**FIFTEENTH FUNDING ROUND**

**PROJECT DOCUMENT GUIDELINES AND TEMPLATES**

These guidelines are for civil society organizations (CSOs) whose proposals have been shortlisted for UNDEF’s Fifteenth Round of Funding. Inclusion in the shortlist does not in itself mean that a project proposal will be funded. CSOs must now proceed to the next stage of the selection process: preparing a detailed project document (PD). **Only upon the successful negotiation of a project document will the proposed project be formally approved for UNDEF funding.**

**How to use these guidelines:**

* **These guidelines function as a template for the actual project document.** **Detailed instructions for each section have been provided in *blue italics*. Once you have completed each section by inserting the required information, please remove all text in *blue italics*. All regular text in black must be retained**, **and should not be modified in any way**.
* The project document should be completed and sent to UNDEF **within 1 month after receiving the notification of the shortlisting of the proposal**. Failure to comply with this deadline may result in its removal from the shortlist.
* The project document and all required annexes must be in **English or French**, the official working languages of the UN Secretariat.
* The project document should strictly follow the structure, format and font used in these guidelines and the templates provided. The narrative portion should not exceed 20 pages.
* The final project document should be complete, coherent and concise. There should be no discrepancies between the information provided in the various sections. The budget should be complete and should align with the activities and outputs described.

**The project document template begins on the next page. All sections must be completed.**

**Please read carefully and comply with all instructions.**

**PROJECT DOCUMENT**

*(Max length: 1 page)*

**UNDEF Project Number: UDF-XX-XXX-XXX**

**Project Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

*(As in the UNDEF comments shared with your selection notification email)*

**Country/Region: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Implementing Agency: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Email/telephone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Website: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Implementing Partner(s): 1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Duration: 24 months** *(This is the default duration. Some projects may be shorter or longer than this)*

**Project Start Date:** (*to be inserted by UNDEF*)

**Project End Date:** (*to be inserted by UNDEF*)

**Funding Round and Year of Application:** Fifteenth Funding Round, 2020

**Amount of UNDEF Grant in USD: $ (UNDEF M&E inclusive)**

**Project Description:**

|  |
| --- |
| *Summarize the project’s main objectives and planned actions in 5-6 lines.* |

|  |  |  |
| --- | --- | --- |
| ***Name of the Organization*** |  | **UN Democracy Fund** |
| *(Please initial): ………………………………………………….…*  NAME, Project Focal Point |  | *(Please initial): ………………………………………………….……*  NAME, Project Focal Point |
| *(Please sign, date and stamp)…………….………………...* |  | *(Please sign and date) ……………………………………….* |
| Name  Title |  | Annika Savill  Executive Head |

*This Agreement is made between the* ***United Nations Democracy Fund****, hereinafter referred to as “****UNDEF”,*** *and* ***[****Name of* ***GRANTEE]****, hereinafter referred to as “****Implementing Agency****” OR* ***[Acronym of GRANTEE]****,*

**1. PROJECT SUMMARY** *(max. length: 1 page)*

***Please complete all other sections first.***

*Based on the information in other sections, particularly section 4, provide a* ***clear and concise******summary of the project*** *that can be used in UNDEF publications and presentations.*

*The* ***summary*** *should include the following:*

* *The problem(s) the project is attempting to address;*
* *The key approach(es) the project will take;*
* *The overall objective and expected outcomes;*
* *Brief examples of main activities of the project (do not list all activities)*
* *The geographic scope and target beneficiaries;*
* *A brief mention of the project partners, if applicable*
* *Path to impact (theory of change)*

*In the path to impact, please describe the direct relationship between your project and its impact both in* ***the short term*** *– i.e. what you expect to achieve at the end of the project and in* ***the longer term*** *– i.e. what longer term goals the project will support. This should be* ***one sentence*** *that outlines the change your project aims to achieve i.e. a summary statement of the logic behind why these specific activities will produce the desired change. For example:*

***“IF we do this activity, THEN we will get this output, and if we achieve these outputs, they will lead to this behavioral change, BECAUSE it will improve the situation this way.”***

*35 lines max. (1 page)*

**2. CONTEXT AND PROBLEM ANALYSIS**

**2.1 Democratic Challenges**

*Briefly identify general democratic challenges relevant to the project and the beneficiary communities in the target country or region. Please include reference as footnotes to back up when possible your statements.*

*10 lines max.*

**2.2 Problem Analysis**

*Provide a brief description of the context in which your project will take place and the specific problem/s it will address. Please include reference as footnotes to back up when possible your statements.*

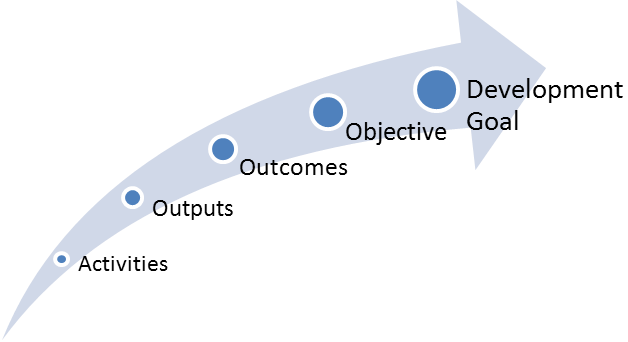
*20 lines max.*

**3. PROJECT STRATEGY**

*Sections 3 and 4 together should provide a comprehensive picture of* ***what the project intends to do and how it intends to do it****, linked to the overall problem analysis and the path to impact (theory of change).*

***Please note:***

*- There should be a logical flow: the activities should lead to the outputs, which should contribute towards the outcomes, which should ultimately lead to the project objective:*



*- When formulating the outcomes and outputs, please focus on the outputs that can be directly attributed to the project; do not attempt to be too broad or too ambitious;*

*- The outcomes, outputs and activities should be clearly connected to addressing the problem statement*

*- Please provide a granular level of detail that can easily be linked to the budget document.*

***Important:***

***Once you have completed sections 3 and 4, it is mandatory to fill out Annex I (Results Framework) and Annex II (Work Plan) in a manner that is complementary and consistent with the information you have provided in sections 3 and 4.***

**3.1 Project Objective**

*Please state the project objective (preferably in* ***one short sentence****). This is the objective the project will directly achieve; the fulfilment of this objective will be directly attributable to the implementation of the project.*

***Be realistic:*** *significant progress towards this objective should be made in the two-year time frame of the project. The problem statement and the project objective are interrelated in that the* ***project objective seeks to directly address the main problem statement.*** *For example, if the problem statement is 'Low representation and participation of women in local councils’ then the project objective might be 'To increase representation and participation of women in local councils’.*

**3.2 Key Approach**

*Please explain here how the project will be implemented and how activities build on each other to achieve the project objective.*

*20 lines max.*

**3.3 Geographic Scope**

*State the* ***geographic scope*** *of the project (states, provinces, districts, villages etc.), along with names and numbers (e.g. the 3 districts of x, y and z, with 100 villages in each). Mention the reasons for selecting these areas. Include a clear map of the target areas here or as an Attachment of the project document.*

*5 lines max.*

**3.4 Beneficiaries**

*State the* ***intended project beneficiaries****, both* ***direct*** *(those who will be directly targeted by the project's activities and outputs) and* ***indirect****. Provide an approximate number for each. You must disaggregate total beneficiary figures by gender.*

