

SLoCaT Partnership Work Program 2015-2016

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List of Abbreviations

ADP Ad Hoc Working Group on the Durban Platform for Enhanced Action

COP Conference of Parties

EST Environmentally Sustainable Transport

GIZ Deutsche Gesellschaft für Internationale Zusammenarbeit

INDC Intended Nationally Determined Contributions

ITF International Transport Forum

NAMA Nationally Appropriate Mitigation Actions

ODA Official Development Assistance

OECD Organisation for Economic Co-operation and Development OWG-SDGs Open Working Group on Sustainable Development Goals

SDG Sustainable Development Goals

SG Secretary General

SLoCaT Partnership on Sustainable Low Carbon Transport

UN United Nations

UNEP United Nations Environment Programme

UNESCAP United Nations Economic and Social Commission for Asia and the Pacific

UNFCCC United Nations Framework Convention on Climate Change

UN-HABITAT United Nations Human Settlements Programme

Introduction

The 2015-2016 Work Program is developed for discussion and endorsement by the SLoCaT Partnership Annual Meeting on January 12th 2015 in Washington DC. Earlier drafts of the document were circulated for comments to the members of the SLoCaT Partnership and the Board of the SLoCaT Foundation. Following the discussion and endorsement of the 2015-2016 Work Program, the Board of the SLoCaT Foundation will adopt latest by May 2015 a budget and business plan to support its implementation. Prior to the final adoption by the Board of the SLoCaT Foundation there will be one last consultation round with the members of the SLoCaT Partnership (either in writing or through a conference call with interested members).

SLoCaT Partnership focus in 2015-2016

Consolidate and deepen global consensus on sustainable, low carbon transport. The SLoCaT Partnership has been agenda setting through the development of the Results Framework on Sustainable Transport, which brings together the developmental side of sustainable transport through proposed targets on improved rural, urban and national access/regional connectivity, and the sustainability agenda of SLoCaT through proposed targets on road safety, air pollution and human health; and climate change. There is a continued need and scope to ensure that global policies on sustainable development and climate change reflect the specific contribution of the transport sector.

Promote convergence between the infrastructure and sustainability agendas. There is increased global and regional attention for the need to develop and maintain infrastructure, including transport infrastructure, in support of economic development, poverty alleviation and social development. This translates into new global, regional and national infrastructure facilities and initiatives. The SLoCaT Partnership sees a need for convergence of the infrastructure development agenda and the sustainability agenda.

Translate global consensus to national- and local-level action. For the past five years, the SLoCaT Partnership has focused on demonstrating the need for sustainable, low carbon transport; developing a consensus on the definition of sustainable transport as well as its associated global 2030 targets; and facilitating the development of large scale voluntary transport commitments on <u>sustainable development</u> and <u>climate change</u>. To foster on-theground impacts; it is important that the proposed global targets (as well as the voluntary commitments on sustainable, low carbon transport) are translated into national- and local-level policies and action. This will require amongst others a greater emphasis on country involvement (especially from the global South) in the activities of the SLoCaT Partnership as well as on developing enabling funding and financing arrangements in support of rapid scaling up of sustainable, low carbon transport.

Build SLoCaT's capacity to serve the sustainable, low carbon transport community. In August 2014, the SLoCaT Foundation was established with the sole objective to support the SLoCaT Partnership in realizing its objectives. Organizational processes and capacity are now being strengthened to operationalize the SLoCaT Foundation.

The activities of the SLoCaT Partnership in 2015 will continue to be guided by its mandate of promoting sustainable, low carbon transport in global policies on sustainable development and

climate change. The global focus has proven to be effective in differentiating the activities of the SLoCaT Partnership and its Secretariat from those of its members.

By the end of 2015 the global community will have hopefully agreed on a set of Sustainable Development Goals and a new global climate change agreement. Also, the Financing for Development Conference in July 2015 will hopefully result in agreement on funding arrangements for sustainable development. Much of the activities of the SLoCaT Partnership will be geared towards these key global processes. It will be important, however, for the SLoCaT Partnership to develop agreement on its medium term role in promoting sustainable, low carbon transport and to consider what organizational structure fits best with such a medium term role.

Global Policy Processes on Sustainable Development and Climate Change Targeted by the SLoCaT Partnership

The mission of the SLoCaT Partnership is to promote the integration of sustainable, low carbon transport in global policies on sustainable development and climate change. For 2015-2016 there are five global processes that will dominate the work of the SLoCaT Partnership.

