



# **FAO TECHNICAL COOPERATION PROGRAMME (TCP)**

## **GUIDELINES**

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**ABBREVIATIONS**

<b>ADG/TC</b>	<b>Assistant Director-General, Technical Cooperation Department</b>
<b>FAO Rep</b>	<b>FAO Country Representative</b>
<b>FPC</b>	<b>Field Programme Circular</b>
<b>FPMIS</b>	<b>Field Programme Management Information System</b>
<b>ICA</b>	<b>In-country Appraisal</b>
<b>LDCs</b>	<b>Least Developed Countries</b>
<b>LIFDCs</b>	<b>Low-Income Food Deficit Countries</b>
<b>LLDCs</b>	<b>Land-Locked Developing Countries</b>
<b>LTD/LTO</b>	<b>Lead Technical Division/Lead Technical Officer</b>
<b>MDGs</b>	<b>Millennium Development Goals</b>
<b>NGO</b>	<b>Non-governmental Organization</b>
<b>NMTPF</b>	<b>National Medium-Term Priority Framework</b>
<b>NPC</b>	<b>National Project Coordinator</b>
<b>PPRC</b>	<b>Programme and Project Review Committee</b>
<b>SIDS</b>	<b>Small-Island Developing States</b>
<b>TSS</b>	<b>Technical Support Services</b>
<b>TCCT</b>	<b>Technical Cooperation among Countries in Transition</b>
<b>TCDC</b>	<b>Technical Cooperation among Developing Countries</b>
<b>TCOM</b>	<b>Field Programme Monitoring and Coordination Service, FAO</b>
<b>TCOT</b>	<b>Technical Cooperation Programme Service, FAO</b>
<b>TCP</b>	<b>Technical Cooperation Programme</b>
<b>TCPF</b>	<b>TCP Facility</b>
<b>UN</b>	<b>United Nations</b>
<b>UNDAF</b>	<b>United Nations Development Assistance Framework</b>
<b>WFS</b>	<b>World Food Summit</b>

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<sup>1</sup> Please note that the Field Programme Circulars (FPCs) attached to these Guidelines may be subject to revision after issuance of this document. Users are therefore encouraged to regularly refer to the Procedures page in FPMIS (<https://extranet.fao.org/fpmis/>) to ensure that they consult the latest versions of the procedures.

## **PART ONE – OVERVIEW**

1. These guidelines provide an overview of FAO's Technical Cooperation Programme (TCP) and describe the procedures governing the TCP project cycle. They are directed at technical officers and other officers at FAO involved in formulating proposals and implementing the related projects.<sup>2</sup>
2. While these guidelines try to address frequently asked questions about TCP, they do not substitute for direct interaction between FAO Representatives, Regional and Subregional Representatives, national authorities, regional organizations, FAO technical units, and the Technical Cooperation Department, and in particular the Technical Cooperation Programme Service (TCOT), responsible for the day-to-day management of the Programme. For this reason, direct contact between all stakeholders concerned is encouraged at all stages of the TCP project cycle.<sup>3</sup>

### **I. AIMS AND OBJECTIVES OF THE TCP**

3. The TCP is part of FAO's Regular Programme financed from the assessed contributions of its Members. It was launched in 1976 as a means to make FAO's technical competence rapidly available to member countries at their request, to contribute to solving their most pressing development problems in the agriculture, fisheries and forestry sectors and related to rural development and socio-economic issues. The TCP is aimed at providing short-term, quick impact technical support to address well-defined problems that constrain the ability of FAO's member countries, either individually or collectively, to reach the targets of the World Food Summit and the Millennium Development Goals.
4. Requests for technical cooperation under TCP may be submitted by governments of member countries. Requests may also be submitted by intergovernmental organizations of which such countries are members, and which are recognized as such by FAO<sup>4</sup>. TCP projects are intended to support the entities (institutions, organizations, farmers associations, women's groups, etc.) identified as the target beneficiaries by the requesting national government or regional organization.

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<sup>2</sup> For more general information on the TCP and for examples of TCP projects and activities, see the TCP Web site at the following address: [http://www.fao.org/tc/tcp/index\\_en.asp](http://www.fao.org/tc/tcp/index_en.asp). References are also made throughout these Guidelines to documents offering procedural guidance that are accessible from FAO's Field Programme Management Information System (FPMIS).

<sup>3</sup> FAO Representatives, as well as Regional and Subregional Representatives, may be contacted in their country of assignment and will direct enquiries to the concerned technical divisions of FAO in FAO's Regional or Subregional Offices or at headquarters. TCOT will also facilitate interaction with relevant FAO units. TCOT can be reached at the following address: Food and Agriculture Organization of the United Nations, Viale delle Terme di Caracalla, 00100 Rome, Italy; E-mail: [TCP@fao.org](mailto:TCP@fao.org); Fax: ++39-06-57053134.

<sup>4</sup> The criteria applied by FAO for recognizing the intergovernmental character of an organization are as follows: (a) the organization should have been set up by an intergovernmental convention (a convention to which the parties are States); (b) the governing body of the organization should be composed of members designated by governments; (c) the income of the organization should be made up mainly, if not exclusively, of contributions from governments (source: "Guiding lines for formal relationship agreements between FAO and other intergovernmental organizations" approved by the FAO Conference at its tenth session in 1959).

## II. TYPES AND CATEGORIES OF TCP SUPPORT

5. TCP projects aim at filling critical technical gaps by providing inputs that are not available locally or that the project beneficiaries cannot access through their own means or through local support systems. The TCP provides technical inputs in the form of short-term expert and consultant services (including contracts with institutions), short-term and practically-oriented training, and the equipment and supplies, related mainly to training, that are necessary to reach the project objectives.
6. The TCP may be used in all areas of action that pertain to FAO's mandate. TCP projects can thus address, among others, issues related to food security, poverty reduction, nutrition, institutional reform, policy and strategy formulation, strengthening of production and support systems in the agricultural, forestry and fisheries sectors, market access and international trade, management of natural resources, pest and disease prevention and management, pre-investment activities and formulation of project proposals to leverage additional resources for rural development, implementation of international standards, needs assessments and emergency response, etc.
7. For the purpose of enabling reporting to FAO's Governing Bodies and to FAO management on the use made of the TCP resources, each TCP project is classified in one of the two following categories (reflected in the project agreement title): Development Support (D); Emergency Assistance and Support to Rehabilitation (E). For more information on project types and examples of TCP projects, see the page "TCP at work" in TCP's web site.
8. TCP assistance is granted through two windows:
  - Projects for development or emergency assistance may be approved with budgets up to US\$500 000 (with the exception of the TCP Facility as outlined below). They are approved by the Assistant Director-General of the Technical Cooperation Department (ADG/TC) on behalf of the Director-General. TCOT manages the review and approval of projects in this category.
  - FAO Representatives (FAO Reps), or Regional Representatives for countries with no accredited FAO Rep, have delegated authority to approve up to US\$200 000 per biennium and per country within the framework of the TCP Facility (TCPF). The TCPF enables FAO Reps to respond to government requests for urgent small-scale technical assistance activities and to strengthen field programme development processes. The features of the TCPF and the modalities for its use are described in [Annex 4](#).
9. TCP projects (with the exception of TCPF projects, see further below) must be completed within 24 months; in exceptional cases, the duration may however be extended to 36 months after consultation with TCOT and when fully justified.

## III. TCP CRITERIA

### Purpose and application of the TCP criteria

10. FAO's Governing Bodies have decided upon a series of criteria that are to govern the use of TCP resources. Every request for TCP assistance is therefore appraised against these criteria in order to determine its eligibility. The TCP criteria, as endorsed by FAO Governing Bodies, are contained in table 1 below.

11. All FAO Members are eligible for access to TCP assistance. However, in line with FAO's strategic focus on reaching the World Food Summit (WFS) target and the Millennium Development Goals (MDGs), in the allocation of TCP resources special attention is given to the neediest countries, especially the Least Developed Countries (LDCs), Land-Locked Developing Countries (LLDCs), Small-Island Developing States (SIDS) and Low-Income Food Deficit Countries (LIFDCs)<sup>5</sup>. Access by high-income developing countries and developed countries<sup>6</sup> to TCP technical assistance should only be on a full cost-recovery basis. An indicative figure of 15 percent of the TCP appropriation is earmarked for emergency projects, accessible to all Members.

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<sup>5</sup> The LIFDC classification was last reviewed by the 28th session of the Committee on World Food Security, in the publication CFS/2002/INF/6. The LDC, LLDC and SIDS categories are described in the Web site of the Office of the High Representative for LDCs, LLDCs and SIDS (UN/OHRLLS): <http://www.un.org/special-rep/ohrlls/ohrlls/aboutus.htm>

<sup>6</sup> The list of high-income countries can be extracted from World Bank's Web site (click on the following link): <http://web.worldbank.org/WBSITE/EXTERNAL/DATASTATISTICS/0,,contentMDK:20421402~pagePK:64133150~piPK:64133175~theSitePK:239419,00.html>

Table 1: The TCP Criteria

CRITERIA	DEVELOPMENT TCP ASSISTANCE	EMERGENCY TCP ASSISTANCE
<b>1. Country Eligibility</b>	All FAO Members are eligible for access to TCP-supported technical assistance. However, TCP gives special attention to assisting the neediest countries, especially the Low-Income Food-Deficit Countries (LIFDCs), Least Developed Countries (LDCs), Landlocked Developing Countries (LLDCs), and/or Small Island Developing States (SIDS). Access by high-income developing countries and developed countries to technical assistance through the TCP modality should only be on a full cost-recovery basis <sup>7</sup> .	Fifteen percent of the TCP appropriation is indicatively earmarked for emergency and rehabilitation projects, accessible to all FAO Members.
<b>2. Aims and Purposes</b>	TCP-supported assistance should contribute to household or national food security, improved rural livelihoods and poverty reduction, in line with the World Food Summit target, the MDGs, and FAO's strategic goals and objectives, including those related to the provision of global public goods.	TCP-supported emergency and rehabilitation assistance should be provided in direct anticipation of or follow-up to emergencies that fall within FAO's sphere of action; assistance should be directed explicitly at restoring the livelihoods of the poorest and most vulnerable households affected by the emergency, and should seek to reduce the vulnerability of emergency-affected households in the future.
<b>3. Country or Regional Priorities</b>	TCP-supported assistance should be directed at national or regional priorities linked to the aims and purposes identified in Criterion 2 and, where they are in place, should be consistent with FAO's National Medium-Term Priority Frameworks and emerge from TCP priority-setting processes at the country level.	Emergency TCP assistance is not subject to any national priority setting process.
<b>4. Critical Gap or Problem</b>	TCP-supported assistance should be directed at a clearly defined critical technical gap or problem that has been identified by beneficiaries or stakeholders and which necessitates technical cooperation within the timeframe that can be provided by the Programme but which either cannot or should not be provided through other resources.	Emergency TCP assistance should be designed for very rapid response in support of interventions in thematic areas in which the Organization has a demonstrated comparative advantage.
<b>5. Sustainable Impacts</b>	TCP-supported assistance should result in clearly defined outputs and outcomes leading to impacts. It should have catalytic or multiplier effects such as increased mobilization of investment funds. The outcomes and impacts should be sustainable. TCP requests will not be accepted when they are a consequence of the ineffective follow-up to previous TCPs.	TCP emergency assistance should be directed at the provision of inputs for the sustainable rehabilitation of productive activities and of technical cooperation to support effective government (or donor) responses including the identification of necessary inputs. TCP-supported emergency and rehabilitation assistance should be directed at interventions that increase the likelihood of additional donor and/or government resources being directed to immediate relief and longer-term rehabilitation. Repetitive assistance to address recurrent types of emergencies in the same country should be avoided and be redirected towards more lasting impact assistance for the prevention of and preparedness for these same emergencies.