*If the project has specific geographical targets, please provide a breakdown of beneficiaries per target area.*

*We recommend disaggregating beneficiaries by other categories when relevant (i.e. ethnic, religious, regional etc.).*

*10 lines max.*

*Compile your data as in a table as per template below. Please make sure that the numbers in this paragraph and the table correspond exactly.*

**Beneficiaries**

*Example:*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Direct beneficiaries** | **Description** | **Quantity** | **# of women** | **Output #** |
| *Youth leaders* | *18-35 years old*  *With university education*  *low-middle income* | *300* | *150* | *1.1* |
| *Local authorities* | *30- 60 years old*  *low-middle income/ high school education*  *From three ethnic groups* | *50* | *20* | *2.1* |
| *…* |  |  |  |  |
| **Indirect beneficiaries** | **Description** | **Quantity** | **# women** | **Output #** |
| *Youth receiving information through social media* | *18-40 years old living in the target areas* | *2000* | *1000* |  |
| *…* |  |  |  |  |

**3.5 Contribution to the Sustainable Development Goals**

*State the main Sustainable Development Goal(s) targets for which this project applies.*

*Information on the Sustainable Development Goals (SDGs) can be found at the following website:***https://www.un.org/sustainabledevelopment/sustainable-development-goals/**

**4. EXPECTED RESULTS**

*Please list outcomes, outputs and linked activities as per example below:*

**Outcome 1:** *Outcome title (one line)*

*State expected positive changes that will be brought about within the timeframe of the project by implementing the following outputs (1 paragraph)*

**Output 1.1** *State the output (1 line)*

***Please provide 1-2 paragraphs focusing on the main activities put in place to achieve this output (15 lines max.)***

***See “SOME TIPS” for outputs and activities below:***

**Output 1.2** *Follow instructions as above.*

**Output 1.3 *etc.***

**Outcome 2:** *Outcome title (one line)*

**Output 2.1** *State the output (1 line)*

**Output 2.2, 2.3 *etc.:***  *Follow instructions as above.*

**Outcome 3:** *Follow instructions as above.*

***IMPORTANT***

***Outcomes, outputs and activities should correspond exactly to the information contained in the Results Framework (Annex I), the activities listed in the Work Plan (Annex II), and the costs in the Excel budget (Annex III). Any discrepancy or inconsistency will delay the project negotiation.***

***OUTCOMES***

*Outcomes are sub-categories of the project objective and the fulfillment of the outcomes will directly lead to the achievement of the project objective. They are the* ***actual positive changes that will be brought about within the timeframe of the project.*** *The outcomes should be realistically framed, so that they are achievable within the time frame of the project. They should be the logical result of the outputs of the project.* ***A maximum of three outcomes*** *should be sufficient for most UNDEF projects. The outcomes should be logically linked and build on each other.*

*Examples of outcomes:*

* *Increased representation of marginalized groups in local government decision making processes*
* *Increased access to services by marginalized groups*
* *Increased awareness of rights of marginalized groups by decision makers*

***OUTPUTS***

*An output is a* ***tangible product/service*** *delivered by a project to achieve an expected outcome. Outputs are the direct result of the completion of a set of activities.*

*Examples of outputs: See template of Annex II below.*

***SOME TIPS:***

* ***Please provide a concise but complete description of the activities****, mentioning the* ***what, why, how, who, and where,*** *as it relates to the output. For example, if the activity put in place to realize your output is a training workshop/s, please specify:*

*The* ***quantity and duration*** *(e.g. 10 training workshops, each lasting 5 days). The targeted quantity of a specific output should have a logical explanation (based on the needs of the target group, or the number of villages to be covered etc.);*

*The* ***content*** *that will be covered during the workshops;*

*The number and breakdown of* ***participants*** *(including number of men and women) for each workshop/s: provide a total number of participants, and a breakdown of key groups, as necessary, e.g. “40 participants for each workshop, with 20 participants from the local government, 10 from local media groups, and 10 from local women’s organizations. 50% of all participants will be women”. State the criteria/methodology for selection of key participants.*

***Where it is happening.***

* *For each output, please specify the* ***follow-up actions*** *that will be taken after the output. For example, if the output is the result of a training workshop/s, please provide a clear description of further actions relating to the trainees. What will they be expected to do post-training? How will they use their training? What support will the project provide?*
* *Please specify the* ***expected impact of each output*** *and* ***concrete measures to monitor it****. For example, after a training workshop(s), we might want to see an increase in knowledge/capacity on a particular subject, as well as the actual application of the training by the participants. This could be measured by doing a pre- and post-survey of participants, and/or by monitoring how the training is actually put into action by the participants. If the output is an advocacy campaign, one could consider the different outputs produced during the campaign and how to measure the effectiveness and impact of those. For example, viewership/listenership numbers for TV and radio spots, audience feedback, press coverage of the campaign, etc.*
* *Make sure there are* ***no inconsistencies between the quantities planned in the budget*** *and the descriptions of activities and outputs in this section.*
* *Please* ***provide the same level of information for all outputs and activities****, regardless of whether they are the result(s) of training workshops, a media campaign, a study tour, radio programming, voter registration drives, dialogue sessions, seminars, etc.:* ***Number, content, duration, participants, location, follow-up actions, concrete results expected, and monitoring****. If there is a complex set of activities under an output, be mindful of describing all key activities clearly and distinctively.*

**5. ADDITIONAL STRATEGIC CONSIDERATIONS**

**5.1 Lessons Learned**

*State any past and on-going projects or activities your organization has worked or has been working on or any relevant on-going or past initiatives by other development partners in the proposed project area or in your country. Explain lessons learnt from such projects/activities and how you can coordinate with on-going project/activities by other development partners*

*You must also refer to the UNDEF lessons learned searchable platform (*[*https://www.undeflessonslearned.org/*](https://www.undeflessonslearned.org/)*) to identify* ***lessons learned*** *that apply to your project and describe how your project will incorporate them.*

*10 lines max.*

**5.2 Gender Strategy**

*For all types of projects, including those that do not focus primarily on gender equality and women’s empowerment, please explain* ***in concrete terms:***

* *What are the specific needs and concerns of women in relation to the problem statement and context you have identified?*
* *What steps will the project take to ensure meaningful inclusion (and not just passive participation) of women?*
* *How will you* ***involve and mobilise******men*** *to promote gender equality and be champions for women?*
* *What positive impact or change will the project bring for gender equality?*

*10 lines max.*

**5.3 Targeting Marginalized/Vulnerable Groups**

*Clearly identify what are the most marginalized and vulnerable groups in the context the project will work in (include all gender and women related issues in the section above). Please explain* ***in concrete terms:***

* *What are the specific needs and concerns with regards to the problem your project is trying to address of the marginalized/vulnerable groups you have identified?*
* *What steps will the project take to ensure inclusion of the marginalized/vulnerable groups you have identified?*
* *What positive impact or change will the project bring specifically for the marginalized/vulnerable groups you have identified?*

*10 lines max.*

**5.4 Sustainability**

***This important section*** *should describe how the project outcomes and impact will be sustained beyond the UNDEF funding period:*

