GUIDELINES FOR PREPARING CONCEPT NOTES FOR THE 18TH TRANCHE OF THE DEVELOPMENT ACCOUNT

These guidelines should be used for developing concept notes for projects funded under the 18th tranche of the Development Account (DA). The concept notes will be used for internal review and preparation of a short list to be sent to the DA Steering Committee and then the Programme Manager. The notes should also be used for discussions with partners. Sections two and three of the concept notes will be used in the DA’s budget fascicle and its Supplementary Information, which will be submitted to ACABQ and the Fifth Committee of the General Assembly (GA) as part of the Proposed Programme Budget for 2026. Once projects have been selected for inclusion in the fascicle, the DA Team will undertake an in-depth quality assurance process.

**Please note that when submitting concept notes, the following issues should be considered:**

* The guidelines serve as instructions, but *the separate template (see annex 1) should be used for drafting concept notes* to ensure all sections are in the correct format.
* Projects should follow a human rights-based approach, integrating ‘leaving no one behind’, gender considerations, and disability inclusion throughout.
* Coordination and/or implementation with Resident Coordinator Offices and the UN Country Teams should be elaborated on in the UN system coordination section.
* Evaluation costs do not need to be included in the budget. As per the DA Evaluation Framework, only half of the projects from the 18th tranche will be selected for final evaluation, and the selection will take place at the mid-point of the project cycle (beginning of the 3rd year). Funds for the evaluation will then be added to the budgets of the selected projects.
* It is likely that the tranche will be recosted. The exact amount will only be known by the end of 2024 and will be distributed pro rata to all projects; additional instructions will be provided at that time.

# 18th TRANCHE THEME

The DA Steering Committee endorsed **“***Supporting Member States to catalyze digital transformation and an enabling policy environment for a sustainable, responsible, and inclusive digital society that leaves no one behind, with a focus on gender equality and the empowerment of women and girls*.”

# QUALITY ASSURANCE AND SELECTION OF PROJECTS

The DA Focal Points are expected to guide the development of the concept notes, ensuring their linkage to the theme, strong potential for capacity development results, and commitment to partnerships with relevant entities of the Secretariat and/or UN system. All concept notes should undergo an internal quality review process before being submitted to the DA Team. A checklist has been provided (see annex 2) to assist DA Focal Points with this review process. Implementing entities should submit twice the number of projects as were funded in 2024. The submission should also include the entity’s prioritization of the proposed projects. Project drafters are encouraged to focus on countries with special needs (LDCs, LLDCs and SIDS), and joint projects may receive additional funding beyond the typical US$600-700,000[[1]](#footnote-2). However, joint projects should only be undertaken when they will meet the following criteria: (1) joint projects should have a shared goal and shared expected outcomes among its jointly implementing entities; (2) there should be clear benefits of combining the expertise and efforts of the jointly implementing entities; and (3) there should be joint implementation of at least one output rather than separate outputs for each entity. Joint projects should not be undertaken if there will be separate outcomes for each entity (parallel work rather than joint work), and if all outputs are to be done independently rather than jointly. The GA has been very critical of low implementation rates. Thus, DA Focal Points need to consider the capacity of the unit(s) that will be implementing the project when drafting concept notes, especially as the DA can only provide limited funding for General Temporary Assistance (GTA) and other staff support.

# TIMELINE FOR PROJECT DRAFTING AND IMPLEMENTATION

Below are the deadlines and key dates for projects for the 18th tranche.

|  |  |
| --- | --- |
| 15 November 2024 | Deadline for submitting concept notes |
| November - December 2024 | DA Team consults entities to finalize the short list |
| January 2025 | DA Team presents the suggested short list to the DA Steering Committee for its endorsement and recommendation to the Programme Manager for approval |
| January - February 2025 | DA Team reviews concept notes of shortlisted projects and provides feedback |
| March 2025 | The final version of the DA fascicle is submitted to PPBD |
| April 2025 | DA fascicle published |
| May or June 2025 | DA fascicle and Supplementary Information presented to ACABQ as part of the Proposed Programme Budget |
| May - September 2025 | DA Team issues project document guidelines in May, and implementing entities submit project documents to the DA Team by September 1st |
| October 2025 | Presentation of the DA fascicle to the Fifth Committee |
| September - December 2025 | DA Team reviews project documents and provides comments for revisions |
| Late December 2025 | Expected GA approval of the Proposed Programme Budget for 2026 |
| January-March 2026 | Project documents have been approved and allotments issued during Q1 |
| 31 March 2027 | Deadline for submitting first annual progress report |
| January-February 2028 | Selection of projects to be evaluated |
| 31 March 2028 | Deadline for submitting second annual progress report |
| 31 March 2029 | Deadline for submitting third annual progress report |
| June 2029 | ***Suggested*** operational closure of projects, to provide a cushion in case of delays and to allow time to financially close the project. |
| December 2029 | ***Required*** operational closure and financial closure of the 18th tranche |
| 31 March 2030 | Deadline for submission of final report for all projects |
| 30 June 2030 | Deadline for submission of evaluation report for projects selected for evaluation (for projects *under* $1 million) |
| 30 September 2030 | Deadline for submission of evaluation report (for joint projects *over* $1 million) |

