A. BACKGROUND

These guidelines are designed to assist divisions of UN-HABITAT and the MTSIP Task Forces in preparing proposals for the utilization of an indicative planning figure of US$ 2.5 million currently earmarked for MTSIP implementation. This first tranche corresponds to approximately 50% of the funding required for implementing the Action Plan of the MTSIP for 2008. These resources are not to be confused with those requested in the 2008-2009 Work Programme and Budget excepting for those activities or outputs that are clearly aligned with the Action Plan.¹

B. OBJECTIVES

The Action Plan calls for a three-phased approach consisting of a kick-start phase for 2008, a roll-out phase for 2009-2010 and a scale up phase for 2011-2013. The kick-start phase for 2008 involves a series of “quick wins” and “must dos” that will serve as a benchmark for achievement and for continued funding.

The objectives for the first tranche are:

1. To enhance programme alignment and cohesion across divisional lines, including staff time, budget allocations and other resources mobilised;
2. To implement all of the “quick wins” by December 2008;
3. To begin implementation of 50% of the “must dos” for 2008 also by December 2008;
4. To document and effectively communicate the process, key results and indicators of achievement for reporting and fund-raising purposes.

C. CRITERIA FOR SUCCESSFUL PROPOSALS

Successful proposals will be those that:

1. Contribute effectively to the leveraging of earmarked contributions and existing resources for global, regional and country-level activities;
2. Contribute effectively to promoting the catalytic role of UN-HABITAT and creating synergies with Habitat Agenda partners;
3. Result in tangible outcomes or outputs that are in line with the expected accomplishments and indicators of achievement of the MTSIP.

D. MAIN ELEMENTS AND FORMAT FOR SUBMISSION

Proposals are to be forwarded by the Task Forces to the Office of the DED by 25 February 2008 according to the following format which should not exceed 3 pages, 1 page in the form of a summary LFA and up to 2 pages of narrative.

(a) Title: The title should reflect the main thrust of the proposal and refer to the one or more of the quick-wins and/or must-dos of the MTSIP Action Plan.

¹ A separate request is forthcoming for the 2008 work plan and resource requirements.
(b) **Background:** The background should describe the state-of-the-art of the issue to be addressed and include reference to past or ongoing work both internally within UN-HABITAT and with external partners or stakeholders;

(c) **Objectives:** The proposal should describe two types of objectives:

(a) an *institutional objective*, namely how the proposal will contribute to management excellence, for example, in programme alignment, results-based monitoring and reporting, branding and communications, or accountability and transparency;

(b) a *strategic objective*, namely how the proposal will contribute to the attainment of the development goal or issue being addressed, for example, in terms of increased awareness, partners buy-in, or capacity.

(d) **Key results and indicators of achievement:** Expected accomplishments and indicators of achievement should relate to quantitative and/or qualitative changes in one or more of the following areas:

- Promoting change in attitudes, behaviour and work culture;
- In-house agreements on resource allocation and sharing between global, regional and country-level activities;
- Innovative project management including total quality assurance;
- Empowering junior staff to take on leadership roles;
- Results-based monitoring and reporting.

(e) **Time frame and reporting:** indication of when activities, outputs or outcomes will be completed. Proposals must include an indication of how progress and outcomes are being documented and reported to key stakeholders and partners, including the CPR.

(f) **Budget and leveraging with work programme and budget:** indicate number of work/months of professional staff to be allocated to the task and the use of existing financial resources to complement the funding requested. In principle, proposals will only be considered which show a leveraging ratio of 1:1.5 of which not more than 60% should be comprised of staff time.

Linkages with the 2008-2009 work programme should clearly show how the proposal leverages existing resources for:

- Use of consultants, retreats and/or expert group meetings to prepare policy/concept/strategy papers;
- Consultations with partners and stakeholders to ensure buy in of the above;
- Use of experts to assist in carrying out assessments, devising reporting and monitoring formats, revising processes and/or procedures, etc.

**E. REVIEW AND APPROVAL**

Proposals should reach the Office of the Deputy Executive Director by 25 February 2008 via the MTSIP Task Forces. Proposals will be reviewed and approved by the MTSIP Steering Committee during a retreat to be held before 15 March 2008 for effective implementation beginning early April 2008.
Annex I
Sample Narrative Proposal

Title: Harmonization of flagship reports

Background: The MTSIP Action Plan identified the harmonization of flagship reports as a quick win to pave the way for strengthening UN-Habitat’s advocacy role and as an important first step in branding and communication.

