Manual for ICI Projects:

**Templates for Project Management**

Version 10

May 2025

Ministry for Foreign Affairs

Finland

**A NOTE FOR THE USERS OF THE TEMPLATES**

Templates are updated whenever needed. The latest version of the templates is always available in the official [**website of the MFA**](https://um.fi/rahoitus-valtion-laitosten-kehitysyhteistyohon).

Templates supplement the ICI manual, also available in the same website of the MFA.

Sometimes is is useful to learn from other similar agencies and from Facilitation Consultant on what to do and how to do it. The **website of the Facilitation Consultant** (tbc) provides usefuls tips and best practices.

**Key abbreviations and terms:**

**ICI = Institutional Cooperation Instrument.** A mechanism for the Ministry for Foreign Affairs of Finland to finance development cooperation projects where the Finnish government agency cooperates with developing country government agency in the field of capacity building and organisational development.

|  |  |
| --- | --- |
| CCO | Cross-cutting objectives; how to take the cross-cutting objectives into consideration[Guideline for the cross-cutting objectives in Finnish development policy and cooperation](https://um.fi/documents/35732/0/Guideline%2Bfor%2Bthe%2BCross-Cutting%2BObjectives%2Bin%2Bthe%2BFinnish%2BDevelopment%2BPolicy%2Band%2BCooperation.pdf/e9e8a940-a382-c3d5-3c5f-dc8e7455576b?t=1618230452564) |
| Facilitation consultant | A consultant service paid by the MFA and utilised by the Finnish government agencies to improve the quality of work |
| HRBA | Human Rights Based Approach; how to take human rights into account in the project context[Human Rights Based approach in Finland’s Development Cooperation](https://um.fi/documents/35732/48132/human_rights_based_approach_in_finlands_development_cooperation___guidance)  |
| MFA | Ministry for Foreign Affairs of Finland |
| MOU | Memorandum of Understanging |
| PD | Project Document; the plan for the whole project period |
| RBM | Results-based Management; how to focus to the selected key results through a systematic approach[Results-based Management in Finland’s Development Cooperation](https://um.fi/documents/35732/48132/results_based_management__rbm__in_finland_s_development_cooperation)  |

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# **1. How to apply for an ICI Project**

## Annex 1.1. Project Concept Note

Expected length: 3 – 6 pages + annexes.

**Cover page**

* Tentative title of the proposed project: The selected title of the project should describe the subject of the project and be clear and distinctive
* “Project Concept note for ICI-project to be assessed by the MFA of Finland”
* Proposed duration of the Project / Programme
* Date
* Submitted by (name of the partner country organisation) In cooperation with (name of the Finnish organisation)

Signature of an authorised representative of the Finnish organisation)

(name)

(title)

(date)

(Signature of an authorised representative of the partner organisation)

(name)

(title)

(date)

**Table of contents**

**Abbreviations**

**1. Context of the project**

Basic information about project partners, especially of the partner country agency (or the section/unit of the agency when applicable) – background and justification:

* What is a defined role of the partner agency in the relevant national strategy?
* What are the key/prioritised capacity development needs in the partner agency (or the section/unit of the agency)? How are these needs identified? Are the cross-cutting objectives and the human rights-based approach considered?
* How does the agency cooperate with other donor agencies? Are there other capacity development projects? What are their objectives?
* Who would benefit from the project? Who are the direct beneficiaries? Who are the final beneficiaries? Why are they important for the operation of the agency and for the delivery of the agency’s key functions?
* What capacities or added value does the Finnish organisation possess to respond to the needs? What is the Finnish added value? Contribution to Finnish added value can mean e.g. active participation of Finnish agencies (utilisating Finnish high level expertise; providing commercial opportunities for Finland and partnering country; generating additional financing to Finnish agencies from other sources (like EU or WB), and/or active advancement of the Finnish principles and values (supporting for Finnish and EU policy priority, advancing Finnish value orientation through policy dialogue and practical cooperation).
* Rationale vis-à-vis Finnish development policies
* Project’s previous phases (if any) or other previous cooperation with the partner and lessons learnt
* Possible major risks the project may face?

**2. Tentative results of the project**

* What change does the project intend to produce? The tentative project outcome should be formed into one sentence.
* How would the performance of the beneficiaries/partner agency change as a result of the planned cooperation?
* Is there a relation between the planned outcome of the project and partner agency’s capacity development plan/strategy (if one exists)?

**3. Possible implementation strategy, major activities and expected outputs**

* What kind of concrete outputs would be needed to accomplish the outcome?
* What kind of implementation strategy, activities and minor investments are needed to produce the outputs?

**4. Preliminary schedule**

* Duration and implementation of the project (in years/months).
* The date when the implementation phase is expected to start.

**5. Estimated total costs**

* The total estimated amount needed for the project implementation from the MFA of Finland.
* The total estimated amount needed for project planning from the MFA of Finland. This is max 50.000 €, or 100.000 € if if the planned project might generate participation in wider development cooperation (e.g. EU or WB funded project) or attached private sector cooperation.

**6. Other issues**

**Annexes**

* Strategy and/or Annual Plan of the partner agency (if available)
* Strategy and/or Annual Plan of the Finnish government agency,
* Financial Report of the partner agency (if available)
* Financial Report of the Finnish government agency (if available),
* Documentation on previous cooperation between the partner agency and the Finnish government agency.
* If funding for the proper project planning is applied, 1-2 page annex”Request for Planning Funds” should describe the following :
	+ An overview of the planning process
	+ Issues/questions that need to be clarified
	+ Strategy to make the planning as inclusive as possible
	+ Participants of the planning process
	+ Estimated total costs for the planning process

## Annex 1.2. Project Document

Length: 10 – 20 pages + annexes and pictures. The Project Document is presented in narrative format using the headings below.

|  |  |
| --- | --- |
| **Cover pages** | * Type of a document (Draft / Final Draft / Final Project Document)
* Title of Project: The selected title of the project should describe the subject of the project and be clear and distinctive. The project can also have a working name/abbreviation.
* Text “Project Document for ICI-project”
* Proposed duration of the Project / Programme
* Date
* Submitted by (name of the Finnish agency) In cooperation with (name of the partner agency).

Signature of an authorised representative of the Finnish agency)(name) (title) (date) (Signature of an authorised representative of the partner agency) (name) (title) (date) |
| **Table of contents** |  |
| **Abbreviations** |  |
| **1. Background**  | * The objectives and strategies of the partner organisation (or the section/unit when applicable). Its mandate, mission, ongoing projects, staffing, operational strategies and policies etc.
* Major policy decisions and advancing policy processes which are relevant to the project.
* Description of the project’s previous phases (if any) and lessons learnt.
* Description of the key stakeholders and final beneficiaries.
* Are there other development projects ongoing – related to the same topic - in the partner agency? If yes, what activities are they funding?
* Are there related activities by Finland in the same sector?
 |
| **2. The expected results and activities** | * Define the ***impact*** statement: what kind of societal influence the project may have
* Define the ***outcome*** statement: One sentence which would describe the changed situation as a result of this project.
* Define concrete services and products (***outputs*** of the project) to be delivered to achieve the project outcome.
* Indicators to track achievement of the outcome and outputs
* How gender equality, non-discrimination with an emphasis on disability inclusion, climate resilience, low emission development and protection of the environment with an emphasis on safeguarding biodiversity (i.e. crosscutting objectives, whenever relevant) are integrated in the results framework of the project?
* Describe the identified risks and risk mitigation measures. How do they relate to specific outputs?
* Describe the main types of activities or strategies that are to be implemented to produce the results.
* How it can be ensured that the project is at least human rights sensitive (please also see link to the HRBA instructions )?
 |
| **3. Justification for the scope of the project** | * Define the scope/coverage and the limitations of the project in broad terms. What is included and what is left out.
* Geographical or other physical scope of the project.
* What are their organisational capacities and personal capacities in the partner agency like? What are their specific interests towards the project? What kind of capacities and resources they wish to improve?
* How are the cross-cutting objectives and human rights-based approach taken into consideration when defining the scope and key activities?
* If the project is a part of a larger programme, the relationship has to be clearly described.
* Complementarity to other activities and projects of the partner agency.
* Justification of the project in relation to Finnish development policy (including Finnish country level policy and actions).
* What is the Finnish added value? Contribution to Finnish added value can mean e.g. active participation of Finnish agencies (utilisating Finnish high level expertise; providing commercial opportunities for Finland and partnering country; generating additional financing to Finnish agencies from other sources (like EU or WB), and/or active advancement of the Finnish principles and values (supporting for Finnish and EU policy priority, advancing Finnish value orientation through policy dialogue and practical cooperation).
* What are the other cooperation arrangements?
* Are partner agency or partnering agency personnel subject to EU or UN sanctions? [Necessary to mention here that this has been verified.]
 |
| **4. Approach and strategy** | * How strong is the basis for the mutual trust developed at the beginning of the project? How trust and mutual cooperation can be enhanced?
* What methods are used to build an effective working relationship?
* What methods of organizational development and capacity building are used?
* What kind of equipment needs to be procured? What kind of services need to be procured?
* How are the principles of Human Rights Based Approach applied in the project approach? What evidence do you have to verify that the project is at least human rights sensitive?
* How to ensure the integration of cross-cutting objectives in the project approach?
 |
| **5. Work Plan (or Activities)** | * Main activities to be completed. Their allocation to different years.
* Is the flow of the activities rational? Is the schedule realistic?
* Detailed workplan can be updated during the inception period.

  |
| **6. Institutional framework and project management**   | * Management and decision-making structures and arrangements.
* The responsibilities of the two parties.
* If supplementary partners involved, their name and role.
* The names of the key personnel in both agencies and their leadership and/or capacity-building functions. Name of the substitute for project coordinators (Finnish agency and partner agency) in order to prepare for possible personnel turnover.
* Mentioning whether the partnering agencies or personnel related to project are subject to sanctions.
* Key task of the Project Board. The names of the members of the Project Board, if available.
* Monitoring Evaluation and Learning:
	+ The results-based planning, budgeting, monitoring and reporting mechanisms.
	+ The self-assessment measures to be implemented.
	+ The auditing arrangements.
	+ Monitoring, Evaluation and Learning plan can be attached as an annex or developed during inception
* Mechanisms to publish results within the government agencies and for the wider audiences.
 |
| **7. Inputs and budget**  | * Human and material resources needed for project implementation.
* Role of each partner for providing the resources.
* How much partner country resources will be needed to implement the activities? Specify the commitments in terms of staff, backstopping services, office facilities, transport.
* Budget summary: budget breakdown by four main categories (capacity building, fixed assets, administrative and technical costs of the partner agency and contingency) and by year.
* For the tentative breakdown of overall costs in detailed budget, use the budget form. Detailed budget can be revised during the inception period (first months of the programme).
* Separate the partner country national funding and the MFA Finland funding.
 |
| **8. Sustainability, risks and mitigation measures**  | * Assess the sustainability of the proposed cooperation. Is the scope and extent of the activities appropriate? Will the partner agency have sufficient skills and resources after the project to continue the capacity development that has been started without any further external support?
* Analyse any possible risks that might affect the materialization of the expected results and related mitigation measures and safeguards (using the risk assessment matrix); mechanisms to monitor the realisation of risks.
 |
| **Annexes** | * Results framework (if not included in chapter 2)
* Risk assessment table (if not included in chapter 2)
* Indicative overall work plan for the project duration
* Budget summary: budget breakdown by four main categories (capacity building, fixed assets, administrative and technical costs of the partner agency and contingency) and by year.
* Tentative budget (to be revised in the beginning of the project)
* CVs of key personnel with leadership and/or capacity development functions (preferably also from the partner organisation).
* The need and the procedure for the exceptionally costly procurement (if any).
* Exchange of letters or MOU (draft if available, final needed preferably before Finnish agency signs the assignment contract with MFA)
* Other relevant documents (e.g. partner organization strategies, sector policies)
* Note: “ICI manual, annexes and templates” includes formats for all the main annexes of the PD.
 |

## Annex 1.3. Results Based Management (RBM) framework

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Expected result** | **Indicator****(\*)** | **Baseline value** **(\*\*)** | **Target value (\*\*\*)** | **Source of data (\*\*\*\*)** | **Assumptions****(\*\*\*\*\*)** |
| Impact: … |  |  |  |  |  |
| Outcome: … |  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| Output 1 |  |  |  |  |  |
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| Output 2:  |  |  |  |  |  |
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| Output 3: … |  |  |  |  |  |
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| Output 4: … |  |  |  |  |  |
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**(\*)** Indicators can be qualitative or quantitative. Qualitative means here ‘based on qualified opinion’. Even qualitative indicator can be given numerical value (e.g. ‘the average satisfaction of the partner representatives in the scale from 1-10’).

Not everything needs to be measured separately. it is useful to limit the number of indicators as low as possible, e.g. only 6-10 (or approximately 2 per result area, one quantitative and one qualitative if possible). If is useful to focus on the indicators which really can be measured annually with reliable and informative data and which measure issues important for the success of the project. Data should be disaggregated by sex, disability and age, when relevant and feasibile.

Make it clear whether data is annual data or cumulative data.

**(\*\*)** Indicator value in the beginning of the project; may be defined during the inception phase**.**

**(\*\*\*)** Expected indicator value in the end of the project; may be defined during the inception phase.

**(\*\*\*\*)** Source: statistics, project reports, interviews etc. This is defined during project planning phase**.**

**(\*\*\*\*\*)** Assumptions are the necessary conditions for the result to happen (from outputs to impact) and which are outside the control of project management (e.g. the partner institution staff are motivated towards the new practices).

*For further guidance, see Results Based Management (RBM) in Finland’s Development Cooperation:*

[*https://um.fi/documents/35732/48132/results\_based\_management\_\_rbm\_\_in\_finland\_s\_development\_cooperation*](https://um.fi/documents/35732/48132/results_based_management__rbm__in_finland_s_development_cooperation)

## Annex 1.4. Risk Assessment

**Risk management table: an overview**

Risk management table includes risks defined in clear and straightforward manner: one sentence per risk. For the sake of ensuring adequate coverage as well as the readability of risk table, risks are categories under four headings (e.g. strategic risks). It is important to include all identified risks, even if they do not easily fall easily under the four headings.

Risks are valued in terms of their livelihood and impact. For both criteria, number 1-4 is given, with number 4 as highest. Likelihood x Impact = Level of Risk. Level of Risk is a number between 2-16. (if the score would be 1 x 1 = 1, the risk need not be included in the table). Based on the content of risk and the Level of Risk, mitigating actions are located.