# MAIN ELEMENTS OF THE CONCEPT NOTES

All of the following elements must be included in 18th tranche concept notes for them to be considered.

1. Background
2. Fascicle Note
   1. Title
   2. Implementing entity and partners
   3. Relationship to the SDG targets
   4. Objective
   5. Project plan for 2026-2029
   6. Budget summary
3. Additional data needed for the fascicle
4. Outcomes and Outputs
5. UN system coordination
6. Budget narrative

Please ensure that for sections 2 and 3, extra care is taken to follow the format and guidelines, as these are used to present the projects to ACABQ and the GA. More specifically Section 2, the fascicle note, is the format and content that will be provided on each project in the supplementary information of the DA’s budget fascicle. Section 3 contains additional data that will be used to provide an analysis of the entire tranche and the projects being proposed. Therefore, it is greatly appreciated if the data and information is provided in the format requested to reduce additional editing required. All other sections will assist the DA team in understanding the project and creating a short list of projects for funding. An example fascicle note is included below (additional examples can be found in the [supplementary information](https://da.desa.un.org/sites/default/files/dafiles/PPB2025_Sect%2035_DA_%20Supplementary%20Information.pdf)).

**Sample Fascicle Note:**

# outline of a concept note and how to prepare it

The sections below provide instructions on how to complete each section of a concept note. This should be used along with the concept note template provided (see annex 1) for drafting purposes.

# Background

The background section should include the following information and be less than one page:

1. *The issue that the project intends to address.* This section should describe the issue that the project intends to address and can also include a paragraph defining the broader context of the issue. It should also briefly refer to a human rights-based approach, ‘leaving no one behind’, gender considerations, and disability inclusion in relation to the issue described in this section.
2. *The tentative list of potential target countries, if already known.* This section should detail the specific demand/requests for support from these countries. Please note that the list of countries will not be included in the fascicle submitted to the GA.
3. *The project’s connection to the work of the implementing entity/ies and its comparative advantages in this area*.

# Fascicle Note

The fascicle note below (sections 2.a. through 2.f.) will be used for the Supplementary Information of the Proposed Programme Budget, used to present the projects to ACABQ. It is important to closely follow the instructions in this section, as the components of the fascicle notes need to be consistent across all projects, and to use the separate template document (see annex 1) provided when drafting concept notes, to ensure this section is formatted correctly. The fascicle note should be no longer than one page.

## Title

The title should capture the overall programmatic intention of the project. It should be compelling, positive, and concise and include the thematic area of the project and its geographical scope.

Examples:

* *Better disaster risk management for a resilient future in Asia and the Pacific*
* *Better coastal transport infrastructure in the Caribbean Small Island Developing States to mitigate climate change impacts*
* *Improved community safety policies in Latin American and African cities*
* *Better air quality data for effective health and environment policies in Africa and the Asia-Pacific*

## Implementing entities and partners

All of the 10 DA implementing entities that will be involved in implementing the project, starting with the lead entity (i.e., the entity submitting the proposal), any joint implementing entities, and then collaborating entities, should be listed in this section using the format provided in the template, and included here in bold, for reference (please read the definitions below): **Implemented by (add implementing entity) jointly with (add joint DA implementing entities, if applicable) and in collaboration with (add collaborating DA entities, if applicable)**.If one part does not apply (e.g. if there are no joint DA implementing entities), that language can be deleted. It should be noted that all projects are still expected to work with UN Resident Coordinator Offices (RCOs), but this will no longer be included in the section with implementing partners. This should instead be included in section 5.a of the concept note on RCO engagement. DA projects are also expected to collaborate with other Secretariat entities, UN funds, programmes and/or specialized agencies and UN Country Teams; more details on this collaboration should be included in the UN system coordination section. Concept notes which refer to cooperation with other UNDA partners as active partners in the project’s implementation should be shared with those entities for comments and confirmation of their participation.

