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部内資料

国連開発計画(UNDP)の事業概要 およびプロジェクト・マニュアル

昭和52年2月

国際協力事業団
企画調査調整部企画課

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国連開発計画(UNDP)の事業概要 およびプロジェクト・マニュアル

昭和52年2月

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國際協力事業団

受入 月日	'84. 5. 25	000
登録No.	07837	36
		PLP

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は　じ　め　に

本資料は、昭和50年8月より昭和51年7月にかけて当事業団よりUNDPに派遣され南アフリカのレソト国にて同国の開発プロジェクトの指導にあたった畜産開発課小野英男職員の研修報告のうちからUNDPの事業概要とUNDPの実施するプロジェクトのOperational & Financial Manualをとりまとめたものでありますが、経済技術協力業務関係者の執務上何らかの参考となれば幸甚です。

昭和52年2月

企画調査調整部長

UNDP事業の概要

“ The United Nations Development Programme Questions and Answers, September 1975 „

および “ UNDP—Why, What, How, Where „ よりの抜萃

I. UNDP設立の趣旨、目的、活動、方針

「国連開発計画」(The United Nations Development Programme,) は 1965年、拡大技術援助計画(Expanded Program of Technical Assistance, 1949年設立)と、国連特別基金(The United Nations Special Fund, 1959年設立)を合併し、国連における技術援助事業の中核機関として設立された。

現在UNDPは、8,000の開発プロジェクトを、24の国際機関および各国政府と協力して計画・実施している。

事業分野

1. 開発調査 農地、森林、河川、地下水、地下資源(鉱物、石油)、工業、商業、輸出
2. 投資活動奨励 上記、開発調査結果に基づく、投資活動への協力。
3. 技術研修 現地訓練センター等もふくむ、技術研修。
4. 技術移転 農業、医療、教育、工業等の開発プロジェクトにおける“技術”の現地への適用。
5. 開発計画 とくに後発開発途上国に対する経済社会開発計画の立案等に関する協力。

UNDP事業の地域別比率

		1975.12.31現在	
		援助額	
アフリカ	31%	2,268プロジェクト	665.6 100万ドル
アジア、太平洋	25	2,137	542.7
ヨーロッパ、地中海、中東	22	1,670	472.1
ラテンアメリカ	20	1,742	427.1
地域間、世界全域	2	129	47.9
計	100%	7,946プロジェクト	2,155.4

分野別 UNDP 事業

農業、林業、水産業	28%
工業	16
運輸、通信	11
経済社会開発計画	11
教育	8
科学技術	6
天然資源	6
保健	6
その他	8
計	100%

方式別事業

年間 専門家派遣	11,000 人
研修生派遣	7,000 人
機材供与	6,800 万ドル
技術提供	6,100 万ドル (コンサルタント サービス等)
資本協力	(農業、工業開発プロジェクトにおけるパイロット施設の建設等)

事業予算

年間 4 億 3,600 万ドル

国連の開発援助関係予算の 80% をしめる。

常駐代表 (Resident Representative) を 106 カ国に派遣している。

地域事務所 (Field Office) が技術援助事業の計画、実施にあたる。

" New Economic Order (1974 年、国連総会宣言) に関する UNDP の対応

1. 新しい独立国、後発途上国、内陸国の開発に適用される、より迅速、弾力的な手法、開発のための従来の手続等の見直し。
2. 最も貧しい人々 (the poorest of the poor) に恩恵を与え得るための技術適用 (移転) 問題の解決。

3. 途上国のニーズ開発（輸出振興、輸送力増強、食料生産工業化、技術移転、途上国相互の技術協力）
4. エネルギー危機等の深刻な被害を受けた政府への緊急協力。

II. UNDPの計画立案

(Planning and programming)

手 順

1. I P Fの決定

5カ年(第1次1972~76)間のUNDPの歳入概算見積をたてる。この見積額は、援助受入国毎の計画指数(Indicative Planning Figures)に分けられる。(総I P Fの15%は地域協力等のプロジェクト予算に充てられる。)I P Fは管理理事会(Governing Council 経済社会理事会より選出される48カ国より構成)において承認され、その後必要に応じて調整される。

2. Country Programme

UNDPより提示されたI P Fを指標として、援助受入政府は、Country Programmeを作成する。

Country Programmeの作成には、常駐代表(Res. Rep)、国連機関の地域事務所長が参画し、検討に加わる。

「計画」の中に、国全体の開発計画、その計画を実施するための国内の収入源、UNDP以外の外国援助の項目を含める。

作成されたCountry Programme(案)はUNDP本部の管理理事会に提出され、承認をうける。

3. 個別プロジェクト要請

国連機関の現地派遣スタッフらと協議しつつ、個々の協力プロジェクト要請をする。この要請書には、プロジェクトの目的、期間、経費、政府の責任部局、関係国連機関を明示する。

そのプロジェクトに要する経費が巨額な場合、または通例の協力形態と大きく異なる場合は管理理事会の承認を必要とするが、それ以外のプロジェクトは最近確立された長期的なフィールドオフィスへの権限委譲の方針のもとに、すべてRes. Repの権限において承認される。UNDP本部はRes. Repより要請がある場合には必要な技術上、運営上、協力する。

IPF配分（1972～76）の事例

レソト	8.3	百万ドル	ブータン	2.5	エジプト	27.5	アルゼンチン	20.
ガンビア	2.5	インドネシア	35.	アルジェリア	20.	ブラジル	30.	
エチオピア	20.	フィリピン	2.	イエメン	15.	スリナム	2.5	
ナイジェリア	30.	タイ	15.	……………	……………	……………	……………	
……………	……………	インド	50.	ヨーロッパ・地中海	……………	……………	……………	
アフリカ計	380.	アジア・太平洋	338.5	中東計	294.5	ラテンアメリカ	279.5	

地域協力関係 231

合計 15億2,350万ドル

これらIPF（1972～76）は、それ以前の拠出実績（1967～1971）および1972～76の拠出予測をもとに決定された。

管理理事会において、第2次Country Programme（1977～81）からIPFの新たな決定基準が設定された。全体のCountry Programmeに充てられる財源（IPF）の92.5%は、その国の人口及び国民1人当りの総生産（per capita GNP）（後者に重点）を加味した数式によって配分される。

残りの7.5%は予備費として、保留し、事務局長（Administrator）の権限において追加配分する。（新興独立国の緊急必要性、開発自助努力、「社会主義」達成度、IPF先取財源等の要因を検討して……）

この新しく設定された基準にもとづき、UNDP全事業予算の13%は地域開発協力プロジェクトに充てられる。

LDC向 特別拠出金

国連総会において、後発開発途上国（Least Developed Countries）に指定された25カ国は、現在、特別拠出金から支出されるUNDPの援助をうけているが、第2次（1977～81）計画においてはIPFに、受けた援助額の4分の1が配分される。

“Capital Development Fund”はLDC向に配分される。

第2次計画全体としてみると、GNP1人当\$150以下の国々がUNDP事業費の52%をうけとり、（第1次計画では40%）また75%はGNP1人当\$300以下の国々に配分されることになる。

UNDPの問題点

1971年以前にはUNDP事業は「早いもの勝ち」(first-come-first-served basis)ベースでプロジェクト毎に計画、実施されてきた。このため、各々の分野の専門家はその分野のプロジェクトが開発計画の最優先事項との信念をもち、その国の全体開発計画の中の位置づけにあまり考慮を払わない弊害があった。

Country Programmingを導入してからは、Res、Repの調整権限が強められたので、従来みられた「プロジェクトのおしつけ」(専門家による)は影をひそめた。

Ⅱ. プロジェクトの実施

UNDPはプロジェクトの資金供給、総合的計画立案、実施を担う専門機関との調整(監督)にあたる。

国連専門機関は次の三つの機能を担う。

1. 各々の専門分野における開発情報、技術の " data banks "
2. Country Programmesにおける個々のプロジェクト作成について受入政府を支援する。
3. プロジェクト実施のため、国際専門家の採用、機材供与、特定役務の提供を行う。