One of the main outcomes of the Rio+20 Conference was the agreement by member States to launch a process to develop a set of **Sustainable Development Goals (SDGs)**, which will build upon the Millennium Development Goals and converge with the post 2015 development agenda. A special Open Working Group developed 17 proposed SDGs backed up by a range of 2030 targets. In September 2015 a summit of Heads of State will adopt the Sustainable Development Goals (SDGs) at the United Nations in New York. (http://sustainabledevelopment.un.org/?menu=1300).

The third International Conference on Financing for Development will be held on 13-16 July 2015, in Addis Ababa, Ethiopia. The Conference will result in an inter-governmentally negotiated and agreed outcome, which should constitute an important contribution to and support the implementation of the post-2015 development agenda. This conference is therefore an important step towards the operationalization of the transport related targets under the Sustainable Development Goals. (http://www.un.org/esa/ffd/third-conference-ffd/index.htm).

Discussions are underway under the United Nations Framework Convention on Climate Change (UNFCCC) that should result in a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all Parties, which is to be completed no later than 2015. **This new global agreement on climate change** is to be adopted at the twenty-first session of the Conference of the Parties (COP), in December 2015 in Paris and to come into effect and be implemented from 2020. Linked to this is the discussion on **enhancing mitigation ambition pre-2020** and to identify and to explore options for a range of actions that can close the ambition gap by ensuring the highest possible mitigation efforts by all Parties. (http://unfccc.int/bodies/body/6645.php).

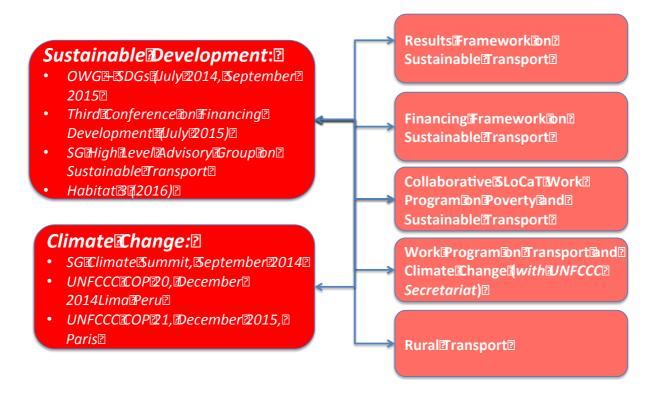
Habitat III is the United Nations Conference on Housing and Sustainable Urban Development, to take place in 2016. The Habitat III Conference, which takes place every 10 years, is to reinvigorate the global commitment to sustainable urbanization, to focus on the implementation of a "New Urban Agenda", building on the Habitat Agenda of Istanbul in 1996. Habitat III will be the first UN global summit after the adoption of the Post-2015 Sustainable Development Agenda and, hopefully, a new climate change agreement. It offers a unique opportunity to discuss the important challenge of how cities, towns and villages are planned and managed, in order to fulfill their role as drivers of sustainable development, and hence shape the implementation of new global development and climate change goals. (http://unhabitat.org/habitat-iii/).

United Nations Secretary-General Ban Ki-moon has set up a **High-level Advisory Group on Sustainable Transport** to provide recommendations on sustainable transport actionable at global, national, local and sector levels. The Advisory Group, established for a period of three years, will work with governments, transport providers (aviation, marine, ferry, rail, road, and urban public transport), businesses, financial institutions, civil society and other stakeholders to promote sustainable transport systems and their integration into development strategies and policies, including climate action.

(http://sustainabledevelopment.un.org/index.php?menu=1843).

5 SLoCaT work streams in 2015-2016

The figure below gives an overview of the key global processes on Sustainable Development and Climate Change and the associated SLoCaT work streams for 2015-2016.



In 2015-2016 the priorities of the SLoCaT Partnership for these 5 work streams are:

Results Framework on Sustainable Transport

The SLoCaT Results Frame on sustainable transport will continue to guide the outreach efforts of the SLoCaT Partnership on sustainable transport in terms of global policies on sustainable development. We intend to focus on:

• Continued advocacy up to September 2015 (when SDGs are to be adopted) to ensure that (a) key focuses on road safety, urban transport and energy efficiency in transport are maintained as part of the proposed SDGs; (b) to continue emphasizing

the need for a (stronger) rural transport related target; and (c)the need to develop sustainable transport services to complement infrastructure development; (See http://www.slocat.net/sites/default/files/slocatfiles/000slocat_assessment_of_final_owg-sdg_document-july_19-_final.pdf for an assessment of the integration of transport in the SDGs proposed by the Open Working Group).