Definitions:

* The **implementing entity** refers to the 10 DA entities leading the project (DESA, ECA, ECE, ECLAC, ESCAP, ESCWA, UNCTAD, UNEP, UN-Habitat, or UNODC).
* **Joint DA implementing entities** are any of the 10 DA entities that will also receive funding allocations directly from the DA for the project. *Please note that partnership between multiple units in one entity is not considered joint implementation, since joint implementation is strictly between multiple DA implementing entities.*
* **Collaborating DA entities** are any of the 10 DA entities that are partners in the project but which will not receive funding allocations directly from the DA (if the implementing entity will disburse some of the funding to them at a later stage, the entity would still fall under the category of collaborating and not joint).

## Relationship to the SDG targets

This section should list the most essential SDG targets, with a maximum of 10. Please list the targets in ascending order. No explanation or narrative needs to be provided at this stage, but rather only the numbers of the targets, which will be used to develop the budget fascicle (e.g., 12.3, 16.3 and 16.5).

## Objective

The objective states the intended goal of the project, involving a process of change aimed at meeting the needs of identified beneficiaries. Each project should have only one objective, which should not be longer than one sentence. The objective should include reference to the project’s beneficiaries, its geographical scope and its substantive focus. The objective should not attempt to explain the ways in which the project intends to achieve the objective (i.e., it should not include the word ‘through’) or describe the internal work of the UN using verbs such as ‘support’, ‘facilitate’ or ‘contribute’. The project’s delivery will contribute to the attainment of the objective, yet the objective might not be achieved in full during the project’s implementation period.

Examples:

* + *To strengthen national capacities of selected developing countries for the sustained, regular production of a priority set of environmental statistics*
  + *To improve the capacity of selected countries to design, adapt and implement institutional and regulatory frameworks that foster sustainable practices in the field of sovereign debt governance*
  + *To strengthen the capacity of selected target countries with economies in transition and developing countries to improve the planning, management and regulation of cross border agricultural food supply chains in order to support enhanced competitiveness and improved food security*
  + *To enhance the capacity of selected developing countries in Asia and the Pacific to develop policies and strategies for multi-sectoral disaster-resilient development planning for safer communities*

## Project plan for 2026–2029

This section is one of the main parts of the budget fascicle and should be approximately 300 words. The **project plan for 2026–2029** is composed of three paragraphs. It is expected that this will be directly copied into the supplementary information for the proposed programme budget, so please ensure that the instructions are closely followed. Examples of each paragraph are included directly below the instructions. Please refer to the latest fascicle’s [supplementary information](https://da.desa.un.org/sites/default/files/dafiles/PPB2025_Sect%2035_DA_%20Supplementary%20Information.pdf) for additional examples.

**Paragraph 1:** **Context and trigger**. Should briefly describe the context of the project, i.e., the problems that the project aims to address, as well as the trigger for the project, e.g., a new resolution/outcome document/etc. calling for this action/project; increasing requests from Member States; or other recent developments.

|  |
| --- |
| *Paragraph 1 example:*  In “Our Common Agenda” (A/75/982), the Secretary-General highlighted the importance of strengthening capacities to understand and assess the future, building long-term, intergenerational thinking into policies and decision-making. One of the defining characteristics of the future is the rising proportion of older persons in the population. There are long-standing calls for integrating population into development planning expressed by the General Assembly and other intergovernmental bodies. |

**Paragraph 2:** **Explain the project**. Provide a brief explanation of what the project intends to do and the problems that it aims to address, for example by focusing on how the project will work to strengthen capacities in target countries. This paragraph should include one sentence on the number of target countries, which regions they are in, and what they will be supported to do using the format provided in the template and included here in bold for reference:

**This project will support (#) countries in (list regions) to (actions enabled through the project’s capacity development, e.g. to measure and report on something).**

|  |
| --- |
| *Paragraph 2 example:*  This project responds to those calls by transforming national accounts into a policy instrument that addresses inclusion and sustainability in the context of population ageing. National inclusion accounts disaggregate national economic statistics by age and socioeconomic status and help identify how economic resources are shared between population groups. Such accounting is needed for long-term forecasts of the costs of funding sources for social protection, education and healthcare programmes to ensure fiscal sustainability and evaluate their success in achieving inclusive sustainable development. This project will support eight countries in Latin American and the Caribbean and Asia and the Pacific to produce national inclusion accounts, analyze the impacts of population ageing on inclusive and sustainable development and formulate public policies and plans to take account of future demographic change while promoting inclusive and sustainable economic growth. |

**Paragraph 3:** This paragraph should **outline what the project’s work is expected to contribute** to and describe the ‘**evidence’** that can demonstrate progress towards the objective. This evidence should be the highest concrete achievement/highest-level indicator that proves that capacity has been enhanced as planned. To ensure consistency across projects in the fascicle, this paragraph should start with the following sentence:

**This work is expected to contribute to (state the objective), which would be demonstrated by (evidence that will demonstrate progress towards the objective).**

An example is included below for reference.

|  |
| --- |
| *Paragraph 3 example:*  This work is expected to contribute to strengthening the capacities of the beneficiary countries to design and adopt policies that foster sustainable and inclusive development while adapting to their new demographic realities, which would be demonstrated by the estimation of national accounts disaggregated by age and socioeconomic status and the use of these disaggregated data in long-term evaluations of investments in social protection, education and/or health care. At the end of the project, it is expected that the target countries will be better prepared to adapt to population ageing with social protection, education and healthcare systems that are fiscally sustainable and inclusive. |

## Budget summary

Below are the **budget categories** that should be used when preparing concept notes. **Please fill in the table below, which will be used for the supplementary information for the budget fascicle**. A budget narrative is also required later in this document to allow a better understanding of the project during the selection process. Please note that the figures are in thousands of USD (e.g. USD 500,000 would be 500.0 in the table below). Please do not delete any budget categories in this table.

|  |  |
| --- | --- |
| *Budget summary (thousands of United States dollars)* | |
| Other staff costs | 00.0 |
| Consultants | 00.0 |
| Travel of staff | 00.0 |
| Contractual services | 00.0 |
| General operating expenses | 00.0 |
| Grants and contributions | 00.0 |
| **Total** | **000.0** |

**Descriptions of Budget Classes**

Below are some general comments on the main budget classes to assist entities with completing the table above. Entities are encouraged to consult with their finance section to ensure budgets correspond to the latest UMOJA guidance.

* Other Staff costs – GTA **(015)**: Other Staff costs – GTA (015): This budget class is for General Temporary Assistance used to respond to short-term, interim needs of the implementing entity in carrying out the project’s activities, through the use of temporary staff resources. GTA should not be used for the recruitment of consultants. The reasonable maximum for GTA has been increased from 5% to 10% for T18. This change largely reflects additional efforts required for implementing entities to engage with RCOs in all target countries throughout project planning and implementation; enhanced monitoring of progress in achieving the projects’ expected outcomes; and greater information sharing, coordination and collaboration with other DA and non-DA entities, as well as, in the case of joint projects, among the jointly implementing DA entities. It is also recognized that the use of GTA may be necessary to support the implementation and management of the project when the implementing entities’ in-house expertise is not funded under RB, or in the case of joint projects, involving a large number of implementing entities. GTA increase is aimed to enhance effectiveness and coherence of support delivered by the DA entities to the Member States.
* Consultants **(105)**: Consultants should be split into three groups: International consultants, regional consultants and national consultants. Use of national and possibly regional consultants is encouraged.

|  |
| --- |
| **International consultants** are consultants which are nationals of countries outside of the region of the target country/ies where they will be working. For example, a Spanish national hired as a consultant to support target countries in the ECLAC region would be considered international. In addition, if a consultant will be working in multiple regions during the project, they are considered international, regardless of their nationality.  **Regional consultants** are consultants which are nationals of a country within the same region as the target country/ies in which they will be working. For example, a Peruvian national hired as a consultant to support target countries in the ECLAC region would be considered regional.  **National consultants** are consultants which are nationals of a target country and which will be working solely in that same country. For example, a Guatemalan national hired as a consultant to work solely in Guatemala would be considered national. If, however, the same consultant was instead supporting both Guatemala and another country in the same region, then they would then be considered regional.  For the purposes of this analysis, regions are defined according to the regions supported by the Regional Economic Commissions. |