Objectives:
(a) Institutional objective: To strengthen UN-HABITAT’s advocacy and outreach through a single editorial standard and look and feel, and a concerted publications schedule and dissemination strategy for the GRHS, the SWCR and the Regional SCRs;
(b) Strategic objective: This will be the first step towards achieving the MTSIP objective of becoming, by 2013, the premier reference centre for data collection, analysis, monitoring and reporting on sustainable urbanisation. To do so, the above reports will need to be informed by a set of mutually reinforcing messages, a consistent set of themes and sub-themes, and be the result of a concerted approach to data collection and analysis.

Key results and indicators of achievement:
(a) Agreement on a unified editorial standard and look and feel for the above reports;
(b) Agreement on a set of mutually reinforcing themes and sub-themes and publications sequence and schedule for the reports up to 2013;
(c) Agreement on a common baseline for data collection and analysis that can grow over time;
(d) Agreement on the pooling of resources for [c] above and a single interface with publishers, distributors, promotion and media outreach.

Time frame and reporting:
June 2008: Unified editorial standard and look and feel
July 2008: List of themes and sub-themes up to 2013
September 2008: Common baseline for data collection and analysis
October 2008: Establishment of data collection and data analysis unit

Budget and leveraging ratio: The proposal requests an additional US$ 90,000, to be leveraged with US$ 135,000 from existing resources, for the following specific activities:

(a) Consultant for editorial standard, look & feel, branding: US$ 25,000
(b) Consultation with partners to define themes/sub-themes up to 2013: US$ 15,000
(c) EGM for determining baseline for data collection and analysis: US$ 20,000
(d) GTA NPS (12 w/m): US$ 30,000

The request is being matched by the following in-kind and in-cash resources:

<table>
<thead>
<tr>
<th>In-Kind</th>
<th>Matching in-Cash (2008-2009 WP)</th>
</tr>
</thead>
<tbody>
<tr>
<td>SP 1</td>
<td>Ms. yy 2 w/m: $ 20k</td>
</tr>
<tr>
<td>SP 2</td>
<td>Mr. xx 2 w/m: $ 20k</td>
</tr>
<tr>
<td>SP 3</td>
<td>Ms. zz 1 w/m: $ 10k</td>
</tr>
<tr>
<td>SP 4</td>
<td>Ms. pp 1 w/m: $ 10k</td>
</tr>
<tr>
<td>ISS</td>
<td>Mr. qq 1 w/m: $ 10k</td>
</tr>
<tr>
<td>Total</td>
<td>16 w/m: $70k</td>
</tr>
</tbody>
</table>
Annex II

MTSIP Action Plan
Quick Wins

The “quick wins” are a series of twelve priority action areas to be initiated in the course of 2008 to ensure that implementation of the MTSIP starts on a sound footing. The initial phase of these “quick wins” is designed to introduce change in work methods, intra-divisional alignments, institutional procedures and processes while relying on minimal additional resources. In many instances, however, the full impact of these changes can only be realised with the roll out of other changes that do require additional resources, such as in results-based, human resources and knowledge management.

i) Harmonization of Flagship Reports: strengthen UN-Habitat’s advocacy role through improved and consolidated data collection and analysis and evidence-based policy recommendations; streamline the sequencing of the reports and their production processes to enhance efficiency and management excellence; and promote brand recognition. The expected benefits include: strengthened advocacy (FA1); mutually reinforcing arguments and policy recommendations across FAs 2, 3, 4 and 5, cost-savings in production overheads and enhanced brand recognition as a contribution to FA 6.

ii) Habitat Country Programme Documents (HCPDs): these strategic documents are currently being prepared in 30 countries and are designed to: promote alignment of normative and operational activities at the country level (ENOF); strengthen engagement with national governments, UNCTs and the UNDAF process; and mobilise resources and partners to bring initiatives to scale. Twenty HCPDs are expected to be completed by the end of the 2nd quarter of 2008, including in the One-UN Pilot countries where UN-HABITAT is already present. The expected benefits are: kick-starting the ENOF at country level; strengthening UN-HABITAT’s catalytic role; more effective resource mobilisation at country level; and improved working relations with UNCTs, UNDP and other resident agencies and partners. In-house country teams will be established to ensure maximum programme alignment and cohesion in at least seven countries during the kick-start and roll-out phases with the specific aim of fostering efficiency gains and the leveraging of existing resources from various global programmes and country projects as a contribution to FA6.

