

# United Nations Peace and Development Trust Fund

## Guidelines for Peace and Security Sub-Fund

### OBJECTIVE

The main purpose of the Peace and Security Sub-Fund is to endorse Secretary-General's efforts in peace and security and UN-led peace operations, through supporting innovative, forward-looking and pro-active projects and activities that would foster United Nations' leadership in promoting international cooperation to support peace activities.

### GUIDING PRINCIPLES

The Peace and Security Sub-Fund promotes initiatives based on the following principles:

- Support the Secretary-General's efforts and UN-led international cooperation in the maintenance of international peace and security.
- Facilitate coordination and partnership-building between the United Nations entities, Member States and other stakeholders, including regional and sub-regional organizations, drawing in the full spectrum of skills and expertise from across the UN system.
- Facilitate the implementation of Security Council and General Assembly resolutions on issues of international peace and security.
- Focus on impact, specific and measurable results that make a concrete difference in the regional and global peace and security situation.
- Adopt a holistic, integrated, coordinated and multi-sectoral approach that addresses inter-related challenges to peace and security.
- Evidence-based programming, building on documented research, lessons learned, and recommended practices, to ensure optimal results and use of resources.
- Durable, self-sustaining initiatives with long-term objectives and visions.
- Demand-driven interventions to improve the national capacity of Member States in the context of existing capacity-building efforts and intergovernmental process.
- Concentrating on those areas of peace and security that are currently neglected and avoiding duplication with existing projects and activities, taking into consideration the special needs of vulnerable groups, including women, children and persons with disabilities.

In addition to clearly demonstrating the relevance of the project to the key funding criteria above, applying entities should receive the consent of the recipient Government, where applicable, to implement the project and should ensure that main activities are in line with national strategies and priorities to ensure national ownership, sustainability and replication.

**The Peace and Security Sub-Fund will NOT consider:**

- a) Stand-alone event/research/data collection which do not indicate concrete results and do not have a sustainable impact beyond the duration of the project.
- b) Requests for funding to fill a resource gap for existing initiatives that do not fall into the criteria above.
- c) Where the purpose of the proposal is only to fund travel and/or procurement of equipment and/or institutional recurrent costs and/or personnel costs without yielding tangible deliverables.
- d) Project proposals that could be funded by the regular budget or through special accounts.

**PRIORITY AREAS**

While the priorities of the Sub-Fund will be updated on an annual basis and endorsed by the Steering Committee of the Trust Fund, the main focus areas of the Peace and Security Sub-Fund, as part of the Administrative Arrangement by and between the United Nations and the Government of the People’s Republic of China, includes inter alia:

- 1. Mediation
- 2. Preventive diplomacy
- 3. Peacekeeping
- 4. Reduction of armed conflicts
- 5. Counterterrorism
- 6. Information and cyber-security

**APPLICATION**

*Application Procedure*

- a) The regular annual funding cycle of the Peace and Security Sub-Fund is in line with the natural calendar year.
- b) The call for project proposals will be sent out by the Programme Manager on an annual basis. Normally it will take place around the end of the previous year of the next funding cycle, or at the beginning of the year of a funding cycle.
- c) Entities are expected to submit the consolidated concept note proposals together with the priority ranking by email to EOSG’s management team of the Sub-Fund for initial review. For the preparation of the requisite material, kindly refer to the following:

Annex 1: Concept Note template and instructions

Annex 2: Budget Summary template and instructions

- d) Entities shall submit project proposals within the indicated deadline. Requests for extension of the deadline will be considered by the management team on a case-by-case basis. Requests received one week after the deadline, without prior consultation with the management team, will be retained for the next round.
- e) In general, the Peace and Security Sub-Fund does NOT accept projects submitted outside the regular funding cycle. In accordance with Article 3 of the Administrative Arrangement by and between the Government of the People's Republic of China and the United Nations for voluntary contributions to the United Nations Peace and Development Trust Fund, should there be an emergency, subject to availability of funds, the management team considers urgent project proposals in accordance with the following criteria:
- The focus of the project proposal is consistent with the priorities of the Peace and Security Sub-Fund.
  - The project needs to start implementation during the intercessional period of the Steering Committee when the convening of the Steering Committee meeting is impossible.
  - The substance of the project proposal has been cleared by the Head of the Entity and endorsed by the appropriate Unit within the Executive Office of the Secretary-General. Proof of endorsement must be provided.
  - The implementing entity must submit a completed concept note and budget summary using UNPDF templates.
  - The implementing entity must provide a comprehensive project report including a narrative and financial reports within 90 days following the completion of the project.

Project proposals that meet all the above criteria will be reviewed by the management team before a recommendation for funding as an emergency can be made to the Programme Manager for endorsement and further consultations with the donor.

- f) Following procedure and criteria will be adopted to access the “Flexible Funding to Support Urgent Peace and Security Activities”
- The proposed activities/events need to start implementation in 4 weeks and is relating to peace and security needs.
  - Requesting entities must submit a concept note/project document along with a project budget to the Management Team of the Peace and Security Sub-Fund at least 2 weeks before the starting date of the activities/events.
  - The request for funding must be accompanied by a cover note detailing the urgency of the project/activity and the consequences if the project is not implemented on an urgent basis
  - The total project budget including programme support costs must not exceed \$100,000

- The requesting entities must commit to providing a project report within 30 days following the completion of the project/activity

### *Review and Selection*

- a) The management team of the Sub-Fund will conduct the initial review of the project proposals submitted, while internal consultation will be held within the EOSG to have the substantive review of the project proposals.
- b) A shortlist of project proposals along with the respective concept notes and budget summaries will be provided to the donor for consideration at the end of the internal review.
- c) In consultation with the donor, proposals that satisfy the review process will be submitted to the Steering Committee of the Peace and Development Trust Fund, who will provide advice to the Secretary-General to prioritize the projects to be funded by the Fund.
- d) All proposals will be assessed based on overall quality, results-orientation, feasibility, and sustainability as well as on their alignment with the guiding principles and priority areas. During the review process, the management team may ask entities to provide additional information or to revise the concept note and budget summary, to facilitate the process.
- e) After the endorsement of the Steering Committee, the shortlisted project proposals will be submitted to the Secretary-General for approval.
- f) The management team will inform the applying entities of the outcome of the review and will request the applying entities to provide a full project document as outlined in Annex 3, which should further define the details of the proposed activities and should be in line with the UN Financial Regulations and Rules.

### Annex 3: Project Document template and instructions

### *Indirect Support Costs and Non-Secretariat Entities*

The United Nations Peace and Development Trust Fund provides for a total of 7% of programme support costs or indirect costs.

In accordance with UN financial policies, in the case of projects being implemented by other UN organizations under a "pass-through" arrangement, the UN Secretariat can assess a reduced programme support cost of 3% to cover the Secretariat's administrative costs, including procurement, human resources, disbursement of funds, recording of expenditures, preparation of financial statements and audits. Therefore, implementing entities, whether within the UN Secretariat or external can only claim 4% of the programme support costs.

Should a UN Secretariat implementing entity leading the project decides to involve a non-secretariat entities (UNOPS, UNDP, UNICEF, etc.) to assist with the project implementation as a third party, the leading UN Secretariat entity would need to negotiate the distribution of

the 4% programme support costs with the third party. Under no circumstances shall the programme support costs or indirect costs exceed 4% of the direct expenditures.

