

ECA Project Management Manual

Partnership and Technical Cooperation Office (PATCO)
Office of the Executive Secretary (OES)



Economic Commission for Africa



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To order copies of *ECA Project Management Manual* by the Economic Commission for Africa, please contact:

Publications
Economic Commission for Africa
P.O. Box 3001
Addis Ababa, Ethiopia

Tel: +251 11 544-9900
Fax: +251 11 551-4416
E-mail: ecainfo@uneca.org
Web: www.uneca.org

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Addis Ababa, Ethiopia

First printing August 2010

Edited and designed by the ECA Publications and Conference Management Section (PCMS).

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Abbreviations and Acronyms

ACABM	Advisory Committee on Administrative and Budgetary Matters
ACABQ	Advisory Committee on Administrative and Budgetary Questions
CSO	Civil Society Organization
EU	European Union
GA	General Assembly of the United Nations
HRSS	Human Resources Services Section
IMIS	Integrated Management Information System
JFA	Joint Financing Agreement
MDGs	Millennium Development Goals
MoU	Memorandum of Understanding
NGO	Non-Governmental Organization
NPPP	Nationally Recruited Project Professional Personnel
PATCO	Partnership and Technical Cooperation Office
PAR	Personnel Action Request
PIP	Programme Implementation Plan
PMO	Programme Management Officer
PSC	Programme Support Cost
RB	Regular Budget
SG	Secretary-General (of the United Nations)
SRO	Sub Regional Office
TA	Travel Authorization
TF	Trust Funds
TFA	Trust Fund Agreement
UN	United Nations
UNDP	United Nations Development Programme
UNECA	United Nations Economic Commission for Africa
UNV	United Nations Volunteer
XB	Extra-budgetary Resources

In the past departments responsible for XB resource management have developed various guidelines and tools to assist project design, monitor implementation and facilitate reporting. A number of Bulletins from the Office of the Secretary General (ST/SGB) and Administrative Instructions (AIs) have also been issued from the UNHQs New York to guide the establishment and management of technical cooperation trust funds. Some of these Instructions and Guidelines were dated as far back as 1982. These include ST/SGB/188 of 1 March 1982 on the policies for establishing and managing trust funds; ST/AI/284 on the establishment, administration and control of general trust funds; and ST/AI/285 on the establishment, administration and control of technical co-operation trust funds.

In the light of the challenges faced and experience gained on trust funds and extra-budgetary projects management over the past years, an ECA project management manual has become necessary to set out the rules in one place – within which the programme and project managers will plan their strategic directions, programme their activities, budget and allocate their resources, and ensure that the results produced is timely, cost effective, and of the highest standard of quality.

This manual provides clear guidance to all programme and administrative personnel who are involved in the management and implementation of programme and project activities, on the management of technical cooperation trust funds and projects. The manual incorporates all the existing ST/SGBs and ST/AIs on the establishment, management and control of Technical cooperation and general trust funds; and provides operational guidelines and procedures on the Project management.

The Manual is also meant to provide hands-on training to the new staff of the Commission who are involved in the day-to-day management of XB funds to enable them take-off on the right footing by providing needed information not only on what to do but also how to go about it and who to meet.

As the Commission and its management practices continue to evolve, the guidelines will also need to be updated regularly to be fully useful and effective.

1. Preparation and Review of Project proposals:

Project proposal for donor support should follow the following format:

a. Every project document must have a title. Clearly State the Title of the Project.

b. Background information and justification:

This section of the project proposal should state why you want to execute the project; the Problem statement; Background of the problem - Why is this considered as a serious problem and what negative effect does it have on the member States (if any); Any previous efforts to solve the problem (work done in this area, discussed in different forums)? Is your effort a new initiative or a continuation or strengthening of earlier initiative in the area of concern? (If continuation, give a brief summary of the success or otherwise of previous work); what linkage(s) exist with other similar initiatives (previous or on-going within or outside the commission). What is the linkage with ECA's approved biennial regular programme?

c. Objective(s):

What is the overall goal of the project – what does the project aim to achieve? How can the success of the project be measured?

Define the specific objective(s) of the Project.

It may require a number of projects to achieve a particular objective. In such a case, the objective should state, "To contribute to....."

d. Expected Results – Output, Outcomes and Impact:

Define very clearly your expected Output(s) (short-term results); Outcome (medium-term results); and Impact (long-term results). (Please refer to ECA's M&E Reference Framework)

e. Project Activities:

List and describe the project activities you need to carry out to achieve the expected results (d above).

While planning the project activities, you must ensure that every selected activity addresses at least, a specific output and contributes to the outcomes and overall objectives of the project.

Ensure that the activities are clearly defined so that they do not constitute an objective. Therefore activities must start with a "verb" and not with a "noun"; e.g. "prepare and review the job descriptions of the project personnel". They must be measurable and monitorial and achievable within the time frame of the project and must be clear (no ambiguity). Also ensure that while preparing the project proposal, the cross-cutting issue of gender equality should be integrated into all activities where possible.

Note: Please walk through the formulated activities to ensure that these indeed address the specific outputs and contribute to the outcomes and the overall objective of the project. If they do not, then redefine your activities. Also indicate the time frame for each activity. While defining the time frame, please ensure that you make adequate allowance (time lag) for the required project related administrative, recruitment and procurement action which normally takes longer than anticipated.

f. Performance Indicators:

Specify your output, outcome and impact level indicators for the various levels of the expected results, i.e. what evidence is available to show or confirm that planned output, outcome and project objective has been achieved? The Indicators should be "SMART" – Specific, Measurable, Achievable, Relevant (Realistic) and Time bound. They can be quantitative and/or qualitative.

The challenge of selecting indicators is to find measures that can meaningfully capture the key changes – by combining what is substantially relevant with what is practically realistic. The following questions may be helpful in selecting the right indicators:

Valid - Does the indicator capture the essence of the desired result?

Practical – Are data actually available at reasonable cost and efforts?

Precise meaning - do stakeholders agree on exactly what to measure?

Clear Direction – are we sure where the increase is good or bad?

Owned – Do stakeholders agree that this indicator makes sense to use?

Sample Indicators attached as Annex-VI-E.

g. Implementation Strategy:

Clearly state your implementation strategies. How should the implementation of the project be organized? This will also include the project management structure/plan – who takes part in the project (partners) and who is responsible for what? How do you plan to monitor and evaluate results as the project progresses? Remember to state the duration of the project and provide for time lag to allow you some breathing space in the course of the project implementation. (Particularly where procurement and recruitment of new personnel are involved,)

It should also include advice on strategy to maximize stakeholder involvement in the project implementation, as a way to optimize quality results

Do prepare and attach Project Implementation Plan (as an annex) to the project proposal.

h. Geographical Coverage:

Indicate the member States being covered under the proposed project and the selection criteria used. The magnitude/prevalence of the problem that your project intends to address should not be the sole determining factor. While selecting the countries to be covered under this project, always take into account the regional and language balance of the member States.

i. Risks Assumptions:

Assess and describe the risks factors (internal as well as external) that could possibly jeopardize or affect the smooth implementation of the project and propose ways to mitigate or minimize the risks.

Please ensure that assumptions are worded positively, i.e. that they describe the circumstances required to achieve certain objectives. These assumptions are assessed according to their relevance and probability (How likely is it that a certain condition will exist in the future?)

j. Logical Framework Matrix:

Using a logical framework approach (see Annex VI-A), provide a linkage between, the result based work plan, results based budget, detailed justifications and the expected results (output, outcome and impact).

k. Resources Requirements:

Determine and quantify the financial and human resources required to carry out the planned activities. Quantify and cost the equipment and supplies required for the entire project. Prepare the project budget by activities and do provide for any evaluation cost if required..

Note: In estimating the project cost, the budget lines should correspond to planned activities (refer to Annex V); the only exceptions being the miscellaneous expenditure and project support costs (13%) - it is mandatory for all UN projects to include the 13% overhead cost. As much as possible, include any contingency costs into the main substantive activity budget lines.

l. Peer Review:

Share and review the project document (proposal) with staff members within your team/division for comment and feedback particularly on the content and scope of the project, in accordance with relevant quality assurance standards within the organization. Experience has shown that most projects are very ambitious especially when they are dealing with burning socio-economic and development issues and this can be corrected when it is collectively reviewed by the team members.

Before the project document (proposal) is finalized by the division, a copy of the project document should be submitted to the PATCO/OES office for review and comments, particularly in the areas of content, format, budget, donor priorities and consistency/compliance with the UN rules and

regulations. Please note that only PATCO office is authorized to transmit the finalized project document to the donor.

(Please note that a finalized "project proposal" becomes a "project document" which can be submitted to the donors.

2. Establishment of a Trust Fund (TF) at ECA:

Any project proposal or draft resolution to establish a general trust fund requires the submission of a report on the establishment and management of the trust fund as well as its implications for the regular budget, if any.

The trust fund proposal is reviewed to determine, whether it meets the policies and guidelines laid down in ST/SGB/188, whether advice is required from other offices and whether there is any direct or indirect financial implications for the regular budget. The findings of the Budget Division in UNHQ are included in the report on the proposed trust fund submitted to the General Assembly. Following approval of the trust fund by the General Assembly, the Controller designates the implementing office. The implementing office completes part I of the form F.238 and forwards it to the Budget Division, together with the description of the proposed trust fund, a copy of the proposed agreement with the donor (s) and estimates of income and expenditure phased by the calendar year.

3. Trust Fund Agreement and Letter of Agreement:

Receipt and administration of funds in respect of any project requires a proper agreement or a letter of agreement between ECA and the prospective donor. An agreement is usually done for funding a project consisting of many activities. Such agreement has to be in conformity with the provisions of the model agreement set out in Annex I. The model agreement is intended to set out the purpose of the project and the modalities for the payments, receipt and expenditure of the funds. For one time activity like ADF, or a workshop, a letter of agreement (Annex II) may serve as a document for ECA to receive and administer donor's contribution.

All projects are charged for programme support functions executed by ECA. The standard rate of Programme Support Cost (PSC) is 13% of the TF expenditures.

PATCO should be consulted in the preparation of the agreement to review and ensure the uniform application of basic policies and procedures, and conformity with the UN rules and regulations. All draft project agreement or Letter of Agreement shall first be submitted to PATCO for review and for forwarding to the Executive Secretary or his designated official's approval.

Please see the attached Annex I for a standard Technical Cooperation Trust Fund Agreement and Annex II for standard letter of agreement used by ECA.

4. Cost Sharing:

It has been observed that many government agencies are prevented by law from paying the entire cost of any grant-supported project. Thus, Partners require assurance that ECA, as executing agency has shared in the cost of funded projects. Typically, cost sharing is derived from the executing agency's salaries and wages of the project manager and staff directly engaged in implementing the project, including all applicable fringe benefits and indirect costs.

In the event that the project manager needs to provide cost sharing, the review and approval of the director of the division is required. The cost sharing amount and arrangements for deposits and disbursements must be documented on the proposal approval form and must be signed by all concerned contributing agencies. Please be aware that voluntary cost sharing is discouraged.

5. Receiving Partners/Donor's Contributions (payments) for Projects:

Contributions for most projects take the form of a direct advance payment of the funds required for the activities over an agreed period. All project funds are to be wire transmitted directly into the designated ECA bank account. The details of ECA bank account are presented in the signed agreement. Occasionally contribution cheques are erroneously addressed to the project manager or respective division chief. These cheques should be immediately handed over to the Finance Section for deposit into ECA's bank account. The cheque must be accompanied by a memo indicating the donor, the cheque number and date, project account number (if already established), the project title and the project manager's name.

6. Acceptances and Confirmations of Pledges:

Should a donor partner decide to make a pledge instead of a contribution, it must be in written form, signed by a responsible representative and should indicate the amount, the type of currency, the method and expected dates of payment and conditions attached by the donor.

If special conditions are attached to the pledge, no acknowledgement of the pledge should be made until the acceptability of such conditions has been thoroughly studied and determined by PATCO and ECA management.

7. Setting-up of the Initial Budget of the project:

Upon the confirmation of the receipt of donor's contribution into ECA's account, the implementing division will receive a communication from PATCO to submit for approval an initial budget of the project in line with activities detailed in signed project document. The budget should be prepared using the standard budget lines for XB projects as detailed in Annex V.

