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Guidelines for Submitting Applications for National Human Development Report Human Security Grants

Human Security

The [Commission on Human Security \(CHS\)](#) defines human security as the protection of "the vital core of all human lives in ways that enhance human freedoms and fulfillment". Human security means protecting fundamental freedoms. It means protecting people from critical and pervasive threats and situations. It means using processes that build on people's strengths and aspirations. It means creating political, social, environmental, economic, military and cultural systems that, when combined, give people the building blocks for survival, livelihood and dignity.

Human security is far more than the absence of violent conflict. It encompasses human rights, good governance and access to economic opportunity, education and health care. It is a concept that comprehensively addresses both "freedom from fear" and "freedom from want".

Background

The UNDP Human Development Report Office has received 300,000 USD through the [United Nations Trust Fund for Human Security \(UNTFHS\)](#). These funds are to be used to support a programme of Human Security Grants for selected national Human Development Reports. The Programme will offer grants of up to 55,000 USD to five national Human Development Report (HDR) teams taking up the theme of Human Security. HDR teams are required to provide an equal or greater amount of co-financing.

Through the application and selection process, HDR excellence and innovation will be encouraged in areas such as: quality of Human Security analysis and use of statistics and indicators, with a focus on gender-based inequality and marginalized groups; sustained outreach and advocacy for HS policy impact; and participatory HS process and national ownership.

In addition to creating incentives for greater innovation in research and advocacy, the purpose of the grant programme is to meet the challenge of limited funding for HDR work beyond the most basic research and writing requirements.

Grant recipients will be selected by a panel comprised of staff of UNDP and the Human Security Unit of OCHA on a competitive basis and in accordance with criteria described below. Countries designated as One UN pilot countries, countries currently being considered by the Peacebuilding Commission, and LDCs that can demonstrate strong UN Country Team collaboration are eligible to participate in the call for national HDR grant applications. Countries are not eligible if UNDP-commissioned national teams have already produced an HDR on Human Security.

The application and implementation process for the grants will provide opportunities to clarify and discuss the Human Security approach. UNDP in-kind technical assistance provided to grant recipients will support more rigorous application of the HS concept. HDRs on Human Security will add country-level experiences to the understanding and application of this concept in part through the formulation of new projects for Human Security. UNDP will disseminate good practices and findings from these HDRs to the broader development community.

This programme supports the broader work of the UNTFHS by:

- increasing locally-relevant operationalisation of the HS framework, including contribution to the formulation of projects for Human Security, especially in support of seamless transition from conflict to post-conflict recovery, prevention and development;
- influencing specific change and achieve greater policy impact in key HS development areas.
- advocating for an increased understanding and broader, sustainable application of the HS framework at national, regional, and global levels;

Eligibility and Application

Countries designated as One UN pilot countries, countries currently being considered by the Peacebuilding Commission, and LDCs that can demonstrate strong UN Country Team collaboration are eligible to participate in the call for HDR grant applications. Countries are not eligible if national teams have already produced an HDR on Human Security.

Eligible UNDP Country Offices are invited to submit initial HS/HDR grant applications by January 31, 2009 to: <mailto:humansecuritygrants@undp.org>.

These grant applications are to include the following:

- A 3-5 page concept note offering a brief situational analysis and summary of the human security situation and a description of the proposed HDR process. In particular, the concept note should address the Evaluation Criteria detailed below.
- A budget describing the proposed specific use of UNTFHS funds - UNTFHS funds may be used to support and/co-finance more than one aspect of the HDR;
- An overall HDR budget estimate and simple budget narrative, including identification and possible sources of funding, co-financing, and in-kind contributions;
- Other relevant supporting materials demonstrating potential for high HS impact.

Eligible Country Offices should submit this information using the grant application form provided as Annex.