The assessment of the risk is always subjective and different persons within the project team may have different views. It is useful to listen to various views and create a joint understanding on the risks and the mitigating actions.

Risk management table is used slightly differently during project planning and project implementation.

**Project planning: risk management table in the Project Document**

The Project Document is expected to include a Risk Management Table (within the text or as a separate annex). The idea is very simple: during project planning potential risks are analysed and the critical risks are located. The project concept is then updated so that the most critical risks can be avoided. In other words, risk management table is produced gradually during the iterative planning process (i.e. iterative changes between expected results, management and financial arrangements and likely risks) until the most critical risks are eliminated. The final version of risk management table is included in the PD.

The final Risk Management Table of the PD includes only the residual – identified risks which cannot be avoided but can be managed somehow during the project implementation. They are risks worth tolerating.

**Project implementation: risk management table in the annual plans**

Risk management table is ***updated annually when annual planning is conducted*.** New risk items can be added and unnecessary (i.e. very low score) items can be removed.

It is important to update annually the risk assessment for each risk. If the updated Level of Risk - for any identified risk - scores anywhere between 9-16, the risk can be perceived as ***critical risk*** for the project results. Usually it requires immediate action and constant monitoring.

In other words, risk management table is not just a writing exercise. It is expected that it is used to identify emerging or already realised critical risk. ICI project management regulations give possibility for the project leaders, jointly with Project Board, the address any critical risk through adjustments in the project layout.

Note: Risk management table is a useful tool to be utilised also during the project Self-Evaluation workshop.

**Format for Risk Management Table**

|  |
| --- |
| **Risk management table** |
| **NAME OF THE PROJECT** |
| **Date. Version number if applicable** |
| **Risk category** | **Risk** | **Likeli-hood****(1-4)** | **Impact****(1-4)** | **Level of risk****(Lik x Imp = level)**  | **Risk treatment** |
| **Strategic risks** |  |  |  |  |  |
|  |  |  |  |  |  |
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| **Operative risks** |  |  |  |  |  |
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| **Economic risks** |  |  |  |  |  |
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| **Accidents as risks** |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

Level of risks is presented using the “traffic light” colour codes in the Project Document (as well as in annual plans and 6-month reports).

**Classification of risks**

Each risk is max one sentence but it needs to be clear/identifiable.

***Strategic risks***

Strategy of the agency, contextual factors, financial situation, legal changes, management and organisation, ethical values and principles, communication, representation, external partners.

***Operative risks***

Operational objectives, planning, organisational matters, implementation, personnel, processes, procurement, agreements, quality, clients, premises, tools, technology, information systems, information security.

***Economic risks***

Financing, budgeting, financial planning, utilisation of funds, property, financial responsibilities, financial reporting, financial misuse.

***Accidents***

The security of the premises, equipment, occupational health, occupational hazards, personal safety, travelling, climate and environment related risks.

**How to score likelihood, impact and the level of risk**

|  |  |
| --- | --- |
| **Likelihood** | **Description** |
| 1. Unlikely
 | Risk materialises only during exceptional circumstances. Usually does not happen at all. |
| 1. Possible
 | Risk materialises sometimes. Similar cases have taken place in this project context or in similar circumstances elsewhere.  |
| 1. Likely
 | Risk materialises often and likely to happen in projects with similar profile.  |
| 1. Very likely, definite
 | Significant likelihood that the risk materializes in this project. |

|  |  |
| --- | --- |
| **Impact** | **Description** |
| 1. Very limited
 | If risk materialises, it shall not have any signficant impact on the impact/outcomes of the project.  |
| 1. Limited
 | If risk materialises, it shall have minor impact on the impact/outcomes of the project. |
| 1. Significant
 | If risk materialises, it shall have minor impact on the schedule and, ultimately, results orientation of the project. It may cause major harm or financial costs. It may create problems for personal safety or property. It may cause reputational harm for the project implementing organisation or the MFA.  |
| 1. Critical
 | If risk materialises, it will hinder finalising the project and/or reaching the impact/outcomes of the project. It shall cause major harm or financial cost. Or it is likely to have significant personal, property or reputational impact which have societal impact beyond the project context.  |

**Level of Risk = Likelihood multiplied with Impact.** Thus it includes a holistic view on risk.

|  |  |
| --- | --- |
| **Level of Risk** | **Description**  |
| 2-4 Meaningful | Risk may materialise and cause challenges, but it is expected that it’s either quite unlikely and/or that the level of impact can be mitigated to large extend. Mitigation needs to be planned, risk monitored at least annually and action taken when necessary.  |
| 5-8 Significant | Significant to project, and if the risk is realized it’s possible effects can’t be fully mitigated. Requires strong mitigation planning and regular monitoring.  |
| 9-16 Critical | Risk may have critical consquences to project. Requires constant monitoring and immediate action if signs of the risk being realised appear. |

## Annex 1.5. Project Budget

Project name:

Project budget, total (EUR):

Capacity building: Items under headings A should cover at least 60% of total costs.

Partner country agency: Items A5 + A6 + A7 + B + C plus half of D for partner country actors should cover at least 20 % of total costs.

Not more than 15 % of the budget can be used for subcontracted work.

Not more than 15 % of the budget may be reserved for contingency/unforeseen costs.

The budget should detail the per diems and travel costs to be paid to the partner country experts, and any procurement to be made in the partner country. Per diems for the partner country experts working in the partner country are paid according to the partner country regulations, for work and travel in Finland according to the Finnish travel regulations. The budget may include management and administrative costs to be paid to the partner country agency.

**Summary budget to be included in the Project document**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Budget lines** | **20XX** | **20XX** | **20XX** | **20XX** | **Total costs** |
|  |  |  |  |  |  |
| **A. Capacity building costs** |  |  |  |  |  |
| **B Administrative costs in partner agency** |  |  |  |  |  |
| **C Fixed assets** |  |  |  |  |  |
| **D Contingencies** |  |  |  |  |  |
| **Total costs** |  |  |  |  |  |

Partner agency commitments: Describe the partner agency commitments: Personnel, office facilities, etc.

**Tentative detailed budget to be annexed to the Project Document. Details can be updated during the inception phase.**

**MFA financing**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Budget lines** | **Costs per unit** | **Number of Units** | **Costs\* in 20XX** | **Costs\* in 20XX** | **Costs\* in 20XX** | **Costs\* in 20XX** | **Total costs** | **Comment/****Explanation** |
| ***Costs of the Finnish Agency*** |  |  |  |  |  |  |  |  |
| **A1. Assignment fees per Finnish government expert** |  |  |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **Subtotal A1** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **A2. Travel Costs** |  |  |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **Subtotal A2** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **A3. Accommodation** |  |  |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **Subtotal A3** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **A4. Per diem allowances for Finnish experts** |  |  |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **Subtotal A4** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| ***Costs of Partner Country Agency*** |  |  |  |  |  |  |  |  |
| **A5. Travel costs** |  |  |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **Subtotal A5**  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **A6. Accommodation** |  |  |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **Subtotal A6** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **A7. Per diem allowances for Partner country experts** |  |  |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **Subtotal A7** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| ***Other*** |  |  |  |  |  |  |  |  |
| **A8. Subcontracted work assignment (max 15%)** |  |  |  |  |  |  |  |  |
| (task) |  |  |  |  |  |  |  |  |
| (task) |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **Subtotal A8** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **A9. Self-assessment /other evaluation costs** |  |  |  |  |  |  |  |  |
| (item, e.g. facilitation) |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **Subtotal A9** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **SUBTOTAL A 1-9** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **B. Administrative costs in partner country** |  |  |  |  |  |  |  |  |
| (Expense category 1) |  |  |  |  |  |  |  |  |
| (Expense category 2) |  |  |  |  |  |  |  |  |
| Self-assessment admin. Costs |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **Subtotal B** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **C. Fixed assets** |  |  |  |  |  |  |  |  |
| (item) |  |  |  |  |  |  |  |  |
| (item) |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **Subtotal C** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **D. Contingency costs (max 15%)** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **Subtotal D** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| **TOTAL PROJECT COSTS (Euros)** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| Costs A5+A6+A7+B+C + half of D |  |  |  |  |  |  |  |  |

\* Annual budgets are best estimates in the design phase and will be updated during implementation and annual planning.

**Partner agency commitments**

Describe the partner agency commitments: Personnel, office facilities, etc.

## Annex 1.6. Tentative workplan/ list of activities

**If activities are already identified, they can be listed. The list can be updated during the inception phase of the implementation.**

|  |  |
| --- | --- |
| **Outputs and main activities** | **Activities per year: specified or ticked (x)** |
| **Year 1** | **Year 2** | **Year 3** | **Year 4** |
| **Inception phase:** |  |  |  |  |
| Activity xx |  |  |  |  |
| Activity xx |  |  |  |  |
|  |  |  |  |  |
| **Project implementation:** |  |  |  |  |
| Output 1.1: xx |  |  |  |  |
| Activity xx |  |  |  |  |
| Activity xx |  |  |  |  |
| Activity xx |  |  |  |  |
| Output 1.2: xx |  |  |  |  |
| Activity xx |  |  |  |  |
| Activity xx |  |  |  |  |
| Output 2.1: xx |  |  |  |  |
| Activity xx |  |  |  |  |
| Activity xx |  |  |  |  |
| … |  |  |  |  |
| **Project management actions** |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| **Self-assessments/reviews** |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

More detailed workplan describing the exact schedules of activities as well as naming responsible persons should be prepared during the inception phase. This can be updated in the annual plans.

## Annex 1.7. CV of the key personnel

**Date:**

**Minimum information required** of key personnel as a supplement to the Project Document.

For Finnish personnel, experience is deemed to indicate seniority, in case a replacement is required.

Alternative CV forms can be used if they include relevant information.

|  |  |
| --- | --- |
| **Family name:**  |  |
| **First names:** |  |
| **Date of birth:** |  |
| **Contact details:** **address:****telephone:****e-mail:** |  |

**A. EDUCATION** (Excluding short term and non-relevant education)

|  |  |  |
| --- | --- | --- |
| **Educational institution** | **Degree completed** | **Main Subjects** |
|  |  |  |
|  |  |  |

**B. LANGUAGE ABILITIES**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  **Language** | **Native language** | **Basic level** **1 or 2** | **Intermediate level 3 or 4** | **Advanced level 5 or 6** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

**C. NUMBER OF YEARS OF PROFESSIONAL EXPERIENCE**

**\_\_\_\_\_ Years**

**D. CURRENT POSITION**

|  |  |  |
| --- | --- | --- |
| **Years (from-to)** | **Position** | **Company / Agency** |
|  |  |  |

**E. RELEVANT PREVIOUS PROFESSIONAL EXPERIENCE**

|  |  |  |
| --- | --- | --- |
| **Years (from-to)** | **Position** | **Company / Agency** |
|  |  |  |
|  |  |  |
|  |  |  |

**F. OTHER RELEVANT INFORMATION**

## Annex 1.8 Human rights, gender equality and non-discrimination minimum level in ICI projects

**When to integrate**

Continuous – From the project concept note to the completion report. This includes also planning, implementation, monitoring, reporting and evaluation (self-assessment).

1. **How to meet the human rights sensitive level** (minimum level)?

Make sure your team is familiar with the core HRBA principles:

* **Do No Harm** – Avoid unintentional negative effects on the enjoyment of human rights and to ensure that the intervention does not contribute to discrimination practices
* **Participation** – Everyone affected should be meaningfully involved.
* **Accountability** – Clear responsibilities and mechanisms to hold duty-bearers accountable.
* **Non-discrimination and equality** – Prioritize the most marginalized.
* **Empowerment** – Enable rights-holders to claim their rights.
* **Link to human rights standards** – Where feasible, link your goals to international human rights standards.

Review the human rights situation and actors. Before planning activities, identify:

* **Who are the rights-holders** (those whose rights are at risk)?

**Standard way of addressing duty bearers and right holders in ICI?**

“The Project supports HRBA by focusing on strengthening the capacity and accountability of the duty-bearer, [*partner institution*], through improving its capacity to provide [*topic of the Project*] for the benefit of the rights-holders, the people living in [*the* *country or area of the Project*]”.

* **Who are the duty-bearers** (those responsible for upholding rights)?
* **What are the key gaps** in the realization of rights?

Example: In a project on education for girls, rights-holders = girls; duty-bearers = governments, school authorities, possibly parents.

Include the key points of your analysis and any identified key human rights issues in the project document.

Where relevant, write results statements and indicators in human rights terms. For example:

* Instead of "increase school attendance," say:
→ “Promote the right to free and quality education for girls aged 6–14.”

Consider related human rights risks. Go through the planned activities and

* Assess potential harm (e.g. backlash against marginalized groups).
* Develop risk mitigation and protection strategies.
* Include the most relevant human rights risk(s) in the project risk matrix

Link to results framework and MEL planning e.g. by using the following where feasible:

* Include indicators aligned with human rights, gender equality and non-discrimination
* Disaggregate date by gender, age, disability, vulnerable groups participation
* Track gender/climate/equality sensitisation activities

Always **show and promote** respect, recognition, communication and transparency.

Simplified **gender equality and non-discrimination** integration plan:

|  |  |
| --- | --- |
| Cross-Cutting Objective | How it will be promoted in the project |
| Gender Equality | E.g., gender analysis, quotas, specific actions for women's empowerment |
| Non-Discrimination | E.g., inclusion of minorities, disability access, inclusive communications, targeted support to the most marginalized |

**Support for the HRBA, gender equality and non-discrimination inclusion**

The ICI Facilitation Consultant can support the Finnish agency with advice on the HRBA, gender equality and non-discrimination inclusion in different phases. It is strongly recommended for the Finnish partner to seek advice from the Facilitation Consultant with regard to these topics, requirements and good practices. Please contact your Facilitation Consultant to receive more information.

1. **Background: Overview from the ICI Manual**

Specific values and priorities of the Finnish development policy (so called ‘Human Rights Based Approach’ and ‘Cross-Cutting Objectives’) are to be applied in all ICI projects. While a minimum standard is applied on all in accordance with the “do no harm” principle, their specific application varies from one project to another, depending upon the context and the project layout. Finland does not finance interventions that are human rights blind.

