GUIDELINES FOR THE PREPARATION OF PROJECT DOCUMENTS FOR THE 14TH TRANCHE OF THE DEVELOPMENT ACCOUNT

1. Given the magnitude of the ongoing COVID-19 pandemic and its economic and social impact, it is essential to continue assisting Member States to address the economic and social challenges emanating from the COVID-19 crisis. COVID-19 dimensions should, therefore, be incorporated in all project documents.
2. Given the fluid COVID-19 situation and emerging variants, it is suggested at this stage to consider possibilities of how the project could be adjusted to the evolving situation, if need be, and that flexibility be built into its design, incorporating lessons learned from eLearning or virtual delivery options as appropriate. It will be essential to start the projects in early 2022, even if there are still restrictions in place and not wait until the situation possibly improves.
3. The first annual project progress report will provide an opportunity to provide further details on country specific action plans and details on indicators as well as an update on possible project amendments.
4. Further guidance on the possible utilization of the Integrated Planning, Management and Reporting (IPMR) will be provided at a later stage as this becomes available. It is very important that project documents be submitted to the DA Team in a timely manner, to ensure sufficient time to create and populate the projects in IPMR if required. This is needed to allow for early allocations so that project implementation can start in early 2022.

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# INTRODUCTION

These guidelines are not intended to provide comprehensive instructions for developing a project, but rather aim at supporting the expansion of the concept notes into full-fledged project documents, drawing on lessons learned from past Development Account (DA) programming experiences.

**In order to expedite the review process and allotment of funds**, entities are required to have project documents undergo a thorough internal quality assurance process prior to the submission to the DA Team. The DA Team will be ready to start receiving the project documents by early September and latest by 30 September 2021. Following submission of the project document to the DA Team by the DA Focal Point, it will be reviewed to ensure adherence with these guidelines. It is expected that the DA Team will send one to two rounds of comments to DA Focal Point, prior to presenting the project document to the DA Quality Assurance Group (QAG). It is planned to have all 14th tranche projects **reviewed and approved by the Quality Assurance Group by mid-December 2021.**

Further guidance on the possible utilization of the Integrated Planning, Management and Reporting (IPMR) will be provided at a later stage as this becomes available. It is very important that project documents be submitted to the DA Team in a timely manner, to ensure sufficient time to create and populate the projects in IPMR if required. This is needed to allow for early allocations so that project implementation can start in early 2022.

Following approval of the fascicle in late December 2021 by the General Assembly (GA), all allotments should be completed by the first quarter (Q1) of 2022. **Projects not allotted by end of March 2022 will be cancelled, and the funds will be programmed for other projects.**

It is recommended that projects be **planned with an implementation period of Q1/2022 - Q2/2025** in mind, so as to allow 6 months to properly close the projects and prepare the final report as well as, if required, to launch the evaluation (Q4 2025). Project evaluations for projects selected for evaluation should be finalized within a timeframe of six months after the closure of the project, i.e., by the end of June 2026.

# TIMELINE FOR T14 ACTIVITIES

|  |  |
| --- | --- |
| **ACTIVITIES** | **TIMELINE** |
| Preparation of project documents by lead entity and other UN DA implementing entities. The project documents need to be prepared in consultation with the other UN DA implementing entities and undergo internal quality assurance processes | **July – 30 September** |
| Submission of project documents by the DA Focal Point to DA Team | **1 – 30 September** |
| Review of project documents by DA Team and DA Quality Assurance Group, revision and finalization by entities | **September - December** |
| Entering of project date into IPMR, if required. Further guidance will be forthcoming. | **November-January** |
| Decision by the General Assembly on the approval of the Proposed Programme Budget including the 14th tranche | **Late December** |
| Creation of project allocations following clearance by DA QAG. Projects that have not been cleared by the end of March 2021 will be cancelled and the funds programmed for other projects. | **Q1 2022** |
| Submission of annual progress reports (PR) | **PR1: 31 January 2023**  **PR2: 31 January 2024**  **PR3: 31 January 2025** |
| Operational and financial closing of project | Projects should aim to complete their activities **by June 2025** and have all financial transactions completed by **December 2025** |
| Submission of final reports to the DA Team | **31 March 2026 (3 months after project completion)** |
| Submission of evaluation reports (where required) | **30 June 2026 (6 months after project completion)** |

# OUTLINE OF A SAMPLE PROJECT DOCUMENT AND GUIDANCE ON HOW TO PREPARE IT

The following section provides an **annotated template** for the project document, including guidance on how to complete each section (a clean project document template is available on the [*DA website*](https://www.un.org/development/desa/da/static-guidance-public/)). While ensuring that the document captures all the requested information, please be as concise as possible, aiming at a **maximum document length of 25 pages**.

