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JOINT MEETING

**Hundred and Eighth Session of the Programme Committee
and Hundred and Fortieth Session of the Finance Committee**

Rome, 12 October 2011

RESOURCE MOBILIZATION AND MANAGEMENT STRATEGY

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Executive Summary

- The Corporate Resource Mobilization and Management Strategy (RMMS) sets out how FAO aims to mobilize resources from its partners, how it allocates these resources to agreed priorities, and how it manages and reports on their use. The RMMS focuses on forging resource partnerships built on trust and mutual accountability to achieve Members' goals.
- The RMMS has a lifespan equivalent to the four-year Medium Term Plan (MTP). This first RMMS is being finalized at the midpoint of the current MTP. The RMMS and its accompanying corporate work plan will be reviewed and revised during 2013, together with the finalization of the MTP 2014-17.
- The development of the RMMS and the corporate work plan is based on a thorough stock-taking exercise and broad consultations with stakeholders and thereby responds to identified priority issues for resource mobilization and management.
- The RMMS is based on the need to secure resources to support FAO's Strategic Framework and MTP, and ensure their sound financial management and delivery as part of the integrated Programme of Work and Budget (PWB).
- Within the framework of the integrated budget, the RMMS aims to achieve adequate, more predictable and sustainable voluntary contributions that fully support achievement of FAO's objectives at the global, regional, subregional and country levels, and will work to attain the following outcomes:
 - A. A consolidated, diversified and expanded base of FAO resource partnerships;
 - B. Wide awareness of FAO's priority areas and resource requirements through the implementation of a communication plan;
 - C. A new Organization-wide culture and enhanced capacity for resource mobilization;
 - D. Resource planning and use effectively managed and reported to the governing bodies and external partners.
- The RMMS is linked to actions arising from the vision for the structure and functioning of FAO's decentralized office network and country programming. It is complementary to other corporate strategies being developed, including on partnerships with the private sector and non-governmental and civil society organizations, and reinforces other activities in the Immediate Plan of Action (IPA) for FAO Renewal, particularly those associated with strengthening results-based management. Guidance received from the governing bodies on those matters will be carried over to the RMMS as applicable.
- The RMMS and corporate work plan are dynamic in nature and will adapt to changes in the resource environment, as well as FAO's strategic orientation.

Suggested action by the Joint Meeting

- This document is supplied for information to the Members, who may wish to provide further guidance.

I. Introduction

1. The development of a corporate Resource Mobilization and Management Strategy (RMMS) was initiated under the Immediate Plan of Action for FAO's Renewal, following the Independent External Evaluation's call for expanded resource mobilization efforts across the Organization. A broad consultation process has been undertaken throughout the Organization to develop the strategy and the work plan.

2. A survey conducted with staff throughout FAO in May 2010 confirmed the desire and interest for a coordinated Organization-wide RMMS strategy, integrating the needs of decentralized offices.
3. The Joint Meeting of the 106th Session of the Programme Committee and the 138th Session of the Finance Committee (23 March 2011) considered an outline of the RMMS¹ and provided guidance on the next steps in its development. The Joint Meeting “*welcomed the outline of the Resource Mobilization and Management Strategy. It expressed appreciation for the corporate nature of the Strategy, the emphasis on partnership, the realistic approach to targeting resources, and Impact Focus Areas as one resource mobilization tool. It noted that the Strategy was firmly linked to the results-based frameworks and core functions in the Medium Term Plan, with focus given to meeting priorities at country level through the Country Programming Framework. The Joint Meeting looked forward to reviewing the final version of the Resource Mobilization and Management Strategy at its next Session*”².
4. This final version of the RMMS includes a work plan, which details how FAO is mobilizing voluntary resources through current and expanded partnerships, how it allocates these resources to agreed priorities, and how it manages and reports on their effective use. This is being achieved through different funding modalities to complement Members’ assessed contributions in support of FAO’s Organizational Results; namely Government Cooperative Programme (GCP) projects, United Nations Joint Programmes (UNJP), Multi-donor Trust Funds (MDTFs), lightly earmarked or unearmarked funds through the FAO Multipartner Programme Support Mechanism (FMM), upfront resources for swift response through the Special Fund for Emergency and Rehabilitation Activities (SFERA), and domestic financing for national priorities through Unilateral Trust Funds (UTF).

