.

In exceptional cases if 24 months does not suffice to complete the planned activities, a request from the TCP Coordinator for an extension beyond 24 months, up to a maximum duration of 36 months, may be accepted by the ADG/RR for development TCP projects at country, subregional and regional level or by the ADG-TC for emergency TCP projects and interregional projects. Such a request must be based on a detailed explanation of the reasons for the delay and a revised work plan provided by the PTF in consultation with the counterparts. In making his/her decision, the ADG/RR or ADG-TC, depending on the type of assistance, takes into account such possible causes for the delay as unfavorable weather conditions, the socio-political situation of the recipient country or region, and operational or technical problems within FAO. If the delay is due to absence of ownership or

participation by the counterparts in project activities, the ADG/RR or ADG-TC must consider whether the extension is likely to improve the situation or whether the project should be closed.

If the extension beyond 24 months is granted, the TCP Coordinator and the PTF must ensure that all necessary actions are carried out to lead the project to speedy completion. They must also prepare the counterpart to take over its outputs and to ensure its sustainability.

The justification for the extension beyond 24 months is uploaded to FPMIS by the TCP Coordinator at the time of submitting the request for endorsement through FPMIS.

An extension beyond 24 months cannot be accompanied by the addition of outputs not foreseen in the original project document as it is only intended to allow for the completion of activities to reach the planned outputs.

Note that an extension beyond 24 months and up to 36 months is not always possible due to FAO Financial Regulation 4.3. This Regulation entails that all TCP projects funded against the appropriation of a given biennium must be expended by the end of the following biennium. If the proposed extension is not possible due to FAO's Financial Regulations, then a Phase II may be approved by the ADG/RR on a case-by-case basis to allow completion of the remaining activities (see Section 4.4).

TCP projects should be completed within 24 months and must be designed in such a way that this duration is realistic. Extension beyond 24 months is not an entitlement, it is at the discretion of the ADG/RR or ADG-TC and may be refused.

4.3.3 Budget revision, budget increase or decrease

The allocated project budget is fungible and can be adjusted by the TCP Coordinator, except for the PSC and resources allocated for the standard reporting costs. There is thus no need to submit a formal budget revision to reallocate resources between budget lines, except if the TCP Coordinator so wishes. Such a request can be submitted by the TCP Coordinator through FPMIS results-based budget module to the RO for endorsement and posting in GRMS. However, adjustments to the input structure need to take full account of the special rules of the TCP regarding input composition (see Section 2.3), and adherence to these rules will be monitored. It should be noted that there is no flexibility to exceed the approved budget.

A formal budget revision is mandatory only when additional financial resources are required or if fewer resources than originally foreseen are needed. To obtain an increase (or decrease) in the budget, the TCP Coordinator submits the request for

a budget revision using the results-based budget module in FPMIS. In preparing the revision, the TCP Coordinator obtains the clearance of the LTO as a minimum, ideally of the entire PTF. Evidence of the clearances must be uploaded to FPMIS before the ADG/RR or ADG-TC, depending on the type of assistance, can take a decision on the request for additional funding. The ADG/RR or ADG-TC takes a decision on the revision, based on the justification provided, and the situation of the regional allocation. If approved, the Finance Team at headquarters is informed of the revision through FPMIS.

A budget increase for a project having exceeded 24 months can be considered only if objectively verifiable cost increases can be identified or if additional activities are required to reach planned outputs.

4.3.4 Project revision

During the course of the implementation of a project, the PTF and the counterparts may conclude that a change in the project outcome and/or outputs is necessary, which could have implications on the adherence to the TCP criteria. Should this occur, the TCP Coordinator takes the initiative to prepare a short document describing the changes required, and carries out the analysis of these changes against the TCP criteria, and other TCP standards and policies using the TAS. This document and the TAS are presented to the relevant TCP Programme Officer for endorsement of the proposed changes.

4.3.5 Reporting

Each project is concluded with a terminal report that is prepared by the TCP Coordinator with technical inputs from the LTO and other PTF members. The budget holder should ensure that this report is produced in a timely manner. The terminal report, which must be submitted to the government at ministerial level within three months of completion of project activities, informs the government of the project's major achievements and recommendations. The draft terminal report may be prepared by a consultant involved in the project (if so, this should be mentioned in the project document and in the consultant's TORs). It should not be requested from the NPC who represents the counterparts and to whom the recommendations contained in the document will ultimately be directed. Once finalized by the LTO, the TCP Coordinator reviews and submits the terminal report to the Reports Group at headquarters for processing. The finalized document should be submitted to the counterparts by the FAOR, SRC or ADG/RR as appropriate.

Terminal reports include scorecards to assess the relevance, achievement of results and sustainability of TCP projects. Therefore, the submission of a terminal report is considered as fulfilling the Ex-Post Assessment requirements.³⁰

³⁰ The terminal report template is available at http://intranet.fao.org/faohandbook/area/projects/phase_4_implementation_and_monitoring/resources/

The reporting requirements of TCPf projects are different from that of the non-TCPf projects as they do not entail the submission of a terminal report to the Reports Group at headquarters for processing and finalization. Each request addressed in the context of the TCPf should result in one or several outputs. One output should be a document (e.g. a technical report, a project proposal for TCP or extra budgetary funding, a planning framework, or a draft legislation).

This document should be in a format approved by the TCP Coordinator and/or the FAO technical officers concerned, prior to the commencement of the activities. When finalized and technically cleared, this document should be transmitted by the FAOR, SRC or ADG/RR, as appropriate, to the relevant government authorities, or to the concerned subregional or regional organization. It should also be sent to the FAO technical officers concerned and to the relevant SRO and RO. The technically cleared document should then be uploaded by the TCP Coordinator in FPMIS (under the project documentation of the respective baby project). At the same time, the TCP Coordinator is requested to complete Annex 4 "TCPf Output Description" and upload it to FPMIS. The TCP Coordinator initiates these specific procedures for closing each baby approved in the context of the TCPf.

Within eight weeks of the finalization of the last component, the TCP Coordinator is responsible for the preparation of a concluding letter or short report on the use made of the TCPf and the outputs produced. After obtaining clearance from the technical units involved in the project, as required, the FAOR, SRC or ADG/RR should address this letter/report to the government, subregional or regional organization, as appropriate, with copy to the SRO, RO and technical division(s) concerned. The concluding letter/report is sent to the Reports Group at headquarters for uploading in FPMIS. If several ministerial entities received assistance under the TCPf, the FAOR, SRC or ADG/RR may wish to channel the letter/report to the main addressee for communications from FAO, as per the official channels of communication³¹, with copy to other concerned entities.

Following submission of the concluding letter/report, the TCP Coordinator completes the operational closure form and the financial closure form for submission to the Office of Support to Decentralization (OSD) and the Finance Team, respectively, as for all other TCP projects.

31 http://intranet.fao.org/departments/cpa/protocol_services/official_correspondence/

4.4 Phase II projects

If particular circumstances have delayed project implementation and, as a consequence, the agreement between FAO and the counterpart, as reflected in the project document, cannot be fulfilled, a Phase II modality may be used. Phase II projects are TCP projects that have been approved to complete activities and outputs that could not be achieved during the maximum duration allowed or possible for a TCP project. Phase II projects are exceptions that should be used sparingly. A Phase II project should not be approved if only minor sections of the activities could not be completed, with limited implications or risk to the sustainability of the project (i.e. when the counterpart should be in a position to complete the outputs without further assistance).

