**Instructions and concept note template for UNTFHS Window II programmes**

* The objective of a concept note is to allow the HSU to make an initial assessment of submitted proposals and to determine their appropriateness for submission as a full programme proposal.
* Concept notes must be prepared in line with the format presented in this Annex and must demonstrate that the proposal is developed using the tools and the human security analysis provided in the [Human Security Handbook](https://www.un.org/humansecurity/wp-content/uploads/2018/05/HS-Handook_rev-2015.pdf).
* Applying organizations should clearly demonstrate the relevance of the proposed programme to the objectives of the UNTFHS and the Key Funding Criteria (Section IV - **Part 2**) as outlined in the Guidelines. The proposed programme should aim at extending awareness and usage of the human security approach at all levels (national, regional, and international) and take into account the additional criteria outlined on page 5 of the Guidelines.
* Regional or multi-country programmes should consult with the relevant Development Cooperation Office (DCO) Regional Director’s office during the development of the concept note. In addition, for regional or global programmes, if the proposal includes in-country activities, the relevant Resident Coordinator should also be consulted. Confirmation of these consultations should be noted in the concept note submission.
* The UNTFHS utilizes the pass-through fund management modality through the lead entity/agency as detailed at Annex 7 of the UNTFHS Guidelines. As such, the lead entity/agency is responsible for the overall programmatic and financial management of the entire programme. The lead entity/agency needs to ensure coordination and synergies among all implementing partners, submit consolidated narrative and financial reports, and ensure the adequate use and dissemination of the human security approach throughout the life of the programme. The lead entity/agency, together with the relevant UNRC/RCO, is the primary point of contact with the UNTFHS.
* Organizations should be aware that the acceptance of a concept note and an invitation by the HSU to prepare a more detailed programme proposal is not a guarantee that the programme proposal will be accepted for funding.
* Concept notes should be submitted to the HSU as instructed in the Call for Proposals by the specified deadline.
* Any concept note that does not meet these basic criteria will not be appraised.

**Concept Note Format – Window II** **only**

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| **Date of submission** | dd/mm/yyyy (the date should be updated whenever the proposal is revised and resubmitted) |
| **Benefiting country/region and location(s)** |  |
| **Title of the programme** |  |
| **Duration of programme** | From dd/mm/yy to dd/mm/yy (xx months) |
| **Lead UN organization** | Give name, title and email address of the focal person in the lead UN organization, including a finance focal person. |
| **Implementing UN organization(s)** | Give name, title and email address of the focal persons in each UN implementing organization. |
| **Non-UN implementing partners** |  |
| **Resident Coordinator(s)**  **Resident Coordinator’s Office (RCO)**  (For submissions from regional entities, offices of SRSGs or other similar entities, submissions can be from the highest-ranking UN official) | Give name, title and email address of the focal persons in relevant RCO(s) and/or Regional Office(s)/HQs |
| **Total programme budget including indirect support costs in US$** (UNTFHS and other sources of funding) |  |
| **Amount requested from the UNTFHS in US$** (max. $300,000 for ‘window II’ programmes) |  |
| **Amount to be sourced from other donors in US$** (please list each donor and the amount to be contributed) |  |
| **Target SDG(s):** |  |

1. **Executive summary** (max. ~1 page or 3000 characters)

Provide an overview of the programme by responding to the following:

* What is the overall purpose of the programme, and what are the expected results at the end of the programme period as well as longer-term outcomes beyond the programme period?
* What are the interconnected challenges being addressed, who are the main target groups, and why is it important to address this challenge now?
* Why is human security the most appropriate approach? How will its application advance a different way of responding to the challenge than previous interventions or ways of working? How will it add value?
* Who are the key partners and how have they been involved to date?

1. **Joint Multidimensional Human Security Analysis**

The information contained in this section should be based on a comprehensive multi-sectoral analysis in which UN entities and partners adapt and combine existing analytical tools and processes to create a multidimensional and context-specific joint presentation of risks, needs, vulnerabilities and capacities, as the basis for a common approach.

