

**STANDARD OPERATING PROCEDURES**  
for COUNTRIES ADOPTING the  
**“DELIVERING AS ONE”** APPROACH

August 2014









GUIDE TO  
**JOINT RESOURCE  
MOBILIZATION**



**UNITED NATIONS  
DEVELOPMENT GROUP**



-  **The Common Budgetary Framework**, with all planned and costed UN programme activities presented transparently in one place, provides a shared view of the UN's contribution as a whole to the country;
-  **The One Programme** unifies the UN system under one national development strategy/plan, and is underpinned by integrated policy positions and services, and real-time monitoring through joint work plans;
-  **The One Fund (optional)** provides performance-based support to the UN's integrated policy approaches;
-  **The One Leader** and the UN Country Team (UNCT) leadership, is based on mutual accountability, with an enhanced co-ordination function led by the Resident Coordinator, involving all of the UNCT in team leadership, to carry responsibility for the role and results of the UN in the country;
-  **Operating as One** provides options to build ever more cost-effective common operations and service support; and
-  **Communicating as One** facilitates coherent messaging and advocacy on normative and operational matters, and a consistent and teamed-up strategic dialogue with host countries.

The United Nations Development Group (UNDG) is an instrument for UN reform created by the Secretary-General in 1997 to improve the effectiveness of UN development work at the country level. Bringing together the operational agencies working on development, the UNDG is chaired by the Administrator of the United Nations Development Programme on behalf of the Secretary-General.

The UNDG develops policies and procedures that allow the UN system to work together and analyse country issues, plan support strategies, implement programmes, monitor results and advocate for change. These initiatives increase UN impact in helping countries to achieve the Millennium Development Goals.

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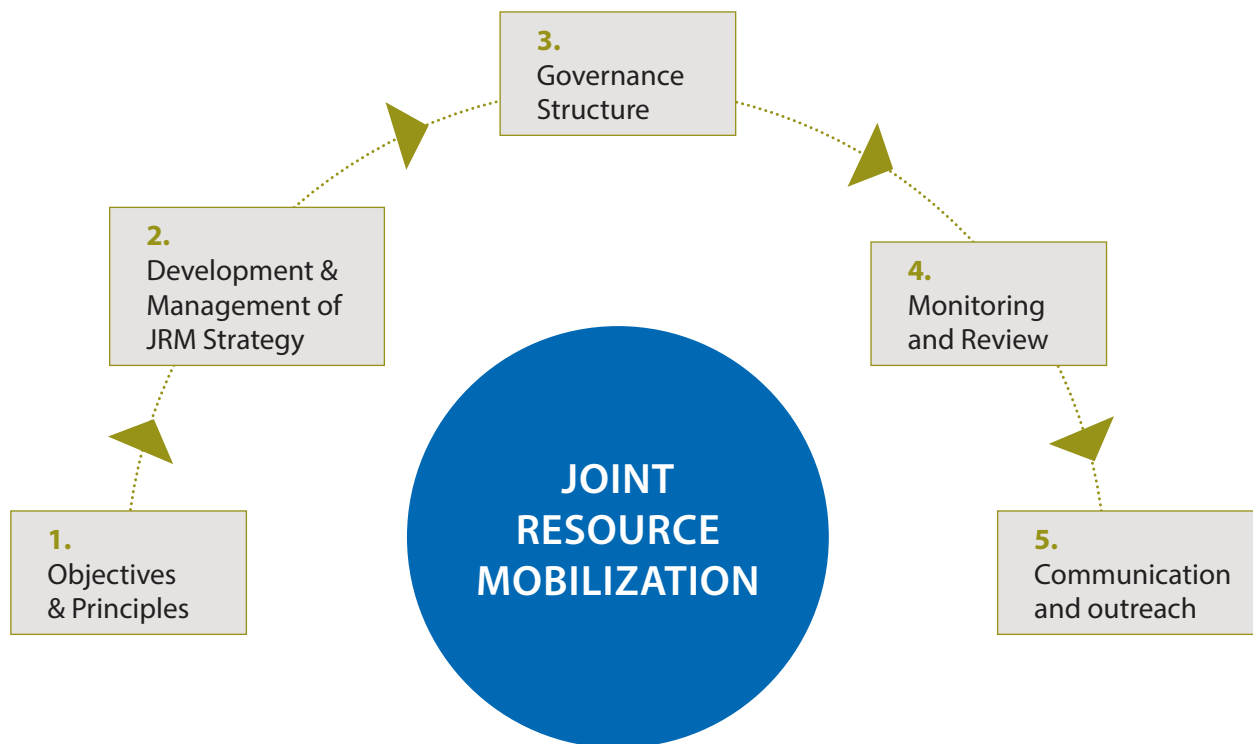


