

GUIDELINES FOR THE PREPARATION OF CONCEPT PAPERS FOR THE 7TH TRANCHE OF THE DEVELOPMENT ACCOUNT (2008)

These guidelines are designed to assist the entities of the Executive Committee on Economic and Social Affairs (ECESA) in the preparation of the concept papers related to their proposals for the 7th tranche of the Development Account (DA). **The deadline for concept paper submissions is 2 September 2008.**

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A. THEME OF THE TRANCHE

Support to addressing key global development challenges to further the achievement of internationally agreed development goals, through collaboration at global, regional and national levels.

B. CRITERIA FOR SUCCESSFUL PROJECTS (as per the General Assembly)

Projects submitted for possible funding from the DA should be guided by the criteria established by the GA, in so far as projects should:

* Result in durable, self-sustaining initiatives to develop national capacity building, with a measurable impact at the field level, ideally having multiplier effects;

* Be innovative and take advantage of information and communication technology, knowledge management and networking of expertise at the subregional, regional and global levels;

* Utilize the technical, human and other resources available in developing countries and effectively draw on the existing knowledge/skills/capacity within your Department;

* Create synergies with other development interventions and benefit from partnerships with non-UN stakeholders.

C. LINKING THE CONCEPT PAPER TO THE PROJECT DOCUMENT

The concept paper is a summarized desk study that focuses on the development of the logical framework. The concept paper, should the project be added to the short list approved by ECESA for funding from the DA, will be elaborated into a project document due in early 2010. In particular, it should provide: (1) more information and analysis on the problems and users; (2) links between the logical framework and the proposed time frame and budget; and (3) inputs based upon consultations with the beneficiaries. The logical framework of the final project document will closely approximate the logical framework of the concept paper.

D. MAIN ELEMENTS OF THE CONCEPT PAPER

The concept paper of each project is comprised of the following elements:

- i. Title
- ii. Background
- iii. Objective
- iv. Expected accomplishments
- v. Indicators of achievement
- vi. Main activities
- vii. Relationship to the Strategic Framework for the period 2010- 2011, the internationally agreed development goals, the Millennium Development Goals, and major UN conferences and summits
- viii. Budget

These components of the concept paper are expanded on below as follows:

- i. **Title:** The title should reflect the main programmatic thrust of the project so that different audiences can easily understand how it may contribute to the implementation of the UN Development Agenda. **The title should be short, concise, and one sentence long.** Examples of titles include: *Interregional cooperation to strengthen...; Capacity building in support of...; strengthening statistical capacity in support of....*
- ii. **Background:** (MAXIMUM 1 PAGE) The background should describe the development issue that the project intends to address. The background should also, when relevant, include reference to major recent legislation calling for UN action on the development issue(s) of the project's coverage. The background should also indicate whether the entity has had prior involvement with issues related to the objective of the project. Ideally, this part should provide details on the type of

beneficiaries and their geographical locations, i.e. a draft list of countries or regions/subregions the project intends to work with. **The background should be approximately one page in length.** Basic details should also be provided on implementation arrangements with project partners, if any. Implementation arrangements should be presented in a hierarchical fashion. There are three main typologies of implementation arrangements, which are:

