



FCA Strategic Priorities 2007 - 2010



Framework Convention Alliance
Rue Henri-Christiné 5
Case Postale 567
CH-1211
Geneva, SWITZERLAND

e-mail: fca@fctc.org
www.fctc.org



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**Framework Convention Alliance
Rue Henri-Christiné 5
Case Postale 567
CH-1211
GENEVA, Switzerland**

Phone: 1 202 659 43 10 (US Office)
e-mail: FCA@globalink.org





Framework Convention Alliance
Rue Henri-Christiné 5
Case Postale 567
CH-1211
GENEVA, Switzerland

Phone: 1 202 659 43 10 (US Based)
e-mail: FCA@globalink.org

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The FCA would sincerely like to thank everyone who has contributed to its strategic planning process. We thank you for your support and commitment.

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Executive Summary

Overview

This strategic plan has been devised to maintain a balance between growth needed to effectively carry out the mission of the organisation and the organisational ethos that has underpinned its success.

The FCA is now preparing for the next phase of its work. To help it do this the FCA has evaluated stakeholder and client perception of itself and has completed a three year operations plan and budget.

Summary of Achievement

The FCA's achievements include:

- Positively influencing the negotiations on the Framework Convention on Tobacco Control (FCTC).
- Ensuring the presence of developing country NGOs at the FCTC negotiations.
- Helping obtain the signatures of 168 countries and playing a key role in getting a substantial number to ratify in record time.
- Conducting strategic planning and advocacy workshops to support members' FCTC ratification and implementation campaigns.
- Providing financial and technical resources to members in support of their ratification and implementation campaigns.
- Creating a monitoring and reporting tool to hold governments accountable for their commitments under the FCTC.

Outline of Strategic Priorities and Objectives

The strategic planning process has helped crystallize a number of key strategic priorities and objectives to ensure that FCA can continue to effectively support and assist with the monitoring and implementation of the FCTC.

The FCA's four strategic priorities over the next three years will be to:

- Support and monitor implementation of FCTC.
- Develop local capacity to help ensure effective implementation of the FCTC at the regional, sub regional and country level.
- Increase FCA organisational capacity to enable it to meet its strategic objectives.
- Enhance FCA revenue generation and dissemination.

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The FCA will have successfully implemented its 2007-2010 strategic plan if the following has been achieved:

1. 90% (174) of all WHO member states have become Parties to the FCTC by 2010.
2. 75% of all countries which have become Parties to the FCTC have implemented a comprehensive ban on tobacco advertising, promotion and sponsorship or, in the case of constitutional limitations, applied restrictions by 2010.
3. COP 2 will have adopted an effective and evidence-based guideline on Article 8 (protection from secondhand smoke).
4. 90% of all countries which have become Parties to the FCTC have taken measures to protect their citizens from involuntary exposure to tobacco smoke by 2010.
5. 90% of all countries which have become Parties to the FCTC have implemented tax policies to reduce tobacco consumption by 2010.
6. All parties have conformed to their obligations to put health warnings on packets within 3 years of the FCTC's entry into force for that party. 50% of all Parties to the FCTC have implemented measures requiring that large, pictorial health warnings covering 50% or more of the principal display areas are displayed on all tobacco products by 2010.
7. The template for the illicit trade protocol is adopted at the second Conference of the Parties and it is agreed that the development of the protocol should commence forthwith.
8. An evidence-based comprehensive illicit trade protocol including tracking and tracing, licensing of the supply chain with strict compliance and anti-money laundering requirements; enforcement measures and legally enforceable sanctions is adopted by COP 4.
9. All Parties conform to the requirements of Article 21 in reporting to the COP on their implementation of the FCTC.
10. The FCA will have recruited an additional 100 NGOs in target countries by December 2008.

