Guidelines for the
United Nations Trust Fund for Human Security

Seventh Revision[1]
9 November 2012

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[1] This sets out the revised Guidelines for the United Nations Trust Fund for Human Security, effective as of 9 November 2012. The sixth revision which became effective on 17 June 2011 is hereby superseded and cancelled.

I. INTRODUCTION

The 2005 World Summit and the decision by the General Assembly to further define the notion of human security have been critical in raising awareness and interest in the concept of human security. In paragraph 143 of the 2005 World Summit Outcome, the Heads of State and Government recognized that "all individuals, in particular vulnerable people, are entitled to freedom from fear and freedom from want, with an equal opportunity to enjoy all their rights and fully develop their human potential".

On 10 September 2012, at the 127th plenary meeting of the sixty-sixth session of the General Assembly, the Assembly adopted by consensus the resolution "Follow up to paragraph 143 on human security of the 2005 World Summit Outcome" (A/66/290) in which Member States agreed on a common understanding on human security. This agreement on a common understanding opens opportunities by which the application of human security can be integrated within the different pillars of the United Nations.

II. OBJECTIVE OF THE UNITED NATIONS TRUST FUND FOR HUMAN SECURITY

The objective of the United Nations Trust Fund for Human Security (UNTFHS) is to finance activities carried out by UN organisation(s) and/or designated non-UN organisation(s)[2], which translate the human security concept into practical actions, in particular those at the field level, to demonstrate its added-value in view of promoting and disseminating the concept.

III. PROJECTS TO BE SUPPORTED BY THE UNTFHS

a) Operational projects which apply the human security concept and advance its operational impact by meeting criteria specified in section IV.1. and 3.

b) Projects aiming to promote and disseminate the human security concept which meet criteria specified in section IV.2. and 3.

IV. KEY FUNDING CRITERIA

1. In developing operational projects, applying organisations are requested to utilise the tools provided in the Human Security Handbook[3] and meet the following criteria:
a) Providing concrete and sustainable benefits to vulnerable people and communities threatened in their survival, livelihood and dignity.
b) Implementing the "Protection and Empowerment" framework by comprehensively including both top-down protection and bottom-up empowerment measures.
c) Promoting partnerships with civil society groups, NGOs, and other local entities and

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[2] 'UN organisations' means organisations which are bound by UN financial rules and regulations. Those organisations which have the capacity to coordinate and mobilize personnel, financial and other relevant resources for operating a field-based project are considered to be the main applicants. Other UN organisations should demonstrate that their proposed project meets the above key funding criteria of the Guidelines. On an exceptional basis and when appropriate, the Secretary-General may also designate non-UN organisations as potential recipients for funding under the UNTFHS.

[3] http://www.unocha.org/humansecurity/resources/publications-and-products/human-security-tools

encouraging implementation by these entities.

d) Advancing multi-sectoral integrated approaches that take into account the people-centered, comprehensive, context-specific and prevention-oriented aspects of the human security concept.
e) Promoting, to the extent possible and necessary, inter-agency cooperation based on the comparative advantage of the applying organisations so as to advance the operational impact of the project.
f) Concentrating on those areas of human insecurity that are currently neglected and avoiding duplication with existing programmes and activities.
g) Having a pilot and innovative nature which could be replicated in other regions or countries through other sources of funding.
h) Including a component designated specifically for the dissemination of the concept of human security.

Examples of situations to be addressed from the human security perspective utilizing the tools provided in the Human Security Handbook and the parameters outlined above. This list is indicative and not exhaustive.

a) Protecting and empowering vulnerable people including women, children and disabled who are exposed to physical violence, discrimination, exclusion and whose situation derives from inequalities in treatment.
b) Protecting and empowering refugees, internally displaced persons (IDPs), economic migrants and others on the move. Particular attention should be given to the socioeconomic impact on the displaced and their host communities.
c) Protecting and empowering people in conflict and post-conflict peace-building situations through the integration of humanitarian and development assistance; disarmament, demobilization and reintegration (DDR); reconciliation and coexistence; and other processes. These activities shall also contribute to preventing the recurrence of conflicts.
d) Realizing minimum living standards, including assisting community-level efforts to establish mechanisms to protect people exposed to extreme poverty, sudden economic downturns and natural disasters.
e) Addressing the interconnected needs of health, education and income generating activities of vulnerable groups.

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2. In developing projects aiming to promote and disseminate the human security concept, applying organisations are requested to meet at least one of the following criteria.

a) Promoting and facilitating the application of the human security concept through:
    i) Strengthening outreach to non-intergovernmental international fora; or
    ii) Enhancing cooperation with regional organisations; or
    iii) Improving collaboration with civil society and non-governmental actors.

Such projects may enhance the capacity of these entities to formulate and implement human security projects.
b) Contributing to the formulation of concrete and action-oriented initiatives to address specific human security challenges.

3. The UNTFHS will not consider applications:

a) Requesting funds to fill a funding gap for initiatives which do not apply the human security concept.
b) Requesting funds for initiatives that can be financed by other funding sources (e.g., HIV/AIDS focused activities that could be financed by the Global Fund to Fight AIDS, Tuberculosis and Malaria).
c) Requesting funds for stand-alone research and data collection.
d) Requesting funds for emergency assistance that does not ensure self-sustainability at the community-level.
e) Where a substantial part of the budget covers official/UN staff travel and/or conference services.
f) Where a substantial part of the budget covers institutional recurrent costs and/or personnel costs.
g) Requesting funds to cover costs of large-scale infrastructure projects (construction of small infrastructure may be funded if the people being targeted carry out the construction work and the expenses for construction work should not exceed 30% of the total budget.).
h) For funding of large-scale micro-credit and/or grant schemes.
i) For projects that are carried out by non-UN organisation(s) without substantive involvement of the applying UN organisation(s) and/or designated non-UN organisation(s).
j) Submitted by individuals.
k) For dissemination projects that are planned without the direct involvement of the Human Security Unit (HSU).

V.   FOCUS OF IMPLEMENTATION

a) Projects shall be distributed globally with priority given to countries and regions where insecurities of people are most critical and pervasive, such as the Least Developed Countries (LDCs) and countries in conflict and post-conflict peace-building situation.
b) Sub-regional projects that involve more than one country and aim to address cross-border threats to the border communities shall be considered with special attention.

VI.   BUDGET

a) There are no explicit upper or lower limits set for operational projects funded under the UNTFHS. Budgetary requirements should be calculated based on the feasibility and needs of each project.
b) The budget for operational projects which are carried out by one organisation should be approximately one million US dollars (US$1,000,000) per year. The budget for operational projects which are implemented by more than one organisation should not in general exceed two and a half million US dollars (US$2,500,000) per year.
c) Projects shall make the maximum use of local resources and avoid using costly foreign expertise.
d) The budget for projects to promote and disseminate the human security concept should generally not exceed US$300,000.

VII. APPLICATION PROCESS, PROJECT REVISION AND REPORTING

1.   Who can apply?

UN organisations and designated non-UN organisation(s) as specified in Section II are eligible to apply for funding under the UNTFHS.

2.   Application procedures

The UNTFHS will fund projects approved by the United Nations Secretariat. The project development process is broken down into two distinct phases: (i) concept note and (ii) project proposal. The accompanying Annexes (Project Advisory Notes) provide detailed information on the requirements for the preparation of concept notes and project proposals, as well as reporting, project revisions, financial agreements and fund management modality.

   a)   Any UN organisation(s) and designated non-UN organisation(s) that seek support from the UNTFHS should submit a concept note to the HSU for initial assessment.
   b)   The HSU will inform the applying organisation(s) of the outcome of its review and if positive will encourage the applying organisation(s) to formulate a full project proposal. In line with the Guidelines of the UNTFHS, the full project proposal should define the details of the proposed activities and should be in line with the UN Financial Regulations and Rules. Proposals that satisfy the review process will be submitted to the Executive Office of the Secretary-General for further review and approval.
   c)   Upon approval from the Executive Office of the Secretary-General, the Controller of the United Nations will authorize expenditures in accordance with the UN Financial Regulations and Rules.

Applying organisations should clearly demonstrate the relevance of the project to *Key Funding Criteria (Section IV) and Focus of Implementation (Section V)* outlined in the Guidelines. Furthermore, they should receive the consent of the recipient Government to implement the project and should ensure that projects are in line with national strategies and priorities so as to ensure national ownership.