iii) Concept Paper for the Global Campaign for Sustainable Urbanisation: to strengthen advocacy and integration between global and regional activities; provide a clear platform for partners and enhanced partnerships; and improve resource mobilisation. The concept paper will be critical to enhancing UN-HABITAT’s catalytic role and in guiding the work of the policy papers on the thematic focus areas of MTSIP.

iv) Policy papers on the thematic focus areas of the MTSIP to sharpen programme focus; catalyze partners; and foster programme alignment (ENOF). A major emphasis of these policy papers will be on the pre-investment packaging of technical assistance, including policy advocacy, capacity building for institutional reform, and innovative financing for pro-poor housing and urban development.

v) Strengthening the Programme Review Committee (PRC). Initially established to ensure compliance of projects with the strategic objectives and cross-cutting issues of the Habitat Agenda, the programme review processes will be strengthened to promote: results-based programme planning, alignment and cohesion; monitoring, ex post facto evaluation and reporting; and improved resource allocation and sharing. An internal Project/Consultancy Output Review Committee will be established to review consultancy outputs and advise on UN-HABITAT management response.
vi) **Branding and fund-raising:** One of the “quick wins” for the Resource Mobilisation Unit will be to launch a branding and fund-raising strategy at WUFIV. This will involve a profit-sharing initiative with private concern(s) to market a series of products to an estimated captive market of 15,000 to 20,000 participants. It will also involve a marketplace for “bankable projects” to mobilise partners and donors.

vii) **Delegation of authority:** The delegation of authority is designed to improve administrative efficiency and accountability and promote management excellence. It will be guided by a policy based on UNEP’s experience, considering the specificities of UN-HABITAT.

viii) **Internal alignment:** Internal alignments will be made to improve working relations, focus and efficiency. A first alignment will be the strengthening of data collection and analysis to provide mutually reinforcing data sets and findings for the Flagship Reports, the Global Campaign on Sustainable Urbanisation and results-based reporting. A second alignment will be the phase out of the *Sustainable Cities* and *Localising Agenda 21 Programmes* to be replaced by the Sustainable Urban Development Network, to be completed in 2008.

ix) **Communications and information:** Systematic communications on the implementation of the MTSIP is crucial to maintaining momentum and ownership by staff, partners and donors. UN-HABITAT will, starting in the 4th quarter of 2007, engage in a systematic communications and information dissemination, both internally and externally, to mobilise goodwill and commitment. This will include regular meetings of directors, senior managers, town hall meetings, and consultations with member States.

x) **More participatory work programme and budget preparation:** Building on the participatory process that led to the formulation of the MTSIP, a more participatory process will be used for the preparation of future biennial strategic frameworks, work programmes and budgets, starting with the 2010-2011 Strategic Framework. This should further promote inter-divisional cooperation as well as programme cohesion and alignment.

xi) **Improved performance monitoring, evaluation and reporting:** This will involve developing strong monitoring and evaluation policies and systems that include holding managers accountable for results.

xii) **Launching of ERSO activities:** This will involve identification and development of an initial set of ERSO pilot projects.
Annex II
MTSIP Action Plan
“Must Dos”

A. Enhanced Normative and Operational Framework

- Launch of five-year work plan for Campaign on Sustainable Urbanisation at WUFIV
- Five-year work plan for each Focus Area
- Mainstreaming pre-investment role of UN-HABITAT
- Partnership strategy and Habitat Agenda Task Monitoring system

B. RBM and Knowledge Management

- Develop RBM strategy
- Develop indicators for Results-based monitoring, reporting and knowledge management
- Integrate RBM into staff performance evaluation

C. Resource Mobilisation

- Finalise positioning workshop outcomes (vertical position for each Focus Area)
- Donor profile database
- Catalogue of pipeline projects
- ERSO OP and Manual
- ERSO Steering Committee

D. HRM and administration

- Staff competency profiling for P-4 and above
- Revised staff structure and staffing programme
- Review of procurement, recruitment, travel and project management processes