As a Phase II project is usually funded through the regional allocation of the ongoing biennium, the approval of such a project reduces the availability of resources to the concerned country, subregion or region for any new TCP projects.

There is no need for an official request for the Phase II project. It is left at the discretion of the TCP Coordinator to decide whether the counterpart should be officially informed of the approval of the Phase II project.

A Phase II project can only be used to reach the stated outputs of the original project document and no new outputs should be included. The budget of the Phase II project should not exceed the unspent balance of the original project, except as required to achieve the planned outputs and taking account of cost increases. A Phase II project must be completed expeditiously.

Under no circumstances can a Phase II project be followed by a Phase III.
Under no circumstances can a TCPf be granted a Phase II.

The TCP Coordinator can request a Phase II project through the following process:

1. Prepare a brief note (form available in Annex 6) in consultation with the PTF on:
 - a. what was accomplished during the implementation of Phase I;
 - b. the activities and outputs still to be completed;
 - c. the reasons for the delay in implementation; and
 - d. the measures taken to ensure that the remaining activities will be implemented quickly.
2. Consult the ADG/RR regarding the availability, in principle, of resources for the Phase II project in the regional TCP allocation³² along with the note, the work plan and the budget.
3. Prepare and submit a final budget revision equalizing the budget of Phase I to actual expenditures in FPMIS for endorsement by the RO.
4. Request the project's operational closure using the appropriate form.
5. Request the project's financial closure using the appropriate form.
6. Open a Phase II project in FPMIS.

³² Note that this is not a given as the biennium of funding of the Phase II is not the same as the biennium of funding of the Phase I. The unspent resources from the Phase I are not transferred to the Phase II and all the resources for the Phase II must be identified from within the regional allocation of a different biennium.

Phase 5 – Evaluation

According to the charter for the FAO Office of Evaluation (OED), it is FAO policy that all the work carried out by the Organization is subject to evaluation, regardless of the source of funds.

Evaluation of TCP projects is usually undertaken by OED in the context of thematic or country programme evaluations aiming to determine the relevance, impact, effectiveness, efficiency and sustainability of the interventions. The financial arrangement entails direct allocation of funds corresponding to approximately 0.5 percent of the TCP appropriation to OED for the evaluation of TCP projects. OED ensures that TCP evaluations meet corporate quality standards.

TCP projects are audited in accordance with FAO financial rules and regulations by external and internal audit services as part of the overall accountability and oversight system.

Phase 6 – Project Closure

The TCP Coordinator is responsible for initiating, carrying out and monitoring the tasks necessary for completion and closure of the project.

Once all field activities have been completed, the TCP Coordinator requests the RO to set the status of the project to “Activities Completed” and ensures that any outstanding obligations are settled quickly and reminds the LTO of the need to prepare or finalize the terminal report of the project (see Section 4.3.5).

Any equipment procured by the project is transferred to the counterpart, immediately after procurement, except vehicles, in accordance with FAO’s rules and procedures. A vehicle purchased for, or transferred to the TCP project from another project, remains the property of FAO. It should be transferred to the counterpart only if essential for the follow-up to project activities and after having obtained the TCP Programme Officer’s approval and if not required by another ongoing TCP project or by a project in the pipeline.

6.1 Operational closure

Operational closure signifies the stage when the last input has been provided and all project activities have ended. No further financial obligations will be incurred after the project is operationally closed. As soon as the terminal report has been submitted, items recorded under project inventory have been transferred and all the financial obligations have been settled or unsettled obligations have been finally closed, the TCP Coordinator should request TCS to close the project operationally by submitting the Operational Closure form to operational-closure-TCS@fao.org.

6.2 Financial closure

Financial closure follows the operational closure as soon as possible. No further transactions on the project will be permitted by the Finance Team after the project is financially closed. The TCP Coordinator should request the Finance Team to close the project financially by transmitting the Financial Closure form to AFFC-TCP-Inbox@fao.org.

No final budget revision is required to close a TCP project unless a Phase II project is required.

ANNEXES

ANNEX 1

TCP Criteria



Criterion	Development TCP Assistance	Emergency TCP Assistance
1. Country Eligibility	All FAO Members are eligible for access to TCP-supported technical assistance. However, TCP gives special attention to assisting the neediest countries, especially the Low-Income Food-Deficit Countries (LIFDCs), Least Developed Countries (LDCs), Landlocked Developing Countries (LLDCs), and/or Small Island Developing States (SIDS). Access by high-income economies and by members of the European Union to technical assistance through the TCP modality should only be on a full cost-recovery basis.	Fifteen percent of the TCP appropriation is indicatively earmarked for emergency and early rehabilitation projects, accessible to all FAO Members.
2. Aims and Purposes	TCP-supported assistance contributes directly to at least one Organizational Outcome of FAO's Strategic Framework.	TCP-supported emergency and early rehabilitation assistance should contribute to Organizational Outcome 4 of Strategic Objective 5, aiming at ensuring that countries and partners respond more effectively to crises and emergencies with food and agriculture related interventions.
3. Country or Regional Priorities	TCP-supported assistance should be directed at national or regional priorities linked to the aims and purposes identified in Criterion 2 and, where they are in place, should be consistent with FAO's Country Programming Frameworks and emerge from TCP priority-setting processes at the country level.	Emergency TCP assistance is not subject to any priority setting process.
4. Critical Gap or Problem	TCP-supported assistance should be directed at a clearly defined critical technical gap or problem that has been identified by beneficiaries or stakeholders and which necessitates technical cooperation within the timeframe that can be provided by the Programme but which either cannot or should not be provided through other resources.	Emergency TCP assistance should be designed for very rapid response in support of interventions in thematic areas in which the Organization has a demonstrated comparative advantage.
5. Sustainable Impacts	TCP-supported assistance should result in clearly defined outputs and outcomes leading to impacts. It should have catalytic or multiplier effects such as increased mobilization of investment funds. The outcomes and impacts should be sustainable. TCP requests will not be accepted when they are a consequence of the ineffective follow-up to previous TCPs.	TCP emergency assistance should be directed at the sustainable rehabilitation of productive activities and at technical cooperation to support effective government (or donor) responses. TCP-supported emergency and rehabilitation assistance should be directed at interventions that increase the likelihood of additional donor and/or government resources being directed to immediate relief and longer-term rehabilitation. Repetitive assistance to address recurrent types of emergencies in the same country should be avoided and be redirected towards more lasting impact assistance for the prevention of and preparedness for these same emergencies.

6. Scale and Duration	No TCP project should require a budget of more than USD 500 000 and should be completed within 24 months. The duration may be extended to 36 months, when justified, and on a case-by-case basis. The budget ceiling for a TCPf project is USD 200 000 per biennium which can be increased to a maximum of USD 300 000 per biennium subject to the agreement of the Regional Representative responsible for the regional allocation. A TCPf project should be completed within 24 months, but may be extended to 36 months, when justified, and on a case-by-case basis.	
7. Government Commitment	Requests for TCP assistance should include a formal commitment by government/s or regional organizations to provide all necessary inputs, staff and institutional arrangements to ensure the timely and effective start-up, implementation and follow-up of the requested TCP-supported assistance.	
8. Capacity-building	Wherever possible, TCP-supported assistance should help build national or regional capacities to ensure that the critical gaps and problems to which they are directed would either not appear again or that they could be resolved effectively at the national or regional level.	TCP-supported emergency and rehabilitation assistance should increase the capacity of the government and affected communities and households to either withstand, or respond to, similar shocks in the future, without resorting to external assistance.
9. Gender-sensitivity	TCP-supported assistance must be gender-sensitive in identification, design and implementation, in line with the Organization's Gender Plan of Action.	
10. Partnership and Participation	Wherever possible, TCP-supported assistance should contribute to new or strengthened partnerships and alliances, including through co-financing, and should lead to the increased participation of food-insecure and poor men and women in key decision-making processes.	