* Travel of staff **(115):** This budget class is used exclusively for travel of UN system-wide staff, for all types of travel (participation in expert groups, workshops, providing advisory services). Staff travel costs should not be included under workshops.
* Contractual Services **(120):** 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, interpretation costs for Expert Group Meetings, translating or printing documents, etc. The use of local and regional institutions and/or NGOs is encouraged as it contributes to the strengthening of national capacities. This budget class should also be used for procurement contracts.
* General operating expenses **(125):** This budget class should be used for communications and postage costs which can be directly attributed to the project, as well as in-house or low-value printing of reports. For major undertakings related to printing services, use the contractual services budget class. Venue rentals, conference service costs and communication costs associated with workshops/trainings/seminars/expert group meetings should also be included in this budget class.
* Grants and Contributions – *Workshops / Study Tours* **(145)**: This budget class is only for costs related to the travel/DSA of participants attending seminars, workshops and study tours as well as travel of experts and/or participants attending Expert Group Meetings. Resource persons not contracted, i.e., meeting participants in advisory roles, such as panelists at meetings/workshops/seminars should also be charged to this budget class. Grants and subcontracts issued to implementing partners to carry out training activities should NOT be charged here but to contractual services. Any conference-related expenditures including venue rental should generally be charged to general operating expenses.

# Additional data needed for the fascicle

Please complete the tables below, which will be used for charts and tables in the budget fascicle. As this is used to analyze data for the entire tranche, please do not change the categories or format.

**Will this project support the following categories of countries with special needs?**

|  |  |  |
| --- | --- | --- |
| **Small Island Developing States (SIDS)[[2]](#footnote-3)** | **Landlocked Developing Countries (LLDCs)[[3]](#footnote-4)** | **Least Developed Countries (LDCs)[[4]](#footnote-5)** |
| (Yes or no) | (Yes or no) | (Yes or no) |

**Will this project support countries in the following regions?** *(Please do not add any additional categories here, e.g., “global”. If the project will support countries in multiple regions, please make sure to indicate yes for all regions that the project will support)*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Africa** | **Asia and the Pacific** | **Middle East and North Africa** | **Latin America and the Caribbean** | **Europe and Central Asia** |
| (Yes or no) | (Yes or no) | (Yes or no) | (Yes or no) | (Yes or no) |

**Which SDGs will the project contribute to?**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** | **13** | **14** | **15** | **16** | **17** |
| (y/n) | (y/n) | (y/n) | (y/n) | (y/n) | (y/n) | (y/n) | (y/n) | (y/n) | (y/n) | (y/n) | (y/n) | (y/n) | (y/n) | (y/n) | (y/n) | (y/n) |

**Which types of partnerships will the project include?**

|  |  |  |
| --- | --- | --- |
| **Development Account entities[[5]](#footnote-6)** | **UN System (excluding resident coordinator offices)** | **Other international/regional organizations** |
| (Yes or no) | (Yes or no) | (Yes or no) |

**Summary of consultancy requirements** (*please note that this should be work-months, not work-days)*

|  |  |  |  |
| --- | --- | --- | --- |
| **Type of consultants** | **Number of consultants** | **Number of work-months** | **Cost (Thousands of USD)** |
| **International** | (#) | (#) | (##.#) |
| **Regional** | (#) | (#) | (#.##) |
| **National** | (#) | (#) | (##.#) |
| **Total** | (#) | (#) | (##.#) |
| **International consultants** are consultants which are nationals of countries outside of the region of the target country/ies where they will be working. For example, a Spanish national hired as a consultant to support target countries in the ECLAC region would be considered international. In addition, if a consultant will be working in multiple regions during the project, they are considered international, regardless of their nationality.  **Regional consultants** are consultants which are nationals of a country within the same region as the target country/ies in which they will be working. For example, a Peruvian national hired as a consultant to support target countries in the ECLAC region would be considered regional.  **National consultants** are consultants which are nationals of a target country and which will be working solely in that same country. For example, a Guatemalan national hired as a consultant to work solely in Guatemala would be considered national. If, however, the same consultant was instead supporting both Guatemala and another country in the same region, then they would then be considered regional.  *For the purposes of this analysis, regions are defined according to the regions supported by the Regional Economic Commissions.* | | | |

**Summary of deliverables**

|  |  |  |  |
| --- | --- | --- | --- |
| **Quantified deliverables: Generation and transfer of knowledge** | | **Non-quantified deliverables: Substantive deliverables** | |
| **Seminars, workshops, and training events (# of days)** | **Technical materials (# of materials)** | **Consultation, advice, and advocacy (included or not included in the project)** | **Databases and substantive digital materials (included or not included in the project)** |
| (#) | (#) | (Yes or no) | (Yes or no) |

# Outcomes and Outputs

**Please use the format in bold at the end of this section to provide both the outcomes and outputs.** Instructions for developing outcomes and outputs and examples of each are provided below.

