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Resource Mobilization Strategy

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Resource Mobilization Strategy

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I. Executive Summary

Introduction

The CGIAR operates in a competitive and increasingly results-oriented environment for resource mobilization. Despite recent increases in funding, the CGIAR system lacks coordinated, and in many cases basic, resource mobilization and communication infrastructure that put current and new funding at great risk. Areas requiring immediate and sustained attention as a matter of urgency include:

- Adequate RM staffing and expertise, especially at the system level where peer and aspirant organizations are better resourced and mobilizing significant funds as a result
- A system-wide communications strategy including key messages that resonate with world leaders, opinion-makers and align with the interests of funders
- Basic capacities to develop public/private partnerships and work with the private sector and private foundations generally
- A compelling “case for support” that requires mega investment and is kept up to date in relation to the political/social/economic landscape
- Establishing research ambitions and development partnerships that can deliver impact at scale
- Establishing and developing a culture that prioritizes research for development and impact

Recognizing these and other system-wide weaknesses, the Fund Council commissioned the development of a Resource Mobilization Study. Conducted in early 2014 and presented at the Fund Council meeting in Mexico City in May, the Study led to the commissioning of this system-wide Resource Mobilization Strategy (RMS).

The RMS Process

Led by a Joint Resource Group (JRG) comprising donors and doers, the RMS process has been managed and informed by three expert consultancies – CCS, Lion’s Head Global Partners and Rahim Kanani. The RMS process has included:

- Extensive consultation with donors and doers including site visits, interviews via telephone and Skype and e-surveys
- Interviews with relevant leaders and experts from organizations in the CGIAR’s peer and aspirant group including: GAVI, the Global Environmental Facility (GEF), The Global Fund to Fight AIDS, Tuberculosis and Malaria, UNICEF, and the World Food Programme (WFP) among many others
- A thorough literature review of RM trends and best practices in the sector
- Frequent updates to the JRG and other stakeholders at various fora over the last 3-4 months

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- Regular feedback on RMS drafts from the Fund Council Resource Group, Joint Resource Group and Centers

Beginning with a zero draft skeletal outline that was endorsed by the JRG, the RMS includes findings, analysis and recommendations for urgent system-wide and Center-level reforms and necessary RM and communications infrastructure and practices.

Key Findings

The CGIAR faces important challenges in terms of maintaining current funding levels and pushing ahead, individually and collectively, to achieve ambitious funding targets. The RMS is informed by these challenges as well as exciting opportunities given the CGIAR's global network and unique assets. Highlights include:

THE FUNDING LANDSCAPE

- **In 2013, more than \$134.8bn was contributed by governments and multilateral mechanisms** to address a wide range of global challenges. An all-time high, 2013 results were driven largely by factors that are not present or underdeveloped across the CGIAR but employed by organizations seeking funding from similar sources. This includes replenishment conferences, public/private partnerships, innovative financial funding strategies, effective communications that resonate with lay leaders and align with donor interests and mega research for development projects designed to deliver measurable grassroots impact.
- **Donor governments are moving away from traditional aid in favor of major infrastructure and development projects** that deliver tangible downstream impact. This presents serious near-term challenges for the CGIAR given the high percentage of its R&D funding that comes from development budgets.
- **Multilateral support is projected to decline** by some experts due to budgetary constraints and increasing pressure from legislative bodies and civil society to scrutinize and even limit multilateral aid.
- **Nutrition and Food Security are emerging areas of investment within agriculture development and major new initiatives for climate change are attracting significant global attention and funding.** At present, the CGIAR lacks the staff, expertise and culture to capitalize on these areas for RM. The CGIAR must respond quickly and confidently to these and other opportunities that will arise through new partnerships and a system-wide commitment to research for development.
- **Organizations in the CGIAR's peer and aspirant group, which include non-agriculture organizations in direct competition with the CGIAR for development funding, are making RM and communications a major priority and realizing significant gains from expanding and diversifying funding sources.** They are: investing in RM staff, making data management a top priority, engaging volunteers, forging public/private partnerships and enlisting the help of high-profile "ambassadors" to make their case for increased funding. By comparison, the CGIAR's efforts are sporadic,

significantly under resourced and poorly coordinated. These areas are entirely within the CGIAR's control and must be addressed as a matter of urgency given the competitive nature of the funding landscape.

THE CGIAR AT SYSTEM AND CENTER LEVELS

- CGIAR revenue has increased from \$531mn to \$1bn over the last few years, albeit from increasingly small and uncoordinated grants across the system. Growth has been achieved largely through grant-seeking and with the support of traditional donors rather than through mega investments by donors, innovative finance mechanisms – including financing options available via the World Bank, replenishment conferences, etc. that are driving growth among peers. The CGIAR must act swiftly to correct this course of action or risk becoming increasingly marginalized.
- Several of the CGIAR's traditionally largest donors are indicating potentially dramatic reductions in funding over the coming years, in part, due to the system's lack of coordination and impact, perceived or otherwise.
- The CGIAR's current Strategy and Results Framework (SRF) is not viewed as robust or relevant in the global effort to eradicate poverty, improve food security, nutrition, etc. Correcting this as a matter of urgency would enable the CGIAR to promote itself as a vital player in the global effort to achieve the Sustainability Development Goals (SDGs). The window of opportunity for repositioning the CGIAR is right now.
- An alarmingly small number of CGIAR Centers are developing ambitious research projects - \$50-\$100mn plus - and collaborating with others to approach public and private sector donor candidates. The CGIAR must improve its capacity to develop and pursue funding for high impact projects. This will require immediate investment, leadership for new ways of working, and early successes to build momentum.
- The CGIAR's historically most generous donors are interested in doing more, but also expressed concerns regarding the quality and scale of current programs being funded. Donors cited governance, uncoordinated processes and the weakness of the CRPs as reasons for their investment decisions. The CGIAR's lack of staff capacity and expertise regarding communications, fact-based donor stewardship and engagement and new donor acquisition contribute to the perception that the system is failing to deliver results.
- The current ongoing effort to establish a more investment-oriented, results-focused SRF is viewed as essential to mobilizing significant new resources. The CGIAR must establish bold, credible, measurable goals and then move quickly to resource those ambitions which must include exciting new partnerships with the private sector and relevant others beyond the CGIAR.
- Most centers have alarmingly small dedicated RM teams and a minority have formal RM strategies. Similarly, RM staffing levels and support services at system level are insufficient and well below levels seen in peer and aspirant organizations. The RMS recommends immediate action be taken to establish at least a basic level of staff capacity, expertise and coordination, which then must be increased based on successful "piloting" of key elements of the new strategy and a much higher volume of new activity generally.

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- Based on conversations with DGs and RM staff and a review of current practices, an urgent need exists to improve RM data collection, analysis and communication across the system. According to Centers, specific examples include: disseminating information on funding trends and opportunities, providing donor tracking and grant proposal best practices, facilitating and leveraging collective media presence, seeking and creating new donor partnerships, particularly within the private sector. Making basic improvements in this core area has the potential to deliver significant returns in the near-term from traditional RM methods.

The system currently lacks the public profile, elite advocacy at the highest levels of government and programmatic ambition needed to mobilize transformational resources. Building on existing efforts within Centers, the CGIAR can and must speak with a more consistent voice on the vital role its research and direct involvement must play in addressing major global issues related to hunger, health, sustainable development, adaptation to climate change and other imperatives.

Key Recommendations

Having considered these challenges and opportunities, among others, the RMS makes a number of practical, prioritized recommendations for immediate implementation. The recommendations are geared toward addressing the most pressing challenges and exciting opportunities, including:

1. Pursuing increased investment from traditional and new sources to fund technology based, research-lead development partnerships;
2. Maintaining current funding by conducting specialized prospect research and composing tailored proposals to maximize new and existing funding avenues within governments, corporations and private foundations;
3. Developing a specialized communications strategy, including a system-wide case for support, media relations, digital support and branding initiatives;
4. Effectively utilizing volunteer leaders to mobilize significant resources and raise awareness on regional and global levels; and
5. Rolling out a series of capacity building activities across the CGIAR system, as well as collaborating in data-sharing, analytics and technical proposal writing.

The RMS also emphasizes the essential role that “piloting” key aspects of the RMS must play. Piloting or “modeling” is a proven way of jump-starting activity, demonstrating successes and building momentum for change that can be replicated and scaled up across the system. Highlights of RMS recommendations include:

RAISING SIGHTS

1. **Urgently establish and begin promoting a larger and more ambitious CG-wide research agenda, set out in a revised and robust SRF, with an emphasis on research for development and the potential to spur further funding.**
 2. **Develop a system-wide “case for support” and Center-specific cases that require mega investments and new partnerships for impact. This is entirely within the CGIAR’s control and must be addressed as a matter of priority given the SDG’s and other political factors that influence funding.**
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3. **The FO to establish a regular protocol for working with Centers, as needed, to ensure meaningful RM goals (both activity and financial) and report progress through a series of special reports and other communications. Build off of existing successful practices at the Center level. The RMS believes Centers can and must be more proactive and ambitious regarding their “local” RM goals.**

ENGAGING LEADERS

4. **The FO to establish a “Global Investment Council” (GIC), or similar, of high-level volunteers to help mobilize resources,** with a focus on traditional donors, including the World Bank, and public/private partnerships. The GIC should concentrate its efforts on mobilizing mega investments for the CGIAR’s increasingly bold and impact-focused research ambitions. This includes both traditional and innovative sources of funding, with a near-term emphasis on traditional funding of new partnerships. Providing at least a basic level of support and access to relevant RM and communications expertise will be vital to success.
5. **Longer-term, give consideration to establishing GIC “chapters”** to help focus and drive RM at local and regional levels as well as on themes and issues.
6. **The FO to establish an Innovative Finance Working Group within the GIC** to develop and pilot the two highest priority mechanisms for the CGIAR. Specifically, returnable capital funds and product development partnerships. The CGIAR is advised to establish this capacity now and recruit the working group quickly given the lead times typically involved in innovative finance.

IMPORTANCE OF COMMUNICATION

7. **Invest in staff and expertise that enables the FO to collect, analyze and better communicate the scale and impact of contributions across the system.** Better command and control of RM data is essential to stewarding current donors, more accurately getting RM goals and promoting the CGIAR’s successes.
 8. **Invest in staff and expertise that enables the FO to communicate the most exciting stories from across the system including the vital role that investment played.** Pilot these efforts in collaboration with Centers and CRPs.
 9. **Establish a series of high-quality regional and global events that Centers and others can use to engage their donors.** Build on the recent and successful Development Dialogues. Doing this effectively requires at least a basic investment in communications staff and expertise at the FO.
 10. **Link work more explicitly to a wide variety of emotive and accessible international challenges beyond food security and poverty including, global health, climate change and women’s empowerment.** This recommendation requires careful and consistent integration of key messages into funding proposals, communications, special events, donor reports, social media and the recruitment and engagement of volunteer leadership. The CGIAR currently lacks this capacity and expertise, especially at the system level.
 11. **Address the communications capacity gap in publications, media relations, digital engagement, content production, partnership management and event coordination.** Explore media and content partnerships to ensure broad exposure and high-level readership and viewership. Pilot these
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activities as part of this integrated RMS, with an emphasis on new public/private partnerships, development dialogues and supporting high-profile thought leaders championing the CGIAR's mission and work.

TRADITIONAL AND NEW PROSPECTS

12. **Focus on mobilizing increased funding from government and multilateral sources** in traditional and exciting new ways including innovative financial funding mechanisms and public/private partnerships.
13. **The FO to develop specific new funding propositions and strategies, with success advancing the aims of the SRF.** This should include agricultural product development partnerships, the building of funding consortia to champion high impact development projects that require CGIAR involvement and traditional and new funding sources. The RMS recommends establishing basic staff and expertise that enables the FO to help the CGIAR develop exciting funding propositions and lead (pilot) effective approaches.

CAPACITY-BUILDING AND EXPERTISE

14. **Invest in the FO's ability to establish system-wide protocols and support** for traditional and innovative RM and communications. Make these investments gradually over time – at system, Center and thematic levels – in line with the various pilot efforts.
15. **Commit to building practice networks across the system** for RM data-sharing and analysis, donor stewardship, communications and volunteer recruiting and support, among others. These networks will require ongoing training and support.

Implementation and Piloting

At the system level, the CGIAR is strongly advised to address the RM capacity and experience gaps that exist. This can be accomplished best through a combination of staff hires and external consultancies implementing the recommended pilot initiatives. The RMS recommends building this capacity at the FO given its proximity to traditional donors, including the World Bank.

THE FOLLOWING BASIC CAPACITIES ARE REQUIRED IN YEAR ONE OF THE RMS:

- FO's ability to collect, analyze and better communicate the scale and impact of contributions and success stories across the system.
- FO's ability to produce attractive, authoritative and compelling reports and other communications that promote the CGIAR's ambitious research for development agenda and highlight funding successes and trends.
- FO's ability to build on existing successful practices and support Centers establishing Center- and SRF-specific RM goals and reporting on progress against goals.
- FO's ability to establish a systematic prospect identification, rating and management process with monthly reports and regular reports and updates.

- FO's ability to support practice networks across the system for RM data-sharing and analysis, donor stewardship, communications and volunteer recruiting and support.
- FO's ability to lead a new communications strategy, provide media relations and digital support, develop a system-wide case for support and design and implement an annual series of events.
- FO's ability to recruit and engage Global Investment Council members.
- FO's ability to identify, design and coordinate high-level funding approaches linked to the SRF and higher research for development ambitions generally.
- The FO's ability to design and pilot returnable capital funds and product delivery partnerships (PDPs).

Providing the system with basic RM and communications capabilities to begin piloting key aspects of the RMS, including innovative finance, requires an investment of \$1.35 to \$1.85mn in year one, depending on the option selected, with a recommendation that funding be made available via Window I.

This starter level of investment, which includes modest operating funds compared to peer organizations, would help incentivize the participation of Centers and enable the CGIAR to begin putting basic systems and best practices in place and pilot key aspects of the RMS (see below).

Capacities for Year 1 and Year 2 of RMS Implementation

Year	Priorities	Option I.	Option II.
2015	<ul style="list-style-type: none"> • RM funding proposal development • Communications and digital strategy design • Recruitment and support of GIC and Innovative Finance Working Group • Innovative finance design and initial funding approaches • Center-system collaboration including data-sharing and analytics • Development dialogues 	<p>Implementation utilizing external expertise:</p> <p>\$600,000</p> <p>Estimated operating costs*:</p> <p>\$750,000</p> <p>Total:</p> <p>\$1,350,000</p>	<p>Implementation via additional in-house staff (6 senior FTEs):</p> <p>\$1,100,000</p> <p>Estimated operating costs*:</p> <p>\$750,000</p> <p>Total:</p> <p>\$1,850,000</p>

Year	Priorities	Option I.	Option II.
2016	<ul style="list-style-type: none"> • Ongoing RM proposal development and approaches • Media relations and new events • Online editorial and publications • Center-system collaborations re: communications • Implementation of next group of innovative financial funding mechanisms 	Utilizing external expertise: \$600,000 Estimated operating costs*: \$750,000 Total: \$1,350,000	Via ongoing and additional in-house staff (6 senior FTEs plus 6 mid-level FTEs): \$1,900,000 Estimated operating costs*: \$750,000 Total: \$2,650,000

** Includes travel, special events, graphic design, training and supporting practice networks, incentivizing participation of Centers, printing, research, promotion, administrative assistance and other normally accepted operating expenditures.*

Noteworthy:

Options I and II reflect a different schedule of work and corresponding return on investment, with Option I reflecting a near-term solution and Option II building for the future. This is most evident in 2016, where Option II increases the FO's capacity to implement the RMS post-piloting.

With this basic level of investment, the CGIAR would have the capacity to pursue the following integrated pilots. The RMS anticipates measurable results, important successes and a positive return as a result of year one investment, with more detailed ROI projections at the start of year two.

Integrated Pilots	Implementation	ROI/Timeframe	Targeted Impact
Capitalizing on New Leadership and Traditional and New Funding Mechanisms to Advance the SRF (Develop the case for support, recruit the Global Investment Council and Innovative Finance Working Group, design the returnable capital fund and PDPs, pursue new funding partnerships)	9-12 months	High; Near-Term for Traditional Donors and Medium-Term for Innovative Finance	<ul style="list-style-type: none"> • Commitments of \$50mn+ for special SRF programs • Increased exposure of the CGIAR via GIC recruits • Partnerships with multinationals corporations in new regions
Communicating as a Collective to Targeted Audiences (Develop key communications messaging and reports, establish delivery mechanisms and media relationships, conduct Development Dialogues)	6-12 months	High; Medium-Term	<ul style="list-style-type: none"> • Singular messaging that conveys the CGIAR's impact in various international development sectors • Significant increases in traffic on CGIAR and Center websites • Side event partnerships with external stakeholders and peer organizations at major global events
Collaborating Across the System to Facilitate Increased RM (Establish data collection systems, prospect management, Center capacity building, donor intelligence)	6-12 months	Medium; Near-Term	<ul style="list-style-type: none"> • Clear, easy-to-read and actionable reports • Best practices on grant applications and donor intelligence updates

In Summary

The CGIAR is a unique global mechanism that has the potential to play a pivotal role in helping the world address urgent challenges related to health, poverty, sustainable livelihoods and the environment. Realizing this potential requires urgent and sustained implementation of the RMS as the CGIAR's current approach to RM and communications leaves it vulnerable on many fronts. Moving forward will require an orchestrated, well-planned approach accompanied by significant investment in system-wide resource mobilization and communications. These actions must be undertaken collectively and in the immediate future to prevent the CGIAR from losing ground.

The CGIAR must emphasize research that will yield additional potential for resource mobilization. Building on a more ambitious and results-oriented SRF, the RMS recommends immediate and gradual investment in the system's ability to "make the case" for increased funding, develop high-level partnerships and funding propositions and communicate more effectively and forcefully.

The RMS recommends full implementation of the strategy, beginning with pilots to fast-track activity, demonstrate successes and build momentum.

II. Overview of the Current International Donor Environment

Competitive Funding Landscape

The CGIAR operates in a very large and competitive space regarding resource mobilization, with donor governments and multilaterals increasingly aligning their investments with initiatives that deliver grassroots impact. In 2013, more than \$134.8bn was contributed by governments and multilateral mechanisms to address a wide range of global challenges from health, disaster relief, environment, education, agriculture, governance and economic development, among others. An all-time high, 2013's results reflect a significant increase on 2011 and 2012 funding levels when many governments trimmed aid budgets as part of widespread austerity measures.¹ Against these increases, there are changes on the horizon that point to increased vulnerability for the CGIAR that need to be addressed now if these risks are to be mitigated.

The positive: fuelled in part by governments and multilateral donors that are amongst the most generous donors to the CGIAR, increased support for global health, poverty eradication and other priorities is the result of a number of factors including:

- **Political willpower.** At the Global Fund to Fight AIDS, Tuberculosis and Malaria's Fourth Replenishment Conference for 2014-2016, the United States committed to matching every \$2 raised with \$1, for a maximum commitment of \$5bn over three years.² The CGIAR does not take an organized approach to generating political good will for its areas of expertise and potential. The RMS is designed to address this significant short-coming.
- **An increase in number of global crises and resulting relief aid.** The EU has given more than €2.881bn to Syria and Syrian refugees since the conflict began in 2011. During the same period, the United States has provided \$2.4bn.
- **Effective advocacy** of their causes by UNICEF, WFP, UNHCR and Oxfam, among others, utilizing celebrity Goodwill Ambassadors and communications campaigns.
- **The Millennium Development Goals commanding increased media and public sector attention.** Tellingly, combined commitments to health amongst major CGIAR donor governments such as the US, UK, Australia, Canada and Germany was roughly \$10.1bn in 2011.³ Their support for agriculture was roughly \$3.5bn in 2011.⁴
- **Increasing effectiveness of replenishment and innovative financial mechanisms** as evidenced by peer organizations competing for the same aid funding as the CGIAR. GAVI's overall funding more

¹ OECD, Aid to developing countries rebounds in 2013 to reach an all-time high, 2014

² The Global Fund to Fight AIDS, Tuberculosis and Malaria, Global Fund Donors Pledge More than US\$12 billion, http://www.theglobalfund.org/en/mediacenter/newsreleases/2013-12-03_Global_Fund_Donors_Pledge_USD_12_Billion/

³ OECD, Aid to Health Data, 2013, www.oecd.org/dac/stats/health

⁴ OECD, Aid to Agriculture and Rural Development, 2013, www.oecd.org/dac/stats/agriculture

than doubled from \$626mn in 2009 to \$1.7bn in 2013, in part, as a result of the introduction of a replenishment conference in 2011 (\$4.3bn) and the International Finance Facility for Immunization (IFFIm), which uses \$6.3bn in pledges from donor governments to sell bonds in the capital markets. In June 2014, the Global Partnership for Education secured a \$400mn pledge from the Islamic Development Bank in loan buy-downs, an innovative financing mechanism previously not used in the education sector.⁵

- **The growing importance of multi-stakeholder coalitions and Clinton Global Initiative-type gatherings** that endeavor to tackle eradicable global problems. For example, The Eliminate Project, a strategic partnership between Kiwanis International and UNICEF aims to eliminate the threat of maternal and neonatal tetanus (MNT), by raising \$110mn to immunize more than 100 million women and babies.

The challenges: at the same time, the funding environment is changing in ways that represent significant risk to current and potential future funding for the CGIAR, requiring immediate attention:

- **Donor governments are moving away from traditional aid in favor of major infrastructure projects** and other areas that deliver tangible downstream impact. This presents serious challenges for the CGIAR given the high percentage of its R&D funding that comes from development budgets.
- **With increasing importance given to results and product delivery, impact investing is garnering significant attention and funding.** A 2009 report from the Monitor Group estimated that the impact investing industry could grow from around \$50bn to \$500bn by 2019.⁶ The Global Health Investment Fund, a \$108mn partnership between the Bill & Melinda Gates Foundation and JP Morgan Chase & Co. is aimed at offering both sound investment and catalyzing funding for delivery of new technologies to address global health challenges. Current thinking within the CGIAR regarding impact investing is in its infancy. Barring a dramatic shift in the way the CGIAR sees itself and operates in the global landscape, it is unlikely to be able to access this vast source of potential funding.
- **The private sector is playing a bigger role in partnerships with governments and civil society.** To ensure transparency and accountability, traditional bilateral and multilateral donors, including the World Bank, are increasingly prioritizing delivery-oriented programs such as aid for trade initiatives, which aim to integrate least developed countries into the global economy, often through public private partnerships. Canada for example, gave \$10mn to the Inter-American Development Bank's Aid for Trade Initiative in 2010. Giving multilaterally, bilaterally and regionally, Australia's aid for trade ODA in 2014 is estimated at \$630mn.⁷ Additionally, the World Food Programme and UNICEF have many thousands of corporate supporters and sponsors who contributed \$300mn and \$1.2bn, respectively, in 2012 and help mainstream their causes. The CGIAR is at present ill-equipped structurally to participate in delivery-oriented programming and has a mixed track record when it comes to collaboration with the private sector.