* *Describe the* ***activities, strategies or steps planned*** *for ensuring the sustainability of the project’s impact in the midterm (1-2 years after project completion) and long-term (2-5 years after project completion);*
* *Describe* ***how the structures or practices you will set up during the project will be institutionalised*** *in order for them to continue existing actively after the project’s completion.*
* *For example, if you are creating committees or community groups; what will you do during the project to ensure they have the motivation, status and resources to continue their active work after the project?*
* *If you are encouraging enhanced practices or methods in the way local governments interact with communities, what will you do during the project to make sure those practices are documented, owned and officialised by the targeted local governments in order to ensure they continue practicing them after the project?*

*It is recommended in this section to also refer to the longer term impact your project will contribute to as articulated in the theory of change.*

*20 lines max.*

**5.5 Environmental Impact**

*Explain if the project may have any positive or negative impact on environment, and if negative, state your mitigation measures.*

*5-6 lines max.*

**5.6 Communication**

*Please briefly present here your communication strategy for the project. Do think that you need to communicate information about project activities and their results.*

* *Identify the Audience: To WHOM do you need to****communicate****? ...*
* *Determine Goals and Objectives: WHY****communicate****? ...*
* *Develop Key Messages: WHAT do you need to****communicate****? ...*
* *Develop a****Plan****: HOW will you****communicate****, to whom and when?*

*10-15 lines max.*

**5.7 Covid-19 Response**

*Please state how the project links to the Covid-19 relief/recovery efforts with regard to substantive goals as well as procedural issues (such as project activity delivery methods).*

*5-6 lines max.*

**6. RISK MITIGATION** *(max length: 1 page)*

*Please carefully consider each output and outcome and the various external risk factors that may cause the project to fail or fall short of its objectives. This is especially important if the project involves multiple stakeholders, implementing partners, or necessitates coordinating with government entities and navigating time-bound political processes. Please start by introducing your major risk and mitigation strategy in one sentence, then list key* ***risk factors*** *and describe the related mitigation measures to address these risks using the table below.*

|  |  |  |  |
| --- | --- | --- | --- |
| **Description of Risk** | **Output** | **Probability**  **(low, medium or high)** | **Proposed concrete risk-mitigation measures** |
| *Holding of national or local elections (or any other pre-scheduled national event) is delayed, suspended, altered or generates instability in a way that affects the project’s implementation* | ***Output X*** | *High* | *Please tailor this risk to your context and state how it might affect your project and propose a concrete mitigation measure.* |
| *Difficulty to mobilize communities or implement activities during religious celebrations / national holidays/seasons with extreme weather /or other predictable seasonal factors.* | ***Output X*** | *High* | *Please tailor this risk to your context and state how it might affect your project and propose a concrete mitigation measure.* |
| *Difficulty to mobilize communities or implement activities due to insecurity outbreaks, political instability, threats or other sensitivities.* | ***Output X*** | *High* | *Please tailor this risk to your context and state how it might affect your project and propose a concrete mitigation measure.* |
| *Difficulty to mobilize Government counterparts in support of the project or to contribute/attend project activities.* | ***Output X*** | *Medium* | *Please tailor this risk to your context and state how it might affect your project and propose a concrete mitigation measure.* |
| *Difficulty to secure visa for participants* | ***Output X*** | *Medium* | *Selection will be carried out well in advance in order to allow for slow visa procedures. The selection of participants will also include a waiting list of potential replacement participants to avoid delays in identifying new candidates in case selected participants do not obtain required visas.* |
| *Language difficulties – participants do not speak a language adequately* | ***Output X*** | *Low* | *Project team will select participants with the required language skill, and will consider the language choice for activities carefully as to not exclude any targeted groups. If this cannot be avoided, volunteer Interpreters will be planned for.* |
| *The internet connection is limited or not fast enough for certain activities to take place* | ***Output X*** | *Medium* | *The webinars will be recorded and participants could watch them when it is convenient.* |

*Add more lines as needed*

**7. Management Arrangements AND contributions**

**7.1 Implementing Agency:**

***Briefly explain:***

* *When, where and by whom was the Grantee organization created, including the year and place (city, country) of official registration?*
* *The place of the Grantee organization’s headquarters location and any other offices inside and outside of the country.*
* *The total number of staff, full-time, part-time, volunteers.*
* *Explain briefly the history and experiences/track-record of the implementing agency in the proposed field including 1-2 examples of prior project (title, goal, name of donor, location, duration, and the total costs. (one short paragraph)*
* *What is the governing structure within your organization overseeing the project? (Board of Directors, Advisory Board, Cooperatives etc.)*
* *Send an organogram of your organization*

*15 lines max.*

**The Implementing Agency will be locally responsible for all operational and administrative project management decision throughout the life cycle of the project including outreach, the organization of activities, results monitoring, human resources, finance, travel arrangements, local procurement and logistics.**

**The Implementing Agency will be responsible for contracts with any Implementing Partner(s) or individuals involved in the project. The Implementing Agency will be responsible for managing any financial disbursements to the Implementing Partner(s) or individuals as per implementation arrangements or payment schedules concluded between them. UNDEF does not consider that it has any formal relationship with project partners. All such payment arrangements need to be noted in the project document at the outset of the project.**

**The Implementing Agency is required to update UNDEF with any changes in their contact details.**

**7.2 Management of the Project and Project personnel:**

*This table should describe clearly and in detail the project management arrangements and responsibilities within the Implementing Agency.*

* *Ensure that all project management staff positions mentioned in the budget (section 1a) are included in this table, and make sure to use the same post titles here and in the budget sheet.*
* ***For all personnel involved in the project but NOT included in the budget sheet, please include a statement here that their costs will be covered by the Implementing Agency.***

|  |  |
| --- | --- |
| **Position title** | **Description of roles and responsibilities** |
| *Project coordinator* | *Overall coordination and supervision of project implementation and project team. Responsible for activity planning, quality assurance and reporting.* |
| … |  |

**7.3 Consultants:**

* *Ensure that all consultants mentioned in the budget (section 1b) are included in this table. Please ensure consistency with the titles, descriptions and output or activity numbers here, in section 4 above and with the Excel budget. When preparing the budget,* ***consultant salaries should be based on a daily fee as much as possible and an estimated breakdown of the total number of working days should be presented.***

|  |  |  |  |
| --- | --- | --- | --- |
| **Consultant position** | **Deliverables** | **Output**  **Number** | **Number of days** |
| *Expert in participative budgeting* | *Creation of a participatory budget guide for local councils 5 training sessions for participatory budgeting* | *1.1*  *2.1.* | *10 days*  *5 days* |
| … |  |  |  |

**7.4 Implementing Partners:**

* *Implementing Partners are any entity (NGO, community group, government, university, institution etc.) that will work in partnership with the Implementing Agency to directly implement specific parts of the project.*
* *The Implementing Partners listed in the table below* ***should match those mentioned in the cover page*** *of this document.*
* *An organizational chart might be helpful in depicting the management arrangements.*
* *In Annex IV****,*** *please provide* ***contact information*** *for the Implementing Agency and Implementing Partners.*

**Implementing Partner (A): name**

|  |  |  |
| --- | --- | --- |
| **Experience and expertise of the Implementing Partner** | **Key responsibilities of the Implementing Partner** | **Outputs #** |
| *Please explain why each Implementing Partner was chosen;* ***briefly*** *list their relevant experience and their ability to deliver their assigned responsibilities.* | *Briefly list the key responsibilities that will be assigned to the implementing partner during project implementation.* | *1.1.*  *3.1.* |