* 1. **Overall context analysis** (3000 characters)
* Considering the domains of human security (economic, food, health, environmental, personal, community and political), highlight critical and pervasive challenges to be addressed. Emphasis should be placed on describing how the various risks and impacts are interconnected, interdependent and/or compounding.
* Identify the root causes and underlying drivers of risks and vulnerabilities, as well as their impact on different groups within communities and their impact on institutions.
* Provide relevant disaggregated qualitative and quantitative data, from national to household level as relevant. Provide hyperlinks when possible.

1. **Programme details** 
   1. **Overview of programme** (2500 characters)

* Based on the comprehensive context analysis, briefly explain what the programme is aiming to achieve. It is required that you highlight the key entry points and how they will enable the partners to address multiple risks, insecurities and/or agendas.
* Highlight the UN entities and other partners who will be engaged in the programme.
* Describe the community/ies and any specific group(s) you may target and why. Provide a disaggregated estimate of direct and indirect beneficiaries.
  1. **Programme results framework** (no character limit)
* List in bullet points the programme objective(s), outcomes and the major outputs and activities of the programme.[[1]](#footnote-1)
* Please also list the collective outcome(s)[[2]](#footnote-2) that the programme aims to achieve or contribute towards. It is recognized that achieving collective outcomes may be beyond the timeframe of the programme. Nonetheless, the programme should be aiming towards a collective outcome that requires the inputs of diverse stakeholders.

**Results framework requirements**

* **Objective:** The objective states the end result targeted or expected to occur as a consequence of the programme’s efforts, at least in part, and to which the intervention is intended to contribute. Window II programmes usually have one main objective, typically describing medium-term changes aimed at meeting the needs of the beneficiaries.
* **Outcome(s):** The outcomes represent the changes that occur as a result of the completion of the outputs (e.g. enhanced coordination, strengthened capacities of stakeholders, etc). While the achievement of outcomes may depend on actions of various stakeholders and may not be entirely in the hands of the implementing entity, they should generally be within realistic reach through the completion of the programme’s outputs. Window II programmes typically have 2-3 outcomes.
* **Outputs:** The completion of the intended outputs, i.e. the tangible products and services that result from the completion of programme activities, should realistically lead to the achievement of the outcome(s) and contribute to the objective.
* **Activities**: Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.
* **Indicators:** Programmes should formulate SMART (Specific, Measurable, Achievable, Relevant, Time bound) indicators at both outcome and output level. The full results framework to be developed at the programme proposal stage would also include baselines, targets and means of verification.
* When developing the results framework, it is suggested to carefully review the logical sequence of these different levels to ensure the completion of the activities can achieve the outputs, and the completion of the outputs is sufficient to realistically lead to the achievement of the outcomes.
  1. **Programme rationale** (2000 characters)
* Describe how this programme is aligned with national, sub-national and local priorities, the United Nations Sustainable Development Cooperation Framework, if relevant, and other relevant global, regional or national agendas and strategies.
* Please also outline how it complements past and on-going initiatives by the UN, the government, and other major stakeholders. Please provide specific details (e.g. project title, donor).
  1. **Implementing through and added value of the human security approach** (3000 characters)
* This section should explain and provide specific examples of how the programme will operationalize the human security approach (its principles and the protection and empowerment framework as outlined in the Human Security Handbook). Please refrain from general statements about the principles and provide concrete examples of how they are operationalized in the design of the programme.
* Linked to the above, please clearly articulate how the human security approach is applied in the development and implementation of assessment frameworks, policy evaluation frameworks, and new policies or tools (e.g. early warning tools, indices, etc.)
* Describe how the proposed programme is different from previous responses and why it is the best approach to address the challenges identified.
  1. **Mainstreaming, scale-up, replication and sustainability** (1500 characters)
* Indicate the catalytic potential of the programme and specific efforts to mainstream the human security approach.
* Provide a brief description of efforts to ensure its scale-up, replication and sustainability.
* If the programme involves the development of new tools, guidelines and/or other practical solutions based on the application of human security, please also explain why these new tools are necessary and how the programme will contribute to their adoption by key stakeholders.
  1. **Outreach and communications** (1500 characters)
* Briefly describe the strategy for dissemination and communicating the human security approach, explaining how the message (i.e. the vision, lessons learned and achievements) of the proposed programme will be disseminated to beneficiaries, national and local government, donors and other stakeholders.
* If the programme involves the development of new tools, guidelines and/or other practical solutions based on the application of human security, please outline the outreach and communications actions necessary to raise awareness and usage of these tools.