**Outcomes** (OCs) describe the changes that are expected to occur as a result of the completion of outputs. The outcomes should be achievable within the project’s timeframe and budget and should be specific enough to be measured by the associated indicators of achievement. Indicators are not required at this stage, but if the project is approved for funding, indicators should be prepared in consultation with the implementing entity’s evaluation unit. In developing the outcomes, it is important to assess whether the completion of the outputs is likely to achieve what is defined in the outcomes. Given that Development Account projects have an implementation period of three to four years, it is expected that most projects would contain at least two outcomes, but complex projects with a larger budget may exceptionally have three outcomes.

Examples:

* + *Improved capacity of policymakers in beneficiary countries to identify regulatory and institutional gaps in the field of sovereign debt governance*
  + *Improved capacity of public and private stakeholders to identify and select sectors for national production and export of green/sustainable products*
  + *Strengthened national capacity of beneficiary countries to develop policies for sustainable housing*
  + *Strengthened capacity of policymakers to formulate cross-sectoral policies that enhance effective participation of youth in economic, social and political life*

**Outputs** can be further developed and refined in the project document. At this stage, please briefly describe the outputs that will be used to achieve the outcomes to allow the DA team to better understand how the project will achieve its outcomes and work toward its objective. The project’s outputs (OPs) are the set of actions to be taken to achieve the outcomes. Well-formulated outputs should describe the specific actions, products, reports, etc. that need to be delivered by the project, in cooperation with the beneficiaries, to achieve the outcomes. Please note that it is recommended that all projects incorporate virtual and blended learning methodologies for capacity development in the delivery of project outputs[[6]](#footnote-7).

Each output should be **clearly linked** to the outcome it contributes to (e.g., OP.1.1, OP.1.2 and OP.1.3 contribute to OC1; OP.2.1 and OP.2.2 contribute to OC2 etc.) and listed chronologically as much as possible. In some instances, outputs may contribute to multiple OCs; in this event, the dual nature of the output should be footnoted.

Examples:

* + *Six national workshops organized to discuss policy notes and other technical documents with government officials aiming at drawing lessons on how policy recommendations that are derived from modelling-based policy analyses can be transmitted*
  + *Two interregional study tours organized for 10 officials from the seven member countries to share knowledge and learn best practices*
  + *A policy paper developed, which will contain an analysis of best practices and lessons learned and guidelines on the preparation and implementation of National Action Plans for Sustainable Housing based on experiences and lessons learnt from the beneficiary countries*
  + *A tool kit developed for compiling and disseminating national data of Short-Term Economic Statistics (STES) that includes application software, a catalogue of metadata and dissemination tools*

**Considerations for developing a strong results framework:**

Strong linkages among the objective, outcomes and outputs are key for the development of a strong results framework. Entities are encouraged to conduct a top-down and bottom-up review, by raising the following questions, reflecting on the answers, and revising any of the three elements, if required:

Top-down questions:

1. How can the objective be met? […By achieving the outcomes]
2. How can the outcomes be achieved? [...By delivering the outputs]

Bottom-up questions:

1. If the project delivers the outputs outlined, are the outcomes likely to be achieved?
2. If the project achieves the outcomes, will this help meeting the objective?

As you are developing the outcomes and outputs, it is also important to keep in mind what the **theory of change** behind these decisions are. For example, why are these outputs the best ones to achieve the desired change, do they address the root causes of the issue to be addressed, and what assumptions are being made that might affect whether they can achieve the desired change? This does not need to be explained in the concept note, as the theory of change will be more fully developed in the project document. However, this is an important consideration even now to ensure that the logic underpinning the project is sound. For more guidance on the theory of change, please see the [17th tranche project document guidelines](https://da.desa.un.org/sites/default/files/dafiles/T17%20Project%20Document%20Guidelines.pdf).

