

Thematic evaluation series

Evaluation of the FAO Strategy for Partnerships with the Private Sector

ANNEX 3. Comparator study

FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
Rome, 2019

Contents

- 1. Background and purpose1**
- 2. Methodology2**
 - 2.1 Rationale and key objectives.....2
 - 2.2 Approach.....4
 - 2.3 Limitations6
- 3 Findings: the review of partnership strategies in comparator organizations7**
- 4 Conclusions and recommendations.....31**
 - 4.1 Conclusions 31
 - 4.2 Recommendations..... 32
- References.....41**

Figures and tables

Figures

Figure 1: FAO screening and approval process for partnerships..... 12
Figure 2: Organization Enablement 21

Tables

Table 1: Analysis approach and steps5
Table 2: Common Set of Exclusionary Criteria9
Table 3: Due diligence framework 10
Table 4: Role and responsibilities where UNEP intends to receive funds 15
Table 5: UNEP Private Sector Unit role 19
Table 6: Guiding Principles for Partnerships..... 22
Table 7: Proposed Organization Wide Risk Framework..... 33
Table 8: Examples of partnership and engagement modalities..... 38

1. Background and purpose

1. This study aims at complementing the evaluation of FAO's Strategy for Partnerships with the Private Sector (the Strategy), undertaken by the FAO Office of Evaluation (OED) in 2019. The study will provide the evaluation with information on FAO's engagement with the private sector vis-à-vis similar multilateral organizations. It will provide useful findings on the relevance of the Strategy as well as insights in FAO's strategic positioning. The study will take into account the considerable differences in the mandate and governing structure of the compared organizations as well as their approaches to private sector engagement.

2. Methodology

2.1 Rationale and key objectives.

2. The focus of the present study will be that of tracing the *phenomenon of interest*, namely establishing and developing partnerships. The questions that will guide the analysis are the following:
 1. To which extent and why FAO partnership strategy fosters good practices and provides advances vis-à-vis other organizations?
 2. To which extent and how FAO is exercising its means (core functions) and approaches (primary tools) constitute success factors/ potential limitations?
 3. Given the above how could FAO better leverage partnerships with the private sector in implementing its Private Partnership Strategy?
3. The ultimate aim is that of producing a more generalizable knowledge about how and why strategies for partnerships with the private sector work or fail to work. What is unexpected and why and to whom does it matter.¹ The quest for generalization demands comparing cases that share a sufficient number of features and that operate within sufficiently comparable contexts.² All of the organizations are selected for this study with the view of creating evidence that is measured, robust and reliable.³
4. The UN Charter's call for coordination through "consultation and recommendation" underscores the decentralized nature of the UN system. No central authority exists to compel compliance by organizations of the system to act in a concerted manner. Coordination and cooperation are contingent upon the willingness of system organizations to work together in pursuit of common goals.⁴ At this stage, the analysis will focus on the following organizations: the Food and Agriculture Organization of the United Nations (**FAO**), the International Fund for Agricultural Development (**IFAD**), the World Food Programme (**WFP**), the World Health Organization (**WHO**), the United Nations Environment Programme (**UNEP**) and United Nations Children's Fund (**UNICEF**). All of these UN organizations are members of the Chief Executives Board for Coordination (CEB), the longest standing and highest-level coordination forum in the United Nations.

¹ Ragin, C. Charles., "Introduction: Cases of "what is a case?" in Charles C. Ragin & Howard. S. Becker (eds.), *What is a case? Exploring the foundations of social inquiry*, New York Cambridge University Press, 1992, pp. 1-17.

² Collier, David "The Comparative Method", in Ada W. Finifter (ed.) *Political Science: The State of the Discipline (II)*, Washington, DC, American Political Science Association, 1993, pp. 105-19. See as well Ragin C. Charles., Berg-Schlosser, Dirk. and De Meur, Gisèle., "Political Methodology: Qualitative Methods", in Robert. E. Goodin and Hans-Dieter Klingemann (eds.), *A New Handbook of Political Science*, Oxford, Oxford University Press, 1996, pp. 749-68.

³ See Baxter, Pamela., & Jack, Susan. "Qualitative Case Study Methodology: Study Design and Implementation for Novice Researchers". *The Qualitative Report*, vol. 13 n. 4, 2008, pp. 544-556.

⁴ United Nations System, Chief Executives Board for Coordination (CEB) official [website](#).

5. On the one hand, FAO, IFAD, and WFP each have a unique mandate related to technical expertise, international financial assistance, and emergency food assistance. The three Rome-based agencies share a shared vision that achieving food and nutrition security and sustainable agriculture requires a comprehensive and holistic approach, and they have long collaborated on projects and policy areas towards ending hunger and boosting rural development. Their collective commitment is to deeper collaboration to achieve zero hunger.⁵ On the other hand, FAO, UNEP⁶, UNICEF⁷, and WHO⁸ have undertaken joint initiative and programs in shared areas of interest leveraging their respective comparative advantages in line with respective mandates.
6. Besides, for a complete overview of the Rome-based organizations working in development in this review, the Consultative Group on International Agricultural Research (**CGIAR**) is included. The importance of “developing a better understanding of diverse types of partnership” rather than focusing on how best to “manage” partnerships between the system and other stakeholders has been extensively highlighted by the development literature.⁹ However, CGIAR as a whole has not yet formulated a position or strategy for engaging in public-private partnerships that would leverage its advantage as a public sector partner.¹⁰ Hence, the analysis of CGIAR will be limited to risk management good practices.¹¹
7. In the “lens” (or “keyhole”) comparison the comparator organizations’ strategies for private sector partnerships are used as lenses through which to view how FAO partners with the private sector. The analysis may involve some pattern matching logic.¹² Pattern matching involves comparing two or more patterns between the cases to see if they are similar or different as a step in explaining observed processes or behaviors. The ultimate aim is to obtain different insight on how FAO conducts private partnerships.

⁵ See WFP, “UN Food Agencies commit to deeper collaboration to achieve Zero Hunger”, 6 June 2018, retrieved 15 March 2019, <https://www.wfp.org/news/news-release/un-food-agencies-commit-deeper-collaboration-achieve-zero-hunger>

⁶ FAO Sustainable consumption and production (SCP) has been on the international agenda since Agenda 21 (1992) identified unsustainable patterns of production and consumption as the major cause of the continued deterioration of the global environment. The 2002 Johannesburg Summit called for a ten-year framework of programmes in support of national and regional initiatives to accelerate the shift towards sustainable consumption and production. FAO and UNEP have formed a joint Sustainable Food Systems Programme to improve resource use efficiency and reduce the pollution intensity of food systems from production to consumption, while at the same time addressing issues of food and nutrition security. The programme brings together a broad coalition of concerned stakeholders, including governments, food and fish producers, agro-industry, retailers and consumers.

FAO – UNEP Sustainable Food Systems [Programme](#)

⁷ The World Health Organization (WHO) and The United Nations Children’s Fund (UNICEF) are jointly establishing a Technical Expert Advisory Group on Nutrition Monitoring ([TEAM](#)). See as well FAO, *The State of Food Security and Nutrition in the World, 2018*.

⁸ Global Wastewater Initiative ([GW2I](#)) is a multi-stakeholder platform to provide the foundations (including information, tools and policy mechanisms) for partnerships to initiate comprehensive, effective and sustained programmes addressing wastewater management.

⁹ Horton, D, Prain, G. and Thiele, G. 2009. Perspectives on partnership: A literature review. International Potato Center (CIP), Lima, Peru. Working Paper 2009-3, p. 111.

¹⁰ CGIAR, *Evaluation of Partnerships in CGIAR*, Rome, July 2017, pp. 11, 28, 34.

¹¹ CGIAR, *Risk Management [Guidelines](#) of the CGIAR System*, Rome, December 2017, p. 2.

¹² Yin, K. Robert., *Case study research: Design and methods*, fifth edition, Los Angeles, Sage, 2014.

8. The study, including the preparation period, and analysis, has been undertaken from March - July 2019. The study applied an expert approach analyzing secondary sources: strategies, policies related to partnerships with the private sector, evaluation reports, and other project documents. It included as well consultations with the Evaluation team of FAO's Strategy for Partnerships with the Private Sector.

2.2 Approach

9. For this study, the comparative case study approach (CCS) is adopted and considered a *heuristic* one.¹³ The comparative case study (CCS) approach is suitable in identifying similarities and differences found between cases to generate a holistic view of how the implementation has worked and attempt to interpret the implications of those similarities and differences across cases to guide further implementation in supporting the achievement of intended outcomes.
10. The analysis conducted by adopting the CCS approach calls for embedding culture and context considerations particularly when these are consequential. Indeed, the understanding of culture, which supports the CCS approach, justifies examining processes of sense-making – and thus carrying out activities - as they develop over time, in distinct settings, in relation to systems of power and inequality, and in increasingly interconnected conversation with actors who do not sit physically within the circle drawn around the traditional case.
11. “[C]ontext [...] has been overdetermined in its meaning by a seemingly natural interpretation of material setting or place”.¹⁴ In carrying this comparative study, however, settings are understood as constituted by social activities and social interactions.¹⁵ Thus, context is created and has both relational and spatial dimensions whereby proximate and distal connections among actors mutually influence each other and, in so doing, produce relevant contextual relations.¹⁶ Moreover, for this study, the internal and external (UN-wide) context is relevant in shaping functions and tools dedicated to private partnerships. In CCS research, one would pay close attention to how actions at different scales mutually influence one another.
12. The cases will be compared across two axes: a *horizontal* look that not only *contrasts* one case with another, but also attempts to trace social actors, documents, or other influences *across* these cases; a *vertical* comparison of impacts at different levels, from global, regional to the national scales. The horizontal axis compares how similar policies (strategies) unfold in *distinct*

¹³ Derived from a Greek word that means “to discover,” heuristic can be defined as a method that comes from experience and aids in the process of discovery or problem-solving.

¹⁴ Leander, Kevin., & Sheehy, Margaret. (eds.), *Spatializing literacy research and practice*. New York, Peter Lang, 2004, p. 3.

¹⁵ Duranti, Alessandro., & Goodwin, Charles (eds.), *Rethinking context: Language as an interactive phenomenon*. London, Cambridge University Press, 1992. See as well Dyson, Anne. Haas., & Genishi, Celia. *On the case: Approaches to language and literacy research*. New York, Teachers College Press, 2005.

¹⁶ Gupta, Akhil., & Ferguson, James “Culture, power, place: Ethnography at the end of an era”, in Akhil Gupta & James Ferguson (eds.), *Culture, power, place: Explorations in critical anthropology*, Durham, North Carolina, Duke University Press, 1997, pp. 1–32. <https://doi.org/10.1215/9780822382089>; See as well Middleton, Sue, *Henri Lefebvre and education: Space, history, theory*, New York, Routledge, 2014.

*locations that are socially produced*¹⁷ and *complexly connected*.¹⁸ The vertical axis insists on simultaneous attention *to and across* scales – global, regional and country level.¹⁹ It is an attempt towards what anthropologist Ulf Hannerz dubbed “studying through” and analyzing how actions at different scales mutually influence one another.²⁰

13. Concretely, the effort is to understand the interactions between partnership division and specialized units at the headquarter level and the activities carried together with the regional, sub-regional and country level which are relevant and influence the process of implementing the strategy.

Table 1: Analysis approach and steps

Steps	Objectives
Preparation	Collecting the information required
Information collection	Consultation with Evaluation Team
Information processing and analysis	Systematizing and processing the information gathered Analyzing the information collected Preparing consolidated tables
Drafting the final documentation	Formulating conclusions based on the findings of the study Writing the final report on the research Presenting the results of the research conducted

¹⁷ Massey, B. Doreen., *For space*. London, Sage, 2005.

¹⁸ Tsing, Anna. Lowenhaupt., *Friction: An ethnography of global connections*, Princeton, Princeton University Press, 2005, p. 6.

¹⁹ Bray, Mark., & Thomas, R. Murray. “Levels of comparison in educational studies: Different insights from different literatures and the value of multilevel analyses. *Harvard Educational Review*, vol. 65 n. 3, 1995, pp. 472- 491. <https://doi.org/10.17763/haer.65.3.g3228437224v4877>;

See also Nespor, Jan., *Tangled up in school: Politics, Space, Bodies, and Signs in the Educational Process*, Mahwah, New Jersey, Lawrence Earlbaum Associates Inc. Publishers, 1997.

²⁰ Hannerz, Ulf., “Studying down, up, sideways, through, backwards, forwards, away and at home: Reflections on the field worries of an expansive discipline” in Simon. M. Coleman & Peter. Collins (eds.), *Locating the field: Space, place, and context in anthropology*, Oxford, UK, Berg Publishers, 2006, pp. 23-41. p. 24.

14. Activities that have been undertaken:
- Within the preparatory work stage:
 - Discussion of the study details with the Evaluation team
 - Development and approval of the research plan and schedule
 - Analysis of the relevant documentation and development of analysis
 - Improvement/discussion of the existing methodology
 - Within the analysis stage of available information:
 - Review of the documentation
 - Drafting the report
 - Developing the recommendations

2.3 Limitations

15. The present study was produced as a result of collecting and analyzing the available data and conducting a limited number of interviews with representatives of comparator organizations. The study aims to complement the evaluation of FAO strategy by providing an overview of critical elements of similar strategies and practices in comparator organization and is not meant to assess or evaluate these strategies and practices fully.
16. Also, “partnerships” and “private sector” are viewed differently across different organizations. These range from financial contributions to these combined with technical collaborations or significant contributions (i.e., USD 50,000 or USD 100,000). Moreover, while some organizations indicated how a partnership would be formalized (i.e., letter of intent LoI, MoUs, or other legal agreements), others are vague about the employment of these instruments.
17. It is noted that in the CCS approach the focus is on generating a good understanding of the cases and case context, methods such as fieldwork visits, observation, interviews, and document analysis often dominate among the various data collection methods employed. However, the present study is based mainly on secondary data analysis. Thus, the challenge in such comparison is the scientificity of case studies given that these comparisons occur ex-post, and when the collection of the case study material has not been designed to be used for subsequent comparative analysis.²¹

²¹ Ragin, C. Charles. and Becker, S. Howard., *What is a Case? Exploring the Foundations of Social Inquiry*, Cambridge, Cambridge University Press, 1992. See also Gerring, John., “What is a Case Study and What is it Good for?”, *American Political Science Review* vol. 98, n. 2, 2004, pp. 341-354.

3 Findings: the review of partnership strategies in comparator organizations

Finding 1: FAO's screening and approval processes appear to be context-specific and applicable to concrete projects, which is not the case in comparator organizations, where these processes are undertaken in a more generalized and selective manner. However, FAO approval mechanism is not tailored to the financial commitment and the level of risk as is evident in other comparator organizations.

