



United Nations Trust Fund for Human Security

Guidelines

9th Revision¹

1 May 2016

¹ This sets out the revised Guidelines for the United Nations Trust Fund for Human Security, effective as of 1 May 2016. The eighth revision which became effective on 30 October 2014 is hereby superseded and cancelled. Please note that the Annexes have been updated as of 7 June 2021 and should be used for submissions to the 2020 Call for Proposal.

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I. INTRODUCTION

On 10 September 2012, the General Assembly adopted by consensus General Assembly resolution 66/290 on a common understanding of human security. The consensus resolution provides formal clarity on the principles that underpin the human security approach and its application.

Human security is a people-centred, comprehensive, context-specific and prevention-oriented framework that considers the broad range of conditions that threaten the survival, livelihood and dignity of people, particularly those who are most vulnerable. By identifying the concrete needs of populations under stress, human security highlights the complexity of the challenges and promotes integrated solutions that ensure greater coherence and stronger impact.

As a result, the advancement of human security gives rise to more tangible and sustainable results that comprehensively address the root causes behind current and emerging challenges; identify priorities based on the actual needs, vulnerabilities and capacities of Governments and people; and advance solutions that strengthen the protection and empowerment of all peoples and communities. The combination of these elements help bolster actions taken by the United Nations, Governments and other actors to build resilience, prevent crises and support people's aspirations to be free from fear, want and indignity.

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

To realize the full potential of the human security approach, the United Nations Trust Fund for Human Security (UNTFHS) finances activities carried out by UN organizations² to demonstrate the added value of the human security approach and extend its usage and awareness both within and outside of the United Nations system.

III. PROGRAMMES TO BE SUPPORTED BY THE UNTFHS

- a) Programmes that mainstream and advance the operational impact of the human security approach by meeting the key funding criteria specified in section IV.1 and IV.3 of the Guidelines.
- b) Programmes that extend the global awareness of the human security approach and its usage by meeting the key funding criteria specified in section IV.2 and IV.3 of the Guidelines.

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

IV. KEY FUNDING CRITERIA

1. Programmes to mainstream and advance the operational impact of the human security approach

Applying organizations are requested to utilise the tools provided in the [Human Security Handbook](#) and meet the following criteria:

- a) Advancing the integration and mainstreaming of the human security approach across the work of the United Nations, in particular, at the local and national level.
- b) Building partnerships with local, national and international stakeholders to expand the reach of programme activities and to promote greater support and replication of the human security approach beyond the current programme.
- c) Having a catalytic nature that can be replicated in other countries and regions through other sources of funding.
- d) Providing concrete and sustainable benefits to vulnerable people and communities threatened in their survival, livelihood and dignity.
- e) Advancing multi-sectorial and integrated responses that take into account the people-centred, comprehensive, context-specific and prevention-oriented aspects of the human security approach.
- f) Implementing the “protection and empowerment” framework by comprehensively including both top-down protection and bottom-up empowerment measures based on the aforementioned four principles of the human security approach.
- g) Promoting partnerships with civil society groups, NGOs and other local entities, and encouraging implementation by these entities.
- h) Promoting inter-agency cooperation based on the comparative advantage of the applying organizations so as to advance the operational impact of the programme.
- i) Concentrating on those areas of human insecurity that are currently neglected and avoiding duplication with existing programmes and activities.
- j) Including a component designated specifically for the promotion of the human security approach, especially at the local, national and regional levels.
- k) Paying special attention to the needs of persons with disabilities in the design and implementation of programmes.

These are examples of situations that can be addressed from a human security perspective. This list is indicative and not exhaustive and is updated periodically.

- Supporting the acceleration of the Sustainable Development Goals through a disaggregated and tailored approach that accounts for the impact of inequities, social exclusion and discrimination, and promotes people-centred, comprehensive, integrated and inclusive multi-stakeholder partnerships at the local and national level.
- Advancing the transition from humanitarian assistance to longer-term sustainable

development by addressing the root causes of crises, enhancing people's ability to live free from fear, want and indignity, and restoring trust and confidence in an inclusive post-crisis process at the local and national level.

- Viewing migration through the human security lens by highlighting the challenges faced by 'people on the move' as well as their host communities; by strengthening mechanisms that protect and empower migrants and their host communities; and by advancing multi-stakeholder partnerships that ensure safe and orderly pathways for migration with bigger impact and stronger results for all.
- Responding to the multi-dimensional consequences of climate-related risks based on an in-depth analysis of the levels, trends, connections and distribution of risks and vulnerabilities among communities and groups. By supporting protection and empowerment strategies that are people-centered, programmes are targeted to the needs of communities and their aspiration to live through strengthened resilience.
- Addressing the economic, environmental and social components of health-related insecurities through the development of integrated responses across sectors and by addressing the systemic and behavioural changes needed to strengthen community preparedness to identify, respond to and control health related challenges.

In addition to clearly demonstrating the relevance of the programme to the key funding criteria above, applying organizations should receive the consent of the recipient Government to implement the programme and should ensure that programme activities are in line with national strategies and priorities so as to ensure national ownership, sustainability and replication.

2. Programmes to extend awareness of the human security approach and its usage at all levels

In developing programmes to extend awareness of the human security approach and its usage at all levels (national, regional and international), applying organizations are requested to meet the following criteria:

- a) Promoting and facilitating the application of the human security approach through:
 - i) Strengthening outreach at non-intergovernmental international fora;
 - ii) Enhancing cooperation with regional organizations; or
 - iii) Improving collaboration with civil society and non-governmental actors.
- b) Contributing to the formulation of concrete and action-oriented initiatives to address specific challenges through the human security approach by the international community, including Governments, intergovernmental bodies, the UN system, regional organizations, civil society and non-governmental actors.

Programmes aiming to extend the global awareness of the human security approach and its usage must be planned with the direct involvement of the Human Security Unit (HSU). Such programmes should enhance the capacity of partner entities to formulate and implement human security policies, programmes and activities with concrete benefits to vulnerable people and communities in their survival, livelihood and dignity.