Introduction

The Framework Convention Alliance (FCA) was founded in 1999 and is now made up of more than 250 organisations from more than 100 countries working on the development, ratification, and implementation of the international treaty, the Framework Convention on Tobacco Control (FCTC). The FCTC is the world's first public health treaty, and requires parties to adopt a comprehensive range of measures designed to reduce the devastating health and economic impacts of tobacco.¹

The treaty requires ratifying countries to:

- Enact comprehensive bans on tobacco advertising, promotion and sponsorship.
- Place rotating health warnings on tobacco packaging that cover at least 30 percent of the principal display areas and includes pictures or pictograms.
- Ban the use of misleading and deceptive terms such as "light" "low-tar" and "mild".
- Protect citizens from exposure to tobacco smoke in workplaces, public transport and indoor public places.
- Combat smuggling, including by placing tracking and tracing markings on packs.
- Increase tobacco taxes.

The FCA vision is a world free of death and disease caused by tobacco. Its mission is to carry out effectively the watchdog function for the WHO FCTC; to develop tobacco control capacity, particularly in developing countries to support the ratification, accession, implementation and monitoring of the FCTC; and to promote and support a network for global tobacco control campaigning.

FCA provides coordination and partnering support; lobbying and background documents; and training to non-governmental organisations (NGOs) to assist the FCTC ratification, implementation and monitoring.

The FCTC entered into force in February 2005 and was signed by 168 of the 192 WHO member states and is now ratified by 141. Momentum must be maintained by assisting and monitoring governments' ratification activities; ensuring effective tobacco control legislation and policy; and monitoring and reporting on the implementation of the treaty.

¹ <http://fctc.org/treaty/index.php#fctc> – What is the FCTC? (FCA website)

Strategic Planning Process

Summary of Process to Date

In 2006, FCA engaged JPA (a UK based consultancy) to help design a strategic planning process. Below is an outline of the major steps in the process to date:

- February 2006, COP1 (Geneva) Meeting of the Board to discuss and approve strategic planning process.
- March to May 2006, online survey of 300 stakeholders conducted in 4 languages on key perceptions of the organisation's effectiveness, direction, sustainability and efficacy.
- June 2006, Face to face and telephone interviews conducted with 47 key stakeholders to obtain their sense of the strengths and weaknesses of the organisation and issues that the FCA should face over the next few years.
- August 2006, World Conference on Tobacco and Health Washington: Meeting of the Board to consider survey and interview results and discuss draft strategic priorities and objectives.
- November 2006 finalisation of strategic implementation plan.
- January 2007 completion of the Operational Plan and supporting Budget.

Mission Vision and Values

Vision

The FCA vision is a world free from the death and disease caused by tobacco.

Mission

The FCA mission is to carry out effectively the watchdog function for the WHO FCTC; to develop tobacco control capacity, particularly in developing countries to support the ratification, accession, implementation and monitoring of the FCTC; and to promote and support a network for global tobacco control campaigning.

Internal Context - Values

The FCA:

- Is democratic, responsive to the needs of the organisations, members and stakeholders involved with FCA.
- Is a consensus-based organization where everybody's opinion is valued.
- Is an alliance, not an individual organisation; members have a sense of ownership over the alliance by contributing time and effort.
- Offers free membership.
- Ensures the presence of civil society from both high and low income countries at all FCTC-related meetings.
- Is internationally diverse and representative of all WHO regions.
- Strives for unity, cooperation and trust between FCA members through collaborating on a common goal.
- Is willing to take risks and raise the bar in the FCTC process.
- Values transparency and inclusiveness.
- Continually seeks ways to improve.

Situation Analysis

FCA used Strengths, Challenges and Opportunities (SCO) analysis in the initial stages of the strategic planning process. Building on the face-to-face interviews and the survey, this exercise involved the Board and staff.