# 1. EXECUTIVE SUMMARY

The executive summary provides a brief overview of the project, following the suggested template below.

|  |  |
| --- | --- |
| Project Code and Title: | 2225\_ \_ *(As per the budget fascicle)* |
| Start date: | *Between January 2022 – March 2022* |
| End date: | *Latest by June 2025* |
| Budget: | *$ As per the budget fascicle* |
| Target countries: | *Please list target countries. Where not available state how many countries will be selected in and which regions.* |
| Lead Entity: |  |
| Other UN DA Implementing Entity/Entities: | For joint projects, please list all UN DA implementing entities in this box. |
| Other Collaborating Entities within the UN Secretariat and System: | Please list all UN partners outside of the DA, including UN Country Teams and Resident Coordinators. This can also include Bretton Woods and other regional international financial and other organizations. |

# 2. BACKGROUND

## 2.1 Context

This section should establish the context of the project and provide a brief background focusing on the topic that the project aims to address. A description of how the project will take account of and assist Member States to deal with the ongoing COVID-19 pandemic and its economic and social aftermath should also be included.

## 2.2 Mandates, comparative advantages and link to the Programme Budget

**List** the relevant sub-programmes of your entity as well as of other UN DA implementing entities and other collaborating entities within the UN Secretariat and System, as per the 2021 proposed programme budget (there is **no need to provide further details**; use the information provided in the concept note and simply state the titles of the sub-programmes).

**State** all DA implementing entities’ mandates in relation to the project, starting with the lead entity.

**Elaborate on** all DA implementing entities’ comparative advantages in this area, including the lead entity, vis-à-vis other development partners.

## 2.3 Country demand and target countries

This section should highlight the rationale for country selection based on a demand-driven approach. A valid rationale must clearly spell out both the state of affairs and the country’s interest to address an issue rather than point out the intergovernmental mandate for the UN to do work in a specific area. Please address the following questions:

* + - What **criteria and methodology** has been and/or will be used to select the target countries? Potential for country level impact should be a key criterion, and countries with special needs (LDCs, LLDCs, and SIDS) should be prioritized when appropriate. Where projects plan to work in multiple regions, please provide an explanation of the benefits of the inter-regional approach.
    - **List the focus countries**. Lessons learned from past evaluations suggest focusing on fewer countries to allow for more focused support and deeper impact. It is thus recommended that this number be kept to between 4-6 countries. Should the project target a higher number of countries, an explanation elaborating on the reasons behind this approach should be provided.
    - Have the target countries clearly stated interest in and/or a **demand** for the project? Please elaborate on explicit request for assistance received from countries. If target countries have not yet clearly stated their interest, please elaborate on the timeline for such confirmation and include any supporting details on why demand is likely to be confirmed.

## 2.4 Link to the SDGs

Please list all the essential targets as per concept note (maximum of 10).

Please also elaborate on how the project contributes to the SDGs targets and, where appropriate, indicators and how the project will help in achieving them, highlighting connections to gender equality and human rights, where relevant.

## 2.5 Lessons learned

This section should, if relevant, include a description of past projects addressing similar issues or ongoing efforts that may coincide with the project’s objectives. It should be ensured that projects build on existing infrastructure, incorporate lessons learned, and avoid duplication of efforts with other organizations / entities both within and outside the UN system. This section should include lessons learned from implementation of projects during the COVID-19 pandemic, such as virtual delivery utilizing eLearning or blended learning options when in person activities have not been possible. This section should also elaborate on key findings and lessons learned from evaluations, reviews and/or final reports of relevant projects, which informed the development of this project, including good practices that will be replicated through this project. These may include, but are not limited to, findings and lessons learned pertaining to the overall project approach/strategy, methodology, partnerships, coordination, country selection, and project management, including monitoring and evaluation.

## 2.6 Innovative aspects

The Secretary-General’s call for innovation – “doing different things and doing things differently” – is essential in the rapidly changing and uncertain nature of the systems in which we operate – across the United Nations. Development Account projects are an important operational vehicle for testing new and innovative development approaches, allowing successful ideas to be scaled up and replicated with funding from outside of the Account. Building on the lessons learned from previous projects, if relevant, please briefly elaborate on the extent and the ways in which innovation is a feature of the project and its design.[[1]](#footnote-2) To further the innovations developed to continue delivering results during the COVID-19 pandemic, consideration should also be given to the extent to which it could make sense to incorporate elements of virtual and blended learning methodologies for capacity development in the delivery of project outputs[[2]](#footnote-3).

# 3. ANALYSIS

## 3.1 Situation analysis

The section should elaborate further on the information provided in the context section (section 2.1 above) and map out the principle problem and the underlying issues that the project attempts to address. It should not describe the UN’s perspective (e.g., mandates dictated by intergovernmental processes) but should rather analyze the problems from the target countries’ perspective, incorporating a gender-sensitive and human rights-based approach.

