

Independent Thematic Evaluation

UNIDO's Partnerships with Donors

Annexes

CONTENTS

ANNEX A. EVALUATION TERMS OF REFERENCE	1
ANNEX B. LIST OF DOCUMENTS REVIEWED.....	21
ANNEX C. LIST OF PERSONS INTERVIEWED	28
ANNEX D. COMPARATOR STUDY REPORT.....	36
ANNEX E. SURVEY QUESTIONNAIRES	86

Annex A. Evaluation Terms of Reference

TERMS OF REFERENCE

Independent thematic evaluation

UNIDO's partnerships with donors

Independent Evaluation Division (ODG/EVQ/IEV)

Office of Independent Evaluation and Quality Monitoring

Office of the Director General

9 November 2016

I. Background and context

Background. The United Nations Industrial Development Organization (UNIDO) was founded in 1966 by a group of Member States that shared a vision of how industrial development could contribute to reduce poverty. Nearly 50 years later, that partnership stands the test of time and lives on today, despite the changing global context as well as new opportunities and challenges facing international partnerships in industrial development. UNIDO's partnerships with governmental and institutional donors have been playing essential roles in enabling the Organization to strengthen its performance and achieve development results that it sets out to achieve.

Guided by the Lima Declaration (GC.15/Res.1) and the 2030 Agenda for Sustainable Development, UNIDO has pledged to further strengthen existing and forge new partnerships with donors and organizations with complementary mandates and skills, with representatives of the public and private sector, financial institutions, academia and civil society, to continuously improve its services to Member States and increase its efficiency and effectiveness to promote inclusive and sustainable industrial development (ISID).

The evaluation. As approved by the UNIDO Executive Board in March 2016, the Independent Evaluation Division (ODG/EVQ/IEV) will conduct a thematic evaluation of UNIDO's partnerships with donors in 2016. The evaluation will be undertaken within the framework of the UNIDO Evaluation Policy¹. The purpose of the evaluation is to independently assess UNIDO's partnerships with its major donors to help UNIDO further improve its performance and results.

II. UNIDO's partnerships with donors

A. Funding modalities and trends

Like other organizations in the United Nations system, UNIDO is mainly funded through two sources: 1) assessed contributions and 2) voluntary contributions. The assessed contributions are mandatory payments by the Member States based on a scale approved by UNIDO's governing body. These contributions finance UNIDO regular budget which pays for the core functions and expenses that are fundamental to the existence of the Organization such as staffing, Headquarter and field-office infrastructure and other activities related to its institutional mandate.

In the 2016-2017 biennium, UNIDO's biggest contributors in terms of assessed contributions are Japan, Germany, China and Italy. They together account for around 45% of the total assessed contributions; followed by Spain, Brazil, Russia, Republic of Korea, Mexico and the Netherlands each accounting for 4.8% to 2.7%.

Table 1. UNIDO top ten assessed contributors - scale of assessments for 2016-2017 (%)

¹ http://www.unido.org/fileadmin/user_media_upgrade/Resources/Evaluation/UNIDO_Evaluation_Policy_UNIDO-DGB-M-98-Rev-1_150319.pdf

#	Governmental donor	UNIDO rate 2016-2017
1	Japan	18.123
2	Germany	11.947
3	China	8.613
4	Italy	7.442
5	Spain	4.853
6	Brazil	4.791
7	Russia	4.079
8	Republic of Korea	3.256
9	Mexico	3.007
10	Netherlands	2.7

Source: UNIDO 2015 - Scale of assessments for fiscal period 2016-2017

In contrast, voluntary contributions are left to the discretion of each member or non-member state and other donors such as public or private institutions and multilateral funds. These contributions are the main funding sources for technical cooperation programmes and projects, normative work and research activities of the Organization. This dependence on voluntary funding has its own pros and cons within the UN system. On the one hand, competition for scarce financial resources has forced UN organizations to become more responsive, effective and efficient. On the other hand, the lack of predictability of the voluntary contributions has posed challenges for the UN agencies on programme planning, effectiveness and sustainability².

This evaluation will focus on **voluntary contributions**, which are the major funding sources of UNIDO's programmes and projects, enabling the Organization to achieve development results on the ground. UNIDO is one of several UN specialized agencies that receives more voluntary than assessed contributions³.

Voluntary contributions - Source of funds for UNIDO technical cooperation activities

#	Source of funds
1.	Global Environment Facility (GEF)
2.	Multilateral Fund for the Implementation of the Montreal Protocol (MLF)
3.	European Union (EU)
4.	Industrial Development Fund (IDF)
5.	Third party-financed trust funds
6.	Other trust funds
7.	UNIDO regular budget (6% for Regular Programme of Technical Cooperation)
8.	Self-financed trust funds
9.	UNDP funds

Source: UNIDO Annual Report 2014

UNIDO donors are mainly divided into three categories: i) multi-stakeholder funds and institutions such as the Global Environment Facility (GEF) and the Multilateral Fund for the Implementation of the Montreal Protocol (MLF); ii) governmental donors who entrust funds to UNIDO to carry out developmental interventions in beneficiary countries; and iii) institutions of States that operate

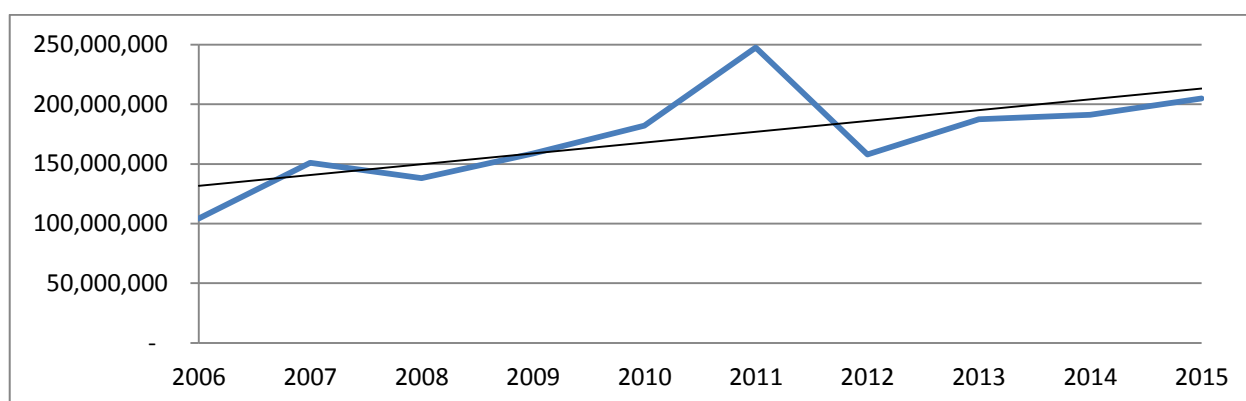
² Joint Inspection Unit, 2007, Voluntary Contribution in UN system organizations – Impact on programme delivery and resource mobilization strategies.

³ Joint Inspection Unit, 2014, An analysis of the Resource Mobilization Function within the United Nations System.

more like governmental entities with respect to their decision making processes, legislative powers and policies such as the European Union (EU).

Against the backdrop of the global economic crisis and declining resource flows, overall voluntary contributions to UNIDO have increased steadily for the last ten years, with an upward trend (see Figure 1). Since 2009 voluntary contributions have increased significantly, despite the decline in assessed contributions due to the withdrawal of some Member States and the zero real growth in the regular budget imposed by the Member States for several biennia. However, nearly all voluntary contributions were earmarked to specific programmes and projects in specific countries.

Figure 1. Total voluntary contributions (USD)



Source: UNIDO Annual Reports from 2006 to 2015.

B. Main voluntary contribution donors

At UNIDO contributors finance technical cooperation interventions under three main priority themes: Poverty Reduction, Trade Capacity Building and Energy and Environment. In December 2013, when the Lima Declaration reconfirmed UNIDO's mandate, these thematic programmes were realigned to the new themes: creating shared prosperity, advancing economic competitiveness and safeguarding the environment. While the EU mainly funds thematic areas related to Poverty Reduction and Trade Capacity Building, the GEF and the MLF finance mostly Energy and Environment programme.

According to UNIDO Annual Reports, during the last ten years between 2006 and 2015, the GEF, the MLF and the EU have been the largest donors at UNIDO, while the biggest governmental voluntary contributors to UNIDO's services are Italy, Japan, Switzerland and Norway. Combining both assessed and voluntary contributions, Japan and Italy are the largest governmental donors of UNIDO.

The partnership between UNIDO and the GEF has been significantly strengthened over the past years. As a result, the GEF has become one of the biggest contributors of UNIDO programmes and projects, accounting for 37% of the total funds for UNIDO's services in 2015 and for 24% in the period between 2006 and 2015. The MLF is the second largest contributor in the 2006-2015 period, accounting for around 19% of the total net fund for UNIDO's programmes and projects. Yet the funds from the MFL have been declining significantly from around USD 76 million in 2011 to around USD 28 million in 2014 and 2015. Although the EU is the third largest contributor in 2006-2015 period with around 10%, its funding to UNIDO's services have surpassed that of the MLF in 2014 and 2015, reaching around 16% to 17% of the total net funding.

Table 2. Major Voluntary Contributors sources 2006-2015 – net approval in USD

Donor	2006-2015
GEF	419,355,370
MLF	335,993,847
EU	175,333,611

Source: UNIDO Annual Reports from 2006 to 2015.

During the last ten years between 2006 and 2015, the biggest governmental voluntary contributors to UNIDO's services are Italy, Japan, Switzerland and Norway, accounting for 5%, 4%, 4% and 3% respectively of the total net approvals.

Table 3. Top ten governmental voluntary contributors 2006-2015 – net approval in USD

#	Governmental donor	2006-2015
1	Italy	90,920,119
2	Japan	74,823,550
3	Switzerland	62,050,288
4	Norway	46,620,247
5	Sweden	26,648,447
6	France	25,710,470
7	Austria	22,141,436
8	Germany	17,984,600
9	Russia	17,256,517
10	Turkey	16,048,056

Source: UNIDO Annual Reports from 2006 to 2015.

C. Resource mobilization and donor relationship management

At UNIDO, the responsibilities for resource mobilization and relationships management with donors do not rest with a single organizational unit but involves many different departments and divisions. Donor relationship management consists of some distinct elements:

- 1) "Political and institutional relations" refer to the promotion of UNIDO as a partner of choice to the donor through demonstrating congruence between the donor's priorities and UNIDO's offer, its effectiveness and efficiency. Along these lines, the management of political and institutional relations with all UNIDO Member States, former and non-Member States is divided between the Department of Regional Programmes and Field (EFR/RPF - for 156 Member States) and the Strategic Donor Relations Division (EFR/ETR/SDR for 24 Member and non-Member States)⁴. The Management of political and institutional relation with the European Commission is delegated to the Brussels Liaison Office (EFR/BRO). The Environmental Partnerships Division (PTC/PRM/EPD) manages political and institutional relations with and provides substantive reporting to the GEF, while the Montreal Protocol Division (PTC/ENV/MPD) is responsible for the same in the case of the MLF.

⁴ For example Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Iceland, Israel, Ireland, Italy, Japan, Luxemburg, Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom of Great Britain and Northern Ireland, and United States of America (source: DG's Bulletin - UNIDO Secretariat Structure 2016).

- 2) “Donor relations services” provision refers to the negotiation, conclusion and safekeeping of funding agreements with all UNIDO donors, and is under the purview of the Strategic Donor Relations Division. EFR/ETR/SDR facilitated, negotiated and concluded the agreements with both the GEF and the MLF and governmental donors. It also coordinates verifications and assessments undertaken by governmental donors and advises UNIDO staff on donor compliance matters.
- 3) “Financial services for donors” are the responsibility of the Financial Management of Technical Cooperation Division (PPS/FIN/FMT) and consist of receipt of funds, accounting and financial reporting to donors, although several related functions are also performed by EFR/ETR/SDR.
- 4) Finally, Office of Legal Affairs clears all donor agreements and amendments thereof for compliance with UNIDO’s Constitution and rules and regulations in effect.

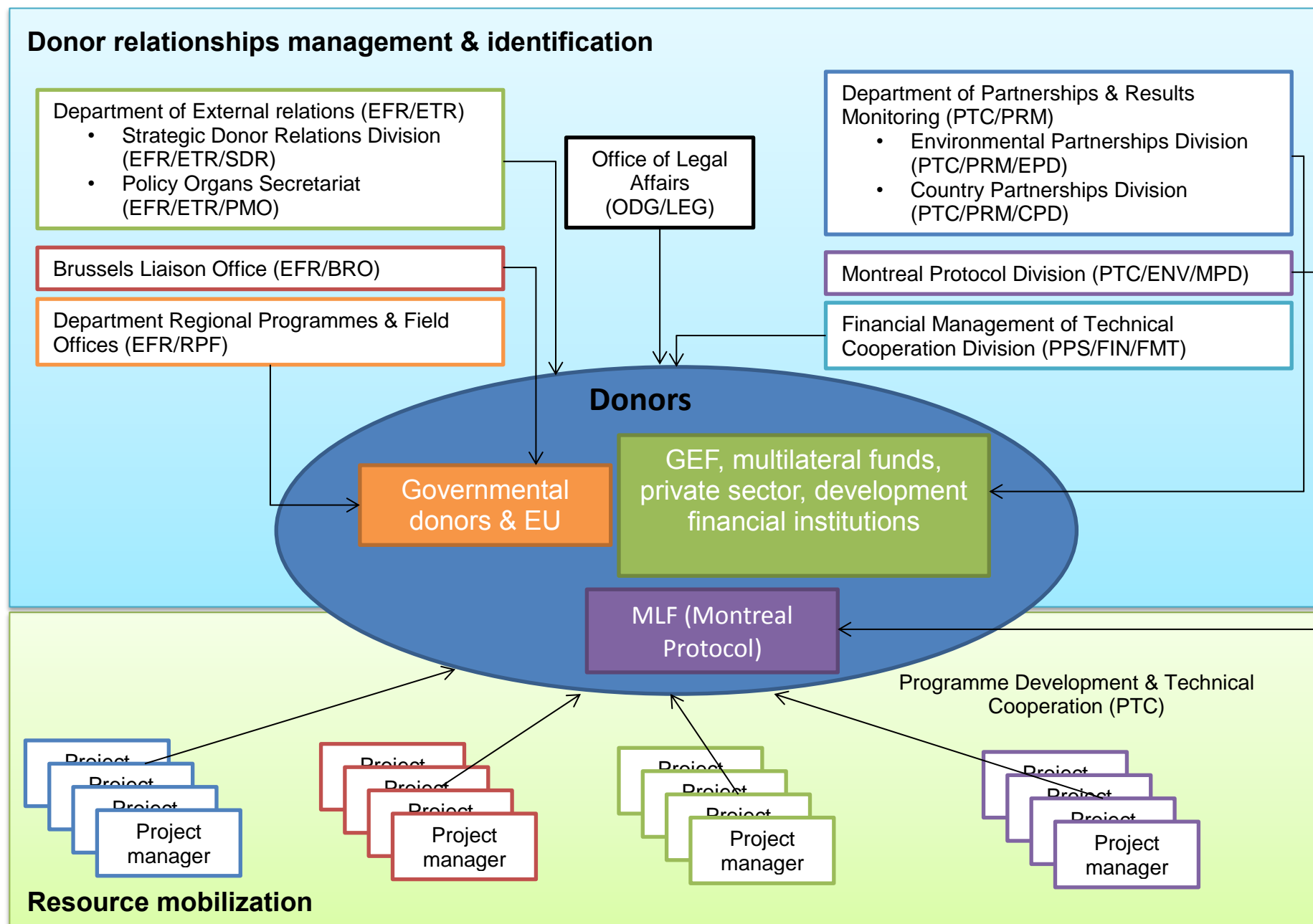
Accordingly, while contracting and financial services for donors are responsibilities of EFR/ETR/SDR and PPS/FIN/FMT respectively, political and institutional relationship management with donors is disbursed among different Departments and Divisions in the organization.

Figure 2 is a schematic depiction of the responsibilities for managing donor relationships and mobilizing funds at UNIDO. It indicates that these responsibilities are more or less divided into three groups of donors: 1) governmental donors and the European Union; 2) development finance institutions, multi-lateral funds, the GEF, and the private sector; and 3) the Multilateral Fund for the Implementation of the Montreal Protocol.

According to the Director General’s Bulletin – UNIDO Secretariat Structure 2016, the Department of External Relations (EFR/ETR) is mainly responsible for managing the relations with governmental donors and the EU. Specifically, it establishes, maintains, coordinates and monitors the Organization’s official contacts with Member and non- Member States, regional groups, and IGOs/NGOs.

In the Department of External Relations, the Strategic Donor Relations Division (EFR/ETR/SDR) is responsible for engaging with countries (including non-Member States of UNIDO) at a strategic and policy level to promote enhanced relations between relevant public and private sector entities in these countries and UNIDO. The Division is also responsible for identifying potential funding opportunities for technical cooperation and related activities of UNIDO from all sources, and for coordinating the preparation and management of related funding agreements as well as facilitating periodic joint reviews with the respective donors and other partners. The Division is the primary organizational unit at UNIDO that provides “contractual and related relationship management services”, including drafting, negotiating, concluding as well as amendments thereof to all UNIDO donors (governments, public entities of States, global and multilateral funds, development finance institutions, and the private sector).

Figure 2: Donor relationships management and resource mobilization function at UNIDO (source: DG's Bulletin- UNIDO Secretarial Structure 2016)



Office of Legal Affairs (LEG) significantly contributes to the formulation of funding agreements from a compliance perspective with respect to UNIDO's Constitution, rules and regulations.

The UNIDO Brussel Office is responsible for promoting partnerships and cooperation with the European Union. In addition, UNIDO field offices are responsible for identifying donor funding priorities and maintaining close contacts with locally-based donor institutions. In light of donors' move toward decentralization of funds-allocation decisions from the Headquarters to the field offices, more and more funds have been mobilized directly from donors' field offices.

The Department of Partnerships and Results Monitoring (PTC/PRM) takes care of UNIDO partnerships with the second group of donors, namely development finance institutions, multi-lateral funds, the GEF, and the private sector, leaving the services related to negotiating and drafting agreements to the Strategic Donor Relations Division. Within the Department, the Environment Partnerships Division (PTC/PRM/EPD) coordinates partnerships aiming at global environment issues, such as the GEF, while the Country Partnerships Division (PTC/PRM/CPD) promotes partnerships with Development Finance Institution (DFIs) and private enterprises.

The Montreal Protocol Division (PTC/ENV/MDP) in the Department of Environment (PTC/ENV) both manages the relationship with the MLF and implements projects funded by the MLF. This approach has been applied as a special mode of operations at UNIDO for many years.

The division that deals with all groups of donors is the Financial Management of Technical Cooperation Division (PPS/FIN/FMT) who provides financial management, monitoring, control and reporting of all technical cooperation programmes and projects. Some part of this function used to be located in the Strategic Donor Relations Division but was moved to Department of Finance in 2014.

Resource mobilization responsibility does not rest with one or more organizational units but is one of many key tasks of more than 120 project managers from the Programme Development and Technical Cooperation (PTC) and the Department of Policy, Research and Statistics (PRS). Apart from developing, implementing and managing programmes and projects, they identify and raise funds for development interventions and contribute significantly to manage relationships with donors.

III. Evaluation objectives, scope, methodology, key questions and process

A. Evaluation objectives

The thematic evaluation of UNIDO's partnerships with donors has two main objectives:

1. Assess the performance of the UNIDO's partnerships with key donors in terms of relevance, effectiveness and efficiency.
2. Identify good practices from different *modi operandi* of partnerships management within the Organization and from other comparable organizations and develop findings and recommendations for future improvement of partnerships management at UNIDO.

B. Evaluation scope

This evaluation will cover the period 2006-2015. Due to the limited financial resources and time frame, the evaluation will review the partnerships between UNIDO and the two biggest voluntary contributors namely the GEF and the EU, and the four largest governmental donors during this period. It should be noted that UNIDO's partnership with the MLF has been covered in a recent independent thematic review by the Independent Evaluation Division (ODG/EVQ/IEV).

The four largest governmental donors of UNIDO are Japan, Italy, Switzerland and Norway. Therefore the partnerships with these four donors will be reviewed by this evaluation. It should be noted that Japan and Italy are also two of UNIDO's top ten assessed contributors.

C. Evaluation methodology and key questions

The evaluation will be conducted in accordance with the UNIDO Evaluation Policy⁵. It will be carried out as an independent in-depth evaluation using participatory approach whereby key stakeholders will be regularly consulted and informed throughout the evaluation process.

In line with its objectives, the evaluation will have two main components. The first component focuses on an overall assessment of performance of the partnerships, whereas the second focuses on the learning from different partnership *modi operandi* and comparators.

Performance assessment. This component will be based on the assessment of three core international standard evaluation criteria: relevance, effectiveness and efficiency. It is necessary to clarify up front that the evaluation will not assess the impact of these partnerships on beneficiaries of UNIDO programmes and projects, as this type of analysis would not be possible with the limited resources and timeline of the evaluation, and to a large extent, this has been covered by the specific independent terminal evaluations at project level.

The **relevance** of the partnerships with the six donors will be assessed in relation to UNIDO's mandate and strategic policies and to the donors' priorities; and the relevance of design of '*modus operandi*' of each partnership.

The key questions for assessing relevance are as follows:

1. Are the partnerships relevant to UNIDO's mandate and strategic policies and to the donors' priorities?
2. Are the partnerships appropriate strategic management tools to effectively use donor's resources and UNIDO's expertise to promote inclusive and sustainable industrial development (ISID)?
3. Does UNIDO put the right organizational structure, systems, and processes in place to nurture and benefit the most from these partnerships?
4. Is the design of the partnerships adequate to address the problems at hand? Is there a need to reformulate the design given changes in the current development context?

The analysis of **effectiveness** of the partnerships will focus on whether their expected objectives have been achieved. However since most of the partnership agreements were developed long time ago and objectives and expected results may have been expressed broadly or without specific expected results, budget and time limits or the donors' priorities may have changed over the decade, the evaluation team will 'reconstruct' a theory of change with the assistance of key stakeholders to clarify the expected results chain(s), hence enhancing the transparency and clarity of the subject being evaluated.

The key questions for assessing effectiveness are as follows:

1. What are the key results and benefits of these partnerships, for UNIDO and for the donors? To what extent have the expected results been achieved or are likely to be achieved?

⁵ UNIDO. (2015). Director General's Bulletin: Evaluation Policy (UNIDO/DGB/(M).98/Rev.1)

2. How have these partnerships affected UNIDO's performance and results?
3. How well have UNIDO programmes and projects funded by these donors performed?
4. What are the intended and unintended consequences of these partnerships?

In analyzing the **efficiency** of these partnerships, the evaluation will review the organizational arrangements and resources used in managing the partnerships.

The key questions for assessing efficiency are:

1. Are the modi operandi of these partnerships the most efficient ways to obtain the results that UNIDO and the donors would like to achieve?
2. Have these been the least cost options? If not, were other options available?
3. Does the current organizational arrangement at UNIDO sufficiently satisfy the donors' demand in terms of communication, reporting and feedback?

These evaluation questions will be further fine-tuned during the inception phase of the evaluation.

Learning from comparison among different modi operandi of partnerships at UNIDO and from comparators. Learning from benchmarking different modes of partnership arrangements and insights from comparators will be invaluable. This evaluation will identify good practices from the partnerships with six different donors. At the same time a literature review and analysis of partnerships of comparator organizations will also be conducted. This component will seek to answer the two following questions:

1. What lessons can be drawn from the partnership modi operandi with the six donors and from the experience of other comparable organizations?
2. Have new international good practices in building partnerships with donors emerged, which should be taken into account by UNIDO?

The selection of comparators to be studied will be identified at the inception phase and after initial consultations with key stakeholders.

Evaluation instruments for data collection and analysis. The evaluation will use mixed methods to collect data and information from a range of sources and informants. It will pay attention to triangulating the data and information collected before forming its assessment. This is essential to ensure an evidence-based and credible evaluation, with robust analytical underpinning. Following are the main instruments for data collection and analysis:

1. **Desk review of documents and database** including independent evaluation reports and performance rating of programmes and projects funded by the GEF, EU, Japan, Italy, Switzerland and Norway in the last ten years, and other relevant studies on managing partnerships with donors, including sample funding agreements.
2. **Stakeholder consultations.** These will be conducted through structured and semi-structured interviews and focus group discussion. Key stakeholders to be interviewed include: i) UNIDO Management and staff of departments and divisions involved in donor relationships management and resource mobilization; ii) representatives of Permanent Delegation of relevant Member State donors; and iii) representatives of donors.
3. **Survey.** An electronic survey would be undertaken to collect a variety of perspectives and information from UNIDO project managers and other stakeholders as needed.
4. **Comparative study.** A literature review of comparator organizations will be conducted.

D. Evaluation process

The evaluation will be conducted from November 2016 till March 2017. The evaluation will be implemented in five phases which are not strictly sequential, but in many cases iterative, conducted in parallel and partly overlapping:

- i. Inception phase
- ii. Desk review and data analysis
- iii. Interviews, focus groups, survey and literature review
- iv. Visit to donors
- v. Data analysis and report writing

The outline for the evaluation report is presented in annex 5.

IV. Evaluation team

Evaluation team. The thematic evaluation will be conducted by a team of three independent international evaluation consultants (team leader and two team members) under the overall guidance of the Chief, UNIDO Independent Evaluation Division (IEV). A lead Evaluation Officer from IEV to be responsible for the management and conduct of the evaluation will be assigned.