Proposals from more than one organisation as co-applicants must clearly indicate which organisation will take lead responsibility for project management.

3.   Where to apply?

Concept notes and project proposals should be submitted to the HSU and should be sent electronically to humansecurity@un.org with a signed cover letter. If hard copies are submitted, they should be faxed to: +1-212-367-2332.

4.   Project revisions

If applying organisation(s) wish to make any changes to the originally approved project, they must submit their written requests to the HSU for approval as outlined in Annex 4.

5.   Reporting and Publication

a) The applying organisations(s) will report to the HSU on the implementation of project activities funded by the UNTFHS and will submit substantive and financial reports in a manner and format prescribed in Annex 3.
b) The applying organisation(s) will periodically publicize the progress and results of the projects through local and international media and other suitable channels, and in an appropriate manner state that the projects are funded by the UNTFHS.

VIII. ADMINISTRATION OF THE UNTFHS

1.   Donors

a) Any party who agrees to the terms provided in the Guidelines for the UNTFHS is eligible to become a donor.
b) The UNTFHS is not open to earmarked contributions. However, donors may express their geographical and sectoral interests with regard to the funding of projects.

2.   Administration and Resources of the UNTFHS

a) Resources of the UNTFHS consist of voluntary cash contributions from donors and interest accruing there from.
b) The UNTFHS is administered in accordance with the United Nations Financial Regulations and Rules.
c) The UNTFHS is managed by the HSU in the United Nations Office for the Coordination of Humanitarian Affairs (OCHA).

3.   Accountability

a) The HSU will provide an annual report to all the donors who contributed to the fund in the reporting period i.e. the calendar year covered by the report on the management of the UNTFHS. The report will contain information on, *inter alia*, the income and expenditure, contributions from donor's, an overview of the approved projects and other activities conducted during the period.
b) Information provided in the project annual reports may be included in the Secretary-General's report to the General Assembly concerning the UNTFHS.
c) The HSU may share the information from project annual reports with other stakeholders and use its contents for analysis, lessons learned, advocacy and public information purposes.

ANNEXES (PROJECT ADVISORY NOTES)

Annex 1: Concept Note Requirements

A concept note is an outline proposal. The objective of the concept note is twofold: a) to allow a UN organisation to submit a proposal in summary form for preliminary assessment and evaluation without the need to prepare a fully-detailed proposal; and b) to allow the UN to make a timely evaluation of submitted proposals to determine their appropriateness.

Applying organisations should clearly demonstrate the relevance of the project to Key Funding Criteria (Section IV) and Focus of Implementation (Section V) outlined in the Guidelines. Furthermore, they should receive the consent of the recipient Government to implement the project and should ensure that projects are in line with national strategies and priorities so as to ensure national ownership. Concept notes should be prepared according to the format presented in this annex and should utilise the tools provided in the Human Security Handbook.[4]

Organisations should be aware that the acceptance of a concept note and an invitation to prepare a more detailed proposal by the HSU are not guarantees that the proposal will necessarily be accepted for funding.

Concept notes should be submitted to the HSU and should be sent electronically to humansecurity@un.org with a signed cover letter. If hard copies are submitted, they should be faxed to: +1-212-367-2332.

Any concept note that does not meet these basic criteria will be returned un-appraised.

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[4] http://www.unocha.org/humansecurity/resources/publications-and-products/human-security-tools

Concept Note Format (<u>Note</u>: The body text of the concept note should not exceed ten (10) pages <u>excluding</u> the draft Logical Framework[5] and the budget).

Date of submission	dd/mm/yyyy
Benefiting country and location	
Title of the project	
Duration of project	From dd/mm/yy to dd/mm/yy (xx months)
Executing UN organisation(s) (including contacts in the field offices)	Give the name of the leading UN agency and UN executing partners, along with the names, telephone numbers, fax and email addresses of the person/s to be contacted on matters related to the proposal and subsequent reporting.
Non-UN executing partners	
Project budget including PSC (in US$)	

1. Introduction
- A brief description of the problem or opportunity as well as its magnitude.   What is the overall human security context and why is this project necessary?
- What has been done to address the problem in the past, and an assessment of current/ complementary work/initiatives?
- Reference to relevant priorities of the national authorities and the UN country team.

2. Rationale for Funding from the UNTFHS:
- Relevance to the Guidelines of the UNTFHS. Describe how the project applies the human security approach, especially in light of the Key Funding Criteria (IV) and the guidance provided in the Human Security Handbook.
- Describe how the proposed project specifically applies the human security concept. Please refrain from general justifications.
- Why should the proposed project be funded from the UNTFHS and not from other funding sources?

3. Project Details:
- Briefly describe the target beneficiaries of the project and their location. For example, who are the direct and indirect beneficiaries of the project?
- Describe the human security *goal(s)*
- List the specific *objectives* of the project, that is, those that will be achieved directly through executing the project activities;
- Briefly describe the expected *outputs* and/or deliverable products for each of the specified objectives. In their entirety, the outputs should be able to achieve the objectives of the project;
- List the *activities* that the project is expected to implement under each of the objectives;
- Briefly describe how the project was developed and who was consulted during preparation;
- Briefly describe implementation and partnership strategies to achieve the goals;
- Briefly describe how the initiatives proposed for this project will be sustained;
- Outline a draft logical framework (log frame) at the goal and objective levels <u>only</u>.

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[5] Refer to the logical framework guide in annex 2.

The logical framework – goal and objective levels <u>only</u>.

Project Strategy	Objectively verifiable indicators (OVI)	Sources and means of verification (MOV)	Important assumptions and risks
Human Security Goal:			
Project Objectives or Purpose:			

4. Dissemination, public affairs and communications:
- The project must include a component designated specifically for the dissemination of the concept of human security. For example, agencies could produce, videos, photo galleries, brochures, pamphlets, and publications for the project. Sharing of lessons learned through site visits to the project by interested parties may also be considered.
- The budget for promotion activities should be limited to a maximum of 4% of the project budget (excluding the programme support costs).
- Projects aiming to promote and disseminate the human security concept must be planned with the direct involvement of the HSU.

5. Monitoring and Evaluation Plan:
- Briefly describe the monitoring and evaluation plan.
- Inclusion of a Human Security Impact Assessment (HSIA) in overall monitoring and evaluation plans is not required but highly encouraged. Please refer to the Human Security Handbook for suggestions on incorporating HSIA.

6. Budget
- The budget estimate should reflect the activities described in the project narrative, and include sufficient detail to provide a transparent overview of how the UNTFHS funds will be spent. The budget estimate should indicate the annual cost (year 1, year 2 etc…) in relation to the proposed objectives, outputs and activities (See table 2).
- Budget items should be itemised wherever possible, including quantity and unit prices of items to be procured whenever possible.
- The budget should be consolidated to indicate cost estimates and common components such as project personnel, equipment and other requirements (see tables 3 and 4) and a budget summary by organisation (see table 5).
- Budgets <u>should not include</u> government staff salaries and recurrent costs for regular agency operations (i.e. maintenance costs).
- Contingencies or unforeseen costs arising during project implementation will be considered on a case by case basis and therefore must <u>not</u> be included in the budget.
- The implementing organisations' budgets should include programme support costs (PSC) at the rate up to 7%. If however, the relevant legislative body of the organisation has approved a higher rate, that is, up to a maximum of 10%, this rate will be accepted ONLY upon submission of the legislative body's written decision.
- When more than one organisation jointly submits an application, the budget for each organisation should be presented separately. The applying organisation should clearly state the organisation that will take the lead in coordinating the implementation of the project.
- Fund management: For joint programmes, <u>only</u> the parallel fund management option can be used. Operational details on the parallel fund management option are provided in Annex 7.
- UN Secretariat implementing departments should not add PSC to their budgets, as the UN (through the HSU) separately charges 7% PSC against their programme budget.