*Add more partners as needed*

***UNDEF reserves the right to object to the selection of Implementing Partners.***

**The Implementing Agencyhas provided UNDEF with written confirmation from the Implementing Partners (Annex VII) stating that the Implementing Partners understand and concur with the roles and responsibilities allocated to them within the project, and agree to assume these roles and responsibilities.**

***Attach letter(s) of agreement signed by the Implementing Partner*** *using the template from Annex VII.*

**7.5. Contributions**

* *Please indicate here any in-kind contributions to the project by the Implementing Agency or Implementing Partners.*
* *“Please also indicate if any other donors will be providing your organization with funding for separate projects that are complementary to this project. If so, indicate the name and contact of the donor and describe what will be funded and how it complements this project.”*
* *UNDEF does not accept co-financing from other donors for this project.*

**--- This project has no funding other than the UNDEF grant ---**

**8. Budget**

The **detailed project budget** is attached as Annex III (the Excel budget). **Please note that changes to this approved project budget require prior UNDEF approval. Financial reallocations made without prior notification to UNDEF will not be accepted, and the funds may have to be reimbursed to UNDEF.**

*Please prepare the project budget using the Excel budget template sent to you and available at:**https://www.un.org/democracyfund/Information-for-Grantees and submit it as a separate Excel file.*

*Once the Excel budget is approved, UNDEF will scan and insert it as* ***Annex III*** *to the project document.*

**8.1 Operational Budget (total project cost)**

*UNDEF has notified the Implementing Agency of the approved grant amount. Please use your allocated grant amount to fill in the table below, note that the total UNDEF grant amount is broken down as follows:*

*EXAMPLE*

**Total Project Cost: *US $180,000***

M&E Cost: *US $18,000*

Total UNDEF Grant: *US $198,000*

**Monitoring and evaluation costs (10% of total project costs) will be retained by UNDEF. This amount will not be disbursed to the Implementing Agency. The Implementing Agency is not authorized to incur any costs against this amount, unless directed by UNDEF.**

**8.2 Transfers and Sub-grants**

*List transfers to implementing partners and sub-grants to project beneficiaries (refer to sections 6(a) and (b) of the project budget.*

**9. Disbursement Schedule and milestones**

*You will receive the* ***grant in three disbursements****, linked to the signature of the project document and the achievement of* ***project milestones.***

*A* ***milestone*** *is a significant and observable activity such as the holding of a national seminar, a regional training workshop, a key event or activity. Project milestones* ***will be monitored by an entity independent of the Implementing Agency and appointed by UNDEF.*** *In exceptional cases, a milestone may be a deliverable product such as a written document e (e.g. a national survey, technical report, an online platform etc.). In those cases, the milestone will not be observable but rather the receipt of the deliverable itself by UNDEF.*

*Select suitable milestone activities (for milestone 2 and 3) from your Work Plan (Annex I) and include them in the table below. Most projects will have* ***two observable milestones:***

***- Milestone 1 “Project signature”***

***- Milestone 2:*** *A significant, observable activity taking place in month 8*

***- Milestone 3:*** *A significant, observable activity taking place in month 16*

*Make sure the month matches the period you have marked “X” in the calendar of the Work Plan (Annex II).*

*After you have completed the disbursement columns of the* ***Excel budget****,**(columns D1, D2 and D3 in Excel), you will know what the tranche amounts are for the 1st, 2nd, and 3rd disbursements. Insert these exact total amounts in the table below****.*** *UNDEF prefers that these disbursement amounts be reasonably balanced (e.g. about 30% each) unless there is a good reason to vary this.*

***- Project signature “Milestone 1 (M1)” -****->* ***Disbursement 1***

***- Completion of Milestone 2 (M2) -****->* ***Disbursement 2***

***- Completion of Milestone 3 (M3) -****->* ***Disbursement 3***

UNDEF will appoint an observer to monitor **project Milestones 2 and 3**. This person or entity will bear no responsibility for any aspect of implementation of the project. For this purpose, the Implementing Agency will submit to UNDEF, **two months in advance,** detailed information on the milestone (date, venue, event title, agenda) so that UNDEF can arrange the monitoring visit. The Implementing Agency will do everything possible to assist and cooperate with the UNDEF-appointed observer. There is a statement under the Legal Commitments (**Annex VI**) to this effect.

The grant will be disbursed in three tranches, following the disbursement schedule below. The first tranche of the grant will be disbursed once the project document has been signed. Release of the second and third tranches will be contingent upon:

* The successful completion of the activities set as project milestones 2 and 3, respectively
* The monitoring of the above milestones by an UNDEF-designated monitor
* The submission of deliverable documents related to the milestone, as per the disbursement table below
* The submission of a **Narrative** **Progress Report** by the Implementing Agency, using the UNDEF narrative progress report template
* The submission of any other documents related to the milestone that UNDEF may request
* The submission of an audited **Financial Utilization Report** to UNDEF, following milestone 2 and 3, by the Implementing Agency(certified by the external independent auditor identified in section 10.3 below) and reflecting the amount spent to date.
* **Expenditure of at least 70% of the previous tranche/s**
* Funds will not be released if the project has any **overdue narrative or financial reports** of any kind, or if the project has **failed to follow the UNDEF visibility guidelines** noted in section 10.

**Disbursement table**

|  |  |  |
| --- | --- | --- |
| **Milestone** | **Amount** | **Date** |
| **Milestone #1 (M1)**: Project document signature | \_\_\_\_\_\_\_\_\_US$ | **Month 1** |
| **Milestone #2 (M2) Observation**: *Please indicate a substantive, punctual, tangible and observable activity*  *e.g.* Completion of the 30th Training of Trainers (TOT) program in 5 project districts. (Output 1.2)  **Deliverable due:** *Please indicate a deliverable to be shared at completion of the milestone*  *e.g.* Training manual, PowerPoint presentations or other. | \_\_\_\_\_\_\_\_\_US$ | **Month 8** |
| **Milestone #3 (M3) Observation:** *Please indicate a substantive, punctual, tangible and observable activity*  *e.g.* Completion of the 40th Linkage workshop in 5 project districts. (Output 2.2)  **Deliverable due:** *Please indicate a deliverable to be shared at completion of the milestone*  *e.g.* Workshop report, photos, list of participants or other. | \_\_\_\_\_\_\_\_\_US$ | **Month 16** |

**It is the Implementing Agency’s responsibility to choose carefully the milestone dates and tranche amounts and to ensure that an appropriate amount of money is available to carry out the planned activities between two milestones. Any change in the project schedule which would affect the milestone dates will be notified to UNDEF as soon as possible and well before the next scheduled milestone, to make it possible to discuss alternatives.**

*Once the Project Document is approved by UNDEF, the grantee will be required to provide bank details in order to enable the disbursement of the grant. The bank account must be in the name of the Implementing Agency. UNDEF strongly encourages the designation of a* ***separate*** *account (in US dollar if possible).*

**The Implementing Agency has provided complete and correct bank details to UNDEF. The Implementing Agency will inform UNDEF promptly of any changes to its banking details. Failure to do so will cause significant delays in disbursement and might cause funds to be misrouted. The Implementing Agency will be accountable for any delays or misrouted funds due to incorrect banking information provided by the Implementing Agency. If the Implementing Agency designates a non-US dollar bank account, the Implementing Agency will be responsible for absorbing any and all differences resulting from fluctuations in the exchange rate.**

**10. MONITORING, Reporting and Evaluation**

**10.1 Monitoring**

UNDEF will monitor the progress of the project closely during the project implementation through the Implementing Agency’s reports, UNDEF monitor(s), field visits. The Implementing Agency undertakes to monitor all project activities and outputs. The Implementing Agency also commits to monitoring the results, outcomes, outcome indicators, and impacts of the project.