Evaluation Criteria

The HS/HDR grant applications will be evaluated based on their adherence and support for the broader principles of the UNTFHS, i.e., they should:

- address the range of interconnected issues that reflect the multi-sectoral demands of human security as advocated by the [Commission on Human Security](http://www.humansecurity-chs.org), including conflict and poverty, health and displacement, education, and environment and climate change, as relevant in each country (for more please see: <http://www.humansecurity-chs.org>);
- concentrate on those areas of human security that are currently neglected and avoid duplication with existing programmes and activities;
- increase locally-relevant operationalization of the HS framework;

- include analysis of the needs of people living in the country and their awareness of the threats they face.
- advocate for an increased understanding and broader, sustainable application of the HS framework at the national and/or regional level;
- encourage partnerships of civil society groups, NGOs, academia, and other local entities, as well as within the UN Country Team, in the HDR process and follow-up;
- promote multi-sectoral and inter-agency collaboration, paying particular attention to the special needs and vulnerabilities of women, and other marginalized groups; and
- propose concrete ideas that will encourage UN agencies to formulate other UNTFHS projects that address the multi-sectoral demands of human security.

In addition, the grant application must demonstrate how the HDR process will meet the six HDR corporate principles: National Ownership, Participatory Preparation, Independence, Quality of Analysis, Creativity in Presentation, and Sustained Follow-up.

For more please see; <http://hdr.undp.org/external/toolkit>, and seek excellence and innovation in one or more of the following areas:

- quality of HS analysis and data use with a focus on gender and marginalization;
- sustained outreach and advocacy for HS policy impact designed to influence specific change in key HS development areas and among specific stakeholders; and
- locally-owned HDR prepared through inclusive, participatory, empowering process.

Applications should also include more detailed descriptions of country-specific HDR objectives, outputs, activities, and risks.

Country offices can apply for up to USD 55,000 in UNTFHS funds. Applications should identify as explicitly as possible how these funds are to be used. Not more than 20% of UNTFHS funds can be used to cover the costs of international consultants.

Applications should identify an equal or greater amount of co-financing. For example, if USD 55,000 in UNTFHS funds is requested, the total HS/HDR budget should be at least USD 110,000. These matching funds may include in-kind contributions.

Selection and Allocation Process

All applications will be evaluated by a Selection Panel comprising representatives of HDRO, the HSU-OCHA, the UNDP Bureau for Crisis Prevention and Recovery and Regional Bureaus.

Applications that meet all selection criteria and demonstrate the greatest potential for achieving Human Security impact will be awarded the grants. Countries selected will have the greatest geographical balance possible, although some regions may receive a proportionately higher number of grants. Given the relatively limited number of grants available and the competitive selection process, there is no guarantee that grants will be awarded to every region.

HDRO will report the results of the selection process to the HSU-OCHA.

The Selection Panel may decide to award an amount less than that proposed by each UNDP Country Office. Funds will be disbursed directly to selected UNDP Country Offices. Given the relatively small size of the grants, the grants will be disbursed in full after the selection process and submission of more

detailed project work-plans and budgets. Country Offices are to submit a full project document with budget within 45 days of selection notification.

UNDP Country Offices and national partners will have approximately one and a half years to complete activities and report on the use of funds and results. Given the priority placed on such issues as national ownership, inclusive preparation, follow-up and policy impact, some HS NHDR processes may go beyond this ideal one and a half year period.

Each HS/NHDR to be funded by this project will of course develop its own implementation, advocacy and partnership strategy. In general every national HDR follows the following four stages of production and follow-up, which include strategic plans for partnership and advocacy.

- Preparatory Stage: 6 months
Theme Selection, Resource Mobilization, Building the Team, Training & Orientation, Communications Strategy
- Research & Writing: 6-9 months
Data, Research, Analysis, Training, First Draft, Review, Consultations, Final Draft
- Production: 2-3 months
Editing, Design, Translation, Printing
- Launch and Follow-up: continuous
Media, Communications, Outreach, Marketing, Dissemination, Monitoring Impact

A more detailed description of each of these HS/HDR stages can be found in standard [Timeline for preparation of National Human Development Reports](http://hdr.undp.org/external/timeline) at: <http://hdr.undp.org/external/timeline>.

External factors/risk analysis

The ability of HDRs to influence HS policy can be made challenging by the inherent tension between national ownership, and objectiveness and independence of analysis which make up key principles of the HDRs. Another challenge is to ensure impact after report launching.