The initial budget should be submitted to PATCO along with:

- a) Approved Project document and/or Aide Memoir;
- b) Result Based Work Plan ; (Annex VIIB)
- c) Draft Budget; and
- d) Funds allocation and/or funds receipt advice (available with Cashier's office).

The above documents are reviewed and endorsed by PATCO, before being forwarded to the Finance Section for the setting up of the project account. These include: allotting a project number, a project account and entering the budget allotments into IMIS. On the completion of the above exercise, the funds can then be accessed and expended by the implementing division.

8. Responsibilities of Project Managers (Directors of Divisions/SROs):

The project/programme manager or his/her designated official is responsible for the technical, administrative, and financial management of a project, including:

- a) Familiarity with applicable partner/donor and UN rules and regulations;
- b) Conducting the work in a timely manner and with professional competence;
- c) Complying with the terms and conditions of the project agreement;
- d) Assuring the expenditures comply and are inline with approved budget;
- e) Maintaining budgetary control through departmental bookkeeping and cost control systems using the income/expenditure analysis table in Annex IX;
- f) Certifying that all costs charged to the project account benefits the project; and
- g) Complying with all reporting requirements, which include periodic progress reports, as well as final technical and financial reports.

9. Responsibilities of Partnership and Technical Co-operation Office (PATCO):

The responsibilities include:

- a) Review project proposal and ensure compliance with partners/donor's requirements and in line with the UN rules and regulations.
- b) Signing the project proposal, continuation proposals and budget revisions;
- c) Negotiating the terms and conditions of the project agreement. Interpreting and informing divisions of the terms and conditions of the project agreement and partners/donor requirements obligatory to the grant;
- d) Transmitting the official signed project document and approved budget to the division as well as to the donor;
- e) Acting as a liaison with the donor;
- f) Establishing the project account in ECA's financial system;
- g) Regularly monitor ongoing projects to ensure that the funds are used for the intended purposes.
- h) Reviewing the budget and subsequent budget revisions to determine consistency with the result based work plan and UN rules and regulations;
- i) Requesting for preparing the expenditure reports from the accounts section, sharing the same with divisions before submitting to the donor;
- j) Provide support for Monitoring, evaluation, reporting and follow-up of the implementation of projects;
- k) Coordinating responses to the audit reports; and
- l) Providing management and guidance to divisional project managers regarding management of donor funds.

10. Special Circumstances and Post-Award Changes:

The extent to which a project/programme manager can authorize expenditures that differ from those set forth in the project's approved budget and scope of work varies from case to case and Partner to Partner. In some cases, any deviation from the approved budget and scope of work requires Partners' prior approval. Therefore, it is absolutely necessary that the project manager and/or division representative thoroughly understand the approved terms of each specific agreement before processing any expenditure transaction that deviate from the original approved budget. Whenever there is any doubt, the project manager or division representative should refer to the donor's agreement as well as discuss with PATCO. If a budget revision is required to accommodate the expenditure, then PATCO should be contacted to coordinate and effect any budget changes.

11. Prior Approval from Partner/Donor for Substantive or Financial Charges:

Many project agreements require ECA to obtain specific written approval from Partner/Donor before substantive or financial changes are made. Prior approval is necessary when major changes are required in the budget and scope of work. In some cases even minor changes require prior approval. In such cases, PATCO will advise the next course of action.

When prior approval is required, the project manager is responsible for initiating the request in writing and justifying the required changes. The written request must be signed and forwarded to PATCO for review. If endorsed by PATCO, the request will be forwarded to the partner/donor with justifications and explanation, on why the change is being requested. Changes to the project will not be made until written approval from the Partner/donor is received. Please note that some selected Partners grant ECA an expanded authority to approve some of the above changes without obtaining prior approval. If any further information is needed, please contact PATCO.

12. Pre-Award Costs:

Under certain circumstances, sometimes the partner/donor allows ECA to incur expenditures on a project before the actual start date. Some donors are very particular about incurring costs on projects until a formal agreement has been signed. However, it is recognized that it may be necessary to incur costs before the start date. Justifications to incur pre-award cost may include, maintaining the continuity of an ongoing project, or to obtain necessary start-up equipment or supplies for a new project to take off. The authority to incur pre-award costs must first be obtained from the Comptroller.

The first requirement for any pre-award spending approval is partner/donor's authorization. If the partner/donor allows ECA to incur pre-award costs, the following conditions must be met:

- a) A firm commitment, in writing, from the partner/donor to release the grant;
- b) Documentation as an evidence to prove of an essential need to advance or commit the funds; and
- c) Identification of an alternate funding to cover the risk of a delayed start date or failure of the partner/donor to make the anticipated release of grant.

13. Six monthly and Year-end Accounting Reports:

The Finance Section prepares six monthly (30 June) and end of the year (31 December) financial reports for each project which are sent to the financing donors and partners as well as distributed to the implementing divisions to notify the latest financial status of the project. With the assistance of the division's project officer, the project manager must ensure that expenditures charged to the project account are accurately reflected. It is also important that charges are submitted to clear the unliquidated obligations as quickly as possible. In addition to six monthly and end of year statements, the project manager can always request for an interim financial statement as and when required.

14. Technical and Progress Reports:

It is mandatory for ECA to provide periodic report to its partners and donors on how the projects that are financed from extra budgetary resources are being implemented. These periodic reports are:

- a) Six monthly financial reports;
- b) Semi-annual/annual progress narrative reports on the progress of project activities; and
- c) Terminal or final project reports at the completion of all project activities.

To ensure uniformity and strict adherence to both the UN Secretariat and Partners requirements and standards, it is important that all progress and final report on all XB projects and activities follow a uniform and standardized report format. The PATCO has developed a standard report format in line with the Result Based Management framework and this is attached as Annex IV.

The preparation of the semi-annual and annual progress reports as well as the project terminal reports is the direct responsibility of the respective project managers. All draft donor reports should first be forwarded to PATCO for review and to ensure that it meets Partners/donor's as well as in-house standard expectations. The submitted reports will be reviewed and returned to the concerned Division for any necessary correction and finalization. The finalized document should be returned to PATCO for final review and for onward transmission to the concerned donor/Partner.

Some Partners have different and specific reporting format which is quite different from other donor partners. The preparation of both the progress and terminal reports for this group of Partners though specific, will also follow the above-mentioned review and finalization procedure.

15. Budget Revisions and Budget Control Forms:

The XB budget revision process allows Programme Managers some flexibility to move funds between budget lines in order to reallocate funding between project activities necessitated by unforeseen increase or decrease in the cost of project implementation, and/or to accommodate unforeseen project expenses at the time of planning. Normally, only two Budget Revisions are done in a year - in the first and second half of the year respectively. Reallocations between budget lines shall be limited to the amount estimated in the project document. Every travel on XB budget must relate to an expected deliverable of the project and appropriately justified in the Result Based Work Plan.

A) BUDGET REVISIONS

Budget Revision is prepared when:

- a) Additional funds are received and/or allocated to the project account;
- b) There is an agreed and approved change in the Result Based Work Plan; and
- c) Funds are reallocated between the budget lines.

Justifications for the revision have to be submitted along with a revised Result Based Work Plan.

Semi-Final Budget Revision

A Semi-final revision is prepared to operationally close a project when all programmed project activities have been completed, and to give time to the Programme Manager to liquidate obligations. (Semi-final revision should be prepared by the concerned PMO in the PATCO Office)

Once a semi-final revision has been approved and signed, no further expenditure is allowed on the project account.

Final Budget Revision

A final revision is prepared to operationally and financially close the project. This is done when all project activities have been completed and there is no outstanding obligations in the project account. Raising a Final Revision is the responsibility of PATCO.

B) BUDGET MONITORING FORMS

The main objective of preparing a Budget Monitoring Form is to provide confirmation that the planned activity to be carried out is in line with the Result Based Work Plan and the approved project document; and Budget line being charged is the approved line for the activity and there are sufficient funds to cover the planned expenditure.

This form is important and it is expected to assist Programme Managers in carrying out their certifying and approving functions.

While raising a budget monitoring form for signatures of PATCO, the following documents should be attached to the form:

- **For Staff Travel:** Evidence of actual or estimated cost of travel like booking slips from UN travel agent, and a copy of the approved travel plan of the Division must be attached;
- **For Consultant Travel:** Evidence of actual cost of travel like booking slips from agent, and a copy of the signed and approved SSA must be attached;
- **Recruitment of a Consultant and/or Project staff:** The Terms of Reference and approved memo from HRSS must be attached;
- **For transfer of funds to the implementing partner/agency:** The request must be accompanied by the relevant Project Agreement or MOU with the partner/agency and a formal request for disbursement clearly stating the amount involved.
- **For other payments:** The appropriate source document and related invoice stating clearly the amount involved must be attached.

16. Miscellaneous Tasks/Issues related to Project Implementation:

a. Recruitment and other Personnel issues:

For hiring consultants and other support staff, the project manager is required to adhere to UN Personnel Policies regarding the appointment of personnel on projects. For hiring a new employee on a project account, the Terms of Reference and approval memo from HRSS along with the signed budget monitoring form should be completed before initiating the recruitment process. Project managers/directors must clearly understand that an individual is not considered eligible to be hired until all hiring approvals have been officially granted.

In addition to the above, any proposed post at the P-6 or D-1 level and above must be endorsed by the Controller, who will transmit the request to ACABQ to obtain its concurrence. The concurrence of ACABQ for such posts must be obtained pursuant to General Assembly decision 35/217.

If existing employees are transferred in whole or in part to a project account, the project manager/division director is responsible for completing a "Personnel Action Request" (PAR) form. By promptly completing the PAR form, the employee's salary will be apportioned between the various accounts to which effort is devoted. In the case of a current employee, the project manager may contact the Finance Section to obtain a copy of an employee's most recent account distribution. This will save time in assuring that the appropriate accounts are changed. The PAR is then routed through appropriate signature channel.

b. Staff and Consultant Travel:

Every travel on XB budget must relate to an expected deliverable of the project and appropriately justified in the Result Based Work Plan. All XB Staff funded from XB resources must receive approval of the Office of the Executive Secretary. A signed budget monitoring form must be obtained from PATCO and submitted to the Travel Unit in the General Services Section, before any Travel Authorization (TA) can be approved. In the case of Consultant's travel, a copy of the signed and approved SSA must accompany the request for budget monitoring form approval.

c. Procurement of Services:

Procurement of goods and services remains a centralized activity in the Commission, and is governed by the UN rules as stated in the UN procurement manual and under the UN Financial rules and regulations. The former provides a delegation to the ES with respect to contracts and purchases; the later indicates the threshold limits by the organization.

Programme Managers requiring goods and services for project implementation should forward their requests to the Procurement Unit in the General Services Section under the Division of Administration. The SRO Directors are given authority to procure goods and services up to a certain limit. (See relevant DoA notes on Delegation of Authority to SRO)

d. Cooperative Agreements, Sub-Contracts and Memoranda of Understanding:

In many cases, an award involves subcontracting a portion of work to an outside organization. Typically, the terms and conditions of the prime award are applicable to the subcontractor. Project managers should include the scope of work and budget for subcontracted items in their original proposal submission. Any subcontract that was not included in the original proposal requires donor's prior approval before it can be executed. The project manager and PATCO are responsible for developing and negotiating all cooperative agreements, subcontracts and memoranda of understanding.

e. Payment schedules and procedures for Sub-Contracts:

The payment schedule and procedure for all cooperative agreements and subcontracts should be agreed upon at the time of developing and negotiating such agreements. Care should be taken while making payments for such agreements to ensure that at least 30% of the contract sum is payable only on completion of the assignment and submission of relevant technical and financial reports. As far as possible, the payment should be effected/routed through the SRO office in the region or the UNDP office if SRO office in the region can not handle the transaction.

It is recommended that when payments are made to member States, sub-contractors as well as Institutional contractors, copies of these vouchers should be sent to PATCO.

f. Account Overdrafts, Deficit and Disallowed Expenses:

The project manager is personally responsible for assuring that the project expenses remain within the limits of the approved budget and as such he/she is personally liable for the deficit authorized

against any project under his/her purview. It is therefore his/her responsibility to secure funds from the division's other XB resources to rectify the overdraft or disallowed expenses.

g. Carry forward of Unencumbered (unspent) Balances and No-cost Extension of MoU or Project Accounts:

Carryover of unencumbered balances from one budget period to another often requires written prior approval from donor. Different donors have different rules regarding funds that are unspent at the end of a budget period in a multi-year project.