ANNEX 2

Standard Project Document





Food and Agriculture Organization of the United Nations

TCP PROJECT AGREEMENT

Upon request from the Government of <the Government>, the Food and Agriculture Organization of the United Nations (FAO) will provide technical assistance for the execution of the following Technical Cooperation Programme (TCP) project:

Project Title:	
Project Symbol:	

A detailed description of the project, including background, rationale, project framework, implementation and management arrangements as well as oversight, monitoring, management information and reporting, is provided in the project document as an appendix to this Agreement.

TCP General Provisions

1. The achievement of the objectives set by the project shall be the joint responsibility of the government and FAO.
2. As part of its contribution to the project, the government shall agree to make available the requisite number of qualified national personnel and the buildings, training facilities, equipment, transport and other local services necessary for the implementation of the project.
3. The Government shall assign authority for the project within the country to a government agency, which shall constitute the focal point for cooperation with FAO in the execution of the project, and which shall exercise the government's responsibility in this regard.
4. Project equipment, materials and supplies provided out of Technical Cooperation Programme funds shall normally become the property of the government immediately upon their arrival in the country, unless otherwise specified in the project agreement. The Government shall ensure that such equipment, materials and supplies are at all times available for use of the project and that adequate provision is made for their safe custody, maintenance and insurance. Vehicles remain the property of FAO, unless otherwise specified in the project agreement.
5. Subject to any security provisions in force, the Government shall furnish to FAO and to its personnel on the project, if any, such relevant reports, tapes, records and other data as may be required for the execution of the project.

6. The selection of FAO project personnel, of other persons performing services on behalf of FAO in connection with the project, and of trainees, shall be undertaken by FAO, after consultation with the Government. In the interest of rapid project implementation, the Government shall undertake to expedite to the maximum degree possible its procedures for the clearance of FAO personnel and other persons performing services on behalf of FAO and to dispense with, wherever possible, clearance for short-term FAO personnel.
7. The Government shall apply to FAO, its property, funds and assets, and to its staff, the provisions of the Convention on the Privileges and Immunities of the Specialized Agencies. Except as otherwise agreed by the Government and FAO in the project document, the Government shall grant the same privileges and immunities contained in the Convention to all other persons performing services on behalf of FAO in connection with the execution of the project.
8. With a view to the rapid and efficient execution of the project, the Government shall grant to FAO, its staff, and to all other persons performing services on behalf of FAO, the necessary facilities including:
 - i) the prompt issuance, free of charge, of any visas or permits required;
 - ii) any permits necessary for the importation and, where appropriate, the subsequent exportation, of equipment, materials and supplies required for use in connection with the project and exemption from the payment of all customs duties or other levies or charges relating to such importation or exportation;
 - iii) exemption from the payment of any sales or other tax on local purchases of equipment, materials and supplies for use in connection with the project;
 - iv) payment of transport costs within the country, including handling, storage, insurance and all other related costs, with respect to equipment, materials or supplies for use in connection with the project;
 - v) the most favourable legal rate of exchange;
 - vi) assistance to FAO staff, to the extent possible, in obtaining suitable accommodation;
 - vii) any permits necessary for the importation of property belonging to and intended for the personal use of FAO staff or of other persons performing services on behalf of FAO, and for the subsequent exportation of such property; and
 - viii) prompt customs clearance of the equipment, materials, supplies and property referred to in subparagraphs (ii) and (vii) above.
9. The Government shall appoint a National Project Coordinator, as envisaged in the project document, to carry out the functions and activities specified in the project agreement. In some cases, it may be necessary for FAO to request, in writing, the NPC to incur specific commitments or obligations or to make specific payments on behalf of FAO. In such cases, the project may advance to the NPC project monies, up to the amounts allowed by and in accordance with current FAO rules and regulations. In this event the Government agrees to indemnify FAO and to make good to it, any losses that may arise from any irregularity in the maintenance of the advanced FAO's monies on the part of the NPC.

10. The Government shall deal with any claim which may be brought by third parties against FAO or its staff, or against any person performing services on behalf of FAO, and shall hold them harmless in respect of any claim or liability arising in connection with the project, unless the Government and FAO should agree that the claim or liability arises from gross negligence or wilful misconduct on the part of the individuals mentioned above.
11. The persons performing services on behalf of FAO, referred to in paragraphs 6, 7, 8 and 10, shall include any organization, firm or other entity, which FAO may designate to take part in the execution of the project.

On behalf of:			
The Government of		The Food and Agriculture Organization of the United Nations	
Name:		Name:	
Title:		Title:	
Date:		Date:	

The project document in the appendix is an integral part of the Project Agreement.

Appendix

Note that the italicized text is for guidance only and should be deleted during formulation. Also note that the project formulator should directly answer all questions. The questions will be deleted after the appraisal and approval process and before signing the Project Document!

PROJECT DOCUMENT

Project Title:	
Project Symbol:	
Recipient country/ies:	
Government Counterpart(s):	
Expected EOD (Starting Date):	
Expected NTD (End Date):	
Contribution to FAO's Strategic Framework (indicate as appropriate)*:	<ul style="list-style-type: none"> • Strategic Objective/Organizational Outcome: • Regional Initiative/Priority Area: • Country Programming Framework Output:
Total budget:	
<p>Executive Summary:</p> <p><i>Provide essential information about the project in a straightforward and concise narrative style, including the context, rationale, management structure and expected outcome(s). Partnership arrangements and contributions to a specific national programme should be highlighted. The executive summary should be a maximum of one page in length.</i></p>	
<p><i>*For projects operated by country offices, it is necessary to link projects in FPMIS at OR level. For all other projects, linkage at product/service level is necessary.</i></p>	

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ACRONYMS

A complete list of all acronyms used within the text can be provided. Note: the first time a term is introduced in the text it must be spelled out in full followed by the acronym in brackets (example: Millennium Development Goal [MDG]).

SECTION 1 – Relevance

1.1 General context

1.1.1 Rationale

In this section the rationale of the project is presented and this should be based on various analyses (e.g. problem, stakeholders, results and strategies) previously carried out according to the Logical Framework Approach (LFA) and in collaboration with the government, participants, stakeholders, other UN agencies and resource partners, when relevant and required. The problem analysis should be done ensuring stakeholders' participation and taking into account specific constraints related to gender equality.

What is the problem to be addressed? For how long has the identified problem existed? Which stakeholders of the related sector/subsector are directly and indirectly affected by the problem and how?

What are the constraints which have led to the problem? Are they related to policy, institutional set up, legal framework, knowledge or technological gaps?

How does the relevant sector/subsector contribute to national and household food and nutrition security and poverty alleviation? Is there a policy/legislation for the sector or subsector?

Has the government received assistance from FAO or from other resource partners to address this problem in the past – if yes, what are the new elements that would justify more assistance?