18. The 2030 Agenda calls for strengthening the means of implementation and revitalize the Global Partnership for Sustainable Development. The Agenda explicitly recognized "the diversity of the private sector" and called upon all businesses "to apply their creativity and innovation to solving sustainable development challenges." The United Nations, together with the Member States and other international and regional stakeholders, is expected to orchestrate the networks of public, private and mixed institutions by reaching out to private stakeholders and institutions, collaborating with them, and garner and offer support in shaping their activities. In line with this perspective on governance, the orchestration is understood as engaging, negotiating targets, and working with private stakeholders and institutions by catalyzing programmes, convening meetings and facilitating collaboration, persuading and inducing firms and industries to self-regulate and providing incentives to attain those targets.²²
19. Building and effectively managing partnerships with selected partners complement and support organizations²³ in delivering on their mandate and achieve strategic objectives by leveraging additional resources towards providing development impact towards mobilizing efforts to ensure that no one is left behind. How partnerships are put into practice, and the resources and tools used for the research and selection of partners vary significantly among organizations. The organizations carry out their own risk, legal and strategic assessments, including due diligence procedures, a set of criteria and parameters, and analytical practices used to appraise the level and type of risk and benefits that an organization could be exposed to through a potential interaction and association with an entity. An effective due diligence process is an integral part of partnership prospecting, decision-making, and risk management systems and thus supports organizational informed decision making on engagements with the private sector.
20. As partnerships are operationalized in different manners, it is recognized that engagement with the private sector inevitably comes with some risk, which is the expression of the likelihood and potential impact of an event that would affect the Organization's ability to achieve its objectives.

²² Cf. Kenneth W. Abbott and Duncan Snidal, "International Regulation without International Government: Improving IO Performance through Orchestration," *The Review of International Organizations*, vol. 5, n. 3, 2010.

²³ This study includes CGIAR, FAO, IFAD, UNEP, UNICEF, WFP and WHO.

‘An organization’s risk appetite ²⁴ should be articulated and communicated so that [...] the need to pursue objectives within acceptable limits [is understood ...] A risk appetite statement effectively sets the tone for risk management. The organization is also more likely to meet its strategic goals when its appetite for risk is linked to operational, compliance, and reporting objectives.’ ²⁵

21. United Nations entities adopt different approaches in conducting due diligence and risk assessment,²⁶ which involves the assessment of risks associated with an engagement with a non-State actor. The appropriate placement of due diligence responsibilities within an organization has particular importance in avoiding potential conflicts of interest. The December 2017 Report of the Secretary-General ²⁷ calls for a coherent and streamlined approach on due diligence standards and procedures across the United Nations system as part of stepping up the scale and scope of partnerships with the business community to accompany the requirements of the 2030 Agenda.
22. The present study reveals shared best practices and advances towards building partnerships. The Guidelines on Cooperation between the United Nations and the Business Sector and the UN ineligibility lists serve as minimum engagement criteria, while the process methodology used to screen risks associated with conflict of interest, and poor environmental, social or governance performance is based on the UN Global Compact indicators summarized below.²⁸

²⁴ The amount of risk an organization is prepared to be exposed to before it judges action to be necessary.

²⁵ Rittenburg L. and Martens F. (2012) *‘Enterprise Risk Management – Understanding and Communicating Risk Appetite’* COSO, 2012.; Cf. CGIAR, *Risk Management Good Practice Note*, Rome, December 2017, p. 12

²⁶ This involves the assessment of risks associated with an engagement with a non-State actor. A central part in risk assessment may include identification of conflicts of interest; undue or improper influence exercised by a non-State actor on the organizations’ work; the engagement conferring an endorsement of the non-State actor’s name, brand, product, views or activity; a competitive advantage for a non-State actor.

Cf. WHO, *Framework of engagement with non-State actors*, Agenda item 11.3, WHA69.10, 28 May 2016, para. 7 p. 12. In the case of WHO: the financial and human resources required to develop and maintain an Organization-wide systematic due diligence and risk assessment system, both for the standard and the simplified procedures, remain an issue that will have to be further assessed in the evaluation planned for 2019. Cf. WHO, *Engagement with non-State actors*, EB144/36, 23 November 2018, p. 2.

²⁷ United Nations General Assembly Economic and Social Council. 21 December 2017. [Repositioning the United Nations development system to deliver on the 2030 Agenda](#): our promise for dignity, prosperity and peace on a healthy planet. Report of the Secretary-General.

²⁸ The UN Global Compact’s *Ten Principles* can lead to the exclusion of partners with poor performance in areas such as human rights, labor standards, the environment, and governance issues such as corruption, and consideration of those with an active Corporate Social Responsibility (CSR) record.

Further refer to The UN Global Compact, *The Ten Principles of the UN Global Compact*, New York, 2000.

Cf. *Guidelines on a principle-based approach to the Cooperation between the United Nations and the business sector*. The Guidelines were first issued in 2000, revised and reissued in 2009, and amended in 2015 as requested by UNGA Resolution A/RES/68/234.

See as well WFP, *WFP’s Private Sector Partnership, and Fundraising Strategy: An Evaluation*, Vol. I, Full Report, Report n. OE.2012.010, Rome, September 2012, p. 10.

Cf. IFAD, *Due Diligence Process for Corporate Private Sector Partnerships*, PB/2014/09, Rome 15 December 2014.

Cf. UNEP, UNEP *Partnership Policy* and Procedures, 21 October 2011, p. 5.

Table 2: Common Set of Exclusionary Criteria

1	Appearance on the United Nations Security Council Sanctions List ²⁹ or the United Nations Ineligibility List, or in violation of UN sanctions, relevant conventions, treaties and resolutions	Entities directly engaged in activities inconsistent with the UN Security Council Sanctions, Resolutions, and other similar measures
2	Direct and core involvement in the manufacturing or trading of controversial weapons subject to bans under International Treaties	Entities directly and primarily involved in the sale, manufacture or distribution of weapons banned by UN treaties, including anti-personnel mines, cluster bombs and ammunitions, and biological, chemical, or nuclear weapons, for instance
3	Direct involvement or complicity ³⁰ in systematic or egregious human rights abuses through operations, products, or services	Entities engaging in any of the following: <ul style="list-style-type: none"> causing or directly contributing to gross human rights abuses through their own business activities (such as forced or compulsory labor or child labor, human rights violations, including rights of indigenous peoples and/or other vulnerable groups); or tolerating or knowingly ignoring such practices by an entity associated with it, or knowingly providing practical assistance or encouragement that has a substantial effect on the perpetration of the gross human rights abuse
4	Weapons manufacturing or sales as a core business.	Entities directly and primarily involved in the sale, manufacture or distribution of weapons
5	Tobacco manufacturers	Entities for whom the core business ³¹ is the production and wholesale distribution of tobacco products
6	Systematic failure to demonstrate a commitment or to meet in practice the principles of the United Nations, including statements or principles that are consistent with and reflect the Universal Declaration of Human Rights, the Rio Declaration and the ILO Declaration on Fundamental Principles and Rights at Work, the UN Global Compact or the United Nations Guiding Principles on Business and Human Rights	Entities that systematically ³² fail to demonstrate a commitment to meet the stipulated principles (human rights, labor, environment and anti-corruption)

²⁹ United Nations [Security Council Sanctions](#)

³⁰ For a more extensive definition of *complicity* see as reference the following publications: “Guiding Principles for Business and Human Rights” “Embedding Human Rights into Business Practice” <https://www.unglobalcompact.org/library/1441> and Report of the Special Representative of the SG on the Issue of Human Rights and Transnational Corporations – Clarifying the Concepts of Sphere of Influence and Complicity (A/HRC/8/16)

³¹ Core business refers to the primary area or activity that a company was founded on or focuses on in its business operations.

³² Systematic nature of such violations is measured through an assessment of issues using indicators such as: materiality, incidence and frequency, corporate response and remedial action, company specificity and peer assessment, etc. Specific tools and guidelines for this assessment will be developed and will follow this framework.

23. It is noteworthy that, the Guidelines³³ offer a principle-based approach that emphasizes risk management and protection against reputational risks, safeguarding the integrity, impartiality, and independence of the United Nations, rather than enable partnership formulation and implementation. Nonetheless, having developed their internal strategies, policies, and procedures the UN entities refer to the Guidelines as additional and/or complementary guidance.³⁴ In parallel, with the UN reform, there has been a much greater emphasis on translating the global partnership agenda to the local level. Thus, while at first UN Global Compact actively coordinated the private sector focal point network, an essential system-wide platform for system-wide coordination on the partnership, today the UN Global Compact is shifting its role towards supporting companies in developing responsible business practices.³⁵

24. Thus, a basic pattern emerges as per below:

Table 3: Due diligence framework ³⁶

<i>Due diligence</i>
1. Profile prospective partners (screening against exclusionary criteria)
2. Apply organization-specific filter
3. Risk and benefit analysis ³⁷
4. Recommend appropriate risk management measures
5. Decision-making

25. The above steps are the responsibility of individual organizations and serve as knowledge-building, based on organization legitimacy and accountability. These include streamlining and unifying minimum due diligence exclusionary criteria, as well as avoid duplication and optimize resources while facilitating knowledge-sharing regarding due diligence.

³³ Guidelines on a principle-based approach to the Cooperation between the United Nations and the business sector, The Guidelines were first issued in 2000, revised and reissued in 2009, and amended in 2015 as requested by UNGA Resolution A/RES/68/234.

³⁴ See FAO, *Principles, and Guidelines for FAO Cooperation with the Private Sector*, Rome, 1 November 2000. FAO, *Procedures for the preparation, clearance, and signature of Agreements*, Director-General’s Bulletin, No. 2014/13, Rome, 18 March 2014.

FAO, *Review of Partnerships with Non-State Actors and Composition of the Partnerships Committee and the Sub-Committee for the review of financial and other agreements*, Director-General’s Bulletin, No. 2014/14, Rome, 31 March 2014.

FAO, *FAO Guidelines for Partnership and Collaboration with the Private Sector*, Rome, 2016. Cf. CGIAR, *Risk Management Guidelines of the CGIAR System*, Rome, December 2017, p. 2. UNICEF, *UNICEF Guidelines and Manual for Working with the Business Community*, 2001. UNICEF, *Principles for Partnership*, 2017; “Guiding World Economic Forum and the United Nations Office for the Coordination of Humanitarian Affairs, *Principles for Public-Private Collaboration for Humanitarian Action*, 2007; In reporting about their activities, partners should adhere to UNICEF standards for media and the use of images, especially the UNICEF *Guidelines for Ethical Reporting on Children*, 2010.

³⁵ Interview 06 June 2019 with the UN Global Compact.

³⁶ Cf. WHO, *Framework of engagement with non-State actors*, Agenda item 11.3, WHA69.10, 28 May 2016, p. 11.

³⁷ Risk assessment refers to the assessment of a specific proposed engagement with that non-State actor. Cf. WHO, *Framework of engagement with non-State actors*, Agenda item 11.3, WHA69.10, 28 May 2016, p. 11. Cf. CGIAR, *Risk Management Guidelines of the CGIAR System*, Rome, December 2017, p. 6.

26. In addition to the best practices mentioned above, FAO employs corporate risk factors, including “hot topics” particularly relevant to FAO’s areas of work³⁸ also, existing Corporate Social Responsibility (CSR) standards.³⁹ All prospective partners should be assessed against these principles.⁴⁰ In FAO the partnership risk assessment process falls under the responsibility of the Partnerships Division (PSP) and placed under Deputy Director’s Office.⁴¹

³⁸ Corporate risk factors in relation to the partnership include risk of conflict of interest, financial risk, and threat to neutrality, independence or scientific credibility, risk of providing unfair advantage or exclusivity.

Cf. Genetically Modified Products (GMO), Fast Food; chemicals; mining; and oil and gas, Indigenous People, Land Grabbing, Abusive/Illegal Fishing, Agricultural Commodity Speculation, Animal Transportation and/or mistreatment.

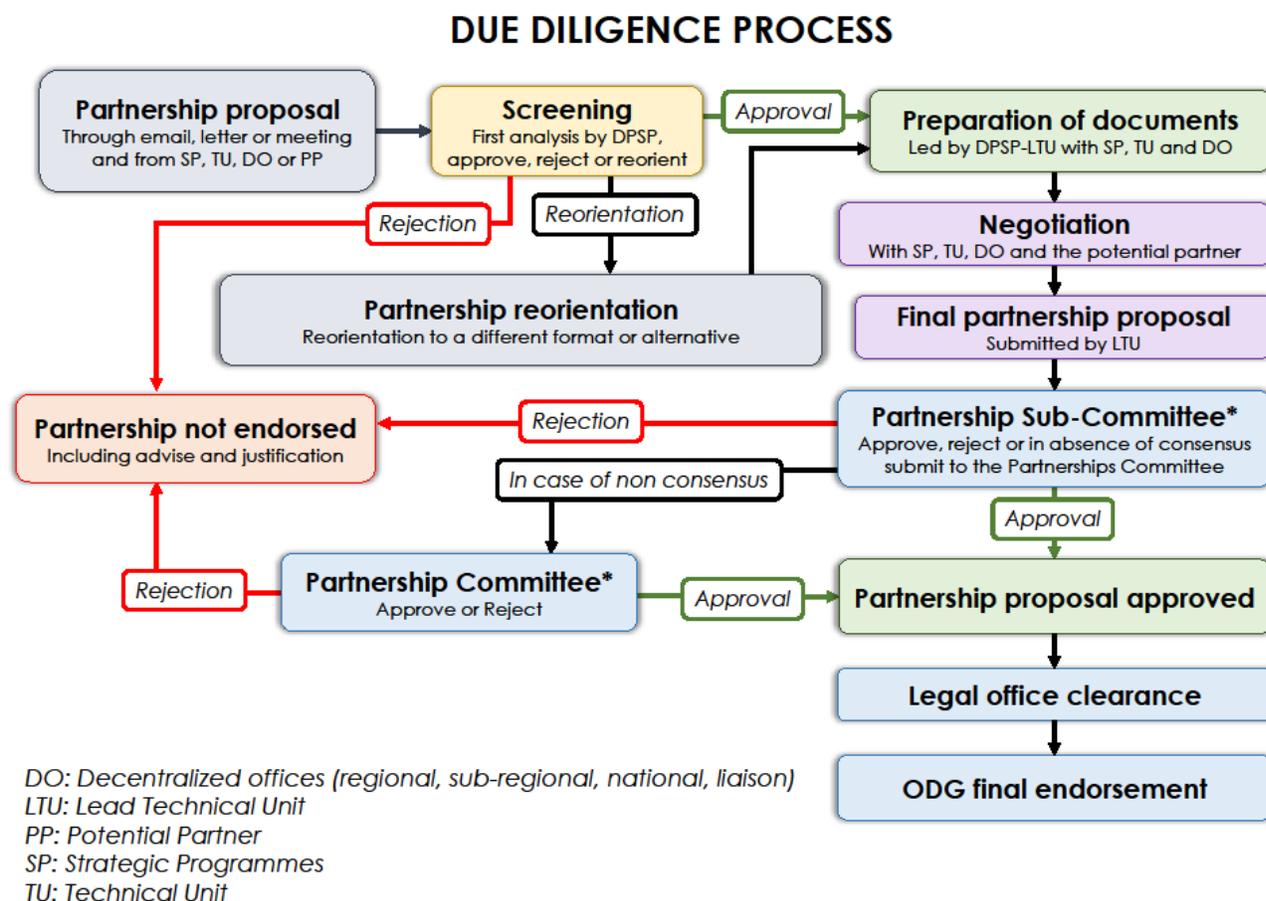
³⁹ FAO, *How to Partner with FAO: Partnerships as a way forward to eradicate hunger and malnutrition*, [17134EN/1/04.17](#)
Cf. FAO, *FAO Guidelines for Partnership and Collaboration with the Private Sector*, Rome, 2016, pp. 6, 8, 9, 17, 19 and 20.