Should a project manager unable to utilize an unencumbered balance, he/she should notify PATCO with justifications, at least 90 days prior to the end of the project period. PATCO will then send a formal request to the partner/donor for a no-cost extension of the agreement or MoU. The request for a no-cost extension must be received well in time to allow sufficient time for the required consultations and approval of the Partner/Donor.

h. Operational and Financial closure of Project Accounts:

At the end of the project, the partner/donor usually requires the executing agency to submit a final financial report detailing project expenditures and a final substantive report of the results achieved. The partner/donor may also request for other items, such as disclosure of any inventions that were made in the course of the implementation of the project. These reports must be provided within 90 days after the end of the project.

The preparation of the final (terminal) report of the project is the direct responsibility of the respective project managers.

A project will be operationally closed when all the planned project activities have been completed; and financially closed when all payments have been made and outstanding obligations on the project fully liquidated. A project is deemed to be operationally and financially closed when the above two conditions have been met, and the mandatory final financial and final narrative technical reports transmitted to the partner/donor.

j. Preparation of Activity Cost Plan:

While preparing an activity cost plan, actual cost of all possible tasks, duties, chores and jobs required for the activity must be included. The format is attached as an Annex XII.

k. Orientation programme for first-time project managers:

PATCO organizes a training session for all incoming first-time managers.

17. Evaluation:

The UN evaluation objectives which clearly states, that the each Programme Manager will undertake periodic evaluations to determine the relevance, efficiency, effectiveness and impact of project activities in relation to their objectives and enable the Secretariat and member States to engage in systematic reflections to measure the effectiveness of the main projects and programmes by altering their contents and if necessary, reviewing their objectives.

The monitoring function addresses timeliness, task completion, and resource use; evaluation addresses work quality and its impact on and value for member States. The evaluations are inputs to decisions on policies, plans and work programmes, and including resource allocation.

The responsibility for evaluation rests in the first instance with the team leaders and Programme Managers who also execute the work programme. This responsibility must be given priority attention as an increasingly essential dimension of the overall ECA work programme. As per the project management guidelines & rules and Partners requirement, every XB funded project should be internally and/or externally evaluated. Hence, Programme Managers or Project Officer at the time of preparing project proposal and project budget should keep a separate budget line for planned in-depth evaluation. The periodicity and TOR for such an evaluation should be worked-out in collaboration with PATCO office as well as with technical support from the Monitoring and Evaluation Section (OPM), and in close consultation with the funding partner.

OES is also directly involved, both to ensure the effectiveness and impact of the Commission's activities, and also to convey results to UNHQ, as appropriate. The evaluation review may be included as part of the quarterly programme reviews with each division or conducted separately as required. Measuring outcomes and impact is not a trivial task and will demand creative approaches to devising methodologies and impact measures with which to do so. Where possible, comparable counterparts should be found in the use of benchmarking from the information systems of the other regional commissions. Capturing and promulgating "best practices" is an excellent way to enhance ECA's impact, given its unique placement in, and networking in and about, Africa. (Please see the ECA M&E Reference Framework)

To ensure the highest quality of results from project management, project managers are encouraged to adhere to ECA's Guidelines on Quality Assurance.

18. Audit:

Audits are normal and regular exercises in the UN to ensure that rules and regulations are strictly adhered to for development results to be achieved.

All XB funded projects are subject to audit by the UN Internal and External Auditors appointed by the UN General assembly. Auditors have the right of access to all official records associated with a project. ECA is obliged to make such records available for examination. Although PATCO office maintains the official records relating to the projects, auditors may visit divisions to review supporting documentation and interview personnel who have certified expenditures on projects. For this reason, it is of utmost importance that individuals who have entrusted with the approving and certifying responsibilities to keep track of, and be able to confirm that the report or expenditure they have certified was accurate at the time it was signed. The PATCO will inform in advance, all project managers and divisions of any impending audit..

19. Quality Assurance of XB funded Projects:

Quality assurance process starts with the question: would the things we are planning to do (activities and outputs) generate meaningfully the results envisaged, and if so, what procedures and steps do we need to have in place to ensure that actual results are maximized with respect to beneficiaries (member States)?

This process is reinforced by regular assessments of the quality of processes relating to on-going activities and application of the findings, conclusions and recommendations of activities already executed through an adaptive management system.

Quality Assessments:

Quality of a project at entry (project proposal stage) would be assessed on the basis of the following requirements:

Relevance; adequacy of implementation plans; resource availability; stakeholder involvement; and catalytic role and or sustainability of project outcomes

- Quality of outputs and results of projects completed would be assessed on the basis of the following indicators
- The attainment of project objectives and planned results; project management; resource mobilization and utilization; stakeholder management; and sustainability of project outcomes.

The complete checklist for Quality Assurance (at Entry) and Quality Assessment of Outputs and Results for XB Projects is attached as Annex XI.

UNITED NATIONS MODEL TECHNICAL CO-OPERATION TRUST FUND AGREEMENT

WHEREAS the United Nations, represented by (Hereinafter referred to as "the (implementing office)", and the Government of (recipient country);

Have agreed to co-operate in the implementation of a project(s) in, (recipient country) entitled ("hereinafter referred to as "the project(s)"), which project(s) is summarized in attachment A hereto [and is more fully described in a project document(s) dated"];

WHEREAS the Government of (hereinafter referred to as "the donor Government") has informed the United Nations of its willingness to contribute funds to meet the costs of the project(s) (on the basis of the project document(s) dated a copy of which has been provided to representatives of the donor Government);

WHEREAS it has been agreed between the United Nations and the donor Government that the (implementing office) shall be responsible under the term's of this Agreement 6 the management of the funds contributed by the donor Government to meet the costs of the project(s)
NOW THEREFORE, the United Nations and the donor Government hereby agreed as follows:

Article 1

a. The donor Government shall, in the manner referred to in paragraph 2 below, place at the disposal of the (implementing office) the sum of \$US and the (implementing office) shall use such funds to meet the costs of the project(s) as shown in attachment A;

b. The donor Government shall, in accordance with the schedule of payments set out in attachment B to this Agreement, deposit the aforesaid funds in convertible currencies of unrestricted use, to an account designated by the (implementing office) at the (name and address of bank of deposit);

c. The (implementing office) shall establish a trust fund under Financial Regulations and Rules of the United Nations for the receipt and administration of the aforesaid funds;

d. The trust fund and the activities financed therefore shall be administered by the (implementing office) in accordance with the applicable United Nations regulations, rules and directives. Accordingly, personnel shall be engaged and administered; equipment, supplies and services purchased; and contracts entered into in accordance with the provisions of such regulations, rules and directives; and

e. All financial accounts and statements shall be expressed in United States dollars.

Article 2

- a. trust fund shall be charged with expenditures incurred by the (implementing office) in the performance of activities under this Agreement;
- b. The trust fund will also be charged with thirteen (13) per cent of all expenditures from the trust fund, which percentage shall be a charge for programme support services provided by the (implementing office) in the implementation of the project(s) financed under the trust fund; and
- c. The trust fund will also be charged with an amount equivalent to one (1) per cent of the remuneration or net salary of persons engaged by the (implementing office) and whose engagement is financed by the trust fund, to provide a reserve for coverage of any claim for service-incurred death, injury or illness, under the applicable United Nations regulations and rules or contracts, which reserve cannot be refunded to the donor Government.

Article 3

- a. The (implementing office) shall commence and continue to conduct operations under this Agreement on the receipt of contributions in accordance with the schedule of payments set out in attachment B;
- b. The (implementing office) will not make any commitments above the amounts specified for expenditure in attachment A; and
- c. If unforeseen expenditures arise, the (implementing office) will submit a supplementary budget to the donor Government showing the further financing that will be necessary. If no such further financing is available, the assistance provided to the project(s) under this Agreement may be reduced or, if necessary, terminated by the (implementing office). In no event will the (implementing office) assume any liability in excess of the funds provided in the trust fund.

Article 4

Ownership of equipment, supplies and other property financed from this trust fund shall vest in the United Nations. On the termination or expiration of this Agreement, the matter of ownership shall be determined in accordance with the provisions of the applicable project agreement between the United Nations and the Government of (recipient country); or, should the applicable Project Agreement not contain any such provisions, then the matter shall be a subject for consultations between the donor Government and the United Nations.

Article 5

Evaluation of the activities financed from this trust fund, including joint evaluation by the (implementing office); donor Government and recipient Government shall be undertaken in accordance with the provisions contained in attachment A.

Article 6

This trust fund shall be subject exclusively to the internal and external-auditing procedures laid down in the Financial Regulations, Rules and directives of the United Nations.

Article 7

The (implementing office) — shall provide the donor Government with the following I statements and reports prepared in accordance with the United Nations accounting and reporting procedures:

- a. An annual financial statement showing income. Expenditures, assets and liabilities as of 31 December each year with respect to the funds provided by the donor; and
- b. A final report and a final financial statement within six months after the date of expiration of termination of this Agreement.

Article 8

The (implementing office) shall notify the donor Government when, in the opinion of the (implementing office) the purposes for which the trust fund was established have been realized. The date of such notification shall be deemed to be the date of expiration of this Agreement, subject to the continuance in force of Article 10 for the purposes there stated.

Article 9

This Agreement may be terminated by either party on 30 days' written notice to the other party, subject to the continuance in force of Article 10 for the purposes there stated.

Article 10

On termination or expiration of this Agreement under Article 8 or 9, the funds will continue to be held by the (implementing office) until all expenditures incurred by the (implementing office) have been satisfied from such funds. Thereafter any surplus remaining in the trust fund shall be [disposed of as indicated by the donor Government] (used for a purpose determined by the (implementing office) in consultation with the donor Government].

This Agreement shall enter into force upon signature.

IN WITNESS WHEREOF, the undersigned, being duly authorized thereto, have signed the present Agreement in the English and _____ languages in two copies at this day of _____.

For the Government of.....	For the United Nations Economic Commission for Africa
<p>_____</p> <p>Name: _____</p> <p>Title: _____</p> <p>Date: _____</p>	<p>_____</p> <p>Name: _____</p> <p>Title: _____</p> <p>Date: _____</p>

Format for the Letter of Agreement

A. Example of Initiating the Process of Letter of Agreement by ECA

Dear Mr. / Ms.....,

Subject: **Letter of Understanding**

Realizing the importance of women's health as stressed in the MDGs, ICPD and Beijing and Dakar Platforms for Action, to improve the maternal and neonatal care of mothers, the **(Organization name)** and the United Nations Economic Commission for Africa (UNECA) are organizing a training workshop on 'Women's Rights and Maternal Mortality Reduction' with the objective of ensuring that all women who develop life-threatening obstetric complications are supported with the emergency care required to save women's lives. An agreement is being reached to finance the training workshop, which will be held in2010.

The major objectives of the Conference are the following:

- Identify the priority problems to enhance maternal and neonatal survival in Southern Sudan;
- Identify national competencies (clinical officers who have been previously acting with caesarean sections) who already have executed surgical interventions because of lack of medical officers;
- Identify training needs of staff required in Southern Sudan to scale up current interventions to enhance maternal and neonatal survival;
- Expand the evidence base in support of effective maternal and neonatal mortality in Southern Sudan; and
- Increase recognition and acceptance of the category among national policy makers and opinion leaders.

Name:.....

Title:.....

Organization:

Address:

Tel:

Fax:

In connection with the above and as a contribution to the overall wellbeing of improvement of women which is related to its program, I am pleased to inform you that ECA is prepared to transfer to **(Organization name)** a the sum of US\$.....to meet expenses relating to the organization of the training workshop.

ECA would therefore like to confirm and agree with **(Organization name)** that:

- I. Upon signature of this letter, ECA will transfer % of the total sum which is US\$ (.....Dollars). Upon completion of the activities and submission of the final and financial report, the remaining % which is US\$ (.....Dollars) will be transferred.
- II. Upon receipt of funds from ECA **(Organization name)** shall in writing acknowledge receipt of funds;
- III. ECA authorizes **(Organization name)** to use the contributions for expenses relating to the organization of the Workshop 'Women's Rights and Maternal Mortality Reduction;
- IV. The funds received by **(Organization name)** will be solely used for the intended purpose;
- V. This agreement shall enter into force upon signature of both parties, **(Organization name)** and ECA;
- VI. **(Organization name)** shall provide to ECA, a final report and certified financial statement within 6 months after the signature of this Letter of Agreement;
- VII. Any unspent fund will be transferred to ECA based on the certified financial statement; and
- VIII. Any dispute over the interpretation or application of any of the above-mentioned Provisions herein shall be settled through negotiation or by such means, as ECA or shall mutually agree.