- Promote the adoption of appropriate indicators for sustainable transport related targets under relevant SDGs;
- Promote the adoption of the Results Framework as part of SLoCaT members monitoring and reporting frameworks on sustainable transport;
- Initiate work, preferably linked to reporting mechanisms on SDGs, on reporting on the targets and indicators of the SLoCaT Results Framework on Sustainable Transport, which is expected to culminate in a Status Report on Sustainable Transport in 2016 (based on SLoCaT Results Framework targets and indicators). (This could be possibly linked to the Global Transport Outlook Report, which is being prepared under the auspices of the Secretary General's High Level Advisory Group on Sustainable Transport (http://sustainabledevelopment.un.org/index.php?menu=1843)

Financing Framework for Sustainable Transport

Funding and financing of sustainable transport is a key element in scaling up sustainable, low carbon transport. This work stream will build on current efforts of the SLoCaT Partnership on funding and financing of sustainable transport. Funding and financing of Sustainable Transport is an area in which many of the members of the SLoCaT Partnership are actively engaged and we aim to build on these activities, rather than duplicating these. The SLoCaT Partnership will strengthen linkages to similar initiatives on (sustainable infrastructure) in development agencies and development banks. Areas of focus will be Public Sector, Private Sector, ODA and Climate Finance as funding sources, with special attention on increasing sector readiness to absorb increased funding for sustainable, low carbon transport. To accomplish this the SLoCaT Partnership will:

- Continue to facilitate the International Expert Group on Climate Finance for Sustainable Transport initiated by the GIZ TRANSfer project;²
- Maintain and further develop relevant databases on the funding and financing of sustainable, low carbon transport;
- Finalize the financing framework on sustainable transport, which will subsequently be used to promote the better integration of a transport sector perspective in global processes on sustainable development and climate change.

Collaborative Work Program on Sustainable Transport and Poverty

The SLoCaT Partnership will follow up on its current efforts on sustainable transport and poverty (see: http://www.slocat.net/poverty-and-transport) by:

- Tracking progress in addressing poverty through sustainable transport among members of the SLoCaT Partnership;
- Raising awareness raising on the importance of the topic; and

¹http://slocat.net/sites/default/files/u10/draft policy brief - for cop20 dissemination 0.pdf and http://slocat.net/sites/default/files/uncrd - est 8 background paper - final - 19 december 2014.pdf

²http://transport-namas.org/expertgroup/expert-group-on-climate-finance-for-sustainable-transport/

• Sharing of knowledge and information on projects, assessment tools, capacity building programs, targeting mechanisms.

Work Program on Transport and Climate Change

Work on Transport and Climate Change is likely to dominate activities of the SLoCaT Partnership in the period July-December 2015; this in support of COP 21 in December 2015, which is expected to be a key milestone in global efforts to address climate change. The efforts of the SLoCaT Partnership will focus on the UNFCCC process but will also continue to highlight the transport related commitments made at the Secretary General's Climate Summit in September 2014. Key activities will include:

UNFCCC Process:

- Demonstrate the mitigation potential of the transport sector in the UNFCCC process. This would entail contributing to the Updated compilation of information on the mitigation benefits of actions, initiatives and options to enhance mitigation ambition, Technical paper UNFCCC (November 2014)³
- Document the coverage of transport in the INDC (Intended Nationally Determined Contributions) submissions by Annex 1 and non-Annex 1 countries;
- Promote integration of transport perspectives in relevant UNFCCC mechanisms and processes, including Ad Hoc Working Group on the Durban Platform for Enhanced Action (*ADP*); Technology Executive Committee and Climate Technology Center and Network; Financing Committee; and Nationally Appropriate Mitigation Activities;
- Promote integration of sustainable low carbon transport in financial mechanisms under the convention, as well in other related financial mechanisms: Green Climate Fund; Global Environment Facility; Adaptation Fund; Clean Investment and Technology Fund; NAMA Facility;
- Have substantive presence of transport at COP21 in December, 2015 in Paris, through e.g. Train for Paris and Transport Pavilion;

Transport Commitments SG Climate Summit:

- Assist organizations that made transport related commitments under the SG Climate Summit in operationalizing their commitments;
- Communicate the transport related mitigation efforts made under the SG Climate Summit to parties under the UNFCCC;
- Assist in periodic reporting on the transport related mitigation efforts under the SG Climate Summit.

