



## **Resource Mobilization Strategy and Guide for the Mountain Partnership 2014-2017: DRAFT**

### **Introduction**

Mountain Partnership members during the 4<sup>th</sup> Global Meeting of the Mountain Partnership which was held in September 2013 requested the creation of a Resource Mobilization (RM) task force and a RM strategy to expand and consolidate the resources required for Mountain Partnership (MP) activities. Members also recommended the establishment of a Mountain Facility as a funding mechanism to promote collaboration among members and increase their impact at different levels.

This draft resource mobilization strategy and guide intends to assist MP members in mobilizing resources, in allocating these resources for agreed priorities of work and in managing and reporting on their use. The strategy has a life span equivalent to the current four year work plan and will be revised in December 2017.

The draft strategy and guide follows the five main phases that make up the conceptual framework of any resource mobilization cycle: 1) identify, 2) engage, 3) negotiate, 4) manage and report and 5) communicate results.

A funding database, RM communication material and a resource mobilization matrix of efforts undertaken so far by the MPS are also among the tools provided to MP members to assist them in identifying funding opportunities and preparing proposals for mobilizing resources.

### **Context and challenges**

The aid and resource environment has changed quite considerably over recent years, and traditional resource partners are no longer the main source of funding. The current economic climate has led to the decrease of Official Development Assistance (ODA) and a narrowing down of areas into which resource partners are willing to invest.

This means that the traditional sources of funding for the Mountain Partnership Secretariat (MPS) have decreased and there is a need to diversify and expand the resource base to ensure that the work of the MP is carried out according to members' needs and requests.

However new opportunities exist, particularly in the environmental finance space. For example, the latest edition of the [Global Landscape of Climate Finance 2014](#), the most comprehensive overview of global climate finance flows available, estimates that in 2013 global climate finance flows have been around \$331 billion. Climate finance flows were split almost equally between developed (OECD) and developing (non-OECD) countries, USD 164 billion and USD 165 billion respectively. Distinct from carbon markets, this direct finance is primarily disbursed in the form of grants and low-interest loans, 90% of which come from the private sector with the remaining being provided by governments on a bilateral and unilateral basis. Climate finance may be used to support climate mitigation and adaptation projects, including a variety of sustainable mountain development activities such as adaptive grazing management, sustainable cropping ecosystem restoration and soil conservation measures. This and other funding mechanisms (e.g. Green Bonds) represent significant RM opportunities which are currently being investigated by the MP.

The Global Environment Facility (GEF 6), which covers programmes and activities for the four years covering July 1, 2014 to June 30, 2018, will have a strong focus on the drivers to improve the ability to tackle the "root-causes" of environmental degradation, which is critical to slow and eventually reverse environmental trends. For sustainable Mountain Development (SMD) purposes it should also be noted that given the magnitude of

## Item #10



the potential adverse impacts of climate change the GEF Council has encouraged the GEF to reflect resilience in its projects. As a measure to address this call, the GEF has increasingly sought synergies and efficiency gains by supporting multi-focal and multi-trust fund projects that combine funding from the Least Developed Countries Fund and Special Climate Change Fund with that of various GEF focal areas, even though these voluntary funds are not a part of the replenishment process.

In November 2014 representatives from 21 governments presented pledges at the Green Climate Fund (GCF) High-Level Pledging Conference amounting to US\$9.3 billion. The GCF underlined that this is the highest sum ever raised within a five-month period for an international financing mechanism dedicated to combating climate change

In addition, a number of new resource partners such as the BRICS countries (Brazil, Russia, India, China, and South Africa), and other middle income countries (MICS) (Turkey, Egypt, Equatorial Guinea, Morocco) are entering the development aid scenario with new priorities and modalities. The private sector is increasingly seen as an untapped resource that could become a valuable partner. Different forms of collaboration such as South-South and Triangular cooperation are increasingly being adopted as cost-effective means to share development solutions and enhance capacities.

RM should therefore require coordinating the efforts of all the Mountain Partnership members at all levels, discovering and responding to opportunities, fostering relations, building partnerships, and ensuring that when funds are secured, results are delivered and reported on.

RM should no longer be looked upon in purely transactional terms but understood as attentive nurturing of a lasting relationship with donors as partners, requiring effective communication strategies and continuous dialogue and back-end servicing.