This section should also take account of and elaborate on implications of the ongoing COVID-19 crisis and its aftermath for the project.

Please address the following questions:

* What is the **main problem** in the target countries that the project seeks to address?
* What are the **underlying issues** contributing to this problem? What are the hierarchical relationships and inter-dependencies between them?
* How does the issue affect women and men, boys and girls? Are there groups of people such as youth, persons with disabilities, older people, refugees, migrants, the poor, etc. who might be **more vulnerable, disproportionately affected, or considered ‘left behind’** in terms of the issue? Please briefly elaborate on how and why these groups are differently affected. **Use the strategy section (section 4.1) to elaborate on how their concerns can and will be addressed and integrate this into the results framework whenever possible.**
* How has the **COVID-19** crisis contributed to, complicated or exacerbated the problem the project seeks to address?

While the implementation of the project may be based on a country, sub-regional, regional, inter-regional or global approach, the problem analysis should refer to the challenges faced at a **country level**. The problem identified in this section should not consist of a very broad issue, such as poverty, nor should it consist of a description of a mandate or a given inter-governmental process. In many cases, it may not be feasible for the project to address all the underlying issues identified. Please, therefore, be specific about which underlying issues the project is targeting by clearly connecting the targeted issues to the project’s results framework and activities (section 4.2). In this connection, please also keep the duration and resources available to the project in mind.

## 3.2 Country level situation analysis

Once the key issues have been presented in section 3.1, this section analyzes the issues country by country. This section should give a clearer picture of the status of affairs in each target country and the realistic outcome sought. If more than 6 target countries are identified, select 2-3 sample countries to illustrate the current status of affairs and expected country level outcomes. If target countries have yet to be selected, please provide a generic description.

If a target country has completed a Voluntary National Review (VNR) and the review includes relevant information for the project, then please add information in the box below to refer to it. The VNRs serve as a basis for the regular reviews by the high-level political forum (HLPF), and are available on the following website: <https://sustainabledevelopment.un.org/vnrs/>

|  |  |  |
| --- | --- | --- |
| Country | Status of affairs | Realistic outcomes (should be grounded in the outcomes in the results framework in section 4.2) |
| Country 1 | How does the problem identified in section  3.1 play out in the selected country?  What progress has already been made or what steps have been taken to address this issue?  What (if any) support are other UN agencies and other development partners providing to address this issue?  What are the principle assets the country has in addressing the issue?  What are the principle gaps to be addressed? What does the country VNR say on this issue? | What will this project be able to achieve in country within the timeframe available?  What tangible outcomes are foreseen?  What is the real expected change for the better between the status of affairs before the project and after? |
| Country 2 | ... | ... |

## 3.3 Stakeholder analysis and capacity assessment

This section should identify all non-UN stakeholders[[3]](#footnote-4) of the project, including those who are affected by the problem(s) outlined in the previous sections (3.1 and 3.2). In developing this section, DA implementing entities should fill in the following table for each relevant stakeholder. Please list each individual stakeholder or group of stakeholders in a separate row and fill out the corresponding columns. It is suggested that information be provided in generic terms across target countries, unless the information for stakeholder groups varies significantly between countries. If relevant, please include additional lines where there are substantial differences between countries that effect project implementation.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Non-UN Stakeholders listed in order of level of involvement in the project** | **Type and level of involvement in the project** | **Capacity assets** | **Capacity Gaps** | **Desired future outcomes** | **Incentives** |
| *All direct and indirect non-UN stakeholders should be listed here* ***each on a separate row***  *E.g. policymakers; individual ministries; IGOs, NGOs, private sector, academia*  *etc.* | *How does* ***each*** *of the stakeholders relate to the project/ problem outlined in the previous section?* | *What are the stakeholder’s resources and strengths that can help address the problem that the project strives to solve?* | *What are the stakeholder’s needs and vulnerabilities that the project attempts to bridge?* | *What are the desired outcomes for the stakeholder as a result of project implementation?* | *What is the stakeholder’s incentive to be involved in the project? How can buy-in be ensured?* |
| *Stakeholder 1* |  |  |  |  |  |
| *Stakeholder 2* |  |  |  |  |  |

# 4. PROJECT STRATEGY: OBJECTIVE, OUTCOMES, INDICATORS, OUTPUTS

## 4.1 Project Strategy

This section should be conceived as the project’s **results framework in narrative format.** It should provide a description of the strategy that will be adopted to drive the implementation of the project, considering lessons learned, and explain how the project’s objective links to its outcomes and the outputs. The chronological sequencing of outputs should also be clarified in this section.