Human rights based approach

Finland applies a human rights based approach (HRBA) to all of its development interventions. This means that, at minimum, all interventions financed by Finland should have undertaken a human rights assessment to ensure that these interventions do not contribute to further harm or discrimination when it comes to realizing human rights. In ICI projects this can be interpreted to be from light to medium level. In addition, all interventions should ensure that the human rights principles (non-discrimination and equality; participation and inclusion; transparency; and accountability) are systematically reflected in the project planning, implementation, monitoring and evaluation. Beyond the minimum level, HRBA expects that the project’s anticipated development result aims for a concrete improvement in the realization of a certain human right (or several rights) and that the expected outcomes increase the capacity of the duty-bearers to fulfill their obligations or the rights-holders to claim their rights. Disaggregated data (by sex, disability and age) should be used where possible.

It is useful to be specific about which human right is considered relevant for this project and whose rights will be advanced through the results of this project. Human rights include for example socio-economic rights like right to safe water and political rights like right to information[[1]](#footnote-1).

The MFA of Finland has a [specific guidance note for applying HRBA](https://um.fi/documents/35732/48132/human_rights_based_approach_in_finlands_development_cooperation___guidance).

Cross-cutting objectives

The **cross-cutting objectives** of Finland’s development policy are priority issues. The cross-cutting objectives are implemented as a continuum to the human rights based approach. The cross-cutting objectives are:

* *Gender Equality;*
* *Non-discrimination, with an emphasis on disability inclusion;*
* *Climate Resilience;*
* *Low Emission Development, and;*
* *Protection of the environment, with an emphasis on safeguarding biodiversity.*

While the Finland´s development policy includes five distinctive cross-cutting objectives, not all of them might be equally relevant to all projects. However, all cross-cutting objectives have a minimum standard that needs to be fulfilled in all projects: Do no harm -principle. In addition, where applicable, one or more of the cross-cutting objectives can be advanced beyond the minimum criteria through targeted action, mainstreaming or policy dialogue.

This guidance note will address the crosscutting objectives of gender equality and non-discrimination only. They are connected to HRBA and considered areas that benefit of further guidance in ICI. The institutions, however, are encouraged to consider all the CCOs as relevant from their project perspective.

The MFA Finland has a [Guideline for the cross-cutting objectives in Finnish development policy and cooperation](https://um.fi/documents/35732/0/Guideline%2Bfor%2Bthe%2BCross-Cutting%2BObjectives%2Bin%2Bthe%2BFinnish%2BDevelopment%2BPolicy%2Band%2BCooperation.pdf/e9e8a940-a382-c3d5-3c5f-dc8e7455576b?t=1618230452564).

1. **Official minimum criteria for ICI projects**

The minimum level of Finland´s development interventions are human rights sensitive.

Check-list for project planning (project document)

* Careful consideration is to be made to key human rights challenges present in the project context, particularly potential discrimination or exclusion experienced by some groups, to ensure that **no harm** is done. Add information on this to the concept note and to the project document.
* Preparation of the **results framework** as well as an initial plan on how to apply human rights based -approach and advance cross-cutting objectives in the project. In the results framework consider particularly how to enable the reach of the new skill to all people and how to disaggregate indicator data.
* **Risks** for the realization of human rights of women, girls and persons with disabilities are assessed, avoided and mitigated, following Do No Harm -principle. These risks are also updated to the risk matrix as applicable. If the risks or impacts cannot be avoided or minimized and managed, the intervention cannot be funded.
* Ensure that the human rights principles (non-discrimination and equality; participation and inclusion; transparency; and accountability) are systematically reflected in the project planning, implementation, **monitoring and evaluation plan**. It is useful to point out some expected results which can be well achieved only when these rights are taken into account.
* Plan how to consider gender equality and non-discrimination through **respect, recognition, hierarchies and communication**.
* **Participation and access** based on gender (and other factors as relevant) is to be considered both for a) the experts to be trained, and b) the population that the increased service benefits.
* **Transparency,** such as access to information and openness in decision-making processes to ensure participation, inclusion and accountability.

Check-list for project inception (and for revisions during implementation)

HRBA cannot be fully ‘planned’ during the project planning but it may require active positioning/behaviour during project implementation. This means being attentive as a project manager when needed. Concrete actions like equal treatment of all partner experts can have major impacts. Explaining Finnish values and being sensitive to the values in partner country are part and parcel of locating good ways to address difficult issues.

* **Gender equality and HRBA analysis** is to be conducted. For ICI projects, the minimum is light analysis during inception phase. It will influence the project document and results framework update, along with other aspects.
* The minimum priorities are to avoid unintentional negative effects on the enjoyment of human rights and to ensure that the intervention does not contribute to discrimination structures, norms and practices.
* Analyses is also to include the assessment of the potential gendered impacts and the impacts on the rights of persons with disabilities (either as a separate analysis or as part of a context/human rights assessment).
* Accessibility of the environment, information, communication, transportation, services etc., as well as harmful attitudinal barriers that affect participation of persons with disabilities are assessed, avoided and addressed.
* **Barriers for equal participation and inclusion** by all genders and persons with disabilities are identified and addressed e.g. when conducting any type of consultations.
* **Include any findings from the analysis (or other needs) into the revisions of the results framework** to strengthen their meaningful integration.
* Ensure that the human rights principles (non-discrimination and equality; participation and inclusion; transparency; and accountability) are systematically reflected in the project planning, implementation, monitoring and evaluation. This can be done e.g. by integrating them into the **Monitoring, Evaluation and Learning (MEL) Plan** (if not done during PD preparation; or to be further defined during the Inception).
* **Workplan/ list of activities and the entire Project Document** to be reviewed or revised from HRBA and CCO perspective as needed.

Please note that the extent of the inclusion depends greatly on the project. Not all the topics need to be included, but they should be considered. In case you need guidance, please contact the ICI facilitation consultant.

Check-list for project monitoring and reporting

* Impacts of the intervention on gender equality and disability inclusion are continuously assessed and monitored as defined int eh results framework and the MEL Plan.
* Data disaggregated by sex, disability and age is systematically collected, analysed and used for the purpose of targeting activities or redirecting the intervention.
* Information is systematically reported in progress reports, including in the specific sections for HRBA and CCOs, and detailing particularly the progress and actions conducted during the reporting period.
1. **Advanced level**

Beyond the minimum level, HRBA expects that the project’s anticipated development result aims for a concrete improvement in the realization of a certain human right (or several rights) and that the expected outcomes increase the capacity of the duty-bearers (ICI partner institution) to fulfill their obligations to the rights-holders (the people).

It is useful to be specific, what right[[2]](#footnote-2) is considered relevant for this project and whose rights will be advanced through the results of this project. Please consider:

* **Targeted action:** Targeted action (or sub-action) means that the focus of an intervention, or a part of it, specifically advances HRBA or one of the cross-cutting objectives. This can entail specific programmes that are aimed at, for example, advancing the rights and empowerment of women or persons with disabilities. The scope of a targeted action is clearly defined. Targeted action should be based on the partner countries’ priorities and needs, supporting the implementation of their commitments such as national action plans or other relevant policies and strategies.
* **Mainstreaming:** Mainstreaming is a strategy to ensure that a certain issue is integrated throughout an entire context or theme. It means, for instance, using a gender and disability perspective in a given context, policy document, strategy or programme. In mainstreaming, it is important to be specific and explicit about how mainstreaming is done, and with what objectives, resources and follow-up and quality control mechanisms.
* **Policy influencing:** Policy influencing means the conscious endeavour to take influence on a policy process with a view to changing the policy outcome. In the context of the cross-cutting objectives, it means ensuring that gender equality and/or disability inclusion are integrated in policy documents across all areas of Finland’s development policy and cooperation. Further, it means that Finland is active on these topics at the international level, for example in the boards of the multilateral organizations or initiatives. This can entail both influencing the content and quality of policy and other documents related to the themes of the cross-cutting objectives, or ensuring that they are integrated into other topics and policy frameworks that are relevant for Finland’s development policy and cooperation.
* **Addressing HRBA and CCOs through cooperation.** In case the project scope does not allow full integration e.g. of gender equality for the limited nature of the project, please consider forming partnerships that enable the inclusion within the chain towards “the last mile”, the people. You may also want to contact some specific entity in the partner country (e.g. UN Women, UNICEF) to support you with context specific advise on the inclusion related topics for your projects.

**Definitions**

* **Human Rights** are universally agreed basic rights which guarantee the dignity of human beings. Human rights are defined in international, regional and national legal instruments. Human rights primarily regulate the actions of the state (noting the role of ICI partner institutions as state actors) and protect individuals.
* **Do No Harm**: Projects should further exacerbate or contribute to discrimination or human rights violations, nor to the deterioration of any of the CCOs.
* **Disaggregated data** is data that is broken down by subcategories. Finland often recommends sex, age and disability disaggregated data (SADDD). However, the disaggregation needs depend of the project, and can also include, for example, ethnicity and language.
* **Duty bearers:** States and authorities with the mandate and responsibility to respect, protect and fulfil human rights (in ICI this is usually the partner institution, however, it equally applies to the Finnish institution).
* **Right-holders:** All individual human beings.
* **Gender equality** means that the rights, responsibilities and opportunities of individuals will not depend on whether they are male, female or other gender. It might be needed in a development intervention to target actions towards a specific gender in case their existing rights, responsibilities and opportunities are seen as less beneficial in the project context (e.g. while conducting an assessment or collecting SADDD). Specific attention needs to be paid to gendered impacts in all actions and activities of development policy and cooperation.
* **Non-discrimination**: All human beings are entitled to their rights without discrimination of any kind. The aim of non-discrimination as a cross-cutting objective is to ensure that different forms of discrimination, including multiple and intersecting forms of discrimination, are taken into account when interventions
* **Intersectionality** describes the idea that social relations involve multiple intersecting forms of discrimination.

## Annex 1.9. ICI Project Document Quality Check-list of the Facilitation Consultant

|  |  |  |
| --- | --- | --- |
| **“Normative” requirements** | **YES** | **NO** |
| Is the project document in line with the general structure defined in the ICI manual? |  |  |
| Is the project document signed by representatives of both agencies? |  |  |
| Is the budget presented by main budget categories and by calendar years? |  |  |
| Are the CVs of the key experts included? |  |  |
| Is there evidence on the commitment of the both parties?  |  |  |

|  |  |
| --- | --- |
| **Qualitative requirements** | **Comments** |
| **About the need of the project** |
| Is the mandate of the partner agency defined? |  |
| Is the relevant department/unit in the partner agency identified with defined role and mandate? |  |
| Is it clear what the project produces and who uses the “product”?  |  |
| Are the needs of the partner agency identified and well described? Is the project owned by the partner organisation? |  |
| Is there/has there been other similar support to the partner agency? |  |
| Is the selection of direct and indirect beneficiaries justified? Are the direct beneficiaries important for the operations of the agency and for the delivery of the agency’s key functions? |  |
| Does the Finnish organisation possess the capacity and resources required to respond to the needs? |  |
| Is the project in line with the Finnish development policy? Is this clearly described in the document? |  |
| Is the project in line with the cross-cutting objectives and the Human Rights Based Approach of the Finnish Development Policy?  |  |
| A**bout the results (impact, outcome and outputs) and activities** |
| Are the intended impact and project outcome clearly defined and suitable for a ICI project? Are indicators defined and presented? |  |
| Are the outputs defined? Are there indicators for each output? |  |
| Is the Result framework showing the relations between project impact, outcome, outputs and inputs? |  |
| Are the activities and resources sufficient for achieving the results? Are concrete services and products that the project could produce and deliver to the project beneficiaries defined? |  |
| What has been the role of the partner agency in defining the results and activities? Is the role of partner agency experts defined / explained in the project document?  |  |
| **About approach to capacity building** |
| Is there a capacity development plan in the partner country organisation to which the project is linked? |  |
| Is the capacity building of the project based on clear and diverse methods? Does the project have plans to monitor the actual learning processes? Is the capacity building going to serve the institution and not only individuals? Does the capacity building support the wider organisational development of the partner organisation? How?  |  |
| Is the Human Resources expert (if any) of the Finnish organization involved in the planning and implementation of the project? Local HR expert? |  |
| **Human Rights Based Approach** |
| Is the Human Rights situation in the partner country sector /partner institutution analysed and discussed? |  |
| Are the relevant measures to promote human rights included, if feasible? |  |
| Have the possible risks of compromising human rights been discussed and included in the risk matrix? |  |
| Is the project Human Rights sensitive? Justification included?  |  |
| **About cross-cutting objectives** |
| Is the role of the cross-cutting objectives in the project analysed and discussed?  |  |
| Are the relevant cross-cutting objectives incorporated into the project design and activities, where feasible? |  |
| **Development cooperation effectiveness** |
| Does the partner organisation show ownership of the project? Does the partner organisation have enough resources to implement the project? Is the commitment of the partner in terms of staff, backstopping services, office facilities etc. defined? |  |
| Does the project support the implementation of the relevant sector strategies of the partner country? |  |
| Is cooperation with possible other projects of the partner included in the project document? Overlapping areas defined? |  |
| Is there any plans for transparent information sharing on the results of the project? |  |
| **About sustainability and perceived risks** |
| Is the sustainability of the project assessed? How is the project ensuring that the gained knowledge and experiences is taken into practice after the project? |  |
| Are the external risks and possible measures identified and analysed using the risk assessment? Are mitigation measures presented? |  |
| **About project timetable and management** |
| Is the timetable realistic? |  |
| Are the project decision making, planning, monitoring and reporting mechanisms described? |  |
| Are the roles and responsibilities of the participating organisations clearly defined?  |  |
| **About the budget** |
| Are all costs in the budget explained and justified in the project document? |  |
| Are the capacity building costs under headings A over 60 % of the total budget? |  |
| Are the costs of items A5 +A6 + A7 + B + C over 20% of the total budget? |  |
| Are the expert days justified? |  |
| Are the expert fees presented per named persons. |  |
| Is there any subcontracting? Is it well justified? Is the amount budgeted minor (max. 25 % )? |  |
| Is there procurement of external services/works etc.? Are they described in the project document? If there is any procurement of supplies exceeding EU minimum level 143.000 €, is the procurement procedure described in a separate annex? |  |
| Are the admin/technical costs of the partner agency justified? |  |
| Are there fixed assets? Who will keep them when the project is over? |  |
| Is contingency below 15 %? |  |

## Annex 1.10. Services provided by the Facilitation Consultant

**ICI Facilitation Consultant – supporting Finnish agencies in inter-institutional development cooperation**

As a result of a competitive tendering, organised by the Ministry for Foreign Affairs of Finland (MFA), Niras Finland was chosen as the ICI facilitation consultant (service provider) supporting the MFA and Finnish government agencies in planning and implementation of the inter-institutional development cooperation.