### **The Strategy has five main outcomes:**

1. Consolidated and increased funding of the MP and of the MPS (in a Mountain Facility or other mechanism) to ensure its members can continue to implement activities that contribute to improve the livelihoods of mountain peoples and the wellbeing of mountain environments
2. Increased capacity of MP members to identify and mobilize resources at global, national and local level
3. Increased involvement of Governments and National Committees in RM efforts
4. Wide awareness of mountain issues, management solutions and resource requirements by resource partners so that they are highlighted and integrated into the larger development agenda (linked to the communication plan)
5. Monitoring system in place (led by the RM task force) to assess the impact of the MP's RM efforts

### **Positioning the Mountain Partnership**

Having a good mission statement and articulating well the objectives of the Partnership is crucial for attracting funds in a competitive climate.

The MP has a comparative advantage in that it is the only UN voluntary alliance dedicated to improving the lives of mountain peoples and protecting mountain environments around the world.

Established during the World Summit on Sustainable Development (WSSD) in 2002 by the governments of Italy and Switzerland, the Food and Agriculture Organization (FAO) and the United Nations Environment Programme (UNEP) it has since grown into a vibrant partnership of more than 200 members including governments, IGOs and civil society members.

By bringing members together, the MP works in:

## Item #10



- Advocacy
- Capacity development
- Knowledge management and communications
- Joint action on the ground

Rather than promoting SMD per se, messages tailored to resource partners should focus on how areas of work of its members (water, food security, sustainable farming systems, capacity development, promoting adaptation and resilience to climate change, knowledge management, access to markets etc. can bring tangible results on countries (e.g. Landlocked Developing Countries -LLDCs) that have the potential of achieving SMD. They should also highlight how the services and products provided by mountains benefit the whole of humanity.

Accurate matching of the resource partners' priority area and the project proposal is crucial. Price tagging – stating what you need in terms of financial resources is also often seen as a useful first step.

### **RM step 1: identify potential resource partners and match resource partners' interests with the MP's priority areas of work**

#### Tasks:

- Map resource partner's interests
- Identify where there is a match with the MP's comparative advantage, track record and needs
- Verify if resource partner is an acceptable source

Mobilizing funds requires detailed knowledge of resource partners, their priority areas, policies, budgets, funding cycles, rules and procedures for audits and accountability mechanisms. A resource partner matrix can assist in this task, allowing for easy comparison among potential resource partners. At country level it is also important to identify decentralized offices which might have specific priorities and regulations. The MPS can provide knowledge, track record as well as specific guidance on engagement with resource partners, funding agreements and modalities.

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

##### **Priorities**

- Does the region or the country feature in the resource partner's geographic priority area? Do they have a country specific strategy or any ongoing initiative that could be relevant?
- What are the resource partner's main intervention areas in general? How does sustainable mountain development feature within them? Do they have relevant thematic areas (water, food security etc)?
- How much financial support has the resource partner recently provided to relevant initiatives at national, regional and global levels?

## Item #10



### Processes

- Does the resource partner have any pre conditions that need to be met before financing?
- What is the programming cycle of the resource partner?
- What type of funding schemes do they have (loans, grants, overheads)?
- Does the resource partner require co-financing by the MP or other resource partner to prove the vested interest in making a project work?
- What is the calendar for submitting requests and /or calls for proposals?
- What are the procedures for submitting project proposals?

### Examples of potential funding sources for the Mountain Partnership:

#### Bilateral Resource Partners

Bilateral aid is provided on a country to country basis, either directly or through institutions. In essence, it relates to assistance based on bilateral agreements. According to UN 2014 report the top 10 Member States that contributed to the UN are:

1. The United States (climate change, education, economic growth, democratic governance, etc.)
2. The United Kingdom (deforestation, climate change, agriculture, nutrition, etc.)
3. Japan (forestry, resilience, south-south cooperation, food security, etc.)
4. Sweden (democratic governance, economic growth, social and sustainable development, etc.)
5. Canada (food security, agriculture, environment, etc.)
6. The Netherlands (health, food security, etc.)
7. Norway (food security, climate change, gender, fisheries, etc.)
8. Spain (gender, democratic governance, social and economic development, etc.)
9. Germany (food security, sustainable production, etc.)
10. Australia (global public goods, Pacific Islands, Africa, Timor Leste, etc.)