Please confirm your concordance to the terms of this Agreement by signing and returning copy of the acceptance below.

Yours sincerely,

For the (Organization name)

Name:

Title:

Signature: _____

Date: _____

B. Example of Initiating the Process of Letter of Agreement by a Donor and/or Acceptance of the Letter of Agreement by ECA

day, month 2010

Dear.....

Subject: Letter of Agreement

I am pleased that ECA is prepared to receive and administer the **(Organization name)** payment for Interpretation services for the African Experts workshop on Review of Effectiveness of Environmental Impact Assessment Systems taking place in Addis Ababa, Ethiopia from the2010.

Now therefore, **(Organization name)** would like to confirm and agree with ECA that:

- (a). Upon signature of this letter, **(Organization name)** will transfer the sum of US\$
(.....Dollars) to the UNECA account below:

UN ECONOMIC COMMISSION FOR AFRICA
JP MORGAN CHASE/INTERNATIONAL AGENCIES BANKING
1166 AVENUE OF THE AMERICAS, 17TH FLOOR
NEW YORK, NY 10036-2708
US DOLLAR A/C NO. 485000539
SWIFT CODE: CHASUS33
ROUTING # 021000021
USA

- (b) **(Organization name)** payment shall include a provision not exceeding 13% of the total amount to assist with the defrayment of the cost of administration and other expenses incurred by ECA directly relating to the interpretation services for the above-mentioned workshop.
- (c) Upon receipt in ECA's account, ECA shall in writing acknowledge receipt of funds.

- d) **(Organization name)** authorizes ECA to use the contributions for payment of Interpretation services.
- e) The funds received by ECA will be solely used to settle issues relating to Interpretation services for the workshop.
- f) This agreement shall enter into force upon signature of both parties, **(Organization name)** and ECA.
- g) ECA shall provide to **(Organization name)** a final certified financial statement within 3 months after the end of this workshop; and
- h) Any dispute over the interpretation or application of any above-mentioned Provisions herein shall be settled through negotiation or by such means, as ECA or **(Organization name)** shall mutually agree.

We look forward to deliberating with your organization during this important workshop.

Sincerely yours,

Name:.....

Title:.....

The undersigned organization, agrees to the terms and conditions set forth in this agreement.

For the Economic Commission for Africa (ECA)

Name:

Title:

Signature: _____

Date: _____

SAMPLE OF CURRENT JOINT FINANCIAL AGREEMENT

JOINT FINANCING ARRANGEMENT (JFA)

BETWEEN

THE UNITED NATIONS ECONOMIC COMMISSION FOR AFRICA

AND

THE POOL - FUND PARTNERS

The United Nations Economic Commission for Africa (hereinafter referred to as UNECA) and the Government of Denmark, Sweden, Norway and the United Kingdom of Great Britain and Northern Ireland (hereinafter referred to as Pooled Fund Partners), desiring to work together in a spirit of partnership in order to address Africa's development challenges and support the development priorities of African Union (AU) and its NEPAD programme through support for the implementation of the UNECA Business Plan 2010-2012,

Agree to adhere to the following:

Section 1 Objectives and Definitions

1. The overall objective of this Joint Financing Arrangement (JFA) is to assist and facilitate the work of ECA in support of the AU and the Regional Economic Communities (RECs) and Member countries as anticipated in the UNECA Business Plan 2010-2012, with particular focus on:
 - Promoting regional integration in support of the AU vision and priorities.
 - Meeting Africa's special needs and the emerging global challenges, particularly within the context of achieving the MDGs.
2. This JFA specifically covers extra-budgetary contributions from the Pooled Fund Partners who have agreed to provide their funding through the mechanism of a pooled fund. Any new partners are welcome as a signatory to this JFA and to provide funding to the pooled fund.
3. Areas to be financed by the Pooled Fund Partner shall be outlined in an agreed Pooled Fund Partnership Programme, covering a period of three years. Bilateral agreements will be established through letters of exchange that are compatible with the spirit and provisions of this JFA.

4. Activities supported under this joint financing arrangement should be based on a bottom-up, needs based and result oriented approach and contribute to the implementation of the UNECA Business Plan 2010-2012 endorsed by the African Union Summit of African Heads of State and Government held in Banjul, Gambia on 1 and 2 July 2006, and the Conference of African Ministers of Finance, Planning and Economic Development where also partners were invited. A programme approach, including co-ordination and harmonization with other multilateral or bilateral donors, should be applied in accordance with the Paris declaration on Aid Effectiveness.

Section 2

Dialogue and Consultation

Policy Dialogue:

1. Policy forum such as The African Development Forum (ADF) and the Big Table provides unique avenues to advance Africa-driven development through dialogue, and mobilization of consensus and partnership around African stakeholder goals. UNECA will continue, in cooperation with all partners, including the Pooled Fund Partners, to improve and strengthen such forums, particularly follow up and implementation of its outcomes. These forums provide important input to the priorities and work of UNECA. It will also encourage improved coordination and coherence in the international support to African countries and major intergovernmental organizations in Africa.

Knowledge networks of key researchers, practitioners and policymakers particularly in Africa but also including multilateral and bilateral partners such as the Pooled Fund Partners, will enhance UNECA's capacity to serve as a "think-tank" and repository of knowledge on critical development issues in Africa.

2. UNECA Partners Forum will be convened bi-annually to interact and share information between UNECA and partners as well as the stakeholders on how funds entrusted to the Commission are being used, and to exchange views on the emerging development priorities for Africa as well as discussing UNECA initiatives in support of these priorities.

Technical dialogue:

3. Thematic working groups of the Partners Forum will facilitate discussions and review of progress on coordinated partnerships and on concrete activities and project. Deliberations and exchange of views at this forum should further enrich the partnership process.
4. Annual meetings to review progress and discuss future cooperation between UNECA and the Pooled Fund Partners will be held prior to, or on the same date as, the end of the year

Partners Forum. Other meetings may be called on an ad hoc basis, as and when required, and may be called by either the UNECA or the Pooled Fund Partners.

The modalities for the dialogue and consultations in this section (items 2, 3 and 4 above) are provided in annex 1 of this JFA

Section 3 Contribution

1. The Pooled Fund Partnership Programme shall indicate the size of its support to ECA. The individual contribution of each partner shall be included in the MOU to be signed bilaterally with ECA. The amount that will be made available in the period covered by the Programme, should be aligned with the UNECA budget and planning process. The overall amount shall primarily depend upon the quality of UNECA's performance as evidenced by the results achieved. Based on proposals from UNECA, the Pooled Fund Partners shall indicate the overall distribution among programme areas/project activities. See annex 2 - the matrix of activities in the selected areas of Pooled Fund Partners support. The annual amount to be disbursed by partners is subject to parliamentary appropriation and shall be communicated to UNECA as soon as possible in the budgetary year.
2. Contributions will cover, in addition to direct costs of the activities concerned, expenses for administrative and technical backstopping as provided in the UN Financial Rules and Regulations. This is the 13% administrative support cost on all extra-budgetary income received from partners.
3. Disbursements will be made in annual tranches after agreement on the Pooled Fund Partnership Programme, and signing of bilateral agreements. Subsequent disbursements will be made upon request from UNECA and receipt of satisfactory financial and narrative progress reports as referred to in Section V.
4. Pooled funds which remain unused after completion of the Programme, or which have not been used for the agreed purpose, will be returned to the Pooled Fund Partners in proportions to their respective contributions. If UNECA only implement part of the agreed Programme, partners may adjust any outstanding instalments or earmark the remaining part of the contribution to other purposes agreed by the partner. Movements of funds between themes or sub-theme will require discussion and consultation with the bilateral partner.

Section 4

Monitoring, Review and Evaluation

1. UNECA shall be responsible for monitoring, review and evaluation of activities carried out under this Joint Financing Arrangement, including the Pooled Fund Partnership Programme.
2. UNECA shall undertake regular monitoring as part of project and programme management and as needed. The monitoring reports are primarily a UNECA management tool and the Pooled Fund Partners shall in general be provided with copies upon request. When requested, such reports shall be forwarded without undue delay to the Pooled Fund Partners.
3. UNECA shall arrange in-depth independent evaluations of selected projects and programmes and may also choose to undertake thematic evaluations in accordance with its Project Manual and the UN Norms and Standards for Evaluation. For activities under the Pooled Fund Partnership Programme, UNECA shall each year, in connection with the annual consultations referred to in Section 2, inform the Pooled Fund Partners about the schedule for reviews and evaluations planned for the following twelve (12) months. The Pooled Fund Partners may be invited to provide comments and input to the TOR for the evaluation.
4. UNECA shall forward without undue delay to the Pooled Fund Partners any review and/or evaluation report pertaining to activities funded under this JFA including the Pooled Fund Support Programme.
5. At the end of the programme cycle, UNECA and The Pooled Fund Partners may, jointly and with other partners, take the initiative to review the co-operation under this JFA with a view to determine performance and seeking ways of enhancing the partnership.

Section 5

Reporting, Financial Statements and Audit.

1. UNECA shall provide six monthly certified Financial Expenditure Statements to each Partner, showing allocations and use of the funds provided by each Partner. The report will follow the UN format.
2. UNECA shall provide annual reports (the Trust Fund activity report), prepared in accordance with UN accounting and reporting procedures. The report shall provide information on the achievement of goals and objectives set, and include progress on actual outputs compared to planned outputs, outcomes, problems encountered and/or anticipated and any other information relevant to the implementation of the programme. The report shall also contain a financial statement showing allocation and use of the funds, distributions for themes and

sub-themes, analysis of funds anticipated versus funds received, contribution from both Pooled Fund Partners and other sources and other pertinent information.

3. Brief updates on progress will be prepared for the bi-annual meetings of the Thematic working groups.
4. Financial transaction and financial statements shall be subject to the internal and external audit procedures as provided for in the UN financial regulations, rules and directives. A copy of the audited financial statements of the UN shall be submitted to the partner as and when they become available.
5. UNECA will perform all procurement of goods and services in accordance with the UN procurement regulations.

Section 6

Dispute settlement

1. Any dispute, which may arise between Signatories as to the interpretation, application or implementation of this Joint Financing Arrangement, the Signatories will consult with each other in the order to seek an amicable solution.

Section 7

Final provisions

1. This JFA shall enter into force upon signature by all Parties.
2. The JFA may be amended through an exchange of letters between the Signatories, following appropriate consultations.
3. This JFA shall remain in force unless terminated by mutual agreement by all Signatories. One Pooled Fund Partner may withdraw/terminate his support by giving other Signatories three (3) months written notice.
4. Any modification to the Pooled Fund Partnership Programme/budget by the joining of a new Pooled Fund Partner, should be approved by the Signatories of this JFA.
5. The Pooled Fund Partners reserves the right to discontinue transfer of funds, if contractual and/or reporting and accounting obligations are not met; if there are substantial deviations from agreed plans and budgets without prior consultation; or if doubt arises with regard to the

proper use of funds under this JFA for Partnership. Before claiming repayment, The Pooled Fund Partners and UNECA shall consult with a view to reaching a solution for the matter.

6. UNECA shall inform the Pooled Fund Partners immediately of any illegal or corrupt practice in any activity financed under this JFA, whether or not under UNECA's responsibility.

For the Government of —

For the Government of —

For the Government of —

For the United Nations Economic
Commission for Africa (ECA)

For the Government of —

Extra budgetary resources project/activity PROGRESS REPORT

COVER PAGE OF THE REPORT SHOULD HAVE THE FOLLOWING:

PROJECT TITLE:

PROJECT DURATION:

REPORTING PERIOD COVERED:

FINANCIAL IMPLEMENTATION RATE *(in % of the total budget as per annex 1 figures)*

SUMMARY OF IMPACT:

(Should not exceed 3 paragraphs).

Please note: *For projects in early stages, it is understood that there might be limited impact and this could be a description of activities.*

1. REVIEW OF EXPECTED ACCOMPLISHMENTS AND ACTIVITIES IN LINE WITH LOGFRAME MATRIX AS PER PROJECT DOCUMENT

While preparing the matrix, please ensure that the review includes all activities as per the approved project document, and clearly stating the activities which have been completed/accomplished and/or the activities which are under implementation (work-in-progress) in line with the Project Work plan).