II. Context

5. The ongoing economic and financial crisis affecting many traditional resource partners has led to the contraction of Official Development Assistance (ODA), at the same time as the emergence of agriculture as a dominant development priority following the global food price rises in 2007/08. FAO’s strategy for resource mobilization and management reflects these conditioning factors; in particular, by expanding its resource base through strengthened partnerships with the private sector, private foundations, local authorities for decentralized cooperation, and middle-income countries, among others. Innovative financing mechanisms, in-kind contributions, and South-South Cooperation offer other opportunities for expanding resource mobilization.
6. Voluntary contributions account for an increasingly large share of the Organization’s integrated budget (55 percent in 2010-11). In addition, FAO and the UN system are engaged in processes of organizational renewal. FAO has put in place a results-based Strategic Framework 2010-2019³, through which all of the Organization’s work is now planned, delivered, monitored and reported. The Medium Term Plan (MTP) and the Programme of Work and Budget (PWB)⁴ specify the results to be achieved over a four-year period, along with indicators of performance and the resources required to achieve these results, from both assessed and voluntary contributions. The RMMS builds on the results-based framework and further strengthens and coordinates resource mobilization and management efforts throughout the Organization.

III. Scope

7. The RMMS has a lifespan equivalent to the four-year MTP. The overarching corporate RMMS encourages and supports the formulation and implementation of subsidiary strategies at:
 - a) Regional/subregional level – ensuring regional resource mobilization and management strategies are built around Priority Areas for Action, Regional Priority Frameworks and

¹ JM 2011.1/3

² CL 141/10 paragraphs 10-11

³ C 2009/3

⁴ C 2011/3

Regional Results for FAO and, where applicable, in support of Regional Disaster Risk Reduction/Management Strategies, regional compacts by countries such as the Comprehensive Africa Agriculture Development Programme (CAADP) and the Asia and Pacific Regional Food Security Framework.

- b) Country level – resource mobilization and management initiatives are based on fulfilling FAO’s commitment to national priorities, identified through Country Programming Frameworks (CPFs⁵) and Country Work Plans and/or United Nations Development Assistance Framework (UNDAF) outcomes, national planning documents, and where applicable in support of the Consolidated Appeals Process and/or Humanitarian Strategies.

8. FAO continues to play a strategic role as recognized honest broker for its Members at country level, in supporting policy efforts to increase investment in agriculture. For this reason, the RMMS is interwoven with related corporate strategies and is mutually supportive of FAO’s core functions, especially capacity development, policy assistance, communication and partnerships.

IV. Overview of goal and outcomes of the strategy

9. The strategy aims to achieve adequate, more predictable and sustainable voluntary contributions that fully support the achievement of FAO’s objectives outlined in the MTP/PWB, including the underlying (sub)regional and country priorities. The performance indicator X1.4 for the biennium 2012 – 2013 is a stable trend of approved voluntary contributions, amounting to USD 2 billion. This figure is based on voluntary contributions to the Organization during 2008-2009, even though this was the highest ever figure achieved by FAO and before the onset of the financial crisis now affecting many traditional resource partners.

10. The RMMS is underpinned by the following guiding principles:

- all resources mobilized support FAO’s Strategic Framework and are therefore focused on achieving Members’ goals and objectives and delivering on agreed results;
- resource partnership agreements comply with FAO’s and resource partners’ rules and regulations;
- all resources mobilized are monitored and accounted for, strengthening close relations with resource partners, and built on trust and mutual accountability;
- all resource mobilization efforts are coordinated and harmonized Organization-wide by establishing a supportive internal enabling environment.