3. The UNTFHS will not consider

- a) Stand-alone programmes which do not indicate concrete plans to mainstream the human security approach and do not apply the approach beyond the duration of the programme.
- b) Requesting funds to fill a resource gap for existing initiatives which do not apply the human security approach.
- c) Requesting funds for stand-alone research and data collection.
- d) Requesting funds for emergency assistance that does not ensure self-sustainability at the community-level.
- e) Where a substantial part of the budget covers official/UN staff travel and/or conference services.
- f) Where a substantial part of the budget covers institutional recurrent costs and/or personnel costs.
- g) Requesting funds to cover costs of large-scale infrastructure programmes (construction of small infrastructure may be funded if the people being targeted carry out the construction work and the expenses for construction work should not exceed 30% of the total budget.).
- h) For funding of large-scale micro-credit and/or grant schemes.
- i) For programmes that are carried out by non-UN organization(s) without substantive involvement of the applying UN organization(s).
- j) Submitted by individuals and non-UN organizations.
- k) For dissemination programmes that are planned without the direct involvement of the HSU.

V. FOCUS OF IMPLEMENTATION

- a) Programmes shall be distributed globally with priority given to countries and regions where insecurities of people are most critical and pervasive.
- b) Programmes shall build partnerships to scale up and expand the reach of activities supported by the UNTFHS by integrating and mainstreaming the human security approach through other sources of funding that promote greater support for its replication beyond the duration of the programme.

VI. BUDGET

For operational programmes where the resources of the UNTFHS are designed to provide seed-money for catalytic and innovative programmes that mainstream and advance the operational impact of the human security approach:

- i) Co-funding³ by sources outside the UNTFHS that support the implementation of the UNTFHS-funded programme and the achievement of its objectives is required.

³ Co-funding for UNTFHS programmes is defined as funds that are additional to the UNTFHS funds and that are provided by sources outside the UNTFHS that support the implementation of the UNTFHS-funded programme and the achievement of its objectives.

- ii) While there is no explicit lower budget limit for operational programmes funded under the UNTFHS, the total programme budget should be sufficient to meet all key funding criteria as described in Section IV of these Guidelines.
- iii) For these programmes, the seed-money provided by the UNTFHS will not be more than approximately two million US dollars (US\$2,000,000) per programme and the applying organization(s) must provide indications of co-funding as part of the concept note, and evidence of confirmed co-funding as part of the full programme proposal. Based on past experience, human security programmes should not be less than five million US dollars (US\$5,000,000) for a period of 2 to 3 years.

For programmes that aim to extend awareness and usage of the human security approach by enhancing the capacity of entities to formulate and implement human security policies, programmes and responses, the total budget should not exceed three hundred thousand US dollars (US\$300,000).

Programmes shall make the maximum use of local and regional resources and avoid using costly foreign expertise.

VII. APPLICATION PROCESS, PROGRAMME REVISION AND REPORTING

1. Who can apply?

UN organizations as specified in Section II of the Guidelines are eligible to apply for funding under the UNTFHS.

2. Application procedures

The programme development process is broken down into two phases: (i) concept note and (ii) full programme proposal. The accompanying Annexes (Programme Advisory Notes Annexes 1-7) provide detailed information on the requirements for the preparation of concept notes and full programme proposals, as well as reporting, programme revisions, financial agreements and fund management modality.

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

3. Where to apply?

Concept notes and programme proposals should be submitted electronically to the HSU (humansecurity@un.org) with a cover letter signed by the relevant UN Resident Coordinator.

4. Programme revisions

If applying organization(s) wish to make any changes to the originally approved programme, they must submit their written requests to the HSU for approval as outlined in Annex 5.

5. Reporting and Publication

- a) The applying organizations(s) will report to the HSU on the implementation of programme activities funded by the UNTFHS and will submit substantive and financial reports as prescribed in Annex 3.
- b) The applying organization(s) will publicize the progress and results of the programme by highlighting the added value of the human security approach through local and international media as well as other suitable channels.

VIII. ADMINISTRATION OF THE UNTFHS

1. Donors

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

2. Administration and Resources of the UNTFHS

- a) Resources of the UNTFHS consist of voluntary cash contributions from donors and interest accruing there from.
- b) The UNTFHS is administered in accordance with the UN Financial Regulations and Rules.
- c) The UNTFHS is managed by the HSU at the United Nations.

3. Accountability

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

ANNEX 1: CONCEPT NOTE REQUIREMENTS

[The instructions below and the subsequent template apply to Window I programmes under the UNTFHS. Please see page 14 for instructions and the template for Window II programmes.]

Instructions for Window I 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.
- Applying organizations should clearly demonstrate the relevance of the proposed programme to the objectives of the UNTFHS (Section II) and the Key Funding Criteria (Section IV) as outlined in the Guidelines. Furthermore, they should ensure that the proposed programme is in line with national strategies and priorities so as to ensure national ownership, replication and sustainability.
- 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](#).
- 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 I only

Date of submission	dd/mm/yyyy (the date should be updated whenever the proposal is revised and resubmitted)
Benefiting country 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 focal person on finance.
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 Regional Office(s)/HQs
Total programme budget including indirect support costs in US\$ (UNTFHS <u>and</u> other sources of funding)	
Amount requested from the UNTFHS in US\$ (no more than \$2million for operational programmes and no more than \$300,000 for outreach/advocacy 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 (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?
- 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?

2. 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.

2.1. **Overall context analysis** (3000 characters)

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

3. **Programme details**

3.1. **Overview of programme** (2500 characters)

- Based on the comprehensive context analysis, this section should narrow down and focus on the interconnected challenges and opportunities to be addressed by the proposed programme. 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 insecurities together.
- 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.

3.2. **Programme results framework** (no character limit)

- List in bullet points the objectives, outcomes and major activities and outputs of the programme.⁴
- Please also define the collective outcomes of the programme. *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.*
- In addition, please outline short, medium and long-term expected outcomes, even if they are beyond the scope and duration of the proposed programme.

3.3. **Programme rationale** (2000 characters)

- Describe how this programme is aligned with national, sub-national and local priorities, the United Nations Sustainable Development Cooperation Framework (Cooperation Framework) and other relevant UN regional or national strategies.

3.4. **Implementing through the human security approach** (3000 characters)

- This section should explain and provide specific examples of how the programme will

⁴ 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 you are planning to achieve the desired outcomes and how the various outputs and outcomes are mutually reinforcing.

operationalize the four principles of the human security approach (people-centred, comprehensive, context-specific, prevention-oriented) as well as the empowerment & protection strategies in its design and implementation. (See 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.

4. Added value

4.1. **Justification** (2000 characters)

- Describe how the proposed programme is different to previous responses and why it is the best approach to address the challenges identified.
- 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).

4.2. **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.

5. 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.

6. Any other business (1500 characters)

- This section is an opportunity for you to let us know any important and relevant information that might not have been covered elsewhere.

7. Budget

All concept notes must include an indicative programme budget using the [simplified budget template](#) 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, 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%). 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%).

