RES RESOURCE MOBILIZATION UNIT
SCOPE OF WORK

FINAL VERSION

1. Rationale

1.1. The Medium-term Strategic and Institutional Plan (MTSIP) for UN-HABITAT that was adopted at GC21 included a Resource Mobilisation Strategy. Following the adoption by GC21 of the MTSIP a Resource Mobilization Task Force (RMTF) was established to look into the best way to start implementing the approved strategy. Their recommendations form part of the MTSIP Action Plan, which was endorsed by the subsidiary body of the Governing Council, the Committee of Permanent Representatives, on 6 December 2007.

1.2. The over-arching goal of the Strategy is to broaden the donor base and to establish more predictable multi-year funding, in line with GA Res. 56/206. A principle included in the Strategy is more flexibility in the use of earmarked funding that will enable the Secretariat to fill funding gaps. This principle will guide future negotiations with donors where applicable. A Resource Mobilisation Unit (RMU) has been established for this purpose.

1.3. 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. Experience from other UN entities including UNICEF and UNEP has shown that this can be best achieved through a dedicated RMU.

2. Operational Set-up and Structure

The RMU is situated in the OED and, in view of its cross cutting nature, operates under the overall guidance, coordination and strategic oversight of the Deputy Executive Director.

In keeping with GA Res. 56/206, the operational management of the RMU will be the task of the Director (Ag.) of Human Settlements Financing Division, who will also be the Chair of the interdivisional RMU Task Force. All Division Directors are members of this Task Force.

A Head of the RMU will assist the Director (Ag.) of Human Settlements Financing Division in the day-to-day operational management of the Unit and in maintaining close cooperation with a network of focal points in the whole organization. He reports, in line of command, to the DHSFD and to the DED.

The RMU has a corporate cross-cutting role of interdivisional coordination and it functions as a clearing house for all resource mobilization related activities. Division Directors are thus expected to take effective part in the activities of the Unit – directly or through designates - to ensure a better mobilization of financial resources at all levels. In particular, the Director of Human Settlements Financing Division plays a primary role in this regard, bearing in mind the key task of this division regarding the strengthening of the Foundation.
The following is the proposed organizational structure and core staffing required to make the RMU fully operational by the 4th quarter of 2008. The Unit is intended to start operations at the beginning of 2008 upon endorsement of this document.

<table>
<thead>
<tr>
<th>TITLE</th>
<th>GRADE</th>
<th>STATUS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordinator [overall guidance, coordination and strategic general oversight]</td>
<td>ASG</td>
<td>Deputy Executive Director</td>
</tr>
<tr>
<td>Operational Management</td>
<td>D2</td>
<td>Director Human Settlements Financing Division</td>
</tr>
<tr>
<td>[Head of RMU]</td>
<td>D1/P5</td>
<td>NEW STAFF MEMBER, ToRs ready</td>
</tr>
<tr>
<td>Head (Ag) of RMU [day-to-day management]</td>
<td>L6</td>
<td>Senior Advisor Resource Mobilization</td>
</tr>
<tr>
<td>Resource Mobilization Officer</td>
<td>P/L4</td>
<td>NEW STAFF MEMBER; ToRs ready</td>
</tr>
<tr>
<td>D-base Management Assistant</td>
<td>G6</td>
<td>NEW STAFF MEMBER; ToRs ready</td>
</tr>
<tr>
<td>Administrative Assistant</td>
<td>G4</td>
<td>NEW STAFF MEMBER; ToRs ready</td>
</tr>
</tbody>
</table>

The RMU will be established and made operational in phases and eventual adjustments to its structure and Scope of Work will be made according to the needs.

**NB**

a) A total of FOUR NEW STAFF MEMBERS are scheduled for recruitment to make the RMU fully operational. This includes Head of RMU, whose ToRs have been established. Given the importance of the duties and responsibilities for this position, as well as the time necessary for the recruitment of the new staff members, it is understood that the key functions will be covered by the existing core staff as appropriate.

b) All the other positions indicated should be filled by existing staff members who will operate on a part time basis, according to their ToRs and an agreed upon division of labour.

c) Core staff of the Unit include also part-time inputs from Senior Advisor Policy & Strategic Planning (OED); Special Advisor to the Deputy Executive Director, (ODED); and the UN-HABITAT Washington Office.