# INTRODUCTION



In many cases, contributions available to the United Nations system at country level are insufficient to fund all the activities in a One Programme, leaving UNCTs with two options: either reduce the number of activities or engage in resource mobilization to cover the funding gap.

This guide on Joint Resource Mobilization is structured in five sections, which examine objectives and principles, development and management, governance structure, monitoring and review, and communication and outreach for joint resource mobilization.



# 1. OBJECTIVES AND PRINCIPLES



A strategic approach to United Nations resource mobilization is critically important to fulfil the UN's mandates and commitments. Resource mobilization of the United Nations is based first and foremost on a Common Budgetary Framework (CBF), which provides a holistic overview of required, available and expected funding sources and funding gaps to support delivery of a One Programme.

Taking a strategic approach to joint resource mobilization to fill funding gaps identified in the CBF serves the following purposes:

- Reach UNCT agreement on how to finance the development results agreed upon for the new strategic programming cycle;
- A higher probability of attaining One Programme outcomes and outputs by ensuring that adequate resources are mobilized against a realistically defined funding gap and timely engagement with stakeholders;
- Reduced competition among United Nations bodies for resources (as currently perceived by both programme country governments and donors) while improving cooperation on the basis of comparative advantages in resource mobilization;
- Enhanced predictability of funding for the One Programme and its specific outcomes, with a special focus on multi-year funding;
- Lower transaction costs for partners and government counterparts due to more focused engagement and fewer agreements with donors and reports; and
- Better alignment with partner priorities and agendas.

## Hints/Tips: Objectives

### Do!

- Ensure UNCT buy-in and ownership of the Joint Resource Mobilization strategy.
- Set and agree on objectives and principles of a Joint Resource Mobilization strategy upfront as part of the One Programme prioritization exercise.
- Focus Joint Resource Mobilization efforts on the highest programmatic priorities involving several participating United Nations organizations.
- Pay attention to avoiding the use of core/regular resources to subsidize non-core-financed activities in terms of operational costs (as called for in the Quadrennial Comprehensive Policy Review) when jointly mobilizing non-core resources.
- Remember! Programme drives the funding, not the other way around.

### Don't!

- Do not set vague, unclear or too lengthy objectives.
- Do not limit agency-specific resource mobilization efforts; however strongly encourage information sharing on results for planning and budget management purposes.