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 lead agency that will act as the Administrative Agent 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 and for the preparation and submission of financial reports.

The budget must include indirect support costs of 7 % and the administrative fee of 1% for the Administrative Agent. 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.

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.

Instructions for 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](#).
- 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

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 <u>and</u> 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?

2. 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.

2.1. 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.

3. Programme details

3.1. 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.

3.2. Programme results framework (no character limit)

- List in bullet points the programme objective(s), outcomes and the major outputs and activities of the programme.⁵
- Please also list the collective outcome(s)⁶ 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.

⁵ 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.

⁶ 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.

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.

3.3. 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).

3.4. 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.

3.5. 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.

3.6. 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.

4. 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.

5. 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.

6. Budget

All concept notes must include an indicative programme budget using the [simplified budget template](#) 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.

ANNEX 2: FULL PROGRAMME PROPOSAL REQUIREMENTS

- Full proposals should be developed in line with the format presented in this Annex.
- Full proposals should be submitted electronically by the Resident Coordinator or highest ranking UN official (e.g. regional commissions or offices of SRSGs, etc.) to the HSU at humansecurity@un.org or to the HSU programme focal point(s) with a signed cover letter.
- Organizations that submit proposals for funding consideration will be informed of the status of their proposal by the HSU, including the terms and conditions for the approved funds.
- A programme proposal builds on a concept note, providing an expanded and more detailed articulation of the human security context, rationale for funding from the UNTFHS, programme development, programme details, partnership strategy, risk management and sustainability, dissemination, public information and communications, evaluation, management structure and budget.
- As of 2020, all UNTFHS programmes will be required to use the pass-through fund management modality through the lead entity as detailed at Annex 7.
- As such, the lead entity/agency is responsible for the overall programmatic and financial management of the entire programme. The lead entity 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, together with the relevant UNRC/RCO, is the primary point of contact with the UNTFHS.
- For the development of a programme proposal, the HSU can provide assistance to applying entities in completing the human security analysis, undertaking baseline human security assessments and designing a human security programme in the form of an online or in-person workshop with all relevant stakeholders, including Government officers, UN agencies, community leaders, and civil society organizations. Decisions on what support may be needed will be taken on a case by case basis by the HSU in consultation with the lead entity. If deemed necessary, a small portion of the programme budget can be dedicated to these activities. However, this portion cannot be used to hire external consultants.
- Once approved, the full programme proposal should be signed and considered a full part of the agreement between the HSU and the implementing partners.

Full Programme Proposal Format

Date of submission	dd/mm/yyyy (the date should be updated whenever the proposal is revised and resubmitted)
Benefiting country 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 focal person on finance.
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 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\$ (no more than \$2million for operational programmes and no more than \$300,000 for outreach/advocacy 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

The executive summary is a brief statement of the programme. In preparing the executive summary, please consider the following:

- What is the overall purpose of the programme, and what are the expected results at the end of 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?
- Who are the key partners and how have they been involved to date?
- What are the primary objectives, outcomes and activities you aim to achieve?

2. Joint multidimensional human security analysis

Expanding on the concept note, 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 threats, needs, vulnerabilities and capacities, as the basis for a common approach.

2.1. Overall context analysis

- Considering the domains of human security (economic, food, health, environmental, personal, community and political), highlight critical and pervasive challenges in the targeted area and how they are interconnected, interdependent and/or compounding.
- Describe their root causes and their impact on different groups within communities as well as institutions.
- Provide relevant disaggregated qualitative and quantitative data, from national to household level where relevant.

2.2. Interconnected challenges to be addressed

- Based on your comprehensive joint analysis, this section should narrow down and focus on the interconnected challenges and opportunities to be addressed by the proposed programme.
- Explain and justify the selected challenges and geographical focus of the programme.
- Describe the entry-point(s) identified and explain the anticipated positive multiplier effects across other dimensions of human security and SDGs.
- List all relevant documents and sources used in an Annex. Provide hyperlinks when possible.

3. Rationale for funding and programme details

3.1. Workplan narrative

Explain what the programme is aiming to achieve and how it will address the interconnected challenges and opportunities at the local level described in the previous section. Explain how the proposed activities will lead to the collective outcomes and outputs identified as well as how they are anticipated to contribute to longer-term outcomes. To this end, please describe the:

- Programme's overall goal through the application of human security (i.e. long-term effect on a country/region produced by the proposed human security intervention).
- Objectives of the programme (i.e., the short and medium-term effects of the programme that contribute to the overall goal through the application of human security).
- Collective outcomes of the programme (A collective outcome is a concrete and measurable result that actors from various sectors want to achieve jointly over a period of 3-5 years to reduce people's needs, risks and vulnerabilities and increase their resilience).
- Expected outputs (i.e. the products and services needed to achieve an objective and which result from the completion of programme activities).
- Activities that the proposed programme is expected to implement to obtain the stated outputs, collective outcomes, objectives and overall goal.

- In addition, please outline short, medium and long-term expected outcomes, even if they are beyond the scope and/or duration of the proposed programme.

In addition to the narrative above, please complete the Workplan tab of the [Workplan and Results Monitoring Template](#), available on the [UN Trust Fund for Human Security website](#). The workplan should cover all activities under the proposed programme, i.e. those funded by the UNTFHS and other funding sources. When activities are meant to be jointly implemented, please indicate so clearly. Please ensure SMART indicators, with adequate baselines and targets.

3.2. Programme rationale

- Provide a brief assessment of past initiatives by the UN, the government and other major stakeholders, and how they relate to the proposed programme. Explain what gaps exist in these past initiatives to address the situation.
- Provide a brief mapping of on-going or planned initiatives by the UN, the government and other major stakeholders, and how they related to the proposed programme. Explain what gaps exist as well as areas of complementarity where synergies could be sought.
- Explain the programme's relationship to national and local priorities and the degree of commitments from national and local governments.
- Specifically highlight how the programme relates to the United Nations Development Assistance Framework (UNDAF) or United Nations Sustainable Development Cooperation Framework, and other relevant UN regional or national strategies.
- Explain how the proposed programme is different to previous responses and why it is the best approach to address the challenges identified. Please provide specific details/examples and refrain from general justifications.
- Please indicate if the proposed programme is being supported or is being considered for support by another UN funding mechanism.