11. The RMMS has four main outcomes:

- A. A consolidated, diversified and expanded base of FAO resource partnerships.** A wide variety of resource partnerships are developed, strengthening existing relationships and developing new ones, emphasizing South-South Cooperation and newly emerging, non-traditional resource partners. FAO also puts strong emphasis on expanding current partnerships with the private sector and foundations, which will be guided by the FAO Strategy on Partnerships with the Private Sector. The RMMS reflects the importance of both financial and in-kind contributions. FAO strongly advocates for lightly earmarked or unearmarked and pooled funding, which facilitates flexibility in the strategic alignment of resources to the MTP/PWB and reduces transaction costs for resource partners and FAO. For this reason, funding mechanisms allowing lightly earmarked or unearmarked voluntary contributions at all levels of the Organization are being strengthened. Resource partner priorities are being aligned with the Strategic Framework, and partners are actively encouraged to move from a project approach to a programmatic approach.

⁵ Including Disaster Risk Management Plans of Action

Outputs

- A1. New and existing resource partners engaged in a variety of resource partnerships.
- A2. Resource partners priorities identified and aligned with the Strategic Framework.
- A3. Advocacy for a shift from project-funded to programme-funded approach.

- B. Wide awareness of FAO priority areas of work and resource requirements, through the implementation of a communication plan.** A resource mobilization communication strategy is being developed at the corporate level, emphasizing the value of partnering with FAO and results achieved through activities funded by voluntary contributions. Efforts will be strengthened to heighten the visibility of the contribution of FAO's resource partners. FAO's Strategic Objectives will be promoted, including demonstrating FAO's contribution towards the Millennium Development Goals. Communication will also be built around Regional Priority Areas for Action, Impact Focus Areas (IFAs), and CPFs. Resource partners are already being engaged and informed through a new corporate resource mobilization Web site.

Outputs

- B1. Communications support provided to raise awareness of FAO's work and resource needs within the Strategic Framework (SOs and IFAs).
- B2. Biennial Informal Meeting organized for Resource Partners, in the context of preparation of the PWB.
- B3. Environment fostered in which partners recognize the value of collaborating with FAO and in which they are given prominent visibility for their contribution.
- B4. Communications resources developed to aid and encourage staff in resource mobilization.

- C. A new Organization-wide culture and enhanced capacity for resource mobilization.** Roles and responsibilities and guiding principles are being established. These will clarify the accountability chain for mobilizing resources and ensure better management through a coordinated approach, at all levels. Coordination of the overall corporate effort by the Technical Cooperation Department (TC) will ensure the synergy of resource mobilization and management efforts between headquarters and decentralized offices, leading to a more efficient use of staff time. Training curricula, with reference materials, tools and improved means for information-sharing have been prepared and will be made widely available.

Outputs

- C1. Subsidiary RMM Strategies developed at regional and country level.
- C2. Accountability framework, processes and transparency strengthened for mobilizing resources.
- C3. Resource mobilization learning opportunities made widely accessible and frequent support missions conducted.
- C4. Reference materials, tools and improved means for information sharing made widely accessible.
- C5. Change of culture to an integrated budget and increased support for resource mobilization.

D. Resource planning and use effectively managed and reported to governing bodies and external partners. A more effective programme development system will be developed to better align voluntary contributions with agreed Members' priorities. Management and operational rules and procedures are revised in order to increase efficiency (e.g. to introduce national execution). Effective and efficient operations and monitoring will be supported and harmonized through the Field Programme Support Network. Application of the policy of full cost-recovery for activities funded by voluntary contributions, including cost efficiency measures, is being strengthened. Reporting will be enhanced in order to improve lags on report delivery and quality. Further, reporting is now integrated with the corporate mid-term and biennial assessment processes, ensuring timely and effective communication on the delivery of results.

Outputs

- D1. Improved monitoring of voluntary resources in place.
- D2. Effective support to operations and management of voluntary resources provided at all levels.
- D3. Reporting to Members and other partners strengthened.
- D4. Monitoring and coordination of the corporate resource mobilization and management effort in place.

V. Implementation of the RMMS

12. A corporate work plan for 2010-13 is organized according to the four outcomes of the RMMS. It details the concrete and targeted activities and outputs intended to achieve the agreed outcomes. The work plan is presented in the Annex.

