



a GUIDE

# to Resource Mobilization

PROMOTING PARTNERSHIP WITH FAO



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to **Resource  
Mobilization**

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## FOREWORD

**Dear colleagues,**

It is my pleasure to present this practical Guide to Resource Mobilization. Achieving food security for all is at the heart of FAO's efforts, but this goal can only be achieved if FAO has the support of its partners. FAO has therefore launched a new corporate Resource Mobilization and Management Strategy to provide an extra edge to efforts to attract adequate and more predictable volume of voluntary contributions from a larger range of partners, ensuring focused and tangible impact for their money. Enhancing resource mobilization capacity throughout the Organization is a key pillar of the Strategy, and "FAO's Guide for Resource Mobilization" is a crucial part.

In May-June 2010, a Capacity Assessment Survey was conducted, involving all headquarters' technical units and the decentralized offices. Results confirmed that there are varying levels of experience in resource mobilization, and recommended that FAO initiate a corporate approach to develop capacity in this area. Respondents emphasized a need for training to help them conduct their resource mobilization activities in a more targeted and informed way. The survey also confirmed the need to assert FAO's comparative advantage, particularly at country level in addressing issues of national priority, and underlined the need to capitalize on the interest expressed by potential resource partners in the Strategic Framework.

This Guide has been developed with these needs in mind and is an integral component to a training curriculum intended to expand knowledge and skills in resource mobilization. Specifically, to enhance capacities at the country level, it forms part of the "Effective Country Programming" learning programme. The Guide has been prepared in consultation with relevant departments, including the Technical Cooperation Department (TC) and the Office of Strategic Planning and Management (OSP), as well as through collaboration with decentralized offices. It will also be accessible on the newly launched FAO Resource Mobilization intranet site and its content regularly updated.

Your feedback to the Guide is welcome and it is hoped that it will assist all staff to collaborate effectively in the effort to mobilize the resources needed to fulfil FAO's ambitious vision and global goals as expressed in the Strategic Framework.

A handwritten signature in black ink, appearing to be 'Richard China'.

Richard China, Director  
Policy and Programme Development Support Division (TCS)



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## ACRONYMS

AAA	Accra Agenda for Action
ADAM	Agricultural Development Assistance Mapping Tool
ADG	Assistant Director-General
ADG/RR	Assistant Director-General – Regional Representative
APO	Associate Professional Officer
CAADP	Comprehensive Africa Agriculture Development Programme
CERF	Central Emergency Response Fund
CGIAR	Consultative Group on International Agricultural Research
CPF	Country Programming Framework
CSHT	FAO Staff Development Group
CWP	Country Work Plan
DaO	Delivering as One
DBS	Direct Budgetary Support
DO	Decentralized Office
EOD	Entry on Duty
FAOR	FAO Representative
FMM	FAO Multipartner Programme Support Mechanism
FPMIS	Field Programme and Management Information System
GAFFSP	Global Agriculture and Food Security Program
GCP	Government Cooperative Programme
GEF	Global Environment Fund
IARC	International Agricultural Research Centres
IEE	Independent External Evaluation
IFA	Impact Focus Area
IFI	International Financial Institution
IPA	Immediate Plan of Action
JP	Joint Programme
MDG-F	MDG Achievement Fund
MDTF	Multidonor Trust Fund
MoU	Memorandum of Understanding
MTP	Medium-Term Plan
NEX	National Execution
NMTPF	(now CPF) National Medium-Term Priority Framework
NTE	Not To Exceed
OCE	FAO Office of Corporate Communications and External Relations

ODA	Official Development Assistance
OECD - DAC	Organization for Economic Cooperation and Development – Development Assistance Committee
OEKC	FAO Knowledge and Capacity for Development Service
OO	Organizational Output
OSP	FAO Office of Strategy, Planning and Resource Management
OSRO	Office for the Special Relief Operations
OR	Organizational Result
PIRES	Programme Planning, Implementation Reporting and Evaluation Support System
POA	Plan of Action
PWB	Programme of Work and Budget
REIO	Regional Economic Integration Organization
RM	Resource Mobilization
RMMS	Resource Mobilization and Management Strategy
RR	Regional Result
SF	Strategic Framework
SFERA	FAO Special Fund for Emergency and Rehabilitation Activities
SO	Strategic Objective
SWAPS	Sector-wide Approaches
SWOT	Strengths, Weaknesses, Opportunities and Threats Analysis
TC	Technical Cooperation Department
TCDM	FAO Field Programming Coordination and Results-based Monitoring Unit
TCE	FAO Emergency Operations and Rehabilitation Division
TCI	FAO Investment Centre Division
TCP	Technical Cooperation Programme
TCS	FAO Policy and Programme Development Support Division
TCSF	FAO Integrated Food Security Support Service
TCSP	FAO Policy Assistance Support Service
TCSR	FAO Resource Mobilization and Operations Support Service
UN	United Nations
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UTF	Unilateral Trust Fund



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## INTRODUCTION

### Purpose

This Guide is primarily designed to provide Decentralized Offices (DOs) with a quick overview and introduction to resource mobilization (RM). However, many sections will also be of interest to headquarters.

The Guide aims to enhance capacities to secure resources for FAO's unique mandate. Specifically, it explains and provides:

- **general concepts** behind RM;
- **the corporate context** of RM within FAO, and in particular clarifies the linkages within and between DOs and headquarters;
- **step by step guidance** on how to embark on RM;
- **key references and tools** for further information

### How to use the Guide

The Guide is divided into four main sections, allowing the user to access information according to their specific learning needs. Each section highlights key messages and provides practical tips, questions for reflection and reference tools to assist implementation. Case studies describing good practices and lessons learned are reflected throughout the text. It would be best read cover to cover to ensure a holistic understanding of the subject and draw links as to how RM fits within FAO's corporate and the wider United Nations (UN) context.

### Audience/users

The Guide is relevant to a wide range of individuals and teams within FAO. Roles and responsibilities for RM have now been defined and are integral to the staff's core set of competencies both at headquarters and in DOs. While headquarters and Regional Offices remain a central point of coordination and support for activities, RM efforts are called for Organization-wide.



<b>Audience</b>	<b><i>In particular</i></b>
FAO Representation	Country FAO Representative (FAOR) Assistant FAOR (Programme) Chief Technical Advisers Emergency Coordinator Technical Officers Communication Consultants
Subregional Offices	Subregional Coordinator Field Programme Support Network Officers Officers from Multidisciplinary Team/Technical Officers Communication Consultants
Regional Offices	Assistant Director-General – Regional Representative Deputy Regional Representative Senior Field Programme Officer Programme Officer Officers from Multidisciplinary Team/Technical Officers Communication Officer
Headquarters	Assistant Director-Generals Strategy Team Leaders Directors Programme Coordinators Impact Focus Area (IFA) Managers Organizational Result (ORs) Leaders Chief Technical Advisers Budget Holders

## Learning Outcomes

<b>Section of the Guide</b>	<b><i>Learning Outcomes</i></b>
<b>Section I:</b> An Introduction to Resource Mobilization	<ul style="list-style-type: none"> <li>■ Greater understanding of key concepts and terminologies in RM</li> <li>■ Increased knowledge and skills to approaching RM</li> </ul>
<b>Section II:</b> FAO and the United Nations Context	<ul style="list-style-type: none"> <li>■ Ability to firmly place RM within the FAO and wider UN context, through understanding essential programming frameworks and FAO's corporate Resource Mobilization and Management Strategy (RMMS)</li> <li>■ An understanding of the changing RM environments that exist at global, regional and country level</li> </ul>
<b>Section III:</b> How to approach resource mobilization	<ul style="list-style-type: none"> <li>■ Ability to design an RM strategy and action plan or a set of RM initiatives</li> <li>■ Ability to relate local RM initiatives to the corporate RMMS and other DO initiatives</li> <li>■ Clarity on where to find additional support and information within FAO and the wider UN system</li> </ul>
<b>Section IV:</b> References and Tools	<ul style="list-style-type: none"> <li>■ Ability to access additional reference materials</li> <li>■ Application of tools</li> </ul>



## Key Messages:

- The general concepts underpinning RM are identical to those described by the traditional programme or project cycle.
- The conceptual framework for RM involves three main phases:
  - 1. PLAN** – design phase (including a situation analysis).
  - 2. ACT** – implementation phase.
  - 3. REFLECT** – monitoring and evaluation phase (lessons learned).
- Effective RM is built upon a thorough programme or project framework, including dialogue with potential resource partners in the key stages of its design.
- Strong emphasis is placed on “managing for results”.
- Appropriately targeting an RM Strategy and Action Plan involves an in-depth analysis of the prevailing aid and resource environment (at global, regional and country levels) which assists to match resource partner interests to those of the Organization.

## SECTION I: An Introduction to Resource Mobilization

### Introduction

The environment in which resources are mobilized is increasingly competitive, given the rise of numerous development actors, coupled with a scarcity of resources resulting from the recent global economic crisis. RM has therefore become a more challenging exercise, demanding a mix of knowledge and skills.

This section of the Guide explores a conceptual framework commonly applied to RM, examining the three main phases of the RM cycle and practical steps therein. It positions RM as strongly intertwined with the programme or project cycle and highlights some key pre-requisites to success. It does not specifically refer to the FAO and wider UN context, but rather provides a general overview of RM and in Section II makes explicit linkages to these.

### 1.1 Firmly Linking Resource Mobilization to the Programme or Project Cycle

The conceptual framework behind RM is identical to that described by the traditional programme or project cycle, in that the process can be divided into clear phases of *planning (including a situation analysis as a first step), implementation, and monitoring and evaluation (lessons learned)*. However, before describing each phase, it is important to define exactly what is meant by the terms ‘resources’ and ‘resource partners’, and to understand why these terms are coming to replace ‘funds’ and ‘donors’ (see Box 1).

Mobilizing resources is a fundamental component to project or programme delivery and impact. Figure 1 demonstrates how RM is central to the process, intertwined with programming. It demonstrates that once the focus of work is set, resources are required to ensure successful implementation, delivery and impact.

## BOX 1: New terminology

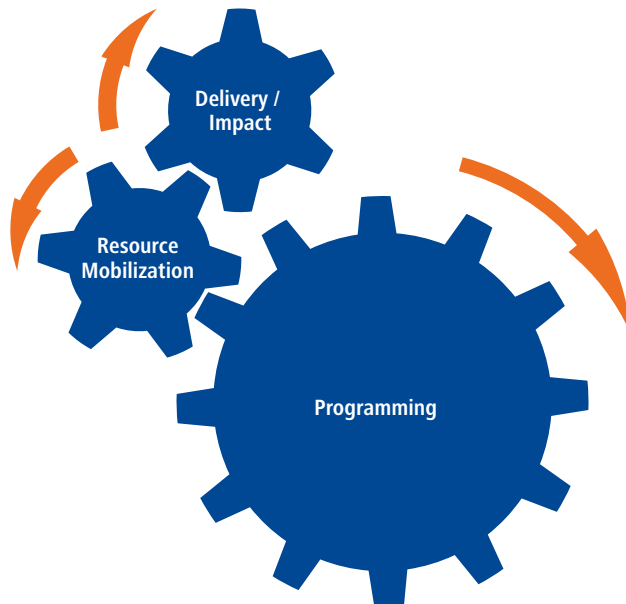
**Resource mobilization (RM)** – has come to replace the more traditional and narrow term ‘fundraising’, where ‘resource’ refers not only to funds, but also to human resources, goods and services.

**Resource partner** – replaces ‘donor’, where ‘partner’ emphasizes the value of equal partnership/strategic alliance between resource provider and programme implementer.

### Examples of different types of resources

Financial resources	Human resources	Goods and services
■ Government budget	■ Seconded from ministries and other government bodies	■ Vehicles, computer equipment, office space or event venues
■ The wider UN system	■ Recruited by international agencies	■ Event sponsorships
■ Grants from international development agencies	■ Associate professional officers (APOs), volunteers, or interns etc.	■ Design and print facilities, communication facilities, airtime (radio or tv)
■ Loans from international financial institutions (IFIs)	■ Local partners	■ Training or advice services e.g. financial, technical or medical
■ Foundations or the private sector		■ Specialist equipment

Figure 1: RM is a central component to programme delivery



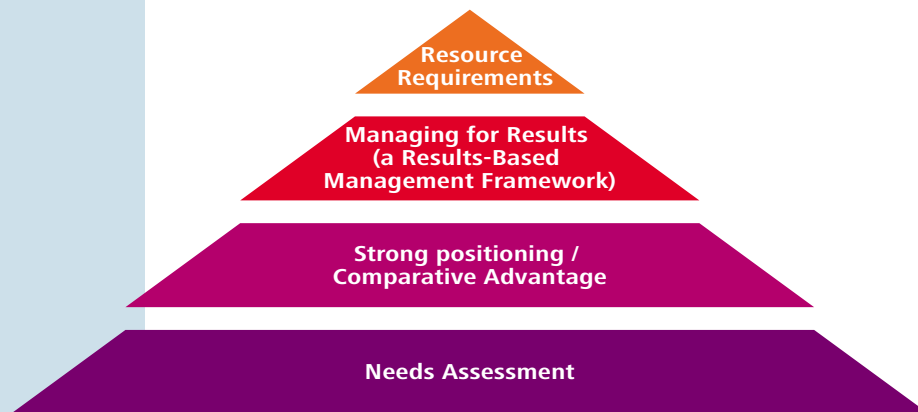
Quality programming is the cornerstone of RM. Good relations with resource partners should be built throughout the design stages of the programme or project, if they are to be true stakeholders (though not directors) in delivery. RM is a process and continuous dialogue and engagement of resource partners is necessary to build relationships and trust – another fundamental building block of successful RM.

Figure 2 highlights the building blocks required to ensure quality programming, which should be evident in the final programme or project document. These include:

- A. Programme or project needs analysis** – assessing with key stakeholders (potentially also resource partners) the priority needs and purpose of the programme.
- B. Strongly positioning the organization** – programme frameworks should be built in partnership, strongly positioning an organization according to its comparative advantage and capacity to deliver in the country, (sub)region or sector.
- C. Managing for Results** – a Results-Based Management Framework (or logframe).
- D. Resource requirements/estimates** for programme or project delivery – these form the specific targets (financial or other) for RM.

The final programme or project document opens the way for attracting, engaging and negotiating with a broad range of resource partners, beyond those accessible during the stages of programme or project design. Securing resources through negotiating a funding agreement often occurs after the hard work of formulating a programme or project document.

**Figure 2: Building a Programme Framework**



The resulting programme or project document serves multiple purposes, acting as:

- a communication tool – assisting in boosting the programme’s visibility to a broad audience;
- a management tool – nesting the programme within the organization’s broader results-based management and budgeting framework;
- an RM tool – providing a comprehensive overview for resource partners of the intended results and outcomes for the work over the time frame, tied to resource estimates for delivery

Case Study 1 highlights how useful a programme document can be in communicating to potential resource partners and building partnerships.

## CASE STUDY 1:

### **Making your message clear – good communication supports Resource Mobilization.**

FAO programmes and projects should have a clear RM plan so as to strategically identify and communicate with interested resource partners and potential beneficiaries. A wide range of communication tools (from printed matter to websites) can help convey the programme or project's aims in a concise and effective manner.

One of FAO's important pillars of work has traditionally been assisting governments around the world to develop food standards and controls which need to be science-based. As such, it has benefited from funds from assessed contributions (Regular Programme of FAO).

Since its early beginnings over fifty years ago to assess the safety of food additives, the FAO programme on the provision of scientific advice, implemented jointly with WHO, has grown in importance and scale and now addresses a range of food safety risks including veterinary drug residues, pesticide residues and microbiological hazards in food. The scientific advice provided is used by the Codex Alimentarius Commission and directly by FAO member countries.

As food safety has gained international prominence as a global issue, the number of requests has increased. Additionally, the need for national food safety measures to be science-based has placed greater pressure on all countries to develop capacities in this area. Clearly, developing and transition countries face specific and often greater challenges.