SCO Analysis (Strengths, Challenges and Opportunities)

Strengths

The FCA:

1. Has a successful track record as an effective organisation making a major contribution to the development, ratification and implementation of the Framework Convention on Tobacco Control.
2. Is culturally and linguistically diverse and gender balanced.
3. Is quick to react, with the ability to adapt to changing circumstances and challenges
4. Has a strong, talented, competent volunteer and staff team using consensus based leadership and decision making processes.
5. Has a targeted organisational focus on defined outcomes
6. Is democratic with all members given the opportunity to voice their opinions
7. Has successful advocates.
8. Has high visibility and genuine credibility with Governments and the WHO.
9. Has a strong commitment to the cause with a broad range of expertise.
10. Has strong name recognition within Tobacco Control.
11. Acts with professionalism and integrity.
12. Is cost effective and prudent with expenditure.

Challenges

The FCA:

1. Has a lack of infrastructure and paid staff, with insufficient formal decision making processes.
2. Is overly reliant on the Board to undertake operational roles.
3. Has difficulty delegating work due to its informal structure and current organisational capacity.
4. Has difficulties with international communications due to technological differences, language barriers and time differences.
5. Needs to increase membership in certain countries.
6. Requires a risk management assessment and mitigation process for both internal and external risks.

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7. Has some financial insecurity within its membership due to donor dependence and the funding environment.
8. Could suffer a loss of commitment from members, NGOs, WHO and Government if momentum and growth are not maintained and managed effectively.
9. Faces potential infiltration from the Tobacco Industry.
10. Needs to adapt its structure to maintain and increase its effectiveness as it grows in size.

Opportunities

The FCA can:

1. Impact on the definition and implementation of the FCTC.
2. Build capacity of the membership and increase national level membership.
3. Increase the effectiveness of its shadow reporting function.
4. Influence trade agreements so that they do not undermine tobacco control.
5. Develop global media campaigns.
6. Maintain and even increase current funding levels
7. Strengthen its regional presence.
8. Share expertise with other international movements.

Survey and Interview Results and Analysis²

Results from the survey and one on one interviews showed that the FCA is highly thought of. Eighty-three per cent of respondents to the online survey indicated that they believe FCA makes a 'very good' or 'excellent' contribution to tobacco control efforts. Respondents were given the option to state that the FCA makes a 'very poor' or 'poor' contribution and no participant selected these options. Ninety-two percent saw their membership in FCA as either 'somewhat useful or 'very useful', only 1 respondent out of 102 felt that FCA membership was 'not useful'. The online survey results show that stakeholders think that the strengths of FCA are that, amongst other things, it is an effective and efficient organisation that is independent and inclusive and successfully disseminates information on a global level.

The one to one interviews agreed with the results of the online survey. Interviewees felt that the range of information provided by the FCA was helpful and it is successful at mobilising effective lobbying. Interviewees were asked to comment on FCA's strengths: as well as mentioning its global reach and effective management of information, its members were viewed as professional, the

² Framework Convention Alliance Strategic Planning Survey Analysis and Report (June 2006) prepared by JPA is available upon request.

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organisation has credibility with funders and its structure is flexible enough to enable rapid decision making.

Online survey respondents were asked to list some of FCA's weaknesses. This was a free text response question - respondents were asked to list the top three weaknesses. 169 specific answers were given. For analysis purposes, the answers were grouped into broad areas of concern. The three most frequently cited issues were based on organisational strategy and development, communication and financing. Specifically, respondents noted that the FCA undertakes most of its communication electronically, that it suffers from a lack of funding and that, as an organisation, membership is fairly loose. Respondents reported that there is a need to build capacity to achieve its objectives and to improve communications with members and that it is facing the challenge of adapting its structure to be effective as it grows in size.

Broadly, the one to one interviews highlighted similar areas of concern to the online results. As well as mentioning lack of staff capacity and funding, interviewees noted that the FCA has been growing rapidly and to be successful it needs to have clear strategic objectives, particularly as it is entering a new phase of development.