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Source: CL129/3. Until a TCP specific cost-recovery system is established, access by high-income developing countries and developed countries to FAO technical assistance would preferably be granted under the Unilateral Trust Fund (UTF) modality.



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

#### IV. ROLES AND RESPONSIBILITIES IN THE TCP CYCLE

12. TCP projects are designed and implemented in partnership between the recipient Government and FAO. The main stakeholders to be involved in the TCP project cycle and their roles and responsibilities are described below.

##### Government ownership

13. TCP is demand-driven, inasmuch as it responds to the problems identified by national stakeholders and expressed in the form of official requests sent through the government's channels of communication with FAO. Therefore, while FAO is responsible for providing support in the most efficient manner, the government will drive the process, including implementation and monitoring as well as integration of TCP support within the national programmes.<sup>8</sup>
14. The government will designate the appropriate technical service, or partner institution, that will provide the technical and administrative personnel, means of work and budget needed for implementing the project and reaching its objectives. The government will in particular designate a national project coordinator (NPC) at senior level, who will act on behalf of the government during implementation of the project. The partner institution and the NPC will ensure follow-up after project completion.

##### Participation and partnership at country level

15. The government will facilitate the participation of national stakeholders in the project. In particular, the project beneficiaries and those stakeholders who will act as agents of the changes promoted by the project will be identified and associated from the start with the TCP project<sup>9</sup>. Particular attention will be given to ensuring that stakeholders' involvement is arranged in a gender sensitive manner, at all stages of the project cycle, in line with FAO's Gender Plan of Action.<sup>10</sup>

##### Who does what in FAO

16. **FAO Representative.** The FAO Rep in the member country has a major facilitating role in the whole TCP project cycle, from overall priority setting and early discussions on a project idea to the project's closure and evaluation. In particular, the FAO Rep consults the government on priorities for FAO's TCP assistance, facilitates project identification, and preparation and appraisal of the project documentation. Throughout the process, the FAO Rep acts in close cooperation with and facilitates dialogue between national institutions and FAO's technical divisions, TCOT and other development partners. As budget holder, the FAO Rep also operates the project. In countries without FAO Rep, the Regional or Subregional Representative, or the office of the United Nations (UN) Resident Coordinator assumes these responsibilities. In what follows, the Guidelines refer specifically to the case of national projects in countries with a FAO Rep. For all other cases, i.e. regional and

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<sup>8</sup> In case of a regional project, a regional organization may play this role.

<sup>9</sup> A distinction can be made between direct and indirect beneficiaries, when the direct beneficiaries are entities (government services, CSOs or NGOs) which provide their services to the indirect beneficiaries. These should be food-insecure and poor men and women (criteria # 10).

<sup>10</sup> See: Socio-Economic and Gender Analysis (SEAGA) March 2000.

interregional projects or projects in countries without FAO Rep, unless specifically stated, the guidance has to be applied *mutatis mutandis*. In case of doubt, further guidance can be sought from TCOT.

17. **Lead Technical Division.** Through the TCP, governments have access to the technical expertise of FAO. For each project and based on the nature of the request, a Lead Technical Division (LTD) is designated. The LTD has the overall technical responsibility for ensuring that a project is formulated, appraised, approved and implemented according to the highest technical standards and in accordance with FAO's corporate and sectoral policies.<sup>11</sup>

### Overall management of the TCP

18. The TCP appropriation - i.e. the overall financial resources attributed by FAO Governing Bodies to TCP on a biennial basis - is managed and operated by FAO. Whatever the implementation arrangements and the type of cooperation provided under TCP, the responsibility for the soundness and the quality of the services rendered rests with FAO. FAO is responsible for ensuring that TCP projects address the problem posed and that the best technical practices and most cost-effective methods are used.<sup>12</sup>
19. **Technical Cooperation Department.** The TCP appropriation is managed by the ADG/TC, on behalf of the Director-General. The ADG/TC ensures that resources under the TCP are used in accordance with the criteria established by FAO's Governing Bodies. The Field Operations Division and within it, TCOT act on behalf of the ADG/TC.
20. TCOT appraises all requests for TCP assistance against the TCP criteria, facilitates project formulation, provides specific guidance on any TCP issue, coordinates FAO's official replies to governments' requests for TCP support and monitors the overall implementation and results of the Programme. TCOT works in close cooperation with, and facilitates interaction between FAO Reps and FAO's technical and operational units. TCOT also monitors that resources approved within the framework of the TCP Facility are used in accordance with the TCP criteria.
21. In order to facilitate the information sharing regarding the processing of requests for TCP assistance, and the preparation, approval and implementation of TCP projects, all FAO units concerned have full access to the TCP-related information for the countries and regions through the Field Programme Management Information System (FPMIS)<sup>13</sup>. FPMIS provides up-to-date information on the set of project ideas, proposals and official requests that may be processed in different parts of the Organization and their order of priority as determined by the government, and on progress in project implementation. FPMIS can be accessed by FAO staff in all locations, as well as by member countries through the FPMIS Permanent Representative Module.

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<sup>11</sup> The LTD's Director in turn designates a Lead Technical Officer (LTO) who will act on LTD's behalf. The LTD/LTO will establish and maintain contact with the concerned governmental technical agency, through the FAO Rep, and will keep the FAO Rep and TCOT informed of any outcome of its technical dialogue with this agency that could have a bearing on TCP priority-setting processes. As a guiding principle, the technical support will be made available from the closest possible FAO office to the location where the project inputs are required.

<sup>12</sup> FAO units' roles in projects operated by the Organization are described in the Field Programme Circular (FPC) 2003/04, "Project Cycle".

<sup>13</sup> FPMIS is accessible at the following URL: <https://extranet.fao.org/fpmis/index.jsp>

## **PART TWO - TCP PROJECT CYCLE**

Part two of the Guidelines describes the regulations and standard procedures that should be applied at the various steps that constitute the TCP project cycle<sup>14</sup>.

### **I. COUNTRY PRIORITY SETTING PROCESS AND TCP PROJECT IDENTIFICATION**

#### **National priority setting**

22. The TCP seeks to respond to the problems identified by the national stakeholders and requested by national governments. However, given the limited availability of TCP resources, not all requests can be supported, and the FAO Rep concerned will assist the government in a priority setting process that will ensure that TCP assistance is provided in those sectors or technical fields that present the best and most strategic areas for FAO's intervention. TCP assistance should, to the extent possible, be fully consistent with the national development frameworks, including the United Nations Development Assistance Framework (UNDAF) and, where it exists, the National Medium-Term Priority Framework (NMTPF<sup>15</sup>). The priority setting process is supported by the FAO Policy Assistance Division and the Multi-disciplinary Teams in the Subregional Offices, where they exist.

#### **Identification of TCP ideas and formulation of project outlines**

23. The priority setting process normally results in specific ideas for TCP projects. Stakeholders concerned are encouraged to prepare project outlines for those project ideas, which have been retained as having the highest priority. The project outline ([Annex 1](#)) should provide the necessary elements for exploratory discussions with all stakeholders and may also be shared, by the government and with the assistance of the FAO Rep if appropriate, with donors to explore their interest in contributing to reaching the project objectives and/or to ensuring follow-up. The project outline is screened by the FAO Rep and shared with the concerned technical units in FAO and TCOT as early as possible, for advance review to assess their technical merits and feasibility, and the likelihood of eligibility against the TCP criteria. The outline can be substituted by a fully formulated project agreement based on the format in [Annex 2](#).

#### **Co-financing**

24. While eligible TCP projects can be approved in support of, or complementary to, programmes and projects funded by the government or by donors, TCP resources cannot be used to make a purely financial contribution to a larger programme or to pre-commit resources to "basket-funding" arrangements<sup>16</sup>.

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<sup>14</sup> Refer also to Field Programme Circular FPC 2003/04 "Project Cycle" which describes the steps and responsibilities in FAO projects.

<sup>15</sup> The NMTPF is a planning and management tool. It outlines how FAO can best assist the country in meeting its priorities, including MDG targets. The NMTPF is an FAO input in the UN Common Country Programming Process such as (UNDAF) and is being gradually introduced.

<sup>16</sup> Examples of "basket funding": Sector-Earmarked Support (SWAP [Sector Wide Approach]), Jointly-funded government projects, Jointly funded donor projects.

## Non-duplication

25. TCP resources cannot be used to repeat previous TCP projects in the same country, or as a substitute for government follow-up to previous TCP projects or to compensate for ineffective follow-up.

## II. SUBMISSION OF OFFICIAL REQUESTS

26. Requests for TCP assistance must be addressed to the Director-General of FAO. The ADG/TC may receive requests on behalf of the Director-General. In those countries where FAO has an accredited representative, the requests are normally channelled through him/her.<sup>17</sup>
27. At any given time, a government may submit requests for assistance to FAO. The FAO Rep screens all requests to assess whether they relate to priorities identified in the context of the priority setting process and whether they take account of the preliminary feedback, if any, obtained from the FAO technical units. The FAO Rep is required to ensure that there are not more than two to three official requests for TCP assistance pending approval from a given country at any given time. Depending on the number of official requests received from the government concerned, and considering the limitations of FAO to accommodate all requests, the FAO Rep may need to consult with the government to prioritize the requests received. The results of these consultations should be shared with the FAO units concerned (in particular with the relevant technical divisions and TCOT) in order to maintain an up-to-date overview of the TCP pipeline.
28. The official request may be in the form of a letter or fax and can be scanned and transmitted by electronic mail. The communication submitting the request should confirm that it has been endorsed by the government authorities responsible for the coordination or planning of external technical cooperation or any other entity defined by the government as the official channel of communication with FAO<sup>18</sup>, as well as by the technical ministry concerned with the subject matter.
29. In cases where a request originates from an entity other than a national government, ministry or agency (e.g. from non-governmental organizations, national foundations, cooperatives, unions or other non-profit organizations), it should be officially submitted by the government authorities responsible for the coordination of external technical cooperation. Endorsement by the technical ministry concerned with the subject matter should also be assured.
30. Requests for regional and interregional assistance may be submitted through two modalities:
  - a. requests submitted by intergovernmental organizations recognized by FAO<sup>4</sup> on behalf of all or some of their members. Such requests do not require further validation from individual governments;
  - b. requests submitted by several governments. These can be considered when there are no established regional bodies or when governments seek to work together directly rather than through a regional organization. Requests of this type must be accompanied by

<sup>17</sup> In countries where there is no FAO accredited Representative, this function is covered by the UNDP Resident Representative and, if there is no UNDP Resident Representative, it is covered by the FAO Regional or Subregional Office, or FAO headquarters, as appropriate.