What actions have already been taken or are planned to be taken by the government to address the problem and the underlying constraints? Has the government received or is it going to receive any other assistance from FAO (other than through this project) or from any other resource partners to address these constraints? Why is the Government not able to resolve the problem without FAO's assistance?

1.1.2 FAO's comparative advantage

In demonstrating the relevance of the comparative advantages for the success of the project, consider FAO's length and breadth of experience in the country/ies and/or global fora concerned and the interplay of this knowledge with the unique technical expertise FAO offers.

How do FAO's comparative advantages¹ make the Organization best placed among others to assist the Government in resolving the identified problem and deliver quality and timely results?

What is FAO's role in addressing the problem and the underlying constraints? What are the lessons learned from previous FAO projects in the relevant sector/subsector that this project can draw upon?

1.1.3 Participants and other stakeholders

Describe which beneficiaries/stakeholders (i.e. individuals/groups/organizations) stand to benefit the most from participating in the project implementation and which may be negatively affected, how they have been involved, and disaggregated according to gender criteria (Note that gender analysis includes issues of sex, age, ethnicity, social class, geographical location and all factors that influence the roles and responsibilities of men and women).

¹ FAO's comparative advantages are currently defined as: 1. Authority and status as a global intergovernmental organization; 2. FAO as an honest broker; 3. Unparalleled information source and institutional memory; 4. Broad networking capacity with Members and other partners; 5. Decentralized capabilities; 6. Professional and multidisciplinary staff; 7. Capacity to respond to unforeseen needs of member countries; 8. Responsible financial and administrative management.

Which beneficiaries/stakeholders (government ministries, institutions, farmers association, NGOs, traders, universities, donors, UN agencies, etc.) stand to benefit the most from participating in implementation, and how?

Which beneficiaries/stakeholders may be negatively affected?

1.2 Expected results

In this section, the project framework is presented, i.e. the proposed overall impact (goal), the outcome and the planned outputs. The framework is basically a results chain whereas activities lead to outputs which lead to an outcome which leads to impact. The development of the logical framework is mandatory for TCP projects. Please refer to the FAO handbook² on the LFA for detailed instructions on how to draft a project's logical framework.

IMPACT	Impact Statement			
outcome	Outcome Statement			
Indicator*	Baseline	Target	Means of verification	Assumptions
1				
2				
3				
Output 1	Outcome Statement			
ACTIVITIES for achieving Output 1				
Title	Description			
1.1				
1.2				
Output 2	Outcome Statement			
ACTIVITIES for achieving Output 2				
Title	Description			
2.1				
2.2				
* CPF Output indicators may be used, as required.				

² Available on FPMIS under the “how to” section.

SECTION 2 – Feasibility

2.1 Risk management

In this section identify the risks which could jeopardize the realization of the project outcome and describe how the project will mitigate these perceived risks.

Risk	Impact	Probability	Mitigation
1			
2			
3			

2.2 Implementation and management arrangements

While the previous sections should have defined “why” the project is needed and “what” the project is going to do, this section should describe “how” the project will be implemented.

2.2.1 Implementation strategy

What is the composition of the Project Task Force (PTF)? Who will be the prospective Budget Holder and Lead Technical Officer (LTO)? Which is the Lead SOC?

Which government ministry (organizational unit) is responsible for what, within the sector or subsector, and how will the project be managed?

Which other ministries and/or organizations will be involved, in what capacity (steering committee, etc.) and how will they contribute to or benefit from the project?

How will the project be implemented in the field, including the project’s complementarity to a larger government or donor-funded development programme? What would be the synergies of the current project with respect to the existing initiatives and/or projects in the country?

What is the capacity development approach that the project will use to address the defined problem and how it will enable the stakeholders to achieve their objectives?

What specific methodology/steps will be used to ensure stakeholder participation and ownership? Is there a special focus/role/interest/impact for men or women in the project? How will the equal participation of, and benefit by, women and men be ensured?

What partnerships are to be established during project implementation that can contribute to the sustainability of project activities and outputs, in particular linkages with other nationally or donor-funded programmes, partnerships with Civil Society Organizations (CSOs) and non-governmental organizations (NGOs)?

2.2.2 Government inputs

To be completed in close consultation with the recipient government. Government in-kind contributions and financial resources include facilities, resources and services, office space, equipment, staffing, transport, coordination, leadership (NPC, Steering Committee, etc.), customs clearance for equipment, clearance of international personnel, etc.

What are prior obligations/prerequisites that the government will fulfil before signature of the project document?

What are the in-kind contributions (NPC, facilities, resources and services) and financial resources that the government will provide to ensure timely and effective implementation of the project? Has the NPC been nominated?

2.2.3 FAO contribution

Define all of the inputs that FAO will provide through this project. Please use the specific appendix on TCP input composition at the end of the document for clarifications. Please note that there can be no joint funding of specific inputs between a TCP project and another project (for instance, the TCP project cannot fund the honorarium of a consultant, while another project funds the travel costs).

Category	Title	Role in the project/ link to outputs	Number of days			number of missions
			desk work	on mission	total	
IC						
TCDC						
Retiree						
NC						
TSS						
Non-staff						
Admin support						
...						

Contracts or letters of agreements (*TORs to be provided in annex*)

Category	Short description of the foreseen contract	Role in the project/link to outputs
LOA		
Services		

Materials, supplies and equipment *(details including cost estimate and procurement plan to be provided in annex)*

Category	Type of materials/ supplies/equipment	Use in the project/link to output
Non-expendable		
Expendable		

Training *(details for each category including cost estimate to be provided in annex)*

Category	Short title/description	Reasons for training/link to outputs
In-country training (workshops and seminars)		
Regional and subregional workshops/training		
Study Tour		

General Operating Expenses

Required miscellaneous expenses for the project operation:	
------------------------------------------------------------	--

2.3 Monitoring and reporting

Monitoring is an integral part of the project cycle. In this section, the responsibilities assigned for monitoring and reporting on project implementation and results should be described. Furthermore, this section should present the chronology of the monitoring as well as the need for training and/or technical assistance to be provided. In particular:

How will the monitoring be realized during project implementation, i.e. who is responsible, how is it planned and timed? How the information will be used?

How will the reporting be realized during project implementation, i.e. which reports will be produced, who is responsible for which report, how is it planned and timed?

2.4 Communication

Communication is essential for project effectiveness and sustainability. Communication for development activities should be planned from the beginning to ensure stakeholders' engagement, access to relevant information and ownership.

What is the communication plan for sharing project results and giving the project visibility?

SECTION 3 – Sustainability of Results

Project sustainability should be assessed, taking into consideration the following defining factors: capacity development (from a policy, organizational and individual perspective), gender equality, sociocultural dimensions, environmental sustainability, appropriateness of technology introduced/enhanced, HRBA/Right to Food, financial/economic sustainability and knowledge transfer. In particular:

What is the expected long-term change (catalytic effect) due to the project and what are the follow-up activities planned after the project closure? How will the government support the follow-up activities of the project?

How will the government integrate the results of the project into its broader development programme?

Annex I – Budget

Insert the budget as extracted from FPMIS (the below table is only an example and does not contain all possible accounts).