The team leader and one team member will be high-level and senior evaluators who have in-depth knowledge of evaluation, partnerships, donor community and results-based management. The evaluation team would be composed with relevant strong experience and skills on evaluation management and conduct together with expertise and experiences in partnerships. Their Job Description is presented in annex 3.

According to UNIDO Evaluation Policy, 'the members of an evaluation team must not have been directly responsible for the policy-setting, design or overall management of the subject of evaluation (nor expect to be so in the near future)'.

V. Quality assurance

All UNIDO terminal evaluations are subject to quality assessments by the UNIDO Independent Evaluation Division. Quality assurance and control is exercised in different ways throughout the evaluation process (briefing of consultants on methodology and process), providing inputs regarding findings, lessons learned and recommendations from other UNIDO evaluations, review of inception report and evaluation report, and ensuring the draft report is factual validated by stakeholders).

The quality of the evaluation report will be assessed and rated against the criteria set forth in the Checklist on evaluation report quality, attached as Annex 4. The draft and final terminal evaluation report are reviewed by the UNIDO Independent Evaluation Division and circulate it within UNIDO together with a management response sheet.

Annex 1. Preliminary list of reference documents

1. UNIDO Secretariat Structure 2016 - Feb 2016
2. Funds Mobilization Guide, UNIDO, <http://intranet.unido.org>
3. Independent thematic evaluation. UNIDO's Public private partnerships. 2014
4. JIU/REP/2014/1, AN ANALYSIS OF THE RESOURCE MOBILIZATION FUNCTION WITHIN THE UNITED NATIONS SYSTEM. Joint Inspection Unit (JIU), Geneva 2014
5. JIU/REP/2015/4, PUBLIC INFORMATION AND COMMUNICATIONS POLICIES AND PRACTICES IN THE UNITED NATIONS SYSTEM. JIU, Geneva 2015
6. Sample funding agreements
7. Project terminal evaluation reports of projects funded by the 6 donors

Annex 2. Preliminary list of reference evaluation reports

To be developed during the inception phase.

Annex 3. Job descriptions



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION
TERMS OF REFERENCE FOR PERSONNEL UNDER INDIVIDUAL SERVICE
AGREEMENT (ISA)
Job description

Thematic evaluation
UNIDO's partnerships with donors

Post title: Principal International Evaluation Expert (Team Leader)

Duration: 32 days spread over 15 November 2016 – 30 March 2017

Date required: 15 November 2016

Duty station / missions: Home-based; UNIDO HQ, Vienna; missions

Duties of the consultant: The Principal International Evaluation Consultant will in collaboration in with two other evaluation team members and the lead Evaluation Officer from the UNIDO Independent Evaluation Division conduct the thematic evaluation of UNIDO's partnerships with key donors, in conformity with the evaluation TOR. More specifically the consultant will carry out the duties as per the table below:

Duties	Duration (work days)	Deliverables
Desk review of documents related to UNIDO's partnerships with donors and the terminal evaluation reports of projects funded by the GEF, Japan, Italy and Norway, including but not limited to documents referred to in the Bibliography of the ToR	4 days	List of issues to be clarified in line with evaluation questions; elements for inception report, including interview guidelines.
Inception report: prepare an inception report based on the desk review and including an evaluation matrix	1 day	Inception report
Briefing with UNIDO IEV; HQ interviews: Conduct surveys and interviews with relevant staff at UNIDO HQ, with members of	17 days in HQ / field mission to Washington DC, Rome, Oslo and	Information collected and analyzed, in line with the evaluation questions developed in the ToR and the Evaluation Matrix developed during the

Duties	Duration (work days)	Deliverables
Permanent Missions and with key representatives of donors at UNIDO HQ Visit to donor countries (GEF in Washington DC, Italy in Rome, Norway in Oslo, Japan in Tokyo) Debriefing: Presentation of preliminary findings at UNIDO HQ and Permanent Missions	Tokyo Vienna	inception phase, and analyzed for evaluation report. Power Point presentation with preliminary findings.
Drafting of evaluation report and incorporation of comments received	10 days	Report chapters and sub-chapters including conclusions, recommendations and lessons learned. Preparation of Executive Summary and 2 pages Take-away message from the evaluation.
Total	32 days	

Qualifications:

- Advanced university degree in a field related to development studies, economics, public administration, business administration
- Have an in-depth knowledge of evaluation of development projects/ programmes, minimum of 20 years' experience.
- Have proven practical experience in evaluating high-level and strategic issues with a range of UN and international development agencies;
- Good knowledge of and experience working with donors of development interventions
- Experience/knowledge in partnerships between donors and multilateral organizations
- Excellent analytical and drafting skills

Languages: English

Impartiality: According to UNIDO rules, the consultant must not have been involved in the policy-setting, design or overall management of the subject of evaluation (nor expect to be so in the near future).



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

**TERMS OF REFERENCE FOR PERSONNEL UNDER INDIVIDUAL SERVICE
AGREEMENT (ISA)**

Job description

**Thematic evaluation
UNIDO's partnerships with donors**

Post title: Senior Evaluation Expert (Team Member)

Duration: 15 days spreading from 1 December 2016 – 30 March 2017

Date required: 1 December 2016

Duty station / missions: Home-based; UNIDO HQ, Vienna; missions

Duties of the consultant: in collaboration with the evaluation team leader and member, conduct this thematic evaluation in conformity with the TOR and carry out the duties as per the table below:

Duties	Duration (work days)	Deliverables
Desk review of documents related to UNIDO's partnerships with donors, including the terminal evaluation reports of projects funded by the EU and Switzerland, advising the team on evaluation and partnerships issues and inception report	3 days	List of issues to be clarified in line with evaluation questions; inception report including interview guidelines.
Briefing with UNIDO IEV; HQ interviews: Conduct interviews with relevant staff at UNIDO HQ, with members of Permanent Missions and with key representatives of donors at UNIDO HQ Visit to donor countries (SECO in Bern, EU in Brussel) Debriefing: Presentation of preliminary findings at UNIDO HQ and Permanent Missions	7 days in HQ / mission to Bern and Brussel	Information collected and analyzed, in line with the evaluation questions developed in the ToR and the Evaluation Matrix developed during the inception phase, and analyzed for evaluation report. Power Point presentation with preliminary findings, analytical brief paper on partnerships with Switzerland and EU.
Drafting part of the main evaluation report, providing comments on literature review of donor	5 days	Part of report chapters and sub-chapters including conclusions,

Duties	Duration (work days)	Deliverables
partnerships at comparator organizations and on the main evaluation report, and incorporation of comments received on the parts s/he is responsible for.		recommendations and lessons learned, in agreement with the team leader.
Total	15 days	

Qualifications:

- Advanced university degree in a field related to development studies, economics, public administration, business administration
- Have an in-depth knowledge of evaluation of development projects/ programmes, minimum of 15 years' experience.
- Have proven practical experience in evaluating high-level and strategic issues with a range of UN and international development agencies;
- Experience/knowledge in partnerships between donors and multilateral organizations
- Knowledge of UNIDO;
- Excellent analytical and drafting skills.

Languages: English

Impartiality: According to UNIDO rules, the consultant must not have been involved in the policy-setting, design or overall management of the subject of evaluation (nor expect to be so in the near future).

Job description

Post title: Partnerships Expert (Team Member)
Duration: 21 days from 15 November 2016 – 30 March 2017
Date required: 15 November 2016
Duty station / missions: Home-based; UNIDO HQ, Vienna
Duties of the consultant: in collaboration with the evaluation team leader and member, conduct this thematic evaluation in conformity with the TOR and carry out the duties as per the table below:

Duties	Duration (work days)	Deliverables
Desk review of documents related to UNIDO's partnerships with donors, available literature on partnerships between donors and development agencies, especially UN organizations that are comparable to UNIDO	5 days	List of issues to be clarified in line with evaluation questions, list of comparator organizations
-Briefing with UNIDO IEV; -HQ interviews: Together with the evaluation team, conduct interviews with relevant staff at UNIDO HQ, with members of Permanent Missions and with key representatives of donors at UNIDO HQ -Contribute to reconstruct the theory of change of partnerships with donors -Conduct literature review	14 days in HQ	Working paper on comparator organizations, focusing of good practices and emerging practices that could be applicable for UNIDO, as agreed with the evaluation team leader
Drafting of part of the evaluation report, on comparator organizations and incorporation of comments received	2 days	Part of report on learning from comparator organizations, in agreement with the team leader.
Total	21 days	

Qualifications:

- Advanced university degree in a field related to development studies, economics, public administration, business administration
- Have an in-depth knowledge of partnerships in development, minimum of 5 years' experience.
- Experience/knowledge in partnerships between donors and multilateral organizations
- Knowledge of UNIDO;
- Excellent analytical and drafting skills.

Languages: English

Impartiality: According to UNIDO rules, the consultant must not have been involved in the policy-setting, design or overall management of the subject of evaluation (nor expect to be so in the near future).

Annex 4. Checklist on evaluation report quality

Independent Thematic Evaluation

Report title:

Evaluation team leader:

Quality review done by:

Date:

Report quality criteria	UNIDO EVA Assessment notes	Rating
a. Was the report well-structured and properly written? (Clear language, correct grammar, clear and logical structure)		
b. Was the evaluation objective clearly stated and the methodology appropriately defined?		
c. Did the report present an assessment of relevant outcomes and achievement of project objectives?		
d. Were the report consistent with the ToR and the evidence complete and convincing?		
e. Did the report present a sound assessment of sustainability of outcomes or did it explain why this is not (yet) possible? (Including assessment of assumptions, risks and impact drivers)		
f. Did the evidence presented support the lessons and recommendations? Are these directly based on findings?		
g. Did the report include the actual project costs (total, per activity, per source)?		
h. Did the report include an assessment of the quality of both the M&E plan at entry and the system used during the implementation? Was the M&E sufficiently budgeted for during preparation and properly funded during implementation?		
i. Quality of the lessons: were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
j. Quality of the recommendations: did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can these be immediately implemented with current resources?		

Report quality criteria	UNIDO EVA Assessment notes	Rating
k. Are the main cross-cutting issues, such as gender, human rights and environment, appropriately covered?		
l. Was the report delivered in a timely manner? (Observance of deadlines)		

Rating system for quality of evaluation reports: A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.

Annex 5. Draft outline of evaluation report

Executive summary

- Must provide a synopsis of the storyline which includes the main evaluation findings and recommendations
- Must present strengths and weaknesses of the project
- Must be self-explanatory and should be maximum 3-4 pages in length

I. Evaluation objectives, methodology and process

- Information on the evaluation: why, when, by whom, etc.
- Scope and objectives of the evaluation, main questions to be addressed
- Information sources and availability of information
- Methodological remarks, limitations encountered and validity of the findings

II. Evaluation findings

1. Performance assessment
 - Relevance
 - Effectiveness
 - Efficiency
2. Learning from different UNIDO modus operandi of partnerships and from comparators

III. Conclusions, recommendations and lessons learned

- A. Conclusions
- B. Recommendations
- C. Lessons learned

Annexes should include the evaluation TOR, list of interviewees, documents reviewed, and other detailed quantitative information. Dissident views or management responses to the evaluation findings may later be appended in an annex.

Annex B. List of documents reviewed

UNIDO and General References

- Fitz-Gibbon, & Morris. (1996). Theory-based evaluation.
- Funds Mobilization Guide, UNIDO, <http://intranet.unido.org>
- Glasbergen, Biermann, & Mol, (eds). Partnerships, governance and sustainable development: Reflections on theory and practice. Edward Elgar Publishing, 2007.
- Inclusive and Sustainable Industrial Development. Creating shared prosperity / Safeguarding the environment, UNIDO 2014
- Independent Strategic Evaluation Implementation of the expanded UNIDO Medium-Term Programme Framework 2010-2013. UNIDO Office for Independent Evaluation, 2015.
- Independent Thematic Evaluation UNIDO Field Office Performance. UNIDO Evaluation Group 2013.
- Independent Thematic Evaluation UNIDO's Global Forum Function. UNIDO Evaluation Group, 2013.
- Independent Thematic Evaluation: UNIDO's Public Private Partnerships. UNIDO Evaluation Group 2014.
- Introduction to UNIDO Inclusive and Sustainable Industrial Development 2014
- Kelly, L & Roche C, Australian Council for International Development. January 2014. Partnerships for Effective Development
- OECD-DAC, 2011. Multilateral Aid Report.
- OECD-DAC. Glossary of Key Terms in Evaluation and Results Based Management. 2010
- Particip. Study on Collaborative Partner- Donor Evaluation. Final Study Report, March 2016.
- Pawson, R. and Tilley, N. An introduction to scientific realist evaluation. 1997
- The DAC Network on Development Evaluation. Study on Collaborative Partner-Donor Evaluation Update Note. 2016
- The UNIDO Strategy for Industrial Development Partnerships 2017 – 2020 [Internal DRAFT]
- UN-DESA, 2016. Sustainable Development Goal 17.
<https://sustainabledevelopment.un.org/sdg17>
- UNIDO Medium Term Programme Framework (MTPF) 2016-2019.
- UNIDO 15th SESSION OF UNIDO GENERAL CONFERENCE Lima, Peru, 2 December 2013. Lima Declaration: Towards inclusive and sustainable industrial development
- UNIDO Annual Reports 2006-2015.
- UNIDO DGB/2016/14 23 December 2016. Director General's Bulletin: UNIDO Programme Support Costs Recovery Policy.
- UNIDO Programme and Budget Committee Twenty-sixth session Vienna, 7-8 September 2010 Item 7 of the provisional agenda: Mobilization of financial resources. Report by the Director-General.
- UNIDO Programme and Budgets 2010 – 2014
- UNIDO Secretariat Structure 2016 - Feb 2016
- UNIDO UNIDO/DGB/2016/01/Amend.1 17 February 2016. DIRECTOR GENERAL's BULLETIN: UNIDO Secretariat Structure 2016
- United Nations Evaluation Group (UNEG). Norms and Standards for Evaluation, 2016.
- United Nations Joint Inspection Unit (JIU), 2007. Voluntary Contributions in United Nations System Organizations: Impact on programme delivery and resource mobilization strategies.

- United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System.
- United Nations Joint Inspection Unit (JIU), 2015. Public Information and Communications Policies and Practices in the United Nations System.
- United Nations, 2015. The Addis Ababa Action Agenda of the Third International Conference on Financing for Development.
- Wood, B; Betts, J; Etta, F; Gayfer, J; Kabell, D; Ngwira, N; Sagasti, F; Samaranayake, M. The Evaluation of the Paris Declaration, Final Report, Copenhagen, May 2011.
- World Economic Forum, Ellen MacArthur Foundation and McKinsey & Company, 2014. Towards the Circular Economy: Accelerating the scale-up across global supply chains.

UNIDO Partner case studies

European Union

- Administrative Arrangement for a dialogue on SME Policy implementation between United Nations Industrial Development Organization, and Directorate General for Enterprise and Industry of the European Commission, at UNIDO 15th General Conference in Lima, Peru, 3 December 2013.
- Administrative Arrangement for a dialogue on SME Policy implementation between United Nations Industrial Development Organization (UNIDO), and Directorate general for Enterprise and Industry of the European Commission . Roadmap for Industrial Cooperation and SMEs, UNIDO & DG Enterprise and Industry of the European Commission, 2014.
- Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions - A Stronger Role of the Private Sector in Achieving Inclusive and Sustainable Growth in Developing Countries, European Commission, 2014.
- Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions - Towards a circular economy: A zero waste programme for Europe, European Commission, 2014.
- EU - UNIDO cooperation: <http://www.unido.org/office/brussels/eu-unido-cooperation.html?L=1%27>
- European Union and UNIDO, Factsheet, UNIDO, 2016.
- Increasing the impact of EU Development Policy: an Agenda for Change, European Commission, Directorate-General for Development and Cooperation, EuropeAid, 2011.
- The Commission's Directorate-General for International Cooperation and Development (DG DEVCO): http://ec.europa.eu/europeaid/general_en
- The Cooperation between UNIDO and the European Union – A partnership for inclusive growth and sustainable development, UNIDO, 2012.
- UNIDO and European Union – A partnership for inclusive and sustainable industrial development 2005-2016, UNIDO, 2016.
- UNIDO and European Union Cooperation 2005-2015 – A partnership for inclusive and sustainable industrial development, UNIDO, 2015.
- UNIDO Open Data Platform: <https://open.unido.org/>
- Work Plan for Agribusiness in ACP countries (2016-2020), UNIDO & DG for Agriculture and Rural Development of the European Commission, 2015/2016 (?).

Finland

Evaluation: Finnish Aid for Trade 2012-2015. Prepared by FCG for the Ministry of Foreign Affairs of the Government of Finland. 2016.

Finland's Development Policy – One world, common future – towards sustainable development. Government of Finland. 2016.

Review of Norad's support to UNIDO's Trade Capacity Building Programme 2005-2013. Norad. 2015.

Agreement on funding from the Ministry for Foreign Affairs of Finland to UNIDO for 2014-15 (letter dated 20 October 2014).

Global Environment Facility

Agency Progress on Meeting the GEF Fiduciary Standards. GEF/C.45/Inf.04 GEF Council Meeting November 5 – 7, 2013 Washington, D.C. 2013

Amended and Restated Memorandum of Understanding between United Nations Industrial Development Organization and The Secretariat of the Global Environment Facility on Access to GEF Resources. 2014.

Amendment 1 to the Financial Procedures Agreement between United Nations Industrial Development Organization and the International Bank for Reconstruction and Development as Trustee of The Global Environment Facility Trust Fund. 2014.

Financial Procedures Agreement between United Nations Industrial Development Organization and the International Bank for Reconstruction and Development as Trustee of The Global Environment Facility Trust Fund. 2010.

Financial Procedures Agreement between United Nations Industrial Development Organization and the International Bank for Reconstruction and Development as Trustee of The Special Climate Fund. 2014.

Financial Procedures Agreement between United Nations Industrial Development Organization and the International Bank for Reconstruction and Development as Trustee of The Least Developed Countries Fund for Climate Change. 2014.

GEF Agency Compliance with Policies on Environmental and Social Safeguards, Gender, and Fiduciary Standards. GEF/C.48/06 May 07, 2015 48th GEF Council Meeting June 02 – 04, 2015 Washington, D.C. Agenda Item 09. 2015.

GEF-6 Programming Directions (Prepared by GEF Secretariat) Third Meeting for the Sixth Replenishment of the GEF Trust Fund December 10 - 12, 2013.

Global Environment Facility (GEF) Minimum Fiduciary Standards Implementation Analysis – UNIDO (REVISED). Pricewaterhouse Coopers LLP for the GEF. 2009.

Global Environment Facility, Annual Portfolio Monitoring Report, GEF 2016.

Marking the 50th Anniversary of UNIDO-GEF cooperation. UNIDO, 2016.

Minimum Fiduciary Standards for GEF Partner Agencies. GEF. Policy: GA/PL/02 Last Updated on June 27, 2014.

Review of GEF Agencies on Environmental And Social Safeguards And Gender Mainstreaming. GEF/C.45/10. GEF Council Meeting November 5 – 7, 2013 Washington, D.C. Agenda Item 15. 2013.

UNIDO Open Data Platform, Contribution to Budget, 6 Jan 2017.

UNIDO Renewable Energy Trust Fund. Independent Thematic Evaluation. UNIDO Office for Independent Evaluation. 2015.

UNIDO's work in the area of Persistent Organic Pollutants (POPs). Independent Thematic Evaluation. Independent Evaluation Office of the United Nations Industrial Development Organization. 2012.

Italy

Agreements between Italy and UNIDO 2010-2016.

Evaluation reports of Italy funded UNIDO projects 2010-2016.

The Cooperation Between UNIDO and Italy: A multi-faceted cooperation. UNIDO. 2011.

UNIDO Open Data.

Government of Italy Law 228 (2012) : Yearly Contributions to UNIDO

Japan

Evaluations of Japan funded projects 2010-2016.

Independent Evaluation of ITPO TOKYO: UNIDO Service in Japan for the Promotion of Industrial Investment in Developing Countries. UNIDO Evaluation Group, 2010.

Japan and UNIDO. Third Donor Meeting, 2016. UNIDO

Marking the 50th Anniversary of UNIDO-Japan cooperation: A longstanding partnership for prosperity, social inclusiveness and environmental sustainability. UNIDO, 2016.

MOFA Review: Evaluation of Assessed Contributions/ Voluntary Contributions to International Organizations: Assessed contributions to UNIDO. Ministry of Foreign Affairs of Japan, 2015.

MOFA Review: Evaluation of Assessed Contributions/ Voluntary Contributions to International Organizations: Assessed contributions to UNIDO. Ministry of Foreign Affairs of Japan, 2016.

Proposal to Strengthen Partnership Between UNIDO and Japan. UNIDO.

UNIDO Agreements with Japan 2010-2016.

UNIDO Open Data, Japan contributions. UNIDO 2016.

Norway

Framework Agreement on Financing of Technical Cooperation Between The United Nations Industrial Development Organization and the Norwegian Agency for Development Cooperation. 2010.

Norway and UNIDO. Third Donor Meeting, 2016. UNIDO.

Norway's Trade Related Assistance through Multilateral Organizations: A Synthesis Study Report 8/2011 – Study. Norad Evaluation Department, 2011.

Review of Norad's support to UNIDO's Trade Capacity Building Programme 2005-2013 Final Report. Prepared by Saana Consulting, 2015.

UNIDO Administrative Agreements with Norad, 2010-2016.

UNIDO Administrative Agreements with the Ministry of Foreign Affairs of Norway, 2010-2016.

UNIDO Evaluations of Norway funded projects, 2010-2016.

Switzerland

A better business environment in Vietnam, Factsheet, State Secretariat for Economic Affairs SECO, September 2016.

Economic Cooperation and Development - SECO takes stock 2012–2015, State Secretariat for Economic Affairs SECO, September 2016
The Cooperation between UNIDO and Switzerland – A shared vision for development, UNIDO, 2011.

Policy Paper on the Environment - Environmental aspects of economic development cooperation, State Secretariat for Economic Affairs SECO, 2010.

Policy Paper on Tourism Economic and trade policy development cooperation in the tourism sector, State Secretariat for Economic Affairs SECO, 2010.

SECO Priority Countries (<http://www.SECO-cooperation.admin.ch/laender/index.html?lang=en>).

Swiss International Cooperation Annual Report 2015, Federal Department of Foreign Affairs FDFA, Swiss Agency for Development and Cooperation SDC, and Federal Department of Economic Affairs, Education and Research EAER, State Secretariat for Economic Affairs SECO, 2016.

Switzerland and UNIDO, Factsheet, UNIDO, 2016.

Switzerland's contribution to Aid-for-trade, State Secretariat for Economic Affairs SECO, September 2010.

UNIDO Open Data Platform, Contribution to Budget, 6 Jan 2017.

USAID

Final Performance Evaluation of “Tackling Youth Employment in Tunisia”. USAID, 2016.

World Bank

Standard Form of Agreement for Use by World Bank Borrowers: Delivery of Outputs by UNIDO under Bank-financed Projects (v.1 December, 2016).

Agreement between the World Bank and the United Nations Industrial Development Organization, signed 7 June 2016. Standard Form of Agreement for Use by World Bank Borrowers: Provision of Technical Assistance by UNIDO under Bank-Financed Projects (v.1 June, 2016).

The World Bank in One Page. UNIDO Overview Document.

Comparator Study

Busan Partnership for Effective Development Co-Operation Fourth High Level Forum on Aid Effectiveness, Busan, Republic of Korea, 29 November-1 December 2011.

Dag Hammarskjöld Foundation and the United Nations Multi-Partner Trust Fund Office (MPTFO), 2016. Financing the United Nations Development System: Current Trends and New Directions.

FAO Office of Evaluation, 2016. Evaluation of the FAO Multipartner Programme Support Mechanism (FMM).

FAO, 2011. Resource Mobilization and Management Strategy.

FAO, 2012. A guide to Resource Mobilization - Promoting partnership with FAO.

FAO, 2012. Organization-Wide Strategy On Partnerships.

FAO, 2013. Procedures for financing the evaluation of initiatives funded by voluntary contributions. Evaluation Policy Guidance.

FAO, 2014. 11 Corporate Areas for Resource Mobilization.

FAO, 2015. FAO's Quick guide to Resource Mobilization - Promoting partnership with FAO.

FAO, 2017. Worldwide Offices. <http://www.fao.org/about/who-we-are/worldwide-offices/en/>

ILO Committee on Technical Cooperation, 2006. Resource mobilization for technical cooperation: Policy and implementation status.

ILO Regular Budget Supplementary Account. October 2013 RBSA Information Note.

ILO, 2013. Annual Evaluation Report 2012-13.

ILO, 2014. Draft transitional strategic plan for 2016–17 and preview of the Programme and Budget proposals for 2016–17.

ILO, 2015. Development Cooperation Strategy 2015-17.

ILO, 2015. ILO Programme and Budget for the Biennium 2016– 17.

ILO, 2016. Core Voluntary Funding (RBSA) for ILO development cooperation – Fact Sheet.

ILO, 2016. Evaluation of the technical cooperation strategy 2010–15.

ILO, 2017. Mobilizing Domestic Resources Direct Trust Funds.

ILO, 2017. Programme and Budget. <http://ilo.org/global/about-the-ilo/how-the-ilo-works/programme-and-budget/lang--en/index.htm>

International Labour Standards Department of the ILO, 2008. Improving the Impact of International Labour Standards through Technical Cooperation – A Practice Guide.