どの専門機関がプロジェクトを担当するかということは、Res、Repが相手国政府と協議して決定する。通例、1つの機関が1つのプロジェクトを担当するが、場合によっては複数の専門機関が協力して実施することもある。

UNDPが直接実施するプロジェクトもある。(全体の5%)

プロジェクトの進捗状況はUNDP field office staffs、政府関係者、国連専門家(実施を担当している。)によって定期的に見直し(review)が行われ、チェックされる。

コンピューター処理によるmanagement information system(MIS)が設置され、プロジェクトの進捗状況に関する情報がいつでも提供される。要請があれば、プロジェクト評価のために、調査団が派遣される。

プロジェクトの成否は、受益者となる開発途上国の人々の全面的な参画に、また、そのプロジェクトが自からの生活向上につながるという理解、確信にかかっている。

UNDPプロジェクト実施に際し"開発広報"(development support communication)が大きな要因となっている。

単純な"話し言葉"による手段から高度な視聴覚器材による方式までDSC活動は現地の人々に情報を伝達し、指導し、開発による生活の変化をおそれる心を克服させるのに不可欠な手段となっている。

国別国連専門家（1975年）

1. イギリス	1,490	7. カナダ	318	12. イタリア	248
2. アメリカ	1,360	8. スウェーデン	275	14. エジプト	240
3. フランス	1,130	9. ベルギー	270	15. 日本	151
4. インド	537	9. オーストラリア	270	15. ユーゴスラビア	151
5. ドイツ連邦共和国	376	11. チリ	257	(以下省略)	
6. オランダ	343	12. アルゼンチン	248	計	10,698 人

Ⅳ. 財 政

UNDP事業の財政資金は二つの方法でまかなわれる。一つは受益国政府が負担する分、(平均してUNDPの援助するプロジェクトの50%以上)これは、主に、プロジェクト現地スタッフの給与、建物の建築費、維持費、現地購入機材費などに充当される。

第2に、ほとんどすべての国連加盟国からのUNDP本部への自発的な拠出金(voluntary contribution)による。

1959年以來の累計は36億9,600万ドル

1976年は約4億5,400万ドル(139カ国より)と予想される。

これ以外に5カ国からLDC向特別拠出金として690万ドルの追加拠出誓約がなされている。

下記のUNDP関連事業も各国政府からの別途、拠出金により運営されている。

資本開発基金(the Capital Development Fund)

国連人口活動基金(the United Nations Fund for Population Activities)

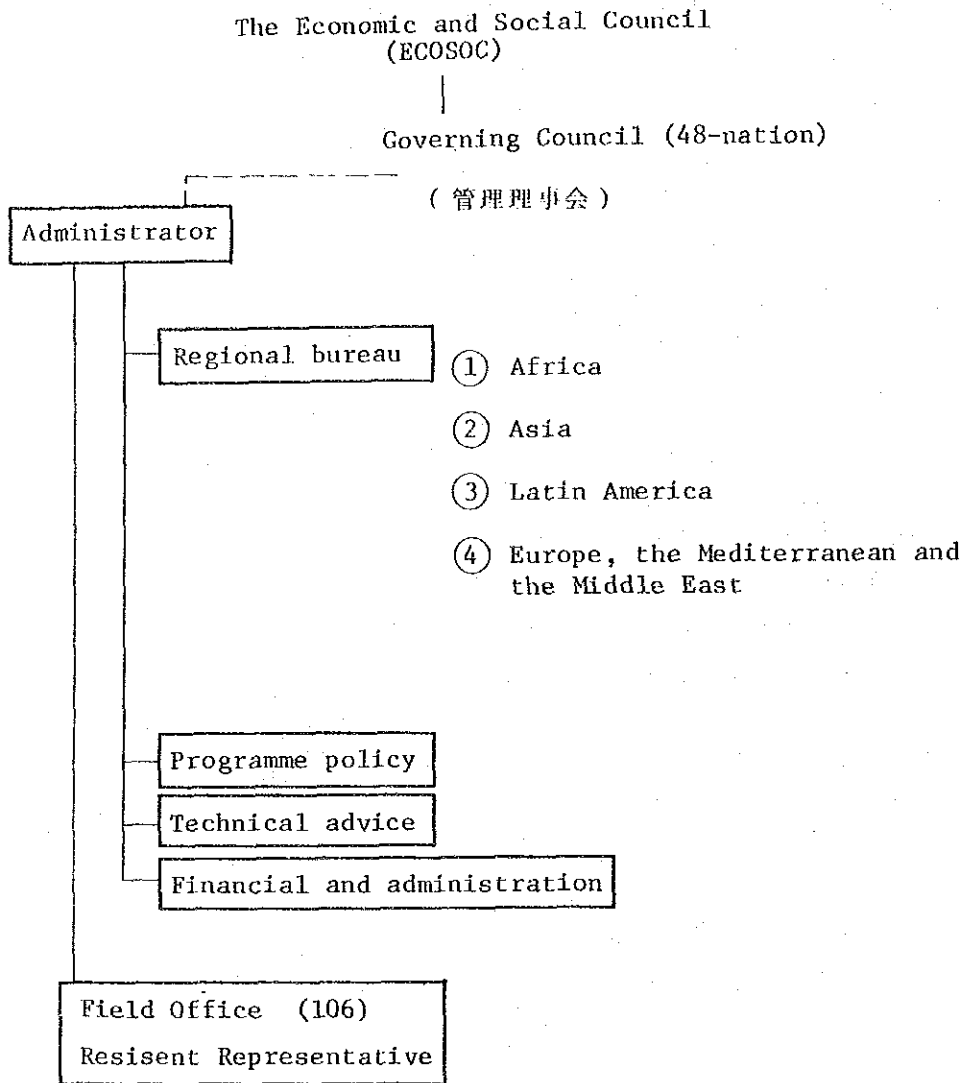
天然資源開発回転資金(the Revolving Fund for Natural Resources Exploration)

国連ボランティア資金(the United Nations Volunteers)

UNDPの自発出拠出金

1. アメリカ	99.7	7. イギリス	25.9
2. スウェーデン	54.7	8. ノルウェー	22.6
3. オランダ	44.9	9. 日 本	21.0
4. デンマーク	39.0	10. ベルギー	10.1
5. ドイツ連邦共和国	30.4	11. フランス	10.0
6. カナダ	29.3	(以下省略)	
		計	454.4

V 組織、機構



個別プロジェクト要請書の事例

(Project Document の項目)

Cover: Title, number, duration, sector, sub-sector Government
Cooperating Agency, Executing Agency date of submission,
starting date Government Contribution, UNDP Contribution

Approved : _____ Date : _____
on behalf of the Government
_____ Date : _____
on behalf of Executing Agency
_____ Date : _____
on behalf of UNDP

- I. Background and Supporting Information
 - A. Justification for the project
 - B. Institutional Framework
 - C. Provisions for Government follow-up
 - D. Other related activities
 - E. Future UNDP Assistance
- II. Objectives of the Project
 - A. Long-range objectives
 - B. Immediate objectives
- III. Work Plan
 - A. Description of Project activities
 - 1. Introduction
 - 2. General nature of the services
 - 3. Study definition
 - 4. Scope of Work
 - B. Timing of Project Activities
 - C. Description of UNDP Inputs
 - D. Description of Government Inputs

SUMMARY OF CHAPTER VI
UNDP OPERATIONAL & FINANCIAL MANUAL (OPM)
PROJECT MONITORING, REVIEW & REPORTING

January 1974

AGENCY PRE-IMPLEMENTATION REPORT

1. When a project has been approved by the Governing Council, Administrator or Resident Representative, but is not yet operational, a preliminary phase of monitoring, review and reporting commences. After end of each three month interval after the date of approval of a project until implementation begins, the Agency is required to report on the following:

- a) reasons for the delay in commencing project operation;
- b) preparatory activities underway;
- c) measures being, or that should be, undertaken to expedite implementation; and
- d) recent developments of relevance.