A. ACCOMPLISHMENTS

EA1	(As per project document)
I.1.1: Quantitative Performance(Indicator(s) related to EA1)	Give estimate or actual values for the indicator for the time period considered
Qualitative Results achieved for EA1:	Should describe additional results/ impact achieved in the area of EA1.
A.1.1 (Main activities completed in relation to EA1)	Describe the main activities that have been completed in achieving EA1. Include details like number of participants for workshops etc
A1.2	
EA2	
I.2.1: Quantitative Performance(Indicator(s) related to EA1)	
Qualitative Results achieved for EA2:	
A.2.1 (Main activities completed in relation to EA2)	

2. PROBLEMS ENCOUNTERED

(Please elaborate if there were problems with the execution of the project)

- a. Description:
- b. Actions taken to resolve the issues:

3. SUSTAINABILITY

(The extent to which the project leads to some durable, self-sustained process, if/how the accomplishments/impact of the projects can be sustained by implementing entities/partners or stakeholder, and synergies with other development interventions should also be reflected in progress reports.)

4. REVISION OF PROJECT DOCUMENT

Has the project document been revised since its initial submission? Have there been changes to the log frame? If yes please explain.

5. WORK PLAN FOR THE REMAINING ACTIVITES

Please list remaining activities with planned schedule of completion.

	Duration / Date of completion
EA1:	
A 1.1	
A 1.2	
EA2:	
A 2.1	
A2.2	

6. ADDITIONAL INFORMATION (AVAILABLE UPON REQUEST)

Please provide a short sample of the most relevant information on the progress of the project like:

- a) Evaluation of activities;
- b) Publications;
- c) Media coverage; and
- d) Meeting reports, etc.

7. BUDGET EXPENDITURES INCOME AND EXPENDITURE REORT

January - December 2008

Project No.	Activity	Budget	Expenditure Jan - June	Unspent Balance	Expenditure July - Dec	Total Expenditure Jan - Dec	Net Unspent Balance

Summary

Total income
received
Total expenditure
Unspent Balance
% of Exp/income

GUIDELINES FOR BUDGET PREPARATION

The following paragraphs explain the use of all concerned budget lines with detailed description and purpose as related to XB funding.

1.0 Budget Lines with Description and Purpose:

1.1 Project Personnel Component: Budget Line 1000

Under this budget line, estimates related only to project experts should be recorded. Relevant costs are budgeted by grade on the basis of pro-forma costs provided by Budget Unit (BU). The costs of experts are budgeted as a single figure for each post and the budget line should be broken down under 1101, 1102 etc. according to the number of different experts required.

Each expert should be identified by a separate budget line and the description of the post should be clearly spelt out in the project document.

The number of man-months to be delivered under each expert post should be shown within each annual segment of the year with a corresponding pro-forma cost.

Experts appointed for an initial appointment of less than six (6) months should be treated as "consultants" (see below). If the duration is extended beyond six months, the post should be transferred to an individual expert line at the time of the next budget revision or rephrasing.

The concerned Service Divisions involved are: Partnership and Technical Cooperation Office (PATCO) in the Office of the Executive Secretary (OES), Budget Unit in OPM and the Human Resources Services Section (HRSS) and Accounts Unit in the Finance Section of DOA.

1.1.1. Consultants: Budget Line 1150 through 1199

Each offer for consultancy assignment which is expected to last one month or more should be shown on a separate sub-line using 1150 through 1196 as required and with the most accurate estimate of the corresponding man-months and work.

Consultancies with duration of less than one month should be reflected under budget line 1198 meant for short-term Consultancies.

In the above two cases, the appointment travel and repatriation travel must be budgeted under the corresponding line.

In the project budget, separate subtotals should be drawn for experts (sub-line 1149) and consultants (sub-line 1198) and the subtotal for experts and consultants should be combined and recorded under line 1199.

1.2 Administrative Support Personnel: Budget Line 1300

The Administrative staff required, both international and national should be recorded on a separate sub-line of the main budget line 1300, 1301 etc. in the same manner as experts posts up till 1398.

The administrative support personnel such as messenger, clerk, and cleaners should be shown under a separate sub-line with the corresponding cost.

1.3 United Nations Volunteers (UNVs): Budget Line 1400

The line caters for professional experts recruited as UNVs through the United Nations Volunteers Programme based in Geneva, their cost implications are lower than other international experts.

Recruitment is to be arranged between the UNV and ECA for a minimum period of two years, renewable and relevant costs are worked out by the UNV and generally charged under project funds.

If a UNV is required for a project, the fund for this purpose should be primarily budgeted for in the project budget and request for UN Volunteers recruitment should be addressed to OPM for discussion with the UNV programme in Geneva.

1.4 Duty Travel: Budget Line 1500

This budget line is for the duty travel of the Project Personnel only and is estimated at the actual costs.

1.5 Mission Costs: Budget Line 1600

This budget line should include the following costs:

1.5.1 Travel of ECA Project Officers for:

- Tripartite review Meetings;
- Steering Committee Meetings; and the;
- Project monitoring visits.

1.5.2 Expenditure to be incurred by an associated agency, donor agency or government representative for the above activities;

1.5.3 Any activities directly related to the delivery of a specific project output; and

1.5.4. Organization of external evaluation requested by the donor are to be included under this budget line.

1.6 Nationally Recruited Project Professional Personnel (NPPP): Budget Line 1701 to 1798

This budget line category includes nationals of the host country including nationals living abroad, and is recruited in that country to carry out assignments. The function of NPPP is similar to that of international project personnel i.e. to provide the project and the beneficiary with additional skills not available to them which are required to achieve the project's objectives.

It may be noted that the NPPP do not have the status of regular staff members of the United Nations and are not covered under the 100 series of the Staff Rules of the Organization of the United Nations System. The right and obligations of NPPP are defined by three types of terms and conditions for contractual arrangement utilized to obtain their services.

Each proposed NPPP post must be identified and shown on a separate sub-line with the best estimate of the corresponding man-months and cost. The sub-total for the NPPP sub-component is to be shown on sub-line 1799.

1.7 Sub-Contract: Budget Line 2000 to 2900

This line is reserved for the use of consulting firms, non-governmental organization (NGO) and Civil Society Organizations (CSO) on a contractual basis, for the execution of the entire project or components of projects under the supervision of the executing agency. This minimizes the difficulties in recruiting qualified experts and enhances prospect for the timely delivery of project outputs.

It is the increasing policy of many donors and partners to encourage, where feasible, the use of contracting firms from developing countries, provided the competence of such firms or institutions is well established. In this connection the use of local firm as competent consultants to carry out one or more aspects of project operations, is encouraged.

Each sub-contract envisaged should be identified and shown on a separate budget line with a brief description of the services or equipment to be provided along with the best estimate of cost.

A full description of the nature of the sub-contract should be prepared using the required format available in PATCO.

1.8 Training and Fellowships: Budget Line 3100 to 3400

1.8.1 Individual Fellowship: Budget Line 3100

Training overseas is provided through short duration fellowships, including fellowships to attend regional institutions.

These fellowships are for the specific purpose identified in the project document, such as, to achieve institution – building. They are intended to upgrade the capability of national project staff rather than to provide a mean by which the trainee can obtain an academic degree. Nevertheless, for certain specific projects, such as strengthening a department in an education and training institution, degree oriented fellowship may be appropriate provided the beneficiary, the exacting agent, and the donor consider it to be essential for the achievement of the project objectives.

A fellowship may include:

Specially designed training programmes involving the transfer of know-how and technical knowledge;

Academic study, involving participation in regular or individualized courses;

Fellowship should be worked out in detail once the candidate has been designated. Detailed training requirements should be established on the basis of job descriptions, actual performance on the job and the formal education/professional background of the candidate; and

The administration including estimation of fellowship necessitates the use of pro-forma costs in line with the UN rules and regulations.

1.8.2 Group Training/Study Tours: Budget Line 3200

This line is reserved for group training overseas or in the country, in order to:

- Attend specifically designed practical training courses, seminars, symposia, workshops and/or; and
- Participate in a group study tour or observation tour to examine relevant information abroad, as well as to exchange information.

Proposal for group training should be accompanied by a full detailed "Cost Plan" incorporating all aspects of the training from recruitment of consultants to participants travel, interpretation, reporting etc. directly connected to the project concerned. This cost plan is a necessary precondition for examining group-training request at ECA.

Study Tours provides support mainly to Senior Management and technical personnel for undertaking visits to selected countries and institutions for a maximum of two months in order to acquire knowledge of direct relevance to the function and responsibilities of the person undertaking the tour.

1.8.3 In-Service Training: Budget Line 3300

This budget line is reserved for project personnel to attend on the job training in an equivalent institution performing similar tasks than those of the project personnel in an institution-building project.

Needless to say that all group training, study tours (budget line 3200), and in-service training (budget line 3300) should be budgeted at estimated actual costs. The sub-total for training and fellowship component is line 3900.

1.9 Equipment: Budget Lines 4000 to 4900

1.9.1 Expendable Equipment and Supplies: Budget Line 4100

This covers items of equipment or supplies for which formal inventory records are not maintained with the Division of Administration. For example, soft wares, carpets, and stationary supplies.

1.9.2 Non-Expendable Equipment: Budget Line 4200

This covers items for which formal inventory records are maintained with the Division of Administration (DOA), for example, computers, photocopies, fixtures and furniture.

1.9.3 Premises: Budget Line 4300

This includes permanent or prefabricated housing and other building for the accommodation of project staff and/or the storage of equipment or for conducting project activities.

In budgeting for the equipment component, provision for funds should be planned in the year in which the purchase order is to be issued rather than the year in which the physical delivery will take place.

Budget provisions for line 4100 through 4300 should be based on estimated pro-forma costs and should include freight and insurance costs.

Budget line 4900 is the sub-total of all equipment line components

1.10 Miscellaneous: Budget Lines 5000 to 5300

The following type of costs should be budgeted under the miscellaneous components:

1.10.1 Operations and Maintenance: Budget Line 5100

Costs for the operations, maintenance, repair and insurance of local transport vehicles required by the project should be budgeted against this line at actual costs.

1.10.2 Reporting Costs: Budget Line 5200

Reporting costs occur when it has been agreed that a report is to be provided by the executing agency. The cost for reports, which are drafted directly by project personnel, should be budgeted at current standard rates. The standard rates are as follows:

1.10.2.1 Progress Report

The amount budgeted should take care of progress reports preparation, finalization and distribution. In budgeting such a cost, due attention should be paid to the translation, edition, and distribution aspects of the report.

1.10.2.2 Terminal Reports

US\$2,000 is the average cost for terminal reporting. However, if the terminal report is the only definitive report prepared by the project, the average cost to be used is US\$3,000.

1.10.2.3 Technical Reports and Investment Potential Reports

The standard cost of such reports should be the prevailing market rate. If reports are to be prepared by a subcontractor, these should be budgeted under the sub-contract component.

Preparation and reproduction, of an extensive number of maps may be required for a project for reasons other than for a technical report (i.e. geological maps). In such cases, the costs are chargeable to the "Equipment" component of the project budget.

1.10.3 Sundries: Budget Line 5300

An average provision of sundries not exceeding 1% of the total project resources should be budgeted to cover such miscellaneous items like cables, faxes, postage, telephone incurred directly by the project.

If need be an average hospitality expenses amounting to US\$500 could also be budgeted.

1.11 Programme Support Cost: Budget Line 6900

This line is reserved to reimburse ECA for the services provided for the administration and management of projects and programmes funded by partners such as bilateral, multilateral and foundations.

The rate of programme support cost is governed by the signed agreement between ECA and the partner concerned. This rate is generally 13% of the over all project funding. However, the notes of 7.5% and 10% have been charged in the case of EU and UNDP respectively.

For proper reflection of programme support cost, please contact PATCO.

1.12 Total Project: Budget Line 9900

The line is the grand total of all project components including programme support cost. Please note that guidelines given above relate generally to a single partner. In case of several funding partners, project cost sharing arrangements will be worked-out using the following budget-lines:

1.13 Cost Sharing: Budget Lines 101 to 159

Budget Line 101 to 108 – Donor Cost Sharing

These lines will reflect the cost sharing contribution of each partner.

Budget line 109 is the sub-total for all Cost Sharing contributions.

1.14 Cost Sharing Support Costs: Budget Line 150

Support cost for each partners' cost-sharing contribution should be reflected under the sub-lines 151 through 158.