1. **Management structure and partnerships** (1500 characters)

* Briefly outline the roles of the partners including the RCO, UN entities, sub-national and national government, civil society, international development partners and the private sector, among others.

1. **Proposal development** (1500 characters)

* Please describe the entities that have been consulted during or who participated in the development of the concept note. Please review the requirements on consultations for regional and global programmes.

1. **Budget**

All concept notes must include an indicative programme budget using the [simplified budget template](https://drive.google.com/file/d/1VakcOaNslvIxH1SmIT0BWO8vaIshcLmz/view?usp=sharing) for concept notes on the UNTFHS website. In developing the budget, please keep in mind the criteria listed in Section IV.3 of the Guidelines, and Section VI of the Guidelines. For example, please consider the following:

* The budget must not include government staff salaries and institutional recurrent costs of UN agency operations (i.e. maintenance, utilities, office rent). Instead, the bulk of the funding must be used for programme activities with direct impact on vulnerable people and communities. In this regard, UNTFHS anticipates that salaries of staff would be a very modest component (e.g. 15-20% max) of the programme cost without the indirect support cost (7%). To support local ownership and sustainability of programme interventions, the UNTFHS encourages the use of local capacity as much as possible. The UNTFHS also encourages the use of international/ national UN Volunteers as appropriate. All general operating costs for running an office (e.g. telecommunication, rents, finance charges and other costs) should also be of a very modest component (e.g. 5-10%).
* The budget must include indirect support costs of 7%. For implementing organizations that are UN Secretariat departments/offices, their budget should not include the 7% indirect support cost as per guidance from the UN Controller’s office.
* For joint programmes, only the **pass-through fund management option** can be used. Operational details on the pass-through fund management option are provided in Annex 7. The budget should include the administrative fee of 1% for the Administrative Agent (AA). The lead agency that will act as the AA will be granted 1% of the programmable budget as administrative fees and will be responsible for the distribution of funds to the other implementing partners, as well as for the preparation and submission of financial reports. (Please see text box below for additional information on the role of the lead agency.)

**Role of the lead agency for UNTFHS programmes**

As all UNTFHS programmes are multidimensional, multiagency, and multi-partner, the role of the lead agency is crucial, particularly with regard to the genuine integration of activities and the required coordination among implementing partners, as well as communication with implementing and non-implementing partners, among others. The lead agency is therefore not necessarily the entity with the most significant substantive role or largest amount of funding from the UNTFHS, but the agency best suited in the particular context to oversee and drive integration and coordination towards the shared objectives of the human security programme.

**Key responsibilities of the lead agency**

Coordinating overall programme implementation in line with the human security approach. The lead agency will be responsible for the organizing meetings and consultations with all programme partners, including but not limited to steering committee and technical working group meetings, to ensure integrated implementation of the programme.

Establishing the appropriate governance structures and coordinating mechanisms for a successful human security programme at the nation and community levels (or global and regional levels, as relevant for the programme).

Managing timely communication and consolidation of the inputs required from the implementing partners for the development of annual work plans, M&E plans, communications strategies, mainstreaming efforts as well as narrative and financial reports submitted to the HSU.

Designating a programme coordinator who will serve as the primary focal point for the programme. The coordinator will play a key role in managing and monitoring programme implementation.

Ensuring that all programme activities are in line with the approved programme proposal and budget, and apply the human security approach.

1. A full list of activities and comprehensive monitoring and result matrix is only required at the full programme proposal stage. However, please outline major activities and outputs to clearly illustrate how the programme plans to achieve the desired outcomes and how the various outputs and outcomes are mutually reinforcing. [↑](#footnote-ref-1)
2. A collective outcome is a concrete and measurable result that multiple stakeholders want to achieve jointly over a period of time (often 3-5 years) to reduce people’s needs, risks and vulnerabilities and increase their resilience. [↑](#footnote-ref-2)