In order to respond to these increasing needs, a strategy based on four pillars was developed with clear links to FAO's Strategic Framework. The strategy document "Science for Safe Food" highlighted where the additional resources would assist in expanding the reach of this long-established area of FAO's work at global and country level. In booklet form, the Strategy was distributed to embassies in Rome and to interested experts and potential resource partners, as identified through the resource mobilization plan. It was a useful communication tool for FAO staff and it also provided potential partners and Permanent Representatives with an easy way of convincing their own Governments or other partners of the benefit of assisting FAO in this programme. As a result, a number of contributions were made and other expressions of firm interest from resource partners are currently being pursued.

Development of the Strategy has provided a new lens on an existing programme and should enable FAO to continue and deepen its impact. The Strategy is available at [www.fao.org/ag/agn/agns/advice\\_en.asp](http://www.fao.org/ag/agn/agns/advice_en.asp)

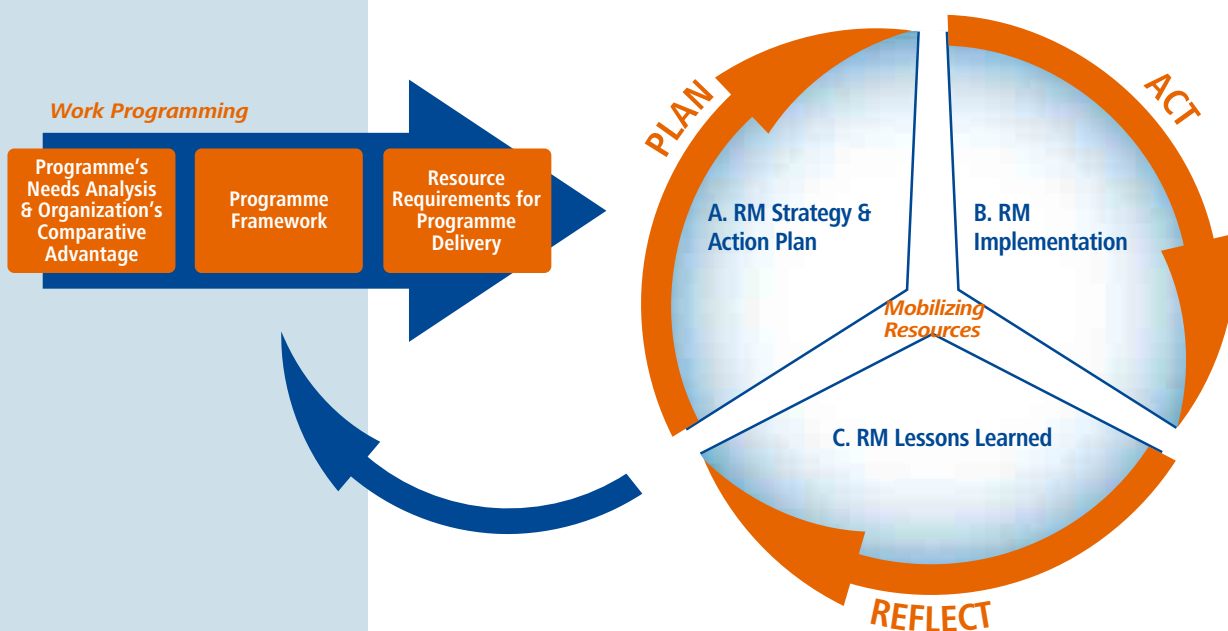


## 1.2 The Resource Mobilization Cycle

As described, the RM Cycle is much like any programme or project cycle. Seen in Figure 3, as a model scenario, programming is the first step that leads to the RM cycle which is divided into three main phases:

- A. Plan** – including an assessment and design element;
- B. Act** – implementation;
- C. Reflect** – RM lessons learned.

Figure 3: The Resource Mobilization Cycle



### A. The planning phase

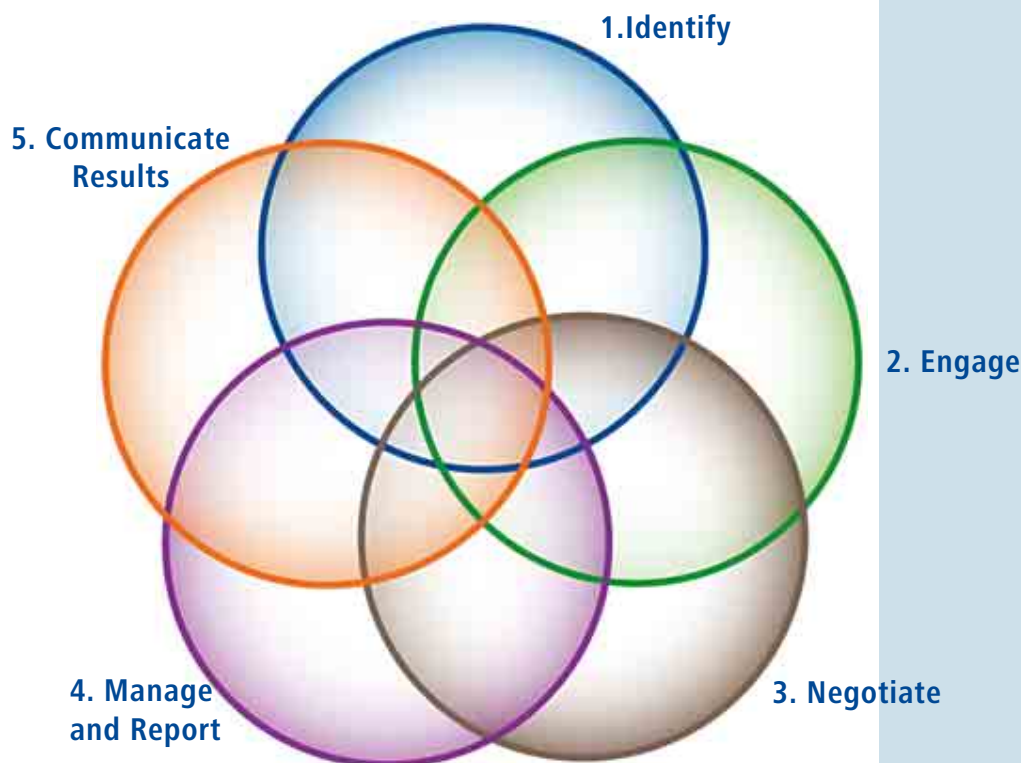
Firstly, a situation analysis of the external resource environment is required in order to discover what RM opportunities may exist and how best to approach potential resource partners.

Secondly, the resource requirements of the programme or project should be examined and a plan developed on how to engage the likely resource partners. The planning phase should ideally establish an RM strategy and action plan (for the immediate term), describing how particular resource partners will be targeted and for which resources. A communication plan, describing the various tools for communication with specified resource partners would form an element of this. A communication plan therefore supports the RM Strategy. The resource targets formulated in the RM Strategy or Action Plan are tied to those as specified and prioritized in the programme or project document.

## B. The action or implementation phase

This phase is best broken down into a five-step process (although these steps may not be entirely distinct, as each is intertwined and does not always follow a clear sequence). The five steps are outlined below in Figure 4 which demonstrates their interconnected nature.

Figure 4: Steps to RM Implementation



## C. The reflect phase

Here, the RM effort (strategy and action plan) is monitored and evaluated, specifically reporting on successes and failures, and working through lessons learned, in order to tailor and refocus RM initiatives to maximize success.

A broader description of each of these phases is described in more detail in Section III of the Guide, with a specific focus on FAO's field context.

### NEED MORE INFORMATION?

See the KEY REFERENCES AND TOOLS SECTION on page 49



## Key Messages:

- FAO's reform has delivered a new results-based Strategic Framework, through which all of the Organization's work is now planned, delivered, monitored and reported. The Medium-Term Plan and the Programme of Work and Budget (MTP/PWB) sets out an estimate of the resources needed for delivery, from both assessed and voluntary contributions.
- All FAO RM efforts focus on mobilizing voluntary contributions in support of the Strategic Framework.
- At regional level, RM efforts focus on leveraging support for regional/subregional Priority Areas of Action and Regional Results. At the country level, RM initiatives serve to fulfill FAO commitments to national priorities, as identified through the Country Programming Framework (CPF) and/or United Nations Development Assistance Framework (UNDAF) outcomes and Country Work Plans (CWP).
- Faced with a constantly changing external resource environment, the corporate RMMS has been developed to ensure that RM efforts are strengthened and coordinated throughout FAO. Its aim is to achieve adequate and more predictable voluntary contributions that fully support the achievement of FAO's Organizational Results.

## SECTION II: FAO and the United Nations Context

### Introduction

Results-based management is central to how FAO plans and delivers its work. As a result of the reform, both at corporate level and decentralized level, revised internal programming frameworks guide the Organization. Furthermore, FAO functions within the context of One UN and works with many other partners, and therefore other programming frameworks are also relevant to its work.

This section explores such frameworks (which provide a strategic overview and plan for results) and reviews how all of FAO's RM efforts are now guided and coordinated through its corporate RMMS. FAO aims to strengthen its efforts to secure softly earmarked and pooled funding that allow flexibility in planning and resourcing the MTP/PWB and which minimize transaction costs.

Finally, this section provides an overview of the prevailing resource environment encountered at global, regional and country level.

### 2.1 Programming Frameworks, the Project Cycle and Resource Mobilization

#### 2.1.1 At Corporate Level

Since 2010, all of FAO's work is planned, monitored and reported in a results-based framework aimed at achieving the agreed goals of Member Nations. A summary of the planning framework is provided in Figure 5. This framework has both a strategic element (programme framework) and an operational element (Work Plan). In order to deliver on the framework, FAO requires resources from both assessed and voluntary contributions<sup>1</sup>. In recent years, voluntary contributions have made up more than 55 percent of FAO's overall budget.

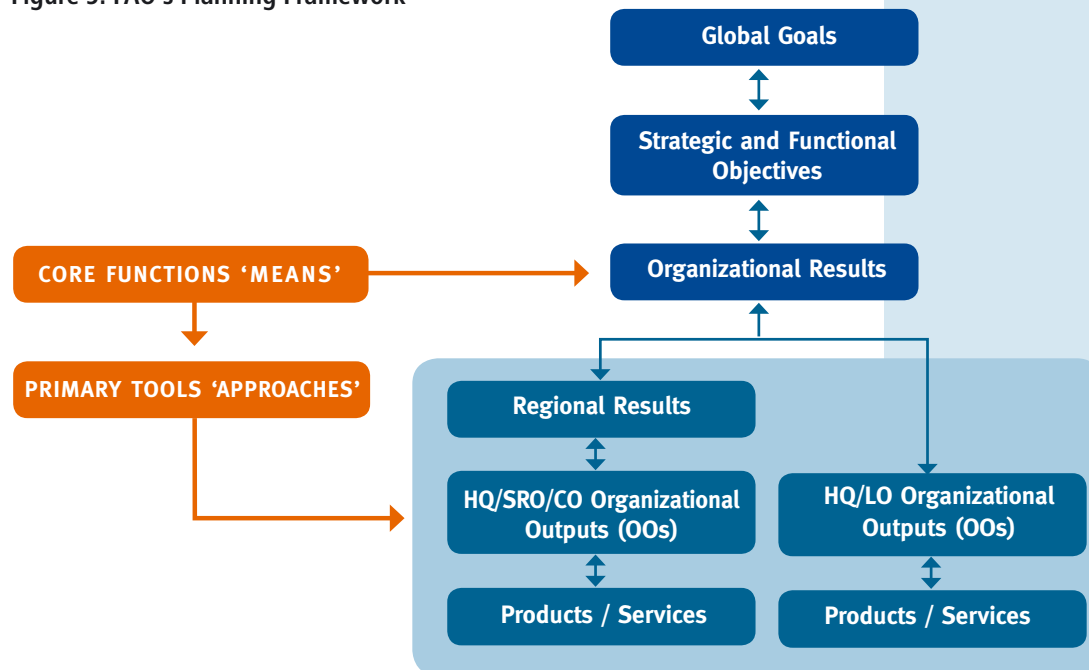
An online Programme Planning, Implementation Reporting and Evaluation Support System (PIRES) supports FAO's new results-based model at all levels of the Organization.

All programmes or projects developed at any location by FAO, should clearly demonstrate linkages and align with the Strategic Framework (as well as programming frameworks at the corresponding level). FAO's Project Cycle supports a results-based approach at project level and is supported by an online system called the Field Programme Monitoring and Information System (FPMIS).

1 - Previously known as regular/core and extrabudgetary resources.



Figure 5: FAO’s Planning Framework



### FAO’s corporate Resource Mobilization and Management Strategy

To provide an extra edge to efforts to attract an adequate and more predictable volume of voluntary contributions, FAO has developed a corporate Resource Mobilization and Management Strategy (RMMS). It aims to attract resources from a larger range of partners, ensuring focused and tangible impact for their money.

The RMMS supports the delivery of FAO’s MTP/PWB and guides RM initiatives across the Organization. It sets out how FAO aims to mobilize resources from its partners, allocates these resources to agreed priorities, manages and reports on their use. It aims for the following outcomes:

- A.** Consolidated, diversified and expanded base of FAO resource partnerships, with a focus on increasing the share of pooled and softly earmarked funding;
- B.** Wide awareness of FAO’s priority areas of work and resource requirements, through the implementation of a communication plan;
- C.** New Organization-wide culture and capacity for resource mobilization;
- D.** Resource planning and use, effectively managed and reported to the Governing Bodies and external partners.

The RMMS is underpinned by Guiding Principles, as seen in Box 2 that should be applied whenever FAO is mobilizing resources and engaging in resource partnerships.

## Box 2: Principles guiding the corporate RMMS

**Principle 1:**

All resources mobilized support FAO's Strategic Framework and are therefore focused on delivering Members' priority results

**Principle 2:**

Resource partnership agreements comply with FAO's legal and operating framework

**Principle 3:**

All resources mobilized are formally monitored and accounted for, both internally and externally

**Principle 4:**

Close relations with resource partners are maintained, built on trust and mutual accountability

**Principle 5:**

All RM efforts are coordinated and harmonized Organization-wide, within a strongly supportive enabling environment

Mobilizing resources requires a focused and coordinated approach throughout the Organization, using communication tools that place strong emphasis on FAO's mandate, comparative advantage and focus of work for each biennium. A communications campaign is a key pillar of the Strategy, and Impact Focus Areas (IFAs) are one RM tool at corporate level. The IFA's are select areas where FAO has a comparative advantage and where additional resources for capacity development and policy support can significantly enhance the impact and sustainability of FAO's work. The context is the creation and application of global public goods. The aim is to help countries leverage such goods at the national and regional levels for their own benefit, and thereby reinforce food security, nutrition, and the sustainable management of natural resources at the global level.

Box 3 shows the seven IFAs as developed for the MTP/PWB (2010-2013).

## Box 3: FAO's Impact Focus Areas

- The UN's coordinated response to the Global Food Crisis (IFA – CFA)
- Information and statistics (IFA – CDIS)
- Global standard setting and national policies and legislation (IFA – SNL)
- Sustainable forestry management (IFA – SFM)
- Code of conduct for responsible fisheries (IFA – CODE)
- Water and land resources (IFA – WALIS)
- Transboundary threats (IFA – EMPRES)

The corporate RMMS provides an overarching framework and will encourage and support the formulation and implementation of subsidiary strategies at:

- Regional/Subregional Level – ensuring regional RM strategies are built around Priority Areas for Action and Regional Results (RRs);
- Country Level – where RM initiatives are based on fulfilling FAO’s commitment to national priorities, identified through the Country Programming Framework (CPF) and/or United Nations Development Assistance Framework (UNDAF) outcomes and Country Work Plans (CWP).

### 2.1.2 At Decentralized Level

The RM cycle at the decentralized level, should be based on the programming frameworks at that level.

The various programming frameworks applied at decentralized level, both within FAO and the wider UN, are described below. Additional programming frameworks may also be applied to emergency and rehabilitation programmes. An overview of these programming frameworks can be seen in Section 4.1.2.

FAO’s Country Programming is guided by a recent Strategic Evaluation on Country Programming (2010), which emphasized that it should comprise three core elements:

1. National Priorities – defining national priorities related to agriculture and food security.
2. CPF – scoping FAO’s role in addressing these priorities.
3. CWP – detailing what this will involve in terms of an action plan (programmes and projects).