There are several ways in which the project will help address these challenges. The selection process used will ensure that national ownership exists to the greatest degree possible already at the first stage of HS theme selection. Training materials will be provided to all country teams explaining the key principles and tools for successful HDR implementation. Independent peer reviews for data and analysis will be used for all reports. Advocacy and other post-launch follow-up strategies will be funded, with qualified staff identified for their implementation at the beginning of the report process. Throughout HDR research, writing, consultation and outreach and launch processes, HDRO will offer technical assistance to HDR teams in cooperation with the HSU/OCHA and other UNDP partners. HDRO will provide in-kind consultation, and training to HDR teams, and facilitate contact with other partners through UNDP's knowledge networks.

Administration and financial management

HDRO will manage the overall Human Security Grant Programme for selected national HDRs.

After completion of the selection process and information sharing with the HSU and Government of Japan, HDRO will disburse the grants (up to 55,000 USD) directly to individual UNDP Country Offices. Given the relatively small size of the grants, the grants will be disbursed in full after the selection process and submission of more detailed project work-plans and budgets. HDRO will monitor the use of funds for all HS/HDR teams funded and report on the use of these funds to HSU-OCHA. The grants will be managed by Country Offices with HDRO supervision in accordance with UNDP regulations, as well as any and all UNTFHS financial requirements.

Sample HDR interventions for support with UNTFHS Funds

Possible Interventions	Desired Results
<p>Data and analysis</p> <ul style="list-style-type: none"> • Sound HS-based policy analysis methodology: support for capacity building/training in policy analysis, including a focus on HS issues facing women and marginalized groups; support for short-term technical expertise to strengthen exploration of policy strategies/alternatives. • Reliable and relevant HS-oriented quantitative and qualitative data: support the design, collection and analysis of indicators, public opinion or perception surveys (e.g. based on Latvian survey model), and other data to supplement existing and traditional sources, including data disaggregated by region, sex, income, and other parameters of potential marginalization. 	<ul style="list-style-type: none"> • A report with high quality HS-based analysis • A report with clear and concrete discussion of HS policy options, trade-offs or recommendations • A report with data and analysis to reflect and better influence HS-based disparities and/or reflect people’s perceptions and aspirations.
<p>Advocacy and policy impact</p> <ul style="list-style-type: none"> • A well-developed and implemented communications and outreach strategy: support for expertise to prepare and implement advocacy and outreach strategy/campaign. • Development of communications and advocacy materials: support development of communications materials and/or ancillary documents for use in outreach strategy (children’s edition, translations, “popular” versions). • Clear advocacy strategy to promote, support and disseminate public policy dimension of the report: support the development of specific strategies to ensure use of report messages and findings in public policy formulation. 	<ul style="list-style-type: none"> • HS messages of report widely disseminated to target audience through various media, generating public and political attention. • A report that catalyses change in HS-based planning, policy-making, resource allocation, education, etc. • A report with a comprehensive HS policy recommendation section and supporting advocacy strategy.
<p>NHDR process/Participatory, inclusive and nationally owned</p> <ul style="list-style-type: none"> • Participatory and inclusive preparation and research and consultation process: support to workshops and other activities that broaden participation of different groups, institutions and professionals, including representation of marginalized and excluded groups. Support to deepening broad national ownership. 	<ul style="list-style-type: none"> • A report prepared in a fully participatory and inclusive manner, supporting in turn greater HS policy impact.

Sample Budget

Up to five Human Security Grants will be awarded at up to 55,000 USD per grant. Applications should identify an equal or greater amount of co-financing. For example, if USD 55,000 in UNTFHS funds is requested, the total HS/NHDR budget should be at least USD 110,000. These matching funds may include in-kind contributions. The following is only a sample HDR budget. HDR budgets may include additional and/or other budget lines in different amounts and ratios.

ITEM	COSTS	HS GRANT	OTHER FUNDING	TOTAL (USD)
National consultants	Team of individual national consultants, and or national research NGO/think tank to serve as lead researchers and authors	15,000	15,000 (TRAC)	30,000
Int'l consultants	Short-term contract for one to two international consultants for strategic guidance, content, thematic, and/or copy editing.		10,000 (TRAC)	10,000
Special data research	Costs for conducting and synthesizing the results of specialized household and other expert, beneficiary, or stakeholder surveys and related quantitative and qualitative work designed to fill data gaps on key development issues.	10,000	10,000 (UN Agency)	20,000
Consultative events	Participatory, capacity building workshops and similar events with national partners to discuss HS theme, outlines, data, chapter drafts, policy recommendations, etc.	10,000	-	10,000
Advocacy activities (pre-launch, launch, and post-launch)	Contract for national advocacy expert (s), and or related costs of press briefings, stakeholder meetings with stakeholders, single or multiple launches, follow-up meetings around countries, preparation of advocacy materials, special TV/radio, Internet programs.	15,000	-	15,000
Publishing	Design, layout, formatting, printing costs for multiple language reports.	5,000	20,000 (TRAC)	25,000
	TOTAL	55,000	55,000	110,000