The Agency is required to submit the appropriate number of copies (1 Resident Representative, 2 UNDP Headquarters) by the 15th of the month following the end of the reporting period. (See Annex I as sample of the required content of the report.)

PROJECT PROGRESS REPORT (PPR)

2. This report, scheduled six-monthly intervals for projects of twelve months duration or more, or at mid-point for one of less than twelve months, is primarily the responsibility of the Project Manager Expert and is structured to provide a factual account of the progress of project implementation, and an identification and analysis of major problems and achievements. The report includes a one-page summary, a general account of project activities - including, in the case of projects with investment potential, an account of any investment activities - an analysis of project status at the end of the reporting period, and information on project personnel serving on the project during the reporting period, fellowships, equipment, reports and training courses.

(Sample of the report attached; only those sections which are appropriate need to be completed.)

3. If the PPR is to be used in conjunction with a tripartite review (to be discussed in the following section), the Project Manager/Expert is expected to submit his report thirty days prior to the commencement of the review.

TRIPARTITE REVIEWS

4. The tripartite review is to be undertaken by the three parties signatory to the Project Document: the Government, the Executing Agency and UNDP. This review constitutes an institutional framework which should not be excessively formalized. As a joint endeavour, it aims to verify the status and progress of the project, identify opportunities for improving its efficiency and effectiveness, or problems hindering them, and to agree on consequential action that can be taken locally or recommended to other levels of the party or parties concerned. It should provide an opportunity to the Project Manager/Expert to obtain action - by direct decision or through recommendation, depending on the competences involved - on those difficulties beyond his control (see Annex II as a sample of the required content of the report).

5. The frequency of each tripartite review, normally at least once annually, will depend on the circumstances in each case depending on size, complexity, previous findings, etc.

6. The Resident Representative will initiate the proceedings for the tripartite review by inviting the appropriate Government official to convene and preside over the review, which is preferably held on the project site. Officials of the Government should include, where feasible, a representative from the formally designated Government Co-ordinating Authority, the national director or

co-manager or other senior official of the co-operating agency and, where desirable, a representative of the co-ordinating committee. Other participants will include the Project Manager/Expert, the Country Representative of the Executing Agency where one exists, and the Resident Representative or a designated UNDP staff member. At least one month's notice of the Tripartite Review must be given to all parties concerned and, at that time, a copy of the Project Manager's/Expert's PPR must be presented along with any other relevant data (financial, statistical, etc.).

7. The Tripartite Review usually differs in purpose and scope from meetings of co-ordinating or advisory committees that are built into the organisation of many projects. For example, representation on the two organs would differ, and the Tripartite Review would be expected to examine in detail such elements as design, objectives, results, etc.

8. Within fifteen days of completing the Tripartite Review, the Resident Representative prepares and transmits copies of the Tripartite Review Report (TRR) to the Project Manager/Expert, Government, Agency, and UNDP Headquarters. All parties are free to append to the TRR their own comments. Along with the TRR, the Resident Representative transmits to UNDP Headquarters copies of the Project Manager's/Expert's PPR and any supplementary information which is relevant.

AGENCY TERMINAL REPORT (ATR)

9. When UNDP assistance to a project is nearing an end, the Executing Agency prepares a terminal report, recording in a concise and definitive manner, (a) the principal findings and results achieved by the project, and (b) the recommendations arising from the findings and results. As an analytical report, the project's

work is assessed rather than described in detail, and the recommendations are presented in terms of their application to the country's economy, in the context of development priorities. Although background material is kept to the minimum, in those cases where the terminal report is the only report produced by the project, the document may incorporate sufficiently detailed information and analysis to explain and support findings, results and recommendations (See Annex III as a sample of the required context of the report).

10. Timing and handling of the ATR will depend on whether the UNDP contribution is less than or exceed US\$100,000. The ATR is submitted as a restricted document; where wider circulation is deemed desirable, the transmittal letter should so indicate, requesting Government's permission to de-restrict. The Resident Representative is responsible for follow-up with Government on de-restriction of the ATR.

a) Projects in which the UNDP contribution exceeds US\$100,000

11. In such cases the draft ATR is normally prepared by the Project Manager/Expert four months prior to completion of the Project and is submitted to the appropriate Agency Headquarters and to the Resident Representative. Upon receipt and study of the draft ATR, the Resident Representative prepares a brief Terminal Assessment Report (TAR) providing a personal assessment of the project's work, with emphasis upon the degree to which the project succeeded or failed to meet its objectives, the utilization of results, and the extent to which the proposed recommendations are relevant to the development objectives concerned and likely to contribute to their achievement. He is not expected to undertake an evaluation of the project's technical findings. Three months prior to project completion, the TAR is sent to the

Headquarters of the Agency to allow time for consideration in the preparation of the final version of ATR, which ought to be submitted to the UNDP Headquarters one month before the project comes to an end. At that time, the Agency designates the officials and Government bureaus which ought to receive copies of the reports. Within one month after receipt, UNDP officially transmits it to the Government.

b) Projects in which UNDP assistance is less than US\$100,000

12. In these cases, six weeks prior to the completion of the Project, the Project Manager/Expert prepares the draft ATR which is forwarded to the Agency and copied to the Resident Representative. Within two weeks of receipt of the draft ATR, the Resident Representative may offer comments and suggestions to the Agency for consideration in finalising the report. As soon as possible thereafter, the ATR is sent to the Resident Representative for submission to the Government information copies simultaneously going to UNDP Headquarters.

AGENCY TECHNICAL REPORTS AND INVESTMENT POTENTIAL REPORTS

13. During their implementation, certain projects generate important scientific, economic, social and financial information. For some projects, obtaining this information is the main purpose of the project, as in the case of investment potential projects. For other it is an important by-product. It is therefore essential that important substantive information arising from project activities be properly compiled and conserved in the form of technical reports.

14. One special type of technical report, namely investment potential, differs somewhat from the standard technical report in

its preparation and distribution. For this reason, investment potential reports are described separately.

TECHNICAL REPORTS

15. Technical reports describe important scientific, economic and social activities carried out and results achieved in the execution of (a) particular project activities, (b) particular phases of a project, or (c) the project as a whole. They also contain where relevant, recommendations for project follow-up. In this context, a technical report is the substantive documentation in support of the principal results and recommendations of the project described in the terminal report.

Identification and Scheduling of Technical Reports in the Project Document

16. The need for a technical report for a project is to be determined and agreed upon by the three parties, preferably during the project's formulation stage. As a general rule, technical reports are needed for most large-scale resources survey and for projects with investment orientation. They are also usually needed for planning projects: human resources development projects and research projects, or those that have an important research component.

17. Once the need for technical report(s) is established, it is the responsibility of the Executing Agency to identify and schedule such reports in the Work Plans and provide for them in the budgets of the Project Documents. Where it is not feasible to do so in the initial Project Document, the Agency is to ensure that this is done at an early stage in project operations and promptly incorporated in the Work Plan of the Project Document.

18. The requirements of certain projects are best met by a single, comprehensive technical report on the project as a whole, which is submitted to the Government at the conclusion of the project. For other projects, technical reports cover specific, clearly defined major activities of the project and are scheduled for delivery immediately after such activities are completed. For still other projects, technical reports cover each specific phase of the project.

Organisation and Preparation of the Technical Report

19. The size and content of each technical report obviously depend on the scope of its subject matter. However, standardisation of the report's format and, to the extent feasible, its organisation are desirable. General guidelines are set out in Annex IV.

20. The technical report is normally drafted by the project team. The Executing Agency is, however, solely responsible for the content, quality, and accuracy of the final version. However, in the case of technical reports submitted by a sub-contractor, responsibility devolves upon the sub-contractor.

21. Where the project, or specific activities in the project, are sub-contracted by the Agency to a consulting firm or organisation, the sub-contractor prepares the requisite technical report(s). In its contract with the sub-contractor, the Executing Agency stipulates its reporting requirements. It should ensure that the arrangements agreed upon are in keeping with its policies and procedures for preparing technical reports. Where a specific part of a project is sub-contracted to an organisation within the UN family, the Agency arranges for that organisation to prepare technical reports falling within its competence.