Budget line 159 is the sub-total for all cost sharing support costs.

2.0 Conclusion

Please note that all the information provided above relate to the preparation of project budgets funded by bi-lateral and multilateral partners and UN system only. A sample of the CURRENT budget format in use is attached as a ready reference.

Should you need any additional clarification or information on the preparation and use of these budget lines, please contact PATCO Office.

Budget Lines and AOS Reimbursement Rates for New Regime Projects		
Description of Cluster		
CLUSTER 1	INTERNATIONAL PERSONNEL	
BL	Experts	
1101-1148	Consultants (2 MM PLUS)	
1151-1196	Consultants (LESS THAN 2 MM)	
1197	UN Volunteers	
14xx	Official Travel	
15xx	Mission costs - OPS	
1601-1602	Mission costs - UNDP	
1603	Mission costs - Others	
CLUSTER 2	NATIONAL PERSONNEL	
BL		
13xx	Adm. Support Staff	
1701 - 1748	NPPPs	
1751-1796	National Consultants (2 MM PLUS)	
1797	National Consultants (LESS THAN 2 MM)	
CLUSTER 3	SUBCONTRACTS	
BL		
2101-27xx	Subcontracts including rental of premises (under BL 43 for old regime projects)	
CLUSTER 4	FELLOWSHIPS	
BL		
3101-31xx	Individual Fellowships	
CLUSTER 5	OTHER TRAINING SERVICES	
BL		
3201-32xx	Group Training/Study Tours	
3301-33xx	In-service Training	
CLUSTER 6	LOCAL PROCUREMENT	
BL		
4501-45xx	Local Procurement of Equipment; Including operation and maintenance of Equipment (BL 51 for old regime projects)	
CLUSTER 7	INTERNATIONAL PROCUREMENT	
BL		
4601-46xx	Purchase orders exceeding \$70,000.	
4701-47xx	Purchase orders up to \$70,000 AOS for the first \$70,000 will be reimbursed at 10%	

MISCELLANEOUS		
BL		
5201	Reporting Costs	
5301	Sundries	
99	PROJECT BUDGET TOTAL	
COST SHARING		
101	Government Cost Sharing	
103	Third Party Cost Sharing	
HIGHLIGHT ON CHANGES OF BUDGET LINES		
Budget Lines 34xx, 43xx and 61xx are no longer used for new regime projects. These are handled as follows:		
BL 34xx – Meetings/Conference. Budgetary provision for this proposal should be made under BL32 or BL33, depending on the nature of the activities.		
BL 43xx – Promises, Budgetary provision for this purpose should be made under BL21 for subcontract.		
BL 51xx – Operation & Maintenance of equipment. Budgetary provision for this purpose should be made under BL45 for local procurement.		

FORMAT FOR PROJECT MONITORING SCHEDULE

DONOR: PMO- PATCO Ext..... FOCAL POINT/
 PROJECT OFFICER Ext.....
 GRANT NUMBER:.....
 IMPLEMENTING DIVISION:
 PROJECT TITLE:
 PROJECT EXTERNAL SYMBOL.....FUND ID.....PROJECT ID.....ORGANIZATIONAL UNIT:

 PROJECT STATUS..... STARTING DATE..... ENDING
 DATE.....

Activity	January	February	March	April	May	June	July	August	September	October	November	December	Remarks
Call for funds													
Interim Report													
Progress Report													
Financial narrative Report													
Budget Revisions													
Semi-final Budget Revision													
Final Report													
Final Revision													
Tripartite review/ Steering Committee													
Project Evaluation: Internal/External													

Submission's date

* 1st Reminder:.....

** 2nd Reminder:.....

* * *

Submission due:.....

A: SAMPLE OF SIMPLIFIED LOGICAL FRAMEWORK

Intervention logic	Objectively verifiable Indicators	Source of verification	Risks/Assumptions
Expected accomplishment 1: Enhanced capacity of African governments, RECs, and other stakeholders to use appropriate indicators and tools for monitoring and assessing progress made in land policy and administrative reforms to improve processes and outcomes of such reforms in order to achieve development goals and targets.	Indicator 1.1: Percentage of African governments and other stakeholders using the indicators developed by the project to monitor land policy formulation and implementation	Means of verification: Survey of Expert/stakeholders by email and VALPAF Target: 15% by 2010; 40% by 2012; 60% by 2015	
1.1 Finalization of the background document on Land Indictors			
Main Activity 1.2 Collate, review and refine indicators			
Main Activity 1.3 Develop mechanisms for assessing progress on land reforms			
Main Activity 1.4 Draft report and recommendations for AU Summit			
Main Activity 1.5 Piloting case studies for monitoring progress on land reforms			

Intervention logic	Objectively verifiable indicators	Source of verification	Risks/Assumptions
Expected accomplishment 2: Increased accessibility of land related information and the establishment of a network of actors involved in land policy and land administration in order to inform decision making and support exchange of experiences on best practices to improve the design, implementation and evaluation of land policy and land administration processes.	Indicator 2.1 Percent of countries/regions posting/ providing information to/for the land information database	Mean of verification: In-built mechanism within VALPAF Target: 15% by 12/2008; 40% by 2009; 60% by 2010	
	Indicator 2.2: Percentage of registered stakeholders using the land information database component of VALPAF	Mean of verification: In-built mechanism within VALPAF Target: 20% by 12/2009; 40% by 2010; 60% by 2015	
	Indicator 2.3: Number of registered stakeholders on the Land Experts Database component of VALPAF	Mean of Verification: In-built mechanism within VALPAF Target: 150 by 12/2008; 350 by 2009; 500 by 2010	
	Indicator 2.4: Number of lessons and experiences shared in the area of land policy development and implementation	Mean of Verification: In-built mechanism within VALPAF Target: 20 by 12/2009; 100 by 2010; 300 by 2015	
	Indicator 2.5: Percent of registered stakeholders accessing the lessons and experiences	Mean of Verification: In-built mechanism within VALPAF Target: 20% by 12/2009; 40% by 2010; 60% by 2010	
	Indicator 2.6: Increase in the percentage of countries undertaking land policy/ legislative/administrative reforms;	Mean of Verification: Expert/focal Person survey by email Target: 10% by 2010; 20% by 2015; 30% by 2020	

[illegible]

C: SAMPLE OF RESULT BASED BUDGET

Expected accomplishment	Main activity	BL (split of activities/outputs by budget categories)	Amount (UNECA)	Amount (Partner)	Total
EA 1: Enhanced capacity of African governments, RECs, and other stakeholders to use appropriate indicators and tools for monitoring and assessing progress made in land policy and administrative reforms to improve processes and outcomes of such reforms in order to achieve development goals and targets.	1.1 Finalization of the background document on Land Indicators	1 consultant @ 3,500 x 1 work month	3,500.00		
	1.2 EGM to collate, review and refine—create baseline for benchmarks	1 consultant @ 500 x 6 days	3,000.00		
	1.3 Develop mechanisms for assessing progress on land reforms indicators	Travel and DSA for EGM @ 6,000 x 6 Experts	36,000.00		
		Travel and DSA @ 6,000 x 6 Staff	36,000.00		
		Travel and DSA @ 6,000 x 2 Staff of Partnering Institutions (AUC & AfDB)	12,000.00		
	1.4 Meeting to draft guidelines and a report on monitoring progress on land reforms	5 consultant @ 500 x 10 days	25,000.00		
		Travel and DSA for 5 consultants @ 6,000	30,000.00		
	1.5 Piloting case studies for monitoring progress on land reforms	5 consultants @ 400 x 10 days	20,000.00		
EA2: Increased accessibility of land related information and the establishment of a network of actors involved in land policy and land administration in order to inform decision making and support exchange of experiences on best practices to improve the design, implementation and evaluation of land policy and land administration processes.	2.1,2.2, 2.3 Develop and maintain a web-based facility, VALPAF with land information/experts databases	1 national focal person @ \$500 x 53 member states	26,500.00		
		Travel and DSA for EGM @ 6,000 x 6 Experts	36,000.00		
	2.2 Develop and manage a Community Of Practice (COP) on land policy	4 Moderators for e-discussion @ \$500 x 3 day	6,000.00		
	2.3 Prepare training materials to facilitate training on: monitoring of land policy processes; the use of VALPAF including the COP	2 consultants @ 5,000 x 1 month – this activity will be implemented by UN HABITAT		10,000.00	
	2.4 Conduct sub-regional training workshops to build technical capacity in monitoring and assessing progress made in land policy and administrative reforms	Travel and DSA for 20 participants @ 2,500 for 3 regional workshops; SADC to implement the East and Southern Africa workshop; CILSS to implement for West Africa; ECA to implement the North African workshop	50,000.00		50,000.00
		Travel and DSA for 3 regional workshops for 4 Staff (\$4,000 per person x 4 persons x 3 meetings)	48,000.00		
		Travel and DSA for Staff of Partnering Institutions (AUC & AfDB) (\$4,000 per person x 4 persons x 3 meetings)	48,000.00		

Expected accomplishment	Main activity	BL (split of activities/outputs by budget categories)	Amount (UNECA)	Amount (Partner)	Total
Support to Activities E1&2	Implementation of EA'S	Translation of Documents into French	27,000.00		
	"	Cost of Interpretation During EGM & Sub-Regional Workshops	36,000.00		
	"	Services of Communications Expert	10,000.00		
	"	Cost of Supplies to Support VALPAF	5,000.00		
	"	Service of Temporary Full-Time Assistant	20,000.00		
External Evaluation i.e. 2% set aside as per the requirements of the 6 th tranche projects			12,000.00		
Total		600,000.00	490,000.00	10,000.00	50,000.00

D: SAMPLE OF DETAILED JUSTIFICATION BY OBJECT CODE

General Temporary Assistance

A provision of \$20,000 is required to cover:

- In support of all activities: General temporary assistance (full-time) for 24 work months (GS Staff) = \$ 20,000.

International Consultants

A provision of \$ 89,500 is required to cover specialized expertise:

- In support of activity 1: Consultant to finalize background document on land indicators (1 consultant @ \$ 3,500) = \$3500 + Consultant to collate, review and create baseline for benchmarks (1 consultant @ \$ 3,000) = \$3,000 + Consultants to develop mechanisms for assessing progress on land reform indicators (5 consultants @ \$500 x 10 work days) = \$25,000 + Consultants to undertake piloting case studies for monitoring progress on land reforms (5 consultants @ \$400 x 10 work days) = \$20,000.
- In support of activity 2: Regional consultants to moderate 3 e-discussions on COP in Land Policy (4 Moderators @ \$500 x 3) = \$ 6,000 + Consultants to prepare training materials to facilitate training on monitoring of land policy processes & use of VALPAF including Communities of Practice (2 consultants) x (1WM) x 5,000 per month = \$10,000. – **To Be Implemented by UN HABITAT**
- In support of all activities: Hiring of a Communications Expert = \$10,000
- In support of external evaluation as per requirements for all sixth tranche projects (2% of project funds) = \$12,000.

National Consultants

A provision of \$ 26,500 is required to cover specialized expertise:

- In support of activity 2: National/Regional Consultants (Focal Persons Across Member States) to provide data for VALPAF databases (53 Focal Persons x 500) = \$26,500.

Travel of Consultants

A provision of \$ 30,000 is required to cover travel:

- In support of activity 1: Consultants to undertake travel to document piloting case studies for monitoring progress on land reforms (Travel & DSA for 5 consultants x \$6,000) = \$30,000.

Expert Group Meetings

A provision of \$ 132,000 is required for:

- In support of activity 1: Staff of partnering institutions AU & AfDB to participate in EGM activities, (\$6,000 per person x 2 persons) = \$12,000
- In support of activity 2: Regional Staff from AU & AfDB to attend three EGM meetings, (\$4,000 per person x 4 persons x 3 meetings) = \$ 48,000

- An EGM (US\$ 6,000 and approximately 12 participants=\$ 72,000), in support of activities 1 & 2 including the final review meeting where the completion report will be presented.

Staff Travel

A provision of \$ 84,000 is required to cover travel:

- In support of activities 1: UN Staff including DESA, ESCAP & ECLAC to participate in EGM activities, (\$6,000 per person x 6 persons) = \$36,000
- In support of activity 2: International UN Staff (\$4,000 per person x 4 persons x 3 meetings) = \$ 48,000.