## 2. DEVELOPMENT AND MANAGEMENT OF THE JOINT RESOURCE MOBILIZATION STRATEGY

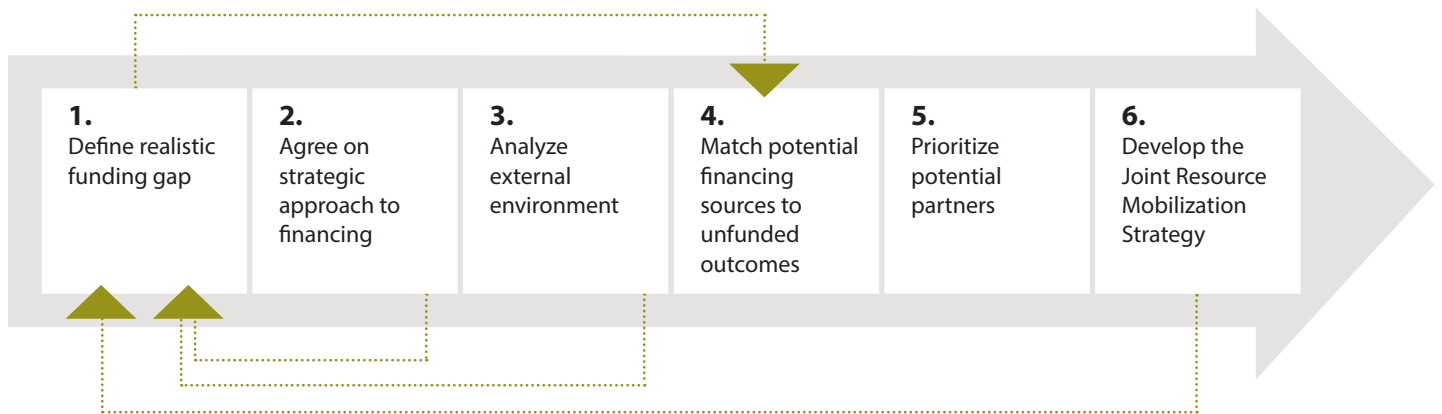


A Joint Resource Mobilization strategy should ideally be developed at the same time as the finalization of a medium-term Common Budgetary Framework. The CBF reflects a comprehensive funding picture of programme, operations and communications under the One Programme and the UNDAF. It is important to integrate and coordinate resource mobilization efforts on programmes, business operations and communications. The JRM strategy is a living document that, to remain constructive, must be updated regularly as new data and information become available and in line with the annual CBF.<sup>1</sup>

As context varies from one country to another, there is no 'one size fits all' for a JRM strategy. Strategic approaches, modalities and tactics will inevitably be different in low-income countries as opposed to middle-income countries or net-contributing countries. The UNCT should hold discussions based on sound analyses within the

United Nations and with partners (as appropriate), on how to finance proposed development results of the United Nations. Such discussions will feed the preparation of a JRM strategy.

Generally, the preparation of a JRM strategy can be sub-divided into six key steps:



<sup>1</sup> The annual CBF is a yearly version of the medium-term CBF, based on joint work plans of the Results Groups.

THE MORE  
REALISTIC  
THE RESOURCE  
REQUIREMENTS  
AND THE DEFINED  
FUNDING GAP,  
THE MORE  
REALISTIC  
IT WILL BE TO SET  
AND ATTAIN  
RESOURCE  
MOBILIZATION  
TARGETS.

## 2.1 DEFINE THE FUNDING GAP

The first step is to establish the extent of the funding gap – that is, the amount of resources the UNCT needs to mobilize. The basis for this activity is the Common Budgetary Framework (CBF) prepared as part of the One Programme development, as well as on an annual basis as part of the JWPs.

There are three main funding sources that United Nations agencies can use to fund outcomes and outputs in a One Programme:

1. Regular/core or assessed resources of the participating United Nations organizations;
2. Non-core or extra-budgetary/earmarked and un-earmarked funds of the participating United Nations organizations—bilateral, multilateral and private, received and pledged; and
3. Resources to be mobilized and captured in the funding gap between existing resources (1 and 2 above) and the total cost of the One Programme.

It should be noted that the resources per outcome/output refer to all programmatic, operations and communications needs. The result is a mapping of resource availability per outcome/output in the UNDAF or Joint Work Plans as well as an identified funding gap.

The more realistic the resource requirements and the defined funding gap, the more realistic it will be to set and attain resource mobilization targets. Furthermore, if, based on the JRM strategy, it becomes clear that the funding gap is too high compared to the expected level of resource mobilization, the UNCT should consider adjusting the CBF to revise the funding gap downward. In many cases, the UNCT may also need to review the One Programme to prioritize results and adjust the CBF accordingly.