Muttukumaru, R. 2016. Towards enhancing core (unrestricted) funding to the UN Development system in the post-2015 period A report prepared for the United Nations Department of Economic and Social Affairs for the 2016 Quadrennial Comprehensive Policy Review

OECD-DAC, 2011. Multilateral Aid Report.

Office of ECOSOC Support and coordination, UN-DESA, 2016. Background Note. Funding situation of the UN development system.

Open UN-Habitat. open.unhabitat.org

Publish What You Fund, 2016. Aid Transparency Index: 2016 Index.

UN General Assembly Resolution 67/226, 2013. Quadrennial comprehensive policy review.

UN-DESA, 2016. Sustainable Development Goal 17.
<https://sustainabledevelopment.un.org/sdg17>

UNDP, 2008. The UNDP accountability system: Accountability framework and oversight policy

UNDP, 2013. UNDP Strategic Plan, 2014-2017: Changing with the World Helping countries to achieve the simultaneous eradication of poverty and significant reduction of inequalities and exclusion.

UNDP, 2014. Cost Recovery from Other Resources - General Management Support (GMS)

UNDP, 2015. Funding Compendium 2015

UNDP, 2015. Funding Windows.

UNDP, 2015. UNDP Executive Board Funding Dialogue [internal presentation].

UNDP, 2016. UNDP Funding Windows.

UNEP Annual Report 2015-16: Recognition of Donor Contributions.

UNEP, 2011. Integrating South-South Cooperation in the UNEP Programmes of Work Policy Guidance, 12 February 2011.

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

UNEP, 2014. UNEP Funding Strategy: Universal Membership – Global Responsibility.

UNEP, 2015. Handbook for Stakeholder Engagement at UNEP.

UNEP, 2015. Medium term strategy 2014-2017.

UNEP, 2016. Donors and contributions
<http://web.unep.org/about/funding/about/funding/donors-and-contributions>

UNEP, 2016. Funding – Earmarked Contributions.
<http://web.unep.org/about/funding/about/funding/our-funding/earmarked-contributions-including-gef-0>

UNEP, 2016. Funding – Environment Fund.
<http://web.unep.org/about/funding/about/funding/our-funding/environment-fund-0>

UNEP, 2016. Funding – Regular Budget. <http://web.unep.org/about/funding/about/funding/our-funding/regular-budget-0>

UNEP, 2017. Italy gives 5 million Euro to UN Environment Fund.
<http://web.unep.org/newscentre/italy-gives-5-million-euro-un-environment-fund>

- UNEP, n.d. Guideline for Contributing to the UNEP Environment Fund.
- UN-Habitat Evaluation Unit, 2012, Evaluation of the UN-Habitat Liaison Offices.
- UN-Habitat Evaluation Unit, 2012. Evaluation of the Implementation of UN-Habitat's Medium-Term Strategic and Institutional Plan 2008-2013.
- UN-Habitat Evaluation Unit, 2016. Evaluation Of The Cooperation Agreement Between UN-Habitat and Sweden 2012-2015.
- UN-Habitat Evaluation Unit, 2016. Evaluation of the Open UN-Habitat Transparency Initiative.
- UN-Habitat, 2008. Resource Mobilization Unit Scope Of Work.
- UN-HABITAT, 2011. UN-HABITAT Partnership Strategy May, 2011.
- UN-Habitat, 2013. Proposed work programme and budget for the biennium 2014–2015
Addendum Draft strategic plan 2014–2019 of the United Nations Human Settlements Programme.
- UN-Habitat, 2017. Organizational Structure. <http://unhabitat.org/about-us/our-secretariat/>
- UN-Habitat, 2017. Our Donors. <http://unhabitat.org/about-us/our-donors/>
- United Nations Development Group, 2014. Guide to Joint Resource Mobilization.
- United Nations Development Program. Partnership Survey 2015.
- United Nations General Assembly, 2016. Seventy-first session Agenda item 24 (a). Resolution adopted by the General Assembly on 21 December 2016 [on the report of the Second Committee (A/71/468 (Add.1))].
- United Nations Joint Inspection Unit (JIU), 2007. Voluntary Contributions in United Nations System Organizations: Impact on programme delivery and resource mobilization strategies.
- United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System.
- United Nations, 2015. The Addis Ababa Action Agenda of the Third International Conference on Financing for Development.

Annex C. List of persons interviewed

UNIDO	
NAME	FUNCTION
Office of the Director General (ODG)	
Mr. Stefano BOLOGNA	Senior Advisor to the DG
Ms. Ami FUJINO	Office of Strategic Planning and Coordination, Director
Mr. Javier GUARNIZO	Chief, Independent Evaluation Division
Ms. Marina PLUTAKHINA	Chief, Quality Monitoring
Ms. Julia ROHE	Quality Monitoring Officer
Policy and Programme Support (PPS)	
Ms. Fatou HAIDARA	Managing Director
Ms. Adot KILLMEYER OLECHE	Chief, UNIDO Institute for Capacity Development
Ms. Liliya SYDORENKO	Chief, Financial Management of TC Division
Mr. Peter ULBRICH	Director, Finance
External Relations and Field Representation (EFR)	
Ms. Cathie BRUNNER	External Relations Officer
Ms. Marta CARUDO MARTINEZ DE CASTILLA	Programme Officer
Mr. Federico CASTELLANI KOESSLER	External Relations Officer
Ms. Cathie BRUNNER	External Relations Officer
Mr. Ferda GELEGEN	Deputy Head HQs, ITPO Tokyo
Ms. Jean HAAS-MAKUMBI	Donor Relations Officer
Mr. Stein HANSEN	(Former) Chief, Strategic Donor Relations Division
Mr. Maki IMAZU	ITPO Tokyo, Programme Officer
Mr. Christoph KLOSE	Donor Relations Officer
Mr. Hiroshi KUNIYOSHI	Deputy to the Director General and former Head of ITPO Tokyo

Mr. Jean Paul LANDRICHTER	Donor Relations Officer
Mr. Paul MASELI	Director, UNIDO Office in New York
Mr. Hideki MURAKAMI	Deputy Head Donor Relations, LCET and Advisory Programmes, ITPO Tokyo
Mr. Taizo NISHIKAWA	Former Managing Director and Deputy to the Director General
Mr. Soeren SELANDER	Donor Relations Officer
Ms. Hajime SUDO	ITPO Tokyo, Programme Assistant
Diana BATTAGLIA and experts and staff in the office	Head, ITPO Rome Office
Elena SERA	Office Assistant, ITPO Rome Office
Lorenzo ALDERIGHI	Investment Promotion Expert, ITPO Rome Office
Francesco PALLOCCA	Investment Promotion Expert, ITPO Rome Office
Programme Development and Technical Cooperation (PTC)	
Mr. Smail ALIHALI	Industrial Development Officer
Mr. Marlen BAKALLI	Industrial Development Officer
Mr. Bernard BAU	Industrial Development Officer
Mr. Bernardo CALZADILLA SARMIENTO	Director
Ms. Monica CARCO	Industrial Development Officer
Mr. Andrea DE MARCO	Associate Industrial Development Officer
Mr. Juan Pablo DIAZ-CASTILLO	Associate Industrial Development Officer
Ms. Dominika DOR	Industrial Development Officer
Mr. Bassel EL KHATIB	Industrial Development Officer
Ms. Sabrina GASPERETTI	International Consultant
Ms. Carolina GONZALEZ MUELLER	Industrial Development Officer
Mr. Juergen HIEROLD	GEF Coordinator & Chief
Ms. Akemi ISHIKAWA	Expert

Mr. Ivan KRAL	Industrial Development Officer
Mr. Yuen-Hoi LEE	Industrial Development Officer
Mr. Alois MHLANGA	Industrial Development Officer
Ms. Pamela MIKSHOFISKY	Associate GEF Coordination Expert
Mr. Jaime MOLL DE ALBA	Chief, Country Partnerships
Mr. Pradeep MONGA	Director (former)
Ms. Ebe MUSCHIALLI	Expert
Mr. Takeshi NAGASAWA	Senior Programme Management Expert
Mr. Patrick NUSSBAUMER	Industrial Development Officer
Ms. Ganna ONYSKO	Industrial Development Officer
Ms. Gabriele OTT	Senior Industrial Development Officer
Mr. Juergen REINHARDT	Senior Industrial Development Officer
Mr. Namal SAMARAKOON	Industrial Development Officer
Mr. Philippe SCHOLTES	Managing Director
Ms. Meryem SGHIR	Industrial Development Officer
Mr. Stephan SICARS	Director
Mr. Rana SINGH	Industrial Development Officer
Ms. Virpi STUCKI	Industrial Development Officer
Ms. Nilgun TAS	Chief
Ms. Petra WENITZKY	Industrial Development Officer
Mr. Ciyong ZOU	Partnerships and Results Monitoring (PRM), Director
FINLAND	
Ms. Emilia AUTIO	First Secretary, Desk Officer - Political Affairs, Permanent Mission
Mr. Antti PIISPANEN	Commerical Counsellor, Ministry for Foreign Affairs of Finland
ITALY	
H.E. Maria Assunta ACCILI SABBATINI	Ambassador, Permanent Representative, Permanent Mission
Mr. Pierluigi COLAPINTO	First Secretary Embassy of Italy to the People's Republic of China Former First Secretary, Permanent Mission
Mr. Salvatore D'ANGELO	Officer Technical Assistance Unit, Ministry for the Environment, Land and Sea

Mr. Andrea GHIONE	Senior Economist, Italian Agency for Development Cooperation; Addis Ababa Office
Mr. Valerio GIOMINI	Attaché Unit III, DGDC, Ministry for Foreign Affairs and International Cooperation
Mr. Giovanni Luigi GRANDI	Expert Public-Private Partnership, Private Sector Engagement, Financing for Development, Agency for Development Cooperation (AICS)
Mr. Francesco LA CAMERA	Director Director General for Sustainable Development; Energy and Climate Ministry for the Environment, Land and Sea
Mr. Stefano LIGRONE	Deputy Head Office for Multilateral Cooperation, Directorate General for Development Cooperation (DGDC), Ministry for Foreign Affairs and International Cooperation
Mr. Cristiano MAGGIPINTO	Head of Unit IX Office of Evaluation and Visibility, Ministry for Foreign Affairs and International Cooperation
Ms. Daniela MAIER	Responsible for UNIDO, UNOOSA, SE4All, Permanent Mission in Vienna
Mr. Federico MANNONI	Officer Technical Assistance Unit, Ministry for the Environment, Land and Sea
Mr. Cristiano PIACCENTE	Officer Technical Assistance Unit, Ministry for the Environment, Land and Sea
Ms. Anna Maria PIANTADOSI	First Counsellor, Permanent Mission,
Mr. Guglielmo PIRONE	Deputy Head of Unit V DGDC, Ministry for Foreign Affairs and International Cooperation
Mr. Stefano PISOTTI	Head of Unit V Asian & American Countries, Ministry for Foreign Affairs and International Cooperation
Ms. Grazia SGARRA	Head of Office Public-Private Partnership, Private Sector Engagement, Financing for Development, Agency for Development Cooperation (AICS)
JAPAN	
Mr. Junya ITO	Komatsu, CSR Department
Mr. Keiichi KIMURA	Director in charge of Development Cooperation - Business Development Support Department, Japan External Trade Organization (JETRO)
Ms. Kako KURASAWA	Komatsu General Manager, CSR Department

Mr. Makoto MATSUMURA	Senior Director for Global Strategy (Africa), Planning Department, Japan External Trade Organization (JETRO)
Mr. Yuji NAKAYAMA	Deputy Director, Technical Cooperation Division, Trade and Economic Cooperation Bureau, Ministry of Economy, Trade and Industry Ministry of Economy, Trade and Industry (METI)
Mr. Hiroki NAGAMINE	Global Strategy(Africa), Planning Department, Japan External Trade Organization (JETRO)
Mr. Ken OTA	Former First Secretary, Permanent Mission
Ms. Hiromi SUGIURA	Director, International Trade and Technology, Lifestyle Industry Division, Manufacturing Bureau, Ministry of Economy, Trade and Industry (METI)
Ms. Hiromi UMEDA	Assistant Director, Technical Cooperation Division, Trade and Economic Cooperation Bureau, Ministry of Economy, Trade and Industry (METI)
Mr. Tomoyuki YAMAMOTO	Deputy Director, Global Issues Cooperation Division, International Cooperation Bureau, Ministry of Foreign Affairs (MOFA)
Mr. Sachiko YOSHIMURA	Director General (Industry and Business Development support) - Business Development Support Department, Japan External Trade Organization (JETRO)
NORWAY	
Mr. Mats BENESTAD	First Secretary, Permanent Mission
Mr. Torun DRAMDAL	Senior Adviser Section for Trade Policy and Economic Analysis Norwegian Ministry for Foreign Affairs (MFA)
Ms. Marta GJØRTZ	Adviser Department for Economic Development, Gender and Governance Section for Private Sector Development, Norwegian Agency for Development Cooperation (NORAD)
Mr. Dag Larsson	Former Senior Adviser, Norwegian Agency for Development Cooperation (NORAD)
Mr. Paul WADE	Leader/Assistant Director Department for Economic Development, Gender and Governance Section for Private Sector Development, Norwegian Agency for Development Cooperation (NORAD)
SWEDEN	

Mr. Per-Einar Tröften	Programme Manager (PhD, MSc), Unit for Global Social Development Department for International Organizations and Policy Support, Swedish International Development Cooperation Agency (Sida)
SWITZERLAND	
Ms. Anne DE CHAMBRIER	Programme Manager, State Secretariat for Economic Affairs (SECO)
Mr. Peter HUBER	Programme Manager, Economic Cooperation and Development, State Secretariat for Economic Affairs (SECO)
Mr. Philipp ISCHER	Program Manager, State Secretariat for Economic Affairs (SECO)
Mr. Martin MATTER	Counselor, Permanent Mission of Switzerland Counselor
Mr. Andre PANTZER	Programme Manager, State Secretariat for Economic Affairs (SECO)
Ms. Monica RUBIOLO	Head of SECO Macroeconomic Support
Ms. Anne SCHICK	Programme Manager, State Secretariat for Economic Affairs (SECO)
Mr. Benjamin Frey	Conseiller – Directeur de Coopération, Ambassade de Suisse, Morocco
EU	
Mr. Carl DASPECT	Attaché – Programme manager in the economic/governance section, EU focal point for the PCP Steering Committee, Delegation of the EU to Ethiopia
Mr. Marco DI BENEDETTO	International Aid / Cooperation Officer, Africa-EU Partnership, DG DEVCO
Mr. Karsten KRAUSE	Policy Officer - Low Carbon Technologies and Innovation, DG CLIMA
Ms. Jacky LE GOSLÈS	Senior Expert, DG SANTE
Ms. Cristina MIRANDA GOZALVEZ	Deputy Head of Unit, Global Issues and Relations with ACP, DG AGRI
Ms. Estelle PAYEN	Desk Officer, Sustainable Development Strategy, Martine Dziamski, Directorate-General for Environment (DG ENV)
Mr. Vladimir ROJANSKI	Programme Manager, Private sector development, Regional Programmes Neighbourhood South, DG NEAR
Mr. Fabien SORDET	Assistant Policy Officer, Multilateral Environment Cooperation, DG ENV
Mr. Hans STIELSTRA	Deputy Head of Unit, Multilateral Environment Cooperation, DG ENV
Mr. Mariusz TAMBORSKI	Policy Officer, Private Framework Development, Trade, Regional Integration, DG DEVCO
Roxana TORAN VILLARROYA	Project Manager, Private sector development, Regional Programmes Neighbourhood South, DG NEAR

Mr. Servatius VAN THIEL	Minister Counsellor, Permanent Mission EU, Vienna
GEF	
Mr. Chizuru AOKI	Lead Environmental Specialist
Mr. Mohamed Imam BAKARR	Lead Environmental Specialist
Ms. Pilar BARRERA REY	Coordinator Partnerships and Resource Mobilization
Mr. Carlo CARUGI	Senior Evaluation Officer
Mr. Thomas HAMMOND	Former STAP Secretary Scientific and Technical Advisory Panel (STAP) of the Global Environment Facility (GEF)
Mr. Masako OGAWA	Senior Environmental Specialist Programs Unit
Ms. Gabriella RICHARDSON-TEMM	Coordinator – Gender and Social Issues
Mr. David Elrie RODGERS	Senior Energy Specialist
Mr. Henry SALAZAR	Coordinator – Operations Policy, Partnerships and Operations
Mr. Juha I. UITTO	Director Independent Evaluation Office
Mr. Ibrahima SOW	Africa Regional Coordinator
Ms. Anna VIGGH	Senior Evaluation Officer
WORLD BANK	
Ms. Maria Vannari	Program Lead, Global Support Team on UN Agencies Engagement under WB-financed Operations
USAID	
Mr. William BALDRIDGE	Economic Growth Team Leader
Mr. Danielle DUKOWICZ	Economic Advisor
FAO	
Mr. Kazuki KITAOKA	Team leader Marketing, Outreach and Reporting (TCS-3) South-South and Resource Mobilization Division Technical Cooperation Department
Ms. Nadine VALAT	Team leader Donor Liaison and Resource Mobilization, South-South and Resource Mobilization Division Technical Cooperation Department

ILO	
Ms. Anita AMORIM	Head, Emerging and Special Partnerships Unit
Mr Peter RADEMAKER	Head, Development Partners' Relations Unit
UN-Habitat	
Ms. Lucia KIWALA	Acting Head, The Partners and Inter-Agency Coordination Branch
Ms. Jane NYAKAIRU	Officer-in-Charge, Donor Relations and Income Management
UNDP	
Mr Nick HARTMANN	Director, Partnerships Group, Bureau of External Relations and Advocacy
Ms. Narue SHIKI	Senior Advisor, Strategy and Innovation Unit, Bureau of External Relations and Advocacy
UNEP	
Ms. Kati AUTERE	Chief, Resource Mobilisation and Global Funds Coordination

Annex D. Comparator Study Report

Independent Thematic Evaluation Partnerships with donors

Comparator Study Report

Abbreviations and Acronyms

1. Introduction
2. Methodology
 - 2.1. Selection of comparator organisations
 - 2.2. Desk review
 - 2.3. Stakeholder Interviews
3. Background
4. Brief Synopsis of comparator organisation approaches
 - 4.1. FAO
 - 4.2. ILO
 - 4.3. UNDP
 - 4.4. UNEP
 - 4.5. UN-Habitat
5. Synthesis of findings
6. Lessons Learned for UNIDO
7. Summary and Conclusions

Annex 1. Comparator Questions

Annex 2: List of people engaged

Annex 3. Bibliography

Annex 4. Detailed findings for comparator organizations

FAO

ILO

UNDP

UNEP

UN-Habitat

Abbreviations and Acronyms

CPR	Committee of Permanent Representatives
CSR	Corporate Social Responsibility
DC	Development Cooperation
DPRU	Development Partners' Relations Unit of the ILO
ESPU	Emerging and Special Partnerships Unit of the ILO
FAO	Food and Agriculture Organization of the United Nations
FMM	Multi Partner Support Mechanism (FAO)
IATI	International Aid Transparency Initiative
IFI	International Finance Institution
ILO	International Labour Organization
JIU	Joint Inspection Unit of the United Nations
MOPAN	Multilateral Organizations Performance Assessment Network
MOU	Memorandum of Understanding
MTS	Medium Term Strategy
NGO	Nongovernmental organization
ODA	Overseas development assistance
OECD-DAC	Development Assistance Committee of the Organization for Economic Cooperation and Development
PARDEV	Partnerships and Field Support division of the ILO
RBM	Results Based Management
RBSA	Regular budget supplementary account (ILO)
RM	Resource Mobilization
RMMS	Resources Mobilization and Management Strategy (FAO)
RMS	Resource Mobilization Strategy
ROI	Return on Investment
SSAIFR	Secure, stable, adequate and increased financial resources (UNEP)
SSTC	South-South and Triangular Cooperation
TC	Technical Cooperation
UN	United Nations
UN DESA	UN Department of Economic and Social Affairs
UNDA	UN Development Account
UNDAF	UN Development Assistance Framework
UNDAP	UN Development Assistance Plan
UNDP	United Nations Development Programme
UNEA	United Nations Environment Assembly
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization

USD	United States Dollars
VC	Voluntary Contribution
VISC	Voluntary Indicative Scale of Contributions
XBTC	Extra-budgetary technical cooperation (ILO)

1. Introduction

This comparator study report is an internal output as part of the thematic evaluation of the United Nations Industrial Development Organization (UNIDO) Partnership with Donors evaluation. The evaluation focuses on voluntary contributions to UNIDO from funding partners that are used for technical cooperation projects/programmes and normative work. This report provides a synopsis of similar UN agencies to UNIDO to provide a comparison of key factors and best practice related to developing and strengthening partnerships with national donors and other funding partners. This report outlines the key study questions, methodology, and findings from the comparator study. It summarises the similarities and differences in how each agency manages its partnerships for voluntary contributions and draws out good practices that can be considered by UNIDO in strengthening its partnerships.

Evaluation Objectives The thematic evaluation of UNIDO's partnerships with donors (technical cooperation) has two main objectives:

1. Assess the performance of the UNIDO's partnerships with key donors in terms of relevance, effectiveness and efficiency.
2. Identify good practices from different *modi operandi* of partnerships management within the Organization and from other comparable organizations and develop findings and recommendations for future improvement of partnerships management at UNIDO.

Comparator study objectives This comparator study report focuses on the findings relating to the second objective. The first objective has been addressed by donor case studies, stakeholder interviews and review of key documentation. The specific objectives of this comparator study are to:

- i. Identify good practices from different *modi operandi* of partnerships management from other comparable organizations;
- ii. Contribute findings and recommendations for future improvement of partnerships management at UNIDO building on the good practices of comparator organizations.

2. Methodology

The comparator study methodology was developed in tandem with the methodology for the wider evaluation. The key evaluation questions for the interviews responded to the evaluation matrix (see Evaluation Inception Report). The selection criteria and detailed methodology were reviewed with the full evaluation team and the initial findings were analysed in relation to the emerging findings from the main evaluation.

2.1. Selection of comparator organisations

Selection criteria for the comparator organizations were (i) overlap between the mandate of the selected UN entity and UNIDO's, (ii) recent self-review of the entity's funding practices; and (iii) diversity of funding models used by the selected entities for voluntary contributions. Based on the selection criteria and the time available for the evaluation, five comparator organizations were selected: the Food and Agriculture Organization of the United Nations (FAO); International Labour

Organization (ILO); United Nations Human Settlements Program (UN-Habitat); United Nations Environment Programme (UNEP); and United Nations Development Program (UNDP).

2.2. Desk review

An analysis of key documents including organization-wide strategic plans and thematic evaluations; strategies or guidelines relating to partnership management or resource mobilization of the comparator organizations were reviewed. Background documentation such as relevant Joint Inspection Unit (JIU) and Quadrennial Comprehensive Policy Review (Q CPR) reports, and reports of the OECD-DAC were reviewed to build general evidence across the UN system and specific findings relating to the comparator organizations. This review informed development of general questions for all comparator organization interviews (Annex 1) and specific questions for each organization. Further documentation provided by the interviewees was also reviewed.

2.3. Stakeholder Interviews

A series of semi-structured key informant interviews were conducted with senior representatives responsible for partnership management and resource mobilization. Interviews with comparator organizations were conducted. The interviews with FAO were conducted during the main evaluation country visits to Italy. The remaining interviews were conducted remotely via telephone or Skype. The guiding questions used for the interviews are included in Annex 1. A list of people engaged is included in Annex 2.

Definitions As part of the methodology it was important to clarify definitions so that the findings across the five comparator organizations would be consistent and lead to robust findings. The below definitions were adapted from UN Department of Economic and Social Affairs' (UN DESA) work on funding within the UN system – a key source for common terminology⁶:

1. *Voluntary contributions*: These are contributions that countries and other donors make to the Organization on a voluntary basis. In other words, they are contributions which are not assessed. Voluntary contributions can be either core or non-core, depending on whether the donor places any restrictions (or 'earmarking') on their contribution.
2. *Core contributions*: These contributions are resources provided to UN entities without restrictions (un-earmarked) and whose use and application are directly linked to the multilateral mandates and strategic plans that are approved by the governing bodies of individual UN entities as part of an established intergovernmental process. This includes the assessed or regular contributions received by the organizations, as well as any voluntary contributions that are not earmarked.
3. *Non-core contributions*: These contributions are earmarked by donors to specific projects and thus restricted with regard to their use and application. They can also be 'lightly earmarked' to programmatic, thematic, and/or geographic areas rather than to specific projects, which allows more flexibility in their expenditure. All non-core resources are voluntary in nature.

⁶ Background Note. *Funding situation of the UN development system*. Office of ECOSOC Support and coordination, UN-DESA, 26 September 2016.