This section should also briefly describe the trigger for the project (e.g. a new resolution/outcome document, etc. calling for this action/project, increasing requested from Member States; or other recent developments), after which it should convey the most important planned result/positive change expected in the project beneficiary countries following the completion of the project. Possible considerations in identifying the most significant planned result could be to describe a change that is high profile, novel or representative of the project’s efforts. This section should also include the description of the evidence that will be used to demonstrate the achievement of the most significant planned result, i.e. the related indicator of achievement.

In addition, this section should describe how the project will address **critical COVID-related challenges** referenced in the background and situation analysis sections, as relevant (sections 2.1 and 3.1), and should consider how the project will contribute to **gender equality** and the enhancement of **human rights**, with particular emphasis on **“leaving no one behind”.** Briefly elaborate on the approaches and mechanisms that the project will employ to promote and advance social inclusion and equality, including between genders, and integrate this into the results framework whenever possible.

## 4.2 Results Framework

In filling in the table below, please be sure to maintain consistency with the information reported in the rest of the document (e.g. annexes). **Both the title and objective should be based on the language in the fascicle and concept note. The results framework should take into account any ongoing COVID-related challenges and the aftermath of the pandemic, as referenced in the background section (section 2.1), situation analysis (section 3.1) and project strategy section (section 4.1) above. Considering the ongoing pandemic and related challenges, projects should have built in flexibility and alternative plans (e.g., virtual delivery options).**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Intervention logic** | | **Indicators of achievement** | | **Means of verification** |
| **Objective**  *As per the concept note* | | | | |
| **Outcome - OC1**  *The Outcomes should be used as in the approved concept note.* | | **IA 1.1** *While the indicators were defined at concept note stage; they should be reviewed and, where possible, strengthened in the project document.*  *Please ensure all indicators include clear targets (e.g., X out of Y countries… OR XX% of participants confirm…). See Figure 1 for further information regarding indicators.* | | *Please answer the following:*   * *What sources of information will be used to inform the indicator? (Use of multiple data sources for triangulation of findings is encouraged.)* * *How will the data be collected and by whom?* |
| **IA 1.2** | **…** | ***...*** |
| **IA 1.3** | **…** | ***...*** |
| **Output - OP1.1**  Outputs, as derived from the concept note, should be reviewed and can be modified based on the analysis in section 3. **Please ensure that the outputs listed are sufficient to plausibly achieve the outcomes proposed and are listed in a chronological order**  It is not sufficient to cut and paste the same output descriptions from the concept note. Each output should be further elaborated upon and provide additional details and information (at least one paragraph per output) and clearly state what it concretely will entail, who is responsible for it, what it will lead to, and how it connects to other planned outputs. | | | | |
| **OP1.2** | **…** |  |  |  |
| **OC 2**  **…** | | **IA 2.1 …** | | ***...*** |
| **IA 2.2 …** | | ***...*** |
| **IA 2.3 …** | | ***...*** |
| **OP2.1 …** | | | | |
| **OP2.2 …** | | | | |

#### Formulating effective indicators

* In the context of DA projects, indicators should provide a measure of the degree of **attainment of the project’s outcomes** and *not* a measure of the delivery of the project’s outputs. This requires a clear distinction between means and goals. Indicators of achievement assess whether the project is meeting its goal after mobilizing the means (outputs).
* As many DA projects are about policy change, indicators that clearly illustrate a move in that direction are recommended. A good way to draft indicators might be to define the specific steps that countries will take to achieve the expected policy change (i.e., action plans endorsed, roadmaps drafted, draft legislation prepared, tools developed in the project used by countries for analytical reports/policy change, etc.).
* Indicators utilizing general terms such as “initiatives”, “concepts” or “measures” should be avoided. Indicators should instead use **specific** terminology related to what the project seeks to change (e.g., a regional agreement on…; a draft policy on… etc.). Where the use of such terms is unavoidable, it is recommended that a defining footnote be provided.
* Indicators should be **specific, measurable, attainable, relevant** and **time bound (SMART).**
* Entities are expected to include **benchmarks** for all indicators and ensure that there is a baseline for measurement or assessment of change quantitatively and/or qualitatively, e.g., "X out of Y countries…."
* While **qualitative indicators** are useful, **quantifiable indicators** are preferred as they are more objectively verifiable.
* It is important to be realistic about the **ways in which data will be collected** to inform indicators. Available, feasible and realistic sources of verification should, therefore, be carefully considered while developing the indicators. There is, for instance, no point in developing sophisticated measures for which the process of data gathering would turn out to be excessively costly.
* Indicator selection should take the following into account: **(i)** What data systems are currently in place and can be leveraged? **(ii)** What data can be produced? and **(iii)** What capacity exists to expand current data collection and analysis?
* Use of **multiple data sources** for triangulation of findings is encouraged.
* Project drafters are strongly encouraged to liaise with their Monitoring & Evaluation (M&E) colleagues in the evaluation units of their entities to define **realistic, strong and measurable project indicators** that are useful for the external evaluation at the end of the project. Please ensure that indicators can be measured at the end of the project.