The SLoCaT Partnership has so far focused its climate change oriented activities almost exclusively on mitigation activities. It is suggested that the period January – June 2015 is used to consider whether, and to what extent, the SLoCaT Partnership should also engage in activities focusing on the adaptation of the transport sector to climate change. The outcome of such an assessment will feed into the development of the detailed budget and business plan for the SLoCaT Partnership for July 2015 – June 2016.

Rural Transport

 $^3\,\mbox{See}$ http://unfccc.int/resource/docs/2014/tp/13.pdf

This is a new component in the work of the SLoCaT Partnership. It is expected that this will focus (initially) stronger on the Sustainable Development side of the activities of the SLoCaT Partnership. Through this work stream the SLoCaT Partnership will:

- Continue advocacy on Rural Transport aimed at better integrating sustainable transport in SDG process;
- Strengthen the global Rural Transport Community through setting up and implementation of a global Dialogue process on Rural Transport bringing together global and regional stakeholders on rural development and rural transport;
- Detail indicators on Rural Transport and their reporting mechanisms as inputs for the 2016 SLoCaT report on status of sustainable transport;-
- Contribute to SLoCaT Financing Framework on Sustainable Transport

Linkages SLoCaT Work Streams and Global Processes targeted by the SLoCaT Partnership

The figure below shows the linkages between the five substantive components of the SLoCaT work program and their relationship with the 5-targeted global processes by the SLoCaT Partnership.

| SLoCaT Workstream Global Processes | Results Framework | Financing Framework | Sustainable Transport and Poverty | Transport and Climate Change | Rural Transport |
|---|----------------------|------------------------|---|------------------------------------|--------------------|
| SDG Process | | | | | |
| Financing for Development Conference 2015 | | | | | |
| Habitat III Conference 2016 | | | | | |
| Global 2015 Climate Change Agreement | | | | | |
| SG High Level Advisory Group | | | | | |

| High | Medium | Low |
|----------|----------|----------|
| Priority | Priority | Priority |

Moving beyond a focus on global processes towards building national support for sustainable, low carbon transport?

Over the past 5 years the SLoCaT Partnership has had a very clear focus on global processes on sustainable development and climate change and has largely ruled out involvement in national level activities on sustainable, low carbon transport. Now that the global discussion on sustainable transport is shifting from defining sustainable transport towards the implementation of sustainable transport there is an increase in calls for the SLoCaT Partnership to have a stronger focus on fostering national level support for the integration of sustainable, low carbon transport in global policies on sustainable development and climate change.

Pursuing such increased national level activities in support of the integration of sustainable, low carbon transport in global policies on sustainable development and climate change could have profound implications for the SLoCaT Partnership Secretariat depending on the manner in which it would engage itself in such national level activities.

Apart from the implications for the required organizational capacity of the SLoCaT Partnership there is also the issue of potential overlap with activities of members of the SLoCaT Partnership, some of whom are also directly working with national governments on policies related to transport, sustainable development and climate change.

It appears that there are two possible ways forward to build up stronger country support for the integration of sustainable transport in global policies on sustainable development and climate change. These are:

- a) Make more effective use of existing regional intergovernmental processes on transport. This includes for example: the regional Environmentally Sustainable Transport Forum in Asia (hosted by the United National Center for Regional Development); the Asian Transport Ministers Forum (facilitated by UN-ESCAP); the International Transport Forum (consisting of transport ministers of OECD and selected larger non OECD countries, facilitated by ITF); the African Sustainable Transport Forum (hosted by the African Union with Secretariat provided by UNEP and UN-Habitat), this in addition to a range of other similar forums and networks;
- b) Establish a 'caucus' of countries that has a shared interest in sustainable, low carbon transport and who are willing to be recognized as such at the international level. Ideally this would be a group of 6-10 countries, with a strong national level track record on sustainable transport. (This would fit in well with the Friends of Sustainable Transport Group that is being convened under the leadership of the Netherlands Mission to the UN).

These two options are not necessarily mutually exclusive and could be implemented side by side. Considering that this will be a shift in the type of activities by the SLoCaT Partnership (albeit one that has flagged by several members as being important) it is appropriate that the members of the SLoCaT Partnership give a clear signal on the direction it wants the Partnership to pursue. This will enable the SLoCaT Secretariat to incorporate the outcome of such guidance in its detailed July 2015 – June 2016 work program and budget.