*Please describe the specific monitoring strategy of the project by the Implementing Agency and the institutional arrangements made for monitoring of the project.*

*This must include information about:*

* *monitoring team,*
* *monitoring schedule,*
* *how monitoring information feeds back into management decisions.*
* *Make specific reference to your strategy on how to monitor the outcome indicators in the Result Framework (Annex I).*

*10-15 lines max.*

**10.2 Narrative and Financial Reporting**

It is the Implementing Agency’s responsibility to meet all UNDEF reporting requirements. The Implementing Agency will submit two Narrative Progress Reports, one Final Narrative Report, two audited Financial Utilization Reports, one Complete Final Project Audit Report including a Final Financial Utilization Report, and other reports as may be notified by UNDEF. These reports will be in the required UNDEF template, either in English or French, the official working languages of the UN Secretariat. The Implementing Agency is responsible for reading and following UNDEF’s Monitoring and Reporting Guidelines, available on UNDEF’s website.

|  |  |  |  |
| --- | --- | --- | --- |
| **Report Title** | **Prepared By** | **Submitted By/To** | **Deadline** |
| Narrative Progress Report (NPR) | Implementing agency | By Implementing agency to UNDEF | Completion of each Milestone (#2 and #3) |
| Milestone Verification Report (MVR) | UNDEF-appointed observer | By UNDEF-appointed observer to UNDEF | Following attendance of milestone activity |
| Financial Utilization Report (FUR) | Implementing agency (certified by the designated external auditor) | By the Auditor to UNDEF | Completion of each Milestone (#2 and #3) |
| Final Narrative Report | Implementing agency | By Implementing agency to UNDEF | 1 month after project end (using the NPR template) |
| Complete Final Project Audit Report and Final Financial Utilization Report (FFUR) | Implementing agency (designated external auditor) | By the Auditor to UNDEF | 3 months after project end |
| Evaluation Report | Independent entity, or as decided by UNDEF in consultation with Implementing agency | By Independent entity to UNDEF, or as decided by UNDEF in consultation with Implementing agency | After submission of Final Narrative Report |
|  |  |  |  |

**10.3 Financial Utilization Report**

The external, independent entity responsible for the audit and certification of financial reports, and the complete final project audit report is ***[insert name of auditor identified in Auditor letter – Annex V]*.**

In casethe Implementing Agency needs to change the designated auditor, the Implementing Agency must consult with UNDEF, and upon UNDEF’s approval submit a new Auditor’s Letter (Annex V) to UNDEF. UNDEF may request the Implementing Agency to select a different external independent auditor if deemed necessary.

A total of three (3) certified Financial Utilization Reports will be submitted to UNDEF. All reports will be submitted in the required UNDEF template. The financial reports will reflect the cumulative amount spent to date.

Within two weeks after milestone 2 and milestone 3, the Implementing Agency will submit a draft financial report to UNDEF for review and approval. Once the draft report is approved by UNDEF, the designated independent auditor shall review and certify the expenditures against the agreed budget and the cumulative disbursed amounts from UNDEF.

**The Implementing Agency shall arrange that the designated auditor sends the certified Financial Utilization Reports directly to UNDEF.**

At the end of the project, the auditor of the Implementing Agency will submit a **Complete Final Project Audit Report** (detailing audit findings and recommendations) of the project along with the certified Final Financial Utilization Report.

Certification costs for the three required audits are included in the project budget.

**10.4 Evaluation**

UNDEF is responsible for devising the final project evaluation modality and will inform the Implementing Agency if a project evaluation is to be conducted. The Implementing Agencyis required to take all necessary measures to facilitate evaluation as and when required by UNDEF or its designated third party. Should an evaluation be conducted, the final evaluation report will be published on the UNDEF website.

10% of the total grant amount (up to a maximum of US$ 25,000) will be retained by UNDEF to pay for external monitoring and evaluation costs. **This amount will not be disbursed to the Implementing Agency.**

The Implementing Agency will be contacted by UNDEF twelve months after the project’s completion date to provide information about the status of project related activities and impact after the closure of the project.

**10.5 UNDEF Visibility Guidelines**

The Implementing Agencycommits to featuring the project and naming UNDEF as a donor in all outreach materials associated with the UNDEF-funded project, including banners, signs, written materials and publications, as well as on its website.

To conform to UNDEF visibility requirements, the implementing agency will:

1. upon launch, post an announcement on its website announcing a new project funded by The United Nations Democracy Fund, featuring a brief summary of one or two paragraphs describing the project as well as the UNDEF logo (bilingual version),
2. for at least the duration of the project, include the UNDEF logo (bilingual version) on its website page under "Donors" or “Partners”,
3. during the project period, include the UNDEF logo (bilingual version) with text: ***Made possible through support from the UN Democracy Fund*** in visibility materials (i.e. on the bottom of banners, printed materials etc).

The project launch announcement will be followed up by biannual updates on the implementing agency’s website homepage in order to relay and publicize information on the progress made by the project funded by the United Nations Democracy Fund. These updates will include photograph(s) of group activity, the project team or a scene related to the project theme/location of the project which feature(s) the UNDEF logo with text: ***Made possible through support from the UN Democracy Fund.***

All material prepared by the project might be used by UNDEF for the purpose of supporting the development of new initiatives. The implementing agency agrees that project material might be posted on the UNDEF website as examples.

**11. Legal Commitments**

The legal commitments outlined in Annex VI are an integral part of this project document binding the signatory Implementing Agency and its Implementing Partners. **These legal commitments cannot be modified**.

**ANNEX I**

**RESULTS FRAMEWORK**

*The Results Framework is necessary to provide a detailed account of how your project will deliver on its outcomes by linking them to specific indicators that will show how the project made a difference.*