#### Formulating effective outputs

The **project’s outputs** are the specific set of actions and means that will be undertaken to achieve the project’s outcomes. These should focus on achieving high value addition and tangible change with a **strong focus on the national level**. It will be useful to consider interventions at different levels (skills, institutions, enabling environment) for increased and sustainable impact. Examples of outputs across capacity development efforts include workshops conducted, toolkits developed, networks established, and advisory services provided.

It is important that the link between the outputs and the outcomes be kept at the forefront during project design. **Successful implementation of the outputs should be sufficient to plausibly achieve the outcomes that they support**.

Entities are encouraged to engage in a thorough **review process** that involves linking the outputs to the relevant outcomes and also the project objective, to ensure soundness and consistency with the overall approach and results framework of the project. In doing so, the following questions should be considered:

* Suggested top-down questions:
  + How can the objective be met? ….by achieving the OC1 and OC2;
  + How can the OC1 be achieved? …..by delivering OP1.1, OP1.2 and OP1.3;
* Suggested bottom-up questions:
  + If the project delivers OP1.1, OP1.2, and OP1.3 successfully, what will be achieved? … OC1;
  + If the project achieves OC1 and OC2, will this help in meeting the objective? Yes

In designing the project outputs, entities should give strong consideration to means of ensuring national ownership and assign priority to national processes and institutions. Where possible, means of south-south cooperation should be explored.

* Some examples of strong indicators include:
  + *Five National Action Plans (one per target country) for sustainable energy developed and submitted to the respective Governments*
  + *A multi-stakeholder platform for guiding implementation of the national sustainable development strategy has been established in four out of five project target countries*
  + *Five out of six target countries established national data collection systems on sustainable energy in compliance with the United Nations Fundamental Principles of Official Statistics*
  + *Three out of four project countries develop a measurement instrument to monitoring and follow up their digital economy policies*
  + *Each of the selected target cities has endorsed a new participatory urban crime prevention and safety policy*
  + *At least six out of the eight target cities adopt and implement the City Prosperity Initiative as the local monitoring framework for SDGs urban indicators by 2019*

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## 4.3 Risks and mitigation actions

Please provide an analysis of the possible risks that may affect the success of the project and the actions that may be taken to mitigate these risks. This is especially important given the ongoing situation and potential aftermath of the global COVID-19 pandemic and the consequences it may have for implementation of projects (e.g., limitations on in person activities and travel, effects of potential virtual delivery). The list should focus on **factors beyond the control** of the project management.

|  |  |  |
| --- | --- | --- |
| *Risks and mitigation actions* |  |  |
| **Risks**  *What conditions may hinder the achievement of the project objectives and outcomes?*  *Each risk or set of risks should be listed on a separate row. The list should include factors beyond the control of the project management (e.g. Political instability).* | **Likelihood of risks**  *The likelihood of the risks to occur (low, medium or high) and the extent to which they are expected to affect project results should be explained.* | **Mitigating Actions**  *What will be done to mitigate these risks?* |
| **R1.** |  | **M1.** |
| **R2.** |  | **M2.** |
| **…** |  | **…** |

## 4.4 Sustainability and scaling-up

This section should elaborate on how the project intends to sustain any achievements beyond the completion of the project. Sustainability is closely linked to national ownership and should, therefore, represent a **driver of the design of the project** rather than be an ex-post consideration. This section should also seek to address how the capacity development provided through the project will be institutionalized and how best to ensure lasting results, e.g., address the potential issue of high turnover of staff in institutions and the challenges associated with training only a select number of individuals. Furthermore, this section should address the potential for the project to be scaled-up or replicated elsewhere, i.e., multiplier effects, as well as the potential for leveraging additional financial or in-kind funding to further the implementation of the project. Risks, challenges, costs, and other considerations salient to replicating and expanding the project to other contexts should be addressed in this section.

In developing this section, please ensure the following questions are addressed:

* Has the issue of sustainability been built into the project design?
* What steps will be taken to sustain the project’s achievements beyond the completion of the project?
* Has a phasing out strategy been included in the project design?
* How does the project design promote national ownership or ownership by other partners?
* Has the potential for scaling-up or expanding geographically after the completion of the project been explored (e.g. leveraging of additional funding)?
* Have specific outcomes/goals for the project been identified that would justify scaling up or replication of the project?