## REPORTING AND PUBLICATION

The implementing entity shall submit an annual progress report by 15 January covering the period ending 31 December of the previous year. In addition, a final narrative report on the project including a financial statement on the utilization of funds is required within three months following the completion of the project. The reports must be signed by the project manager and certified by the Head of Office/Department.

For multi-year projects, the implementing entity is also required to provide a 1-2 pages bi-annual update to the management team of the sub-fund by 15 July of each implementing year. The management team may also request information on the status of the projects on an ad-hoc basis to monitor the timely implementation of projects.

The implementing entity shall comply with United Nations Financial Regulations and Rules as well as applicable directives and policies. Compliance with internal and external audit procedures as set out in its financial regulations and rules is also required. If an external or internal audit report contains observations specific to the project, the implementing entity shall communicate the recommendations and their response to EOSG. Furthermore, any cases of suspected fraud shall promptly be reported to EOSG.

The implementing entity shall make reasonable efforts to publicize the progress and results of the projects through suitable channels.

[Annex 4: Annual Progress Report template and instructions](#)

[Annex 5: Final Project Report template and instructions](#)

## ADJUSTMENT OF THE APPROVED PROJECTS

While every effort should be made by entities to implement the project according to the project document, it is recognized that invariably adjustments are necessary during the project development and implementation phases based on new information that may not have been available at the concept note phase.

In cases where substantive changes to the project programme and/or budget of the project are necessary, the implementing entity is required to inform EOSG and request approval. Generally, revisions can be categorized as follows:

- a. A "no-cost" extension to extend the duration of a project without any change to the approved project programme and total budget.
- b. A variance equal to or more than 10% of the approved budget across reporting object class, without an increase in the approved total project budget. A budget variance less than 10% from the approved project budget item with no change in the approved total

budget does not require approval. However, the implementing entity is expected to promptly inform the management team of the Sub-Fund.

- c. Changes in funding requirements for a project. Additional resources needed to implement a project can be exceptionally approved with proper justification from the implementing entity subject to sufficient programmable funds within the Sub-Fund to cover such an increase. Such requests will be reviewed by the management team and will require endorsement by the Chef de Cabinet.
- d. Substantive changes to the project details i.e. main activities, methodology, work plan, timeline, outcome and beneficiaries, but do not substantively change the overall objective of the project as endorsed by the Steering Committee and approved by the Secretary-General. The request must be accompanied by a revised project document, which highlights and justifies the proposed changes.

Condition (c) and (d) will require consultation with the donor and approval by EOSG senior management. Implementing entities should allow adequate timing for EOSG's review and approval, so as not to affect the overall implementation.

All the above adjustments or amendments should be documented both in the consolidated progress report(s) covering the period when changes occur and the final narrative and financial reports. The changes will be informed to the donor in due course and reported to the Steering Committee in its next meeting. Financial reallocations and project programme adjustments made without prior approval will not be accepted and funds may have to be reimbursed to the Trust Fund.

## MONITORING AND EVALUATION

### *General Principles*

Monitoring and evaluation at the project level are conducted with the aim of (1) improving performance in terms of formulating, designing and implementing policy, programs and projects, and (2) enhancing transparency and accountability of the implementing entities.

The implementing entity assumes primary responsibility for the monitoring and evaluation of the project in accordance with United Nations established policies and good practices and the stated objectives, activities, outputs, outcomes and results indicators.

While taking note that a new UN evaluation policy is being developed, the following are two UN References that provide good practices, standards and norms:

- *Norms and Standards for Evaluation*, United Nations Evaluation Group (UNEG), 2016, available at <http://www.unevaluation.org/2016-Norms-and-Standards>

- *Inspection and Evaluation Manual*, United Nations United Nations Office of Internal Oversight Services Inspection and Evaluation Division (OIOS-IED), 2014

This evaluation of projects funded from the Peace and Security Sub-Fund shall be conducted in accordance with these policies as well as the evaluation policy of the implementing entity. Any costs associated with evaluation should be reflected in the project budget.

The management team of the sub-fund also reserves the right to conduct its own evaluation of any project, to ensure that the expected objectives were met, and the activities were conducted as set forward in the project document.

### *Criteria for Evaluation*

Any project meeting at least two of the following criteria may be subject to the evaluation conducted by the management team of the Sub-Fund:

- The project duration is more than 12 months.
- The total budget of the project is more than \$1,000,000.
- The project serves as a “seed project” for more follow-up activities or is an initial phase of a larger and longer programme.
- The project has been funded under the Sub-Fund for more than two funding cycles and has the potential to obtain long-term funding.
- The project has a regional or global aspect that benefits more than one party.

### *Evaluation Guidelines*

**Responsibilities:** The final evaluation of the project is the responsibility of the Implementing Entity and should be conducted in accordance with the Entity’s policy on evaluation as well as with the “UNEG Norms and Standards for Evaluation”. An evaluation plan should be developed at the stage of Project Formulation and included in the Project Budget.

The Terms of Reference for the evaluation shall be elaborated by the Implementing Entity, though the evaluation must be conducted by an independent evaluator. This ToR is to be shared with the Sub-Fund management before the evaluation.

**Reporting Requirements:** The evaluation report is to be submitted to the Sub-Fund management together with the final project report. For multi-year projects with a timeline of 3-4 years, an interim evaluation report at mid-point is mandatory. The evaluation report will cover the results of the evaluation, lessons learned and recommendations, and should also be shared with the projects' stakeholders.

**Evaluation Scope:** The scope and objectives of the evaluation should be realistic and achievable in light of the resources available and the information that can be collected. The evaluation scope determines the boundaries of the evaluation, tailoring its objectives to the scope of the project. It should also make the coverage of the evaluation explicit (i.e., the evaluation period, specific activities, geographical area and the dimensions of stakeholder involvement). The scope should also acknowledge the limits of the evaluation. As a minimum, the evaluation scope should include the following:

- The Logical Framework of the project, in particular the measured indicators and how they compare to the baseline.
- Stakeholder analysis, in particular how identified stakeholders have benefitted from the project interventions.

- Identified risks and challenges, and how well they were mitigated
- Sustainability – will the benefits of the project be sustained after project completion?
- Identification of any potential negative impacts of the project
- Gender analysis, in particular how gender equality has been addressed
- Support the implementation of the 2030 Sustainable Development Agenda

**Evaluation Methodology:** The methodology for data collection and analysis should be chosen with a clear intent to provide credible answers to the evaluation questions. The methodology should ensure that the information collected is valid, reliable and sufficient to meet the evaluation objectives and that the analysis is logically coherent and complete (and not speculative or opinion-based). Triangulation principles (utilizing multiple sources of data and methods) should be applied to validate findings.

**Stakeholder Involvement:** Stakeholders should be consulted in the planning, design, conduct and follow-up of evaluations.

**The Logical Framework:** Project drafters are strongly encouraged to define realistic, strong and measurable project indicators of achievement and ensure that they will be usable for ongoing monitoring as well as for the evaluation at the end of the project.

| Intervention  | Activities  | Indicators  | Baseline   | Benchmark   | Means and Frequency of Verification   |
|---|---|---|--|---|---|
| <b>Expected accomplishment</b>                            | <b>Main Activities</b>  | <b>Indicator of Achievement</b>   | <b>Baseline Value of the Indicator</b>             | <b>Benchmark Value of the Indicator</b>           | <i>How will the indicator be measured?</i>  |
| <i>Deliverables as elaborated in the project document</i> | <i>Activities, as developed in the concept note, and further elaborated in the project document</i> | <i>Define the indicator and how it is to be calculated<br/>Quantitative indicators should be used whenever possible</i> | <i>What is the current value of the indicator?</i> | <i>What is the target value of the indicator?</i> | <i>How often will it be measured and by whom?<br/>By what date is the benchmark expected to be reached?</i> |

The following guidance on indicators should be followed:

- Indicators of achievement are the tools that measure the extent to which the expected accomplishments have been achieved. Every indicator must be associated with a baseline, a target (or benchmark) and a means of verification. At least one indicator of achievement should be developed for each EA, although two indicators are encouraged (e.g., I.A.1. for EA1, I.A.2 for EA2, etc.). Indicators should not mirror reflect project activities (e.g., the number of people trained), but rather the level of skills and knowledge gained through the project activities (e.g., training indicator), or preferably the subsequent actions taken by



the beneficiaries based on the project (e.g., action plans created, legislations drafted, or methodologies developed).