Table 1: Detailed budget by objective, output & activity for each year

Detailed description	Budget estimate (US$)				Object Class	Implementing organisations
	Year 1	Year 2	Year 3	Total		
Objective 1						
Output 1.1						
Activity 1.1.1						
Activity 1.1.2						
Output 1.2						
Activity 1.2.1						
Activity 1.2.2						
Sub-total - Objective 1						
Objective 2						
Output 2.1						
Activity 2.1.1						
Activity 2.1.2						
Output 2.2						
Activity 2.2.1						
Activity 2.2.2						
Sub-total - Objective 2						
Amount not covered above (i.e. project coordination costs)						
Sub-total						
Total project cost						
PSC (x% of the total estimated project cost)						
TOTAL PROJECT BUDGET (project cost + PSC)						

Note:
<ins>Note:</ins>
  a) **Please note that there is no limit to the number of objectives, outputs, and activities that a project can have.**
  b) **All line items should <u>not</u> be rounded off to the nearest dollar. The exact amount i.e. including two decimals should be reflected.**
  c) **Each line item should have detailed supporting justification and/or information.**
  d) **The detailed budget which provides a breakdown of resources required for implementation, by activity as described in the narrative <u>and</u> the summary budget, <u>have to</u> be provided.**
  e) **Objectives, outputs, and activities listed in the budget table should correspond directly to those listed in the Project Details section.**
  f) **For each activity, please indicate the object class that it is linked to.**
  g) **Amounts not covered above should include: (i) a breakdown of all UN staff salaries to be covered by the project (costs for consultants should be listed under the specific activity on which they will work); (ii) a line for dissemination, public affairs and communications costs; (iii) a line for monitoring and evaluation costs; (iv) any project acquisitions, operating expenses, or travel not listed under the activities above; and (v) any other additional costs not listed under the project activities.**

Table 2: Budget summary (by reporting object class)

Object class	Budget estimate amount (US$)									
	Year 1			Year 2			Year 3			Total
	Org A	Org B	Org C	Org A	Org B	Org C	Org A	Org B	Org C	
Staff and other personnel expenses										
Travel on official business										
Contractual services										
Operating expenses										
Acquisitions										
Fellowships, grants, and others										
Total project cost										
PSC (x% of the project cost)										
Total project budget (project cost + PSC)										

Note: The table below provides details on the budget lines used in the implementation of projects. In order to ensure consistency among all offices implementing UNTFHS projects, it would be appreciated if you could refer to this table for guidance. There are two levels of budget codes: the object classes and the object codes. Object codes provide more detail within the object classes.

Frequently used codes, definitions and normative instructions

DESCRIPTION OF ACTIVITY	OBJECT CLASS TO BE USED	OBJECT CODE (if needed to differentiate further)	COMMENTS
Staff and other personnel expenses	General Temporary Assistance		GTA should be used to respond to temporary assistance needs through the recruitment and/or extensions of staff members only, and are usually located with the UN Department implementing the project. GTA should not be used for the recruitment of consultants, national project staff, or UNVs.
	Consultants and Expert Groups	International Consultants - Personal service fees	The GA requested to differentiate between international and national consultancies, thus 2 different object codes should be used
	Consultants and Expert Groups	National Project Staff & Consultants	
Travel on official business	Consultants and Expert Groups	Consultants travel	
	Consultants	Travel of	Expert groups should be used if meetings are

DESCRIPTION OF ACTIVITY	OBJECT CLASS TO BE USED	OBJECT CODE (if needed to differentiate further)	COMMENTS
	and Expert Groups	expert groups	required to discuss policy issues/publications related to the project. Meetings/workshops/seminars related to training and capacity building should be charged to fellowships, grants and others.
	Travel of Staff		This line is for travel for UN Staff only for all types of travel (participation in Expert groups, workshops, providing advisory services. Travel of experts, consultants and participants to workshops should be budgeted under different classes/codes.
Contractual Services	Contractual Services		Contractual services might include institutional contracts for preparing publications or for example for NGOs that might organize a capacity building training activities, through subcontract or grant arrangements.
Operating expenses	Operating expenses		Should be used for postage, communications, printing of reports, etc.
Acquisitions	Supplies, Materials, Furniture and Equipment		This line should be used for office equipment, office automation equipment, software and supplies. Office equipment should only be purchased for country beneficiaries and only in very exceptional cases for equipment specific for the implementing entity.
Fellowships, grants and others	Fellowships, Grants and others.	Seminars and workshops	This object class/code should be used for capacity building/training activities other than expert group meetings, and include costs related to the travel/ DSA of participants, as well as rental of venue and local conference related expenditures. Grants and subcontracts which are issued by implementing partners to carry out training activities should not be charged here but to the object class for contractual services (see details above).
	Fellowships, Grants and others.	Study Tours	This should be used for study tours. In the UN we have used the term fellowships sometimes too. But fellowships should only be used if the duration is more than six months.

Table 3: Budget summary by organisation (ONLY for joint programmes)

Implementing /executing organisation		Year 1	Year 2	Year 3	Total
Organisation 1	Project Cost (A)				
	PSC (X^6%*A)				
Organisation 2	Project Cost (B)				
	PSC (Y% *B)				
Organisation 3	Project Cost (C)				
	PSC (Z%*C)				
Total estimated project cost (A+B+C)					
Estimated PSC (X%*A)+(Y%*B)+(Z%*C)					
Total estimated project budget (project cost + PSC)					

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[6] X% relates to the PSC rate for Organization 1, Y% to the PSC rate of Organization 2 etc…

Annex 2: Full Proposal Requirements

The following format should be used for full proposals. The questions posed in each section illustrate the kind of questions which will be asked when your proposal is assessed. Not all the questions will be relevant to all the proposals, and you should use them as a guide only.

Proposals must be no more than 20 pages <u>excluding</u> the contents page, list of abbreviations, logical framework, budget and annexes (these additional papers must not be more than a further 20 pages).

All submissions should be submitted to the HSU and should be sent electronically to humansecurity@un.org with a signed cover letter. If hard copies are submitted, they should be faxed to: +1-212-367-2332. Organisations' that submit proposals for funding consideration will be informed of the United Nations Secretariat decision by the HSU/OCHA, including the terms and conditions for the approved funds.

Any proposal that does not meet these basic criteria will be returned un-appraised.

Full Proposal Format [The proposal must be no more than 20 pages <u>excluding</u> the contents page, list of abbreviations, logical framework, budget and annexes (these additional pages must not be more than a further 20 pages)].

Section 1: Basic data/ Summary

The following information should be provided:
- Date of submission (*the date should be updated whenever the proposal is revised*)
- Benefiting country and location of the project
- Title of the project (*clear and concise*)
- Duration of the project (*length of project and anticipated start and end dates*)
- UN organisation responsible for management of the project
- UN executing partners
- Non-UN executing partners (if applicable)
- Total project cost (including programme support cost) – *In the case of projects implemented by two or more UN organisations', the lead organisation will provide the budget breakdown.*
- Executive summary: A brief statement of project objectives, expected results and main activities; the main intended beneficiaries and so on. The summary should preview the main purpose of the proposal.

Section II: Introduction and rationale for funding from the UNTFHS

- Background information on the target country/region;
- A description of the overall human security context and an analysis of the situation explaining the need for the project, indicating its potential impact and demonstrating its feasibility
- Reference to relevant priorities of the national authorities and the UN country team, including their involvement to this project;
- Describe how the project applies the human security approach, especially in light of the Key Funding Criteria (IV) and the guidance provided in the Human Security Handbook[7]. Justifications should be specific.
- Where applicable, show the multi-sectoral nature of the problems and the need for activities to be implemented by more than one UN organisation;
- Show why the proposed project is needed and should be funded from the UNTFHS and not from other funding sources. What other sources/programmes similarly support these needs?

Section III: Context

a) Past and current activities
- What approaches have been tried in the past to address these same issues and needs? What have been the conclusions from these approaches?
- Describe how the project will draw from, build on and complement existing and previous efforts;
- Discuss/describe the added value of a human security approach for addressing the problem or opportunity in light of current and past activities. You may refer to pages 9-11 of the Human Security Handbook.

b) National and local government commitments
- What is the project's relationship to national and local government strategies and priorities?
- What will be required of national authorities to ensure the sustainability of the project after the conclusion of the current funding?

