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تمكين السكان الريفيين الفقراء
من التغلب على الفقر

(EB 2009/98/R.9/Rev.1)

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Deirdre McGrenra	Edward Heinemann
+39 06 5459 2374 :	+39 06 5459 2398 :
gb_office@ifad.org :	e.heinemann@ifad.org :
	Theresa Rice
	+39 06 5459 2495 :
	t.rice@ifad.org :

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¹ بما في ذلك التوصيات 126 و127 و965 و967 و968 و970 و974 و975.
² وهي تشمل مثلاً المبادئ التوجيهية والإجراءات بشأن تنفيذ برنامج المنح لدى الصندوق وعملية الانتقاء المؤقت لمقترحات المنح التي وضعت في ديسمبر/كانون الأول 2009.

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⁴ هذا القسم مأخوذ مباشرة من السياسة المعدلة: (EB-2009-98-R-9-REV-1).

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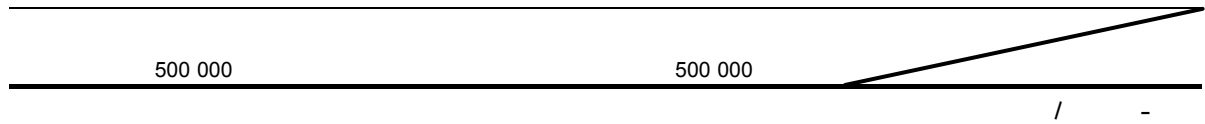
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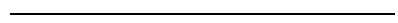
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²³ وهذا يعني فترة تنفيذ قصوى للمشاريع الممولة بمنح كبيرة مدتها خمس سنوات (ثلاثة زائداً اثنين) وللمشاريع الممولة بمنح صغيرة فترة ثلاث سنوات (اثنان زائداً واحدة).

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²⁴ لا يضطلع مكتب التقييم في الصندوق بعمليات تقييم فرادى المنح، ومن مسؤولية راعي المنحة أن يدير عملية التقييم.

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Attachment 1: Divisional strategic workplan – Table of contents

Section	Heading	Contents	Pages
I	Review of progress	<ul style="list-style-type: none"> • Current divisional strategic priorities / themes to date • Overview of progress for the year by theme, under ongoing and completed projects • Performance of grant recipients • Supervision and knowledge management performance • Scaling up and/or linkages with investment portfolio 	2
II	Emerging lessons	<ul style="list-style-type: none"> • Learning and/or capacity-building for the division • Changes in approach and practices 	1
III	Strategic objectives of the current plan	<ul style="list-style-type: none"> • Strategic priorities/themes and adjustments to existing priorities • Contribution to objectives and outputs of the grant policy • Contribution to corporate priorities and, where appropriate, links to country programmes 	
IV	Programme for the coming year	<ul style="list-style-type: none"> • Overview of proposed programme for the coming year • Number of grant-financed projects to be developed in the forthcoming year and preliminary list • Total amount of grant resources sought, and balance between large and small grants 	2
V	Management and supervision arrangements	<ul style="list-style-type: none"> • Project selection process and QE approach to be followed • Supervisory and divisional management practices • Arrangements for learning and knowledge management 	1
Table 1	Summary workplan	<ul style="list-style-type: none"> • Table headings: grant type, country, sponsor(s), recipient, title, objectives and indicators, amount(s). 	1
Annex 1	Concept notes	<ul style="list-style-type: none"> • One-page Concept Note for large grants, or single paragraph where not yet detailed. 	(see attachment 4)

Attachment 2: Divisional strategic workplan – Assessment criteria

The following criteria will be used to assess divisional strategic workplans by the QA Group reviewers:

- Progress and performance of grant portfolio over past year
- Strategic coherence of DSWP and links to corporate priorities – in particular the grants policy, the strategic framework, relevant operational policies and corporate management results
- For PMD, potential for replication/scaling up in the short-term future loan portfolio and/or linkages to the ongoing loan portfolio
- Opportunities for pro-poor innovation
- Potential to contribute to, and arrangements for, learning and knowledge management
- Technical robustness and coherence of the complete package, including targeting/gender and selection of implementing partners
- The number of grants proposed, the ratio between large and small grants, and the coherence and quality of individual grant proposals included in the strategy
- QE, management and supervision arrangements

Attachment 3: Corporate strategic workplan – Table of contents

Section	Heading	Contents	Pages
I	Review of progress	<ul style="list-style-type: none"> • Current strategic priorities/themes to date • Overview of progress for the year, relative to the four outputs of the grant policy • Scaling up and/or linkages with investment portfolio • Performance of grant recipients 	2
II	Emerging lessons	<ul style="list-style-type: none"> • Learning and/or capacity-building • New themes and/or adjustments to existing themes • Changes in approach and practices 	1
III	Strategic objectives of the current plan	<ul style="list-style-type: none"> • Strategic priorities/themes and adjustments to existing priorities • Contribution to objectives and outputs of the grant policy • Contribution to corporate priorities and, where appropriate, links to country programmes 	
IV	Programme for the coming year	<ul style="list-style-type: none"> • Overview of proposed corporate programme for the coming year • Number of grant-financed projects to be developed and preliminary list • Total value of grant programme and balance between large and small grants 	2
V	Management and supervision arrangements	<ul style="list-style-type: none"> • Selection process and QE approach to be followed • Supervisory and divisional management practices 	1
Annex 1	Approved grants	<ul style="list-style-type: none"> • List of grants approved (large and small, plus private-sector) during the previous year 	
Annex 2	DSWPs	<ul style="list-style-type: none"> • Summary of DSWPs 	
Annex 3	Concept notes	<ul style="list-style-type: none"> • Summary of concept notes 	

Attachment 4: Grant concept note – Table of contents

To be used for all grant concept notes: GR and CS, large and small grants

Grant title	
Proposed recipient	
Grant sponsor(s)	
Proposed IFAD grant US\$ Cofinancing US\$ (and donor) Total programme cost US\$	
Duration	
Grant rationale (and target groups if applicable)	
Links to grant policy and DSWP, and to corporate priorities (SF, CMRs) ³¹	
Grant goal, objectives and outcomes	
Main activities	
Implementation arrangements (including links to other IFAD interventions in the country, region – if relevant)	
Supervision and knowledge management	

³¹ For CS grants, should read: links to grant policy, country programme and planned / ongoing projects

Attachment 5: Grant design document: Suggested table of contents

		Length	
		Large	Small
ACRONYMS			
I.	BACKGROUND	1-2 paras	1 para
II.	RATIONALE: RELEVANCE AND LINKAGES	<i>1 to 1½ pages</i>	<i>½ page</i>
	A. Link to outputs of Grants Policy and corporate priorities	1-2 paras	1 para
	B. Contribution to DSWP (for G/R grants) / Contribution to country programme and planned or ongoing projects (for CS grants)	1-2 paras	1 para
	C. Rationale for project, for grant financing and for selected implementing agency	2-3 paras	1-2 paras
III.	THE PROPOSED PROJECT	<i>3 to 3½ pages</i>	<i>1 to 1 ½ pages</i>
	A. Strategy, Approach/Methodology	2-3 paras	1-2 paras
	B. Target Group	2-3 paras	1-2 paras
	C. Overall Goal and Objectives	2-3 paras	1-2 paras
	D. Project Outcomes	3-4 paras	1-2 paras
	E. Project Activities	3-4 paras	1-2 paras
IV.	PROJECT IMPLEMENTATION ARRANGEMENTS	<i>2 to 2½ pages</i>	<i>1 to 1½ pages</i>
	A. Implementing Organisation(s)	3-4 paras	1-2 paras
	B. Project Management and Implementation Period	3-4 paras	1-2 paras
	C. Monitoring, Evaluation and Reporting	3-4 paras	1-2 paras
	D. Indicative Workplan (including table showing timing of key activities)	2-3 paras	1-2 paras
V.	PROJECT COSTS AND FINANCING	<i>1 to 1½ pages</i>	<i>1 pages</i>
	A. Project Costs by Component/activity (text and table)	3-4 paras	1-2 paras
	B. Project Financing, including table showing proposed by category of expenditure for IFAD and other financiers	3-4 paras	1-2 paras
VI.	FINANCIAL GOVERNANCE	<i>1½ to 2 pages</i>	<i>1 to 1½ pages</i>
	A. Procurement Procedures for Goods, Services and Human Resources	2-3 paras	1-2 paras
	B. Financial Management System, including accounting specifications	3-4 paras	2-3 paras
	C. Audit Arrangements	1-2 paras	1-2 paras
VII.	SUPERVISION AND KNOWLEDGE MANAGEMENT	<i>1 page</i>	<i>½ page</i>
	A. Supervision Arrangements	2-3 paras	1-2 paras
	B. Lesson Learning and Knowledge Management	2-3 paras	1-2 paras
		<i>11-13 pages</i>	<i>5 to 7 pages</i>
ANNEXES			
1.	Results-Based Logical Framework – max. 3 SMART outcome indicators		
2.	Supporting Documentation to Grant Design Document (see attachment 6)		

Attachment 6: Supporting documentation for grant design document

1. *Legal documentation*, including evidence of legal status and capacity, registration and good standing, evidence of the authority of the person who will sign the agreement for the recipient. The recipient must demonstrate that it has been registered and that its registration is current (evidence of good standing no more than 90 days old), that it has the corporate capacity to enter into the Grant Agreement, accept the Grant and carry out the Project, and that the person signing the agreement has the necessary authorization. Different jurisdictions have different laws, so the actual documentation required may vary. As a rule, the recipient must be registered in an IFAD Member State. Legal documentation is not required for United Nations agencies or CGIAR institutions.
2. *Financial documentation*, including the name/address of independent auditors, institutional audited financial statements and audit reports. Audit reports must be signed and dated on Auditor's letterhead. For recipients that have not previously received an IFAD grant, two years' audited financial statements and audit reports will be required. Otherwise, one year is sufficient. Financial documentation is not required for UN agencies or CGIAR institutions. For those recipients that have not been required to prepare audit reports, or whose audit reports have been qualified, the financial management questionnaire must be submitted (attachment 8).
3. *Recipient's procurement procedures*. If the recipient does not have its own procedures, a declaration that it will use IFAD's Procurement Guidelines or other procedures acceptable to the Fund will suffice.
4. *Procurement Plan*. The Procurement Plan, defined in paragraph 6.1(xii) of the IFAD General Provisions, should be prepared where goods and services worth more than US\$ 200,000 are to be procured under the project (attachment 16). The Grant Sponsor should review the Procurement Plan to ensure, among other things, that the grant is not used to purchase equipment or other durable goods if it would be economically appropriate to lease the equipment instead and that such goods or equipment are suitable and required for the effective implementation of the project.
5. Declaration by the recipient (email is acceptable) that it has read and accepted the Project Description and Project Budget. It is mandatory that the recipient has reviewed the Project Description and Project Budget before the Grant Package is submitted for Approval.
6. Declaration by the recipient (email is acceptable) that it has read and accepted IFAD's Standard Large/Small Grant Agreement. The model Grant Agreement is available on the IFAD website, and the Small Grant Agreement is shown in attachment 14.