3. Background

There are a number of important trends in funding for development cooperation, and the causes of these trends that are shared across most of the organizations in the UN system, including UNIDO and the comparator organizations. The trends in funding include decreased assessed contributions resulting in lessened core funding for many organizations, and faster growth in non-core voluntary contributions compared with core voluntary contributions.⁷ Factors causing these changes are a complex combination of economic and political factors. Some important overall factors are economic factors reducing the available amounts for contributions of donor partners, with overall contributions to overseas development assistance (ODA) began to decline in 2011 and are expected to continue declining.⁸ This has also been associated with an increased demand among donors for transparency, accountability and effective communication regarding efficiency and results achieved.⁹

The increased proportion of non-core voluntary contributions has some advantages for organizations in providing funds to implement programs and stimulating efficiencies.¹⁰ However key challenges persist around dependence on a narrow base of donors, inflexibility in the use of funds due to attached conditionalities or earmarking, as well as contributing to fragmentation of development cooperation efforts.¹¹ The Joint Inspection Unit (JIU) report of 2007 found that emerging best practices in this context included thematic and pooled funding mechanisms, as well as good communication with stakeholders, preparation of resource mobilization strategies, with centralized structures to coordinate resource mobilization activities at decentralized levels to avoid inefficiencies and duplications.¹²

These best practices have now mainly been adopted, with all comparator organizations having resource mobilization strategies in place, and most having decentralized resource mobilization (e.g. regional or country level) with centralized coordination functions (Table 4). Objectives of resource mobilization strategies, or reference to resource mobilization in organization-wide strategic plans are similar across the organizations. They typically relate to: increasing total volume of funding, and proportion of core relative to non-core funding, broadening the funding base (e.g. to include private sector, NGO partners), increasing the predictability or reliability of voluntary contributions, and some also refer to building capacity for resource mobilization and partnership management activities across all levels/locations of the organization. Finally, the JIU called for professional skills development and training for resource mobilization for both headquarters and field level staff within UN agencies.¹³

⁷ United Nations Joint Inspection Unit (JIU), 2007. Voluntary Contributions in United Nations System Organizations: Impact on programme delivery and resource mobilization strategies.

⁸ OECD-DAC, 2011. Multilateral Aid Report.

⁹ United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System.

¹⁰ United Nations Joint Inspection Unit (JIU), 2007. Voluntary Contributions in United Nations System Organizations: Impact on programme delivery and resource mobilization strategies.

¹¹ OECD-DAC, 2011. Multilateral Aid Report.

¹² United Nations Joint Inspection Unit (JIU), 2007. Voluntary Contributions in United Nations System Organizations: Impact on programme delivery and resource mobilization strategies.

¹³ United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System.

Another trend across the organizations is the uptake of approaches to attract ‘lightly’ or ‘softly’ earmarked funds, for example through thematic trust funds. This entails earmarking at higher programmatic or strategic levels that allow them greater flexibility in use of funds compared with project-based earmarking.

As articulated by a 2014 JIU assessment, approaches to resource mobilization have also shifted in recent years, and “Resource mobilization is no longer looked upon in purely transactional terms; it is perceived as attentive nurturing of a lasting relationship with donors as partners, requiring effective communication strategies and continuous dialogue and back-end servicing.”¹⁴ This ‘partnership agenda’ approach rather than a more direct fundraising approach is also in line with the overall development cooperation context, as evidenced by the principles of the 2011 Busan Partnership for Effective Development Cooperation (Ownership of development priorities by developing countries; Focus on results; Partnerships for development; and Transparency and shared responsibility)¹⁵ and Sustainable Development Goal 17 to “Strengthen the means of implementation and revitalize the global partnership for sustainable development”.¹⁶ In response to the Busan Partnership, the OECD-DAC adopted principles to reduce the proliferation of multilateral channels, of which one is: “Provide core or un-earmarked contributions to multilateral organisation, where relevant and possible.”¹⁷

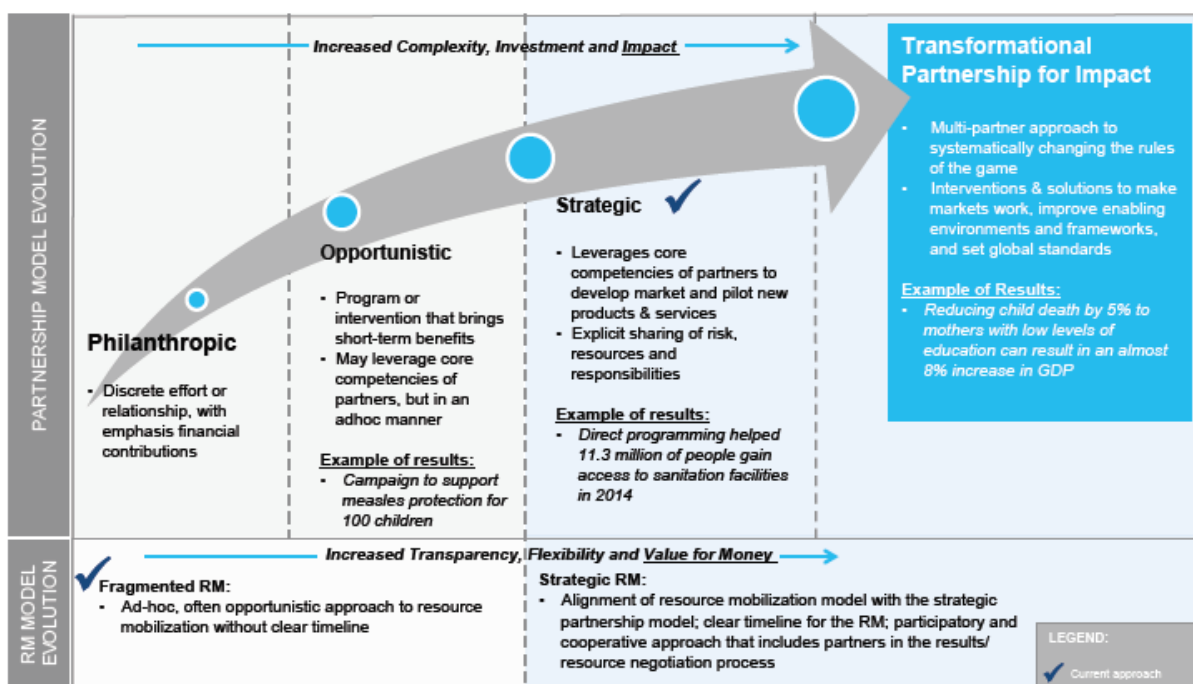
Figure 3. Evolution of partnership and resource mobilization approaches.

¹⁴ United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System.

¹⁵ Busan Partnership for Effective Development Co-Operation Fourth High Level Forum on Aid Effectiveness, Busan, Republic of Korea, 29 November-1 December 2011.

¹⁶ UN-DESA, 2016. Sustainable Development Goal 17. <https://sustainabledevelopment.un.org/sdg17>

¹⁷ OECD-DAC, 2011. Multilateral Aid Report.



Source: Dag Hammarskjöld Foundation and the United Nations Multi-Partner Trust Fund Office (MPTFO), 2016. Financing the United Nations Development System: Current Trends and New Directions.

The Addis Ababa Action Agenda of 2015 also calls for new and innovative approaches to financing for development that operate at country, regional and global levels and across UN entities, along with strengthening global partnerships.¹⁸ The shifts in funding modalities are also associated with UN entities playing more ‘catalytic’ roles in development, which involves enabling or facilitating development more so than driving it.¹⁹ The importance of core contributions has been recognized in the recent Quadrennial Comprehensive Policy Review (QCPR) of the United Nations Development System (UNDS).²⁰ Figure 3 summarises these shifts in partnership and resource mobilization approaches. Finally, recognition of the importance of collaboration among UN entities in the context of “delivering as one” is increasing among the agencies.²¹ Pooled, inter-agency funds are also increasing the proportion of non-core resources in the UN system overall.²² Reflecting this call for strengthened partnerships and “delivering as one”, the United Nations Development Group (UNDG) has developed guidelines for joint resource mobilization between agencies. This outlines guidelines to develop strategies aligned with ‘One Programme’ countries, and expresses a vision that in future a significant proportion of resources for development cooperation will be mobilized jointly at country level.²³

¹⁸ United Nations, 2015. The Addis Ababa Action Agenda of the Third International Conference on Financing for Development.

¹⁹ Muttukumaru, R. 2016. Towards enhancing core (unrestricted) funding to the UN Development system in the post-2015 period A report prepared for the United Nations Department of Economic and Social Affairs for the 2016 Quadrennial Comprehensive Policy Review

²⁰ United Nations General Assembly, 2016. Seventy-first session Agenda item 24 (a). Resolution adopted by the General Assembly on 21 December 2016 [on the report of the Second Committee (A/71/468 (Add.1))].

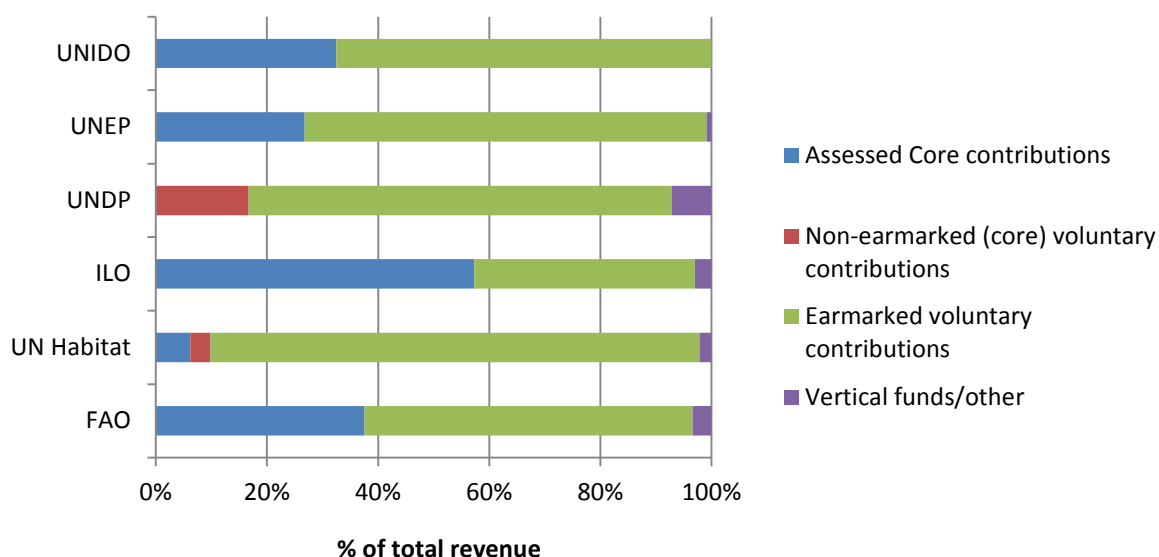
²¹ United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System

²² Dag Hammarskjöld Foundation and the United Nations Multi-Partner Trust Fund Office (MPTFO), 2016. Financing the United Nations Development System: Current Trends and New Directions.

²³ United Nations Development Group, 2014. Guide to Joint Resource Mobilization.

Within this context, the comparator organizations and UNIDO show a variation in their different sources of funding (Figure 4). With the exception of the ILO, all organizations in this study rely on a large proportion of earmarked voluntary contributions to finance their development cooperation work.

Figure 4. Comparison of funding modalities of the comparator organizations, 2014.



Data source: Dag Hammarskjöld Foundation and the United Nations Multi-Partner Trust Fund Office (MPTFO), 2016. Financing the United Nations Development System: Current Trends and New Directions.

Most of the comparator organizations have both partnership and resource mobilization strategies in place. Voluntary contributions are mainly earmarked, though the organizations share goals in terms of reducing the level of earmarking as well as broadening the donor base. Where non-earmarked funds are secured, these are mainly through thematic trust funds. Structures for donor liaison vary between the organizations but are increasingly decentralized, with some form of coordination function at headquarters (HQ) level. These elements are summarized in Table 4.

Table 4. Summary of comparator organizations approaches to partnership management and resource mobilization.

	FAO	ILO	UNEP	UNDP	UN-Habitat	UNIDO
Partnership Strategy/ Policy	Organization-Wide Strategy on Partnerships (2012)	Development Cooperation Strategy (2015-17)	No- but principles included in Medium Term Strategy	Partnership Policy	Partnership Strategy, 2011 (currently being revised)	
Resource Mobilization Strategy	Resources Mobilization and Management Strategy (2011)	Resource Mobilization Strategy (2004) – to be revised	Global Funding Strategy (2014) – set to be revised in 2017	Resource Mobilization Strategy and Action Plans (internal)	Resource Mobilization Strategy and Action Plan (2013)	
Partnership/ Resource Mobilization Guidelines	Yes – originally in 2012 and revised in	Development Cooperation Manual (2015)		Resource Mobilization Toolkit		Funds Mobilization Guide (2015) that guides

	FAO	ILO	UNEP	UNDP	UN-Habitat	UNIDO
	2015					how funds raised are channelled & managed but not how to generate funds
Thematic funds	Multi-partner support Mechanism (FMM)	Regular Budget Supplementary Account (RBSA)	Environment Fund	Funding Windows	Habitat Foundation	Thematic trust funds (primarily Finland support)
Decentralized partnership management/ RM	Yes - regional/ country level	Yes – regional/ country level	Yes – technical branches and country level	Yes – mainly country /regional offices	Yes – both technical branches and regional/ country	Yes – mainly program managers
Centralized coordination function for partnerships/ RM	Yes	Partnerships and Field Support Division: Development Partners' Relations Unit (DPRU); Emerging and Special Partnerships Unit (ESPU)	Corporate Services Division - Strategic Donor Partnerships and Global Funds Coordination office, Donor Partnerships and Contributions office	Bureau of External Relations and Advocacy – Resource Partnerships Group, Strategy and Analysis Unit	Partnerships and Interagency Coordination Branch, and Donor Relations and Income Management Unit (within different Divisions)	Office of External Relations and Partnerships Office – not coordinating with decentralized levels
Annual donor meetings	Yes	Yes	yes	Yes	Yes	Variable – with some donors

4. Brief Synopsis of comparator organisation approaches

This section briefly summarizes the key characteristics of the comparator organizations' approaches to partnership management and resource mobilization. More detailed summaries for each organization are included in Appendix 4.

4.1. FAO

Voluntary contributions are accounting for a growing proportion of the FAO's overall budget. Voluntary contributions are either earmarked to projects, or 'softly' earmarked to strategic priorities. The latter are mainly contributed through the 'Multi-partner support mechanism' (FMM) fund. Promotion of investment in un-earmarked or softly earmarked funds is promoted as 'investment in corporate results' linked to FAO's strategic framework.²⁴ Multi-donor trust funds are also an increasingly utilized mechanism for both softly and fully earmarked contributions. Donor engagement,

²⁴ FAO, 2014. 11 Corporate Areas for Resource Mobilization.

such as on a steering committee for a trust fund contributes to their still having ownership over funds, and ensuring that they understand reports on the fund's expenditure.

Resource mobilization activities are guided by the Resources Mobilization and Management Strategy (RMMS) established in 2011. Implementation of the RMMS is supported by two resource mobilization guides, first in 2012²⁵ and an updated version in 2015.²⁶ These guidelines emphasise the importance of strategic alignment with partners, and of working effectively with partners (i.e. with good communication, mutual accountability and trust). The more recent guide also highlights the importance of flexibility in partnerships in terms of meeting partners' needs. The 2015 guide also has greater focus on marketing and associated terminology such as 'capitalising on FAO's comparative advantage', and 'marketing' FAO's products – what FAO does and the results it is aiming for (the Strategic Framework).²⁷ A centralized partner mapping tool provides a profile of resource partners for use across the organization e.g priority, geographic focus, preferred funding arrangements, liaison officer details, as well as information on existing aid flows (their source, sector focuses and recipients).²⁷

FAO has strategies in place for each donor as requested by donors, each with its own implementation plan, as well as legal agreements. Representatives believe this is important as it demonstrates focus and priority for each donor. Structures for partnership management and resource mobilization at FAO are decentralized, increasingly to the country level. This is in response to resource allocation decisions being made increasingly at the country level and aligning with national priorities.²⁸

Good practices FAO's good practices are its clear guidelines on resource mobilization, and its flexible, aligned approach to partnership management and its strong focus on strategic intelligence. In addition, a system of cost recovery for donor relations services (similar to a consulting fee structure) means that donors pay less for their liaison services and are more satisfied compared with when staff time was not accurately costed. Other good practices relate to the use of networks around thematic areas linked to their strategic framework, which provide a platform for donors to engage around areas of mutual interest. FAO is also currently investing in developing organizational and staff capacity in marketing, to promote investments at the programmatic level, as well as capacity building for decentralized staff on resource mobilization activities.

4.2. ILO

In addition to its assessed contributions, the work of the ILO is financed through the Regular Budget Supplementary Account (RBSA) which holds voluntary core contributions that are fully un-earmarked; as well as Extra-Budgetary Technical Cooperation resources which are voluntary, non-core and earmarked for specific projects.²⁹ Approximately 60 per cent of Extra-budgetary technical cooperation (XBTC) tends to be mobilized at country level, whereas RBSA resources are mobilized mostly from HQ.³⁰

²⁵ FAO, 2012. A guide to Resource Mobilization - Promoting partnership with FAO.

²⁶ FAO, 2015. FAO's Quick guide to Resource Mobilization - Promoting partnership with FAO.

²⁷ FAO, 2015. FAO's Quick guide to Resource Mobilization - Promoting partnership with FAO.

²⁸ FAO, 2012. A guide to Resource Mobilization - Promoting partnership with FAO.

²⁹ ILO, 2017. Programme and Budget. <http://ilo.org/global/about-the-ilo/how-the-ilo-works/programme-and-budget/lang--en/index.htm>

³⁰ ILO, 2016. Evaluation of the technical cooperation strategy 2010–15.

ILO initially put in place a Resources Mobilization Strategy in 2004, which is set to be revised. More recently, the ILO also has in place a Development Cooperation Strategy for 2015-17. One of the four 'building blocks' of the Strategy is resource mobilization. This Strategy also identifies principles for resource mobilization: Consolidation and diversification; Greater predictability; Flexibility; Local resource mobilization; Converging efforts; and Visibility.³¹ Resource mobilization strategies and action plans are also put in place for particular field offices or particular partners.

Un-earmarked contributions to the RBSA have been secured, but to lesser amounts than expected since its establishment in 2008. Representatives from the ILO believe that donors contribute to this fully un-earmarked funds because they understand and appreciate the overall performance of the agency (for example evidenced by MOPAN assessments), and because there is political support within the partner for the ILO. They are also attracted to the lower staffing costs required for them to monitor and report on performance of RBSA funded activities compared with a portfolio of programs or projects. The RBSA has a support costs charge of 7% compared with 13% for other ILO funds which also plays a minor role in attracting donors, though reflects a lower actual transaction cost for the ILO.

The Partnerships and Field Support division (PARDEV) has overall responsibility for donor liaison and partnerships. Within PARDEV, the Development Partners' Relations Unit (DPRU); focuses the traditional development partners such as OECD-DAC countries, international finance institutions (IFIs) and multi-lateral organizations, and also engages with the private sector. Staff liaise with partners on an ongoing basis, and the unit meets three times each year to update and adjust action plans. Staff also liaise with other ILO colleagues working with the same partner (e.g. those involved in design, implementation of projects, programs or activities in partnership with the donor). The PARDEV Emerging and Special Partnerships Units (ESPU) focuses mainly on South-South and Triangular Cooperation, and working with emerging partners. The approach of the ESPU is strongly partner-led, inclusive and participatory. The ESPU works through events and activities that are partner-led such as the UN-wide south-south forum to promote the decent work agenda and areas where the ILO can provide assistance.

Partnerships with individual donors can be governed by multi-annual framework agreements of 1-4 years based on mutually agreed thematic and geographic criteria and approval of individual projects; submission of individual project proposals approved by the donor on a case-by-case basis; and partnership agreements earmarking funds to specified themes under which the ILO may approve programmes and projects.³² Multi-year partnership agreements with particular resource partners are beneficial for the organization compared with individual agreements for projects, as they result in lower transaction costs and greater certainty about coming contributions.

Good practices The ILO considers that its approach of working in a partner-driven way is a good practice. In particular, the ILO's ESPU allows specifically working with emerging partners of the global south in a tailored manner. The ILO also considers that its good practices for donor partners are ensuring that their structure is clear and simple for donors. That is, that a representative from any partner organization knows who to call at the ILO and be easily assisted to meet their requirements. The ILO also expressed the importance of coherence in partner liaison between those staff involved in working with partners on development cooperation work (e.g. design, implementation and evaluation of projects/programs/activities), with those approaching partners to seek funding. The ILO staff also highlighted the importance of working between UN entities wherever possible to share knowledge

³¹ ILO, 2015. Development Cooperation Strategy 2015-17.

³² International Labour Standards Department of the ILO, 2008. Improving the Impact of International Labour Standards through Technical Cooperation – A Practice Guide.

and information to ensure that fundraising activities are complementary rather than competitive between organizations.

4.3. UNDP

UNDP has been experiencing both a decline in overall contributions, and a decline in the proportion of core relative to non-core funding, though has a considerably larger budget than all other comparator organizations in this study. UNDP has responded to donors' demand for more options in the mechanisms by which they can contribute, as well as increasing demand for transparency and accountability. Assessments such as MOPAN and independent assessments of transparency in which UNDP has performed very well³³ are important to donors of UNDP. This performance is the product of prolonged investments in increasing organizational transparency and public availability of data and reports. UNDP's approach to partnerships focuses on engaging partners on mutual interest and to achieve work towards their shared development agenda, and representatives believe that funding is consequent to good partnership work.

Resource mobilization is guided by the Resource Mobilization Strategy and Action Plan (internal documents) which focus on accountability and alignment with donor priorities. Its goals relate to (i) protecting core resources and reversing their declining trend; (ii) improving the quality of non-core resources through a more coordinated approach; and (iii) diversifying the resource base (both across and beyond governments).³⁴ Progress towards the resource mobilization strategy is monitored quarterly and will have a mid-term review and final evaluation.

A new mechanism for thematic funding, the 'Funding Windows' is an instrument for voluntary contributions that was launched in 2016, and was designed to be more streamlined compared with existing thematic trust funds. Funding options are promoted to donors through four themes or 'windows'. Funds are promoted to donors as having greater flexibility and lower transaction costs, and can be allocated as lightly earmarked to a sub-window, or unearmarked to one of the four windows.³⁵ The funding windows have had a low level of uptake so far, though representatives believe the contributions have been encouraging considering the current funding climate (e.g. increasing proportions of contributions required for humanitarian crises).

New cost recovery rates have been implemented as specified in the Strategic Plan 2014-17. Lower cost recovery rates of 7% for thematic contributions at global or country level compared with a minimum of 8% for third party cost sharing or trust fund contributions, with the exception of Government Cost Sharing and South-South contributions for which a rate of 3-5% applies.³⁶

The main responsibility for donor liaison is with the Bureau of External Relations and Advocacy (BERA). Within BERA, the Strategy and Analysis Unit is located at HQ in New York and is responsible for developing, implementing and monitoring the resource mobilization strategy and action plan. These documents apply across the organization and include a set of prioritised actions that need to be progressed. The action plans are not exhaustive, but focus on priority actions that would not happen without focus on them. Country offices also develop resource mobilization action plans. The Resource Partnerships Group has the main responsibility for high-level outreach and liaison with resource

³³ Publish What You Fund, 2016. Aid Transparency Index: 2016 Index.

³⁴ UNDP, 2015. UNDP Executive Board Funding Dialogue [internal presentation].

³⁵ UNDP, 2016. UNDP Funding Windows.

³⁶ UNDP, 2014. Cost Recovery from Other Resources - General Management Support (GMS)

partners, particularly focusing on the OECD-DAC partners. The Group undertakes regular interactions with partners to ensure they are satisfied and that communication and reporting from UNDP meet their needs, in addition to undertaking resource mobilization activities. BERA also has five Representation Offices in major donor cities: Brussels, Copenhagen, Geneva, Tokyo and Washington.

Most resource mobilization activity happens at the level of country offices, though high level political engagement is coordinated through BERA at HQ. Resource mobilization is included in the terms of reference of all field staff. A resource mobilization toolkit gives guidance to field staff on how to prepare resource mobilization action plans. They can seek guidance from HQ, however are ultimately responsible for producing and implementing their own plans. This decentralized approach has advantages in that it mirrors the structures of resource partners, whose prioritisation and resource allocation decisions are often made at country level. It also allows for the organization to remain closely linked to government priorities and decision-making processes, and for UNDP to act as an advocate for the country to have access to available resources. UNDP believes this structure is important, though has some disadvantages in causing duplications in proposals submitted to a donor from multiple country offices.

UNDP's approach is to communicate on results achieved at all levels, starting with the highest political levels through the work of the Partnership Group. This reflects an understanding that the highest levels of a partner's decision making structure must be convinced of the relevance of UNDP in order for resources to flow both from this high level and also be mobilized at regional or country levels. UNDP's approach is for alignment of communication and interactions with country partners in relation to their national agendas.

Visibility to donors' contributions is provided by a funding compendium that details the sources and types of funding contributed. This compendium includes a section entitled "Why Invest in the Regular Resources of UNDP?" which promotes achievements, gives broad statements on how regular resources are used (e.g. ensure transparency, organisational effectiveness, responding to crises, coordination with stakeholders etc).³⁷

UNDP conducts surveys of partners³⁸ which the organization believes partners value for the opportunity to contribute their views on what is working well and what could be done better. UNDP holds annual consultations with individual resource partners to set mutual expectations of contributions and deliverables for the year. While there is not a formal monitoring system in place for partnerships, the level to which donors deliver on these expectations is understood as an indicator of how well the partnership is functioning.

Good practices Frequent and multi-level engagement are undertaken, which is ongoing across HQ level, in capital cities of the major donors, and at the field level. This ongoing engagement delivers clear messaging on what UNDP has to offer, so that messages delivered to donors across these different levels are consistent and coherent. When this is maintained over time, donor representatives know that they can rely on being given endorsed and consistent messages that they can act on. Another good practice is that UNDP is a leading organization in relation to accountability and transparency. Their investments in this area allow them to be clear on costings and on how donors' funds are being utilised. Donors can easily access a variety of information that can demonstrate the

³⁷ UNDP, 2015. Funding Compendium 2015.