The CPF defines the priority areas for FAO’s involvement which have been jointly agreed with the Government and which are fully in line with the national agricultural and food security development objectives. It provides an estimate of the resource requirements for the implementation of FAO’s assistance. In order to leverage resources to meet the specified resource requirements, the CPF should have an RM strategy associated with it. Furthermore, the CWP represents an implementation plan for the CPF, which should also detail an RM action plan to ensure RM is integrated as a priority area of work and that staff take on the responsibility to mobilize resources. Case Study 2 below details how the CPF helped mobilize resources.

In an emergency setting, various other programming frameworks come into play. Within FAO, the emergency response is currently defined through a Plan of Action (PoA)/Disaster Risk Reduction/Management (DRR/M) framework that is integrated into the CPF.

The CPF forms FAO’s input to the United Nations Development Assistance Framework (UNDAF), which is the strategic programme framework at the country level that describes the collective response of the UN system to national development priorities.



The One UN Programme is being piloted with eight countries participating in the Delivering as One (DaO) initiative which was launched in January 2007. Beyond the eight pilots, some countries have already adopted the DaO as “voluntary adopters of the DaO” or “self-starters”. The 2010 UNDG UNDAF Guidance Package introduces some of the best practices of the DaO approach leading to a “new generation of UNDAFs” that are more strategic and results-based, defining the collective response of the UN system to national development priorities in a more coherent, effective and relevant way.

Regional and subregional priorities are guided by CPFs within the region and multicountry programmes are built around issues of common concern. An RM strategy and action plan should be built around securing resource estimates associated with RRs. An additional element of a regional RM strategy includes support to country offices, whereby regional staff assist in identifying resource partners within the region as well as supporting the implementation of RM efforts, alongside headquarters. The level of support offered by the region will of course depend on the human resource capacity available.

Each of the aforementioned frameworks contributes to the achievement of the ORs and Strategic Objectives (SOs) of the Organization. The success of RM in support of the agreed priority areas described in CPFs as well as for regional or subregional priority frameworks (and programmes or projects thereof) are critical to the resource levels of the MTP/PWB.

## CASE STUDY 2:

### **The CPF and Resource Mobilization in Nepal**

At the request of the Government of Nepal, FAO began the process of developing the CPF, which, as an initial step, included support to the government in defining its National Agriculture Sector Development Priorities for the medium-term (NASDP).

Both the CPF and NASDP processes and documents have been central to the development of various resource partner proposals. A proposal has been submitted for funding to the Global Agriculture and Food Security Program (GAFSP) Trust Fund which was guided by NASDP and was prepared in partnership by the Government of Nepal and its development partners (including FAO). The Government of Nepal is hopeful that millions of dollars will be available through this funding to enhance household food security in selected locations through increased productivity of agriculture and improved capacity for food utilization. In addition, FAO, in collaboration with World Health Organization and the World Food Programme, has also prepared and submitted a project proposal to United States Agency for International Development for funding to improve food and nutrition security and incomes of rural poor households.

## 2.2 An Overview of Resource Mobilization Environments at Global, Regional and Country level

FAO's corporate RMMS recognizes that the external resource environment is constantly changing, as resource partners and other development actors adapt their policies and approaches to longer-term development or emergencies. It is therefore important to analyse and gain a good understanding of the resource environment before planning an RM approach. A situation analysis in each given context (be it at global, regional or country level) is necessary to identify potential resource partners and appropriately direct RM efforts. Within the corporate RM framework, the following trends in the aid environment appear prevalent:

At global level, spending on agriculture and rural development suffered a major decline from the 1980s onwards. The global volume of official development assistance (ODA) to agriculture fell by nearly two thirds between 1980 and 2002, despite the increase of total ODA. The share of ODA to agriculture declined from 17 percent in 1982 to 3.7 percent in 2002<sup>2</sup>. Figures on public spending also declined. However, these trends are set to reverse in the wake of the recent global food crisis and agriculture's repositioning on the development agenda. Agriculture is increasingly identified as key to poverty reduction and economic growth and therefore to meeting important Millennium Development Goals. However, the global economic downturn has tempered the volume of resources available.

Within ODA spending, new emphasis has been placed on the way in which aid is spent. This has been strongly influenced by the Paris Declaration (2005) and the Accra Agenda for Action (2008), which were the result of High Level Forums on Aid Effectiveness. The five aid effectiveness principles which were agreed upon in the Paris Declaration are seen in Figure 6. In 2009, the G8+ ratified commitments at L'Aquila. More recently, the Seoul Development Consensus for Shared Growth (2010) agreed a set of principles and guidelines to assist major economies and other global actors in working together with less developed countries in order to boost their economic growth and to achieve the UN's Millennium Development Goals. Food security was identified as a key pillar for collaboration.

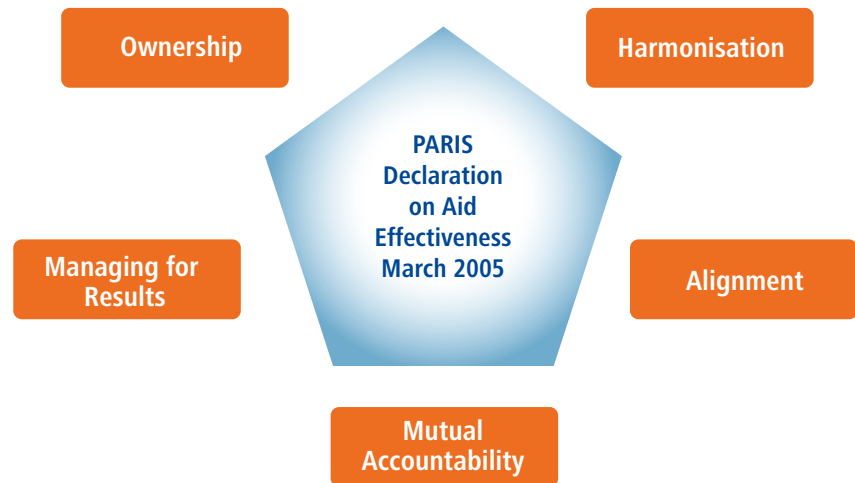
In addition to the traditional resource partners, new ones such as Brazil and China are coming to the fore, as well as other actors such as International Financial Institutions (IFIs), high level global funding initiatives, the private sector and foundations. FAO has recently signalled its commitment to investigating innovative financing mechanisms by joining the Leading Group on Innovative Sources of Financing for Development.



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2 - Policy Briefing, Future Agricultures, Donor Policy Narratives: What role for Agriculture? Policy Brief 016

Figure 6: Aid Effectiveness Principles



This gives FAO the opportunity to develop its own innovative uses of financing at centralized and decentralized levels and to benefit from innovative funding sources such as the taxes on international financial transactions and futures markets, and lotteries.

Domestic resources committed to the agricultural sector are also increasing. More governments can afford to pay for services with their own budgets as national incomes grow, assisted by initiatives promoting government spending on agriculture or facilitating loans from banking institutions. As for example, the Comprehensive Africa Agriculture Development Programme – CAADP, through which African governments have agreed to increase public investment in agriculture by a minimum of 10 per cent of their national budgets and to raise agricultural productivity by at least 6 per cent.

At regional and subregional levels, there are a growing number of players, including Regional Economic Integration Organizations (REIOs) and regional agricultural initiatives. Furthermore, many traditional resource partners are choosing to conduct affairs at a decentralized level. Resources at regional and subregional level are best mobilized in support of country-led initiatives, and presented to partners as multicountry programmes, or led in the regional context on transboundary issues such as trade or disease control.

At country level, changing features of the resource environment include:

- the decentralization of resource partner funding decisions to the country level (with their own specific agendas);
- the significant presence of sector-wide approaches (SWAPS) and the frequent use of direct budget support (DBS);
- the growing role of national governments in funding development cooperation activities.

### NEED MORE INFORMATION?

See the KEY REFERENCES AND TOOLS SECTION on page 49



## SECTION III: How to Approach Resource Mobilization

### Introduction

This section of the guide focuses on applying the RM conceptual framework to FAO and the wider UN at the decentralized level. The three phases, 1) Plan (including a situation analysis), 2) Act, and 3) Reflect are analysed with reference to tools and case studies that provide examples of good practice.

A large portion of this section is devoted to the five steps of implementation, detailing how an office might identify, engage, negotiate, manage and report, and communicate or advocate results with resource partners, to ensure adequate and sustainable resources for programme or project delivery and impact.

### 3.1 PLAN – Designing a Resource Mobilization Strategy and Action Plan

#### 3.1.1 Rationale

An RM strategy provides an essential roadmap, detailing how resources might be leveraged to meet the Organization’s resource requirements. The action plan covers a shorter time frame and details the specific activities required to get there.

At country level, the RM strategy and action plan document may form an annex to the CPF and inform the CWP to ensure RM implementation. At a regional level, this document should support the Regional Priority Areas of Action and RRs, informing RM activity for a collection of region-wide programmes or projects. At subregional level, the degree of RM activity may or may not warrant an RM strategy, as it can also be driven by the plans formulated at regional and country level where the SO plays a strong supportive role.

An RM strategy therefore has a life-span equivalent to the programme framework, and the programming cycle, whereas the RM Action Plan is tied to the work planning cycle. The RM Action Plan specifies the actions needed to address each of the objectives of the RM Strategy, who is responsible and according to what timeline.

The advantages of having an RM strategy and action plan in place are that it:

- focuses RM efforts on the higher level results of the programme framework;
- coordinates the approach to resource partners;

### Key Messages:

- Positioning FAO according to its comparative advantage is vital for mobilizing resources;
- Successful RM involves analysing the local resource environment and targeting RM efforts to resource partners with matching priorities;
- Applying the RM Cycle in a field context involves:
  - Planning an approach to RM with relevant stakeholders, including strategic partners in the programme or project as well as potential resource partners;
  - Applying the 5 steps of implementation, engaging with FAO’s support network for RM, and applying the various tools available;
  - Reflecting on RM efforts, which helps the office team to refine RM efforts and improve success.

- avoids confusing messages to resource partners;
- works to prevent 'in-house' competition for resources;
- avoids 'piece-meal' efforts;
- prioritizes the need to enhance RM capacities at all levels;
- creates joint ownership and accountability;
- leads to planned, upfront, pipeline resources;
- allocates the resources where they are most needed;
- ultimately, leads to comprehensive programme delivery and broad impact.

### **3.1.2 Key elements of a Resource Mobilization Strategy**

The process and dialogue involved in developing an RM Strategy are as important as the final document itself. Therefore, it is essential that key stakeholders are involved in all of the following stages of its development:

- A. A quick check – are you ready to start?**
- B. Strategically position FAO**
- C. Review the resource requirements for the programme framework (RRs, CPF etc.) as well as specific programme or projects prioritized therein**
- D. Analyse the external resource environment**
- E. Establish the goal and intended outcomes of the RM Strategy as well as guiding principles for resource partner engagement**
- F. Identify potential resource partners and match resource partners' interests with FAO's priority areas of work**
- G. Develop an Action Plan**
- H. Develop means to monitor and evaluate progress of the RM Strategy**
- I. Agree the final RM strategy document and Action Plan**

In certain cases, it may be advisable to use the services of a facilitator to guide the process and provide an outside viewpoint as well as RM expertise. Each of these elements, alongside tools and resources available to support the process, are expanded on below.

#### **A. A quick check – are you ready to start?**

Before engaging in the process of developing an RM Strategy or Action Plan, it is important to check that the essential groundwork has been done in developing the programme document. An RM Strategy tends to be built around higher level outcomes and therefore is associated with programme frameworks, such as the CPF, RRs, or the SF (at corporate Level). An RM Action Plan details how the Strategy will be put into



action. RM Action plans might also be built in support of programmes or projects within the programme framework, targeted at meeting the resources required for these specific areas of focus.

Box 4 provides a helpful checklist, including issues that are often reflected in what resource partners look for when considering proposals. Box 5 highlights the importance of connecting the programme or project in development within essential programming frameworks described.

<b>Box 4: RM Planning Prerequisites – Are you ready to start?</b>	<b>Check</b>
<b>Does the programme or project idea show evidence of:</b>	
<b>1. Alignment with government priorities and synergy with other development partners</b>	
■ Aligns to National Priorities	
■ Aligns with the CPF (at the country level), FAO’s Strategic Framework and Regional Priority Areas for Action (RRs)	
■ Aligns to the UNDAF	
<b>2. Thorough programme or project planning</b>	
■ Is based on a clear needs assessment	
■ FAO has a clear comparative advantage	
■ Has a results-based approach (log frame)	
■ Has proof of a successful track record of achievement	
■ FAO has the capacity to deliver	
<b>3. Strong Partnerships</b>	
■ Is based on a collaborative approach with partners and potential resource partners	
■ Has support from government counterparts	

## Box 5: Situating the programme or project within essential programming frameworks

### BEAR IN MIND THE ESSENTIAL PROGRAMMING FRAMEWORKS

- The first point of reference is FAO's Strategic Framework, as all programmes and projects developed should nest within this overarching framework.
- Secondly, if the project or programme is developed at country or regional/subregional level, FAO's CPF and the Regional and Subregional Priority Areas of Action (and RRs) should frame the programme or project.
- Thirdly, ensure linkages to other programming frameworks (outside of FAO), such as emergency frameworks or the UNDAF at country level.

### ESSENTIAL CONNECTIONS

#### A. If at Headquarters:

- Specify the links to the SO, ORs and IFAs.

To note:

- IFAs are a resource mobilization tool. Linking the programme or project to an IFA can enhance the chances of successful resource mobilization as FAO is actively promoting Global Programmes under IFAs for partnership.
- If the work includes implementation at country or regional/subregional level, the linkages to the relevant frameworks below should be taken into account.

#### B. If at a regional or subregional level

- Specify links to SOs, Priority Areas for Action, Regional Results, and IFAs (if applicable, as again they can assist in mobilizing resources for your programme or project).

#### C. If at country level

- Specify links (most importantly) to the CPF, which clearly demonstrates FAO is responding to national priorities for Agriculture and Food Security. Also review potential links to IFAs, as stated above.
- Where an UNDAF exists, linkages are required there as well.

### B. Strategically position FAO

Strategically positioning FAO in relation to other development actors, the wider UN and with governments, is key to ensuring a streamlined approach to FAO's work (within the context of the Strategic Framework), as well as the ability to attract resources. An analysis of FAO's comparative advantage at regional/subregional and country level will help build messages for resource partners as to "why partner with FAO?" Section 4.1.4 provides the basis for such messages that might be tailored to a particular field context (much of text is drawn from FAO's Strategic Framework).

### **C. Review the resource requirements for the programme framework (as well as for the specific programmes or projects prioritized therein) and establish targets**

Establish the extent of the resource requirements, that is, the amount of resources that need to be mobilized. The basis for this activity is the biennial PWB (for ROs and SROs) and the CPF for country offices, alongside mapping ongoing and pipeline/new programmes or projects. Establish figures for resource gaps by comparing requirements with availability of resources.

This will provide information on what areas would require additional efforts in RM. As previously described, there are two main funding categories within FAO:

- Assessed Contributions: regular or core funds, including the Technical Cooperation Programme (TCP)
- Voluntary contributions: extrabudgetary funding and other resources (e.g. Trust Funds – Government Cooperative Programmes (GCPs), Unilateral Trust Funds (UTFs) or indeed, Human Resource Secondments)

Once funding or resource requirements have been identified, the RM strategy and action plan can be developed, which sets realistic RM targets and monitors milestones for respective outcomes and outputs. A strategic approach to RM will help determine how to best communicate to resource partners. The programme framework may be packaged and communicated in different ways:

- share the entire programme document with resource partners and request unearmarked or softly-earmarked resources for the programme. Potential resource partners may be interested in match-funding an amount i.e. contributing an equal amount to others who have already committed funds;
- repackage strands of the programme framework into distinct programmes or projects with a budget attached.

### **D. Analyse the external resource environment**

Conduct an RM Situation Analysis of country, regional and global resource partner's trends. It is a good idea to do a Strengths, Weaknesses, Opportunities and Threats (SWOT) Analysis, after which it is necessary to analyse how to maximize the strengths and opportunities and minimize the weaknesses and threats. Box 6 highlights some key questions to consider.