*The template below includes generic examples in order to illustrate the type of information required.* ***Please remove the sample information and fill in this template with the relevant information as pertains to your project.***

|  |  |  |
| --- | --- | --- |
| **Outcome 1: *Fill in outcome 1*** | | |
| **Target Indicator 1.1:**  *State here the target (quantitative but also qualitative) that you aim to achieve at the end of the project.*  ***Please disaggregate all indicators by gender when they include numbers of persons.***  *Example:*  *Target Indicator: By the end of the project, at least 3 new clauses are introduced in the rules of procedure of local councils in favor of women representation and participation.* | **Baseline data:**  *Use the same sentence as for the target indicator, modifying only the target measure to reflect the status before the start of the project. (include a specific source for the baseline information).*  ***Please disaggregate all indicators by gender.***  *Example:*  *2018: There are no clauses in the rules of procedure of local councils in favor of women representation and participation.*  ***Source:*** *Rules of procedure of local councils* | **Method of verification:**  *What specific and realistic tools, resources or measures will you undertake or have access to in order to measure that the target has been achieved?*  *Example:*  *Updated rules of procedure of local councils (IA will send a copy to UNDEF)* |
| **Target Indicator 1.2 :** | **Baseline data:** | **Method of verification:** |
| **……** | **……** | **……** |
| **Outcome 2: *Fill in outcome 2*** | | |
| **Target Indicator 2.1 :**  *By the end of the project, at least 30% of local council candidates are women in project targeted areas.* | **Baseline data:**  *Last Local Council elections 2015: 5% of local council candidates were women in project targeted areas.*  ***Source:*** *Official Electoral Commission bulletin, May 2015* | **Method of verification:**  *Official Electoral Commission bulletin (IA will send to UNDEF)* |
| **Target Indicator 2.2 :** | **Baseline data:** | **Method of verification:** |
| **…..** | **…..** | **…….** |
| **Outcome 3: *Fill in outcome 3*** | | |
| **Target Indicator 3.1:**  *By the end of the project, 50% of local women state having participated to a local council meeting in the project targeted areas.* | **Baseline data:**  *2018: 10% of local women state having participated to a local council meeting in the project targeted areas.*  ***Source:*** *Baseline survey on 5% household sample of the targeted population by NGO (done under previous project in May 2018)* | **Method of verification:**  *Survey based on a 5% household sample of the targeted population (total 300 households surveyed by field facilitators).* |
| **…..** | **…..** | **…….** |

***Results Frameworks can be difficult to complete. Some tips:***

***Target Indicators:*** *Please frame at least* ***two******indicators*** *for each outcome, using the table below. An indicator is a statement, qualitative and quantitative, related to some aspect of the* ***outcome****, that allows to* ***directly******measure progress towards achieving the outcome.*** *Each indicator should have a* ***target*** *level of change in keeping with the expected timeframe of the project cycle (2 years). It must be Specific, Measurable, Achievable, Relevant and Time-bound (SMART).*

* *The indicator* ***must go BEYOND the output level to actually measure the positive impact achieved at outcome level. Do not restate an output of the project as an indicator****.* ***The fact that an activity of the project has been completed is also not an adequate indicator.*** *For example, if the output is a national seminar, the indicator should not be ‘national seminar held’. Instead, one would need to consider the positive impact arising from the national seminar, and frame an indicator to capture how that is* ***contributing to the outcome.*** *Say a project intends to conduct training for women leaders, then the training would be an* ***output*** *of the project. The indicator would measure the* ***impact*** *of the training for women leaders. For example, the indicator might look at post-training community-level outreach activities conducted by the trained women, or their participation in political forums after the training etc.*
* *Make sure the indicators you suggest are something that is* ***realistically measurable*** *by your organization with the resources you have available to you.*
* *Avoid vague statements that will not allow an* ***objective measure*** *of progress, for example “20% increase in quality” is not objectively measurable. Think of how you would define quality more specifically and how you can set a target to capture this.*
* ***Target:*** *For example, if the indicator is ‘% of women parliamentarians by 2022’ and the baseline is 12% (2020). Then the target might be ’20 % (2022)’.*
* ***Gender:*** *As much as possible, consider including at least one indicator that specifically measures the impact on gender equality, and remember to disaggregate all indicators by gender.*

***Baseline data:*** *Please provide brief and relevant baseline data for each indicator. Baseline data can be quantitative (number, percentage, ratio etc.) or, where these numbers are not readily available or not appropriate, qualitative (a short assessment of the specific situation). Such data provide a measurable way of looking at the specific situation in place at the project’s inception, and are essential in order to establish a foundation for measuring the project’s performance and impact.* ***The Implementing Agency is responsible for collecting baseline data prior to the commencement of the project.*** *In certain cases, it might be necessary to collect some additional data as the project begins. If so, please indicate the type of data and how it will be collected.*

***Method of verification:*** *Please* ***describe how the indicator and target will be monitored and what sources will be used.*** *For example, if an indicator relates to increased dialogue between indigenous leaders and local government representatives at local council meetings, then the monitoring might involve sending observers to local council meetings, reviewing attendance and the meeting minutes, collecting feedback from participants after the meetings, monitoring media coverage of the meetings etc. to show evidence of increased dialogue both from a qualitative and quantitative perspective.*

**ANNEX II**

**WORK PLAN** *(Sample)*

*The Work Plan aims to provide a* ***detailed, logical, chronological and organized picture of the project design****.* ***It is the detailed roadmap of the project implementation.*** *There should be no inconsistencies between the Work Plan information and section 4 of the Project Document. The timing of the activities and outputs in the Work Plan will be used to confirm together with the Excel Budget the funding required for milestones 1, 2 and 3 (see section 8 on how to calculate the milestone amounts). Alongside the applicable activities, please indicate M2 and M3, for milestone 2 and milestone 3 respectively.*

***Any discrepancy or inconsistency between Work Plan, Excel project budget, and funding required for milestones (disbursement table - section 9) will delay the project negotiation.***

*The table template below includes generic examples in order to illustrate the type of information required.* ***Please remove the sample information and fill in this template with the relevant information as pertains to your project.***