The RMU is intended as a service provider to enhance resource mobilization efforts of the Organization according to GA RES /56/206. It is therefore essential that it maintains continuous interaction and communication with concerned Divisions and Departments. This will involve the establishment of an in-house network of Focal Points to serve as the necessary link between RMU core staff and the concerned departmental branches. This network will replace the RMTF (Q1, 2008).

**NB**

a) The network of Focal Points is based on the MTSIP five pillar structure. It comprises representatives from each Division that shall appoint one Focal Point and one alternate.

b) Departmental Focal Points will actively take part in the various tasks pertaining to the RMU on behalf of their respective Divisions/Departments.

c) At key decentralised office locations, i.e. Washington, New York, Geneva, Brussels Fukuoka, and Rio staff already in place shall act as RMU liaison officers in their respective locations.

### 3. Operational & Staffing Timeline

<table>
<thead>
<tr>
<th>WHAT</th>
<th>WHEN</th>
<th>STATUS</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1 Redeployment of 1 internal senior staff member</td>
<td>Q2 2007</td>
<td>position operational</td>
</tr>
<tr>
<td>3.2 Establish RMU functional responsibilities and operational set up</td>
<td>Q4 2007</td>
<td>final version done</td>
</tr>
<tr>
<td>3.3 Establish RMU internal network</td>
<td>Q1 2008</td>
<td>draft done and submitted for approval</td>
</tr>
<tr>
<td>3.4 Division Directors (or their designates)</td>
<td>Q1 2008</td>
<td>upon operationalization of RMU</td>
</tr>
<tr>
<td>3.5 Washington DC Office</td>
<td>Q4 2007</td>
<td>full time position operational</td>
</tr>
<tr>
<td>3.6 New York Office</td>
<td>Q1 2008</td>
<td>staff member (part time)</td>
</tr>
</tbody>
</table>
4. **Organizational Chart of the RMU**

![Organizational Chart]

4. **Scope of Work and Operating Modalities**

4.1 **Key responsibilities of the RMU**

- General interdivisional coordination of resource mobilization activities
- Donors coordination and relations
- Provision of up-to-date information on donor preferences (geographical, thematic, etc.)
- Repository of reports to donors
- General catalogue of bankable projects,
- Etc…

4.2 **Fund Raising Strategies and Instruments**

The resource mobilization strategy will be implemented through a step-by-step approach. Emphasis is placed on:

- Consolidating and deepening the Agency’s engagement with the existing donor base;
- Where possible, correcting the imbalance between earmarked and non-earmarked funding;
- Broadening the donor base and reaching out to non-conventional donors including the private sector, foundations, endowments, etc.
Preliminary classification of donors and types of actions required

- **Core Donors (Governments):** consolidate and deepen engagement in view of securing non-earmarked funding through appropriate actions as agreed by the CPR in the course of the MTSIP consultations (Q1 & Q2, 2008).

- **Non-Core:** establish national UN-HABITAT committees (along UNICEF model) in selected countries to coordinate activities on the ground and mobilize local philanthropies, private corporations and individuals for “downstream” activities (e.g. Brazil, Kenya, Bangladesh), (Q2, 2008); approach through regional offices one country per region to increase voluntary cash or in-kind contribution to UN-HABITAT (e.g. Bahrain, Mexico, India, South Africa), (Q2, 2008); gear up for GC22 to revisit VISC in light of successful use of VISC by UNEP (Q4, 2008; Q1, 2009).

- **Campaigns:** To be led by substantive divisions focal points according to the MTSIP structure, with the assistance of the RMU.

- **Private Foundations:** deepen engagement with 1st tier foundations (Turner, Rockefeller, Google, E-Bay, Gates, etc.) (Q1, 2008) and prepare an inventory of 2nd and 3rd tier foundations in US and Europe, (Q2, 2008).

- **Private Corporations:** prepare inventory of relevant MNCs that are in finance, insurance, real estate and construction sectors including those with whom UN-HABITAT is working in SUF and Watsan (Q1, 2008)

- **Private Contributions:** establish a 501(c)3 not-for-profit NGO, “UN-HABITAT-USA” (Q1, 2008); assess viability of similar organizations in Europe that will enable private individuals to make tax deductible, non-earmarked contributions to UN-HABITAT (Q1, 2008); establish not-for-profit NGO in the Netherlands and/or Germany (Q3, 2008).