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## Box 6: SWOT analysis – Key Questions

- What have been our past RM practices – assess strengths and weaknesses of the approach
- What aspects need to change to increase our effectiveness in RM? Are these within or outside our control?
- Who are the relevant stakeholders, including government, development partners (both represented and non-represented partners) and other partners such as NGO's and civil society?
- What are their development priorities and agendas for the specific country/region?
- Are you working in an emergency situation? If so, how can FAO ensure a “build back better” approach and that pre-emergency development priorities can already be addressed in the context of the emergency?
- Is the government well resourced? Does it have either adequate domestic resources or donor funding to deliver on agricultural targets?
- How can FAO convince counterparts or FAO's primary beneficiaries – Governments (in the case of countries) and REIOs (in the case of ROs and SROs) or global players (in the case of headquarters) – to actively support FAO's RM with resource partners?
- Does the United Nations Country Team (UNCT) and government use a One Fund mechanism?

### **E. Establish the goal and intended outcomes of the RM Strategy as well as guiding principles for resource partner engagement**

Develop a locally-owned goal and 3 - 5 outcomes, these could be linked to those described in the corporate RMMS as a starting point. In addition, develop guiding principles, by brainstorming issues related to the local context, again linked to the corporate RMMS (re-visit Section 2.1.1).

### **F. Identify potential resource partners and match their interests with FAO's priority areas of work**

Identify existing and potential resource partners and analyse matching interests. Here it will be important to demonstrate linkages to FAO's comparative advantage in the context as well as matching thematic and geographical interests.

There are a number of tools available both within FAO and outside, that are more fully described later in this section.

### **G. Develop an Action Plan**

Develop outputs, key activities, persons responsible, within a time-frame and a set of progress indicators (Section 3.2 describes in more detail, steps to RM implementation and Section 4.2.1 provides a useful template for the Action Plan).

## **H. Develop means to monitor and evaluate progress of the Resource Mobilization Strategy**

Progress should be measured against the RM strategy and action plan through the appropriate management structures. It is helpful to nominate a staff member as the lead person for RM efforts, making them responsible for reporting on progress towards resource targets, and helping to integrate reporting on RM with other formal reporting mechanisms.

## **I. Agree the final Resource Mobilization Strategy document and Action Plan**

Finally getting all the strategic ideas down in paper will be very useful. Box 7 provides an overview of how the document might be structured and Section 4.2.1 provides a template for an RM Action Plan.

### **Box 7: Structure of a Resource Mobilization Strategy**

#### **A. MAIN BODY OF THE DOCUMENT:**

1. An executive summary
2. Authorization – includes all of the necessary signatures from senior management designating that they approve the contents of, and support implementation of, the plan
3. The RM Context – situation analysis
4. Track Record – highlights and accomplishments in RM
5. Goal, Objectives, and key outputs – for RM
6. Guiding Principles
7. RM priorities and targets – states which of the programme’s OR, RR, and/or CPF outcomes that RM efforts are focused.
8. Coordination and Oversight – include how the strategy will be managed and criteria for monitoring and evaluation, as well as the responsibilities and frequencies of monitoring the implementation of the plan

#### **B. APPENDICES:**

Appendices often include information that may be confidential, detail-oriented and/or tends to change a lot:

- i) Action Plan – specifies outputs, key activities, responsibilities and timelines for completion of objectives (Section 4.2.1 referencing the 5 steps of RM implementation)
- ii) Description of Strategic Planning Process – describes the process used to develop the plan, who was involved, the number of meetings, any major lessons learned to improve planning the next time around, etc.
- iii) Strategic Analysis Data – information generated during the external analysis (for example, environmental scan) and internal analysis (for example, SWOT analysis), and includes listing of strategic issues identified during these analyses.

## 3.2 ACT – Practical Steps to Implementation

When developing the RM Action Plan, it may be helpful to consider the process as 5 steps for implementation. These steps do not necessarily follow any strict order and are not entirely separate from each other. Nevertheless, and for ease of demonstration, the 5 steps are described in Box 8 below, along with what each step might involve. These steps support the development of programme frameworks (at each level), as well as programmes or projects thereof. The steps are therefore clearly associated with phases of FAO’s Project Cycle (Identification, Formulation, Review and Approval, Implementation and Monitoring, and Closure).

### Box 8: RM Practical Steps

1. Identify	2. Engage	3. Negotiate	4. Manage and Report	5. Communicate Results
<ul style="list-style-type: none"> <li>■ Map resource partner interests (thematic and geographical)</li> <li>■ Identify where there is a match with FAO’s Comparative Advantage and track record</li> <li>■ Verify resource partner is an acceptable source</li> </ul>	<ul style="list-style-type: none"> <li>■ Resource partner meetings</li> <li>■ Develop advocacy tools: e.g. write proposals or concept notes, project proposals and develop other communication tools (brochures, web pages, etc.)</li> <li>■ Deliver presentations to resource partners</li> <li>■ Foster individual contacts</li> </ul>	<ul style="list-style-type: none"> <li>■ Reach an agreement on joint interests</li> <li>■ Agree conditions of partnership, including procedures (rules and regulations) on use of resources</li> <li>■ Develop and formalize legal agreement</li> </ul>	<ul style="list-style-type: none"> <li>■ Acknowledge resource partners’ contribution</li> <li>■ Ensure efficient and effective operations / management of the resources</li> <li>■ Regularly report on resource partner’s contribution</li> </ul>	<ul style="list-style-type: none"> <li>■ Disseminate information on lessons learned</li> <li>■ Develop advocacy communication tools (brochure, website etc.)</li> <li>■ Advocate for continued support</li> </ul>

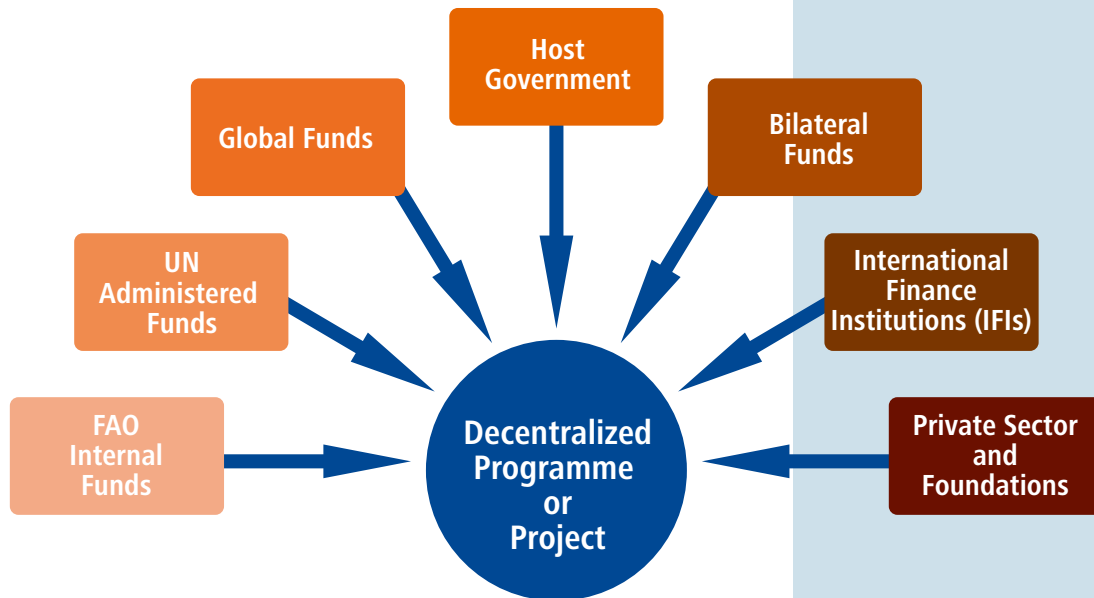
#### STEP 1: IDENTIFY

Step 1, identifying resource partners, should be seen as an ongoing process and requires continuous updating of the details and specificities of potential resource partners. FAO has developed tools to facilitate the process of identifying resource partners, specifically a web-based tool called Agricultural Development Assistance Mapping (ADAM), which is described in more detail below. However, in addition to this, an office might build its own resource partner matrix specific to its requirements. Section 4.2.2 provides a template for a matrix with some pointers on where to begin. Research on potential resource partners should also be complemented by web searches, subscribing to email circulars, broad reading on the subject, joining networks or groups (e.g. local donor forum / coordinated group) and, naturally, word of mouth.

## Funding Sources

As described earlier in Section II, the aid and resource environment has changed quite considerably over recent years and traditional aid donors are no longer the only major source of funding. Figure 7 provides an overview of the potential sources of funding available at country level, many of which are applicable to the regional or subregional context, and Box 9 provides examples under each. When considering a funding source, it is advisable to investigate the types of funding agreements potential resource partners engage to ensure compatibility with FAO's legal and operating framework (see Step 5 for more details). In addition, when checking if a resource partner is an acceptable source (especially regarding private sector and foundation sources), it is essential that FAO's Private Sector Guidelines are reviewed and the Office of Corporate Communications and External Relations (OCE) closely consulted.

**Figure 7: Potential Funding Sources at Country Level**



## Other Resources

In addition to financial resources, other support for programme or project delivery may be available in the form of in-kind contributions such as human resources, or goods and services. Examples of a wide range of in-kind contributions have been negotiated to assist FAO's work. Case Study 3 highlights one such scenario.

Associate Professional Officers (APOs) have long been a source of additional human resource capacity and many countries offer such a scheme, for candidates up to 30 or 35 years in age and for a duration of 2-3 years. Internships are also a means of boosting human resource capacity and FAO operates an internship and volunteer scheme which attracts a wide range of skilled volunteers.

## BOX 9: Examples of Funding Sources at Decentralized Level

*FAO's web based tool, ADAM can provide you with much more detailed information within your region, subregion or country.*

### 1. INTERNAL FAO FUNDS

Assessed contributions funds:

- Technical Cooperation Programme (TCP) – resources to the TCP are provided on a biennial basis by the assessed contributions of FAO's Members and it is governed by a set of criteria approved by the Members. TCP projects are designed to support small-scale interventions that have been specifically requested by Member countries, that fall within FAO's Strategic Framework and that have a catalytic or multiplier effect. TCP projects aim at filling clearly identified critical technical gaps by providing inputs that are not available locally, in particular expertise, and by complementing and facilitating other forms of assistance. When used strategically, TCP projects can stimulate the mobilization of national, bilateral and multilateral financial resources in support of rural development. For more information, including the TCP Manual, please visit: <http://www.fao.org/tc/tcp/>

Voluntary contributions/extrabudgetary funds:

- Decentralized offices are encouraged to liaise with FAO Resource Mobilization and Operations Support Service (TCSR) officers and relevant technical departments (including SO Team Leaders and IFA Managers) to gauge what resources might be available at the country level that have come to FAO headquarters through IFAs, SOs or programmes (ORs) and are softly earmarked. FPMIS is another means to check on this information.
- FAO's Special Fund for Emergency and Rehabilitation Activities – SFERA provides FAO with a means of taking rapid action in emergency situations. It enables FAO to participate in inter-UN agency needs assessment missions following a crisis, to establish rapidly an emergency coordination unit for agricultural assistance and to prepare a programme framework. The SFERA allows for immediate deployment of essential transport and equipment and, as soon as a resource partner has confirmed a contribution, the advance funding for procurement of inputs required to protect or restart agricultural activity. It allows a programmatic approach to an emergency/crisis as resource partners have agreed to pool funding under the Fund. This has reduced transaction costs and greatly improved FAO's flexibility in responding to a crisis. Find out more – <http://www.fao.org/emergencies/home/faoandemergencies/en/>

### 2. UN ADMINISTERED FUNDS

- UN Joint Programmes respond to the need to provide flexible, coordinated and predictable funding to support the achievement of national and global priorities such as the MDGs. They aim to meet UN country programme funding requirements, as specified through the UNDAF process, in order to support nationally-led and owned programming processes to help UN Country Teams to deliver as one. They are designed to allow resource partners to support integrated UN Programmes in countries where they may not have a bilateral presence or country-level funding mechanisms and reduce the transaction costs. The current portfolio contains more than 45 distinct Multidonor Trust Funds (MDTFs) (for example UN REDD, MDG-F) and over 20 Joint Programmes, including support to humanitarian, recovery, reconstruction and development processes. For more information, contact TCSR.



## BOX 9

- Central Emergency Response Fund – CERF is a fund established by the United Nations to enable more timely and reliable humanitarian assistance to those affected by natural disasters and armed conflicts. For more information see – <http://ochaonline.un.org/cerf/CERFHome/tabid/1705/Default.aspx>

### 3. GLOBAL FUNDS

- The Global Environment Facility – GEF is an independent financial organization, established in 1991 to assist in the protection of the global environment. It provides grant resources to developing countries and countries with economies in transition to complement traditional development assistance by covering the incremental or additional costs incurred when a national, regional or global development project also targets global environmental objectives. GEF funds projects related to biodiversity, climate change, international waters, land degradation, chemicals and sustainable forest management. FAO is one of the ten GEF agencies through which countries can access GEF funding. The role of FAO is to assist member countries to develop, implement and manage GEF projects, working closely with national project proponents and stakeholders. For more information see – <http://www.globalenvironmentfund.com/> or contact FAO TCI Division at headquarters.
- Global Agriculture and Food Security Program – GAFSP is the Financial Intermediary Fund set up at the World Bank in response to a request from the G20 Summit in Pittsburgh in September 2009 to establish a financial coordination mechanism that operationalizes the commitments made by the G8+ at L'Aquila in July 2009. The vehicle is a multilateral trust fund under external governance, designed to scale-up agricultural assistance targeting the food security of low income countries. The focus of GAFSP is on the longer-term agenda of food security. The fund is providing grants, loans, and equity investments in developing countries through a multilateral approach. For more information see – <http://www.gafspfund.org/gafsp/> or contact the TCI Division at headquarters. TCI can be called upon by the government to assist in the formulation of these proposals for GAFSP.

### 4. HOST GOVERNMENT:

- National Budget – the government directly pays for the services of FAO when priorities are aligned and determined through the CPF.
- Direct Budget Support (DBS) is financial aid that is given as a direct contribution to a partner government's budget. Budget support can take the form of a general contribution to the overall budget, which is often referred to as general budget support. Alternatively it may be channeled into a specific sector – commonly referred to as sector budget support. Budget support can be contrasted with project aid, through which a more closely specified and limited set of activities are funded.
- Sector Wide Approaches (SWAPs) are a form of programme aid directed to particular sectors. Within SWAPs, government and donor funding for a sector is directed towards the achievement of a holistic sectoral strategy which has been matched to available resources and implementation capacity. The sector wide approach is contrasted with a project-based approach in which individual resource partners each support a particular set of activities within the sector. The existence of a robust national framework for the sector is one of the main prerequisites for the introduction of SWAPs.

The TCSR Service at headquarters offers support in these negotiations and will assist in reaching a funding agreement.

## BOX 9

### 5. BILATERAL RESOURCE PARTNERS

- As an intergovernmental organization, FAO has always maintained a special relationship with Member Governments which are responsible for the governance and securing resources to support the goals of the Organization. Many bilateral resource partners have decentralized their development cooperation and therefore have offices in the regions within which FAO works. Direct negotiations can now take place at this level, with all the key stakeholders involved, importantly including also the host governments. The TCSR Service or TCE Division (if emergency related) at headquarters offers support in these negotiations and will assist in reaching a funding agreement.

### 6. INTERNATIONAL FINANCIAL INSTITUTIONS (IFIS)

- FAO collaborates with a number of bilateral donor agencies and regional or subregional institutions, including regional development banks. The Organization maintains multiple linkages at different levels with the International Agricultural Research Centres (IARCs) of the Consultative Group on International Agricultural Research (CGIAR) and collaborates with other research and academic institutions. Most IFIs tend to provide grants or loans to governments for their national programmes and projects. At the country level, the FAOR is in a position to ascertain whether FAO has a comparative advantage in the project under negotiation and if so, if the government would appreciate FAO assisting in its implementation as part of, or for the entire technical assistance component. The FAOR can then work with the government and the IFI in assuring that the loan agreement between the IFI and the government includes reference to FAO's involvement (on a sole source basis) and that the Organization's rules and regulations are enforced. For more information see – <http://www.fao.org/tc/tci/newsandmeetings/en/> . The TCSR Service or TCE Division (if emergency related) at headquarters offers support in these negotiations and will assist in reaching a funding agreement.