It is reasonable to suggest that the comments about weaknesses are commensurate to an organisation that has limited funds and is trying to have a global reach. Electronic communication is much more cost effective than dissemination of hard copies, for example, and insufficient numbers of staff is usually also connected to under-funding. FCA faces the challenge of communicating effectively in multiple languages to various cultures and within countries at different stages of development. This is a complex issue for any organisation, not just FCA. However, to maintain its current level of success, FCA must incorporate these challenges into its planning.

Achievements

It is nearly impossible to list all the FCA's achievements, but some key ones are listed below:

- Positively influenced the final outcome of the WHO Framework Convention for Tobacco Control (FCTC) treaty.
- Helped convince numerous countries to sign and ratify the treaty.
- Actively influenced the Conference of the Parties (COP) process, securing an increased role for civil society.
- Enhanced the ability of FCA members to actively influence FCTC protocols and implementation guidelines.
- Ensured the presence of NGOs from across the world at all FCTC-related meetings.
- Provided grants to enable participants from low income countries to be actively involved in all FCTC activities.
- Created an organisation that is founded on the principles of diversity, gender balance and equality and has worked successfully within this ethos.
- Developed an organisation that has been (and continues to be) largely run by volunteers, who display enormous commitment to tobacco control and the FCA, sometimes at great personal/financial sacrifice.
- Delivered highly respected position papers, news bulletins and other advocacy material.
- Successfully kept civil society, government officials and the media fully informed about the FCTC process.
- Created and funded a process that enabled the FCA to move from being a loose coalition of existing NGOs into a legally structured entity that comprises organisations from over 100 countries.
- Developed strong working relationships with Governments and established an official relationship with WHO, as well as achieved high levels of credibility with funders.
- Created a successful international organisation that is establishing staff posts around the world and recruiting based on ability, rather than location.
- Received awards recognising its accomplishments.

- Strategic Priorities and Key Objectives

Strategic Priority 1: - Support/Monitor Implementation of FCTC

- **Play a lead role in policy formulation and advocacy for further development of the FCTC**
- **Hold governments accountable to their FCTC obligations. Ensure that countries go beyond the minimum FCTC requirements by adopting, implementing and enforcing effective, evidence based laws and policies**
- **Build regional, sub-regional and national tobacco control capacity by supporting civil society in its efforts to achieve ratification, implementation and monitoring of the FCTC**

Objective 1:

To continue to develop and disseminate high quality policy recommendations and advocacy campaigns for effective, evidence-based further development of the FCTC.

Objective 2:

Carry out a thorough shadow reporting function by ensuring that comprehensive and consistent data is collected from participating countries and assist members with advocacy campaigns to ensure the effective use of the shadow reports.

Objective 3:

Develop and maintain relationships with NGOs, governments and other FCTC stakeholders and provide them with information, support and recommendations, including the preparation and dissemination of briefing papers and fact sheets, on the protocols, guidelines and other issues on the FCTC agenda.

Objective 4:

Develop a campaign strategy and implementation plan that enables local FCA members to advocate effectively on behalf of the FCA's policy positions in advance of FCTC meetings.

Objective 5:

Ensure a diverse range of FCA members attend all FCTC meetings and participate effectively by developing a selection and training process, creating an evaluation system and establishing a fund to finance their participation.

Objective 6:

Monitor WHO, TFI, the COP Secretariat and inter-governmental organisations to ensure effective, ongoing FCTC development and implementation. Also, undertake intelligence gathering to support the development of responses to any tobacco industry initiative intended to undermine the effectiveness of FCTC measures.

Objective 7:

Monitor, disseminate and apply research to enable effective advocacy for the FCTC. Where appropriate, commission research projects to enable further development of and advocacy for the FCTC and its implementation.

Objective 8:

Increase awareness of the FCTC by providing education and capacity building opportunities/events for NGOs and governments.

Objective 9:

Develop a communications strategy to ensure increased focus on the FCTC at the national and international level. Effectively convey the FCA's mission and successes to members and external stakeholders.