5. Operating Modalities

5.1 The RMU shall operate primarily as a support service to the Agency’s fund raising activities. Its value added is a systemic approach encompassing intelligence, managing donor relations, and coordination.

5.2 It is envisaged that over time, a consolidated approach and unified structure will be adopted to include external relations, information and communication, and resource mobilisation, as it is the case with several UN Programmes and Funds. In the interim, the RMU will continue to work as an integral part of the MTSIP implementation framework and strategy, part of which is to build synergies between results-based monitoring and reporting, branding and communications, and programme alignment and cohesion.

5.1.1 – Positioning and Branding

Positioning

Like most non-profit organizations, UN-HABITAT does not sell conventional products. Its products are its mandate, programmes, ideas, and services. UN-HABITAT’s mandate is a broad one compared to the size of the Agency. Besides, the Agency’s mandate is not as attractive to the donor community as, for example, with the case of UNICEF. Establishing a strong brand and compelling messages is thus a complex but nonetheless essential task. To this end, a draft Positioning Statement has been prepared which is scheduled to be finalised by the first quarter of 2008.

a) **Principles:**

The positioning statement is an internal instrument. It is intended to define the organization, its intentions, the crucial issues it seeks to address, and advocate the Organization’s comparative advantage and value to partners. Prepared through debate within the organization, the statement serves as an internal guide to the development of additional
vertical positioning statements and campaign messages that will project a clear, consistent, corporate brand of UN-HABITAT. Its brevity demands prioritization and messaging of key ideas in user-friendly, non-technical terms. It is selective rather than comprehensive. Where possible, the statement contains evidence of its claims.

b) Actions:
- The draft positioning statement has been presented to senior management on 21 November and briefly discussed. It requires further internal debate, involving the Division Directors, the Directors of Regional Offices and Liaison Offices (Q4, 2007).
- Consolidation of positioning statement is expected by (Q1, 2008).
- Preparation of four vertical positioning statements for the respective four elements of sustainable urbanization campaign framework: land, infrastructure, governance and finance by (Q1, 2008).
- Preparation of branding instruments and campaign messages that reflect the internal positioning statement and the four vertical statements (Q2, 2008).
- Field-testing of vertical statements, branding instruments and campaign messages with focus groups representative of key partners (urban poor, governments, local authorities, private sector networks, donors of diverse origin and scale) from diverse geographical areas (Q2, 2008).
- Support ISS, as appropriate, in launching of new website replete with campaigns before WUF IV (Q3/Q4, 2008).

Branding

Once the vertical positions statements have been agreed to, the next step which the PMU will undertake in close collaboration with ISS is “branding”, involving the following activities:

- Identifying and defining the organisation’s intended audiences (Q1,2008).
- Targeting and tailoring the Organization’s messages to the selected audiences.
- Establishing the Agency’s niche, based on the broad UN-HABITAT mandate and selecting a well-defined impact “product” or series of products. The Organization’s marketing strategy will focus on these products that are intended to be launched and marketed in connection with WUF IV (Q3, 2008).
- Defining the range of “products” UN-HABITAT intends to sell in an attractive and clearly understandable way.
- Developing and maintaining a visible and credible identity through effectiveness in implementation and marketing initiatives over time.
- Maintaining consistent communication, also by creating a visual identity.
- Using message repetition and variation by employing multiple communications tactics: non-profit organizations often target several audiences, which may respond to different approaches. Various, ad-hoc communication campaigns can help establish and maintain a widespread positive image.
- Outlining strategic fundraising plans that will best use limited resources to meet organizational goals and objectives.
- Selecting and using appropriate media and systems to spread the message (such as goodwill ambassadors etc.).
- Organising resource mobilization campaigns and special events. (UNICEF may be used as a model to this end).
5.1.2 - Internal Coordination

a) Principles:
UN-HABITAT has been successful in increasing voluntary contributions by 300% since 2001 through a system of donor Focal Points under the leadership of the Executive Director. UN-HABITAT could be even more successful in fund raising and avoid duplication of effort if it can support donor Focal Points and the Executive Director with an internal coordination mechanism, ideally one that supports rather than undercuts entrepreneurship. Ultimately, the RMU should function as a hub.