Attachment 7: Eligibility and Due Diligence Checklist for recipients

1. **The recipient is:** (check the appropriate box)

- The government of a developing member state of IFAD
- A non-profit, non-governmental organization in an IFAD member state
- An intergovernmental organization with more than one IFAD member state as a member.
- Private sector entity
- Other

(Governments and government agencies of developed Member States and non-Member States are not eligible. Non-profit, non-governmental organizations in non-Member States are eligible only if a specific waiver is granted by the President.)

2.(A) **If the recipient has previously received grant(s) from IFAD, has it provided all necessary progress reports and audited financial reports/statements?**

- Yes No n/a

If the answer is no, the recipient is not eligible.

2(B) **If the recipient has previously received grant(s) managed by your division, was its performance fully satisfactory?**

- Yes No n/a

If the answer is no, please explain why the recipient should receive a new grant.

3. **Can the recipient provide audited financial statements for the two previous years?**

- Yes No

If the answer is no, describe special circumstances that justify giving the grant to this recipient and provide supporting documentation.

4. **Is IFAD the prime beneficiary of the grant?**

- Yes No

5. **Will this grant support activities normally supported by other IFAD resources (i.e. IFARB)?**

- Yes No

6. **Will this grant support activities that duplicate efforts being financed by other donors?**

- Yes No

If the answer to 4, 5 or 6 is yes, the grant does not comply with the IFAD Grant Policy. No waiver is possible. It is the responsibility of the grant sponsor to confirm the eligibility of the recipient and the conformity of the grant with all aspects of IFAD's policies and procedures. If the grant sponsor requests a waiver of any policy or procedure which is subject to being waived, it must be set forth below.

7. **Deviation from IFAD policies and procedures** List any aspects of the grant that do not comply with IFAD's grant policy or procedures.

Attachment 8: Financial management questionnaire

The Financial management questionnaire (FMQ) should be used only in the following circumstances:

- The recipient has not received funds from IFAD in the past or for a considerable length of time, and is not able to provide current audited financial statements acceptable to IFAD.³²
- The grant amount is significantly larger than the recipient normally manages.
- There is a need to reconfirm the recipient's financial integrity, including its financial management capacity, due to significant internal changes or involvement in dishonest activities.

The FMQ contains questions designed to review the systems adopted by the recipient related to: a) budgeting, b) accounting, c) internal control, d) funds flow, e) financial reporting, and f) auditing arrangements. Based on the answers provided by the recipient, the grant sponsor and the grants officer will be able to assess the best way forward, including disbursement conditions, disbursement amounts, frequency of supervision, etc.

Project: _____

Self-assessment completed by: _____ Date: _____

IFAD review/assessment completed by: _____

Date: _____

Note: If there is more than one implementing entity, a questionnaire should be completed for each one.

Topic	Yes	No	N/A	Review*	Remarks/ comments
1. Implementing entity					
1.1 What is the legal status/registration of the entity?					A.
1.2 Has the entity implemented in the past projects financed by i) international financial institutions (IFIs), ii) United Nations agencies or iii) donors that are members of the OECD? If yes, please provide name and year.					
2. Funds flow					
2.1 In which bank will the grant account be opened?					
3. Staffing					
3.1 What is the organizational structure of the accounting department? Attach an organization chart.					
3.2 Is the project finance and accounts function staffed adequately?					
3.3 Is the finance and accounts staff adequately qualified and experienced?					
3.4 Indicate key positions not contracted yet, and the estimated date of appointment.					
3.5 Does the project have written position descriptions that clearly define duties, responsibilities, reporting lines and limits of authority for all officers, managers and staff?					

³² An external assessment by an audit firm or an audit report will have to be provided prior to first disbursement.

Topic	Yes	No	N/A	Review*	Remarks/ comments
4. Accounting Policies and Procedures					
4.1 Does the entity have an accounting system that allows for the proper recording of project financial transactions, including the allocation of expenditures in accordance with the respective components, disbursement categories, and sources of funds? Will the project use the entity accounting system?					
Segregation of Duties					
4.2 Are the following functional responsibilities performed by different units or persons: (a) authorization to execute a transaction; (b) recording of the transaction; and (c) custody of assets involved in the transaction?					
4.3 Are the functions of ordering, receiving, accounting for, and paying for goods and services appropriately segregated?					
4.4 Are bank reconciliations prepared by staff other than those who make or approve payments?					
Budgeting System					
4.5 Do the budgets lay down physical and financial targets?					
4.6 Are actual expenditures compared to the budget with reasonable frequency, and explanations required for significant variations from the budget?					
4.7 Who is responsible for preparation and approval of budgets?					
Payments					
4.8 Do invoice processing procedures provide for: <ul style="list-style-type: none"> • Copies of purchase orders and receiving reports to be obtained directly from issuing departments? • Comparison of invoice quantities, prices, and terms, with those indicated on the purchase order and with records of goods actually received? • Comparison of invoice quantities with those indicated on the receiving reports? • Checking the accuracy of calculations? 					
4.9 Are all invoices stamped <i>PAID</i> , dated, reviewed and approved, and clearly marked for account code assignment?					
Policies And Procedures					
4.10 What is the basis of accounting (e.g., cash, accrual)?					B.
4.11 What accounting standards are followed?					
4.12 Does the project have an adequate policies and procedures manual to guide activities and ensure staff accountability?					
Safeguard over Assets					
4.13 Is there a system of adequate safeguards to protect assets from fraud, waste, and abuse?					
4.14 Are there periodic physical inventories of fixed assets and stocks?					
4.15 Are assets sufficiently covered by insurance policies?					

Topic	Yes	No	N/A	Review*	Remarks/ comments
Other					
4.16 Has the project advised employees, beneficiaries and other recipients to whom to report if they suspect fraud, waste or misuse of project resources or property?					
5. Internal audit					
5.1 Is there an internal audit department in the entity?					
5.2 What are the qualifications and experience of audit department staff?					
5.3 To whom does the internal auditor report?					
6. External audit					
6.1 Are the entity's financial statements audited regularly by an independent auditor? Who is the auditor?					
6.2 Are there any delays in audit of the entity? When are the audit reports issued?					
6.3 Is the audit of the entity conducted according to the International Standards on Auditing?					
6.4 Have any major accountability issues been brought out in audit reports in the past three years?					
6.5 Is the project subject to any kind of audit by an independent governmental entity (e.g. the supreme audit institution) in addition to the external audit?					
7. Reporting and monitoring					
7.1 Are financial statements prepared for the entity? If so, in accordance with which accounting standards?					C.
7.2 What is the frequency of preparation of financial statements? Are the reports prepared in a timely fashion so as to be useful to management for decision making?					
7.4 Are financial management reports used by management?					
7.5 Do the financial reports compare actual expenditures with budgeted and programmed allocations?					
7.6 Are financial reports prepared directly by the automated accounting system or are they prepared by spreadsheets or some other means?					
8. Information systems					
8.1 Is the financial management system computerized?					
8.2 Can the system produce the necessary project financial reports?					
8.3 Are staff adequately trained to maintain the system?					
8.4 Do the management organization and processing system provide safeguards of confidentiality, integrity and availability of the data?					

Attachment 9: Quality enhancement guidelines for grant design documents

Grant proposal: _____

Submitted by: _____

STRATEGIC AND DEVELOPMENT CRITERIA

1. Strategic linkages. To what extent does the proposed project:
 - a) support the objective and output(s) of the revised grant policy?
 - b) support the achievement of corporate priorities, as reflected in the Strategic Framework and/or CMRs?
 - c) support the divisional strategic workplan?³³
2. Where relevant, links to operations:
 - a) Does the project support the country programme and/or planned or ongoing projects?³⁴
 - b) Has the project been endorsed by the regional division?
3. Is there any substantive reason why the activities should not be financed by other sources (loan resources, administrative budget)?

TECHNICAL CRITERIA

4. Is the rationale convincing and are the approach and methodology appropriate?
5. What is the probability of achieving the desired goal and outcomes, given the approach, timeframe and budget?
6. Are the M&E arrangements effective and realistic, is the logframe coherent and realistic, and does it have measurable indicators? Does the logframe (or results matrix) accurately summarize the activities and are the indicators appropriate?

VALUE FOR MONEY

7. Is the budget appropriately related to the objectives and does it reflect an efficient cost structure? What proportion of total costs are made up by overheads and administrative costs? What is the level of own financing and cofinancing?

RECIPIENT ORGANIZATION

8. Degree to which the recipient organization and its staff appear to have satisfactory capacity to: (a) manage and implement the proposed project; and (b) comply with IFAD's financial and other reporting requirements.
9. If the recipient has implemented other IFAD grant-supported projects, how has its performance been?
10. Is the project going to be managed at arms length from IFAD?

IMPLEMENTATION READINESS

11. Will the recipient be able to commence project activities without significant delay?

SUPERVISION, LESSON LEARNING AND KNOWLEDGE MANAGEMENT

12. Are the proposed arrangements for project supervision adequate and realistic?
13. Are learning or knowledge objectives and outcomes clearly outlined; are resources allocated to their achievement; and how potentially effective are the mechanisms for learning/sharing of knowledge during implementation and at completion?

³³ For GR grants only

³⁴ For all CS grants and some GR grants

Attachment 10: Quality assurance guidelines for grant design documents

The main function of QA is to provide Senior Management with the assurance that the purpose of the grant is relevant to IFAD, that design is to a high standard and that all documentation is complete so that the proposal may be submitted to the Executive Board. The QA exercise conducted by the grants QA group is expected to be light yet focused, looking at a limited number of key issues. These include the following:

- The extent to which the proposed project / activities support the grants policy, strategic framework and CMRs;
- Where appropriate, the extent to which the proposed project / activities are linked to, and supportive of, relevant country strategy and operations; and is endorsed by the relevant regional divisions;
- The extent to which the grant-financed project is ready for implementation;
- The adequacy of the proposed learning and knowledge management agenda (including supervision arrangements); and
- The extent to which the comments of the Divisional QE Group process have been addressed, either in the modified project design and/or through the compliance note.