⁵ The Global Partnership for Education, Replenishing Our Financial Resources, <https://www.globalpartnership.org/replenishment>

⁶ Monitor Group, Investing for Social & Environmental Impact, http://www.monitorinstitute.com/downloads/what-we-think/impact-investing/Impact_Investing.pdf

⁷ Australian Government Department of Foreign Affairs and Trade, <http://www.dfat.gov.au/trade/aid-for-trade/>

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- **Multilateral support is projected to decline** by some experts due to budgetary constraints and increasing pressure from legislative bodies and civil society to scrutinize and even limit multilateral aid.⁸ This is a direct and real threat to the CGIAR. 2014 projections are flat at best, and are likely to decline in subsequent years, unless significant steps are taken, including those presented in this strategy.
 - **A growing number of governments are offering loans and/or debt forgiveness in addition to grants.** ODA to BRIC countries is now largely in the form of concessional loans and equity investments, including 51% of all ODA to China in 2011.⁹ The CGIAR's work in R&D, as well as its traditional links to agricultural research and extension institutions leave it vulnerable in this regard – there has been little thinking (if one excludes this report) on the issues of loan-based and equity driven financing and partnership models within the system.
 - **Governments are increasingly funding social causes,** such as health and education, perceived to have a better 'return on investment than agriculture and other longer-term propositions,' often redirecting funds from other of development aid.¹⁰ Again, this represents a threat to current funding levels for the system, compounded by the other shifts cited above.
 - **Emerging economies are starting to invest at more meaningful levels;** aid from nontraditional donors, including the BRICS, Arab Gulf States and middle-income countries, doubled from 2005 to 2009, exceeding \$10bn in 2009.¹¹ Non-traditional donors tend to support humanitarian relief and infrastructure. Saudi Arabia is the world's largest humanitarian relief donor. Saudi pledges for the 2010 floods in Pakistan amounted to \$220mn, surpassing the pledges of all European donors taken together (\$209mn).¹² The CGIAR's track record in mobilizing resources from non-traditional donors has been checkered, and the emphasis on humanitarian relief does not bode well in the short- to medium-term for enhanced support for international agricultural research.
 - **Growth in agriculture research and development.** There are, of course, also a series of positive changes that need to be considered. Encouragingly, investment in agriculture research and development is also growing, albeit at a slower rate than others¹³ (See Appendices 1 and 2). ODA to agriculture, forestry and fisheries has tripled over the last decade. Unlike health and education, where the rate of increase has been steady year-on-year, growth in agriculture is only evident from 2007 onwards.¹⁴ As described below, there is momentum for its continuation via increased funding for food security, nutrition and other themes that feature in the global development agenda.
 - **Nutrition and Food Security is an emerging area of investment within agriculture development,** worth nearly \$12bn in 2010 (See Appendix 3).¹⁵ Tellingly, the CRP on Agriculture for Nutrition and Health has received significant contributions from CGIAR Fund donors bilaterally and via Window 2.

⁸ 2011 DAC Report on Multilateral Aid, <http://www.oecd.org/dac/aid-architecture/49014277.pdf>

⁹ Development Initiatives, Other providers of development cooperation, 2012

¹⁰ United Nations University, Aid for agriculture and rural development in the global south, 2013

¹¹ Global Humanitarian Assistance, Non-DAC Donors and Humanitarian Aid, 2011

¹² Global Public Policy Institute, Saudi Arabia as a Humanitarian Donor: High Potential, Little Institutionalization, 2011

¹³ UNDP, Towards Human Resilience: Sustaining MDG Progress in an Age of Economic Uncertainty, 2011

¹⁴ UNDP, Towards Human Resilience: Sustaining MDG Progress in an Age of Economic Uncertainty, 2011

¹⁵ OECD, Aid for Food and Nutrition Security, 2012

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- **Contributions to other sectors, such as nutrition, health and climate change, have spillover effects into agriculture development research.** In 2013, DFID committed to increase funding to prevent under-nutrition through other sectors - social protection, agriculture and water, sanitation and hygiene - by approximately £604 million between 2013 and 2020.¹⁶ Taking immediate action to improve the CGIAR's ability to partner with others and compete for funds from new sources must be a strategic imperative.
 - **Major new initiatives for climate change are attracting significant global attention and funding.** For example, the U.S. announced its intention to join the Global Alliance for Climate-Smart Agriculture in August 2014 at the U.S.-Africa Leaders Summit event, "Resilience and Food Security in a Changing Climate."¹⁷ As another example, the Danish Government, through Danish Climate Investment Fund, is investing Danish Krone 1.2bn (approximately \$208m) to promote climate investments in developing countries and emerging markets.¹⁸

These gains have been achieved partly as a result of:

- **The global food crisis.** The 2008 Statement of the G8 Expert Group on Global Food Security committed to adopting measures to stimulate food production and increase investment in climate-smart agriculture.
- **Better positioning of agriculture, leading to more effective appeals for ODA-type monies.** Global leaders agreed to reverse a decades-long decline in investment in agriculture by launching the L'Aquila Food Security Initiative at the 2009 G8 Summit. At the same time, a collective \$22.5bn was pledged to agriculture development.¹⁹
- **MDG targets constrained by slow rural development.** Evidence emerged that lower growth in rural areas was hampering the success of the MDGs. The framework increasingly focused on the rural poverty agenda, particularly in enhancing incomes from agriculture.²⁰
- **Greater private sector involvement.** Top agribusinesses are making major commitments to agriculture aid and research, and poverty alleviation and rural development are common corporate social responsibility areas of practice (See Appendix 4). Dupont has committed \$10bn to R&D to develop 4,000 new agriculture products with an aim to end hunger by 2020.²¹
- **Commitment to sub-Saharan Africa,** where farming is the primary economy. The 2012 New Alliance for Food Security and Nutrition is a joint government-private initiative to accelerate responsible investment in African agriculture. In a little more than a year, the New Alliance has \$3bn in pledges. More than 60 companies have signed the "Private Sector Declaration of Support for African Agricultural Development." (See Appendix 5).

¹⁶ UK Department for International Development, Annual Report and Accounts 2013-2014

¹⁷ United States and Five African Countries Announce Intention to Join Global Alliance for Climate-Smart Agriculture, <http://www.state.gov/r/pa/prs/ps/2014/230610.htm>

¹⁸ Investment Fund for Developing Countries. <http://www.ifu.dk/en/services/the-danish-climate-investment-fund>

¹⁹ OECD, Aid for Food and Nutrition Security, 2012

²⁰ United Nations University, Aid for agriculture and rural development in the global south, 2013

²¹ Dupont Food Security, A Science to Feeding the World, <http://foodsecurity.dupont.com/food-goals/>

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- **Impact investment and nontraditional forms of aid.** The Rockefeller Foundation pioneered private equity fund investment in non-traditional markets with its Acumen Fund. The Fund has approved \$88mn in investments to date, including rural poverty programs.

In conclusion, the challenges faced by the CGIAR today include:

- Donor governments increasingly prioritizing accountability and downstream impact (an area acknowledged by the CGIAR as a weakness) while simultaneously facing budget constraints;
- New (non-CGIAR) initiatives in the agricultural space gaining prominence including the Global Agriculture and Food Security Program and the Global Alliance for Climate Smart Agriculture, with the potential to diminish the CGIAR's role as the prime player in international agricultural research;
- The current Strategy and Results Framework (SRF) is viewed as inadequate and has hampered the CGIAR's ability to pursue new donors and demonstrate an ability to deliver results and impact in an accountable fashion;
- System governance is disjointed and opaque, leading to resource mobilization competition within the CGIAR networks and a weak, inconsistent approach to cultivating and stewarding funds;
- Limited awareness of the CGIAR due to absence of key communication messages, a global CGIAR brand and a strong, system-wide communications and advocacy strategy; and
- The CGIAR's lack of infrastructure for pursuing and managing public/private partnerships put the system at a disadvantage. Innovative financial funding mechanisms that require more flexible governance are fast emerging and the CGIAR must act quickly to position itself to compete.
- Need to expand "products-for-development" pipeline given significant lead times for agriculture research

While nuanced and not without opportunities, the landscape as outlined above presents significant challenges for the CGIAR and near-term threats. Other organizations referenced throughout this report are outpacing the CGIAR, and without major structural changes, improved coordination and increased ambition, the CGIAR risks becoming increasingly vulnerable to this fast-moving and changing environment. Vulnerabilities include an upheaval in current financial flows, a steady decline in resources and waning interest from the international donor community that would significantly hamper the CGIAR's ability to deliver impact.

III. Overview of Current and Recent Resource Mobilization Practices

The CGIAR has witnessed unprecedented revenue growth, especially over the last five years. The CGIAR's ability to maintain its current funding trajectory contemplate pushing ahead, individually and collectively, to achieve more ambitious RM targets, requires the system to move quickly toward greater accountability, cooperation and coordination to demonstrate impact. Consider the following:

- **Revenue has increased from \$531mn to \$1bn** (See Appendix 6), albeit from increasingly small and uncoordinated grants across the system.
- **Windows are growing rapidly while bilateral funding is increasing moderately.** In 2013, funding channeled through Windows 1, 2 and 3 grew by 33% - Windows 1 & 2 saw 20% growth; Window 3 experienced 79% growth. Bilateral funding rose by 1% (See Appendix 7). Simultaneously, donors have questions regarding the impact of investments; progress against the SRF will be of great importance in continuing and increasing funding flows.
- **Growth has been achieved largely through grant-seeking and with the support of traditional donors rather than through mega investments by donors, innovative finance mechanisms, replenishment conferences, etc. that are driving growth elsewhere** (See Appendix 8). The Global Fund to Fight AIDS, Tuberculosis and Malaria's Fourth Replenishment in 2013 received \$12bn in pledges from governments, corporations, private foundations and faith-based organizations. To date, GAVI's "vaccine bond" mechanism, the International Finance Facility for Immunization (IFFIm) has raised \$6.3bn from nine donor governments. Historically, the CGIAR has avoided replenishment-style fundraising, with many stakeholders suggesting it could erode current funding.
- **Research topics that most closely align with MDGs are attracting a high level of interest and funding.** The CGIAR's Agriculture for Nutrition and Health CRP amassed the largest Window 2 funding from 2011 to 2013, \$48mn. Climate Change Agriculture and Food Security is another high-yielding CRP, with 28mn in Window 2 contributions over the same period (See Appendix 9). The CGIAR is engaging in research on some of the most fundable global challenges, but it needs to better communicate the importance and impact of its work to funders and the broader public. The SDGs, among other events and movements, provide scope for this.
- **An alarmingly small number of CGIAR centers are developing ambitious research projects - \$50-100mn plus - and collaborating with others to approach public and private sector donor candidates.** ICRAF, for example, has secured a 10-year \$50mn grant from Mars, in part, to support the Cocoa Futures program in Indonesia and the company's commitment to source all of its cocoa from sustainable growers by 2020.²²

²² Interview with Center Director General, August 2014; World Agroforestry, 2012-2013 Annual Report, http://intranet.worldagroforestry.org/apps/annual_report_2013/

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- **Centers have leveraged programs run with INGOs for publicity and increased funding and impact.** INGO partners include Oxfam and Save the Children.²³ In 2012, Save the Children joined the USAID-funded Feed the Future Aquaculture project in Bangladesh, led by WorldFish. As a result, an additional 12,000 households could be included in the project.

Big ideas traditionally leverage big investment in resource mobilization. This presents a challenge for the CGIAR given that its current research priorities are viewed by many donors as lacking focus, ambition and commitment to delivering impact. In general, the CGIAR has inherent challenges that threaten its ability maintain current funding momentum and grow. Consider the following:

- **The original CGIAR Strategy and Results Framework (SRF) was more of an aspirational tool that set a very broad framework. It was not a robust mechanism in terms of ensuring accountability.** The ongoing process to recast the SRF into a more investment-oriented framework will help ensure greater focus, accountability and transparency. This is a fundamental element in achieving clear strategic direction and helping to reassure donors and potential partners of the CGIAR's ability to deliver. It is an essential condition for a successful resource mobilization strategy that needs to be put in place and communicated exceptionally well to high-level donor candidates.
- **The CGIAR relies on a relatively small group of traditional donors,** including the World Bank, both for the CGIAR Fund and for bilateral grants. Of the 35 donors to the CGIAR Fund from 2011 to 2013, roughly 70% of these donors gave in 2011, 2012 and 2013. Roughly 20% of these donors gave in two of the three years. Additionally, Centers surveyed to date report spending 75-90% of time with current funders. Several of the CGIAR's traditionally largest donors are indicating potentially dramatic reductions in funding over the coming years due, in part, to the system's lack of impact, perceived or otherwise.
- **The CGIAR's historically most generous donors are interested in doing more.** But the CGIAR's funding community expressed concerns regarding the quality and scale of programs being funded. Donors cited governance, uncoordinated processes and the weakness of the CRPs as reasons for their investment decisions. However, an interest in funding larger scale projects that have a greater and more immediate impact was commonly expressed. Interviews with donors suggest opportunities for larger, more impactful funding and a willingness to partner with new and existing CGIAR donors on large-scale research initiatives.
- **Bilateral grants to individual Centers and CRPs provide significant resources** – more than half of all funding in 2013, but the vast majority of grants are short term.
- **Recent growth has been on the back of relatively small scale research projects that stretch technical staff and command an inordinate amount of time in terms of grant reporting.** In 2012, 80% of overall Window 3/bilateral funding was derived from 20% of these grants, implying a large administrative burden on the huge percentage of grants that provided comparatively much less revenue. Large and very large grants – worth \$5 and \$20mn respectively – represented less than 6% of all grants.²⁴ Discussions with donors and doers revealed great interest in the potential for innovative financial mechanisms. The implications of not investing in RM capacity and communications are significant, including: continued erosion of donor confidence, loss of

²³ Interview with Center Director General, August 2014.

²⁴ CGIAR Consortium Office, 2012 CGIAR Grant and Donor Analysis, 2014

significant funds leading to a shrinking donor base over time and unhealthy competition between Centers.

- **Most Centers have very small dedicated RM teams and a minority has formal RM strategies** (See Appendix 10). Similarly, RM staffing levels and support services at system level are modest relative to peer and aspirant organizations. The UNHCR, for example, has increased international fundraising staff from 5 to 40 in the past decade, contributing to the 300% growth of the organization's overall funding during the same period.
- **Based on conversations with DGs and RM staff and a review of current practices, a need exists to improve RM data collection, analysis and communication across the system.** According to Centers, specific examples include: disseminating information on funding trends and opportunities, providing donor tracking and grant proposal best practices, facilitating and leveraging collective media presence, seeking and creating new donor partnerships, particularly within the private sector, advocating for increased capacity and attention to communications and resource mobilization across the system and building relationships with donors through evidence and impact. Noteworthy, donors and doers alike are seeking increased transparency and accountability. UNICEF recently implemented VISION (Virtual Integrated System of Information) an aggregator of global program and funding results. All data is aggregated to the corporate level, enabling UNICEF to assess its own performance and efficiently report results back to donors.
- **The system currently lacks the public profile, elite advocacy at the highest levels of government and programmatic ambition needed to mobilize transformational resources.** The Global Partnership for Education, which underwent a rebranding process in 2011 ahead of its first ever replenishment conference in the same year, amassed \$2.1bn in pledges from donor partners for the GPE Fund in its second replenishment in June 2014. The GPE employed advocacy campaigns to compel developing country partners to increase domestic contributions to education by \$26bn over four years. Former Australian Prime Minister Julia Gillard also serves as Chair of the Board of Directors, elevating GPE's status on the global stage.

It is the understanding of the authors of this report that amongst others, revised SRF priorities being considered include:

- Increasing annual agriculture productivity by .5% to reduce poverty by 15% by 2025;
- Reaching 400 million small farm households by decreasing market transaction costs by 30% by 2025;
- Reducing child under-nutrition by 10% by 2025;
- Improving the livelihoods of 100 million people in water-scarce and food-insecure areas; and
- Reaching 100 million nutrient-deficient people with micro-nutrient dense food by 2025.

In order to remain competitive, the CGIAR must address the above challenges, as a matter of urgency, through targeted interventions and high quality system-wide approaches.

IV. Estimation of Need for Funding

The SRF estimates that food availability will need to expand by 60% globally and 100% in developing countries by 2050 in order to feed the predicted global population of 9 billion. The CGIAR is uniquely positioned to contribute to this goal. However, without a sharp articulation of global agriculture and food security needs, accompanied by clear funding targets, and ambitious new collective approaches and partnerships for impact, the CGIAR will fail to attract donor interest and essential resources, possibly flat-lining or regressing in overall contributions.

Organizations such as the Global Fund to Fight AIDS, Tuberculosis and Malaria, the GAVI Alliance and the Global Environmental Facility have increased their funding year-on-year, in part, by communicating the importance and urgency of their work in authoritative, objective ways. These organizations have helped to set the agenda and rally leaders and greater funding through:

- Regular global assessments of needs that are communicated exceptionally well and in ways that resonate with global leaders
- Special reports and updates on investment levels and progress against compelling global needs
- Engagement of respected thought leaders and effective communication
- Creation of global platforms (from which to speak)

Best Practices Among Peer and Aspirant Organizations:

- The Global Crop Diversity Trust has made effective, compelling arguments regarding the vital role it plays in preserving what remains of the world's genetic crop diversity, resulting in more than \$350mn raised.
- The Global Fund to Fight AIDS, Tuberculosis and Malaria's Replenishment Needs Assessment describes longitudinal successes, details remaining needs and threats to progress, and highlights the impact the funding could have if achieved. For example, "if global funding were to remain constant at today's levels, there would be a total of 2.6 million new HIV infections per year."²⁵
- The New Climate Economy's "Better Growth, Better Climate" report calls for a collective doubling of financing for crop, livestock and agro-forestry R&D, from \$15bn in 2008 to \$30bn in 2030. The report posits, much of the progress made since the famines in Asia and Africa in the 1970s is due to increases in agricultural productivity, driven by the "Green Revolution," in which average rice yields nearly doubled and wheat yields nearly tripled. By 2050, the world's farms will need to produce 70% more calories than in 2006, mainly due to population growth, rising incomes and changing diets in developing countries.²⁶
- The Global Polio Eradication Initiative's Eradication and Endgame Strategic Plan serves as a call to action to end the disease once and for all, requiring an investment of \$5.5bn over five years. The

²⁵ The Global Fund to Fight AIDS, Tuberculosis and Malaria Fourth Replenishment (2014-2016) Needs Assessment,

²⁶ The New Climate Economy, Better Growth Better Climate, <http://newclimateeconomy.report/>

plan details success – “Fewer than 250 polio cases were reported worldwide in 2012, which is a 99% reduction since the 1980s, when the world saw about 1,000 cases per day” – and presents opportunity – “the Plan has been developed to capitalize on the unique opportunity to eradicate a human disease for only the second time in history.”²⁷

- The Global Environmental Facility’s Annual Performance Reports detail both progress and need for continued funding. These documents are employed by the GEF during replenishment conference negotiations with government donors. The GEF’s Focus Area Evaluations are also used to appeal to donor interests. For example, the Biodiversity Indicators Program evaluation states, “[this] exercise should also provide an estimate of the resources needed to obtain, manage and keep current data required for a wider set of indicators.”²⁸
- The FAO’s Report on the State of the World’s Plant Genetic Resources for Food and Agriculture provides an overview on the status and trends of conservation and use of plant genetic resources at the national, regional and global levels. It analyzes and prioritizes, gaps and needs, and is a basis to update the Global Plan of Action on Plant Genetic Resources for Food and Agriculture.
- In 2009, GAVI commissioned an independent evaluation of its Phase II (2007-2010) performance to determine the extent to which the organization had met Phase II’s Four Strategic Goals; the evaluation measured programmatic success and contributed to setting Phase III funding requirements. GAVI also utilizes internal mid-term review of Phases to determine results achieved to date and countries’ longer-term requirements for the next Phase to keep donors engaged.
- The Global Agriculture and Food Security Program is a multilateral mechanism that was created to implement pledges made by the G20 at its Pittsburgh Summit in September 2009. Building on the success of the World Bank’s Food Crisis Response Fund (GFRP), the G20 recognized the need for a similar instrument to finance medium- and long-term investments that boost agricultural productivity and market access in low-income countries.
- Kiwanis and UNICEF’s Eliminate Project quantifies the ability to eradicate Maternal-Neonatal Tetanus. More than 100 million mothers and their babies need to be immunized against MNT, and \$110mn will solve the problem. The “Elimination in Progress” dashboard tracks reduction in MNT in tandem with donations toward the \$110mn goal. To date, the project has contributed to eradicating MNT in 13 countries, with 24 remaining (See Appendix 11).
- PATH’s 2013 report, “From Pipeline to Product: Malaria R&D funding needs into the next decade,” states that annual malaria R&D funding to increase an average of \$700mn per year in order to satisfy the projected malaria funding need through 2022.²⁹

²⁷ Global Polio Eradication Initiative, Polio Eradication and Endgame Strategic Plan 2013-2018, https://www.google.com/webhp?sourceid=chrome-instant&rlz=1C5CHFA_enUS522US522&ion=1&espv=2&ie=UTF-8#q=global%20fund%20needs%20assessment
http://www.polioeradication.org/Portals/0/Document/Resources/StrategyWork/PEESP_EN_US.pdf

²⁸ Global Environmental Facility, Biodiversity Indicators for Monitoring GEF Programme Implementation and Impacts, http://www.thegef.org/gef/sites/thegef.org/files/documents/Biodiversity-Biodiversity_Indicators_for_Mon_GEF_Programme.pdf

²⁹ PATH, From Pipeline to Product: Malaria R&D funding needs into the next decade, http://www.finddiagnostics.org/export/sites/default/resource-centre/reports_brochures/docs/malaria_rd_funding_needs-dec2013.pdf

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- With an aim to end the AIDS epidemic by 2030, UNAIDS' Gap Report projects between \$22 and \$24bn will be needed annually to combat the spread of HIV by 2015. The Gap Report was produced over a six-month period, at a cost of roughly \$180,000. The report's release coincided with the AIDS 2014 Annual Conference in Melbourne. The report was galvanized by the need to highlight populations left out of modern advances in curing HIV/AIDS.³⁰

CGIAR Findings and Analysis:

At present, the CGIAR does not communicate its aims and potential with a consistent voice, nor does it proactively position itself as a critical player in the world's ability to achieve development goals. The RMS changes this in ways that mobilize more resources locally and globally to achieve a greater impact. In order to retain current donors and compete more effectively for increased investment, it's imperative for RM purposes that the CGIAR establish, and follow, a larger and more ambitious/development-focused SRF and communicate it very effectively. Specifically:

- An SRF that requires \$500m to \$1bn per annum above current investment levels to achieve important development goals through agricultural research-informed partnerships would put the CGIAR more on a par with peer and aspirant organizations working in global health, poverty eradication and related fields.
- An SRF that seeks to have a tangible, positive impact on hundreds of millions of people's lives through practical application of agriculture-research based innovations.

The RMS makes the following recommendations:

ACROSS THE CGIAR SYSTEM:

1. To appropriately raise sights and better position the CGIAR to command increased investment for its vital work, **the RMS strongly recommends establishing a larger and more ambitious CG-wide research agenda as a matter of urgency. Set out in a revised and robust SRF, with an emphasis on research for development, the agenda must align with the interests of donors and be well communicated.**

From an RM perspective, in terms of retaining existing donors and attracting new ones, the CGIAR's current effort to craft a new and more impactful SRF would benefit from placing greater emphasis on "research for development." In collaboration with public and private sector entities beyond the current CGIAR members, this should include land grant universities, major cooperatives, the Global Crop Diversity Trust and other genebanks and regional development banks, among others.

2. The RMS recommends the CGIAR commit to promoting, tracking, and updating its larger research for development ambitions on a consistent basis and as a matter of urgency. For example, publishing GAVI and Global Fund-style annual and periodic updates, infographics and similar communications that track progress. The RMS envisages tracking a relatively small number of "grand challenges" that are best solved via innovations in agricultural research and development.

³⁰ Conversation with UNAIDS Gap Report Lead, September 2014; UNAIDS, Gap Report, http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2014/UNAIDS_Gap_report_en.pdf

Systematic production of key research updates, trends and insights from across the CGIAR system and other communications material that, for example, ties the progress of the work to many of the UN Sustainable Development Goals is critical to positioning the enterprise as a powerful force for human progress. As CGIAR's brand profile increases, backed by clearly communicating evidence of impact at scale, new avenues of funding and partners will more readily accessible.

WITHIN CENTERS:

1. **The strongest, most SRF-relevant and impact-focused Centers are encouraged to collaborate with the Fund Office and other system-level entities to consistently promote the larger and more impactful research for development ambitions** of the CGIAR in collaboration with non-CGIAR partners from the public and private sectors. Specifically, this includes:

- Participating in efforts to objectively identify the significant global needs that can be met through more effective and coordinated agricultural research for development
- Collaborating with one another and the FO/CO to drive research delivery programs
- Incorporating FO-provided infographics, facts, figures, testimonials, etc. into funding proposals, speeches, blogs and other communications
- Participating in RMS pilot initiatives

Working more collaboratively across the system, engaging partners in new ways and tracking RM progress and results will require increased capacity within the Fund Office (See Section XII). New protocols and activities will require significant investment in systems and expertise that is currently lacking. In addition to strengthened internal resources, access to new funding via innovative finance pilot initiatives, at a scale not currently accessible through 'siloed' resource mobilization, will incentivize participation across the system. Piloting new initiatives, recommended throughout the RMS, is strongly encouraged.