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[7] http://www.unocha.org/humansecurity/resources/publications-and-products/human-security-tools

c) Project identification and formulation
- How was the project developed and who was consulted during preparation?
- Describe how the involvement of partner organisations' (including other UN organisations') will enhance the effectiveness and impact of the project;
- In what ways were the beneficiaries and other stakeholders engaged in project formulation?

d) Beneficiaries
- Who are the direct and indirect beneficiaries of the project (the project proposal must specify the name(s) and location(s) of the beneficiary communities and/or people)? What is the total number of intended beneficiaries and how will they be affected? Please provide gender and age-disaggregated data.
- Describe the selection criteria used, particularly with respect to achieving a balance between genders and different ethnic groups.
- What impact do you expect the project to have on women and girls? Please describe the potential benefits and negative side effects (if any) for women and girls that may occur as a result of the project. If there are negative effects how will these be addressed?
- Similarly, what impact do you expect the project to have on men and boys? Please describe the potential benefits and negative side effects (if any) for men and boys that may occur as a result of the project. If there are negative effects how will these be addressed?

Section IV. Project details (Goals, Objectives, Outputs, Activities, Indicators, Baseline data and Risks)

This section is divided as follows:
a) Definitions of the key terms that will be used in the development of the project proposal
b) Project approach

a) Definitions of the key terms that will be used in the development of the project proposal
i) Goals and objectives
- A goal is a "big picture" statement that summarises the project's purpose. Goals for a project are normally broad, ambitious and related to the mission of the United Nations. It describes the <u>overall impact</u> and benefits derived i.e. what do you hope to achieve over the long term?
- An objective/purpose is <u>what</u> you hope to accomplish and <u>when</u> the anticipated change will occur as a result of your project. It is a statement of the <u>direct impact</u> or benefit obtained from the utilisation of goods and services. Objectives are measurable, tangible, time specific and achievable in the time between the project inception and when the funding period ends. When developing your objectives, be sure there is an easy method to collect and analyze the data required to demonstrate your project's impact and success. There can be multiple objectives for one goal.

ii) Outputs and activities
- Outputs are tangible products or services of a project that are necessary to achieve its objectives. Examples of outputs include goods, services or infrastructure produced by a project and meant to help realize its objectives. These may also include changes, resulting from the intervention, that are needed to achieve the outcomes/results at the objective level.
- Activities are specific tasks to be done within a specified time to achieve results, usually requiring resources and incurring cost. Examples are educating the public about HIV/AIDS prevention, training providers, medical examinations, tests, providing medications and therapy, specialty visits and other direct services.

iii) Performance indicators, baseline data and risks
- An indicator can be defined as a quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor. For example, an increase in the number of

students passing is an indicator of an improved culture of learning and teaching. The means of verification (proof) is the officially published list of passes.

- Baseline data/information comes from a study done before an intervention. It provides data/information about the situation before an intervention. This information is very important when you get to monitoring and evaluation as it enables you to assess what difference the intervention has made.

External factors/risk

- What external factors are necessary to sustain the objectives in the long run?
- What are the main risks that could affect the project's success?
- How likely are these to happen and how serious are the consequences to the project if they occur?
- What measures have been/will be undertaken to minimize or mitigate potential risks?

b) Project Approach

i) A full logical framework (log frame) must be submitted with the proposal. The goal, objective and output levels must be specified in full. Activities should be summarised where possible (e.g. "a workshop programme every 3 months" not one entry for each workshop). Please refer to the Project Logical Framework Guide below (Annex 2A).

Section V: Sustainability

- a) What provisions are being made to ensure that the project is sustainable?
- b) What assumptions underlie the sustainability strategy?
- c) How will the other cooperating organisations and/or government(s) assist in continuing the project after the conclusion of the funding period?
- d) Have the main executing partner/s considered their 'exit strategy'? If so, what is it?
- e) It should be noted that all projects should have a clear foundation and a concrete conclusion.

Section VI: Implementation and partnership strategy

- a) Outline the strategy for achieving the objectives and anticipated results of the project.
- b) Describe the roles of i) the implementing organisation and ii) partner organisation(s) associated with the implementation of the project and their importance to the success of the project;
- c) What will be the roles of other key stakeholders, including the beneficiaries and the government? How will their participation be handled?
- d) How will the project promote interaction with other international/national organisations, including NGOs, and integrate respective policies and activities in order to produce value-added and multiplier effects? If applicable, show collaborative efforts that are being undertaken by the local community, government(s), other international donors, agencies or NGO's.

Section VII: Dissemination, public affairs and communications

- a) The project must include a component designated specifically for the dissemination of the concept of human security. For example, agencies could produce videos, photo galleries, brochures, pamphlets, and publications for the project. Sharing of lessons learned through site visits to the project by interested parties may also be considered.
- b) Projects aiming to promote and disseminate the human security concept must be planned with the direct involvement of the HSU.
- c) The budget for promotion activities should be limited to a maximum of 4% of the project budget (excluding the programme support costs).
- d) How will the message (vision, experience, achievements) of the project be disseminated to target beneficiaries and stakeholders throughout the implementation process? To this end, how will

project partners network and share information with others engaged in similar efforts?

    e) How will the success stories and knowledge gained from the project be shared between partners and the donor? Also, how can this project help raise the profile of the UN agencies in promoting the concept of human security?

Section VIII: Monitoring and evaluation plan, *describing the mechanisms and indicators to monitor, assess and evaluate progress towards the attainment of the project outcomes.*

Inclusion of a Human Security Impact Assessment (HSIA) in overall monitoring and evaluation plans is not required but highly encouraged. Please refer to the Human Security Handbook for suggestions on incorporating HSIA.

a) Mid-project evaluation
Implementing partners are encouraged to consider independent mid-term evaluations for projects of two or more years in duration. The mid-term review should take place within 18 months of the start of the implementation, and the findings should be communicated to the HSU. The results should be used to determine whether the objectives and performance indicators outlined in the funding proposal are achievable within the allotted timeframe. The review can also serve as an opportunity for reflection, allowing the project partners to make course corrections and refine objectives, indicators and implementation timeframes, as needed. Organisations' should describe the anticipated methods and structure of the mid-project evaluation.

b) Final evaluation
HSU requires a participatory final evaluation involving the input of all key project stakeholders, including the primary and secondary beneficiaries. Organisations' should describe the anticipated methods and structure of the final evaluation.

Section IX: Administration and financial management

a) Management structure and financing arrangements
    i. Describe the management structure of the project and associated functions or terms of reference.
    ii. Identify the lead UN organisation in the case of joint programming.
    iii. Describe the financing arrangements.

b) Financial reporting
    i. Specify the title of the official responsible for reporting to the UN Controller on behalf of the UN implementing organisation.
    ii. The reports must satisfy the following guidelines:
        ▪ Be provided in summary, aggregating implementing partner reports in the case of joint programming;
        ▪ Show interest earned on funds disbursed to the project;
        ▪ Show any parallel funds received by the project;
        ▪ Align expense with activities and milestones;

c) Substantive reporting
    i. For annual progress report preparation, please refer to the guidelines presented in Annex 3.
    ii. Consolidated reports should be submitted to HSU/OCHA by the lead UN organisation

d) Work plan
    i. A summary work plan for the full project should be attached to the proposal.
    ii. A short annual work plan should be sent to HSU within 3 months of the start of the project or, for on-going projects, attached to the annual progress reports for the coming year. Please refer to the suggested format for annual work plans in Annex 5.

Section X: Budget [8]

   a) Budgetary requirements must be explained in detail and carefully justified in relation to the objectives, outputs and project activities described in the project narrative. They should include sufficient detail to provide a transparent overview of how the UNTFHS funds will be spent (see table 1).

   b) Budget items should be itemised wherever possible, including quantity and unit prices of items to be procured whenever possible.

   c) The budget should be consolidated to pull together the overall project requirements by budget line, and then component totals. This summary budget should be on an annual basis (see tables 2, 3 and 5). The budget estimate should indicate the annual cost (year 1, year 2 etc…) in relation to the proposed objectives, outputs and activities (See Table 2).

   d) Budgets should not include government staff salaries and recurrent costs for regular agency operations (i.e. maintenance costs).

   e) Contingencies or unforeseen costs arising during project implementation will be considered on a case by case basis and therefore must not be included in the budget.

   f) The implementing agencies' budgets should include programme support costs (PSC) at the rate up to 7%. If however, the relevant legislative body of the organisation has approved a higher rate, that is, up to a maximum of 10%, this rate will be accepted ONLY upon submission of the legislative body's written decision.

   g) UN Secretariat implementing departments should not add PSC to their budgets, as the UN (through the HSU) separately charges 7% PSC against their programme budget.

   h) When more than one organisation jointly submits an application, the budget for each organisation should be presented separately.   The applying organisation should clearly state the organisation that will take the lead in coordinating the implementation of the project.

   i) Fund management: For joint programmes, only the parallel fund management option can be used. Operational details on the parallel fund management option are provided in Annex 7.

   j) Disbursements: Project funds shall be disbursed in installments, based on a payment schedule which will be based on the progress in the project's implementation in accordance with the cash flow requirements i.e. the first installment will be disbursed immediately after the UN and the implementing agency have signed a financial agreement. Subsequent installments will be issued upon receipt of satisfactory substantive and financial reports from the implementing agency. These reports should indicate that 70% or more of the previous installment has been committed and/or expended.

   k) Each installment shall be disbursed on a pro-rata basis for the project costs and the programme support costs.