**Format to be used for outcomes and outputs:**

**OC1: (add text)**

* + **OP1.1: (add text)**
  + **OP1.2:**
  + **OP1.3:**
  + **Etc.**

**OC2:**

* + **OP2.1:**
  + **OP2.2:**
  + **OP2.3:**
  + **Etc.**

# UN system coordination

## Engagement with RCOs

It is recognized that that target countries included in the background section of the concept note may be tentative at this stage. However, as it is important that DA projects engage with RCOs, ideally at the design stage (i.e., after the concept note has been shortlisted and before the project document has been submitted), it is important to already think about the tentative plans for how the RCOs will be engaged. If the target countries are already known, please include these plans by country. If target countries are not yet known, please include a plan for RCO engagement that could be applied to all target countries (this can be refined in the project document, if the project is selected). Plans should be based on interaction that will occur in the context of this project, if it is selected, rather than outlining general organizational policies or practices. There are two main types of involvement that could be included below:

* **Informing** – Informing RCOs (and UN Country Teams (UNCTs) through them) of the DA project and national activities to be undertaken in their countries. This is the minimum requirement for all DA projects.
* **Support to the project** – examples of this could include RCO support to identifying and/or inviting meeting/workshop participants, identifying resource persons (including those within the UNCT) or national consultants, and disseminating project outputs. It could also include fine-tuning project modalities/activities to national contexts, identification of government counterparts, focal points and partners, identification of synergies with other projects/initiatives in the focus area, stakeholder engagement strategy, mobilization of supplementary resources, and sustainability measures.

In addition, other involvement may include the implementing entity’s membership in the UNCT and participation in the Common Country Analysis (CCA) and the UN Sustainable Development Cooperation Framework, and the project activities being part of the entity’s contribution to outputs and strategic priorities within the Cooperation Framework. Such involvement should also be briefly described under “brief description of RCO involvement”.

|  |  |
| --- | --- |
| **Target country** | **Brief description of planned RCO involvement** |
| If the target countries have already been tentatively selected for the project, then please include them in this column. If they have not yet been selected, then please put “n/a” in this column and provide a general description of planned engagement with RCOs in the eventual target countries in the column on the right. | Please use this column to provide a description of the planned RCO involvement for each target country. |
|  |  |
| (add more rows as needed) |  |

## Partnerships

Although the full list of partners is not included in the fascicle notes, it is helpful for the DA-Team to have an understanding of the key partnerships that are envisioned for the project’s implementation, especially if the project is being proposed as a joint project. Please include here a list of the partners that are planned for this project, including both other DA entities and non-DA entities within and outside of the UN, and briefly describe their intended role in the project. This should include those partners that will have an active role in its implementation, and it should not include the intended beneficiaries (i.e., target countries’ ministries, policymakers, etc.).

**For Joint Projects:** Please also provide some details confirming that the project will meet the three criteria noted earlier as being essential for joint projects—(1) a shared goal and shared expected outcomes among its jointly implementing entities; (2) clear benefits of combining the expertise and efforts of the jointly implementing entities; and (3) joint implementation of at least one output rather than separate outputs for each entity. If a higher budget is being proposed, please also specify how the additional funds would help the project to go further/enhance the coordination and management of the project.

# Budget narrative

A detailed description of the budgetary requirements by budget class should be developed in this section. For each budget class, details should be provided on the link to the project outputs. When possible, costs and work months should be disaggregated by output. For detailed descriptions of the budget classes, please see the explanations provided at the end of the fascicle note section, earlier in these guidelines.

### Other staff costs - *GTA* (015)

Temporary assistance to perform the tasks of , in support of outputs: OP#.# (no. of work months) x ( $ per work month) = $ .

OP#.# (no. of work months) x ( $ per work month) = $ . OP#.# etc.

**Total cost of GTA for all outputs: $\_\_\_\_\_\_**

### Consultants (105)

1. ***International consultants***

*Total cost of international consultants: $\_\_\_\_\_*

*Total number of work months for international consultants: \_\_\_\_\_\_*

\_[Total # of]\_ International consultants for the task(s) of\_\_\_\_\_\_\_\_, in support of outputs: OP#.# (no. of work-months), OP#.#(no. of work-months) and OP#.#. (no. of work months) x ($\_\_\_\_\_per month) = $\_\_\_\_\_\_\_\_\_\_\_.