- a. **One lead entity and one or more secondary entities:** The lead entity is to be listed first, with secondary implementing entities listed in order of their participation/ contribution to the project. For example: *ECA in joint collaboration with DESA, ECLAC, and UNEP.*
 - b. **Two or more lead entities:** If entities have an equivalent status, they are to be listed as follows: *ECA, DESA;* or *ECA, DESA, ESCAP.*
 - c. **Two or more lead entities and one or more secondary entities:** If there are additional secondary entities that will be contributing to project activities, the listing would read *ECA, DESA, and UNEP in joint collaboration with ESCAP, ECLAC, and ECE.*
- iii. **Objective:** The objective is the overall intended goal of the project. The project will contribute to achieving the objective through the expected accomplishments. The objective will not be achieved by the project alone and not within the timeframe of the project (it will only provide a contribution to the achievement of the overall objective). A well-formulated objective should answer the question, **“What does the project intend to achieve?”** It should be concise, not longer than one sentence, and should not attempt to explain how the implementing entity intends to go about achieving the objective. **There should be only one objective.** Examples of objectives include: *to increase national / local government capacity to identify/ apply/ develop...; to improve the formulation of national/ local policies on...; to increase the knowledge of public officials and development practitioners on....*
- iv. **Expected accomplishments:** Expected accomplishments should relate to changes in attitude, behaviour, condition, or status of the target group at the end of the project cycle, or soon thereafter. A well-formulated expected accomplishment should answer the question, **“What should happen in order to meet the objective,”** and should be the direct consequence or effect of the main activities delivered during the project implementation cycle. **There should be a maximum of three expected accomplishments.** Examples of expected accomplishments include: *increased levels of knowledge and awareness of...; increased skills in...; increased understanding of...; establishment of a network to...; improved organization of...; adoption of international measures of....*
- v. **Indicators of achievement:** Indicators of achievement are measures used to determine to what extent the stated expected accomplishments have been achieved. Indicators refer to the information needed to help in determining progress towards meeting the stated project objective. Well-formulated indicators should answer the

question “**What is going to demonstrate that the expected accomplishment occurred,**” and detail the extent to which the expected accomplishments have been achieved in terms of clearly defined units of quantity, quality, and time. **There should only be a maximum of two indicators per expected accomplishment.** Examples of indicators include: *increased number of national/ local personnel able to identify/ apply/ develop...; increased number of project countries/ institutions utilizing....*

- vi. **Main Activities:** Main Activities are the actions that have to be taken or provided to achieve the expected accomplishments. Well-formulated activities should answer the question, “**What specific actions need to be taken by the project team to achieve the expected accomplishments?**” **There should be around six main activities per proposal (more activities may be added later where relevant).** Examples of main activities include: *workshops; publications; training modules; advisory services; or seminars.*

- vii. **Relationship to the Strategic Framework for the period 2010- 2011, the internationally agreed development goals, the Millennium Development Goals, and major UN conferences and summits:** A reference is to be made to the relevant expected accomplishment(s) of the concerned subprogramme of the Strategic Framework for the period 2010- 2011. It should include, where appropriate, reference to the internationally agreed development goals, the Millennium Development Goals, and/ or the international conferences and summits.

- viii. **Budget:** Project size and funding distribution will be similar to the 6th tranche (see A/62/6 Sect. 34), with approximately 27 projects with an average size of US\$ 650,000. **The Development Account will not finance a second phase of any project from earlier tranches.**

The projects are to be designed so as to draw on existing capacities within the implementing entities as per GA recommendations. Therefore, the share of General Temporary Assistance (GTA) and consultancies should be limited. Ideally, consultants should be from developing countries so to have more sustainability in the country as per GA recommendations. Contractual services with local and regional institutions and/or NGOs are encouraged for the implementation of certain activities of the projects. **Approximately two percent of the total budget should be allocated for monitoring and evaluation and final (self) evaluation.**

The eight budget categories used to prepare the concept paper are:

1. General temporary assistance

GTA should be used to respond to temporary assistance needs through the recruitment and/or extensions of staff members only, and are usually located with the UN Department

implementing the project. GTA should not be used for the recruitment of consultants or UNVs. The share of GTA should be limited.

2. Consultants

Please differentiate between international consultants and national/ regional consultants. The budget should include fees and travel, if applicable. The share of consultancies should be limited.

3. Expert groups

Expert groups should be used if meetings are required to discuss policy issues/publications related to the project. Meetings, workshops, and seminars related to training and capacity building should be accounted for under the **Seminars and workshops** budget line.