22. Technical reports are not subject to formal clearance by UNDP. However, UNDP Headquarters and the Resident Representative may request a draft of a particular technical report for information and comment. These reports may also be urgently needed by particular ministries or departments of the Government. To the extent possible, the reports should be accessible to them immediately after they have been drafted. Recipients of the draft technical reports should be informed by the Project Manager/Expert/Sub-contractor that the reports have an unofficial status until they are reviewed by the Agency and formally submitted to the Government.

Formal Submission of Technical Reports to the Government

23. The scheduled date of issuance of each technical report is recorded in the Work Plan of the Project Document. The Executing Agency is to ensure that the interval between submission of the initial draft and submission of the definitive version to the Government is as short as possible.

24. The technical report is submitted formally to the Government by the Agency, through the office of the Resident Representative. The report is accompanied by a letter from the Agency that places the report in the setting of the project and, as appropriate, draws attention to its important findings, conclusions and recommendations. The Agency informs the Resident Representative of any officials and Government bureaus to whom it wishes to have copies of the report sent (for formal transmission or for information purposes only). The Agency sends copies of the report and the transmittal letter to UNDP Headquarters.

INVESTMENT POTENTIAL REPORTS

25. Investment follow-up must be an integral part of the programming process and the formulation, appraisal, implementation and evaluation of projects with investment potential.

26. The Administrator's responsibility for investment follow-up as laid down in paragraph 53 of the Governing Council Consensus requires special collaboration on investment-oriented projects between the UNDP, the Executing Agency and the Government. That collaboration begins with the conception and formulation of the project and may, in many instances, continue after the project has been formally completed. It is maintained at the country level through the office of the Resident Representative.

27. Regular reporting by IBRD, a regional bank or similar financing agency will normally produce investment follow-up data as a matter of course. This section therefore applies exclusively to projects executed by Agencies other than those mentioned above.

28. The procedure for project formulation calls for identification of projects with investment orientation in four categories: investment support (IS), preliminary investment potential (PIP), investment potential (IP), and investment feasibility study. The most important of these are the projects with investment potential (IP). With respect to IP projects, a preliminary analysis of the investment potential may be required during the formulation stage as a precondition to the final formulation of the project itself or as an initial phase in the implementation of the project. The report on such a preliminary analysis is described in paragraph 32 below. Moreover, the approval of IP projects calls for an expression of the Government's intentions and capabilities in respect of possible investment arising from the project. This,

too, may be required during the formulation stage prior to project approval or at some time during the implementation agreed in the Project Document. The Administrator's ability to discharge his responsibilities for investment follow-up is largely dependent upon the effectiveness of the reports called for in this section, as such reports are to be used by potential investors.

Identification of Investment Potential

29. The primary distinction of IP projects from a reporting standpoint is the requirement of a body of information specifically related to the commercial and financial aspects of the project, supported by and in addition to the scientific, economic and social information included in technical reports. The Government needs this specific additional information to assess the national benefits and the priority of the recommendations of the project, to determine its allocations of capital and possibly current budgetary resources to mobilize foreign capital assistance, to attract, when appropriate, foreign and domestic private funds, and to have a basis for negotiating a suitable financial package with third parties in full understanding of the economic and social benefits, financial profitability, cash flow, tax and balance of payments implications among other major aspects of the project. The information also adds to the body of knowledge and experience needed by the UN system and other development organisations.

30. The procedures for investment follow-up in this section relate primarily to the implementation stage of investment potential projects. Activities subsequent to the implementation stage described herein will require additional involvement of the Resident Representative, including keeping UNDP and Agency headquarters informed of investments resulting from past UNDP activities. These must be reported by regular correspondence as soon as they

become known to the Resident Representative and in response to circular requests from UNDP Headquarters.

31. In the course of project monitoring, including the tripartite review described earlier in this paper, other projects, not designated as having investment potential (IP) during their formulation, may be found to have such investment potential. This can particularly be expected to be the case with regard to PIP projects (see paragraph 28 above). In these cases, the tripartite review should result in the insertion into the project of appropriate provisions for investment follow-up, expertise and procedures, including the necessary investment potential reports.

THE INVESTMENT POTENTIAL REPORTS

32. There are two stages at which investment potential reports are to be produced for IP projects. Initially, an Investment Potential Preliminary Analysis Report (IPPA) is required. This report contains a broad assessment of the economic, commercial and financial feasibility of possible project recommendations, based on readily available data such as demographic and market statistics, financial statements, estimated capital and operating costs, and economic and social benefits and costs, and commercial profitability of the expected incremental production of goods or services. The IPPA report is most suitably produced during the preparatory stage of the project, if necessary with preparatory assistance from the UNDP. However, if this has not been done in the preparatory stage, the IPPA report may best be phased in the design of the project itself to be completed at an early stage of project execution in order that its content can influence the orientation of subsequent project activities, bringing them in line with the Investment Follow-up possibilities found to be realistic and eliminating activities found to be without viable issue - in

particular the terms of reference of the IPA report described in paragraph 33 below.

33. The principal direct result of the investment potential element in a project is the Investment Potential Analysis Report (IPA). This report contains, directly or by reference, all necessary information permitting an appraisal of project recommendations by a financial institution. It usually includes the financial plan in which the relevant recommendations are transmitted into monetary terms. The report does not repeat but includes by reference, supporting information contained in technical reports prepared for the project.

34. Once the need for IPPA and IPA reports is determined and agreed upon during project formulation or review, it is the responsibility of the Agency and the Resident Representative to identify and schedule these reports in the Work Plan and provide for their preparation in the UNDP budget of the Project Document. Every effort should be made to ensure that the IPPA and IPA reports are available promptly after the specific project activity or phase of work required for the report has been completed. The IPA report should be produced as soon as adequate commercial and financial information is assembled, without necessarily waiting for the completion of all the technical analysis involved, and therefore may be available before project completion.

Preparation of Investment Potential Reports

35. The initial drafts of IPPA and IPA reports are prepared by project personnel serving in the field. However, as the Executing Agency is responsible for the final version, it should ensure that high professional standards are set and maintained for content, quality and accuracy. Where the project, or the investment follow-

up activities in the project, are sub-contracted by the Executing Agency to a consulting firm or organisation, the sub-contractor is normally responsible for preparing these reports. In its contract with the sub-contractor, the Executing Agency should stipulate its reporting requirements, to ensure that, inter alia, the scheduling formats and review-and-transmittal procedures are in keeping with the procedures for preparing the reports set out in this section. Where a specific part of the project is sub-contracted to an organisation within the UN family, the Executing Agency should, in consultation with UNDP, ascertain that such organization is competent to prepare IPPA and IPA reports, or that satisfactory alternative arrangements are made for producing the reports.

36. The size and content of each investment follow-up report will depend on the subject matter and the specific investment-oriented aspect of activity of the project that the report covers. However, to the extent possible, certain elements in the IPA report will be standardised according to the guidelines set out in Annex IV.

37. Where the Government urgently needs an IPPA or IPA report, the Resident Representative or Project Manager (with the written approval of the Executing Agency and UNDP) may submit a draft of the report to the Government counterpart agency before review and clearance by the Executing Agency and UNDP. In such cases, the recipients should be informed that the reports have an unofficial status until they have been reviewed by the Executing Agency and formally submitted by the UNDP to the Government.

De-Restriction of Investment Follow-up Reports

38. IPPA and IPA reports may be made available by UNDP on a restricted basis to potential investors, with the prior approval of the Government.¹ They will be available to organisations within the UN system on a restricted basis and may also be provided to other parties on a restricted, case-by-case basis, as specified by the Government.

1.

This procedure may be superseded when the Government has signed the new Basic Agreement.