- Indicators of achievement are the tools that serve different management purposes throughout the project's life cycle, including the need for monitoring the progress of ongoing activities and assessing whether, and to what extent, the expected accomplishments have been achieved, once the project is completed.
- Every indicator must therefore provide clearly defined units of measurement (baseline or starting point before the project implementation) and targets, detailing the quantity, quality, and timing of expected results.

### *Budget for Evaluation*

Any approved project that meets the criteria listed above should be subject to an evaluation and reflect costs associated with evaluation in the Project Budget. The costs associated with the project evaluation should be estimated during the planning stage of the project based on an assessment of the necessary resources required to carry out the evaluation.

Budgeting for project evaluation will depend on the complexity of the projects to be evaluated as well as their duration and geographical coverage. The main evaluation costs could include consultancy fees (per diem or flat rate), in cases where an external evaluation consultant will be contracted, and travel costs, if travel to the project site(s) is deemed necessary for a thorough evaluation of the project.

As a general rule, if external consultants are to be contracted, depending on the complexity of the project, the evaluation should not exceed 20 working days. Resources allocated to monitoring and evaluation activities should not exceed 3% of the overall project budget.

### Annex 6: Evaluation Report Template

## Annex 1

### Concept Note Template and Instructions

1. **Project Title**
2. **Implementing Entity and Partners**
3. **Background** (*Approximately one page*)
4. **Objective** (*Maximum one*)
5. **Main Activities and Timeline** (*Coding should be clearly linked to the EAs*).  
  
A1.1 \_\_\_\_\_ ;  
A1.2 \_\_\_\_\_ ;  
A1.3 \_\_\_\_\_ ;  
A2.1 \_\_\_\_\_ ;  
A2.2 \_\_\_\_\_ ;  
A2.3 \_\_\_\_\_ ;
6. **Expected Accomplishments** (*Suggested two*)  
EA1 (Deliverable of activities 1.1, 1.2....)  
EA2 (Deliverable of activities 2.1,2.2.....)
7. **Indicators of Achievement** (*One or two per EA; coding should be clearly linked to EAs*)  
IA1.1 (Indicator of Expected Accomplishment 1)  
IA1.2 (Indicator of Expected Accomplishment 1)  
IA2.1 (Indicator of Expected Accomplishment 2)
8. **Implementation Timeline**

|      | Year one |    |    |    | Year two |    |    |    |
|------|----------|----|----|----|----------|----|----|----|
|      | Q1       | Q2 | Q3 | Q4 | Q1       | Q2 | Q3 | Q4 |
| A1.1 |          |    |    |    |          |    |    |    |
| A1.2 |          |    |    |    |          |    |    |    |
| A1.3 |          |    |    |    |          |    |    |    |
| A2.1 |          |    |    |    |          |    |    |    |
| A2.2 |          |    |    |    |          |    |    |    |

|      |  |  |  |  |  |  |  |  |
|------|--|--|--|--|--|--|--|--|
| A2.3 |  |  |  |  |  |  |  |  |
|------|--|--|--|--|--|--|--|--|

9. **Impact of the Project**
10. **Link with the 2030 Agenda for Sustainable Development**
11. **Gender Aspect in the Implementation of the Project**

## Instructions for the Completion of the Concept Notes

### Title

The title should capture the overall programmatic thrust of the project. It should be concise and include an indication of purposes, the capacities which will be strengthened, the main beneficiaries of the project, and the project's geographical scope.

Examples:

- *Strengthening the capacities of AU and its member countries in fostering closer coordination and cooperation in counter-terrorism information sharing;*
- *Enhancing knowledge sharing and capacity for crisis management of terrorist attacks in Central Asia;*
- *Strengthening the capacity of Governments in response to the needs of refugees by formulating inclusive and sustainable policies;*
- *Strengthening national capacities to design and implement rights-based policies and programmes that address care of dependent populations and women's economic empowerment in urban areas;*
- *Enhancing the rule of law in post-conflict countries.*

### Implementing Entity and Partners

All Secretariat entities that will be involved in implementing the project, starting with the lead entity (i.e. the entity submitting the proposal), and should be listed in this section. Concept notes which refer to cooperation with other UN Secretariat partners as active partners in the project's implementation should be shared with those entities for comments and confirmation of their participation.

### Background

The background section should briefly touch upon each of the following:

- a) The peace and security issue that the project intends to address. How is this issue related to the Secretary General's vision for peace and security? What are the risks if the issue is not addressed? If already known, this section should include the tentative list of potential target countries, defining the capacity gaps and needs which the project intends to address. This section should also emphasize specific demand(s) and requests for support emanating from these countries;
- b) The most recent intergovernmental legislation and entity-specific mandate calling for action. This section should explain how the project activities will contribute to the UN peace operations and international cooperation on maintaining peace and security;
- c) How the project links to the overall normative and analytical work of the implementing entity and its comparative advantage(s) in this area;
- d) The lessons learned and achievements from past activities in those countries, and/or complementary activities that are currently ongoing; and
- e) The implementation arrangements with other entities of the UN Secretariat and the broader UN System, where appropriate.

## Objective

The objective states the overall intended goal of the project. Each project should have only one objective which should not be longer than a single sentence. The objective should include reference to the strategic intent, project's beneficiaries, its geographical scope, and its substantive focus. The objective should not attempt to explain how the implementing entity intends to achieve the objective (i.e., it should not include the word "through"). The project's delivery will contribute to the attainment of the objective, yet the objective may not be achieved in full during the project's implementation period.

Examples:

- *To strengthen capacities of AU to foster closer cooperation and coordination with United Nations, other international and regional organizations in mediation efforts;*
- *To improve the capacity of selected countries to design, adapt, and implement institutional frameworks that effectively address humanitarian crises;*
- *To strengthen the capacity of selected target countries in post-conflict to improve information sharing, joint operation and jurisdiction on cross border crimes;*
- *To enhance the capacity of selected countries in Africa to develop policies and strategies for multi-sectoral counter-terrorism planning for safer communities.*

## Main Activities and Timelines

The project activities are the set of actions to be taken to achieve the expected accomplishments. Well formulated activities should answer the question “What are the specific actions that need to be taken by the project team, in cooperation with the beneficiaries, to achieve in full the expected accomplishments?” Examples of main activities include advisory services, workshops/seminars, toolkits, guidelines, publications, online training modules, etc.

Concisely describe what you plan to do, your approach, who benefits, and the potential impacts. Each activity should be clearly linked to the expected accomplishment it contributes to (e.g., A.1.1, A.1.2 and A.1.3 contribute to EA1; A.2.1 and A.2.2 contribute to EA2, etc.). In some instances, activities may contribute to multiple EAs. In this event, the dual nature of the activity should be footnoted.