Parent Account	Parent Account Description	Account	Account Description	Org	Original budget (USD)
5013	Consultants	5542	Consultants – Internationally recruited		
		5543	Consultants – Locally recruited		
5014	Contracts	5650	Contracts budget		
5020	Locally Contracted Labour	5652	Locally Hired Non-Professional Services		
5021	Travel	5684	Travel - Consultants - International		
		5685	Travel - Consultants - National		
		5692	Travel - Technical Assistance to Field Projects		
5023	Training	5920	Training budget		
5025	Non-Expendable Procurement	6100	Non Expendable Procurement budget		
5027	Technical Support Services	6111	Report Costs		
		6120	Technical Assistance to Field Projects		
5028	General Operating Expenses	6300	General Operating Expenses budget		
5029	Support Costs	6130	Support Costs budget		
Grand Total					

Annex II – Work Plan

To complete the work plan, list the outputs of the project with associated activities to achieve each output. Set up the duration of the project. Carefully plan the timing of each activity based on inputs and expected outputs.

Work Plan	Responsibility	Year 1				Year 2			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1									
Activity 1.1									
Activity 1.2									
Activity 1.3									
Output 2									
Activity 2.1									
Activity 2.2									
Activity 2.3									
Output 3									
Activity 3.1									
Activity 3.2									
Activity 3.3									
Operational Activities									
Procurement									
Recruitment									
LoA									
...									

Annex III – Terms of Reference for Personnel

Job Title:	
Minimum number of years of relevant experience required:	
Expected Start of Assignment:	
Duration:	
Location:	
Reports to:	

Description of task(s) and objectives to be achieved (per mission if applicable)		
Key performance indicators		
Expected Outputs (per mission if applicable)	Required Completion Date	
Estimated rates for budgeting purposes		
Honorary rate	DSA rate	Standard air ticket cost

Annex IV – Contracts

LETTER OF AGREEMENT (LoA) OR SERVICE CONTRACT

Background

Describe in general terms, the objective(s) of the Agreement, any additional objective(s) if relevant, and how the outputs and/or outcomes to be produced, achieved and/or delivered by the Service Provider (SP) will further the objective(s).

Terms of Reference

Definition of Output(s) and/or Outcome(s)

Specify and describe in detail the final output(s) and/or outcome(s) as applicable, and indicate how progress and achievement will be measured and verified (i.e. specify performance indicators and means of verification).

Description of Services

Provide description of services to be rendered and activities to be performed by the Service Provider for the achievement of output(s) and/or outcomes(s) specified in paragraph 2.1 including as appropriate the expertise required, methodology to be used, technical and operational standards (e.g. modalities of survey [define area/data, needed/means to be employed] and/or deadlines to be met, etc., organization of training courses [define target group/curriculum, outline/training, materials/course duration, etc.], development of product [specification/facilities used, etc.]).

Work plan and Timeframe (duration)

Provide work plan and set appropriate timeframe (i.e. the period of time from inception to completion of all activities within which the services are to be delivered) including, as relevant, milestones to signal the completion of key deliverables. Indicate any factors influencing timeframe (e.g. seasonal considerations, imposed deadlines) and any possible action to be taken by the SP in the event of delays (e.g. formal written notification documenting reason(s) for delay(s), request for and justification to extend the LoA duration).

Monitoring Mechanisms and Reporting Requirements

Specify monitoring mechanism(s) including progress control procedures and reporting requirements that the SP must follow, including a schedule of reports, deadlines, format, language(s), number of copies required, recipient(s) and any other relevant information. The reporting schedule should specify the due date for submission of final narrative and financial reports, certified as to their correctness by duly-designated representative(s) of the SP and specifying actual utilization of funds.

Estimated budget

Provide estimated budget showing the total amount which FAO would finance.

Responsible Officer

Indicate who the Responsible Officer would be (usually Field Project Manager or FAOR). S/he would be responsible to manage and monitor the proper implementation of the Agreement on behalf of FAO and to certify to the budget Holder that the terms of the Agreement have been satisfactorily met and that appropriate payments can be made.

Annex V – Training Details

Short Title/ Description	Location	Duration	Participants			Estimated costs (USD)		
			local	travelling	total	travel	other	total
In-country training (workshops and seminars)								
1								
2								
Regional and subregional workshops								
1								
2								
Study Tour								
1								

Annex VI – Equipment Specifications

Type of materials/supplies/equipment	Quantity/pieces	Estimated unit price	Estimated total cost
Non-expendable			
<i>Item 1</i>			
<i>Item 2</i>			
Total			
Expendable			
<i>Item 1</i>			
<i>Item 2</i>			
Total			

APPENDIX to the SPD - GUIDE ON TCP INPUT COMPOSITION

1. Personnel services

International consultants will preferably be recruited under FAO's Partnership Programmes (TCDC/TCCT/retiree), whenever suitable expertise at the required level is available under these programmes.

- **International consultants under the Partnership Programmes (i.e. TCDC/TCCT/retiree):** The level of remuneration is based on the standard terms and conditions of the Partnership Programme, as agreed between FAO and the member countries that are signatories of the TCDC/TCCT agreements. Independent international consultants can also be recruited as TCDC/TCCT, if they agree to accept the related contract conditions. The honorarium is budgeted on budget line (BL) 5544.
- **Other international consultants:** The level of remuneration is established on the basis of UN prevailing rates for the type of expertise required and as per the Guidelines for the Employment of International Consultants under MS 317 and Subscribers to Personal Services Agreements under 319³. The honorarium is budgeted on BL 5542. The recruitment of international consultants at UN honorarium rates must be avoided if at all possible in order to keep the project budget as low as possible.
- **FAO Technical Support Services (TSS)** are services provided by FAO technical officers based at Regional Offices, Subregional Offices or headquarters. Honorarium for TSS is budgeted on BL 6120 and is calculated at the standard rate for FAO services under TCP, as established by the Organization. In cases where FAO cannot provide the technical staff to undertake the TSS work, FAO staff can be replaced, at the initiative of the FAO technical division concerned, by a consultant. In such cases, the honorarium of the consultant is paid by the FAO technical division, which is reimbursed by claiming the TSS (BL 6120) through FPMIS. In addition, the standard amount is to be budgeted for processing the terminal report (BL 6111).
- **National consultants:** They are selected by FAO, and cannot be on the government payroll at the time of their assignment with FAO, nor be recruited from the national implementing agency. The level of their remuneration, budgeted on BL 5543, is based on prevailing local conditions and must be in line with rates applied by the UN system as well as government rates. FAO retains the responsibility for the technical guidance and supervision of these consultants and reviews their performance. National consultants should provide technical inputs to the project and should not substitute for the National Project Coordinator or the Budget Holder in terms of operating the project. However, under special circumstances, in particular in countries with no FAO Representation, limited operational support can be provided. The reasons for including such support in the project should be clearly explained. It should be noted that consultants who are expected to carry out work outside of their country should not be recruited as national consultants.
- **South-South Cooperation (SSC) professionals:** The level of remuneration is based on the terms and conditions of the South-South Cooperation agreement signed between FAO and the member countries. The honorarium is budgeted on BL 5546.
- **United Nations Volunteers (UNVs):** The level of remuneration (consisting of an all-inclusive monthly living allowance) is established according to prevailing local conditions and can be obtained from the UNDP country office. This allowance is budgeted under BL 5547.
- **Administrative support** (secretarial support, drivers, casual labour, or professional ad-hoc support such as interpreters, editors, etc.) should be provided only on an exceptional basis and only in support of the project's activities (BL 5652).