³⁸ United Nations Development Program. Partnership Survey 2015.

organization's transparency and accountability. This includes external assessments as well as internal mechanisms such as a recurring partner survey and annual scorecards.

4.4. UNEP

A proportion of UNEP's core funds come from the UN Regular budget and UN Development Account (UNDA), while un-earmarked contributions are made to the Environment Fund. UNEP's current Medium Term Strategy states that partnerships are an important part of UNEP's business model, to enable them to achieve greater impact.³⁹ UNEP launched a Global Funding Strategy in 2014. This sought to achieve stable, secure, adequate and increased financial resources (SSAIFR), structured on principles of (i) shifting towards increased un-earmarked funding; (ii) widening the base of contributors; (iii) Utilising partnerships to catalyse resources and results at global, regional and national levels; (iv) increasing Return on Investment (ROI); and (v) ensuring accountability and communication.⁴⁰ Member States have requested that this strategy be revised in partnership with them, which is planned to be conducted throughout 2017. Approaches to partnership management are not formalized within the organization. However, work is currently commencing to bring about greater formalization and harmonization of UNEP's approach to resource mobilization and working with partners.

Sub-programmes and regional offices of UNEP also have their own resource mobilization strategies based on the organization-wide strategy.⁴¹ Specific activities such as South-South and Triangular Cooperation (SSTC) are also targets for specific leveraging of resources from governments, other multilateral funds and other partners, though clear guidelines on how this should occur are not evident.⁴²

UNEP relies on contributions to its Environment Fund as the main source of flexible funding to implement its programme of work and the MTS. Some flexibility has been achieved via 'soft earmarking' through contributions to the Environment Fund.⁴³ The Fund is financed through a voluntary indicative scale of contributions (VISC) where all Member States of the UN are invited to contribute financially to UNEP at least to the UN assessed scale or the donor's historical level of contributions to UNEP, whichever is higher. However each Member State reserves the right to determine whether or not it wishes to contribute to the Fund, and the contribution amount.⁴⁴ The VISC mechanism was cited by the JIU assessment of 2007 as being an innovative, 'best practice' model that other organizations should replicate. The assessment found that VISC had contributed to a successful broadening of the number of donors, and that most member states contributed amounts similar to their VISC amount. It found that this achieved its intention of increasing the predictability of funds for UNEP.⁴⁵ However, a more recent report found that while initially successful with annual growth in its first five years, in the last seven years funds contributed according to the VISC have

³⁹ UNEP, 2015. Medium term strategy 2014-2017.

⁴⁰ UNEP, 2014. UNEP Funding Strategy: Universal Membership – Global Responsibility.

⁴¹ United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System.

⁴² UNEP, 2011. Integrating South-South Cooperation in the UNEP Programmes of Work Policy Guidance, 12 February 2011.

⁴³ UNEP, 2016. Funding – Earmarked Contributions. <http://web.unep.org/about/funding/about/funding/our-funding/earmarked-contributions-including-gef-0>

⁴⁴ UNEP, 2016. Funding – Environment Fund. <http://web.unep.org/about/funding/about/funding/our-funding/environment-fund-0>

⁴⁵ United Nations Joint Inspection Unit (JIU), 2007. Voluntary Contributions in United Nations System Organizations: Impact on programme delivery and resource mobilization strategies.

stabilized and started to decrease slightly.⁴⁶ UNEP indicated that this mechanism is effective for some, but not all donors. It remains in use as a point of starting discussions with donors on their voluntary contributions.

UNEP's promotion for voluntary funding highlights their ownership by all UN member states, with phrases such as "A global, shared responsibility calls for an increased number of Member States to contribute with higher amounts to UNEP" and "Each and every country is a donor, and each and every country is a recipient".⁴⁷

The Donor Partnerships and Contributions Section leads the UNEP interface with donors for resource mobilization in collaboration with the Executive Office, divisions and regional offices.⁴⁸ This is a small section, though has recently been allocated additional staffing to progress a more strategic and coordinated approach to resource mobilization. The section's approach is to build on partnerships based on mutual interests, rather than initially on funding.

Formal meetings of the UNEA and Committee of Permanent Representatives (CPR) provide opportunities for formal discussion of, and agreement on, funding concerns with partners. However, less formal bilateral engagements are the main platform for donors to discuss their individual interests, views, and concerns with UNEP and to strengthen ongoing partnerships.

UNEP now includes a section entitled "Recognition of Donor Contributions" in their annual report, which includes the overall balances of funds among the different funding mechanisms (assessed, Environment Fund and earmarked) and the amounts contributed by the top 15 donors to the Environment Fund.⁴⁹ UNEP highlighted that this reporting on contributions as well as performance in ways that are easily understood by partners is an area that the organization has been improving on, but where continued improvement is required. This requires advocacy and outreach to effectively acknowledge donors' contributions and the results and performance achieved by UNEP.

Reporting to partners is in the format of financial audits conducted by the Office of Internal Oversight Services (OIOS), annual program performance reports, evaluations of the UNEP Evaluation Office, and independent performance assessments. UNEP recently participated in a MOPAN assessment. UNEP understands that donors place a high level of importance on this and other independent assessments. The importance of demonstrating that the organization is responding to the recommendations of evaluations and independent assessments was also highlighted. Representatives hope to progress in future towards participation in the IATI.

Good practices UNEP considers that its best results in partnership management are achieved where direct, personal relationships are built with partners and maintained over time. This mainly occurs through bilateral discussions, and through group discussions on areas of shared interest. These established channels of engagement allow both partners and UNEP to have frank, open communication on their interests, views and concerns. This open engagement builds mutual confidence and trust in working together. Importantly, best results are achieved where relationships

⁴⁶ Dag Hammarskjöld Foundation and the United Nations Multi-Partner Trust Fund Office (MPTFO), 2016. Financing the United Nations Development System: Current Trends and New Directions.

⁴⁷ UNEP, 2016. Donors and contributions <http://web.unep.org/about/funding/about/funding/donors-and-contributions>

⁴⁸ United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System.

⁴⁹ UNEP Annual Report 2015-16: Recognition of Donor Contributions.

are built upon common ground and mutual interests, and where engagement is tailored to the particular partner.

4.5. UN-Habitat

Of all the comparator organizations, UN-Habitat has the greatest proportion (approximately 86%) of their funds originating from earmarked voluntary contributions. As such, their current Strategic Plan 2014-2019 emphasises the importance of resources mobilization to increase and broaden the organization's funding base, and increasing non-earmarked contributions.

UN-Habitat put in place a Partnership Strategy in 2011 to coordinate partnership management across the agency in order to achieve its overall strategic objectives. Previous to the development of this strategy, UN-Habitat's approach to partnerships was "haphazard and inconsistent, rather than strategic and systematic".⁵⁰ The Partnership Strategy is currently in the final stages of being reformulated, with a new strategy expected later in 2017. Compared with the previous, the new strategy will have a greater focus on strengthening strategic and political level support to then translate to resource mobilization, as well as strengthening interagency cooperation. It will strive for a system-wide approach to partnership management to capitalise and build upon relationships that have been built in preparation for Habitat III, the New Urban Agenda and the SDGs.

In 2013 UN-Habitat approved a new Resource Mobilization Strategy (RMS) and developed an associated action plan. The RMS outlines a decentralized fundraising model, and enhanced coordination, transparency and alignment with corporate priorities.⁵¹

The main responsibility for partnerships and donor liaison is with the Office for External Relations (OER), based at Headquarters in Nairobi. Partner relations for development cooperation in particular sit with the Partners and Inter-Agency Coordination Branch (PIACB).⁵² The PIACB coordinates partnerships across the organization and is responsible for reporting on performance in partnerships both internally and to partners, and regularly meeting and sharing information with partners. Engagement with partners is guided by a database of all the partners of the organization and their different roles.

A Resource Mobilization Unit (RMU) was established in 2008 and located in the Project Office, and has now been replaced with the Donor Relations and Income Management Unit (DRIMU), sitting within the Operations division. The name change reflects the importance of building relationships with donors and centrally looking at income management, rather than just fundraising. This is a small unit which provides coordination and support to the decentralized donor relations functions distributed throughout the technical branches, regional and country offices. This includes providing advice, market intelligence, and training and capacity building activities. The Unit also actively liaises with donor representatives. With the Donor Relations and Partner Relations functions being in two different divisions (operations and external relations respectively) there can be some challenges of ensuring coordination in working with partners at this level. This is also partly due to limited time and resources. A further challenge for the organization arising from the decentralized nature of resource mobilization is that it results in internal competition for resources.

⁵⁰ UN-HABITAT, 2011. UN-HABITAT Partnership Strategy May, 2011.

⁵¹ United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System.

⁵² UN-Habitat, 2017. Organizational Structure. <http://unhabitat.org/about-us/our-secretariat/>

Currently UN-Habitat has liaison offices located in Brussels, New York and Bangkok. The main functions of these offices are to coordinate with other agencies (EU and UN agencies). They provide information back to HQ and country offices on developments, which is important for coherence. The offices have some supporting RM functions, for example the Brussels office coordinates across country offices to minimise duplication in RM efforts directed to the EU.

UN-Habitat's DRIMU has adopted a new approach to approaching donors for voluntary contributions at the request of their Committee of Permanent Representatives (CPR). The approach involves proposing a voluntary contribution amount in collaboration with donor representatives, and sending an invoice to each donor. The amounts are loosely based on a VISC approach, looking at the allocated work plan to prioritise and suggest initial amounts. Suggested amounts are adjusted upon consultation with relevant representatives. A formal letter with invoice is then sent to the relevant Minister. With appropriate communication across all levels (HQ and decentralized) this approach is proving effective at mobilizing additional voluntary core contributions. It is contributing to increasing the base of donors, with donors contributing that hadn't previously done so.

Contributions to core resources and functions to the organization from earmarked funds are undertaken on a cost-recovery basis, in line with the QCPR declaration of 2013.⁵³ In practice, the cost recovery of core services provided such as technical assistance, preparation and administering of legal agreements, provision of information and communication are increasingly being included at the design stage. This cost recovery allows the limited 'special purpose' voluntary funds available within the Habitat Foundation to be more freely allocated to under-funded activities and normative work.

UN-Habitat utilises local, national and global platforms to engage with partners, such as the World Urban Forum, and World Habitat Day⁵⁴ as well as a number of thematic networks such as the Global Land Tool Network. Regular donor meetings are also held. The evaluation of the MTSIP 2008-2013 found that joint annual consultations with donors were proving to be effective and contributing to the alignment and delivery of resources.⁵⁵

The Open UN-Habitat Transparency Initiative has resulted in development of the Open UN-Habitat web portal in line with IATI requirements. This platform for information on funding and activities is expected to result in increased trust in and interaction with UN-Habitat, increased productivity, credibility and renewed reputation. The recent evaluation of the Transparency Initiative recommended that UN-Habitat should strive to increase the portal's usage within and beyond the agency.⁵⁶ UN-Habitat is also currently working on an internal platform for implementing partners that will provide a central location to report on agreements, results and conduct payments for partners. It is intended that this information will then feed in the existing open portal.

UN-Habitat has started generating reports that extracts and allocated items from the budget to the core contributions of donors for un-earmarked funds, so that it is possible to report to contributors on how the funds were spent. As a result, the number of countries that are contributing has increased. However, overall volumes of contributions are still declining, mainly because the highest income countries have been reducing their contributions.

⁵³ UN General Assembly Resolution 67/226, 2013. Quadrennial comprehensive policy review.

⁵⁴ UN-HABITAT, 2011. UN-HABITAT Partnership Strategy May, 2011.

⁵⁵ UN Habitat Evaluation Unit, 2012. Evaluation of the Implementation of UN-Habitat's Medium-Term Strategic and Institutional Plan 2008-2013.

⁵⁶ open.unhabitat.org

Good practices UN-Habitat considers its good practices in partnerships to be maintaining close, ongoing relationships, meeting partners' needs and having good coordination. In particular, maintaining close relationships with not only written communication, but regular verbal and face-to-face engagement. Representatives emphasized the importance of building long-term relationships. This is the case particularly with emerging donors and private sector partners, with some being engaged for several years before they are ready and willing to make a contribution. Thematic networks and partner-led initiatives such as the Global Land Tool Network and Cities and Climate Change are successful for UN-Habitat as they have a high level of ownership from partners. These bring partners together to work on shared goals that align with UN-Habitat's mandate. They allow the organization's reach and thus their impact to broaden, and also often contribute to opportunistic resources mobilization.

In relation to reporting, good practices are reporting to donors on results and particularly impacts achieved for the intended beneficiaries. The reporting modes should be conscious of the donors' own requirements of reporting back to their taxpayers, stakeholders or other funders. Other good practices in reporting are ensuring timeliness, and that donors' requests are responded to in a full and timely manner. Providing sufficient visibility to donors is also a good practice. This is through both traditional means such as logos on signage or outputs, as well as through social media and web-based platforms. Finally, good coordination is important so that at a high level there are staff that are aware of what is going on across the agency and can share information where required. The matrix management approach and use of flex teams to work on aspects that require response to new opportunities or funding partner priorities helps the organization to respond effectively.

5. Synthesis of findings

Overall, the comparator organizations are clearly responding to key changes in the global development context and changing political and economic contexts of partners. Key overarching contextual shifts common across the organizations and UNIDO include increasing scarcity of ODA from traditional donor partners, and increasing demands for transparency and accountability that are resulting in donors having preferences for earmarked contributions.

Comparator organizations are taking strategic approaches to partnership management and resource mobilization that intend to secure sufficient, predictable and flexible funding. The key characteristics of the comparator organizations' current approaches to partnerships are that they are based around areas of mutual interest and alignment, conducted across all aspects of organizations but coordinated centrally, focused on achieving and demonstrating results, and focused on building strong, long-term partnerships. The paragraphs below synthesise the findings in relation to relevance, results and relationships, and include a comparison to each to the evaluation findings for UNIDO.

Relevance Comparator organizations consistently emphasized the importance of demonstrating alignment between their mandate and that of their partners. Their engagement with partners is designed to consistently affirm that the organization is relevant to their interests and requirements (e.g. timeliness, reporting on results and meeting formats). Good practices in ensuring relevance in partnerships were:

- Partnership strategies are in place across most of the comparators. These are useful for the organization and their partners because they outline clear principles and modes of partnerships, as well as the roles and responsibilities within the organization for different aspects of partnership management. In some cases these were supported by various

guidelines, or training and capacity building activities to assist implementation across the organization.

- Resource mobilization strategies and action plans are an important part of informing the comparator organizations' RM activities, and setting expectations for different units within the organization. While RM or funding strategies were publically available, RM action plans are internal, live documents that are updated regularly to ensure their continued relevance.
- Maintaining a central repository for information on funding partners (e.g. past contributions/engagement, communication and reporting requirements, interests and priorities, etc) is important to ensuring engagement with each donor is relevant to their interests and requirements. On a practical level, it informs coordination and messaging in communications with partners. It also facilitates high-level resource mobilization by allowing organizations to suggest resource mobilization targets and mechanisms for contributions based on countries' interests and income.
- Leveraging on partners' interests through engagement in thematic and partner-led activities such as networks and forums is found by comparator organizations to be effective in maintaining good relations and later contributing to resource contributions in partner-led identified areas of mutual thematic interest.
- Liaising with partners on an ongoing basis, including regular partner meetings to review portfolio and set intentions at both operational and strategic levels ensures continued relevance in relation to partners' requirements (e.g. of reporting/communication protocols and approaches).

Relevance Comparison: UNIDO does not have a central database for funding partners and hence communications are fragmented. UNIDO has held a number of thematic events and in general these have been appreciated although the feedback from some funding partners was that these need to be more substantive and allow time for dialogue rather than being only presentation of success stories. Seeking additional opportunities for dialogue was a consistent theme from both UNIDO funding partners and staff in the main evaluation survey.

Results Comparator organizations indicated that they tailor their communication and reporting on results to individual requirements of donors. They noted that due to economic and political conditions resulting in increased scarcity of funds for many partners, there are increased requirements for demonstrating accountability and the larger scale outcomes and impacts achieved. The good practices in this regard were:

- Investments in performance management and accountability systems have benefits for partnership management and resource mobilization as donors can more easily convince their own decision-makers (and taxpayers for country donors) that funds will be well spent and thus justify investment in the organization.
- Value is added to the individual reporting to donors through independent assessments such as the Multilateral Organization Performance Assessment Network (MOPAN) network and International Aid Transparency Initiative (IATI). Good performance in these assessments translates to contributions because assessments are well regarded by donors, and allow them to easily understand the comparative performance of organizations. Independent assessments also reduce the burden on individual donors conducting their own assessments of performance.

- Giving sufficient and appropriate visibility to acknowledgements of resource partners' contributions is important for donors, including for thematic or un-earmarked contributions.
- Comparator organizations are adapting their monitoring, reporting and evaluation on results to respond to donors' demands for reporting on higher level impacts and outcomes, rather than only how funds were spent (i.e. outputs).
- Thematic information circulated to partners in accessible formats is important to encourage lightly earmarked contributions. However donors' internal requirements and demands for accountability continue to constrain their willingness to contribute unearmarked voluntary funds. As a result of this and political and economic changes in donor countries, thematic contributions for the organizations that have mechanisms for this have had a lower uptake than expected.

Results Comparison: Through interviews with UNIDO's funding partners, there were distinct variations in how donors wished/were able to engage with UNIDO. Several were interested in the thematic Trust Funds; others indicated that it would be extremely unlikely that they would contribute to collective funds. However, there was potential flexibility in lightly earmarked funds and larger programmatic activities. UNIDO has found that being able to comply with GEF has widened their capacity for access to other funds.

Relationships All comparator organizations demonstrated that they place a high level of importance on the management of ongoing relationships with partners. All have a form of partnership strategy and guidelines that span the organization but aim to minimize resource mobilization activities being conducted in isolation. Examples of good practice include:

- Ongoing liaison at strategic and operational levels is important for good partner relationships and resource mobilization. Some of the organizations use annual or quarterly meetings to set agreed intentions for voluntary contributions to increase the predictability of contributions. Some also have liaison offices that allow ongoing contact on areas of mutual interest, which allows organizations to be aware of new opportunities for collaboration as soon as they arise.
- Strong coordination between strategic and operational level partnership and resource mobilization activities is important to ensure consistent messaging, minimize duplication, and capitalize on opportunities. Having a structure in place that is clear to partners ensures they know who they can speak to when they would like to collaborate or need assistance.
- Demonstrating value to partners through consistent dialogue on good performance achieved, and accountability and transparency is important, rather than orienting relationships around overt fund-raising.
- Coordinated marketing of capability throughout the organisation with defined roles and pathways, and consistent messaging helps to ensure partners have relevant and up-to-date information – "promotion is everyone's business but not all promotion is everyone's business".
- Clear communication on the importance of voluntary core and non-core funds, and accountability on how they are utilised encourages donors' willingness to contribute these funds. Investments in reporting systems that allow expenditure of core contributed voluntary

funds to be easily itemised have helped some organizations to better communicate to donors on how these funds are utilized.

Relationships Comparison: UNIDO delegates much of the resource mobilization activities to project managers to handle independently. This often creates duplication and/or mixed messages.

6. Lessons Learned for UNIDO

The lessons learned outlined below have been drawn from the good practices of comparators discussed in the previous sections. This section details how some of these good practices might be applied to UNIDO to strengthen the organization's partnerships. The lessons learned are organized around relevance, results and relationships.

Relevance

- i. **Partnership management strategy and resource mobilization action plans** An overarching organization wide partnership management strategy supported by active, internal resource mobilization action plans may be appropriate for UNIDO. Key partners should be engaged in the preparation of the strategy, leveraging from their engagement in this evaluation. This should demonstrate to partners that they have been listened to, and their input is important in guiding the way that UNIDO approaches partnerships in future. Importantly, the partnership strategy should not provide a 'one-size-fits-all' approach to partnership management and resource mobilization. Rather, it should set in place clear principles and processes that will allow partnership management to be effectively and coherently tailored to the individual needs and interests of each partner.
- ii. **Partners database** Maintaining a central repository for information on funding partners (e.g. past contributions/engagement, communication and reporting requirements, interests and priorities, etc) would assist UNIDO to coordinate partnership and resource mobilization activities strategically.
- iii. **Coordinate thematic events and networks** (e.g. network meetings, forums) that leverage on partners' interests. These should be substantive and ongoing, giving opportunities for donors and UNIDO to contribute dialogue around areas of mutual interest. They should build on UNIDO's existing events, but provide more opportunity for ongoing, meaningful dialogue.

Results

- iv. **Performance management and reporting** Invest in enhancing the suitability and flexibility of reporting and evaluation of results for donors' needs. Changes to reporting and evaluation should be in partnership with donors and allow some flexibility, but in general needs to respond to needs for better reporting of impact and sustainability.
- v. **Independent assessments** Engage with independent assessments such as MOPAN and IATI, after making any necessary organisational improvements to ensure good performance in these assessments. Results of assessments should then be used as a communication tool with partners to demonstrate results and leverage resources.

- vi. **Ensure appropriate visibility** Partners desire visibility of the results that their contributions have helped to achieve, including for pooled or thematic contributions. Working with partners, UNIDO should develop mechanisms for acknowledging un-earmarked and lightly earmarked contributions received, with a focus on the results that have been achieved using these flexible funds.

Relationships

- vii. **Regular partner meetings** Key donor partners should be invited to participate in at least annual donor meetings to review partnership performance and set intentions for contributions. These should be supported by ongoing, informal engagement across the HQ and decentralized levels and technical or thematic areas. These should focus on facilitating ongoing contact with partners, to allow UNIDO to be aware of and capitalize on opportunities for collaboration that arise.
- viii. **Strengthen internal coordination systems** UNIDO needs to build appropriate systems that ensure coordination of strategic and operational level partnership and resource mobilization activities. Different divisions and program managers need to be aware of what interactions other areas of the organization are having with partners they work with, and particularly what proposals have been made for funding. This will be important to ensure consistent messaging, minimize duplication, and capitalize on opportunities. It is also important that there is a structure in place that is transparent and clear to partners so that they know who they can speak to when they would like to collaborate or need assistance.
- ix. **Coordinated marketing of UNIDO's capability** The partnership strategy should set out the roles and responsibilities for marketing and for coordination. Supported by this and centralized coordination of partner relations, UNIDO should ensure that messages to donors (e.g. on the organization's capability, value proposition/comparative advantage, strategic directions, procedures, etc) are as consistent as possible.
- x. **Promoting flexible contribution mechanisms** Any promotion of making flexible contributions should clearly communicate the value of these funds (i.e. compared with core funds), how funds will be utilized, and the results that they contribute to. Clear reporting on results actually achieved will be important to ensure that donors can inform their decisions to contribute flexible funds based on evidence of effectiveness.

7. Summary and Conclusions

Trends and challenges in resource partnerships and voluntary contributions

The trends and challenges faced by UNIDO in relation to securing predictable, sufficient and flexible voluntary contributions are shared with the comparator organizations. Factors driving changes in voluntary contributions for resource partners are a complex combination of political, social and economic factors within their own governments or organizations. Nevertheless, beyond these factors, donors' perceptions of agencies affect their resource allocation decisions. This is in terms of the relevance of organizations' mandate and ways of working; their capacity to deliver results effectively and efficiently, and to report on results in a way that is appropriate to donors and their ongoing, long-term relationship building and management.

Good practices in partnership management and voluntary contributions

The importance of the combination of relevance, results, and relationships in partnership management with resource partners was confirmed consistently across the comparator organizations. As such, there were good practices in each of these areas.

Relevance Good practices relating to relevance were understanding and leveraging from shared interests, engaging in ongoing, long-term liaison with partners through channels that are appropriate to them, and maintaining a central repository of information on partners.

Results Good practices relating to results related to good performance management and accountability systems, demonstrating performance through independent assessments, making visible partners' contributions and the results they have contributed to; and reporting clearly on the expenditure of thematic funds.

Relationships In terms of relationships, good practices were demonstrating partnership performance as a means to resource mobilization, rather than a primary focus on funding; liaison on an ongoing basis both at strategic and operational levels and based around areas of mutual interests; ensuring strong internal coordination in relationship management vertically between HQ and decentralized offices, as well as horizontally between different divisions or branches; and clear, consistent promotion and communication of the organization and its capability to partners.

Applying the lessons learned and good practices

UNIDO can learn from these good practices by adapting them as principles in the preparation of a strategy and supporting action plans to guide partnerships and resource mobilization. This should focus on ensuring strong coordination, ongoing and appropriate engagement, and clear demonstration of and communication on achievement of results, and that partnership management and resource mobilization are tailored to the needs and interests of each partner. UNIDO should engage with its Member States in preparation of such a strategy to ensure that it is relevant to their interests and needs.

Partner organizations highlighted that investments in bringing about these good practices, such as increasing the resources allocated to central partnership management and resource mobilization functions, and investing in better performance management and reporting systems, can be challenging but pay off in terms of favourable relationships and ongoing contributions. However, understandably efforts will need to be prioritized as they take place within the environment of constrained core resources to bring about any changes.

Annex 1. Comparator Questions

1. Strategic context of voluntary contributions

- What are the key documents such as partnership or resource mobilization strategy, voluntary contribution guidelines?
- Are the voluntary contributions from donors to your organization increasing or decreasing over time?
- Has there been any differences in the trends for core vs non-core funding?
- What factors do you believe are motivating/causing those changes in contributions?
- What have been the implications of the changes in funding for the organization?
- Has there been any difference in the funding patterns among different types of donors (e.g. developing vs developed countries, bilateral vs multilateral partners)?
- What are the main challenges faced when receiving non-core contributions as compared to receiving core contributions?
- What were the key findings and recommendations of the recent review [*name document*] of your organization's funding practices?
- Has your organization undertaken any reform in resource mobilization function and nature in response to the review?