Objective 10:

Assist FCTC implementation at the national level, including providing strategic advice to campaigns, helping with the shadow reporting process, enabling collaboration, and monitoring the effectiveness of national campaigning to ensure government accountability.

Strategic Priority 2: Develop Local Capacity at the Regional, Sub Regional and Country Level.

- **Build the capacity in the regions and sub regions to effectively support the ratification, implementation and monitoring of the FCTC**
- **Develop a network of FCA Regional Co-ordinators that can support FCA members' activities in all WHO regions**
- **Provide financial and technical support to regional/national FCA members to enable them to reach their potential to move tobacco control forward in their own countries and regions**

Objective 1:

Strengthen local capacity to enable FCA members to develop campaign plans and generate their own funds to move tobacco control forward in their countries.

Objective 2:

Enable FCA members to share experiences and best practice, for example by facilitating the dissemination of information, enabling access to existing networks within tobacco control and by creating a mechanism for members to easily access advice and share experiences and documentation.

Objective 3:

Create advocacy training programmes that enable members to access quality training that maximises their effectiveness.

Objective 4:

Facilitate the development of FCA members by publicising training and fundraising opportunities and sources of information or documentation that will enable them to carry out national campaigns more effectively.

Objective 5:

Establish a grants programme to be disbursed at the national level. Create a transparent application, reporting and evaluation process that demonstrates to funders that recipients are accountable for carrying out the work they commit to.

Objective 6:

Where possible, enable FCA work to be undertaken in multiple languages as needed by the membership.

Strategic Priority 3: Develop FCA Organisational Capacity.

- **Increase staff to meet the needs of a growing organisation to ensure that it can achieve its potential, whilst not fundamentally changing its ethos**
- **Review governance structure to ensure that it fits the increased staff team but supports diversity, ethos and flexibility of the organisation**
- **Review funding structures to ensure a more efficient and effective FCA**

Objective 1:

Develop a staffing plan with timing for its introduction, designed to enhance the FCA's infrastructure and core staff team to enable it to meet its potential without placing undue amounts of work on individual staff members or over- reliance on single team members.

Objective 2:

Undertake a review of membership, membership criteria, the role of members and associated policy (ies). Within this, develop a member recruitment plan and create coalitions with other groups to ensure that more organisations become involved in tobacco control. Maintain regular, pro-active contact with members to evaluate their continued involvement and provide a forum to feedback views.

Objective 3:

Develop and continue to maintain a risk management policy/strategy document to protect the FCA against risk.

Objective 4:

Review Articles of Association and the Board role. Develop a Board Manual and necessary policies to ensure that the organisation's governance structure is aligned to the operational needs of FCA.

Strategic Priority 4: Revenue Generation and Dissemination

- **Identify and secure new sources of funding to achieve long-term sustainability**
- **Develop procedures/policy for the dissemination of income**
- **Develop procedures for monitoring and reporting income and expenditure**

Objective 1:

Establish a fundraising strategy and plan and implement to achieve financial sustainability, ensure the plan is based on the organisational strategic priorities and objectives; develop a case for support that can be issued to funders. The strategy and case for support should be reviewed quarterly and updated as required.

Objective 2:

Develop an ethics paper and an operational framework for revenue generation. The framework should include the identification of funding streams and timings for when funding is required to ensure that the FCA has continuous, ongoing income over a long period of time.

Objective 3:

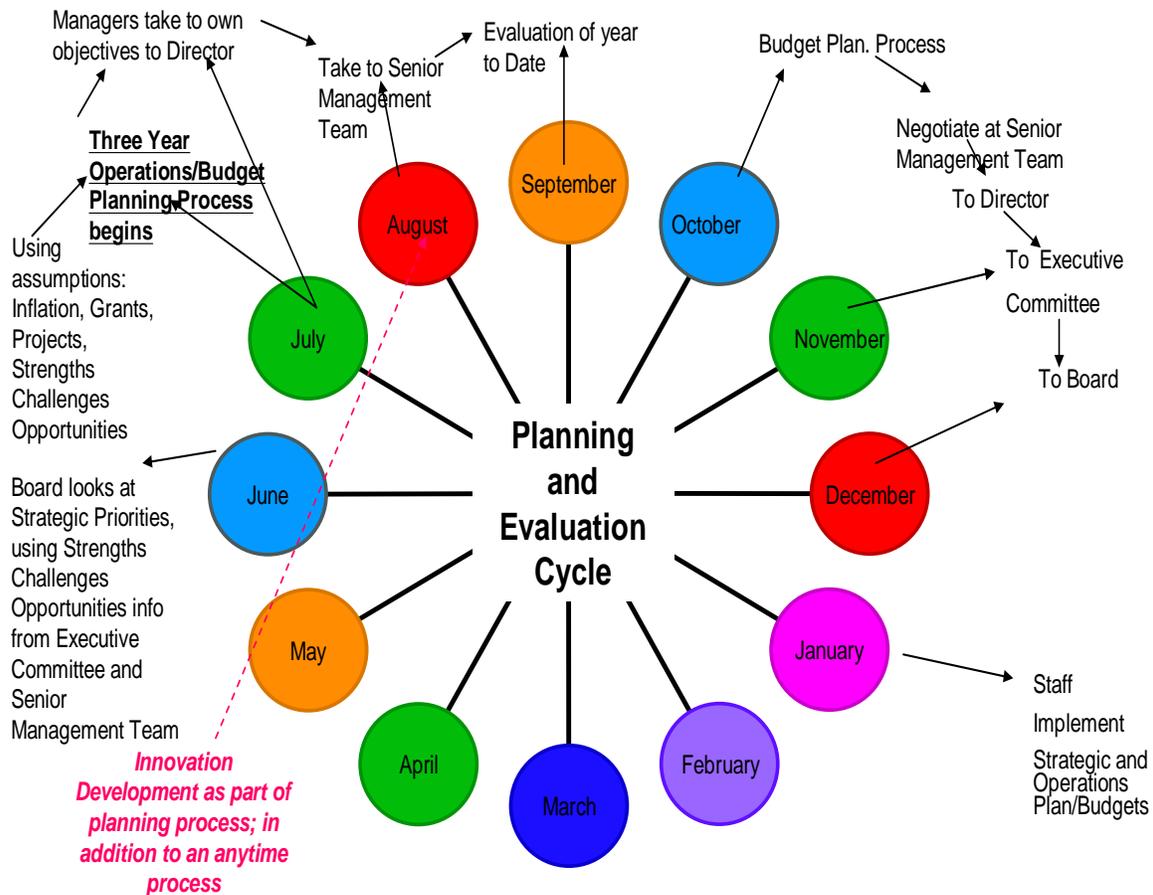
Undertake a revenue diversification process to determine the feasibility of generating new income streams outside traditional fundraising models.

Objective 4:

Create a robust, transparent reporting mechanism to enable timely and thorough reporting back to funders on how funds have been spent, outcomes achieved, any problems, and actions taken to overcome them. The reporting function should apply to all global funding, whether it is used centrally or passed through for local initiatives.

Annual Planning, Budgeting and Evaluation Cycle

It is important to keep the strategic planning process alive, relevant and transparent. As part of the implementation of the plan FCA will establish an annual planning, budgeting and evaluation cycle. It will consist of the Board and management reviews of strengths, challenges and opportunities facing FCA and adjustments of strategic priorities and objectives as appropriate. Management will then take this information and prepare operational plans and budgets for the coming three years. Evaluation against the strategic priorities, objectives, plans and budget will take place at the end of each quarter.



Forecast/Evaluation/Adjustments: Quarterly (March, June, September, December) based on achieving Strategic Plan objectives etc and Financials to date – Senior Management Team to Director to Board (Senior Management Team monthly reviews against above, forecast/adjustments as appropriate)