13. A new culture and enhanced capacities for resource mobilization are being promoted within FAO. Complementary to the RMMS and the work plan, resource mobilization roles and Responsibilities are being elaborated through consultations across the Organization, at all geographic levels. At global-level, the TC Department⁶ has the lead role in resource mobilization and will ensure that proper coordination and support are provided to other offices involved at headquarters and in the field. Furthermore, specific roles are being detailed for the Office of Strategy, Planning and Resources Management (OSP), the Office for Corporate Communications and External Relations (OCE), technical departments and strategy team leaders. At the regional level, Assistant Directors-General oversee all activities, with specific responsibilities assigned to Field Programme Officers and Technical Officers. At the subregional level, the Subregional Coordinator manages all resource mobilization efforts with support from Technical Officers and Field Programme Support and Monitoring Officers, and the Regional Emergency Coordinator. At country level, the FAO Representative plays a lead role and is supported by the Assistant FAO Representative, the Chief Technical Advisor and the Emergency Coordinator.

VI. Oversight, monitoring and reporting of the RMMS

14. The oversight of the RMMS is being coordinated by the Strategy Team under Functional Objective X Organizational Result 1 (FO X1)⁷. The TC Department is responsible for the monitoring. Regular reports are provided to Senior Management and FAO Members⁸. The RMMS is monitored

⁶ Specifically the Resource Mobilization and Operations Support Service (TCSR) and the Emergency Operations and Rehabilitation Division (TCE)

⁷ Functional Objective X Organizational Result 1 (FO X1) is "Effective programmes addressing Members' priority needs developed, resourced, monitored and reported at global, regional and national levels"

⁸ *Inter alia* the Programme Implementation Report, the Mid-term Review and updated quarterly report on the Resource Mobilization Web site.

through corporate reporting mechanisms. Performance and lessons learned are reviewed against the MTP target set for resource mobilization and related indicators.

Annex: FAO's Corporate Resource Mobilization and Management Work plan, 2010-2013

RMMS Goal: To achieve adequate, more predictable and sustainable voluntary contributions that fully support the achievement of FAO's Objectives outlined in the MTP/PWB			
OUTCOMES	OUTPUTS	Key Activities	Highlights to date
A) Consolidated, diversified and expanded base of FAO resource partnerships	A.1) New and existing resource partners engaged in a variety of resource partnerships	A.1.1) Organize regular meetings with existing resource partners in capitals, at headquarters, and also at regional and country level	<ul style="list-style-type: none"> • <i>High level missions to Brussels and Washington D.C. to promote partnership with FAO</i> • <i>DDG-Knowledge addressed the German Parliament on FAO, its role and merits for increased partnership</i> • <i>Brazil, China, Romania and Turkey became new resource partners</i> • <i>10 Global Foundations identified as having a potential interest in FAO</i> • <i>EC- Rome -Based Agencies Framework signed on 27 June 2011</i> • <i>Road Map for the Horn of Africa Crisis follows programmatic twin-track approach and advocates for short, medium and longer term response</i> • <i>Tripartite India-Brazil-South Africa (IBSA) South to South Co-operation project document for work in Sierra Leone signed</i>
		A.1.2) Pursue non traditional sources of funding, emphasizing the role of middle income countries, host governments, decentralized co-operation and the private sector and foundations, and Global Funds (e.g. GEF)	
		A.1.3) Mobilize a full range of resources (including in-kind) e.g. by promoting South-South agreements	
		A.1.4) Continue to explore innovative financing mechanisms	
		A.1. 5) Disseminate the Strategy and Guidelines for Private Sector Engagement	
		A.1.6) Give visibility and recognition to existing resource partners in all communications materials	