³ http://intranet.fao.org/faohandbook/area/human_resources

2. Travel

- **International consultants under the Partnership Programmes (i.e. TCDC/TCCT/retiree):** International and in-country travel and UN daily subsistence allowance (DSA) as applicable to the country and in-country specific areas are budgeted on BL 5686.
- **Other international consultants:** Estimated international and in-country travel costs and the DSA applicable to the country and in-country specific areas are budgeted on BL 5684.
- **FAO Technical Support Services (TSS):** Estimated international and in-country travel costs and the DSA applicable to the country and in-country areas are budgeted on BL 5692. If the TSS work is implemented by the technical unit through the recruitment of a consultant, the travel and DSA costs of the consultant are budgeted on TSS travel (BL 5692).
- **National Consultants:** Any in-country travel by national consultants is budgeted on BL 5685.
- **South-South Cooperation (SSC) professionals:** International and in-country travel and DSA is budgeted on BL 5688.
- **United Nations Volunteers (UNVs):** International travel is budgeted on BL 5689.
- **Other travel:** The budget line (BL 5661) for “other” duty travel (FAO staff only) may cover travel costs of staff from the FAO Representation to project sites or minor expenses for in-country travel of FAO staff providing TSS support. This line is not to be charged for any international travel, nor for DSA related to TSS. This line should also not be charged for any costs related to training or to travel by national counterparts.
- **Travel Non-Staff (i.e. counterparts):** In exceptional cases, if required for project implementation, national staff from the implementing agency or from a key partner institution may be reimbursed for their in-country travel expenses related to the project within the limits of government reimbursement rates. Such travel costs are budgeted on BL 5698. For travel related to external training, including study tours, or to regional or subregional workshops, see point five below.

3. Contracts or LoAs for specialized technical services

Mixes of services and inputs can be covered under contracts or LoAs (BL 5650) with specialized institutions. The itemized services or inputs to be provided, and the expected results and conditions that such contractual arrangements entail can be specified in an annex to the project document. Contracts cannot be established with the project’s national implementing/beneficiary institution to offset for what should be part of counterpart contribution.

4. Materials, supplies and equipment

FAO’s commitment is limited to the supply of the quantities specified in the project document, up to the budgetary allocation. This section will provide a list of expendable and non-expendable equipment with a reasonable level of specification. This component should not exceed 30 percent of the budget, except for emergency projects.

- **Expendable materials and supplies (BL 6000):** These are the supplies that will be consumed during the implementation of the project. It is recommended to specify the maximum physical quantity required and the maximum amount foreseen.
- **Non-expendable equipment (BL 6100):** This equipment become the property of the government immediately upon entering the country and will be handed over to the government at the end of the project. The only exception concerns any vehicle which remains the property of FAO and will be allocated to another TCP project, unless other arrangements are made. It is recommended to specify the maximum physical quantity of equipment required and the maximum amount foreseen.

5. Training

If representing an important project component, the details of the training sessions should be provided in the project document as an annex.

A distinction should be made between **external training (study tour), in-country training (workshops and seminars) and regional workshops**. The rationale and purpose of each workshop and study tour should be well justified and detailed.

- **Study tours** for nationals should be kept to the absolute minimum (maximum three trainees per beneficiary country and maximum two countries visited per trainee for a maximum duration of one month). The cost of the study tour includes travel and DSA (at UN rates) (BL 5694) and may also include a fee (benchmark fee) to the receiving institute/centre (BL 5920). If board and accommodation is included in the fee, the DSA is reduced accordingly.
- **The budget for in-country workshops** (BL 5920) for national participants should cover only the cost required for setting up the workshops and for the preparation and reproduction of the training materials, as the government is expected to cover the cost of the participation of its nationals. However, in exceptional circumstances, expenses for internal travel and accommodation for participants needing to travel to attend the training course may be included. The per diem should be calculated at UN or government rates, whichever is lower. If the UN Country Team officially applies a particular per diem rate for participation in in-country training events, then this rate should be used.
- **Regional and subregional workshops/trainings:** The project covers the costs (BL 5920) for setting up the workshop/training and for the preparation and reproduction of the workshop/training materials. The project may cover costs related to international travel and DSA of participants in the regional workshops (BL 5694). However, ad hoc project arrangements are encouraged with a view to reduce overall costs for trainees' participation in regional workshops, in particular through the provision of board and lodging by the host institution and/or the definition of an ad-hoc daily allowance. Regional trainings and workshops can be attended by two non-staff travellers per beneficiary country at the cost of the project. The ADG/RR has the authority to approve the participation of up to three non-staff travellers per beneficiary country if considered essential for achieving the project's outputs.

6. General operating expenses

(GOE) (BL 6300) to cover miscellaneous expenses required in the field for the operation of the project, such as telephone communications, photocopy paper, etc. (not more than 5 percent of the total budget minus the Project Support Cost [PSC]).

7. Project Support Costs

(PSC) (BL 6130) to cover FAO's administrative and operational costs related to the implementation of the project (currently seven percent of the project expenditures).

ANNEX 3

TCPf Component Description (opening)





Food and Agriculture Organization of the United Nations

TCP Facility COMPONENT DESCRIPTION

(to be completed by the TCP Coordinator)

Title of component	<i>(preferably not more than six words)</i>
Project symbol/baby:	TCP/xxx/yyyy – baby zz
Recipient country(ies):	
Government/other counterpart(s):	
Estimated budget (USD):	
Expected EOD (Starting Date):	
Expected NTE (End Date):	
Lead Technical Officer (LTO):	
TCPf contribution to FAO's Strategic Framework (indicate as appropriate)*	
Strategic Objective/Organizational Outcome:	
Regional Initiative/Priority Area:	
Country Programming Framework Output:	
<p><i>* For projects operated by country offices, it is necessary to link projects in FPMIS at Organizational Output level. For all other projects, linkage at product/service level is necessary.</i></p>	

Objectives:

(In a concise manner, please describe the problem or issue to be addressed and how the component is expected to contribute to a solution).

Outputs to be achieved and activities to be implemented:

Output 1:

Activity 1.1:

Activity 1.2:

Output 2:

Activity 2.1:

Activity 2.2:

Main inputs foreseen:

(Specify unit costs in USD and quantities in the table below and reflect amounts in FPMIS).

Consultants (title)	Number of days	Fee per day	Total budget
International Expert on...			
National Expert on ...			
TCDC/TCCT on ...		225 (+\$10/day)*	
Retired Expert on ...		225**	
<p>* TCDC/TCCT: The daily fee of USD 10 to the releasing institution must be entered manually in FPMIS in the "Misc" field under the TCDC honorarium line (i.e. number of days x USD 10).</p> <p>** Retiree: the rate is USD 300/day for former FAO staff at D1 or above.</p>			

Travel	Number of days	DSA per day	Fee per day	Total budget
International Expert on...				
National Expert on ...				
TCDC/TCCT on ...				
Retired Expert on ...				