## 2.2 AGREE ON A STRATEGIC APPROACH TO FINANCING

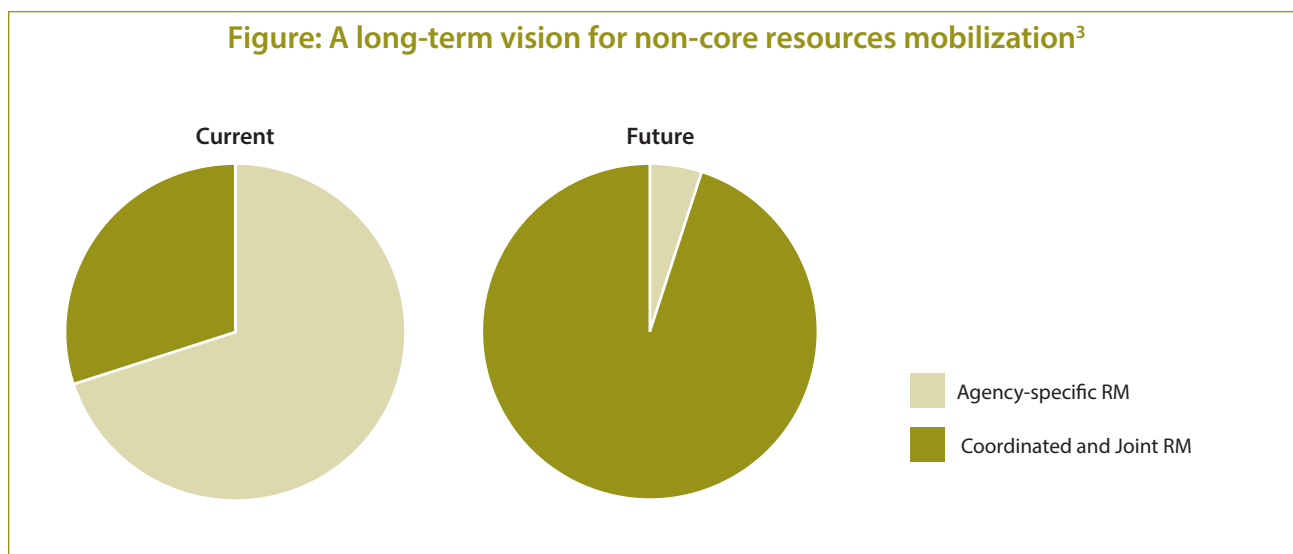
The development of a CBF and identification of the funding gap are the bases for reaching agreement on the UNCT's strategic approach to financing agreed outcomes and outputs. The UNCT should have a structured dialogue on financing, including discussions on: 1) how it intends to fund the agreed priorities; 2) what are the comparative advantages of different United Nations agencies in mobilizing resources; and 3) what approach and which instruments should be employed. Such an agreement will help reduce the competition for funding and uncoordinated outreach to development partners.

There are three approaches, or a combination thereof, that are applied at country level.

1. *Resource mobilization by individual agencies for their programmes and projects.* Historically, fund raising activities have been undertaken individually with limited sharing of information among UNCT members. This approach, when applied in isolation from the following two approaches, can lead to increased competition for funding for the same objectives, and over-funding in some areas and under-funding in others.
2. *Coordinated resource mobilization.* Individual agencies continue their fund raising activities without engaging in joint efforts, but there is extensive sharing of information among them. Such information flows should be managed within Results Groups and lead to the identification of uncovered areas or over-funded priorities and to a reduction in the competition for resources.
3. *Joint resource mobilization.* The United Nations collectively identifies the funding requirements for common objectives and engages in joint resource mobilization, bringing in their strengths and comparative advantages. UNCT fund-raising efforts are based on prioritization, collective thinking and transparency. Joint resource mobilization instruments that may be used in this context are the One Funds<sup>2</sup> and Joint Programmes.



**Figure: A long-term vision for non-core resources mobilization<sup>3</sup>**



It should be noted that agency-specific resource mobilization, coordinated resource mobilization and joint resource mobilization complement each other.