***NB:** In general, to meet minimum standards for all parts of the HS/HDR process (preparation, publication, launch, follow-up) at least 110,000 USD is needed. Depending on country-context, larger budgets may be required with different budget line ratios.

Some of the factors which can influence the budget of HS/NHDRs include:

- different in-country costs varying across regions
- the amount and complexity of participatory preparation events organized
- the amount of specialized research/surveys commissioned
- the size of the HS/HDR team
- ratio between use of national and international expertise
- number of HS/HDRs and related materials (summaries, CDs, brochures, etc.) and quality
- number, type of advocacy events (workshops, television/radio shows, conferences, etc.)

Sources of potential HS/HDR financing also influence budget options. Most Reports rely on UNDP funds. HS/HDR processes can also be partially funded through in-kind and/or direct contributions by:

- other UN Agencies
- bilateral and other multi-lateral development agencies
- national government partners
- private sector organizations.

National Human Development Report Human Security Grants Programme Work Plan

	Time frame	Responsible Party
Grant announcement, call for and receipt of HS/NHDR applications	2 months: Discussions with UNDP Regional Bureaus, Bureau for Conflict Prevention and Recovery, Country Offices	HDRO
Composition of selection panel and selection process	2 months: UNDP Panel meets to select one grant recipient per region based on approved selection criteria; winning grant recipients notified; more detailed work plans and budgets request from winning recipients	HDRO
HS/NHDR preparation and launch, with ongoing HDRO technical assistance	1.5 years: <ul style="list-style-type: none"> • Preparatory Stage: 6 months Theme Selection, Resource Mobilization, Team Building, Training, Communications Strategy • Research & Writing: 6-9 months Data, Research, Analysis, Training, First Draft, Review, Consultations, Final Draft • Production: 2-3 months Editing, Design, Translation, Printing • Launch and Follow-up: ongoing Media, Communications, Outreach, Marketing, Dissemination, Results Monitoring 	UNDP Country Offices, national HDR teams
HS/NHDR follow-up	6 months: (ongoing outreach, advocacy, results monitoring, final financial/narrative reports)	UNDP Country Offices, HDRO
Evaluation, publication, dissemination of project results	6 months: HDRO works with Grant countries, other partners to synthesize results, good practices and recommendations into HS-HD publication(s) for dissemination through HDRO, UNDP and partner networks, events.	HDRO

Human Security Resources

UN Commission on Human Security: <http://www.humansecurity-chs.org/>

[Human Security Now: Final Report](#)

Commission on Human Security, New York, 2003.

[HD Insights - February 2008 - Human Security](#)

Shahrbanou Tadjbakhsh, Director, Program for Peace and Human Security, CERI/ Sciences Po, Paris, France

[Human Security and National Human Development Reports](#)

Richard Jolly and Deepayan Basu Ray

[A Conceptual Framework for Human Security](#)

Sabine Alkire, CRISE Working Paper No. 2, Queen Elizabeth House, University of Oxford, 2003

[Why Human Security?](#)

Amartya Sen, Presentation at the International Symposium on Human Security, Tokyo (July 2000)

[Human Security: Concepts and Implications](#)

Shahrbanou Tadjbakhsh, Etudes du CERI, No.117-118, Paris, CERI, September 2005

[Human Development Report 1994 - New Dimensions of Human Security](#), UNDP, 1994.

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[Digital Library](#) on Human Security prepared by the United Nations Trust Fund on Human Security, OCHA

[Human Security Gateway](#)

Selected National HDRs on Human Security

[Afghanistan 2004 NHDR](#)

[Latvia 2003 NHDR](#)

[Philippine 2005 NHDR](#)