<sup>18</sup> Government institutions representing the official channel of communication are listed on FAO Intranet at: <http://intranet.fao.org/offsiteframe.jsp?uu=http://afintra01.fao.org/internal/ois/bulletin/Corrdir/Corrdir.htm>

expressions of interest from all the governments involved, except in the case of regional emergency projects, for which requests from only three governments may trigger wider regional action, in particular in the neighbouring countries, if affected by the same emergency crisis.

31. Requests should be accompanied by a draft project proposal (see [Annex 2](#)) or, at least, by a project outline (see [Annex 1](#)) containing the necessary information to appraise the request against the TCP criteria.

### III. PROJECT FORMULATION AND APPROVAL

32. The FAO Rep, or the Subregional Representative or Regional Representative in case of requests related to the subregion or region, screens the request and compiles supporting documentation that will facilitate independent appraisal. In case a request does not provide enough information for appraisal, the FAO Rep will provide guidance to the requesting entity in formulating a project outline, as described above, or a more complete project agreement, if information is available.
33. The responsibility for submitting a draft project agreement following the TCP format rests with the requesting national technical agency or government service. FAO will, through its technical services, assist in the finalization of the document.
34. Technical divisions are reimbursed for the work carried out by FAO technical staff to formulate project agreements<sup>19</sup>. In cases of special need, additional resources for the formulation can be made available at the request of the government through the TCP Facility (see [Annex 4](#)).

#### Appraisal

35. All requests are subjected to a thorough review and appraisal at different levels of the Organization, involving the FAO Rep, TCOT, the LTD and other technical entities. The review and appraisal process is managed and coordinated by TCOT; in the case of the TCPF this process is managed by the FAO Rep, under the guidance of TCOT.
36. The appraisal process aims at ensuring that:
  - the support requested falls within FAO's mandate, strategic goals and priorities and is consistent, where it exists, with the NMTPF (responsibility of the FAO Rep);
  - the proposal is not a repetition of or follow-up to previous TCP assistance and that it does not duplicate other activities, especially supported by external assistance (responsibility of TCOT and the FAO Rep);
  - the request meets the TCP criteria (responsibility of TCOT);
  - the proposed support is operationally feasible; the objectives stated are achievable with the planned resources and the timeframe indicated in the project agreement<sup>20</sup>;

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<sup>19</sup> At standard rates upon project approval (see FPC 2005/01, Reimbursement of FAO Technical Support Services in TCP Projects).

<sup>20</sup> See FPC 2001/06, "Procedure for the operational clearance of project proposals".

- the proposal is technically sound and realistic in its layout; its objectives and resources are logically articulated and FAO's technical units have adequate capacity to backstop project implementation (responsibility of LTD through its officers in the Regional and Subregional Offices or at headquarters, as appropriate, and other technical units associated with the project).
37. The FAO Rep appraises requests that are submitted within the framework of the TCPF to ensure their eligibility for TCP funding. The result of the appraisal as well as his/her report on the use of the TCPF, are posted by the FAO Rep in the FPMIS.
  38. For all requests not covered by the TCPF, the FAO Rep submits an In-Country Appraisal<sup>21</sup> (ICA) in which he/she provides a personal and independent assessment of the importance and context of the request, emphasizing specifically its relation to government, UN and donor policies and priorities, and the likelihood of follow-up activities. The project documentation elaborated at country level, including the ICA, should be transmitted to TCOT for review, appraisal and further processing.
  39. If, following the appraisal of the request for its compliance with TCP criteria or its technical and operational feasibility or for reasons related to the financial possibilities of TCP, the requested assistance cannot be approved, the government is informed immediately by the ADG/TC, or by the Chief, TCOT, directly or through the FAO Rep.

#### **Finalization, review and clearances**

40. All non-emergency projects are reviewed by the Programme and Project Review Committee (PPRC) to ensure their compliance with the general orientation and policies of the Organization<sup>22</sup>.
41. If the project agreement that results from the above process differs significantly from the original request, it may be sent to the requesting government or the national implementing agency for examination and formal endorsement. If the project agreement is in direct response to the problem defined in the request, the project is submitted for approval.

#### **Approval**

42. Authority for project approval rests with the Director-General, who may delegate it to a senior official of the Organization who is normally the ADG/TC. He/she informs the government of project approval through the official channels of communication, designates the budget holder responsible for operating the project and declares it operational through the established procedures.
43. The project agreement is signed by the FAO Rep and by a representative of the recipient government or intergovernmental organization.

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<sup>21</sup> See also in FPMIS, FPC 1998/04 "In-country Appraisal of Requests for New Technical Assistance Project Proposals" from which the ICA form can be extracted.

<sup>22</sup> For Terms of Reference of the PPRC and format of the Project Review Sheet, please see the PPRC Web site at <http://internal.fao.org/ois/BULLETTIN/ProjReview/PPRC.htm>



#### IV. PROJECT IMPLEMENTATION AND COMPLETION

##### Start-up

44. Project implementation arrangements and guidance are described in FAO's Field Programme Manual and relevant Field Programme Circulars<sup>23</sup> available from FPMIS.
45. The project is implemented jointly by FAO and the national partner institution designated by the government (or the intergovernmental organization), which are responsible for providing their respective contributions as per signed project agreement. The general provisions contained in Annex 3 apply to all TCP projects.
46. On FAO's side, the unit operating the project - in most cases, the FAO Rep - is designated by the ADG/TC as its budget holder. The budget holder operates the project in accordance with the following principles:
  - The project should be implemented in compliance with TCP criteria and regulations and in accordance with FAO rules, regulations and procedures. In particular, the budget holder is responsible for ensuring cost-effectiveness and full transparency in the utilization of project funds according to FAO's standard accounting practices.
  - A Project Task Force is to be established, within two weeks after project approval, that is composed of members of the technical services concerned by the project and the TCOT officer concerned<sup>23</sup>.
  - The overall responsibility for project operations rests with the budget holder who is accountable for the use of project resources in accordance with the project agreement and for ensuring timeliness of action as established in the project's work plan which, if not already included in the project agreement, should be prepared at project start. The work plan should be flexible and revisable at any time, and will constitute a guide for all stakeholders to provide their contribution at the right time, and an instrument for monitoring project implementation and achievements.

##### Government's and national stakeholders' contribution

47. The respective contributions of the national stakeholders involved in the project and, in particular, the contribution of the national partner institution will be delivered as specified in the project agreement and according to the administrative arrangements put in place by the government.
48. Each project should be supervised by the National Project Coordinator (NPC) nominated as soon as the project starts (preferably before) and fully paid by the government. The NPC will facilitate the participation of national stakeholders, obtaining their timely contributions and inputs in the project, and will ensure that project outcomes reach the ultimate beneficiaries. National project personnel recruited by FAO are fully accountable to the Organization and cannot be on the government's payroll at the time of their assignment with FAO, nor can they be recruited from the national partner institution.
49. Depending on the complexity and type of the project, the establishment of a Project Steering Committee is encouraged with the participation of the senior government officials concerned

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<sup>23</sup>

FPC 2002/02, "Project Task Force Consultations" and FPC 2003/04, "Project Cycle"



and representatives of other main stakeholders, for the purpose of guiding and monitoring the project's implementation. The FAO Rep in the recipient country should be a member of the Project Steering Committee.

### **FAO contribution**

50. The contribution of FAO to the project is defined in the project agreement. See in Annex 2, Appendix 1 a list of the different types of inputs that can be provided through TCP.
51. The expertise provided by FAO will help build local capacities to ensure that the critical gaps and problems to which TCP is directed would be addressed effectively.
52. FAO's commitment is limited to the provision of the quantities of expertise, materials, supplies, equipment and other inputs required to reach the project objectives, and specified in the project agreement, up to the budgetary allocation. The share of equipment and supplies should not exceed 50 percent of the total budget (except for emergency projects).
53. More generally, the commitment of FAO is limited to the provision of technical services and the procurement of inputs directly related to the project, and not to the delivery of a specific budget amount. The purpose of a TCP project cannot be to provide budgetary support to normal (or scheduled) activities of national or regional institutions. If project objectives are achieved with fewer inputs, or with inputs at lower cost, the unspent funds are returned to the TCP General Account. Unless justified through a revision (see below), the procurement and delivery of all project inputs should conform to the project agreement.

### **Monitoring**

54. During implementation, progress towards the planned outputs and outcomes is monitored by the budget holder, and by the FAO Project Task Force. Monitoring will facilitate timely and cost-effective implementation, including identification of issues and problems for timely corrective action by the project management at all levels, including by the Project Steering Committee.

### **Revisions**

55. TCP projects should be revised in the course of their execution if changes are required to reach established objectives and expected outputs or to adapt the project to unforeseen circumstances arising during implementation. Adjustments to the approved project and to its budget are regulated by FPC 2006/01 "Procedures for the Revision of TCP Projects" accessible through the FPMIS and attached as Annex 5.

### **Reporting**

56. Reporting requirements under TCP projects are covered by the FAO Field Programme Reporting Manual (FPC 2003/02). Specific reporting requirements should be clarified in the project agreement and individual responsibilities should be specified in the experts' terms of reference annexed to the project agreement.
57. Each project is concluded with a terminal statement or concluding letter that is prepared under the responsibility of the LTD in consultation with the FAO Rep in his/her capacity as budget holder and is submitted by the LTD to TCOM for final processing. The terminal statement, which should be submitted to the government within three months of completion

of project activities, informs the government at the highest level of the project's major achievements and recommendations.

### **Project closure**

58. Once the project activities have been completed, the budget holder takes appropriate steps to close the project following established procedures governing project closure. In so doing, any unspent funds will be returned to the TCP General Account and reallocated to new projects.

### **V. FOLLOW-UP**

59. Upon completion of field work on a TCP project and before the departure from the country of FAO experts or consultants (if applicable), the FAO Rep arranges for consultations with the government and the project's stakeholders to review the project's achievements compared to the expected results (e.g. capacities were developed, knowledge and skills were shared), to identify pending issues and ensure that arrangements for appropriate follow-up action are in place, as foreseen in the project agreement.
60. The terminal statement or concluding letter mentioned above should provide a summary of the findings from the above review and highlight the follow-up actions needed by the project stakeholders to ensure sustainability. In particular, it will mention any donor commitment for follow-up that would have been secured during project preparation or implementation.

### **VI. EVALUATION, INSPECTION AND AUDIT**

61. The appropriate units of FAO can at any time, and even after project completion, evaluate, inspect and audit projects funded under the TCP.

**PROJECT OUTLINE (2 TO 4 PAGES)**

Country	
Project Idea Title	
Envisaged duration – deadline for action	
Budget (US\$, tentative)	
Originator of project idea, (in government service and/or LTD)	<b>Name of technical officer, e-mail address, contact telephone, division or service</b>

**Background and justification**

- problem to be addressed, within context;
- critical gap to be filled by the project and justification for FAO involvement;
- stakeholders and foreseen beneficiaries;
- other elements that demonstrate eligibility for TCP support.

**Project design**

- objectives of the assistance;
- inputs, activities, and tentative budget to be provided by FAO;
- government's contribution (optional), national partner institution.

**Sustainability and key follow-up measures**

- sustainability prospects in light of the above objectives; key assumptions;
- means of ensuring follow-up; possible donor commitment for follow-up.