# 5. MONITORING AND EVALUATION

In this section, please outline the monitoring plans, and evaluation plans for projects selected for evaluation. Please make sure to include timelines for the submission of the Annual Progress Reports, Final Reports and External Evaluations. (See also below).

Entities are required to submit reports to the DA as follows:

* By **31 January 2023**: 1st Annual Progress Report
* By **31 January 2024** 2nd Annual Progress Report
* By **31 January 2025**: 3rd Annual Progress Report
* By **31 March 2026**: Final Report
* By **30 June 2026**: Evaluation Report

## 5.1 Monitoring

This section should not repeat the indicators listed in earlier sections of the project document. Instead, it should explain how and when (at what intervals) data will be gathered against the indicators of achievement in the results framework to assess how the project is performing with regards to its outcomes. For projects that are jointly implemented by two or more DA implementing entities, the section should also describe the process, mechanisms, tools, and roles and responsibilities for collecting, consolidating and maintaining the monitoring data at the project level (as well as at the cluster/workstream level, if applicable). Monitoring data against the indicators of achievement, and any adjustments that are made based on such monitoring with a view to ensuring timely completion of the project and achievement of its expected results, will be included in the Annual Progress Reports (APRs). The APRs are further an important tool for documenting monitoring data to inform the terminal evaluation process for projects selected for evaluation. The APRs are to be submitted to the DA Team by 31st January every year from 2023 until 2025. Guidelines with further details on the preparation of the APRs are available on the [DA website](https://www.un.org/development/desa/da/).

The first APR, due on 31 January 2023, should be used to provide country-specific action plans that have been agreed upon with the countries. The first APR also provides an opportunity to further adjust the project to the new COVID-19 realities. If possible, country-specific indicators should be provided in the first APR. Ideally, the first year of project implementation should provide sufficient time to determine country-specific action plans and the COVID-19 needs and demands of the project beneficiary countries. Should further changes to the project subsequently be required, these could be reported on in the later APR. Should substantial changes be required to the project, then the DA Team should be consulted.

## 5.2 Final Report

The final report provides an **overview of the project and its achievements, primarily from the perspective of the project manager**. It forms an important input to the project evaluation for those projects that will have an evaluation. A draft of the final report should be made available to the external evaluators of projects selected for evaluation as soon as possible and at the beginning of the evaluation process. Guidelines with further details on the preparation of the final reports are available on the [DA website](https://www.un.org/development/desa/da/). Final reports are to be submitted to the DA Team by 31 March 2026 or three months after project completion.

## 5.3 Evaluation

In accordance with the DA evaluation framework and project evaluation guidelines, a terminal evaluation conducted by an external evaluator will be required for approximately half of the 14th tranche projects. Projects with a budget of USD 1 million or more will be selected for evaluation by default, along with a selection of other projects, for a total of at least half of the number of projects in each lead entity. Projects to be evaluated will be selected at midpoint (i.e., at the beginning of 2024) with a view to maximizing the utility of the evaluations in informing future work. Guidance on the selection of projects for evaluation, including criteria to be applied, will be provided in late 2023. The budget for each evaluation will be 4% of the project budget.

For projects with a budget of USD 1 million or more, this section should provide a tentative evaluation plan, including timelines, budget, the arrangements for the management of the evaluation and the preliminary methodology. For projects with a budget below USD 1 million, the section should state that a tentative evaluation plan will be developed and submitted to the DA team as a stand-alone document in the second quarter of 2024, following the selection of projects for evaluation. The planning phase of the evaluation, including the development of the evaluation TOR, should commence at least 3 months prior to project completion (and 5 to 6 months for joint projects involving multiple implementing entities). The evaluation unit of the UN DA implementing entities should be consulted in the development of the tentative evaluation plan.

For projects selected for evaluation, the evaluation report should be submitted by 30 June 2026 or six months after project completion.

# 6. MANAGEMENT, PARTNERSHIP AND COORDINATION AGREEMENTS

**A detailed list of all other UN DA implementing entities and other collaborating entities within the UN Secretariat and System** should be provided in this section. This can also include Bretton Woods and other regional international financial and other organizations. Please note that project beneficiaries are not considered implementation partners and should, therefore, not be mentioned in this section. This section should also provide a description of **who is responsible for what** and **how the different actors will work together** to achieve the project’s objective and intended impact.

The project document **needs to be shared with the other DA implementing entities and other collaborating entities within the UN Secretariat and System** and agreements reached on the roles and responsibilities of each party involved, prior to submitting the project document to the DA Team for review. Please also include budget provisions for DA implementing entities in Annex 3.

Should there **be different divisions** within an entity that will execute the project, then this section should also elaborate on their respective roles.