### 7. PRIVATE SECTOR AND FOUNDATIONS

- FAO partners with civil society, including NGOs, the private sector and foundations. There is a great variety of relationships between FAO and such entities: technical partnerships with research-oriented NGOs or federations; partnerships focused on institutional and capacity building with farmers/fishers/herders organizations; partnerships focused on communication and advocacy with more media-oriented NGOs. Some FAO units, for example, those dealing with animal production or fisheries, have long experience in interacting with the private sector and rural producers' organizations (dealing, for instance, with farm marketing or fishers' organizations). An inventory of the private sector and foundations that are of specific interest to the local context and FAO's programme or project could be conducted. FAO's guidelines on Private Sector Partnerships provide vital reading. For more information see – <http://www.fao.org/partnerships/fao-private-sector/en/> and the OCE Department at headquarters can be contacted for further assistance.

### CASE STUDY 3:

#### China's in-kind contribution helps "Build Back Better"

The Indian Ocean earthquake that struck on 26 December 2004 measured over 9.3 on the Richter scale and was the second largest earthquake ever recorded. The ensuing tsunami affected about a dozen nations, resulted in hundreds of thousands of casualties, and jeopardized the livelihoods of the survivors, many of whom were reliant on fishing.

On 30 December 2004, the governments of the countries affected appealed for international humanitarian assistance. In response, the United Nations launched an Indian Ocean Earthquake - Tsunami Flash Appeal on 6 January 2005, as part of which FAO, together with the Governments of Indonesia, Maldives and Seychelles, made an assessment of the needs of their fishery sectors in the worst affected regions. In response to the Flash Appeal the Government of the People's Republic of China, in its first contribution to FAO's emergency programme, donated US\$ 2 million (US\$ 1.6 million in-kind and US\$ 400 000 in cash) to FAO's component of the appeal.

After an intensive process of identifying recipients, FAO went on to deliver a variety of fishing equipment, from engines and material to help reconstruct damaged vessels to nets and refrigerating containers, to help the fishers and the communities they support resume their activities and ensure the food security of thousands. In many cases, the in-kind contributions successfully fulfilled the goal of "Building Back Better" by providing fishers with new equipment that allowed them to exceed their levels of productivity prior to the tsunami.

#### Gathering information on resource partners:

Mobilizing funds requires detailed knowledge of resource partners, their priorities, policies, budgets, rules and procedures for audits and accountability mechanisms. The following actions can help with such research, alongside asking pertinent questions such as those listed in Box 10:

1. **Identify external sources of funding:** Provide an overview of the aid flow environment to understand the overall importance given to agriculture related sectors.
2. **Analyse Resource Partner's** contributions to understand the relevance that each partner is giving to the sectors of FAO's mandate. A resource partner matrix will assist in this task, allowing for easy comparison among the potential resource partners. At country level, it is also important to identify and engage in existing donor forums/coordination groups.



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3. **Analyse the main resource partners:** Having identified the principal bilateral and multilateral resource partners of interest, analyse their priorities and funding modalities in terms of how well these correspond with those of FAO, and the comparative advantage that the Organization can offer.
4. **Formulate recommendations for improving the mobilization of resources from external sources of funding:** Based on the findings presented in the previous steps, identify the strategic approach for mobilizing external resources more efficiently.

### Box 10: Suggested questions to draft a profile sheet for a resource partner:

#### PRIORITIES:

- Does the region or the country feature in the resource partner's geographic priority areas? Do they have a country specific strategy or any ongoing initiatives that could be relevant?
- What are the resource partner's main intervention areas in general? Within the country? How does agriculture and rural development feature within them?
- How much financial support has the resource partner recently given the country, in all sectors as well as in those of interest to FAO?
- What is the record of the resource partner in funding initiatives of UN agencies (in general and in the country)?

#### PROCESSES:

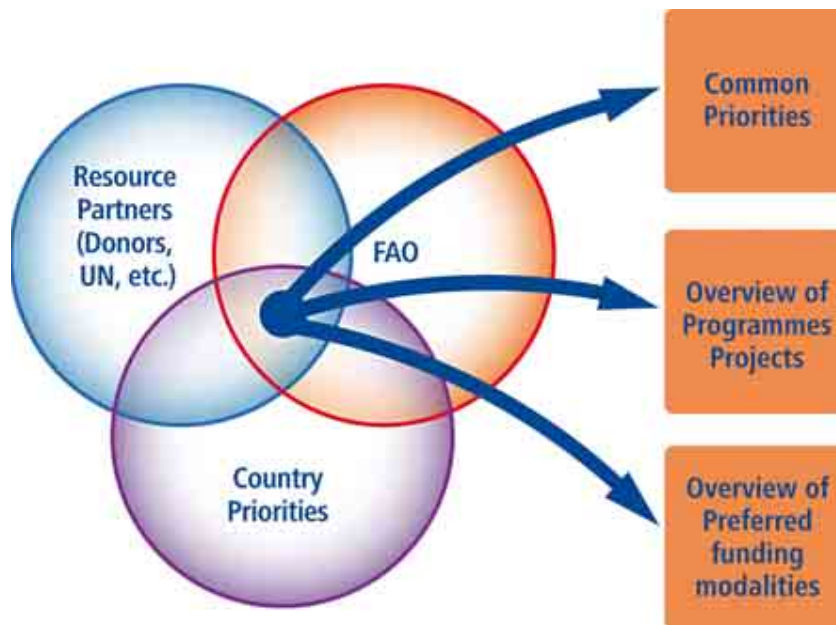
- Does the resource partner have any pre-conditions to be met before financing?
- What is the programming cycle of the resource partner?
- What funding schemes does the resource partner have? (grants, loans, special conditions as requires overhead rates, rates of interest and grace periods for loans)
- What is the calendar for submitting requests and/or calls for proposals?
- What are the procedures for submitting project proposals?

## FAO's tool to assist in identifying resource partners – Agricultural Development Assistance Mapping (ADAM)

FAO has developed ADAM to assist both headquarters and DOs in gathering and analysing information about potential resource partners, related to the points listed under gathering information on resource partners. It allows the users to:

- A. Compare common priorities and interests** (between the country, region, FAO and Resource Partners). Graphical presentations can be generated, such as the Venn diagram in Figure 8 below.

Figure 8: An Overview of ADAM – matching the common interests



- B. Map Resource Partner Interests** – The matrices provide a quantitative overview by region or country information on resource partners' recent disbursements to the areas of FAO's mandate as per Organization for Economic Cooperation and Development – Development Assistance Committee (OECD-DAC) data, FAO data and data taken from non-OECD databases.

- C. Compare Resource Partner Profiles:** Should a user have identified a resource partner with a geographical or thematic common interest, they can then use this section to gather information on the resource partner's stated priority themes and where resources allocated. There is also information on favoured funding mechanisms, as well as key details on the resource partners' internal processes. Web links are provided for those seeking more information.



## STEP 2: ENGAGE

This step involves seizing every opportunity to communicate the programme for which resources are sought. Behind the scenes, it involves agreeing a communications approach (devising a communications plan), in order to target communication tools to particular audiences. Developing appropriate and tailored media is essential in increasing the programme's visibility to potential resource partners. Box 11 provides a taste of some fresh ways to engage partners. Furthermore, various themes can help bring elements and partners together and help put forward a case to resource partners. Case Study 4 examines how nutrition acted as a useful entry point for food security project design, alongside a number of other factors that enabled resources to be mobilized.

### Box 11: Fresh ways to engage resource partners

#### MAKE SURE YOUR COMMUNICATIONS ARE:

- **face to face** – organize a meeting or presentation to formally launch the programme to your resource partner audience;
- **short and snappy** – a concept note or project outline is the best way to provide a short overview of your programme or project. Most resource partners prefer to see an initial overview, rather than receive a full-fledged proposal;
- **appealing** – design an attractive brochure or multipurpose fact sheets – introducing the main challenges faced by the populations/countries, the country/subregional or regional challenges before giving an overview of the programme or project with a focus on the beneficiaries and on its potential impact (not on activities). OCE should be consulted at headquarters to access templates which have been pre-designed for specific corporate communications;
- **personal** – find out the name of the person responsible and tailor individual letters or emails to each potential resource partner and, importantly, follow up;
- **thorough** – make sure concept notes or project proposals detailing specific projects are prioritized within the programme framework;
- **up to date** – develop or update your website to ensure the programme's visibility;
- **well timed** – ensure your request is in sync with a resource partner's funding cycle;
- **demonstrate track record** – show how FAO has the capacity to deliver, as proven by past achievements.
- **and do not forget to use every opportunity** – all staff should use all opportunities to meet, engage and present the programme to potential resource partners.

#### CASE STUDY 4:

##### **Nutrition – making the case for food security projects in Afghanistan**

Using nutrition as an entry point for food security programme or project design can assist FAO teams in identifying new areas of interventions and support the justification for new projects. The FAO German-funded project “Supporting Household Food Security, Nutrition and Livelihoods in Afghanistan” contributed to RM for other FAO projects in Afghanistan (raising a total of US\$ 9.4 million between 2006 and 2008). Through participatory workshops at central and provincial levels, the project facilitated a common understanding of causes of malnutrition and food insecurity in the country, using problem and solution trees for malnutrition. The causal frameworks clarified linkages between ongoing agriculture, health, education and rural development projects and highlighted areas related to FAO’s mandate that were not yet sufficiently addressed. These included the management of local biodiversity and forest resources. Working with relevant technical divisions, the project team helped make the case for two projects: “Managing Biodiversity for Sustainable Food Security and Nutrition in Afghanistan” and “Initiating Participatory Forestry in Support of Sustainable Livelihoods in Afghanistan”. The causal frameworks of malnutrition also demonstrated the necessity for strengthening coordination and integrated planning to effectively address food and nutrition security, which provided the rationale for the project “Strengthening capacity for coordination and capacity for integrated food security and livelihoods programming in Afghanistan”.

Key success factors in the RM process included:

- regular dialogue with the resource partner (German Ministry of Agriculture) from project identification to project evaluation, which allowed to build a partnership founded on mutual trust over time;
- a clear definition of how the new projects contributed to an overall strategic framework for food and nutrition security and were linked to ongoing initiatives (N.B. The RM process took place between 2006 and 2008, before the Afghanistan CFP was written);
- project designs associating field level activities with institution building and capacity development of local partners, to facilitate scaling up and ensure sustainability;
- demonstrated capacity of the FAO country team to successfully manage and implement ongoing projects.



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FAO has developed specific guidance on developing a concept note, which is detailed in the identification phase of the Project Cycle. A new programme or project idea should be logged in FAO's Field Programme Monitoring and Information System (FPMIS) declaring its pipeline status. Initially, it is classed as an idea and when resource partners are found, its status updated to active pipeline and final consultation. More specifically the three stages include:

- **Idea** – concept note stage;
- **Active Pipeline** – the Organization has decided to invest resources in the concept note's development into a fully-fledged programme or project. It requires a formal government request or a formal resource partner commitment;
- **Final Consultation** – the resource partner has been identified and an agreement is close to signature. The programme or project is agreed in principle, fully formulated and is going through final internal clearances: technical, operational, budgetary, financial, legal, etc.

The programme or project's status on FPMIS is then declared as ongoing and finally, when it is completed it should be logged as closed. Box 12 provides an overview of this system.

## Box 12: FAO's Field Programme Monitoring and Information System FPMIS

FPMIS is an information and monitoring tool supporting field activities funded from voluntary contributions, as well as TCP and NPFS (National Programme for Food Security) projects funded from assessed contributions. FPMIS is linked directly to the Organization's Data Warehouse, the repository of all financial transactions of the Organization, through which it provides access to financial information on projects.

Updating information in FPMIS is done both by Headquarters and by the field offices. Typically, FPMIS can provide useful project or region/country specific information to all relevant stake holders on the funding, delivery, timeline and state of project implementation of Technical Cooperation (TC), Emergency and SPFS projects. Specifically, FPMIS provides access to useful information such as:

- monitoring of operational and pipeline projects;
- resource partner-related information e.g. delivery reports by donor, geographic area or sector;
- people involved with the management and operation of field programmes and projects;
- technical divisions related to projects;
- project documents, revisions, progress and technical reports;
- country strategy papers, donor agreements, etc;
- current financial project status through direct links to the corporate Data Warehouse (FAO Oracle) and historical financial data through links to TC data bases (under development);
- budget revision toolkit;
- guidelines to successfully develop a project document;

The timely provision of such documentation from decentralized offices is key to the system and to the coherent functioning of the Organization's Field Programme as a whole. A project's status should therefore be continually updated – whether it is classed as PIPELINE, ONGOING or CLOSED. For more information see <https://extranet.fao.org/fpmis/>



In certain situations, engaging a communications specialist to help design and tailor messages geared to specific resource partners may be a good idea. Up-front investment in additional human resources to expand the Office's RM capacity can pay off. However, firstly, analyse the team's strengths which can at times reveal hidden talents! Indeed, attracting interest in a programme or project takes more than the document itself, a brochure or a web site; interpersonal skills are vital. A distinct skill-set is needed, where a person is not only well-versed in the programme or project, but also has the requisite communication and negotiation skills to 'market the product'. This step should therefore strengthen a team approach to RM. Each team member is then assigned specific tasks within the RM Action Plan. An institutionalized team approach will ensure that skills, talents and contacts are formally identified and monitored to ensure that responsibilities, success and rewards are shared. It is advised that each office should:

- nominate an RM lead person with the requisite skills to provide support and direction to RM efforts;
- possibly assign specific resource partner liaison roles/focal points to staff members (particularly useful within the RO)
- encourage all team members to utilize every opportunity to promote the programme or project;
- integrate RM as part of the team's strategic priorities to ensure RM is reported on and monitored (e.g. as an agenda item in team meetings, reports from missions, etc).

Furthermore, the team should be charged with developing knowledge and relationships with the support facilities available at FAO headquarters or at regional level, as well as within the wider UN context (especially at country level). Where to get support is discussed at the end of this section.

Most resource partners require, at some point, a formal approach and the resource partner matrix and ADAM, referred to in Step 2, should assist in knowing how to engage with the application process and when certain resource partners call for proposals (funding cycle). Others may request a concept note (either in their format, or FAO's Concept Note, may suffice), which provides a snap-shot of the programme or project's rationale, focus and benefits. The concept note helps to structure a preliminary analysis of the relevance, feasibility and sustainability of the project idea. It should provide a succinct outline.



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## CASE STUDY 5:

### The value of a thorough project document

The al-Badia rangelands in Syria, which support half a million Bedu pastoralists are increasingly under threat from drought, particularly given the effects of climate change. In response, FAO proposed a project to establish a Drought Early Warning System in support of the implementation of the National Drought Strategy. A Government Cooperative Programme (GCP) was drawn up with the Government of Switzerland as a resource partner, giving US\$ 476,150 while the Syrian Government contributed a further US\$ 105,550. The project was intended to reduce vulnerability to drought through the development of a national early warning system, with emphasis on the low rainfall zones of al-Badia and surrounding areas. Project funding was confirmed by Switzerland in November 2009 and project operation started immediately after signature.

The key to successful RM was good timing and a well prepared project document. FAO approached resource partners at country level at the right time, with the country facing a serious drought. A prompt response and timely support from technical unit/s and TCSP/TCSR contributed to materializing fundraising, while their flexibility also facilitated engaging positive resource partner support. Close collaboration with the Government also contributed to the success of efforts on country programme development.

### STEP 3: NEGOTIATE

Step 3 involves a complex set of knowledge and skills, and therefore it is essential that the office has on hand the appropriate support mechanisms within FAO to proceed successfully.

Step 2 might have resulted in attracting the interest of potential resource partners. Step 3 involves an important set of negotiations which hopefully should lead to a signed agreement. As such, this step requires a crucial mix of expertise, in order to provide a thorough picture of the programme or project to be implemented, through the eyes of both technical and logistical experts. It may also require negotiations on trimming the programme or project, or a slight refocus when agreeing joint interests and matching priorities.

When it comes to finalizing the conditions of partnership, including procedures (rules and regulations) on use of resources, it is important to understand the different types of funding agreements that might be reached. Figure 9 provides an overview of the different types of funding approaches through which a resource partner might engage with FAO, through the Strategic Framework – more specifically the MTP-PWB. Contributions to FAO are received either via assessed or voluntary contributions, and may be earmarked (linked to very

specific products and services) or softly earmarked (which give the Organization more flexibility around SOs, ORs or IFAs to support FAO's programme of work).