Examples:

- *Organize six national workshops to discuss policy notes and other technical documents with government officials aiming at drawing lessons on how policy recommendations that are derived from modeling-based policy analyses can be transmitted;*
- *Organize a regional advisory mission for three peace operation missions to assess security conditions and policy opportunities;*
- *Organize an Expert Group Meeting to provide input on a methodology for an assessment framework to identify regulatory and institutional gaps;*
- *Develop a policy paper that will contain an analysis of best practices, lessons learned, and guidelines on the preparation and implementation of national action plans based on experiences and lessons learned from the beneficiary countries;*
- *Developing a tool kit for information sharing.*

## Expected Accomplishments

The Expected Accomplishments (EAs) are statements of measurable outcomes that relate to the objective. They describe the changes that are expected to occur as a result of the project's activities. EAs should be achievable within the project's timeframe and budget and should be specific enough to be measured by the associated indicators of achievement. In developing the EAs, it is important to assess whether the activities will concretely achieve what is defined in the EA. Most projects contain two EAs, but projects with complex activities or a large budget may exceptionally have three EAs.

Examples:

- *Enhanced regular consultation and meeting between AU and UN in addressing peace and security issues in Africa;*
- *Improved capacity of policymakers in beneficiary countries to identify regulatory and institutional gaps in addressing humanitarian issues;*
- *Strengthened national capacity of beneficiary countries to develop policies for addressing cross border crimes;*
- *Strengthened capacity of policymakers to formulate cross-sectoral policies that enhance effective participation of women and youth in post-conflict peace-building activities.*

## Indicators of Achievement

Indicators of achievement are the tools to measure the extent to the stated expected accomplishments have been achieved. Every indicator must provide a baseline, a target and a means of verification.

At least one indicator of achievement should be developed **for each EA**, although two indicators are encouraged (e.g., I.A.1. for EA1, I.A.2 for EA2, etc.). Entities should be careful not to reflect project activities as indicators (e.g., the number of people trained), but rather the level of skills and knowledge gained through the project's activities (e.g., training indicator), or preferably the subsequent actions taken by the beneficiaries based on the project (e.g., action plans created, legislations drafted, or methodologies developed).

Examples:

- *X (number) policy options and instruments designed to fill the regulatory and institutional gaps identified;*
- *National Action Plans for the implementation of certain peace and security measures are developed and adopted in beneficiary countries.*

## Impact of the Project

Please provide narratives on the overall impact of the project. Elaborate on how the deliverables of the project will bring about a lasting effect in facilitating peace process/capacity building/changing UN methodology and other aspects that are in line with the Secretary General's peace and security vision.

[Link to the 2030 Agenda for Sustainable Development](#)

Please provide narratives on how the deliverables of this project will contribute to the achievement of the 2030 Agenda for Sustainable Development

[Gender Aspect in the Implementation of the Project](#)

Please provide a narrative on how the project will ensure the implementation of the system-wide strategy on gender parity and encourage women participation in all activities

## **Annex 2:**

### **Budget Summary Template and Instructions**

**Project Total Amount:** \$ \_\_\_\_\_

**1. Staff and Other Personnel Costs: \$ \_\_\_\_\_ (Total)**

An amount of \$ \_\_\_\_\_ for a project position for X work months at the category/level to perform the tasks of \_\_\_\_\_, in support of activities A#.#.

An amount of \$ \_\_\_\_\_ is required for GTA and other staff costs to perform the tasks of \_\_\_\_\_, in support of activities A#.#.

An amount of \$ \_\_\_\_\_ is required for international consultants to perform the tasks of \_\_\_\_\_, in support of activities A#.#.

An amount of \$ \_\_\_\_\_ is required for national consultants to perform the tasks of \_\_\_\_\_, in support of activities A#.#.

**Consultant Travel**

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ (if possible, indicate countries), in support of activities A#.# (approximate number of missions).

**2. Supplies, Commodities, and Materials: \$ \_\_\_\_\_ (Total)**

An amount of \$ \_\_\_\_\_ is required for supplies, commodities, and materials.

(Provide budget estimates, details on the type of materials, etc.)

**3. Equipment, Vehicles, and Furniture: \$ \_\_\_\_\_ (Total)**

An amount of \$ \_\_\_\_\_ is required for equipment.

(Provide budget estimates, details on the type of equipment, and possible recipient countries.)

**4. Contractual Services: \$ \_\_\_\_\_ (Total)**

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ services in support of activities A#.#.

(Describe services, duration and cost of each contract, and if possible recipient country.)

**5. Travel: \$ \_\_\_\_\_ (Total)**

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ travel of staff in support of activities A#.#.

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ travel of experts in support of activities A#.#.

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ travel of workshop participants in support of activities A#.#.



**6. Transfers and Grants to Counterparts: \$ \_\_\_\_\_ (Total)**

(a) *Grants to End Beneficiaries*

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ in support of activities A#.#.

(b) *Transfers to Implementing Partners*

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ in support of activities A#.#.

(Please include details on the implementing partner.)

**7. General Operating and Other Direct Costs: \$ \_\_\_\_\_ (Total)**

(a) *Communications*

In support of A#.#, A#.#, and A#.#. = \$ \_\_\_\_\_.

(b) *Other General Operating Expenses*

In support of A#.#, A#.#, and A#.#. = \$ \_\_\_\_\_.

**8. Indirect Support Costs: \$ \_\_\_\_\_ (7% of all above costs)**

No narrative necessary.

**Instructions for the Completion of the Budget Summary Template**

The above eight budget categories that should be used when preparing concept notes are presented below. Proposed expenditures under each budget line should be supported by a brief, easy-to-understand narrative.

1. Staff and Other Personnel Costs: Includes all costs related to project personnel, general temporary assistance, overtime, and consultancy costs needed by the implementing entity to carry out the project activities. The narrative under this expenditure category should separate the requirements for (a) project personnel; (b) other staff costs for short-term GTA and overtime; (c) consultants and experts split into two groups: international consultants, and national/regional consultants.
2. Supplies, Commodities, and Materials: Includes all direct and indirect costs (e.g., freight, transport, delivery, distribution) associated with the procurement of supplies, commodities, and materials. Office supplies should be reported as "General Operating and Other Direct Costs."
3. Equipment, Vehicles, and Furniture: This includes all costs for office equipment, office automation equipment, and software that are directly required for the implementation of the project and relates to all costs to put the asset into service.
4. Contractual Services: Contractual services include institutional contracts with national, regional, or international institutions, companies, IGOs, or NGOs for preparing publications, conducting studies, carrying out technical work, assisting with the organization of workshops, translating, or printing documents, etc. The use of local and

regional institutions and/or NGOs in developing countries is encouraged as it helps strengthen national capacities. In IPSAS terminology this would be similar to exchange transactions and could include contracts given to IGOs or NGOs if they are more similar to the procurement of services than a grant transfer.

5. Travel: This includes staff and non-staff travel paid for by the organization directly related to the project. The narrative should separate the requirements for the travel of staff, participants in expert groups, and workshop participants.
6. Transfers and Grants to Counterparts: Includes grants to end beneficiaries such as fellowships and transfers to national counterparts and any other transfers given to an implementing partner (e.g., IGOs or NGOs) which is not similar to a commercial service contract as per above. In IPSAS terms this would be more similar to non-exchange transactions.
7. General Operating and Other Direct Costs: Includes all general operating costs for running an office. Examples include telecommunication, rents, finance charges, and other costs which cannot be mapped to other expense categories.
8. Indirect Support Costs: The trust fund includes a standard seven percent Programme Support Costs, which covers the programme support services provided by EOSG and by such other Secretariat departments and offices as may be required.