4. Contractual services

The contractual services budget line might include institutional contracts for preparing publications or, for example, for NGOs that might organize activities through subcontract or grant arrangements. Contractual services with local and regional institutions and/or NGOs are encouraged for the implementation of certain activities of the projects.

5. Travel of staff

This budget line is for UN staff travel only, for all types of travel (participation in expert groups, workshops, and providing advisory services). Travel of experts, consultants and participants to workshops should be budgeted under their respective budget lines.

6. Study tours (fellowships)

In the UN, the term “fellowships” has also been used in a similar context to study tours. Fellowships should only be used if the duration is more than six months.

7. Seminars and workshops

The seminars and workshops budget line should be used for capacity-building/training activities other than expert group meetings, and include costs related to the travel/DSA of participants, as well as rental of venue and local conference-related expenditures. Grants and subcontracts which are issued to implementing partners to carry out training activities should be charged to contractual services.

8. Operating expenses

Operating expenses include costs that cannot be borne by the implementing entity and that are specific to the project, such as postage, communications, printing of reports, supplies, materials and equipment.

E. TIMELINE

- 2 September 2008: Deadline for submission to the Programme Manager of concept papers by the relevant ECESA entities; **Concept papers must be submitted electronically as Word documents via the focal points.**
- September-October 2008: Review of concept papers by the Programme Manager for compliance with the GA criteria and in light of the funding ceiling of the tranche;
- November 2008: Consideration and endorsement of the consolidated list of proposals by ECESA;
- May-June 2009: Review of proposals by the Advisory Committee on Administrative and Budgetary Questions (ACABQ);
- September-December 2009: Review of the DA Fascicle, as part of the PPB 10/11, by the 5th Committee and approval by the General Assembly;
- January-May 2010: Preparation of the project documents, review by Programme Manager and allotment of funds;
- December 2013: Closure of projects.

F. DEVELOPMENT ACCOUNT FOCAL POINTS

DESA	Marie Oveissi, OIC, Technical Cooperation Management Services
ECA	Urbain Zadi, Director, Office of Strategic Planning and Programme Management (OPM)
ECE	Zamira Eshmambetova, Chief Technical Cooperation Unit

ECLAC Mario Baez, Chief
Programme Planning and Operations Division
ESCAP Nanda Krairiksh, Chief
Programme Management Division
ESCWA Mohamed Abdulrazzak, Chief
Programming Planning and Technical Cooperation Division
UNCTAD Manuela Tortora, Maria-Sabina Yeterian-Parisi,
Technical Cooperation Section
UNEP Jochem Zoetelief
Programme Coordination and Management Unit
UNODC Johan Weijers, Igor Kondratyev
Co-financing and Partnership Section
UN-HABITAT Antoine King,
Director, Programme Support Division

Further questions may be addressed to **Felicia Gordon**, Programme Officer, at +1917-367-2751 or **Ursula Germann**, Programme Officer, at +1212-963-4285, Office of the Under-Secretary-General for Economic and Social Affairs.

**ANNEX I: SAMPLE CONCEPT PAPER BASED UPON A 5TH TRANCHE SUBMISSION
BY DESA AND ECA**

**THIS PAPER HAS BEEN ALTERED FOR ILLUSTRATIVE PURPOSES AND DOES
NOT REPRESENT THE ORIGINAL CONCEPT PAPER OR THE PROJECT IN ANY
WAY, SHAPE OR FORM.**

**Strengthening statistical capacity in support of progress toward the internationally agreed
development goals in the Southern African Development Community region**