(Suggested format of Agency Pre-Implementation Report)

AGENCY PRE-IMPLEMENTATION REPORT		United Nations Development Programme	
		Project Number	Agency : Reporting Period
Country and Project Title			
Date Project Approved	Duration	Start of Project Implementation	
		As Originally Planned	As Currently Estimated

The Agency Pre-Implementation Report is due for each UNDP-approved project (approved either by the Resident Representative in the field, or by the Administrator, or by the Governing Council) that was not yet under field implementation three months after its scheduled start-up date as specified in the original Project Document. The report is to be repeated every three months until the project becomes operational.

This brief report describes one or more of the following: reasons for delay in project start-up; preparatory activities that may be underway, including the recruitment of a Project Manager designate; measures that are being taken to speed up project implementation; and any recent developments that are relevant to the project. The report should not normally exceed one page.

Two copies of the report are submitted to UNDP and one to the Resident Representative.

Agencies are expected to reproduce this form in the numbers required.

(TITLE PAGE OF AGENCY TERMINAL REPORT)

AGRICULTURAL AND WATER SURVEYS

(Project Number)

T U N I S I A

Project Findings and Recommendations

Report prepared for

the Government of Tunisia

by

the Food and Agriculture Organization of the United Nations

acting as Executing Agency for

the United Nations Development Programme

United Nations Development Programme

the Food and Agriculture Organization of the United Nations

Rome, 1970

A N N E X I I

ORGANISATION AND SUBSTANCE OF THE TRIPARTITE REVIEW

1. The review constitutes an institutional framework, which should not be excessively formalised, for a joint endeavour to verify the status and progress of the project, to identify opportunities for improving its efficiency and effectiveness or problems hindering them, and to agree on consequential action that can be taken locally or recommended to other levels of the party or parties concerned. Its most important normal purpose is to enable the Project Manager/Expert to obtain action - by direct decision or through recommendation, depending on the competences involved - on opportunities and difficulties beyond his own control.

2. The Tripartite Review considers the project under the following broad headings:

- I. Project Activities and Outputs
- II. Prospects of Achieving Project Objectives
- III. Utilization of Project Results (Follow-up)
- IV. Project Design

I. Project Activities and Outputs

3. Review the project activities, and where appropriate sub-activities, and consider whether the implementation of any of these - and therefore the production of the related activity outputs - has been positively or adversely affected to a significant degree by any particular factors either internal or external to the project itself.

4. Should one or more activities be held to have been adversely affected, examine the following:

- (i) nature of the problem;
- (ii) factor(s) causing the problem;
- (iii) corrective action agreed upon; and
- (iv) party or parties proposed to carry out the corrective action.

5. Operational as well as technical (or substantive) problems should be reviewed in this context. Similarly, examine any opportunities arising from positive developments that should be exploited.

II. Prospects of Achieving Project Objectives

6. Review the prospects for achieving the immediate objectives of the project. It will be useful to consider whether each of the stated objectives will be fully or only partially achieved.

7. Consider what the prospects are for the results of the project to be utilised effectively towards the achievement of its long-range objectives. Consider in this context any relevant factors external to the project itself.

III. Utilisation of Project Results (Follow-up)

8. Review the present situation regarding the actual or intended utilisation of project results by the Government. Consider in particular project results to date (adequacy, quality); measures needed to utilise project results effectively (policy, programmatic, administrative and financial measures); and specific follow-up investment actions and requirements, views of Government and other prospective investors on adequacy of investment data being produced and their intentions and progress in ensuring the necessary investment funds.

9. Consider (i) problems identified; (ii) factor(s) causing these problems; (iii) corrective or facilitating action deemed necessary and by whom.

IV. Project Design

10. Consider in the light of all the foregoing whether any of the following design components is deficient to a degree that it significantly and adversely affects the implementation of the project and the achievement of its immediate and long-range objectives:

- (a) definition of long-range objectives;
- (b) definition of immediate objectives;
- (c) project activities;
- (d) UNDP/Agency inputs;
- (e) Government inputs; and
- (f) other.

Should one or more of the above-noted design components be held seriously deficient, examine the nature of the problem and modification(s) needed to correct it and by whom.

A N N E X III

AGENCY TERMINAL REPORT

1. The Agency Terminal Report is a concise summary of project results, findings, conclusions and recommendations directed to the Government. The report should normally not exceed 50 pages (assuming 450 words per page) for projects in which technical reports are prepared. Where the Agency Terminal Report is the only definitive report produced by the project, it should normally not exceed 100 pages.

2. The organisation and content of the terminal report should, to the extent feasible, be structured along the line and in the order indicated below:

Cover page (A specimen of the title page is shown on page 5 of this Annex)

Table of Contents

The Report Proper

- I. Introduction
- II. Findings
- III. Recommendations
- IV. Appendices, as appropriate

3. The following guidelines should be observed when the above four sections are being prepared:

I. Introduction

4. The Introduction summarises the project's origin, relates its objectives to the country's development scheme, and details the arrangements agreed upon by the Government, the Agency and UNDP for its execution. Normally, this section should not require

more than three or four typewritten pages as follows:

- Project background, covering the origin of the project, including conditions which led to the request and a reference to existing facilities and to any conclusions reached by previous missions carried out.
- Outline of official arrangements, giving the dates of authorisation of the project, designation of the Executing agency and counterpart agency, signature of the Project Document, the total Government and UNDP contributions as contained in the latest Project Document, and the starting and completion dates of the project.
- Objectives of the project, defining the major short-term and long-term objectives and relating them to the country's overall development plans. Amendments to the Project Document should be noted, with dates and reasons.

II. Findings¹

5. The main activities of the project are briefly described and the findings, conclusions or results that arose from these activities are explained. This section is essentially a descriptive analysis and assessment of the work done in the project's lifetime. Here the emphasis is chiefly placed upon the project's status at its conclusion. Thus a history of the project is not called for. However, sufficient information should be given to substantiate the findings, and to show that the recommendations in the next section clearly arise from the project's activities and findings. In particular, appropriate references should be made to supporting technical reports, investment follow-up reports, and other principal documents issued by the project.

¹ The word "Findings", as used here, is considered synonymous with "Conclusions" and "Results".

III. Recommendations

6. The recommendations to the Government are the backbone of the report. This section is essentially forward-looking, indicating the main priority tasks that lie ahead. Each of the recommendations is presented separately, with the most important one listed first and the others in descending order of priority.

7. The text of this section provides answers to the following questions as they may apply:

- How are the recommendations related to the Government's overall development priorities and to the country's capacity to implement them? If financial, economic or social constraints appear to impede the implementation of particular recommendations, what alternative courses of action are proposed?
- What investment is needed to implement a proposed programme and what information is of importance for investment decisions? Usually the terminal report summarises the main findings of the technical report(s) and the investment analysis potential report pertaining to a project with investment potential and refers to a Financial Plan if such a document has been called for in the Project Document (see Chapter IV, Annex III).
- What decisions are required by the Government on such matters as legislation, organisational measures, and manpower?
- What administrative framework and administrative skills are needed to carry out the recommendations, and how may present shortcomings in these areas be overcome?

8. In answering the above questions, and in describing the recommendations, the following should also be taken into consideration:

Proposed Development Plans: Where a comprehensive development plan is proposed full reference should be made to supporting documents scheduled in the Work Plan and issued by the project. The major findings and recommendations of these documents should be referred to, especially those that will require important Government input.

Institution-Building Projects: Recommendations arising from institution-building projects should focus on short-term priorities, such as staff development and retention; level of entrance requirements for students; increase or decrease of students enrolment; drop-out problems; follow-up of graduate students; and refresher courses. Estimates should be given of what human and financial resources are required to permit the institution to continue effectively (including both recurring and capital expenditures).

Projects with Investment Potential: Recommendations of such projects should translate the technical and socio-economic findings and alternative proposals, if any, into monetary terms, usually expressed in a financial plan and an analysis of the socio-economic effects and financial returns expected of the investment.

IV. Appendices

9. The following appendices are to be attached to the report, as appropriate:

- List of international and counterpart project staff (name, function, starting and concluding dates of assignment).
- List of fellowships awarded (name, purpose of training,

- course(s) place of study, starting and concluding dates).
- List of major items of equipment provided by UNDP.
 - A summary of abstract of each technical report issued by the project.
 - Bibliography of documents prepared during the project's lifetime.
 - Any essential charts or tables, too long to be included in the text.