Where deemed necessary by the QA Group, it may also conduct, or cause to be conducted, a further review of the technical and implementation issues associated with the project / activities.

Attachment 11: Eligibility criteria: for-profit private-sector companies and privately-managed multi-donor trust funds

(to be completed by the grant applicant and/or sponsor)

A. For-profit private-sector companies

The following questions serve as criteria to determine whether a for-profit private-sector company is eligible for IFAD grant financing. The answers will be assessed by a private-sector development specialist, who should be a member of the Divisional QE Group, when reviewing the Grant Design Document.

1. Could the activities covered by the grant be financed through a loan?
If not, please explain why. _____

2. Would the company have conducted the activities listed in the proposal even without the grant?
If not, please explain why.

3. Will the company have direct/indirect linkages with IFAD's target groups³⁵ (as suppliers, clients or users)?
Yes _____; No _____. If yes, what percentage will be own funds?
4. Will the company provide matching resources in support of grant activities?
Yes _____; No _____
5. Are IFAD grant resources being used for equity or capitalization of the company?
Yes _____; No _____
6. Are IFAD grant resources being used to finance long-term operating costs of the company? Yes _____; No _____
7. Does the project demonstrate how the grant to the company will provide direct/indirect benefits to IFAD's target groups?
Yes _____; No _____
8. Will the company report on the results and impact of the grant on IFAD target groups (e.g. number of out-growers or small farmers supplying the company; value of goods purchased from rural producers; number of local jobs created by the company; number of small clients reached; etc.)?
Yes _____; No _____

³⁵ IFAD target groups include: small-scale farmers, rural SMEs, rural wage earners, rural landless or unemployed men and women, fisherfolk, small herders and livestock keepers, indigenous people, etc.

B. Privately-managed multi-donor trust funds

1. Is the multi-donor trust fund (MDTF) cofinanced by other donors (in an equal or higher amount)?

Yes _____; No _____

2. Are the activities or projects to be financed by the MDTF consistent with IFAD's strategic framework?

Yes _____; No _____

3. Does the MDTF demonstrate how its investments will provide benefits to IFAD's target groups?

Yes _____; No _____

4. Will the MDTF report on the results and impact of IFAD's funds on IFAD's target groups?

Yes _____; No _____

Attachment 12: Due diligence sheet: for-profit private-sector companies or privately-managed multi-donor trust funds

(to be completed by the grant applicant)

If due diligence of the private company or MDTF has been done by other IFIs or donors, please provide a copy of the due diligence report. The information below is required only if it has not already been made available in a previous due diligence report.

For a MDTF, please provide the relevant information below regarding the private management company, as well as specific information regarding the MDTF itself as requested in section C.

A. Company profile

Please provide the information listed below, and attach any related documents or provide the appropriate internet links.

1. Name of company and business address, including telephone, e-mail address or fax and web address if available.
2. Year established (include predecessor companies and year(s) established if appropriate).
3. Type of ownership, legal status of the company, and country where company is legally established.
4. If private or closely held company, provide list of shareholders and the percentage of their ownership.
5. List of directors and principal officers (e.g. president, chief executive officer, chief financial officer, vice-president(s), secretary and treasurer).
6. If grantee is a subsidiary, indicate if grantee is a wholly-owned or partially owned subsidiary. Provide the information requested in items 1 through 5 above for the grantee's parent company(ies).
7. Project manager's name, title, address, telephone, e-mail or fax.

B. Company business practices

B1. Provide verifiable basic summary information on the company's history, objectives and size/coverage of its operations, and any other information/ documents that would help in assessing the company's economic, financial, social and environmental standards.

B2. In addition, respond to the following questions:

- a. Is the company legally registered and does it meet all the legal requirements to operate as a private business and to implement the activities listed in the grant concept note/proposal? Please provide a copy of the company's registration.
- b. Are there any legal cases or lawsuits currently pending against the company? Has the company been the object of legal proceedings during the last five years?
- c. Does the company have environmental and social policies in the communities where it works, and a good record in terms of practising social and environmental standards?
- d. If the company has worked with farmers, please provide contact information for the farmer organizations with which it has dealt.
- e. Is the company up to date on social security payments for all of its employees?

- f. Does the company have appropriate health and safety standards?
- g. Please provide a copy of the prior year's annual report, if available.

C. MDTF profile

Please provide the information listed below, and attach any related documents or provide the appropriate internet links.

1. Name of MDTF and business address, including telephone, email or fax, and web address.
2. Year established (include predecessor MDTF and year(s) established if appropriate).
3. Legal status of the MDTF and country where it is legally established.
4. List of cofinancing donors and their respective shares.
5. List of senior managers (executive director, steering committee members, chairperson, etc).
6. Does the MDTF meet all the legal/administrative/financial requirements to make the investments listed in the grant concept note/proposal?
7. Does the MDTF have sound investment plans with sustainable economic and financial objectives?
8. Is the MDTF in good standing under the law? Are there any legal cases or lawsuits against the MDTF?
9. Does the MDTF have a sound background in terms of social and environmental standards?
10. Does the MDTF publish transparent annual performance reports?
11. Has the MDTF been evaluated by an external organization during the past two years? If so, please provide a copy of the evaluation.

Attachment 13: Template for President's Reports for large grants

Document:	<u>[Click and insert EB.././..]</u>
Agenda:	<u>[Click and insert agenda item]</u>
Date:	<u>[Click and insert date]</u>
Distribution:	<u>Public</u>
Original:	<u>[Click and insert language]</u>

E



Enabling poor rural people
to overcome poverty

**President's report on proposed grant under the
global/regional grants window to
(...name of recipient organization....) for
implementation of (...name of project / activity...)**

Contents

[click here and insert Table of Contents]

Annexes

[click here and insert Table of Annexes]

Abbreviations and acronyms

Recommendation for approval

The Executive Board is invited to approve that:

[Click here and type text]

President's report on proposed grant under the global/regional grants window to (...name of recipient organization....) for implementation of (...name of project / activity...)

I submit the following report and recommendation on a proposed grant to (...name of recipient organization...) in the amount of US\$[click here and insert amount] million.

Part I – Introduction

2. This report recommends the provision of IFAD support to the (... name of project...) to be implemented by:
[click here and insert grant recipients and their acronym in brackets]
3. The objectives and content of this project is in line with the evolving strategic objectives of IFAD and the Revised IFAD Policy for Grant Financing (EB 2009/98/R.9/Rev. 1), which was approved by the Executive Board in December 2009.
4. The overarching strategic goal that drives the revised IFAD grant policy is to promote successful and/or innovative approaches and technologies, together with enabling policies and institutions that will support agricultural and rural development, thereby empowering poor rural women and men in developing countries to achieve higher incomes and improved food security.
5. The policy aims to achieve the following outputs: (a) innovative activities promoted and innovative technologies and approaches developed in support of IFAD's target group; (b) awareness, advocacy and policy dialogue on issues of importance to poor rural people promoted by this target group; (c) capacity of partner institutions strengthened to deliver a range of services in support of poor rural people; and (d) lesson learning, knowledge management and dissemination of information on issues related to rural poverty reduction promoted among stakeholders within and across regions.
6. The proposed programmes are in line with the goal and outputs of the revised IFAD grant policy. [click here and insert text]

Part II – Recommendation

7. I recommend that the Executive Board approve the proposed grants in terms of the following resolutions:

RESOLVED: that the Fund, in order to finance, in part, the [click here and insert programme title], shall make a grant not exceeding [click here and insert amount in letters] United States dollars (US\$[click here and insert amount]) to the [click here and insert grant recipient] for a [click here and insert duration of programme]programme upon such terms and conditions as shall be substantially in accordance with the terms and conditions presented to the Executive Board herein.

FURTHER RESOLVED: that the Fund, in order to finance, in part, the [click here and insert programme title], shall make a grant not exceeding [click here and insert amount in letters] United States dollars (US\$[click here and insert amount]) to the [click here and insert grant recipient] for a [click here and insert duration of programme] project upon such terms and conditions as shall be substantially in accordance with the terms and conditions presented to the Executive Board herein.

Kanayo F. Nwanze
President

[Click here and insert title]

VII. Background

8. [click here and insert text]

VIII. Rationale and relevance to IFAD

9. [click here and insert text]

IX. The proposed project

10. The overall goal of the project is to [click here and insert text]. The project's objectives are to [click here and insert text].
11. The target group is [click here and insert text].
12. The project will be of a [click here and insert duration] duration and will comprise [click here and insert number of components] main components:
- [click here and insert components]

X. Expected outcomes

13. What are the expected outcomes, and how will they contribute to the achievement of the objective of the grant policy?
- [click here and insert text]

XI. Implementation arrangements

14. [click here and insert text]

XII. Indicative programme costs and financing

15. [click here and insert text]

Summary of budget and financing plan (in thousands of United States dollars)

<i>Number</i>	<i>Type of expenditure**</i>	<i>IFAD</i>	<i>Co-financing^[1]</i>
1	Personnel (including subcontractors)		
2	Professional services / consultancies		
3	Travel costs		
4	Equipment		
5	Operational costs, reporting and publications		
6	Training / capacity-building		
7	Overheads		
	Total		

**** Type of expenditure is indicative only and may be modified, as appropriate, to suit recipient accounting structures.**

Results-based logical framework

	Objectives-hierarchy	Objectively verifiable indicators	Means of verification	Assumptions
Goal	What is the goal to which the intervention will contribute?	What are the key indicators related to the goal? (Also see RIMS indicators)	What are the sources of information for measuring progress against these indicators?	
Objectives	What are the overall objectives to which the action will contribute? List the specific objectives of the grant application.	What are the key indicators related to the objectives? Which indicators clearly show that the objective of the action has been achieved? (Also see RIMS indicators)	What are the sources of information for measuring progress against these indicators?	Which factors and conditions outside the recipient's responsibility might affect the achievement of the objectives? (external conditions) Which risks should be taken into consideration?
Outputs	What are the outputs and outcomes necessary to achieve the objectives?	What are the indicators to measure whether and to what extent the action achieves the expected results? (Also see RIMS indicators)	What are the sources of information for measuring progress against these indicators?	What external conditions must be met to obtain the expected results on schedule?
Key activities	What are the key activities to be carried out, and in what sequence, in order to produce the expected results? (group the activities by result)	What are the indicators to measure the key activities undertaken? (Also see RIMS indicators)	What are the sources of information for measuring progress against these indicators?	Which pre-conditions must be met before the action starts?