2. Funding mechanisms and arrangements

- What funds does your organization currently have for voluntary contributions? How effective are these at attracting sufficient/new funding?
- What proportion of voluntary funds are directed towards core vs non-core activities?
- Do you have a partnership or stakeholder management policy or strategy?
- Is there a guiding policy or strategy on the proportion between core and non-core contributions?
- What kind of formal arrangements do you have with partners e.g legal agreements, umbrella agreements, structural arrangements, contracts, MoUs etc?
- What other mechanisms does your organization use to encourage funds? Do you have a marketing/promotions approach? Are resources allocated to marketing/promotion?
- How does your organization approach current and prospective new donors? E.g. annually, continually, formally/informally
- Does the organization have general guidelines or norms for all staff involved in resource mobilization?

3. Institutional Arrangements for donor liaison

- What staffing/management structures are in place for management of voluntary funds and liaison with current and prospective donors?
- Is there a single unit responsible or is responsibility/coordination spread across multiple units?
- How effective/coherent/cohesive is this structure?
- Have these structures changed within the last three years? If so, why?
- Do you believe that adequate financial and human resources are available for donor partnership management?

4. Coordination and communication

- Do you have an established information and communication strategy with partners?
- How does your organization communicate to voluntary donors on matters relating to efficiency and effectiveness?

- Does your partnership with individual voluntary donors have a shared vision or mutual clearly articulated objective?
- How does the organization communicate with donors on voluntary funding, each individually or collectively, produce brochures or promotional events, etc.
- How are staff trained in coordination and communication?

5. *Monitoring, evaluation and reporting*

- Do you have a performance management/monitoring and evaluation system for partnerships?
- What resources are devoted to monitoring and evaluation of partnerships?
- Does the UN entity have regular portfolio review with its donors (what determines the review, portfolio size, donor requirement, etc...)?
- How are challenges or lack of progress in a partnership identified and addressed?
- How do you ensure that your partnership adds value to the work and doesn't duplicate what has been done elsewhere?
- How are corporate results presented and promoted?

6. *Other findings*

- What does your organization consider to be its Good Practices in partnership management with voluntary donors?

Annex 2: List of people engaged

#	Name	Organization	Title	Department/Division
1.	Mr Peter Rademaker	ILO	Head	Development Partners' Relations Unit (DPRU)
2.	Ms. Anita Amorim	ILO	Head	Emerging and Special Partnerships Unit (ESPU)
3.	Ms. Lucia Kiwala	UN-Habitat	Acting Head	The Partners and Inter-Agency Coordination Branch (PIACB)
4.	Ms. Jane Nyakairu	UN-Habitat	Officer-in-Charge	Donor Relations and Income Management
5.	Ms. Narue Shiki	UNDP	Senior Advisor	Strategy and Innovation Unit, Bureau of External Relations and Advocacy
6.	Mr Nick Hartmann	UNDP	Director	Partnships Group, Bureau of External Relations and Advocacy
7.	Ms. Kati Autere	UNEP	Chief	Resource Mobilisation and Global Funds Coordination
8.		FAO		

Annex 3. Bibliography

- Busan Partnership for Effective Development Co-Operation Fourth High Level Forum on Aid Effectiveness, Busan, Republic of Korea, 29 November-1 December 2011.
- Dag Hammarskjöld Foundation and the United Nations Multi-Partner Trust Fund Office (MPTFO), 2016. Financing the United Nations Development System: Current Trends and New Directions.
- FAO Office of Evaluation, 2016. Evaluation of the FAO Multipartner Programme Support Mechanism (FMM).
- FAO, 2011. Resource Mobilization and Management Strategy.
- FAO, 2012. A guide to Resource Mobilization - Promoting partnership with FAO.
- FAO, 2012. Organization-Wide Strategy On Partnerships.
- FAO, 2013. Procedures for financing the evaluation of initiatives funded by voluntary contributions. Evaluation Policy Guidance.
- FAO, 2014. 11 Corporate Areas for Resource Mobilization.
- FAO, 2015. FAO's Quick guide to Resource Mobilization - Promoting partnership with FAO.
- FAO, 2017. Worldwide Offices. <http://www.fao.org/about/who-we-are/worldwide-offices/en/>
- ILO Committee on Technical Cooperation, 2006. Resource mobilization for technical cooperation: Policy and implementation status.
- ILO Regular Budget Supplementary Account. October 2013 RBSA Information Note.
- ILO, 2013. Annual Evaluation Report 2012-13.
- ILO, 2014. Draft transitional strategic plan for 2016-17 and preview of the Programme and Budget proposals for 2016-17.
- ILO, 2015. Development Cooperation Strategy 2015-17.
- ILO, 2015. ILO Programme and Budget for the Biennium 2016- 17.
- ILO, 2016. Core Voluntary Funding (RBSA) for ILO development cooperation – Fact Sheet.
- ILO, 2016. Evaluation of the technical cooperation strategy 2010-15.
- ILO, 2017. Mobilizing Domestic Resources Direct Trust Funds.
- ILO, 2017. Programme and Budget. <http://ilo.org/global/about-the-ilo/how-the-ilo-works/programme-and-budget/lang--en/index.htm>
- International Labour Standards Department of the ILO, 2008. Improving the Impact of International Labour Standards through Technical Cooperation – A Practice Guide.
- Muttukumaru, R. 2016. Towards enhancing core (unrestricted) funding to the UN Development system in the post-2015 period A report prepared for the United Nations Department of Economic and Social Affairs for the 2016 Quadrennial Comprehensive Policy Review
- OECD-DAC, 2011. Multilateral Aid Report.
- Office of ECOSOC Support and coordination, UN-DESA, 2016. Background Note. Funding situation of the UN development system.
- Open UN-Habitat. open.unhabitat.org
- Publish What You Fund, 2016. Aid Transparency Index: 2016 Index.
- UN General Assembly Resolution 67/226, 2013. Quadrennial comprehensive policy review.
- UN-DESA, 2016. Sustainable Development Goal 17.
<https://sustainabledevelopment.un.org/sdg17>
- UNDP, 2008. The UNDP accountability system: Accountability framework and oversight policy
- UNDP, 2013. UNDP Strategic Plan, 2014-2017: Changing with the World Helping countries to achieve the simultaneous eradication of poverty and significant reduction of inequalities and exclusion.
- UNDP, 2014. Cost Recovery from Other Resources - General Management Support (GMS)

UNDP, 2015. Funding Compendium 2015

UNDP, 2015. Funding Windows.

UNDP, 2015. UNDP Executive Board Funding Dialogue [internal presentation].

UNDP, 2016. UNDP Funding Windows.

UNEP Annual Report 2015-16: Recognition of Donor Contributions.

UNEP, 2011. Integrating South-South Cooperation in the UNEP Programmes of Work Policy Guidance, 12 February 2011.

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

UNEP, 2014. UNEP Funding Strategy: Universal Membership – Global Responsibility.

UNEP, 2015. Handbook for Stakeholder Engagement at UNEP.

UNEP, 2015. Medium term strategy 2014-2017.

UNEP, 2016. Donors and contributions
<http://web.unep.org/about/funding/about/funding/donors-and-contributions>

UNEP, 2016. Funding – Earmarked Contributions.
<http://web.unep.org/about/funding/about/funding/our-funding/earmarked-contributions-including-gef-0>

UNEP, 2016. Funding – Environment Fund.
<http://web.unep.org/about/funding/about/funding/our-funding/environment-fund-0>

UNEP, 2016. Funding – Regular Budget. <http://web.unep.org/about/funding/about/funding/our-funding/regular-budget-0>

UNEP, 2017. Italy gives 5 million Euro to UN Environment Fund.
<http://web.unep.org/newscentre/italy-gives-5-million-euro-un-environment-fund>

UNEP, n.d. Guideline for Contributing to the UNEP Environment Fund.

UN-Habitat Evaluation Unit, 2012, Evaluation of the UN-Habitat Liaison Offices.

UN-Habitat Evaluation Unit, 2012. Evaluation of the Implementation of UN-Habitat's Medium-Term Strategic and Institutional Plan 2008-2013.

UN-Habitat Evaluation Unit, 2016. Evaluation Of The Cooperation Agreement Between UN-Habitat and Sweden 2012-2015.

UN-Habitat Evaluation Unit, 2016. Evaluation of the Open UN-Habitat Transparency Initiative.

UN-Habitat, 2008. Resource Mobilization Unit Scope Of Work.

UN-HABITAT, 2011. UN-HABITAT Partnership Strategy May, 2011.

UN-Habitat, 2013. Proposed work programme and budget for the biennium 2014–2015
 Addendum Draft strategic plan 2014–2019 of the United Nations Human Settlements Programme.

UN-Habitat, 2017. Organizational Structure. <http://unhabitat.org/about-us/our-secretariat/>

UN-Habitat, 2017. Our Donors. <http://unhabitat.org/about-us/our-donors/>

United Nations Development Group, 2014. Guide to Joint Resource Mobilization.

United Nations Development Program. Partnership Survey 2015.

United Nations General Assembly, 2016. Seventy-first session Agenda item 24 (a). Resolution adopted by the General Assembly on 21 December 2016 [on the report of the Second Committee (A/71/468 (Add.1))].

United Nations Joint Inspection Unit (JIU), 2007. Voluntary Contributions in United Nations System Organizations: Impact on programme delivery and resource mobilization strategies.

United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System.

United Nations, 2015. The Addis Ababa Action Agenda of the Third International Conference on Financing for Development.

Annex 4. Detailed findings for comparator organizations

FAO

i. *Strategic context of voluntary contributions*

Like many UN organizations, voluntary contributions are accounting for a growing proportion of the FAO's overall budget. Representatives acknowledged that changes in funding contributions have been mainly due to political and economic factors in donor countries. This affects FAO's programming, as highlighted in the 2007 JIU report which found the decreases in FAO's regular budget and increases in earmarked funding resulted in an unevenly funded field programme and technical support.⁵⁷

Resource mobilization at FAO is guided by the Resources Mobilization and Management Strategy (RMMS) established in 2011. The RMMS objectives relate to consolidation and diversifying the funding base; increasing awareness of FAO priority resource areas and requirements; enhancing organizational culture and capacity for resource mobilization; and increasing the effectiveness of planning, management and reporting on the use of funds. The RMMS also includes key principles for resources mobilization, that have also been reflected in the resources mobilization guides of 2012 and 2015. These principles are:

- "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."⁵⁸

These guides emphasise the importance of strategic alignment with partners, and of working effectively with partners (ie with good communication, mutual accountability and trust). The more recent guide also highlights the importance of flexibility in partnerships in terms of meeting partners' needs. The 2015 guide also has greater focus on marketing and associated terminology such as 'capitalising on FAO's comparative advantage', and "marketing' FAO's products – what FAO does and the results it is aiming for (the Strategic Framework)." Another addition in the 2015 guide was a tool called ADAM which maps commonalities among resource partners, national government and the Country Programme Framework priorities and who FAO should target. This tool provides profile of resource partners, e.g priority, geographic focus, preferred funding arrangements, liaison officer details, as well as information on existing aid flows (their source, sector focuses and recipients).

FAO also has in place an organization-wide partnerships strategy, distinct from resource mobilization. Responsibility for coordinating partnerships lies with the central Office for Communication, Partnerships and Advocacy (OCP). The objectives of the partnership strategy are to:

- "enhance interaction with other actors and final users of FAO services in order to realize larger benefits to Members;
- build up and to maximize the use of available technical knowledge;
- strengthen FAO's capacity to select, prioritize, establish and successfully operate partnerships for supporting shared goals."⁵⁹

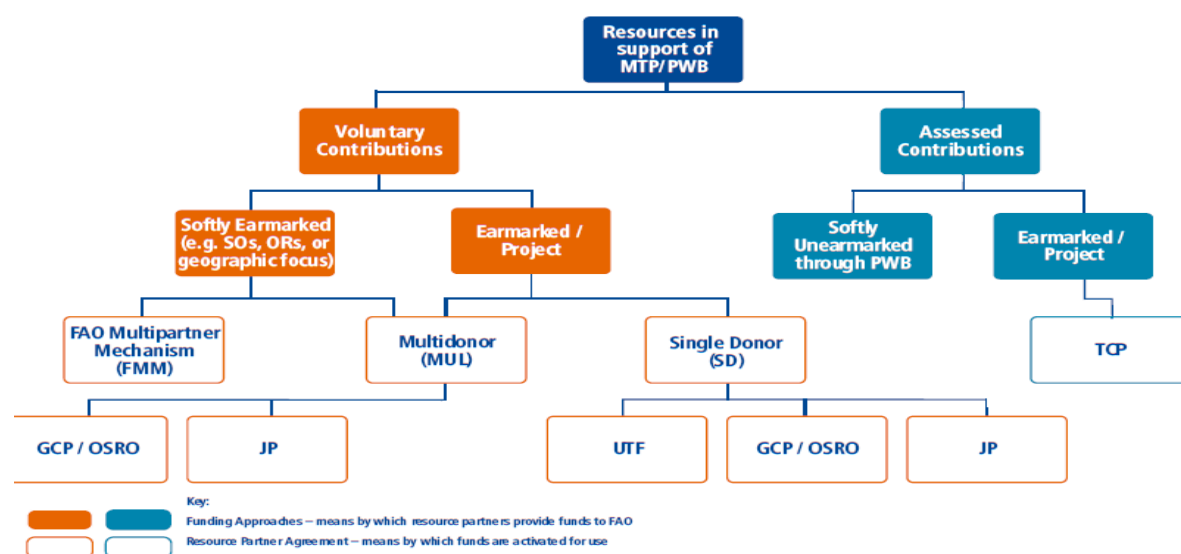
⁵⁷ United Nations Joint Inspection Unit (JIU), 2007. Voluntary Contributions in United Nations System Organizations: Impact on programme delivery and resource mobilization strategies.

⁵⁸ FAO, 2011. Resources Mobilization and Management Strategy.

ii. Funding mechanisms and arrangements

The figure below illustrates the structure of funding mechanisms and agreements in FAO. Voluntary contributions can either be earmarked or 'softly' earmarked. The Multi-partner and Multi-donor mechanisms are the main agreements in place for softly earmarked funds. Unearmarked or softly earmarked funds can also be contributed as upfront resources for swift response through the Special Fund for Emergency and Rehabilitation Activities (SFERA), and for domestic financing for national priorities through Unilateral Trust Funds (UTF).⁶⁰ Multi-donor trust funds are also an increasingly utilized mechanism for both softly and fully earmarked contributions. Donor engagement, such as on a steering committee for a trust fund contributes to their still having ownership over funds, and ensuring that they understand reports on the fund's expenditure. Most donors that are willing to contribute to these funds still have an interest in having an identity on the money they provide.

Source:
FAO,
2012. *A
guide to
Resource*



Mobilization - Promoting partnership with FAO.

FAO has promotional materials targeted at donors to mobilize unearmarked or lightly earmarked funds. For example, the '11 Corporate Areas for Resource Mobilization' which detail strategic areas in which investment is called for. For each of these areas, a brief summary in the tone of a sales pitch is included, with headings 'what', 'how', 'expected results', 'key partners' and 'why invest?' The sales pitches are founded on communicating results already achieved and why the investments are important (in terms of achieving greatest impact) and can provide value for money to donors.

FAO has strategies in place for each donor as requested by donors, each with its own implementation plan, as well as legal agreements. Representatives believe this is important as it demonstrates focus and priority for each donor. These legal agreements tend to be overarching and leave room for flexibility.

iii. Institutional Arrangements for donor liaison

⁵⁹ FAO, 2012. Organization-Wide Strategy On Partnerships.

⁶⁰ FAO, 2011. Resource Mobilization and Management Strategy.

FAO has increasingly decentralized the responsibilities for donor liaison, reflected in the RMMS and guidelines for resources mobilization. The 2015 guidelines in particular provide a list of responsibilities divided between HQ and decentralized offices levels, including regional, country offices and liaison offices.

There may still be need for improvement of this dual approach in practice. For example, the 2016 evaluation of the Multi-partner support mechanism (FMM) found that while the fund has high level support from HQ it is understood less well at the decentralized offices level. The evaluation found that this contributed to the fund being underutilised and not well promoted to resources partners.⁶¹

FAO has developed two guidelines for resources mobilization – in 2012 and an updated version in 2015. These are targeted mainly at staff of decentralized offices. They provide details on how resources mobilization activities should be integrated into the program or project cycle, and outline methodologies for developing localized strategies and action plans for resources mobilization.

FAO also has six liaison offices (USA – New York and Washington, Japan, European Union in Brussels, Russian Federation, and Geneva). These offices maintain relations with Members and external development partners operating in these locations, and monitor developments relevant to FAO's mandate, and represent the organization at relevant meetings. FAO also has new Partnership and Liaison Offices in Azerbaijan, Cameroon, Cote d'Ivoire, Equatorial Guinea, and Kazakhstan to enhance country participation cooperation through unilateral trust fund projects and South-South Cooperation.⁶²

iv. Coordination and communication

FAO is currently investing in staff capacity building in areas such as communication and marketing to support improved coordination and communication with partners.

v. Monitoring, evaluation and reporting

According to the evaluation of the FMM in 2016, monitoring and reporting were among the key weaknesses of the fund.

FAO has set up a pooled trust fund for evaluations of initiatives funded by voluntary contributions, with guidelines that dictate thresholds and budget contributions for evaluations.⁶³

vi. Other findings

FAO's good practices are its clear guidelines on resource mobilization, and its flexible, aligned approach to partnership management. In addition, a system of cost recovery for donor relations services (similar to a consulting fee structure) means that donors pay less for their liaison services and are more satisfied compared with when staff time was not accurately costed. Other good practices relate to the use of networks around thematic areas linked to their strategic framework, which provide a platform for donors to engage around areas of mutual interest. FAO is also currently investing in developing organizational and staff capacity in marketing, to promote investments at the

⁶¹ FAO Office of Evaluation, 2016. Evaluation of the FAO Multipartner Programme Support Mechanism (FMM).

⁶² FAO, 2017. Worldwide Offices. <http://www.fao.org/about/who-we-are/worldwide-offices/en/>

⁶³ FAO, 2013. Procedures for financing the evaluation of initiatives funded by voluntary contributions. Evaluation Policy Guidance.

programmatic level, as well as capacity building for decentralized staff on resource mobilization activities.

ILO

i. Strategic context of voluntary contributions

Trends in contributions In the years 2010-2014, the ILO mobilized greater extra-budgetary development cooperation funds compared with in 2005-2009, and also expended a greater proportion of those funds approved. The majority of these extra-budgetary funds came from multi-bilateral donors.⁶⁴ Approximately 60 per cent of XBTC tends to be mobilized at country level, whereas RBSA resources are mobilized mostly from HQ.⁶⁵

Contribution types ILO's mandate is to progress the 'Decent Work Agenda', and their strategic documentation relating to partnerships is strongly based in selecting and working with partners towards this agenda.⁶⁶ In addition to its assessed contributions, the work of the ILO is financed through the Regular Budget Supplementary Account (RBSA) which holds voluntary core contributions that are fully unearmarked; as well as Extra-Budgetary Technical Cooperation resources which are voluntary, non-core and earmarked for specific projects.⁶⁷ Programming is guided by biennial budgets and programs of work aligned to the Decent Work Agenda, and at country level through Decent Work Country Programmes (DWCP).

The ILO also mobilizes resources from member states for the delivery of technical assistance aligned with their DWCP beyond regular budget support via Domestic Trust Funds (DTF). DTFs are typically for a specific project with clear deliverables and a budget, and are always supported by a formal legal agreement.⁶⁸

Guiding strategies ILO initially put in place a Resources Mobilization Strategy in 2004. The strategy included aims for: "(a) promoting multi-annual partnerships with donor agencies consistent with the ILO's own cycles and priorities; (b) upgrading the capacity of ILO field offices to mobilize local resources; (c) streamlining internal priority setting mechanisms; (d) facilitating greater coordination among ILO donors; and (e) developing incentives for promoting tripartism and specific proposals tailored to employers' and workers' organizations". Actions taken towards achieving these included training and capacity building delivery for local field staff, development/renewal of partnership agreements with country donors, and utilising conferences to explain new systems to donors and gain their input.⁶⁹ A new Resource Mobilization Strategy is due to be prepared in the current biennial work plan and budget.⁷⁰

⁶⁴ ILO, 2015. Development Cooperation Strategy 2015-17.

⁶⁵ ILO, 2016. Evaluation of the technical cooperation strategy 2010-15.

⁶⁶ ILO, 2014. Draft transitional strategic plan for 2016-17 and preview of the Programme and Budget proposals for 2016-17.

⁶⁷ ILO, 2017. Programme and Budget. <http://ilo.org/global/about-the-ilo/how-the-ilo-works/programme-and-budget/lang--en/index.htm>

⁶⁸ ILO, 2017. Mobilizing Domestic Resources Direct Trust Funds.

⁶⁹ ILO Committee on Technical Cooperation, 2006. Resource mobilization for technical cooperation: Policy and implementation status.

⁷⁰ ILO, 2015. ILO Programme and Budget for the Biennium 2016- 17.

Resource mobilization strategies are also put in place for particular field offices or particular partners. These are in the format of action plans and set targets for resources to be mobilized. However, the targets are at the discretion of the office level preparing them, so the sum of all individual plans does not necessarily add to the organization's overall targets, but is often over-estimated.

More recently, the ILO also has in place a Development Cooperation Strategy for 2015-17. The strategy articulates that the context around resources mobilization and voluntary contributions is characterised by increasing competitiveness for funds within the UN system, and the increasing role of UN agencies as catalysts for mobilizing support from other areas such as public-private partnerships. One of the four 'building blocks' of the Strategy is resource mobilization. This focuses on consolidating and diversifying the organization's resource base (including national resources and the private sector); seeking greater predictability of resources and flexibility of voluntary funds; and increasing the visibility of results achieved. In line with these aims, the Strategy also identifies principles for resource mobilization: "Consolidation and diversification; Greater predictability; Flexibility; Local resource mobilization; Converging efforts; Visibility."⁷¹

This Strategy is supported by a Development Cooperation Manual (2015). The manual includes a section on resource mobilization which states that "To consolidate voluntary funding, the Office seeks to conclude partnerships built on mutual trust, flexibility, predictability, transparency, dialogue and long-term commitments." It also includes principles for the success of resource mobilization as a joint responsibility across the organization:

1. "A good, aligned, and relevant DWCP is the essential starting point for all efforts.
2. Know what kind of development assistance and funding is available
3. Engage constituents in resource mobilization efforts [national level]
4. Ensure good quality of project proposals
5. Build on the ILO's comparative advantage
6. Showcase results
7. Diversify
8. Build relations with the UN, especially the Resident Coordinator
9. ILO pursues its mandate and agenda."

ii. *Funding mechanisms and arrangements*

ILO launched a Regular Budget Supplementary Account (RBSA) in 2008-9 to provide additional flexible core voluntary contributions to the Organization's technical cooperation programme. The RBSA is a 'core voluntary account', which allows donors to make core voluntary contributions over and above their assessed contributions to expand and deepen the capacity of the organization to deliver on the priorities set by the ILO Programme and Budget. The integrated programme and budget sets out limited number of priority outcomes as well as total resources that would contribute to the results proposed under each outcome. RBSA funds are allocated to ODA-assistance eligible countries only, with allocations guided by Outcome Based Workplans aligned with Decent Work Country Programmes.⁷²

During 2012-13, the ILO received a total of \$36 million to the RBSA from six Member State development partners. In 2014, the ILO received a lower amount of US\$ 31.5 million from eight donors: Belgium, Denmark, Germany, Italy, Luxembourg, the Netherlands, Norway and Sweden.⁷³ The

⁷¹ ILO, 2015. Development Cooperation Strategy 2015-17.

⁷² ILO Regular Budget Supplementary Account. October 2013 RBSA Information Note.

⁷³ ILO, 2016. Core Voluntary Funding (RBSA) for ILO development cooperation – Fact Sheet.

RBSA was reviewed in 2014. The review has resulted in streamlined processes and adherence to priorities of RBSA funds allocation to low and lower-middle income countries and fragile states.⁷⁴ Representatives from the ILO believe that donors contribute to this fully unearmarked funds because they understand and appreciate the overall performance of the agency (for example evidenced by MOPAN assessments), and because there is political support within the partner for the ILO. They are also attracted to the lower staffing costs required for them to monitor and report on performance of RBSA funded activities compared with a portfolio of programs or projects. The RBSA has a support costs charge of 7% compared with 13% for other ILO funds which also plays a minor role in attracting donors, though reflects a lower actual transaction cost for the ILO.

Programme support income (PSI) is charged at a rate of 13 per cent of extra-budgetary contributions, which a recent evaluation found that some donors perceived to be too high relative to the charges of other organizations.⁷⁵ The evaluation also found that “The use of programme support income (PSI) should be more transparent and support project implementation as well as capacity for resource mobilization, marketing and communications, particularly when there are troughs in programme funding.”

iii. Institutional Arrangements for donor liaison

The Partnerships and Field Support division (PARDEV) has overall responsibility for donor liaison and partnerships. PARDEV comprises three units: Development Partners’ Relations Unit (DPRU); Development Cooperation Support Unit (DCSU); and Emerging and Special Partnerships Units (ESPU). PARDEV is responsible for ensuring that projects and programs comply to the ILO’s requirements, for example in relation to partnership and funding agreements.