⁴⁰ FAO, *FAO Guidelines for Partnership and Collaboration with the Private Sector*, Rome, 2016, p. 8. See as well *Corporate Policy on Risk Management; Policy against fraud and other corrupt practices* (AC [2015/08](#)); follows on the Policy issued in 2004 (AC [2004/19](#)) and further reiterated in 2007 (AC [2007/11](#)), reaffirming the Organization's commitment against fraud and other corrupt practices; *FAO Accountability Policy*, Rome, 31 December 2014

⁴¹ Sub-Committee for Review of Financial and other Agreements SubCom – RFA.

See *FAO Guidelines for Partnership and Collaboration with the Private Sector*, Rome, 2016, pp. 19 -21.

Figure 1: FAO screening and approval process for partnerships



*The Partnership Committee and Sub-Committee are composed as per Director General's Bulletin No.2014/14

27. The DGB 2014/14 provides the framework for the formal risk assessment and approval process of all partnership proposals.⁴² The PSP should be informed at the very earliest stage of intention to develop any particular partnership as it "[PSP] will review all proposals through a due diligence screening in accordance with the common UN and FAO principles for partnerships. All eligible proposals will be passed on to the Sub-Committee for Review of Financial and other Agreements (SubCom-RFA), along with recommendations regarding benefits and/or potential risks".⁴³ This initial due diligence is performed by the Due Diligence team. The initial review of

⁴² FAO, *Procedures for the preparation, clearance, and signature of Agreements*, Director-General's Bulletin, No. 2014/13, Rome, 18 March 2014.

FAO, *Review of Partnerships with Non-State Actors and Composition of the Partnerships Committee and the Sub-Committee for the review of financial and other agreements*, Director-General's Bulletin, No. 2014/14, Rome, 31 March 2014.

⁴³ FAO, *Procedures for the preparation, clearance, and signature of Agreements*, Director-General's Bulletin, No. 2014/13, Rome, 18 March 2014.

- proposals occurs through email, telephone or personal meetings and includes internet search and reference checks using different tools.⁴⁴ If the proposal for partnership is not deemed fit for purpose it is rejected at this stage.
28. In IFAD the due-diligence process is designed only for partnerships with the private sector that include the provision of financial resources as a donation to or through IFAD and where a formalized partnership is foreseen when IFAD is a signatory of the partnership agreement.⁴⁵ However, partnership brokered within IFAD-financed projects/programmes falls under the responsibility of the Borrower and/or Recipient and project/programme staff, likewise private sector relations on regular policy engagement and discourse, and private sector invitees to conferences or convenings hosted or attended by IFAD are excluded from the due diligence process.⁴⁶
29. IFAD expands on the best practices above by asking systematic questions covering issues such as the mandate/agenda, track record, and reputation, skills, and competencies that complement IFAD's, management and governance structures, financial record and on the proposed partnership, identifying clearly the expected outcomes, likely costs, and associated risks. These are embedded in a pre-screening form.⁴⁷ Moreover, IFAD obtains detailed reports on the environmental, societal and governance (ESG) performance of major companies from an external risk assessment service provider and has in place performance benchmarks for partnerships based on alignment with IFAD's private sector engagement criteria, industry rating scheme and company controversies report and conflict of interest assessment.⁴⁸
30. Similar to FAO's Partnership committee and sub-committee, IFAD's technical working group (TWG) on private sector due diligence⁴⁹, will weigh the various issues then provide a written recommendation on partner suitability for the final decision by management. The TWG may also recommend to management flexible options such as authorizing the partnership but with enhanced monitoring, periodic performance reviews or limiting public communication activities.⁵⁰ These good practices facilitate streamlining in promoting partnerships and informs from an early stage if the prospective partnership is fit for purpose.

FAO, *Review of Partnerships with Non-State Actors and Composition of the Partnerships Committee and the Sub-Committee for the review of financial and other agreements*, Director-General's Bulletin, No. 2014/14, Rome, 31 March 2014.

⁴⁴ FAO uses [Dun and Bradstreet](#), [RepRisk](#) and [Sustainalytics](#) for analysis. RepRisk is an online searchable database on the risk exposure of companies, projects, sectors, and countries related to ESG issues. Sustainalytics is a provider that rates the sustainability of listed companies based on their ESG performance. Dun and Bradstreet Corporation is a provider of financial services providing commercial data and analytics for risk and finance, research, and insights on individual businesses.

⁴⁵ IFAD, *Due Diligence Process for Corporate Private Sector Partnerships*, PB/2014/09, Rome 15 December 2014.

⁴⁶ IFAD, *Due Diligence Process for Corporate Private Sector Partnerships*, PB/2014/09, Rome 15 December 2014.

⁴⁷ This pre-screening facilitates engagement as it informs decision making when for instance the partner is not suitable for the goals of the proposed partnership, or a partnership (rather than, say, a contract) is not the best way to achieve the objectives defined. See IFAD, *IFAD Partnership Strategy*, Rome 20-21 September 2012, p. 15.

⁴⁸ IFAD, *Due Diligence Process for Corporate Private Sector Partnerships*, PB/2014/09, Rome 15 December 2014.

⁴⁹ The TWG includes OPV, PRM, COM, SKD, PTA, PMD Front Office, LEG and CFS.

⁵⁰ IFAD, *Due Diligence Process for Corporate Private Sector Partnerships*, PB/2014/09, Rome 15 December 2014.

31. Conversely, in WFP, the due diligence review of private sector partnerships has been transferred to the Legal Office, reporting to a Private Sector Partnership Committee⁵¹, chaired by the Assistant Executive Director for Partnership and Governance Services for approval.⁵² Once a due diligence is requested, the Legal Office prepares a report on the relevant entity or individual and assigns a level of risk to each due diligence (DD) report.⁵³ Following due diligence clearance, a private sector entity can be engaged in a partnership anywhere for WFP activities.⁵⁴ In FAO, due diligence is applied to specific projects and provide case-specific clearance.
32. On the other hand, the Consultative Group on International Agricultural Research (CGIAR) has adopted a 'combined assurance.' It is a coordinated approach amongst the System Organization and all Centers⁵⁵ where all assurance functions are applied in receiving reasonable assurance on whether key risks are being managed appropriately.⁵⁶ In this format, it is the responsibility of management to deliver effective risk management and the respective Boards to ensure adequate oversight.
33. Similarly to CGIAR, the United Nations Environment Programme (UNEP) delegates to divisions and regional offices the possibility to refer a partnership decision to the Partnership Committee or to decide on a partnership agreement: for amounts of up to US\$200,000 provided that the due diligence review does not reveal any risks to UNEP.⁵⁷ Furthermore, the organization has committed to a UNEP-wide consideration of Partnerships through the creation of a Partnership

⁵¹ Members include the Assistant Executive Director for Partnership and Governance Services (chair), the Director of the Private Sector Partnerships Division, two Country Directors from different regions, a Regional Director, a Senior Donor Relations Officer (Government Partnerships Division), a senior officer representing programming, logistics or information and communications technology, and a senior communications staff member.

⁵² See WFP, *WFP's Private Sector Partnership and Fundraising Strategy (2013 – 2017)*, WFP/EB.A/2013/5-B, Rome 9 May 2013, pp. 11, 13.

⁵³ WFP, *Private Sector Partnerships and Fundraising Strategy (2020-2025)*, *Annexes, Informal Consultation*, 23 April 2019.

⁵⁴ WFP, *WFP's Private Sector Partnership, and Fundraising Strategy: An Evaluation*, Vol. I, Full Report, Report n. OE.2012.010, Rome, September 2012, pp. 31, 58. Unless, specified otherwise, approved due diligence screenings are valid for three years. Furthermore, in the event of emergency operations that require especially rapid fundraising. the Private Sector Partnerships (PGP) Director may request that the Assistant Executive Director, Partnerships and Governance authorize the acceptance of private-sector donor cash contributions above USD 50,000. This is conditional upon the prospective donor giving written representations and warranties of its compliance with certain criteria, and pending retroactive completion of the due diligence process.

⁵⁵ Thus, the System Organization and each Center has in place, and actively utilizes, a risk management policy, which seeks to promote a culture of risk management and create a shared understanding of, and promote a consistent approach to, risk and risk management.

⁵⁶ The Guidelines repealed the former 'CGIAR Consortium Financial Governance Framework' approved in June 2013, and amended in March 2015 by the Consortium Board. CGIAR, Risk Management [Guidelines](#) of the CGIAR System, Rome, December 2017, pp. 2-3.

⁵⁷ Cf. UNEP, *UN Environment Programme: Delivering the Programme of Work through Partnerships, 5th Annual Subcommittee meeting of the CPR*, 22 October 2018. If high risk the UN environment staff will be requested to complete a risk mitigation plan. Based on the information in the profile of the company Director(s) will approve or reject the company. Nonetheless, the Director of the concerned Division/Office can escalate the case to the Executive Director for final decision.

Committee that will review cases that involve a risk to the organization and/or involve financial commitments exceeding US\$200,000.⁵⁸

34. UNEP further expands on the good practices as the due diligence process of partners is carried through an online system *Partners Portal* where the programme/project officer completes an online review of the partner which is required to submit information and documents that prove that they have the credibility and capacity to deliver specific aspects under which the partnership will be established.⁵⁹

Table 4: Role and responsibilities where UNEP intends to receive funds ⁶⁰

	Responsible Officer in consultation with the Fund Management Officer (FMO)	Division or Regional Director	Partnership Committee
Category B (Yellow) Caution: Decision by Partnership Committee	Prepares Checklist and Dossier for Division or Regional Director's action.	Submits dossier to Partnership Committee	Decides on the acceptance of the contribution
Category C (Green) Positive Screening		Decides on the acceptance of the contribution	

35. Similarly, the World Health Organization (**WHO**) engages with a non-State actor when the benefits in terms of direct or indirect contributions to public health and the fulfillment of the organization's mandate outweigh any residual risks of engagement as well as the time and expense involved in establishing and maintaining the engagement.⁶¹

⁵⁸ This amount applies cumulatively to agreements between the Division and a specific partner within a calendar year and concerns the review procedures. Legal instruments are subject to the relevant delegated authority. Cf. UNEP, *UNEP Partnership Policy and Procedures*, 21 October 2011, p. 6.

⁵⁹ UNEP, *UN Environment Programme: Delivering the Programme of Work through Partnerships, 5th Annual Subcommittee meeting of the CPR*, 22 October 2018.

OIOS internal audit (reference "UNEP project delivery arrangements via partnerships" and Partner Portal); Cf. UNEP, *UNEP Policy on Partnerships and Guidelines for Implementation*, August 2009, pp. 6-7, 9.

The due diligence procedure is set out in Annex 2 UNEP, *UNEP Partnership Policy and Procedures*, 21 October 2011. (*Template for Due Diligence Procedure 1 for the selection of for-profit organizations*) and is comprised of three categories that the concerned responsible Officer needs to apply in sequence. The categories are as follows: Category A (Red) Exclusion Screening; Category B (Yellow) implying that *special caution* needs to be taken, and exclusion considered: Decision by Partnership Committee; Category C (Green) Positive Screening.

The level at which a recommendation is considered and decided upon is as well determined based on the level of funding involved – up to US\$200,000 (granting funds) or beyond – leads to consideration by divisional or higher levels of decision-making. See UNEP, *UNEP Partnership Policy and Procedures*, 21 October 2011, pp. 11, 17 -19.

⁶⁰ UNEP, *UNEP Partnership Policy and Procedures*, 21 October 2011, p. 5. Cf. UNEP, *UN Environment Programme: Delivering the Programme of Work through Partnerships, 5th Annual Subcommittee meeting of the CPR*, 22 October 2018.

⁶¹ WHO, *Framework of engagement with non-State actors, Agenda item 11.3, WHA69.10*, 28 May 2016, pp. 4, 12. Cf. WHO, *Constitution of the World Health Organization*, Articles 18, 33, 41 and 71. Cf. WHO, *Basic Documents*, 2014.

Article 2 of the World Health Organization (WHO) Constitution further mandates the Health Assembly or the Executive Board, and the Director-General, to enter into specific engagements with other organizations

36. In WHO's parlance, "public-private partnerships" usually designates arrangements among public and private entities whereby they commit themselves to collaborate and support a specific public health goal. Some partnerships are formal, meaning "those partnerships with or without a separate legal personality but with a governance structure that takes decisions on direction, work plans, and budgets."⁶² WHO hosts and provides the secretariat of several formal partnerships. Thus, transactions and engagements that FAO defines as "partnerships" would normally be qualified as such by WHO.
37. The organization's framework of engagement with non-State actors is highly prescriptive and adapted to different categories of possible interactions similar to those foreseen by FAO, resources of a financial or non-financial nature, advocacy to change the behaviours in the interest of public health, technical collaboration, operational collaboration in emergencies and contributing to implementing organizational policies. The process of due diligence combines a review of the information provided by the non-State actor, a search for information about the entity concerned from other sources, and an analysis of all the information obtained.⁶³ Moreover, it is through a dedicated mechanism that the Secretariat reviews proposals of engagement referred to it⁶⁴ and recommends engagement,⁶⁵ a continuation of engagement, engagement with measures to mitigate risks, non-engagement or disengagement from an existing or planned engagement with non-State actors.⁶⁶
38. The current arrangement aims at ensuring that decisions are taken at the lowest practical level while allowing the option to escalate these through a clear chain of authority in the presence of risks or disagreements. FENSA entails a proactive approach to engaging with non-state actors. Thus strategic engagement and the assessment of the benefits and risks of engagement should be part of the planning processes of each technical unit. In case of doubts or disagreements, the assessment should be escalated to "FENSA focal points" to be established in each cluster at Headquarters and each regional office. Should the matter not be satisfactorily

⁶² WHO, *Partnerships*, Report by the Secretariat, [A63/44](#), 22 April 2010. para. 6.

⁶³ This includes a screening of different public, legal and commercial sources of information, including: media; the entity's website companies' analyst reports, directories and profiles; and public, legal and governmental sources. WHO, *Framework of engagement with non-State actors*, Agenda item 11.3, WHA69.10, 28 May 2016, p. 11.

⁶⁴ It is a management decision usually taken by the unit engaging with the non-State actor based on a recommendation of the specialized unit responsible for performing due diligence and risk assessment.

⁶⁵ Cf. WHO, *Framework of engagement with non-State actors*, Agenda item 11.3, WHA69.10, 28 May 2016, para 50 to 57, p. 15-16. Other than decisions related to official relations and cases whereby regional committees may also decide on a procedure granting accreditation to their meetings to other international, regional, and national non-State actors not in official relations with WHO as long as the procedure is managed in accordance with this framework as set out in paragraphs 50 to 57.

⁶⁶ Prior to the establishment of this dedicated mechanism composed of the Partnership and Non-State Actors (PNA) and Compliance, Risk Management and Ethics (CRE), the Office of the Legal Counsel had de facto assumed policy functions responsibilities as it by default assessed requests for interactions with private sector and provided recommendations to senior management.

Cf. para 50 to 57 WHO, *Framework of engagement with non-State actors*, Agenda item 11.3, WHA69.10, 28 May 2016, p. 15-16. Other than decisions related to official relations and cases whereby regional committees may also decide on a procedure granting accreditation to their meetings to other international, regional, and national non-State actors not in official relations with WHO as long as the procedure is managed in accordance with this framework as set out in paragraphs 50 to 57. The Director-General, working with the Regional Directors, ensures coherence and consistency in implementation and interpretation of WHO, *Framework of engagement with non-State actors*, Agenda item 11.3, WHA69.10, 28 May 2016, p. 12.

resolved at that level, the proposed engagement is considered by the FENSA Proposal Review Committee, chaired by the Deputy Director General for Corporate Operations and composed by senior managers as well as the Office of the Legal Counsel (LEG), the Partnership and Non-State Actors (PNA) and Risk Management and Ethics (CRE). Final decisions, in this case, are usually taken by the Director-General.