Attachment 14: Small Grant Agreement

Grant Number: _____

Project Title: _____ (the "Project")

The International Fund for Agricultural Development (the "Fund" or "IFAD")

and

_____ (the "Recipient")

(each a "Party" and both of them collectively the "Parties")

hereby agree as follows:

1. The following documents collectively form this Agreement: this document, the Project Description (Schedule 1), the Project Budget (Schedule 2), the Bank Account Certification Form (Schedule 3A), the Sample Disbursement Application (Schedule 3B), the Sample Statement of Expenditure (Schedule 4), the Audit Opinion Letter (Schedule 5A), the Statement of Responsibility (Schedule 5B) and the General Provisions Applicable to IFAD Small Grant Agreements (the "General Provisions") (Schedule 6). In the event of a conflict between this document and any of the Schedules, the provisions of this document shall take precedence. In the event of a conflict between the provisions of Schedule 6 and any of the other Schedules, the provisions of Schedule 6 shall take precedence.

2. The Fund shall provide a Grant to the Recipient (the "Grant"), which the Recipient shall use to implement the Project in accordance with the terms and conditions of this Agreement. The Grant shall be used solely to finance Eligible Expenditures as defined in Schedule 6. (The Grant is financed through a contribution from the _____)³⁶

3. The total amount of the Grant is _____.

4. The Effective Date of the Agreement is _____.

5. The Project Completion Date is _____.

6. The Grant Closing Date is _____.

(7). (Any special provisions.)

7.(8). The following are the contact addresses to be used for any communication related to the Agreement:

For the Fund:

For the Recipient:

International Fund for Agricultural Development Attention: (Originator) Via Paolo di Dono 44 00142 Rome, Italy	
---	--

This agreement has been prepared in the English language in four (4) original copies, two (2) for the Fund and two (2) for the Recipient.

 For the Fund
 (insert name and title)

 For the Recipient
 (insert name and title)

³⁶ For grants financed from supplementary funds.

Schedule 1

Project Description

- 1.1 Strategic approach, target group and participating countries
- 1.2 Goal
- 1.3 Objectives
- 1.4 Outputs
- 1.5 Activities
- 1.6 Lesson learning and knowledge management agenda
- 1.7 Recipient's implementation procedures
- 1.8 Implementing partners and implementation agreements
- 1.9 Recipient's monitoring and evaluation approach
- 1.10 Other sources of funding for the project

Schedule 2

Project Budget2.1 Overall budget

The overall budget for the project shall be as follows:

Category of expenditure	Amount (in US\$)	Year 1	Year 2 (if applicable)
<u>I.</u>			
<u>II.</u>			
<u>III.</u>			
<u>IV.</u>			
<u>V.</u>			
<u>VI.</u>			
Total			

2.2 Activity-based budget

Activity	Amount (in US\$)	Year 1	Year 2 (if applicable)
<u>I.</u>			
<u>II.</u>			
<u>III.</u>			
<u>IV.</u>			
<u>V.</u>			
<u>VI.</u>			
Total			

Schedule 3A

Bank Account Certification Form

International Fund for Agricultural Development (IFAD)
Via Paolo di Dono 44
00142 Rome, Italy

Attention: Loans and Grants Unit of the Controller and Financial Services Division

Reference: IFAD Grant No.
(Project title)

The following is the bank account to be used for disbursements related to the above-referenced grant:

BANK NAME AND ADDRESS: _____

ACCOUNT NUMBER: _____

PAYEE NAME AND ADDRESS: _____

Authorized signatory: _____

Name and title: _____

Date: _____

(to be completed by bank)

We certify that the bank account set forth above is in the name of (Recipient) and that the individual whose name appears above is an authorized signatory thereof.

_____ (Name of certifying officer)

_____ (Telephone number)

_____ (Name of bank)

_____ (Date)

(Official stamp of bank)

Schedule 3B

Sample Disbursement Application

International Fund for Agricultural Development (IFAD)
Via Paolo di Dono, 44
00142 Rome, Italy

Attention: Financial Services Division

DISBURSEMENT APPLICATION

Ref: Grant No
(Project title)

1. Application No. _____.
2. We request disbursement to us of (currency) _____ (amount)
_____.
3. We hereby apply for this disbursement of the Grant, and hereby certify and agree as follows:
 - (a) The expenses covered by this application are required and will be used exclusively for the purposes of the Project
 - (b) The attached certified Statement of Expenditure provides detailed information on the utilization of the immediately preceding advance and confirms that the funds withdrawn have been exclusively used in accordance with the Grant Agreement. All documentation authenticating these expenditures has been retained in accordance with section 6.13 of the Agreement.
5. Please make payment to the bank account indicated in our Bank Account Certification Form.

Recipient: _____
Authorized signature: _____
Name and title: _____
Date: _____

Schedule 4
Sample Statement of Expenditure

Name of Recipient: _____
Grant No: _____
Name of Project: _____

Budget Category	Expenses for total grant amount			
	Currency	Budgeted	Spent	Outstanding
Total				

We hereby certify that the above amounts have been expended for Eligible Expenditures for the proper execution of the Project in accordance with the terms and conditions of the Small Grant Agreement dated (...).

Certified by: _____

Name and title: _____ Dated: _____

Schedule 5A

Sample Audit Opinion Letter

(in accordance with paragraph 6.7 of the General Provisions, to be provided on letterhead of the Recipient's independent auditors, signed and dated)

To: (Recipient name)

Re: Audit report on IFAD Grant No.:_____ Project name: _____

In the course of our audit of the financial statements of [Recipient name] for the year ended [day/month/year], we examined the Statements of Expenditure submitted to IFAD during that period pursuant to the Grant Agreement dated [day/month/year]. The preparation of these Statements is the responsibility of [Recipient name]. Our responsibility is to express an opinion on these Statements based on our audit.

We conducted our audit in accordance with International Standards on Auditing (ISA) and accordingly it included examining on a test basis evidence supporting the amounts and disclosures in the financial statements. Our audit also included assessing the accounting principles used, procurement methodologies followed and such other auditing procedures as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, proper records have been kept and the financial statements, including the Statements of Expenditure submitted to IFAD, prepared on the basis of [state accounting basis] give a true and fair view of the financial situation of [Recipient name].

Dated:

Signed:

Schedule 5B

Statement of Responsibility

Re: IFAD Grant No.: _____ Project name: _____

On behalf of (name of Recipient), I hereby confirm that all Statements of Expenditure submitted in connection with the above-referenced Grant are true, fair and complete in all material respects, that all of the proceeds of the Grant have been spent for Eligible Expenditures as defined in paragraph 6.1(viii) of the Small Grant Agreement between IFAD and (name of Recipient) and that neither (name of Recipient) nor any of its employees or agents have engaged in corrupt, fraudulent, collusive or coercive practices with respect to the Grant.

I declare under penalty of perjury that the foregoing is true and correct.

Date:

Signed:

Schedule 6

General Provisions Applicable to IFAD Small Grant Agreements³⁷

6.1 Definitions:

- (i) “Agreement” or “the Agreement” or “this Agreement” means the Small Grant Agreement between the Fund and the Recipient and Schedules 1 through 6 thereof.
- (ii) “Audit Opinion Letter” means a letter confirming the validity of the Recipient's financial statements and the Statements of Expenditure submitted to the Fund, which is prepared by the Recipient’s independent auditors substantially in the form set forth in Schedule 5A of the Agreement.
- (iii) “Bank Account Certification Form” means a form prepared by the Recipient and certified by the Recipient’s bank following the sample set forth in Schedule 3A of the Agreement.
- (iv) “Coercive practice” means impairing or harming, or threatening to impair or harm, directly or indirectly, any party or its property, or persons closely related to a party, to improperly influence the actions of that party.
- (v) “Collusive practice” means an arrangement between two or more entities without the knowledge of a third party, designed to improperly influence the actions of the third party;
- (vi) “Corrupt practice” means the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to improperly influence the actions of another party;
- (vii) “Disbursement Application” means a form prepared by the Recipient following the sample set forth in Schedule 3B of the Agreement.
- (viii) “Effective Date” means the date the Agreement is signed by the Fund, which is the date from which the Recipient has the right to incur Eligible Expenditures.
- (ix) “Eligible Expenditures” means expenditures eligible to be financed under the Grant. Such expenditures must satisfy all of the following requirements: they must (a) meet the reasonable cost of (b) goods, works or services (c) required for the Project (d) in accordance with the Project Budget (e) which are procured in accordance with the Recipient’s Procurement Procedures. In addition, they must (f) be incurred within the Project Implementation Period; (g) must not involve a payment which is prohibited by a decision of the United Nations Security Council or any other policy of the Fund and must (h) be supported by adequate documentation and (i) be verifiable by the Fund.
- (x) “Fraudulent practice” means any action intended to deceive another party in order to improperly obtain a financial or other benefit or avoid an obligation;
- (xi) “Grant Closing Date” means the date nine (9) months after the Project Completion Date, which is the date on which all the obligations of the Parties under the Agreement (with the exception of the obligation to facilitate supervision and evaluation contained in paragraph 6.12 and the obligation to retain records and documents contained in paragraph 6.13) shall have been performed.
- (xii) “Implementation Agreement” means an agreement essential to the implementation of the Project between the Recipient and a third party or parties that must be approved in advance by the Fund, and which cannot be terminated or materially altered without the prior approval of the Fund. Any Implementation Agreements related to the Project are listed in paragraph 1.7 of Schedule 1 of the Agreement.
- (xiii) “Procurement Plan” means the document prepared by the Recipient and approved by the Fund covering all major procurements of goods, works and consulting services to be carried out in relation to the Project. The Procurement Plan shall include: (i) the various contracts for goods, works and consulting services required to implement the Project in the relevant period; (ii) the proposed methods of procurement for such contracts; and (iii) the related IFAD review procedures, if any.
- (xiv) “Project” means the project described in Schedule 1 of the Agreement.
- (xv) “Project Budget” means the budget for the Project set forth in Schedule 2 of the Agreement.
- (xvi) “Project Completion Date” means the date on which the implementation of the Project is to be completed.