RMMS Goal: To achieve adequate, more predictable and sustainable voluntary contributions that fully support the achievement of FAO's Objectives outlined in the MTP/PWB			
OUTCOMES	OUTPUTS	Key Activities	Highlights to date
	A.2) Resource partners priorities identified and aligned with the Strategic Framework	A.2.1) Develop information system to support identification of resource partners' priorities and relate them to the results framework	<ul style="list-style-type: none"> • <i>Resource partner matrices and the Agricultural Development Assistance Mapping Tool (ADAM) developed.</i> • <i>FPMIS new manager's Dashboard released</i>
		A.2.2) Support the development of an information system to monitor voluntary contributions and resources mobilized/delivered, against the MTP and results framework	
	A3) Advocacy for a shift from project-funded to programme-funded approach	A.3.1) Promote FAO's Multipartner Mechanism (FMM) and FAO's Special Fund for Emergency and Rehabilitation Activities (SFERA), for mobilization and allocation of lightly earmarked or unearmarked voluntary contributions	<ul style="list-style-type: none"> • <i>FMM agreements signed by the Netherlands and Sweden</i> • <i>Belgium engaged in a new funding option under SFERA, called the Agricultural Inputs Response Capacity (AIRC) that allows a resource partner's financial commitment to timely translate into time-critical farming supplies in the hands of farmers.</i>
		A.3.2) Promote new programme-focused resource partnerships, such as through FAO multipartner funded global strategies	
		A.3.3) Identify foundations and resource partners in key countries in the Region with whom to work locally	
		A.3.4) Ensure that programme and project proposals results are focused and aligned to the Strategic Framework	
	B) Wide awareness of FAO's priority areas of work and resource requirements, through a communication	B1) Communications support provided to raise awareness of FAO's work and resource needs within the Strategic	B.1.1) Develop a communications strategy to promote IFAs and Strategic Objectives for all potential partners at all levels
B.1.2) Maintain and continue developing corporate resource mobilization website			
B.1.3) Support development of specific communications material (e.g. brochures, posters, videos) for resource mobilization in all locations			

RMMS Goal: To achieve adequate, more predictable and sustainable voluntary contributions that fully support the achievement of FAO's Objectives outlined in the MTP/PWB			
OUTCOMES	OUTPUTS	Key Activities	Highlights to date
plan	Framework (SOs and IFAs)		
	B2) Biennial Informal Meeting organized for Resource Partners, as part of the official FAO Calendar	B.2.1) Organize a biennial Informal Meeting for FAO Members, Foundations, International Financial Institutions (IFIs), Private Sector and Local Authorities to promote the Organization's work and to exchange information on resource mobilization	<ul style="list-style-type: none"> • <i>First ever Informal Meeting "Achieving Goals Together" on 1 March 2011</i>
		B.2.2) Take advantage of events held in HQ to host parallel meetings to engage with potential resource partners	
		B.2.3) Organize meetings with resource partners in the field, in tandem with Regional Conferences	
	B3) Environment fostered in which partners recognize the value of collaborating with FAO and in which they are given prominent visibility for their contribution	B.3.1) Communicate results of value added of work supported by resource partners through partnerships and voluntary contributions	<ul style="list-style-type: none"> • <i>Resource partnership websites (e.g. Resource Mobilization, Emergency, EU-FAO, Spain-FAO, Japan-FAO, Italy Trust Fund for Food Security, Decentralized Cooperation)</i> • <i>OCE partnerships website launched</i>
		B.3.2) Ensure a strong corporate image by linking FAO's communication and partnership strategies to the RMMS	
	B4) Communication resources	B.4.1) Develop guidelines for staff in all units and decentralized offices to support in external communications efforts	<ul style="list-style-type: none"> • <i>Guidelines for FAO Representatives on how to prepare a communication strategy</i>

RMMS Goal: To achieve adequate, more predictable and sustainable voluntary contributions that fully support the achievement of FAO's Objectives outlined in the MTP/PWB			
OUTCOMES	OUTPUTS	Key Activities	Highlights to date
	developed to inform, support and encourage staff in resource mobilization	B.4.2) Raise awareness through all internal channels, such as FAO <i>InTouch</i> , of efforts to improve resource mobilization capacity and spark interest in participating in training and other opportunities	
C) New organization-wide culture and capacity for resource mobilization	C1) Subsidiary RMM Strategies developed at regional and country level	C.1.1) An outline of the subsidiary regional strategies of RAF and RNE will be presented to their next Regional Conference	
		C.1.2) Advise on and support the development of resource mobilization strategies in support of Country Priority Framework (CPFs)	
	C2) Roles and responsibilities and processes defined and/or strengthened for mobilizing resources	C.2.1) Adopt and implement revised roles and responsibilities for resource mobilization at all levels	<ul style="list-style-type: none"> • <i>Corporate process for Concept Note development and resource mobilization promotion launched.</i>
C.2.2) Review and streamline internal procedures for resource mobilization			
C3) Resource mobilization learning opportunities made widely accessible and frequent support	C.3.1) Develop and deliver a learning programme on resource mobilization as part of FAO integrated effective programming curriculum	<ul style="list-style-type: none"> • <i>"Effective Country Programming" pilot training launched in RAF, July 2011</i> • <i>New EU Training Programme launched in HQs, REU, and RAF</i> 	