**Department of Economic and Social Affairs and the Economic Commission for Africa
(\$529,600)**

Background

1. Statistics are an important tool in the development-policymaking processes of countries and regional organizations. They are needed for assessing the current development situation, setting objectives and targets for the future and measuring progress and development. However, a substantial gap still exists between the demand for information and the ability of most countries in the Southern African Development Community (SADC) region to routinely provide it.
2. The SADC Regional Indicative Strategic Development Plan recognizes statistics as one of the cross-sectoral areas that need to be strengthened to foster regional cooperation and integration over the next 15 years. This project is therefore designed to improve the availability and reliability of basic data required for development planning in the SADC region, with special emphasis on data requirements for the internationally agreed development goals and the Millennium Development Goals. The project is aimed at facilitating subsequent networking among subregions through interactive sharing and management of knowledge. Furthermore, the project will strengthen links between producers and users of statistics.
3. The project builds upon lessons learned from three statistical development projects implemented by the Department of Economic and Social Affairs Statistics Division in the Caribbean Community, Association of South-East Asian Nations (ASEAN) and ESCWA regions. The project will be executed by the Department of Economic and Social Affairs, in collaboration with the Statistics Division of the SADC secretariat and in association with ECA.

Objective: To strengthen the capacity of Governments in the SADC region for the production and analysis of benchmark statistics to support national monitoring of progress towards the internationally agreed development goals.

Relationship to the Strategic Framework for the period 2008- 2009, the internationally agreed development goals, the Millennium Development Goals, and major UN conferences and summits: Department of Economic and Social Affairs subprogrammes 4

(Sustainable development) and 5 (Statistics); ECA subprogramme 4 (Harnessing information for development); GA resolutions A/RES/55/162 and A/RES/56/95.

Expected accomplishments

EA1 Improved organization of statistical systems and user-producer relationships, resulting in quality, timely and relevant data on the Millennium Development Goals

EA2 Adoption of international statistical methods and standards for knowledge management in relation to the Millennium Development Goals and internationally agreed development goals

Indicators of achievement

IA1 Increased volume of official statistical data for tracking progress towards the Millennium Development Goals and internationally agreed development goals used by statistical systems, the public and the media

IA2

- (i) Increased number of national statistical offices using common statistical definitions and methodologies
- (ii) Increased number of national statistical offices providing indicators of improved quality for policy-oriented research and analysis

Main activities

A1 Organizing six training workshops for staff of national statistical offices to improve the technical capabilities of countries in the collection of demographic and social statistics, economic statistics and environment and energy statistics; in statistical classification; in the organization of statistical systems; and in user-producer relationships;

A2 Promoting exchanges of experts between statistical offices to encourage the implementation of common methodologies and facilitate exchanges of information on statistical standards;

A3 Establishing the connectivity of experts in statistics-related ICT to promote the sharing of information among experts in their respective fields, access to information on websites and exchange of statistical reports;

A4 Convening a working group meeting by UNSD in collaboration with SADC Secretariat on the harmonization of development indicators to exchange country experiences and the development of common methodologies and classifications for the collection of data. The working group meeting will provide a forum for a dialogue among the countries of the region to identify common policy priority areas;

A5 Providing technical assistance to strengthen national and regional institutions in the collection, compilation and dissemination of statistics and the use and maintenance of technology;

A6 Organizing intra-regional study tours to draw on the strengths and achievements of the countries in the region through study tours and to create opportunities for staff from statistically less developed countries to learn best practices and to share experience with others in the region from their peers;

Detailed Description for each budget line

Consultants (\$53,000)

International consultants

- International consultants for preparing of training materials and holding workshops, in support of activities A1, A4 and A5. (3 Work Months [WM]) x (\$6,000 per month) + (\$5,000 for consultant(s) travel) = \$23,000

National / Regional consultants

- National consultants for preparing case studies for workshops, in support of activities A1, A4 and A5. (2WM) x (\$2,500 per month) x (6 countries) = \$30,000

Contractual services (\$16,000)

Translation

- Translation of documents into French in support of activities A1, A2, A3, and A4 = \$16,000

Travel of staff (\$92,000)

DESA Staff

- Organising and coordinating the 5 training workshops, and one expert group meeting, in support of activities A1, A3, A4, and A5. (\$6,000 per person) x (12 persons) = \$72,000