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[8] Templates for the budgets required are attached for reference.

Budget templates

Table 1: Detailed budget by objective, output & activity for each year

Detailed description	Budget estimate (US$)				Object Class	Implementing organisations
	Year 1	Year 2	Year 3	Total		
Objective 1						
Output 1.1						
Activity 1.1.1						
Activity 1.1.2						
Output 1.2						
Activity 1.2.1						
Activity 1.2.2						
Sub-total - Objective 1						
Objective 2						
Output 2.1						
Activity 2.1.1						
Activity 2.1.2						
Output 2.2						
Activity 2.2.1						
Activity 2.2.2						
Sub-total - Objective 2						
Amount not covered above (i.e. project coordination costs)						
Sub-total						
Total project cost						
PSC (x% of the total estimated project cost)						
TOTAL PROJECT BUDGET (project cost + PSC)						

Note:

a) **Please note that there is no limit to the number of objectives, outputs, and activities that a project can have.**

b) **All line items should <u>not</u> be rounded off to the nearest dollar. The exact amount i.e. including two decimals should be reflected.**

c) **Each line item should have detailed supporting justification and/or information.**

d) **The detailed budget which provides a breakdown of resources required for implementation, by activity as described in the narrative <u>and</u> the summary budget, <u>have to</u> be provided.**

e) **Objectives, outputs, and activities listed in the budget table should correspond directly to those listed in the Project Details section.**

f) **For each activity, please indicate the object class that it is linked to.**

g) **Amounts not covered above should include: (i) a breakdown of all UN staff salaries to be covered by the project (costs for consultants should be listed under the specific activity on which they will work); (ii) a line for dissemination, public affairs and communications costs; (iii) a line for monitoring and evaluation costs; (iv) any project acquisitions, operating expenses, or travel not listed under the activities above; and (v) any other additional costs not listed under the project activities.**

Table 2: Budget summary by objective and by year

Specific Objectives*	YEAR I	YEAR II	TOTAL
Objective 1			
Organisation A			
Organisation B			
Organisation C			
Objective 2			
Organisation A			
Organisation B			
Organisation C			
Amount not covered above (i.e. Programme coordination)			
Total project cost			
PSC (x% of the project cost)			
TOTAL PROJECT BUDGET (project cost + PSC)			

* Please note that there is no limit to the number of objectives, outputs, and activities that a project can have.

Table 3: Budget summary by reporting object class

Object class	Budget estimate amount (US$)									
	Year 1			Year 2			Year 3			Total
	Org A	Org B	Org C	Org A	Org B	Org C	Org A	Org B	Org C	
Staff and other personnel expenses										
Travel on official business										
Contractual services										
Operating expenses										
Acquisitions										
Fellowships, grants, and others										
Total project cost										
PSC (x% of the project cost)										
Total project budget (project cost + PSC)										

Note: The table below provides details on the budget lines used in the implementation of projects. In order to ensure consistency among all offices implementing UNTFHS projects, it would be appreciated if you could refer to this table for guidance. There are two levels of budget codes: the object classes and the object codes. Object codes provide more detail within the object classes.

Frequently used codes, definitions and normative instructions

DESCRIPTION OF ACTIVITY	OBJECT CLASS TO BE USED	OBJECT CODE (if needed to differentiate further)	COMMENTS
Staff and other personnel expenses	General Temporary Assistance		GTA should be used to respond to temporary assistance needs through the recruitment and/or extensions of staff members only, and are usually located with the UN Department implementing the project. GTA should not be used for the recruitment of consultants, national project staff, or UNVs.
	Consultants and Expert Groups	International Consultants - Personal service fees	The GA requested to differentiate between international and national consultancies, thus 2 different object codes should be used
	Consultants and Expert Groups	National Project Staff & Consultants	
Travel on official business	Consultants and Expert Groups	Consultants travel	
	Consultants and Expert Groups	Travel of expert groups	Expert groups should be used if meetings are required to discuss policy issues/publications related to the project. Meetings/workshops/seminars related to training and capacity building should be charged to fellowships, grants and others.
	Travel of Staff		This line is for travel for UN Staff only for all types of travel (participation in Expert groups, workshops, providing advisory services. Travel of experts, consultants and participants to workshops should be budgeted under different classes/codes.
Contractual Services	Contractual Services		Contractual services might include institutional contracts for preparing publications or for example for NGOs that might organize a capacity building training activities, through subcontract or grant arrangements.
Operating expenses	Operating expenses		Should be used for postage, communications, printing of reports, etc.
Acquisitions	Supplies, Materials, Furniture and		This line should be used for office equipment, office automation equipment, software and supplies. Office equipment should only be

DESCRIPTION OF ACTIVITY	OBJECT CLASS TO BE USED	OBJECT CODE (if needed to differentiate further)	COMMENTS
	Equipment		purchased for country beneficiaries and only in very exceptional cases for equipment specific for the implementing entity.
Fellowships, grants and others	Fellowships, Grants and others.	Seminars and workshops	This object class/code should be used for capacity building/training activities other than expert group meetings, and include costs related to the travel/ DSA of participants, as well as rental of venue and local conference related expenditures. Grants and subcontracts which are issued by implementing partners to carry out training activities should not be charged here but to the object class for contractual services (see details above).
	Fellowships, Grants and others.	Study Tours	This should be used for study tours. In the UN we have used the term fellowships sometimes too. But fellowships should only be used if the duration is more than six months.

Table 4: Budget summary by organisation and years for joint programmes

Implementing organisation		Year 1	Year 2	Year 3	Total
Organisation 1	Project Cost (A)				
	[9]PSC (X%*A)				
Organisation 2	Project Cost (B)				
	PSC (Y% *B)				
Organisation 3	Project Cost (C)				
	PSC (Z%*C)				
Total project cost (A+B+C)					
Total PSC amount (X%*A)+(Y%*B)+(Z%*C)					
Total project budget (Total project cost + Total PSC amount)					

Section XI: Annexes

The annexes must be clearly labeled at the top of each page and every page should be numbered. Annexes are useful either to back up necessary analysis in the main submission or to record understandings with partners that will facilitate implementation. They will typically cover, where relevant, *technical, economic, financial, social, institutional and environmental issues.*

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[9] X% relates to the PSC rate for Organization 1, Y% to the PSC rate of Organization 2 etc…

Annex 2A: Project Logical Framework guide

Logical Frameworks (usually referred to as log frames) are used to help strengthen activity design, implementation and evaluation.

- Why use a Logical Framework?
    - The log frame is useful in the design and planning, implementation, monitoring and evaluation of a project. It also makes it easier to report on a project, highlight changes and to adapt the project accordingly;
    - The UNTFHS recommends the use of the log frame because it brings together in one place a clear, concise and accessible statement of all the key components of a project;
    - It clarifies how the project is expected to work and what it is going to achieve, and helps to ensure that inputs, activities, outputs and objectives (purpose) are not confused with each other;
    - It identifies the main factors related to the success of the project;
    - It clarifies how project success (qualitative and quantitative) will be judged or measured and provides a basis for monitoring and evaluation.
- How is a Logical Framework prepared?
    - The UNTFHS encourages the use of participatory approaches in which the beneficiaries and project partners are involved in all stages of a project. Therefore, the involvement of all the stakeholders is encouraged in the formulation of the log frame;
    - It is important to note that the log frame is a tool for project management. The framework should develop and change as the project develops;
    - The log frame must be reported against annually, at the mid-term review and final review;
    - To be a useful management tool, a log frame must have good indicators. A good indicator is one that can be measured. Indicators provide data that assist with making more informed and better decisions throughout the process of a project. An indicator is something that helps the project see if there is any change or progress towards achieving the objectives.
- Basic Principles
    - The log frame should be concise. It should not normally take up more than two sides of paper.
    - The log frame should be treated as a free-standing document and should be comprehensible to those reading it for the first time. Acronyms should therefore be avoided.
    - To the extent possible, beneficiaries should also take part in the design of the logframe.
    - The log frame will provide a basis for subsequent monitoring and evaluation. It must therefore be kept under regular review and amended whenever the project changes course.

