

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-

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

- 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 Board may accept project proposals. According to the C/2_0-3.9 (7.1) 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 Board may accept project proposals. According to the C/2_0-3.9 (7.1) 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 Board may accept project proposals.

- 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

budget does not require approval. However, the implementing entity is expected to
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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.
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- 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

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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 BDC y- 0 Td()Tj/TT2 1 Tf-0. (454 (em)-11 (e.3STj/TT*

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.*

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:

a

[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](#)

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

Grants to End Beneficiaries

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

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)

Communications

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

Other General Operating Expenses

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

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

No narrative necessary. Oranl9 [#,)10 (A)2 (#.)-10 (#)20 (,)-10 (a)4 (nd A)2 (#)20 (.)t2.1.m,7te (t.B0 0 12-1

regional institutions and/or NGOs in developing countries is encouraged as it helps

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.

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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.

*All direct and
indirect non-*

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

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)

.....

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

Table 1 – Review of Programmed Activities

Activities	Status	Comment
<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		

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

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 as Emed as 7 unab)21(at)-4.6(or5(i)-4.6(s)-2.3 (t)13-

.....

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

Table 1 – Review of Programmed Activities

Activities	Status	Comment
<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

Description of challenge	Action(s) taken to solve the issue, if any

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

**Intervention
Logic**

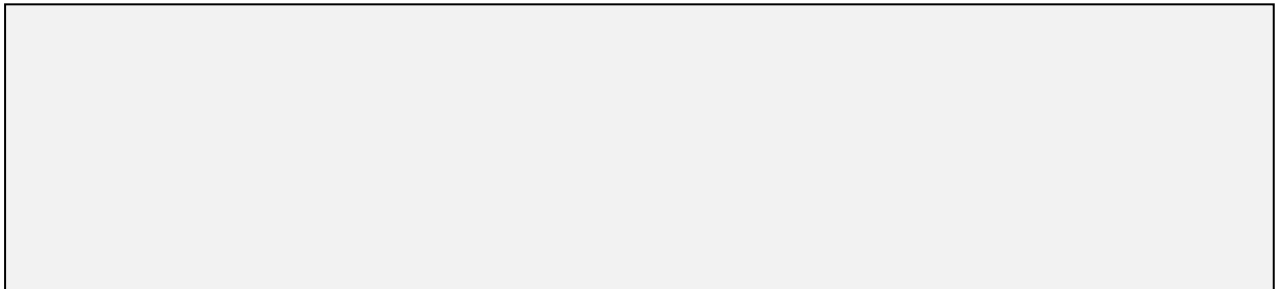
Activities

Indicators

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