The service provider's main responsibility is to ensure that all the needed documents meet the set requirements. It must also support the Finnish agencies in the preparation, implementation and monitoring of the project as well as in the drafting of all the necessary documents.

The Niras Finland has engaged two development cooperation and project management experts to support the Finnish governmental agencies in their inter-institutional cooperation. The consultants will review and comment the preparation of the project document and plans and reports needed for the implementation of ICI projects and give recommendations concerning them. Their mandate does not include any decision-making and their services are free and based on a request from the Finnish agencies, which are in charge of all contacts and communication with the partner country agency.

Finnish agencies are encouraged to utilise the services for all issues excluding their own field of technical expertise. All costs of the services of the facilitation consultant are paid by the MFA.

***The services of the ICI consultants are available after the MFA has studied the ICI project proposal and agreed that the preparation of a full Project Document can be started.***

The consultants will support the Finnish agency in the phases of the project cycle from the Project Document preparation to the monitoring of the project implementation and reporting.

Each ICI project will have a nominated ICI consultant to support the planning and implementation of the project.

The Facilitation Consultant will:

* Help prepare and finalise the Project Document to ensure that:
1. the Project Document meets the requirements set by the MFA;
2. the project responds to the needs of the partner country agency;
3. the set objective, expected results and activities are coherent and properly resourced;
4. the project administration, responsibilities of partners as well as consultation and decision-making mechanisms have been clearly defined and agreed upon;
5. possible risks have been analysed and the respective counter-measures to avoid the materialisation of the risks have been identified.
* Review and comment on all project documents before their submission to the MFA. Only project documents endorsed by the facilitation consultant will be considered in the MFA for financing.
* Support and advise the Finnish agency during **the start-up phase** e.g. in preparing the TOR for the mission and setting up the administrative system for the project.
* Help in **reporting** and **support the implementation of the programme** as needed. All reports to the MFA will go via the ICI consultant, who reviews the reports and gives feedback and recommendations to the Finnish agency. In case a report does not meet the requirements, the ICI consultant must first notify the Finnish agency and ask it to make revisions. If this does not lead to improvements, the Consultant has to inform the MFA about the issue in question.

The ICI consultant will also monitor the financial reports of the Finnish agency. The main responsibility in this respect is to ensure that the funds have been used for the planned purposes according to the project budget and that the utilisation of funds follows the existing financial guidelines.

In addition, the Facilitation Consultant will inform about the objectives and procedures of the ICI as well as based on request from MFA organise training for Finnish government agencies in project planning and management and in capacity development in the developing countries.

**Contacts:**

**NIRAS FINLAND**

ICI Facilitation Consultants

Maria Kontro (support to FMI and ICI events)

email: maria.kontro@niras.fi

Kristiina Lähde (support to all the other institutions)

Email: kristiina.lahde@saliens.fi

# **2. Contractual issues**

The Assignment Contract is agreed between MFA and Finnish agency.

The MOU or Exchange of Letters is agreed between Finnish and partner agency.

## Annex 2.1. Template for Assignment Contract

This is a template for the assignment/contract, available in the MFA intranet system and filled only by the MFA officer. The template includes two parts, first substantive part and second standard clauses.

**ASSIGNMENT TO PROVIDE SERVICES FOR GOVERNMENT AUTHORITIES/ AGENCIES**

**PART I**

Intervention Code of the Project:

Title:

Authority/Agency:

The Assignment comprises, as specified in the Project Document/

Terms of Reference, the following services:

The services shall be carried out in Finland and in the following

Recipient Country/Countries:

Within the period of:

The services shall be carried out in accordance with the following

Agreements concluded between the Governments of Finland and      (the Recipient Government):

The Authority/Agency shall submit to the Ministry for Foreign Affairs

of Finland (the Ministry) the following reports:

The Budget, subject to annual parliamentary approval, for

the services of the Authority/Agency is a maximum of      euros (euro     )

In addition to the Standard Terms and Procedures, attached hereto as

PART II, the following special conditions shall be applied:

The following Appendices form an integral part of this

Assignment:

Terms of Reference

Project Document

Budget

Timetable

List of Personnel

Other

Communications:

The Ministry:

The Authority/Agency:

Entry into force and validity of the assignment:

[ ]  This Assignment shall enter into force upon signature by the Ministry and the Authority/Agency and remain valid, subject to the provisions of Part II, until all the obligations hereunder have been duly fulfilled by both Parties.

[ ]  This Assignment shall enter into force and remain valid as provided hereunder:

Place and Date:

Signatures:

On behalf of the Ministry On behalf of the Authority/Agency

**PART II**

**STANDARD TERMS AND PROCEDURES TO BE APPLIED IN THE PARTICIPATION**

**OF GOVERNMENTAL AUTHORITIES/AGENCIES IN DEVELOPMENT CO‑OPERATION**

In accordance with the act and decree on the participation of governmental authorities and agencies in development co‑operation (Laki ja asetus valtion virastojen ja laitosten osallistumisesta kehitysyhteistyöhön, 382/1989, as amended by 623/1999, 383/1989, and 506/1997), the following standard terms and procedures shall be applied to an assignment

Moreover, in regard to the Authority's/Agency's personnel, performing tasks abroad / seconded personnel, the "general regulations on the service relationship of personnel appointed for development co-operation assignments", approved by the Government on 9 December 1993, as well as the supplementary regulations, given by the Ministry for Foreign Affairs of Finland on 29 December 1993, shall be applied.

**1. Scope and extent of services**

1.1. The scope and extent of services are specified in the Project Document and/or Terms of Reference in respect of a project and in subsequent further instructions on their application given by the Ministry. Services include, without explicit reference, also other tasks, measures or activities required for the implementation of an Assignment as implied by generally accepted professional standards, practices or customs.

1.2. The Authority/Agency carries out the services in accordance with the inter‑governmental agreements applicable to the project concluded between the Governments of Finland and the recipient country. The services are carried out in close co‑operation with the recipient Government.

1.3. The Ministry is entitled to make modifications or amendments to the scope of the Assignment without, by so doing, changing the character or the purpose of the services. If a modification or an amendment widens or narrows the scope of the services, the total budget will be adjusted and the assignment period revised accordingly. All modifications or amendments will be made in writing and with the consent of the Recipient Government.

1.4. The Authority/Agency is entitled to make minor modifications or alterations to the scope of the Assignment in case they are necessary for an effective and successful implementation of the services. Any such modification or alteration will, however, be done within the limits of the budget and with the consent of the recipient Government. Modifications or alterations which cannot be considered as minor in character will be made in writing and are always subject to the Ministry's acceptance.

**2. Procurement of outside resources and goods**

2.1. In case procurement of goods and services for the Project is included in the Assignment, the procurement shall be performed within the limits of the budget and in accordance with the Assignment. Procurement is governed by the rules and regulations pertaining to governmental procurements in Finland and any further instructions given in each case by the Ministry.

2.2. To carry out the Assignment or a part thereof the Authority/Agency may procure outside services by contracting companies and employing personnel. The Ministry's prior written approval in respect of the procurement procedures as well as the terms of the contract or employment is required. The Authority/Agency is bound by the Ministry's instructions and guidelines and any relevant terms and procedures applied within the framework of Finnish development co‑operation in respect of utilizing outside resources.

2.3. Notwithstanding the Ministry's approval of subcontracting or outsourcing, the Authority/Agency is not relieved of any obligations under the Assignment. The Authority/Agency ensures that all applicable provisions of the Assignment also apply to the companies and the personnel.

2.4. When goods and services are procured for the Project, a clause on the possibility of the tender being rejected and the contract being cancelled shall be included in the invitation to tender and procurement contract by the Authority/Agency respectively, in case any illegal or corrupt practices are connected with the award or execution of the contract. Moreover, the supplier shall, in case of cancellation of the contract, compensate the damage or loss caused to the Ministry.

2.5. The company that is contracted to carry out the services or the personnel employed by the Authority/Agency shall have experience and suitable qualifications for carrying out the services. The Authority/Agency shall apply adequate methods and criteria for ascertaining the qualifications of the company or the personnel. The Authority/Agency furnishes the Ministry, at request, with all relevant information on the companies or the personnel prior to the conclusion of a contract. The Ministry has the possibility to participate in the selection of the companies or the personnel.

2.6. The companies and the personnel shall at all times be acceptable to the Ministry. Should a member of the personnel fail to perform his/her duties or otherwise be found unsuitable for carrying out his/her tasks, the Authority/Agency will, in accordance with the above-mentioned Act and Decree and, at the request of or in consultation with the Ministry, replace the person without delay by another person.

2.7. The Authority/Agency supervises that the companies and personnel carry out the tasks assigned to them in accordance with the Assignment. The Authority/Agency may make minor adjustments to the periods and scope of the service of the company or the personnel in case they are necessary in order to ensure an efficient performance of the services. The Ministry will be kept informed of the adjustments.

2.8. All adjustments to the period and scope of the service of the company or to the personnel that might cause financial commitments beyond the limits set forth in the Budget as well as other but minor adjustments mentioned in the previous paragraph are subject to prior written approval of the Ministry.

2.9. The Authority/Agency ensures that the companies and the personnel that are engaged in the Assignment observe the laws and respect the customs prevailing in the recipient country during their stay therein.

2.10. The Ministry agrees with the recipient Government about the status of the companies and the personnel in the recipient country, the assistance and the provision of all required supplies, services, data and information by the recipient Government to the Authority/Agency or the companies and personnel. If this input by the recipient Government is not forthcoming, the Authority/Agency informs the Ministry thereof and continues to carry out the services to the extent possible and acceptable to the recipient Government. The Ministry, for its part, endeavors to agree with the recipient Government about the measures to be taken to ensure that the Authority/Agency may carry on with the services.

2.11. Unless otherwise instructed by the Ministry, the vehicles, equipment and materials, which are purchased by the Authority/Agency for the implementation of the Project in the recipient country, using the funds provided by the Ministry, are deemed to become the property of the recipient Government at the time specified in the inter‑governmental agreements applicable to the Project or, unless otherwise provided in the Assignment, at the completion of the services.

2.12. The Authority/Agency makes all the necessary arrangements to ensure that the vehicles, equipment and materials referred to above are properly maintained, stored, repaired and, in accordance with the government insurance policy, insured. The Authority/Agency keeps appropriate records of the vehicles, equipment and materials and submits an inventory thereon to the Ministry and the recipient Government at the completion of the services as well as at any other time if so requested.

**3. Reporting**

3.1. The Ministry and the Authority/Agency promptly inform each other of any event or situation which might affect the carrying out of the services or which may necessitate a modification or an alteration with an effect on the scope, character or execution of the services, on the budget or on other aspects of the Assignment. The information will be communicated in writing, giving a full account of the relevant reasons for and causes of such an event or a situation and proposing any necessary changes, adjustments or other measures to be taken.

3.2. The Authority/Agency submits periodic reports to the Ministry and the Recipient Government in accordance with the instructions given by the Ministry. Such reports contain information about the work performed, the difficulties encountered or foreseen as well as any modifications made or suggested to be made to the Services. The reports further include a financial statement describing expenditures incurred by the Authority/Agency as well as cost estimates for future expenditures under the Budget items.

3.3. The final report will be prepared in accordance with the instructions given by the Ministry. The report includes a description of the methods used in carrying out the Services, a financial statement of the use of the funds provided by the Ministry as well as the main findings and recommendations of the Authority/Agency. Unless otherwise instructed by the Ministry, the final report will be submitted to the Ministry and the Recipient Country within three months of the completion of the Services.

3.4. Depending on the nature of the Services, the Authority/Agency will, at the request of the Ministry, prepare and submit to the Ministry also other reports, such as reports on supervision, monitoring and evaluation of the Services, and any other documentation or material to be used by the Ministry for public information or dissemination purposes.

3.5. All reports and other documents, such as films and videos, shall bear an acknowledgement that the Project concerned has been implemented with the financial contribution of the Ministry and within the framework of Finnish development co‑operation. All reports and any other documentation in respect of the Assignment to be submitted to the Ministry and the Recipient Government will be prepared in English, unless otherwise instructed by the Ministry.

**4. Reimbursement of costs**

4.1. The Budget for the Project consists of items indicating the maximum amounts in euros within the limits of which the Ministry will be charged of the verifiable and acceptable costs caused to the Authority/Agency from the carrying out of the Services. The Ministry's commitment to make payments in accordance with the Budget is conditional upon / contingent on an annual approval of the State Budget by the Finnish Parliament.

4.2. The Authority/Agency shall follow the instructions given by the Ministry in respect of invoicing. Unless otherwise provided therein, the Authority/Agency shall submit an invoice to the Ministry for each payment, with the relevant information regarding the Project, the nature of the disbursement and the breakdown of the invoice in accordance with the Ministry's coding and with references to the vouchers in the accounts of the Authority/Agency.

4.3. The invoices may, within the limits of the Budget, be settled by the Authority/Agency only in respect of expenses reasonable and necessary for the carrying out of the Services in accordance with the Act on Criteria for Charges Payable to the State (150/1992).

4.4. In case the Authority/Agency has incurred expenses in other currencies than euros, the amount will be converted into euros at the official selling rate of the currency valid in Helsinki at the date when the currency was purchased or, if such official rate does not exist, at the rate derived from the local official selling rate of a convertible currency.

4.5. To monitor the utilization of the project Budget in accordance with the project plan and schedule, the Authority/Agency submits to the Ministry periodically aggregated financial reports and future cost estimates of the project and, in case of any deviations from the scheduled Budget utilization plan, the reasons for them.

4.6. The Ministry has access to all the books and records and accounting material kept for the Project, including those on the costs accrued to the Authority/Agency from carrying out the Services. The Ministry is entitled to corrections of errors discovered in connection with withdrawals or the inspection of the accounts and records.

**5. Special terms for research or organization of training or courses**

5.1. The Authority/Agency undertakes, at the request of the Ministry, to make any technical changes or adjustments to the research. Changes or adjustments pertaining to the substance thereof are separately agreed upon between the Ministry and the Authority/Agency. The research may, at the discretion of the Ministry, be published by the Ministry or by a publisher accepted by the Ministry. Any income from the publication of the research will, unless otherwise agreed between the Ministry and the Authority/Agency, be entered as income to the Ministry.