Notes:
  i. The logical framework should not be excessive in length but have sufficient detail to support the allocation of funds by the UNTFHS.
  ii. The goal, objective and output levels must be specified in full. Activities should be summarised where possible (e.g. "a workshop programme every 3 months" not one entry for each workshop).
 iii. It is important to check that gender and other equity differences have been adequately addressed in both the design and the monitoring and evaluation of the project. Because equity is an issue that cross cuts many project activities and outputs, it is often better that it be integrated rather than included as a separate element. However, this means it may be desirable also to have some cross – cutting objectives and indicators for the project.

Please prepare your own table in general accordance with this framework. This is a general guideline only. The log frame should be adapted to the context of the project. Log frames are designed to be flexible instruments; therefore there is no perfect blueprint[10].

Logical framework matrix

Project Strategy	Objectively Verifiable indicators (OVI)	Sources and means of verification (MOV)	Important assumptions and risks
Human Security Goal:			
1. What are the wider problems which the project will help resolve? Longer term project impact. Specify the goal(s) of your project in both qualitative and quantitative terms.	1.1What are the quantitative ways of measuring, or qualitative ways of judging, whether these broad objectives have been achieved? (quantity, quality, time)	1.1 Which sources of information/data exist or can be provided to allow the goal to be measured? Has necessary baseline data been collected?	1.1 Assumptions should not be only about the external conditions but also the internal logic of the project strategy. What factors are necessary for sustaining the objectives in the long run?
Project Objective/s or Purpose			
1. What are the intended immediate effects on the project area or target group? What are the expected benefits (or otherwise) and to whom will they go? What improvements or changes will the project bring about? Specify the objectives of your project in both qualitative and quantitative terms	1.1 What are the quantitative measures or qualitative evidence by which achievement and distribution of effects and benefits can be judged? (quantity, quality, time)	1.1 What sources of information exist or can be provided cost-effectively to allow for the achievement of the objective/purpose to be measured? Has necessary baseline data been collected?	1.1 What conditions are necessary if achievement of the project's objective/purpose is to contribute to reaching the project goal?
Outputs			
1. What are the specific deliverables that will be produced in order to achieve the project objective/purpose? Indicate measurable and achievable outputs for	1.1 What kind and quantity of outputs and by when will they be produced? (quantity, quality, time)	1.1 Which sources of information/data will be used to assess the indicator(s)?	1.1 What are the factors not within the control of the project which, if not present, are liable to restrict progress from outputs to achievement of project purpose?

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[10] An example of a completed log frame can be provided on request.

Project Strategy	Objectively Verifiable indicators (OVI)	Sources and means of verification (MOV)	Important assumptions and risks
each objective.			
Activities			
1. What tasks must be undertaken in order to accomplish the outputs and when?	1.1 What kind and quantity of outputs and by when will they be produced? We recommend that OVI's are included against all activities. This is essential for project reporting and monitoring against the logical framework.	1.1 Which sources of information/data will be used to assess the indicator(s)?	1.1 What factors must be realized to obtain the planned outputs on schedule? 1.2 What decisions or actions outside the control of the UN implementing organisation/s are necessary for the inception of the project?

Annex 3: Reporting Requirements

All implementing organisations are required to submit full and complete reports (annually and a final report) on the manner in which the UNTFHS funds are spent and the progress made in accomplishing the purposes of the UNTFHS contribution. The report should provide an analysis on the overall strategic impact of the UNTFHS funds in advancing the human security concept.

The HSU may share the information from reports with donors and other stakeholders and use its contents for analyses, lessons learned, advocacy and public information purposes. Information provided in the reports may also be included in the Secretary-General's report to the General Assembly concerning the UNTFHS.

a) On-going projects
- The implementing organisation shall furnish an annual narrative progress report on the implementation of projects in line with the requirements below (progress report format).
- The lead organisation for multi-agency projects should submit one consolidated narrative progress report. This report should include inputs from all the organisations' involved.
- Each implementing organisation shall furnish certified financial reports, as appropriate for the period.
- For allotment-funded projects, the UN Secretariat offices and departments may meet the requirements for financial utilisation reports by submitting a completed financial utilisation report for allotment projects with expenditure breakdown by IMIS object class, supported by a copy of the relevant IMIS status of allotments report.
- Copies of all evaluation reports should be submitted to the HSU.

b) Completed projects
- Following the completion of projects, implementing organisations are responsible for submitting final narrative reports in line with the requirements below (progress report format).
- Final narrative reports should provide details on the relevance, effectiveness, efficiency, impact, sustainability and overall performance of the project. The completed final assessment form in *Annex 3A* should be attached to the final report.
- Final narrative reports should be submitted within six (6) months after the contribution has been fully expended, or the project has been completed, whichever is first to occur.
- The lead organisation for multi-agency projects should submit one consolidated final narrative report. This report should include inputs from all the organisations' involved.
- Each implementing organisation shall submit the final certified financial reports within six (6) months after the completion of the project.
- For allotment-funded projects, the UN Secretariat offices and departments may meet the requirements for financial utilisation reports by submitting a completed financial utilisation report for allotment projects with expenditure breakdown by IMIS object class, supported by a copy of the relevant IMIS status of allotments report.

Annual narrative progress reports are not required for projects scheduled to end during the last or first quarter of a given year. A final report that clearly and adequately describes the activities of the final year of project activities will satisfy the reporting requirements.

The extent to which all the points mentioned can be addressed depends on the nature of the project.

Reports may be submitted either electronically and/or in hard copy.   All submissions should be submitted to the HSU and should be sent electronically to humansecurity@un.org with a signed cover letter. If hard copies are submitted, they should be faxed to: +1-212-367-2332.

Progress report format: The following information should be included in the report:

Section 1: Basic data/Summary

The following information should be provided:-
- Date of submission (*the date should be updated whenever the report is revised*)
- Benefiting country and location of the project
- Title of the project (*clear and concise)*
- Duration of the project (*length of project; start and end dates*)
- UN organisation responsible for management of the project
- UN executing partners
- Non-UN executing partners (if applicable)
- Total project cost (including programme support cost) – *In the case of projects implemented by two or more UN organisations', the lead organisation will provide the budget breakdown.*
- Reporting period
- Type of report (an inception report, progress report {first, second, third etc..} or final report).
- Executive summary: A short narrative focusing on two main questions: (i) How far have the intended outputs as listed in the log frame been achieved? And (ii) what is the impact of the project so far?
- List of abbreviations and acronyms

Section II: Purpose

This section is a summary of the project as approved in the project document. It includes:
- Main objectives and outputs expected as per the approved project document;
- Reference to how the project aims to attain the human security objective;
- A listing of the main implementing partners.

Section III: Results

- Main activities undertaken
- Progress towards the achievement of the outputs i.e. outputs accomplished and level of accomplishment (as measured against the stated outputs in the log frame)

Outputs	OVIs	Progress	Recommendations/Comments

Achievements as measured against stated objectives

Objectives/Purpose	OVIs	Progress	Recommendations/Comments

- Implementation constraints, including plans for addressing them.
- Lessons learned
  - Working with partners
  - Good Practice/Innovation

- Application of human security concept
- Project management
  - Important findings from project evaluations conducted in the course of the year, highlighting major findings/recommendations. Also summarise actions taken/planned in response to the evaluation.
  - Any actions taken or planned in response to the recommendations of project evaluations.
  - Copies of all evaluation reports should be submitted to the HSU.
  - Percentage of budgeted funds actually spent.
  - Impact of key partnerships and inter-agency collaboration.
  - Impact of project on women, girls, boys and men respectively (please provide gender and age disaggregated data).
  - Other highlights and crosscutting issues, as applicable.