Technical Support Services	Number of days	Fee per day		Total budget
Honorarium - TSS		568*		
Travel	Number of days	DSA per day	Fee per day	Total budget
Travel - TSS				
<i>* Subject to change.</i>				

Contracts	Total budget
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In-country training and workshops (charge on line 5920)	Total budget
---------------------------------------------------------	--------------

Regional or subregional training or workshops*				
Travel	Number of days	DSA per day	Other travel costs	Total budget
Travel - Training (charge on line 5694)				
<i>* No international "travel training"/"study tour" is allowed for national TCPfs.</i>				

Other training costs (charge on line 5920)	Total budget
--------------------------------------------	--------------

GOE budget (max 5% of the budget)	Total budget
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Support Cost budget (7%)	Total budget
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Total budget	Amount
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Appraisal against TCP Criteria*	
1. Country Eligibility <i>Is the country requesting assistance part of the special attention group? If not, is it part of the intermediate group?</i> <i>If the request originates with a regional or subregional organization, is this organization eligible for TCP assistance?</i> <i>Are resources remaining in the regional allocation of the country or subregion/region?</i>	
Comment on relevance:	
2. Aims and Purposes <i>Which Organizational Output(s) does the project contribute to?</i>	
Comment on relevance:	
3. Country or Regional Priorities <i>Is the problem to be addressed mentioned in any national (or subregional/regional) planning documents?</i> <i>How does the project contribute directly to the implementation of the CPF or to the UNDAF?</i> <i>If the problem intended to be solved with this project is not included in the NMTPF/CPF/UNDAF what is the explanation for this? Should the project still be considered for funding under the TCP? Why?</i>	
Comment on relevance:	
4. Critical Gap or Problem <i>Are the stakeholders and beneficiaries clearly identified?</i> <i>Who needs the project and to do what?</i> <i>What is it that beneficiaries and stakeholders cannot do without external/international technical assistance through the project?</i> <i>Is the identified problem technical (knowledge, capacity, technical, legal or institutional gap) or is it financial (lack of money)? (If lack of money only, we cannot consider TCP funding).</i>	
Comment on relevance:	
5. Sustainable Impacts <i>How will the outputs solve the identified problem?</i> <i>What kind of change will solving the problem lead to?</i> <i>How will the stakeholders ensure that the outputs are sustainable?</i> <i>Have any donors or financial institutions indicated an interest in supporting the sector or subsector during or after the project?</i> <i>How will the TCP and any donor complement each other?</i> <i>What other projects in the same sector or subsector in the country (or subregion/region) has the TCP already funded?</i>	
Comment on relevance:	

6. Scale and Duration	
<i>Can the project realistically be completed within the proposed timeframe and with the proposed budget?</i>	
Comment on relevance:	
7. Government Commitment	
<i>What contributions will the recipient government or institution and the other stakeholders provide to the project?</i>	
<i>How do you know that there is a real interest in solving the identified problem?</i>	
<i>Are you sure that the stakeholders and beneficiaries are ready to participate in the implementation of the project without being paid/compensated for this participation?</i>	
<i>Is it clear that counterpart staff will not receive salary supplements or be recruited to work for the project as national consultants?</i>	
<i>What plans do the counterparts have for how they will use the project's outcome/outputs and follow-up on the project?</i>	
<i>Where will the financial resources, if required, for the follow-up come from?</i>	
Comment on relevance:	
8. Capacity-building	
<i>Will the counterparts and stakeholders acquire the necessary knowledge and skills during the implementation of the project to use its outputs and results effectively in future?</i>	
<i>Will they be able to replicate or scale up the activities?</i>	
<i>Will the project create a critical mass of knowledge and skills that did not exist before the project?</i>	
Comment on relevance:	
9. Gender-sensitivity	
<i>How have gender considerations been addressed? Note that gender analysis includes issues of sex, age, ethnicity, social class, geographical location and all factors that influence the roles and responsibilities of men and women. Is there a special focus/role/interest/impact for men or women in the project? If so, how has this been reflected in project design and how will it be reflected in project implementation?</i>	
<i>How will the equal participation of, and benefit by, women and men be ensured?</i>	
Comment on relevance:	
10. Partnership and Participation	
<i>How will the beneficiaries and other stakeholders be involved and participate in the project formulation, implementation and its follow-up?</i>	
<i>Is the project complementary to related activities financed by the counterpart or by donors?</i>	
Comment on relevance:	
* (for each criterion explain why it is adequately met, or why it is not relevant).	

ANNEX 4

TCPf Component Description (closing)





Food and Agriculture Organization of the United Nations

TCP Facility COMPONENT RESULTS

(to be completed by the TCP Coordinator)

Title of component	
Project symbol/baby:	TCP/xxx/yyyy – baby zz
Recipient country(ies):	
Government/other counterpart(s):	
Estimated budget (USD):	
Expected EOD (Starting Date):	
Expected NTE (End Date):	
Lead Technical Officer (LTO):	
TCPf contribution to FAO's Strategic Framework (indicate as appropriate)*	
Strategic Objective/Organizational Outcome:	
Regional Initiative Priority Area:	
Country Programming Framework Output:	
<p><i>* For projects operated by country offices, it is necessary to link projects in FPMIS at Organizational Output level. For all other projects, linkage at product/service level is necessary.</i></p>	

Outputs/results achieved:

(Indicate also the quality/quantity, including the date of transmission to the government, if relevant)

Output 1:

Output 2:

Realized or expected long-term impact or catalytic effect of the assistance:

Follow-up actions and responsibilities after the project closure:

Problems or difficulties encountered during implementation:

Any other observations:

ANNEX 5

TCP Appraisal Sheet



TCP Appraisal Sheet (TAS)

The TCP Appraisal Sheet (TAS) is to be filled in by the TCP Coordinator (FAOR, SRC or RR as applicable) and submitted as a Word document

Project basic data and clearances	
Recipient country/countries	
Title	
FPMIS Entity number	
Technical Clearance (written evidence uploaded in FPMIS)	Name (Unit) and date
Operational Clearance (OC form uploaded in FPMIS)	Name (Unit) and date

This project has been appraised against the TCP criteria on **<date>**, by the TCP Coordinator for **<country name>** Mr/Ms **<name of FAOR, SRC, RR>** who confirms that the project is considered eligible for TCP support!

Appraisal against TCP Criteria <i>(for each criterion explain why it is adequately met, or why it is not relevant)</i>	
1. Country Eligibility <i>Is the country requesting assistance part of the special attention group? If not, is it part of the intermediate group?</i> <i>If the request originates with a regional or subregional organization, is this organization eligible for TCP assistance?</i> <i>Are resources remaining in the regional allocation for the country or subregion/region?</i>	
TCP Coordinator's appraisal:	
TCP Officer's comment:	
2. Aims and Purposes <i>Which Organizational Output(s) does the project contribute to?</i>	
TCP Coordinator's appraisal:	
TCP Officer's comment:	