V. Establishing Financial Targets in the Context of the SRF

Establishing appropriate financial targets (goal-setting!) and monitoring progress against goals is an essential part of resource mobilization in the modern era combining:

- Detailed data analysis of donor behavior and trends
- Objective assessments of donor retention rates and possible investment levels
- Thorough assessments of potential new funding targets and investment levels over time
- Productivity of RM staff including activity levels and financial targets achieved
- Consistent implementation of an overall RM strategy and plan to provide baseline levels
- An awareness of the funding landscape, including aspirational goals linked to existing innovative financial funding mechanisms and others coming online as this area matures
- Objective need assessments to help raise sights

Failing to present needs/SRF-based financial targets not only threatens the system's ability to maintain and seek new funds, but could also erode the CGIAR's standing as one of the foremost global agriculture research institutions. It is therefore crucial that needs and accompanying targets are co-created.

Best Practices Among Peer and Aspirant Organizations:

The following multilaterals, which rely predominantly on government funding, are diversifying into innovative finance and private sector funding. Their success makes for especially useful models for the CGIAR in establishing funding targets. To remain competitive, the CGIAR must begin now and adopt similar strategies (See Appendix 12 for select tables).

- GAVI has experienced significant, rapid growth as a result of employing various funding mechanisms to attract different donor interests. GAVI has secured approximately 60% of its funding from direct investments, including replenishment conferences in 2011 and 2014, and roughly 40% of funding from innovative financial mechanisms. GAVI has grown from \$329.5mn in 2000 to \$1.8bn in 2014 – experiencing 30% growth over time. GAVI's resource mobilization offices are located in Geneva and Washington DC. The first replenishment secured \$4.3bn, and among other mechanisms, the GAVI Matching Fund is designed to raise \$260mn by the end of 2015 and the International Finance Facility for Immunization (IFFIm) uses \$6.3bn in long-term pledges to sell 'vaccine bonds' in capital markets. GAVI began working on a Long Term Fund Strategy for 2016-2020 and beyond in 2012.³¹ In 2012, GAVI invested \$25.7mn in fundraising. The organization's revenue for the same year was \$1.5bn, resulting in a 58% return on fundraising investment.
- The Global Partnership for Education (GPE) underwent a rebranding process in 2011 ahead of its first replenishment conference, which raised \$1.5bn for the GPE Fund, in the same year. The GPE secured \$2.1bn in its second replenishment in June 2014, including, for the first time, an innovative

³¹ GAVI Alliance, Resource Mobilization, <http://www.gavi.org/funding/resource-mobilisation/>; GAVI Alliance, Report to the GAVI Alliance Board, Long-Term Funding Strategy, <file:///C:/Users/kstevens/Downloads/07%20-%20Long-term%20funding%20strategy.pdf>

financial loan worth \$400mn from the Islamic Development Bank. Approximately, \$450,000 was devoted to event planning and execution. The GEF used case studies from peer and partner organizations to make its Case for Investment. Replenishment growth represents 40% growth from the first to the second replenishment. Amongst partner countries, the GPE increased domestic education pledges from \$2bn in 2011 to \$16bn in 2014 – a 700% growth rate. The GPE attributes success to in-country advocacy efforts.³²

- The Global Fund to Fight AIDS, Tuberculosis, and Malaria saw a 300% increase in contributions over the five year-period of 2003 – 2007, from \$779mn to more than \$2.8bn. The Global Fund initially received contributions only from governments, but in 2007 began to raise funds from private corporations and foundations and enacted a replenishment conference.

Informed primarily by its Needs Assessment, the Global Fund's fourth and most recent replenishment conference, in December 2013, witnessed an initial \$12bn in pledges from 25 countries, the European Commission, private foundations, corporations and faith-based organizations - a 30 percent increase over the \$9.2bn secured at the previous conference. To date, the Global Fund receives 95% of all funding from government donors, many of whom also contribute to the CGIAR. The CGIAR could target a similar growth trajectory.

- The Global Environmental Facility (GEF) is the financial mechanism for six multilateral UN environmental conventions. The GEF is strictly funded by donor governments, which have agreed to participate in replenishment cycles that take place every four years. Following an initial pilot of \$1bn, the GEF has grown to \$4.43bn after six replenishment conferences. Continuous commitment from donor countries is essential to GEF's funding; replenishment negotiations with individual country donors are guided by Annual Program Evaluations, which have dual functions as needs assessments. The GEF's Evaluations Office has a staff of 15. The External Affairs team, which conducts replenishment negotiations, has a staff of 17 country relations professionals.
- UNICEF has nearly quadrupled its contributions in a decade, from \$1.6bn in 2003 to \$4.8bn in 2013. UNICEF receives more than half of its funding from government country donors, but private partnerships have begun to play an increasingly large role – UNICEF has more than 12,000 corporate alliances globally, and these totaled to \$1.4bn in 2013.³³ UNICEF's 36 National Committees contribute roughly a third of the organization's overall funds, and are instrumental in mobilizing the private sector in their respective locales; the U.S. Fund for UNICEF raised more than \$27mn in 2013. More than 100 UNICEF Secretariat resource mobilization staff are devoted to private sector and National Committee relations; approximately 45 staff are tasked with government donor appeals. In its 2012-2013 budget, UNICEF Headquarters allocated \$1.3mn to its Public Sector Alliance and Resource Mobilization Office and \$1.8mn to its Private Fundraising and Partnerships Division.³⁴

These resource mobilization efforts were spurred, in part, by the existence of objective, measurable and definable needs that served to focus and drive fundraising. An ambitious SRF, improved

³² The Global Partnership for Education, Replenishing Our Financial Resources, <https://www.globalpartnership.org/replenishment>

³³ UNICEF, 2013 Annual Report, http://www.unicef.org/publications/files/UNICEF_Annual_Report_2013_web_26_June_2014.pdf; Conversation with UNICEF Secretariat Staff, April 2014

³⁴ UNICEF Financial Report and Audited Financial Statements 2012, http://www.unicef.org/about/execboard/files/A-68-5-Add2-UNICEF_Financial_Report-ODS-English.pdf

communications, greater role for volunteers with support from dedicated RM staff, and more effective use of RM data across the system is urgently needed to create these conditions for the CGIAR.

Setting, monitoring and communicating progress against ambitious financial targets is an area of significant weakness for the CGIAR. Not addressing this issue in a systematic, collegial way risks the CGIAR losing ground in relation to peer and aspirant institutions.

The RMS makes the following recommendations:

ACROSS THE CGIAR SYSTEM:

1. Building on the recommendations regarding RM data sharing and analysis across the system, the FO to establish a regular protocol for working with Centers, as needed, to ensure meaningful RM goals (both activity and financial) and report progress. This includes standard reports, quarterly conference calls, improved RM data collection systems and, where possible, face-to-face meetings.
2. Building on the protocol and more timely RM data, the RMS recommends the FO establish a series of special reports and other communications that promote the CG's ambitious research for development agenda and highlight funding successes and trends in more detail than exists at present (funding by donor, by recipient country, by crop, by theme, by region, etc.). Importantly, the special reports need to communicate funding progress against ambitious SRF goals to ensure the CGIAR remains competitive in its peer and aspirant group.
3. The FO to provide Centers with accurate and timely prospect research, donor intelligence and analysis of RM trends, particularly within the private sector as expressed in interviews with Center staff, for use in their own fundraising and goal-setting activities (see below). This is an area that lends itself to being piloted by a few Centers in collaboration with the FO and would be augmented by commissioning a CGIAR-wide value-for-investment study (see Recommendation 4 in Section XI).
4. The FO to make reporting on "progress against goals" a more important part of its overall communications effort. Donors and doers alike deserve and would benefit from more specific, regular, and positive information regarding RM progress across the system.

WITHIN CENTERS:

1. **Building on the protocol recommended above, including standard reports, quarterly conference calls, improved RM data collection systems and in-person meetings, each Center is encouraged to establish a formal, ongoing process for establishing Center- and SRF-specific RM goals and reporting on progress against those goals.** The process should involve senior staff and key volunteers. It should be informed, in part, by RM trends across the system, with data and analysis provided by the FO. It should include performance goals for RM staff and financial targets for key constituencies (governments, multilaterals, foundations, corporations and perhaps even HNWI's).
2. **Centers are encouraged to establish proactive annual goals as well as rolling 5 year goals** informed by most current estimates of global need as well as local and regional estimates and results.

VI. Developing A Powerful and Compelling Case for Support

A resource mobilization “case for support” (case) is a strategic document that sets out an organization’s mission, purpose and aspirations. It states the organization’s priorities and the level of investment required to achieve their priorities. It details specific and high impact funding opportunities and what the institution believes it can accomplish as a result of successful RM efforts. Strategic communications, as evidenced throughout the RMS, is a critical component of any resource mobilization strategy. The CGIAR is currently lacking a comprehensive, system-wide communications strategy. New avenues of funding and partnership engagement will be much more difficult to realize without:

- A strong brand
- System-wide material that showcases key insights, trends and research from across the enterprise
- Participation in and shaping of high-level, relevant events around the world
- An adequately funded collaborative communications plan that connects centers and CRPs to the CGIAR

The case serves as a reference point for all resource mobilization efforts, and is the primary source document for all subsequent resource mobilization materials. Organizations typically tailor their RM case for support for different audiences (government, foundation, corporation, etc.)

Best Practices Among Peer and Aspirant Organizations:

- The Global Partnership for Education’s Case for Investment, which calls for \$3.5bn for three years, asserts that funding would enable GPE partners to achieve a 10% reduction in primary and lower secondary school drop-out rates and a 10% reduction in primary and lower secondary school repetition rates globally.³⁵
- The Global Crop Diversity Trust equates the funding of its endowment with “safeguard[ing] the diversity of the major food crops of the world in gene banks. At a cost of \$34mn per year, to the world community, this is unquestionably a highly affordable insurance policy.”³⁶
- The GAVI Investment Opportunity links results to funding. With \$7.5bn over five years, the organization would be able to immunize 300 million children, saving 5 to 6 million lives, with economic benefits amounting to \$80 to \$100 bn.³⁷

³⁵ The Global Partnership for Education, 250 Reasons to Invest in Education: The Case for Investment, <http://www.slideshare.net/gpforeducation/gpe-case-for-investment-web>

³⁶ Global Crop Diversity Trust, Feeding a Growing World – Despite Climate Change, <http://www.croptrust.org/content/feeding-growing-world-despite-climate-change>

³⁷ GAVI Alliance, The 2016-2020 GAVI Alliance Investment Opportunity, [file:///C:/Users/kstevens/Downloads/2016-2020%20GAVI%20Alliance%20Investment%20Opportunity%20\(2\).pdf](file:///C:/Users/kstevens/Downloads/2016-2020%20GAVI%20Alliance%20Investment%20Opportunity%20(2).pdf)

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- In its corporate brochure, the International Union for Conservation of Nature positions itself as “lead[ing] the way in nature conservation and sustainable development through a global partnership of: 11,000 experts generating new knowledge and setting global standards in their fields, hundreds of conservation projects around the world and the collective strength of more than 1,200 government and non-governmental organizations, who are Members of IUCN.”³⁸
 - Cancer Research UK’s “We Will Beat Cancer Sooner” dashboard highlights need: “450 people survive cancer everyday thanks to research;” cites Cancer Research UK’s contribution: “4,000 scientists fighting cancer” with a live update, “126,227 hours researching in our labs this week;” and links need to donations: “GBP 2 could help us find a cancer causing gene” and “GBP 8 helps us keep cancer at the top of the political agenda.”³⁹
 - The Global Fund cites successes in combating Tuberculosis, including saving 20 million lives, funding 37 vaccine candidates and reduced detection periods to argue on behalf of increased funding from donors and, more broadly, the \$1.6bn required annually to stem the disease.
 - Malaria No More’s \$100mn private sector case capitalized on existing Malaria efforts. Donations contributed to “provid[ing] everyone at risk in Africa with prevention and treatment tools by December 2010...to bring preventable deaths to near zero by 2015.” Malaria No More provided recognition for different giving levels; in return for major donations, corporations received media recognition at high-profile events, on MNM literature and in public services announcements.

CGIAR Findings and Analysis:

Although most CGIAR Centers lack a formal case for support and none exists at a system-wide level, several Centers do an effective job of “framing the need” for their particular organization and/or area of expertise:

- ILRI’s 2011 Annual Report, “Livestock Matters: Where Livestock Can Make a Difference” illustrates the larger case for supporting livestock research to benefit people in the developing world.⁴⁰
- GRiSP’s 2012 flyer presents the work its 900 partners conduct as instrumental in reducing the cost of rice and thereby lifting 150 million people above the poverty line by 2035. Research is quantified, “a \$20 investment in GRiSP will lift one person out of poverty,” making a case for the organization’s unique ability to intervene in rice food security.⁴¹
- Making a commitment to research product delivery, CIP outlined in its Strategic and Corporate Plan the goal to fund experimentation-ready research for at least one game-changing food security solution by 2018.⁴²

³⁸ International Union for the Conservation of Nature, Corporate Brochure http://cmsdata.iucn.org/downloads/iucn_english_brochure.pdf

³⁹ Cancer Research UK, Homepage Dashboard, <http://www.cancerresearchuk.org/>

⁴⁰ International Livestock Research Institute’s 2010-2011 Corporate Report, “Livestock Matters: Where Livestock Can Make a Difference” <https://cgspace.cgiar.org/bitstream/handle/10568/16698/ILRICorporateReport2010-11.pdf?sequence=6>

⁴¹ Global Rice Science Partnership, 2012 Flyer, <http://www.africarice.org/publications/GRiSP/GRiSP.pdf>

⁴² International Potato Center, Strategic and Corporate Plan 2014-2023, <http://cipotato.org/wp-content/uploads/2014/05/STRATEGY-EXTERNAL-8-MAY.pdf>

In general, significant work is required by individual Centers and the system as a whole to “make the case” for increased and sustained funding. To facilitate this, the CGIAR system needs to create a culture of RM data collection and measurement, linked with accountability and transparency, which can be easily communicated and capitalized on to drive enhanced resource mobilization. Not addressing this fundamental aspect of RM jeopardizes the CGIAR’s ability to maintain existing and raise significant new resources. The CGIAR risks losing ground to others in its peer and aspirant group if it fails to make its case to a wider audience in the immediate future.

The RMS makes the following recommendations:

ACROSS THE CGIAR SYSTEM:

1. **Linked to a more ambitious SRF and increased RM data-sharing and analysis, the RMS recommends the development of a system-wide “case for support”.** This work should be done in collaboration with leaders from the most ambitious and results-focused Centers and other key stakeholders, including donors, to ensure their buy-in and use of the document and other related tools for RM. Commission a value-for-investment study to drive the system-level case and case communications (See Recommendation 4, Section XI)
2. To assist Centers with local RM efforts, **the RMS recommends the FO make attractive, useful content available, including infographics, case studies, testimonials, RM data, objective needs assessments, social media and other messaging tools available to Centers.**

WITHIN CENTERS:

1. **Similarly, the RMS encourages Centers to develop their respective cases for support** in collaboration with local volunteer leaders and dedicated RM staff. With increased investment, the FO can and should provide technical support and assistance to Centers regarding the development of local cases for support to ensure clear and compelling system-wide messaging.
2. **Centers are encouraged to update their cases for support on a regular basis informed by:**
 - Political, economic, scientific and other developments in the world
 - Latest available assessments of need for their work
 - RM successes and progress against RM goals and plans

VII. Establishing a Clear and Consistent Role for Volunteers

Board members and other volunteer leaders in research and development intensive organizations around the world are playing an increasingly important role in resource mobilization efforts. With the role of volunteers either established or on the rise in many countries, organizations in the CGIAR's peer and aspirant group are benefitting from volunteer engagement in a variety of ways:

- Direct financial investment
- Increasing awareness of their mission and work at high-profile events
- Assistance networking
- Providing in-kind support and expertise
- Hosting events
- Assistance seeking investments

Best Practices Among Peer and Aspirant Organizations:

- The former Prime Minister of Australia, Julia Gillard, has served as Chair of the Global Partnership for Education (GPE) since early 2014. In the summer of 2014, the GPE hosted its second replenishment conference, led by Gillard, raising \$2.1 bn.
- The International Union for the Conservation of Nature's *Patrons of Nature* program includes Her Majesty Queen Noor of Jordan and world-renowned oceanographer Dr. Sylvia Earle. Patrons of Nature raise IUCN's profile, help steward major investors and help open doors to potential new funders.
- Yvonne Chaka Chaka, a leading South African performer, humanitarian and UNICEF Goodwill Ambassador, hosted GAVI's 2012 Partners' Forum and award ceremony in Dar es Salaam, Tanzania. The Forum attracted more than 650 global health and government leaders.
- The Global Fund to Fight AIDS, Tuberculosis and Malaria has received more than \$260mn from (RED) product proceeds. (RED) was created by U2 singer Bono as a means to mobilize private sector contributions to HIV/AIDS. Bono continues to support both (RED) and the Global Fund in advocacy campaigns.
- Oxfam America's Leadership Council comprises donors, doers and advocates, such as Michael Hirschorn, Contributing Editor at The Atlantic Magazine, and philanthropists George Miller and Janet McKinley, who have donated more than \$5mn to the organization.
- The Salk Institute for Biological Studies, which raised \$141mFn in 2013, primarily from governments, received a \$25mn donation from former Salk trustee Conrad T. Prebys in 2014. Prebys' contribution is the largest to the Institute's endowment.

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- As a result of implementing a personalized Impact Plan for each of its volunteer board members, Make a Wish Foundation experienced a significant increase in board-led fundraising over a three year period, raising \$22.5mn via board members in 2013 alone.
 - David Sainsbury, volunteer Chancellor of the University of Cambridge, has contributed more than GBP 127 million to the University, including major investments in plant sciences.

CGIAR Findings and Analysis:

At present, the role of volunteers in resource mobilization is uneven and underdeveloped across the CGIAR system. For example:

- Four of 15 CGIAR Centers have Resource Mobilization Committees (See Appendix 10).
- Ten of 15 Centers described board involvement in resource mobilization as “supportive” but not proactive (See Appendix 10).
- The CGIAR Consortium Board, which represents the breadth of the consortium’s research endeavors, is not systematically involved in fundraising efforts.
- A review of volunteer engagement at Centers reveals a need to strengthen volunteers who can help raise the system’s profile and help mobilize resources from governments, multilateral organizations, corporations, foundations and philanthropists.
- A majority of the RM staff who participated in the development of this strategy believe their current board members have networks that could be helpful for fundraising.
- At one CGIAR Center, a board member’s direct assistance “opening doors” in key donor countries resulted in a \$25mn grant.

The CGIAR has more than 150 volunteer leaders across the system; however, these leaders and their diverse experiences are significantly underutilized – or sporadically utilized – for RM. As a matter of priority, greater emphasis must be placed on RM both in recruiting volunteer leaders and in the responsibilities of leadership roles themselves. Opportunities to create new, high-level volunteer structures and establish a clear and consistent role for volunteers via the RMS will help the CGIAR maximize its RM potential, but significant work and cultural changes will be required.

The RMS makes the following recommendations:

ACROSS THE CGIAR SYSTEM:

1. Building on the recommended new approach to communications and pursuing IFFMs, **the RMS recommends establishing a “Global Investment Council” (or similar) of high-level volunteers to help mobilize resources.** The RMS recommends the Global Investment Council (GIC), with strategic input and implementation support from the Fund Office, concentrate its efforts on mobilizing mega investments for the CGIAR’s increasingly bold and impact-focused research ambitions.

Comprising a small number of **highly influential global leaders, current and recent government ministers, senior executives of multinational corporations, foundation leaders and others in a position to commit and/or mobilize** transformational levels of investment, the recommended role of the Global Investment Council (GIC) includes:

- Meeting twice annually on a set schedule, ideally around major global gatherings of relevance (World Food Prize Borlaug Dialogue, Davos, etc.). Engaging on a regular basis in between meetings to develop RM strategies, coordinate investment approaches and report on progress.
- Raising awareness and promoting the impact and potential of the CGIAR movement with an emphasis on the “grand challenges” represented by the new SRF, possibly through speaking engagements or by convening like-minded entities for CGIAR partnership. It is envisaged that GIC members would help represent the CGIAR’s research and development ambitions at important global meetings regarding nutrition, eradicating poverty, global health, mitigating the effects of climate changes, etc. to position the CGIAR on global platform and agendas. This includes G8 and G20 meetings, Davos, CGI, World Food Prize, etc.
- Making introductions, opening doors and mobilizing resources for the new SRF, with a focus on transformational initiatives at the \$50 million to 100 million+ level.
- Pursuing innovative financial funding and other potentially large scale mechanisms that are best explored at a system wide level and developing piloting initiatives to test them and reassure potential donors and partners as to their potential for implementation and impact

Organized and supported by the FO, the RMS recommends **piloting the GIC by recruiting a relatively small number of global leaders initially** whose profile and networks can be leveraged to raise funds and form partnerships on behalf of the entire system. The RMS anticipates:

- GIC membership increasing over time as the SRF and RMS gain traction and build momentum.
- GIC members playing an important role in ensuring the success of various “pilot initiatives” reflecting a new approach to RM efforts.
- In a second phase, the FO helping CGIAR members to replicate the GIC model at local level and around thematic CGIAR issues.

2. To maximize the impact of the GIC, the system should also:

- Undertake an effort, possibly led by the Fund Office, to improve the CG’s brand/key messages and help all CGIAR leaders communicate the potential impact and urgency of the CGIAR’s research and development-enabling work. Employ impact primers, talking points, examples of impact, and other language to use in engagements. This effort is tied to the recommendation of an identity and brand perception survey that should be conducted before deciding whether or not to pursue a larger branding effort. This branding effort would entail a redevelopment of core messaging on the brand promise, identity, program language and impact (See Section XI on Communications). Again, a system-wide culture of data measurement for accountability is required to facilitate these efforts.

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- Invest in appropriate levels of staff support for volunteer-led fundraising efforts (See Section XII on Staffing).
 - Make better use of global events to engage current and potential new donors.
 - Engage traditional CGIAR donors to help recruit GIC members and position them for success by making lead investments in the SRF in exciting new ways.

Over time, Centers should be encouraged to nominate potential qualified members from their networks to join the GIC.

WITHIN CENTERS:

1. Building on the recommended new approach to communications, including regional cultivation events and the use of global ambassadors to raise awareness of the entire CGIAR movement and ambitious SRF, **the RMS encourages Centers to make volunteer recruitment and engagement a priority to maintain current funders and access new donor audiences.** As an alternative to attempting to turn existing governing bodies into important drivers for fundraising, **the RMS encourages Centers to establish Global Investment Council “chapters” (or similar)** whose members would be charged with:
 - Meeting at least biannually and engaging on a regular basis in between meetings to develop RM strategies, coordinate investment approaches and report on progress.
 - Raising their Center’s profile and underscoring the vital role it plays in the overall CGIAR movement’s ability to improve nutrition, fight poverty, help communities adapt to the effects of climate change, etc.
 - Leading by example by playing a direct personal role in securing investment on behalf of the Center, with an emphasis on strategic, pace-setting investments that back the Director’s plan and vision for the future. Centers have been successful in securing mostly small- to medium-sized grants to date.
 - Engaging potential funders from their personal and professional networks in the vital work of the Center and CGIAR movement.

The RMS suggests that GIC Chapters be established in a second phase, following the creation of the GIC, learning lessons from its performance, and using GIC members to recommend potential Chapter members who may be more relevant for a specific Center.

The RMS encourages Centers to consider the following constituencies as potential GIC Chapter candidates, with cultivation and recruitment assistance from the FO:

- Former government officials with the potential to mobilize support at a local/regional/thematic level
- Senior executives from local/regional corporations, with an emphasis on family-owned or controlled companies that employ large numbers of people

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- Local/regional philanthropists with an interest in food security, innovative research, sustainable livelihoods, etc.
 - Leading local/regional families

Centers are encouraged to share volunteer-related RM success stories with the FO for promotion across the CGIAR system to help strengthen the “culture of philanthropy” and advocacy.