Building the organization

The SLoCaT Partnership, and especially the SLoCaT Foundation (established in August 2014) is a relatively young organization and additional efforts are required to ensure its organizational effectiveness.

Governance

Further articulate the relationship between the SLoCaT Partnership and the SLoCaT Foundation. This will include the activation of the Impartiality Committee that is part of the SLoCaT governance structure and which oversees the multi-stakeholder character of the SLoCaT Partnership and Foundation.

Clarify the membership status of members of the SLoCaT partnership that have not confirmed their status (paying support fee – request waiver).

Put emphasis on developing appropriate administrative and financial structures and procedures are put in place for the SLoCaT Foundation that are in line with the size and scope of the organization.

Secretariat

The vision underlying the establishment of the SLoCaT Foundation is one that provides for a small but highly professional and efficient secretariat with active involvement of, and delegation of tasks to, members of the SLoCaT Partnership. In line with this vision the core staff of the SLoCaT Foundation will remain limited to 5 or 6 persons (assisted by part-time consultants where needed), who all will continue to be engaged on a consultancy basis so that flexibility will be ensured. Staff of the Foundation will: (a) conduct outreach and build strong engagement of SLoCaT Partnership members; (b) take a lead role in the implementation of the 5 SLoCaT workstreams.

Outreach

Part of the effectiveness of an advocacy organization like SLoCaT is the quality and intensity of outreach activities. SLoCaT will need to enhance outreach efforts and better explore the potential of social media. If sufficient resources can be identified this could also include a comprehensive redesign of the website of the SLoCaT Partnership (the current structure has been largely in place since the start of the SLoCaT Partnership in 2009).

Building Partnerships

As indicated the SLoCaT Partnership will continue to have a small Secretariat. It is important therefore to have effective partnerships with other global and regional initiatives on sustainable transport. This includes regionally focused initiatives like the Asian EST Forum and the African Sustainable Transport Forum. As indicated this is a good way to build up more country support for sustainable transport in the global agendas on sustainable development and climate change. In addition, the SLoCaT Partnership also needs to work increasingly well together with thematic groupings on e.g. road safety, air pollution, green freight or fuel economy.

The SLoCaT Partnership will in 2015 continue to partner with the Bridging the Gap Initiative on activities on transport and climate change, especially those aimed at the UNFCCC process. However, as the Bridging the Gap initiative is expected to end its activities following COP21 in

December 2015 it is expected that the SLoCaT Partnership will gradually take over the lead within joint activities with the Bridging the Gap initiative during 2015 as to ensure the sustainability of these activities on transport and climate change.

Budget

In 2014 the SLoCaT Foundation is operating with a budget of about \$450,000. It is expected that for 2015 the budget will go up to \$600,000 as was foreseen at the time of the establishment of the SLoCaT Foundation.

In line with the funding philosophy that underpins the SLoCaT Foundation, fundraising will be driven by the idea of having a range of funders, to avoid financial dependence on a few funders as well as possible mission capture associated with a funding structure dominated by a few funders.

The financial planning for the SLoCaT Partnership in 2015-2016 will:

- Aim to increase the number of organizations that pay annual support fee as part of their membership of the SLoCaT Partnership⁴. Support fees from members of the SLoCaT Partnership will remain however limited (less than 2%) part of the expected 2015-2016 budget;
- Increase the unrestricted support fees from supporters of the SLoCaT Foundation to about: 10-15% of the expected 2015-2016 budget;
- Increase the number of program/project based contributions from supporters of the SLoCaT Foundation: (about 85-95% of expected 2015-2016 budget) that are willing to make multi-year contributions.

SLoCaT will continue to structure its fund raising around the five main work streams outlined in this document. Experience in 2014 indicates that there is willingness among donors to adopt a programmatic structure whereby funding is associated with one or more work streams.

Risk Assessment

It is important to consider the risks that the SLoCaT Partnership is exposed to and to manage such risks as best as possible. Currently the following risks (and their possible mitigation strategies) are flagged for the attention of the members of the SLoCaT Partnership.