Once the UNCT has agreed to engage in joint resource mobilization, it must decide which programmatic priorities to focus on for joint mobilization efforts. The resources mobilized for programmatic priorities can be managed through the One Fund or Joint Programmes or even, in some cases, agency-specific projects and activities. The One Fund can be used to fund UNDAF/One Programme outcomes included in its scope.<sup>4</sup>

To make a decision on using the One Fund, the UNCT will need to consider, among other things, the financial viability of and costs involved in establishing and managing this mechanism.

(Refer to the [Guidance Note on Establishing, Managing, and Closing Multi-Donor Trust Funds](#) for detailed guidance).

If the One Fund is not seen as a feasible or preferred option, an alternative funding instrument is the stand alone Joint Programme.<sup>5</sup> A Joint Programme is a set of activities contained in a joint work plan and related common budgetary framework, involving two or more United Nations organizations and (sub-) national governmental partners, intended to achieve results aligned with national priorities as reflected in the outcomes of the UNDAF/One Programme. The UNCT and interested United Nations agencies will need to consider meaningful opportunities for developing Joint Programmes using a pass-through or pooled fund management modality.

<sup>2</sup> The One Fund is a multi-donor trust fund at the country level that normally encompasses all unfunded and under-funded outcomes of the UNDAF/One Programme as identified in the Common Budgetary Framework.

<sup>3</sup> The pie chart illustrates the expected increase over time in the percentage of coordinated and joint resource mobilization of total non-core resources mobilized, but does not necessarily reflect the absolute value of total non-core resources.

<sup>4</sup> The One Fund can also cover initiatives responding to emerging national priorities and needs not foreseen at the time of UNDAF formulation.

<sup>5</sup> In exceptional cases, the UNCT may consider a combination of a country-level multi-donor trust fund (which covers some but not all unfunded/under-funded outcomes and outputs of the UNDAF/One Programme) and stand-alone Joint Programmes.

## 2.3 ANALYZE THE EXTERNAL ENVIRONMENT

For the UNCT to prepare and focus its joint resource mobilization efforts, it is useful to undergo a mapping exercise of the potential and existing partners at the global, regional and country levels, as well as their priority development areas.

In its discussions on a strategic approach to financing, the UNCT should consider possible sources for accessing resources at different levels, including:

- Traditional OECD/DAC donors;
- Emerging donors, e.g. BRICS or MINT<sup>6</sup>;
- Government cost sharing (especially in higher middle-income countries, net contributing countries);
- Global United Nations pooled funding mechanisms, e.g. Peacebuilding Fund, Human Security Trust Fund, Trust Fund to End Violence Against Women, etc.;
- Global and regional non-United Nations funds, including regional development banks;
- Philanthropic foundations and major individual donors;
- Public-private partnerships; and
- Innovative sources of funding.

After completing steps 2.2 and 2.3, please review the funding gap. Consider making the funding gap more realistic and/or further prioritizing development results in the One Programme.

## 2.4 MATCH POTENTIAL FINANCING SOURCES TO UNFUNDED/ UNDER-FUNDED OUTCOMES AND OUTPUTS

This step calls for matching the unfunded and under-funded outcomes and outputs in the One Programme and JWP to the potential funding sources.

Linking the partners' priorities to United Nations activities will provide the foundation and focus for cooperation between the donor and the United Nations system. The result of this matching exercise is a partner-specific overview of outcomes and outputs that reflects the development strategy of both the United Nations and the partner. Joint resource mobilization efforts with a particular donor will focus on these outcomes and outputs.

## 2.5 PRIORITIZE POTENTIAL PARTNERS

For various reasons, some partners may be seen as adding more value than others. Identifying and prioritizing potential partners is somewhat subjective and may be based on a wide range of criteria, such as:

- Financial or technical resources at the partner's disposal at the country level;
- A good existing working relationship with the partner;
- Preferred partner of the government;
- High number of outcomes that the United Nations and the partner have in common; and
- Other comparative advantages of the partner, such as technical expertise, access to political networks, proven track record, etc.