**Annex 3:**

**Project Document Template and Instructions**

**United Nations Peace and Development Trust Fund  
Peace and Security Sub-Fund  
Project Document**

|   |  |
|---|--|
| Project Title:  |  |
| Duration:   | <i>How many working months</i>   |
| Start date:   | <i>Month Year</i>  |
| End date:   | <i>Latest by Month Year</i>  |
| Budget:   | <i>\$ _____ As per the budget fascicle</i>   |
| Target countries/groups:  | <i>Please list the target countries. Where not applicable, state how many countries will be selected and in which regions.</i> |
| Executing Entity:   |  |
| Co-operating Entities within the UN system:                           |  |
| Other partners (e.g. Private sector, NGOs, government entities, etc.) |  |

## 1. Project Background *(max 2 pages)*

### 1.1 Background

This section should not exceed more than one page. Based on the background information provided in the concept note, it should describe the underlying context in which the project was conceived both from the perspective of the target countries/region/sector and the ongoing inter-government process, and the problem that it attempts to address, the key stakeholders and beneficiaries and the set of capacities that will be strengthened through the project.

### 1.2 Mandates, comparative advantage and link to the Program Budget

In this section please indicate:

- The implementing entities' mandate in the area of the project;
- The implementing entities' comparative advantage in this area.

### 1.3 Methodology

This section should describe the rationale of the intervention. The rationale should be based on country/regional/sectoral problem's analysis and needs assessment, lessons learned from previous interventions, opportunities to maximize impact at various level of intervention (e.g. at the global, regional, national, and sub-national or a combination of levels) and/or through partnerships.

## 2. ANALYSIS

### 2.1 Problem analysis

This section could elaborate on the information provided in the concept note and map out the principle problem and the underlying issues that the project attempts to address.

Please be sure to address the following questions:

- What is the **main problem** that the project seeks to address? (please specify the problem in the target region/country/sectors)
- What are the **underlying issues** contributing to this problem?
- What underlying issue/s does the project intend to target?

The problem identified in this section should not consist of a very broad issue, such as counterterrorism. In many cases it may not be feasible for one project to address all the underlying issues identified, please be specific about which underlying issues the project is targeting.

## 2.2 Country/Regional/Sectoral level problem analysis

It is recommended that once the broader issue has been presented in section 2.1, this section should analyze the issue concerning the level of operational intervention. This section should give a clearer picture of the status of affairs (baseline) of the targeted beneficiaries and the realistic accomplishments that could be achieved by the project.

**Table 1 – Country/Regional/Sectoral analysis**

| Country/Region/Sector | Status of affairs   | Realistic outcomes   |
|-----------------------|---|--|
| Country A/Region A    | <p>How does the problem identified in 2.1 plays out in the selected country/region/sector?</p> <p>What progress has already been made or what steps have been taken to address the issues?</p> <p>What are the principal assets the country has in addressing the issue?</p> <p>What at the principle gaps to be addressed?</p> | <p>What will this project be able to achieve in the country/region/sector within the timeframe available?</p> <p>What tangible outcomes/ outputs are foreseen?</p> |
| Country B/Region B    | ...   | ...  |

## 2.3 Stakeholder analysis and capacity assessment

This section should identify all non-UN stakeholders of the project, including those who are affected by the problem(s) outlined in the previous sections.

In developing this section, implementing entities should fill in the following table for each relevant stakeholder. Please list each individual stakeholder or group of stakeholders in its own row and fill out the corresponding columns.

**Table 2 – Stakeholder Analysis**

| Non-UN Stakeholders | Type and level of involvement in the project | Capacity assets | Capacity Gaps | Desired future outcomes | Incentives |
|---------------------|--|-----------------|---------------|-------------------------|------------|
|                     |  |                 |               |                         |            |

| <i>All direct and indirect non-UN stakeholders should be listed here <b>each on a separate row</b></i><br><br><i>E.g. policymakers; individual ministries; IGOs, NGOs, private sector, academia etc.</i> | <i>How does each of the stakeholders relate to the project/problem outlined in the previous section?</i> | <i>What are the stakeholder's resources and strengths that can help address the problem that the project strives to solve?</i> | <i>What are the stakeholder's needs and vulnerabilities that the project attempts to bridge?</i> | <i>What are the desired outcomes for the stakeholder as a result of project implementation?</i> | <i>What is the stakeholder's incentive to be involved in the project? How can buy-in be ensured?</i> |
|--|--|--|--|---|--|
| <i>Stakeholder 1</i>   |  |  |  |   |  |
| <i>Stakeholder 2</i>   |  |  |  |   |  |

## 2.4 Past and current interventions

Explain what has been done in the past to address the challenges in the targeted country/region, provide an assessment of ongoing complementary initiatives and how they relate to the proposed programme, and explain why the proposed programme is necessary.

## 3. PROJECT STRATEGY: OBJECTIVE, MAIN ACTIVITIES, EXPECTED ACCOMPLISHMENTS, INDICATORS

### 3.1 Project Objective

Please outline the general objective of the project in One Sentence.

### 3.2 Project Main activities

Please provide the activities entailed in the project to achieve the objective.

A1.1 ...

A1.2 ...

A2.1 ...

A2.2 ...

A3.1 ...

### 3.3 Logical Framework

In filling in the table below, please be sure to maintain consistency with the information reported in the rest of the document (e.g. annexes). **Please note that the objective and expected accomplishments should be identical to those presented in the approved concept notes except when otherwise advised.**

**Table 3 – Logical Framework**

| <u>Intervention logic</u>  | <u>Activities</u>  | <u>Indicators</u>  | <u>Means of Verification</u>   |
|--|--|--|--|
| <b>Expected accomplishment EA1</b><br><i>Copy- Paste from the concept note</i> | <b>Main Activity A1.1</b><br><i>Activities, as developed in the concept note, could be reviewed and modified based on the analysis in Section 2.</i> | <b>Indicator of Achievement IA 1.1</b> <i>While the indicators were defined at the concept note stage; they should be reviewed and, where possible, strengthened in the project document.</i><br><br><i>Please ensure all indicators include clear targets (e.g. XX% of participants confirm... OR X out of Y countries...). Please see Figure 1 below for further</i> | <i>Please answer the following:</i> <ul style="list-style-type: none"> <li>• <i>What sources of information will be used to inform the indicator?</i></li> <li>• <i>How will the data be collected?</i></li> </ul> |
|  |  | <b>IA 1.2</b> ...  | ...  |
|  |  | <b>IA 1.3</b> ...  | ...  |
|  |  | <b>A 1.2</b>   | <b>IA 1.4</b> ...  |
| <b>EA 2</b><br>...   | <b>A 2.1</b>   | <b>IA 2.1</b> ...  | ...  |
|  |  | <b>IA 2.2</b> ...  | ...  |
|  |  | <b>IA 2.3</b> ...  | ...  |

## Figure 1 - Formulating effective indicators

- Indicators should provide a measure of the degree of **attainment of the expected accomplishments** and *not* a measure of the completion of the project's activities. This requires a clear distinction between means and goals. Indicators of achievement assess whether the project is meeting its goal after mobilizing the means (activities).
- A good way to draft indicators might be to define the specific steps that countries will take to achieve the expected accomplishments (i.e. action plans endorsed, roadmaps drafted, draft legislation prepared, project developed tools used by countries for analytical reports/policy change, etc.).
- Indicators utilizing general terms such as “initiatives”, “concepts” or “measures” should be avoided. Indicators should instead use **specific** terminology related to what the project seeks to change (e.g. a regional agreement on...; a draft policy on... etc.). Where the use of such terms is unavoidable, it is recommended that a defining footnote be provided.
- Indicators should be **specific, measurable, attainable, relevant and time-bound (SMART)**.
- Entities are expected to include **benchmarks** for all indicators and ensure that there is a baseline for measurement or assessment of change quantitatively and/or qualitatively. E.g. "X out of Y countries.....; 85% of the participants...."
- While **qualitative and quantitative** indicators are useful, quantifiable indicators are preferred as they are more objectively verifiable and can be aggregated.
- Implementing entities must be realistic about **how data will be collected** to inform indicators. Available, feasible and realistic sources of verification must therefore be carefully considered while developing the indicators. There is, for instance, no point in developing sophisticated measures for which the process of data gathering would turn out to be excessively costly.