**Annexes: technical annex, references, relevant BTORs by FAO staff, and any other type of information relevant to the case (if readily available)**

**PRO FORMA PROJECT AGREEMENT: FRONT PAGE**

**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS**  
**TECHNICAL COOPERATION PROGRAMME**

**Country:**

**Project title:**

**Project symbol:**

**Starting date:**

**Completion date:**

**Government Ministry responsible  
for project execution:**

**Budget covering FAO contribution:**                      US\$ .....

Signed: .....

(on behalf of the government)

Signed: .....

Jacques Diouf  
Director-General  
(on behalf of FAO)

Date of signature: .....

Date of signature:.....

The format of the project agreement should be based on the following headlines, and completed with the information that is required to assess eligibility against the new TCP criteria.

- I. **PROJECT SUMMARY**
- II. **BACKGROUND AND JUSTIFICATION**
- III. **OBJECTIVES OF THE ASSISTANCE**
- IV. **PROJECT OUTPUTS**
- V. **WORK PLAN**
- VI. **CAPACITY BUILDING AND SUSTAINABILITY**
- VII. **INPUTS TO BE PROVIDED BY FAO (SEE DETAILS IN APPENDIX 1 BELOW)**
- VIII. **REPORTING**
- IX. **GOVERNMENT CONTRIBUTION AND SUPPORTING ARRANGEMENTS**
- X. **PROJECT BUDGET**
- XI. **ATTACHMENTS TO PROJECT AGREEMENT**
  - 1. Description of the training programme
  - 2. Description of services to be provided under contracts
  - 3. Itemized list of equipment
  - 4. Itemized list of materials and supplies
  - 5. Terms of reference including description of required qualifications for each international and national expert, technical support services and national project coordinator.

## I. PROJECT SUMMARY

This should put particular emphasis on the outcome (desired improved situations or changes) expected from the project (not to exceed one half-page).

## II. BACKGROUND AND JUSTIFICATION

This section will contain the background to the request and a brief description of the specific problem, highlighting its causes and effects, in the particular sector or subsector in which the project will be placed. It should specifically explain the sector's importance, **the critical technical gap to be filled** in the context of the relevant government's sector and subsector strategy and policy. **It should also explain the consequences caused by non-action on this specific problem**, and **outline** how the assistance requested will be utilized to fill a **need which cannot be met from other sources**. Mention should be made of other related activities supported by the government or by other assistance agencies.

**The justification should highlight the follow-up action expected after completion of the project** and the **expected** project's **catalytic role** in connection with the government's development efforts. **It should, in particular, clarify how the government intends to ensure realization of the planned project results in a sustainable manner, and the extent to which this will depend on national budgetary or policy decisions or funding decisions by other donors.**

## III. OBJECTIVES OF THE ASSISTANCE

This section will state briefly but in **specific terms**, the particular objectives(s) which the project is expected to achieve. The project objective is defined as a specific aim to be achieved and formulated as the expected future improved situation after the successful completion of the project. The statement should be drafted wherever possible **in terms permitting subsequent verification of project accomplishments**. Examples include practice of a particular improved technology (developed by the project) by a group of beneficiaries, or staff capable of carrying out specific functions (as a result of training by the project).

## IV. PROJECT OUTPUTS (RESULTS)

Outputs (results) to be defined in this section, are the specific products of activities undertaken, the combined use of which project beneficiaries will achieve the objective of the project, provided assumptions on external factors are correct. They should be defined in terms that permit their verification in quantity, quality and time, and should be consistent with the project objective and design, and provide the basis for the elaboration of a clear, detailed work plan.

## V. WORK PLAN

All the substantive activities required to produce the outputs of the project will be defined. An overall implementation work plan will be given in the form of a timetable with a definition of its start and end, with an indication of when each of the specific activities will be implemented and outputs produced. The format is flexible but should be sufficiently specific, not only to serve as a practical guide for the national government and experts/consultants on what activity should be carried out at what time and where and to be implemented by whom, but also to serve as an instrument for monitoring project implementation and achievement for both the government and FAO.

## VI. CAPACITY BUILDING AND SUSTAINABILITY

The project agreement is to describe in clear terms how the project will use national experts/consultants to achieve project objectives and how the use of such experts/consultants will contribute to building national capacity in the recipient institution/country.

## VII. INPUTS TO BE PROVIDED BY FAO

See Appendix 1 for details

**The commitment of FAO is limited to the provision of technical inputs. The purpose of a TCP project cannot be to provide budgetary support to normal (or scheduled) activities of national authorities or institutions. If project objectives are achieved with fewer inputs, the unspent funds are returned to the TCP General Account. If more inputs are required to achieve the agreed upon project activities and outputs, a revision of the project must be requested through the appropriate channels and may be granted after appraisal against TCP criteria.**

## VIII. REPORTING

Requirements for **periodic reporting** will be stated in the project agreement and will be adjusted to the needs of the project in each individual case. The FAO representative will arrange for the submission to the regional office and to TCOM of a **quarterly project implementation report** (QPIR) to be prepared by his/her office or the national coordinator or project staff, but submitted under the responsibility of the FAO representative.

Each international or national consultant, including FAO personnel providing advisory technical services has to prepare a **mission report** containing the main results, conclusions and recommendations of his/her missions.

**Technical reports** may be the main output of a TCP project. They may, in exceptional cases, replace the need for mission reports or terminal statements (below). Technical reports must be approved by the technical divisions of the Organization through an appropriate review process. FAO is responsible for ensuring that the technical reports of all consultants or experts are submitted in a timely manner and are of a suitable quality.

**Field documents** will be the normal form of reports by national or international consultants. They should be of high quality and accurate in their facts and presentation and require the approval by the technical unit responsible for technically supporting the project. Projects that have field documents as their major outputs will produce a terminal statement (below) which summarizes the project's main findings and conclusions.

The final project reporting requirement is a **terminal statement**, presenting the main results and conclusions of the project in addition to FAO's recommendations to the government. It is the responsibility of the FAO technical unit charged with technically supporting the project to ensure that this terminal statement is issued in a timely manner and is of a suitable quality.

The preparation of the terminal statement may be assigned to the lead technical consultant, and has to be specified in his/her TOR. In some cases, a short and concise concluding letter indicating that the project has delivered the inputs and achieved its purposes will be sufficient as a record of project accomplishments. Terminal statements or concluding letters are transmitted by the Assistant Director-General of the Technical Cooperation Department to the highest technical authority in the government, normally the Minister for Agriculture.

Within one year after completion of the project, the recipient government should submit a brief report on action taken on the main recommendations resulting from the project.

#### **IX. GOVERNMENT CONTRIBUTION AND SUPPORTING ARRANGEMENTS**<sup>24/</sup>

This section should contain a clear statement of cash contributions, physical facilities (buildings, office space and local transport) and counterpart staff which the government intends to make available in support of the project. Each project should be assigned a national project coordinator at senior level who will not be on the payroll of FAO nor receive any direct or indirect benefits from the project. National consultants or experts cannot be on the government payroll at the time of their assignment with FAO.

Projects whose major activity is the preparation of a sector study, of policy advice, of documentation for a round table, etc. by a team of international and national consultants should be supervised by a project steering committee whose membership should include senior officials of the technical ministries concerned, in addition to the FAO representative.

The administrative arrangements and responsibilities assigned to each party of the project will facilitate project execution. This refers in particular to arrangements for clearance of experts, customs clearance of equipment, tax-free local purchase of project equipment and supplies, etc.

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<sup>24</sup> The participation and obligations of governments are also outlined in the standard text of the General Provisions which is attached to and is a full part of any TCP project agreement or letter of agreement (see Annex 3)



**X. PROJECT BUDGET**

The project budget covering the FAO contribution is prepared by FAO.

**Country:** .....

**Project title:** .....

**Project symbol:** TCP /..... / .....

Budget line	Component Description	Sub Comps.	Main Comp.
<b>5013</b>	<b>Consultants</b>		-
5542	Consultants - International	-	
5543	Consultants – National	-	
5544	Consultants - TCDC/TCCT	-	
5545	Consultants - Retired Experts	-	
5546	Consultants - South South Cooperation	-	
<b>5014</b>	<b>Contracts</b>		-
5650	Contracts Budget	-	
<b>5020</b>	<b>Locally Contracted Labour</b>		-
5652	Casual Labour - Temporary Assistance	-	
<b>5021</b>	<b>Travel</b>		-
5661	Duty travel others (FAO staff only)	-	
5684	Consultants - International	-	
5685	Consultants – National	-	
5686	Consultants - TCDC/TCCT	-	
5687	Consultants - Retired Experts	-	
5688	Consultants - South South Cooperation	-	
5689	Consultants - UN Volunteers	-	
5691	Consultants - Young Professionals	-	
5692	Travel TSS	-	
5694	Travel – Training	-	
5698	Travel non staff (counterparts)		
<b>5023</b>	<b>Training</b>		-
5920	Training Budget	-	
<b>5024</b>	<b>Expendable Equipment</b>		-
6000	Expendable Equipment	-	
<b>5025</b>	<b>Non Expendable Equipment</b>		-
6100	Non Expendable Equipment Budget	-	
<b>5027</b>	<b>Technical Support Services</b>		-
6111	Report Costs		
6120	Honorarium TSS	-	
<b>5028</b>	<b>General Operating Expenses</b>		-
6300	General Operating Expenses Budget	-	
<b>5029</b>	<b>Support Cost</b>		-
6118	Direct Operating Costs	-	
	<b>Grand Total</b>		-

**XI. ATTACHMENTS TO PROJECT AGREEMENT**

1. Description of the training programme
2. Description of services to be provided under contracts
3. Itemized list of equipment
4. Itemized list of materials and supplies
5. Terms of reference including description of required qualifications for each international and national expert, technical support services and national project coordinator.

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**Appendix 1: Guidance for formulating section VII: INPUTS TO BE PROVIDED BY FAO**

The section on FAO contribution should describe the project's inputs to be provided by FAO, in consistency with the above budget table. The Oracle budget lines (BL) under which the inputs should be budgeted are shown in brackets in the following description.

**1. Personnel services**

This section lists the different types of personnel input that will be provided by the project and, for each individual, his/her area of expertise, total duration of assignment and number of missions. Detailed terms of reference must be provided in annex, indicating the qualification required, tasks to be performed, expected outputs, reporting responsibilities, duration of assignment, number of missions and duty station(s).

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

**- International experts under the Partnership Programmes (i.e. TCDC/TCCT or retired experts).**

The level of their remuneration is based on the standard terms and conditions of the Partnership Programme, as agreed between FAO and the member countries that are signatories of the TCDC/TCCT agreements. Independent international experts can also be recruited as TCDC/TCCT or retired experts, if accepting the related contract conditions (BL 5544, honorarium and BL 5686, international and in-country travel and daily subsistence allowance, DSA). The same DSA rates apply as for international experts at UN honorarium rates.

**- Other international experts.** The level of their remuneration is established on the basis of UN prevailing rates for the type of expertise required. The standard costs include honorarium (account line BL 5542), estimated international and in-country travel costs and the DSA (BL 5684) applicable to the country and in-country specific areas, if relevant. The recruitment of international experts at UN honorarium rates requires the approval of FAO senior management based on a justification provided by the Director of the Lead Technical Division.