Please refer to the MP funding database for more info [www.mountainpartnership.org](http://www.mountainpartnership.org)

#### European Union Funding

The European Union (EU) is the world's largest development donor, contributing over half the world's total Overseas Development Assistance (ODA). Around one sixth of this is administered directly by the European Commission (EC). The EC is a significant UN partner, contributing over €1 billion in support of external assistance programmes and projects. Several funds/calls for proposals that could be relevant to the Mountain Partnership are:

*Horizon 2020* (Research and Innovation programme)

What is it? <http://ec.europa.eu/programmes/horizon2020/en/what-horizon-2020>

Press release: [http://europa.eu/rapid/press-release\\_MEMO-13-1085\\_en.htm](http://europa.eu/rapid/press-release_MEMO-13-1085_en.htm)

Online manual: [http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm)

Calls for proposal:

<http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/index.html>

Calls for proposals (unofficial website): [http://www.welcomeurope.com/european-funds/horizon-2020-framework-programme-research-innovation-810+710.html#tab=onglet\\_appe](http://www.welcomeurope.com/european-funds/horizon-2020-framework-programme-research-innovation-810+710.html#tab=onglet_appe)

*Development Cooperation Instrument*

[http://ec.europa.eu/europeaid/funding/development-cooperation-instrument-dci\\_en](http://ec.europa.eu/europeaid/funding/development-cooperation-instrument-dci_en)

Press release: [http://europa.eu/rapid/press-release\\_MEMO-13-1134\\_en.htm](http://europa.eu/rapid/press-release_MEMO-13-1134_en.htm)

Calls for proposals (unofficial website): [http://www.welcomeurope.com/european-funds/dci-instrument-development-cooperation-global-public-goods-challenges-932+832.html#tab=onglet\\_details](http://www.welcomeurope.com/european-funds/dci-instrument-development-cooperation-global-public-goods-challenges-932+832.html#tab=onglet_details)



EuropeAid

[https://ec.europa.eu/europeaid/home\\_en](https://ec.europa.eu/europeaid/home_en)

→ [https://ec.europa.eu/europeaid/search/library\\_en](https://ec.europa.eu/europeaid/search/library_en)

### International Financial Institutions

Most IFIs tend to provide grants or loans to governments for their national programmes and projects.

- Abu Dhabi Fund for Development (economic growth, poverty, etc.)
- African Development Bank (poverty, democratic governance, social development, sustainability, etc.)
- Arab Fund for Economic and Social Development (agriculture, transportation renewable energy electricity, etc.)
- Arab Gulf Fund for UN Development Organizations (AGFUND) (poverty, education, health, emergency, etc.)
- Asian Development Fund/Bank (infrastructure, environment, education, etc.)
- Common Fund for Commodities (economic growth, food security, etc.)
- European Bank for Reconstruction and Development (democratic governance, agriculture, etc.)
- Kuwait Fund for Arab Economic Development (economic growth, agriculture, transportation, water, etc.)
- Inter-American Development Bank (social and economic development, environment, regional public goods, etc.)
- International Bank for Reconstruction and Development
- International Fund for Agricultural Development (food security, nutrition, economic growth, etc.)
- Islamic Development Bank
- OPEC Fund for International Development (OFID) (food security, research, poverty, economic growth, etc.)
- World Bank (agriculture, education, climate change, water, forestry, etc.)

### Foundations and Private sector

The Private Sector represents for-profit enterprises or companies, regardless of size, ownership structure. It also includes high net worth individuals who may be willing to provide philanthropic donations. The MPS does not have its own corporate guidelines when approaching private sector but some guidance might be drawn from [FAQ's strategy on partnership with the private sector](#). It is also suggested that a small working group of MP members could act as an advisory committee to value the possible conflict of interest and appropriate of the private sector.

Examples of private sector:

- Bill and Melinda Gates Foundation
- Clinton Foundation
- The Rockefeller Foundation
- The Ford Foundation

## Item #10



- Pricewaterhouse Coopers Foundation
- Brands that have intrinsic interest in ensuring mountains are sustainably managed (i.e. maintaining downstream water provision, aesthetic and recreational value, etc.) e.g. Patagonia, North Face, Trek, Black Diamond, Timberland, LUTA etc. For more info <http://greatist.com/fitness/athletic-wear-companies-social-good>
- High net worth individuals (entrepreneurs, philanthropists) who may have a strong interest in the sustainable management of mountain ecosystems through their personal passion for engaging in mountain recreation and conservation.

### Global Funds

The Global Environment Facility - GEF is an independent financial organization, established in 1991 to assist in the protection of the global environment. It provides grant resources to developing countries and countries with economies in transition to complement traditional development assistance by covering the incremental or additional costs incurred when a national, regional or global development project also targets global environmental objectives. GEF funds projects related to biodiversity, climate change, international waters, land degradation, chemicals and sustainable forest management.