3.3. Programme development

- Describe how this programme was identified and who has been involved. Explain in what ways the (i) national and local governments; (ii) beneficiaries and local communities; (iii) other UN organizations and international actors in the country, as well as (iv) any other stakeholders were engaged in the process of programme development.
- Explain how the UN entities involved in this programme were identified. Why are they best placed to address the identified challenges? How was the Lead Agency selected and why? How do the entities complement each other, not only by contributing to common outcomes but also by jointly implementing some key activities?
- Provide details on how non-UN partners were identified and why they are best placed to address the identified challenges.

3.4. Implementing through the human security approach

This section should explain and provide specific examples of how the programme will operationalize the human security approach in its design and implementation, especially in light of the relevance to the UNTFHS Guidelines, the Key Funding Criteria (IV) and the guidance provided in the Human Security Handbook. Please refrain from general justifications.

- Describe the multi-stakeholder and multi-sectoral nature of your programme. Highlight concrete synergies between your various collective activities, outputs and outcomes.
- Explain how this programme will capitalize on local knowledge, capacities and resources in responding to the identified challenges.
- Provide information on how the programme is making linkages between the local, municipal, national, regional and global levels, as relevant.
- Highlight how protective measures (top-down norms, policies and processes) will be linked to empowerment measures (capacity building, resilience, etc.)
- Describe how the programme is addressing the root causes or underlying drivers of the identified challenges and promoting a prevention-oriented approach.
- Explain how you will ensure an integrated, efficient and effective delivery of concrete outcomes and outputs.

3.5. Beneficiaries

Describe the direct and indirect beneficiaries of the proposed programme, disaggregated by gender, in terms of their (i) location; (ii) numbers; and (iii) if applicable, communities/ ethnicities. Describe the criteria used to select the beneficiaries, particularly with respect to achieving a balance between genders and different community/ethnic groups.

4. Advancing the human security approach

4.1. Action plan for mainstreaming human security

Develop on the activities for the integration and mainstreaming of the human security approach across the work of the UN and at the local, sub-national and national level that were included in the concept note and develop them into an action plan.

- The action plan must include concrete and time-bound activities for mainstreaming the human security approach as well as specific intended outcomes and should be budgeted accordingly.
- Include details of the processes through which the human security approach will be mainstreamed (i.e. CCA, UNDAF/UNSDCF, and other national planning processes, briefings, trainings, etc.)
- Explain the commitment of senior management to mainstreaming the human security approach across the UN Country Team beyond the duration and scope of this programme.

4.2. Best practices and lessons learned

- Explain how you will capture best practices and lessons learned on the value, opportunities and challenges of implementing the human security approach. This should include aspects related to delivery of the programme (e.g. integrated workplans, steering committees, programme coordination mechanisms, etc.) as well as to the thematic issues addressed by the programme (e.g. working across agendas).
- Outline concrete tools or products that will be developed to garner and/or disseminate best practices and lessons learned for a broader audience, including the UN system and partners. These should be budgeted for accordingly.

5. Management structure and partnership strategy

5.1. Management structure

- Highlight strategic and programmatic structures you will establish to ensure effective and integrated implementation and oversight (e.g. Steering Committee, Coordination Committee, joint office space, etc.). Elaborate an organigram describing the proposed structure.
- Outline the roles and responsibilities of each stakeholder, including the RCO, UN entities, sub-national and national government, civil society, international development partners and the private sector, among others.
- Explain how your proposed structure will ensure that the implementation of the activities is integrated and not taking place in silos. What mechanism(s) will you put in place to promote and ensure adequate synergies at the output level.
- Describe the role and responsibilities of the programme coordinator. The UNTFHS strongly encourages each programme to have a full-time programme coordinator.

5.2. Participation of beneficiaries and governments

- Explain how beneficiaries and local communities, as well as national and local governments will be involved in the design, implementation and monitoring of the proposed programme and what results are expected. For human security programmes, participatory programme implementation and monitoring should go beyond bi-annual programme board meetings.
- Describe the structures to be created, including local programme management committees or participatory forums, etc. where all relevant stakeholders and affected communities can participate in decision-making, implementation and monitoring in a systematic manner.
- Explain how these community participation mechanisms will be sustained beyond the duration of the current programme.

5.3. Partnership with other organizations

Explain how the proposed programme will interact and engage with other international/national organizations, including NGOs and bilateral donors, operating in the same context.

6. Risk management and sustainability

6.1. Risk management

Describe the main risks and potential negative externalities that could affect the proposed programme's success, their impact and probability, and the proposed mitigation measures using the format below. Risks should include fragmentation in the implementation of the activities and mitigation measures to ensure the programme is not implemented in silos.

Description of risks and negative externalities	Impact	Probability	Proposed mitigation measures	Responsible organization(s)

Note: Impact and probability should be indicated as high, medium or low.

6.2. Scale-up, replication and sustainability

- Provide a detailed and time-bound plan describing the provisions made to ensure the sustainability and/or scale-up of the programme.
- Indicate specific efforts and activities to ensure the programme's scale-up, replication and sustainability from the start.
- Explain how the programme (as a multi-agency human security approach) will be expanded and/or replicated in other regions, or even other countries, through other sources of funding.
- Describe expected roles of national and local government and institutions, as well as prospective donors, in ensuring the sustainability of the programme after the conclusion of the funding from the UNTFHS.

7. Dissemination, public information and communications

Refer to the [Outreach Guidelines](#) and describe the strategy and action plan 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. Explain how the proposed programme will help to raise the profile of the UN organizations in promoting the application of the human security approach and its contribution to the priorities of national governments and the international community. The budget for dissemination, public information and communication activities should be limited to a maximum of 3% of the programme budget (excluding the programme support costs).

Please include relevant joint communications activities in your Work Plan, which should include at least one professionally made short video on the programme and the human security approach (please budget appropriately, including translation costs as needed).

8. Evaluation

The UNCT should conduct at least one external evaluation from the human security perspective and include the cost and timeline in the budget and the workplan. It would be preferred for both evaluations to be external.

Describe and budget the evaluation plan using the format below:

Evaluation title	Type	Time	Budget in US\$
Mid-term evaluation	Internal or external	Xth month	
Final evaluation	External	Xth month	

9. Budget

[**Note:** As of 2020, only the pass-through fund management option can be used for joint programmes. Operational details on the pass-through fund management option are provided in Annex 7.]

- All programme proposals must include a programme budget using the [Budget Template for Programme Proposals](#) available on the [UN Trust Fund for Human Security website](#).
- The programme budget must be submitted as a separate excel file from the narrative programme proposal. The budget template must not be altered in any way. Addition of rows

for additional objectives, outputs and activities are allowed as long as the template logic, formatting and formulas are maintained throughout. The lead agency/programme coordination staff must read the instructions included in top row of the excel template (red font).