RMMS Goal: To achieve adequate, more predictable and sustainable voluntary contributions that fully support the achievement of FAO's Objectives outlined in the MTP/PWB			
OUTCOMES	OUTPUTS	Key Activities	Highlights to date
	missions conducted	C.3.2) Develop training on specific resource mobilization topics such as EU partnership (including ECHO), Unilateral Trust Fund development, operational support, TCE procedures used by ECHO for the submission of proposals, and for emerging Global Funds such as GEF	<ul style="list-style-type: none"> <i>UTF Training conducted in REU and RNE</i>
	C4) Reference materials, tools and improved means for information sharing made widely accessible	C.4.1) Develop and make available learning and reference materials to support effective programming (Resource mobilization Guide, Country Programming Guide, Country Office Work Plan Guidelines and the new Project Cycle Handbook) and useful introductory Fact Sheets/Guidance Notes on particular funding sources	<ul style="list-style-type: none"> <i>A Guide to Resource Mobilization and associated "Funding Source Fact Sheets" for the EU, UNJPs, UTFs developed and made available</i>
		C.4.2) Develop and disseminate Agriculture Development Assistance Mapping tool (ADAM), helping staff across FAO to more easily identify priorities and potential resource partners	
		C.4.3) Develop intranet platform to ensure access to resource mobilization tools and guidelines	
	C 5) Change of culture to an integrated budget and increased support for resource mobilization	C.5.1) Resource mobilization help desk set up to provide instant support to internal and external clients	<ul style="list-style-type: none"> <i>FAO reform messages strengthen the call for each staff member to embrace resource mobilization</i> <i>Resource Mobilization Capacity Assessment Report, October 2010</i>
		C.5.2) Conduct, at regular intervals, a resource mobilization capacity assessment survey organization-wide	
C.5.2) Support change of culture to an integrated budget at all levels of the Organization			

RMMS Goal: To achieve adequate, more predictable and sustainable voluntary contributions that fully support the achievement of FAO's Objectives outlined in the MTP/PWB			
OUTCOMES	OUTPUTS	Key Activities	Highlights to date
D) Resource planning and use effectively managed and reported to governing bodies and external partners	D1) Improved monitoring of voluntary resources in place	D.1.1) Ensure that project delivery is in line with the work plan approved by resource partners	<ul style="list-style-type: none"> • <i>Projects and programmes are aligned to the Strategic Framework.</i>
		D.1.2) Coordinate risk management of the unpredictability of voluntary contributions	
		D.1.3) Review oversight mechanism for voluntary contributions	
	D2) Effective support to operations and management of voluntary resources provided	D.2.1) Improve alignment between TCP and voluntary resource mobilization efforts at country and regional level	<ul style="list-style-type: none"> • <i>HACT, a national execution instrument is being piloted in selected countries</i> • <i>Joint TC Support Mission Report, May 2011</i>
		D.2.2) Streamline and update operational rules and procedures as part of the new FAO project cycle , including the introduction of new operational modalities such as national execution.	
		D.2.3) Provide functional guidance from HQ, liaising between HQ technical staff, decentralized offices and finance, Human Resources and the Legal Office	
	D3) Improved reporting to Members and other partners	D.3.1) Provide timely information to the Mid Term Review and Programme Implementation Report for the Members	<ul style="list-style-type: none"> • <i>New MTR presentation on use of voluntary Contributions and FAO's results.</i>
		D.3.2) Update on quarterly Resources Mobilization report on the website	
		D.3.3) Improve on reporting successes and lessons learned to internal and external clients	