FAO is one of the ten GEF agencies through which countries can access GEF funding. The role of FAO is to assist member countries to develop, implement and manage GEF projects, working closely with national project proponents and stakeholders. The MPS can therefore access GEF through FAO. For more information:

<http://www.thegef.org/gef/whatisgef>

<http://www.fao.org/investment/othercollaboration/global-environment-facility/en/>

Other climate related global funds include:

- [Adaptation fund](#)
- [Green Climate Fund](#)
- [The Special Climate Change Fund](#)
- [NAMA Facility](#) (Germany)
- [International Climate Initiative](#) (Germany)
- [World Bank Green Bonds Programme](#) (USA)
- [Climate Bonds Initiative](#) (London)
- [UNEP Finance Initiative](#) (Switzerland)
- [Climate Investment Funds](#) (Washington)

### UN Conventions

Of the three Rio Conventions, the United Nations Convention on Climate Change (UNFCCC) is the one that has received much attention and subsequently funding for its objectives. In 2007, DAC members allocated approximately USD 4.3 billion in climate change related aid against USD 3.5 billion and USD 1.7 billion in biodiversity and desertification related aid, respectively (OECD-DAC, 2009).

## Item #10



Info can be found on <http://newsroom.unfccc.int/financial-flows/>

The Global Mechanism of the UNCCD has produced [a directory](#) outlining financial sources, mechanisms and funds relevant for Sustainable Land Management

For information on the UNCCD funding opportunities: <http://www.cbd.int/financial/>

### **Technical Cooperation Projects (TCP)**

TCP is a finance mechanism of FAO for small projects requested by FAO member countries. The TCP gives special attention to the neediest countries such as the Low Income Food Deficit Countries (LIFDCs), the Least Developed Countries (LDCs), the Landlocked Developing Countries (LLDCs) and Small Island Developing States (SIDS). So far the MPS has supported Latin American member countries in a TCP for the Regional Andes Mechanism and a proposal from the Near East member countries. In addition, FAO has invested TCP resources for national mountain development projects in Armenia, Cuba, DPR Korea, Kyrgyzstan, Poland, Tajikistan and Turkey.

### **Tools**

The MPS has currently updated a funding database that could support members in their resource mobilization efforts. This can be accessed at [www.mountainpartnership.org](http://www.mountainpartnership.org). Where possible, the MPS sends out targeted messages to members on relevant calls for funding. FAO has also developed the [Agricultural Development Assistance Mapping](#) (ADAM) tool, that helps analyze how national and international funds are allocated and which sectors are targeted in a given time span.

## **2. RM step 2: engage**

### Tasks

- Resource partners meeting
- Develop Advocacy tools: e.g. write proposals or concepts notes, project proposals and other communication tools
- Deliver presentations to resource partners
- Foster individual contacts
- Follow up

Every opportunity should be seized to communicate the programmes or projects for which resources are sought. Mountain ambassadors could also function as funding champions arguing the need to invest in mountain issues and the Mountain Facility or rally for a pledge. Different champions of different ages and different nationalities could target different groups.

Global, regional and national events (UN Convention Cops, International Mountain Day celebrations, Mountain Forum events), seminars, technical conferences, round tables, informal donors meetings, are all occasions in which MP members can engage with potential or existing resource partners. Specific resource mobilization roundtables or events could also be organized at global, regional and local level. Bilateral talks with Governments could be undertaken by other Governments that are MP members.

## Item #10



The MPS stands ready to broker any resource mobilization request or proposal, facilitating contacts between countries and institutions and creating conditions for partnerships. The MPS also aims to create an enabling environment for technology transfer and South-South Cooperation mechanisms.

When engaging with potential resource partners it is useful to target communication tools to a particular audience. The submission of concept notes is increasingly becoming the first step in the application for funding to the main agencies and private donors. This is how a potential resource partner will make the first selection among a large group of project proposals to assess their potential. Accordingly, concept notes could be solicited directly by the resource partner, but they could also become the way in which an MP member approaches a potential sponsor to test their interest in the member's ongoing activities. Thus, concept notes must be clear, specific, and attractive to the reader. The MPS can provide guidance on how to write a concept note when the selected resource partner does not already have a template.