(Note: The Project Document is not to be included in the appendices.)

A N N E X I V

GENERAL GUIDELINES ON THE FORMAT AND ORGANISATION OF AGENCY TECHNICAL REPORTS AND INVESTMENT POTENTIAL ANALYSIS (IPA) REPORTS¹

1. The format and organisation of the technical report is structured, to the extent feasible, along the lines indicated below:

Cover and Title Page: Specimen layouts of covers and title pages for projects are shown on pages 4 through 7 of this Annex.

Table of Contents

Introduction: The introduction inter alia:

- states the reasons for and the objectives of the project as a whole. IPA reports in particular should state the investment-oriented immediate objectives. This statement can be virtually a quotation from the Project Document.
- defines the purpose and scope of the special activities on which the report is based in relation to the project. In IPA reports, this definition will effectively state the terms of reference for the investment-oriented activities.
- refers to any previous investigations relevant to the activities being reported. Extensive surveys of related literature are given only when essential to an understanding of the report.

¹ The term "technical report" is used for convenience throughout the Annex to mean either Agency Technical Reports or IPA Reports. Those instances where a reference is made specifically to IPA Reports are so indicated.

The Report Proper: The report consists normally of three parts:

- I. An Abstract or Summary of Findings and Recommendations
- II. Substantive Sections or Chapters.
- III. Appendices, as appropriate.

2. The following guidelines should be observed when the report is being prepared:

I. An Abstract or Summary of Findings and Recommendations

3. This part of the report summarises the findings (or conclusions or results) described in the substantive sections (see below). Where there are also recommendations arising from the findings, these are summaries in concise language. For IPA reports, these recommendations should always be related to the investment-oriented objectives of the project and should be confined to the terms of reference of the specific activities. They should be presented in an organised form and/or order of priority.

4. Where it is the practice of an Agency to produce abstracts of the report, such abstracts may replace the summary.

5. The recommendations, if any, should always be related to the overall objectives of the project but should be confined to the Terms of Reference of the specific activities. Recommendations that call for follow-up action by international or other agencies are not to name UNDP or any specific agency or firm as a potential source of financing. Such recommendations should be confined simply to describing the tasks to be performed.

II. Substantive Sections (or Chapters)

6. The substantive sections (or chapters) of a technical report contain factual accounts of the main activities covered by the report. They should not provide a chronological record of the project's activities, but simply present the technical documentations required for an understanding of the findings and recommendations. The text should concentrate on the work performed outside those activities. A clear distinction should always be drawn between the project's work that formed part of the specific activities and the work that did not. Any conflict between the findings presented in the report and those given in other reports for the same project should be removed or explained.

7. The substantive sections (or chapters) of an IPA report should organize the documentation and analyses following the concepts and sequence of Sectoral Outlines (see "Investment Follow-up Guidelines," OFM, Chapter IV, Annex III/Rev., Addendum I). They should therefore refer to the results of the pre-assessment of the project, usually included in the IPPA report, and contain in-depth analyses and projections of investment data (including country benefits and the assessment of the institutional support).

III. Appendices

8. The following are to be attached to the report, as appropriate:

- charts, graphs, and other illustrative material
- Bibliographies
- List of international and counterpart project staff (name, function starting and concluding dates of assignment)
- Statistical tabulations
- Mathematical calculations
- Reference tables, conversion tables, etc.

- Maps
- Glossaries, lists of definitions, etc.

9. Each Agency is expected to follow its own publication standards and procedures for:

- Disclaimer statements
- Acknowledgements
- Tables of conversion factors
- Glossaries of technical terms
- Tables of abbreviations

10. When a technical report is submitted to UNDP Headquarters, it must be accompanied by a Fact Sheet (a copy of which is reproduced on page 8 of this Annex). For multi-volume reports, only one Fact Sheet is needed. In addition to the restricted distribution on the Fact Sheet, any prospective investors to whom an IPA report has been distributed should be listed.

SPECIMEN OF
AGENCY TECHNICAL REPORT COVER

TUN 68 004

Technical Report 1

AGRICULTURAL AND WATER SURVEYS

TUNISIA

SOIL SURVEYS IN THE EASTERN REGION

UNITED NATIONS DEVELOPMENT PROGRAMME

(UNDP Seal) FOOD AND AGRICULTURE ORGANISATION
OF THE UNITED NATIONS - Rome 1970

(Agency Seal)

SPECIMEN OF
SUB-CONTRACTOR'S TECHNICAL REPORT COVER

TUN-68-004
Technical Report 2

AGRICULTURAL AND WATER SURVEYS

T U N I S I A

TIDAL LAND RECLAMATION

NEDECO

The Hague, 1970

SPECIMEN OF

AGENCY TECHNICAL REPORT TITLE PAGE

TUN-68-004

Technical Report 1

AGRICULTURAL AND WATER SURVEYS

T U N I S I A

SOIL SURVEYS IN THE EASTERN REGION

Report prepared for
the Government of Tunisia

by

the Food and Agriculture Organisation of the United Nations
acting as Executing Agency for
the United Nations Development Programme

UNITED NATIONS DEVELOPMENT PROGRAMME
FOOD AND AGRICULTURE ORGANISATION OF THE UNITED NATIONS

Rome, 1970

SPECIMEN OF

SUB-CONTRACTOR'S TECHNICAL REPORT TITLE PAGE

TUN-68-004

Technical Report 2

AGRICULTURAL AND WATER SURVEYS

T U N I S I A

TIDAL LAND RECLAMATION

Report Prepared for
The Food and Agriculture Organisation of the United Nations
(acting as Executing Agency for
the United Nations Development Programme)

by
NEDECO

NEDECO
The Hague, 1970

Project of the Government of

LESOTHO

Title: Airport Feasibility Study

Number: LES/73/022

Duration: 10 months

Sector: Transport and Communications

Sub-sector: Transport by Air

Government Cooperating Agency: Ministry of Works and
Communications

Executing Agency: International Civil Aviation Organization (ICAO)

Date of Submission:

Starting Date: 1 August 1973

Government Contribution: R 2,000

UNDP Contribution: US\$50,500

Approved: _____
on behalf of the Government

Date: _____

Date: _____

on behalf of Executing Agency

Date: _____

on behalf of UNDP

I. BACKGROUND AND SUPPORTING INFORMATION

A. Justification for the project

1. Lesotho, being landlocked, the importance of regular and dependable civil air transport in its communications with the rest of the world cannot be overemphasized. The existing Maseru-Leabua Jonathan Airport which is open to international air traffic, is unfavourably located on a short and narrow plateau with limited approaches and as such, is presently unable to accommodate other than light aircraft types.
2. Recognizing the need for an international airport capable of accommodating at least medium range aircraft types, the Government requested from UNDP in December 1971 assistance in the form of short-term expertise to advise it on matters related to the development of the existing aerodrome if practicable to do so, or if not, the selection of a suitable site for a new aerodrome and to assist it in establishing detailed terms of reference for an airport feasibility study to be undertaken subsequently.
3. In response to the Government's request, ICAO assigned an aerodrome engineer under the UNDP/ICAO Inter-Regional Programme, who visited Lesotho for a 5-week period during the last quarter of 1972. This mission revealed that the existing Maseru-Leabua Jonathan Airport could not, even with major expenditures, be improved and upgraded so as to meet the safety and other operational requirements of the international air traffic envisaged and consequently, site selection and evaluation work for a new international airport was essential.

4. Studies and terrain surveys of six prospective sites were therefore carried out by the ICAO Aerodrome Engineer, following which he proposed three in the following order of preference for Government decision:

- (1) Thota-ea-Moli (formerly Mazenod) area,
- (2) Leribe area,
- (3) Tsakholo area.

The Engineer also recommended detailed terms of reference for the envisaged Airport Feasibility Study.