Short term priorities versus medium term vision

Much of the attention in the development of the SLoCaT Partnership (and linked to that the SLoCaT Foundation) has been on the 2015 focused global policy processes on sustainable development and climate change. While there is resonance for the message that SLoCaT

⁴The annual support fee for members of the SLoCaT Partnership as well as the unrestricted support fees for the supporters of the SLoCaT Foundation will follow the SLoCaT financial year. This means that the next round of contributions will be for the financial year 2015-2016. This will require a change in the By-Laws of the SLoCaT Foundation.

provides a much needed global voice on sustainable transport there has not yet been a clear discussion on what the detailed role of the SLoCaT Partnership could/should be in the post 2015 period and how this would affect the structure, size and mandate of the organization? There are different plausible scenarios that could apply for the future of the SLoCaT Partnership and failing to create clarity can result in different groupings having their own, possibly conflicting, expectations on what SLoCaT will be post 2015.

It will be important to document the different possible roles for the SLoCaT Partnership in the post-2015 period and have an open and participatory dialog with stakeholders within and outside the SLoCaT Partnership on these possible roles. Following an initial review by the Board of the SLoCaT Foundation this will be an important input to the 2016-2017 Work Program for the SLoCaT Partnership, which will be discussed during the annual meeting of the SLoCaT Partnership in January 2016.

Mission/Objectives Creep

Linked to the discussion on short-term priorities and medium term vision is the risk of Mission/Objectives Creep, which can be defined as a gradual shift in objectives during the course of a (military) campaign, often resulting in an unplanned long-term commitment. An organization like the SLoCaT Partnership is confronted with multiple requests or suggestions for activities that are useful for the promotion of sustainable transport. Taken together they can however take the organization in new, unplanned directions. The risk for Mission Creep is considerable for small organizations like the SLoCaT Partnership. It can be difficult in some cases for staff in the SLoCaT Secretariat to reject certain activities especially if they provide short-term financial gain or relief to the organization.

There are three lines of defense against Mission Creep in the SLoCaT Partnership:

- The mandate of the SLoCaT Partnership and Foundation, which limit the activities to promote the integration of sustainable transport in **global** policies on sustainable development and climate change;
- The organization of the activities of the SLoCaT Partnership in 5 work streams and the need for each of new projects to directly fit in/contribute towards one or more of these work streams:
- The requirement that the Board of the SLoCaT Foundation needs to approve all projects with a value above US\$ 25,000, which gives the Board responsibility as well in preventing Mission Creep.

Organizational Sustainability

The SLoCaT Partnership (and Foundation) has developed in an organic manner since 2009 whereby the current organizational arrangements (location SLoCaT Secretariat in Shanghai and staffing of SLoCaT Secretariat – i.e. Secretary General) have been shaped by this. These, ad-hoc, arrangements can threaten the organizational sustainability of the SLoCaT Partnership. Shanghai as the location of the SLoCaT Secretariat is most likely a temporary one. It is important to consider what steps would be involved in case the location of the Secretariat would need to be changed, together with the Secretary General of the Partnership.

There are different options with respect to the future organizational arrangements for the SLoCaT Partnership. Most likely would be that a change in leadership of the organization would also result in a change of location of the Secretariat. Such a change in location could result in either a stand-alone office for the SLoCaT Partnership in a new location, or the relocated SLoCaT Secretariat could be hosted by another organization (SLoCaT Partnership member or not).

No major changes are expected in 2015 in the organizational arrangements for and leadership of the SLoCaT Partnership. It is suggested to be able to manage such changes properly these should be announced at least one year ahead of time. In the meantime it would be useful to give some thought to what organizational arrangements would fit best with the future role of the SLoCaT Partnership in the post-2015 period.

Financial Vulnerability

The financing of the SLoCaT Partnership is based on the following principles:

- Avoid financial dependence on small number of large funders. This has resulted in an unwritten rule that one funder should not contribute more than 20% of the annual budget of the SLoCaT Partnership;
- Aim for multi- year commitments. This helps to create financial predictability and stability;
- Only accept financial support that is unrestricted (preferred) or is tied on with one or more of the 5 work streams of the SLoCaT Partnership as to avoid undue reporting requirements towards individual funders;
- Encourage members of the SLoCaT Partnership to show financial solidarity by paying an annual support fee.

While all four principles are being followed the SLoCaT Partnership is still quite vulnerable financially and there is a continued risk that the activities of the SLoCaT Partnership, while being welcomed as being productive by all, are not financially sustainable. This makes the financial sustainability a topic of continued attention for the Board of the SLoCaT Foundation and of the members of the SLoCaT Partnership.