Contractual services

A provision of \$ 63,000 is required to cover:

- In support of all activities: Translate documents into French (\$27,000).
- In support of activities 1 and 3: Interpretation for meeting (EGM) and workshops (\$36,000).

Supplies, materials, furniture and equipment

A provision of \$ 5,000 is required in support of all activities.

Seminars and Workshops

A provision of \$ 150,000 is required for:

3 sub-regional workshops (20 participants x \$2,500 x 3 workshops). ECA will implement the North African workshop while the other two will be implemented by SADC (East and Southern Africa) and CILSS (Central and West Africa) in close collaboration with ECA.

E. SAMPLE INDICATORS

1. INDICATORS RELATED TO CAPACITY BUILDING AT THE NATIONAL LEVEL

Likely outputs: Training workshops, advisory services, meetings, manuals, guidelines, reports.

Expected accomplishments	Indicators of achievement
Enhanced capacity of ...	<p>On the assumption that the Secretariat provides advisory services, training, workshops, guidelines, recommendations for action, etc. to member States/institutions/organizations, etc. and depending on the purpose of those activities, indicators might be:</p> <p>Increase the number/percentage of</p> <ul style="list-style-type: none"> Government units displaying improved practices in... Institutions implementing guidelines for ... Countries/institutions using methodology for ... Networks coordinating mechanisms established to ... Measures/mechanisms in place for ... Systems in place for data collection, analysis and reporting on ... Policies introduced/adopted on... Number of laws incorporating international agreements/treaties... National reports that fully comply with treaty obligations with respect to... States parties able to fulfill their obligations under the Convention and related agreements

2. INDICATORS RELATED TO STRENGTHENED ALLIANCES

Likely outputs: Information material, joint projects, advisory services, training workshops, seminars, guidelines, agreements, consultations, meetings.

Expected accomplishment	Indicator of achievement
Increased support for ...	Increased number of partnerships forged to undertake...
Increased ability of partnerships working toward policy change ...	Increased number of institutions with knowledge and skills to effect policy changes in the area of ...
Penetration of news and information about the UN into media markets around the world.	Percentage of targeted media markets where UN news and information is evident....

3. INDICATORS RELATED TO AWARENESS, UNDERSTANDING, KNOWLEDGE AND SKILLS

Likely outputs: Publications, reports, information material, news services, radio services, TV programmes, workshops, advisory services, meetings, training.

Expected accomplishment	Indicator of achievement
Increased understanding/knowledge of ...	Increased percentage of recipients of information material confirming usefulness...
Increased knowledge of issues to be taken into account when designing and implementing policies for sustainable development.	Increased number of countries incorporating xxx in policies for sustainable development....
More active participation by countries in harmonization and rationalization of development indicators.	Increased number of countries bringing their statistical systems more in line with international standards....

4. INDICATORS RELATED TO POLITICAL AND PEACEKEEPING

Likely outputs: Good offices, briefings, consultations, negotiations, meetings, reports, workshops, training.

Expected accomplishment	Indicator of achievement
Improved capability of the international community to identify and address conflict situations and to participate in their resolution.	<p>Increase in the number of sub-regional organizations that have mechanisms in place to identify and address conflict situations....</p> <p>Increase in the percentage of conflicts resolved through participation by member States and international entities...</p> <p>Reduction in the number of violations to peace agreements....</p>
Maintenance of peace processes on track	<p>Increased number of electoral processes in place for the conduct of periodic and fair elections....</p>
Enhanced capacity of member States requesting assistance to organize periodic and fair elections.	<p>Increased number of pages viewed of the online <i>Repertoire of the Practice of the Security Council</i>.</p>
Improved access by the public [?] to information relating to the work of the Security Council and its subsidiary organs.	<p>Deadlines are met for the establishment of monitoring mechanisms under Security Council sanctions committees.</p>
Implementation of decisions of the Security Council and its subsidiary organs requiring substantive support by the sub-programme.	<p>Deadlines are met for the issuance of mission reports of the Security Council.</p> <p>Increase in the number of peace building strategies that articulate defined participation and responsibilities of United Nations entities.</p>
Improve coordination among United Nations entities for the implementation of peace building strategies.	<p>Increase in the level of resources contributed for peace building activities.</p>
Increased support for peace building activities in countries designated by the peace building Commission as recipients of aid.	<p>Increase in the number of countries contributing funds for peace-building activities.</p>

5. INDICATORS RELATED TO ORGANIZATIONAL EFFECTIVENESS

Likely outputs: Audit reports, evaluation reports, legal services, advisory services, training workshops, general services.

Expected accomplishment	Indicator of achievement
Improved management practices in ...	Increase in the number of staff practicing knowledge and skills in ...
Regular conduct of self-evaluation as a means to improve programme effectiveness.	Increased percentage of Programme managers using monitoring and evaluation tools for management of work programmes.
Implementation by programme managers of assessments on programme effectiveness and efficiency.	Increase in the number of self-evaluations conducted annually by programme managers.
Informed decision-making on matters related to ...	Increase in the percentage of recommendations implemented for improving...
Improved timeliness in the delivery of services with respect to ...	Increase in the number of recommendations implemented with respect to...
Improved services delivered in the area of ...	Reduction in the number of days/hours to respond to requests for assistance.
Minimization of the legal liabilities of the Organization	Increased percentage of staff expressing satisfaction with services.
	Reduction in total amount of claims filed against the Organization.

FORMAT FOR BUDGET MONITORING FORM

BUDGET MONITORING FORM FOR PROJECTS EXECUTED BY THE ECONOMIC COMMISSION FOR AFRICA

1. PROJECT TITLE: _____
2. SUBSTANTIVE DIVISION: _____
3. PROJECT OFFICER RESPONSIBLE
NAME AND SIGNATURE: _____
4. PROJECT EXTERNAL SYMBOL: _____ 5. FUND ID. _____
6. PROJECT ID. _____
7. BUDGET LINE: _____ and ceiling: US\$ _____
8. PROJECT DOCUMENT or LAST BUDGET REVISION & PROJECT WORK PLAN
REFERENCE NUMBER: _____
9. PURPOSE AND JUSTIFICATION OF PROPOSED EXPENDITURE: _____
10. LIST OF SUPPORTING DOCUMENTS IF ANY: _____
11. PATCO/OES CLEARANCE OF THE PROJECT ACTIVITY:

APPROPRIATE: _____ INAPPROPRIATE: _____
12. REASON FOR NOT CLEARING THE ACTIVITY

* INADEQUACY OF RESOURCE UTILIZATION WITH THE ACTIVITY CONCERNED	
* ACTIVITY NOT IN PROJECT DOCUMENT OR GRANT AGREEMENT	
* OVEREXPENDITURES	
* OTHERS	

Date	Description	Amount
	Balance Brought Forward	
	Estimated Expenditures:	
	Balance Carried Forward:	

Cleared by: _____

Date: _____

(PMO.....PATCO/OES)

SAMPLE OF AN ANALYSIS TABLE FOR MONITORING AND ANALYSING PROJECT INCOME AND EXPENDITURE

Income and Expenditure Report January - December YYYY							
Project No.	Activity	Budget	Expenditure Jan - June	Unspent Balance	Expenditure July - Dec	Total Expenditure Jan - Dec	Net Unspent Balance
Summary							
Total income received							
Total expenditure							
Unspent Balance							
% of Exp/income							

SAMPLE FORMAT OF FINAL REPORT

PROJECT TITLE:

PROJECT NUMBER:

YEAR OF THE GRANT:

STARTING DATE:

ENDING DATE:

REPORTING PERIOD COVERED: as at dd/mm/yyyy

TOTAL BUDGET:

FINANCIAL IMPLEMENTATION RATE:

PROJECT FUNDED WITH THE

SUPPORT OF THE GOVERNMENT OF

Summary of Impact (1-2 pages)

(A Brief Summary of the Report Highlighting the Project Objectives, Key Results Achieved, Lessons Learnt, Extra funding required for any follow-up activities and Recommendations)

DETAIL REPORT

Following is a matrix, which shows the details of the programmed activities of the project and the action taken to implement them.

REVIEW OF expected accomplishments AND ACTIVITIES IN LINE WITH THE LOG FRAME AS PER PROJECT DOCUMENT

	Strengthened knowledge base on practice among African countries on poverty reduction strategies, including the PRS process
I.1.1: Quantitative Performance (Indicator(s) related to EA1)	<p>A knowledge audit was conducted in member states to identify challenges and opportunities on the status of knowledge production and exchange and the status of technical tools to do so. An executive summary was disseminated at various fora, in hard and electronic versions to strengthen the knowledge base of African PRS practioners.</p> <p>Discussion messages contributed by Community of Practice (CoP) members from ECA, UNDP during the Electronic Roundtable on "Creating Fiscal Space for the MDGs" are available in the knowledge base on the KS website. The summary of the discussion is prepared and is available on the web.</p> <p>Over 60 documents and web links on PRS/MDG in Africa related to good and bad experiences, expertise, challenges, success stories and best practices have been contributed from CoP members and research publications and reports from ECA HQ, ECA Sub-regional Office-West Africa (SRO-WA) are also uploaded on the KS website.</p> <p>Database of PRS/MDG practitioners designed to interlink experts and researchers among the current 240 registered CoP members (access code provided) from the 15 project countries.</p> <p>The database of PRS/MDG practitioners is updated with the remaining contact and expertise information of more than 400 participants who acclaimed the KS project at the various regional/international meetings/conferences and who wish to join the PRS/MDG CoP and be provided access codes.</p> <p>Technical guideline to facilitate KS among CoP completed and is on the web site.</p>
Qualitative Results/Impact achieved for EA1:	Should describe the results/ impact achieved in the area of EA1.

<p>A.1.1 (Main activities completed in relation to EA1)</p>	<p>Describe the main activities that have been completed in achieving EA1. Include details like number of participants for workshops etc</p> <p>Qualitative and quantitative data collected from 15 project countries during the Knowledge Audit were analysed</p> <p>KS website design, architecture and content updated based on recommendations of PRS/MDG national country teams and other practitioners consulted during the Knowledge Audits</p> <p>Presented and promoted, during regional and international meetings/conferences on PRS/MDG in Burkina Faso, Ethiopia, Burundi, Switzerland, the key role of Knowledge Sharing on PRSs and MDGs between practitioners across Africa</p> <p>Conducted an Electronic Roundtable on "Creating Fiscal Space for the MDGs" in partnership with UNDP</p> <p>Launched an e-discussion on "East Africa Member states and Experts Discussion" as requested by ICE participants</p> <p>Prepared and uploaded a Self-Training Demonstration Application and quick technical guidelines on the KS website to support the users of the KS website</p>
<p>EA2</p>	<p>Strengthened linkages between PRS country teams and in-country as well as regional and Diaspora research institutions and networks towards more demand-driven research on poverty reduction</p>
<p>I.2.1: Quantitative Performance (Indicator(s) related to EA2)</p>	<p>Give estimate or actual values for the indicator for the time period considered</p> <p>Compiled a database of more than 300 senior PRS/MDG policy-maker and experts from Members States, research organizations, CSOs, private sector enterprises, UN agencies, international agencies, donors who are closely involved in the design, implementation, monitoring and evaluation of PRSs, MDGs and National Development Plans in Africa.</p> <p>Electronic Roundtable conducted on "Creating Fiscal Space for the MDGs" in partnership with UNDP.</p> <p>Summary of the discussions finalized and disseminated to both PRS/MDG CoP and UNDP CoP</p>
<p>Qualitative Results/Impact achieved for EA2:</p>	<p>Should describe the results/ impact achieved in the area of EA1. For projects with less than 2 years implementation, there might not be impact yet.</p> <p>The discussion messages contributed by the PRS/MDG practitioners during the ER "Creating Fiscal Space for the MDGs" have provided a rich content which will be analyzed by ACGSD/PAMS and shared with stakeholders to compile the experiences and best practices of different African countries, fill the existing gaps and initiate demand-driven e-discussions, training and research and feed in the knowledge base.</p>

A.2.1 (Main activities completed in relation to EA2)	<p>Describe the main activities that have been completed in achieving EA1. Include details like number of participants for workshops etc</p> <p>Electronic roundtable started using ECA's PRS/MDG Knowledge Sharing Network website but also cross-posted on UNDP's knowledge sharing mailing list through which contributions were disseminated to UNDP's 3000 CoP members of MDGNet and PRNet (Poverty Reduction Network)</p> <p>63 e-discussion message contributions from ECA/ACGSD/PAMS, ECA/TFED, ECA/FSDD, UNDP/HQ and UNDP Country Offices, IMF, WB, UNDESA</p>
EA3	Improved capacity of member States for economic policy formulation and management
I.3.1: Quantitative Performance (Indicator(s) related to EA3)	<p>Give estimate or actual values for the indicator for the time period considered</p> <p>Training on "Enhancing Knowledge Sharing on Poverty Reduction Strategies (PRSs) and the MDGs in Africa" was carried out in September 2007</p> <p>Partnerships with UNDP, ECA/GISS, ECA/ITSS and ECA/ITCA provided the training jointly</p> <p>Senior policy and decision-makers (35 from English-speaking countries, and French-speaking countries) from government and non-government institutions participated.</p> <p>Training reports ready in English and French.</p> <p>"Capacity Building to Enhance Knowledge Sharing on Poverty Reduction Strategies (PRSs) and the MDGs in Africa"</p> <p>Addis Ababa, 17-18 September 2007</p> <p>« Le Renforcement des Capacités Nationales pour développer le Partage des Connaissances sur les Stratégies de Réduction de la Pauvreté et les Objectifs du Millénaire pour le Développement »</p> <p>Addis-Abeba, 20 et 21 Septembre 2007</p> <p>A second training was also organized titled " Using Knowledge Sharing to Build and Reinforce Capacity for Health MDGs in Africa", from 8-9 April 2008, in Arusha, Tanzania.</p> <p>The training was attended by nineteen experts from nine African countries</p> <p>ECA/GISS, ECA/ITSS and ECA/ITCA provided the training jointly.</p>
Qualitative Results/Impact achieved for EA3:	Should describe the results/ impact achieved in the area of EA3.