**- FAO Technical Support Services (TSS)** are services provided by FAO technical officers based at FAO Regional Offices, Subregional Offices or headquarters. Formulation of project agreements can be reimbursed under this component. The costs for TSS include honorarium (BL 6120) calculated at the standard rate for FAO services established by the Organization, and estimated international and in-country travel costs and the DSA (BL 5692) applicable to the country. In cases where FAO cannot provide the technical staff to undertake the TSS work, FAO staff can be replaced, at the initiative of the FAO technical division concerned, by an external expert (international or Partnership expert). In such cases, the honorarium of the expert is paid by the FAO technical division, which is reimbursed by claiming the TSS (BL 6120), while the travel and DSA costs are charged to the project under TSS travel (BL 5692)

**- National experts.** They are selected by FAO, and cannot be on the government payroll at the time of their assignment with FAO, nor be recruited from the national implementing agency. The level of their remuneration (BL 5543) is based on prevailing local conditions and in line with rates applied by the UN system as well as government rates. FAO retains the responsibility for the technical guidance and supervision of these experts and reviews their performance.

**- South-South Cooperation professionals.** The level of their remuneration is based on the terms and conditions of the South-South Cooperation agreement signed between FAO and the member countries (BL 5546, honorarium and BL 5688, international and in-country travel and DSA).

- **Administrative support** (non-professional national project personnel such as secretarial support, interpreters, drivers, casual labour,<sup>25</sup>/ etc.) will be provided only on an exceptional basis and only in support of the project's activities (BL 5652).

2. **Duty travel.** The project can fund in-country duty travel expenses of locally recruited project staff (e.g. in-country flights, DSA (at national government rates), car rental in exceptional cases, etc.) (BL 5661). This budget line may also cover travel of the FAO Rep and Assistant FAO Rep to project sites. In exceptional cases, if required for project implementation, national staff from the implementing agency or from a key partner institution may be entitled to reimbursement of their travel expenses related to the project, within the limits of government's reimbursement rates (BL 5698). Similarly, travel expenses of UN volunteers and young professionals can be reimbursed (BL 5689 and 5691) when travel is directly related to the project execution.

3. **Contracts, letters of agreements or contractual service agreements** (BL 5650) for specialized technical services. Mixes of services and inputs can be covered under contracts or letters of agreements with specialized institutions. The itemized services or inputs to be provided, the expected results and conditions that such contractual arrangements entail must be clearly specified in an annex to the project agreement. No contract can be established with the project's national implementing agency.

4. **Materials, supplies and equipment:** FAO's commitment is limited to the supply of the quantities specified in the project agreement, up to the budgetary allocation. This section will provide a list of expendable and non-expendable equipment with a reasonable level of specification.

- **Expendable materials and supplies** (BL 6000). If total costs exceeds US\$10 000, specifications, maximum physical quantities and related maximum amounts allocated in US dollars for the individual expendable items must be stated in annex.

- **Non-expendable equipment** (BL 6100). If total costs exceed US\$10 000, the preliminary specifications of non-expendable items, with provisional itemized cost estimates, should be provided in an annex to the project agreement. In all cases, the procurement of vehicles requires prior clearance by TCOT.

5. **Training:** If capacity building represents an important project component, an annex should give the details of the training sessions, such as: title, technical content, training approach, targeted participants (by gender and occupation), host institution and place, project staff responsible for delivering training, envisaged number of trainees and duration, as well as detailed cost estimates.

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

- **Study tours** for nationals should be kept to the absolute minimum (maximum two trainees per beneficiary country and maximum two countries visited per trainee). In exceptional circumstances, the trainees can be accompanied by an interpreter. The cost of the study tour includes travel and DSA (at UN rates) (BL 5694) and may also include a fee to the receiving institute/centre (BL5920). If board and accommodation is included in the fee, the DSA is reduced to 20 percent.

- The budget for **in-country workshops** (BL 5920) for national participants should cover only the cost required for setting up the workshops and for the preparation and reproduction of the training materials, as the government is expected to cover the cost of the participation of its nationals. However, in exceptional circumstances, expenses for internal travel and accommodation for participants needing to travel to attend the

<sup>25</sup> Cleaning of premises, security and maintenance costs are to be budgeted under GOE, but should normally be provided through the government contribution.

training course may be included. The per diem should be calculated at UN or government rates, whichever is lower.

- **Regional workshops.** The costs related to international travel and DSA (at UN or government rate, whichever is lower) of participants in regional workshops should be budgeted under BL 5694.

6. **General operating expenses (GOE)** (BL 6300) to cover miscellaneous expenses required in the field for the operation of the project, such as telephone communications, photocopy paper, etc. (not more than five percent of the total budget minus the DOC). In addition, standard amounts are to budgeted for processing the terminal statement or concluding letter (BL 6111).

7. **Direct operating costs (DOC)** (BL 6118) to cover FAO's administrative and operational costs related to the implementation of the project (currently seven percent of the project expenditures)

Additional inputs to be provided from any source other than TCP should be mentioned under the section on Government's (and other stakeholders') contribution.

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**TCP GENERAL PROVISIONS**

Source: FPC 2005/02


1. The achievement of the objectives set by the project shall be the joint responsibility of the government and FAO.
  2. As part of its contribution to the project, the government shall agree to make available the requisite number of qualified national personnel and the buildings, training facilities, equipment, transport and other local services necessary for the implementation of the project.
  3. The government shall assign authority for the project within the country to a government agency, which shall constitute the focal point for cooperation with FAO in the execution of the project, and which shall exercise the government's responsibility in this regard.
  4. Project equipment, materials and supplies provided out of Technical Cooperation Programme funds shall normally become the property of the government immediately upon their arrival in the country, unless otherwise specified in the agreement. The government shall ensure that such equipment, materials and supplies are at all times available for use of the project and that adequate provision is made for their safe custody, maintenance and insurance. Vehicles remain the property of FAO, unless otherwise specified in the agreement.
  5. Subject to any security provisions in force, the government shall furnish to FAO and to its personnel on the project, if any, such relevant reports, tapes, records and other data as may be required for the execution of the project.
  6. The selection of FAO project personnel, of other persons performing services on behalf of FAO in connection with the project, and of trainees, shall be undertaken by FAO, after consultation with the government. In the interest of rapid project implementation, the government shall undertake to expedite to the maximum degree possible its procedures for the clearance of FAO personnel and other persons performing services on behalf of FAO and to dispense with, wherever possible, clearance for short-term FAO personnel.
  7. The government shall apply to FAO, its property, funds and assets, and to its staff, the provisions of the Convention on the Privileges and Immunities of the Specialized Agencies. Except as otherwise agreed by the government and FAO in the Project Agreement, the government shall grant the same privileges and immunities contained in the Convention to all other persons performing services on behalf of FAO in connection with the execution of the project.
  8. With a view to the rapid and efficient execution of the project, the government shall grant to FAO, its staff, and to all other persons performing services on behalf of FAO, the necessary facilities including:
    - i) the prompt issuance, free of charge, of any visas or permits required;
    - ii) any permits necessary for the importation and, where appropriate, the subsequent exportation, of equipment, materials and supplies required for use in connection with the project and exemption from the payment of all customs duties or other levies or charges relating to such importation or exportation;
    - iii) exemption from the payment of any sales or other tax on local purchases of equipment, materials and supplies for use in connection with the project;
-

- iv) payment of transport costs within the country, including handling, storage, insurance and all other related costs, with respect to equipment, materials or supplies for use in connection with the project;
- v) the most favourable legal rate of exchange;
- vi) assistance to FAO staff, to the extent possible, in obtaining suitable accommodation;
- vii) any permits necessary for the importation of property belonging to and intended for the personal use of FAO staff or of other persons performing services on behalf of FAO, and for the subsequent exportation of such property;
- viii) prompt customs clearance of the equipment, materials, supplies and property referred to in subparagraphs (ii) and (vii) above.

9. The Government shall appoint a National Project Coordinator (NPC), as envisaged in the Project Agreement, to carry out the functions and activities specified in the agreement. In some cases, it may be necessary for FAO to request, in writing, the NPC to incur specific commitments or obligations or to make specific payments on behalf of FAO. In such cases, the project may advance to the NPC project monies, up to the amounts allowed by and in accordance with current FAO rules and regulations. In this event the Government agrees to indemnify FAO and to make good to it, any losses that may arise from any irregularity in the maintenance of the advanced FAO's monies on the part of the NPC.

10. The government shall deal with any claim which may be brought by third parties against FAO or its staff, or against any person performing services on behalf of FAO, and shall hold them harmless in respect of any claim or liability arising in connection with the project, unless the government and FAO should agree that the claim or liability arises from gross negligence or wilful misconduct on the part of the individuals mentioned above.

11. The persons performing services on behalf of FAO, referred to in paragraphs 6, 7, 8 and 10, shall include any organization, firm or other entity, which FAO may designate to take part in the execution of the project.

	<b>FIELD PROGRAMME CIRCULAR</b>	<b>No. FPC 2006/02</b>
	Supersedes: FPC 2004/05	Date: 5 May 2006

Subject: **TCP Facility**

Originator: Tesfai Teclé  
Assistant Director-General  
Technical Cooperation Department

Distribution: Assistant Directors-General  
FAO Regional Representatives  
FAO Subregional Representatives  
FAO Representatives  
Division Directors  
Regional Office Operations Branch Chiefs  
Regional Office Policy Assistance Branch Chiefs

This Field Programme Circular (FPC) has been prepared by the Field Operations Division, TCO, in order to clarify the new arrangements for the TCP Facility (TCPF). It supersedes FPC 2004/05 issued in November 2004.

The main changes introduced in the TCPF can be summarized as follows:

- full authority of the FAO representative (FAO Rep) for approval of resources under the TCPF up to US\$200 000 per biennium;
- increased access to TCPF, which is available to all countries eligible for TCP grant assistance, including countries without a resident FAO Rep;
- flexibility in the level of the initial budget of the TCPF;
- expanded list of inputs and services which can be provided under the TCPF.

The following modalities: "TCDC/TCCT stand-alone expertise" and "fast-track processing of requests for FAO advisory technical services for funding under the TCP", established by FPC 2001/03 "Revised Technical Cooperation Programme (TCP) Guidelines", are abolished with this FPC.

This FPC is available from the Field Programme Management Information System (FPMIS <https://extranet.fao.org/fpmis/>) in English only. Its content will be incorporated into the new TCP guidelines currently being formulated.

Enquiries on the TCPF should be directed to the Chief, Technical Cooperation Programme Service, TCOT, with copy to the Chief, Field Programme, Monitoring and Coordination Service, TCOM.



FPC 2006/02

5 May 2006

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## TCP Facility

### 1. Establishment of the TCPF

The Council, at its 129<sup>th</sup> Session (November 2005), welcomed the decision to delegate full authority to the FAO Reps for approval of commitments under the TCP Facility up to US\$200 000 per member country and per biennium, in order to enable FAO to respond to government requests for urgent local programme support activities and to strengthen field programme development processes.

### 2. Country eligibility

All countries that are eligible for TCP assistance on a grant basis are also eligible for the TCPF<sup>26</sup>.

### 3. Operational responsibility for the TCPF

The FAO Rep has full operational and budget holder responsibility for the TCPF. In cases of countries with an accredited, but non-resident FAO Rep, the operational and budget holder responsibility for the TCPF rests with the accredited FAO Rep. In countries with no accredited FAO Rep, the designation of operational and budget holder responsibility for the TCPF follows the established policy for other FAO projects. The budget holder henceforth is referred to as “the FAO Rep”.