Across the system, develop impact primers on key topics that would look out 4 to 6 months. Focus on big issues and events, tying them all together and to CGIAR’s efforts. Include talking points, examples of impact, and other language to use in speeches and engagements. Such primers would not be prescriptive, but an aid to leadership across the CGIAR to more easily communicate about our collective work and impact to their own audiences, stay up to date on upcoming events that touch across the system and serve as an aligning force as it relates to messaging and branding of the CGIAR.

VIII. Joining Forces to Engage and Steward Donors

Donor stewardship is the effort of an organization seeking donor investment, including research and development funding, to ensure that funds are well managed and spent. Good stewardship sees donors experiencing regular interaction with the organization to foster long-term engagement and increased investment.

Good donor stewardship is a function of:

- Accurate and detailed record keeping and data management
- Consistent reporting on the impact of investments
- Appropriately engaging donors in the life of the institution and its broader social movement
- Recognizing their support (privately or publicly)

Best Practices Among Peer and Aspirant Organizations:

- The 2012 GAVI Alliance Partners' Forum brought together more than 650 global leaders in health. The Forum featured collaborative workshops to advance GAVI's mission as well as award ceremonies, hosted by Tanzania's Minister of Health and Social Welfare, to recognize advancements and donor contributions.⁴³
- The Global Agriculture and Food Security Program's Annual Reports include detailed project profiles that clearly link donor contributions to results. Highlighted in the 2013 GAFSP Annual Report, for example, a \$50mn grant to the Integrated Agricultural Productivity Project in Bangladesh will benefit 295,000 farming households and increase rice production by 20%. The U.S. Department of the Treasury's International Programs FY 2014 Budget Request lauds the GAFSP's transparency: "GAFSP has in place several mechanisms to track results. These include common results indicators for all GAFSP projects that will allow aggregation of results across the GAFSP portfolio, an annual GAFSP report, and the use of rigorous impact evaluations on at least 30 percent of all GAFSP-financed projects to help donors better track impacts to the household level. This is noteworthy, since most development institutions conduct impact evaluations on less than 10 percent of all projects."⁴⁴
- The Global Environmental Facility's Project Management Information System (PMIS), launched in 2008, is a database and information exchange system that can be accessed by all GEF stakeholders. The PMIS tracks project indicators, monitors project performances, collects thematic information and manages stakeholder project communications. A PMIS feature, the System for Transparent Allocation of Resources (STAR), depicts fund allocations to projects, thematic focal areas and countries. The PMIS enables GEF to quickly produce progress reports for internal and external use.

⁴³ GAVI Alliance, Partners Forum 2012, <http://www.gavi.org/partnersforum2012/>

⁴⁴ Justification for Appropriations FY2014 Budget Request, U.S. Department of the Treasury International Programs, http://www.treasury.gov/about/budget-performance/Documents/FY2014_Treasury_International_Programs.pdf

The organization partly attributes increased resources to the PMIS; the GEF negotiated \$4.43bn from 34 country donors in its sixth replenishment in 2013.⁴⁵

- The Global Fund to Fight AIDS, Tuberculosis and Malaria has “improve[ing] the quality, consistency, access and use of information” as one of five “Priorities for 2014.” The Annual Financial Report 2013 notes, “the Global Fund has no consolidated management dashboard of key figures to inform decision making or monitor progress on key activities...developing a new funding model portal will provide important parts of the dashboard, but considerable additional work will be required on implementation of processes, systems and ownership for continuity and consistency of data, and a more formal data governance structure. The launch of an improved intranet will further enhance these developments.”⁴⁶
- UNEP’s website features infographics that recognize major donors, including the “Top 15 Donors to the Environmental Fund in 2013” and “Top 15 Highest Ever Payments to the Environmental Fund” (See Appendix 13). The Top 15 Donors in 2013 invested more than \$73 million, a nearly 10% increase from 2012.
- UNICEF’s VISION (Virtual Integrated System of Information) is an enterprise resource planning aggregator of global program and funding results. All data is aggregated to the corporate level, enabling the organization to assess financial performance and report back to donors. Additionally, UNICEF’s Private Fundraising and Partnerships Plan 2014-2017 cites both IT Systems and Knowledge Management as enablers to the organization’s goal of \$1.75bn (\$1.43bn in 2013) in private fundraising by 2017. IT systems include: “common IT platforms for fundraising (including donor databases, corporate engagement management) and finance (accounting and reporting systems).” Knowledge Management entails, “a culture of knowledge-sharing and replicated best in class performance through the global UNICEF network and collaborative tools and mechanisms, including shared platforms (See Appendix 14).”⁴⁷ UNICEF’s overall fundraising has nearly quadrupled in the past decade, from \$1.6bn in 2003 to \$4.9bn in 2013.⁴⁸
- The International Crisis Group in Brussels recognizes major donors via giving societies, including the Leadership Circle and President’s Council, which include annual investments of \$250,000 and \$100,000 or more, respectively.

CGIAR Findings and Analysis:

Centers engage in the elements and activities of donor stewardship to varying degrees. Best practice examples include:

- WorldFish produces donor “snapshot” annual reports that are customized for key institutional donors.

⁴⁵ The GEF Project Management Information System, <https://www.thegef.org/gef/sites/thegef.org/files/documents/document/PMIS.Presentation.pdf>; Conversation with GEF Business Solution Staff/PMIS Software Engineer, September 2014

⁴⁶ The Global Fund to Fight AIDS, Tuberculosis and Malaria, Annual Reports – Annual Financial Report 2013, <http://www.theglobalfund.org/en/publications/annualreports/>

⁴⁷ UNICEF, Private Fundraising and Partnerships Plan 2014-2017, http://www.unicef.org/about/execboard/files/UNICEF_Private_Fundraising_and_Partnerships_Plan_2014-2017.pdf

⁴⁸ UNICEF, 2013 Annual Report, http://www.unicef.org/publications/files/UNICEF_Annual_Report_2013_web_26_June_2014.pdf;

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- In its 2013 Annual Report, ICRAF recognizes Mars, Inc. for contributing to the Center’s “Vision for Change” cocoa project in the Cote d’Ivoire. ICRAF reports the impact of Mars’ involvement: more than 10,000 small share farmers have been served as a result of the partnership.⁴⁹ ICRISAT recently merged its fundraising and communication departments; the Center analyzes their donor pool, prioritizes donors into groups, and develops targeted communications plan for each donor.
 - IFPRI co-hosted its 2020 Vision Initiative Conference on “Building Resilience for Food and Nutrition Security” with major donors such as USAID, the Rockefeller Foundation and DuPont Pioneer.
 - “The CGIAR at 40 and Beyond,” produced in 2011, pays tribute to founding and current CGIAR donors by highlighting CGIAR success stories and growth since the organization was created.⁵⁰

At the same time, challenges exist for the system:

- The flow of funds through the various funding windows and/or directly to Centers makes it more difficult to compile and communicate accurate and insightful giving facts, figures and trends across the system, especially among the top 10, top 20, top 50 donors to agriculture for development.
- Given the pooled nature of Window 1 funding, when disbursements are made from the World Bank, the FO cannot tell which donor contributions are being disbursed and to where. However, if disbursements are from Windows 2 and 3, donors can be identified.
- Reporting and data collection are not centralized. The FO creates a monthly Fund Status Report on the CGIAR Fund as well as bi-annual reports for the Fund Council meetings and the CGIAR Financial Report. CGIAR Fund data is maintained by the World Bank, and shared with the Fund Office. The Fund Office uses Excel to generate reports. Center-level data, however, is collected by the Consortium Office in a bilateral donor database. Centers submit bilateral donor data to the CO on an annual basis via an Excel template.
- Donors are seeking greater transparency in research funding outcomes and results.
- Centers have expressed a need for assistance communicating to donors the impact of their research and work.

The current resource mobilization landscape indicates that donor demands for impact, accountability and on-the-ground product delivery will only increase. The CGIAR fails to consistently communicate the innovative research and products donor contributions enable. If this continues, funding will decline. It is therefore essential that the CGIAR foster a culture of RM data and information exchange that can be communicated and leveraged for donor stewardship. A system-wide communications strategy (Section XI) will enhance these efforts.

The RMS makes the following recommendations:

⁴⁹ World Agroforestry, 2012-2013 Annual Report, http://intranet.worldagroforestry.org/apps/annual_report_2013/

⁵⁰ CGIAR, The CGIAR at 40 and Beyond, http://www.cgiar.org/www-archive/www.cgiar.org/pdf/cgiar%4040_final_LOWRES.pdf

ACROSS THE CGIAR SYSTEM:

1. **Invest in the FO's ability to collect, analyze and better communicate the scale and impact of contributions across the system. Specifically, by dedicating staff to forge links with colleagues in Centers leading to improved transparency, accountability and increased trust.** Consistent with other peer and aspirant organizations, the RMS recommends the CGIAR take steps to develop mechanisms and protocols supported by software for managing RM data in a more effective manner. This could require a significant design and implementation period. The RMS cautions the CGIAR against looking at software alone as the solution. Success in this area will require improved communications and collaboration. Worth noting, the GEF's Project Management Information System (PMIS), mentioned above, was designed and implemented by a single staff member in the course of a year. PMIS operating costs are: two GEF staff salaries and use of World Bank servers at a monthly fee of approximately \$1,000 per month. At present, two GEF business solutions employees dedicate part of their time to operating the PMIS.

The system could include:

- Monitoring program results related to largest grants
 - Tracking grants, Window funding allocations and disbursements⁵¹
 - Prospect tracking and donor stewardship management tools (see also Section X)
 - Facilitating communications and results across the system
2. **Invest in the FO's ability to communicate the most exciting stories from across the system including the vital role that investment played. Improved communications system-wide will make successes easier to quantify.** Pilot this effort by working with Centers and CRPs on branding a key success or impact story each year to position the enterprise as a collective. Stories should showcase the connection between CGIAR as a system and a variety of global development challenges.
 3. **Establish a series of high quality regional and global events that Centers and others can use to engage their donors** (and prospective new ones). Pilot different kinds of events for various audiences, including the private sector and emerging donors. Invite private sector actors involved in CGIAR innovative financial mechanisms to host and feature major global agriculture figures as keynote speakers.
 4. Linked to the recommended Global Investment Council, **establish high-level "donor circles" and other recognition that celebrates extraordinary generosity and leadership by donors** (public and private sector).

WITHIN CENTERS:

1. **Centers are encouraged to invest in compatible donor management software enabling grant income and disbursement data to be analyzed across the system.** Centers are encouraged to share more specific and detailed reports, especially regarding their most successful research for

⁵¹ Understanding the limitations of pooled Window 1 funding.

development initiatives. At present, grant income is not directly reported to the FO except through financial statements; there is no real-time exchange of information.

IX. Committing to Expanding and Diversifying Traditional Funding Sources

Based a review of the international funding landscape and RM strategies employed by peer institutions, described in detail in Sections II and III, an urgent need exists for the CGIAR to:

- Explore new streams of funding from existing traditional donors, including innovative finance
- Increase contributions from nontraditional, emerging donors and donors that give significantly to peer and aspirant multilaterals
- Deepen involvement with the private sector

Expanding Existing Donor Relationships through New Streams of Funding

Simultaneous to direct investment, traditional CGIAR donors are engaging in new forms of giving to other global causes via mega replenishment investments and innovative finance mechanisms, among others. Overall giving from key CGIAR donors, in part, via replenishment to the Global Fund is telling: ⁵²

Government Donor	The Global Fund (2001-Present)	CGIAR (1972-Present)
Australia	\$552mn	\$284mn
Canada	\$1.9bn	\$559.8mn
The Bill & Melinda Gates Foundation	\$1.6bn	\$329.1mn
The European Commission	\$2.1bn	\$690.2mn
The United Kingdom	\$3.7bn	\$879.8mn
The United States	\$13.5bn	\$1.98bn

In addition to aid agencies, traditional CGIAR donors are making development contributions through other channels, such as:

⁵² The Global Fund to Fight AIDS, Tuberculosis and Malaria, Pledges and Contributions, <http://www.theglobalfund.org/en/partners/governments/>; GAVI Alliance, Annual Donor Contributions to GAVI 2000-2033 as of 30 June 2014, <http://www.gavi.org/funding/donor-contributions-pledges/>

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- The United States Department of the Treasury requested more than \$2.8bn for the international programs and multilateral institutions it provides aid to in its FY2014 Budget Request. Allocations to peer and aspired multilaterals include: \$135mn to the GAFSP and \$427.5mn to the GEF.⁵³
 - The UK pledged £3.87bn, from 2011 to 2016, to its International Climate Fund (ICF). The ICF is supported by the Department of Energy & Climate Change, the Department for International Development and the Department of Environment, Food & Rural Affairs. ICF funding advances climate change adaptation, including the development of climate-resistant crops.⁵⁴
 - The United States Department of Agriculture announced the creation of a \$200mn Foundation for Food and Agriculture Research in August 2014.⁵⁵

Innovative finance either creates new channels for existing donors to provide funding or tap into new funders – non-OECD donors, individuals and institutions. Over the last decade, innovative financial mechanisms have generated an estimated \$20-30bn in additional funding for development causes – bridging the funding gap between the funds needed to achieve high-level targets like the MGDs and donor budgets. See Appendix 15 for an overview of the landscape and most common and current strategies for innovative finance.

High-profile examples include:

- The international solidarity levy on air tickets
- The International Finance Facility for Immunization (IFFIm): Nine donor governments collaborated on the vaccine bond for GAVI that has raised \$6.3bn.⁵⁶
- Advance Market Commitments (AMCs)
- Debt conversions: Australia's AU \$75mn commitment to the Global Fund's Debt2Health program.⁵⁷
- Voluntary solidarity contributions: PRODUCT (RED) brands commit 50% of their profits to support the Global Fund. To date, more than \$260mn has been raised.

In preparing the RMS, 20 innovative finance strategies were reviewed for their applicability to the CGIAR. See Appendix 16 for a list of existing strategies analyzed for the CGIAR. A list of criteria was developed based on CGIAR stakeholder feedback and conversations with the Fund Office. Criteria for prioritizing (and shortlisting) strategies for the CGIAR included:

Critical Criteria

- **Potential to Scale:** There is scope to raise USD 500m+ additional capital
- **Alignment with CGIAR agenda:** There is a focus on development outcomes and global public goods

⁵³ Justification for Appropriations FY2014 Budget Request, U.S. Department of the Treasury International Programs, http://www.treasury.gov/about/budget-performance/Documents/FY2014_Treasury_International_Programs.pdf

⁵⁴ UK International Climate Fund, https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/48217/3389-uk-international-climate-fund-brochure.pdf

⁵⁵ United States Department of Agriculture, USDA Secretary Announces Creation of Foundation for Food and Agricultural Research, <http://www.usda.gov/wps/portal/usda/usdamediafb?contentid=2014/07/0156.xml&printable=true&contentidonly=true>

⁵⁶ GAVI Alliance, IFFIm Donors, <http://www.iffim.org/donors/>

⁵⁷ The Global Fund to Fight AIDS, Tuberculosis and Malaria, Debt2Health Factsheet, [file:///C:/Users/kstevens/Downloads/PrivateSector_D2H_FactSheet_en%20\(3\).pdf](file:///C:/Users/kstevens/Downloads/PrivateSector_D2H_FactSheet_en%20(3).pdf)

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- **Burden on governance structures and management capacity:** Resources required to implement and oversee the mechanism are reasonable and achievable

Preferential Criteria

- **Options to engage private sector:** The mechanism helps bring in private funding and/or improves collaboration with partners
- **Options to engage with National Agriculture Research Institutes/governments:** The mechanism aligns with the objective to work with partner governments
- **Unrestricted versus restricted funding:** The mechanism ties funds to a specific projects and/or supports the objective of raising unrestricted funding
- **Resources mobilized and deployed as grants:** The mechanism fits with the CGIAR's current grant-based strategy and allows for integration with the existing model

This analysis resulted in the following mechanisms being identified as the most appropriate and relevant for the CGIAR to consider, some of which lend themselves to World Bank financing options:

1. **Returnable Capital Funds:** Donors collectively pool capital in a fund. This fund invests in stocks, bonds and other securities, and returns generated by these investments are allocated to CGIAR. Donors, however, can have some or all their capital returned at any time, so the capital advantageously stays on donors' books as an asset rather than a cost. For example, the Wellcome Trust is based on this model – using a pool of £16.3bn to channel £726mn into scientific research in 2013. Initially, the Trust was established as the owner of the Wellcome Foundation Drug Company. Over time, this capital base has expanded and diversified to include recycled royalty payments from outputs of R&D activities and to raise capital from public markets.
2. **Product Development Partnerships (PDP):** Donors allocate grant funding to a window financing the CGIAR's contribution for public private partnerships in specific product or sector R&D. PDPs in the global health space each raise \$10-70mn annually to fund research collaborations between public and private sector organizations. GALVmed has raised \$85m over 9 years from DFID, BMGF and the EU to fund product development and improved distribution channels in the animal health space
3. **Pull Mechanisms:** Donors allocate grant funding to a window to partially subsidize government contracts the purchase products from R&D organizations – where the product meets specific criteria. This send signal that it is possible to generate competitive returns from these products, inducing private sector companies to invest in R&D, and allows governments to access and deploy the product cheaply. For example, the Advanced Market Commitment (AMC) for Pneumococcal Vaccine has raised \$1.4bn from 6 donors – Russia, Canada, Norway, UK, Italy and BMGF – setting market price for any company that can develop and produce vaccines against pneumococcus – which kills 1.6m children each year.
4. **Impact Bonds:** Donors commit to pay for a defined development outcome – e.g. \$10m if CIP can develop and register 5 new sweet potato varieties in 3 years. Investors – usually foundations and philanthropists – fund an implementing partner's upfront costs to achieve that outcome, and receive the payment on completion. For example, UBS Optimus invested \$280,000 for Educate Girls,

an Indian NGO, to improved test performance and female attendance figures in Rajasthan, India. The Children's Investment Fund Foundation (CIFF) pledged to pay for set achievement milestones.

5. **Impact Investment Funds:** Donors, DFIs, institutional investors, corporates and private individuals invest in a fund. This fund invests – through equity stakes or loans – in businesses that take CGIAR technologies and use them as the basis for a commercial business – i.e. a seed nursery or micro-insurance company. For example, the Global Health Investment Fund is a \$108m fund that invests in late stage trials and commercialization of products developed by PDPs that target neglected diseases prevalent in Sub-Saharan Africa. Investors include: KfW, CIFF, the IFC, Grand Challenges Canada, Pfizer, Merck, GlaxoSmithKline, Storebrand, AXA and private individuals. Investors expect below market rates of return on the portfolio, but if the fund loses money, investors are protected on up to 70% of their investment by a guarantee from the Gates Foundation and the Swedish International Development Agency.
6. **Debt Leverage Mechanisms:** Donors either make borrowing capital cheaper upfront for governments if they use the money for a specific development activity (by guaranteeing the loan or lending at concessional rates) or retire/reduce the cost of existing loans if quantifiable targets are met. For example, since 2003, the Gates Foundation has committed \$140m to convert IDA loans to Pakistan into grants as polio eradication milestones have been met in the country.

Attracting Contributions from Donors that Invest in Other Multilateral Organizations

A number of OECD-DAC donors that give to the CGIAR are simultaneously giving at much higher levels to peer and aspirant multilateral institutions.

The Global Agriculture and Food Security Program was established to disburse pledges made at the G20 Summit in Pittsburgh. Ten country donors⁵⁸ have contributed to the GAFSP, including OECD-DAC members whose CGIAR contributions are significantly smaller:

Government Donor	The Global Agriculture and Food Security Program (Pledge to Date) ⁵⁹	CGIAR
South Korea	\$84mn	\$21mn (1990-2010)
Spain	\$90mn	\$35mn (1980-2010)

Government Donor	The Global Fund (2000-Present)	CGIAR (1970-Present)
France	\$3.8bn	\$77.5mn

⁵⁸ GAFSP donors: Australia, The Bill and Melinda Gates Foundation, Canada, Ireland, Japan, Korea, Netherlands, Spain, United Kingdom, United States

⁵⁹ The Global Agriculture and Food Security Program, Funding, <http://www.gafspfund.org/content/funding>

Japan	\$2.1bn	\$232mn
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Emerging governments are increasing contributions to peer CGIAR organizations.

Significant contributions from emerging bilateral donors of the Global Fund include:

- China has increased pledge amounts to \$5mn annually from 2012 to 2016; China gave \$10mn from 2001 to 2007.
- India has pledged more than \$27.5mn to the Global Fund in the two most recent replenishment cycles.
- Nigeria has pledged at every replenishment cycle to a total of \$59mn.
- Saudi Arabia increased its contributions to the Global Fund from \$10mn, from 2001 to 2007, to \$18mn from 2008 to 2010.⁶⁰

The **World Food Programme** has also attracted significant growth amongst emerging bilateral donors, a number of which are former WFP recipients turned leading regional aid donors:

Government Donor	2009	2012	2013	2014 ⁶¹
Brazil	\$15.7mn	\$83.5mn		
South Korea	\$5.4mn		\$15.4mn	
Russia	\$26.8mn		\$50mn	
Saudi Arabia	\$19.6mn			\$153mn
UAE		\$2.9mn		\$31mn

In 2014, the Global Partnership for Education secured a \$400mn pledge from the Islamic Development Bank in loan buy-down, an innovative financing mechanism that is ground breaking in the education sector.⁶²

Saudi Arabia is the one of three non-OECD states amongst the top 20 donors to IFAD. Saudi Arabia contributed \$50mn to IFAD's Eighth Replenishment Conference in 2009, up 500% from its previous contribution.

Leveraging Private Sector Funding and Partnerships

⁶⁰The Global Fund to Fight AIDS, Tuberculosis and Malaria, Pledges and Contributions, <http://www.theglobalfund.org/en/partners/governments/>

⁶¹ World Food Programme Comparative Figures by Donor Type, 2008-2015. <http://documents.wfp.org/stellent/groups/public/documents/research/wfp245536.pdf>

⁶² The Global Partnership for Education, Replenishing Our Financial Resources, <https://www.globalpartnership.org/replenishment>

Corporate alliances, in the form of public private partnerships are a potential “new” source of funding for the CGIAR. Importantly for the CGIAR, they also serve to elevate the profiles of organizations and causes, facilitating new and greater funding from broader audiences. Private sector involvement in agriculture aid has experienced huge growth in the past decade; illustrative trends and projects, outlined below, signal even greater potential. Amongst peer and aspirate organizations, the following private sector initiatives have shown success:

- Private sector contributions to the Global Partnership for Education include \$300mn from Microsoft and \$100mn from the MasterCard Foundation. In 2014, the Partnership secured its first private sector pledges to the GPE Fund, including \$20mn from the Children’s Investment Fund Foundation.⁶³
- The GAVI Matching Fund is a private sector program designed to raise \$260mn for immunization by the end of 2015. Under the initiative, DFID and the Bill & Melinda Gates Foundation pledged approximately \$130mn combined to match contributions from corporations, foundations, their customers, members, employees and business partners. Initial partners, including JP Morgan, Anglo American and Vodafone, among others, contributed more than \$74mn.
- Contributing to the World Food Programme, World Hunger Relief is Yum! Brands’ annual campaign to end hunger. Yum! Brands has donated more than \$150mn to WFP and other hunger organizations since the campaign began in 2007. The World Food Programme has more than 15 private sector partners that engage in activities that range from capacity building to resource mobilization and brand building.⁶⁴ (See 17 for the WFP’s Private Sector Partnership Continuum.)

Some examples of meaningful funding for international agriculture for development include:

- Dupont has committed \$10bn to R&D to develop 4,000 new agriculture products with an aim to end hunger by 2020.⁶⁵
- The Cocoa Partnership, established by Cadbury, Kraft, Hershey and others, has committed approximately \$70mn to invest in cocoa farming over ten years.
- Mondelez’s “Coffee Made Happy” is a 10-year, \$200mn plan to create 1 million coffee entrepreneurs by 2020.⁶⁶
- Coca-Cola will invest \$17bn in sustainable growth in Africa from 2010-2020; Project Nurture is an \$11.5mn partnership supporting 50,000 small-scale sustainable fruit farmers in East Africa.
- Olam International, a supply chain manager and processor of agricultural products based in Singapore, has invested \$118.6mn in agriculture programs. The Olam Nigeria Rice Initiative was recognized by The Rockefeller Foundation in 2013.