<sup>6</sup> BRICS – Brazil, Russia, India, China, South Africa; MINT – Mexico, Indonesia, Nigeria, Turkey.

## 2.6 DEVELOP A JOINT RESOURCE MOBILIZATION STRATEGY DOCUMENT

There is no standard JRM strategy that fits all countries. It is up to the UNCT to make decisions on whether and how to prepare a JRM strategy.

A JRM strategy document may consist of the sections listed below.

- Background covers key national priorities and key results in the One Programme, an analysis of resource trends at the country level, and the rationale for joint resource mobilization for the One Programme.
- Key principles for joint resource mobilization of the United Nations system.
- Resource requirements and funding gap for each strategic outcome and output area. This section should refer to the CBF (see 2.1 above).
- Possible financing partners and mechanisms at the global, regional and country levels for each outcome and output area.
- Analysis of United Nations agencies' comparative advantages in resource mobilization.
- Resource mobilization approaches to be used for each partner/outcome/output; indicate whether a One Fund covering the entire unfunded portion of the UNDAF/One Programme or specific Joint Programmes will be used as the funding mechanism.
- Governance structure for the management of the JRM strategy.
- United Nations system value for each outcome and output for each key partner and communication of the JRM strategy. This section should cover how and what the United Nations communicates to relevant stakeholders to raise funds.

- Implementation of the JRM strategy. This section describes how the strategy will be implemented and would include who is responsible for doing what, when and where.
- Monitoring of the JRM strategy progress. This section includes a monitoring framework with clear targets, baselines, indicators, means of verification, as well as a schedule for reviewing and updating the strategy; and
- Risks and rewards of the JRM strategy.

When setting annual resource mobilization targets, we recommend taking into account the current UNDG policy on thresholds for establishing and managing One Funds. The threshold for smaller One Funds is \$2 million annually and for larger One Funds is \$5 million annually<sup>7</sup>.

<sup>7</sup> Please see the section on "Establishing a One Fund" for further information.

## Hints/Tips: Process

### Do!

- Estimate resource requirements and define the funding gap for all key elements, i.e. One Programme, business operations, communications, etc.
- Set a realistic funding gap; ideally, assess funding gaps based on a well prioritized Common Budgetary Framework.
- Indicate resources as available only if they are in a hard pipeline, i.e., resources with a high probability of being made available by the donor.
- Undertake detailed analysis only for those potential partners that are more likely to be open to a partnership around a common strategic outcome.
- Regularly update the Joint Resource Mobilization Strategy and related plan with local donor intelligence. Relay intelligence information to agencies' focal points at the headquarters level to complement follow-up with donors at capital level.
- Prioritize those outcomes and outputs that have a clearly identified funding gap.
- Ensure mutual accountability among United Nations agencies in mobilizing resources. Define clear roles and responsibilities of United Nations agencies per partner, outcome/output.
- Efforts that go into competition among agencies can be 'directed' to more productive use—coordinate!