### 4. Scope of the assistance provided under the TCPF

Basic principles:

- in line with the principles that govern the use of funds provided under the TCP, the Facility is intended to assist FAO Member Nations through the provision of technical cooperation services;
- as for any TCP project, the use of funds provided under the TCPF must be in line with the TCP criteria. It is the responsibility of the FAO Rep to ensure compliance with these criteria;
- funds provided under the TCPF are meant to respond to requests originating from one or more line ministries.

The aims of the technical assistance provided under the TCPF are to:

- rapidly solve a specific technical problem for which the expertise may not be immediately available within government services;
- formulate project proposals or documents in the areas of FAO’s Mandate, required for submission to potential funding sources, including to the TCP<sup>27</sup>;

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<sup>26</sup> FAO Council report CL129/REP/2, paragraph 9: “...access henceforth by high-income developing countries and developed countries to technical assistance through the TCP modality only on a full cost-recovery basis was also supported...”.

<sup>27</sup> Replacing the use of Advance Allocation.

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- prepare background documents required by the government;
- carry out small sector- and subsector-related studies or assessments as required by the government, including to facilitate field programme development and participation in related UN processes.

The TCPF is not meant to fund bridging activities between projects.

## 5. Inputs that can be provided under the TCPF

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

- national consultants (honorarium, DSA and in-country travel);
- international consultants (honorarium, DSA, international and in-country travel). In accordance with ODG instructions, the recruitment of international consultants at UN rates requires prior ODG clearance<sup>28</sup>;
- partnership (TCDC/TCCT and retired experts) consultants (honorarium, DSA, international and in-country travel);
- Technical Support Services from decentralized offices or headquarters (staff cost, DSA, international and in-country travel);
- Letters of Agreement (LOAs) with institutions, universities, civil society or non-governmental organizations, related only to the provision of technical services;
- general operating expenses (including communications, printing, renting of vehicles related to project implementation, limited expenses related to final workshops/wrap-up meetings) for a maximum five percent of overall budget;
- direct operating costs at the established rate (currently seven percent).

The TCPF cannot be used to cover the establishment of posts, travel allowances for government staff, training activities outside the country, study tours, or the procurement of expendable or non-expendable equipment and supplies. The TCPF cannot be used to defray administrative costs or other operating costs of the FAO representation which are not directly related to the implementation of the TCPF (General Operating Expenses). Under no circumstances can the TCPF be used to defray administrative costs or other operating costs of government agencies.

## 6. Operation of the TCPF

The Facility will be operated according to the following basic principles:

- full authority, responsibility and accountability of the FAO Rep;
- full transparency;
- technical soundness;
- response to requests from governments;
- compliance with the TCP criteria.

### 6.1 Approval of the TCPF

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<sup>28</sup> The use of international consultants who are not recruited under the Partnership Programme should be justified by the technical division in an e-mail addressed to the FAO Rep, who should obtain the clearance of ODG.

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The FAO Rep can trigger the opening of a TCPF by submitting to the Chief, TCOT, either an official generic letter from the government (as per model letter in [Attachment 1](#)), or an official specific request from the concerned ministry for TCP support. The communication submitting the request should confirm that it has been endorsed by the government authorities responsible for the coordination of external technical cooperation or any other entity defined by the government as the official channel of communication with FAO. In case of a specific request for support, the request should reach TCOT accompanied by a [TCPF budget sheet \(Attachment 2\)](#) indicating the amount requested per budget line.

In response to the request, the Chief, TCOT, under delegated authority from the Assistant Director-General of the TC Department (ADG/TC), will request AFF to open a TCPF project and allocate the amount to the budget lines as per the information provided by the FAO Rep. TCOT will inform the FAO Rep of the project symbol. The TCPF will appear as any other TCP project in the FPMIS and the financial systems. The FAO Rep will inform the government of the approval of the project and will ensure that the documentation and data related to the project is uploaded in FPMIS<sup>29</sup>.

In order to avoid any underutilization of the overall TCP appropriation, a TCPF project will be approved for the sole amount requested by the FAO Rep. The budget can be replenished until the end of the biennium, as needed and upon request of the FAO Rep, up to US\$200 000 and on condition of availability of TCP resources. The NTE date of any TCPF will be the last day of the biennium (maximum duration 24 months)<sup>30</sup>.

## 6.2 Implementation of the TCPF

Once the TCPF has been approved in accordance with 6.1, the TCPF can be used to respond to several different specific requests from various line ministries. The FAO Rep screens each specific incoming government request for assistance as endorsed by a senior representative of the technical ministry concerned<sup>31</sup>, reviews it as to whether it falls within FAO's Mandate, assesses whether it meets the TCP criteria, checks with TCOT whether the necessary funds are available to increase the TCPF budget and consults with FAO's technical units concerned on the technical soundness of the proposal and on their capacity to technically backstop the activity. As a guiding principle, technical clearance should normally be sought from the decentralized office nearest to the location where the project inputs are required which would normally be the subregional office or the regional office<sup>32</sup>.

If, based on these consultations, the FAO Rep concludes that the requested assistance can be provided within the framework of the TCPF, he/she informs the ministry concerned that the request will be supported by FAO. For each specific request, the FAO Rep arranges for the

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<sup>29</sup> Depending on the quality of the internet connection, the FAO Rep will directly update the FPMIS with documents and data or will request the support of the decentralized office (SRO/RO) concerned.

<sup>30</sup> A TCPF for the subsequent biennium can be opened as soon as a government request in this regard is received.

<sup>31</sup> Once the TCPF is established as per 6.1, specific requests for assistance under the project need not be signed at the highest ministerial level.

<sup>32</sup> Initial requests for technical support or clearance of documents should be addressed to the subregional coordinator or representative, as appropriate, who will assess whether the required expertise is available in his/her office at the time required and, if so, will designate the technical officer responsible for providing the required support, while keeping the relevant technical division at headquarters informed. If the required expertise cannot be made available from the team at the decentralized office, the decentralized office immediately informs the FAO Rep and the technical division at headquarters, who will then agree with the FAO Rep whether technical support can be provided from headquarters or another location, including FAO experts in other projects.

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preparation of a standard form containing the main objective of the assistance, the outputs, inputs foreseen and the rationale for using TCP resources (see [Attachment 3](#), Part I) and uploads the form in FPMIS. To increase the budget of the TCPF, the FAO Rep sends a revised [budget sheet](#) (see [Attachment 2](#)), to TCOT and the budget is increased within the overall ceiling of US\$200 000 per country per biennium and on condition of availability of TCP resources. The FAO Rep is responsible for ensuring that the funds allocated under the approved TCPF project are committed before the end of the biennium.

The FAO Rep assumes full responsibility for the operation of the TCPF and will be accountable for the correct application of the TCP criteria and for the use of the resources and the related inputs. The implementation is undertaken in close collaboration with the senior counterparts in the government and FAO's technical officers assigned to support the TCPF's activities.

Recruitment of project personnel and approval of LOAs follow established procedures. Terms of Reference and CVs of consultants and contractors under LOAs require mandatory clearance by the FAO technical officer assigned to the TCPF activity concerned.

The FAO Rep operates the project through all stages, including closure.

Each government request addressed in the context of the TCPF should result in one or several outputs, one of which should be a document (such as a technical report, a project proposal for extrabudgetary funding, a planning framework, a draft legislation, etc.). This document should be in a format approved by the FAO Rep and/or the FAO technical officers concerned prior to the commencement of the activities. When finalized and technically cleared, this document should be transmitted by the FAO Rep to the relevant government authorities, the FAO technical officers concerned, the relevant regional and subregional offices, TCOT, and should be uploaded in FPMIS. At the same time, the FAO Rep is requested to complete [Part II of Attachment 3](#) and upload the form in FPMIS.

Within eight weeks of the end of the biennium, the FAO Rep is responsible for the preparation of a concluding letter or short report on the use made of the TCPF and the outputs produced. After obtaining technical clearance, the FAO Rep should address this letter/report to the government with copy to ADG/TC, TCOT, the FAO regional/subregional offices and technical division(s) concerned, and OCD, and it should be uploaded in FPMIS.

Following submission of the concluding letter/report, the FAO Rep fills in the operational closure form and the financial closure form for submission to TCOM and AFFC, respectively. The participating FAO technical offices will receive the reimbursement for the specific technical support services provided, if any, as per established procedures.

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Attachment 1

**TECHNICAL COOPERATION PROGRAMME FACILITY**

**Model letter for formal government request**

Dear Mr/Ms ... ,

I refer to the decision of the Director-General of FAO to establish a facility under the Technical Cooperation Programme (TCP) to accelerate response to specific requests for assistance from FAO Member Governments.

Following our conversation of ..... with ..... (or our exchange of correspondence/your discussions with the Director of Agriculture or of .....), I confirm that the Ministry of ..... wishes to avail itself of this TCP facility.

**OR**

The Minister for .....hereby wishes to benefit from this TCP facility made available by the FAO Director-General.

Yours sincerely,

The Minister  
or Permanent Secretary  
(or person of similar rank)  
on his/her behalf

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**TECHNICAL COOPERATION PROGRAMME FACILITY**

**Budget**

to be filled by the FAO Rep in consultation with the technical division(s) and transmitted to TCOT for replenishment of TCPF project resources.



TCPF.xls (48 KB)

Project Title (short):

Org. Code for Budget Holder:

only white cells to be filled - please read notes by moving cursor on red corners of marked cells

ORACLE Activity Code		TCP Symbol		Requested Budget Changes			
<input type="text"/>		TCP/.../...					
Project Budget (requested or as per Last Approved Revision)				Required Modification		Revised Budget	
Accts	Input Description	Sub/Child Account	Main/Parent Account	Increase	Decrease	Sub/Child Account	Main/Parent Account
5013	Consultants		-				
5542	Consultants - International					-	
5543	Consultants - National					-	
5544	Consultants - TCDC/TCCT					-	
5545	Consultants - Retired Experts					-	
5014	Contracts		-				
5650	Contracts Budget					-	
5021	Travel		-				
5684	Consultants - International					-	
5685	Consultants - National					-	
5686	Consultants - TCDC/TCCT					-	
5687	Consultants - Retired Experts					-	
5692	Travel - TSS					-	
5027	Technical Support Services		-				
6120	Honorarium - TSS					-	
5028	General Operating Expenses		-				
6300	General Operating Expenses Budget					-	
5029	Support Cost		-				
6118	Direct Operating Costs (7%)	-		-		-	
Grand Total		-	-	-	-	-	-

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**Attachment 3**

**TECHNICAL COOPERATION PROGRAMME FACILITY**

**Suggested format for description of assistance to be rendered in the context of a TCPF**

PART I, to be completed by the FAO Rep and uploaded in FPMIS before activities begin:

**TCP Facility project code (if project already established): .....**

**Title of the assistance: .....**

**Objectives:**

.....  
.....

**Expected outputs:**

.....  
.....

**Main inputs foreseen:**

.....  
.....

**Rationale for funding under the TCP (main TCP criteria met):**

.....  
.....

**Approximate budget: US\$.....**

**Expected duration: .....**

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PART II, to be completed by the FAO Rep at the end of the activity and uploaded in FPMIS:

**Output(s) obtained (including date of transmission to the Government if relevant)**

.....  
.....

**Main inputs used (if different from plan):**

.....  
.....