Finding 2: In FAO, the guidance and development of partnerships are somewhat centralized. Nevertheless, the organization maintains a dedicated organizational unit devoted to developing partnerships with the private sector, complemented by the regional network of partnership officers, which aims at providing guidance and advisory support to the rest of the organization.

39. Similarly, FAO, WFP, UNEP, and UNICEF and WHO have a specific organizational outfit devoted to engagement with the private-sector which provides partnership-related services, guidelines, knowledge, resources, due diligence, standard templates for agreements, a partnership database and repository of Best Practices.⁶⁷ Also, these organizations maintain respective networks of regional and country offices' partnership officers or focal points.⁶⁸
40. FAO's Partnership Focal Points⁶⁹ in technical divisions at the HQ level and Partnership Officers in the regional centers provide guidance to decentralized offices in identification, design and submission of all partnerships with non-state actors, including the private sector.⁷⁰ FAO relies on the output leaders and delivery managers and FAO representations at the country level to engage with prospective private sector partners to determine if these can help leverage

⁶⁷ In FAO the Partnerships Division (PSP) has the overall responsibility within FAO for facilitating partnerships with the private sector. See in detail FAO, *FAO Guidelines for Partnership and Collaboration with the Private Sector*, Rome, 2016, p. 22.

In WFP the Private Sector Partnership division (PGP) is the lead division for managing and implementing WFP's Private Sector Partnership and Fundraising Strategy (2013-2017). See in detail WFP, *Policy Evaluation, WFP's Corporate Partnership Strategy (2014-2017), Evaluation Report*, Report n. OE.V.2016.010, Rome, March 2017, pp. 8, 10, 204. The Private Sector Partnership evolving responsibilities are highlighted in WFP, *WFP's Private Sector Partnership and Fundraising Strategy: An Evaluation*, Vol. I, Full Report, Report n. OE.2012.010, Rome, September 2012, p. 39.

In January 2018, the UN Environment Programme reinforced its commitment to work with the private sector by consolidating the organization's engagement into a Private Sector Unit coordinating unit, housed in the Governance Affairs Office. It will ensure that the UN Environment Programme has an integrated approach towards the private sector in all Divisions and Offices and that it works in a cohesive and interactive manner so that partnerships are strategically aligned with the Programme of Work and are results-oriented.

Cf. UNEP, *Report by the Secretariat on UN Environment Programme's Private Sector Engagement*, UNEP/CPR/142/4, 4 May 2018, p. 13.

⁶⁸ See FAO, *FAO Guidelines for Partnership and Collaboration with the Private Sector*, Rome, 2016, pp. 22-23.

WFP, *Policy Evaluation, WFP's Corporate Partnership Strategy, Evaluation Report*, Vol. II, Annexes, Report n. OE.V.2016.010, Rome, March 2017, p. 209.

⁶⁹ All partnership proposals that originate from Decentralised Offices or non-technical HQ units, need to be cleared by the technical division concerned at HQ for consistency with corporate technical strategies or policies. Once partnerships become operational, the technical Divisions concerned should maintain an oversight role. In many cases, however, this Division would provide support to the Responsible Officer and Supervising Director.

See in detail FAO, *FAO Guidelines for Partnership and Collaboration with the Private Sector*, Rome, 2016, pp. 22-23.

⁷⁰ Until 2015 FAO had convened (the fourth) private sector partnership dialogue. Cf. FAO, *Fourth FAO private sector partnerships dialogue*, 14 October 2015, Rome, Italy.

delivery under specific outputs and in implementing the Country Programme Framework (CPF).⁷¹

41. On the contrary, WFP Corporate Partnership Strategy (CPS) notes that the primary responsibility for supporting country offices work on partnership rests at the regional level, whereby the Regional Bureaus develop their partnership strategies to help contextualize the engagement with partners at the regional and country level.⁷² Furthermore, WFP manages the majority of the partners through country-level operations. Thus, country offices remain responsible and accountable for partnership selection and management at the country level.⁷³ Expanding on the best practices above, WFP convenes annual informal consultations on the private sector.⁷⁴
42. On the other hand, the UNEP has created an online Portal, which streamlines engagement with the private sector across the organization and supports the creation of partnership agreements. The Portal also includes due diligence and approval process, which is designed to assess the relevance of a partnership, evaluate risk, and ensure that the partnership criteria is met – as per UN Guidelines and Regulations.⁷⁵ Moreover, while the Private Sector Unit engages with businesses that are frontrunners on sustainability in their fields of work, it takes into account geographic balance.⁷⁶

⁷¹ It is a mechanism through which FAO and the governments define their priorities and work plans and which indicates potential areas of cooperation with the private sector.

⁷² WFP, *WFP Corporate Partnership Strategy (2014-2017)*, Rome, July 2014, paragraphs 72, p. 24.

See further WFP, *Policy Evaluation, WFP's Corporate Partnership Strategy, Evaluation Report*, Vol. II, Annexes, Report n. OEV.2016.010, Rome, March 2017, p. 209.

⁷³ WFP, *Policy Evaluation, WFP's Corporate Partnership Strategy, Evaluation Report*, Vol. II, Annexes, Report n. OEV.2016.010, Rome, March 2017, p. 209.

⁷⁴ WFP, *WFP's Private Sector Partnership and Fundraising Strategy (2013 – 2017)*, WFP/EB.A/2013/5-B, Rome 9 May 2013, p. 13.

Cf. FAO, *Incentives for Ecosystem Services, Private sector consultation: Investment in sustainable supply chains and ecosystem services*,

⁷⁵ UNEP, *Report by the Secretariat on UN Environment Programme's Private Sector Engagement*, UNEP/CPR/142/4, 4 May 2018, p. 13.

⁷⁶ UNEP, *Report by the Secretariat on UN Environment Programme's Private Sector Engagement*, UNEP/CPR/142/4, 4 May 2018, p. 13.

Table 5: UNEP Private Sector Unit role ⁷⁷

UNEP Private Sector Unit role
o facilitate and promote effective coordination within the organization;
o lead the UN Environment Programme's private sector engagement in key UN platforms and other international initiatives;
o promoting transparency in private sector engagement vis-à-vis the Governing Bodies and other partners;
o positioning the UN Environment Programme as a cutting-edge and open organization in dealing with the business community

43. The United Nations Children's Fund (UNICEF) strategic plan for 2018–2021 underlined "harnessing the power of business and markets" as one of the change strategies and an enabler for delivering results for children. The objective is to build organizational capacity at the country level by mainstreaming and integrating engagement with business as an option to consider in the program planning and implementation processes.⁷⁸
44. In the organization, the Private Fundraising and Partnerships Division has been delegated the authority to coordinate all private fundraising activities and to support engagement with the business sector. The Division has a structure in place to manage its resource mobilization partnerships as well as nonfinancial engagements with business.⁷⁹ UNICEF has taken steps in forging new paths for engaging with the private sector, for instance, through its innovative staff exchange program. The organization has developed together with a global consumer products company, the UNICEF Sabbatical Programme⁸⁰, where employees of the company contributed directly to the work of UNICEF for women and children worldwide.
45. In CGIAR, the Global Forum on Agricultural Research and Innovation (GFAR) has facilitated the engagement with partners, through the biennial Global Conference for Agricultural Research for Development (GCARD). GCARD was a formal mechanism to provide a forum for external partners to voice their perspectives, and to involve them in the development of the Strategy and Results Framework and the design of the research program.⁸¹ Nonetheless, there continues to be ambiguity in certain aspects of partnerships. The System lacks agreement and strategy for how best engage with the private sector, particularly for enhancement of science and delivery.⁸²
46. Unlike the other organizations analyzed, IFAD does not have a specific organizational outfit devoted to private-sector development. This can be considered a limitation in furthering IFAD's engagement with the private sector, especially given the emphasis placed by the Strategic

⁷⁷ UNEP, Report by the Secretariat on UN Environment Programme's Private Sector Engagement ,UNEP/CPR/142/4, 4 May 2018, p. 13.

⁷⁸ UNICEF, *UNICEF Strategic Plan, 2018-2021*, E/ICEF/2017/17/Rev., 16 August 2017.

⁷⁹ See UNICEF, *Private Fundraising and Partnerships, 2017 Annual Report*, Geneva, 2017.

⁸⁰ P&G and UNICEF [Sabbatical Program](#), August 10 2010.

⁸¹ CGIAR, *Evaluation of Partnerships in CGIAR*, Rome, July 2017, p. 4. GFAR brings together partners from all sectors to tackle development challenges at all levels. The Partners in GFAR bring their own commitments and resources, joining together in exciting Collective Actions that create change and impact on the ground. There are over 50 [Private Sector Partners](#) in GFAR, represented by the [International Agri-Food Network](#) (IAFN) and the [Private Enterprise Federation \(Ghana\)](#). Cf. GFAR, *Partnerships for Impact*.

⁸² Apart from program proposals, some CGIAR Research Programs CRPs have developed partnership strategies or principles and several Centers have also documented their partnership strategy within their main Center strategy or occasionally as a separate document. Cf. CGIAR, *Evaluation of Partnerships in CGIAR*, Rome, July 2017, pp. viii - ix.

- Framework and IFAD11 commitments on promoting farming as a business - in which the private sector has a significant role to play.⁸³
47. The Office of Partnership and Resource Mobilization (PRM)⁸⁴ is responsible for the implementation of the Partnership Strategy. It is the overall manager of the strategy, responsible for ensuring that the strategy is being implemented and for monitoring IFAD's performance in doing so. As a first step, PRM will provide expert guidance, technical support, and capacity-building on working with different partners. PRM collects and analyses data on partnerships and captures learning from partnerships and on the other to identify opportunities and processes for collaboration between PRM and other parts of IFAD. In addition, being an entry point for due diligence, PRM facilitates requests for the due-diligence process, and act as convener and secretariat for the TWG.⁸⁵ PRM manages specific partnerships, with particular responsibilities relative to private-sector partnership development and resource mobilization. It ensures that resources – both financial and human – are used in support of partnerships selectively, strategically, effectively and efficiently, in key areas.⁸⁶ In addition, the Communications Division plays a crucial role in communicating IFAD's partnership approach, both externally and internally.⁸⁷
48. The practices and approaches above suggest that while devolved responsibility partnership remains everyone's responsibility, there is room for innovation and diversity within a clear framework of good practices where partnership knowledge and accumulated learning from partnerships can be centrally captured, accessed and managed.

⁸³ Cf. IFAD, *IFAD's Private-Sector Development and Partnership Strategy, Corporate-Level Evaluation*, Report n. 2420, Rome, June 2011, p. 62.

See further IFAD, *Building partnerships for enhanced development effectiveness – a review of country-level experiences and results, Evaluation Synthesis*, Report n. 4729, Rome, March 2018, p. x.

Cf. IFAD, *Report of the Consultation on the Eleventh Replenishment of IFAD's Resources. Leaving no one behind: IFAD's role in the 2030 Agenda*, Rome, 13-14 February 2018, pp. 11-12, 44 with particular regard to actions Management is undertaking as part of the IFAD 11 Commitments.

⁸⁴ The Office of Partnership and Resource Mobilization (PRM) was established in 2012.

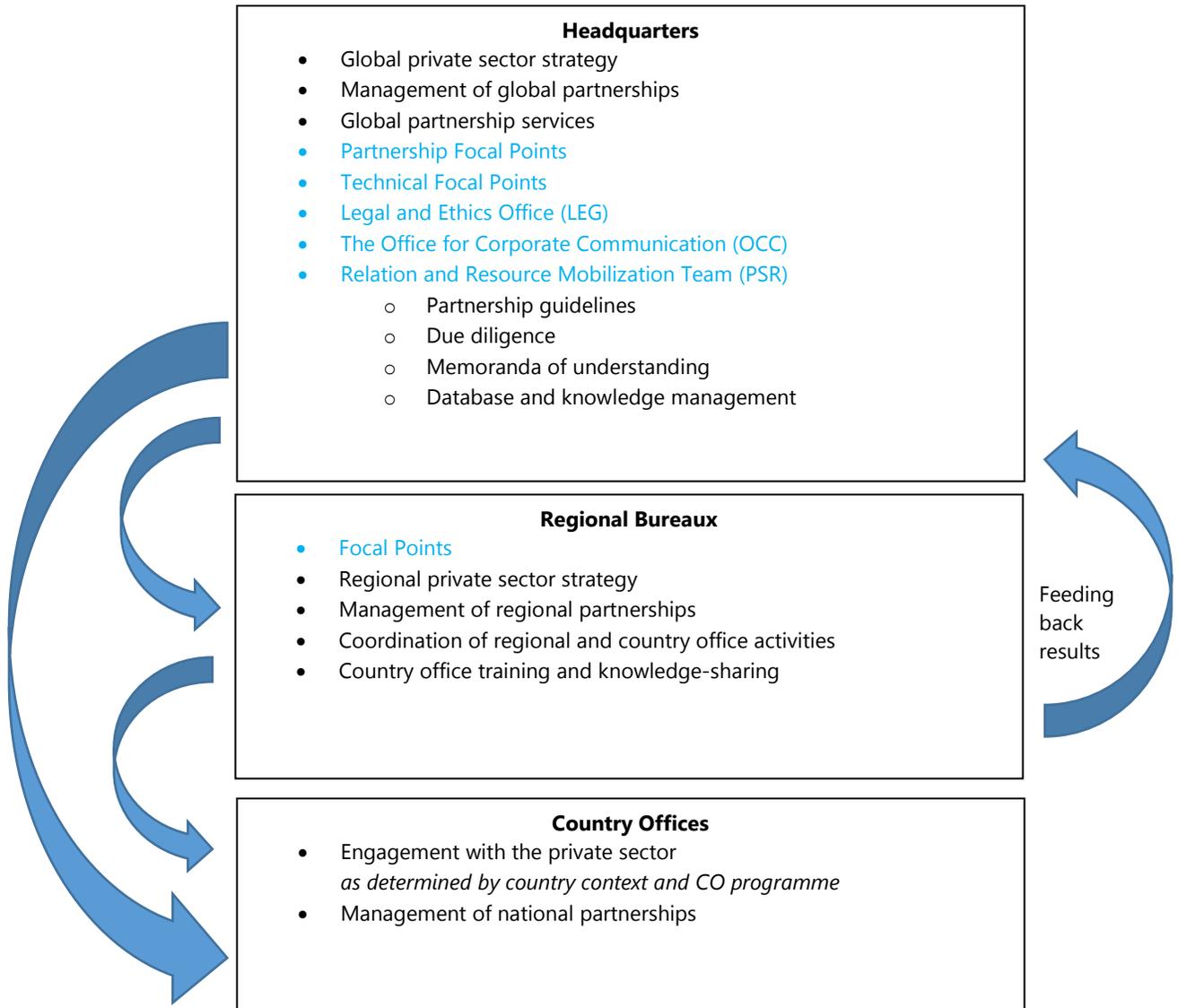
See IFAD, *Revised organizational structure to realign IFAD's operational areas effective as of 1 April 2018*, PB/2018/02, Rome 3 March 2018.

⁸⁵ IFAD, *Due Diligence Process for Corporate Private Sector Partnerships*, PB/2014/09, Rome 15 December 2014.

⁸⁶ IFAD, *IFAD Partnership Strategy*, Rome 20-21 September 2012, pp. iii, 17-18.