<p>3. Country or Regional Priorities</p> <p><i>Is the problem to be addressed mentioned in any national (or subregional/regional) planning documents?</i></p> <p><i>Is the project based on the CPF pipeline or a government request? How does the project contribute directly to the implementation of the CPF or to the UNDAF?</i></p> <p><i>If the problem intended to be solved with this project is not included in the CPF/UNDAF what is the explanation for this? Should the project still be considered for funding under the TCP and why?</i></p>	
TCP Coordinator's appraisal:	
TCP Officer's comment:	
<p>4. Critical Gap or Problem</p> <p><i>Are the stakeholders and beneficiaries clearly identified?</i></p> <p><i>Who needs the project and to do what?</i></p> <p><i>What is it that beneficiaries and stakeholders cannot do without external/international technical assistance through the project?</i></p> <p><i>Is the identified problem technical (knowledge, capacity, technical, legal or institutional gap) or is it financial (lack of money)? (If lack of money only, we cannot consider TCP funding).</i></p> <p><i>Are there any other ways/sources of funding to get the expertise to the country?</i></p>	
TCP Coordinator's appraisal:	
TCP Officer's comment:	
<p>5. Sustainable Impacts</p> <p><i>How will the outputs solve the identified problem?</i></p> <p><i>What kind of change will solving the problem lead to?</i></p> <p><i>How will the stakeholders ensure that the outputs are sustainable?</i></p> <p><i>Have any donors or financial institutions indicated an interest in supporting the sector or subsector during or after the project?</i></p> <p><i>How will the TCP and any donor complement each other?</i></p> <p><i>What other projects in the same sector or subsector in the country (or subregion/region) has the TCP already funded?</i></p> <p><i>What was the follow-up to those?</i></p>	
TCP Coordinator's appraisal:	
TCP Officer's comment:	

<p>6. Scale and Duration</p> <p><i>Can the project realistically be completed within the proposed timeframe and with the proposed budget?</i></p>	
TCP Coordinator's appraisal:	
TCP Officer's comment:	
<p>7. Government Commitment</p> <p><i>What contributions will the recipient government or institution and the other stakeholders provide to the project?</i></p> <p><i>How do you know that there is a real interest in solving the identified problem?</i></p> <p><i>Are you sure that the stakeholders and beneficiaries are ready to participate in the implementation of the project without being paid/compensated for this participation?</i></p> <p><i>Is it clear that counterpart staff will not receive salary supplements or be recruited to work for the project as national consultants?</i></p> <p><i>What plans do the counterparts have for how they will use the project's outcome/outputs and follow-up on the project?</i></p> <p><i>Where will the financial resources, if required, for the follow-up come from?</i></p> <p><i>Has the government made a commitment in this regard? How strong is that commitment?</i></p>	
TCP Coordinator's appraisal:	
TCP Officer's comment:	
<p>8. Capacity-building</p> <p><i>Will the counterparts and stakeholders acquire the necessary knowledge and skills during the implementation of the project to use its outputs and results effectively in future?</i></p> <p><i>Will they be able to replicate or scale up the activities?</i></p> <p><i>Will the project create a critical mass of knowledge and skills that did not exist before the project?</i></p>	
TCP Coordinator's appraisal:	
TCP Officer's comment:	

9. Gender-sensitivity <i>How have gender considerations been addressed? Note that gender analysis includes issues of sex, age, ethnicity, social class, geographical location and all factors that influence the roles and responsibilities of men and women. Is there a special focus/role/interest/impact for men or women in the project? If so, how has this been reflected in project design and how will it be reflected in project implementation?</i> <i>How will the equal participation of, and benefit by, women and men be ensured?</i>	
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TCP Coordinator's appraisal:	
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TCP Officer's comment:	
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10. Partnership and Participation <i>How will the beneficiaries and other stakeholders be involved and participate in the project formulation, implementation and its follow-up?</i> <i>Is the project complementary to related activities financed by the counterpart or by donors?</i> <i>Will any new partnerships be created as a consequence of the project?</i>	
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TCP Coordinator's appraisal:	
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TCP Officer's comment:	
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Other comments/justifications	
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Justification for exceptional input composition (if any)*:	
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Any other comments:	
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TCP Officer's comment:	
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* As per chapter 2.3 of the TCP Manual.

Conclusion of the review done by the TCP Officer	
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Date of review:	
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Conclusion:	Endorsed or not endorsed
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Funding confirmed by TCP Officer:	
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Other recommendations (especially if not endorsed):	
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ANNEX 6

Phase II TCP Project



Project Title	<i><insert same title as Phase I> - Phase II of TCP/aaa/bbbb</i>		
Project symbol/baby:	TCP/xxx/yyyy – baby zz		
Recipient country(ies):			
Government/other counterpart(s):			
Actual/Expected EOD (Starting Date):	Phase I	Phase II	
Actual/Expected NTE (Ending Date):			
Contribution of Phase II project to FAO's Strategic Framework: (Indicate as appropriate)	<ul style="list-style-type: none"> • Strategic Objective/Organizational Outcome: • Regional Initiative/Priority Area: • Country Programming Framework Output: 		
Total budget (USD):*	Phase I (latest approved)	Phase I (after final BR)	Phase II
* From Annex 1.			

Background and justification for a Phase II project:
What are the reasons for the delay in implementation?
What measures will be taken during the implementation of Phase II in order to ensure that the remaining activities will be implemented quickly?

FAO Contribution for Phase II

Personnel services

Category	Title	Number of days			Number of missions
		Desk work	On mission	Total	
IC					
TCDC					
Retiree					
NC					
TSS					
Non-staff					
Admin support					
...					

Contracts or Letters of Agreements

Category	Short description of the foreseen contract
LoA	
Services	

Materials, supplies and equipment

Category	Type of materials/supplies/equipment
Non-expendable	
Expendable	

Overview of accomplished activities and outputs during the implementation of the Phase I and activities and outputs still to be completed under Phase II:

Impact	Impact Statement			
Outcome	Outcome Statement			
Indicator	Baseline (from Phase I)	Overall project target (from Phase I)	Achieved during Phase I	Still to be achieved during Phase II
1				
2				
3				
Output 1	Outcome Statement			
Activities for achieving Output 1			Implemented during Phase I	Still to be implemented during Phase II
Title	Description			
1.1				
1.2				
Output 2	Outcome Statement			
Activities for achieving Output 2			Implemented during Phase I	Still to be implemented during Phase II
Title	Description			
2.1				
2.2				
* If available in the approved Phase I project document.				

Training

Category	Short title/description
In-country training (workshops and seminars)	
Regional and subregional workshops	
Study Tour	

General Operating Expenses

Required miscellaneous expenses for the project operation:	
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Annex I - Budget

Insert the budget as extracted from FPMIS (the below table is only an example and does not contains all possible accounts).

Parent Account	Parent Account Description	Account	Account Description	Phase II budget (USD)
5013	Consultants	5542	Consultants – Internationally recruited	
		5543	Consultants – Locally recruited	
5014	Contracts	5650	Contracts budget	
5020	Locally Contracted Labour	5652	Locally Hired Non-Professional Services	
5021	Travel	5684	Travel - Consultants - International	
		5685	Travel - Consultants - National	
		5692	Travel - Technical Assistance to Field Projects	
5023	Training	5920	Training budget	
5025	Non-Expendable Procurement	6100	Non Expendable Procurement budget	
5027	Technical Support Services	6111	Report Costs	
		6120	Technical Assistance to Field Projects	
5028	General Operating Expenses	6300	General Operating Expenses budget	
5029	Support Costs	6130	Support Costs budget	
Grand Total				

Annex II - Work Plan

To complete the work plan, list the outputs of the project with associated activities to achieve each output. Set up the correct duration of the project. Carefully plan the timing of each activity based on inputs and expected outputs.

Work Plan	Responsibility	Year 1				Year 2			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1									
Activity 1.1									
Activity 1.2									
Activity 1.3									
Output 2									
Activity 2.1									
Activity 2.2									
Activity 2.3									
Output 3									
Activity 3.1									
Activity 3.2									
Activity 3.3									
Operational Activities									
Procurement									
Recruitment									
LoA									
...									

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