## Figure 2 – Formulating effective activities

The **main activities** are the specific set of actions and means that will be undertaken to achieve the expected accomplishments. These should focus on achieving high-value addition and tangible change with a **strong focus on the national level**. Examples of activities across capacity development efforts include: conducting workshops; developing toolkits; establishment of networks and provision of advisory services.

The logical link between the activities and the expected accomplishments must be kept at the forefront during project design. **Successful implementation of the activities should be sufficient to plausibly achieve the expected accomplishment that they support.**

Entities are encouraged to engage in a thorough **review process** that involves linking the activities to the relevant expected accomplishments and also the project objective, as an attempt to ensure soundness and consistency with the overall approach and log frame of the project. In doing so, the following questions should be considered:

- Suggested top-down questions:
  - How can the objective be met? ....by achieving the EA1 and EA2;
  - How can the EA1 be achieved? ....by undertaking A1.1, A1.2 and A1.3;
- Suggested bottom-up questions:
  - If the project delivers A1.1, A1.2, and A1.3 successfully, what will be achieved? ... EA 1;
  - If the project achieves EA1 and EA2, will this help in meeting the objective?..... Yes

In designing the project activities entities should give strong consideration to means of ensuring national ownership and assign priority to national processes and institutions.

### 3.4 Risks and mitigation actions

Please provide an analysis of the possible risks that may affect the success of the project and the actions that may be taken to mitigate them.

**Table 4 – Risks and mitigation actions**

| <b>Risks</b><br><i>What conditions may hinder the achievement of the project objectives and accomplishments?</i><br><br><i>Each risk or set of risks should be listed on a separate row. The list should include factors beyond the control of the project management (e.g. Political instability)</i> | <b>Mitigating Actions</b><br><i>What will be done to mitigate these risks?</i> |
|--|--|
| <b>R1.</b>   | <b>M1.</b>   |
| ...  | ...  |

### 3.5 Result Framework

Please refer to the table below.

**Table 5 – Result Framework**

| <b>Expected Accomplishment</b> | <b>Main Activities</b> | <b>Est. Resources (US\$)</b> | <b>Timeframe</b> |
|--------------------------------|------------------------|------------------------------|------------------|
| <b>EA1</b>                     | <b>A1.1</b>            |                              |                  |
|                                | <b>A1.2</b>            |                              |                  |
|                                | <b>A1.3</b>            |                              |                  |
| <b>EA2</b>                     | <b>A2.1</b>            |                              |                  |
|                                |                        |                              |                  |
|                                |                        |                              |                  |

### 3.6 Sustainability

This section should elaborate on how the project intends to sustain any achievements beyond the completion of the project. Sustainability is closely linked to national ownership which should therefore represent a **driver of the design of the project** rather than an ex-post consideration.

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

- Has the issue of sustainability been built into the project design?
- What steps will be taken to sustain the project’s achievements beyond the completion of the project?
- Has the potential for scaling up after the completion of the project been explored (e.g. leveraging of additional funding and fostering partnerships)?

## 4. MONITORING AND EVALUATION

Implementing entities are required to provide an annual progress report, a final report and an evaluation for projects for a duration exceeding 12 months. External evaluation, if necessary, for the project should be in accordance with your entity’s policy on evaluation. All evaluation reports must be submitted to the management team and, in case of any incurred cost, this should be reflected in the Budget.

## 5. MANAGEMENT AND COORDINATION AGREEMENTS

**A detailed list of UN partner entities, national and international implementation partners** should be provided in this section. Please note that project beneficiaries are not considered implementation partners and should therefore not be mentioned in this section. This section should also describe **who is responsible for what** and **how the different actors will work together** to achieve the project’s objective and intended impact.

The project document needs to be shared with all implementing entities and partners and agreements reached on the roles and responsibilities of each party involved, before submitting the project document to the TFU for review.

## **6. BUDGET DETAILS (detailed justification by code)**

A detailed description of the budgetary requirements by *Expected Accomplishment* and at the *budget class* should be developed in this section. For each Expected Accomplishment, budget details should be provided at the class level with the link to the project activities. Where possible, costs and work months should be disaggregated by activity.

The **number of participants** to training events should be spelled out clearly and reflected consistently throughout the project document. When multiple countries are targeted in a training event, the same number of participants per country is expected. Any variance in the number of participants across target countries should be explained and reflected in the project budget.

**Project Total Amount: \$**

**Expected Accomplishment 1 (EA1)**

**Total Budget: \$ XXX**

### **1. Staff and Other Personnel Costs: \$ \_\_\_\_\_ (Total)**

An amount of \$ \_\_\_\_\_ for a project position for X work months at the category/level to perform the tasks of \_\_\_\_\_, in support of activities A#.#.

An amount of \$ \_\_\_\_\_ is required for General Temporary Assistance (GTA) and other staff costs to perform the tasks of \_\_\_\_\_, in support of activities A#.#.

An amount of \$ \_\_\_\_\_ is required for international consultants to perform the tasks of \_\_\_\_\_, in support of activities A#.#.

An amount of \$ \_\_\_\_\_ is required for national consultants to perform the tasks of \_\_\_\_\_, in support of activities A#.#.

Consultant Travel

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ (if possible, indicate countries), in support of activities A#.# (approximate number of missions).

### **2. Supplies, Commodities, and Materials: \$ \_\_\_\_\_ (Total)**

An amount of \$ \_\_\_\_\_ is required for supplies, commodities, and materials.

(Provide budget estimates, details on the type of materials, etc.)

### **3. Equipment, Vehicles, and Furniture: \$ \_\_\_\_\_ (Total)**

An amount of \$ \_\_\_\_\_ is required for equipment.

(Provide budget estimates, details on the type of equipment, and possible recipient countries.)

### **4. Contractual Services: \$ \_\_\_\_\_ (Total)**

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ services in support of activities A#.#.

(Describe services, duration and cost of each contract, and if possible recipient country.)

**5. Travel: \$ \_\_\_\_\_ (Total)**

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ travel of staff in support of activities A#.#.

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ travel of experts in support of activities A#.#.

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ travel of workshop participants in support of activities A#.#.

**6. Transfers and Grants to Counterparts: \$ \_\_\_\_\_ (Total)**

*(a) Grants to End Beneficiaries*

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ in support of activities A#.#.

*(b) Transfers to Implementing Partners*

An amount of \$ \_\_\_\_\_ is required for \_\_\_\_\_ in support of activities A#.#.

(Please include details on the implementing partner.)