5.2. In case the research work includes information considered to be classified in the sense that it may not be disclosed to third parties, the Ministry may, after having informed the Authority/Agency thereof, delete such information from the research.

5.3. In case the Authority has, as a direct result of carrying out the Services, developed any invention, patentable or not, a report thereon will be submitted to the Ministry without delay. The Ministry has the right to the invention and will inform the Authority/Agency within a reasonable time whether it wishes to exercise this right. Any compensation due to the Authority/Agency is determined in accordance with the relevant laws and regulations in force in Finland.

5.4. In case the Ministry assigns the Authority/Agency to organize training, separate courses or seminars, each training session, course or seminar or a programme thereof is considered as a project requiring a particular assignment by the Ministry. The expenses arising from planning and administration of such projects as well as other expenses not directly accrued to the Authority/Agency from the arrangements are to be compensated only as an overhead or a charge included in the direct expenses arising from the training, course, seminar or programme concerned.

**6. Termination of the Assignment**

6.1. Should a situation or condition arise necessitating an amendment to or discontinuation of the Assignment, the Ministry may, subject to consultations with the Authority/Agency, amend or terminate the Assignment by a written notice to the Authority/Agency.

6.2. Upon receipt of the notice of termination of the Assignment, the Authority/Agency will take immediate steps to phase out the Services in an appropriate manner and to reduce or minimize any possible losses or costs. The direct and verifiable costs accrued to the Authority/Agency as a result of terminating the Services will be reimbursed by the Ministry as specified in paragraph 4 above.

**7. Other terms**

7.1. The Authority/Agency does not act as a representative of the Ministry or give the impression that it has been given such an authority. However, in order to carry out the Services in an efficient manner, the Authority/Agency maintains regular contacts with the authorities and organizations of the Recipient Country. The Ministry may authorize the Authority/Agency to negotiate and agree with a recipient authority or organization on measures connected with the implementation of the Assignment. In situations where the Authority/Agency requires the Ministry's authoritative support in applying the inter‑governmental agreements regarding the project or in any other practical matters towards the Recipient Government or local authorities, the local Finnish embassy acts as the representative of the Ministry.

7.2. In other respects the Act and Decree on the Participation of Governmental Authorities and Agencies in Development Co‑operation as well as other laws and regulations in force in Finland are applied to the Assignment.

## Annex 2.2. Exchange of letters or Memorandum of Understanding

**Defining roles and expressing commitment**

A ***Memorandum of Understanding*** (MOU) is recommended to be prepared during the project preparation phase or during project inception. MOU is a ***recommended practice*** but it is not necessary, provided that the key issues of the MOU format (specification of the roles and responsibilities of the cooperating agencies and the management and decision-making arrangements including the names of the members of the Project Board as well as the names of authorised representatives who can approve costs arising in the course of the project) can de defined in the Programme Document or through official correspondence, i.e. ***exchange of letters***.

MOU is a non-binding document expressing commitments. Template below

No standard template is prepared for the Exchange of Letters.

**Template for MoU between Finnish and development country agencies**

***(This is a tentative model for the MoU. It can be modified to suit to any country context. The phrases in square brackets should be replaced with relevant wording.)***

**Memorandum of Understanding ("MoU")**

**between**

**[*name of the developing country partner agency*] (hereinafter "[*Abbreviation A*]") in [*partner country*]**

**and**

**[name of the Finnish partner agency] (hereinafter "[*Abbreviation B*]") from Finland**

**regarding the**

**[*Project name*] (hereinafter the Project)**

The Ministry for Foreign Affairs of Finland has assigned a public sector organisation [Abbreviation B] as the responsible agency to manage the Finnish share of the project financing. The assignment is based on contractual arrangements and a Project Document, including a budget and the CVs of the key personnel (annex 1).

The general terms for development cooperation between Finland and [partner country], as specified in (reference to name of the bilateral agreement or framework agreement, dated), shall be applied.

[this clause to be included if bilateral agreement exists and can be referred to]

**1. COMMITMENTS OF [**Abbreviation A]

Provision of all necessary support for implementation of the Project, including encouragement of other partners to participate in its implementation;

Implementation of the Project as set forth in the Project Document (see Annex 2).

Coordination of Project implementation with the [Abbreviation B]

Ensuring sufficient human resources for the implementation of the project as described in the project document;

Incorporation of the financial resources needed for Project implementation in its institutional budget;

Monitoring of the progress of the Project with [Abbreviation B]; and

Preparation of Project implementation progress reports with [Abbreviation B] and their submission to the MFA of Finland.

**2. COMMITMENTS OF** [Abbreviation B]

Provision of all necessary support for the Project implementation, including encouragement of other partners to take part in its implementation;

Assurance that any goods acquired within the Project framework are procured based on Finnish Procurement legislation;

Implementation of the Project as set forth in the Project Document (see Annex 1).

Coordination of Project implementation with the [Abbreviation A]

Allocating personnel to work in the Project;

Monitoring of the progress of the Project established and coordinated by the Project Board;

Incorporation of the financial resources needed for Project implementation in its budget; and

Preparation of Project implementation progress reports with [Abbreviation A] and their submission to the MFA of Finland.

**3. ADMINISTRATION, FOLLOW-UP AND MONITORING**

A Project Board will be set up for the Project management and monitoring. It is coordinated by [Abbreviation A] and [Abbreviation B]. It will meet [how many times/how often] during the Project duration. The Project Board representatives are the following [names/institutions, alternates if appropriate].

The Project Board will receive Project follow-up and progress reports, decide on possible changes in the budget within its assignment, approve annual plans of operation and budgets. The PB will also approve the project completion report.

The Project monitoring and evaluation mechanisms will be decided in the Project Board. The Project may be subjected to monitoring by the MFA of Finland.

Project implementation is governed by the principles and rules set forth in [*Partner country legislation*] regarding the staff of [Abbreviation A] and Finnish legislation regarding the staff of [Abbreviation B]. The other personnel needed for the implementation of the Project is procured observing the provisions of Finnish procurement legislation.

The management of the Project funds will comply with the professionally accepted bookkeeping rules and practices. the participants ensure that no illegal or corrupt practices relate to the use of the Project funds. All possible corruption cases need to be reported to the relevant authorities.

**4. FINANCIAL MANAGEMENT**

[Abbreviation B] is responsible for the financial management of the project. [Abbreviation B] is represented by [*B person's name*1] or [*B person's name*2) in signing for the costs caused by the Project implementation. The Project account numbers and details are disclosed in the Project report.

The Project account and Project operations may be subjected to an independent audit when requested by the MFA of Finland.

**5. MODIFICATIONS**

Any modification of the terms contained in this MoU will be effective only if decided upon in writing between the [Abbreviation A] and the [Abbreviation B] in consultation with the Ministry for Foreign Affairs of Finland.

**6. RESOLUTION OF DISPUTES**

In case of any dispute between signatories regarding the interpretation, application or implementation of this MoU, they will consult each other in order to reach a harmonious solution without prejudice to what is established in the existing bilateral agreements between the Government of [*partner country*] and the Government of Finland.

**7. DURATION**

The MoU is effective from (date] to [date]. This MoU is non-legally binding and will enter into effect upon signature by the participants named below. However the MoU is effective only after the signature of the service assignment between the Finnish agency and the Ministry for Foreign Affairs of Finland.

In witness whereof, we hereby sign four identical copies of this MoU in the city of [*town*], [*country*] on the \_\_\_\_ day of the month of \_\_\_\_\_\_\_\_\_\_ of the year.

|  |  |  |
| --- | --- | --- |
| **For** [Abbreviation A]:[full name]Position |  | **For** [Abbreviation B]:[*full name*][*position*  |
|  |  |  |

# **3. Implementation**

## Annex 3.1. Kick-off meeting agenda

PROJECT NAME

PROJECT KICK-OFF MEETING

Town, country, dates

|  |  |
| --- | --- |
| **Issue, Date & time** | **Agenda item** |
| **1 OVERALL PROJECT ISSUES** |
|  | **Welcoming addresses / Opening** |
|  | **Introduction of the Participants** |
|  | **Scope and Objectives of the Meeting** |
|  | **Introduction to the Project: Project Definition*** Result chain (outputs, outcome and impacts)
* Strategy and Scope
* Expected Main Activities
* Inputs
 |
|  | **Project implementation*** Approach
* Organization
* Budget
* Work plan
 |
|  | **Coordination with Other Projects/Partners and Role of Project Board** |
| **2 Project Implementation and Management Issues** |
|  | **Contractual matters*** Assignment Contract between the MFA and the Finnish Agency
* Memorandum of Understanding between the Finnish and Partner Country agency
 |
|  | **Financial Management of the Project*** Budgeting
* Financial Management - responsibilities
* Financial reporting
* Capacity building costs
* Costs of Partner Country Agency
* Travel regulations, per diems etc.
 |
|  | **Procurement*** Principles
* Procurement procedures: equipment & services
* Providers
 |
| **3 Project Planning, Monitoring, Evaluation and Reporting** |
|  | * **Monitoring roles and responsibilities**
	+ Roles of The Finnish and Partner Country Agencies
	+ Role of Project Management
	+ Role of the ICI Project Board
* **Result framework as a monitoring tool**
* **Annual Planning and Budgeting**
	+ Planning formats, schedules and responsibilities
* **Reporting**
	+ Reporting formats, schedules and responsibilities
* **Evaluation/Self-assessment**
 |
|  | **Any Other Issues** |
|  | **Closing** |

## Annex 3.2. Inception Phase check-list

**When:** The Inception phase follows the project document approval.

**Backgrounds: Instructions from the ICI Manual for the Inception Phase**

The Project Document does not need to include all details. Since the time for project planning is limited, the process of fixing details can be continued after the project is approved, during the so-called inception phase.

Project implementation is useful to start with an inception phase. This means that the first months are used for mutual learning and the clarification and adjustment of initial plans. The length of the inception phase depends on the overall duration of the project. It is recommended to adjust the inception phase to the reporting requirements if feasible.

In the end of the inception phase, the Project Document may be updated if needed. The update should be approved by the Project Board. Major changes in budget and Project Document should be approved by the MFA Regional Department.

**Support during the Inception Phase**

The ICI Facilitation Consultantsupports the Finnish agency with advice on project inception and mobilisation. It is strongly recommended for the Finnish partner to seek advice from the Facilitation Consultant with regard to the project management, including planning and reporting, requirements and good practices. In some cases, it is very practical to request the Facilitation Consultant to participate into the agency-agency meeting either using teams etc application or in person. Please contact your Facilitation Consultant to receive more information.

**Inception Phase check-list**

What should inception phase include:

* **Kick-off workshop** where all key stakeholders are brought together. Kick-off workshop should comprise of interactive and open discussion sessions. For guidance on Kick-off workshop, see template in ICI Manual annex 3.1.
* **Any observations from the MFA or ICI Facilitation Consultant** to the Project Document are to be addressed during the inception phase.
* **Gender equality and HRBA analysis** is to be conducted. It will influence the project document and results framework update, along with other aspects. The analysis can be conducted internally by the project, supported by the Facilitation Consultants and advised by MFA experts as needed, or as an outsourced consultant project.
* **Workplan/ list of activities** to be reviewed or revised as needed.
* **Expert needs checked/revised as needed**: The number of days may change during the project inception phase or later. However, the fee(s) per day for different expert positions are fixed for the project period.
* **Monitoring, evaluation and learning plan** is to be developed, if not done during PD preparation (or to be further defined during the Inception)
* **Set-up the administrative system** for the project, including finances, responsibilities, resources and procedures.
* **The results framework to be reviewed or revised as needed.** It is to be aligned with activities and MEL Plan. At this stage, changes at ‘impact’ and ‘outcome’ level should be avoided.
* **Risk assessment** to be reviewed or revised as needed.
* **The safety of the personnel** to be considered. This includes discussing and updating to the annual workplan considerations of general travel safety as well as the country specific risks.
* **Project budget** to be reviewed or revised as needed.
* **Annual workplan and annual budget** are to be elaborated.
* **Updated Project Document**, based on the previous points. Also other Project Document chapters can be updated accordingly.
* **Project Board meeting** to approve the updates. Other matters to be included to the agenda as relevant.

Please note that the extent of the update depends greatly on project needs. Not all the topics need to be included, but they should be considered. In case you need guidance, please contact the ICI facilitation consultant.

**Approval**

Once the project board has approved the updates, the document package is sent to the corresponding MFA focal point. Please note that if the changes are not in line with the general ICI requirements, those need to be discussed with the MFA already at the elaboration phase.

## Annex 3.3. Annual Work Plan

Annual Workplan is discussed in the Project Board and includes e.g. updated risk matrix. The Annual Work Plan is to be sent to the ICI Consultant by mid-February for comments. The approved Annual Work Plan is sent to the MFA country officer latest the ***end of February***.

+++++++

**Cover page: title of the project, names of the agencies, annual report [year], date of the report**

**Summary page**

|  |  |
| --- | --- |
| **TECHNICAL INFORMATION** |  |
| **Title of the project** |  |
| **Report identification code of the Finnish agency if any** |  |
| **Date when project was started** |  |
| **Date when project is expected to end** |  |
| **Annual plan [period covered]**  |  |
| **Finnish Agency** |  |
| **Partner agency** |  |
| **Person responsible for the annual plan + contact information** |  |
| **Name of the desk officer in the MFA** |  |
| **Intervention code of the MFA** |  |

|  |  |
| --- | --- |
| **INFORMATION ON CONTENTS** |  |
| **Major observations on the advancement of the project** |  |
| **Significant planned changes in outputs, administrative arrangements or budget** |  |

|  |  |
| --- | --- |
| **Approved by the Project Board: date and place** |  |

**ANNUAL PLAN (Descriptive part max 4 pages ; more information in the annexes)**

1. **MAIN ACTIVITIES**

[Main activities to be carried out during the planned period (following the classification of result framework of the project document or any other suitable classification]

[Project Board meetings to be held during the planned period]

[Any deviations from the project document or annual plan, reasons for the deviations]

[Main capacity building and twinning methods to be used]

1. **EXPECTED RESULTS DURING THE PLANNED PERIOD**

[Main outputs to be achieved during the period - analysed descriptively and against the defined indicators]

[Expected progress towards achievement of the project outcome(s)]

1. **ADDRESSING HUMAN RIGHTS BASED APPROACH AND CROSSCUTTING OBJECTIVES**

[Major observations and plans]

[HRBA + CCO: How the project aims to fulfill ‘do no harm’ principle?]