Coordination and/or implementation mechanisms in the context of the **Resident Coordinator system** and the **UN Country Teams** need to be specified as well as the project’s possible connection to the ‘United Nations Sustainable Development Cooperation Frameworks’.

# 7. ANNEXES

The annexes should contain additional information regarding the work plan and budget. Please attach other useful and relevant information (e.g. detailed work plans, terms of reference, memoranda of understanding, and implementation agreements) as appropriate.

Below are some general comments on the main budget **classes**. Entities are encouraged to consult with their finance section to ensure budgets correspond to the latest guidance.

1. *Other Staff costs – GTA* ***(015)****: This budget class is for General Temporary Assistance used to respond to short- term, interim needs of the implementing entity in carrying out the project’s activities, through the use of temporary staff resources. Staff charged to GTA are usually located with the implementing entity’s HQ office but may occasionally be assigned to a regional center of the entity. GTA should not be used for the recruitment of consultants, or national project staff. As the Development Account does not fund posts, the GTA share of the project budget should be reasonable i.e. max 5%.*
2. *Consultants and Experts* ***(105)****: Consultants should be split into two groups: International consultants, and national/regional consultants. The share of the project budget allocated to international consultancies should be limited. Resource persons in advisory roles, such as panelists at meetings, workshops, seminars, should not be budgeted here but under ‘Grants and Contributions’.*

### *Expert group meeting participants should not be listed in this budget class but rather under Grants and Contributions.*

1. *Travel of staff* ***(115):*** *This budget class is used exclusively for travel of UN system-wide staff, for all types of travel (participation in expert groups, workshops, providing advisory services). Staff travel costs should not be included under workshops.*
2. *Contractual Services* ***(120):*** *Contractual services include institutional contracts with national, regional or international institutions, companies, IGOs or NGOs for preparing publications, conducting studies, carrying out technical work, assisting with the organization of workshops, interpretation costs for Expert Group Meetings, translating or printing documents, etc. The use of local and regional institutions and/or NGOs is encouraged as it contributes to the strengthening of national capacities. This budget class should also be used for procurement contracts.*
3. *General operating expenses* ***(125):*** *This budget class should be used for communications and postage costs which can be directly attributed to the project, as well as in-house or low-value printing of reports. For major undertakings related to printing services, use the contractual services budget class.* ***Venue rentals, conference service costs and communication costs associated with workshops/trainings/seminars/expert group meetings should also be included in this budget class.***
4. *Grants and Contributions – Workshops/ Study Tours* ***(145):*** *This budget class is only for costs related to the travel/DSA of participants attending seminars, workshops and study tours as well as travel of experts and/or participants attending Expert Group Meetings.*

### *Resource persons not contracted, i.e. meeting participants in advisory roles, such as panelists at meetings/workshops/seminars should also be charged to this budget class.*

### *Grants and subcontracts issued to implementing partners to carry out training activities should NOT be charged here but to contractual services.*

### *Any conference related expenditures including venue rental should generally be charged to general operating expenses.*

# ANNEX 1: RESULT-BASED WORK PLAN AND BUDGET DETAILS

Please fill out the table below to provide an implementation work plan and a breakdown of costs, by budget class for each output. The breakdown reflected in Annex 1 should be consistent with the budget requirements reflected in the detailed justification by object code presented in Annex 2. Please include the external evaluation costs in the table below.

### Table 1.1 – Results based work plan and budget

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Outcome** | **Output #** | **Timeframe by output** | | **Budget class and Code**  *(Please use the budget classes listed in the table above.)* | | **Amount (USD**) |
| **Year**  *(2022, 2023,*  *2024, 2025* | **Quarter**  *(Q1, Q2, Q3, Q4)* |
| OC1 | OP1.1 | *(Please list all years and respective quarters in which outputs will be delivered)*  2022  2023  2024  2025 | Q1, Q4 Q3, Q4  …. | Other Staff Costs (GTA) | **015** | $ X,XXX |
| Consultants and Experts | **105** | $ X,XXX |
| Travel of Staff | **115** | $ X,XXX |
| Contractual Services | **120** | $ X,XXX |
| General Operating Expenses | **125** | $ X,XXX |
| Grants and Contributions (Workshops/ Study Tours/EGMs) | **145** | $ X,XXX |
| OP1.2 | … | … | Travel of Staff | **115** | $ X,XXX |
| Contractual services | **120** | $ X,XXX |
| OC 2 | OP2.1 | … | … | … |  | $ X,XXX … |
| Evaluation | | | | Consultants | **105** | $ X,XXX |

**Table 1.2 – Planned annual budget expenditure and cumulative financial implementation rate**

in order to be able to better track the project’s progress, estimates of expenditures to be committed per year should be provided. Please, therefore, fill out the table below with the annual estimated budget figures, which should derive from table 1.1 above.

|  |  |  |
| --- | --- | --- |
| **Year** | **Planned annual budget expenditure** | **Cumulative financial implementation rate** |
| **2022** | $ X,XXX | XX% |
| **2023** | $ X,XXX | XX% |
| **2024** | $ X,XXX | XX% |
| **2025** | $ X,XXX | 100% |
| **Total** | $ X,XXX |  |

# ANNEX 2: DETAILED JUSTIFICATION BY CODE

A detailed description of the budgetary requirements by budget class should be developed in this section. For each budget class, details should be provided on the link to the project outputs. When possible, costs and work months should be disaggregated by output.