**Realized or expected longer-term impact of the assistance**

.....  
.....

**Problems or difficulties encountered during implementation**


.....  
.....

**Any other observations**

.....

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	<b>FIELD PROGRAMME CIRCULAR</b>	<b>No. FPC 2006/01</b>
	Supersedes: FPC 2003/01	Date: 6 April 2006

Subject: **PROCEDURES FOR THE REVISION OF TCP PROJECTS**

Originator: Tesfai Teclé  
Assistant Director-General  
Technical Cooperation Department

Distribution: Assistant Directors-General  
FAO Regional Representatives  
FAO Subregional Representatives  
FAO Representatives  
Division Directors  
Regional Office Operations Branch Chiefs  
Regional Office Policy Assistance Branch Chiefs

This Field Programme Circular (FPC) has been prepared by the Field Operations Division, TCO, in order to provide the latest procedures applicable for the revision of TCP projects. It supersedes FPC 2003/01 issued in March 2003.

Enquiries should be directed to the Chief, Field Programme Monitoring and Coordination Service, Field Operations Division. This Field Programme Circular is available from the Field Programme Management Information System (FPMIS, <https://extranet.fao.org/fpmis>).

FPC 2006/01

6 April 2006

**PROCEDURES FOR THE REVISION OF TCP PROJECTS**

*TCP projects should be revised in the course of their execution if changes are required to achieve established objectives and expected outputs or to adapt the project to unforeseen circumstances arising during implementation.*

**Basic principles:**

- (a) *The procedures are intended to facilitate the work of the budget holder by minimizing bureaucracy and maximizing flexibility in adjusting the project to the realities as they unfold during its implementation, while at the same time ensuring integrity, effectiveness and transparency in the utilization of TCP funds and compliance with TCP criteria and FAO policies.*
- (b) *The budget holder and FAO technical officers share the responsibility for ensuring cost-effectiveness in project implementation.*
- (c) *The commitment of FAO is limited to the provision of technical inputs and not to the delivery of a specific budget amount. If project objectives are achieved with fewer inputs, the unspent funds are returned to the TCP General Account.*
- (d) *The budget holder is responsible for ensuring full transparency in the utilization of project funds, e.g. by encouraging clear and unequivocal descriptions of expenditures that allow for easy monitoring of project transactions in the Data Warehouse and by keeping records of all decisions taken during project implementation.*
- (e) *The budget holder is responsible and accountable for ensuring the use of project resources in accordance with FAO rules and regulations and financial procedures.*
- (f) *Project resources can be used solely for the provision of technical assistance services and the procurement of inputs directly related to the project.*
- (g) *TCOT should be alerted to the need for a revision that goes beyond the flexibility margins/authority of the budget holder as soon as the required changes are known and quantified and, in any case, before the proposed changes are implemented.*

The following types of revision can be identified:

- **Project revision**

Changes in project design may include an adjustment to objectives, outputs or activities, etc., as well as a significant qualitative or quantitative modification of project inputs.

**Budget revision**

1. **Modification of the total budgetary allocation** may be required to cover a quantitative or qualitative adjustment of inputs or to accommodate cost variations.
2. **Reallocation between child accounts** may be needed to adjust inputs or to reflect actual costs even if the overall budgetary allocation remains unchanged.

- **Rephrasing/extension of project activities**

Rephrasing of the project by modifying the scheduled start and end dates may become necessary, if the initiation and/or completion of field activities are delayed.

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**FLEXIBILITY MARGINS AND AUTHORITY TO EFFECT REVISIONS OF TCP PROJECTS**

	A	B	C	D
	No prior approval by TCOT is required	Approval by TCOT is required through e-mail	Approval by TCOT is required through a formal project/budget revision	Approval by the Director, TCO is required through a formal project/budget revision
<b>Project revision</b>		Revision of objectives, <b>new</b> outputs, <b>new</b> activities, <b>new</b> type of inputs, with no budget implications or falling in the margins defined below	Revision of objectives, <b>new</b> outputs, <b>new</b> activities, <b>new</b> type of inputs, with budget implications falling in the margins defined below	Revision of objectives, <b>new</b> outputs, <b>new</b> activities, <b>new</b> type of inputs, with budget implications falling in the margins defined below
<b>Modification of total budget allocation</b> (within ceiling of US\$500 000 per project) <sup>33</sup>	up to 15% of total budget maximum US\$20 000  for adjustments to <b>approved inputs</b>	up to 15% of total budget maximum US\$20 000  for <b>new inputs</b>	up to 50% of total budget maximum US\$100 000	for adjustments above 50% or US\$100 000
<b>Reallocation between child accounts</b> (with exceptions as per table below)	up to 20% per account line maximum US\$15 000  for adjustments to <b>approved inputs</b> and <b>for switching</b> between TCDC, retired and national consultants and/or contracts, keeping same terms of reference	up to 20% per account line maximum US\$15 000  for <b>new inputs</b>	for adjustments up to US\$50 000 per account line	for adjustments above US\$50 000 per account line
<b>Rephasing/extension</b>	Up to 6 months within 24 months project duration	More than 6 months and extensions beyond 24 months		

The following account lines must be sustained at pre-established levels:

Account-line	Description	Comment
<b>6111</b>	<b>REPORT COSTS</b>	<b>STANDARD FEE TO PROCESS THE PROJECT'S TERMINAL STATEMENT IN TCOM</b>
<b>6116</b>	<b>EVALUATION</b> <sup>34</sup>	<b>STANDARD FEE TO COVER EXPENSES FOR THEME-ORIENTED EVALUATIONS</b>
<b>6118</b>	<b>DIRECT OPERATING COSTS</b>	<b>CHARGED MONTHLY BY AFFC BASED ON ACTUAL EXPENDITURE FOR THE MONTH AT 7% TO COVER THE COST OF ADMINISTRATIVE AND OPERATIONAL SUPPORT SERVICES</b>

**FORMAT OF THE REQUEST FOR REVISION**

<sup>33</sup> For projects approved before 1 January 2006, the ceiling is US\$400 000.

<sup>34</sup> For projects approved before 1 January 2006 only.

**Cases falling under Column A - no prior approval by TCOT is required:**

The budget holder, in consultation with/upon request from concerned FAO technical officers and counterparts, can proceed with the adjustments. Any budgetary changes should be reflected in the next formal request for budget revision. The need for rephrasing/extending a project should be communicated to TCOT, which will update the Field Programme Management Information System (FPMIS).

**Cases falling under Column B - approval by TCOT is required through an e-mail:**

The budget holder, in consultation with/upon request from concerned FAO technical officers and counterparts, sends an e-mail providing a justification for the revision to TCOT. Upon approval, the e-mail will be uploaded to FPMIS by TCOT. Any budgetary changes should be reflected in the next formal request for a revision. In cases of rephrasing/extension, TCOT will update the appropriate fields in FPMIS.

**Cases falling under Columns C and D - approval by TCOT or Director, TCO is required through a formal project/budget revision:**

The budget holder, in consultation with/upon request from concerned FAO technical officers and/or counterparts, fills in the TCP Budget Revision form (see [Annex A](#), available in Excel format from FPMIS under Procedures/Field Programme Circulars or from the Field Programme Manual). The form should be submitted by e-mail to the Chief, TCOT. For revision of objectives and other major adjustments, evidence of government approval may be requested by TCOT. Upon approval, the budget holder is informed by e-mail and the revision is sent by TCOT to AFFC to effect adjustments in ORACLE. A copy of the approved revision is posted in FPMIS.

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(Available and to be used in Excel format)


<b>FAO Technical Cooperation Programme</b>					
<b>Project / Budget Revision No.:</b>	...	<b>Project Symbol:</b>	TCP/...../.....	<b>Oracle Code:</b>	.....
<b>Project Title:</b> .....					
<b>Project Schedule</b>	Planned	Revision 1	Revision 2	Revision 3	Revision 4
Total months:	...				
From:	...				
To:	...				
<b>Rationale for the Revision Request:</b> (Supporting documentation may be attached)					
Kindly provide concise and transparent justification and description of required adjustments					
<b>Operating Unit:</b> .....		<b>Endorsing Service:</b> TCOT		<b>Authorizing Division:</b> TCO	
<i>no physical signature required</i>					
<b>Name of Budget Holder</b>		<b>Chief, TCOT</b>		<b>Director, TCO</b>	
Date: .....		Date: .....		Date : .....	

TCP Guidelines: Procedures for the Revision of TCP Projects

(Available and to be used in Excel format)

ORACLE Activity Code		TCP Symbol		Financial Status as recorded for the whole project period		Requested Budget Changes			
0		0				Required Modification		Revised Budget	
Project Budget (as per Last Approved Revision)									
Accts	Input Description	Sub/Child Account	Main/Parent Account	Commitments and Actuals	Available Budget	Increases	Decreases	Sub/Child Account	Main/Parent Account
5013	<b>Consultants</b>		-	-	-				-
5542	Consultants - International							-	
5543	Consultants - National							-	
5544	Consultants - TCDC/TCCT							-	
5545	Consultants - Retired Experts							-	
5546	Consultants - South South Cooperation							-	
5547	Consultants - UN Volunteers							-	
5549	Consultants - Young Professionals							-	
	<i>other child/sub accounts total</i>								
5014	<b>Contracts</b>		-	-	-				-
5650	Contracts Budget							-	
5020	<b>Overtime</b>		-	-	-				-
5652	Casual Labour - Temporary Assistance							-	
	<i>other child/sub accounts total</i>								
5021	<b>Travel</b>		-	-	-				-
5661	Duty travel (FAO staff only)							-	
5684	Consultants - International							-	
5685	Consultants - National							-	
5686	Consultants - TCDC/TCCT							-	
5687	Consultants - Retired Experts							-	
5688	Consultants - South South Cooperation							-	
5689	Consultants - UN Volunteers							-	
5694	Travel Study Tour							-	
5692	Travel TSS							-	
5698	Travel non-staff (counterparts)							-	
	<i>other child/sub accounts total</i>								
5023	<b>Training</b>		-	-	-				-
5920	Training Budget							-	
5024	<b>Expendable Equipment</b>		-	-	-				-
6000	Expendable Equipment Budget							-	
5025	<b>Non Expendable Equipment</b>		-	-	-				-
6100	Non Expendable Equipment Budget							-	
5027	<b>Technical Support Services</b>		-	-	-				-
6111	Report Costs							-	
6116	Evaluation							-	
6120	TSS (Honorarium)							-	
	<i>other child/sub accounts total</i>								
5028	<b>General Operating Expenses</b>		-	-	-				-
6300	General Operating Expenses Budget							-	
5029	<b>Support Cost</b>		-	-	-				-
6118	Direct Operating Costs							-	
	<i>other child/sub accounts total</i>								
	<b>Grand Total</b>	-	-	-	-	-	-	-	-

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	<b>FIELD PROGRAMME CIRCULAR</b>	<b>No. FPC 2005/01</b>
	<b>Supersedes:</b>	<b>Date: 7 February 2005</b>

**Subject: Reimbursement of FAO Technical Support Services in Technical Cooperation Programme (TCP) Projects**

**Originator:** Henri Carsalade  
Assistant Director-General  
Technical Cooperation Department

**Distribution:** Assistant Directors-General  
FAO Regional Representatives  
FAO Subregional Representatives  
FAO Representatives  
Division Directors  
Regional Office Operations Branch Chiefs  
Regional Office Policy Assistance Branch Chiefs

This Field Programme Circular (FPC) has been prepared by the Field Operations Division (TCO) in order to reflect the changes in the budgeting and claiming of resources for technical support services (TSS) provided under the auspices of Technical Cooperation Programme (TCP) projects.