HRBA: [How the project is advancing some specific rights of the specific stakeholder?]

[CCO: Describe how the cross-cutting objectives will be addressed during the period]

1. **CHALLENGES ENCOUNTERED, RISKS IDENTIFIED, CORRECTIVE MEASURES**

[Challenges encountered, corrective measures planned]

Risks identified/materialized, mitigation actions planned. Note risk matrix should be updated and attached to the annual report.]

[Suggested modification on outputs, administrative arrangements and budget items]

[Description of how the safety of the personnel is considered, including discussing country specific risks as well as travel safety]

**ANNEXES:**

Annual financial plan

List of main acitivities, including planned expert missions and study visits, in the table format

List of major procurement of goods or services (item, price estimate)

Updated risk matrix, where the level of risks is presented using the “traffic light” colour codes (annex 1.4).

Updated results framework, if changes have been made in the outcomes or outputs.

## Annex 3.4. Annual Budget

Project name:

Project budget, EUR:

Year:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Budget lines** | **Costs per unit** | **Number of Units** | **Total costs in 20XX** | **Remarks / explanation** |
| ***Costs of the Finnish Agency*** |  |  |  |  |
| **A1. Assignment fees per Finnish government expert** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A1** |  |  |  |  |
|  |  |  |  |  |
| **A2. Travel Costs** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A2** |  |  |  |  |
|  |  |  |  |  |
| **A3. Accommodation** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A3** |  |  |  |  |
|  |  |  |  |  |
| **A4. Per diem allowances for Finnish experts** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A4** |  |  |  |  |
|  |  |  |  |  |
| ***Costs of Partner Country Agency*** |  |  |  |  |
| **A5. Travel costs** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A5**  |  |  |  |  |
|  |  |  |  |  |
| **A6. Accommodation** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A6** |  |  |  |  |
|  |  |  |  |  |
| **A7. Per diem allowances for Partner country experts** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A7** |  |  |  |  |
|  |  |  |  |  |
| ***Other*** |  |  |  |  |
| **A8. Subcontracted work assignment (max 15%)** |  |  |  |  |
| (task) |  |  |  |  |
| (task) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A8** |  |  |  |  |
|  |  |  |  |  |
| **A9. Self-assessment/other evaluation costs** |  |  |  |  |
| (item) |  |  |  |  |
|  |  |  |  |  |
| Subtotal A9 |  |  |  |  |
|  |  |  |  |  |
| **SUBTOTAL A 1-9** |  |  |  |  |
|  |  |  |  |  |
| **B. Administrative costs in partner country** |  |  |  |  |
| (expense category 1) |  |  |  |  |
| Self-assessment admin. costs |  |  |  |  |
|  |  |  |  |  |
| **Subtotal B** |  |  |  |  |
|  |  |  |  |  |
| **C. Fixed assets** |  |  |  |  |
| (item) |  |  |  |  |
| (item) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal C** |  |  |  |  |
|  |  |  |  |  |
| **D. Contingency costs (max 15%)** |  |  |  |  |
|  |  |  |  |  |
| **Subtotal D** |  |  |  |  |
|  |  |  |  |  |
| **TOTAL PROJECT COSTS (Euros)** |  |  |  |  |
|  |  |  |  |  |
| Costs A5+A6+A7+B+C + part of D used for partner country agency |  |  |  |  |

Annual budget by outputs

|  |  |
| --- | --- |
| **Result areas** | **Costs in 20XX** |
| **Output 1** |  |
|  |  |
| **Output 2** |  |
|  |  |
| **Output 3** |  |
|  |  |
| **Output 4**  |  |
|  |  |
| **Contingencies** |  |
|  |  |
| **Total costs** |  |
|  |  |

## Annex 3.5. Terms of Reference for an Expert Mission

**(This is needed in case Annual Workplan does not provide adequate information in a manner which is easy to use by the partner country agency.)**

The TORs are to be prepared and approved between the project coordinators of both institutions. It is to be shared with the MFA and ICI Consultant a minimum one week before the mission.

|  |  |
| --- | --- |
| **Cover page** | * Title of the project:
* Period:
* Prepared by;

<Finnish Agency, name of the person, contact information>* Place and date
* Approved by <project board/cooperating agencies>

Place and date |
| **Background** | * Why is this mission carried out?
* Previous activities linked to the mission.
 |
| **Anticipated results of the mission; main tasks and deliverables** | * Results linked to the project outcome and relevant output(s)
 |
| **Planned activities of the mission** | * Work plan / Activities
* Work method
* Meeting to be organized, people to be met
* Timetable
* Evaluation/ Self evaluation
 |
| **Travel safety** | * Description of how the safety of the personnel is considered, including discussing country specific risks as well as travel safety, if needed
 |
| **Expert(s)** | * Name(s) and main tasks of expert(s)
 |
| **Costs** | * Cost estimate for the mission
 |

## Annex 3.6. Expert Mission Report

**(Expert Mission Reports provide useful information to project related staff of the partner country agency as well as Finnish government agency. The reports are primarily to ensure sufficient information flow *within* the project.)**

The reports are to be prepared and approved between the project coordinators of both institutions. It is to be shared with the MFA and ICI Consultant a maximum two weeks after the mission. MFA and ICI Consultant may ask for clarifications and provide comments one week after the receipt of the document, after which it is considered final.

|  |  |
| --- | --- |
| **Cover page** | * Title of the project:
* Dates of the mission:
* Prepared by:

[Finnish Agency, name of the person, contact information]* Place and date
 |
| **Background** | * Why was this mission carried out
 |
| **Activities of the mission** | * Activities
 |
| **Results of the mission** | * Achieved results linked to the project outcome and relevant output(s)
 |
| **Main findings and recommendations** | * Findings
* Recommendations
* Next steps
 |
| **Expert(s)** | * Name(s) and main tasks of expert(s)
 |
| **Annexes** | E.g. the following (when available):* Programs of capacity building activities
* Participants of capacity building activities
* Learning evaluations
* Links to relevant information
* Photos etc
 |

## Annex 3.7. Semi-Annual (every six months) Report

**Cover page: TITLE OF THE PROJECT,NAMES OF THE AGENCIES, REPORTING PERIOD, DATE OF THE REPORT**

**Summary page**

|  |  |
| --- | --- |
| **INFORMATION FOR BILLING** |  |
| **Title of the project** |  |
| **Report identification code of the Finnish agency if any** |  |
| **Date when project was started** |  |
| **Data when project is expected to end** |  |
| **Reporting period** |  |
| **Finnish Agency name** |  |
| **Billing amount in €** |  |
| **Person responsible for the report + contact information** |  |
| **Signature of the responsible person** |  |
| **Date and place** |  |
|  |  |
| **Name of the desk officer in the MFA** |  |
| **Intervention code of the MFA** |  |
| **Billing address in MFA** |  |

|  |  |
| --- | --- |
| **INFORMATION ON CONTENTS** |  |
| **Major observations presented to facilitation consultant and the MFA** |  |
| **Significant changes in outputs, administrative arrangements or budget** |  |
|  |  |
| **FACILITATION CONSULTANT (filled by facilitation consultant)** |  |
| **Observations and recommendations of the facilitation consultant** |  |
| **Date for checking the report** |  |

**MAIN REPORT (Max 6 pages plus annexes)**

1. **MAIN ACTIVITIES**

[Main activities carried out during the reporting period (following the classification of the project document or annual work plan]

[Project Board meeting held during the reporting period]

[Any deviations from the project document or annual plan, reasons for the deviations]

[Main capacity building and twinning methods used]

1. **RESULTS ACHIEVED DURING REPORTING PERIOD**

[Main outputs achieved during the period - analysed descriptively and against the defined indicators]

[Progress towards achievement of the project outcome(s)]

1. **ADDRESSING HUMAN RIGHTS BASED APPROACH AND CROSSCUTTING OBJECTIVES**

[Major observations]

[HRBA + CCO: How Has the project fulfilled ‘do no harm’ principle during the reporting period?]

HRBA: [Has project advanced some specific rights of the specific stakeholder?]

[CCO: Describe how the cross-cutting objectives have been addressed during the reporting period]

1. **CHALLENGES ENCOUNTERED, RISKS IDENTIFIED, CORRECTIVE MEASURES**

[Challenges encountered, corrective measures made/to be made]

[Risks identified/materialized, mitigation actions made / to be made. This is done in line with the risk matrix, where the level of risks is presented using the “traffic light” colour codes (annex 1.4)]

[Suggested modification on outputs, administrative arrangements and budget items]

[Description of how the safety of the personnel was considered, including discussing country specific risks as well as travel safety]

ANNEXES:

Every semi-annual report

* Financial report
* Table: experts days billed per expert, if not available in the financial report
* Expert time sheets
* Information dissemination: A list of links to the relevant relevant websites, articles, etc.
* Results framework data including annual monitoring data in a separate column, with color codes (please see the color codes page 2 of the annex 3.10).

Note:

Risk matrix is updated every year during the preparation of the annual plan.

## Annex 3.8. Semi-Annual Financial Report

Project name:

Reporting period:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Budget lines** | **Number of working days for Finnish experts** | **Actual costs in reporting period** **(X1)** | **Actual costs in the earlier reporting periods (X2)** | **Total budgeted for the whole project period****(Y)** | **Balance remaining from total project budget** **(Z=Y-X1-X2)** | **Comments and explanations** |
| ***Costs of the Finnish Agency*** |  |  |  |  |  |  |
| **A1. Assignment fees per Finnish government expert** |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Subtotal A1** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **A2. Travel Costs** |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Subtotal A2** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **A3. Accommodation** |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Subtotal A3** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **A4. Per diem allowances for Finnish experts** |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Subtotal A4** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| ***Costs of Partner Country Agency*** |  |  |  |  |  |  |
| **A5. Travel costs** |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Subtotal A5**  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **A6. Accommodation** |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Subtotal A6** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **A7. Per diem allowances for Partner country experts** |  |  |  |  |  |  |
| (Person/position) |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Subtotal A7** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| ***Other*** |  |  |  |  |  |  |
| **A8. Subcontracted work assignment** |  |  |  |  |  |  |
| (task) |  |  |  |  |  |  |
| (task) |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Subtotal A8** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **A9. Self-assessment/other evaluation costs** |  |  |  |  |  |  |
| (item) |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Subtotal A9** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **SUBTOTAL A 1-9** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **B. Administrative costs in partner country** |  |  |  |  |  |  |
| (expense category 1) |  |  |  |  |  |  |
| Self-assessment admin. costs |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Subtotal B** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **C. Fixed assets** |  |  |  |  |  |  |
| (item) |  |  |  |  |  |  |
| (item) |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Subtotal C** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **D. Contingency costs** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Subtotal D** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **TOTAL PROJECT COSTS, (Euros)** |  |  |  |  |  |  |
| Total project costs in other relevant currency |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

## Annex 3.9. Time Sheet for Finnish Experts

This relates only to Finnish government agency. It is most useful to use the regular worktime monitoring sheet of the Finnish government agency.

## Annex 3.10. Monitoring, Evaluation and Learning Plan

The MEL plan is a tool for the project partners to plan and schedule what kind of evidence and M&E activities are needed to reach planned project results. It describes how M&E activities are resourced, how the results are used and reported. The MEL plan is not obligatory but it is a useful tool for facilitating the project management.

The MEL plan links to the Results Framework of the project, and the results and the indicators should be the same as in the RF. The MEL plan is supported by the Communications plan, and these should be used side by side.

Monitoring, Evaluation and Learning related to project results and indicators should be planned latest during inception phase. At the same time the monitoring of risks should be planned. The table below can be used to plan for both. The Risk Assessment Annex advises that the risk management table needs to be updated annually during the annual planning process, but the critical risks with risk level of 9 or above should be monitored constantly. During risk monitoring the risk levels should also be reassessed and any changes taken into account.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Result statement** | **Indicator** | **Source of data, data collection methods, frequency\*** | **Internal use of data\*\*** | **External communications \*\*\*** |
| Impact: … |  |  |  |  |
| Outcome: … |  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| Output 1: |  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| Output 2:  |  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| Output 3: … |  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **Risk statement** | **Level of risk** | **Risk monitoring (Source of data, data collection methods, frequency)** | **Internal use of risk information \*\*** | **External communications about risk information \*\*\*** |
| Risk 1 |  |  |  |  |
| Risk 2 |  |  |  |  |
| Risk…. |  |  |  |  |

\* Who collects the data? When, how? (After every training/every 3 month/when annual data is published/etc). Is there need for verification of the data, if yes, who and how? (spot checks, individual interviews, document checks, etc)?

\*\* How will the results be used internally in the project (learning)? What actions will be taken if the data does not show progress as expected? Who needs to know, how will it be communicated? What learning could follow from data?

\*\*\* How will the results be communicated outside the project? Which stakeholders will be interested? What channels/methods might be used? This will be elaborated in the Communications plan, but initial thoughts can be recorded here.

**For indicator monitoring**, the collected data needs to be updated to the Results Framework table and the table must be attached to the semi-annual report. Therefore, eachindicator will be measured every 6 months or at least once a year and reported in the semi-annual report.

The reporting table should always have the same indicator, baseline and target value information. You can therefore use your results framework as a monitoring tool and add one additional column for indicator reporting for each report or year (as in the table). In each reporting period the table should show the result for each indicator during the reporting period, and the cumulative result for each indicator from the start of the project to the end of the reporting period. It is normal that in each reporting period there are some indicators which value does not change, then it is sufficient to note “0” or “no progress” etc in that field.

**Color coding the progress:** The overall progressof the indicator will be assessed by using the criteria given as codes “absent”, “emerging progress”, “developing” and “advanced” (rating is described below).

Red = Absent/ no progress: Progress on the indicator is lacking, the issue is not taken into account or not understood, the issue is deprioritized for a justified reason, or no monitoring conducted

Yellow= Emerging progress: development needs are identified and work commenced but only marginal results/ progress yet, some parts of the indicator are covered while some others not, or weaknesses in monitoring

Blue = Developing: Targeted results are partially achieved, it is progressing towards the objectives but future development still needed, the issue is addressed in monitoring

Green = Advanced: Active work is conducted, targeted results are achieved and results/progress are monitored systematically, new innovations achieved.

Please place a status of the indicator to the reporting column, with corresponding cell colour, followed by a brief explanation of where the indicator is at.