⁸⁷ IFAD, *IFAD Partnership Strategy*, Rome 20-21 September 2012, p. iii.

Figure 2: Organization Enablement ⁸⁸



⁸⁸ Organization enablement figure encompasses both WFP (in black) and FAO structures and functions related to private partnerships. Adapted from WFP, *WFP's Private Sector Partnership and Fundraising Strategy (2013 – 2017)*, WFP/EB.A/2013/5-B, Rome 9 May 2013, p. 20. Differences present in FAO included in blue.

Finding 3: Differently, from other UN agencies, FAO partnership agreements are the result of interest-based negotiation, aiming to define a wide range of mutual benefits. Different types of engagement reflect varying levels of commitment and accountability.

49. 'Engagement' with the private sector refers to any type of interaction with private sector entities, with different objectives, ranging from informal talks and discussions to knowledge-exchange platforms, to full-fledged partnerships entailing funding or brand asset exchanges. These engagements may be implemented through different modalities, including but not limited to partnering, and may involve different levels of public exposure.
50. The table below serves as an overview of the guiding principles UN entities apply to all collaborative arrangements, including those with the private sector.

Table 6: Guiding Principles for Partnerships

Guiding Principle for Partnerships	UN Agencies					
	FAO ⁸⁹	IFAD ⁹⁰	WFP ⁹¹	UNEP ⁹²	UNICEF ⁹³	WHO ⁹⁴
Accountability	✓		✓	✓	✓	✓
Alignment					✓	✓
Autonomy	✓					✓
Capacity building					✓	
Clarity	✓			✓	✓	✓
Complementarity				✓	✓	✓
Consultations and information sharing	✓		✓	✓	✓	

⁸⁹ FAO, *FAO Strategy for Partnerships with the Private Sector*, JM 2013.1/2, Rome, 20 March 2013, pp. 26-28.

Cf. FAO, *FAO Guidelines for Partnership and Collaboration with the Private Sector*, Rome, 2016, pp. 10-11.

The evolution of 'Partnership Principles' is highlighted in FAO, *Principles, and Guidelines for FAO Cooperation with the Private Sector*, Rome, 1 November 2000, p. 17-19.

⁹⁰ IFAD, *Report of the Consultation on the Eleventh Replenishment of IFAD's Resources. Leaving no one behind: IFAD's role in the 2030 Agenda*, Rome, 13-14 February 2018, and pp. 75-76.

⁹¹ WFP, *New Partnerships to Meet Rising Needs – Expanding the WFP Donor Base*, [WFP/EB.3/2004/4-C](#), Rome, 14 September 2004, Annex II WFP Private – Donor Selection for Cooperation, and Annex III WFP Code of Conduct, p. 17-21.

Cf. WFP, *WFP Corporate Partnership Strategy (2014-2017)*, Rome, July 2014, paragraphs 20-26, pp. 10-12.

Cf. also WFP, *WFP's Private Sector Partnership and Fundraising Strategy (2013 – 2017)*, WFP/EB.A/2013/5-B, Rome 9 May 2013, pp. 10, 22-24. As noted as well in WFP, *Policy Evaluation, WFP's Corporate Partnership Strategy*, Evaluation Report Vol. II, Annexes, Report n. OEV.2016.010, Rome, March 2017, p. 196.

⁹² UNEP, *UNEP Policy on Partnerships and Guidelines for Implementation*, August 2009, pp. 6-7, 9.

⁹³ UNICEF, *UNICEF strategic framework for partnerships and collaborative relationships*, E/ICEF/2009/10, 26 March 2009, p. 17.

⁹⁴ WHO, Framework of engagement with non-State actors, Agenda item 11.3, WHA69.10, 28 May 2016, p. 5. Cf. WHO, Partnerships, WHA63.10, 21 May 2010, pp. 3-4. Cf. WHO, *Partnerships*, Report by the Secretariat, A63/44, 22 April 2010, pp. 6-7. In Annex Draft Policy on WHO engagement with Global Health Partnerships and Hosting Arrangements.

Effectiveness	✓	✓		✓	✓	
Efficiency and Coherence				✓	✓	
Equality and Mutual respect (including gender equality)	✓		✓	✓	✓	
Equity		✓			✓	
Impartiality						
Independence	✓				✓	✓
Integrity					✓	✓
Intellectual Property						
Mutual respect	✓					
Neutrality	✓	✓		✓		
Ownership	✓				✓	
Participatory processes/participation/ non-exclusivity/inclusivity/ joint design		✓	✓			
Quality		✓				
Responsibility	✓			✓		
Results-oriented				✓	✓	
Scientific credibility	✓			✓		✓
Shared vision/mutual interest or mutual benefit	✓					
Sustainability	✓				✓	
Transparency	✓			✓	✓	✓
Trust	✓	✓		✓		

⁹⁵ While the Global Humanitarian Platform referred to 'equality,' WFP prefers the term 'equity' to reflect that all partners contribute something to a collaborative relationship and must be respected regardless of size or status. Cf. WFP, *WFP Corporate Partnership Strategy (2014-2017)*, Rome, July 2014, para. 25, p. 11.

Value added	✓	✓		✓	✓	
Voluntarity	✓					

51. This study notes different models of collaboration with the private sector among organizations that range from *ad hoc* dialogue and consultation through to comprehensive long term partnerships.⁹⁶ Not every type of engagement necessarily constitutes a partnership. Collaboration is considered a partnership if it involves active engagement of two or more partners with a long-term commitment towards achieving a common goal.⁹⁷ The guidelines on a principle-based approach to the cooperation between the United Nations and the business sector require a formal written agreement between the private entity and the United Nations before the start of a partnership.⁹⁸ Once an area of collaboration and a prospective partner have been identified, there is an opportunity for the underlying interests of all parties to be drawn out and discussed purposefully.⁹⁹ The respective responsibilities and roles of each party are then covered in the legal instrument chosen to formalize the mode of collaboration. Thus at the heart of the partnering arrangement lies an interest-based negotiation, which aims to secure an opportunity for consensus and complementarity.
52. Most collaboration and all partnerships must be governed by an appropriate written agreement, creates legally binding obligations for the signatories and protects the interests of the Organization.
53. Different types of partnership require different forms of agreement to reflect varying levels of commitment and accountability. Partnerships may involve both financial and non-financial contributions from the private sector and may be formalized through:
- Memoranda of Understanding (MoU) which usually do not entail any financial commitment;
 - Partnership Agreements established to enable receipt of financial contributions
 - Exchange of Letters if the collaboration is limited in time or scope and does not involve any financial obligations.¹⁰⁰

⁹⁶ FAO, *FAO Strategy for Partnerships with the Private Sector*, JM 2013.1/2, Rome, 20 March 2013, p. 18.
 Cf. 'Official relations' WHO, Framework of engagement with non-State actors, Agenda item 11.3, WHA69.10, 28 May 2016, pp. 15-16;

Cf. UNICEF, *UNICEF strategic framework for partnerships and collaborative relationships*, E/ICEF/2009/10, 26 March 2009, pp. 6,18;

Cf. UNEP, *UN Environment Programme: Delivering the Programme of Work through Partnerships*, 5th Annual Subcommittee meeting of the CPR, 22 October 2018.

See as well on simplified and fast tracked procedure UNEP, Subcommittee meeting of the Committee of Permanent Representatives, *UN Environment Programme Private Sector Engagement*, 24 May 2018, p. 3.

⁹⁷ FAO, *FAO Guidelines for Partnership and Collaboration with the Private Sector*, Rome, 2016, p. 14.

⁹⁸ The Guidelines were first issued in 2000, revised and reissued in 2009, and amended in 2015 as requested by UNGA Resolution A/RES/68/234.

⁹⁹ See The Partnering Initiative (IBLF), *The Partnering Toolbook: An essential guide to cross-sector partnering*, Tennyson, 2011.

¹⁰⁰ FAO, *FAO Strategy for Partnerships with the Private Sector*, JM 2013.1/2, Rome, 20 March 2013, p. 18.

Cf. FAO, *FAO Guidelines for Partnership and Collaboration with the Private Sector*, Rome, 2016, p. 14.

54. However, MoUs present well-known points of contention, including that UN agencies are not subject to national legal processes, but to international arbitration, and that are also not subject to an external audit commissioned by partners. Moreover, issues of intellectual property for which FAO and WFP wish to maintain open access and use of the logo may also arise.¹⁰¹
55. In the presence of political pressure to formalize a partnership, it may be advisable to start the formalization process by signing a Letter of Intent (LoI). An LoI establishes the intention and process for the preparation of a more comprehensive agreement.¹⁰² This tool offers the opportunity to explore partnership opportunities and come to an agreement that serves both parties.

Finding 4: Once the partnership agreement is reached, its practical implementation is perceived to be a diffused and decentralized responsibility: individual units across the organization are fully responsible for the brokered partnerships. This system is complemented by centralized monitoring over the implementation of partnerships at all levels.

56. As illustrated in the sections above, in comparator organizations partnership development and management are a diffused and decentralized responsibility within the context of own strategies, individual units across the organization compared will continue to be fully responsible for the partnerships that they enter into as a means to better achieve the corporate management results reflected in their work plans.
57. In FAO, each regional office and technical division at headquarters relies on a network of Partnerships Focal Points to support the development of collaboration with the private sector and ensure coherent and effective implementation of the Strategy across the Organization.¹⁰³ The Partnerships Division (PSP) has established a system for monitoring the implementation and achievements of partnerships, which is applied across the Organization in liaison with the Responsible Technical Officers (RTO).¹⁰⁴ RTOs prepare an annual progress report for the

The details for the preparation, clearance, and signature of agreements are provided by FAO, Procedures for the preparation, clearance, and signature of Agreements, Director-General's Bulletin, No. 2014/13, Rome, 18 March 2014 on Procedures for the Preparation, Clearance, and Signature of Agreements

Cf. IFAD, How to do Public-Private-Producer Partnerships (4Ps) in Agricultural Value Chains, Rome March 2016, p. 12.

See UNEP, UN Environment Programme: Delivering the Programme of Work through Partnerships, 5th Annual Subcommittee meeting of the CPR, 22 October 2018.

See UNICEF, UNICEF strategic framework for partnerships and collaborative relationships, E/ICEF/2009/10, 26 March 2009, p. 6.

¹⁰¹ A donor of in-kind resources can enter into a relationship with WFP without this passing through Private Partnerships Division and thus being subject to a MoU or due diligence. A "commercial use" of the name and emblem implies use in connection with or for furtherance of a profit-making enterprise. The "use by a commercial entity" would allow the use of the name and emblem by a business sector entity even involving the making of some profit, as long as the principal purpose of such use is to show support for the purposes and activities of the United Nations entity concerned, including the raising of funds for the United Nations entity, and the generation of profit by the commercial entity is only "incidental".

Cf. WFP, *WFP's Private Sector Partnership, and Fundraising Strategy: An Evaluation*, Vol. I, Full Report, Report n. OE.2012.010, Rome, September 2012, pp. 45, 58.

¹⁰² FAO, *FAO Guidelines for Partnership and Collaboration with the Private Sector*, Rome, 2016, p. 15.

¹⁰³ FAO, *FAO Strategy for Partnerships with the Private Sector*, JM 2013.1/2, Rome, 20 March 2013, p. 23.

¹⁰⁴ FAO, *FAO Strategy for Partnerships with the Private Sector*, JM 2013.1/2, Rome, 20 March 2013, p. 25.

partnership(s) for which they are responsible, and then PSP consolidates these reports into an official yearly report to FAO's Governing Bodies.¹⁰⁵ Further, PSP since 2017 has created and maintains a corporate database of past and ongoing partnerships, that serves as an accessible repository of accumulated experience of working with the private sector. It is a primary tool used to guide and facilitate the development of partnerships by technical units and decentralized offices and to report on progress and added value of partnerships.¹⁰⁶ At the national level, implementation of the Strategy is done through the Country Programme Frameworks (CPF), a mechanism through which FAO and the governments define their priorities and work plans and which indicates potential areas of cooperation with the private sector.¹⁰⁷

58. Similarly, to FAO, in WFP the Private Sector Partnership Division (PGP) maintains a customer-relations management database to track activities between WFP and its private-sector partners and has in place systems for registering grants and donor reporting and compliance tools governing the use of the WFP brand. Furthermore, WFP expands on these good practices by forecasting donations and using budget templates to facilitate coordination with the government partnership function in overall support of the implementation of the Corporate Partnership Strategy.¹⁰⁸
59. In WFP, under the Private Sector Partnership and Fundraising Strategy (2013 – 2017), reporting feeds into the Annual Performance Report and the Audited Statement of Accounts with clear indicators for measuring actual financial resources raised, the value generated by private-sector partnerships and the overall benefit to WFP.¹⁰⁹ Results are tracked according to WFP's performance-management framework developed and maintained by Performance Management and Monitoring division (RMP).¹¹⁰
60. Conversely, IFAD has been lagging in ensuring clarity and effectiveness in streamlining internal processes in managing partnerships. The private-sector strategy results framework included 16 key performance indicators. However, it did not include baseline values or targets against which progress could be reported. Data was not systematically collected for all indicators specified, and reporting did not take place annually as envisaged by the strategy. The key performance indicators were often framed ambiguously, for example, not merely the number of enterprises established, but also those that were "strengthened" (e.g. "number of rural enterprises established/strengthened"). Only a few key performance indicators had some form of a numeric target to be achieved in the period covered by the strategy (2005-2008).¹¹¹

¹⁰⁵ FAO, *FAO Strategy for Partnerships with the Private Sector*, JM 2013.1/2, Rome, 20 March 2013, p. 25.

Cf. FAO, *FAO Guidelines for Partnership and Collaboration with the Private Sector*, Rome, 2016, p. 22.

¹⁰⁶ FAO, *FAO Strategy for Partnerships with the Private Sector*, JM 2013.1/2, Rome, 20 March 2013, pp. 23, 25.

¹⁰⁷ FAO, *FAO Strategy for Partnerships with the Private Sector*, JM 2013.1/2, Rome, 20 March 2013, p. 24.

¹⁰⁸ WFP, *WFP's Private Sector Partnership and Fundraising Strategy (2013 – 2017)*, WFP/EB.A/2013/5-B, Rome 9 May 2013, p. 12.

¹⁰⁹ WFP, *WFP's Private Sector Partnership and Fundraising Strategy (2013 – 2017)*, WFP/EB.A/2013/5-B, Rome 9 May 2013, p. 13.

¹¹⁰ WFP, *Policy Evaluation, WFP's Corporate Partnership Strategy*, Evaluation Report Vol. II, Annexes, Report n. OEV.2016.010, Rome, March 2017, p. 207.

¹¹¹ IFAD, *IFAD's Private-Sector Development and Partnership Strategy*, Corporate-Level Evaluation, Report n. 2420, Rome, June 2011, pp. 64, 65, 78.