Other examples include:

- Face to face meetings to formally launch the programme (s) or areas of work
- Produce an attractive brochure or multipurpose fact sheet introducing the main challenges, overview of the programme or project with a focus on its beneficiaries and its potential impact
- Tailor individual letters or emails to each potential resource partner
- Develop or update your website to ensure visibility
- Success stories. Demonstrate track record by showing how the MP partners have the capacity to deliver. This is especially relevant for existing resource partners

### Tools

The MPS has currently produced a concise "Mobilizing Resources for mountain peoples and environment proposal" as well as separate proposals on the Mountain Facility, the Mountain Secretariat and the Mapping Mountain Vulnerability study (annex). The MPS can also provide specific material and PPTs on request. MP Member Carbon Lab, the University of Queensland is developing a research project on "Investigation of innovative carbon market, climate finance and other funding opportunities to support the proposed Global Mountain Facility" that could eventually feed into a climate finance strategy. For other MPS developed communication tools please refer to the communication strategy and the [www.mountainpartnership.org](http://www.mountainpartnership.org)

### RM step 3: negotiate

#### Tasks

- Reach an agreement on joint interests
- Agree conditions of partnership including procedures (rules and regulations) on use of resources
- Develop and formalize a legal agreement

This step involves a complex set of skills and knowledge and an important set of negotiations that will hopefully lead to a signed agreement. It might also require a trimming of the project or a slight refocus when agreeing joint interests and matching priorities. Depending on resource partners, resources may be either loosely earmarked or strictly earmarked for activities; therefore it's important to be able to create a flexible funding mechanism that can appeal to the resource partners' priorities as well as the logistics for the flow of the funding.



## Item #10



In general it is useful to look out for specifications on:

- Audit
- Procurement
- Financials –payment schedules and reporting
- Recruitment
- Project costs
- Evaluation

### Tools

At FAO, there are specific divisions that are responsible for resource partner liaison and negotiating agreements which the MPS can approach on behalf of MP members.

### RM step 4: manage and report

#### Tasks

- Acknowledge resource partners contribution
- Ensure efficient and effective operations
- Regularly report on resource partners contribution, to the extent possible pay regular visits to the RP

This step is ensuring that the programme is well managed (and effectively delivered) and results are reported in a timely manner according to the results based framework and their reporting requirement.

Every resource partner wants to see real progress on a regular basis and see their money's worth. Some resource partners such as the EU provide visibility guidelines in their agreements. Resource partner visibility is also a way to re-engage with existing partners.

Acknowledging a resource partners' contribution and thanking them for their support is an essential part of maintaining good relations, ensuring their visibility and secure future funding.

Finally, reporting on successes and failures and working through lessons learned allows to tailor and refocus RM initiatives to maximize success.

This can be done by

- Writing a formal letter acknowledgement of their contribution with special thanks from higher management
- Inserting the resource partners' logo on the programme's documentation produced
- Inviting representatives from their organization to programme or project events.

### RM step 5: communicate results

#### Tasks

- Disseminate information on lessons learned
- Develop advocacy communication tools

## Item #10



- Advocate for continued support

This step is different from the previous one in that this form of reporting attracts the interest of a wider audience, beyond the original programme or project partners.

Communications should emphasize success stories and beneficiaries' testimonials and impacts achieved. Easy ways could be through cheap technologies (webcams, blogs, mobile videos, webpages with the RP's logo for the project) or more professional methods (HD video, photo reportage, visually attractive fact sheets or brochures, etc.).

Case studies from the programmes can be presented and disseminated in relevant fora (seminars, conferences, side events etc.). Visits from the resource partners to the project site are also an effective way to show the work done.

### Tools

The MPS disseminates success stories and short case studies on the MP brochure, through news stories on the website or the Peak to Peak newsletter, brochures with the RP logo, publications, photos, videos.

### Recommendations for the way forward

The MP calls for all members to be actively involved in RM efforts at global, regional and local level.

- ✓ It is recommended that a monitoring mechanism is set up to assess the MP's RM efforts, both at global and a regional level, during the work plan 2014- 2016.
- ✓ An RM task force should be created and regularly convene (via email) to assess and share information and opportunities, take into account members' priorities and needs and monitor resources received. It is recommended that resource partners are also on the task force.
- ✓ Follow the negotiations on the post-2015 development agenda and the formulation of "sustainable development goals", which are likely to have a positive effect on energizing resource mobilization. The commitment by many traditional donors to achieve the target of 0.7 per cent of gross national income for official development assistance by 2015 (General Assembly resolution 67/226, para. 30) is also likely to have a positive impact on resource mobilization.
- ✓ Make reference to the UNGA mountain resolutions in resource mobilization efforts.

### Annex

Proposal for the Facility –fact sheet

Proposal for Mapping Vulnerability in Mountains –fact sheet

Proposal for the MPS –fact sheet

Mobilizing resources for mountain peoples and environments communication fact sheet

Matrix of RM efforts by the MPS (2014)

Funding database [www.mountainpartnership.org](http://www.mountainpartnership.org)

Item #10



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