⁶³ The Global Partnership for Education, Replenishing Our Financial Resources - Pledges, <https://www.globalpartnership.org/replenishment>

⁶⁴ WFP Private Sector Partnership and Fundraising Strategy 2013-2017, <http://documents.wfp.org/stellent/groups/public/documents/eb/wfpdoc062579.pdf>

⁶⁵ Dupont Food Security, A Science to Feeding the World, <http://foodsecurity.dupont.com/food-goals/>

⁶⁶ Mondelez International, Mondelez International To Invest in One Million Coffee Farming Entrepreneurs by 2020, <http://ir.mondelezinternational.com/releasedetail.cfm?releaseid=734888>

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- The USAID-lead New Alliance for Food Security and Nutrition has more than \$3bn in private sector investment since the initiative was launched in 2012. More than 60 companies have signed the “Private Sector Declaration of Support for African Agricultural Development.”⁶⁷

CGIAR Findings and Analysis:

The CGIAR faces several important challenges. It is a small- to medium-sized entity relative to others within its resource mobilization peer and aspirant group. The CGIAR is heavily reliant on a small pool of donors, primarily governments, with the top ten accounting for some 40% of total revenue. The CGIAR currently trails organizations in its peer and aspirant group regarding private sector engagement in RM. It’s worth noting that the private sector invests approximately 20 times the total CGIAR budget into agriculture R&D annually (See Appendix 18).⁶⁸ Lastly, the CGIAR faces cultural and governance challenges regarding the pursuit of innovative financial funding mechanisms. See Appendices 19 and 20 for governance, management and mechanism-specific design considerations.

These challenges will need to be addressed as a matter of urgency in order to maintain existing funding and pursue ambitious new RM goals.

To achieve the ambitions of the SRF, the CGIAR will require significant increases in funding from existing and new donors via both traditional grants and innovative mechanisms. Capacity investment and piloting of new mechanisms should be complemented by strategic communications and improved donor stewardship. Without significant and immediate investment in diversifying funding sources, the CGIAR will be at a competitive disadvantage relative to its peer and aspirant organizations.

The RMS makes the following recommendations:

ACROSS THE CGIAR SYSTEM:

1. Linked to recommendations regarding a more ambitious SRF, improved communications, data-sharing and the establishment of a Global Investment Council, **the RMS recommends the FO develop specific new funding propositions and strategies, with success advancing the aims of the SRF. The FO should act as a broker for the system, bringing new and existing funders and partners together to steer successful RM initiatives. This should include agricultural product development partnerships, the building of funding consortia to champion high impact development projects that require CGIAR involvement, and innovative financial funding-led approaches, among others.**
2. **To support this work the RMS recommends building capacities and expertise at the FO to pursue innovative financial funding opportunities, beginning with pilots.** Piloting selected mechanisms will build expertise and momentum for innovative finance, test and refine models as quickly as possible, and create dialogue with donors and the private sector. The RMS recommends piloting the following mechanisms as the most viable:

⁶⁷ USAID, More than \$3 billion in Private Sector Investment for the New Alliance for Food Security and Nutrition, <http://www.usaid.gov/news-information/fact-sheets/more-3-billion-private-sector-investment-new-alliance-food-security-and>

⁶⁸ Research Investments and Market Structure in the Food Processing, Agricultural Input, and Biofuel Industries Worldwide. Fuglie et al, USDA 2011

In the immediate term, **pilot the Returnable Capital Fund and the Product Development Partnership** mechanisms. Possible indicative scenarios include:

- **Returnable Capital Fund:** Four donors invest \$25mn each to seed a fund housed in and managed by the World Bank Treasury team. The fund invests in a portfolio of sustainable businesses aligned with agricultural development with a target real return of 5-10%. The fund commits 50% of annual returns to the CGIAR in the form of a grant to Window 1.
- **Product Development Partnership:** Two donors invest \$25mn each to establish a PDP program. Initially, this consolidates the Center-level relationships with private sector actors and looks for areas to plug funding gaps in these partnerships. Thereafter, the PDP accepts proposals for new public-private partnership research proposals coming out of the CRPs. The PDP provides funding and coordinates additional stakeholders (new links between businesses and centers or governments).

In the medium term, **explore the impact bond and loan buy-down models**. Possible scenarios include:

- **Impact Bond:** CGIAR raises \$20mn from foundations and impact investors, repaid by donors if CIP produced 5 new, locally adapted and nutritious orange-flesh sweet potato varieties and registers them in 15 countries in 3 years.
- **Debt Leverage Mechanism:** CGIAR brokers a loan buy-down in Country X. The French Agency for Development (AFD) commits to pay the interest on an \$50mn IDA loan to Country X provided that the funds are invested in Country X's NARI and CGIAR works alongside Country X to improve local R&D infrastructure.

The complexity of a new investment fund and the additional time/complexity of an Advanced Market Commitment are more appropriate for long term consideration. Possible scenarios include:

- **Impact Fund:** Governments and private investors could provide \$50m to a fund that invests \$5m in 10 businesses using technologies developed by CGIAR member centers. An example investment might be an Africa-based start-up selling ILRI-designed index-based livestock insurance to pastoralists.
 - **Advanced Market Commitment:** Donors pledge \$10m to purchase \$8m of rice varieties that do not absorb mercury, cadmium and other metals from water and use \$2m to co-finance private sector distribution to farmers.
3. The CGIAR will need to allocate resources to designing the mechanisms and overseeing these pilots. At the system level, **the RMS recommends the creation of an Innovative Finance working group within the GIC** consisting of:
- Fund Office representative
 - Consortium representative – if appropriate
 - Fund Council Representative – if appropriate

This working group will be responsible for overseeing:

- Overall design of mechanism and pilot implementation;

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- Coordination with Consortium Member Centers that will participate in the pilot implementation;
 - Reporting to Fund Council on progress and decision-points that require Fund Council input;
 - Hiring/appointing experts (financial, legal and technical) to define the terms of approved mechanisms

The RMS also recommends engaging in research to determine the feasibility of quasi-replenishment style fundraising for the SRF. Replenishment, in tandem with other funding mechanisms such as innovative finance, has been hugely successful for CGIAR peer and aspirant organizations. For the CGIAR, a replenishment based on the ambitions of the SRF and conducted alongside the various RMS strategies is particularly compelling. If feasible, this would require establishing capacities and expertise at the FO that would support replenishment efforts. This would entail:

- Promotion of the SRF and the “grand challenges” for agriculture there within
- High-level advocacy within governments for new investment above and beyond Center-specific/normal levels
- Establishing a series of high-level and high-profile events that can drive decision making and provide platforms for reporting progress
- Piloting a few of the most “saleable” strands of the new SRF

WITHIN CENTERS:

1. Expanding and diversifying funding at the Center level requires a sustained commitment by Centers to implementing the recommendations in the RMS. In particular: raising the profile of the CGIAR to new, untapped audiences and partners through collaborative communications work and collective branding of efforts and impact. Establishing messaging that positions the CGIAR as an innovative institution will also aid in attracting non-traditional partners. This can only be done if such efforts are resourced adequately and are a part of a larger, more comprehensive communications strategy.
 - Improving communications in collaboration with the FO to help Centers appeal to wider and new audiences
 - Adopting formal goal-setting protocols and reviewing progress on a regular basis. Centers are encouraged to set meaningful and increasingly ambitious goals for retaining existing donors and attracting additional new donors (primarily governments, but also corporations and foundations)
 - Establishing Global Investment Council Chapters (or similar) and providing sufficient frontline RM staff support for their efforts

X. Establishing Prospect Rating, Management and Cultivation Across the System

“Prospect management” is an essential component of effective resource mobilization. It is defined as the systematic tracking of all relevant interaction with a prospective donor from the time they are first identified until a decision is reached on their investment. Prospect management also entails tracking donor cultivation for future potential investment.

Prospect identification, rating and management is an exciting aspect of RM that has been fueled by advances in management systems and increasingly professional techniques. It encompasses the following:

- Managing key information about each donor prospect (and appropriate contacts therein), including giving history, priority giving areas and recent interaction
- Assigning ratings to prospects in accordance with investment interest, thematic interest, history of giving, capacity to give, inclination to give, strength of relationship with the organization, readiness to give and predicted level of giving
- Tailoring “contribution request” strategies and systematically moving donor prospects into position to be asked
- Tracking investments to ensure appropriate donor stewardship
- Developing a realistic plan in terms of objectives and time frames to achieve significant giving levels

Best Practices Among Peer and Aspirant Organizations:

- The Global Environmental Facility is entirely funded by government donors that sit on the GEF Council. GEF External Relations staff maintains year-round relations with donor countries, providing GEF-produced Annual Program Evaluations, while Technical Teams negotiate GEF Replenishment contributions. According to the GEF, there are no pre-set goals for replenishment cycles. However, needs are presented via GEF Program Evaluations and donors are expected to increase funding with each replenishment. The most recent GEF Replenishment raised \$4.43bn in 2014 from 34 donors.⁶⁹
- The Global Partnership for Education has developed a contact reporting system whereby every GPE interaction with senior donor representatives must be catalogued. The GPE also relies on a prospect and donor tracking database to map cultivation activities. The GPE’s second replenishment conference in June 2014 provided a platform for seven donors to increase their contributions to GPE Fund and for two private foundations to announce first time investments. The UNHCR Secretariat coordinates with national offices to fully fund individual monthly and one-off giving. The UNHCR attributes overall fundraising growth to increased individual giving, which is

⁶⁹ Conversation with GEF Head of External Relations, April 2014

distributed across the system and to emergencies. Income from individual giving has grown from \$21mn in 2007 to a projected \$130mn in 2014.⁷⁰

- For the \$110mn Kiwanis-UNICEF Eliminate Project, a team of 12 staff, centralized at the Kiwanis International Foundation, is partially devoted to securing and cultivating high-level donors. Staff are assisted by clubs and districts in prospecting; this effort has secured \$7mn as part of the \$60mn raised to date. Prospecting is centralized through the Foundation via Raiser's Edge software, which was implemented in throughout the Kiwanis system.⁷¹
- Implemented in 2010, the American Civil Liberties Union's fundraising database enables multidirectional data collection. Affiliates add prospect and donor data to the unified database and receive training and tactical assistance from centralized staff assigned to support affiliates. The ACLU has witnessed year-on-year growth and increased donor retention since the coordinated database was implemented.⁷²
- Human Rights Watch hosts a three-day annual Council Summit for City Committee leaders and major prospective donors. The Summit serves to further engage volunteer leaders and donors by showcasing the organization's work through guest speakers and workshops. Their 2014 Summit in Amsterdam was attended by more than 200 donor volunteers and prospects. Keynote speakers included an International Criminal Court Chief Prosecutor and well-known Ugandan activist.⁷³
- The World Wildlife Fund for Nature's Secretariat provides a pool of additional pilot project funding to its 40 country members that are willing to share data or engage in joint fundraising efforts with other member offices. Country offices use funds for capacity building and special campaigns.⁷⁴

CGIAR Findings and Analysis:

Prospect identification, rating and management present specific challenges for the CGIAR for a number of important reasons:

- Centers are independent and generally guard their donors and prospects closely. While there is little collaboration amongst Centers in prospecting, a number of staff within Centers undertake these responsibilities, including Directors General, senior staff, field scientists and designated resource mobilization staff, depending on the Center.
- Prospect management systems vary significantly with limited coordination amongst the Centers. In prospecting and tracking grants, some Centers engage in basic Excel-based logging while others use powerful software such as Raiser's Edge. Among Centers that do not currently employ donor tracking software, many expressed the intention to implement donor tracking programs in the coming year or years.

⁷⁰ Conversation with GPE Head of External Relations, July 2014

⁷¹ Conversation with Kiwanis Eliminate Project Campaign Consultant, August 2014

⁷² Conversation with American Civil Liberties Union Campaign Consultant, August 2014

⁷³ Conversation with Human Rights Watch New York City Committee Fundraiser, July 2014

⁷⁴ Conversation with Former Head of WWF UK, August 2014

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- Accurately tracking R&D investments via the funding windows requires a more streamlined system and increased communication between the Fund Office, Centers and CRPs than exists at present.
 - Perceived competition between Centers makes collaborating on donor acquisition and retention more difficult, especially given relatively understaffed RM function in most Centers.
 - Based on survey responses, Centers are spending a majority of their time stewarding existing donors (60-90%) rather than identifying and engaging potential new ones.
 - A high percentage of the CGIAR's fundraising is reactive, with Centers and CRPs responding to donors, calls for proposals, etc.

At the same time, there is openness to this topic and examples of Centers taking a systematic approach and realizing significant returns:

- At least one Center uses a Donor Liaison Responsibility Table to guide relationships with prospective and existing donors.
- A majority of Centers interviewed agreed that high-level positioning of the CGIAR could create 'an enabling environment' for resource mobilization across the system.
- Roughly a third of the Centers agreed that the CO/FO could open doors to new funders for the system as a whole.
- Centers are increasingly mobilizing to secure funding from new sources. One Center aims to obtain 20% of total funding from the private sector by 2020. Another Center undertook a private foundation fundraising trip to the U.S. in the summer of 2014. A number of centers have drafted strategies on private sector engagement.

The ambitions of the SRF cannot be achieved if coordination between Centers and the system is not established; the lack of RM communication between the system and Centers must be remedied. Continuing to prospect and cultivate donors in an inconsistent or ad hoc fashion is elementary compared with peer organizations – the CGIAR will lose funding to competitors both within agriculture and the broader development sector.

The RMS makes the following recommendations:

Across the CGIAR system:

1. **Establish basic systems and protocols for colleagues across the system to work together to share RM data in real time**, leading to: improved grants, improved donor stewardship and better and more accurate monitoring of progress. Data tracking systems should be piloted and could move toward greater sophistication over time, but should enable tracking prospects and progress across the system and producing reports on a quarterly basis for use by Centers and others.
2. **Dedicate additional resources to database management, analysis and reporting** (see Section VII).

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3. Assist Centers in establishing systems and **advise on best practice for recording grants, contributions and pledges** as well as tracking interaction with prospective new donors.
 4. **Establish an annual series of high-level events** that Centers can use to engage existing donors and prospective new ones. Based on interviews with communications leadership across the CGIAR, the Development Dialogues should be piloted as an annual, high-level event to engage new partners and allies, showcase CGIAR impact, and tie CGIAR's work to a wide variety of global development challenges. Similarly, a significant online component, modeled after the Skoll World Forum online platform, would serve as a powerful way to build a community of leaders who support and engage with CGIAR's mission, vision and work across sectors (see Recommendation 8, Section XI).
 5. Dedicate staff and communications resources to **produce annual and regular reports on fundraising progress, including web-based infographics and other materials** that can be easily accessed by Centers.
 6. **Provide dedicated staff working in Centers with opportunities to network and collaborate with colleagues across the system.** Pilot various upskilling mechanisms, for example:
 - Facilitate resource mobilization professional development workshops, training and upskilling
 - Alongside system-wide representation, ensure Center representation at major global events
 - Dedicate resources at the FO to system-wide capacity building
 - Provide updates and alerts on calls for proposals and funding opportunities

WITHIN CENTERS:

1. Centers are encouraged to make prospect identification, rating and management a more central and systematic element of their RM efforts. Specifically:
 - Appoint an experienced member of staff to lead the Center's prospect identification, rating and management system including the production of monthly reports to ensure a consistent approach, especially regarding readiness ratings and next steps (see Appendix X for samples)
 - Make prospect management updates a regular agenda item for senior management meetings.
 - With advice and input from the FO to ensure data can be aggregated and analyzed, invest in software that enables a systematic approach to tracking interaction with current and prospective donors
 - Track information in a consistent manner that also enables it to be shared, in an appropriate way, with the Fund Office to the benefit of the Centers and system alike (see recommendations below). This exercise should be phased in, with appropriate incentives such as training and analysis of results.
 - Conduct monthly prospecting meetings with volunteers and staff with a view toward producing top 5, top 10, top 20 lists of donor candidates and agreeing next steps
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- Establish an annual calendar of local, regional and global events and activities - in coordination with the Fund Office and other Centers - that can be used to engage existing and potential new donors
 - Participate in Fund Office-led training sessions for RM staff within Centers to increase capacity and establish a community of professionals across the system
 - Develop a culture of sharing information for mutual benefit

XI. Ensuring Effective Communication

Communications is a vital part of resource mobilization in the modern era. Effective communication strategies and practices underpin appeals for increased funding and also serve as a powerful channel to engage new and existing partners. Moreover, a strong brand, compelling messaging, high-level recognition and impact at scale, backed by evidence, create an enabling environment for increased donor engagement. Such efforts encompass a wide range of activities, including:

- Participation in and hosting meetings and global events
- Announcing and celebrating major investments
- Publications such as newsletters, annual reports, donor impact stories
- Coordinated advocacy and policy campaigns
- An interactive, engaging website and digital strategy

Best Practices Among Peer and Aspirant Organizations:

- For the past six years, Bill Gates has produced an Annual Letter that has covered the work of his foundation, the importance of innovation, foreign aid, and most recently, debunking “3 myths that keep the world from accelerating success against poverty and disease.” The letter receives a great deal of media attention, and is accompanied by videos and other advocacy materials.
- The Skoll World Forum on Social Entrepreneurship convenes nearly 1,000 distinguished delegates from the social, finance, private and public sectors in Oxford for three days of debates, discussions and work sessions aimed at solutions to social challenges. A year-round online platform compliments the event; the platform has hosted dozens of online debates and more than 500 opinion pieces written by global development leaders, including Bill Gates. The Forum formed partnerships with some of the world’s foremost media organizations including CNN, Harvard Business Review, Fast Company, the Atlantic, Al Jazeera and the Christian Science Monitor, among others. Skoll World Forum-branded content has reached nearly 2 million people, and the platform has built an online community tied to its annual event in Oxford.
- EAT Stockholm Food Forum is a conference where global leaders from science, politics and business address challenges and opportunities linking food, health and sustainability. Their inaugural event, titled EATx, was held in early 2014 and included top-tier speakers such as Bill Clinton.
- Oxfam has a UK-based Secretariat and nearly 20 affiliates worldwide that join together for annual global campaigns. The 2014 GROW campaign focuses on building a future where everyone has enough to eat. GROW is supported by affiliates’ programmatic work, policy work, media promotion and a commitment of some resources, with assistance from the Secretariat.

CGIAR Findings and Analysis:

At the CGIAR, Centers and the CO and FO are beginning to work more collaboratively and regularly on communications. However, a need exists to improve consistency and clarity on key messaging. Consider the following:

- The importance and value of a strong communication strategy and action plan are understood amongst Center communication staff, but limited resources – across the system – remain a challenge. At present, funding for collaborative communication with CGIAR is non-existent at the Center level and under resourced at the FO and CO.
- According to interviewees, the CGIAR brand lacks an identity. It fails to bring about a shared sense of purpose, mission and excitement across the network. Centers, however, recognize the RM value in a strong, widely recognizable brand, and there is willingness across CGIAR to collaborate to promote system-wide messages.
- CGIAR messaging focuses primarily on poverty reduction and food security. There is scope for greater, positive messaging and advocacy around improving livelihoods and personal economic conditions as well as other sectors, such as environmental sustainability.
- Despite having more than 10,000 scientists system-wide, the CGIAR does not systematically publicize cutting-edge researchers and their work.
- Centers collaborate on different activities throughout the year, but they are one-off collaborations and lack a solid, long-term strategy that looks across the system.
- The CGIAR annual report and CGIAR.org seek to target a wide variety of audiences: donors, governments, policymakers, development experts, scientists, journalists, the general public and more. These audiences have different interests that are not currently being fully addressed. Content could also be more dynamic and personal, linked to the CGIAR's impact, to draw audiences in.
- The communications community of practice, according to interviewees, is a valuable venue to share ideas, develop trust, ask questions and receive feedback. It could be expanded.
- Centers felt CRPs have created more management issues, confusion and complexity. Because it is not mandated that each CRP have a communications lead, there are wide discrepancies in terms of roles and responsibilities when it comes to communications.

The CGIAR, Centers and affiliated programs have made progress in leveraging communications for RM:

- The African Agricultural Science Week, the first Global Forum for Innovations in Africa, co-hosting the Global Alliance for Smart Agriculture and the Development Dialogues represent opportunities to showcase collective CGIAR effort and action while promoting individual Centers and CGIAR as an umbrella brand.
- ICRISAT has recently merged its fundraising and communications strategy to work toward strategic business goals. The Center also has two corporate websites that appeal to different stakeholders:

one focused on scientific information and updates and another focused on advocacy issues and impact storytelling.

- CCAFS outlines all research activities and expected outputs for programs. Based on that outline, the communications team, together with external media support, analyzes planned outputs and tries to identify which themes have the most potential for media outreach and coverage.
- In response to donor interest in funding results, HarvestPlus has invested heavily in branding and crafting compelling stories with an emphasis on highlighting delivery and on-the-ground impact.

Building awareness of the CGIAR as a network while simultaneously promoting individual Centers will be a determining factor in the RMS's success. At present, the CGIAR lacks a cohesive brand and a strategy for system-wide communications and coordinated advocacy on key issues. This gap in capacity includes publications, media relations, digital engagement, content production, partnership management and event coordination. A failure to invest in the capacity to significantly raise its profile in the international community will result in the CGIAR losing resources to competitors with stronger, more high-impact messaging.

The RMS makes the following recommendations:

ACROSS THE CG SYSTEM:

1. **Link work more explicitly to a wide variety of emotive and accessible international challenges beyond food security and poverty including, global health, climate change, and women's empowerment—all key goals of the forthcoming Sustainable Development Goals. Produce strategic messaging, publications, events and engagements to position the CG's unrivalled global network in new, important circles to mobilizing additional resources.** Regularly survey the network to identify key trends and produce system-wide briefs and forecasting. Publications, events, media outreach and coordinated advocacy will amplify CGIAR as a recognized player, lead international dialogue by prioritizing issues, attract new partners and resources (either directly or in tandem), and ultimately position the CGIAR as a catalytic force for development.
2. **Address the communications capacity gap in publications, media relations, digital engagement, content production, partnership management and event coordination, whether through outsourcing solutions or building up in-house capacity.** Explore the idea of retaining a top-tier media firm that would service the entire CGIAR system, promoting stories, research and events that touch across the system (See Section XII for more detailed system-level staffing recommendations).
 - At the Fund Office or Consortium, CGIAR should begin addressing this core communications capacity gap by phasing in high-level communications support from 2015 to 2017.
 - To facilitate collaborative communication, the CGIAR should consider piloting phased-in communication specialists to act as primary liaisons between CGIAR and member Centers/CRPs. Specialists would gather information and stories, look for synergies across the system, and support cross-cutting events, among other duties, feeding information to the system-level for alliance-wide products.