In order to start the internal consolidation immediately with UN-HABITAT’s major donors the Unit will take the lead in organizing of general interaction regarding resource mobilization with the top-ten donors (Norway, Sweden, Italy, Spain, U.K. Netherlands, Finland, France, EU and Canada). All fundraising engagement with these donors will have to be coordinated and lead by the Unit, which will work closely with staff members, and programmes having key networks with these donors.

The RMU is thus intended to coordinate fund raising activities by providing services to those who raise funds. Service provision is based on a reward incentive mechanism. The RMU will help staff members who help the Unit’s efforts to coordinate fund raising. Staff members shall provide the RMU with timely, updated information on fund raising activities. In return, this will be translated into a wide range of inputs helpful for fund raising (e.g. consolidated documentation on UN-HABITAT, specific donor histories, priorities, funding cycles, etc.) that will be made available by the RMU in the form of up-to-date Donors’ Kits. To this end, in close cooperation with PSD, the RMU will develop an ad-hoc data base.

The RMU will draw upon and seek to reconstitute existing structures within the organization, rather than add to the bureaucracy (e.g. PRC, M&E, donor relations and travel protocols, etc.).

Protocol coordination mechanisms are scheduled to be established by (Q2, 2008). These are intended to help improve donor confidence and enhance UN-HABITAT resource mobilization efforts. Transparent and timely information flow between Divisions and the RMU is the key element to achieve this goal. Thus, the observance of these protocols by all parties involved is expected to be mandatory.

b) Actions:
- Establish mission report standard whereby all staff members engaged in fund raising incorporate in their mission reports a donor update according to a given model. This information will be made available to the RMU such that approval of future travel requests by those staff members will be conditional upon compliance to the protocol (Q2, 2008).
- Institute PRC protocol whereby substantive officers submit to the PRC and RMU a two-page brief on prospective funding proposals before the full proposal is submitted to the PRC, thus facilitating information flows and feedback (Q2, 2008). A checklist shall be provided to ease the PRC work, including: MTSIP compliance, cross-cutting issues (gender etc.), legal aspects/MOU etc.
- Institute Peer Review Mechanism for proposals to donors based on category, type and thresholds (<500,000, <5,000,000, <$10,000,000), with a view to widen ownership and enhance management, rather than burden fund raising efforts (Q2, 2008).
- Institute joint RMU/M&E/Information/Media reporting mechanism such that reports on activities from field operations and headquarter programs provide inputs at once to M&E for Work Program and Budget, to RMU for updating fact sheets/donor kits, to Information for website updating, and to Media as raw material for outreach with journalists (Q2, 2008).
- Develop, in collaboration with ISS, “press-kit” format information papers to promote projects in specific focus areas including: slum upgrading; housing finance; water, sanitation and infrastructure; urban management and governance; shelter and sustainable human settlements development; disaster, post-conflict and safety (Q2/Q3, 2008).

5.1.3 - Donor Management and Stewardship

a) Principles:
A donor management system shall be established, which should function upon a donors relations protocol emanating from the Executive Office (see above). This shall be adhered to by each Division within the Organization and inform the stewardship functions of the RMU.