### Other staff costs - *GTA* (015) $ (Total)

Temporary assistance to perform the tasks of , in support of outputs: OP#.# (no. of work months) x ( $ per work month) = $ .

OP#.# (no. of work months) x ( $ per work month) = $ . OP#.# etc.

### Consultants and Experts (105): $ (Total)

(A separate breakdown by national/regional consultants and international consultants should be provided)

1. *International consultants*

International consultants for the task(s) of , in support of outputs: OP#.# (no. of work-months), OP#.#(no. of work-months) and OP#.#. (no. of work months) x ($ per month) = $ .

In support of the evaluation of the project: (no. of work months) x ($ per work month) = $ .

1. *National / Regional consultants*

National consultants for task(s) of , in support of outputs OP#.# (no. of work-months), OP#.# (no. of work-months) and OP#.#. (no. of work months) x ($ per month) = $ .

1. *Consultant travel*

(No. of missions) by consultants for the purpose of (if possible indicate countries), in support of outputs OP#.# (no. of missions), OP#.# (no. of missions), OP#.# (no. of missions), and OP#.# (no. of missions). ($ average mission cost) x (total no. of missions) = $ .

### Travel of Staff (115): $ (Total)

1. *UN Staff from the lead entity*

(No. of missions) by UN staff for the purpose of ( ) (if possible indicate countries), in support of outputs OP#.# (no. of missions), OP#.# (no. of missions), OP#.# (no. of missions), and OP#.# (no. of missions).

($ average mission cost) x (total no. of missions) = $ .

1. *Staff from other UN DA implementing entities and collaborating entities within the UN Secretariat and System partnering on the project*

(No. of missions) by other UN staff for the purpose of ( ) (if possible indicate countries), in support of outputs OP#.# (no. of missions), OP#.# (no. of missions), OP#.# (no. of missions) and OP#.# (no. of missions).

($ average mission cost) x (total no. of missions) = $ .

### Contractual services (120): $ (Total)

A provision of $ is required for services in support of outputs OP#.# : description of services, duration and cost of each contract and if possible recipient country.

### General operating expenses (125): $ (Total)

1. *Communications*

In support of OP#.#, OP#.#, and OP#.#. = $ .

1. *Other general operating expenses*

In support of OP#.#, OP#.#, and OP#.#. = $ .

### (Conference related costs, including venue rental for trainings/workshops/EGMs should be listed in this budget class)

### Grants and Contributions (145): $ (Total)

1. *Workshops, seminars & Expert Group Meetings\**

Seminar / Workshop on (title of seminar) in country , in support of OP#.#. Duration of workshop:

days; ($ per participant) x (no. of participants) x (no. of workshops) (ideally the number of participants should be a multiple of the number of target countries)

Please include information regarding the length of each workshop/seminars/Expert Group Meetings in number of days.

1. *Study Tours\**

Study tours for the purpose of ( ) in country , in support of OP#.#. Study tour duration:

days; ($ per study tour) x (no. of participants) x (no of study tours) = $ . (Ideally the number of participants should be a multiple of the number of target countries)

### \*Please note that this budget class can NOT cover costs associated with Conference services (interpretation, venue rental etc.). It is only for participant travel cost.

# ANNEX 3: BREAKDOWN OF EXPENSES BY ENTITY AND COST CENTERS

### Please provide the breakdown of expenses by entity, indicating the cost centre, functional area and WBSE for each (add rows as needed). Kindly only include one cost centre, functional area and WBSE per entity.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Entity | Cost Centre | Functional Area | WBSE | Amount |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| TOTAL |  |  |  |  |

1. To access the Quick Guide to Innovation in the UN and Toolbox for Innovative Approaches, visit: https://research.un.org/en/innovation [↑](#footnote-ref-2)
2. See also the Development Account eLearning Resources webpage: https://www.un.org/development/desa/da/blended-learning-methodologies-for-capacity-development-2/). [↑](#footnote-ref-3)
3. The role of UN implementing partners will be addressed in section 6. [↑](#footnote-ref-4)