³⁷ As revised on 1 March 2011.

(xvii) “Project Implementation Period” means the period beginning on the Effective Date and ending on the Project Completion Date.

(xviii) “Recipient’s Fiscal Year” means the twelve (12) month period used by the Recipient as its fiscal accounting period.

(xix) “Recipient’s Procurement Procedures” means the procedures to be used by the Recipient for procurement related to the Project, which have been approved in advance by the Fund and which cannot be materially altered without the prior approval of the Fund.

(xx) “Statement of Expenditure” means a form prepared by the Recipient following the sample set forth in Schedule 4 of the Agreement.

(xxi) “Statement of Responsibility” means a letter prepared by the Recipient substantially in the form set forth in Schedule 5B of the Agreement.

6.2 Implementation

The Recipient shall implement the Project in order to accomplish the Goals and Objectives set forth in paragraph 1.1 of Schedule 1 of the Agreement. The Recipient shall implement the Project (i) with due diligence and efficiency; (ii) in conformity with appropriate administrative, engineering, financial, economic, operational, environmental, technical and research practices; (iii) in accordance with the Project Description and Project Budget; and (iv) otherwise in accordance with the Agreement. The Recipient shall exercise the same care in the administration of the Grant as it exercises in the administration of its own funds, having due regard to economy and efficiency and the need to uphold the highest standards of integrity in the administration of public funds, including the prevention of fraud and corruption.

6.3 Disbursement of the Grant

As from the Effective Date, and after receipt by the Fund in satisfactory form of a copy of the Agreement countersigned by a duly authorized representative of the Recipient and a completed Bank Account Certification Form, the Recipient may request disbursements of the Grant in advance during the Project Implementation Period by using the Disbursement Application. For the second and following Withdrawal Applications, the Recipient shall submit to the Fund a Statement of Expenditure showing that at least 75% of the previous amount withdrawn has been spent for Eligible Expenditures.

6.4 Procurement

Procurement of goods, works and services required for the Project shall be carried out in accordance with the Recipient’s Procurement Procedures. In all cases where procurement worth more than two hundred thousand US dollars (US\$200,000) is covered under the Project Budget, the Recipient shall be required to submit a Procurement Plan.

6.5 Progress Reports

Every twelve (12) months during the Project Implementation Period the Recipient shall submit to the Fund a Progress Report describing the quantitative and qualitative progress achieved on the Project during the previous six months, and any other issues that the Fund may reasonably request.

6.6 Final Report

As soon as possible after the Project Completion Date, but in no event later than the Grant Closing Date, the Recipient shall provide the Fund with a Final Report consisting of (i) a Final Statement of Expenditure which reports on the use of the total amount of the Grant; (ii) a Completion Report, of such scope and in such detail as the Fund shall reasonably request, on the execution of the Project, its costs, the activities undertaken, the level of accomplishment of the Project Goals and Objectives, the results achieved from the Project and the benefits derived and to be derived from it; and (iii) either the final Statement of Responsibility required under paragraph 6.7(a) or all of the audited financial statements and Audit Opinion Letters required under paragraph 6.7(b), as the case may be.

6.7 Accounts and Audit

The Recipient shall maintain separate records and financial accounts prepared in accordance with internationally recognized standards in respect of the Grant.

(a) If the total amount of the Grant is less than or equal to two hundred thousand US dollars (US\$200,000), the Recipient shall submit to the Fund a Statement of Responsibility within one month of the end of each calendar year and a final Statement of Responsibility as part of the Final Report.

(b) If the total amount of the Grant is more than two hundred thousand US dollars (US\$200,000) the Recipient shall have its institutional accounts audited every year by independent auditors in accordance with the International Standards on Auditing. The Recipient shall ensure that the entire Project Implementation Period is covered by audit. The Recipient shall deliver to the Fund a copy of its audited financial statements and a completed Audit Opinion Letter relating to such audit within four (4) months after the end of each Recipient's Fiscal Year, provided, however, that if the Project Implementation Period is less than or equal to eighteen (18) months a single audit and Audit Opinion Letter covering the entire period may be submitted.

6.8 Representations and Warranties of the Recipient

The Recipient makes the following representations and warranties to the Fund as of the Effective Date and at all times during the Project Implementation Period: (i) the Recipient is duly organized and validly existing under the laws of the jurisdiction in which it is registered; (ii) it has the power and authority to receive the Grant proceeds and to execute and deliver the Agreement and discharge each of its obligations thereunder, and that it has taken all necessary corporate action to authorize such execution, delivery and discharge; (iii) neither the execution, delivery or performance of the Agreement by the Recipient, nor compliance with the terms and conditions thereof, will contravene any application law, regulation, court order or other legal norm to which the Recipient is subject; will conflict or be inconsistent with, or result in the breach of, any agreement or understanding to which the Recipient is a party; or will violate the constitutional documents of the Recipient; (iv) the Recipient is not insolvent and is not the subject of any bankruptcy, insolvency or other similar proceedings; (v) it has not engaged in corrupt, fraudulent, collusive or coercive practices with respect to the Grant, and (vi) no official or employee of the Fund has received any direct or indirect benefit in connection with the Grant. The signature of the Agreement by the Recipient constitutes (i) its consent to be bound thereby and (ii) an acknowledgement that the Agreement constitutes the legal, valid and binding obligation of the Recipient, enforceable in accordance with its terms.

6.9 Suspension

The Fund may suspend, in whole or in part, the right of the Recipient to incur Eligible Expenditures and/or receive disbursements of the Grant if (i) the Recipient has failed to perform any of its obligations under the Agreement (ii) credible allegations of coercive corrupt, fraudulent, collusive or coercive practices in connection with the Recipient and/or the Project have come to the attention of the Fund; (iii) any of the representations or warranties of the Recipient contained in paragraph 6.8 were not valid or correct or have ceased to be valid or correct; or (iv) the Fund has determined that a situation has arisen which may make it improbable that the Project can be carried out successfully. Such suspension shall continue until (i) the Fund is satisfied that the reason for the suspension no longer exists, or (ii) the Fund decides to terminate the Agreement in accordance with paragraph 6.10.

6.10 Termination

The Agreement shall remain effective until the later of the Grant Closing Date or the complete performance by the Parties of their respective obligations under the Agreement, or any other date mutually agreed upon by the Parties. The Fund may terminate the Agreement early if (i) the Recipient fails to provide all documentation required under paragraph 6.3 for disbursement of the first instalment of the Grant within three (3) months of the Effective Date; (ii) the Recipient has materially failed to perform any of its obligations under the Agreement; (iii) credible allegations of corrupt, fraudulent, collusive or coercive practices in connection with the Recipient and/or the Project have come to the attention of the Fund and the Recipient has failed to take timely and appropriate action to address such allegations to the satisfaction of the Fund; (iv) any of the representations or warranties of the Recipient contained in paragraph 6.8 were not valid or correct or have ceased to be valid or correct; or (v) the Fund has determined that a situation has arisen which makes it improbable that the Project can be carried out successfully.

6.11 Liability beyond Termination

The obligations assumed by the Parties shall survive the early termination of the Agreement to the extent necessary to permit the orderly conclusion of the Project, the withdrawal of personnel, funds and property, the settlement of accounts between the Parties and the settlement of contractual liabilities that are required in respect of any personnel, subcontractors, consultants or suppliers, provided, however, that in the event of early termination of the Agreement by the Fund for any of the reasons set forth in paragraph 6.10 (except for (v)) the Recipient shall have no right to receive any further disbursements of the Grant or other compensation from the Fund.

6.12 Supervision and Evaluation

The Recipient shall facilitate all activities related to supervision, evaluation or review of the Project carried out by the Fund or third parties authorized by the Fund during the Project Implementation Period and for five (5) years thereafter. Any such supervision, evaluation or review shall be carried out without any cost to the Recipient.

6.13 Records and Documents

The Recipient shall maintain adequate records and documents to reflect its operations related to the implementation of the Project until the Project Completion Date, and shall retain and adequately store such records and documents for five (5) years thereafter.

6.14 Taxes

The proceeds of the Grant shall not be used for the payment of Taxes which are determined by the Fund to be excessive, discriminatory or otherwise unreasonable.

6.15 Refund

If (i) the Fund determines that any amount previously disbursed to the Recipient shall not be required to cover further payments for Eligible Expenditures; or (ii) the Fund determines at any time that any amount previously disbursed to the Recipient has not been exclusively used in accordance with the requirements of the Agreement, the Recipient shall, promptly upon notice from the Fund, refund to the Fund such amount in the currency of payment.

6.16 Visibility and Rights of Reproduction and Distribution

Prior to the production of any written, audio-visual and/or information technology material connected with or resulting from the Project by the Recipient and intended for limited or general publication, the Recipient shall consult with the Fund regarding the form and substance of the acknowledgement of the Fund's role in supporting the Project and shall include a acknowledgement in terms agreed by both Parties. The Recipient hereby grants to the Fund the right to reproduce and distribute copies of such written, audio-visual and/or information technology material for non-commercial purposes without the need for any additional permission or approval of the Recipient.

6.17 Insurance

The Recipient shall maintain adequate insurance for all Project assets and staff in order to safeguard the implementation of the Project.

6.18 No Agency or Liability.

The Recipient shall implement the Project on its own behalf and has the exclusive responsibility for its implementation; it is understood that the provision of the Grant by the Fund shall in no way be construed as appointing the Recipient or any other person or institution involved in the Project as the agent or representative of the Fund; and the Fund shall not be liable for, and the Recipient shall hold the Fund harmless against, any claim for loss or damage arising in connection with the Project.

6.19 Privileges and Immunities

Nothing in the Agreement or in any document relating thereto shall be construed as constituting a waiver of any of the privileges or immunities accorded to the Fund by its constituent documents or under international law. The personnel undertaking and responsible for implementing the Project, whether employed by the Recipient or not, shall neither be entitled to any privileges, immunities, compensation or reimbursement on behalf of the Fund nor shall they be allowed to incur any commitments or expenses on behalf of the Fund.