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Outputs** | **Key Activities** | **Timeframe (2 years – 24 months)** | | | | | | | | | | | | **Verification Documents** |
| **1**  **-**  **2** | **3**  **-**  **4** | **5**  **-**  **6** | **7**  **-**  **8** | **9**  **-10** | **11-12** | **13-14** | **15-16** | **17-18** | **19-20** | **21-22** | **23-24** |
| **Outputs for Outcome 1:** *State the outcome (exactly as mentioned in Section 4 above)* | | | | | | | | | | | | | | |
| ***Please insert exact text for the outputs from section 4 above***  1.1 A comprehensive baseline survey and needs assessment produced on civic awareness among indigenous populations in the 5 project districts. | 1.1.1 Design format and content of baseline survey/needs assessment.  ***Briefly*** *list the key activities that will be undertaken.* *It should be clear exactly what actions will be taken, in what sequence, in order to produce the output. Make sure to include follow-up actions and monitoring.* ***All information here should match the description in Section 4.*** | **x** |  |  |  |  |  |  |  |  |  |  |  | * Questionnaire Template. |
| 1. 1.2 Conduct the baseline survey/needs assessment in 5 districts. |  | **x** |  |  |  |  |  |  |  |  |  |  | * List of survey participants. * Photos of the survey * Completed questionnaires |
| 1.1.3 Publish assessment findings as a comprehensive report. |  |  | **x** |  |  |  |  |  |  |  |  |  | * Report |
| 1.1.4 Disseminate report to key stakeholders, including CSOs and government representatives. |  |  | **x** |  |  |  |  |  |  |  |  |  | List of stakeholders |
| 1.2 TOT civic awareness program conducted in 5 districts for 2500 representatives from indigenous groups and local CSOs. **(Milestone 2)** | 1.2.1 Identify key CSOs and indigenous representatives in each project district and invite them to take part in the awareness program. | **x** |  |  |  |  |  |  |  |  |  |  |  | * List of CSOs and Reps |
| 1.2.2 Design training methodology, content and materials. |  | **x** |  |  |  |  |  |  |  |  |  |  | * Copy of manual |
| 1.2.3 Conduct 30 TOT programs in 5 project districts. |  |  | **x** | **x** | **x** | **x** |  |  |  |  |  |  | * Photos of the training * Report |
| 1.2.4 Gather evaluation material and feedback from participants. |  |  |  |  | **x** | **x** | **x** |  |  |  |  |  | * Feedback / Completed questionnaires |
| 1.3 Cascade programs on civic awareness conducted by these trained representatives in 5 project districts for 25,000 indigenous people. | 1.3.1 Adapt training methodology, content and materials as needed from output 2. |  |  |  |  |  | **x** |  |  |  |  |  |  |  |
| 1.3.2 Conduct 500 village-level civic awareness programs. |  |  |  |  |  |  | **x** | **x** | **x** | **x** |  |  | * List of participants. * Film |
| 1.3.3 Gather evaluation material and feedback from participants. |  |  |  |  |  |  | **x** | **x** | **x** | **x** |  |  | * Feedback / Completed questionnaires |
| 1.4 Five Resource Centers established and equipped in each project district (25 centers in total). | 1.4.1 Procure infrastructure for resource centers and identify organizations to house the centers (CSOs, CBOs, local govt. offices). |  |  | **x** | **x** |  |  |  |  |  |  |  |  |  |
| 1.4.2 Select and train Resource Center managers. |  |  | **x** | **x** |  |  |  |  |  |  |  |  | * List of participants. * Photos of the training |
| 1.4.3 Hold monthly orientation sessions on IEC materials and database. |  |  |  |  | **x** | **x** | **x** | **x** | **x** | **x** | **x** | **x** | * Photos of the sessions * Film |
| 1.4.4 Provide ongoing access and services to local indigenous populations. |  |  |  |  | **x** | **x** | **x** | **x** | **x** | **x** | **x** | **x** | * List of participants. * Photos * Film |
| (…) | (…) |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Outputs for Outcome 2:** *State the outcome (exactly as mentioned in Section 4 above)* | | | | | | | | | | | | | | |
| 2.1 Sensitization programs on critical needs and issues of women conducted for local government representatives in each of the project districts (15 programs total). | 2.1.1 Design the format, content and materials for the sensitization programs, in conjunction with representatives of women’s groups. |  |  | **x** |  |  |  |  |  |  |  |  |  | **….** |
| 2.1.2 Liaise with key stakeholders from local governments, CSOs and CBOs to ensure participation in program. |  |  | **x** |  |  |  |  |  |  |  |  |  |  |
| 2.1.3 Conduct sensitization programs in 5 districts. |  |  |  | **x** | **x** | **x** |  |  |  |  |  |  |  |
| 2.1.4 Gather evaluation material and feedback from participants. |  |  |  | **x** | **x** | **x** |  |  |  |  |  |  |  |
| 2.2 Linkage workshops are held in each project district (40 workshops total) to increase dialogue between local government and women’s groups. **(Milestone 3)** | 2.2.1 Design the format, content and materials for the workshops, with input from key stakeholders. |  |  |  |  |  |  | **x** |  |  |  |  |  |  |
| 2.2.2 Conduct the 40 linkage workshops in 5 districts. |  |  |  |  |  |  | **x** | **x** | **x** | **x** |  | **x** |  |
| 2.2.3 Gather evaluation material and feedback from participants. |  |  |  |  |  |  | **x** | **x** | **x** | **x** |  | **x** |  |
| 2.2.4 Compile outputs of workshops as a comprehensive report on program and policy priorities for women’s issues. |  |  |  |  |  |  |  |  |  |  |  | **x** |  |
| 2.2.5 Disseminate the report to key stakeholders, including media and national government. |  |  |  |  |  |  |  |  |  |  |  | **x** |  |
| (…) | (…) |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Outputs for Outcome 3:** *State the outcome (exactly as mentioned in Section 4 above)* | | | | | | | | | | | | | | |
| 3.1 Conduct regular voter registration/education drives during the project cycle. | 3.1.1 Create linkages with Electoral Office and National Planning Agency. |  |  | **x** |  |  |  |  |  |  |  |  |  |  |
| 3.1.2 Identify areas with lowest voter registration and low ratios of voter registration centers per population |  |  | **x** |  |  |  |  |  |  |  |  |  |  |
| 3.1.3 Conduct 6 voter education/registration drives in each project district, and set up mobile registration centers in selected areas. |  |  |  | x | **x** | **x** |  |  |  |  |  |  |  |
| 3.1.4 Conduct ongoing voter education and registration at Resource Centers in each district. |  |  |  |  | **x** | **x** | **x** | **x** | **x** | **x** | **x** | **x** |  |
| (…) | (…) |  |  |  |  |  |  |  |  |  |  |  |  |  |

**ANNEX III**

**PROJECT BUDGET**

*The budget should be prepared in the Excel template provided by UNDEF. Once the budget is approved, UNDEF will insert the budget here in the final version of the Project Document.*

**ANNEX IV**

**CONTACT INFORMATION**

|  |  |
| --- | --- |
| **Implementing Agency** | |
| **Name of Organization:** |  |
| Address: |  |
| Telephone/Fax: |  |
| Web Site: |  |
| **Point of contact:** | *Provide full name and title* |
| Telephone/Fax: |  |
| Email: |  |
| Skype ID: |  |
| **Alternate point of contact** | *Provide full name and title* |
| Telephone/Fax: |  |
| Email |  |
| Skype ID |  |
| **Implementing Partner(s) (if applicable)** | |
| *Please provide for every Implementing Partner:* | |
| **Name of Organization:** |  |
| Address: |  |
| Telephone/Fax: |  |
| Web Site: |  |
| **Point of Contact:** | *Provide full name and title* |
| Telephone/Fax: |  |
| Email: |  |

**ANNEX V**

**AUDITOR’S LETTER *– TEMPLATE (Please ask the auditor to use their letterhead)***

Name AND LoGO of Accountant/ AUDITOR

**Date**

United Nations Democracy Fund

One United Nations Plaza, DC1-1300

New York

NY, 10017

USA

RE: ***PROJECT TITLE AND NUMBER (UDF-XX-XXX-XXX)***

This is to certify that UNDEF grant recipient, **NAME**, has internal controls and financial systems in place that are generally adequate to control the receipts and disbursement of project funds and to report on the use and status of these funds. The recipient also appears capable of satisfactorily implementing the project, monitoring the performance and reporting on project activities and results.