Section IV: Forthcoming annual work-plan

- Provide an overview of the major objectives and planned activities, including key milestones and quantifiable performance indicators, for the following year.
- Indication of any major adjustments in the strategies, targets, or key outcomes and outputs planned.
- Submission of annual work plan (See recommended format in Annex 5). The work plan for the current year should be attached to the prior year progress report.
- Estimated budget required (including any major funding shortfalls).

Section V: Resources and financial implementation

- Each participating UN organisation will prepare a financial report in accordance with its policies and procedures.
- The annual financial report (refer to tables 2 and 3 below) reflecting the amount received in relation to expenditures should be submitted to the Office of the Controller (and copied to the HSU) **as stipulated and agreed in the financial agreement signed between the agencies and the UN.** These financial reports will provide information according to the following categories:

  - Amount received
  - Interest income
  - Staff and other personnel costs
  - Travel
  - Contractual services
  - Operational expenses

  - Acquisitions
  - Fellowships, Grants and other
  - Sub-total
  - Programme Support Costs
  - TOTAL EXPENDITURES

- All the required financial reports should be certified by authorized financial officers in accordance with the respective agencies financial rules and regulations.
- A consolidated financial summary report of the resources available to the project should be provided by the lead UN organisation as part of the annual progress report and the final report. The consolidated financial summary report should be a compilation of the figures for all of the implementing UN organisations (see table 1 below).

Table 1: Consolidated financial summary report

Implementing Organisation	Approved Budget for Year 1 (I)	Funds received in Year 1 (II)	Approved Budget for Year 2 (III)	Funds received in Year 2 (IV)	Approved Budget for Year 3 (V)	Funds received in Year 3 (VI)	Total funds received to date (VII = II+IV+VI))	Expenditure to date (VIII)	Variance between funds received & Expenditure (IX = VII-VIII)	Delivery rate as a per cent (X = VIII/VII*100)
Organisation A										
Organisation B										
Organisation C										
Total										

Section VI: Promotional activities

- Describe the progress made in raising the profile of the project, and of issues it seeks to address.
- Indicate whether the project or elements thereof, are worthy in terms of telling a human security story.
- In an effort to further promote human security, organisations are requested to submit high-resolution, non-copyrighted photographs to the HSU/OCHA from the project sites and the local communities. Photographs will be featured on the HSU website and will be included in other promotional materials considered by the HSU.
- Furthermore, for those projects where funding was provided for promotion of project activities, organisations are requested to submit a sample of the materials produced by the project. Electronic submissions should be sent to humansecurity@un.org. For printed material, please send to HSU/OCHA, 380 Madison Avenue, 6th Floor, Room MO 6030I, New York, NY 10017.

Annex 3A: Final Assessment Form

PART 1: BASIC PROJECT INFORMATION

Project title:	
Project number:	
Country and region:	
Lead UN Organisation:	
Other implementing UN Organisations:	
Non-UN implementing partners:	
Project start date:	
Project completion date:	
Originally planned:	
Actual:	
Extensions:	
Total budget:	
Project description	
Main objectives:	

PART II: NUMERICAL RATING

Rate the relevance and performance of the project, using the following scale:
1 – Excellent   2 – Good   3 – Satisfactory   4 – Unsatisfactory 5 – Not applicable
6 – Insufficient information

	Rating Criteria	*Rating*
	RELEVANCE:	
1.	Has the project proven to be as relevant as originally envisaged?	
	Comments:	
	EFFECTIVENESS:	
2.	Were the project's main objectives achieved in keeping with the original activities, outputs and performance indicators?	
	Comments:	
3.	How would you assess the effectiveness of the management and administrative arrangements employed to implement the project?	
	Comments:	
4.	How effectively did the project partners collaborate? (Elaborate what, if any, were the major challenges)	
	Comments:	
	EFFICIENCY	
5.	Were the anticipated outputs generated on time and within the budget, as specified in the work plan and implementation schedule? (if certain outputs were not achieved, elaborate briefly the reasons)	

	Rating Criteria	Rating
	Comments:	
	IMPACT	
6.	How would you rate the overall performance and impact of the project?	
	Comments:	
7.	If appropriate, were the communications and public/media outreach components of the project effectively implemented? To what extent were the project's achievements disseminated to benefit wider audiences (even beyond the project's direct beneficiaries)?	
	Comments:	
	SUSTAINABILITY	
8.	What is the prospect that the project's activities and achievements will be sustained following UNTFHS support? (Elaborate on major factors and potential follow-up needs that are likely to influence whether the project's activities will be sustained)	
	Comments:	
	OVERALL PERFORMANCE ASSESSMENT	
9.	How would you rate the overall performance of the project, considering the Relevance, Effectiveness, Efficiency, Impact and Sustainability of the project?	
	Comments:	

PART III: TEXTUAL ASSESSMENT

1. What were the major issues or problems that affected project implementation?
Comments:

2. What, if any, significant unintended impacts/outcomes (positive or negative) were there beyond the original project plans?
Comments:

3. Comment on the impact of the project in enhancing and strengthening the UN implementing partner and the wider UN system.
Comments:

4. What type of evaluation was conducted on the project by the UN implementing partner(s) (internal, external or participatory)? Were the target beneficiaries involved in the evaluation, and if so how?
Comments:

5. What were the major lessons (positive and negative) learned through the project? Are there concrete recommendations that could increase the success of future programmes?
Comments:

6. What was the added value, if any, of applying the human security approach to this project?
Comments:

7. Would you suggest that the UNTFHS profile this project as a human security success story?
Comments:

8. Has there been any significant progress in the promotion of the concept of human security as a result of this project?
Comments:

9. Describe any significant contributions by donors/s (outside of the UN system) and/or effective strategies employed to secure funding.
Comments:

10. Has this project been replicated elsewhere using other financial resources?
Comments:

11. Any other comments?

Table 2: Certified Interim Report of Income and Expenditure

Name of Implementing Agency
As Executing Agency for …………………
Project Name and Number

Interim Report of Income and Expenditures for the ....(specified period or Year Ended 31 December (Year)

		Amount (USD)
I. OPERATING FUND		
Balance as of 1 January (Year)		-
Add: Remittances from United Nations in (Year)		
Interest Income a/		-
Miscellaneous income a/		-
Subtotal		-

	Unliquidated Obligation	Disbursements	
Less: Staff and other personnel expenses			
Travel on official business			
Contractual services			
Operating expenses			
Acquisitions			
Fellowships, grants and others			
Total expenditures			-
Programme support costs …%			-
Total expenditures and programme support costs			-
Balance as of 31 December (Year)			-

Notes:

a/ Please provide detail of interest and miscellaneous income.

_____   _____   _____
(Signature)   (Name and Title)   (Date)

Table 3: Certified Statement of Income and Expenditure

<div align="center">

Name of Implementing Agency

As Executing Agency for ………………….

Project Name and Number
</div>

Statement of Income and Expenditures for the ....(specified period or Year Ended 31 December (Year)

	Amount (USD)
I. OPERATING FUND	
Balance as of 1 January (Year)	-
Add: Remittances from United Nations in (Year)	
Interest Income a/	-
Miscellaneous income a/	-
Subtotal	-

	Unliquidated Obligation	Disbursements	
Less: Staff and other personnel expenses			
Travel on official business			
Contractual services			
Operating expenses			
Acquisitions			
Fellowships, grants, and others			
Total expenditures			-
Programme support costs …%			-
Total expenditures and programme support costs			-
Balance as of 31 December (Year)			-

Notes:

a/   Please provide detail of interest and miscellaneous income.

This is to certify that the above statement of income and expenditure is correct and that the expenditure was incurred in connection with the approved projects for which the allocations have been received.

_____   _____   _____
(Signature)   (Name and Title)   (Date)

Annex 4: Project Revisions

If an organisation(s) which is funded by the UNTFHS wishes to make <u>any</u> changes to the originally approved project, it must submit a <u>written</u> request to the HSU <u>for the approval of the revision</u> and complete the form below <u>at least one month prior</u> to the project end date.

In the event that activities cannot be implemented by the deadlines as stipulated in the financial agreement that is signed by the implementing organisations and the UN, the lead organisation shall request for an extension with the endorsement of the other implementing organisations and shall obtain prior written approval from the HSU.

In case projects are not implemented by the deadline and an extension has not been granted by the HSU, the implementing organisations are expected to return all unspent funds, as per the financial agreement that is signed by the implementing organisations and the UN.