b) Actions:
- Assist in the organization of Donors Consultations as appropriate.
- Provide “whole-cycle” stewardship of donor relations whereby RMU acts as a donor interface to ensure top-ten donors initially and all donors in due course, receive timely progress reports and are apprised of key developments of the organization. This includes preparation of both individual and multi-donor consultations (Q2 & Q3, 2008). Stewardship elements shall comprise of: monitoring contact with donors; donor/partner consultation; reporting schedule; story telling.
- Build “Donors’ Baseline” profiles in the form of a database of conventional, non-conventional and perspective donors including the identification of their preferred thematic and geopolitical areas of funding, based on existing PSD donor data-base. (Q1, 2008).
- Study the identified donors’ operational strategies and their funding track-record (Q1/Q2 2008).
- Maintain a complete up to date donor information centre, in the form of a database to be updated on regular basis (from Q2, 2008).
- Prepare UN-HABITAT data-base fact sheets and Donors’ Kits for the top 10 government contributors, building on the work done in preparation for the 2007 Oslo meeting in collaboration with donor Focal Points (Q2, 2008).
- Donors’ Kits for all donors shall be developed (Q4, 2008). Donors’ Kits shall include the following: core contributions status; projects funded by the same donor, including their history, donor policy, fiscal cycle, competition, etc.
- Tracking submission of proposals submission and monitor response/contribution history (from Q3, 2008).
- Through a systematic tracking system, keep the donors informed of progress made through result oriented regular reporting, to prove effectiveness and enhance the Organization’s credibility, in cooperation with MRD and M&E (from Q3, 2008).
- Disseminate information to donors on pro-poor fund raising initiatives in connection with the attainment of the MDGs and the MTSIP (Q3, 2008).
- Set up a fundraising system designed to raise funds on ad-hoc basis in case of particular events, particularly natural or human-made disasters, in close cooperation with the Disaster, Post-conflict and Safety Section (Q4, 2008).

5.1.4 - Funding Systems Assessment

a) Principles:
In close cooperation with PSD, study in detail as part of the donor data base the present sources and ongoing systems of fundraising/income generation within the Organization, (Q1, 2008).

b) Actions:
- Distinguish between constant and episodic financial support and set systems to ensure and seek continuing support as appropriate.
- Distinguish between non-earmarked and earmarked source of funding
- Distinguish between non-ad hoc and ad hoc funding.
- Analyse the resource management methods and contribute to their improvement wherever necessary.

5.1.5 - Marketing elements
A market analysis review shall be initiated upon complete set up of the RMU (Q4, 2008) and kept updated overtime.

a) Principles:
Donors, both conventional and non-conventional, that have an interest in funding initiatives in the urban sector are the Agency’s preferential targets.

b) Actions:
- In close collaboration with concerned Focal Points, identify the most suitable strategies to engage with the above.
  These include:
  - Conventional Donors;
  - Non-conventional Donors;
  - Other UN Organizations;
  - Foundations;
  - Private sector (corporations, individuals);
  - Civil Society;
  - System events (when an emergency occurs);
  - Etc…
- Build a “Pipeline Projects” database to match with the above designed to provide the tools to make quick and well informed decisions over bankable projects. Keep the same updated overtime.

5.1.6 - Measurable Impact Strategy

a) Principles:
In order to enhance credibility, narrative reports focusing on the power of facts, numbers and statistics will be produced to help raise awareness of the issues and of the agency’s unique position to address them. Result-based reporting is therefore an essential part of the resource mobilisation strategy and the RMU will work closely with substantive divisions, MRD and M&E to help prepare such reporting.

b) Actions:
In this endeavour, RMU should assist, the concerned departments, (Q4, 2008) to:
- Put in place a measurable impact strategy in close cooperation with MRD and M&E to keep donors and the public informed about results attained, as part of the reporting system to donors.
- Review what regularly produced publications may serve this purpose in collaboration with the concerned departments;
- Review what events (WUF, WHD ect…) may be used or ad-hoc centred in the same connection;
- Assist ISS in determining what new publications/information products should be produced to promote the Agency in the same direction.
5.1.7 - Fundraising Implementation

a) Principles:
The RMU is expected to start operating at the beginning of the 1st quarter of 2008 and reach its full operational capacity within the 4th quarter of 2008. This will be achieved through a prioritised step by step approach.

b) Actions:
Priority should be given to:
- Regular meetings with donors, in order to consolidate and broaden the donor base.
- Regular meetings with partners.
- New selected forms of advert.
- Dissemination of inputs from Regional Offices (the link to the Regional Offices takes place through the departmental Focal Points and has to be made clear and agreed upon with the concerned Division) and Headquarters Office, in order to tapping non-conventional sources of funding.

6. Work-plan and Budget
An yearly work-plan shall inform and guide the RMU activities. The first one, enclosed, shall be reviewed after WUF IV. An evaluation of the RMU operations and a revision of the work-plan and budget for the following year shall be carried out (Q4, 2008). Further revisions shall take place on a yearly basis.