**7. General Operating and Other Direct Costs: \$ \_\_\_\_\_ (Total)**

*(a) Communications*

In support of A#.#, A#.#, and A#.#. = \$ \_\_\_\_\_.

*(b) Other General Operating Expenses*

In support of A#.#, A#.#, and A#.#. = \$ \_\_\_\_\_.

**8. Indirect Support Costs: \$ \_\_\_\_\_ (7% of all above costs)**

No narrative necessary.

**Expected Accomplishment 2 (EA2)**

**Total Budget: \$ XXX**

Refer to above information required under EA1

**Expected Accomplishment 3 (EA3)**

**Total Budget: \$ XXX**

Refer to above information required under EA1

## **Annex 4:**

### **Progress Report Template and Instructions**

#### **1. Executive Summary**

- Project title
- Project starting date
- Project completion date
- Key results
- Reporting period
- Total budget and expenditure within the reporting period
- Project manager/s (phone number and email address)

#### **2. Review of Results**

##### 1) Summary of achievements to date.

*This section should contain two parts.*

*The first part should be no longer than three paragraphs and should provide a concise and effective narrative of the key accomplishments of the project to date. It should not repeat information already provided (for instance, information presented in the project document) but should highlight results including how far have the expected outputs been achieved to date.*

*The second part should provide narratives on every “Expected Accomplishment” outlined in the Project Document. The developable should be measured by using the “Indicators of Achievements)” provided by the implementing entities in the Project Document. If the accomplishment is unable to be achieved or is partially achieved, justification should be given.*

Expected Accomplishment 1:...

...

Expected Accomplishment 2:...

...

##### 2) Review of main activities

*The purpose of this section is to list and assess the implemented activities of the project document. There should be at least one paragraph illustrating each main activity, including information like the timing, venue, participating entities and partners, beneficiary and target groups or countries, means and ways to approach the objectives, and all the accomplishments. The deliverable should be concrete and specific, measurable if applicable. If activities are still in process, it should be stated to what extent the activity has been carried out and the anticipated completion date. If certain deliverables outlined in the concept note could not be achieved or if there's any change or alternant, explanations should be given to clarify why such a change is necessary. New activities that are not previously anticipated and needed to be executed for the next project period, if applicable, should also be included in this section.*

Main Activity 1.1: ...

.....

Main Activity 1.2:...

Main Activity 2.1:...

.....

*In addition to the narrative part, please fill the table below*

**Table 1 – Review of Programmed Activities**

| <b>Activities</b>   | <b>Status</b>   | <b>Comment</b>   |
|---|---|--|
| <i>Please list the completed activities as per the project document</i> | <i>Please indicate the status of the activity (not started, ongoing, completed)</i> | <i>Please briefly assess the implementation of each activity, i.e. the extent to which the activity has been implemented including the anticipated completion date</i> |
| Main Activity 1.1   |   |  |
| Main Activity 1.2   |   |  |
| Main Activity 1.3   |   |  |
| ...   |   |  |
|   |   |  |

3) Major problems or challenges encountered and remedial action to be taken.

*Project managers are kindly asked to elaborate on problems faced by the project (e.g. change in the country situation, administrative processes, collaboration with partners, internal issues, etc.). For each issue identified, one short paragraph should be provided, as well as any action taken to address the issue. In addition to the narrative part, please fill the table Below.*

**Table 2 – Challenges and actions**

| <b>Description of challenge</b> | <b>Action(s) taken to solve the issue, if any</b> |
|---------------------------------|---|
|                                 |   |
|                                 |   |
|                                 |   |
|                                 |   |

4) Best practices and lessons learned.

*Project managers are suggested to give recommendations at the end of the project implementation, by drawing a conclusion on lessons learned and providing suggestions on further steps to be taken. It is also recommended to include in this section sustained ways to carry the impact of the project forward without the funding from the Sub-Fund.*

5) Actions taken concerning evaluation.

**3. Financial Information and Revisions**

*In this section, project managers are reporting on the budget utilization per budget categories, reason for deviation (if exceeds 10% across the reporting object) and whether any change to planned activities and/or the budget is required. If changes to the distribution of funds between budget lines have taken place, they must be clearly indicated in the section.*

*In addition to the narrative part, please fill the table below*

| Expected Accomplishment | Main Activities | Actual Expenditure (US\$) | Completed Timeline |
|-------------------------|-----------------|---------------------------|--------------------|
| EA1                     | A1.1            |                           |                    |
|                         | A1.2            |                           |                    |
| EA2                     | A2.1            |                           |                    |
|                         |                 |                           |                    |

#### 4. **Successful Stories and Awareness Raising**

*In this section, the project manager should provide any news stories or any forms of media coverage, including social media, of the project. Photos and videos associated with the project, if any, should also be provided. The project manager should also provide information on public awareness-raising activities, if any, undertaken to promote the impact of the project. It is encouraged to attach electronically any evaluations, publications, major reports, etc. related to the project.*

#### **Instructions for the Completion of the Progress Report**

The instructions are issued to assist project managers in drafting progress reports for their projects. To standardization of all reports, project managers are strongly recommended to use the above template for formulating the individual report. Progress reports should be submitted on an annual basis. For multi-year projects, there should also be a final report when the project comes to an end. The reports should be sent to the management team of the Peace and Security Sub-Fund of the United Nations Peace and Development Fund at the following address: [cheng8@un.org](mailto:cheng8@un.org), [diegue@un.org](mailto:diegue@un.org)

## **Annex 5:**

### **Final Report Template and Instructions**

#### **1. Executive Summary**

- Project title
- Project starting date
- Project completion date
- Key results
- Reporting period
- Total budget and expenditure within the reporting period
- Project manager/s (phone number and email address)

#### **2. Review of Results**

##### 1) Summary of achievements to date.

*This section should contain two parts.*

*The first part should be no longer than three paragraphs and should provide a concise and effective narrative of the key accomplishments of the project to date. It should not repeat information already provided (for instance, information presented in the project document) but should highlight results including how far have the expected outputs been achieved to date.*

*The second part should provide narratives on every “Expected Accomplishment” outlined in the Project Document. The developable should be measured by using the “Indicators of Achievements)” provided by the implementing entities in the Project Document. If the accomplishment is unable to be achieved or is partially achieved, justification should be given.*

Expected Accomplishment 1:...

...

Expected Accomplishment 2:...

...

##### Review of main activities

*The purpose of this section is to list and assess the implemented activities of the project document. There should be at least one paragraph illustrating each main activity, including information like the timing, venue, participating entities and partners, beneficiary and target groups or countries, means and ways to approach the objectives, and all the accomplishments. The deliverable should be concrete and specific, measurable if applicable. If activities are still in process, it should be stated to what extent the activity has been carried out and the anticipated completion date. If certain deliverables outlined in the concept note could not be achieved or if there's any change or alternant, explanations should be given to clarify why such a change is necessary. New activities that are not previously anticipated and needed to be executed for the next project period, if applicable, should also be included in this section.*

Main Activity 1.1: ...

.....

Main Activity 1.2:...

Main Activity 2.1:...



.....

*In addition to the narrative part, please fill the table below*

**Table 1 – Review of Programmed Activities**

| <b>Activities</b>   | <b>Status</b>   | <b>Comment</b>   |
|---|---|--|
| <i>Please list the completed activities as per the project document</i> | <i>Please indicate the status of the activity (not started, ongoing, completed)</i> | <i>Please briefly assess the implementation of each activity, i.e. the extent to which the activity has been implemented including the anticipated completion date</i> |
| Main Activity 1.1   |   |  |
| Main Activity 1.2   |   |  |
| Main Activity 1.3   |   |  |
| ...   |   |  |
|   |   |  |

2) Major problems or challenges encountered and remedial action to be taken.