Generally, project revisions can be categorized as follows:

a) A request for an extension in the duration or timing of the project without any change to the overall project budget.
b) A change in the implementation arrangements without any change to the overall project budget.
c) The re-deployment of funds between approved project budget components, without changing the approved project total <u>if</u> the budget for each of the project objectives increases by <u>more than</u> 20% (see form 2 below).
d) Increasing the overall project budget without changing the project details i.e. the objectives, outputs and activities (see form 2 below).
e) Increasing the overall project budget and substantively changing the project details i.e. the objectives, outputs and activities (the request must be <u>accompanied</u> by a revised project document which clearly highlights the proposed changes).

This is not an exhaustive list. Organisations should contact the HSU for clarification if any other changes are proposed.

The table below shows the approval stages for some of the different types of project revisions:

Types of revisions	Approval by HSU	Approval by the Project Review Committee	Approval by the Executive Office of the Secretary General
a. A request for an extension in the duration or timing of the project without any change to the overall project budget.	Yes	No	No
b. A change in the implementation arrangements without any change to the overall project budget.	Yes	No	No
c. The re-deployment of funds between approved project budget components, without changing the approved project total <u>if</u> the budget for each of the project objectives increases by <u>more than</u> 20%.	Yes	No	No

Types of revisions	Approval by HSU	Approval by the Project Review Committee	Approval by the Executive Office of the Secretary General
d. Increasing the overall project budget without changing the project details i.e. the objectives, outputs and activities.	Yes	Yes	Yes
e. Increasing the overall project budget and substantively changing the project details i.e. the objectives, outputs and activities (the request must be accompanied by a revised project document which clearly highlights the proposed changes)	Yes	Yes	Yes

Form 1: No-cost extension and reprogramming request form

No-cost extension and reprogramming request form
Agencies requesting a no-cost extension must complete this form at least one month prior to the project end date. Agencies requesting for reprogramming of the project activities must also complete this form and receive approval prior to implementing the change.

No-cost extension request ☐	Reprogramming request ☐
Contact details	
Date of request:	
Requester's Name and job title:	
Requester's email:	
Project details	
Project title:	Project budget: US$
Project reference number:	Expenditures to date: US$
Extension request details	
Original project completion date:	
Requested completion date:	
Justification/Explanation for a no-cost extension or reprogramming of activities	
Please explain in detail why the activities could not be completed or funds spent within the implementation period. For reprogramming, please explain why funds could not be spent as originally intended.	
Please explain what objectives have been achieved to date and how a no-cost extension or reprogramming will affect activity implementation.	
Please explain if/how the activities or targets will change as defined in the original project proposal with a no-cost extension extension or reprogramming.	

Form 2: Project budget revisions

Project Title	
Project reference number	
Country	
Date	

	Original budget lines				Amended budget lines					
Specific Objectives	**YEAR I**	**YEAR II**	**TOTAL**	**Specific Objectives**	**YEAR I**	**YEAR II**	**TOTAL**	**Variance- amended vs original**	**% variance against original**
Objective 1				**Objective 1**					
Organisation A				Organisation A					
Organisation B				Organisation B					
Organisation C				Organisation C					
Objective 2				**Objective 2**					
Organisation A				Organisation A					
Organisation B				Organisation B					
Organisation C				Organisation C					
Amount not covered above (i.e. Programme coordination)				**Amount not covered above (i.e. Programme**					
Total project cost				**Total project cost**					
PSC (x% of the project cost)				PSC (x% of the project					
TOTAL PROJECT BUDGET (project cost + PSC)				**TOTAL PROJECT BUDGET (project cost**					

Note: Wherever possible and relevant, please provide a detailed breakdown of items (unit costs, quantity) for the specific budget lines. Where a breakdown is unnecessary,

please enter the total amount of the item. Please add additional rows as needed.

Annex 5: Annual Work Plan Format

Project title:

UNTFHS project number:

Year:

Expected outputs	Planned activities	Timeframe				Responsible party	Planned budget	
	List main activities, including M&E to be undertaken during this year							

Annex 6: Financial Agreements

When a project proposal is approved for funding under the UNTFHS, the applying organisation (except UN Secretariat Departments) has to sign a Financial Agreement (FA) with the Office of the Controller which governs how the organisation should use the contribution from the UNTFHS.   Following is a summary of the process that is undertaken:

- A draft FA is sent to the Liaison Officer of the applying organisation by the HSU and the Liaison Officer is requested to check for any changes/omissions/additions to the FA.
- Once agreement is reached on the content of the FA, the HSU sends two copies of the FA to the Controller for signature.
- When the FA is signed by the Controller, the two copies are sent to the applying organisation through their Liaison Officer for their signature.
- The applying organisation should return one of the signed original copies to HSU. Upon receipt of the signed original copy, the HSU requests for an allocation and subsequently payment of the contribution to the applying organisation.
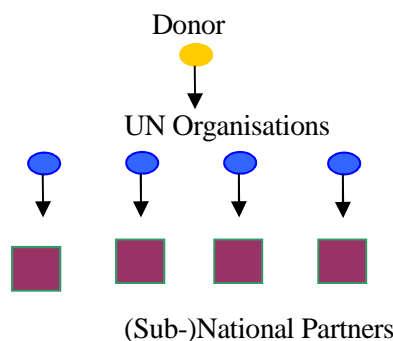
Annex 7: Fund Management

1. Operational details for parallel fund management for joint programmes

Definition: This fund management option is likely to be the most effective and efficient when interventions by participating UN organisations are aimed at common results, but with different national, sub-national and/or international partners. Under this option, each organisation manages its own funds. The joint programme document would consist at a minimum of a common work plan agreed by all participating UN organisations, an aggregated/consolidated budget showing the inputs from the various parties involved, the coordination mechanism and signature of participating organisations.

Resource Flow and Management: The following graphic illustrates the fund flow under parallel fund management.

**Graphic illustration of fund management for
a Joint Programme with Parallel Funding**

Donor

UN Organisations

(Sub-)National Partners

Coordination mechanism: Once all components of the joint programme common work plan have been agreed to by (sub-) National partners and each of the participating UN organisations, roles and responsibilities for coordination of the various interventions and for producing a single aggregated/consolidate report should be documented.   Due consideration should be given to the need of dedicating sufficient human resources for such functions. All participating UN organisations should share the costs of coordination.   Additional human resource requirements, if any, could be included in funding proposals.

Reporting: Each participating UN organisation will prepare narrative and financial reports in accordance with its policies and procedures, and operational policy guidance. Reporting should be annual and focused on results. Reporting practices and formats should be harmonized to the extent possible.   Responsibility should be assigned for the preparation of an aggregated or a consolidated narrative and financial report for submission to the coordination mechanism. The aggregated/consolidated narrative and financial report should be clearly identified as a compilation of the UN organisations' narrative and financial reporting and be presented "for information purposes" only.

Communication: All communications regarding the joint programme should reflect participation of the (sub)-national partners and all other organisations involved.   In cases where an individual organisation would publicize the joint programme, any reference to activities carried out by the individual organisations should mention the activities in the context of the joint programme.

Funding Arrangement: Funding arrangements under this option follow each organisation's regulations

and rules for individual programming and project processes.

Budget Preparation: Each participating UN organisation will prepare a separate budget, consistent with its procedures, and covering the mutually agreed components of the programme it will manage. Responsibility should be assigned for preparing an aggregated/consolidated budget, showing the budget components of each participating UN organisation/implementing partner(s). That may also contribute to identifying funding requirements.

Accounting: Each UN organisation will account for the income received to fund its programme components in accordance with its financial regulations and rules.

Indirect Costs: In the case of Other Resources, each participating UN organisation will recover indirect costs in accordance with its financial regulations and rules and as documented in the funding agreement signed with the donor.

Interest on funds: In the case of Other Resources, interest will be administered in accordance with the financial regulations and rules of each UN organisation and as documented in the funding agreement signed with the donor.

Balance of Funds: The disposition of any balance of funds remaining at the end of programme implementation will be in accordance with the agreements between the participating UN organisations and the implementing partners as well as donors where applicable.

Audit: Consistent with current practice, each UN organisation will be responsible for auditing its own contribution to the programme as part of its existing regulations and rules. Audit opinions of the individual UN organisations should be accepted by the other UN organisations. Adverse Audit finding shall be shared with the HSU.