Yours Sincerely,

***Signature and stamp***

**Name of Auditor**

**Title**

**Contact and address**

**ANNEX VI**

**LEGAL COMMITMENTS**

Signature of this project document commits all parties to abide by the following:

a. As per ECOSOC Resolution 1996/31 on consultative relationship, as well as the UNDPI criteria for associated NGOs, the aims and purposes of all Implementing Agencies are in conformity with the spirit, purposes and principles of the Charter of the UN.

b. The Implementing Agency agrees to undertake best efforts to ensure that none of the funds received from UNDEF are used to provide support to individuals or entities associated with terrorism and that the recipient of any amounts provided by UNDEF do not appear on the list maintained by the UN Security Council Committee established pursuant to Security Council Resolution 1267 (1999) and that this undertaking form part of any and all sub-contracts entered into by the grantee.

c. The Implementing Agency does not intend to and will not provide any type of support for any member, affiliate or representative of an organization that recommends or condones the use of violent means in political action in general and of terrorism in all its forms and manifestations in particular, as stated in the 2005 World Summit Outcome document (§81).

d. Additionally, the Implementing Agency represents and warrants that it is not an entity engaged in:

* + - 1. any practice inconsistent with the rights set forth in the Convention on the Rights of the Child, including Article 32 which requires that a child shall be protected from performing any work that is likely to be hazardous or to interfere with the child’s education, or to be harmful to the child’s health or physical, mental, spiritual, moral, or social development;
      2. the sale or manufacture of anti-personnel mines or components utilized in the manufacture of anti-personnel mines; and
      3. sexual exploitation or abuse of anyone by its employees or any other persons engaged and/or controlled by the Implementing Agency to perform any services for the project.

e. All implementing agencies to this project are duly constituted nationally or internationally and where applicable, comply with existing national legislation regarding formal registration, incorporation. For the avoidance of doubt, the Implementing Agency confirms that it is in compliance with all applicable national and local legislation.

f. All implementing agencies to this project have statutes or by-laws providing for a transparent process of decision-making, election of officers and members of the Board, and the Implementing Agency has authority to speak for its members through its authorized representatives identified in this project document.

g. The Implementing Agency agrees to be responsible for the overall management of the project and will bear all financial and reporting responsibilities to UNDEF as per the UNDEF Monitoring and Reporting Guidelines. The Implementing Agency is responsible for informing UNDEF of any important matters and significant changes associated with the organization or the project implementation. The Implementing Agency also agrees to be responsible for contracts and implementation arrangements with any implementing partners or individuals involved in the project. The Implementing Agency is responsible for its staff, personnel and contractors performing functions for the project, including supervision, welfare and security, throughout the life cycle of the project and beyond, in accordance with its own rules and policies. UNDEF does not, by financial or other assistance to the Implementing Agency pursuant to this project document, accept any responsibility for errors, negligence, mismanagement, debts or any liability whatsoever incurred by the Implementing Agency or any other person, group, or agent associated with it.

h. The Implementing Agency agrees to take all necessary measures to facilitate monitoring and evaluation as and when required by UNDEF or a third party on its behalf.

i. The Implementing Agency agrees that UNDEF will appoint an agent of their choosing who amongst other things will observe and report progress on the passing of milestones and who will not be held responsible for any aspect of the project.

j. All funds will be transferred from UNDEF to the Implementing Agency in US Dollars. Any onward payments by the Implementing Agency made in currencies other than US Dollars will be determined by applying the rate of exchange in effect on the date of payment. Should there be a change in the rate of exchange prior to the full realization of the project, which may affect the ability to carry out project activities, the Implementing Agency will be expected to adjust project design so as to stay within available resources.

k. All financial accounts and statements shall be expressed in US Dollars.

l. Changes to the approved project budget require prior UNDEF approval. Financial reallocations made without prior UNDEF approval will not be accepted, and the funds may have to be reimbursed to UNDEF.

m. Any interest income attributable to the utilized portion of the grant will be credited to the project account and shall be re-invested in the project.

n. The Implementing Agency agrees to return the remaining balance of funds, if greater than USD 1,000 to UNDEF upon completion of the project. Any remaining balance less than USD 1,000 may be used by the Implementing Agency for purposes similar to the present project.

o. The Implementing Agency agrees to obtain authorization from UNDEF prior to making changes to the project activities and outputs. Should the Implementing Agency fail to do so, funds remitted for said activities and outputs may have to be returned to UNDEF. Similarly, if the Implementing Agency fails to complete project activities and outputs, funds remitted for such may have to be returned to UNDEF.

p. The Implementing Agency agrees to provide financial expenditure reports and certified financial statements as per the UNDEF Monitoring and Reporting Guidelines available on the UNDEF website.

q. Receipts and justification documents for project expenditures must be kept and made readily available in case of any audits.

r. Assets approved by UNDEF and purchased by the Implementing Agency under this project do not fall under the financial or managerial control of UNDEF at any stage of the project. UNDEF is not involved in their acquisition, in decisions concerning access, or in the assumption of risks associated with these assets. Consequently, the Implementing Agency is responsible for all financial and managerial control and accountability of these assets throughout the life cycle of the project and beyond, in accordance with its own rules.

s. UNDEF reserves the right to terminate this project should, in UNDEF’s view, circumstances so require. Upon termination, no further funds will be disbursed.

t. The United Nations reserves the right to conduct audits and investigations concerning any aspect of the Agreement and the implementation thereof. The Implementing Agency shall provide its full and timely cooperation with any such audits and inspections.

u. The Parties shall use their best efforts to amicably settle any dispute, controversy, or claim arising out of the Agreement or the breach, termination, or invalidity thereof.

v. Nothing in or relating to the Agreement shall be deemed a waiver, express or implied, of any of the privileges and immunities of the United Nations, including its subsidiary organs.

**ANNEX VII**

**IMPLEMENTING PARTNER AGREEMENT LETTER *– Template***

NAME AND LOGO OF IMPLEMENTING PARTNER

Name of Implementing Agency

Address

**PROJECT TITLE AND NUMBER (UDF-XX-XXX-XXX)**

I, **NAME, FUNCTION**, hereby confirm and pledge that I have actively participated in the project proposal formulation **N° UDF-XX-XXX-XXX**, entitled « **PROJECT TITLE** ».

We commit to implement all activities and to assume full responsibility and roles assigned to us.

This certificate is issued to serve and assert that obligation.

Yours sincerely,

Written in **CITY**, on **DATE**

***Signature and Stamp***

**Name**

**Title**

**Contact and address**

***PROJECT SUBMISSION Checklist***

*Once you have finalized your project document, please check the following list.* ***Fulfilling all of these requirements will increase your chances of a successful negotiation with UNDEF.***

***Quality checklist:***

* *Did you ensure that you have included all the required information in line with these guidelines?*
* *Did you delete all instructions in blue italics? Did you retain all the required text in black?*
* *Did you make sure there are no incomplete sections?*
* *Did you identify and include clear milestones and tranche amounts?*
* *Did you check for no inconsistencies between the implementation timeframe described in Section 4, in the Work Plan calendar and in the distribution of the costs of the budget in the three milestone columns?*
* *Did you check for no inconsistencies between the description of outputs and activities in section 4, particularly in terms of quantities (numbers of participants and meetings etc.) and the quantities in the budget?*
* *Did you check that the Outcome, Output and activity statements and numbering are consistent throughout the project document and budget?*
* *Does the Excel budget add up to the exact UNDEF grant amount and are disbursement amounts consistent with the disbursement table in section 9 of this Project Document?*

***Documents required for submission:***

* *Project Document*
* *Annex I: Results Framework*
* *Annex II: Work Plan*
* *Annex III: Project Budget (see separate EXCEL template)*
* *Annex IV: Contact Information*
* *Annex V: Auditor’s Letter*
* *Annex VI: Legal Commitments (not signed)*
* *Annex VII: Implementing Partner Agreement Letter (if applicable only, one per partner)*
* *Map for geographical area(s) project implementation*
* *Proof of Auditor's membership to national or regional audit association, AND certificate of auditor AND proof of ID.*
* *Two audited financial statements of Implementing Agency. These should be annual organizational financial statements of two recent years and not financial project reports.*
* *Two annual reports of the Implementing Agency. These should be annual organizational reports and not project reports of two recent years.*
* *Copy of original legal registration of the Implementing Agency.*