Reporting table to be attached to semi-annual report (or your results framework with additional columns):

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Expected result** | **Indicator** | **Baseline value**  | **Target value**  | **Value from this reporting period** | **Cumulative value from start of project** | **Notes\*** |
| Impact: … |  |  |  | Absent/ no progress: *Explanation* |  |  |
| Outcome: … |  |  |  | Developing |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| Output 1 |  |  |  | Advanced |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| Output 2:  |  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| Output 3: … |  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| Output 4: … |  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

\*The notes -column can have a very brief note to explain the result, for example “training postponed”, “activity starts in the next reporting period” etc. Otherwise, the information on activities leading to the results and other detailed information should be included in the text of the report, not in this table.

## Annex 3.11. Project Completion Report

(Max. 10 pages + annexes)

|  |  |
| --- | --- |
| **Cover page** | * Title of the project:
* Project Implementation Period:
* Prepared by;

<Finnish Agency, name of the person, contact information><Partner Agency, name of the person, contact information* Place and date
* Signature of the responsible person(s)

<name><place and date of the signature>* Approved by <project board>
* Place and date
 |
| **Table of contents** |  |
| **List of abbreviations** |  |
| **1. Overview of the project implementation** | * Main project results (outputs, outcome and impact),
* Value/benefit for beneficiaries and stakeholders – comments to the overall progress
* Constraints relevant to the project and changes in the project environment during the project – comments on the changes needed during the implementation
 |
| **2. Progress towards achieving results**  | * Implementation of planned activities and achievement of intended results (outputs, outcome and impact) – analysis based on indicators and other relevant sources of information.
 |
| **3. Human Rights Based Approach** | * Has the project fulfilled ‘do no harm’ principle?
* Has it advanced some specific rights of the specific stakeholder?
 |
| **4. Cross-cutting objectives**  | * How the project managed to address cross-cutting objectives (do no harm + advancement)?
 |
| **5. Assumptions and risks** | * Compare the original risk analysis to the materialised risks
* Describe the risk mitigation measures and whether they were sufficient
 |
| **6. Resource utilised**  | * Analysis of the level of utilisation of resources vs. achieved results
* Use of budgeted funds (Final expenditure report as an annex)
* Purchase of equipment or services
* Summary of the use of expert days
 |
| **7. Management and coordination arrangements**  | * Any changes to management and coordination arrangements
* Project board members
* Descriptions of schedule and key decisions of the Project Board
 |
| **8. Lessons learnt** | * Lessons learned for the two partner agencies
* Lessons learned for the capacity building and institutional development projects in the same field of specialisation
 |
| **9. Recommendations**  | * Key recommendations
* Need for further cooperation
 |
| **Annexes** | 1. Result chain and results framework: Comparison of achieved results vs. achieved results through indicators
2. Self-assessment/other evaluation/assessment report(s)
3. Final expenditure report
4. Working days used by experts
5. List of equipment / services purchased
6. Handing over certificates of the assets handed over
7. List of documents and reports produced
 |

 **List of equipment / services purchased**

|  |  |  |  |
| --- | --- | --- | --- |
| **Equipment / service**  | **Cost**  |

|  |
| --- |
| **Procurement method (for any item over 15 000 Euro)**  |

 |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

**List of working days used by project experts**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of Expert** | **Field of expertise** | **Role in the project**  | **Number of working days** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## Annex 3.12. Final Expenditure Report

**Project name:**

**Reporting period:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Budget lines** | **Number of working days (A1)** | **Actual project costs**  | **Project budget** | **Balance in the end of the project** |
| ***Costs of the Finnish Agency*** |  |  |  |  |
| **A1. Assignment fees per Finnish government expert** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A1** |  |  |  |  |
|  |  |  |  |  |
| **A2. Travel Costs** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A2** |  |  |  |  |
|  |  |  |  |  |
| **A3. Accommodation** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A3** |  |  |  |  |
|  |  |  |  |  |
| **A4. Per diem allowances for Finnish experts** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A4** |  |  |  |  |
|  |  |  |  |  |
| ***Costs of Partner Country Agency*** |  |  |  |  |
| **A5. Travel costs** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A5**  |  |  |  |  |
|  |  |  |  |  |
| **A6. Accommodation** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A6** |  |  |  |  |
|  |  |  |  |  |
| **A7. Per diem allowances for Partner country experts** |  |  |  |  |
| (Person/position) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A7** |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| ***Other*** |  |  |  |  |
| **A8. Subcontracted work assignment (max 15 %)** |  |  |  |  |
| (task) |  |  |  |  |
| (task) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A8** |  |  |  |  |
|  |  |  |  |  |
| **A9. Self-assessment/other evaluation costs** |  |  |  |  |
| (item)  |  |  |  |  |
|  |  |  |  |  |
| **Subtotal A9** |  |  |  |  |
|  |  |  |  |  |
| **SUBTOTAL A 1-9** |  |  |  |  |
|  |  |  |  |  |
| **B. Administrative costs in partner country** |  |  |  |  |
| (expense category 1) |  |  |  |  |
| Self-assessment admin. Costs |  |  |  |  |
|  |  |  |  |  |
| **Subtotal B** |  |  |  |  |
|  |  |  |  |  |
| **C. Fixed assets** |  |  |  |  |
| (item) |  |  |  |  |
| (item) |  |  |  |  |
|  |  |  |  |  |
| **Subtotal C** |  |  |  |  |
|  |  |  |  |  |
| **D. Contingency costs (max 15 %)** |  |  |  |  |
|  |  |  |  |  |
| **Subtotal D** |  |  |  |  |
|  |  |  |  |  |
| **TOTAL PROJECT COSTS (Euros)** |  |  |  |  |
| Total costs in other relevant currency |  |  |  |  |
| Costs A5+ A6 + A7+B+C + part of D used for partner country agency |  |  |  |  |
|  |  |  |  |  |

## Annex 3.13. Template for Document to Certify the Completion of the Project and Handing over of Project Assets

**Project** (*Name*) *(number*)

The <Finnish Agency> and the <Partner Agency> on [Day/Month/Year] signed a Memorandum of Understanding (MoU) concerning the above-mentioned Project. As all the activities of the Project have now been completed, the two parties hereby certify the following:

1. The commodities purchased in accordance with the above-mentioned MoU on the Project between the <Finnish> agency as set forth in the Annex 1 shall be transferred to <Partner Agency> in their current condition on the date of the signature of this document.
2. The ownership as well as the risk of loss and damage shall pass to <Partner Agency> on the date of the signature of this document

This document is made in two originals in English on [date].

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

<Finnish Agency> <Partner Agency>

Annexes:

Annex 1: List of equipment handed over

Annex 2: Completion report

## Annex 3.14. Guidance Note for Self-assessment of an ICI Project

**Purpose and objective:** According to the evaluation norm, all MFA ODA projects should be evaluated at least once during their implementation period. It is required for the ICI project to prepare the monitoring, evaluation and learning plan. The assessment of the ICI projects is recommended to be implemented as a self-assessment. Self-assessment is a good way to evaluate a project during its implementation phase. Self-assessment serves the purpose of learning of the two government agencies, steering as well as results reporting. The objective is to provide the ICI partners with an opportunity to 1) conduct a joint analysis on whether the implementation of the project is on track, 2) identify possible corrective measures needed and 3) facilitate the preparation of progress and completion reports. Self-assessment also serves the purpose of accountability by providing valuable information on achieved results for the MFA and all stakeholders.

**Methodology:** Self-assessment is facilitated and documented process that is expected to be conducted at least once during the project implementation. If the self-assessment is done once it should be conducted at mid-term. At the end of the project, the synthesis of the self-assessment contributes to the final reporting. The self-assessment is a participatory process, which includes management interviews and holding a workshop(s) with staff, where key issues are openly discussed. In addition, it may be useful to ask for a few selected outsiders to voice their views. Partners reflect the achievements so far and need for improvements. Self-assessment helps to focus the actions and changes needed for the rest of the project. ICI Facilitation Consultants offer support for the planning of the process and methodologies, as needed.

**Facilitation:** The project partners together will prepare a work plan and a schedule for the self-assessment. The Finnish Agency will ensure that the foreseen costs of the self-assessment are included in the project budget. It is recommended to use an external facilitator (i.e. local or international consultant or ICI facilitation consultant) to guide and support the process. The Finnish Agency will prepare the TOR for the facilitator in line with the mutually agreed work plan for the self-assessment facilitation.

**Scope and assessment areas:** Self-assessment comprises of two Areas of Assessment **I) Results**, focusing on Capacity Building and Interventions, Institutional development and use of skills, Human rights-based approach and Cross-cutting objectives, and other project specific results, **II) Project implementation**, focusing on project management and decision making, Monitoring and Risk Assessment and other project specific subjects. Self-assessment includes a **Summary of key findings:** Based on the observation and key findings self-assessment explores achievement of objectives, analyses strengths and weaknesses, risks and improvement needs and identifies good practices and lessons learned.

**Sources of evidence**: Self-assessment should use various sources of evidence: discussion sessions with partner organisations, interviews with managers and staff and/ or other stakeholders. Other sources could include e.g. monitoring reports, questionnaires, surveys, project documents and field visits that are relevant to the project.

**Conducting the self-assessment in following steps:** Assessment of the key areas, summing up the key findings and estimating the overall progress of the assessment areas, drawing conclusions and elaboration of development proposals.

**The overall progress** will be assessed by using the criteria given as codes “absent”, “emerging progress”, “developing” and “advanced” (rating is described below).

Red = Absent/ no progress: Progress on the issue is lacking, the issue is not taken into account or not understood, the issue is deprioritized for a justified reason, no monitoring conducted on the issue

Yellow= Emerging progress: development needs are identified and work commenced but only marginal results/ progress yet, some parts of the issue are covered while some others not, weaknesses in monitoring

Blue = Developing: Targeted results are partially achieved, it is progressing towards the objectives but future development still needed, the issue is addressed in monitoring

Green = Advanced: Active work is conducted, targeted results are achieved and results/progress are monitored systematically, new innovations achieved

**Conclusions** will be drawn from analysing what works, what does not and why the objectives has/ has not been achieved, what are the individual, organizational, institutional factors contributing to or hindering capacity improvements or project implementation. Based on the overall progress assessment and synthesis of conclusions, **recommendations for future actions** including schedule and responsibilities for actions will be prepared.

**Steps of Assessment:**

**I Assessment of Results**

* Capacity Building and interventions (including learning methods)
* Institutional development and use of skills
* Human rights-based approach and cross-cutting objectives
* Other expected results (ref. to project-specific results framework)

**II Assessment of Project Implementation**

* Project management and decision making
* Monitoring and risk assessment
* Other project specific subjects

**III Conclusions, Recommendations and Future Actions**

* assessment of overall progress
* defining key conclusions and recommendations
* future actions

**Synthesis reporting:** Based on detailed analysis of the project level observations, the key conclusions and lessons learned, the project partners will prepare a forward lookingsynthesis report to support learning comprising of:

* main achievements
* strengths and weaknesses
* lessons learned and good practices
* risks
* improvement needs
* conclusions
* recommendations for future actions and how to achieve the project objectives

**Using the results for learning:** It is recommended that the results of the self-assessment and future actions will be discussed between the Project Partners. It is also recommended that the Project Board reviews and discusses the outcomes of the self-assessment and monitors the implementation of its recommendations.

**Documentation and reporting:** Templates are provided for the assessment and reporting. The self-assessment synthesis report(s) will be annexed to the completion report.

**SELF-ASSESSMENT TEMPLATE OF AN ICI PROJECT**

* **Date**
* **ICI intervention: title, duration and short descriptions**
* **Government Agencies/ Partner organizations**
* **Facilitator**
* **Work plan of the self-assessment: Schedule and short description**
* **Participants**

|  |  |  |  |
| --- | --- | --- | --- |
| **Areas of Assessment** | **Subject of Assessment**  | **Project specific observations and evidence***Before implementation of the self-assessment, project specific issues will be defined and key questions prepared with the support of the self-assessment facilitator.**Describe relevant observations and identify the key evidence.*  | **Summary of Key Findings and highlights** *Based on the observation and the key findings sum up achievement of objectives, analyse strengths and weaknesses, risks and improvement needs and identify good practices and issue specific lessons learned.* |
| 1. **Assessment of Results**
 |
| **1.Capacity Building (including learning methods used)**  | **Development of Capacity:**Extent to which management and staff have improved their theoretical and technical capacity **Application of Developed Capacity**:Management and staff are benefiting from the acquired capacity **Effectiveness of Capacity Development**:Extent to which the capacity building methods have worked and been relevant.Extent to which the planned activities have been implemented on time. Extend to which the project has achieved its objectives and results. |  |  |
| **Sustainability of Capacity Development**:Extent to which any identified achievements to date are likely to endure in the longer term; what are the factors affecting the likelihood. |  |  |
| **2.Institutional Development and****Use of skills** | Extent to which gained expertise is being/likely to be utilized:Extent to which the expertise is likely to be utilized by partner organizations / Partner countries |   |  |
|  | Extent to which the utilization of the expertise will require and/ or has caused changes in the organization  |  |
| **3.Human Rights -Based approach and cross-cutting objectives** | Extent to which the human rights principles of non-discrimination and equality, participation and inclusion, transparency, and accountability are applied in the project implementation, management and decision-makingExtent to which cross-cutting objectives of gender equality and non-discrimination with an emphasis on disability inclusion are realized in the project implementation Extend to which climate resilience, low emission development and protection of the environment with an emphasis on safeguarding biodiversity are realized in the project implementation |  |  |
| **4. Other project specific results**  | Extent to which expected results as described in the project results framework (output, outcome and impact) are achieved or are likely to be achieved in the future  |  |  |
| 1. **Assessment of Project Implementation**
 |
| **1.Project Management and Decision-Making Structure and Coordination** | Extent to which project management and decision-making structures support achieving of project results |  |  |
| Extent to which the partner organisations collaborate with other relevant actors |  |  |
| **2.Monitoring and Risk Assessment**  | Extent to which the project is monitored regularlyExtent to which risk assessment and mitigation strategy is monitored and implementation plans adjusted accordingly  |  |  |
| **3. Other project specific subjects** | Extend to which other project specific subjects have been realized |  |  |

|  |  |
| --- | --- |
| 1. **Conclusions, Recommendations and Future Actions**
 |  |
| **Assessment area** | **Assessment of the overall progress \*** | **Key conclusions** | **Recommendations and future actions (including schedule and responsibilities)** |
| **Capacity building** |  |  |  |
| **Institutional development** |  |  |  |
| **HRBA and cross-cutting objectives** |  |  |  |
| **Other expected results** |  |  |  |
| **Management and decision making** |  |  |  |
| **Monitoring and risk assessment** |  |  |  |

**\*Criteria in assessing the overall progress**

Red = Absent/ no progress: Progress on the issue is lacking, the issue is not taken into account or not understood, the issue is deprioritized for a justified reason, no monitoring conducted on the issue

Yellow= Emerging progress: development needs are identified and work commenced but only marginal results/ progress yet, some parts of the issue are covered while some others not, weaknesses in monitoring

Blue = Developing: Targeted results are partially achieved, it is progressing towards the objectives but future development still needed, the issue is addressed in monitoring

Green = Advanced: Active work is conducted, targeted results are achieved and results/progress are monitored systematically, new innovations achieved

**Outline for self-assessment synthesis report of an ICI project**

|  |
| --- |
| **Basic information:*** Date
* Title, duration and short description of the ICI project
* Government Agencies/ Partner organizations
* Facilitator
* Work plan of the self-assessment: Schedule and short description
* Participants
 |

|  |
| --- |
| **Summary of:*** main achievements
* strengths and weaknesses
* lessons learned and good practices
* risks
* improvement needs
 |
| **Conclusions:**  |
| **Recommendations for future actions (including schedule and responsibilities):** |
| **Annex 1: Completed self-assessment template of ICI project** |

## Annex 3.15. Communications Plan

Communications plan is a useful tool as it helps to ensure that results reach wider audiences. It is not obligatory to prepare a communication plan and it need not be presented in any specific format. In this example, the emphasis is placed upon first locating a set of different audiences and their needs for information.