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- Best practices for non-profit, development organizations the size of CGIAR reveal that 1-3% of funding is spent on communications. The figure is higher, 5% or more, if the organization is engaged in high-level advocacy and policy work. As a \$1bn organization, the CGIAR should be spending a minimum of \$10mn/year on communications activities across the network. A more reasonable figure given industry standards is between \$20mn and \$50mn.
3. **Dedicate funding to collaborative communications within both the Centers and at the system level and advocate to CGIAR Leadership on the importance of communications.**
 - Ensure that leadership, board, and others in key decision-making roles at both the system and Center levels understand the value of communications to resource mobilization.
 - Consider developing a community of practice around policy change, and a policy story bank to facilitate an exchange of lessons learned.
 - Conduct additional research into the costs, structure, and lessons learned from network-wide initiatives like Oxfam's GROWTH campaign, assessing how such an effort could be applied to the CGIAR system.
 4. **Commission a special project to evaluate and demonstrate value for money when invested into the system;** this will be used to create trust with donors by linking communications with measurement and evaluation. **In all communications, go beyond stories of change to more rigorous analyses of impact that links the CG's work to improvement in quality of life.** A full-circle impact picture will tie CGIAR's work to a wide variety of global development challenges and open new doors to funding.
 5. **Commission a targeted identity and perception survey.** Include known audiences and partners as well as other sectors, organizations and donors in the development space whom CGIAR *ought* to be known to. The results of this survey should guide a larger decision about whether or not CGIAR needs to undertake an effort to revamp its branding, identity and messaging. It is recommended that an RFP be issued and open to individual consultants or outside firms immediately, narrowed down to a handful of candidates before the end of 2014.
 6. In addition to an annual report, **pilot production of a few high-quality publications that speak to key audiences separately and cover what matters most to them, including:**
 - **Existing government donors:** materials that focus on value for money and ROI on past investments in the system;
 - **Potential new government donors:** materials that outline the potential for research, capacity building and institutional collaboration that supporting the CGIAR delivers;
 - **Private sector:** materials focused on the benefits of partnership—media, high-level visibility and beyond—along with results achieved from past and potential collaborative efforts;
 - **Financial sector:** materials detailing potential return on investment in agricultural research and development, with a special emphasis on reassuring potential investors of the financial management capacities and oversight of CGIAR.
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7. **Revamp the CGIAR website.** Rethink primary audiences and how best to reach them. Consider tying a revamp to the new Sustainable Development Goals. Feature human-centric storytelling and sharp photography and video. Consider the website as part of the CGIAR's online, year-round platform to garner support and draw attention.
 8. **Explore media and content partnerships to ensure broad exposure and high-level readership of content (produced at both the Center/CRP and system levels),** for example, with National Geographic's The Future of Food section, the new food vertical at Trust.org of the Thomson Reuters Foundation, and/or a major media outlet like CNN, specific scientific journals and platform brands like TED, WEF and the Stockholm Food Forum. Consider reviving the CGIAR's "Outstanding Scientist of the Year" prize and running it in partnership with others to draw attention to the CGIAR's mission and work. It is recommended that an RFP be issued and open to web development firms mid-2015.
 9. **Pilot the Development Dialogues as an annual event,** and work across the system for broad participation. **Align the event to critical global challenges the CGIAR is working to solve, and identify ways in which this event can spotlight some of the most innovative researchers in the system.** Pursue a model similar to that of the Skoll World Forum's online, year-round platform to build a larger community of leaders working on these issues. Promote both the umbrella brand of CGIAR and individual Centers through a combination of content and media relationships. **Explore ways in which to partner with stakeholders (donor government, Bill & Melinda Gates Foundation) and peer organizations (WFP, FAO) in jointly producing content and activities.** Revive some form of the "Outstanding Scientist of the Year" prize to draw global attention to high-impact, cutting-edge research.
 10. **Explore the idea of an annual letter on global food security (or some broader, related topic) written by CGIAR senior leadership.** Pilot this letter in partnership with one or two major powerhouses in agricultural development such as the Executive Director of the World Food Programme. This kind of publication, tied to a significant media and awareness strategy, has the potential to be a powerful advocacy tool to agenda-set international priorities on key themes in agriculture, areas ripe for investment in agricultural research, and again, making a forceful case that ties such research and development to achieving a number of Sustainable Development Goals.
 11. **Phase in communication specialists to act as primary liaisons between CGIAR and member Centers/CRPs.** These individuals would be located around the world where clusters of CGIAR organizations reside. For example, one would be based out of the Fund Office in Washington assigned to PIM, A4H and IFPRI. Others would be based in Latin America, Africa and Southeast Asia. Specialists would gather information and stories, look for synergies across the system, and support cross-cutting events, among other duties, feeding information to the system-level for alliance-wide products. It is recommended that this effort begin in 2016, following an initial surge in CGIAR core communications capacity and other efforts in the works, such as the branding and identity survey.

WITHIN CG CENTERS:

1. **Collaborate with the system to produce strategic messaging, publications, events and engagements to position the CGIAR in new, important circles to mobilizing additional resources.** Share trends and insights with system staff to improve CGIAR-wide communications materials, which would then be used in fundraising appeals.
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- 2. Dedicate funding and capacity to collaborative communications with the system and advocate to Center Leadership on the importance of communications.**
 - Ensure that leadership, board, and others in key decision-making roles understand the value of communications to resource mobilization, and that communications staff must be involved at the outset of research and throughout the research lifecycle in order to be effective and impactful
 - Commit to collaborating with the system and participating in RM and communications communities of practice
 - 3. Collaborate with the system to brand key success stories that will serve both the Center and the collective.** Tie stories to the SDGs, for example, to showcase the connection between the CGIAR as a system and a variety of global development challenges. Work with the Fund Office/Consortium Office to **create media and outreach strategies around stories at both the system and Center levels to leverage coverage and placement.**

XII. Staffing Requirements at System and Center Levels

Resource mobilization is an increasingly competitive, professional and global pursuit, with international institutions investing significant time and resources to attract and retain public and private donors alike. Successful resource mobilization departments often have large teams of dedicated staff managing key functions including:

- Overall strategy and management
- Key staff managing large portfolios of prospective donors
- Grant writing
- Prospect research
- Grant and contribution accounting
- Database management
- Donor stewardship and reporting
- Special events
- Communications

Best Practices Among Peer and Aspirant Organizations:

- The World Food Programme's Partnership and Governance Services Department includes roughly 100 donor relations staff, with 60 designated to government appeals and 40 designated to the private sector and UN Agencies (See Appendix 21).⁷⁵ The WFP is attempting to increase donations from the OECD/DAC states via public-private partnerships, enhancing donor visibility and communications.⁷⁶ Between 2008 and 2012, WFP invested \$7.4mn in developing private sector capacity.⁷⁷ Overall, WFP's funding has increased from \$2.6bn in 2003 to \$4.3bn in 2013.
- Institutions are investing in professional development conferences. In 2013, the Convention of Biological Diversity Secretariat hosted a global workshop on capacity building and resource mobilization aimed at increasing funding for signatories' national biodiversity strategies and action plans. The Secretariat also organized five regional workshops on resource mobilization, co-organized by the UNDP and UNEP and with financial support from donors, including the European Union, Denmark and Japan.⁷⁸
- In the past decade, particularly in the past five years, the UNHCR has increased centralized international fundraising staff from 5 to 40 staff, resulting in significant programmatic resources being made available to field offices.⁷⁹ Approximately 18 RM staff are dedicated to leadership giving, which includes corporations, foundations and major individual donors. Of the \$220mn in non-governmental fundraising income for 2013, more than \$80mn came from leadership giving.

⁷⁵ Conversation with WFP Staff, April 2014

⁷⁶ WFP 2013-2015 Management Plan, <http://documents.wfp.org/stellent/groups/public/documents/eb/wfpdoc062156.pdf>

⁷⁷ WFP Private Sector Partnership and Fundraising Strategy 2013-2017, <http://documents.wfp.org/stellent/groups/public/documents/eb/wfpdoc062579.pdf>

⁷⁸ CBD Quarterly Report, July to December 2013, <http://www.cbd.int/doc/quarterly/qr-61-en.pdf>

⁷⁹ Conversation with UNCHR Staff, April 2014

Roughly 12 percent (\$24mn) of the UNHCR's overall expenditures went to resource mobilization in 2013.⁸⁰

- The Global Partnership for Education employs 14 staff for its replenishment conferences – four full-time resource mobilization staff and 10 short term-consultants that engage in advocacy, donor communications, event planning and pledge contract preparation. At the most recent replenishment conference in June 2014, donors contributed \$2.1bn to the GPE Fund, more than half of the \$3.5bn target for the replenishment period 2015 to 2018.
- UNICEF's team that handles donor countries includes roughly 45 individuals that are grouped according to region. The organization's Private Fundraising and Partnerships (PFP) division included a total of 214 employees in 2013 (See Appendix 22).⁸¹ PFP coordinates all private fundraising and sales activities of UNICEF merchandise, manages relationships with the 36 National Committees operating today and supports corporate partnerships. To note, nearly a third of UNICEF's annual funding comes from National Committees, which largely act in resource mobilization capacities and have robust RM staff themselves. Contributions from individuals and corporations provide approximately one-third of the total income of UNICEF – \$1.4bn in 2013. Three new fundraising posts were budgeted for private fundraising in new markets, particularly in the Middle East, North Africa, Central and Eastern Europe and the Commonwealth of Independent States. UNICEF's PFP plan devoted three new fundraising staff to expanding relationships with private foundations and sports partnerships.

Institutions and donors alike are monitoring more closely the return on investment in fundraising.

- The World Food Programme's four-year investment in private sector capacity (\$7.4mn with operating costs of \$27.7mn) has yielded a total \$549mn in cash and \$104mn in in-kind contributions, a 1760% return on investment.⁸²
- As a result of increased staffing, the UNCHR has increased ROI on private sector fundraising from 2.1 in 2011 to 2.4 in 2013.

CGIAR Findings and Analysis:

RM staffing across the system:

Centers and system level leaders frequently cited short staffing as the most significant challenge to resource mobilization. Dual mandates that include resource mobilization are common. According to half of the resource mobilization staff interviewed, fundraising is understood as a shared and often ad hoc responsibility.

- The Fund Office has two members of staff with responsibility for RM and the Consortium Office has three focused on Communications and Knowledge Management with support from consultants.

⁸⁰ UNHCR Global Report 2013, <http://www.unhcr.org/539809e30.html>

⁸¹ UNICEF Private Fundraising: 2013 Workplan and Proposed Budget

⁸² WFP Private Sector Partnership and Fundraising Strategy 2013-2017, <http://documents.wfp.org/stellent/groups/public/documents/eb/wfpdoc062579.pdf>

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- The majority of the Centers have between two and three RM staff members. Some Centers only have one dedicated RM staff member (See Appendix 4).
 - Half of the Centers use outside consultants to advise and assist in RM activities.
 - DGs, Office Heads and researchers themselves act in resource mobilization capacities with varying levels of commitment; each group reported spending between two to three months a year traveling or attending meetings, in part, for resource mobilization. (See Appendix 5).
 - Some Centers have communications staff of more than 30. These Centers also have between one and four designated RM staff members.
 - Twelve of the 15 centers have resource mobilization units, but only a little more than half have formal resource mobilization strategies (See Appendix 10). ICRAF's Resource Mobilization Strategy established three bodies to engage in resource mobilization: the Board Resource Mobilization committee, the Center Resource Mobilization Committee and the Proposal Development Support Team.
 - The majority of Centers (12 out of 15) dedicate less than \$200,000 annually to resource mobilization activities, starkly less than peer organizations with similar funding ambitions (See Appendix 10).
 - A regular, pre-reform resource mobilization and communications conference has lapsed.

For RM, the CGIAR is significantly understaffed relative to the aims and ambitions of its current and proposed new SRF. Expertise is lacking in areas that promise growth in funding. The ambitions laid out in the SRF call for significant resource mobilization at both the Center and system levels; this will only be possible through investment in the immediate future. The RMS strongly recommends immediate and progressive investment in capacity at the system and Center levels.

The RMS makes the following recommendations regarding capacity building:

ACROSS THE CGIAR SYSTEM:

1. The Fund Office to gradually increase RM, communications and advocacy capacities, either through the recruitment of additional staff or by retaining specialized consultancy services, to help support fundraising by Centers and major approaches at system level linked to the new SRF. It is essential that the CGIAR invest in RM capacity at the highest professional levels. Priority functions include:
 - **Mobilizing resources from multilateral, regional and bilateral donors**
 - **Developing meaningful public-private partnerships**
 - **Leading innovative financing mechanisms** and other specialized strategies that are best explored at the system level (impact investing, returnable capital funds, etc.)
 - **Maintaining donor relations and donor stewardship by:**
 - Growing existing relationships and developing new opportunities

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- Engaging in data management, analysis and reporting to provide information on funding, progress, impact, and upscaling
 - **Communicating the brand** to the CGIAR movement and broader public by:
 - Developing a recognizable CGIAR-wide brand
 - Organizing high-profile events to raise awareness of the CGIAR, its mandate and results
 - Developing high-level partnerships, the Global Investment Council and providing support for Center Advisory Councils
 - **Enhancing RM capacities within the CGIAR system** through regular training sessions and community of practice events for CGIAR Center RM staff to strengthen social capital across the system

At the system level, the CGIAR should begin addressing the capacity gap by phasing in high-level professional support, which can be in the form of internal staff via new hires or external consultancies.

2. In line with the above recommendations, **the Fund Office to make basic, newly-branded and messaged RM promotional materials, infographics and grant-seeking tools available to Centers to help improve funding proposals** and RM approaches more generally and also **provide uniform branding guidelines so that all promotional materials would follow a similar design language and help establish a CGIAR “brand.”** This work should build on existing efforts to institute branding guidelines across the system, updating them to reflect revised messaging and guidelines. In parallel, a potential rebranding effort will take place and should align with the production of these materials (See Section XI on Communications).

WITHIN CENTERS:

Building on the recommendations regarding communications, innovative finance, prospect management and the role of volunteers, **Centers are encouraged to formalize their RM efforts, in part, through the recruitment of dedicated staff.** Priority roles include:

- Leadership for RM working more closely with board members and Advisory Council members
 - Grants officers to manage increasingly large portfolios of current and prospective new donors
 - Database assistants tracking grant and pledge remittance, interaction with current and prospective donors, and share more regular and detailed reports across the system via the Fund Office (see Sections VIII and X)
 - Donor stewardship to report on the impact of R&D investments
1. Centers are encouraged to **establish activity benchmarks and performance metrics for all RM staff**, with guidance from the FO and other Centers.
 2. Centers are also encouraged to **establish larger operational budgets for RM ranging from 8-10% of overall core expenditure for Centers with mature fundraising operations to 15-20% of overall core expenditure for Centers and CRPs in growth mode.**

XIII. Management Tools for Monitoring ROI

Implementing the RMS requires a commitment to monitoring and measuring return on investment. A brief description follows:

ROI is a performance measure used to evaluate the efficiency of an investment or to compare the efficiency of a number of different investments. Having a command of ROI-related metrics helps to inform decision-making and foster a strategic approach to development planning, budgeting, staffing and other key operational areas. For example, tracking, measuring and reporting the results of various fundraising programs and activities is critical for internal staff, organizational leadership and external stakeholders, such as donors and community members. This includes cost-related metrics such as ROI and Cost to Raise a Dollar (CRD), as well as key performance metrics across prospecting, new donors, renewals and repeat donors.⁸³ See Appendix 25.

Best Practices Among Peer and Aspirant Organizations:

- Oxfam International and its affiliates spent roughly \$95mn on fundraising in 2012-2013, or 8% of overall expenses (\$1.25bn). Overall, Oxfam raised \$1.5bn to an ROI of 23:1. For the same year, on behalf of the entire network, the Oxfam Secretariat spent roughly \$6.5mn on advocacy and campaigning, \$2.6mn on global communications and \$2.9mn on Oxfam Confederation development.⁸⁴
- Fundraising comprised 2% (roughly \$26mn) of GAVI's total expenses in 2012. Major fundraising expenses the organization include \$12.2 million on staffing and \$2.7 million on events. GAVI raised roughly \$1.5bn in 2014, with an ROI of 58:1.⁸⁵ Fundraising staff investments include: Global Director (1), Regional Leadership for U.S., Europe, Asia-Pacific (3) with 19 total RM positions (3 in U.S., 16 in Geneva).
- UNICEF's 2014 to 2017 Integrated Budget commits \$454mn to Private Sector Fundraising and \$216.7mn to External Relations and Partnerships, Communications and Resource Mobilization, which includes the public sector. These two allocations combined afford roughly \$233mn per year to resource mobilization. UNICEF projects resources for the 2014 to 2017 period will total \$18.6bn, or roughly \$6.2bn per year to an ROI of 25:1.⁸⁶ UNICEF employs investment funds to generate unrestricted income at a minimum return of \$3 to every \$1 invested. As of 2013, while minimum return sought is 3:1, the actual return yielded was currently closer to 4:1 over 36 months. UNICEF also estimates that continued investment in the private sector will yield \$1.75bn in 2017.

⁸³ WealthEngine, Measuring Fundraising Return on Investment, 2013.

⁸⁴ Oxfam Annual Report 2012-2013, <http://www.oxfam.org/sites/www.oxfam.org/files/oxfam-annual-report-2012-2013.pdf>.

⁸⁵ GAVI Alliance 2012 Annual Report, [file:///C:/Users/kstevens/Downloads/GAVI%20Alliance%202012%20Annual%20Financial%20Report%20\(5\).pdf](file:///C:/Users/kstevens/Downloads/GAVI%20Alliance%202012%20Annual%20Financial%20Report%20(5).pdf).

⁸⁶ UNICEF, Integrated Budget 2014-2017, http://www.unicef.org/about/execboard/files/2013-ABL4-UNICEF_integrated_budget-11Jul2013.pdf.

- Between 2008 and 2012, WFP invested \$7.4mn in developing private sector capacity.⁸⁷ Overall, WFP's funding has increased from \$2.6bn in 2003 to \$4.3bn in 2013. The World Food Programme's four-year investment in private sector capacity (\$7.4mn with operating costs of \$27.7mn) has yielded a total \$549mn in cash and \$104mn in in-kind contributions, a 17:1 return on investment.⁸⁸
- The Global Partnership for Education's 2014 replenishment conference expense was roughly \$450,000; the organization raised \$3.4 billion for 2014 to 2017.⁸⁹
- As a result of investment in staffing and operations, the UNCHR has increased ROI in private sector and individual fundraising from 2.1 in 2011 to 2.4 in 2013. The UNHCR estimates that funding from the private sector and individuals will increase from roughly \$72mn in 2010 to \$556mn in 2018 with fundraising expenditure at \$29mn and \$165mn, respectively.⁹⁰

Industry Standards:

For a large number of charitable organizations, fundraising comprises between 10% and 15% of overall expenses.⁹¹ The World Wildlife Fund for Nature, for example, spent \$27.6mn, or 10%, of its overall expenses on fundraising in 2013.⁹²

Research conducted by fundraising expert James Greenfield, widely cited as the industry standard, found that the US national average cost to raise \$1 varies between \$.05 and \$1, with an average of \$.20 for different fundraising streams. Corporations and foundations have a \$.20 cost to raise a dollar, with an 80% return on investment.⁹³ However, to date, there is no industry standard for governments and multilaterals on the cost to raise a dollar.⁹⁴

Double funding every 10 years, according to Giving USA, requires a growth rate of 7 or 8 percent per year. Similarly, to double giving in 5 years requires an average annual rate of growth of 14.9%.⁹⁵

CGIAR Findings and Analysis:

In 2014, the CGIAR allocated approximately \$1.8mn to resource mobilization efforts at the system level, entirely within the Fund Office. This figure pales in comparison to peer organizations, even those that raise similar funding per annum. Combined, Centers allocated roughly \$4.8mn to resource mobilization efforts, including roughly \$2.25 to resource mobilization activities and \$2.64mn to staffing.⁹⁶

⁸⁷ WFP Private Sector Partnership and Fundraising Strategy 2013-2017, <http://documents.wfp.org/stellent/groups/public/documents/eb/wfpdoc062579.pdf>.

⁸⁸ WFP Private Sector Partnership and Fundraising Strategy 2013-2017, <http://documents.wfp.org/stellent/groups/public/documents/eb/wfpdoc062579.pdf>

⁸⁹ Conversation with GPE Head of External Relations, Charles Tapp, September 2014.

⁹⁰ UNHCR, Private Sector Fundraising Management Plan, April 2014.

⁹¹ Dan Pallotta, We Need to Rethink Fundraising, Harvard Business Review, 2010, <http://blogs.hbr.org/2010/08/we-need-to-rethink-fundraising/>

⁹² World Wildlife Fund for Nature, 2013 Financials, <http://www.worldwildlife.org/about/financials>.

⁹³ WealthEngine, Measuring Fundraising Return on Investment, 2013.

⁹⁴ Conversation with Reed Stockman, Association of Fundraising Professionals Resource Center, October 6, 2014.

⁹⁵ Association of Fundraising Professionals. 2013 Fundraising Effectiveness Survey Report, <http://www.afpnet.org/files/ContentDocuments/FEP2013FinalReport.pdf>.

⁹⁶ Combined average RM spend; average number of RM staff per Center, CCS Survey April 2014. CCS Survey April 2014.

RM spending at this level puts the CGIAR at a significant comparative disadvantage. The CGIAR must act swiftly to correct this course of action or risk becoming increasingly marginalized. Immediate and targeted investment in RM and communications capabilities, coupled with diversifying funding, is required for the CGIAR to near its goal of raising \$2bn by 2020.

Illustrative Recommendation Implementation, 2015-2016

	2015				2016			
Recommendation	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Estimation of Need								
Create more ambitious research agenda								
Commission SRF-based needs assessment								
Financial Targets								
Create reports to promote and highlight successes								
Systems for reporting against financial goals								
Centers establish annual and 5-year goals								
Case for Support								
Develop system-wide case for support								
Commission CGIAR-wide value-for-investment study								
Content -infographics, case studies, testimonials,								
System-wide collection of success stories and case for support								
Role for Volunteers								
Recruit one or two Global Investment Council Members								
Impact primers and talking points for leadership across the system								
Begin to build GIC chapters at the Center level								
Donor Stewardship								
Protocols for information and RM data, donor software								
Work with Centers to brand success stories								
Establish a series of global events								
Establish donor recognition circles								
Expanding Funding								
Research Returnable Capital Fund								
Research Product Delivery Partnership								
Research Replenishment Scheme								
Private sector partnership capacity								
Prospect Rating & Tracking & Cultivation								
Establish systems for greater coordination and communication								
Create a system-level calendar of events								
Design materials for fundraising progress								
Develop materials and design workshops & training								
Centers to implement tracking systems								
Communication								
Commission an identity and perception survey								
Draft and produce system-wide strategic messaging, publications								
Create events and media outreach strategy								
Research the feasibility of network-wide advocacy campaigns								
Produce targeted reports for key audiences								
Revamp the CGIAR website								
Design the development dialogues into annual events								
Design annual letter by CGIAR leadership								
Centers to brand success stories and create media outreach strategies								
Staffing								
Build system-level communications staff								
Build system-level resource mobilization staff								

Strategic Conversation Participation List

We would like to thank strategic conversation participants (72) for their time and insights.