61. The private-sector strategy also provides that the Results and Impact Management System (RIMS) indicators were to include reporting on IFAD's engagement with the private sector. Nonetheless, of the 12 project-level indicators included in the private-sector results framework, seven are not included in the RIMS.¹¹² Moreover, it is left to the Country Program Manager (CPM) to decide which key performance indicator from the private-sector strategy will be included in the RIMS of IFAD-financed projects. It is evident that RIMS has not been effectively used in monitoring the implementation and results of the strategy.¹¹³
62. The Strategy also stated that IFAD would measure its performance at the aggregate level and that progress would be reported through the then Progress Report on the Project Portfolio which has since been merged into the Report on IFAD's Development Effectiveness (RIDE) presented to the Board annually. Nonetheless, there has been no reporting that has included a consolidated analysis and reporting at the aggregate level on the achievements against the 16 key performance indicators in the results framework of the private-sector strategy.¹¹⁴
63. The weight of Country strategic opportunities programmes/papers (COSOPs) in guiding partnership-building has been overestimated. They are seen as the primary tool for strategic planning, managing and monitoring of partnerships at the country level. COSOPs often express programmatic intentions by indicating opportunities for potential partnerships in support of their strategic objectives, taking into account the area of focus and priority sectors of each. These partnerships could be for project implementation, policy engagement, innovation or knowledge management and may involve co-financing, sector-wide approaches, joint policy work and sharing of experience.¹¹⁵
64. At the moment, performance on partnership is monitored through the annual client survey, which covers a selection of countries only.¹¹⁶ The long-term nature of partnerships and their contributions across a broader range of outcomes is not captured.¹¹⁷ In response, IFAD management has since then committed to generating better partnership results under IFAD11

¹¹² IFAD, *IFAD's Private-Sector Development and Partnership Strategy*, Corporate-Level Evaluation, Report n. 2420, Rome, June 2011, p. 64.

¹¹³ IFAD, *IFAD's Private-Sector Development and Partnership Strategy*, Corporate-Level Evaluation, Report n. 2420, Rome, June 2011, p. 65.

¹¹⁴ IFAD, *IFAD's Private-Sector Development and Partnership Strategy*, Corporate-Level Evaluation, Report n. 2420, Rome, June 2011, pp. 64, 66.

¹¹⁵ Cf. IFAD, *IFAD11 Replenishment Outcome Document "Leaving no one behind,"* December 2017.

Cf. IFAD, *Building partnerships for enhanced development effectiveness – a review of country-level experiences and results*, Evaluation Synthesis, Report n. 4729, Rome, March 2018, p. 5.

Cf. IFAD, *Operational Procedures on Country Strategies*, Rome, 2018, p. 5. Cf. IFAD, *Building partnerships for enhanced development effectiveness – a review of country-level experiences and results*, Evaluation Synthesis, Report n. 4729, Rome, March 2018, p. vii.

¹¹⁶ In 2017, 34 countries were invited to participate in the client survey, but only 30 had eligible responses.

Cf. IFAD, *Building partnerships for enhanced development effectiveness – a review of country-level experiences and results*, Evaluation Synthesis, Report n. 4729, Rome, March 2018, p. 14.

¹¹⁷ The IFAD Grants and Investment Project System (GRIPS). GRIPS is the corporate vehicle for the collection and dissemination of information related to IFAD grant and loan-financed projects of particular interest information on co-financing and supplementary funding.

IFAD, *Building partnerships for enhanced development effectiveness – a review of country-level experiences and results*, Evaluation Synthesis, Report n. 4729, Rome, March 2018, pp. vii, 5.

- through an enhanced emphasis on organizational decentralization and non-lending activities.¹¹⁸
65. In UNEP, progress in working with partners is reviewed bi-annually based on information contained in the organization's six-monthly progress reports at both Project and Programme Framework level. This information will feed into the management information on progress reporting, which will be reviewed by the Senior Management Team (SMT), on a six-monthly basis, to assess whether project milestones are being met. The Quality Assurance Section has the responsibility for verifying that this information is captured in the six-monthly progress reporting.¹¹⁹ Moreover, the evaluation plan for the Medium Term Strategy (MTSP) duration includes a parameter for reviewing UNEP's experience with its different partners in the course of the implementation of its Programme of Work. The Evaluation Office has the responsibility for ensuring this parameter is included in its evaluations at Subprogramme, Expected Accomplishment, and project levels.¹²⁰
66. In UNICEF, key partnerships are evaluated at least annually for their efficiency in terms of return on investment.¹²¹ Also, partnerships and collaborative relationships are monitored and evaluated as part of UNICEF's regular program activities. Country offices include partnerships in their annual work plans, results matrices, and annual reports. Key performance indicators defined in the organization's Medium Term Strategic Plan (MTSP) also measure results achieved by UNICEF and its partners. However, this practice does not distinguish between results accomplished by UNICEF through its engagement and those achieved as a result of the partnership. UNICEF needs to be better at judging the effectiveness and efficiency of its engagement in partnerships and collaborative relationships, and its costs and their benefits.¹²²
67. WHO reports annually to the Member States on its engagements with non-State actors through its governing bodies. The *Framework of engagement with non-State actors* overarching principles is that engagements with non-State actors must be adequately and transparently managed.¹²³ On a day-to-day basis, the WHO department with which the non-State actor engages is responsible for managing and monitoring the engagements. Any problems encountered should be addressed, in the first instance, by the non-State actor and the WHO focal point responsible for the engagement.¹²⁴

¹¹⁸ Cf. IFAD, *Report on the Consultation on the Eleventh Replenishment of IFAD's Resources. Leaving no one behind: IFAD's role in the 2030 Agenda*, Rome, 13-14 February 2018, pp. 11-12, 44.

¹¹⁹ UNEP, *UNEP Policy on Partnerships and Guidelines for Implementation*, August 2009, p. 11.

¹²⁰ UNEP, *UNEP Policy on Partnerships and Guidelines for Implementation*, August 2009, p. 11.

¹²¹ UNICEF and its partners will agree on reporting, monitoring and evaluation arrangements to ensure continuous improvement and the ongoing relevance and quality of activities. Moreover, the agreement will include a statement of the intended duration of the partnership and, where appropriate, under which conditions it would not be continued. See UNICEF, *UNICEF strategic framework for partnerships and collaborative relationships*, E/ICEF/2009/10, 26 March 2009, p. 18.

¹²² UNICEF, *UNICEF strategic framework for partnerships and collaborative relationships*, E/ICEF/2009/10, 26 March 2009, pp. 18 - 19.

¹²³ In practice these entails including information about non-State actors and their engagements with WHO in the Register of non-State actors. WHO, *Handbook for non-state actors on engagement with the World Health Organization*, Geneva, 2018, p. 27. WHO, *Framework of engagement with non-State actors, Agenda item 11.3, WHA69.10*, 28 May 2016.

¹²⁴ WHO, *Handbook for non-state actors on engagement with the World Health Organization*, Geneva, 2018, p. 27.

68. Also, the Executive Board, working through its Programme, Budget and Administration Committee (PBAC), reviews collaboration with each non-State actor in official relations every three years. This review is spread over three-year period so that one-third of non-State actors in official relations are reviewed each year.¹²⁵ The Executive Board may decide to maintain the non-State actor in official relations. It may also recommend the deferral of the review for one year or to discontinue official relations.¹²⁶ Every year and before the triennial review, the non-State actor must update its entry in the WHO Register and shall provide a short report on the progress made in implementing the plan of collaboration and other related activities.¹²⁷ In preparation to the triennial review, and based on the annual reporting on the implementation of the agreed plan for collaboration, the non-State actor's focal point and the WHO Designated Technical Officer will assess the collaboration over the past three years.
69. However, the organization has put in place non-compliance measures. Indeed, non-compliance with FENSA by a non-State actor may result in, for example, a reminder, warning, cease-and-desist letter, a rejection of renewal of engagement, and termination of the engagement.¹²⁸ Moreover, any financial contribution received by WHO that is later found to be non-compliant with FENSA would be returned to the contributor.¹²⁹

Finding 5: FAO is lacking a substantive knowledge management and communication support towards more effective development and implementation of partnerships, while such systems exist in various forms and stages of development in comparator organizations.

70. There is a substantive communication dimension to the effective management of partnerships. It involves public communication and recognition of the agreed mutual commitment (i.e., exchange of assets, both financial and brand-related) between parties involved. Drawing and continuously capturing lessons from ongoing experiences and sharing these contribute to the betterment of working with the private sector.¹³⁰ As a privilege of Cooperation, private sector

¹²⁵ See para 64, 65 of WHO, Framework of engagement with non-State actors, Agenda item 11.3, [WHA69.10](#), 28 May 2016, p. 17. The Director-General may also propose an earlier review, for example if a non-State actor does not fulfill its part in the collaboration plan; if it ceases to fulfill the criteria for admission; or if potential new risks for collaboration are identified.

¹²⁶ Non-State actors are informed of the decision, which is also publicly available on WHO's website. If both parties intend to further continue with the official relations, the focal point of the entity under review and the WHO Designated Technical Officer (DTO) are invited to jointly draft and agree upon a new three year plan for collaboration that would serve as the basis for the triennial review. These collaboration plans, after ensuring compliance with FENSA, are also published in the WHO register of non-State actors.

Cf. WHO, Handbook for non-state actors on engagement with the World Health Organization, Geneva, 2018, p. 38.

¹²⁷ See para 52 of WHO, Framework of engagement with non-State actors, Agenda item 11.3, [WHA69.10](#), 28 May 2016, p. 15.

¹²⁸ See paras 69, 70 of WHO, Framework of engagement with non-State actors, Agenda item 11.3, [WHA69.10](#), 28 May 2016, p. 18. Cf. WHO, Handbook for non-state actors on engagement with the World Health Organization, Geneva, 2018, p. 41.

¹²⁹ For example, if WHO were to discover after-the-fact that a grant of funds from a non-State actor as part of an engagement with WHO in fact originated with a tobacco industry, the funds would be returned. See para 71 of WHO, Framework of engagement with non-State actors, Agenda item 11.3, [WHA69.10](#), 28 May 2016, p. 18.

¹³⁰ Cf. IFAD, IFAD's Private-Sector Development and Partnership Strategy, Corporate-Level Evaluation, Report n. 2420, Rome, June 2011, p. 62.

- partners are acknowledged for their contribution in a way that shows organizations' appreciation for the support provided.¹³¹
71. In order to become a partner of choice organizations strive to communicate their experience, what can be expected from the partnership and highlight their comparative advantages. The respective communication divisions¹³² develop external communications products – comprising web, print, photography and video messages – based on compelling information and case studies that build a distinctive brand identity and spotlight the organization's unique strengths as a partner.¹³³
 72. FAO strives to communicate its experience, what can be expected from the partnership and highlight their comparative advantages. The organization shall collect, analyze, interpret, and disseminate information relating to nutrition, food, and agriculture. Also, where appropriate, FAO shall recommend national and international action concerning research and dissemination of public knowledge of nutritional and agricultural science and practice.¹³⁴
 73. Similarly to FAO, CGIAR lacks knowledge management and communication systems, although creation of the Online Platform for Stakeholder Input and Feedback was envisaged in the organization's plans.¹³⁵
 74. On the contrary, in UNICEF, information and knowledge are shared, and best practices scaled up and replicated through the global UNICEF network. UNICEF delivers global and regional workshops and technical training, as well as webinars and online courses on private sector engagement and communication across UNICEF's private sector network.¹³⁶
 75. Similarly, in IFAD and WFP, the respective communication divisions¹³⁷ develop external communications products – comprising web, print, photography, and video messages – based on compelling information and case studies that build a distinctive brand identity and spotlight the Organization's unique strengths as a partner.¹³⁸ Moreover, WFP ambassadors' programme promotes private sector partnerships. WFP communications unit continuously provides guidance and support to all divisions in pursuit of new partnerships.

¹³¹ WFP, *WFP's Private Sector Partnership and Fundraising Strategy (2013 – 2017)*, WFP/EB.A/2013/5-B, Rome 9 May 2013, p. 24.

Cf. IFAD, *IFAD Partnership Strategy*, Rome 20-21 September 2012, pp. 16-17.

Cf. IFAD, *IFAD's Private-Sector Development and Partnership Strategy, Corporate-Level Evaluation*, Report n. 2420, Rome, June 2011, p. 62.

Any use of WHO's name or emblem requires the prior written authorization of WHO's Director-General. Cf. WHO, *Framework of engagement with non-State actors*, Agenda item 11.3, WHA69.10, 28 May 2016, pp. 13, 25.

¹³² In FAO the Office for Corporate Communication (OCC), in IFAD the Communications Division (COM) and in WFP Communications (COM).

¹³³ IFAD, *IFAD Partnership Strategy*, Rome 20-21 September 2012, pp. 16-17.

¹³⁴ See Art. 1 FAO, *Basic texts of the Food and Agriculture Organization of the United Nations*, Rome, 2017.

¹³⁵ CGIAR, *2013 CGIAR Stakeholder engagement partnership Action Plan*, Rome, June 2013.

¹³⁶ UNICEF, *Private Fundraising and Partnerships*, 2017 Annual Report.

¹³⁷ In FAO the Office for Corporate Communication (OCC), in IFAD the Communications Division (COM) and WFP Communications (COM).

¹³⁸ IFAD, *IFAD Partnership Strategy*, Rome 20-21 September 2012, pp. 16-17.

4 Conclusions and recommendations

4.1 Conclusions

76. There is a need for greater coordination and better use of the scattered and limited resources currently devoted to partnerships across the United Nations system. Particularly when the United Nations departments, specialized agencies, funds, and programs are often competing for support from the private sector in a non-coordinated manner.
77. The Secretary-General has called for coherence and coordination at the United Nations system-wide level, as a "lack of coordination" and "lack of common tools" are pressing challenges to develop effective partnerships. The Secretary-General emphasizes the "urgent need to embrace a more coordinated and less internally competitive, approach to partnerships."¹³⁹ Also, the UN General Assembly resolution 55/215 called for enhanced cooperation between the United Nations and all relevant partners, in particular, the private sector.¹⁴⁰ Furthermore, in its resolution 68/234, the General Assembly encouraged the United Nations system to place greater emphasis on due diligence without imposing undue rigidity in partnership agreements.¹⁴¹ Private sector firms compete in very dynamic environments governed by concepts like value for money, swiftness, and cost-effectiveness. Nonetheless, significant challenges persist concerning bureaucracy, cumbersome and complicated rules, regulations and procedures, organizational effectiveness and partnership impact, communication and reporting requirements, and the use of emblems and the logo. This culture gap between the United Nations system and the private sector hinders the successful implementation of partnerships.
78. The present comparator study suggests that the resources in place and the way they are adopted are consistent with the overall goal and the attainment of its objectives. Nevertheless, in terms of relevance, FAO should further strengthen partnerships and alliances towards zero hunger, poverty, and sustainable use of natural resources. In order to achieve this, FAO needs to review its partnership modalities and achievements as well as funding mechanisms to maximize the potential of its core functions and means - for generating more significant impact and synergies. A few recommendations are offered as per below.

¹³⁹ Cf. A/72/310, para. 28.

¹⁴⁰ Cf. UNGA, *Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector, Report of the Secretary-General, A/58/227*, 18 August 2003.

¹⁴¹ UNGA, *Towards global partnerships: a principle-based approach to enhanced cooperation between the United Nations and all relevant partners, A/RES/68/234*, 20 December 2013. in its resolution 68/234

4.2 Recommendations

Recommendation 1. FAO needs to clarify different categories of private sector actors and accordingly review and further develop its due diligence and associated process as a function that is meant to serve the organization to identify the most strategic opportunities, while at the same time properly assessing potential risks.

79. In FAO, partners grouped under the label of the private sector, in reality, constitute a very varied group whose different characteristics should be taken into account in programming.

80. For this study, the following definitions are proposed:

'The Private Sector' is the part of the economy that is run by individuals and companies and is not state controlled. Therefore, it encompasses all for-profit businesses that are not owned or operated by the government, and in some definitions, it may also include privately-owned organizations (i.e., family foundations or associations) or include influential individuals such as high net worth individuals.