The lower level of the diagram demonstrates the range of funding agreements that may be negotiated with any given resource partner, that release the funds for programme or project implementation. Box 13 complements Figure 9 by providing a description of each. Case Study 6 provides an example of how, as a result of developing of India's CPF, a Unilateral Trust Fund (UTF) was negotiated. Case Study 7 demonstrates the success through a UN Joint Programme (UNJP).

It is of utmost importance that the office receives the relevant expert advice on finalizing the agreement, in order to ensure proper legalities are followed, in line with FAO's legal framework. Before reaching a signed agreement, check the resource partner's conditions of agreement and that they comply with FAO's rules and regulations. In particular, look out for specifications on:

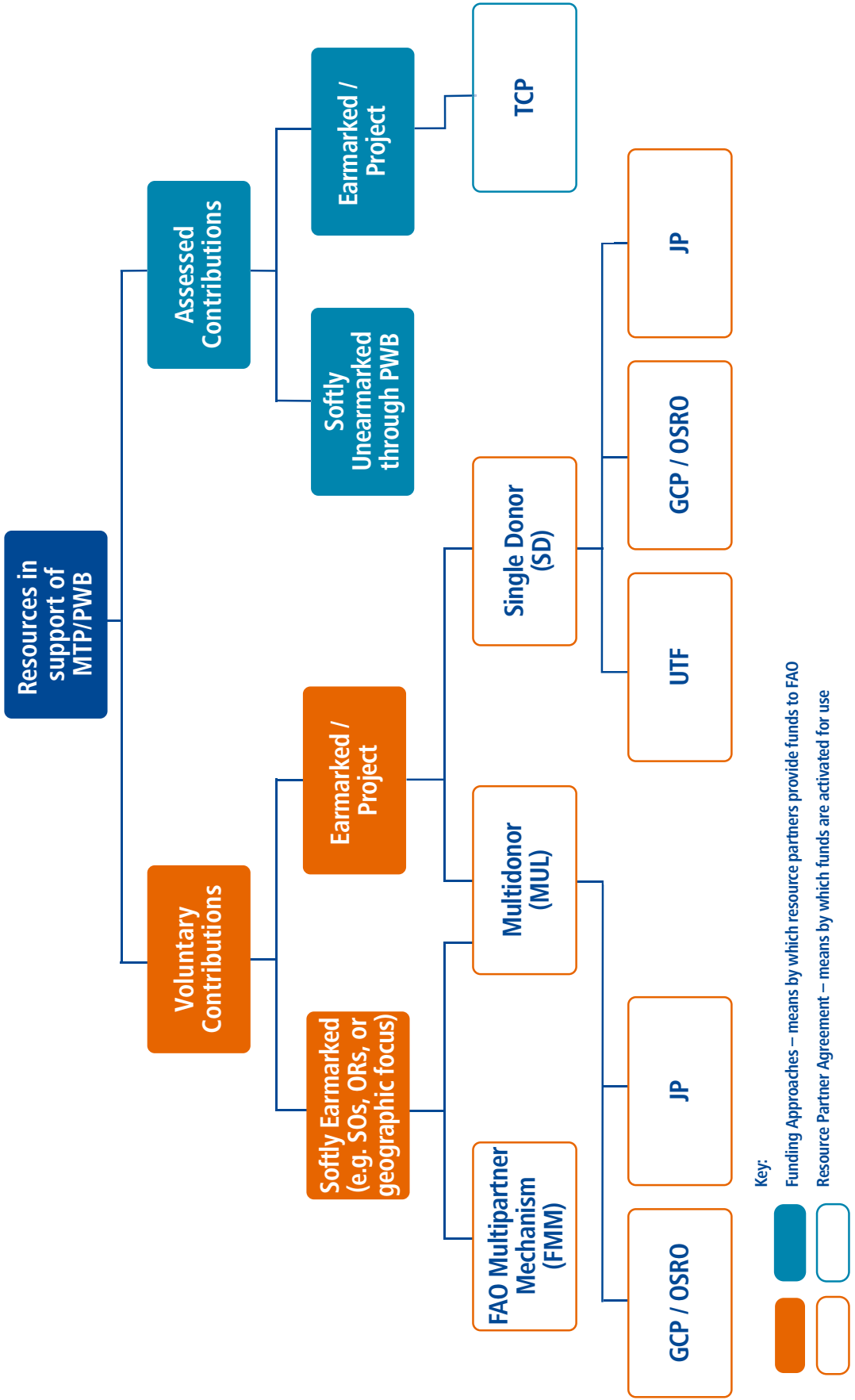
- audit;
- procurement;
- financials – payment schedules and reporting;
- recruitment;
- project costs – FAO's Project Servicing Costs (PSC) for the different funding agreements;
- evaluation – FAO's Evaluation Policy for the Organization's activities funded by voluntary contributions.

Both TCSR and TCE at headquarters are responsible for resource partner liaison and negotiating agreements. TCSR/TCE have assigned Donor Liaison Officers to assist in reaching agreements with specific types of resource partners. FAORs can negotiate and reach an agreement with a resource partners up to a maximum of US\$ 200 000, through a fast-track facility where the ADG-TC delegates project signature to the FAOR. In such circumstances, the FAOR is responsible for the formulation, appraisal and approval of projects, unless they are advised otherwise by the office of the Assistant Director-General of the TC Department within two weeks of their notification of a proposal (provided certain conditions, particularly regarding technical clearances, are met). Projects larger than this amount are subject to approval and operational endorsement by the ADG-TC, and resource partner negotiation and finalization of the funding agreement must be carried out in close consultation with the RO and TCSR/TCE.



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Figure 9: Funding Approaches to the Strategic Framework



## Box 13: Standard Funding Agreements and Implementation Modalities at FAO

*TCSR/TCE Officers are available to assist in negotiating such funding agreements.*

**FMM: FAO's Multipartner Programme Support Mechanism** was developed at the end of 2010. Voluntary contributions are not tied to a specific project but go right into the FAO budget along with the assessed contributions from member countries. Depending on the resource partner, resources are either completely unearmarked or loosely associated to SOs or FOs. Sweden and the Netherlands are the first resource partners to provide funds to the FMM, providing US\$ 26 million to be deployed until 2013. The FMM is also expected to be the mechanism through which unearmarked contributions to the IFAs are disbursed.

**TCP: The Technical Cooperation Programme** funds small projects requested by the FAO Member Nations. The TCP is accessible to all member countries. However, FAO's Governing Bodies decided in November 2005 that the TCP should give special attention to the neediest countries, defined as the Low-Income Food-Deficit Countries (LIFDCs), the Least Developed Countries (LDCs), the Landlocked Developing Countries (LLDCs) and Small Island Developing States (SIDS).

**GCP: A Government Cooperative Programme** is an agreement between FAO, a resource partner and a recipient country (or group of countries). GCP programmes are increasingly multidonor funded. The shift from individual projects financed by a single resource partner to large programmes funded by several represents a major development in the way FAO collaborates with the international donor community and recipient countries.

**UTF: Unilateral Trust Fund** agreements are arranged between FAO and a recipient country. This funding modality allows developing countries to benefit from the Organization's technical expertise through funds which are financed entirely by the beneficiary countries themselves, either from national resources or from the proceeds of loans, credits and grants made available by international finance institutions or bilateral donors to the countries themselves.

**JP: A Joint Programme** is a set of activities with a common work plan and related budget, involving two or more participating UN agencies and national or subnational partners. Joint Programming maximizes synergies between national partners and the contributions of UN system organizations, avoids duplication, opens opportunities in new challenging areas, reduces transaction costs and provides coherent results.

**OSRO: The symbol OSRO (Emergency and Rehabilitation Trust Funds)** is the acronym of the former name of TCE Division (Office for the Special Relief Operations). This type of project applies when one country agrees to help another in the context of emergency/rehabilitation programmes executed by TCE.

*The specific implementing modality for the programme or project, funded by any of the above Resource Partner/Funding Agreements, can be determined via either:*

**A Direct Implementation Modality (Direct Execution by FAO):** This is where FAO is fully accountable for the use of the funds and the delivery of planned outputs and/or achievement of planned outcomes. Direct execution can also be outsourced by using a Letter of Agreement (LoA). In general an LoA is used for cases where activities or components of projects are outsourced (sub-contracted) to a service provider but FAO retains overall responsibility and accountability.

**National Implementation Modality:** Here a National Execution Modality (NEX) is required which states that the government owns the programme or project and applies, as much as possible, its own rules (under the agreement that their rules will not undermine basic principles of transparency, good governance and efficiency). In such circumstances, FAO adds value by providing technical assistance to the programme or project. The government takes full responsibility for financial management, procurement, recruitment and overall results. National Execution requires specific procedures and guidelines which are yet to be developed and which will become FAO's NEX Manual. During the transitioning phase, however, FAO has agreed to allow executing partners to execute the project(s) in accordance with administrative procedures set forth in existing manuals of other agencies.

*More information and guidance is available from TCDM.*

## CASE STUDY 6:

### **An example of a Unilateral Trust Fund Agreement (UTF)**

Through engaging in the formulation of a CPF, the FAO programme in India recognized a demand for higher order global expertise to address emerging needs and access to best practices in programme design and implementation. In discussions with government counterparts, it was agreed that the funds required to deliver two of the three components of the CPF would be provided by the Government of India through UTFs and that FAO and its partners would explore alliances with funding agencies for financing the third component.

The three most important determinants of success were firstly, an open and honest relationship between FAO and the Government of India counterparts; secondly, a plain statement of the needs of India that FAO has clear comparative advantage in meeting; and thirdly, a willingness of both FAO and the Government counterparts to openly address the matter of funding the work of FAO in India. Countries moving towards middle-income status tend to have a range of internal technical capacities that expect only high-level technical inputs from FAO. Moreover, these countries have the financial capacity to meet the cost of such inputs and do not necessarily wish to be seen as 'donor targets' for assistance. Failure to deliver the expected calibre of technical assistance remains a risk to the reputation of FAO and to its ability to continue to serve such countries.

## CASE STUDY 7:

### **Food and Nutrition security: strategic entry points for UN Joint Programming**

Protecting and promoting good nutrition is a common development objective (MDG 1) and fighting malnutrition requires multi-sectoral approaches addressing food, health and care. Food and nutrition security is therefore a strategic entry point for joint programming and provide opportunities for FAO to strengthen its collaboration with other UN agencies. This is essential at a time where UN agencies are increasingly encouraged to "Deliver as One" and where funding is most easily accessed through inter-agency programmes. Through the global Spanish-funded MDG- Achievement Fund (MDG-F) window on "Children, Nutrition and Food Security", for example, FAO was able to engage in UN joint programmes in 24 countries, raising a total of approximately US\$ 30 million for country level work on food and nutrition security.

#### STEP 4: MANAGE AND REPORT

Step 4 involves acknowledging the resource partner's contribution, managing, monitoring and reporting on the use of resources via agreed mechanisms (often spelled out in the funding agreement). This step is crucial to maintaining good relations with a resource partner and forms the bedrock of potential ongoing resources and therefore must not be overlooked. It is essential that the programme or project is well managed (is effectively delivered) and results are reported in a timely manner, according to the results-based framework and, if necessary, the resource partner's request. Once the programme or project is declared operational, the assigned budget holder can obtain operational support through the Field Programme Support Network (FPSN). Support is available throughout the programme or project's duration from the relevant subregional office as first port of call, then from the regional office and from TCSR for more systemic issues. FPSN provides guidance, coordination for common approaches, monitoring of the pipeline and ongoing programmes or projects, and assistance with terminal reports.

Acknowledging a resource partner's contribution and thanking them for their support is an essential part of maintaining good relations, and securing future funding. This can be done by:

- writing a formal letter of acknowledgement of their contribution with special thanks from higher management;
- inserting the resource partner's logo on the programme or project documentation produced (including web sites, reports). FAO has produced guidelines for this very purpose, which are currently being reviewed and updated;
- inviting representatives from their organization to programme or project events.

Also crucial in acknowledging a resource partner's contribution is providing them with regular feedback on the progress of the work (including financial reporting). This may mean fulfilling on a particular donor format for reporting, at set intervals, or providing them with mid-term and end of term evaluations of the programme or project. The original programme or project framework provides the overall means for reporting. The results-based management methodology (or logframe) used to design the project or programme assists in forming and guiding the reports. The emphasis here is on results; showing the tangible impact of FAO's work on beneficiaries' lives and livelihoods, rather than on activities. Box 14 sets out the different types of report FAO staff may have to file according project progress and resource partner requests.



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## Box 14: Standard FAO Reporting formats

**Inception Reports** – inception reports provide FAO headquarters with a summary of the prevailing situation in relation to the proposed programme of project activities, including administrative arrangements for project implementation. If necessary, a draft revised budget should be attached. In light of the findings presented in the project's inception report, a detailed project management plan should be prepared in consultation with the national authorities concerned.

**Technical Progress Reports** – these provide information for use by the technical unit responsible for backstopping a particular expert. The report should assess the progress made in relation to the expert's work plan for the reporting period, and enable the expert's contribution towards the project's objectives to be monitored. The technical progress report therefore needs to include more detail about the activities undertaken than do the project progress reports.

**Project Progress Reports** – progress reports are designed to provide those responsible for managing, administering and financing a project with the means of systematically monitoring the progress of the project. The target for the reports could be any one of national governments, bilateral donors or FAO staff. Such reports provide an account of progress made towards the project's outputs and the achievement of its objectives and an identification and analysis of major issues, with particular attention to difficulties encountered of an administrative and technical nature that would require adjustments. They include specific recommendations for any action necessary to ensure that the project can achieve its objectives.

**Terminal Reports** – the main purpose of the project terminal report is to give guidance at ministerial and senior government level, based on the achievements and experiences of the project, on the policy decisions required for the follow-up of the project. The terminal report should therefore be a concise statement of the main findings, conclusions and recommendations of the project in relation to the project's stated objectives. The project should be assessed rather than described, and the recommendations expressed in terms of their application to the country's economy and technology in the context of its development priorities.

In the case of emergency projects operated by TCE, the main purpose of the terminal report is to describe the activities of the project, its impact and the recommendations for follow-up activities.

### STEP 5: COMMUNICATE RESULTS

Step 5 differs from the previous step, in that this form of reporting attracts the interest of a wider audience, beyond the original programme or project partners. It involves disseminating the programme or project's success stories and lessons learned to raise FAO's visibility. Various communication tools can be used to advocate FAO's comparative advantage, proven track record, and request for continued support. Indeed, resource partners may be invited to the field to see the programme or project in action. Communications should emphasize success stories and beneficiaries' testimonials to capture interest through professional communications including photos, the web site, brochures, or even a short video. It is important to note that some resource partners have their own specific requirements on their visibility in partnering with the programme or project, for example the European Commission.

This brings the steps of implementation logically back to Step 1, where communicating the successes of a programme or project partnership can strongly motivate and advocate for further resources.



### 3.3 REFLECT – RM Lessons Learned

Finally, remembering to monitor progress and report on the RM strategy or Action Plan, is an important end point in the RM cycle and is essential for future planning and action. Progress should be measured against the RM strategy or action plan at regular intervals, ideally through regular meetings to discuss and report on progress towards RM targets, called by the staff member nominated as the lead person for RM efforts. An end point evaluation on the resources mobilized for the programme or project framework should also be conducted. All RM activities should be logged and reported on, and successes and failures reported. All of these experiences add up to important lessons learned in approaching RM and result in a stronger and more versatile staff skill-set, with enhancing knowledge and understanding on how to approach RM in the future.

### 3.4 Where to get support

#### 3.4.1 RM Support within FAO

Field-led RM efforts are supported and coordinated by headquarters, particularly by TCSR and TCE. Section 4.1.4 gives an overview of the various headquarters units involved in RM. More information on donor-liaison focal points within TCSR and TCE can be found on the RM intranet. ROs and SROs will become increasingly responsible for overseeing and coordinating RM efforts.