### Don't!

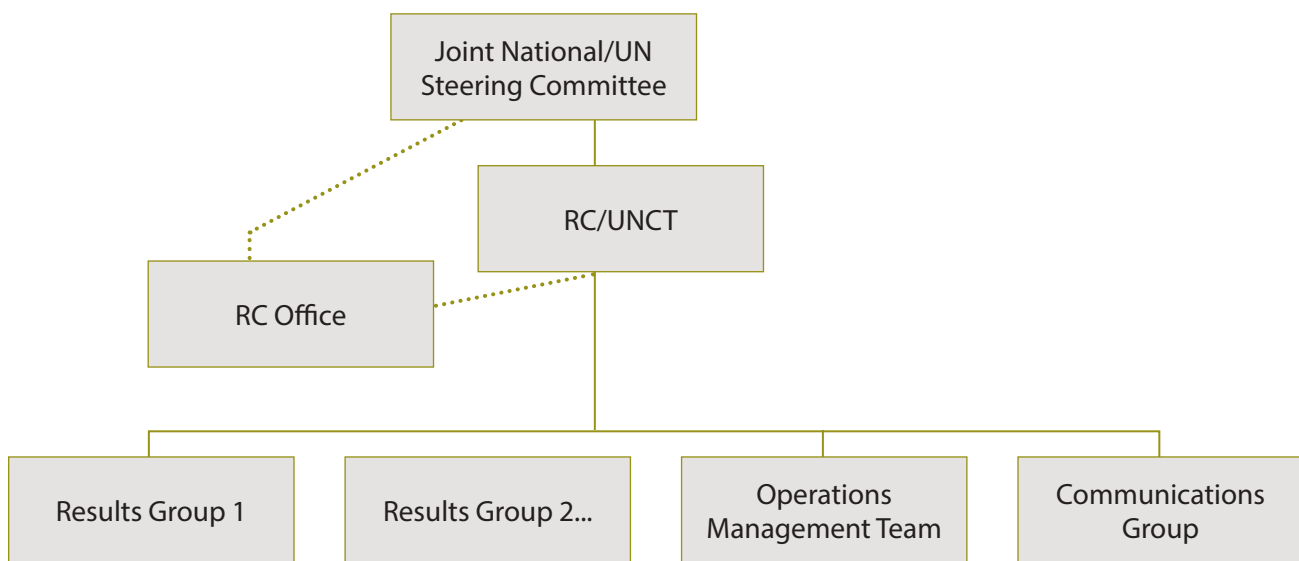
- Don't focus JRM efforts in areas where there is no common ground between the United Nations system and the partner's development priorities.
- Don't commit to areas where the United Nations does not have clear comparative advantage.
- Don't inflate the funding gap and budgets with the hope that this will help resource mobilization efforts.

# 3. GOVERNANCE STRUCTURE



The roles and responsibilities of parties involved in the development, implementation and management of the JRM strategy must be defined.

The main constituencies involved are:



The **Joint National/United Nations Steering Committee** will review and confirm the strategic direction for the One Programme and provide high-level oversight and support.

The **UN Resident Coordinator** is responsible for leading joint resource mobilization and for managing the One Fund transparently.

The UNCT members, through **Results Groups** (in programmes), the **Operations Management Team** (in harmonized operations) and the **Communications Group** (in joint communications), define the joint resource mobilization

targets and preferred financing instruments to reach these targets, actively participate in coordinated resource mobilization efforts, monitor progress and share information.

The **Resident Coordinator's Office** will support joint resource mobilization efforts through consolidation of the CBF. The RCO will serve as a central repository of all information with reference to mobilized resources, both by individual agencies and through joint efforts. The RCO will also facilitate development, monitoring and review of the JRM strategy.

## Hints/Tips: Roles and Responsibilities

### Do!

- Ensure there is agreement upfront on roles and responsibilities. Make clear the distinct roles (firewall) of the Resident Coordinator in mobilizing resources for the United Nations system vs. for individual United Nations agencies.
- Engage government counterparts in joint resource mobilization when applicable and possible.
- Encourage government cost-sharing as part of joint resource mobilization.
- Engage United Nations communications specialists in the implementation of the joint resource mobilization strategy.
- In countries with a complicated or challenging resource mobilization environment, consider setting up a Resource Mobilization committee or group, chaired by a UNCT member, reporting to the RC/UNCT, to ensure focused JRM efforts and consistent tracking of JRM progress.

### Don't!

- Don't leave the roles and responsibilities, as well as accountability lines, too vague.
- Don't exclude some constituencies in favour of others.
- Don't be restrictive in providing access to information.

# 4. MONITORING AND REVIEW



Monitoring implementation of the JRM strategy and its progress towards agreed targets is an important step. Determining the timing for the monitoring and review of the JRM strategy will largely depend on the indicators/targets set and the results or processes being appraised. At minimum, progress towards the achievement of agreed targets and any need to review the JRM strategy should be addressed during the annual programme review exercise. Lessons learned, as well as any major changes to the strategy and its targets, will feed into the development of the following year's CBF.