Regional Commissions' staff/ other UN staff

- Participating as resource persons in workshops, in support of activities A1, A3, A4, and A5. (\$4,000 per person) x (5 persons) = \$20,000

Study Tours (Fellowships) (\$25,000)

Regional Study Tours

- Regional study tours to strengthen the capacity of the National Statistics Offices of SADC member countries and SADC Secretariat, in support of A6. (\$2,500 per study tour) x (10 study tours) = \$25,000

Seminars and Workshops (\$345,000)

Workshops

- 6 workshops in the subregion, in support of A1. (\$2,500 per participant) x (20 participants) x (6 workshops) = \$300,000

Working Groups

- 1 working group meeting, in support of activities A1 and A4. (\$4,500 per participant) x (10 participants) = \$45,000

Operating expenses (\$5,600)

Communications

- In support of A1, A3, and A4. \$3,000

Supplies

- In support of A1, A3, and A4. \$2,600

ANNEX II: CONCEPT PAPER TEMPLATE

TITLE + IMPLEMENTING ENTITY(S) + (\$ requested)

Background (Approximately one page in length)

Objective (Maximum of 1):

Relationship to the Strategic Framework for the period 2008- 2009, the internationally agreed development goals, the Millennium Development Goals, and major UN conferences and summits: (1 paragraph)

Expected accomplishments (Maximum of 3)

EA1

EA2

EA3

Indicators of achievement (min 1, max2 per EA)

IA1

IA2

IA3

Main activities

The main activities of the project will include (around 6)

A1 _____;

A2 _____;

A3 _____;

A4 _____;

A5 _____;

A6 _____;

Detailed Description for each budget line (provide such detail as may be reasonably forecast)

General Temporary Assistance (\$_____)

- Temporary assistance to perform the tasks of (_____), in support of activities A# and A#. (no. of work months) x (\$_____ per work month)

Consultants \$(a) + \$(b)

(a) International consultants

- International consultants for the task(s) of (_____), in support of activities A#, A# and A#. (# of work months) x (\$_____ per month) + (\$_____ for consultant(s) travel) = \$_____

(b) National / Regional consultants

- National consultants for task(s) of (_____), in support of activities A#, A# and A#. (no. of work months) x (\$_____ per month) = \$_____

Expert Groups (\$_____)

Expert Group

- (no. of meetings) of the Expert Group for the purpose of (_____), in support of A#, A#, and A#. (\$_____ per participant) x (no. of participants) = \$_____.

Travel of staff \$(a) + \$(b)

(a) International UN Staff

- (no. of missions) by international UN staff for the purpose of (_____), in support of activities A#, A#, A#, and A#. (\$_____ average mission cost) x (no. of missions) = \$_____

(b) Regional staff/ other UN staff

- (no. of missions) by regional UN staff for the purpose of (_____), in support of activities A#, A#, A#, and A#. (\$_____ average mission cost) x (no. of missions) = \$_____.

Study Tours (Fellowships) (\$_____)

Study Tours in the countries of (_____, _____, _____)

- Study tours for the purpose of (_____), in support of A#. (\$_____ per study tour) x (no. of study tours) = \$_____.

Seminars and Workshops \$(a) + \$(b) + \$(c)

(a) Workshops

- (no. of workshops) in the country(s) of (_____, _____, _____), in support of A#. (\$_____ per participant) x (no. of participants) x (no. of workshops) = \$_____.

(b) Seminars

- (no. of seminars) in the country(s) of (_____, _____, _____), in support of A#. (\$_____ per participant) x (no. of participants) x (no. of seminars) = \$_____.

(c) Working Groups

- (no. of working group meetings) in the country(s) of (____,____,____,____) in support of activities A1 and A4. (\$____per participant) x (no. of participants) = \$_____.

Operating expenses (\$_____)

(a) Communications

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

(a) Supplies

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