- The programme budget must include Table 1 (Detailed Budget by Results) and Table 2 (Budget Summary by Reporting Object Class). If the programme is implemented by two or more UN implementing organizations, the programme budget must also include Table 3 (Budget Summary by Organization).
- In developing the budget, please keep in mind the criteria listed in Section IV.3 and Section VI of the Guidelines. For example, 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. While the HSU strongly recommend that a programme should include one dedicated Programme Coordinator, 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%). All general operating costs for running an office (e.g. telecommunication, rents, finance charges and other costs) should also be a very modest component (e.g. 5-10%).
- The budget must include indirect support costs of 7%. Please refer to Table 1, 2 and 3. 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.
- The budget must include the HSU's mid-point assessment cost (one HSU staff travel cost and DSA for assessment including field visits).
- Contingencies or unforeseen costs arising during programme implementation will be considered on a case-by-case basis and therefore must not be included in the budget.
- To ensure consistency between budgeting and financial reporting, the programme team of each implementing organization should coordinate the development and management of its budget with its own finance team.
- Once the programme proposal is approved, all above-mentioned documentation will become an integral part of the financial agreement to be signed.
- The financial reporting of all implementing organizations must be within the authorized approved budget lines (Table 1. Detailed Budget by Results and Table 2. Budget Summary by reporting object class per implementing organization). A variance equal or more than 20% from the approved budget requires HSU approval. Financial reallocations made without prior consultation with the HSU will not be accepted, and the funds may have to be reimbursed to the UNTFHS.
- A budget variance <20% from the approved programme budget (Table 2) does not require HSU approval but the lead agency/programme coordination staff is expected to promptly inform the HSU.

Guidance for completion of Table 1: Detailed Budget by Results

- This table aims at providing sufficient details on the implementation arrangements and utilization of the UNTFHS funds. Table 1 should be consistent with the details provided in the Programme Details of the programme proposal.

- Table 1 displays each activity by item (\$/Unit/Quantity) and annual resource requirements (annual budget). The former provides information on the implementation arrangements of the activity, while the annual budget for the same line translates the workplan document in terms of cost. The total columns of these two components (item budget and annual budget) should have identical values by line. The example will provide additional clarification.
- Each budget item line must indicate the object class under which the cost will be reported. This information is important as it will define the value computed for table 2 Budget by reporting object class. The data entered in this column will ensure alignment of progress narrative reports with financial reporting.
- Programme coordination costs must include: (1) the breakdown of all programme personnel (UN staff) salaries, which are covered by the programme, and including their roles and responsibilities. For part-time personnel, indicate the percentage of time allocated to the programme. Ensure that all personnel mentioned in the narrative are included here. (2) the breakdown for dissemination, public affairs and communications costs; (3) a line for monitoring and evaluation costs; (4) any programme acquisitions, operating expenses, or travel not listed under the activities above; and (5) any other additional costs not listed under the programme activities.
- Additional general instructions and guidance are available in the excel budget template, tab 1: Detailed budget by results in red font.

Guidance for completion of Table 2: Budget Summary by Reporting Object Class

- This table must be populated based on the assigned reporting object class of table 1. The example in the template should exemplify.
- The aim of table 2 is to clearly indicate the allocations of funds by reporting object class (expenditures of financial report). The financial reporting will be reviewed against the approved budget allocation by implementing organization of Table 2. For more details on tolerance variance please see above (> and < 20%) and Annex 5, “Programme and Budget Revision”.

Guidance for completion of Table 3: Budget Summary by Organization

- If the programme is implemented by two or more UN implementing organizations, the programme budget must also include table 3 (Budget Summary by Organization).
- This table must be populated based on the annual Total Programme Cost by implementing organizations of table 2. The example in the template should be of assistance.

Checklist for the Programme Proposal

Prior to submitting your programme proposal, please review the following and ensure all elements are completed.

Programmatic

- Do you have a letter of approval/support from the relevant national and/or local government?
- Is the proposal endorsed by the UNRC or relevant highest-ranking UN Official, and under his/her overall oversight and leadership?
- Does your proposal demonstrate the use of the human security approach both as an analytical and programming tool? Have you adequately explained the interconnected challenges and how the UN entities and partners will address them in an integrated manner (including concrete synergies at the activity level)?
- Are you confident in the effectiveness of the proposed strategy to mainstream the human security approach within the UN System and beyond? What about your actions aimed at replicability, scale-up and sustainability?
- Are you confident your proposed management structure will maximize the opportunities for joint activities and integration among UN Agencies and partners?
- Have you maximized opportunities for beneficiaries to participate throughout the programme cycle?
- Does your workplan and results monitoring matrix includes SMART indicators (Specific, Measurable, Achievable, Relevant, Time bound) with adequate baselines, target and timeframe? No box in the matrix should be left empty.
- Did you complete the risk management matrix?
- Have you included all of the relevant Terms of References (e.g. consultants, Programme Steering Committee, Technical Working Group)?

Financial

- Did you complete tables 1, 2 and 3 in Budget Template for Programme Proposals?
- Did you delete all instructions in red and example in blue? Did you retain all the required text in black? Did you prepare the excel budget document in line with the provided instructions? Did you consult with your organization's finance team?
- Is the requested grant amount consistent on all documentation?
- Did you ensure all UN Agencies/Implementing Partners have a common understanding on each object class definition?
- Do you meet the pool-funding requirement and did you include the specific funding source(s)? Do you have evidence that those sources of funding are confirmed?
- Did you budget for:
 - Programme coordination (workshops, monitoring missions, etc.)
 - Outreach and communication activities (including professionally made video(s) and photographs)
 - Mid-term and final evaluations
 - One mission for the Human Security Unit (one staff from New York – airfare and DSA)

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.

ANNEX 3: REPORTING REQUIREMENTS

The lead entity is responsible for submitting narrative and financial reports (annually and a final report) on the way the funds are spent and the progress made in accomplishing the results of the programme on behalf of all implementing organizations. The narrative report should cover all activities implemented in the programme, including those funded by the UNTFHS and those funded by other funding sources. The narrative report should also present the overall strategic impact of the programme in advancing the human security approach.