Monitoring of the JRM progress should be performed by the Results Groups in close cooperation with the Resident Coordinator's Office, making use as much as possible of existing tools and instruments (e.g., the CBF, One Programme M&E framework, One UN Results Report, etc.).

The review of the JRM strategy should be undertaken under the leadership of the Resident

Coordinator with the facilitation support of the Resident Coordinator's Office and substantive discussions held within the Results Groups. Government counterparts and key development partners may be engaged in the review of the JRM strategy if the UNCT sees an added value of involving these stakeholders in the process.

## Hints/Tips: Monitoring

### Do!

- Make sure monitoring and review of the JRM strategy are done and properly communicated to the key stakeholders.
- Highlight the progress and benefits of the JRM strategy to the participating United Nations organizations.
- Measure success against the goals and targets that were set at the beginning and reflect the changes in your planning exercises.
- Keep it fresh: a JRM strategy can quickly become out-dated and redundant. It is important to revisit and revise it on a regular basis to ensure that it stays relevant and on target.
- Remember: the success of any resource mobilization effort depends on the results achieved and demonstrated and, in the longer term, on the reputation and trust built with the partner.

### Don't!

- Don't reinvent the wheel: utilize the analytical work that was already undertaken, use existing mechanisms and reporting processes to share results.
- Don't fail to keep the JRM strategy in line with the strategic direction of the One Programme.

# 5. COMMUNICATION AND OUTREACH



Once the JRM strategy is in place, United Nations agencies and staff members must use it to communicate and reach out to development partners for fund-raising.

Resource mobilization for the United Nations system is the responsibility of not only the UNCT, but also every United Nations staff member in the country. Staff members should understand the strategic directions of joint resource mobilization, be aware of the general messaging for development partners, and be briefed and trained on resource mobilization.

## 5.1 CRAFT JOINT MESSAGING

A UNCT strategy on joint messaging related to the JRM strategy may include a general message for all development partners and customized messages for key potential partners. The general message must make the needs and causes known, and highlight the advantages of the United Nations. Tailored messages should be prepared based on analyzing the partner's main interests and the United Nations system's value proposition for each outcome/output for that partner (as presented in the JRM strategy).

It is important to emphasize that successful resource mobilization depends on programmatic performance, the perceived relevance, and the reputation and credibility of the United Nations system more than on resource mobilization activities themselves. Attaining development results is the foundation for resource mobilization success.

## 5.2 REACH OUT TO PARTNERS

The UNCT can use both traditional and innovative ways to reach out to development partners. It is critical to solidify partnerships with donors through:

- Donor meetings (both one-on-one and group meetings);
- Periodic face-to-face donor briefings (e.g., luncheon briefings to provide updates on

results achieved, initiatives, and/or resource mobilization); and

- Periodic information updates (newsletters/bulletins) covering different results areas, etc.

## 5.3 ENGAGE NEW PARTNERS

The UNCT should look for opportunities to engage with new partners. Entering discussions with emerging donors at various fora may help to identify whether their interests are in line with results areas under the One Programme. United Nations agencies should also consider approaching non-traditional donors and funding sources including the private sector and foundations.

Invite emerging donors and new potential funding partners identified in the JRM strategy to briefings to discuss how the United Nations supports the country's development, how the United Nations works, and what benefits there are in working with the United Nations or funding its activities.

## 5.4 COMMUNICATE REGULARLY

In addition to fulfilling official reporting requirements, the United Nations must keep lines of communication open with donors throughout programme implementation, and regularly share programmatic updates and results achieved. This is important to build confidence and show that resources are being used effectively and that they are helping to achieve concrete results.

Overall, effective public communication about the United Nations, its role, the work it does and, in particular, the results it achieves will help create a positive environment that is conducive to effective resource mobilization.







For more information: [UNDG.org](https://www.undg.org)



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