The business sector

- For-profit and commercial enterprises of any size, whether privately owned, public, or fully governed by governments;
- Corporate foundations and foundations that are directly funded and/or governed by business;
- Business associations, coalitions, and alliances, including for example, chambers of commerce, cooperatives, and industry and cross-industry initiatives where the participants are for-profit enterprises.

'Partnership':

81. This engagement is defined as a voluntary and collaborative agreement or arrangement between FAO and the private sector, in which all participants agree to:

- Work together to achieve a common purpose;
- Invest their respective resources (i.e., time, knowledge and expertise, research and technological development, funding, core assets, etc.);
- Acknowledge mutual benefits as an integral aspect to the engagement; and
- Share risks.

82. FAO could consider the use of this common approach expanding it to non-corporate (i.e., family foundations) or significant donors and high net worth individuals.

83. It follows that partnership risks cannot be entirely avoided; 'zero-risk' does not exist no matter how respectable a potential partner. Risks cannot always be avoided, but they can be firstly identified by "*generat[ing] a comprehensive list of risks based on those events that might enhance, prevent, degrade or delay the achievement of the objectives. It is also important to identify the risks associated with not pursuing an opportunity.*"¹⁴² As a result, risk aversion should be considered with caution, while trust building should be actively sought.

¹⁴² ISO 31000 (2009) 'Risk management – Principles and guidelines' 1st ed. ISO

Table 7: Proposed Organization Wide Risk Framework¹⁴³

Proposed System Wide Risk Framework			
5 Level Risk Rating			
Risk level of appetite	Institutional risks	Programmatic risks	Contextual risks
	Internal risks that can be controlled through compliance with established policies.	Strategic risks that are taken on in the pursuit of value and relating to program objectives and interventions.	External risks that are largely beyond control but can still be managed: <ul style="list-style-type: none"> • generate ideas about the type and magnitude of external events that could happen; • develop a plan for mitigating the negative impact if such an event should occur in the future.
High	Engagement with sectors of the economy or business practices that are incompatible with FAO's vision, mission, and values or companies that are in violation of UN resolutions or included on UN ineligibility lists. <ul style="list-style-type: none"> ○ Opportunities presenting risks are accepted and encouraged if the likelihood of risks materializing combined with their potential impact make benefits greater than potential losses. 		
Significant	These are private sector entities that are defined during the risk analysis as having significant controversies <ul style="list-style-type: none"> ○ Opportunities presenting a risk of limited under-achievement are accepted if the likelihood of risks materializing combined with their potential impact make benefits greater than potential losses. 		
Moderate	These are private sector entities that are defined during the risk analysis as having moderate controversies <ul style="list-style-type: none"> ○ Opportunities presenting the possibility of under-achievement in some circumstances are accepted, as we seek safe operations and program/project delivery options despite lower potential rewards. 		
Low	All other cases not covered under the exclusionary criteria and the above. <ul style="list-style-type: none"> ○ Unwillingness to accept risks under any circumstances that would significantly impact the achievement of our objectives. 		

- The approval mechanism could be tailored to the financial commitment and the level of risk presented by the partnership. In this regard, FAO could consider delegating authority for initial

Cf. CGIAR, Risk Management Good Practice [Note](#), Rome, December 2017, p. 13

¹⁴³ Adapted from CGIAR, *Risk Management Good Practice Note*, Rome, December 2017, pp. 9,13 and from CGIAR, Risk Management [Guidelines](#) of the CGIAR System, Rome, December 2017, p. 6.

screening and risk assessment to (sub)regional and country offices provided that the due diligence review does not reveal any risks to the organization.

- This arrangement would ensure that the decisions are taken at the lowest practical level while the responsibility would rest with management to deliver effective due diligence and the respective offices to ensure adequate oversight. This may enhance the capacity of the organization overall to better reach out to the private sector. Should the matter not be satisfactorily resolved at that level, the proposed engagement is considered by the Sub-Committee for Review of Financial and other Agreements (Sub-Com RFA) and Partnership Committee. Final decisions, in this case, are to be taken by the Director-General.
- In practical terms, first, the organization could adopt a pre-screening questionnaire by asking systematic questions. Crucial issues to be covered include the mandate/agenda, track record, and reputation, skills, and competencies that complement the organization's, management and governance structures, financial record and on the proposed partnership, identifying clearly the expected outcomes, likely costs, and associated risks and thus informing from an early stage if the prospective partnership is fit for purpose. This would facilitate engagement as it informs decision making when, for instance the partner is not suitable for the goals of the proposed partnership, or a partnership. Based on this, the due diligence team may provide a pre-screening snapshot to potential partnership initiators taking into account national priorities and (any) national risk assessment(s).
- Second, FAO could adopt a flexible approach such as authorizing the partnership but with enhanced monitoring, periodic performance reviews or limiting public communication activities. For companies indirectly linked to exclusionary business activities via a subsidiary, or parent company such engagements may be considered, where the core business of such business entity does not itself meet the exclusionary criterion, and the two entities are sufficiently separated both in terms of corporate structure and from a public perception perspective. FAO may develop its threshold policy to determine "separation" or agree to adopt an existing one from another UN organization.¹⁴⁴ Exceptions may also apply on an ad-hoc basis when the purpose of the engagement is specifically to address the issue identified as exclusionary and when a company is proven to be the only one equipped with life-saving and/or emergency-related unreplaceable technical solutions. Furthermore, interactions may still be considered on an ad-hoc basis when revolving around knowledge or skill transfer, if the relationship is not structured, nor publicly promoted as a "partnership" but rather as a dialogue or an interaction. These exceptions would not apply to entities under UNSC lists, or companies primarily involved in the manufacturing or selling of weapons banned or sanctioned by UN treaties.
- Third, the ex-ante assessments, preconditions and due diligence process should be reinforced by a post-factum analysis of the fulfillment by the private sector partners of their commitments and the impact and added value of such partnerships. Also, risks can and needs to be managed.

¹⁴⁴ Examples of thresholds currently used to assess the degree of separation include ownership level (i.e., >50% of direct ownership) while for the public perception proxy branding indicators are used (i.e., subsidiary and parent company using the same brand and being publicly promoted as part of the same business strategy).

Critical for risk management remains continuous monitoring and ensuring risk review over time as risk issues are not static.¹⁴⁵

- It follows that current instruments informing the formal risk assessment and approval process of all partnership proposals need to be reviewed for clarity, coherence, and consistency.¹⁴⁶ The DGB 2014/13 refers to the committee applies only to matters that fall into the legal domain. However, DGB 2014/13 is just a specific instrument for LEG to determine how to propose agreements. The DGB 2014/13 in point 3. excludes several agreements (i.e., project, funding resources) and thus the assumption is that those are excluded as well from the Partnership Committee. These entail multimillion dollars for resource mobilization, operational project implementers, etc.
- Also, the due diligence team shall be organized and equipped so that they can exercise their role in the most objective and effective way. Measures to ensure this may include a reporting line outside the partnerships function, or decision-making mechanisms involving stakeholders outside fundraising and partnerships. Nonetheless, proximity and even co-working arrangements with partnerships teams are instrumental in ensuring that prospect research and risk management are undertaken in the most effective way.
- Guidelines or other guidance sources should clarify a set of sources and types of information to reduce the risk of oversights. Due diligence and risk assessment should be carried out even before considering the conclusion of a framework partnership agreement rather than at the moment of concluding specific implementation arrangements to ensure consistency in downstream arrangements and avoid ad hoc solutions.

Recommendation 2. FAO needs to proactively create and regulate conducive environment for partnerships with the private sector with a view of identifying, mapping, and effectively reaching out to potential partners and facilitating mutual understanding of potential partnership benefits.

84. FAO globally has a strong mandate to the SDGs global commitments to be delivered through actions at the national level by setting progressive development milestones for 2030. It is a custodian agency for 21 SDG indicators for which it is responsible for compiling data from

¹⁴⁵ Other risk management measures include the development of a risk log, monitoring plan, grievance mechanism, stakeholder engagement, conditions in agreements, and exit strategy, among others.

¹⁴⁶ FAO, *Procedures for the preparation, clearance, and signature of Agreements*, Director-General's Bulletin, No. 2014/13, Rome, 18 March 2014. FAO, *Review of Partnerships with Non-State Actors and Composition of the Partnerships Committee and the Sub-Committee for the review of financial and other agreements*, Director-General's Bulletin, No. 2014/14, Rome, 31 March 2014.

See footnote no. 5. DGB No. 2014/14 published on the 31 of March refers to "a revised DGB on "Policy Guidelines on the Preparation, Clearance, and Signature of Agreements is under review," expected to be published. However, the DGB No. 2014/13 FAO, *Procedures for the preparation, clearance, and signature of Agreements*, Director-General's Bulletin, No. 2014/13, had been published on the 18 of March. Thus the DGB 2014/13 and the DGB 2014/14 are not connected. Moreover, DGB No. 2014/14 published on the 31 of March "Review of Partnerships with Non-State Actors and Composition of the Partnerships Committee and the Sub-Committee for the Review of Financial and other agreements does not specify which financial agreements the Due Diligence Unit handles. The same mentions that "[a]ll eligible proposals will be passed on to the Sub-Committee for Review of Financial and other Agreements (SubCom-RFA), along with recommendations regarding benefits and potential risks" but it does not specify which are eligible to go through to the SubCommittee.

- countries while also supporting national capacities for data collection. FAO's work directly contributes to 25 SDG indicators while providing indirect contributions to several others. There are seven SDGs directly related to agriculture and natural resource management (SDG 1, 2, 6, 12, 13, 14 and 15), plus another four addressed as crosscutting (SDG 5, 7, 8 and 17).¹⁴⁷
85. Private sector entities are interested in partnering with FAO to (in)directly contribute to core business elements (i.e., products, services, R&D or strategies) and regard business value as a core aspect of advancing the social and economic conditions in the communities in which a business entity operates, and beyond.¹⁴⁸ While mutual benefit is an essential ingredient of these partnerships, the focus remains on their "shared" value attribute, meaning that the societal benefits of the partnership should always be of primary consideration and that business interests shall not overrun, nor undermine, that of the ultimate beneficiary of the engagement. These partnerships are often labeled as *shared value* partnership (SVP). However, while shared value partnerships can be instrumental in achieving more sustainable results, the proximity and direct connection with core business interests may require FAO to consider additional and specific parameters around the co-existence of commercial and non-commercial narratives within the same partnership framework.
- Thus, FAO should consider facilitating the engagement with private sector partners and reducing the administrative burden by formulating and implementing of partnership and communication action plans for each Strategic Objective, aiming at extending engagement to all potential (including private sector) partners and exploiting inherent complementarities and synergies around sustainability issues.
86. At the country level, the decentralized offices' programmes should be informed by these action plans, which could be further complemented by localized approaches to identify and actively engage all relevant (private) partners and alliances. These efforts at various levels in FAO should be on fostering multi-actor initiatives, recognizing that resources contributed by partners go beyond financial contributions and include expertise, networks and advocacy, and investments.
87. FAO and the governments "defin[e] the development priorities for collaboration [...] the outputs to be achieved contributing to national priorities, regional priorities and corporate results, and the resources and partnerships required" in the Country Programme Frameworks (CPF).¹⁴⁹ CPFs also need to be informed by well-facilitated and inclusive consultations to both broaden the array of partners involved and consider them as partners for achieving results. Clearer guidance and support should be given on the roles of the country core and support team after the program formulation as well as responsibilities of the host government for monitoring and progress tracing thus how to work and manage partnerships with the private sector during the CPF implementation process. Working with the private sector (on market linkages) would require building market mechanisms into a project design. Tapping the

¹⁴⁷ FAO, *FAO and the SDG Indicators: Measuring up to the 2030 Agenda for Sustainable Development*, 2017. Cf. FAO, *Synthesis of lessons learned in the application of the Country Programming Framework*, April 2018. pp. 17-19.

¹⁴⁸ From a business standpoint, this value may translate into operational enhancement, reputational benefits, employee satisfaction and retention, sustainability. From the perspective of the United Nations, the value can translate into better, more sustainable and at scale (or scalable) solutions to meet the SDGs.

¹⁴⁹ *Guide to the Formulation of the Country Programming Framework (CPF)*.

synergy with the partners' ongoing activities is another way to ensure sustainability and continuity of results.

- Secondly, FAO may put in place a "one-stop shop" to receive and appropriately channel private sector partnership initiatives which could facilitate engagement and reduce the associated bureaucracy. The organization may consider establishing an online system Partners Portal that would serve as an official channel through which the organization may interact with (prospective) partners. The Portal could include due diligence and approval process, designed to ensure that the partnership presents a clear benefit, protect FAO from any undue influence, not compromise FAO's integrity, independence, credibility, and reputation, and be conducted on the basis of transparency, openness, inclusiveness, accountability, integrity and mutual respect.
- Thirdly, FAO may consider resuming the annual private sector partnership dialogue where private sector entities would share their perspectives, and get involved in the implementation of the Strategy. These periodic consultations and engagement with the private sector would complement FAO's transparency and outreach efforts. Furthermore, in an effort towards bridging the cultural and operational differences and incompatibilities, FAO could seek opportunities for human resources exchanges with businesses¹⁵⁰ on a reciprocal or unilateral basis. This would create a pool of experts capable of understanding and guiding partnerships both ways.

Recommendation 3. FAO needs to ensure a better balance between upholding the organizational image, principles, and values and the necessary flexibility and instruments used when partnering with the private sector.

88. See Table 6 below for suggested instruments for different types of engagements and scopes targeting the areas of engagement of FAO Strategy for Partnerships with the Private Sector. Note that partnerships may involve more than one objective and type of modality and that not all modalities are qualified as partnerships.

¹⁵⁰ i.e., joint training programs and sabbatical leaves.