The Grant is provided by the Fund to the Recipient in order to accomplish its objective as set forth in Article 2 of the Agreement Establishing IFAD. The Outputs of the Project are international public goods. All amounts of the Grant disbursed to the Recipient in advance shall retain their international character and by virtue of the applicable international treaties and conventions they shall be immune from confiscation, expropriation and any other form of interference, whether by executive, administrative, judicial or legislative action.

6.20 Other Remedies

The remedies of the Fund set forth in the Agreement are cumulative and shall not prejudice any other remedies which the Fund would otherwise have under general principles of law. No failure or delay by the Fund in exercising its rights thereunder, or course of dealing, shall operate as a waiver thereof.

6.21 Applicable Law

Any dispute arising from the Agreement shall be governed by general principles of law, rather than any particular national system of law.

6.22 Settlement of Disputes

The Parties shall endeavour to settle through amicable means any controversy between them in respect of the Agreement. Failing the settlement of a controversy through amicable means, the controversy shall be submitted to arbitration. To this end any dispute, controversy or claim arising out of or in connection with the Agreement or any breach thereof, shall, unless it is settled through amicable means, be settled by arbitration in accordance with the United Nations Commission on International Trade Law (UNCITRAL) Arbitration Rules as at present in force. Unless otherwise agreed, the number of arbitrators shall be three (3), the place of arbitration shall be Rome, Italy, the language to be used in the arbitral proceedings shall be the English language, and the arbitral tribunal shall decide in accordance with the terms of the Agreement. The Parties agree to be bound by any arbitration award rendered in accordance with this provision as the final adjudication of any dispute; and the resulting award shall be final and binding on the Parties and shall be in lieu of any other remedy.

6.23 Amendments

The Agreement, including the Project Description and the Project Budget, may only be amended or otherwise modified in writing signed by both Parties.

6.24 Communications

All notices, requests, reports, documents and other information and communications relating to the Agreement, the Grant and Project, including the Progress Reports and Final Report, shall be in writing in the English language.

6.25 Entire Agreement/Severability

The Agreement constitutes the entire agreement between the Parties, and any prior understandings or representations, whether oral or written, are null and void. If any provision or part of any provision of the Agreement shall be found or declared to be void or unenforceable, it shall not affect any remaining part of the Agreement which shall continue in full force and effect to the extent permitted by law.

Appendix A : Small Grant Procedures (effective as of (date))

These procedures and the Small Grant Agreement apply to grants (including grants financed from supplementary funds) up to US\$500,000. Grant agreements for Member States (including government ministries) must be prepared by LEG. Grant agreements for international organizations such as FAO that do not accept the model small grant agreement are also prepared by LEG.

Preparing the grant package

The grant package consists of the following documents:

- A) Small grant design document
- B) Supporting documentation
- C) Clearance/approval Sheet

A. The small grant design document

The small grant design document consists of five parts. **Part 1** includes basic information on the grant and the recipient. Information on previous IFAD grants to the same recipient (part 1, paragraph 11) can be obtained from the LGS – please contact CFS for information on how to use the system. Information about previous grants is not required for grants to United Nations agencies or CGIAR institutions.

Special provisions: Any proposed exceptions to the General Provisions – and an explanation of why they are necessary - must be set forth in part 1, paragraph 13. If these special provisions involve a deviation from IFAD's grant policies and procedures, they must also be highlighted in part 2, paragraph 7. Since exceptions to the General Provisions must be cleared specifically by LEG and CFS, they should be used as little as possible. An example of an exception that will only be approved in unusual circumstances is a request for retroactive financing.

The proposed exceptions should include suggested language to be included as paragraph 8 of the Small Grant Agreement, referring directly to the paragraph/s of the General Provisions which is/are affected. The language of any such proposed exceptions should be cleared with the recipient before the grant package is submitted for clearance.

Grant sponsors who have questions as to whether a particular exception/deviation is possible, or how to draft paragraph 8 of the agreement, should consult with LEG before submitting the grant package for clearance.

Part 2, the eligibility and due diligence checklist, confirms the eligibility of the grant and the recipient under IFAD's policies and procedures. Any aspects of the grant that deviate from IFAD's grant policy or procedures must be set out explicitly in paragraph 7. The grant sponsor, in completing the eligibility and due diligence checklist, is responsible for confirming that the grant complies with all applicable IFAD policies and procedures, particularly the Revised IFAD Policy for Grant Financing, and to identify any aspect of the grant which deviates from these policies and procedures.

Part 3, the grant rationale, requires the sponsor to explain why IFAD should provide the grant and why the recipient was chosen. In paragraphs 1 and 2 the sponsor identifies the assumptions underlying the choice of project and recipient, potential risks, and strategies adopted to mitigate such risks. Paragraph 2 confirms the technical capacity of the recipient to carry out the project and provides summary information on relevant experience, except if the organization and its technical capacity are well known to IFAD.

Part 4 of the small grant design document consists of the **project description** (schedule 1 of the small grant agreement) and the **project budget** (schedule 2). As these will become part of the small grant agreement, they should provide a clear and concise summary of the project that sets forth the legal responsibilities of IFAD and the recipient, and a clear outline of how grant resources will be expended. The clearer the description, the less likely it is that disputes or disagreements will arise in the course of implementation and the more likely that the project will achieve its objectives – and the more likely that it will be cleared by LEG and other interested divisions without any changes.

Part 5 of the SGDD, includes the technical, financial and legal reviews. Grant sponsors should reply categorically and unequivocally to all three reviews, so that the GA Group can verify and assess that the replies adequately address the reviewer’s suggestions/recommendations.

1. Project description

The Project description must follow the standard 10-point outline:

- 1.1 Strategic approach, target group and participating countries
- 1.2 Goal
- 1.3 Objectives
- 1.4 Outputs
- 1.5 Activities
- 1.6 Lesson learning and knowledge management agenda
- 1.7 Recipient’s implementation procedures
- 1.8 Implementing partners and implementation agreements
- 1.9 Recipient’s monitoring and evaluation approach
- 1.10 Other sources of funding for the project

General guidelines: IFAD should be referred to as “the Fund” and the recipient should be referred to as “the recipient.” “IFAD” or the name of the recipient should only be used when use of “the Fund” or “the Recipient” would be confusing. All acronyms or abbreviations must be spelled out in full the first time they are used - with no exceptions (example: “the United Nations (UN)”).

Obligations of the recipient (or IFAD) should be introduced by “shall.” (example: “The recipient shall be responsible for all aspects of project implementation”) “Would”, “should” or “could” should not be used. “Will” should be used to refer to events happening in the future that do not imply a legal obligation. Short declarative sentences should be used whenever possible.

The small grant agreement sets forth the obligations of IFAD and the recipient. Actions to be taken by any third party should be mentioned only if they constitute a basic assumption upon which the agreement is based. The only exception concerns other sources of funding (see explanation below).

The term “project” should always be used – do not use “programme”.

In drafting the project description, sponsors should clearly structure and align the goal with the objectives and components, maintaining a logframe-style hierarchy and demonstrating a clear correspondence through activities, outputs and results-oriented indicators of achievement that are specific, measurable, achievable, realistic and timebound (SMART).

1.1 Strategic approach, target group and countries: The strategic approach must indicate which of the outputs of the revised grant policy the project will support. The target group must be identified in the light of the Agreement Establishing IFAD and the IFAD Policy on Targeting. Participating countries must be compatible with the window under which the grant was approved.

- 1.2 Goal: The goal should refer directly or indirectly to the objective of the revised grant policy.
- 1.3 Objectives: These should be concrete and quantifiable. If there are several objectives, they should be indicated by lower-case letters (a,b,c, etc.).
- 1.4 Outputs: These are the project's "deliverables". If the outputs include intellectual property such as articles, books or videos, the presumption is that the recipient will own the copyright or other intellectual property rights.³⁸ The Agreement (paragraph 6.16 of the General Provisions) states that "the Recipient hereby grants to the Fund, free of charge, the right to reproduce and distribute copies of such written, audio-visual and/or information technology material for non-commercial purposes without the need for any additional permission or approval of the Recipient." If there are several outputs, they should be indicated by lower-case letters (a,b,c, etc.).
- 1.5 Activities: Special care should be taken to ensure that the description of the activities to be undertaken by the recipient is as precise as possible. If there are several activities, they should be indicated by lower-case letters (a,b,c, etc.). Activities may be broken down by year to follow an annual workplan approach.
- 1.6 Lesson learning and knowledge management agenda: The revised grant policy objective is that IFAD, its partners and other rural development stakeholders improve their knowledge and understanding of what constitute successful and/or innovative approaches and technologies or enabling policies and institutions that promote the interests of poor rural women and men. This section should make clear how the recipient will support that agenda through the grant.

1.7 Recipient's implementation procedures: This section sets forth the procedures to be used by the recipient to implement the project. Governance (project steering committees, project management units, etc.), financial and other management arrangements and project resources should be described in as much detail as possible, and it should be clear who is responsible for doing what. As a general rule any equipment purchased by the recipient using grant funds will remain the property of the recipient – any exception to this principle should be explained in as much detail as possible.

The General Provisions require recipients to submit progress reports every six months (paragraph 6.5). Do not refer to progress reports in the project description except to specify additional issues that they should address.

Provisions regarding accounts and audits are set forth in paragraph 6.7 of the General Provisions, so it is not necessary to discuss accounts and audits in the project description. Regular audits are linked to the fiscal year used by the recipient (the "Recipient's Fiscal Year"- see paragraph 6.1(xvii)). Please read paragraph 6.7 carefully to understand the various options for audit.

1.8 Implementing partners and implementation agreements: (This section is optional - if it does not apply, insert the notation "not applicable"). Use this section to describe any important arrangements with implementing partners. If agreements with implementing partners must be approved or reviewed by IFAD, this should be stated here. The General Provisions (paragraph 6.1(xi)) define an "Implementation Agreement" as "an agreement essential to the implementation of the Project between the Recipient and a third party or parties that must be approved in advance by the Fund, and which cannot be terminated or materially altered without the prior approval of the Fund." Generally, if a relationship with a third party is critical to the success of the grant, or if over US\$100,000 of the grant funding is distributed to subrecipients, it should be noted in this section.

³⁸ Patents (for germplasm, processes, etc.) resulting from activities funded by IFAD grants should not be subject to commercial exploitation – please consult LEG for language to be used if project outputs include patents.

1.9 Recipient's monitoring and evaluation approach Describe all procedures which the recipient intends to employ for monitoring and evaluation. Paragraph 6.12 of the General Provisions requires the recipient to cooperate with all IFAD supervision and evaluation, which will be carried out at IFAD's expense, so it is not necessary to describe IFAD's monitoring and evaluation procedures.