5. In February 1973, the Government, in keeping with the recommendations of the ICAO Aerodrom Engineer, informed ICAO of its approval of "Thota-ea-Moli" as the site for the new international airport and of its agreement with the terms of reference recommended for the Airport Feasibility Study.

6. The terms of reference for the Airport Feasibility Study are given in Section III. WORK PLAN.

7. It is understood that the study will require to be entrusted to a consultant firm specializing in such fields of activity, to ensure the ready availability of diverse expertise and other technical support essential to its successful and timely completion.

B. Institutional Framework

1. The Government co-operating agency for this project is the Ministry of Works and Communications.

C. Provisions for Government follow-up

1. On the basis of the outcome of the Airport Feasibility Study, the Government intends to institute in timely

fashion, all necessary measures related to the construction and development of a new international airport.

D. Other related activities

Not applicable.

E. Future UNDP assistance

1. The Government will consult with the UNDP in due course regarding its possible future need for assistance in supervising the construction of the new airport and thereafter, in ensuring its efficient operation and management, as well as in the training of national counterpart staff.

II. OBJECTIVES OF THE PROJECT

This project has been included in the UNDP Country Programme Document which was approved by the Governing Council at its January 1972 Session.

A. Long-range objectives

The construction of a new international airport, in accordance with the findings of the feasibility study under this project, is expected to have a positive effect on the Country's economy, in view of its unique role in the development of its external communications in general and its commercial and touristic activities in particular.

B. Immediate objectives

The immediate objectives of this project are to provide the Government with the necessary advice and guidance in determining

the economic and technical feasibility of a new international airport with the necessary preliminary master plans for its development, through the use of a consultant firm to be engaged for the purpose by the Executing Agency in consultation with the Government. It is to be noted that this project has a substantial investment potential.

III. WORK PLAN

A. Description of project activities: The Airport Feasibility Study will be carried out in accordance with the following Terms of Reference:

1. Introduction

- 1.1 Owing to the fact that the existing Maseru-Leabua Jonathan Airport is unfavourably located on a short and narrow plateau with limited approaches, the Government of Lesotho is interested to study possibilities of providing the Country with a new airport capable of accommodating, at least, medium-range aircraft types.
- 1.2 The present aerodrome does not satisfy the operational requirements, since it only is capable of serving light aircraft. It has also been determined that Leabua Airport cannot, even with major expenditures, be improved and upgraded so as to secure safe operation of aircraft such as, for instance, B-727 and similar types.
- 1.3 Notwithstanding the present low international traffic density of Maseru Airport, the new aerodrome project is considered justified from the point of view of the limited operational safety of the existing airport and in the light of the traffic growth expected during the next 15 to 20 years.

2. General nature of the services

- 2.1 The study shall be made in an efficient and diligent manner by a Consultant who shall furnish all the personnel, services, facilities, equipment, materials and supplies required for the work, and perform all the necessary functions of carrying out and completing the study in accordance with the provisions set forth hereunder and with those which will be specified in the contract document.
- 2.2 The Consultant undertaking the study must be specialized in such fields of activity as will ensure the ready availability of the diverse expertise and other technical support essential to the successful and timely completion of the work.
- 2.3 Demographic, economic, climatological, touristic, aircraft movements and other basic data as well as statistics, reports, plans related to the various aspects, will be furnished by the Government to the extent that this information is readily available.

3. Study definition

- 3.1 The purpose of the study is to analyze the operational, technical and economic aspects related to the project of providing Maseru with an all-weather airport capable of serving the traffic on a 24-hour basis and meeting the requirements of aircraft types which operate or it is anticipated will operate along the international routes within the region. In the studies, special attention shall be given to the trends in both domestic and international traffic; to the development and possibilities of general aviation in Lesotho and to the economic conditions of the country.

3.2 The Consultant selected to undertake the study will be expected to carry it out in three successive phases as follows:

Phase No. 1: Studies regarding aeronautical demand,

Phase No. 2: Preparation of a preliminary Master Plan for the new aerodrom,

Phase No. 3: Preparation of plans for a passenger terminal building.

On completion of each phase, a separate report will be prepared by the Consultant and distributed without delay as follows:

Ministry of Works and Communications	5
UNDP Resident Representative, Lesotho	3
International Civil Aviation Organization(ICA0)	5

3.2.1 Phase No. 1 - Aeronautical demand: This phase should be carried out in the following manner:

- a) The Consultant will arrange for a member(s) of his staff to visit Lesotho at the outset of the study to collect the necessary data and carry out complementary investigations associated therewith.
- b) A detailed analysis of the collected data will be made at the premises of the Consultant with the object of formulating detailed conclusions and specifications needed for the staged development of the new aerodrome.
- c) For details of work to be undertaken, see para. 4.2.

3.2.2 Phase No. 2 - Preparation of preliminary Master Plan
for the new aerodrome

- a) The Consultant will, by analyzing all essential data and information material related to the selected area in the light of the guidance obtained from the aeronautical demand study results, evaluate the operational aspects of the new aerodrome and prepare a Master Plan with relevant drawings and cost estimates in relation thereto.
- b) The plans will be required to provide the most efficient and flexible integration of the space determined by the natural, technical and economic limitations of the available site. They should provide for the harmonious development of the various components and for the flexibility for such development. They should also ensure, as far as practicable, that all components have mutually coherent capacities in the proposed construction phases.
- c) The plans and drawings will require to be accompanied by a written report explaining and substantiating the proposed layouts and arrangements in respect of each of the development phases. The report should stress the operational, technical and economic aspects and, in particular, it should indicate the cost involved in each development phase.
- d) For details of work to be undertaken, see para. 4.3.

3.2.3 Phase No. 3 - Plans for the Passenger Terminal Building

- a) The plans should be developed as a coherent whole designed to achieve the most efficient utilization of the building space available and to provide for

for the harmonious and staged development of the various elements. It should also ensure, as far as practicable, that all the functional elements will have mutually coherent capacities and be in harmony with the aerodrome staged development. Furthermore, the plans should be designed with due regard given to security considerations.

- b) The plans and drawings will be accompanied by a written report explaining and substantiating alternative arrangements proposed and how each has been arrived at in function of the nature, flow and volume of the traffic foreseen. The report should stress the operational, technical and economic aspects and, in particular, should indicate the relative costs and benefits of each arrangement offered.
- c) For details of work to be undertaken, see para. 4.4.

4. Scope of Work

4.1 The work expected to be performed by the Consultant shall include, but not necessarily be limited to, that set forth in this section. The Consultant shall undertake, if necessary, such additional work (even if not included in the following list) which is essential for completion of the study so as to fully meet all professional standards.

4.2 Aeronautical demand (Phase I): With the purpose of estimating the future aeronautical demand, the Consultant will be expected to:

- i) Analyze and specify the influence area(s) of the new aerodrome,
- ii) Analyze the population data of the influence areas over available periods in the past and project the trend over a period of the next 15 to 20 years,

- iii) Analyze the economic development of the zone and the adjacent influence area(s) with special attention given to their productivity, commercial and industrial characteristics and tourist activity.
- iv) Analyze the domestic and international air traffic over available periods including:
 - a) Aircraft Operations
 - annual number of aircraft operations.
 - b) Passenger Traffic
 - annual volumes of enplaning and deplaning passengers,
 - origin and destination of passengers, and
 - number of passengers in peak months and peak weeks and, if possible, in peak hours.
 - c) Cargo traffic
 - incoming and outgoing freight, express and mail.
 - d) General aviation activity
 - business flights,
 - tourists flights,
 - ambulance flights,
 - training flights, etc.
- v) Analyze the air services in the past and present including:
 - a) The air transport and national development relationship,
 - b) The relationship between the air transport and other transportation means within the region.
 - c) Domestic and international air routes with due consideration given to the principle of "Supply

and demand" as well as to possible international operations.