CGIAR Centers and CRPs

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- Richard China, Director of Strategic Partnerships and External Engagement, Bioversity
- James Clarke, Director Communications & Marketing, IWMI
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- Ruben Echeverria, Director General, CIAT
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- Stephen Hall, Director General, WorldFish
- Peter Holmgren, Director General, CIFOR
- Yassir Islam, Head of Communications, HarvestPlus
- Joanna Kane-Potaka, Director Communications and Strategic Partnerships, CIP
- Susan MacMillan, Head of Communications, ILRI
- Scott Mall, Director of International Communications & Development, CIMMYT
- Savitri Mohapatra, Head of Communications, AfricaRice
- Mireille Perrin, Director of Business Development, IWMI
- Stacy Roberts, Board Secretary and the Head of Donor Relations, IFPRI
- Nathan Russell, Head of Corporate Communications, CIAT
- Kamel Shideed, Assistant Director General for International Cooperation and Communication, ICARDA
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- Cathy Watson, Head of Program Development, ICRAF
- Marco Wopereis, Director of Research for Development, AfricaRice

⁹⁷ UNICEF, Using Investment Funds to Increase Investment from the Private Sector, August 2013, http://www.unicef.org/about/execboard/files/EXB_informal_briefing-investment_funds-28Aug2013.pdf

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- Jonathan Wadsworth, Executive Secretary of the CGIAR Fund Council and Head of the Fund Office, CGIAR Fund Office
- Paul Zuckerman, Chair and CEO, Zuckerman & Associates LLC; CGIAR Consortium Office Board

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- Nick Austin, CEO, Australian Center for International Agriculture Research
- Rob Bertram, Director of the Office of Agriculture, Research and Technology, USAID
- Philip Chiverton, Research Secretary, Swedish International Development Agency
- Daniel van Gilst, Senior Advisor, NORAD
- Bernard Hubert, President, National Institute for Agricultural Research France
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- Ken Lay, Vice President and Treasurer, World Bank
- Shantanu Mathur, Head of Grant Secretariat, IFAD
- Karsten P. Nielsen, Technical Advisory Services, Danish Ministry of Foreign Affairs of Denmark
- David Radcliffe, Senior Policy Adviser Agricultural Research for Development, European Commission
- Bernard Rey, Deputy Head, Rural Development, Food Security and Nutrition Unit, European Commission
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- Howard-Yana Shapiro, Chief Agricultural Officer, Mars, Inc.; CGIAR Mid-Term Review Panel
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- Chris Brett, Head of Corporate Social Responsibility, Olam International
- CJ Jones, CEO, ACRE
- Mike Robinson, Chief Science Advisor, Syngenta Foundation for Sustainable Agriculture

Peer Organizations

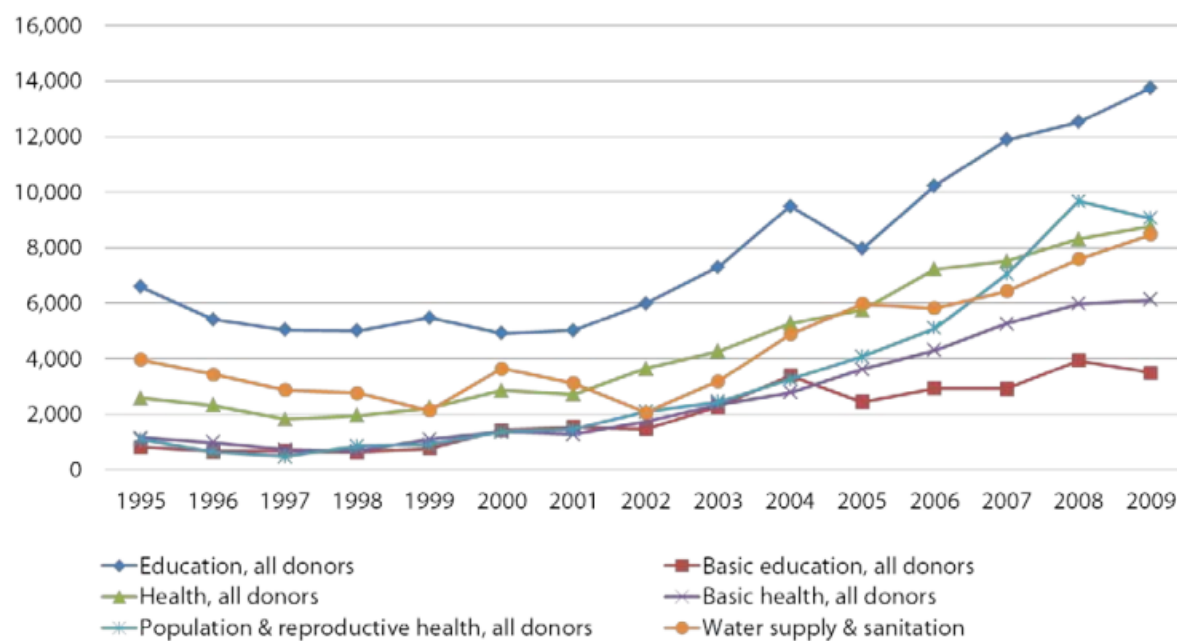
- Tobin Aldrich, Global Fundraising Director, Sightsavers; Former Executive Director of Communications & Fundraising, WWF-UK
- Laura Gaertner, Officer of Development & Outreach, Human Rights Watch
- Tara Golden, Director of Strategic Development, Human Rights Watch
- Guillaume Grosso, Head of European Markets Resource Mobilization, GAVI Alliance
- Deepak Kataria, Senior Business Solutions Officer, Global Environmental Facility
- Gina Schell, Donor Relations, GAVI Alliance
- Charles Tapp, Manager of Partnerships and External Relations, Global Partnership for Education
- Yibin Yang, Program Analyst, Convention on Biodiversity

APPENDIX



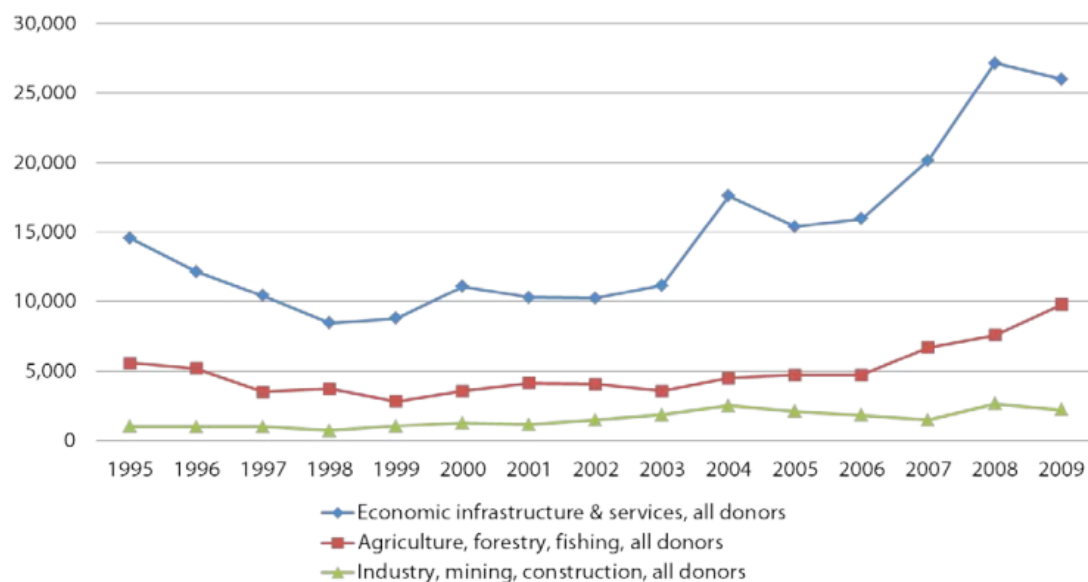
Appendix 1. ODA to Social Sectors; Economic Infrastructure & Agriculture, 1995-2009, OECD

Chart 5.13: ODA to social sectors (current US\$ millions)



Source: OECD-DAC 2010

Chart 5.14: ODA to economic infrastructure and agriculture (US\$ millions)

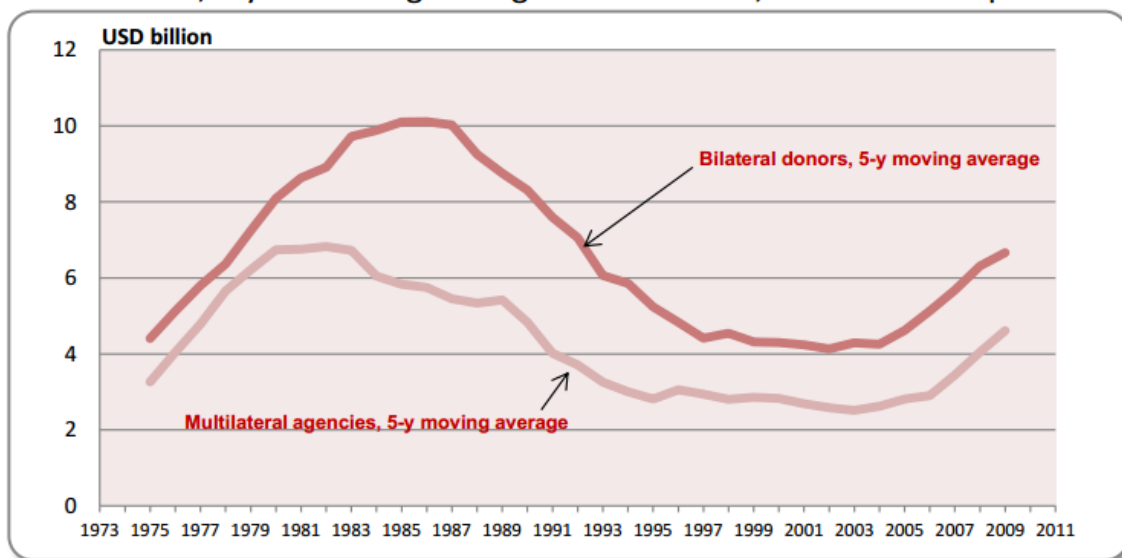


Source: OECD-DAC 2010

Appendix 2: ODA to Agriculture & Rural Development, 1973-2011, OECD

Chart 1. Trends on aid to ARD

1973-2011, 5-year moving average commitments, constant 2011 prices



Appendix 3. Top Bilateral Aid for Food and Nutrition Security, 2012, OECD

Table 1: Bilateral ODA for FNS: 2008-2010 Average

	TOTAL ODA		% OF ODA FOR FNS
United States	1708	Canada	12%
Japan	1364	Ireland	10%
Spain	477	Japan	10%
France	455	Spain	10%
Canada	423	Norway	9%
Germany	352	Korea	8%
Norway	287	Luxembourg	7%
United Kingdom	255	Denmark	7%
Australia	179	Finland	7%
Netherlands	142	United States	7%
Denmark	121	Australia	7%
Belgium	115	Belgium	7%
Sweden	96	Italy	6%
Italy	79	France	5%
Ireland	74	Switzerland	4%
Switzerland	72	New Zealand	4%
Korea	54	Germany	4%
Finland	52	United Kingdom	3%
Luxembourg	21	Sweden	3%
Austria	14	Netherlands	3%
New Zealand	10	Greece	2%
Greece	5	Austria	2%
Portugal	3	Portugal	1%

Source: OECD DAC/CRS, Disbursements, current prices

Appendix 4. Select Public Private Partnerships, 2004-2014

Table 1: Selected Examples from the Past Decade

PRIMARY CONTRACTOR OR PARTNERS	SECTOR	DESCRIPTION OF AWARD
DAI	Multi-sectoral Partnerships	GDA support services to USAID, including production of Alliance manuals, evaluation of GDA
Abt Associates, local implementing firms	Health	Supported models for private sector participation in USAID health projects in India and Ethiopia – foundation of SHOPS project
Chevron DAI	Economic Growth; Democracy and Governance	Chevron contributes support to USAID for broad economic growth program, helping also build capacity of communities in Angola; Example: ProAgro Project, awarded to DAI 2004-2007 to link products to markets
Ecobank; Western Union Foundation	Economic Growth	Western Union supports Ecobank to give grants to new enterprises in Ghana
Western Union Foundation	Economic Growth	Supports economic opportunity for African Diaspora workforce
Blommer Chocolate; Olam International	Asia Agriculture	Improving cocoa production in Indonesia
Hershey, Nestles, Mars, through World Cocoa Foundation	West Africa Agri	Improving the production and harvest of cocoa in West Africa
CARE, Ford Foundation, ITS	Gender empowerment	Film and other advocacy tools for gender empowerment in five countries
PepsiCo, WFP	Food Security/Agr	Develop chickpea nutritional supplement for school feeding programs in East Africa
Meridian, Bayer, others (Catalyst Consortium)	Health	Reproductive health and contraceptive access – advocacy tools and communications in 11 countries
Bayer, others	Health	Contraceptive Security Initiative – State Dept initiative to improve access to contraception for 27 million women
Bayer, AED, Siamdutch Mosq Netting, Syngenta	Health	Improved the marketing and distribution of insecticide treated bed nets in SSA (NETMARK)
Coca-Cola, BSR, Ford Foundation	Water	Improved access to water resources in India
Coca-Cola, Save the Children, PEPFAR	HIV/AIDS, OVC	Improving the lives of adolescents affected by HIV/AIDS
Coca-Cola	Water	Global Alliance to provide access to clean water in countries where both institutions work

Source: Creative Associates International, Trends in Global Development: Private Sector Partnerships, 2014

Appendix 5: Private Sector Entities - New Alliance for Food Security and Nutrition, As of July 2014

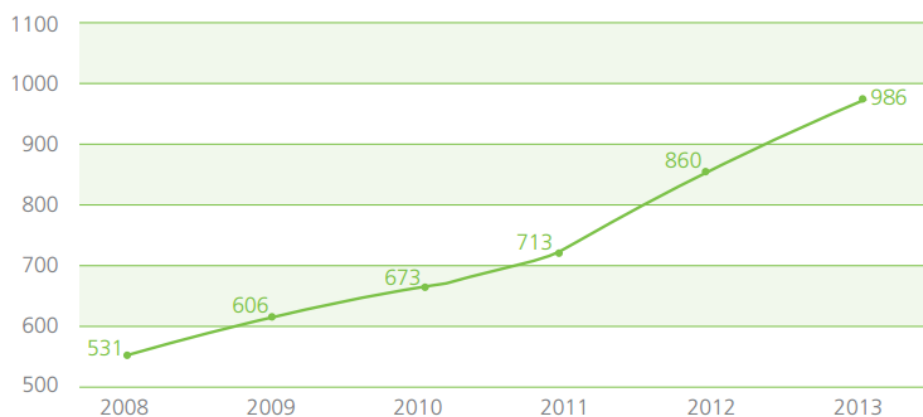
Private Sector Entities Signing the Private Sector Statement of Support

Admas Farmers Cooperative Union	Lonrho Plc
African Export-Import Bank	Monsanto
AGCO	Mullege PLC
Agricultural Council of Tanzania	Netafim Ltd.
AgriServ Ltd	Novozymes A/S
AICO Africa Ltd	Oltremare SRL
Archer Daniels Midland Company	Omega Farms, PLC
Armajaro Trading Ltd	Oromia Coffee Farmers Cooperative Union
Asset Management Group Limited	Peasant Farmers Association of Ghana
BASF SE	PepsiCo
Bayer CropScience AG	Plexus Cotton Limited
Becho-Weliso Farmers Cooperative Union	Premium Foods Ltd
Brainchild Tanzania	Private Enterprise Foundation/Federation of Associations of Ghanaian Exporters
Bunge Limited	Rabobank Group
Cargill, Incorporated	SABMiller plc
Diageo plc	Savanna Farmers Marketing Co.
Dunavant SA	Sea-Freight Pineapple Exporters of Ghana (SPEG)
DuPont Company	Selous Farming Ltd
Ecobank Group Shambani Graduates Enterprises Ltd	
Equity Bank Ltd Syngenta International AG	
Export Trading Group (ETG)	TaherInvest Group
Finatrade Group	TAK Agro
Ghana National Association of Farmers and Fishermen	Tanseed International Ltd
Ghana Nuts Ltd	Tanzania Horticultural Association (TAHA)
Guts Agro Industry PLC	Tanzania Seed Trade Association (TASTA)
Hakan Agro DMCC	TATEPA
Heineken N.V.	Unilever
Hilina Enriched Foods PLC	Vital Capital Fund
Kafoi Estates Limited	Vodafone Group Services Ltd
Kraft Foods	Yara International ASA
L.T. Foods Ltd.	Zemen Bank

Source: USAID

Appendix 6: CGIAR Funding, 2008-2013

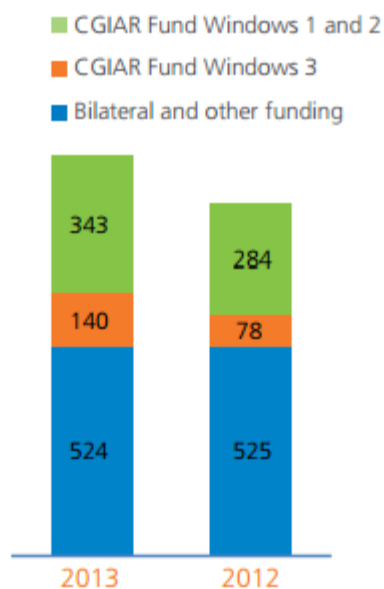
Figure 1: CGIAR funding, 2008-2013 (\$ million)



Source: CGAIR Financial Report, 2013

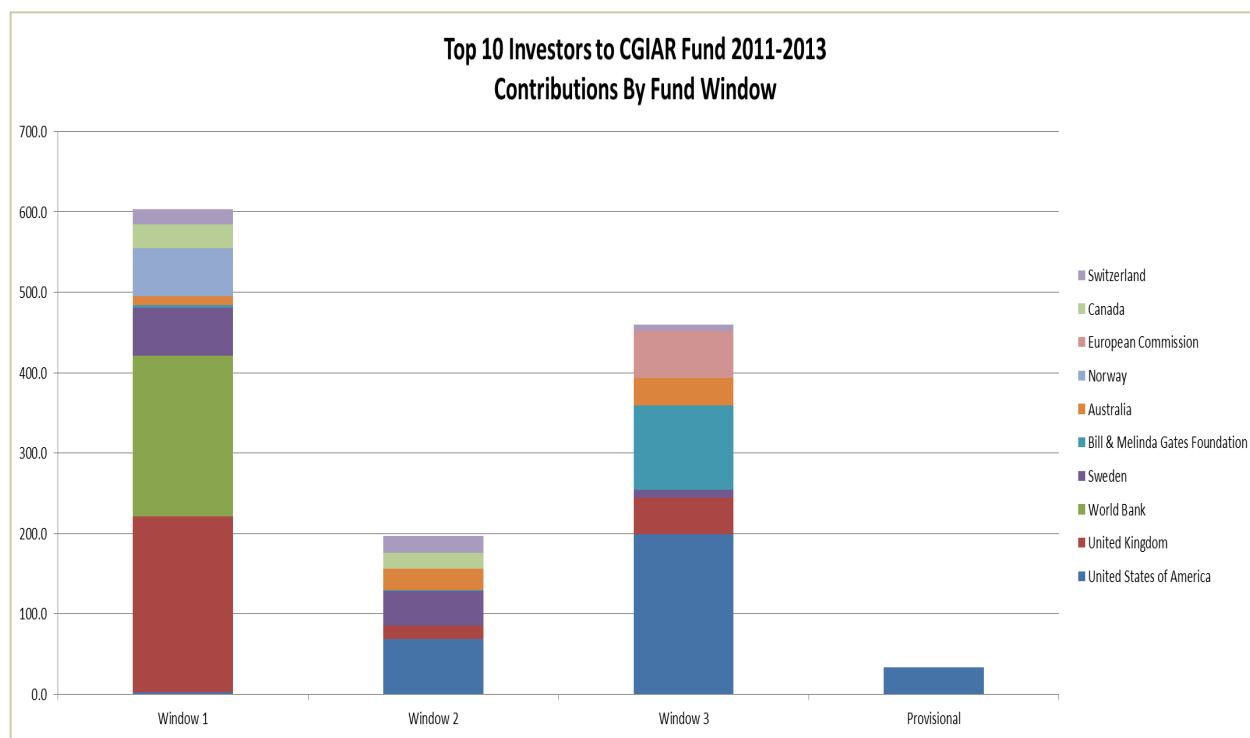
Appendix 7. CGIAR Funding Modalities, 2012-2013

Figure 2: Modalities of funding (\$ million)

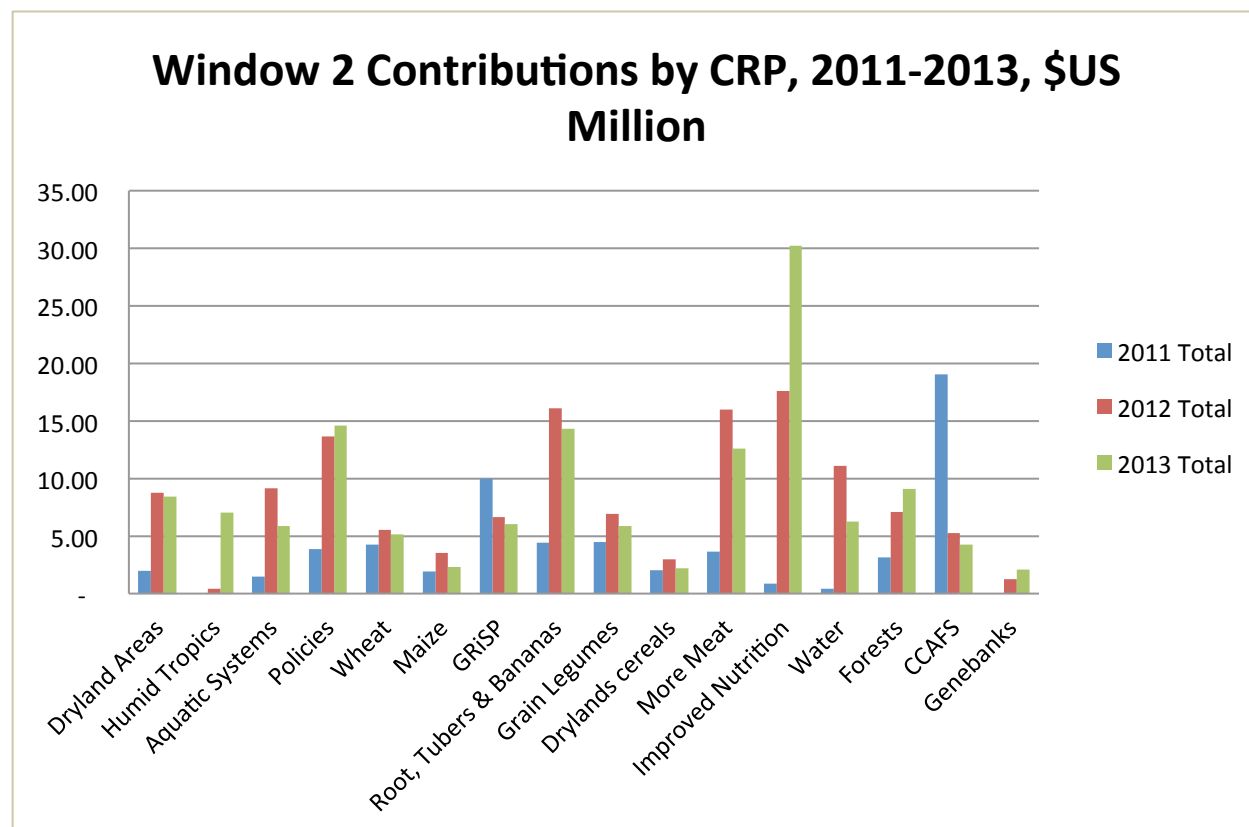


Source: CGAIR Financial Report, 2013

Appendix 8. Top 10 Investors to the CGIAR Fund, 2011-2013



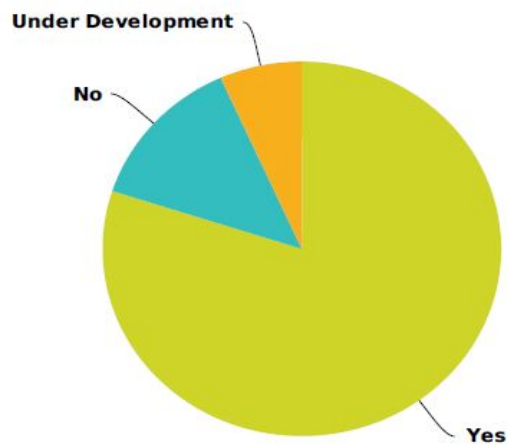
Appendix 9. Window 2 Contributions by CRP, 2011-2013



Appendix 10. Center Responses to CCS-CGIAR Survey on RM Activity, April 2014

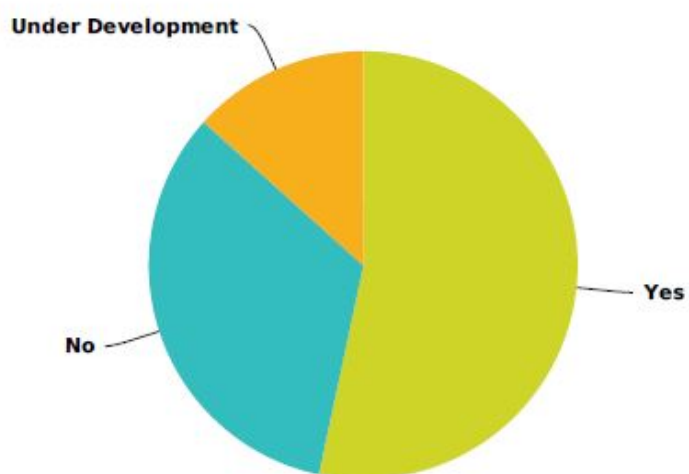
Q10 Does your Centre have an established Resource Mobilisation Unit? (i.e. appears in your Centre Organogram)

Answered: 15 Skipped: 0

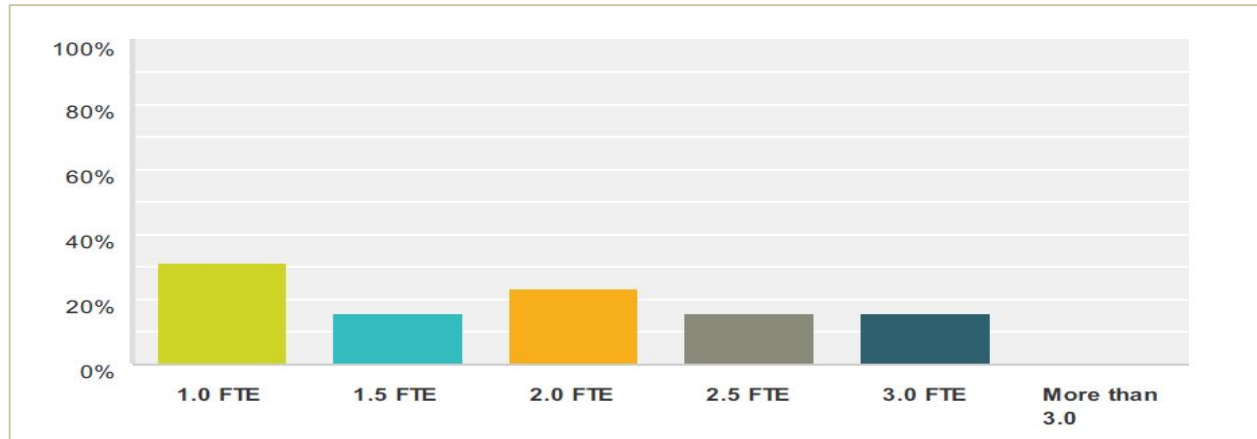


Q1 Does your Centre have a formal (Board approved) Resource Mobilisation Strategy?