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

(I) Annual Progress Report

- The lead agency is required to coordinate with all implementing organizations and consolidate one narrative annual progress report for submission to the HSU. The annual report should present a cohesive narrative of the achievements of the overall programme and refrain from listing accomplishments per entity without indications of how the actions were integrated, synergistic or built upon each other. The report should use the “Annual Progress Report” format provided below.
- The annual progress report should be accompanied by:
 - A certified cumulative financial statement. The reporting period must be from the programme start date to the due date of the narrative progress report. The certified cumulative financial report should use the [Financial Report Template](#) available on the [UN Trust Fund for Human Security website](#).
 - Copies of all evaluation reports if undertaken in that reporting period.
 - Copies of relevant Steering Committee meetings where substantive issues (such as reprogramming or re-allocation of funds) are discussed.
- An annual narrative progress report for the final year of a programme is not required as long as the final narrative report (using the annual progress report template) describes clearly and adequately the activities and achievements of the final year of the programme.

All progress report submissions should be sent electronically to the HSU at humansecurity@un.org or to the HSU programme focal point(s) under a signed cover letter.

Annual Progress Report Format

The following format and information should be included in the annual progress report

Date of submission	dd/mm/yyyy (the date should be updated whenever the proposal is revised and resubmitted)
Benefiting country 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 focal person on finance.
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 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\$ (no more than \$2million for operational programmes and no more than \$300,000 for outreach/advocacy programmes)	
Amount to be sourced from other donors in US\$ (please list each donor and the amount to be contributed)	
Reporting period	
Type of report	Specify first, second or third progress report or final report

Executive summary

A short narrative focusing on three main questions: (i) How far have the expected outputs been achieved, (ii) What is the impact of the programme so far, (iii) How was the human security approach use in the implementation of the programme and (iv) What progress has been made towards mainstreaming the human security approach in the work of the UN Country Team? The executive summary should not be more than 500 words and should be drafted as a stand-alone summary that could be posted on the UNTFHS website.

List of acronyms

1. Results

The Annual Progress Report should include:

- (a) A detailed description of progress made both (i) from baseline and (ii) during the reporting period (e.g. the 2nd progress report should aggregate results and beneficiaries from the start of the programme and provide a clear indication of what was achieved during the 2nd year of the programme).
- (b) A presentation of qualitative and quantitative results organized by joint/collective outcomes and not divided per implementing partner. It is important to indicate where and how integrated activities were undertaken, and the outcomes of these integrated efforts.
- (c) Please indicate the extent to which the programme is leading to longer-term outcomes, as outlined in the original proposal.
- (d) A table with all direct and indirect beneficiaries reached to date (disaggregated by gender, age, ethnicity, etc., and by function where relevant – e.g. community leader, government officials, etc.).
- (e) A completed [Workplan and Result Monitoring Template](#) that indicates progress made to date per activity and includes the budget expenditure per activity. It should cover all work under the proposed programme, i.e. those funded by the UNTFHS as well as those funded by other funding sources.

2. Added value of human security

- a) Please elaborate on the added value of the programme beyond the sum of its activities (i.e. progress towards your collective outcome(s) but also what was achieved as a result of the partnership that would not have happened if implementing partners had worked separately).
- b) Please also consider and respond to the following:
 - a. Why is human security the most appropriate approach to address the multidimensional challenges being addressed in the programme?
 - b. What has been the added value of using the human security approach, both as an analytical tool and a programmatic framework?
 - c. Please provide examples of how the operational principles have been applied through the programme. For example, how are the measures localized? Integrated? Ensuring that no one is left behind? Preventive in nature? Engaging and developing partnerships?
 - d. How is the programme supporting implementation of major global agendas and priorities including the 2030 Agenda for Sustainable Development, the Global Compact for Safe, Orderly and Regular Migration, the Global Compact of Refugees, the Sendai Framework for Disaster Risk Reduction, sustaining peace and the humanitarian-development-peace nexus, among others?

3. Challenges faced and lessons learned

- (a) Please outline key challenges faced during the reporting period and mitigation measures,

including operational challenges, and particularly those related to the implementation of the human security approach. What was the impact on the people? Were there trade-offs during the implementation? What measures were taken to mitigate them?

	Challenges faced	Mitigation measures
1.		
2.		
3.		

(b) Lessons learned during the reporting period

Describe lessons learned and recommendations using the template below. When identifying lessons learned, consider issues, such as:

- The benefit of the human security approach as well as strategies that support successful implementation of the approach.
- The value of multi-sectoral, integrated action through partnership.
- Innovations or good practices related to programme management, and monitoring and evaluation.
- How to successfully form and sustain multi-stakeholder partnerships and inter-agency collaboration.
- Promoting national and local ownership and leadership.
- Engaging with vulnerable groups and ensuring that no one is left behind.
- Ensuring sustainability and laying the foundation for replication and scale-up.
- Other notable cross-cutting issues

	Lessons learned	Recommendations
1.		
2.		
3.		

(c) Findings from evaluation

Summarize the findings of the evaluation, if conducted during the reporting period. Attach the ToR and the final evaluation report.

4. Mainstreaming, scale-up and replication

- a. Please indicate progress on the integration and mainstreaming of the human security approach. Progress should be reported against the action plan presented in section 5 of the programme proposal.
- b. What are the specific plans and/or activities to replicate (i.e. do the same programme in another location/district/region) and/or to scale-up (i.e. expand the programme within the same region or nationally)? The programme should report on the actions taken to facilitate the replication of the programme and the human security approach by other sources of funding to other people within the same region, other regions of the country, or other countries faced with similar challenges, and the results of such actions.

5. Outreach materials and promotional activities

- a) Describe the progress made in raising the profile of the programme, the issues it seeks to address and the value of the human security approach to this end.
- b) Include/attach all relevant outreach materials:
 - Pamphlets and brochure
 - News Articles (pdf not hyperlinks)
 - Photos⁷ and videos
 - Human interest stories

Photographs and videos should highlight the impact of the programme on people's lives, particularly at the local level. Photographs and videos might be featured on the [UN Trust Fund for Human Security website](#) and [social media](#), and might be included in other promotional materials considered by the HSU.

6. Financial status

The programme report should include the certified cumulative financial statements (from programme start date to progress reporting due date).

Note: The HSU will disburse funds based upon a certified cumulative financial statement attached to the annual narrative progress report indicating that 70% or more of the previous instalment has been spent and committed. Please refer to Annex 4.

⁷ In an effort to further promote human security, organizations are requested to submit high-resolution photographs to the HSU with copyright information and free to use by the HSU without prior consent. Please make sure to include the name of the photographer, location and year in the photograph file name.