- vi) Project and forecast the development and trend of all above air services over a period of the next 15 to 20 years.
- vii) Estimate on basis of the forecasts:
 - a) Types of aircraft which will use the new aerodrome during various periods in the future, and
 - b) The longest non-stop flight(s) from Lesotho to destination airport(s).
 - c) The overall dimensions of the main elements in the terminal building during various periods in the future.
- viii) Establish, on basis of the future demand, recommendations and specifications for the new airport, including:
 - Length and strength of the runways required,
 - Configuration and dimensions of the taxiway network as well as strength required for the taxiways,
 - Apron sizes and apron strength required,
 - Size of passenger terminal, cargo, maintenance and general aviation areas,
 - Requirements for terminal buildings, crashfire and rescue areas, utilities installations, fuel storages, car parking areas, service and other internal roads, radio navigational aids, air space requirements within and in the vicinity of the airport, miscellaneous facilities and services, and step-by-step construction phases.

4.3 Preliminary Master Plan for the new airport (Phase II):

With regard to the preparation of plans and drawings, as well as cost estimates for works and installations encompassed within the airport development project, the Consultant shall:

- i) Collect all data and information pertinent to the the preparation of a preliminary Master Plan and design for the new airport including:
 - a) Parts I through III of the Report by Mr. B.M. Hellman, ICAO Aerodrome Engineer, dated November 1972, concerning the existing aerodrome and site for the new airport;
 - b) "Airfield Survey" (Report prepared by Ministry of Works, Roads Department, Bernard VRBA & Associates, in March 1968);
 - c) Climatological data and information related to the new airport site, such as:
 - additional wind records,
 - records revealing rainfall and cloudiness,
 - records revealing visibility conditions (fog, dust, etc.),
 - d) Topographic maps,
 - e) Terrain and soil survey results,
 - f) Characteristics of the surrounding terrain topography,
 - g) Existing roads and proposed road projects in the area.
- ii) Carry out complementary surveys as necessary to complete the information listed in (i) above. In this respect, special attention shall be given to

aspects (i) c), (i) d) and (i) e).

Note:- As far as complementary soil surveys are concerned, the above should not necessarily be constructed to mean that soil samples should be taken from the grade level rather it underlines the necessity of complementary surveys required to ensure correct pavement design.

- iii) Analyze and evaluate all relevant data with a view to determining, inter-alia, the:
- a) most favourable location and orientation of the new airport within the selected area;
 - b) most favourable landing area configuration for the new airport;
 - c) influence of the surrounding terrain topography upon the operational safety of the new airport;
 - d) influence, restrictions and ecological effect that the new airport might have upon the surrounding and/or nearby populated areas;
 - e) accessibility from the centre of confluence of the travelling population to the airport;
 - f) additional areas needed for future expansion(s) of the airport;
 - g) availability and proximity of potable water and electricity;
 - h) problems related to drainage;
 - i) problems related to grading and paving works.

- iv) Prepare preliminary Master Plan for the new airport, including:
- a) the most recommendable runway configuration;
 - b) the necessary taxiway network;
 - c) the location and size of:
passenger, cargo, general aviation and maintenance aprons;
 - d) the location:
Terminal building and control tower,
Fire and rescue station,
Other essential buildings and facilities;
Car parking area(s),
Access roads, service roads and other internal roads;
 - e) the approach and take-off areas (with relevant surfaces) related to the runway(s);
 - f) the horizontal, transitional and conical surfaces related to the landing area configuration;
 - g) the preliminary grading and drainage plans;
 - h) the preliminary pavement structures applicable to different portions of the movement area;
 - i) the day markings of runway(s), taxiways and apron areas;
 - j) the lighting of runway(s), approach areas, taxiways, aprons and obstructions;
 - k) all other necessary and recommendable lightings such as VASIS, etc.;
 - l) the required navigational aids and main communication facilities;

- m) the preliminary plans for potable water, electricity and sewage disposal systems as well as for fuel storage installations.

Note:- The preliminary Master Plan should be made so as to fully meet the standards and recommendations of ICAO Annex 14 (Aerodromes) and relevant ICAO Aerodrome Manuals.

- v) Prepare specifications for all design aspects.
- vi) Investigate the sources and availability as well as quality of materials needed for construction.
- vii) Prepare cost estimates for all construction and installation work entailed.

Note:- To facilitate financing arrangements, the cost estimates must show local and foreign cost components for each work and material item.

- viii) Investigate the availability of local manpower, construction equipment and technical and supervisory personnel.
- ix) Prepare project execution plan, including:
 - a) Plan showing the general sequence of construction operations,
 - b) Plan showing grading operations,
 - c) Programme for different construction stages,
 - d) Recommendations regarding supervision of the construction project(s).

4.4 Plans for the Passenger Terminal Building (Phase III)

4.4.1 With the object of providing guidance for passenger terminal development, the Consultant shall prepare plans for a passenger terminal building. Such plans shall be drawn to an appropriate scale and shall, inter-alia, show in terms of the optimum passenger and baggage flow the following:

- i) The number, location and overall dimensions of the following main elements:
 - a) Entrances and exits,
 - b) Main halls and waiting areas,
 - c) Passenger flow corridors and stairways,
 - d) Airline check-in and control areas,
 - e) Baggage handling flow and reclaim areas,
 - f) Immigration, customs and health control areas.
- ii) The location and overall dimensions for an air traffic control tower (as an integral part of the building, if it is desirable technically, operationally and economically to so locate the tower).
- iii) The areas for the placement of each of the secondary elements to be provided for: VIP lounge, restaurants, bars, shops, currency exchange office, post office, insurance, information counter(s), restrooms, toilets, administrative and commercial offices, etc.
- iv) The general arrangement of the outside areas associated functionally with the building.
- v) The staged development of the building consistent with the projected increase in traffic.

4.4.2 Generally, the Plan should encompass all principal elements necessary for subsequent architectural studies to be undertaken without inhibiting them in any way.

4.4.3 The Plan will not encompass such matters as water and electricity distribution systems, drainage, powerplants for heating, hot water, air conditioning and associated systems, fire detection systems, telephones, public address systems, mechanical and electrical equipment for passengers, baggage and cargo transport.

B. Timing of Project Activities

1. The project activities are expected to commence within three months from the date of the project's approval by UNDP.

2. It is estimated that the time required for the execution of each phase of the Airport Feasibility Study, including completion of the requisite report thereon will be of the following order:

<u>Phase I</u>	-	3 months
<u>Phase II</u>	-	4 months
<u>Phase III</u>	-	3 months

3. For the purposes of the Bar Chart attached to this WORK PLAN, the commencement date of the project has been assumed to be 1 August 1973.

C. Description of UNDP Inputs

1. Assignment of International Staff

Not applicable.

2. Provision of subcontractual services

2.1 The Airport Feasibility Study, which is the main objective of this project, will be subcontracted to a consultant firm with proven ability and competence in such studies. The consultant firm for the study work will be selected as follows:

- a) ICAO, in consultation with the Government, will establish an approved list of consultant firms considered to be suitably qualified to undertake the study.
- b) ICAO will invite each of the consultant firms on the approved list to submit bids for the study in sealed envelopes by a specified date. All bids received will be duly considered and the final selection of a consultant firm made by ICAO's Contractor's Board. The Government will be informed forthwith of the Board's decision.

2.2 The Consultant firm will carry out the Airport Feasibility Study in accordance with the terms of reference given in "A - Description of project activities" above. Other details of the work entailed will be prescribed in the formal contract to be entered into between ICAO and the selected consultant firm.

3. Training Provisions

Not applicable.

4. UNDP-provided supplies and equipment

Not applicable.

D. Description of Government Inputs

1. Prerequisites

Not applicable.

2. Assignment of National Staff

- 2.1 The Government will endeavour to provide any necessary technical and administrative support personnel during the execution of the field work related to the Study.

3. Government-provided Buildings, Supplies and Equipment

- 3.1 The Government will provide to the extent that is available, necessary equipment, supplies and transportation for the execution of the field work related to the Study.

WORK PLAN - BAR CHART

	1973	1974
- Phase I of Study	J F M A M J J A S O N D	J F M A M J J A S O N D
	(3 mos.)	
- Phase II of Study		(4 mos.)
- Phase III of Study		(3 mos.)
- Total Duration/Study		(10 mos.)