The DPRU works mainly with the traditional development partners such as OECD-DAC countries, international finance institutions (IFIs) and multi-lateral organizations, and also engages with the private sector. Staff are allocated to particular partners, and set plans for each year relating to the resource to be mobilized and actions to be undertaken. The unit meets three times each year to update and adjust these plans. Staff liaise with partners on an ongoing basis, and are connected with other staff of the ILO liaising with the same partner (e.g. those involved in design, implementation of projects, programs or activities in partnership with the donor).

The ESPU focuses mainly on South-South and Triangular Cooperation, and working with emerging partners. The approach of the ESPU is strongly partner-led, inclusive and participatory. The ESPU works through events and activities that are partner-led such as the UN-wide south-south forum to promote the decent work agenda and areas where the ILO can provide assistance. This has marked a shift in the organization away from external relations more generally towards working with these partners in a more relevant approach. Partners of the global south tend to contribute funds towards highly specific activities. The ESPU provides advice and support on program or project design to increase relevance in terms of incorporating participatory and inclusive practices relevant to emerging partners into design, implementation and evaluation e.g. procurement of specialists who understand the local context.

The ILO Development Cooperation Manual (2015) states that “Resource mobilization for ILO programmes is a joint responsibility of all ILO colleagues”, and stresses the importance of collaboration between technical units, Field Offices and PARDEV. The manual recommends that field

⁷⁴ ILO, 2016. Core Voluntary Funding (RBSA) for ILO development cooperation – Fact Sheet.

⁷⁵ ILO, 2016. Evaluation of the technical cooperation strategy 2010–15.

offices and technical units have a focal person for resource mobilization as well as resources mobilization plans coordinated with PARDEV, that are based on information about the partners to be targeted (e.g. their priorities, current status of their relations with ILO).

Partnerships with individual donors can be governed by multi-annual framework agreements of 1-4 years based on mutually agreed thematic and geographic criteria and approval of individual projects; submission of individual project proposals approved by the donor on a case-by-case basis; and partnership agreements earmarking funds to specified themes under which the ILO may approve programmes and projects.⁷⁶ Multi-year partnership agreements with particular resource partners are beneficial for the organization compared with individual agreements for projects, as they result in lower transaction costs and greater certainty about coming contributions.

iv. Coordination and communication

The ILO's approach to coordination and communication is to promote the organization to donors in ways that they understand, and using entry points that are relevant to them such as shared priorities. In the case of emerging partners and those from the global south, the organization places particular importance in engaging in a partner-led manner.

v. Monitoring, evaluation and reporting

RBSA evaluations are undertaken annually in accordance with the organization's overall evaluation policy, and are summarized in the annual evaluation reports. A meta-evaluation of evaluations of RBSA funded activities was conducted in 2012-13. This found that RBSA-funded activities generally performed well in relation to relevance, effectiveness and sustainability, but less well in relation to efficiency and monitoring and evaluation of results achieved. The efficiency concerns were related mainly to the approval of funding for activities, while monitoring and evaluation were constrained by a lack of appropriate resource allocation for these activities, as well as lack of clarity around evaluation of outcome-based activities.⁷⁷

Regarding resource mobilization more generally, the results framework for the Development Cooperation strategy includes deliverables and targets for resource mobilization, which is one of the four 'building blocks' of the strategy. Important targets were for extra-budgetary resources (including RBSA) to increase from the average 2012-14 contribution of US\$267,376,000 to US\$288,500,000 by the end of 2017. Targets are also set by type of development partner (e.g. OECD-DAC members, UN organizations, PPP etc). Another important target is an increase in the share of total contributions made up of lightly or un-earmarked funds to 15% by end 2017 from a 2012-13 baseline of 10%, and the share of locally mobilized resources increasing from 46% in 2013 to 50% by end 2017.⁷⁸

vi. Other findings

The ILO's ESPU allows specifically working with emerging partners of the global south in a tailored manner. The ILO considers that its approach of working in a partner-driven way is a good practice. The ILO also considers that its good practices for donor partners are ensuring that their structure is clear and simple for donors. That is, that a representative from any partner organization knows who to call at the ILO and be easily assisted to meet their requirements.

⁷⁶ International Labour Standards Department of the ILO, 2008. Improving the Impact of International Labour Standards through Technical Cooperation - A Practice Guide.

⁷⁷ ILO, 2013. Annual Evaluation Report 2012-13.

⁷⁸ ILO, 2015. Development Cooperation Strategy 2015-17.

The ILO also expressed the importance of coherence in partner liaison between those staff involved in working with partners on development cooperation work (e.g. design, implementation and evaluation of projects/programs/activities), with those approaching partners to seek funding.

The ILO staff also highlighted the importance of working between UN entities wherever possible to share knowledge and information to ensure that fundraising activities are complementary rather than competitive between organizations. Examples were given of where the ILO and UNIDO already collaborate in this way, which has been mutually beneficial. In particular, liaising and sharing information on changes in donor requirements. This can also result in shared efficiencies by saving time spend understanding new requirements or changes to a donor's demands. The ILO staff acknowledged that resource constraints applicable to organizations prevent these kinds of interactions occurring as often as they should.

UNDP

i. Strategic context of voluntary contributions

UNDP has been experiencing both a decline in overall contributions, and a decline in the proportion of core relative to non-core funding. In 2015, total contributions fell by 5 per cent to \$4.486 billion from \$4.731 billion in 2014. Contributions to regular (core) resources decreased by 11 per cent, to \$704 million, from \$793 million in 2014, while the ratio of regular to other resources decreased to 16 per cent and 84 per cent, respectively, from 17 per cent and 83 per cent in 2014. This continues a trend in declining proportions from 18 per cent in 2010.⁷⁹ These trends are consistent with those across UN entities, and UNDP believes are attributable to combinations of political and economic factors in major donor countries. For example, prioritisation of humanitarian funding has been necessitated by the responses required to refugee crises in recent years, particularly throughout Europe. Another factor influencing the contribution patterns of donors is the increasing prevalence of NGOs that are capable and sufficiently transparent and accountable to be attractive implementing partners to work with donor governments and IFIs.

Other key drivers in the changes in contributions for UNDP are donors' demand for more options in the mechanisms by which they can contribute, as well as increasing demand for transparency and accountability. Donor partners communicate and share information, and so perceptions of accountability and transparency with donors are often shared. Assessments such as MOPAN and independent assessments of transparency in which UNDP has performed very well⁸⁰ are important to donors of UNDP. This is the product of prolonged investments in increasing organizational transparency and public availability of data and reports. UNDP's approach to partnerships focuses on engaging partners on mutual interest and to achieve work towards their shared development agenda, and representatives believe that funding is consequent to good partnership work.

The Integrated Resource Mobilization Strategy is a part of the External Relations and Advocacy Framework of UNDP and is aligned with the 2014-2017 Strategic Plan. The Resource Mobilization Strategy and Action Plan (internal documents) focus on accountability and alignment. Its goals relate to (i) protecting core resources and reversing their declining trend; (ii) improving the quality of non-core resources through a more coordinated approach; and (iii) diversifying the resource base (both

⁷⁹ UNDP, 2015. Funding Compendium 2015

⁸⁰ Publish What You Fund, 2016. Aid Transparency Index: 2016 Index.

across and beyond governments).⁸¹ Progress towards the resource mobilization strategy is monitored quarterly and will have a mid-term review and final evaluation.

ii. Funding mechanisms and arrangements

In addition to the regular (assessed) and voluntary contributions (both thematic/lightly earmarked, and earmarked funds). There are mainly 6 types of non-core funding channels – namely third party and government cost sharing; thematic (The Multi-Partner Trust Fund Office) and other donor specific trust funds; vertical funds such as GEF and Montreal Protocol; and UN pooled funds.

The Strategic Plan also outlined the organization's intention to increase domestic resource mobilization and to rationalize the number of funding instruments.⁸² The new 'Funding Windows' is an instrument for voluntary contributions that was launched in 2016, and was designed to be more streamlined compared with existing thematic trust funds. Funding options are promoted to donors through four themes or 'windows': Sustainable development and poverty eradication; Climate change and disaster risk reduction; Governance for peaceful and inclusive societies; and Emergency development response to crisis and recovery. Funds are promoted to donors as having greater flexibility and lower transaction costs, and can be allocated as lightly earmarked to a sub-window, or unearmarked to one of the four windows.⁸³ The funding windows have had a low level of uptake so far, though representatives believe the contributions have been encouraging considering the current funding climate (e.g. increasing proportions of contributions required for humanitarian crises).

Funds contributed to the funding windows will be allocated with priority to "initiatives and projects that target populations and communities that are most vulnerable; that address fragility and resilience" and that demonstrate strong national ownership and alignment with priorities, and require catalytic support.⁸⁴

iii. Institutional Arrangements for donor liaison

The main responsibility for donor liaison is with the Bureau of External Relations and Advocacy (BERA). BERA includes a Strategy and Analysis Unit as well as the Communications Group; Resource Partnerships Group and UN System Affairs. BERA also has five Representation Offices in major donor cities: Brussels, Copenhagen, Geneva, Tokyo and Washington. The Strategy and Analysis Unit is located at HQ in New York and is responsible for developing, implementing and monitoring the resource mobilization strategy and action plan. These documents apply across the organization and include a set of prioritised actions that need to be progressed. The action plans are not exhaustive, but focus on priority actions that would not happen without focus on them. Country offices also develop resource mobilization action plans. The Resource Partnerships Group has the main responsibility for high-level outreach and liaison with resource partners, particularly focusing on the OECD-DAC partners. The Group undertakes regular interactions with partners to ensure they are satisfied and that communication and reporting from UNDP meet their needs, in addition to undertaking resource mobilization activities.

⁸¹ UNDP, 2015. UNDP Executive Board Funding Dialogue [internal presentation].

⁸² UNDP, 2013. UNDP Strategic Plan, 2014-2017: Changing with the World Helping countries to achieve the simultaneous eradication of poverty and significant reduction of inequalities and exclusion.

⁸³ UNDP, 2016. UNDP Funding Windows.

⁸⁴ UNDP, 2016. UNDP Funding Windows.

The Accountability Framework of the UNDP outlines a decentralized structure for liaison with partners, including UNDP's funding and responsibility for Resident Coordinators (of countries). The framework states that "UNDP continues to work with other organizations to strengthen the resident coordinator system and to invest in the implementation of joint programming and joint funding initiatives such as the Multi-Donor Trust Funds".⁸⁵ The decentralized structure means that most resource mobilization activity happens at the level of country offices, though high level political engagement is coordinated through BERA at HQ. Resource mobilization is included in the terms of reference of all field staff. A resource mobilization toolkit gives guidance to field staff on how to prepare resource mobilization action plans. They can seek guidance from HQ, however are ultimately responsible for producing and implementing their own plans.

This decentralized approach has advantages in that it mirrors the structures of resource partners, whose prioritisation and resource allocation decisions are often made at country level. It also allows for the organization to remain closely linked to government priorities and decision-making processes, and for UNDP to act as an advocate for the country to have access to available resources. UNDP believes this structure is important, though has some disadvantages in causing duplications in proposals submitted to a donor from multiple country offices.

iv. Coordination and communication

UNDP's approach is to communicate on results achieved at all levels, starting with the highest political levels through the work of the Partnership Group. This reflects an understanding that the highest levels of a partner's decision making structure must be convinced of the relevance of UNDP in order for resources to flow both from this high level and also be mobilized at regional or country levels. The UNDP's approach is for alignment of communication and interactions with country partners in relation to their national agendas.

UNDP produces a funding compendium that details the sources and types of funding contributed. This compendium includes a section entitled "Why Invest In The Regular Resources Of UNDP?" which promotes achievements, gives broad statements on how regular resources are used (e.g. ensure transparency, organisational effectiveness, responding to crises, coordination with stakeholders etc).⁸⁶

UNDP conducts surveys of partners. The most recent in 2015 found that partners value the reputation and partnership of UNDP. Areas that respondents were particularly satisfied with were communication/engagement, achievement of results, programme/project management. Areas where respondents were less satisfied were around cost effectiveness and value for money for partners.⁸⁷ UNDP believes that partners value the opportunity to contribute their perceptions, and their views on what is working well and what could be done better.

v. Monitoring, evaluation and reporting

UNDP holds annual consultations with individual resource partners to set mutual expectations of contributions and deliverables for the year. While there is not a formal monitoring system in place for partnerships, the level to which donors deliver on these expectations is understood as an indicator of how well the partnership is functioning.

⁸⁵ UNDP, 2008. The UNDP accountability system: Accountability framework and oversight policy

⁸⁶ UNDP, 2015. Funding Compendium 2015.

⁸⁷ United Nations Development Program. Partnership Survey 2015.

Monitoring and evaluation of the new funding windows are in line with a detailed results framework. Reporting on the new funding windows is intended to occur through real time reporting via an online portal; annual report; certified financial statement (issued to all individual donors).⁸⁸ Vertical funds and government cost sharing arrangements have individual reporting and accountability requirements.

vi. Other findings

UNDP considers that its good practices in partnership management are:

- Frequent and multi-level engagement. Engagement is ongoing across HQ level, in capital cities of the major donors, and at the field level.
- The organization has clear messaging on what it has to offer, so that messages delivered to donors across these different levels are consistent and coherent. When this is maintained over time, donor representatives know that they can rely on being given endorsed and consistent messages that they can act on.
- The UNDP is a leading organization in relation to accountability and transparency. Their investments in this area allow them to be clear on costings and on how donors' funds are being utilised.
- Donors can easily access a variety of information that can demonstrate the organization's transparency and accountability. This includes external assessments which have involved a high level of scrutiny, but this translates to a high level of reliability for donors in interpreting the assessments. Internal mechanisms such as a recurring partner survey and annual scorecards are also available to partners.

UNEP

i. Strategic context of voluntary contributions

A proportion of UNEP's core funds come from the UN Regular budget and UN Development Account (UNDA), making up a small proportion at approximately 5-7% of UNEP's budget. Unearmarked contributions are made to the Environment Fund (a vertical fund), including from other multilateral funds such as the Global Environment Facility (GEF) make up approximately 20% of the budget. Earmarked funds make up the largest proportion (typically around 75%) of the organization's funding. The proportion of the organization's funding accounted for by the regular budget declined from 1973 to 2012, but has increased both absolutely and relatively since then to a proportion of 4.5% in 2015.⁸⁹ Income to the Environment Fund has been stable, while in 2014-15 the regular budget (core) funding increased by 134% compared with the previous year's budget, and extrabudgetary income increased.⁹⁰ Regardless, the limited core funding has adversely affected UNEP in the past, with the 2007 JIU assessment finding that non-core funds were being used to subsidize key functions and staff.⁹¹

UNEP launched a Global Funding Strategy in 2014, which calls for increased un-earmarked funding and a widened base for contributions. This sought to achieve stable, secure, adequate and increased financial resources (SSAIFR) funding in accordance with the commitments made at the Rio+20

⁸⁸ UNDP, 2015. Funding Windows.

⁸⁹ UNEP, 2016. Funding – Regular Budget. <http://web.unep.org/about/funding/about/funding/our-funding/regular-budget-0>

⁹⁰ UNEP Annual Report 2015-16: Recognition of Donor Contributions.

⁹¹ United Nations Joint Inspection Unit (JIU), 2007. Voluntary Contributions in United Nations System Organizations: Impact on programme delivery and resource mobilization strategies.

conference in June 2012, where the Member States committed to strengthen UNEP and to provide SSAIFR. This has been progressed somewhat with some donors having multi-year programme agreements with UNEP.

A SSAIFR future for UNEP is structured on principles of (i) shifting towards increased un-earmarked funding; (ii) widening the base of contributors; (iii) Utilising partnerships to catalyse resources and results at global, regional and national levels; (iv) increasing Return on Investment (ROI); and (v) ensuring accountability and communication.⁹²

Thus, the Global Funding Strategy seeks greater contributions to the Environment Fund from a wider range of Member States. It seeks more partnerships and normative work to catalyse results and resources. In relation to ROI, the strategy envisages RBM leading to increased efficiency and increased donor confidence in UNEP's capability. Similarly, in relation to accountability and communication, the strategy states that "A key component of UNEP's strategy to reach a SSAIFR future involves the communication of UNEP's value, comparative advantage, cost effectiveness and relevance. The UNEP Secretariat must provide to donors, partners and their constituencies the relevant facts, figures and justifications, so that they remain confident about the value of their investment in UNEP."⁹³ Member States have requested that this strategy be revised in partnership with them, which is planned to be conducted throughout 2017.

Sub-programmes and regional offices of UNEP also have their own resource mobilization strategies based on the organization-wide strategy.⁹⁴ Specific activities such as South-South and Triangular Cooperation (SSTC) are also targets for specific leveraging of resources from governments, other multilateral funds and other partners, though clear guidelines on how this should occur are not evident.⁹⁵

UNEP's current Medium Term Strategy states that partnerships are an important part of UNEP's business model, to enable them to achieve greater impact. The organization's resource mobilization approach was consolidated throughout 2010-11 to prepare for and enable the MTS implementation.⁹⁶

UNEP also developed a Partnership Policy and Procedures in 2011. The policy's purpose is "To ensure that there is a consistent, UNEP-wide approach to entering into partnerships." The policy called for setting up a 'Partnership Committee' who would be responsible for reviewing prospective partnerships (both for UNEP receiving and giving funds), and monitoring and evaluation of the performance of partnerships.⁹⁷ However, this policy is not currently in use, and the approaches to partnership management are not formalized within the organization. However, work is currently commencing to bring about greater formalization and harmonization of UNEP's approach to resource mobilization and working with partners.

ii. Funding mechanisms and arrangements

⁹² UNEP, 2014. UNEP Funding Strategy: Universal Membership – Global Responsibility.

⁹³ UNEP, 2014. UNEP Funding Strategy: Universal Membership – Global Responsibility.

⁹⁴ United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System.

⁹⁵ UNEP, 2011. Integrating South-South Cooperation in the UNEP Programmes of Work Policy Guidance, 12 February 2011.

⁹⁶ UNEP, 2015. Medium term strategy 2014-2017.

⁹⁷ UNEP, 2011. UNEP Partnership Policy and Procedures 21 October 2011.

The organization relies on contributions to its Environment Fund as the main source of flexible funding to implement its programme of work and the Medium Term Strategy. Some flexibility has been achieved via 'soft earmarking' through contributions to the Environment Fund.⁹⁸ Payments to the Environment Fund can be made against an invoice; by direct payment (bank transfer); by payment against written agreement; or based on pledges made at the annual UN pledging conference.⁹⁹ The Fund is financed through a voluntary indicative scale of contributions (VISC) where all Member States of the UN are invited to contribute financially to UNEP at least to the UN assessed scale or the donor's historical level of contributions to UNEP, whichever is higher. However each Member State reserves the right to determine whether or not it wishes to contribute to the Fund, and the contribution amount.¹⁰⁰

The VISC mechanism was cited by the JIU assessment of 2007 as being an innovative, 'best practice' model that other organizations should replicate. The assessment found that VISC had contributed to a successful broadening of the number of donors, and that most member states contributed amounts similar to their VISC amount. It found that this achieved its intention of increasing the predictability of funds for UNEP.¹⁰¹ However, a more recent report found that while initially successful with annual growth in its first five years, in the last seven years funds contributed according to the VISC have stabilized and started to decrease slightly.¹⁰² UNEP indicated that this mechanism is effective for some, but not all donors. It remains in use as a point of starting discussions with donors on their voluntary contributions.

UNEP's promotion for voluntary funding highlights their ownership by all UN member states, with phrases such as "A global, shared responsibility calls for an increased number of Member States to contribute with higher amounts to UNEP" and "Each and every country is a donor, and each and every country is a recipient".¹⁰³

iii. Institutional Arrangements for donor liaison

The Donor Partnerships and Contributions Section leads the UNEP interface with donors for resource mobilization in collaboration with the Executive Office, divisions and regional offices.¹⁰⁴ This is a small section, though has recently been allocated additional staffing to progress a more strategic and coordinated approach to resource mobilization. The section's approach is to build on partnerships based on mutual interests, rather than initially on funding.

The Handbook for Stakeholder Engagement states that "Fostering partnerships for achieving environmental goals and resource mobilization" is one of the functions of the United Nations Environment Assembly (UNEA) - the main governing body of UNEP.¹⁰⁵ Formal meetings of the UNEA

⁹⁸ UNEP, 2016. Funding – Earmarked Contributions. <http://web.unep.org/about/funding/about/funding/our-funding/earmarked-contributions-including-gef-0>

⁹⁹ UNEP, n.d. Guideline for Contributing to the UNEP Environment Fund.

¹⁰⁰ UNEP, 2016. Funding – Environment Fund. <http://web.unep.org/about/funding/about/funding/our-funding/environment-fund-0>

¹⁰¹ United Nations Joint Inspection Unit (JIU), 2007. Voluntary Contributions in United Nations System Organizations: Impact on programme delivery and resource mobilization strategies.

¹⁰² Dag Hammarskjöld Foundation and the United Nations Multi-Partner Trust Fund Office (MPTFO), 2016. Financing the United Nations Development System: Current Trends and New Directions.

¹⁰³ UNEP, 2016. Donors and contributions <http://web.unep.org/about/funding/about/funding/donors-and-contributions>

¹⁰⁴ United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System.

¹⁰⁵ UNEP, 2015. Handbook for Stakeholder Engagement at UNEP.

and Committee of Permanent Representatives (CPR) provide opportunities for formal discussion of and agreement on funding concerns with partners. However, less formal bilateral engagements are the main platform for donors to discuss their individual interests, views, and concerns with UNEP.

Based on the guidelines available online for contributing to UNEP, the organization's approach to setting in place funding agreements with partners is not proactive, but rather "the member state should contact UNEP/DPC to initiate the preparation and finalization of an agreement".¹⁰⁶

iv. Coordination and communication

The UNEP Global Funding Strategy places importance on coordination and communication with Member States, so that they can demonstrate to their own decision makers and other financing partners that UNEP is a good investment. The strategy states that "main messages will (1) provide timely and accurate information on UNEP's achievements and activities for the environment and sustainable development, (2) show the value for money of the organisation, (3) explain the funding needs and priorities and (4) recognise and appreciate donors and supporters." The strategy outlines that these messages would be delivered through strengthening of multiple platforms: the UNEP webpage, outreach packages targeted to particular regions or countries, UNEP intranet, and annual performance reports. The strategy also highlights the importance of "Continuous, results-focused discussions and actions" to implement the strategy.¹⁰⁷

UNEP now includes a section entitled "Recognition of Donor Contributions" in their annual report, which includes the overall balances of funds among the different funding mechanisms (assessed, Environment Fund and earmarked) and the amounts contributed by the top 15 donors to the Environment Fund.¹⁰⁸ UNEP highlighted that this reporting on contributions as well as performance in ways that are easily understood by partners is an area that the organization has been improving on, but where continued improvement is required. This requires advocacy and outreach to effectively acknowledge donors' contributions and the results and performance achieved by UNEP.

v. Monitoring, evaluation and reporting

There are examples available online of UNEP providing visibility to donors' contributions to the Environment Fund through media releases, which gives a broad indication of how the money will be spent: "The money will help UN Environment implement crucial projects to design a sustainable financial system, boost resource efficiency and reinforce the sustainable management of natural resources and the marine economy."¹⁰⁹

Reporting to partners is in the format of financial audits conducted by the Office of Internal Oversight Services (OIOS), annual program performance reports, evaluations of the UNEP Evaluation Office, and independent performance assessments. UNEP recently participated in a MOPAN assessment. UNEP understands that donors place a high level of importance on this and other independent assessments. The importance of demonstrating that the organization is responding to the recommendations of evaluations and independent assessments was also highlighted. Representatives hope to progress in future towards participation in the IATI.

¹⁰⁶ UNEP, n.d. Guideline for Contributing to the UNEP Environment Fund.

¹⁰⁷ UNEP, 2014. UNEP Funding Strategy: Universal Membership – Global Responsibility.

¹⁰⁸ UNEP Annual Report 2015-16: Recognition of Donor Contributions.

¹⁰⁹ UNEP, 2017. Italy gives 5 million Euro to UN Environment Fund. <http://web.unep.org/newscentre/italy-gives-5-million-euro-un-environment-fund>

vi. Other findings

UNEP considers that its best results in partnership management are achieved where:

- Direct, personal relationships are built with partners. This mainly occurs through bilateral discussions, and through group discussions on areas of shared interest. These established channels of engagement allow both partners and UNEP to have frank, open communication on their interests, views and concerns. It builds mutual confidence and trust in working together.
- Relationships are built upon common ground and mutual interests. Engagement needs to be tailored to the particular partner.