(II) Final Report

- Following the operational completion of programmes, the lead entity is responsible for submitting a consolidated Final Report, which consists of 1) final narrative report in the annual report format, 2) the Final Assessment Form using the template below, and 3) certified financial statements.
- The timeline for submission of each of the Final Report elements is as follows:
 - **Interim financial statement:** On the **end date of the programme** (as indicated in the financial agreement), the lead agency must submit to the HSU the cumulative interim financial statements for the entire life of the programme from all implementing organizations. These cumulative financial statements must indicate the total obligation of funds required for payment to be made between the end date of the financial agreement and three (3) months for financial closure. Additional obligations should not be made after the end date of the financial agreement.
 - **Final narrative report and final evaluation:** **No later than three (3) months** after the end date of the programme, the lead agency must submit a consolidated final narrative report (using the annual report template). It should report on progress from the beginning of the programme and clearly describe the activities and achievements of the final year of the programme, if a final year narrative progress report was not submitted. As with all reports, the final narrative report should present a cohesive narrative of the achievements of the overall programme. The report of the external final evaluation should be attached.
 - **Final assessment form and certified financial statement:** **No later than six (6) months** after the end date of the programme, the lead agency should submit the final assessment form using the template below and the final certified financial statements.

Final Assessment Form Template

RELEVANCE

1. Has the programme proven to be as relevant as originally envisaged?
2. In this regard, how did the human security approach bring added value? And, how did implementing the human security principles lead to new solutions, strategies or ways of working to address the priority challenges of the programme?
3. What lessons did the programme produce to support advancing the major global agendas identified as relevant in the proposal?
4. Were there any exceptional cases or stories that demonstrated any of the above?

EFFECTIVENESS

1. To what extent were the programme's main objectives achieved in keeping with the original activities, outputs and performance indicators?
2. How would you assess the effectiveness of the management and administrative arrangements employed to implement the programme? Any best practices or lessons learned? What might you do differently?
3. What were the main challenges from a human security point-of-view during the programme period? What trade-offs were made during implementation? What impact did this have on tangible improvements in people's lives? How could they have been mitigated differently?
4. Has there been any significant progress in the promotion of human security as a result of this programme?
5. How would you assess the effectiveness of the management and administrative arrangements? Did the Programme Steering Committee and Technical Working Group function as originally planned?
6. How effectively did the programme partners collaborate?

EFFICIENCY and IMPACT

1. Were the anticipated outputs generated on time and within the budget, as specified in the workplan and implementation schedule?
2. How would you rate and describe the overall impact of the programme?
3. What, if any, significant unintended impacts/outcomes (positive or negative) were there beyond the original programme plans?
4. What were the major lessons (positive and negative) learned through the programme? Are there concrete recommendations that could increase the success of future programmes?
5. Please summarize key findings from the internal and external evaluations. Were the target beneficiaries involved in the evaluation, and if so how?
6. Please list communications and public/media outreach after the operational closure of the programme. To what extent were the programme's achievements disseminated to benefit wider audiences at the local, national and global levels?

SUSTAINABILITY

1. What is the prospect that the programme's activities and achievements will be sustained

following UNTFHS support?

2. Elaborate on potential follow-up that is likely to influence whether the programme's activities will be sustained.
3. Describe any significant contributions by donors/s (outside of the UN system) and/or effective strategies employed to secure funding.
4. Has this programme and the multi-agency human security approach been replicated elsewhere using other financial resources? Explain why or why not?

OVERALL PERFORMANCE ASSESSMENT

1. How would you rate the overall performance of the programme, considering the Relevance, Effectiveness, Efficiency, Impact and Sustainability of the programme?

ANNEX 4: DISBURSEMENT OF FUNDS

The approved programme budget, as per the financial agreement(s), will be disbursed in two or three tranches depending on the duration of the programme.

The first tranche will be disbursed once both parties have signed the Financial Agreement. Release of subsequent tranches will be contingent upon:

- The receipt of satisfactory consolidated annual progress reports (first progress report for the 2nd tranche; second progress report for the 3rd tranche);
- The submission of a certified cumulative financial statement that indicates 70% or more of the previous instalment(s) has/have been committed and/or spent.

Funds shall only be disbursed if all implementing partners have reached 70% of expenditure. Funds cannot be released if there is any overdue annual progress and/or financial reports.

Implementing organizations that are UN Secretariat Offices and Departments should consult with the HSU Finance Officer for set-up of grants in UMOJA and processing the transfer of funds.

Implementing organization(s) are responsible for providing bank details to the UNTFHS for inclusion in the Financial Agreement. Implementing organization(s) should inform the HSU promptly of any changes to bank details. Failure to do so will cause delay in disbursement(s) and implementation of programme activities. These will impact the integrated nature of the human security approach and its added value to programme activities.

ANNEX 5: PROGRAMME AND BUDGET REVISIONS

In cases where revisions to a programme and/or its budget are necessary, the lead agency is required to inform the HSU Programme Officer.

A revision involves a change in the objective(s), outcome(s), and/or output(s) of a programme. Providing that the programme remains relevant to the objectives of the UNTFHS and is consistent with the initial proposal, revisions can be made during the programme lifecycle with substantive justifications.

Generally, programme revisions can be categorized as follows:

- a) A "no cost" extension of a programme without any change to the overall programme budget (please also see below).
- b) A variance equal to or more than 20% of the approved budget by reporting object class. Reference must be made to Table 2 of the approved budget document and to Annex 2, section 11 "*Guidance for completion of Table 2: Budget Summary by Reporting Object Class*" of the guidelines. [Please note that a budget variance <20% from the approved programme budget (Table 2) does not require HSU approval, but the lead agency is expected to promptly inform the HSU.]
- c) Substantive change to the programme details i.e. workplan, results framework and beneficiaries. This request must include track changes or highlights in the original programme document (approved programme proposal) to clearly highlight the proposed changes.

Revisions should be documented both in the consolidated progress report(s) covering the period when changes occur and the final narrative and financial reports. Financial reallocations made without prior HSU approval will not be accepted and funds may have to be reimbursed to the UNTFHS.

No-Cost Extension

A "no cost" extension implies that there will be no re-allocation of funds and no change to the overall programme budget. In such cases, the lead agency is required to contact the HSU Programme Officer no later than three months before the end date of the Financial Agreements. The lead agency is required to submit a formal request for a no-cost extension, which must be accompanied by an updated workplan indicating activities to be completed during the extension period.

Budget/Programme revision

If a programme requires revisions, the lead agency is required to contact the HSU Programme Officer before any change is implemented. The lead agency is required to submit a formal request for a reprogramming/budget revision with relevant changes included in the original programme document in track changes or highlighted, an updated [Workplan and Results Monitoring Template](#) and the completed [Budget Revision Template](#).