In order to enhance capacities in RM, and in response to a capacity assessment survey conducted throughout the Organization in May-June 2010, FAO has developed a training programme and support materials. This package, beyond this 'Practical Guide to Resource Mobilization', includes:

- fact sheets providing in-depth information on key topics;
- resource partner identification and analysis tools (ADAM);
- an intranet site devoted to RM;
- tailored training workshops (for DOs and headquarters).

#### 3.4.2 Links to the wider UN system

As FAO is firmly part of wider UN initiatives at country and regional level, it is important that DOs forge effective working relations with the local UN Resident Coordinator and their office. This will assist as part of country level programme agreements reached at UNCT level, e.g. Delivering as One. The most important document in relation to Delivering as One is the UNDAF. FAO's contribution to the UNDAF is the CPF, since there is a close relationship between FAO's country-level results and UNDAF results. Both exercises aim at aligning development support activities to national priorities in the framework, and to global



goals, such as the Millennium Development Goals. Box 15 provides an overview of how FAO may approach resource mobilization jointly with other UN agencies.

### Box 15: One UN Funds – “Delivering as One” (DaO)

Under the One Budgetary Framework (“One Budget”), the UN Country Teams’ agreed costed results are presented in one financial framework, showing each agency’s planned input together with the funding source. Unfunded results are also identified (“Funding GAP”). The results in the financial framework can be funded by agencies’ core resources, national government contributions, direct contributions from resource partners, and a specific country coherence fund established for interested partners. This “Coherence Fund” or “One UN Fund” is a tool to mobilize resources for the “unfunded” results of the One UN Programme.

All the DaO pilots have implemented arrangements for the administration, governance and the allocation of money for the “One Funds”. Different resource mobilization scenarios can also be envisaged based on different country cases. The decision is taken by consensus by the UN Country Teams. Some examples could include:

1. Based on the UNDAF/One Programme funding GAP, the Resident Coordinator (RC) mobilizes funds for the One Fund/Coherence Fund and agencies mobilize funds at all levels for their activities under the UNDAF, keeping each other informed.
2. All resources mobilized by agencies locally or the RC on behalf of the entire system are mobilized for the One Fund/Coherence Fund and then distributed to the agencies.
3. The RC mobilizes resources for the One Fund/Transitional Fund, agencies commit not to pursue independent fund raising at country level. Exceptions are usually made for vertical funding sources (Thematic Trust Funds and others).

So far, option 1 has been the most widely applied, as it increases transparency and generates additional funding without creating additional complicated structures and workload at the country level.

### NEED MORE INFORMATION?

See the KEY REFERENCES AND TOOLS SECTION on page 49



## SECTION IV: References and Tools

### 4.1 References

#### 4.1.1 Weblinks to core Reference Materials

FAO Reference Materials	Source/Weblink
<b>On Resource Mobilization</b>	
Corporate RMMS	<a href="http://intranet.fao.org/rm/">http://intranet.fao.org/rm/</a>
RM Roles, Responsibilities & Guiding Principles	
List of RM liaison officers (in TCSR and TCE)	
Resource Mobilization Website	<a href="http://www.fao.org/tc/resource-mobilization/en">http://www.fao.org/tc/resource-mobilization/en</a>
Agricultural Development Assistance Mapping (ADAM)	<a href="http://www.fao.org/tc/adam/">http://www.fao.org/tc/adam/</a>
Partnership website	<a href="http://www.fao.org/partnerships/partners-home/en/">www.fao.org/partnerships/partners-home/en/</a>
FAO-EU partnership	<a href="http://www.fao.org/europeanunion/en/">http://www.fao.org/europeanunion/en/</a>
<b>Programming Guidelines</b>	
CPF Guidelines	<a href="http://intranet.fao.org/cpf/en/">http://intranet.fao.org/cpf/en/</a>
FAO Work Planning Guidelines	<a href="http://pires.fao.org/pires/WP12/WorkPlan12-13-Guidelines-corrig1.pdf?v=1">http://pires.fao.org/pires/WP12/WorkPlan12-13-Guidelines-corrig1.pdf?v=1</a>
FAO's Project Cycle Handbook (PCH)	Refer to FPMIS and the PCH (formerly the Field Programme Manual)
Standard concept note and project document	
Project servicing costs (PSC) Guidelines	<a href="http://intranet.fao.org/fileadmin/user_upload/osp/docs/Service_costs.pdf">http://intranet.fao.org/fileadmin/user_upload/osp/docs/Service_costs.pdf</a>
FAO and UN Reform	<a href="http://intranet.fao.org/en/FAOUNReform/en/">http://intranet.fao.org/en/FAOUNReform/en/</a>
Focal points in FAO on UN Reform	<a href="http://intranet.fao.org/en/FAOUNReform/en/2/index.html">http://intranet.fao.org/en/FAOUNReform/en/2/index.html</a>
TCPR	<a href="http://intranet.fao.org/en/FAOUNReform/en/181/index.html">http://intranet.fao.org/en/FAOUNReform/en/181/index.html</a>
DoA Pilot Countries	<a href="http://intranet.fao.org/en/FAOUNReform/en/4/index.html">http://intranet.fao.org/en/FAOUNReform/en/4/index.html</a>
Key UN Reform Documents	<a href="http://intranet.fao.org/en/FAOUNReform/en/29/index.html">http://intranet.fao.org/en/FAOUNReform/en/29/index.html</a>
UNDG Toolkit	<a href="http://www.undg.org/toolkit">http://www.undg.org/toolkit</a>
<b>Reporting &amp; Evaluation Guidelines</b>	
Standard reporting guidelines and documents	Refer to FPMIS and the PCH
FAO's Evaluation Policy for VC Funded activities	Refer to FPMIS and the Field Programme Circular No. FPC 2011/10
FPMIS	<a href="https://extranet.fao.org/fpmis/">https://extranet.fao.org/fpmis/</a>
PIRES	<a href="http://pires.fao.org/pires/Index.htm">http://pires.fao.org/pires/Index.htm</a>
<b>Other relevant corporate Strategy Papers</b>	
Private Sector Strategy	<a href="http://www.fao.org/docrep/meeting/024/mc010e.pdf">http://www.fao.org/docrep/meeting/024/mc010e.pdf</a>
Corporate Capacity Development Strategy	<a href="http://www.fao.org/capacitydevelopment/en/">www.fao.org/capacitydevelopment/en/</a>
<b>Human Resources Programmes</b>	
FAO Internship Programme	<a href="http://www.fao.org/employment/empl-internship/en/">http://www.fao.org/employment/empl-internship/en/</a>

## 4.1.2 An Overview of Programming Frameworks

### FAO's Strategic Framework

The Strategic Framework of the Organization embraces the principles and major elements of a results-based regime in FAO, which comprises:

- Global Goals, representing the fundamental development impacts, in the areas of FAO's mandate, which the member countries aim to achieve;
- Strategic Objectives contributing to the achievement of the Global Goals;
- Functional Objectives providing the enabling environment for FAO's work;
- Organizational Results defining the outcome of FAO's work under each Strategic and Functional Objective; and
- Core Functions as the critical means of action to be employed by FAO to achieve results.

### FAO's Medium-Term Plan and Programme of Work and Budget (MTP/PWB)

The Organization's four-year MTP/PWB, outline the substantive priorities upheld by the Membership and commit the Organization's work towards achieving those goals. The prime purpose of the complementary four-year Medium-Term Plan document is to inform intergovernmental discussions with full articulations of both Strategic and Functional Objectives. The Programme of Work and Budget will set out the biennial integrated resource requirements – assessed and voluntary – needed to achieve the two-year targets for the indicators of each Organizational Result in the Medium-Term Plan.

Additional information and current documentation of Strategic Framework, MTP/PWB can be found on FAO's Internet web site at <http://www.fao.org/about/strategic-planning/en/>

### FAO's Country Programming Framework (CPF)

The overall aim of the CPF is to strengthen the effectiveness, impact and visibility of FAO's assistance to member countries through a strategic and coherent FAO country programme. It should be fully aligned with the country programming cycle and UN programming process, pursuing national development objectives and MDGs, within the realm of FAO's Strategic Framework.

The CPF defines those priority areas which have been jointly agreed with the government, ensuring that the results intended to be achieved by FAO are in support of the national agricultural and food security development objectives. The joint identification of priorities for FAO's assistance is particularly important for making sure that the government, as owner and leader of external assistance to its development efforts, gets the best out of FAO's assistance.

The CPF is a key component of the FAO country programming process. This includes (i) national priority setting, when requested by the government, which defines the national development objectives regarding agriculture, food security and rural development; and (ii) FAO's Country Programming Framework (CPF), and FAO's Country Work Plan (CWP), which is the process for delineating how the results defined in the CPF and in the MTP/PWB will be achieved. As such, CPF is the strategic meeting point between the development goals of the country and FAO's mandates, and thus ensures focus on national ownership and mutual accountability. In turn, the CPF informs the Subregional and Regional Priority Areas of Action, and Organizational Results.

In the context of RM, the CPF provides development partners and the donor community with a clear vision and purpose of FAO's medium-term assistance strategy, together with an estimate of resource requirements for the implementation. It also facilitates dialogue between FAO and the government, its external development partners and other national stakeholders on the joint efforts and raises awareness on FAO's mandate and its comparative advantages.

### **FAO's Regional and Subregional Priority Areas for Action**

Subregional Priority Areas (where there is a functional SRO), will be based on the aggregation of CPF priorities – emphasizing common issues – and the identification of priorities specific to the subregional level. Regional Priority Areas will be based on the overall Strategic Objectives of the Organization, Impact Focus Areas, the region-specific issues and perspectives, and the aggregation of Subregional Priority Areas, again emphasizing common areas. As may be seen, the Regional Priority Areas, which are consolidated in a regional document, is the institutional place where the top-down and bottom-up parts of the 'planning and programming' process meet and need to be consolidated.

The regional priorities are presented to the Regional Conference and once they have been approved, they are presented through the Programme and Finance Committees to the Council and the Conference in Rome. These identified priority areas should be a major input into the definition of the MTP and PWB in the following planning and programming cycle. Priority Areas for Action provide a framework for formulating FAO's activities under the new results-based planning model. Regional Results (from PWB 12-13) and offices work plans will therefore direct prioritization of the RM effort.

### **The UN at Country Level**

The United Nations Development Assistance Framework (UNDAF), aligned to UNDG's Strategic Priorities, is the strategic programme framework for the UNCT. It describes the collective response of the UNCT to the priorities in the national development framework – priorities that may have been influenced by the UNCT's analytical contribution, such as a full-fledged Common Country Assessment (CCA). While specialized agencies (e.g. FAO) and non-resident agencies do not use the "harmonized programme cycle" of the UNDG Executive Committee Funds and Programmes, this should not be an impediment to their full engagement in the UNDAF. Their expected programme or project activities and budget contributions should be linked, as far as possible, to the UNDAF outcomes and results matrix. The programmatic results expected from UNCT cooperation – the UNDAF outcomes, and the outcomes and outputs of participating UN Funds, Programmes and Agencies working individually or together – must make a substantive and measurable contribution to the achievement of the selected priorities of the national development framework. FAO, as a specialized agency should fully be engaged in the UNDAF process at the country level and its expected programmes or project activities – through the CPF.

### **Emergency Frameworks**

**FAO's Emergency Plan of Action (PoA)/DRR/M** is a planning tool which should be integrated within both the CPF and/or the Country Work Plan. The PoA is not defined as a strategy document but rather a 'programming document' which is located "between the project and the organizational strategy." Like the CPF, it goes through a situation analysis, priority setting and planning exercise. This leads to the preparation of a logical framework and an 'activity plan' with a list of approximately costed activities and outputs (approaching the Country Work Plan). The PoA guidelines state that the PoA will be a "key fundraising tool" and that it "should be an integral part of the CPF." The Country Work Plan is not considered in the guidelines as they are not yet a reality. However the six-month to two-year time frame of the PoA and its expected role as "the link between project and organizational performance" imply some degree of overlap.

**Consolidated Appeal Process (CAP)** is a programme cycle for aid organizations to plan, coordinate, fund, implement and monitor the response to disasters and emergencies, in consultation with governments. It contributes significantly to developing a strategic approach to humanitarian action and fosters close cooperation between host governments, donors, aid agencies and, in particular, between NGOs, the Red Cross Movement, IOM and UN agencies. Humanitarian Coordinators are responsible for preparing

Consolidated Appeals, launched globally by the Secretary-General before the beginning of each calendar year. Mid-term reviews are presented to resource partners in July of each year.

**Common Humanitarian Action Plan (CHAP)** is a strategic plan and outlines humanitarian action in a given country or region. It provides: (i) analysis of the context in which humanitarian action takes place; (ii) best, worst and most likely scenarios; (iii) analysis of need and a statement of priorities; (iv) roles and responsibilities, i.e. who does what and where; (v) a clear link to longer-term objectives and goals; and (vi) a framework for monitoring the strategy and revising it if necessary. The CHAP is the foundation for developing a Consolidated Appeal, and is as such part of the Consolidated Appeals Process (CAP).

**The Flash Appeal (FA)** is a tool for structuring a coordinated humanitarian response for the first three to six months of an emergency. It is triggered in consultation with all stakeholders. It contains an analysis of the context and of humanitarian needs (citing whatever specific needs assessments are available), response plans (at the general strategic level as well as sector plans including specific proposed projects) and statements on roles and responsibilities. Flash Appeals present an early strategic response plan and specific projects within five to seven days of the emergency's onset. Flash Appeals are usually revised about a month later, when more information is available. The Flash Appeals serve as the basis for funding applications to the Central Emergency Response Fund.

#### 4.1.3 An Overview of FAO's Comparative Advantages

##### I. CORE FUNCTIONS:

- **Policy assistance:** FAO provides analysis of global changes and their implications at the national and regional levels, and helps governments formulate and review their national policies and strategies in agriculture and rural development.
- **Capacity development:** Capacity development in countries is a feature of nearly all FAO interventions, both through national and regional initiatives, as it is embedded in all of the 11 Strategic Objectives. In its capacity development interventions, FAO plays a facilitator role with country counterparts in 1) the development of the capacities of individuals (such as producers), 2) the development of organizational capacities (such as in government, private sector and civil society) and 3) necessary changes in the enabling environment (for example regarding policies, rules of the game, and incentives). FAO aligns with country ownership and together with country counterparts, plans for the sustainable uptake of development interventions.
- **Producing public goods:** FAO gathers, analyses, and disseminates information through its member countries and its development programmes in the areas of agriculture, food, fisheries, natural resource management and forestry, and the Organization is an authoritative source of public domain information in these areas. FAO's statistics, long-term perspective studies and reports underpin policy advice and assistance in these areas, and the Organization acts as the repository for numerous international treaties and agreements, with examples including the Codex Alimentarius on rules for food safety for producers and consumers, the Code of Conduct for Responsible Fisheries and the International Treaty on Plant Genetic Resources.
- **Sharing knowledge and information:** Nearly all FAO national and regional interventions involve development of knowledge sharing approaches, which are featured throughout all the Strategic Objectives. The Organization has expertise in a variety of knowledge sharing approaches, in both face-to-face and virtual environments, and itself facilitates a wide variety of communities of practice and thematic networks.

- **Delivering through partnerships:** FAO works in partnership with a wide range of actors and stakeholders to implement programmes and projects. It collaborates with other governmental bodies, UN organizations, civil society organizations (CSOs), local authorities, the private sector and international financing institutions.