UN-Habitat

i. Strategic context of voluntary contributions

Of all the comparator organizations, UN-Habitat has the greatest proportion of their funds originating from voluntary contributions. The organization's funding comprises regular budget contributions from Member States through the UN main budget (making up approximately 7% of the total budget); a further 7% of contributions are non-earmarked, or 'general purpose' voluntary contributions from Governments; with the remaining 86% being earmarked or 'special purpose' contributions for UN-Habitat Foundation or country-level technical cooperation activities, for which UN-Habitat receives an overhead.¹¹⁰

This dependence on voluntary and mainly earmarked contributions has implications for the predictability of UN-Habitat's funding, and thus the organization's flexibility and ability to work towards its strategic outcomes. It has resulted in uneven investment with many activities over-funded and some under-funded.¹¹¹ As such, their current Strategic Plan 2014-2019 emphasises the importance of resources mobilization throughout. The decline experienced by the organization in non-earmarked income is stated as being the major risk for the implementation of the strategic plan. In particular, it outlines the importance of increasing and broadening the organization's funding base, and increasing non-earmarked contributions. Approaches outlined in the strategy include pursuing non-conventional funding opportunities (e.g mass appeals, private sector CSR); expansion of partnerships with current, previous and potential partners and particularly the regional development banks; and more systematic and structured approaches to securing non-earmarked funds including through enhancement of multi-year agreements with partners and a system of joint annual consultation with partners.¹¹²

UN-Habitat put in place a Partnership Strategy in 2011. Its principle goal is to "Detail the environment and structures that will enable UN-HABITAT's partners to work with the relevant divisions and sections within the agency"; and its vision is "UN-HABITAT achieving its overall objectives of sustainable urbanization and shelter for all through effective communication, partnership and relationship management and collaborative effort." Previous to the development of this strategy, UN-Habitat's

¹¹⁰ UN-Habitat, 2017. Our Donors. <http://unhabitat.org/about-us/our-donors/>

¹¹¹ United Nations Joint Inspection Unit (JIU), 2007. Voluntary Contributions in United Nations System Organizations: Impact on programme delivery and resource mobilization strategies.

¹¹² UN Habitat, 2013 Proposed work programme and budget for the biennium 2014–2015 Addendum Draft strategic plan 2014–2019 of the United Nations Human Settlements Programme.

approach to partnerships was “haphazard and inconsistent, rather than strategic and systematic”.¹¹³ The Medium Term Strategic and Institutional Plan for 2008-13 (MTSIP) called for a broadening of the funding base and more robust/focused relationships with partners, resulting in the Partnership Strategy development. The strategy articulates that the success and sustainability of partnerships is dependent on the alignment and commitment of partners to the organization’s mandate, as well as the importance of strategic partnerships that further/expand agenda through their own work/networks, rather than only providing resources – in alignment with UN-Habitat’s role as a ‘catalyst’/facilitator in forwarding their mandate and agenda.

The Partnership Strategy is currently in the final stages of being reformulated with a new strategy to be submitted to the Governing Council this year. Compared with the previous, the new strategy will have a greater focus on strengthening strategic and political level support to then translate to resource mobilization, as well as strengthening interagency cooperation. It will strive for a system-wide approach to partnership management to capitalise and build upon relationships that have been built in preparation for Habitat III, the New Urban Agenda and the SDGs.

In 2013 UN-Habitat approved a new Resource Mobilization Strategy (RMS) and developed an associated action plan. The RMS envisages a decentralized fundraising model, and enhanced coordination, transparency and alignment with corporate priorities.¹¹⁴

ii. Funding mechanisms and arrangements

The UN-Habitat Foundation is the main fund by which voluntary contributions are made (both earmarked and unearmarked). Contributions to core resources and functions to the organization from earmarked funds are undertaken on a cost-recovery basis, in line with the QCPR declaration of 2013.¹¹⁵

The organization has adopted a new Umoja system for service delivery in 2015, and refined it since then. This system allows the cost recovery of core services provided such as technical assistance, preparation and administering of legal agreements, provision of information communication technology to be built in to all projects and programs. This has resulted in projects being more expensive for donors, as costs are no longer subsidized by the core budget, so is requiring a process of sensitization for donors to assist them to understand the requirements for and importance of cost recovery. Representatives believe that clarity and transparency in communication is important to ensuing that donors are on-board. It is also important during the design phase where the costs are negotiated for the various branches or divisions involved to advocate and communicate for accurate representations of the costs of their involvement with the project to be reflected in design. Multiple systems are in place to ensure this occurs, such as checks by the Project Advisory Group during the design process. This cost recovery allows the limited ‘special purpose’ voluntary funds available within the Habitat Foundation to be more freely allocated to under-funded activities and normative work.

Umbrella agreements and Memoranda of Understanding (MOUs) for legal and financial commitments with institutional partners are usually made on case-by-case basis. This can be in the form of Agreements of Cooperation for which there are templates and standards (which were intended to replace individual grant agreements but have been adapted to apply to individual projects or

¹¹³ UN-HABITAT, 2011. UN-HABITAT Partnership Strategy May, 2011.

¹¹⁴ United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System.

¹¹⁵ UN General Assembly Resolution 67/226, 2013. Quadrennial comprehensive policy review.

activities).¹¹⁶ An example cooperation agreement is that with the Government of Sweden, for which UN-Habitat conducted an evaluation in 2016.¹¹⁷

iii. Institutional Arrangements for donor liaison

The main responsibility for partnerships and donor liaison is with the Office for External Relations (OER), based at Headquarters in Nairobi. Partner relations for development cooperation in particular sit with the Partners and Inter-Agency Coordination Branch (PIACB), while the Advocacy, Outreach, and Communication Branch (AOC) focuses on communications strategies and tools, and organization of events, campaigns and public relations activities.¹¹⁸ The PIACB coordinates partnerships in relation to all aspects of operational, implementation and normative work across all the branches and offices of the organization. The branch is also responsible for reporting on performance in partnerships both internally and to partners, and regularly meeting and sharing information with partners. Engagements with partners are guided by a database of all the partners of the organization and their different roles. The branch gives some support to resource mobilization activities, but most activity happens at the country level or in technical cooperation branches. The OER's involvement in RM is mainly in brokering agreements to fund specific initiatives.

A Resource Mobilization Unit (RMU) was established in 2008 and located in the Project Office. The RMU had an important role in supporting UN-Habitat's interface with donors and fundraising activities, coordinating among the divisions of the organization, and providing an in-house knowledge base for donor intelligence and analysis of global urban development financing opportunities and trends.¹¹⁹ While RMU provided support for decentralized fundraising activities, there is no separate structure for raising funds for technical cooperation.¹²⁰

The RMU has now been replaced with the Donor Relations and Income Management Unit, sitting within the Operations division. The name change reflects the importance of building relationships with donors and centrally looking at income management, rather than just fundraising. This is a small unit which provides coordination and support to the decentralized donor relations functions distributed throughout the technical branches, regional and country offices. This includes providing advice, market intelligence, training and capacity building activities, briefings, etc. The Unit also actively liaises with donor representatives and aims to have a verbal contact with each on at least a monthly basis, but is constrained by available staff resources. The 2011 partnership strategy stated that a lack of internal information exchanges and no singular responsibility for cooperation with partners contributed to a fragmentation of partnership approaches and stated that "Horizontal internal coordination mechanisms are required."¹²¹ With the Donor Relations and Partner Relations functions being in two different divisions (operations and external relations respectively) there can be some challenges of ensuring coordination in working with partners at this level. This is also partly due to limited time and resources.

¹¹⁶ UN-HABITAT, 2011. UN-HABITAT Partnership Strategy May, 2011.

¹¹⁷ UN-Habitat Evaluation Unit, 2016. Evaluation Of The Cooperation Agreement Between UN-Habitat and Sweden 2012-2015.

¹¹⁸ UN-Habitat, 2017. Organizational Structure. <http://unhabitat.org/about-us/our-secretariat/>

¹¹⁹ UN Habitat, 2008. Resource Mobilization Unit Scope Of Work.

¹²⁰ United Nations Joint Inspection Unit (JIU), 2014. An Analysis of the Resource Mobilization Function Within the United Nations System.

¹²¹ UN-HABITAT, 2011. UN-HABITAT Partnership Strategy May, 2011.

UN-Habitat has liaison offices located in New York, Geneva, Brussels and Washington, D.C, on which a thematic evaluation was conducted in 2012. The evaluation found that these offices were successful in raising the profile of UN-Habitat, establishing new partnerships and attracting funding (both earmarked and non-earmarked funds) through ongoing engagement, advocacy and lobbying with partners. The evaluation also found that a lack of seed funding for resources mobilization activities constrained the success of the offices in securing funding, and that seed funding as well as fundraising strategies linked the resource mobilization structures at UN-Habitat headquarters were required.¹²² Provision of seed funding for resources mobilization was included as an action in the current Strategic Plan.¹²³ Currently offices are located in Brussels, New York and Bangkok. The main functions of these offices are to coordinate with the EU, UNDS and undg Regional Hub respectively. They provide information back to HQ and country offices on developments within these and other agencies, which is important for coherence. Regarding RM, the Brussels office in particular coordinates across country offices to minimise duplication in RM efforts directed to the EU.

UN-Habitat has adopted a new approach to approaching donors for voluntary contributions at the request of their Committee of Permanent Representatives (CPR). The approach involves bilateral meetings with donors at HQ in Nairobi that are targeted to advocating with donors the importance of voluntary contributions, using the biennial budget and workplan approved by the Governing Council as a tool. Based on the budget and donors' incomes (loosely based on a VISC approach) a process of prioritization and allocation of suggested funding amounts is proposed. This is then consulted with relevant regional directors who have liaised with the relevant country ministries to gauge their willingness and capacity for the contribution, then the suggested contribution is adjusted accordingly. A formal letter with invoice is then sent to the relevant minister including a proposed amount for a voluntary contribution. With appropriate communication across these levels this approach is proving effective at mobilizing additional voluntary core contributions. It is contributing to increasing the base of donors, with donors contributing that hadn't previously done so. Communication with donors also includes recognition of past contributions (amounts, projects/themes supported etc), in case new Permanent Representatives or Ministers are not aware of the history of contributions. Verbal communication and transparency are important in this process.

iv. Coordination and communication

UN-Habitat utilises local, national and global platforms to engage with partners, such as the World Urban Forum, and World Habitat Day¹²⁴ as well as a number of thematic networks such as the Global Land Tool Network.

Actions included in the 2011 partnership strategy included developing a transparent database of partners (type, contribution, etc) which would be openly available; developing a 'Partners Platform' for liaison; including a Partner Representative on the Governing Council; creation of training/toolkits for partnerships management; and simplification of administrative procedures. According to the evaluation of the MTSIP 2008-2013 some of these actions were implemented including development of communications and fundraising tools, an enhanced donor information system. The evaluation

¹²² UN-Habitat Evaluation Unit, 2012, Evaluation of the UN-Habitat Liaison Offices.

¹²³ UN-Habitat, 2013 Proposed work programme and budget for the biennium 2014–2015 Addendum Draft strategic plan 2014–2019 of the United Nations Human Settlements Programme.

¹²⁴ UN-HABITAT, 2011. UN-HABITAT Partnership Strategy May, 2011.

found that joint annual consultations with donors were proving to be effective and contributing to the alignment and delivery of resources.¹²⁵

The recent (2016) evaluation of the Open UN-Habitat Transparency Initiative summarised the Open UN-Habitat web portal,¹²⁶ which intends to demonstrate to donors, partners and the public where and with whom the agency is working, the decisions taken, as well as the funding and reporting related to each project implemented or supported by UN-Habitat. This is expected to result in increased trust in and interaction with UN-Habitat, increased productivity, credibility and renewed reputation. The evaluation recommended that UN-Habitat should strive to increase the portal's usage within and beyond the agency, through promoting awareness and publicizing the portal, holding workshops and training for staff and implementing partners, and offering webinars on lessons learned.¹²⁷ UN-Habitat is also currently working on an internal platform for implementing partners that will provide a central location to report on agreements, results and conduct payments for partners. It is intended that this information will then feed in the existing open portal.

The 2012 evaluation of UN-Habitat liaison offices highlighted the importance of internal communication and recognition of contributions, as liaison offices were concerned over their lack of control of how mobilized resources were directed.¹²⁸ A further challenge for the organization arising from the decentralized nature of resource mobilization is that it results in internal competition for resources, which at times results in a lack of information sharing among branches or regions. The organization is trying to address this with an internal system of incentives and promotion of collaboration.

UN-Habitat's intentions articulated in their Strategic Plan 2014-2019 to increase their donor base are centred around communication and promotion, with responsibility broadly distributed across the organisation. This includes promoting the role of UN-Habitat in economic and social development, demonstrating achievements in results, efficiency, transparency and accountability.¹²⁹ This is also reflected in the scope of work of the RMU which states that "Resource mobilization is an activity requiring a continuing engagement and good quality information and communication to raise funds over time and in a durable manner."¹³⁰ Representatives confirmed this and emphasized the importance of building long-term relationships. This is the case particularly with emerging donors and private sector partners, with some being engaged for several years before they are ready and willing to make a contribution.

v. Monitoring, evaluation and reporting

UN-Habitat has implemented a Project Accrual and Accountability System (PAAS) which is a "Central repository of financial and qualitative information on UN-Habitat's projects, income and implementing partner agreements, travel and consultants". The Cooperation Agreement with Sweden was a vehicle to invest in operation improvements in PAAS as well as Results Based Management, anti-corruption, legal support and evaluation. The 2016 evaluation of this Cooperation Agreements found that these systems are not yet fully implemented, but likely to generate efficiencies once staff are more familiar

¹²⁵ UN Habitat Evaluation Unit, 2012. Evaluation of the Implementation of UN-Habitat's Medium-Term Strategic and Institutional Plan 2008-2013.

¹²⁶ open.unhabitat.org

¹²⁷ UN Habitat Evaluation Unit, 2016. Evaluation of the Open UN-Habitat Transparency Initiative.

¹²⁸ UN Habitat Evaluation Unit, 2012, Evaluation of the UN-Habitat Liaison Offices.

¹²⁹ UN-Habitat, 2013 Proposed work programme and budget for the biennium 2014-2015 Addendum Draft strategic plan 2014-2019 of the United Nations Human Settlements Programme.

¹³⁰ UN Habitat, 2008. Resource Mobilization Unit Scope Of Work.

with the new systems. It also found that while the funding from sida contributed to establishing the new systems, there is not yet sufficient core support to effectively implement and continue them.¹³¹

The organization's approach is to recognize changing donor demands in terms of transparency and accountability, visibility of contributions, and reporting on results in terms of outcomes and impacts achieved rather than only expenditure and outputs. Donors are increasingly demanding a 'holistic' picture that gives them information on the organization as a whole rather than only their contribution to it, as well as the performance of implementing partners in addition to the performance of UN-Habitat itself. In response, they are currently developing a platform for implementing partners that will allow them to keep a more centralized database of activities and results, feed this into the 'Open UN-Habitat' platform and more easily report to donors on the achievements and performance of implementing partners.

UN-Habitat has started generating reports that extracts and allocated items from the budget to the core contributions of donors for unearmarked funds, so that it is possible to report to contributors on how the funds were spent. As a result, the number of countries that are contributing has increased. However, overall volumes of contributions are still declining, mainly because the highest income countries have been reducing their contributions.

vi. Other findings

UN-Habitat considers its good practices in partnerships to be:

- Maintain close relationships with not only written communication, but regular verbal and face-to-face engagement.
- Report to donors on results and particularly impacts achieved for the intended beneficiaries. Be conscious of the donors' own reporting back to their taxpayers and stakeholders to ensure that reporting meets their requirements.
- Report to donors and respond to their requests and needs fully and in a timely manner.
- Provide sufficient visibility to donors. Both through traditional means such as logos on signage or outputs, as well as through social media and web-based platforms. This involves liaising with implementing partners to ensure that they make visible the contributing work of donors and send materials to be used for promotion and visibility.
- Thematic networks and partner-led initiatives such as the Global Land Tool Network and Cities and Climate Change are successful as they have a high level of ownership from partners. These are successful at bringing partners together to work on shared goals that align with UN-Habitat's mandate. They allow the organization's reach to broaden and thus their impact to broaden as partners work together and independently towards sustainable urban development.
- Coordination is important so that at a high level there are staff that are aware of what is going on across the agency and can share information where required.

¹³¹ UN Habitat Evaluation Unit, 2016. Evaluation Of The Cooperation Agreement Between UN-Habitat and Sweden 2012-2015.

Annex E. Survey questionnaires

Independent thematic evaluation of UNIDO's partnerships with voluntary donors – Survey of partners

1. Are you a representative of (please select one):

a. National Government Ministry of Foreign Affairs	<input type="checkbox"/>
b. Other National Government ministry	<input type="checkbox"/>
c. Multilateral Development Organization	<input type="checkbox"/>
d. Other stakeholder (Please specify):	<input type="checkbox"/>

2. How long has your institution partnered with UNIDO (please select one)?

a. 0-2 yrs	<input type="checkbox"/>
b. 3-5 yrs	<input type="checkbox"/>
c. 5-10	<input type="checkbox"/>
d. 10+	<input type="checkbox"/>
e. not sure	<input type="checkbox"/>

3. Have your contributions been (please select one):

a. Regular	<input type="checkbox"/>
b. Not regular	<input type="checkbox"/>
c. Only once	<input type="checkbox"/>

What is the reason for this pattern?

--

4. In the last five years, have your institution's voluntary contributions to UNIDO (please select one)

a. Increased	<input type="checkbox"/>
b. Decreased	<input type="checkbox"/>
c. Remained the same	<input type="checkbox"/>
d. Don't know	<input type="checkbox"/>
e. Not applicable	<input type="checkbox"/>

5. Has your partnership with UNIDO included (please select multiple)

a. A strategy with key themes	<input type="checkbox"/>
b. Specific projects and programs	<input type="checkbox"/>
c. Other activities (e.g. conferences, training, research, knowledge products, normative work)	<input type="checkbox"/>
d. Other (Please specify):	<input type="checkbox"/>

6. Please rate the extent to which you agree with this statement.

	Strongly agree	Agree	Don't agree or disagree	Disagree	Strongly disagree
UNIDO's mandate aligns with our thematic priorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Partnership arrangements operate smoothly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Projects/programs have performed well in achieving their intended results	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
UNIDO provides value for money	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. How satisfied are you with UNIDO's management of partnerships with you institution?

	Highly satisfied	Satisfied	Don't agree or disagree	Unsatisfied	Highly unsatisfied	Not applicable
Process for establishing formal agreements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Progress reports on programme/project implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Annual reviews of all programmes/projects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Response time for specific communications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Quality of responses to donor requests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Quality and frequency of on-going dialogue	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please add a comment to explain your answers:

8. What factors have motivated any changes in your Institution's voluntary contribution amounts? Multiple selection.

Increase in availability of funds for development	<input type="checkbox"/>
Decrease in availability of funds for development	<input type="checkbox"/>
Shift in priorities of your organisation	<input type="checkbox"/>
Increasing interest in UNIDO's activities	<input type="checkbox"/>
Decreasing interest in UNIDO's activities	<input type="checkbox"/>
A positive assessment of UNIDO by a like-minded donor	<input type="checkbox"/>
A negative assessment of UNIDO by a like-minded donor	<input type="checkbox"/>
A new membership of a like-minded donor	<input type="checkbox"/>
A withdrawer of a like-minded donor	<input type="checkbox"/>
Not applicable	<input type="checkbox"/>
Other:	<input type="checkbox"/>

Please add a comment to explain your answers:

9. Of the factors that you selected above, which one has most influenced the increase/decrease in voluntary contributions by your organization? (Please choose one option)

Increase in availability of funds for development	<input type="checkbox"/>
Decrease in availability of funds for development	<input type="checkbox"/>
Shift in priorities of your organisation	<input type="checkbox"/>
Increasing interest in UNIDO's activities	<input type="checkbox"/>
Decreasing interest in UNIDO's activities	<input type="checkbox"/>
A positive assessment of UNIDO by a like-minded donor	<input type="checkbox"/>
A negative assessment of UNIDO by a like-minded donor	<input type="checkbox"/>
A new membership of a like-minded donor	<input type="checkbox"/>
A withdrawer of a like-minded donor	<input type="checkbox"/>
Not applicable	<input type="checkbox"/>
Other:	<input type="checkbox"/>

10. Looking ahead, what do you perceive as the main requirements for UNIDO to strengthen its partnership with your agency/organization? (multiple selection in order of priority; 1 = most important, 9 = least important)

a. Improved information from UNIDO regarding its development role and operations (e.g. brochures, fact sheets, feature articles on key initiatives, etc.)	<input type="checkbox"/>
b. More proactive dialogue	<input type="checkbox"/>
c. More contact with other Ministries/private sector	<input type="checkbox"/>
d. Better program/project design	<input type="checkbox"/>
e. Improved results	<input type="checkbox"/>
f. Better monitoring and reporting on project/programme results	<input type="checkbox"/>
g. More strategic presentation of corporate results	<input type="checkbox"/>
h. Different modalities for providing voluntary funds e.g. thematic Trust Funds, bigger programmes instead of projects, or other instrument	<input type="checkbox"/>
i. Greater value for money	<input type="checkbox"/>

Other:

11. Are there any lessons from your partnerships with other organizations that you believe could be applicable to UNIDO in strengthening partnerships?

THANK YOU FOR YOUR TIME AND COOPERATION!
**Independent thematic evaluation of
UNIDO's partnerships with donors – Survey of UNIDO staff**

1. Are you a (please select one):

e. Project Manager	<input type="checkbox"/>
f. Manager of a Division, Department or an Office	<input type="checkbox"/>
g. Donor Relations Officer	<input type="checkbox"/>
h. Staff member working in financial services, procurement, quality monitoring, results monitoring, PTC front office	<input type="checkbox"/>
i. Staff member working in field offices	<input type="checkbox"/>
j. Other (Please specify):	<input type="checkbox"/>

2. How long have you been with UNIDO (please select one)?

a. 0-2 yrs	<input type="checkbox"/>
b. 3-5 yrs	<input type="checkbox"/>
c. 5-10	<input type="checkbox"/>
d. 10+	<input type="checkbox"/>

3. How regularly have you been working with the donors in terms of project design, implementation, monitoring, reporting, procurement of goods and services, agreement preparation, relationships management, and etc? (please select one):

a. Regularly	<input type="checkbox"/>
b. Not regularly	<input type="checkbox"/>
c. Rarely	<input type="checkbox"/>

4. Please indicate your view on the following statements:

	Strongly agree	Agree	Don't agree or disagree	Disagree	Strongly disagree
Donors are funders only	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Donors are funders and technical partners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Donors are full partners of UNIDO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Donors are different if they are UNIDO member states compared to non-member states	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Voluntary contributions are important for core functions and expenses (e.g. staffing, offices...) of UNIDO only	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Voluntary contributions are essential for projects but not for core functions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Voluntary contributions are important for projects and programs and core functions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. What are the main benefits for UNIDO when partnering with a donor in your opinion (multiple selection)?

Availability of funds for programmes & projects	<input type="checkbox"/>
Increased UNIDO standards in project management (such as design, implementation, monitoring & evaluation, Results-Based Management)	<input type="checkbox"/>
Increased UNIDO standards in fiduciary management (such as financial management, procurement, internal control)	<input type="checkbox"/>
Increased performance of UNIDO programmes and projects (in terms of relevance, effectiveness, efficiency and sustainability of results)	<input type="checkbox"/>
Wider development outcomes and impacts in terms of replication, scaling up, knowledge sharing and learning	<input type="checkbox"/>
Advances such as new or improved technologies, knowledge, skill set & networking	<input type="checkbox"/>
Others (please specify)	<input type="checkbox"/>

6. Please indicate whether the following donors have contributed to UNIDO's performance in terms of

		Italy	Japan	Norway	Switzerland	EU	GEF
Increased UNIDO standards in project management (such as design, implementation, monitoring & evaluation, Results-Based Management)	Yes Partially No Don't know	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Increased UNIDO standards in fiduciary management (such as financial management, procurement, internal control)	Yes Partially No Don't know	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Increased performance of UNIDO programmes and projects (in terms of relevance, effectiveness, efficiency and sustainability of results)	Yes Partially No Don't know	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Wider development outcomes and impacts in terms of replication, scaling up, knowledge	Yes Partially No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

sharing and learning	Don't know	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Advances such as new or improved technologies, knowledge, skill set & networking	Yes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Partially	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Don't know	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. How satisfied are you with UNIDO's management of partnerships with donors?

	Highly satisfied	Satisfied	Don't agree or disagree	Unsatisfied	Highly unsatisfied	Not applicable
Process for establishing formal agreements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Progress reports on programme/project implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Annual reviews of all programmes/projects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
UNIDO response time for specific donor requests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Quality of responses to donor requests	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Quality and frequency of on-going dialogue between UNIDO and donors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please add a comment to explain your answers:

8. Many UNIDO staff members contribute to effective partnership management with donors. Please select the importance of their contribution.

	Very important	Important	Medium important	Not important
The Director General	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managing Directors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SDR function	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Directors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Division Chiefs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project Managers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TC Financial Management function	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Field office	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please add a comment to explain your answers:

9. Which function needs strengthening?

	Significant strengthening	Strengthening	Some strengthening	No need
The Director General	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managing Directors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SDR function	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Directors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Division Chiefs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project managers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TC financial management function	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Field office	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please describe the required strengthening:

- 10. Looking ahead, what do you perceive as the main requirements for UNIDO to strengthen its partnership with donors? (multiple selection in order of priority; 1 = most important, 9 = least important)**

j. Improved information from UNIDO regarding its development role and operations (e.g. brochures, fact sheets, feature articles on key initiatives, etc.)	<input type="checkbox"/>
k. More proactive dialogue	<input type="checkbox"/>
l. More contact with other Ministries/private sector	<input type="checkbox"/>
m. Better program/project design	<input type="checkbox"/>
n. Improved results	<input type="checkbox"/>
o. Better monitoring and reporting on project/programme results	<input type="checkbox"/>
p. More strategic presentation of corporate results	<input type="checkbox"/>
q. Different modalities for providing voluntary funds e.g. thematic Trust Funds, bigger programmes instead of projects, or other instrument	<input type="checkbox"/>
r. Greater value for money	<input type="checkbox"/>

Other:

- 11. Are there any other lessons that you believe could be applicable to UNIDO in strengthening partnerships?**

THANK YOU FOR YOUR TIME AND COOPERATION!