Communications plan is linked to the Results Framework and Work plan of the project. The intention is to think ahead of the different project activities and project results, as well as of the different stakeholders and create a communication plan which fits the project’s communication needs and the stakeholders’ information needs. Typically activities are easy to communicate, but there should be emphasis on also reporting on the results. Stories of impact and sustainable change are interesting to funders and policy makers as well as to general public, so they should be highlighted.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Audience/ stakeholders (who)** | **Communication Needs****(what)** | **Preferred Channels****(how)** | **Timing/ how often (when)** | **Relevant project activities/results** |
| Beneficiaries | Benefits, participation opportunities | Email lists, internal comms |  |  |
| Local communities  | Public notices, benefits to citizens | Community forums, social media |  |  |
| Residents affected by activities | Notices on activities, benefits, participation opportunities | Notice boards, social media, newspapers |  |  |
| Project teams | Updates, activities, results, issues | Email, intranet, shared platforms |  |  |
| Academic/Public Sector | Data, publications, policy papers | Academic journals, webinars |  |  |
| Media | Stories, access to data, interviews, results | Press releases, press kits |  |  |
| General Public | Awareness and transparency | Social media, website, infographics, media |  |  |
| Other government organisations in partner country | Results, data | Meetings, briefings, email |  |  |
| Private sector | Business opportunities, data, learning opportunities | Newspapers, notices, info sessions |  |  |
| Other development funders | Results, data, synergy | Meetings, briefings, email |  |  |
| Policy makers | Strategic updates, impact evidence | Reports, briefings, meetings |  |  |

Once the main communication needs, channels, target audiences etc have been identified, the plan should have a timeline or activities calendar. Communication activities can be included in the annual workplan, or they can be detailed in a separate plan. Below is an **example** of how communication activities calendar could look like. These exact items do not necessarily need to be in the plan, and the project can also define how often to do what based on what is practical for the project.

**Monthly**

* Social media updates
* Website content updates

**Quarterly**

* Stakeholder email updates
* Press briefings or releases
* Stakeholder roundtables
* Social media campaign
* Internal project newsletter
* Blog post or case study

**Semi-annually**

* Indicator monitoring and project progress reports
* Monitoring communication targets (for example number of press articles, website hits, social media views)

**Annually**

* Impact report (print & digital)
* Academic publications
* Public forums or showcase event
* Strategic review of communication plan

## Annex 4.1. Laki valtion virastojen ja laitosten osallistumisesta kehitysyhteistyöhön

**LAKI VALTION VIRASTOJEN JA LAITOSTEN OSALLISTUMISESTA KEHITYSYHTEISTYÖHÖN 28.4.1989/382 (MUUTOKSINEEN)**

Cf. Suomen laki (http://www.finlex.fi/fi/laki/ajantasa/1989/19890382)

*Act on the Participation of Governmental Authorities and Agencies in Development Co-operation (382/1989 incl. subsequent amendments. No English translation available).*

Eduskunnan päätöksen mukaisesti säädetään:

[**1 §**](http://www.finlex.fi/fi/laki/ajantasa/1989/19890382#a382-1989#a382-1989)

Valtion virasto tai laitos voi yhteistyössä ulkoasiainministeriön kanssa osallistua valtion tulo- ja menoarviossa kehitysyhteistyöhön osoitettujen määrärahojen rajoissa kehitysyhteistyötehtäviin kotimaassa ja ulkomailla sen mukaan kuin tässä laissa säädetään.

[**2 §**](http://www.finlex.fi/fi/laki/ajantasa/1989/19890382#a382-1989#a382-1989)

Osallistuminen kehitysyhteistyötehtäviin edellyttää, että tehtävät soveltuvat viraston tai laitoksen varsinaiseen toimintaan eivätkä aiheuta sille erityistä haittaa.

[**3 §**](http://www.finlex.fi/fi/laki/ajantasa/1989/19890382#a382-1989#a382-1989)

Ulkoasiainministeriön ja muun valtion viraston tai laitoksen yhteistyön sisältö ja menettelytavat vahvistetaan kirjallisesti osapuolten kesken tehtävittäin.

Yhteistyön sisällön ja menettelytavat vahvistavan asiakirjan hyväksyy asianomaisen hallinnonalan ministeriö, jollei viraston tai laitoksen osalta ole muuta säädetty tai kyseinen ministeriö toisin päätä.

[**4 §**](http://www.finlex.fi/fi/laki/ajantasa/1989/19890382#a382-1989#a382-1989)

Tässä laissa tarkoitetuista kehitysyhteistyötehtävistä virastolle tai laitokselle aiheutuvat kustannukset veloitetaan ulkoasiainministeriön pääluokassa kehitysyhteistyöhön osoitetuista määrärahoista. Kustannukset lasketaan ottaen huomioon, mitä valtion maksuperustelain [(980/73) 2 §:n](http://www.finlex.fi/fi/laki/smur/1973/19730980) 1 momentissa on säädetty.

[**5 §**](http://www.finlex.fi/fi/laki/ajantasa/1989/19890382#a382-1989#a382-1989)

Ulkoasiainministeriöllä on oikeus saada hyväksyttäväkseen valtion viraston tai laitoksen tässä laissa tarkoitettuja tehtäviä varten tekemät henkilövalinnat sekä asetuksella säädettävissä tapauksissa edellyttää näitä tehtäviä suorittavan henkilön korvaamista toisella henkilöllä.

**6 §** [**(21.5.1999/623)**](http://www.finlex.fi/fi/laki/ajantasa/1989/19890382#a21.5.1999-623#a21.5.1999-623)

6 § on kumottu L:lla [21.5.1999/623](http://www.finlex.fi/fi/laki/ajantasa/1989/19890382#a21.5.1999-623#a21.5.1999-623).

[**7 §**](http://www.finlex.fi/fi/laki/ajantasa/1989/19890382#a382-1989#a382-1989)

Tarkemmat säännökset tämän lain täytäntöönpanosta annetaan asetuksella.

**8 §**

Tämä laki tulee voimaan 1 päivänä kesäkuuta 1989.

HE 203/88, ulkvk.miet 10/89, svk.miet 13/89

**Muutossäädösten voimaantulo ja soveltaminen:**

**21.5.1999/623:**

Tämä laki tulee voimaan 1 päivänä joulukuuta 1999.

[HE 30/1998](http://www.eduskunta.fi/valtiopaivaasiat/he%2B30/1998), HaVM 31/1998, EV 303/1998

Annex 2

**Asetus valtion virastojen ja laitosten osallistumisesta kehitysyhteistyöhön 28.4.1989/383 (muutoksineen)**

*Decree on the Participation of Governmental Authorities and Agencies in Development Co-operation (383/1989 incl. subsequent amendments).*

Ulkoasiainministerin esittelystä säädetään valtion virastojen ja laitosten osallistumisesta kehitysyhteistyöhön 28 päivänä huhtikuuta 1989 annetun lain [(382/89)](http://www.finlex.fi/fi/laki/ajantasa/1989/19890382) 5 ja 7 §:n nojalla:

##### 1 § [(30.5.1997/506)](http://www.finlex.fi/fi/laki/ajantasa/1989/19890383#a30.5.1997-506#a30.5.1997-506)

1 § on kumottu A:lla [30.5.1997/506](http://www.finlex.fi/fi/laki/ajantasa/1989/19890383#a30.5.1997-506#a30.5.1997-506).

##### [2 §](http://www.finlex.fi/fi/laki/ajantasa/1989/19890383#a383-1989#a383-1989)

Ulkoasiainministeriön toimeksiannosta suoritettaviin kehitysyhteistyötehtäviin virasto tai laitos voi käyttää palveluksessaan olevaa henkilökuntaa ja palkata tarkoitusta varten lisähenkilökuntaa valtion tulo- ja menoarviossa kansainväliseen kehitysyhteistyöhön osoitettujen ja ulkoasiainministeriön kunkin toimeksiannon yhteydessä vahvistamien määrärahojen rajoissa.

##### [3 §](http://www.finlex.fi/fi/laki/ajantasa/1989/19890383#a383-1989#a383-1989)

Mikäli ulkoasiainministeriö tai kehitysyhteistyötehtävää suorittava virasto tai laitos katsoo, että joku viraston tai laitoksen henkilökuntaan kuuluva ulkomaanpalvelua suorittava henkilö ei kykene asianmukaisesti suorittamaan hänelle kuuluvia tehtäviä tai mikäli asianomainen muuten katsotaan sopimattomaksi, viraston tai laitoksen tulee ensi tilassa korvata tällainen henkilö toisella.

Ulkoasiainministeriö voi edellyttää edellä 1 momentissa tarkoitetun henkilön korvaamista toisella henkilöllä erityisesti seuraavissa tapauksissa:

1) kun henkilön työsopimus voitaisiin työsopimuslain [(320/70)](http://www.finlex.fi/fi/laki/ajantasa/1970/19700320) mukaan joko purkaa tai irtisanoa;

2) kun avunsaaja on pyytänyt henkilön palauttamista kotimaahan; tai

3) kun henkilön työkyky tehtävässä on sairastumisen, onnettomuuten joutumisen tai muun vastaavan syyn vuoksi oleellisesti alentunut.

Mikäli tässä pykälässä tarkoitettua henkilöä ei voida korvata toisella, viraston tai laitoksen tulee viipymättä neuvotella ulkoasiainministeriön kanssa niistä toimenpiteistä, joihin asian johdosta on ryhdyttävä.

##### [4 §](http://www.finlex.fi/fi/laki/ajantasa/1989/19890383#a383-1989#a383-1989)

Kehitysyhteistyötehtäväää suoritettaessa ulkoasiainministeriö edustaa Suomen hallitusta.

Ulkoasiainministeriö voi valtuuttaa kehitysyhteistyötehtäviä suorittavan viraston tai laitoksen puolestaan neuvottelemaan ja sopimaan vastaanottajaviranomaisen kanssa tehtävän sisältöön ja toteuttamiseen liittyvistä yksityiskohdista.

Ulkoasiainministeriön tulee ohjata ja valvoa toimeksiannon suorittamista.

##### [5 §](http://www.finlex.fi/fi/laki/ajantasa/1989/19890383#a383-1989#a383-1989)

Kehitysyhteistyötehtävien suorittamiseen osallistuvan viraston tai laitoksen ulkoasiainministeriön toimeksiannosta järjestämiin opinto-ohjelmiin osallistuville kehitysmaista saapuville opiskelijoille tulee kyseisen viraston tai laitoksen hankkia valtion kustannuksella ulkoasiainministeriön vahvistamien stipendiaattiohjeiden mukainen tapaturma- ja sairausvakuutus.

##### [6 §](http://www.finlex.fi/fi/laki/ajantasa/1989/19890383#a383-1989#a383-1989)

Tarkemmat määräykset valtion viraston tai laitoksen osallistumisesta kehitysyhteistyöhön sekä muut mahdolliset määräykset tämän asetuksen soveltamisesta antaa tarvittaessa valtioneuvosto.

##### 7 §

Tämä asetus tulee voimaan 1 päivänä kesäkuuta 1989.

#### Muutossäädösten voimaantulo ja soveltaminen:

##### 30.5.1997/506:

Tämä asetus tulee voimaan 4 päivänä kesäkuuta 1997.

## Annex 4.2. Sanctions

Consistent with UN Security Council Resolutions relating to terrorism, including UN Security Council Resolution 1373 (2001) and 1267 (1999) and related resolutions, the Ministry and the Agency are firmly committed to the international fight against terrorism, and in particular, against the financing of terrorism. The Ministry and the Agency are also committed to full compliance with other sanctions regimes, including targeted financial sanctions and other measures, adopted by the Security Council under Article 41, Chapter VII of the United Nations Charter and economic and financial restrictive measures in force in the European Union, adopted under article 215 of the Treaty on the Functioning of the European Union.

It is the policy of the Ministry to seek to ensure that none of its funds are used, directly or indirectly, to provide support to individuals or entities designated by the UN or the EU as being subject to sanctions. To those ends, the Agency is committed to taking appropriate steps to ensure that funding provided by the Ministry to support the Agency is not provided to, or otherwise used to provide financial assistance or support to, persons or entities, terrorists or terrorist organizations, or any other legal person or government agency listed on the Consolidated United Nations Security Council Sanctions List or EU sanctions regulations (as amended from time to time), and shall inform the Ministry immediately if, during the course of this Agreement, the Agency determines that any such funds have been so used.

**For further information please see the** [**guidance of the MFA on sanctions**](https://um.fi/international-sanctions)**.**

1. See for example https://www.un.org/en/about-us/universal-declaration-of-human-rights [↑](#footnote-ref-1)
2. Universal Declaration of Human Rights: <https://www.un.org/en/about-us/universal-declaration-of-human-rights> [↑](#footnote-ref-2)