1. ***Regional consultants***

*Total cost of regional consultants: $\_\_\_\_\_*

*Total number of work months for regional consultants: \_\_\_\_\_\_*

*\_[Total # of]\_ regional consultants for the task(s) of\_\_\_\_\_\_\_\_, in support of outputs: OP#.# (no. of work months), OP#.# (no. of work months), and OP#.# (no. of work months) x ($\_\_\_\_\_ per month) = $\_\_\_\_\_\_.*

1. ***National consultants***

*Total cost of national consultants: $\_\_\_\_*

*Total number of work months for national consultants: \_\_\_\_\_*

\_[Total # of]\_\_ National consultants for task(s) of\_\_\_\_, in support of outputs OP#.# (no. of work-months), OP#.# (no. of work-months) and OP#.#. (no. of work months) x ($ per month) = $ .

**Total cost for a, b, and c: $\_\_\_\_\_\_\_\_\_\_\_\_\_**

### Travel of Staff (115)

1. ***UN Staff from the lead entity***

(Total # of missions) by UN staff for the purpose of ( ) (if possible indicate countries), in support of outputs OP#.# (no. of missions), OP#.# (no. of missions), OP#.# (no. of missions), and OP#.# (no. of missions).

($ average mission cost) x (total no. of missions) = $ .

1. ***Staff from other UN DA implementing entities and collaborating entities within the UN Secretariat and System partnering on the project***

(No. of missions) by other UN staff for the purpose of ( ) (if possible indicate countries), in support of outputs OP#.# (no. of missions), OP#.# (no. of missions), OP#.# (no. of missions) and OP#.# (no. of missions).

($ average mission cost) x (total no. of missions) = $ .

**Total cost of travel of staff: $\_\_\_\_\_\_\_\_**

### Contractual services (120)

A provision of $ is required for services in support of outputs OP#.# : description of services, duration and cost of each contract and if possible recipient country.

**Total cost of contractual services: $\_\_\_\_\_\_\_\_\_\_**

### General operating expenses (125)

1. ***Communications***

In support of OP#.#, OP#.#, and OP#.#. = $ .

1. ***Other general operating expenses***

In support of OP#.#, OP#.#, and OP#.#. = $ .

**Total cost of general operating expenses: $\_\_\_\_\_\_\_\_\_**

*(Conference related costs, including venue rental for trainings/workshops/EGMs should be listed in this budget class)*

### Grants and Contributions (145)\*

1. ***Workshops, seminars & Expert Group Meetings***

Seminar / Workshop on (title of seminar) in country , in support of OP#.#. Duration of workshop:

days; ($ per participant) x (no. of participants) x (no. of workshops) (ideally the number of participants should be a multiple of the number of target countries)

Please include information regarding the length of each workshop/seminars/Expert Group Meetings in number of days.

1. ***Study Tours***

Study tours for the purpose of ( ) in country , in support of OP#.#. Study tour duration:

days; ($ per study tour) x (no. of participants) x (no of study tours) = $ . (Ideally the number of participants should be a multiple of the number of target countries)

**Total cost of grants and contributions: $\_\_\_\_\_\_\_\_**

*\*Please note that this budget class can NOT cover costs associated with Conference services (interpretation, venue rental etc.). It is only for participant travel costs.*

1. A joint project is a project that is designed, implemented, and monitored by two or more DA implementing entities (i.e. DESA, ECA, ECE, ECLAC, ESCAP, ESCWA, UNCTAD, UNEP, UN-Habitat, and UNODC). Normally, one or two entities take the overall lead, and funds are allocated directly to each of the jointly implementing entities. [↑](#footnote-ref-2)
2. List of SIDS: <https://www.un.org/ohrlls/content/list-sids> [↑](#footnote-ref-3)
3. List of LLDCs: <https://www.un.org/ohrlls/content/list-lldcs> [↑](#footnote-ref-4)
4. List of LDCs: <https://www.un.org/development/desa/dpad/wp-content/uploads/sites/45/publication/ldc_list.pdf> [↑](#footnote-ref-5)
5. DESA, ECA, ECE, ECLAC, ESCAP, ESCWA, UNCTAD, UNEP, UN-Habitat, UNODC [↑](#footnote-ref-6)
6. See also the DA eLearning resources webpage: https://www.un.org/development/desa/da/blended-learning-methodologies-for-capacity-development-2/ [↑](#footnote-ref-7)