## II. FAO'S STRATEGIC OBJECTIVES:

Based on the Organization's Strategic Objectives, FAO specializes in:

- A. Sustainable intensification of crop production
- B. Increased sustainable livestock production
- C. Sustainable management and use of fisheries and aquaculture resources
- D. Improved quality and safety of foods at all stages of the food chain
- E. Sustainable management of forests and trees
- F. Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture
- G. Enabling environment for markets to improve livelihoods and rural development
- H. Improved food security and better nutrition
- I. Improved preparedness for, and effective response to, food and agricultural threats and emergencies
- K. Gender equity in access to resources, goods, services and decision-making in the rural areas
- L. Increased and more effective public and private investment in agriculture and rural development

Functional objectives:

- X. Efficient collaboration with Member States and Stakeholders
- Y. Efficient and effective administration

## III. UN COUNTRY PROGRAMMING PRINCIPLES AND APPROACH:

- **Use of the five UN country programming principles:** a human rights-based approach; gender equality; environmental sustainability; results-based management (RBM); and capacity development.
- **A programme approach:** Increasingly, FAO is adopting a programme rather than project based approach. This approach offers a more flexible and strategic partnership agreement. Resource partners contributions are therefore not tied to a particular project or pre-planned activities but instead support FAO's results framework, which complements other planned outputs within which a variety of activities can be funded. This allows and promotes a flexible and interdisciplinary way of working. This growing trend reflects the emphasis placed on the need for long-term planning for the delivery of development assistance in order to achieve positive results and sustainable impact. It also serves to reduce the transaction costs borne by resource partners.
- **Implementing Programmes/Projects:** FAO has the expertise and experience needed to provide the technical and administrative support required to implement projects successfully. National institutions and NGOs are often closely associated in project implementation. Services range from the recruitment and supervision of experts to the procurement of goods and services or the supply of up-to-date information on project progress and regular financial and budgetary reports. FAO technical officers provide technical support services to projects and help turn FAO's knowledge into practical action on the ground. However, FAO is increasingly moving towards national execution of projects and has formulated an MOU/National Execution - NEX agreement for this purpose.
- **Transparency and accountability:** FAO provides evaluations of projects, both mid-term and final. There is a strong reporting mechanism and track record in place to ensure that governments, resource partners and technical staff are kept well-informed of events, leading to greater efficiency in delivery and customer satisfaction.

#### 4.1.4 “Who does what” to support RM in FAO

Specific Roles and Responsibilities for key staff (at headquarters, Regional and Subregional Offices, and Country Offices) have been developed for RM. The table below provides an overview as to what support is provided, more generally.

DIVISION	DESCRIPTION
OSP	The Office of Strategy, Planning and Resources Management (OSP) is responsible for developing, monitoring and reporting on the corporate resources mobilization strategy and policy, including the seven IFAs. It also manages the overall resource requirements (voluntary and assessed) for all the activities of the Organization in the MTP and PWB
TCS	The Policy and Programme Development Support Division (TCS) helps strengthen the linkages between the decentralized offices and headquarters’ technical departments in policy assistance, programme and strategy development, resource mobilization and delivery, and associated capacity development in support of Member Nations and Regional Economic Integration Organizations. To this end, the Division has three interrelated services and a TCP team in the office of the Director.
TCSR	The Resource Mobilization and Operations Support Service (TCSR) coordinates and supports implementation of the corporate resource mobilization strategy and operations. Specifically, TCSR manages resource partner relationships and leads fundraising in Rome and in capitals, while developing and promoting innovative voluntary contributions and implementation arrangements, including with the private sector and foundations. The other key feature of TCSR’s work is to support decentralized offices and operations units in their fundraising efforts. TCSR works with decentralized offices to ensure a good quality pipeline for voluntary funding by monitoring/supporting all phases of the project and programme cycle (operational support).
TCSP	In relation to RM, the Policy Assistance Support Service (TCSP) is a key service as it assists in the development of Country Programming Frameworks (CPFs, formerly NMTPF). TCSP also assists the member countries in formulating sustainable agriculture and rural development strategies and policies (as a basis for country programming). The service provides resources for policy-making in agriculture, rural development and food security and assists FAO member countries in formulating, monitoring and evaluating sustainable policies and strategies, thereby identifying, understanding and fighting the root causes of hunger, food insecurity and malnutrition. TCSP also works to enhance dialogue at all stages of the policy process, improve knowledge on development issues and develop capacities of public institutions dealing with policy issues.
TCSF	TCSF is responsible for coordinating FAO’s assistance in the formulation and implementation of national programmes for food security. These programmes are country-driven solutions to eradicating hunger within the local population. As part of the continuous support provided to national and regional programmes for food security, an M&E team has also been set up in TCSF. TCSF also organizes special South-South Cooperation agreements, so that technicians and experts from emerging developing countries can work directly with farmers in host countries, sharing their knowledge and skills.



DIVISION	DESCRIPTION
TCP (in TCSD)	The Technical Cooperation Programme team in the office of the TCS Director monitors the use of the decentralized part of the TCP appropriation, oversees corporate respect for the TCP criteria and rules, and coordinate approval of the share of the TCP appropriation that has not been decentralized for emergency and interregional projects.
TCE	The Emergency Operations and Rehabilitation Division (TCE) leads RM efforts concerned with emergency and rehabilitation projects or programmes (mainly through SO I). While most of the RM effort for emergencies and rehabilitation is led by in-country emergency coordinators, TCE also has a central network of donor focal points. Their role is to provide additional support for improved relations with TCE resource partners through greater consistency and clarity of feedback. They do not focus on the individual project outputs as this responsibility remains with the persons assigned to project implementation.
TCI	TCI assists governments to identify, plan and implement investments to meet MDG goals. It also helps to promote efficient use of domestic, external and private sector investment resources for maximum results. They work to identify seed projects at the behest of national governments which can lead to greater future investment. TCI differs in its RM to TCS and TCE however, as it is mobilizing funds for the countries, and not for FAO itself.
TCDM	TCDM is responsible for high level monitoring and reporting of FAO's field programme. It provides a quality assurance framework and provides tools such as the Field Programme Manual, available through FPMIS.
OCE	Through communication, advocacy and partnerships, the Office of Corporate Communications and External Relations works to mobilize political will and promote global recognition of the actions needed to fulfill FAO's mandate. It is responsible for FAO's media relations, global campaigns, liaison with the UN system and other intergovernmental organizations, and policy-level coordination of partnerships with non-governmental organizations and the private sector.
Technical Departments, Regional Offices, Subregional Offices and Country Offices	Initiate/support the programme or project's development, develop a strategic approach to RM and ensure efficient operations and reporting.

## 4.2 Tools

### 4.2.1 RM Action Plan Template

In order to operationalize an RM strategy in support of the programming framework at the relevant level (at country level, the CPF and the UNDAF), the following template may assist:

Practical Steps	Activities	Responsible	Time-frame
<b>Identify</b>	<ul style="list-style-type: none"> <li>■ Develop a country, subregional or regional matrix of resource partners, mapping their interests to FAO's Strategic Framework, Regional Priority Areas of Action and the CPF.</li> <li>■ Use tools for identifying resource partners such as ADAM or local knowledge</li> <li>■ Ensure each resource partner listed is an acceptable source (it will be important to cross reference FAO Private Sector Guidelines)</li> </ul>		
<b>Engage</b>	<ul style="list-style-type: none"> <li>■ Review or develop concept notes and programme/project proposals, to ensure they are in line with the relevant FAO programming frameworks (and input into FPMIS).</li> <li>■ Refine the resource partner matrix, matched to specific concept notes/proposals.</li> <li>■ Develop a communication plan detailing how each resource partner identified will be engaged. Review the various resource partner Guidance Notes provided by TCSR.</li> <li>■ Make sure all communications are in line with OCE's guidelines</li> <li>■ Develop promotional materials and update website to communicate key priority programmes and projects</li> <li>■ Engage resource partners through field visits/workshops/meetings</li> </ul>		
<b>Negotiate</b>	<ul style="list-style-type: none"> <li>■ Liaise closely with the RO, SRO and relevant donor liaison officers in TCSR/TCE to ensure the resource partner is an acceptable source and their rules and regulations are compatible with FAO's</li> <li>■ Review and use standard MOU (e.g. GCP, UFF etc.) agreements, where relevant</li> </ul>		
<b>Manage and report</b>	<ul style="list-style-type: none"> <li>■ Ensure reporting is conducted in a timely fashion, both via FAO reporting mechanisms and as agreed with the resource partner</li> </ul>		
<b>Communicate results</b>	<ul style="list-style-type: none"> <li>■ Develop project highlight sheets to widely communicate the success of programmes and projects</li> <li>■ Set up regular communication channels with resource partners e.g. newsletters, emails, field visits, etc to foster relationships and build trust</li> </ul>		
<b>In support of the above:</b>			
<b>Institutionalise RM as a key function</b>	<ul style="list-style-type: none"> <li>■ Assign donor focal points within the office team, if possible</li> <li>■ Strengthen a team approach to RM by having regular meetings, information sharing, updating knowledge through training and developing contacts with local expert consultants</li> <li>■ Consult the corporate RM intranet for updates on corporate guidelines and opportunities in RM</li> <li>■ Integrate RM activities into the Office's work plan</li> </ul>		
<b>Reflect on Lessons Learned in RM</b>	<ul style="list-style-type: none"> <li>■ Monitor programme and project budgets vs. funding approvals to keep track of meeting the RM target</li> <li>■ Refocus efforts, where needed, through further outreach to resource partners</li> </ul>		

### 4.2.2 Resource Partner Matrix Template

Partner Agency	Sectors relating to FAO's mandate – SO/RR/CPF	Period of current funding or country strategy	FAO programmes or projects funded in last five years	Total contribution in past five years	Potential for future cooperation/ lessons learned	Potential volume of resources to be mobilized	Deadlines for submission	Any other comments	Contact at partner agency and TCSR/TCE focal point
Existing or potential resource partner	List the partners' stated priorities matched to FAO's mandate.	E.g. 2003-2012	List the projects, as reflected by their symbol in FPMIS	Add up total contributions to FAO	List any issues which are relevant for future cooperation	Estimate potential resources mobilized from this partner e.g. over the course of a programme's or a CPF's lifespan. Include the potential of in-kind contributions	Does the partner require that proposals be submitted at a certain time?	Make notes that may require follow-up action	<ul style="list-style-type: none"> <li>Email of contact at partner agency</li> <li>Email address of the relevant TCSR/TCE officer</li> </ul>
E.g. USAID	<ul style="list-style-type: none"> <li>Access to common property fishery resources (SO C)</li> <li>Food security for vulnerable groups and growth of agribusiness and small business (both SO G)</li> <li>Improved management of open water and improved performance of energy sector (both SO F)</li> </ul>	2003-2012	GCP/XXX/123/ USA	USD XX million	Both FAO and USAID have supported community based fisheries projects in country x and there are opportunities for sharing of lessons between the two institutions.	USD XX million	No	Representative is leaving at end of year	xx@usaid.org xx@fao.org
E.g. EU	<ul style="list-style-type: none"> <li>Human development (education, health, nutrition) (SO G)</li> <li>Rural development (agriculture, rural infrastructure, non-farm sector) (SO G)</li> <li>Private sector development (SO L)</li> </ul>	2010-2014	GCP/XXX/456/ EC	EUR XX million	The EU has predominantly focused on emergency projects, with the aim of increasing partnership for development. Project x is an example of a recent initiative for private sector development.	EUR XX million	March and October of every year	None	xx@eu.org xx@fao.org

### 4.3 Glossary of terms

<b>Country Programming Framework</b>	The CPF defines the priority areas and the indicative results intended to be achieved by FAO at country level. It works to support the national agricultural, rural development and food security objectives expressed in national development plans, in line with UNDAF or Common Country Programme of the UN System, Consolidated Appeals Process (CAP) and other type of appeals, MDGs and other Internationally Agreed Development Goals (IADG) and regional priorities.
<b>Country Work Plan</b>	The CWP constitutes a manageable set of unit results, products and services and their associated activities and resources which expresses the Organization's collective and individual accountability for results in a country within a biennium. It represents the link between FAO's corporate strategic and operational planning frameworks and FAO country programming. Its preparation and implementation falls under the overall coordination responsibility of the relevant country office, but it includes results delivered by all FAO offices in the countries, subregions, regions and headquarters.
<b>Delivery/Impact</b>	Positive and negative long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended.
<b>Earmarked/ Lightly earmarked</b>	Voluntary contributions from resource partners can be earmarked or lightly earmarked should they wish to see their resources put towards a specific use. They are a means by which a partner can stipulate their choice, but it is necessary for the stipulation to be in support of FAO's Strategic Framework. The Impact Focus Areas (IFAs) are a means to ensure a more systematic sourcing and allocation of lightly earmarked resources at a cross-cutting level.
<b>FAO Country Work Plan</b>	The set of unit results, products and services, and their associated activities and resources which expresses the Organization's corporate and unit accountability for results in collaborating with a given country.
<b>Impact Focus Areas</b>	The Impact Focus Areas (IFAs) are select areas where FAO has a comparative advantage and where additional resources for capacity development and policy support can significantly enhance the impact and sustainability of FAO's work. The context is the creation and application of global public goods. The aim is to help countries leverage such goods at the national and regional levels for their own benefit, and thereby reinforce food security, nutrition, and the sustainable management of natural resources at the global level.
<b>Monitoring</b>	Continuous follow-up of activities, products, services, Organizational Output and organizational result indicators to ensure that delivery is progressing as planned and that the results are likely to be achieved
<b>Organizational Output</b>	A significant, measurable output essential to the achievement of and clearly linked to a Regional or Organizational Result. Multiple FAO units may contribute to the achievement of the organizational output, although one responsible unit is held accountable for its achievement.

<b>Organizational Results</b>	The outcomes that FAO commits itself to achieve for Member Countries and the international community in a time frame of four years in order to contribute to the achievement of the strategic or functional objectives of the Medium-Term Plan and Programme of Work and Budget. Organizational Results will normally involve contributions of multiple organizational units, both headquarters and decentralized.
<b>Programme Cycle</b>	FAO's Programme Cycle can broadly be broken down into three parts. The Strategic Framework document has a 15 year cycle but is intended to be updated about every six years. The Medium-Term Plan (MTP) has a six year cycle but is a rolling plan, revised every two years. The Programme of Work and Budget (PWB) has a two year cycle and is first prepared as a summary document for the May sessions of the Programme and Finance Committees and for the June Council in the second year of the biennium. It presents the detailed implementation plan for two years of the MTP including the inputs required and outputs to be produced.
<b>Resource Estimates</b>	An estimate of the resources (funds or other) required to achieve the outputs/outcomes of the programme or project.
<b>Resource Requirements</b>	A more precise measure of the resources required to achieve the outputs/outcomes of the programme or project. Otherwise known as 'resource gap'.
<b>Resource Mobilization and Management Strategy</b>	A roadmap, detailing a plan of action and set of desired results, to secure sustainable resources for the Organization's programme/s, manage effectively, and report on resource use.
<b>Resource Partner</b>	The term 'resource partner' is increasingly being used in the place of 'donor', as a term which emphasizes the variety in the types of partnership through which FAO might resource its activities, including new actors such as Regional Economic Integration Organizations (REIOs), locally elected authorities, international financing institutions (IFIs), bilateral donor agencies and regional or subregional institutions, including regional development banks. Further to this, the term 'partner' serves to better emphasize the more collaborative and involved relationships between donor and recipient which FAO seeks to facilitate.
<b>Results-Based Management (RBM)</b>	A management strategy in which: programme formulation revolves around a set of logically linked objectives and results; resources are allocated based on the requirements for achieving of a specific desired result; and actual performance in achieving results is measured objectively by performance indicators determined at the outset of the process.

<b>Seed Money</b>	Seed money is a securities offering whereby one or more parties that have some connection to a new project or programme invest the funds necessary so that it has enough funds to sustain itself for a period of development until it reaches either a state where it is able to continue funding itself, or has created something of value so that it is worthy of future rounds of funding. Seed money refers to the initial capital invested.
<b>Strategic Objectives</b>	Benefits or changes expected to be achieved in a ten year time frame in Member country institutions, the international community or development partners. These benefits represent several steps in the results chain beyond the immediate result of the uptake of FAO's products and services by its primary users, building on the related Organizational Results.
<b>SWOT analysis</b>	SWOT analysis is a strategic planning method used to evaluate the Strengths, Weaknesses, Opportunities, and Threats involved in a project. It involves specifying the objective of the project and identifying the internal and external factors that are favourable and unfavourable to achieve that objective.
<b>Triennial Comprehensive Policy Review</b>	The main purpose of the TCPR is to evaluate the effectiveness and efficiency of the United Nations development system's support to national efforts of developing countries to pursue their priorities and meet their needs in the context of the UN development agenda that emerged from the Millennium Declaration and other global conferences and summits. The last TCPR was conducted in 2007.
<b>Work Plan</b>	A manageable set of products and services and their associated activities and resources including human resources, which supports the achievement of one or more unit results.

For more information, please contact:  
**TCSR-Chief@fao.org**

Web

<http://www.fao.org/tc/resource-mobilization/rmhomepage/en/>

Intranet

<http://intranet.fao.org/rm>

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