1.10 Other sources of funding for the project: (This section is optional - if it does not apply, insert the notation "Not applicable"). This section describes the overall funding for the project, including in-kind contributions. A clear distinction must be made between funding without which the project will not take place, and funding which is not essential. For example, if the recipient's inability to receive funding from another source means that the project cannot continue or needs to be downscaled, this should be stated as clearly as possible, and deadlines and procedures for termination of the agreement if the funding fails to materialize must be set out in detail. If the recipient is expected to provide cash or in-kind contributions, be sure to set forth the consequences (if any) if the recipient fails to do so.

2. Project budget

2.1 Overall budget: The budget should be broken down into not more than six categories, which should reflect the recipient's accounting structure. All amounts should be rounded to the nearest thousand dollars. Amounts should be expressed in numbers separated by spaces (e.g. 200 000). "Unallocated" and "contingencies" are not acceptable grant categories. If the project implementation period is more than one year, the budget should be broken down by year (i.e. year 1, year 2).

2.2 Activity-based budget: Grant sponsors have the option (but not the obligation) to provide a separate budget broken down by activity, in addition to the required budget based on categories of expenditures.

B. Supporting documentation

All of the necessary supporting documentation must be available before the grant package may be submitted for clearance. Supporting documentation consists of the following:

- a) Required legal documentation (evidence of legal status and capacity, registration and good standing, evidence of the authority of the person who will sign the agreement for the recipient. If the recipient is a for-profit entity, the completed due diligence checklist must also be included);³⁹
- b) Required financial documentation (name/address of independent auditors, institutional audited financial statements and audit reports);⁴⁰
- c) Recipient's procurement procedures (if the recipient does not have its own procedures, a declaration that it will use the IFAD Procurement Guidelines or other procedures acceptable to the Fund will suffice);
- d) A declaration by the recipient⁴¹ that it has read and accepted the project description and project budget and has read and accepted IFAD's standard small grant agreement;⁴²

³⁹ The recipient must demonstrate that its registration is current (evidence of good standing not more than 90 days old), that it has the corporate capacity to enter into the small grant agreement, accept the grant and carry out the project, and that the person signing the agreement has the necessary authorization. Different jurisdictions have different laws, so the actual documentation required may vary. As a rule, the recipient must be registered in an IFAD Member State. Legal documentation is not required for United Nations agencies or CGIAR institutions. **Grants to for-profit entities must be approved by the Executive Board.**

⁴⁰ Audit reports must be signed and dated, on the auditor's letterhead. For recipients that have not previously received an IFAD grant, audited financial statements and audit reports for the previous two years will be required; otherwise, one year is sufficient. Financial documentation is not required for United Nations agencies or CGIAR institutions.

⁴¹ E-mail is acceptable.

⁴² It is mandatory for the recipient to review the project description and project budget before the grant package is submitted for clearance/approval. The model small grant agreement is available on the IFAD website. LEG must prepare the grant agreement for recipients (such as FAO) that do not accept the standard small grant agreement.

e) If the grant is financed by supplementary funds, a memorandum from PAR confirming clearance of the grant.

f) If the grant is a DSF grant to a “red” or “yellow” country, a communication from the government indicating its approval of the grant.

Wherever possible, supporting documentation should be tabbed for easy reference. LEG and CFS will not review a grant package, and will send it back to the sponsor, unless all required supporting documentation is attached.

C. Clearance/approval process

1. The grant sponsor prepares the grant package and signs the clearance/approval sheet.
2. The grant package is cleared by the director of the originating office.
3. The cleared grant package is cleared by the Division Director, PTA or the Grants Coordinator, PTA. PTA clearance confirms: (i) a satisfactory technical review; (ii) conformity with grant guidelines/procedures; and (iii) availability of grant resources (confirmed by PMD for CS grants). No grant package will be cleared by PTA with handwritten changes or comments.
4. The cleared grant package is submitted to the Controller (CFS) for clearance. In addition to checking the financial information required as supporting documentation, CFS will confirm that the recipient has provided satisfactory financial reports, audit reports and other documentation required for compliance with grants awarded under previous grant agreements. The grant package will not be cleared if a potential recipient has not fulfilled financial requirements under a previous grant agreement, so this should be checked as early in the process as possible. If CFS requires changes, the grant package will be returned to the grant sponsor, who will make the necessary changes on the hard copy and return it to CFS. No grant package will be cleared by CFS with handwritten changes or comments.
5. The cleared grant package is sent by CFS to LEG for clearance. If LEG requires changes, the grant package will be returned to the sponsor, who will make the necessary changes on the hard copy and return it to LEG, with a copy to CFS. No grant package will be cleared by LEG with handwritten changes or comments.
6. Following clearance by LEG, the sponsor submits the grant package to the division director, who confirms that the grant proposal is included in, or supports, the DSWP, and fits within the divisional allocation. Upon approval by the director, the sponsor submits the design document and all supporting documentation for QE. (Note: QE/QA do not apply to grants financed from supplementary funds.)
7. The QE process involves a peer review of the technical aspects of proposals. The sponsor responds to each of the comments/recommendations raised by the QE process, through amendment of the SGDD and/or in a written response to the division director. Once the director is satisfied that the technical review has been adequately addressed, he/she submits the grant package, including the revised SGDD and the clearance sheet, to the grants QA group.
8. The grants QA group conducts the QA assessment, supported by the Grants Secretariat. In the event that it recommends that the project go forward, the QA assessment, SGDD and other supporting documentation are then sent for clearance by the relevant department head.
9. The cleared grant package is sent to the President or his authorized designate for approval. If the President or his designate approves it, the grant package is returned to the sponsor, who sends a scanned copy of the clearance/approval sheet indicating the President’s approval to CFS, requesting

issue of the applicable grant number. CFS inserts the grant in the LGS and sends the grant number to the sponsor.

D. Preparation, signing and distribution of agreement

10. If the grant is to a sovereign state (including government ministries), the grant agreement must be prepared by LEG. Grants to FAO and other recipients that do not accept the standard grant agreement must also be prepared by LEG. Otherwise, the sponsor prepares the small grant agreement by filling in the blanks on the first page, attaching the cleared project description and project budget as schedules 1 and 2, and attaching schedules 3A, 3B, 4, 5, and 6 **without any changes**⁴³ (schedules 3A, 3B, 4, and 5 are samples, so the recipient's details should not be inserted). If possible, the agreement should be prepared and signed the same day that the grant number is obtained.

HOW TO FILL IN THE BLANKS ON THE FIRST PAGE OF THE AGREEMENT

Grant Number	This is the number provided by CFS.
Project Title	The project title must be the same as set forth in part 1, paragraph 5 of the SGDD.
the "Recipient"	The name of the recipient must be the same as set forth in part 1, paragraph 6 of the SGDD and must coincide with the legal name on its registration documents, unless the use of another name has been approved by LEG and CFS.
Paragraph 2	The final sentence in paragraph 2 is optional, to be used only if the grant is financed from supplementary funds – in which case, insert the name of the country/organization providing the money.
Total amount of the Grant	The grant amount must be the same as set forth in part 1, paragraph 12, of the SGDD.
Effective Date of the Agreement	The effective date (paragraph 4) is the date of signature by the division director.
Project Completion Date	Enter the actual date in the format day, month, year. This should be rounded to the end of the calendar quarter.
Grant Closing Date	The grant closing date (paragraph 6) is six (6) months after the project completion date. Enter the actual date.
Any special provisions.	If there are any special provisions (paragraph 8 of the agreement), they must be inserted in <u>exactly</u> the wording which has been cleared by CFS and LEG in part 1, paragraph 13 of the SGDD. If there are special provisions, the contact addresses become paragraph 9.
Signatories	The name and title of the division director (or his/her designate) and the person whom the recipient has identified as the authorized signatory (part 1, paragraph 9 of the SGDD) should be inserted below the signature lines.

⁴³ Schedules 3A, 3B, 4, 5A and 5B are "samples" – it is not necessary to insert the number of the grant or the name of the recipient. Please make sure that performing a "find/replace" does not change any of the wording of the General Provisions. The General Provisions cannot be changed under any circumstances.

11. The grant sponsor submits two originals of the completed small grant agreement (together with the completed clearance/approval sheet) to the responsible division director for signature. The division director signs the first page and **initials the remaining pages**, and the completed small grant agreement is sent to the grant sponsor.

12. The grant sponsor informs CFS of the date of signature of the agreement so that this date can be entered into the LGS⁴⁴ and sends two originals of the signed small grant agreement with standard cover letter to the recipient for countersignature. The recipient is instructed to sign the first page, **initial the remaining pages** and send back one original, together with a completed original bank account certification form. The original copies of the agreement and the bank account certification form are received by EDoC/IRC, which sends scanned copies of the agreement and the bank account certification form to the grant sponsor, LEG and CFS. Once CFS has received the scanned bank account certification form and agreement, as well as the first disbursement application, it will initiate disbursement of the first instalment of the grant to the account listed on the bank account certification form.

13. The General Provisions applicable to small grant agreements provide that the agreement will be terminated (and the recipient will not receive any funds from IFAD) if the recipient fails to provide a countersigned copy of the agreement and the bank account certification form within three months of the effective date. The grant sponsor is responsible for following up and ensuring that the documents are received on time. CFS will automatically issue a letter terminating the agreement three months after the effective date if the documentation has not been received.

⁴⁴ CFS **must** be informed on the date the agreement is signed.

Attachment 15: Draft format for workplan and budget

**Project title..../ IFAD Grant number
DATES (from / to)**

Table of contents

ACRONYMS

NARRATIVE EXPLANATIONS

Detailed workplans for the countries/ sites

The workplan is presented below in table format to provide an easy overview of the planned activities and the associated costs. The activities are grouped by the (...number....) components of the programme that include:

- **Component 1:.**
- **Component 2:.**
- **Component 3:.**
- **Component 4:.**
- **Component 5:.**

Annual budget distribution (Y1 to end) and proposed budget for second year of project implementation (from XXX to y) (from President's Report)

Categories of expenditure ^{a/}	Category allocation	PY1	PY2	PY3
I. Equipment and goods				
II. Technical assistance				
III. Training				
IV. Salaries and allowances				
V. Operating costs				
TOTAL	Grant total	Total PY1	Total PY2	Total PY3

a/ Indicative categories only; actual categories will usually be based on the recipient's own accounting structure and chart of accounts.