Table 8: Examples of partnership and engagement modalities

	Scope	Definition	Modalities	Possible Instrument
a.	Development and technical programs	Engagements based on specific programmatic needs and challenges with defined technical specifications. This can be capacity-building activities in which companies provide expertise and knowledge to help FAO improve its practices and develop forward-looking solutions or joint implementation of the partnership. These could also include shared value and innovation partnerships where FAO works with partners to share experience and design and deliver solutions to problems where existing solutions are not available or not appropriate.	These engagements inherently involve some investment on both sides and therefore are often structured as partnerships or public collaborations between FAO and private sector entities. Example mechanisms: co-creation of product innovation or innovative solutions, business advisory services, corporate staff secondment to FAO organizations, feasibility studies, implementation and evaluation activities, innovative finance, and core business for market development.	<ul style="list-style-type: none"> ○ MoU ○ Technical assistance agreements ○ Cost-sharing agreements ○ Contribution agreements
b.	Policy dialogues and normative setting	Policy dialogues are discussions among stakeholders that aim to bring about or encourage specific changes in policy or behavior or to adopt best practices and standards. Multi-stakeholder policy dialogues are increasingly emerging to address development challenges, improve corporate practices, and set industry standards. There are various mechanisms for policy dialogue across UN organizations that vary in their degree of formalization and institutionalization.	These forms of engagement may or may not be labeled as “partnerships” or collaborations, and the level of public exposure for FAO (and therefore public perception-related risks) may vary significantly. On the contrary, in normative processes impacting on private sector activities, the engagement modality would not be normally structured as a partnership, but more often as consultation or hearing. Example mechanisms: specialized hubs or institutions, private sector networks, institutionalized dialogues, multi-stakeholder networks and platforms, cross-sector roundtables, advocacy, and campaigns.	<ul style="list-style-type: none"> ○ MoU
c.	Advocacy	These collaborations with private sector entities aim to increase public awareness or influence behaviors in the community among key stakeholders and decision makers.	These engagements are generally public, with the level of brand association between FAO and private sector entities varying, depending on the context and specific goal. While they may not have all the attributes of a partnership,	<ul style="list-style-type: none"> ○ MoU

			<p>advocacy would often be publicly portrayed as coalitions or alliances between FAO and private sector entities.</p> <p>Example mechanisms: media campaigns, community level communication for development programs or projects, and public events.</p>	
d.	Knowledge management and dissemination	<p>Knowledge sharing entails interactions aimed at exchanging experiences and best practices among organizations and firms. This differs from policy dialogue in that although such exchanges may lead to new policies or behavioral changes, their goal is learning oriented. They are not specifically geared at changing the policies of individual actors or developing shared policy frameworks.</p>	<p>These forms of engagement are often not structured or communicated as "partnerships," and the level of affiliation between FAO and private sector entities may be minimal (i.e., in the case of an FAO event where business entities participate as an audience, or in a third-party event where business is an independent panelist).</p> <p>Example mechanisms: learning platforms, multi-stakeholder networks, conferences, seminars, workshops and other events.</p>	<ul style="list-style-type: none"> ○ MoU ○ Statement / Letter of Intent
e.	Resource mobilization	<p>This refers to transfers made in cash, goods, or services from or via a private sector entity to FAO for which no monetary repayment is required. This type of interaction does not necessarily imply institutionalized partnerships, but it does generally involve some level of public communication and recognition (brand asset exchange) to the donor. In many instances, resources are provided to support a specific project or activity that reflects some area of shared interest between organizations and firms.</p>	<p>Funding may come through direct support from a private sector entity - for example, through funds earmarked for corporate social responsibility or philanthropy; through donations from a private sector entity's employees; or donations from a private sector entity's consumers via cause-related marketing campaigns.</p> <p>Example mechanisms: sponsorship, grant donations, marketing, and campaigns.</p>	<ul style="list-style-type: none"> ○ MoU ○ Cost-sharing agreements ○ Pro-bono agreement ○ Small grants/contributions agreements

Recommendation 4. FAO needs to ensure that each officer responsible for managing specific partnerships, receives continuous guidance and advice to ensure responsiveness to partners and avoid delays in addressing partners' concerns.

- Partnerships Division (PSP) and the Business Development and Resource Mobilization Division (PSR) may further coordinate in their activities to provide overall support of the implementation of the FAO Organization-Wide Strategy on Partnerships.

- Further concerted efforts could be considered to be put in place by PSP, technical units and decentralized offices for reporting on progress and added value of partnerships through the corporate database of past and ongoing partnerships. It is a primary tool used to access the organizational experience of working with the private sector. Also, develop performance benchmarks with clear indicators for measuring actual financial resources raised, the value generated by private-sector partnerships and the overall benefit to FAO would ensure the systematic review of ongoing partnerships performance against the defined objectives. This, in turn, can facilitate informed decision making as to whether to extend or close individual partnerships.
- Any problems encountered should be addressed, in the first instance, by the private sector entity and FAO focal point responsible for the engagement. Also, FAO may want to consider putting in place non-compliance measures, i.e., a reminder, warning, cease-and-desist letter, a rejection of renewal of engagement, and termination of the engagement. Also, any financial contribution received by FAO that is later found to be non-compliant with FAO rules and regulations would be returned to the contributor.

Recommendation 5. FAO needs to develop knowledge management system to continuously capture, document and share lessons from ongoing experiences to inform improvements of working with the private sector.

- For FAO to become a partner of choice, it needs to communicate its experience, what can be expected from the partnership and highlight its comparative advantages, ultimately building a distinctive brand identity and spotlight the organization's unique strengths as a partner.
-
- As a privilege of cooperation, private sector partners shall be acknowledged for their contribution in a way that shows organizations' appreciation for the support provided.

References

- Baxter, Pamela., & Jack, Susan.** "Qualitative Case Study Methodology: Study Design and Implementation for Novice Researchers". *The Qualitative Report*, vol. 13 n. 4, 2008, pp. 544-556.
- Bray, Mark., & Thomas, R. Murray.** "Levels of comparison in educational studies: Different insights from different literatures and the value of multilevel analyses. *Harvard Educational Review*, vol. 65 n. 3, 1995, pp. 472- 491.
- CGIAR,** Evaluation of Partnerships in CGIAR, Rome, July 2017.
- CGIAR,** Risk Management Good Practice Note, Rome, December 2017.
- CGIAR,** Risk Management Guidelines of the CGIAR System, Rome, December 2017.
- Collier, David** "The Comparative Method", in Ada W. Finifter (ed.) *Political Science: The State of the Discipline (II)*, Washington, DC, American Political Science Association, 1993, pp. 105-19.
- Creswell, W. John.,** *Qualitative inquiry and research design: Choosing among five approaches*, Thousand Oaks, California, Sage, 2013.
- Duranti, Alessandro., & Goodwin, Charles** (eds.), *Rethinking context: Language as an interactive phenomenon*. London, Cambridge University Press, 1992.
- Dyson, Anne. Haas., & Genishi, Celia.** *On the case: Approaches to language and literacy research*. New York, Teachers College Press, 2005.
- FAO,** *FAO Guidelines for Partnership and Collaboration with the Private Sector*, Rome, 2016.
- FAO,** *FAO Strategy for Partnerships with the Private Sector*, JM 2013.1/2, Rome, 20 March 2013
- FAO,** *Fourth FAO private sector partnerships dialogue, Meeting Proceedings*, Rome, 14 October 2015.
- FAO,** *Incentives for Ecosystem Services, Private sector consultation: Investment in sustainable supply chains and ecosystem services*.
- FAO,** *Principles, and Guidelines for FAO Cooperation with the Private Sector*, Rome, 1 November 2000.
- FAO,** *Procedures for the preparation, clearance, and signature of Agreements*, Director-General's Bulletin, No. 2014/13, Rome, 18 March 2014. (Director-General's Bulletin)
- FAO,** *Review of Partnerships with Non-State Actors and Composition of the Partnerships Committee and the Sub-Committee for the review of financial and other agreements*, Director-General's Bulletin, No. 2014/14, Rome, 31 March 2014.
- FAO,** *The State of Food Security and Nutrition in the World*, 2018.
- FAO,** *Third FAO private sector partnerships forum, Meeting Report*, Rome, 15 October 2014.
- Gerring, John.,** "What is a Case Study and What is it Good for?", *American Political Science Review* vol. 98, n. 2, 2004, pp. 341-354.

Gupta, Akhil., & Ferguson, James "Culture, power, place: Ethnography at the end of an era", in Akhil Gupta & James Ferguson (eds.), *Culture, power, place: Explorations in critical anthropology*, Durham, North Carolina, Duke University Press, 1997, pp. 1–32.

Hannerz, Ulf., "Studying down, up, sideways, through, backwards, forwards, away and at home: Reflections on the field worries of an expansive discipline" in Simon. M. Coleman & Peter. Collins (eds.), *Locating the field: Space, place, and context in anthropology*, Oxford, UK, Berg Publishers, 2006, pp. 23-41.

Horton, Douglas, Prain, G., and Thiele, G. 2009. Perspectives on partnership: A literature review. International Potato Center (CIP), Lima, Peru. Working Paper 2009-3.

IFAD, Building partnerships for enhanced development effectiveness – a review of country-level experiences and results, Evaluation Synthesis, Report n. 4729, Rome, March 2018.

IFAD, Due Diligence Process for Corporate Private Sector Partnerships, PB/2014/09, Rome 15 December 2014.

IFAD, How to do Public-Private-Producer Partnerships (4Ps) in Agricultural Value Chains, Rome March 2016.

IFAD, IFAD Partnership Strategy, Rome 20-21 September 2012.

IFAD, IFAD's Private-Sector Development and Partnership Strategy, Corporate-Level Evaluation, Report n. 2420, Rome, June 2011.

IFAD, Operational Procedures on Country Strategies, Rome, 2018.

IFAD, Private-Sector Development and Partnership Strategy, Rome, 2007.

IFAD, Report of the Consultation on the Eleventh Replenishment of IFAD's Resources. Leaving no one behind: IFAD's role in the 2030 Agenda, Rome, 13-14 February 2018.

IFAD, Revised organizational structure to realign IFAD's operational areas effective as of 1 April 2018, PB/2018/02, Rome 3 March 2018.

Kenneth W. Abbott and Duncan Snidal, "International Regulation without International Government: Improving IO Performance through Orchestration," *The Review of International Organizations*, vol. 5, n. 3, 2010.

Leander, Kevin., & Sheehy, Margaret. (eds.), *Spatializing literacy research and practice*. New York, Peter Lang, 2004.

Massey, B. Doreen., *For space*. London, Sage, 2005.

Merriam, B. Sharan., *Qualitative research and case study applications in education*, San Francisco, Jossey-Bass, 1998.

Middleton, Sue, *Henri Lefebvre and education: Space, history, theory*, New York, Routledge, 2014.

MOPAN, Mopan 2015-2016 Assessments, United Nations Environment Programme (UNEP), Institutional Assessment Report, 2016.

Nespor, Jan., *Tangled up in school: Politics, Space, Bodies, and Signs in the Educational Process*, Mahwah, New Jersey, Lawrence Earlbaum Associates Inc. Publishers, 1997.

Ragin C. Charles., Berg-Schlosser, Dirk. and De Meur, Gisèle., "Political Methodology: Qualitative Methods", in Robert. E. Goodin and Hans-Dieter Klingemann (eds.), *A New Handbook of Political Science*, Oxford, Oxford University Press, 1996, pp. 749-68.

Ragin, C. Charles., "Introduction: Cases of "what is a case?" in Charles C. Ragin & Howard. S. Becker (eds.), *What is a case? Exploring the foundations of social inquiry*, New York Cambridge University Press, 1992, pp. 1-17.

Ragin, C. Charles., and Becker, S. Howard., *What is a Case? Exploring the Foundations of Social Inquiry*, Cambridge, Cambridge University Press, 1992.

Rittenburg Larry., and Martens Frank. *Enterprise Risk Management – Understanding and Communicating Risk Appetite* COSO, 2012.

The Partnering Initiative (IBLF), *The Partnering Toolkit: An essential guide to cross-sector partnering*, Tennyson, 2011.

The UN Global Compact, *The Ten Principles of the UN Global Compact*, New York, 2000.

The UN, *Guidelines on a principle-based approach to the Cooperation between the United Nations and the business sector*, 2009 ; 2015.

The UNGA, Economic and Social Council, *Repositioning the United Nations development system to deliver on the 2030 Agenda: ensuring a better future for all*, Report of the Secretary-General, A/72/124-E20183, 11 July 2017.

The UNGA, *Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector*, Report of the Secretary-General, A/58/227, 18 August 2003.

The UNGA, Human Rights Council, *Elaboration of an international legally binding instrument on transitional corporations and other business enterprises with respect to human rights*, A/HRC/RES/26/9, 14 July 2014.

The UNGA, Human Rights Council, *Human rights and transnational corporations and other business enterprises*, A/HRC/RES/17/4, 6 July 2011.

The UNGA, *Report of the Second Committee, Towards global partnerships*, A/68/445, 13 December 2013.

The UNGA, *Towards global partnerships: a principle-based approach to enhanced cooperation between the United Nations and all relevant partners*, A/RES/68/234, 20 December 2013.

The UNGA, *Towards global partnerships: a principle-based approach to enhanced cooperation between the United Nations and all relevant partners*, A/RES/68/234, 7 February 2014.

The UNGA, *Towards global partnerships: a principle-based approach to enhanced cooperation between the United Nations and all relevant partners*, A/RES/70/224, 23 February 2016.

The UNGA, *Transforming our world: the 2030 Agenda for Sustainable Development*, A/RES/70/1, 21 October 2015.

Tsing, Lowenhaupt., Anna., *Friction: An ethnography of global connections*, Princeton, Princeton University Press, 2005.

UNEP, Decision adopted by the Governing Council/Global Ministerial Environment Forum at its first universal session, 27/2, 22 February 2013.

UNEP, Delivering on the 2030 Agenda for Sustainable Development, Assembly Resolution 2/5, Nairobi, 23-27 May 2016.

UNEP, Handbook for stakeholder engagement at UN Environment, 2018

UNEP, Subcommittee meeting of the Committee of Permanent Representatives, UN Environment Programme Private Sector Engagement, 24 May 2018.

UNEP, UN Environment Programme: Delivering the Programme of Work through Partnerships, 5th Annual Subcommittee meeting of the CPR, 22 October 2018.

UNEP, UNEP Partnership Policy and Procedures, 21 October 2011.

UNEP, UNEP Policy on Partnerships and Guidelines for Implementation, August 2009.

UNEP, Report by the Secretariat on UN Environment Programme's Private Sector Engagement, UNEP/CPR/142/4, 4 May 2018

UNICEF Guidelines for Ethical Reporting on Children, 2010.

UNICEF Sabbatical Program, August 10 2010.

UNICEF, Principles for Partnership, 2017.

UNICEF, Private Fundraising and Partnerships, 2017 Annual Report, Geneva, 2017.

UNICEF, UNICEF Guidelines and Manual for Working with the Business Community, 2001.

UNICEF, UNICEF strategic framework for partnerships and collaborative relationships, E/ICEF/2009/10, 26 March 2009.

UNICEF, UNICEF Strategic Plan, 2018-2021, E/ICEF/2017/17/Rev., 16 August 2017.

WEF. "Guiding World Economic Forum and the United Nations Office for the Coordination of Humanitarian Affairs, Principles for Public-Private Collaboration for Humanitarian Action, 2007.

WFP, "UN Food Agencies commit to deeper collaboration to achieve Zero Hunger", 6 June 2018, retrieved 15 March 2019.

WFP, New Partnerships to Meet Rising Needs – Expanding the WFP Donor Base, WFP/EB.3/2004/4-C, Rome, 14 September 2004, Annex II WFP Private – Donor Selection for Cooperation, and Annex III WFP Code of Conduct.

WFP, Policy Evaluation, WFP's Corporate Partnership Strategy (2014-2017), Evaluation Report, Report n. OEV.2016.010, Rome, March 2017.

WFP, Policy Evaluation, WFP's Corporate Partnership Strategy, Evaluation Report, Vol. II, Annexes, Report n. OEV.2016.010, Rome, March 2017.

WFP, WFP Corporate Partnership Strategy (2014-2017), Rome, July 2014.

WFP, WFP's Private Sector Partnership and Fundraising Strategy (2013 – 2017), WFP/EB.A/2013/5-B, Rome 9 May 2013.

WFP, WFP's Private Sector Partnership, and Fundraising Strategy: An Evaluation, Vol. I, Full Report, Report n. OE.2012.010, Rome, September 2012.

WHO, Basic Documents, 2014.

WHO, Constitution of the World Health Organization.

WHO, Engagement with non-State actors, EB144/36, 23 November 2018.

WHO, Framework of engagement with non-State actors, Agenda item 11.3, WHA69.10, 28 May 2016.

WHO, Handbook for non-state actors on engagement with the World Health Organization, Geneva, 2018.

WHO, Partnerships, Report by the Secretariat, A63/44, 22 April 2010.

Yin, K. Robert, Applications of case study research, Thousand Oaks, California, Sage, 2011.

Yin, K. Robert., Case study research: Design and methods, fifth edition, Los Angeles, Sage, 2014.