ANNEX 6: FINANCIAL AGREEMENTS

When a programme proposal is approved for funding under the UNTFHS, the applying organization (except UN Secretariat Offices and Departments) must enter into a Contribution Agreement with the UNTFHS, utilizing the “Standard UN Agency to UN Agency Contribution Agreement” (<https://unsdg.un.org/resources/un-un-transfer-agreement>), which governs how the organization should use the contribution. Following is a summary of the process that is undertaken:

- The HSU sends to the lead agency the standard CA template requesting insertion of specific information, such as the financial certifying authority, the name and functional title of the official that will sign the CA, and bank details.
- Upon receipt of input from the lead agency, the HSU reviews and signs two copies of the CA with the Lead Agency and submits them to the applying organization signature.
- The Lead Agency should return one of the signed original copies to the HSU. Upon receipt of the signed original copy, the HSU will proceed with disbursement of the first instalment. Copies of signed scanned documents can be utilized in lieu of the signed hard copies.
- The Programme proposal document, once approved, should also be signed and is considered an integral part of the agreement between the implementing partners and the HSU.

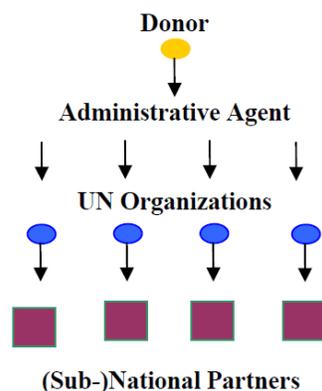
ANNEX 7: FUND MANAGEMENT

Operational details for pass-through fund management for joint programmes

Definition: Under this model, two or more organizations develop a joint programme, identify funding gaps and submit a joint programme document to donor(s). If the donor(s) and participating UN organizations agree to channel the funds through one participating UN organization, then the pass-through modality applies. The UN organization channelling resources, hereinafter called the Administrative Agent (AA) would be jointly selected by all participating organizations. The programmatic and financial accountability will rest with the participating organizations and (sub-) national partners that would be managing their respective components of the Joint Programme.

C.2 Resource Flow and Management:

Graphic illustration of fund management for a Joint Programme with Pass-Through Funding



Coordination Mechanism: Once the joint programme has been developed and agreed jointly by the participating UN organizations, the arrangements for management, review, and coordination should be documented, including role and responsibilities of the AA. The joint programme coordination mechanism shall include all signatories to the joint programme document. It may also have other members, such as donors and other stakeholders, in an observer capacity.

Selection of the Administrative Agent: The UN organizations participating in the joint programme will select the AA, taking into consideration the following elements: i) Country presence; ii) Financial and administrative capacity to interface between donor(s) and participating UN organizations and IV) Thematic, functional and geographical area of expertise in the area covered by the programme.

Reporting:

a. Participating UN organizations: Each participating UN organization will prepare reports in accordance with its financial regulations and rules and operational policy guidance. Reports will be shared with the Joint Programme coordination mechanism in accordance with the Memorandum

of Understanding signed with the AA. To the extent possible, reporting formats should be harmonized.

b. Administrative Agent: The Administrative Agent shall prepare consolidated narrative progress and financial reports consisting of the reports submitted by each participating UN organization, and shall provide those consolidated reports to the donor in accordance with the timetable established in the Letter of Agreement.

Communication: Each participating UN organization shall take appropriate measures to publicize the joint programme, the contribution from the UNTFHS and to give due credit to the other participating UN organizations. Information given to the press, to the beneficiaries of the joint programme, all related publicity material, official notices, reports and publications, shall acknowledge the role of the host government, the donors, the participating UN organizations, the Administrative Agent and any other relevant parties. In particular, the Administrative Agent will include and ensure due recognition of the role of each participating UN organization and national partner in all external communications relating to the joint programme.

Funding Arrangements: With regard to funding received from donors other than UNTFHS in support of this programme and based on agreement of the joint programme coordination mechanism identified at country level, the AA will negotiate and sign a Letter of Agreement with the donor(s) in respect of the joint programme. The AA will sign a Memorandum of Understanding with the participating UN organization. Each UN organization participating in the joint programme will programme and manage activities and funds in line with its established regulations and rules.

Budget Preparation: Each UN organization will prepare a separate budget, consistent with its procedures, and covering the mutually agreed parts of the programme that it will be managing. Budget formats should to the extent possible be harmonized. The AA will prepare a consolidated budget for approval by the joint programme coordination mechanism.

Accounting:

a. Administrative Agent: Funds received pursuant to the funding agreement signed with the donor(s) will be recorded by the AA in a joint programme account. The AA does not record funds channelled to other participating UN organizations as income. The AA records as income only those funds for which it is programmatically and financially accountable (i.e. for its part of the joint programme as a participating organization).

b. Participating UN Organizations: Each UN organization participating in the joint programme will account for the funds distributed by the AA in respect of its components in the joint programme in accordance with its financial regulations and rules.

Admin Fee and Indirect Costs:

a. Administrative Agent: The AA shall be entitled to allocate one percent (1%) of the amount contributed by donor(s), for its costs of performing the AA's functions. In cases where the participating UN organizations and the AA agree that the AA's responsibilities are more complex

than the 'standard' responsibilities, a higher percentage for the AA fee may be agreed by the participating UN organizations or included as direct cost in the budget directly managed by the AA as appropriate.

b. Participating UN Organizations: Each UN organization participating in the joint programme will recover indirect costs in accordance with its financial regulations and rules and as documented in the Memorandum of Understanding signed with the AA. The rate of recovery may vary between UN organizations participating in the joint programme, based on their applicable regulations and rules.

Interest: Interest, if any, will be administered in accordance with the financial regulations and rules of each UN organization participating in the joint programme. The AA should not accrue interest on the funds received from the donor(s) because they are expected to flow through almost immediately.

Balance of Funds:

a. Participating UN Organizations: Any funds remaining after the financial closure of the programme will be returned to the AA.

b. Administrative Agent: Any un-programmed funds remaining in the joint programme account after the financial closure of the Joint Programme will be returned to the donor(s) or utilised in a manner agreed upon between the AA and the donor(s), and approval of the joint programme coordination mechanism.

Audit: Consistent with current practice, each UN organization will be responsible for auditing its own contribution to the programme as part of its existing regulations and rules. Audit opinions of the individual UN organizations should be accepted by the other UN organizations.