Detailed budget by project site and budget item for the period.....

Budget items	COUNTRY X	COUNTRY Y	COUNTRY Z	Regional	Total
I. Personnel/Consultants					
<i>Consultants</i>					
<i>Local staff</i>					
Subtotal I.					
II Travel					
International travel					
<i>Local travel</i>					
<i>Subtotal</i>					
Subtotal II.					
III. Equipment and supplies					
Subtotal III.					
IV. Training/workshops/ publications					
Training					
Regional workshop					
Subtotal IV.					
Direct costs					
V. XXXX Indirect costs					
Total budget					

Attachment 16: Sample procurement plan

To be used only where procurement worth more than US\$200,000 is planned under the grant-financed project.

Description of contract packages		Goods	Works	Services	Total
Estimated cost	Currency				
	US\$ ⁴⁵				
Procurement method					
Contract signature					
Start					
Finish					
Remarks					

⁴⁵ Exchange rates.

Attachment 17: Grant status report

A. Grant basic data

Grant title:		Grant No.	Window	<i>Country or Global Regional</i>
Grant recipient: <i>Institution/organization</i>		IFAD grant sponsor		
Date of update		Recipient contact		
Date of approval	Original closing date	Last amendment		
Date of effectiveness	Extended closing date	Last audit		
	No. of extensions	Last steering committee attended		
		Last supervision		
	US\$ million	US\$ million	Disbursement	Percentage
Total financing	Cofinancier 1	IFAD grant		
IFAD grant	Cofinancier 2			
Recipient	Cofinancier 3			

Target group (*complete as many as applicable by providing a brief description*)

Benefiting countries:

Benefiting investment projects:

Grant goal and objectives (*relate to strategic objectives, i.e. research and/or capacity-building*)

B. Grant management and performance

Indicator	Last	Current
Performance of grant recipient <i>Comments</i>		
Availability of cofinancing <i>Comments</i>		
Coherence between AWPB and implementation <i>Comments</i>		
Acceptable disbursement rate <i>Comments</i>		
Quality and timeliness of financial reports <i>Comments</i>		
Quality and timeliness of technical reports <i>Comments</i>		
Dissemination of results <i>Comments</i>		
Linkages to investment portfolio <i>Comments</i>		

C. Assessment of progress on targeting, inclusion and innovation

Indicator	Last	Current
Project activities benefit IFAD target group <i>Comments</i>		
Innovation <i>Comments</i>		
Gender focus <i>Comments</i>		

D. Grant implementation assessment

Indicator	Last	Current
Overall implementation progress		
<i>Comments (including narrative assessment of activities/components)</i>		
Assessment of overall implementation progress		
Progress in meeting goal and objective(s)		
<i>Comments</i>		
Assessment of progress in meeting goal and objective(s)		

E. Supervision and evaluation arrangements

Description of supervision and evaluation arrangements

Is there a need for an evaluation? If so, indicate timeline.

F. Follow-up action

Issue/problem	Recommended action	Status/timing

**Attachment 18: Grant progress report:
Annotated table of contents**

**[INSERT NAME OF GRANT / GRANT #]
Project progress report⁴⁶
[Insert reference period – e.g. April 2011 to September 2011]**

1. Introduction and grant background	Provide a concise description of the grant's goal and specific objectives, components, target groups and targeted areas. The objective of this section is to familiarize readers with the main features of the grant. If, during the period under review, any change occurred in the implementation context or in grant design, that should also be reported in this section.
1.a. Grant goal, objectives and target groups	
1.b. Changes in grant implementation context and grant design having occurred during the reporting period	
2. Progress and performance by component ⁴⁷	For each component, provide a brief overview of the main activities undertaken during the period under review and the outputs delivered. In particular, this section should highlight: A. Main areas of intervention for which physical achievements matched targets set for the reporting period ; B. Areas of intervention for which outputs achieved fell short of planned figures. Explanations for deviations should be provided. Moreover, as implementation proceeds, this section should also be used to report any relevant information, reflections, or considerations regarding progress towards component objectives as described in the logframe and design document. Grants approaching closure will be expected increasingly to focus on outcomes and provide updated information on progress made towards desired objectives, unintended results, or other factors that might jeopardize the achievement of component objectives, and on actions to be taken for improvement.
2.a. Main activities undertaken, outputs delivered and progress against AWPB	
2.b. Progress towards component objectives	
2.c. Links, if any, with other IFAD-supported activities and/or other partners	
2.d. Lessons learned and knowledge shared	
3. Progress towards grant purpose and goal ⁴⁸	Provide information on progress towards overall purpose and contribution to achieving the goal - in terms of promoting pro-poor innovative approaches and technological options, or of building pro-poor capacities of partner institutions.
4. Shortcomings and problems encountered in grant implementation and actions taken	This section summarizes the main problems affecting progress and performance. Any action taken during the review period to address these issues should be indicated.
5. Other events and relevant issues during the reporting period	Discuss any other relevant issues and events that occurred during the reporting period that might have affected grant implementation and performance.
6. Summary and recommendations for follow-up ⁴⁹	Summarize the major accomplishments and the main constraints faced in implementing the grant during the period under review. Include recommendations to follow up on the findings of the progress report, together with the identification of the staff/agency in charge of each follow-up item and the deadline for each action.
6.1. Major accomplishments and main constraints	
6.2. Recommendations for follow-up	

⁴⁶ Maximum 10-15 pages, plus annexes if necessary.

⁴⁷ This section should be repeated for each component.

⁴⁸ This section will be particularly relevant for mature grants. Grants in the early stages of implementation may not have any information to report.

⁴⁹ This should include identifying the staff/agency in charge of each follow-up item and the deadline for each action.

Attachment 19: Grant completion report: Suggested table of contents

Grant recipients are expected to prepare a completion report within six months of completion.⁵⁰ A suggested format is presented below. The IFAD Guidelines for Project Completion (June 2006) provide directions for the completion process, and can be used by grant recipients as a guide in preparing the GCR.

[INSERT NAME OF GRANT]
[Insert grant #]
Grant completion report
[Insert implementation period – i.e. June 2010 to December 2012]

Executive summary		
1.	Introduction	
2.	Grant description and implementation arrangements	
	2.1. Grant goal, objectives, components and target groups	A summary of the goal, objectives, components and target groups should be included. This section should also report on any changes in the implementation context, design or and outreach that occurred during the life of the grant.
	2.2. Grant implementation arrangements	
	2.3. Changes in grant implementation context, grant design or outreach	
3.	Review of performance and achievements by component	
	3.1. Review of main activities and outputs delivered	Provide a review of performance and achievements by component (section 3 of the template). For each component, this should include a comprehensive review of activities carried out and outputs delivered, compared to overall targets. Moreover, the report should discuss achievements in terms of effects and changes supported in targeted groups and beneficiaries, compared with the grant overall, and specific objectives as described in the grant design documents and the logframe
	3.2. Assessment of Effectiveness in achieving Component Objectives	
4.	Assessment of impact and of impact attribution	Provide a review and assessment of the impact of the grant in terms of contributing to IFAD strategic objectives
5.	Project costs and financing	Include a comprehensive review of how the grant resources were used, and a review and assessment of the financial management of grant proceeds.
6.	Assessment of grant management and partners' performance	Review and discuss performance of grant management and partners' performance
7.	Innovation, replication, and scaling up	Discuss and assess innovation and sustainability of grant impact and potential for scaling up and replication (section 6 - Innovation, replication, and scaling up, and 7 – Sustainability);
8.	Sustainability	
9.	Conclusions and lessons learned	Identify lessons learned and major lessons for IFAD (section – Conclusions and lessons learned, and 9 – Major lessons for IFAD).
10.	Major lessons for IFAD	

Annexes

1. Final grant logical framework
2. Project learning note (attached)
3. Case studies, reports and any other relevant documentation
4. Disbursement by component and by category of expenditure
5. Physical outputs versus targets tables

⁵⁰ Maximum 10-15 pages, plus annexes if necessary.

Attachment 20: Project learning note

Title	Title of the grant
Region/country	Indicate the region and/or country in which the lesson was learned.
Division	Indicate grant sponsor's division.
Contact information	Provide the grant sponsor's personal contact information (name, phone number, e-mail address) so that colleagues may contact you directly with any further questions or comments. The names and contact information for collaborating individuals and organizations are provided in a separate field (Collaborators) .
Date	Enter the submission date for the lessons learned document.
Primary subject area	Enter the subject area most relevant to the lesson learned.
Additional keywords	Specify any additional keywords or subject areas of help in classifying the lesson learned.
Lessons learned	This section should be the main focus of the learning note. Typically, lessons learned identify best practices, indicating what works and what does not in a particular situation. Indicate a lesson learned during implementation.
Description of issue and context.	Describe the main issue or problem addressed by this lesson. Discuss any obstacles or challenges that had to be overcome. Also describe the context in which the lesson was learned. This should include a discussion of the geographical region and the specific cultural setting. Include the date/time period when this lesson was recognized (may be during or at the end of a programme or following an evaluation).
Strategy(ies) used	Briefly describe strategies.
Results	Clearly state the results obtained and why they were of interest as a source of learning.
Recommended practice	Indicate any recommended practices that are suggested by the referenced lessons learned and other supporting documents.
Application	List individuals, programmes, knowledge assets or other resources that are currently using this recommended practice, and include their corresponding contact information.
Implications for IFAD's operations and policies	Address any changes or revisions in IFAD's policies and/or programmes that are suggested by the lesson learned.
Scaling up	If this lesson was learned from a pilot programme or intervention, what steps should be taken for it to be scaled up to reach a wider audience? Also discuss any anticipated challenges in scaling up.
Conclusions and recommendations	Conclusions should summarize the major issues, strategies and results. If appropriate, give concise recommendations for action, clearly specifying who should take the recommended steps.
Suggested follow-up	Suggest any follow-up actions and discuss any follow-up assessments or evaluations, highlighting any specific issues/questions that need to be addressed.
Collaborators	List individuals, organizations or agencies that collaborated on this project/programme, including the capacity in which they were each involved (financial support, technical expertise, training).
Links and resources	Provide the link to any additional reports, evaluations or other documents that clearly support this lesson learned. If possible, indicate the specific parts(s)/pages that directly refer to this lesson.