Although this FPC does not supersede any specific previous one, a number of other procedures will have to be updated to reflect the changes introduced by this Circular. For instance, the TCOT "Procedures for Charging Technical Services to TCP Projects" and the relevant forms are hereby superseded. Other documents, such as FPC 2001/03 "Revised Technical Cooperation Programme (TCP) Guidelines" and FPC 2003/01 "Procedures for the Revision of TCP Projects" will have to be amended.

This procedure is immediately effective. A Transitional Procedure for ongoing TCP projects will be communicated by electronic mail.

Enquiries should be directed to the Chief, Technical Cooperation Programme Service, TCOT, keeping the Chief, Field Programme Monitoring and Coordination Service, TCOM, informed. This Field Programme Circular is available from the Field Programme Management Information System (FPMIS <https://extranet.fao.org/fpmis/>).

## Reimbursement of FAO Technical Support Services in Technical Cooperation Programme (TCP) Projects

### 1. Basic principles

In order to ensure high quality standards and coherence with the Organization's goals and policies, it is crucial that technical assistance be planned and supervised by technical specialists of the Organization, both through desk-work and through direct supervision and technical backstopping visits to the field or direct participation in project implementation as field experts in their own right.

Such services would normally be provided by FAO staff, but could also be entrusted to consultants, when capacities to support the field programme are overstretched or the specific expertise is not available in FAO. Staff and consultants hired by technical units for Technical Support Services (TSS) would ensure the technical synergy of all project inputs throughout the project cycle, supervise and coordinate activities related to the technical management of projects and participate in project task force consultations on behalf of a technical unit<sup>35</sup>. In the case of Technical Support Services provided by consultants, the concerned technical unit would remain responsible for the technical quality of the support provided.

The following phases of the project cycle are of relevance for the reimbursement of technical support services:

- Pre-project support
- Project implementation
- Post-project implementation

#### 1.1 Pre-project support

This phase covers all activities prior to project approval and includes the review and technical appraisal of requests for assistance from member countries, and the formulation and submission of project agreements and accompanying documentation to TCOT.

Given that the Organization's functional statements require that technical divisions provide "specialized support, on request from the Technical Cooperation Department (TC), in the formulation or implementation of projects", full reimbursement of costs for such services would be neither reasonable nor feasible. It is also recognized that the time input and actual work effort for this task can vary greatly by project.

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<sup>35</sup> Technical units can be a service or branch in FAO headquarters or regional offices or subregional offices and are identified on the basis of the location of the officer providing the services.

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Within these limitations and in order to simplify reimbursement procedures, **a standard five-day input per project of the technical unit providing the lead technical officer<sup>36</sup> will be budgeted to cover these services.** In the case of multidisciplinary projects, each participating technical unit responsible for specific project inputs/outputs will receive the equivalent of a one-day input for their contribution to the formulation phase of the project. It is understood that reimbursement for these services can only be granted if and when projects are actually approved.

This concept does not preclude the possibility of using advance allocations to finance project formulation or project formulation missions in the case of complex requests, according to established procedures.

## 1.2 Project implementation

During the project implementation phase, technical support services for specific tasks are mainly provided through field visits to projects with specific terms of reference (TOR) and clearly defined outputs. In exceptional cases, reimbursement for research, analysis and compilation of technical documents at the desk can also be foreseen. **The budget for such services would be calculated based on the estimated actual days on mission and/or of desk-work.**

In addition, technical support services are provided for standard tasks for which a time-recording system is not available. **The tasks that are considered as reimbursable and the corresponding standard time inputs expressed in days or fraction of days are established as follows:**

Days	Tasks that are eligible for reimbursement
0.2	for the recruitment of each international, retired or national consultant (roster search, review of candidatures and selection)
0.4	for the recruitment of each TCDC/TCCT consultant (roster search, review of candidatures and selection)
0.2	for each contract, LoA, etc.
0.1	for review and approval of specifications of technical equipment
0.1	for review and approval of specifications of supplies
0.4	for review and approval of study tours
0.6	for review and approval of each in-country training activity
2	for each mission of international consultants (briefing of consultants and review, editing and clearance of his/her mission and technical reports)
1	for each assignment of national consultants (briefing of consultants and review, editing and clearance of his/her mission and technical reports)
2.4	for each mission of TCDC/TCCT consultants (briefing of consultants and review, editing and clearance of his/her mission and technical reports)

The allocated standard time input reflects the average time spent on projects for the various tasks; there may be projects where the actual time spent on an individual task is higher or lower. The average time assigned to each task may be reviewed at the beginning of each biennium, in consultation between TCD and the technical departments.

<sup>36</sup> The lead technical officer can be based in a service or branch in FAO headquarters or a regional office or subregional office.

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### 1.3 Post-project implementation

The standard cost for the finalization and dispatch of the terminal statement by TCOM is established by Management, in consultation with TCOT, and currently stands at US\$1 750.

All TCP projects are subject to evaluation. For reasons of economy of scale, evaluation of single TCP projects would not be economical. They will be evaluated on a cluster basis, according to common themes, by the Evaluation Service (PBEE). Each project will allocate US\$1 000 for this task.

## 2. Budgeting for technical support services

It is the responsibility of TCOT to ensure that technical units receive their fair share of reimbursement. A technical support services budget is established for each project in close consultation with the units concerned (see [Annex 1](#)).

Unless major project revisions are needed, the budget for standard tasks would not be revised during project implementation. However, the budget established for field missions can be revised to take into account unexpected developments during project implementation.

A flat standard rate based on calendar days (a 30-day month), representing average actual costs of the most likely input mix, will be used to calculate the budgeted reimbursement. The standard rate, which has been set at US\$393 for 2005, would be reviewed and updated by PBEP in consultation with TCOT, every two years, at the time when standard rates for the Regular Programme and consultants' honoraria are reviewed.

## 3. Reimbursement procedures

Projects are debited for Technical Support Services through a reimbursement claim. The claim is prepared by the technical unit that provided the services using a claim form accessible from the FPMIS project page (<https://extranet.fao.org/fpmis/index.jsp>).

On submitting the claim for reimbursement, FPMIS generates an e-mail through which the technical unit can transmit the completed claim directly to the MSS or MSU<sup>37</sup>, notifying (by copy of the e-mail) the budget holder, who would monitor the submission within her/his overall responsibility for the use of project funds. If no objection is received from the budget holder within five working days, the MSS or MSU prepares the journal for the transfer of funds from the project to the account specified by the unit that provided the service.

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<sup>37</sup> If the unit providing the service is located in FAO headquarters or in a subregional office, the claim would be sent to the MSS. For units in regional offices, the claim would be sent to the MSU of the regional office.

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The frequency and timing of the invoicing is left to the technical units<sup>38</sup> to decide. However, it is mandatory to claim the reimbursement and use the funds within the same biennium in which the services are rendered.

In line with the financial rules of the Organization, mission-related work can only be claimed after the services have been rendered. For standard tasks, given the principle that only partial reimbursement can be provided and in view of the fact that these are mostly delivered before or during project inception, it is foreseen that a technical unit could combine the claim for the full amount with the first claim for mission-related work. Should no mission be envisaged for the technical unit, the claim can be reimbursed as soon as the input under the technical unit's responsibility has been delivered.

The travel budget rests under the responsibility of the budget holder and established procedures remain applicable.

Evaluation costs are charged to ongoing projects as they accrue. A journal is prepared by the Evaluation Service (PBEE) and sent directly to AFFC for approval without budget holder involvement. Should a project not have been charged before its operational closure, the funds should be returned to TCP through the closing revision.

#### **4. Monitoring**

The budget holder monitors the provision of technical support services in accordance with the project agreement/technical support services budget and alerts the project task force should any issues arise.

The reimbursement claim includes the collection of some statistical information in the FPMIS form to assist in the standard rates' update and reporting.

#### **5. Special cases**

In the case of emergency assistance projects where project formulation is not led by a technical unit, each participating unit would receive one-day reimbursement for clearance of project inputs.

Associate Professional Officers (APOs) can participate in project formulation and/or implementation, but divisions cannot claim reimbursement for other than travel related expenses.

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<sup>38</sup> Consideration could be given to timing claims with the PBRs, to ensure that actual level of reimbursements is included in the eBMM at the time of reporting to PBE so as to also facilitate the TSS reimbursements' forecasting.

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TCP Guidelines: Reimbursement of FAO TSS services in TCP Projects

Annex 1 (Note: the table below has been updated compared to the original version of the FPC)

**Technical Support Service Budget (TSSB)**

Project Code & Symbol: \_\_\_\_\_  
Title: \_\_\_\_\_

I. STANDARD TASKS			LTO Unit	Participating Units			
Type of Tasks	Days	Totals					
Recruitment of Each International Consultan	0.2	0					
Number of Consultants		0					
Days		0	0	0	0	0	0
Recruitment of Each National Consultan	0.2	0					
Number of Consultants		0					
Days		0	0	0	0	0	0
Recruitment of Each TCDC/TCCT Consultant	0.4	0					
Number of Consultants		0					
Days		0	0	0	0	0	0
Contracts, LoA	0.2	0					
Number of Contracts		0					
Days		0	0	0	0	0	0
Non-Standard Equipment Review & Approval If Applicable = 1	0.1	0					
Days		0	0	0	0	0	0
Non-Standard Supplies Review & Approval If Applicable = 1	0.1	0					
Days		0	0	0	0	0	0
Study Tours Review & Approval	0.4	0					
Number of Study Tours		0					
Days		0	0	0	0	0	0
In-Country Training Review & Approval	0.6	0					
Number of Training		0					
Days		0	0	0	0	0	0
Mission of Each International Consultan	2	0					
Number of Missions		0					
Days		0	0	0	0	0	0
Mission of Each National Consultan	1	0					
Number of Missions		0					
Days		0	0	0	0	0	0
Mission of Each TCDC/TCCT Consultant	2.4	0					
Number of Missions		0					
Days		0	0	0	0	0	0
<b>Total days</b>		0	0	0	0	0	0
<b>Reimbursable days for project formulation</b>		0	0	0	0	0	0

II. SPECIFIC TASKS

	Rate	Totals					
Research, Analysis & Technical Documents Compilation		0					
Number of days		0					
Participation in and Leadership of Field Missions		0					
Number of days		0					
DSA		0	0	0	0	0	0
Other travel costs		0					

	Totals					
<b>TOTAL NUMBER OF REIMBURSABLE DAYS</b>	0	0	0	0	0	0
<b>TOTAL REIMBURSABLE IN US\$</b>	0	0	0	0	0	0
<i>Reimbursement rate applied to each day (in US\$)</i>	421					

III. TOTAL BUDGET FIGURES

6120 Honorarium - Technical Support Services US \$	0
5692 Travel - Technical Support Services US\$	0
6111 Report Cost US \$	1,850

PROJECT ANALYST, TCOT

CHIEF, TCOT

Signature

Date

\_\_\_\_\_  
\_\_\_\_\_