*Project managers are kindly asked to elaborate on problems faced by the project (e.g. change in the country situation, administrative processes, collaboration with partners, internal issues, etc.). For each issue identified, one short paragraph should be provided, as well as any action taken to address the issue. In addition to the narrative part, please fill the table Below.*

**Table 2 – Challenges and actions**

| <b>Description of challenge</b> | <b>Action(s) taken to solve the issue, if any</b> |
|---------------------------------|---|
|                                 |   |
|                                 |   |
|                                 |   |
|                                 |   |

3) Best practices and lessons learned.

*Project managers are suggested to give recommendations at the end of the project implementation, by drawing a conclusion on lessons learned and providing suggestions on further steps to be taken. It is also recommended to include in this section sustained ways to carry the impact of the project forward without the funding from the Sub-Fund.*

4) Actions taken regarding evaluation.

**3. Impact of the project**

*In this section, the project manager should provide a narrative on the overall impact of the project and elaborate on how the deliverables of the project brought about a lasting effect in facilitating peace process/capacity-building / changing UN methodology and other aspects that are in line with the Secretary-General's vision on peace and security.*

| Intervention Logic             | Activities   | Indicators  | Means of Verification   |
|--------------------------------|--|---|---|
| Expected accomplishment<br>EA1 | Main Activity<br>A1.1<br><i>Activities, as developed in the concept note, and further elaborated in the project document</i> | <b>Indicator of Achievement IA 1.1</b><br><i>While the indicators were defined at the concept note stage; they should be reviewed and, where possible, strengthened in the project document. Quantitative indicators should be used whenever possible And baseline levels should be included.</i> | <b>Please answer the following:</b><br><i>What sources of information will be used to inform the indicator?<br/>How will the data be collected?</i> |
|                                |  | <i>Please ensure all indicators include clear time-bound targets (e.g. XX% of participants confirm... OR X out of Y countries...by a specific date).</i>  |   |
|                                | A 1.2  | IA 1.2 ...  | ...   |
| EA 2                           | A 2.1  | IA 1.4  | ...   |
|                                |  | IA 2.1 ...  | ...   |
|                                |  | IA 2.2 ...  | ...   |
|                                |  | IA 2.3 ...  | ...   |

#### **4. Link to the 2030 Agenda for Sustainable Development**

*In this section, the project manager should provide a narrative on how the deliverables of this project will contribute to the achievement of the 2030 Agenda for Sustainable Development.*

#### **5. Gender aspect in the implementation of the project**

*In this section, the project manager should provide a narrative on how steps were taken during the implementation of this project to facilitate the system-wide strategy on gender parity and women's participation in all activities.*

#### **6. Financial Information and Revisions**

*In this section, the project managers are reporting on the budget utilization per budget categories, the reason for deviation (if exceeds 10% across the reporting object) and whether any change to planned activities and/or the budget is required. If changes to the distribution of funds between budget lines have taken place, they must be clearly indicated in the section. Project managers should also provide reasons for savings and over-expenditure.*

*In addition to the narrative part, please fill the table below*

| Expected Accomplishment | Main Activities | Actual Expenditure (US\$) | Completed Timeline |
|-------------------------|-----------------|---------------------------|--------------------|
| EA1                     | A1.1            |                           |                    |
|                         | A1.2            |                           |                    |
| EA2                     | A2.1            |                           |                    |
|                         |                 |                           |                    |

## **7. Successful Stories and Awareness Raising**

*In this section, the project manager should provide any news stories or any forms of media coverage, including social media, of the project. Photos and videos associated with the project, if any, should also be provided. The project manager should also provide information on public awareness-raising activities, if any, undertaken to promote the impact of the project. It is encouraged to attach electronically any evaluations, publications, major reports, etc. related to the project.*

### **Instructions for the Completion of the Progress Report**

The instructions are issued to assist project managers in drafting progress reports for their projects. To standardization of all reports, project managers are strongly recommended to use the above template for formulating the individual report. Progress reports should be submitted on an annual basis. For multi-year projects, there should also be a final report when the project comes to an end. The reports should be sent to the management team of the Peace and Security Sub-Fund of the United Nations Peace and Development Fund at the following address: [cheng8@un.org](mailto:cheng8@un.org), [diegue@un.org](mailto:diegue@un.org)

## **Annex 6:**

### **Evaluation Report Template**

#### **Summary Details of Project**

Project title

Project starting date

Project completion date

Total budget and expenditure within the reporting period

Project manager name and contact details

#### **Evaluation Details**

Evaluator Details (internal/external)

Evaluation Dates and Period covered

Other key details of the evaluation (interim/final evaluation etc.)

Summary of Evaluation Process

#### **Evaluation Scope and Methodology**

*This section should provide the details on:*

- (i) the Evaluation Scope (e.g., specific activities to be evaluated, the geographical area covered and the involvement of stakeholders in the evaluation process) and*
- (ii) the Evaluation Methodology, (e.g. data collection methods and analysis techniques, surveys be used, etc.).*

#### **Description of the Evaluation Process**

*This section should provide a narrative describing how the evaluation was conducted, including any variances from the scope and methodology described above.*

#### **Presentation and Assessment of the Logical Framework(s) of the Project**

*Here the results of the project will be evaluated for each of the project activities in the form of a Logical Framework. The evaluator may choose to use the existing Logical Framework of the project if it is deemed to be sufficient for the evaluation or may decide to develop their own modified version with additional indicators if this is necessary to assess the results. If more than one geographical region is being evaluated, there may also be the need for more than one Logical Framework.*

*The results for each activity will be assessed, along with their corresponding objectives, and outputs, using the associated indicators. The indicators will be assessed relative to the provided baselines and compared to the specified benchmarks. Additional data collected during the evaluation may be used to verify the indicators as measured by the implementing entities.*

*The discussion will relate the indicators and results to the objectives of the project as well as to the overall goals of the sub-fund.*

### **Presentation of Additional Evaluation Results**

*The remaining results of the evaluation will be presented here in accordance with the evaluation scope and methodology, based on a review of documents, stakeholder interviews, surveys and other evaluation techniques. The following issues should be addressed, and others may be added as appropriate:*

- 1. **Stakeholder analysis**, in particular, how identified stakeholders have benefitted from the project interventions, and how satisfied they are with the results.*
- 2. **Sustainability**, how likely is it that the benefits of the project be sustained after project completion? Has sustainability been successfully incorporated into the project activities?*
- 3. **Financial Analysis**, a summary analysis of the budget and expenditures, assessing how well the project stayed in line with their budget, and identification of any issues to be flagged*
- 4. **Identified risks and challenges**, and how well they were addressed and mitigated*
- 5. **Gender analysis**, in particular how well gender equality has been addressed*
- 6. **Links and progress on Sustainable Development Goals***
- 7. **Identification of any potential negative impacts of the project***

### **Summary of Evaluation Results, Lessons-learned and Recommendations**

*A summary of the evaluation will be provided, including the key results and impacts as they relate to the objectives of the project activities and goals of the Sub-fund. Lessons learned and recommendations will also be provided to assist project managers with future funding decisions as well to aid implementing entities to improve the ongoing implementation of their activities, as applicable.*

**Appendices to the Evaluation Report.** *(Questionnaires, data analysis, LFAs, etc.)*