Annex 1. Concept Note template and instructions

i. **Title**

ii. **Implementing Entity and UN Secretariat partners**

iii. **Background***(Approximately one page)*

iv. **Relationship to the Strategic Framework for the period 2016- 2017 and the Sustainable Development Goals**

v. **Objective***(Max 1)*

vi. **Expected accomplishments***(Suggested 2)*

EA1

EA2

vii. **Indicators of achievement***(1 or 2 per EA; coding should be clearly linked to EAs)*

IA1.1

IA1.2

IA2.1

viii. **Main activities and timeline***(Coding should be clearly linked to the EAs).*

A1.1 _____;

A1.2_____;

A1.3_____;

A2.1_____;

A2.2_____;

A2.3_____;

	2017				2018			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
A1.1								
A1.2								
A1.3								
A2.1								
A2.2								
A2.3								

Instructions for the completion of Concept Notes

These instructions are issued to assist implementing entities (IEs) in developing concept notes for project. To ensure standardization of all concept notes, entities should use the above template for formulating individual proposals. The concept notes should be submitted to Capacity Development Office at the following address: cdo@un.org

Each of the above components is elaborated below:

i. Title

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

Ex:- *Strengthening the statistical capacities of ESCWA Member Countries in producing and disseminating short-term economic indicators for economic growth;*
-Enhancing knowledge and capacity for the management of disaster risks for a resilient future in Asia and the Pacific;
- Strengthening the capacity of Governments in the ESCAP, ECA and ESCWA regions to respond to the needs of youth in formulating inclusive and sustainable development 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 area; Climate change impacts on coastal transport infrastructure in the Caribbean:
-enhancing the adaptive capacity of Small Island Developing States (SIDS).

ii. Implementing entity and partners

All Secretariat development entities that will be involved in implementing the project, starting with the lead entity (i.e. the entity submitting the proposal), should be listed in this section. While implementing partners often include the UN Secretariat development entities, it is also expected that the implementing entity coordinate with UN funds and programmes and/or specialized agencies, when relevant and beneficial for the project. 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.

iii. Background

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

a) The development issue that the project intends to address. If already known, this section should include the tentative list of potential target countries, defining their 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 which calls for action. This section should explain how the project activities will contribute to the 2030 Agenda for Sustainable Development;
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 which are currently ongoing; and

e) The implementation arrangements with other entities of the UN Secretariat and the broader UN System, where appropriate.

iv. Relationship to the Strategic Framework for the period 2016-2017 and the Sustainable Development Goals

This section should explain how the project links to the entity's Strategic Framework for the period 2016-2017, with specific reference to the Programme, sub programme and the relevant expected accomplishment. Similar information should be included for UN Secretariat implementing partners.

v. Objective

The objective states the overall intended goal of the project. 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 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.

Ex: -*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.

vi. Expected Accomplishments (EAs)

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.

Ex:- *Enhanced technical capacities of selected countries to regularly produce a comprehensive set of environment statistics…;*
-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;
-Enhanced engagement between policymakers and youth groups in jointly designing, amending and implementing youth-based policies for inclusive and sustainable development.

vii. Indicators of achievement

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

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).

Ex:- *X (number) policy options and instruments designed to fill the regulatory and institutional gaps identified in the field of sovereign debt governance;*
-Sustainable product sectors identified and selected for national production and export by national stakeholders in X out of the Y target countries;
-National Action Plans for the implementation of sustainability measures in the residential sector are developed and adopted in beneficiary countries.

viii. Main activities and timeline

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; on-line training modules, etc.

Concisely describe what you plan to do, your approach, who benefits and 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.

Ex: *-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 modelling-based policy analyses can be transmitted;*
- Organize a regional advisory mission for three countries to assess cross-border ecosystem and policy opportunities;
- Organization of an Expert Group Meeting to provide input on a methodology for an assessment framework to identify regulatory and institutional gaps;
- Develop a policy paper, 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;

- Developing a tool kit for compiling and disseminating national data of Short-Term Economic Statistics (STES) that includes application software, a catalogue of metadata and dissemination tools.

Strong linkages among the four elements outlined above (i.e. objective (v), expected accomplishments (vi), indicators (vii) and main activities (viii)) are key for the development of a strong **logical framework**.

In order to ascertain the validity and cohesiveness of the logical 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 four elements, if required:

Top down questions:

1. How can the objective be met? […By achieving the expected accomplishments]
2. How can the expected accomplishments be achieved? [...By delivering the main activities]

Bottom up questions:

1. If the project delivers the main activities outlined, will the expected accomplishments be achieved?
2. If the project achieves the expected accomplishments, will this help meeting the objective?