A.3.1 (Main activities completed in relation to EA3)

Describe the main activities that have been completed in achieving EA2. Include details like number of participants for workshops etc

The compilation and preparation of the summary of the ER on "Creating Fiscal Space for the MDGs" is completed. The ACGSD/PAMS team did an analytical in-dept analysis work in September 2007.

E-discussion in the closed space for PRs/MDG National Country Teams has started around 18 key topics identified as most relevant, most discussed and documented during the Knowledge Audit assessment

Capacity building training workshop conducted with a total number of 35 participants.

Three research fellows were on board and completed their assignments:
Mr.Biniam Egu

Investing in Education as a means and as an end: exploring the micro foundations of the MDGs.

Technical manual: data management and econometric estimation procedures using DHS datasets

Program codes of SPSS and STATA software

Mr.PierreValere Nketcha Nana

"Fiscal Decentralization and Outcomes: A Cross-Country Study with Implications for Africa in Achieving the MDGs".

Ms.Chrystelle Tsafack Temah(Ph.D):

Does Debt Relief increase Public Health Expenditure? Evidence from Sub-Saharan African HIPC

Three senior Researches recruited and produced the following studies:

Germano Mwabu (Ph.D), Professor of Economics, university of Nairobi : *Achieving Health Millennium Development Goals (MDGs) in Africa: The Role of National Health Insurance Schemes*

Ben E. Algbokhan(Ph.D), Professor of Economics, Ambrose Ali University,Ekpoma,Nigeria: *Growth, Inequality and Poverty in Nigeria*

Yaw Nyarko(Ph.D),Professor of Economics,New York University: *A concept Note on Learning Networks*

3. SUSTAINABILITY

(The extent to which the project leads to some durable, self-sustained process) and synergies with other development interventions should also be reflected in progress reports)

4. PROBLEMS ENCOUNTERED DURING IMPLEMENTATION:

5. BUDGET REVISIONS DONE:

The project budget was revised ...99.... times.

6. FINANCIAL PERFORMANCE:

7. ADDITIONAL INFORMATION (AVAILABLE UPON REQUEST)

- *Evaluations of activities:*
- *Any Publications:*
- *Media coverage:*

8. CONCLUSION:

Quality Assurance (at Entry) Checklist for XB Projects

Quality Parameter	Dimensions to maximize	Key Quality Question
Relevance:		
Internal	Coverage of project within current ECA Business Plan	Does project reflect current or emerging concerns of member states, or development partners; Would project outcomes contribute to knowledge, awareness, or policy change?
	Potential contribution to addressing key objectives of ECA's regular programme	
	Linkage to other projects/subprogramme objectives	
	Likely impact on future strategies, e.g. knowledge base	
External	Potential contribution to strengthening collaboration with other development partners	
	Linkage with on-going/emerging issues/policies in Member states-promoting policy change, dialogue, institutional development, etc.	
	Linkage with other projects/programmes of key development partners	
	Likely impact on Member states, development partners	
Implementation and Achievement of Outputs		
Project preparation	Clarity, feasibility and practicability of project components, within timeframe	Is there capacity and readiness to implement proposed project components and methodologies
	Roles and responsibilities of implementation, incl. coordination units clearly identified	
	Engagement of implementing partners and stakeholders	
	Procedures for identifying, tracking and responding to various risks to implementation and achievement of planned outputs, incl. operational risks	

Quality Parameter	Dimensions to maximize	Key Quality Question
Implementation strategy	Work plan, with details of planned activities, Supervision	How adequate are project supervision and outcome monitoring plans, indicators of project performance SMART, causal linkages between expected outcomes and planned activities clearly understood; and is there adequate budget to follow through M&E plan
M&E	M&E plan, logframe	
	M&E budget	
	Framework for documentation and feedback	
Output finalisation	Review, packaging and dissemination plans	
Resource mobilization and expenditure planning		
Resource planning	Budget allocations match prioritization of planned activities; possibilities for co-funding	Are available resources allocated in accordance with priorities of planned activities; does timing of planned activities coincide with resource inflows;
Budget monitoring and control	Measures and procedures to minimize budget overruns	
Expenditure monitoring and control	Measures and procedures to avert irregular expenditures	
Stakeholder involvement and ownership		
Project design	Relevance of project to local, national, regional development agenda	Any instruments for stakeholder mapping; consultation, and information sharing; adequacy of enabling legislation, institutional mandates and budget support
Project implementation	Evidence of local, national, regional readiness to participate in planned activities; public awareness activities	
Dissemination of results	Peer-to-peer knowledge sharing, networking, training, advocacy strategies	

Quality Parameter	Dimensions to maximize	Key Quality Question
Catalytic role and sustainability		
Capacity building	Knowledge sharing, raising awareness, training programmes	Any strategies for sharing knowledge or raising awareness
Partnering strategies	Strategies for strengthening linkages and networks	Any strategies for scaling up project approaches
Replication strategies	Strength of activities linked with replication	Any framework for tracking application of project outputs and results

A. Quality Assessment of Outputs and Results- Checklist for XB Projects

Quality Parameter	Dimensions to maximize	Key Quality Question
Attainment of Objectives and Planned Results:		
Internal	Contribution to addressing key objectives of ECA's regular programme	How successful was project in supporting or affecting policy decisions, development planning, etc. in member states? Was any plan, policy or project (to be) initiated as a result of project;
	Contribution to other projects/subprogramme objectives	
	Contribution to ECA knowledge base	
External	Contribution to strengthening collaboration with other development partners	
	Contribution to policy change, dialogue, institutional development, etc. at regional, national or local level in member states	
Project Management		
Adaptive management	Project revisions	Were project objectives too ambitious or unrealistic, was there need to revise strategies, budget or timelines, how was time limitations addressed; how effective was project supervision
	Supervision	
Documentation	Internal processes- experiences, lesson learned	
	External processes- experiences, lessons learned	
Resource mobilization and utilization		

Quality Parameter	Dimensions to maximize	Key Quality Question
Budget control	Adherence to budget estimates	What was extent of over- (or under) spending; Did expenditures reflect relative contribution of executed activities, were budget revisions done in a transparent manner; was financial reporting adequate and timely for the purpose of project management and adaptation; how successful was project in attracting new funding
New funding	Opportunities created for new funding sources	
Stakeholder management		
Communication	Awareness of project activities and outcomes	How adequate was information sharing system What levels of stakeholders were engaged
Ownership	Interest at local, national, regional level	
	Readiness to support future funding needs	
Sustainability of outcomes		
Quality of Final Report	Content	To what extent does final report reflect key activities undertaken; how evidence-based are findings and conclusions; how practical are recommendations; how effectively were outcomes disseminated;
	Review processes, utilization of feedback	
Dissemination of Project Outcomes	Internal (across and within ECA subprogrammes)	
	External	
Partnering strategies	Coverage and strength of linkages and networks created	Any future partners identified, existing networks strengthened; how much potential funding available for future projects
Replication strategies	Usage of experiences, lessons learnt	Any initiatives being developed, lessons learned being applied; how much political interest was generated by project at national and regional level
	Capacity building	

Format of Preparation of Activity Cost Plan

Activity Cost plan for

AAAAAAA Meeting, 13 – 14 June 2010

(in US\$)

Cost Elements		
1	Tickets for Participants (including Terminal Expenses)	29,125.00
2	DSA	13,520.00
3	Hiring of Conference hall/Facilities	0.00
4	Payment to Interpreters/Translation	0.00
5	Hiring of Local Resource Persons	0.00
6	Procurement of expendable supplies	0.00
7	Hiring of Non-expendable equipment (photocopiers etc)	0.00
8	Estimated Overtime for Support staff	0.00
9	Hospitality (Tea/coffee breaks and lunches)	1,375.00
10	Miscellaneous	1,000.00
Grand Total (USD)		\$45,020.00

DSA Rate US\$260

Breakdown for Travel and DSA for Participants

Sr.no	Participants name and organization	Ticket Cost	Terminal Exp.	Schedule of Travel	No of days DSA	Total DSA
1	AAAA WHO, Geneva	3,100.00	180.00	11-15 June	6	1,560.00
2	BBBBB University of California, San Francisco USA	6,680.00	240.00	11-18 June	9	2,340.00
3	CCCCC Kampala, Uganda	540.00	120.00	12-15 June	5	1,300.00
4	DDDDD Nairobi, Kenya	1,000.00	120.00	11-15 June	4	1,040.00
5	EEEEEE San Paolo, Brazil	5,400.00	240.00	11-16 June	7	1,820.00
6	FFFFFF Geneva, Switzerland	3,100.00	180.00	11-15 June	6	1,560.00
7	GGGGGG Accra, Ghana	4,375.00	180.00	11-15 June	6	1,560.00
8	HHHHH Bamako, Mali	3,490.00	180.00	11-15 June	9	2,340.00
Sub-Totals		\$27,685.00	\$1,440.00			\$13,520.00

Breakdown for Hospitality

Tea/Coffee Charge per person @14Birr	175.00
Lunch at \$30each	1,200.00
Sub-Total	\$1,375.00

** You can budget for all possible tasks/sub-activities which will be required and/or to be performed during the activity and are to be paid from the project budget.

Glossary of Terms used in the document

The following paragraphs explain the technical terms used and/or referenced in the Manual.

a. Initial Budget and Project Account Number:

Upon the confirmation of the receipt of donor's contribution into ECA's account, the implementing division will receive a communication from the Chief, PATCO to submit for approval an initial budget of the project in line with activities detailed in signed project document. The budget should be prepared using the standard budget lines for XB projects as detailed in Annex V.

On the receipt of the initial project budget a unique Budget Account Classification (BAC) number is allotted by the XB Accounts Unit. It consists of the following elements:

1. Fiscal Year.....YYYY
2. Fund Code.....XXX
3. Org. Unit.....9999
4. Project Code.....9999
5. Project External Symbol.....XXX/99/999
6. Programme Code.....6385

Once the BAC has been allocated, XB Unit shall enter the budget line-wise allotments into IMIS accounting system. Once the allotments have been keyed-in, the funds can then be accessed and expended by the implementing division.

b. Project Implementation Plan (PIP):

The project implementation Plan should be prepared as per ECA's standard format attached as an Annex to this Manual. The plan should be as detailed as possible covering each OUTPUT with related/associated activities to be implemented plus giving the name of the staff responsible. The month of implementation should also be provided. The detailed PIP will assist the PMO in approving the Budget Monitoring Form without wasting any time in discussions.

c. Semi-final Budget Revision:

A Semi-final revision is raised when a project has been operationally completed but not financially. This gives time to the Programme Manager to liquidate outstanding project related obligations.

d. Final Budget Revision:

A final revision is raised when a project has been operationally and financially completed.

e. Project manager/Programme manager

f. project proposal/project document