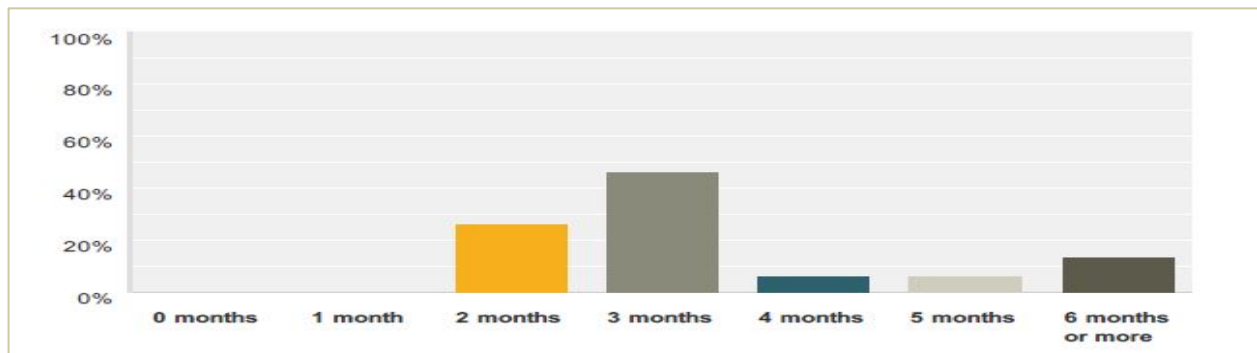
Answered: 15 Skipped: 0



Staffing levels across 13 Centers

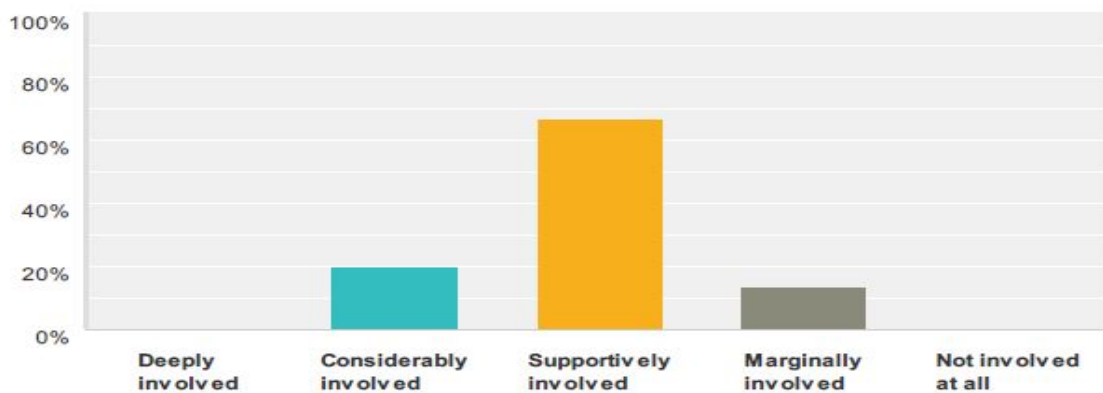


Time commitments by DG's to RM



Q3 How strongly is your Board of Trustees involved in bilateral fundraising?

Answered: 15 Skipped: 0



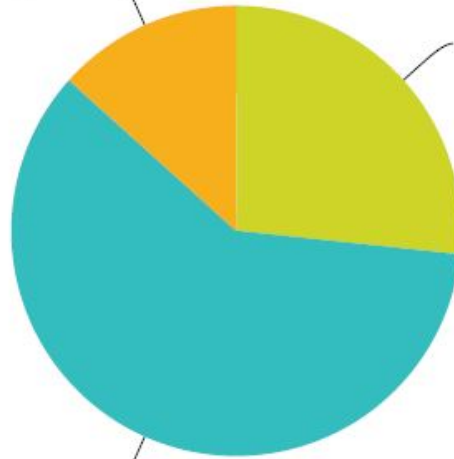
Q2 Does your Board of Trustees have an established RM Committee?

Answered: 15 Skipped: 0

Under Development

Yes

No



Appendix 11. Kiwanis-UNICEF Eliminate Project, Elimination Progress Dashboard



Appendix 12. Resource Mobilization Results from Select Peer and Aspirant Organizations

Table 1. The Global Fund to Fight AIDS, Tuberculosis and Malaria Replenishment Contributions, 2004-2016

Global Fund Replenishment Cycles (3 year)	1 st (2004-07)	2 nd (2008-10)	% Growth /Annual Growth Rate	3 rd (2011-13)	4 th (2014-16)	% Growth /Annual Growth Rate
Total Contributions	\$6.1bn	\$9.bn	59% /19%	\$9.2bn	\$12bn	30% /10%

Table 2. GEF Replenishment Contributions, 1994-2014

GEF Replenishment Cycles (4 year)	1 st (1994)	2 nd (1998)	3 rd (2002)	4 th (2006)	5 th (2010)	6 th (2014)	Annual Growth Rate
Total Contributions	\$2bn	\$2.75bn	\$3bn	\$3.14bn	\$4.34bn	\$4.43bn	6%

Table 3. GAVI Funding 2008 vs. 2013

	2009	% Total	2013	% Total	Annual Growth Rate
Direct Contribution*	\$337.9mn	49.9%	\$1.274bn	74.3%	55.4%
IFFIm	\$167.2mn	24.7%	\$245mn	14.3%	9.3%
Advance Market Capital	\$171mn	25.2%	\$161.2mn	9.4%	-1.2%
Matching Fund	N/A	N/A	\$32.5mn	1.8%	N/A

Total	\$676.1mn	99.8%	\$1.713bn	99.8%	30.6%
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*GAVI held its first replenishment conference in 2011 to cover the four-year period from 2011 to 2015. More than \$4.3bn was pledged, accounting for significant increases in direct contributions.

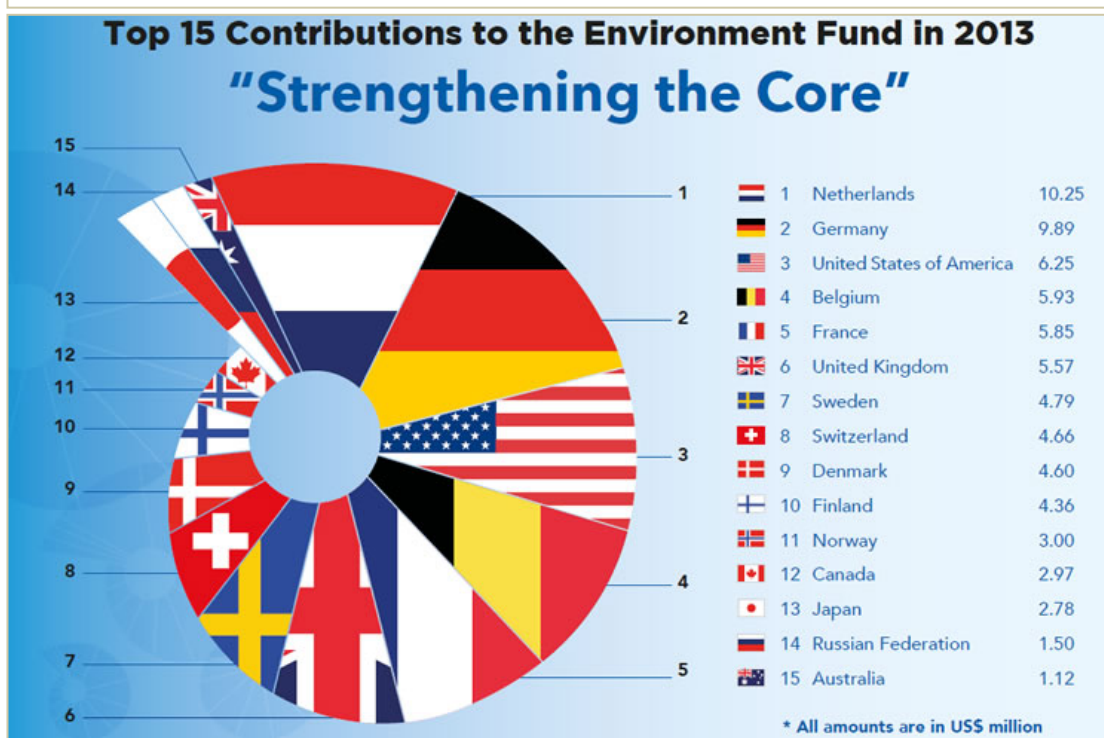
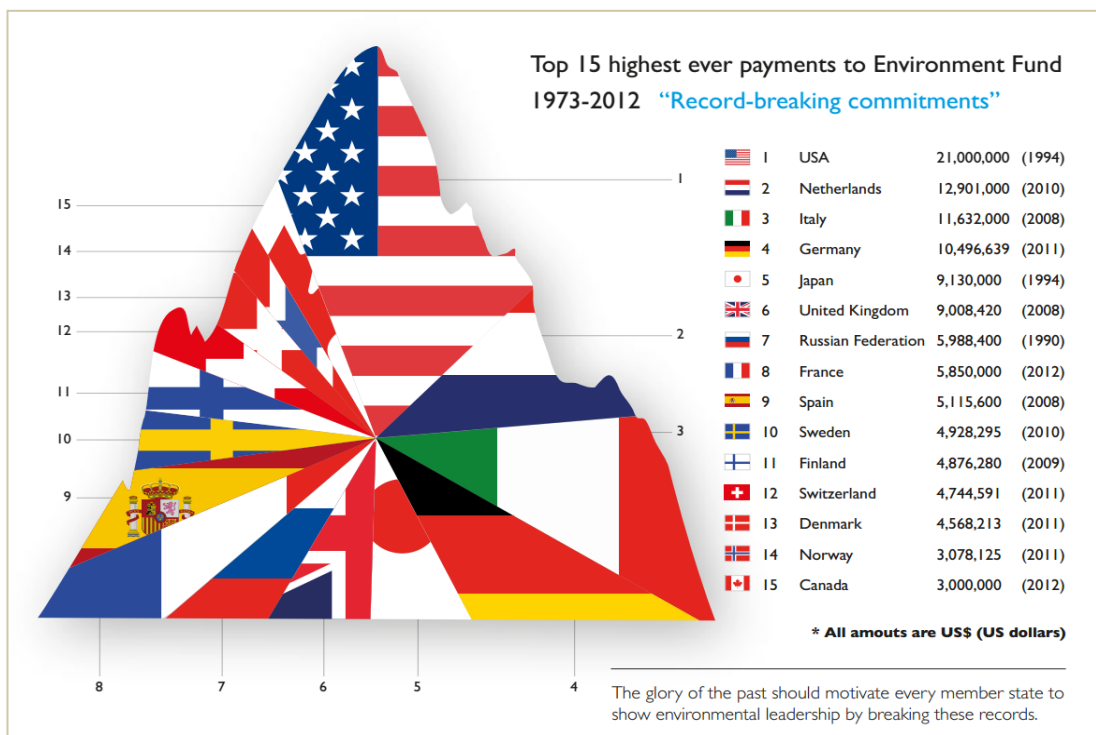
Table 4. UNICEF Funding 2008 vs. 2013

	2009	% Total	2013	% Total	Annual Growth Rate
Governments	\$1.955bn	60%	\$2.99bn	62%	10.5%
Private Sector/ NGOs	\$916mn	28%	\$1.43bn	29%	11.2%
Inter-Org Arrangements	\$296mn	9%	\$334mn	7%	2.5%
Other	\$89mn	3%	\$89mn	2%	0%
Total	\$3.256bn	100%	\$4.85bn	100%	9.7%

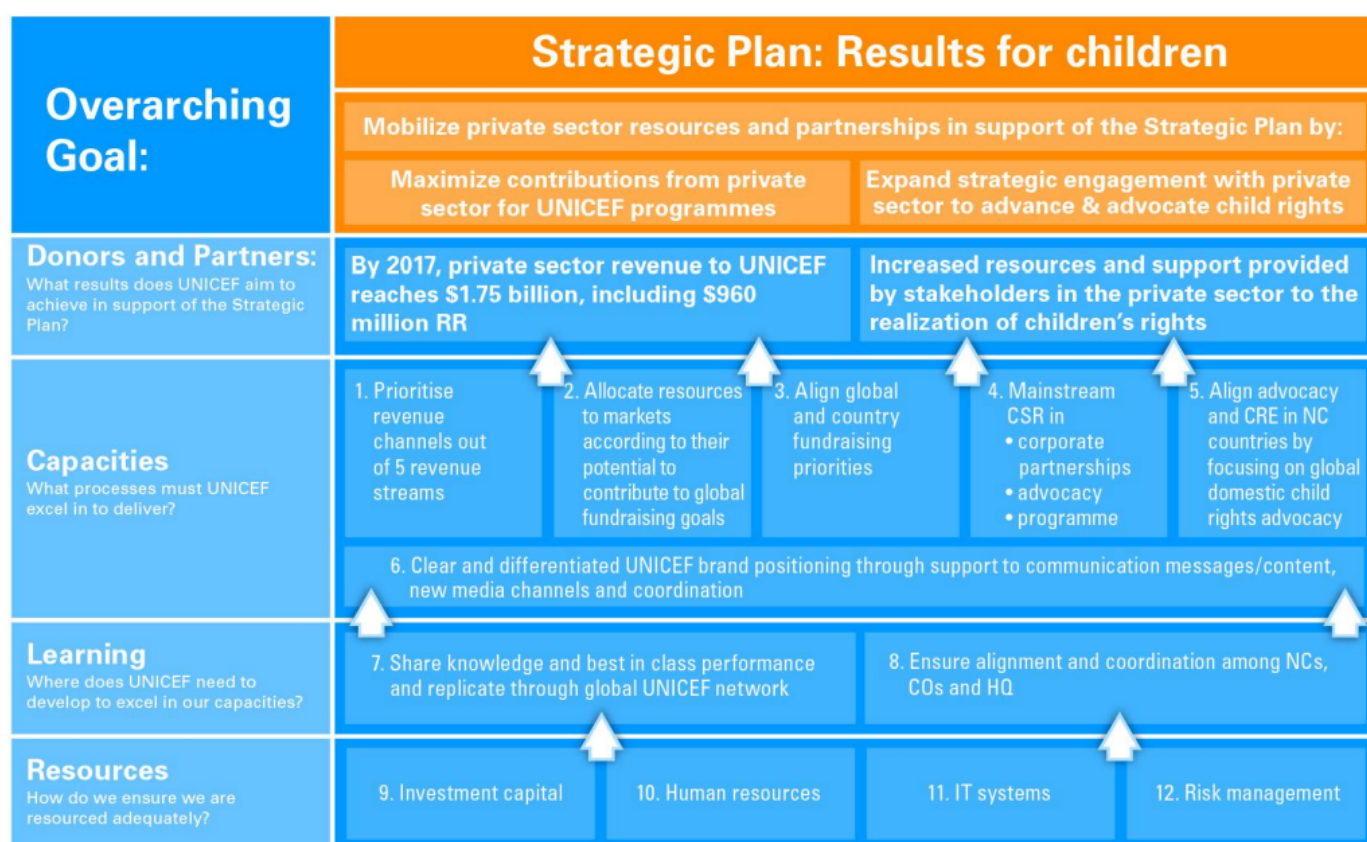
Table 5. CGIAR Funding 2009 - 2013

	2009	2010	2011	2012	2013	Annual Growth Rate
CGIAR Total Contributions	\$606mn	\$673mn	\$713mn	\$860mn	\$986mn	12.5%

Appendix 13. UNEP Donor Recognition Infographics



Appendix 14. UNICEF Private Fundraising and Partnerships Plan 2014-2015 Road Map



Appendix 15. Overview of the Innovative Financial Funding Landscape

Innovative finance mechanisms are not necessarily new; the earliest philanthropic and development strategies incorporated innovative elements. While mechanisms over the last decade have generated USD20-30bn in additional funding for development, ultimately, innovative finance can include a much broader field of activities – from the historic creation of Multilateral Banks (MDBs) and Development Finance Institutions (DFIs) to new grant programs. This broad field is a result of innovative finance’s fundamental flexibility: solving large, complicated, global development issues with limited resources.

It should be noted that innovative finance options are highly tailored to a specific organization structure, funding model and developmental objectives. Having made this caveat explicit, there are a number of high-level themes that inform the structure of specific innovative finance mechanisms, namely:

- Raising funds from new sources – non-traditional donors, different pockets of capital from existing donors, corporates, retail philanthropic fund raising and private investors;
- Incorporating results-based payments into the funding model;
- Increasing the flexibility of funding – allowing other parties to provide upfront capital against existing long term donor commitments; and
- Creating financial assets – shifting from a grant mechanism to an investment whereby the donor retains some rights over the capital.

Raising funds from new sources

In many instances, innovative finance strategies allow new participants to channel funding to development issues. While there are a number of small-scale philanthropic initiatives, the list below describes the strategies and pilots that aim to mobilize substantial quantities of capital. In some instances the strategies aggregate fragmented flows to support a specific development activity; in others, the strategies divert existing capital flows to more impactful activities.

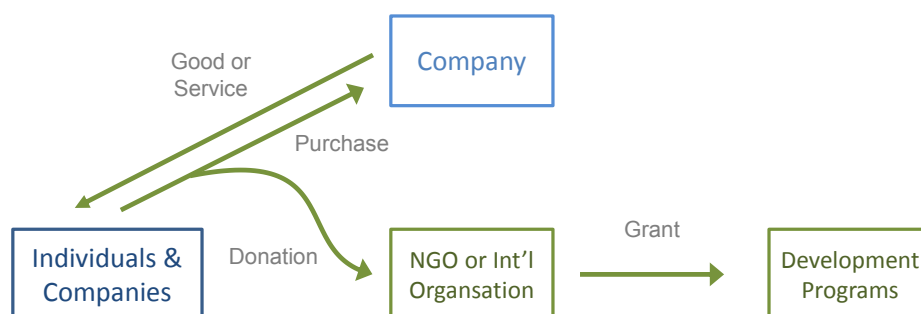
Levies raise money from individuals by adding a tax to a specific activity; the taxes are then transferred from the Treasury of the country that implements the tax to a development activity. UNITAID’s primary revenue source is the Solidarity Levy on Air Tickets. A small additional tax was charged to each air ticket purchase and transferred to the French Treasury. New donors⁹⁸ replicated this model. This tax raised commitments of over \$1bn. However, some of revenue raised by these new taxes have been channeled into reducing donor governments’ fiscal gaps.



A donor government passes a new tax on a specific transaction – historically a levy on luxury activities, or a small tax on high volume transactions (FTT). The tax is collected by the government and granted to a development programs

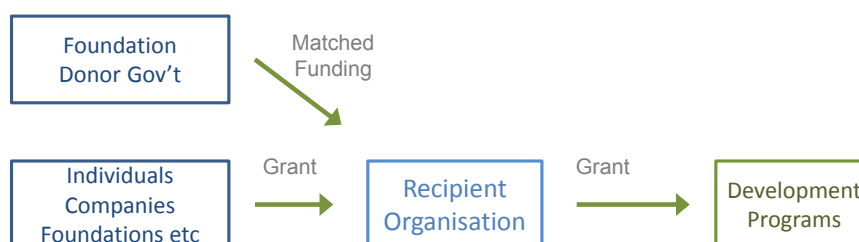
⁹⁸ Niger, Guinea, Cyprus, Madagascar, Mali, Brazil, Cameroon, Chile, Congo

A slightly different approach is through **consumer-oriented strategies**. These channel a percentage of the purchase price for products that are signed up to the program to a fund that can then be used for a development activity. They can also use other philanthropy strategies to complement these funds. The (RED) initiative has raised USD 180mm grants for the Global Fund from individuals through auctions to sell donated items and product partnerships – where a vendor passes part of a product’s purchase price to the fund.



A company commits to transfer a portion of the purchase price for a good or service to an NGO or International Organisation, often through a branded program. Consumers spend and in doing so support development activities.

Matching Funds are mechanisms to incentivize higher giving by setting a clear benefit to larger donations – as donors know that each dollar committed will in fact unlock one or more additional dollars. The Global Polio Eradication Initiative and GAVI’s matching fund programs sought to raise grants from new donors, to be matched by the UK and BMGF. The biggest donors so far have been from retail aggregators – Rotary International, which from 2007-2012, contributed USD 200m to GPEI to be matched by USD 500m from BMGF and Lion’s International, which committed USD 30mm against a USD 125m pledge from BMGF and DFID



Donors pledge a fixed matched fund (typically one to one) such that any contribution from a third party results in the equivalent contribution.

Sector-Specific Bonds allow a borrower to commit to spend capital raised on specific activity – instead of forming part of an organization’s general capital base. Green bonds were successfully pioneered by the World Bank, and have subsequently spread to major corporates. Green Bonds commit to channel capital to renewable energy investment or sustainable supply chains and operations. Green bonds are incorporated into an organization’s existing debt portfolio – i.e. they are predominantly issued by

organizations that are already active in the international capital markets (MDBs, Municipalities, and Corporates). These bonds have been very successful - raising USD 14bn in 2013 and forecast to raise as much as USD 40bn this year. However, they are criticized for oversimplifying the funding constraint – issuers are still able to borrow from capital markets for other activities and may receive a discount for actions they would have taken anyway.

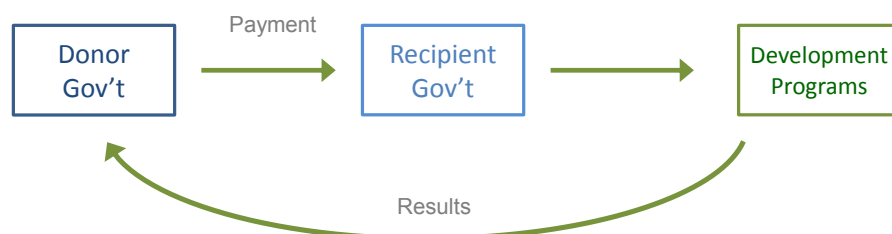


Bond Issuers raise money from international markets at market rates to finance specific sustainability projects – historically to increase efficiency or shift to sustainable sourcing of inputs (esp. power). Projects generate savings or revenues that are returned to investors as interest.

Incorporating results-based payments

Results-based payments allow donors to fund projects that successfully have impact and create an environment for 3rd parties to participate in development activities. The Principal mechanisms are Bilateral Transfers, Loan Buy-Downs, market-making instruments, and Impact Bonds.

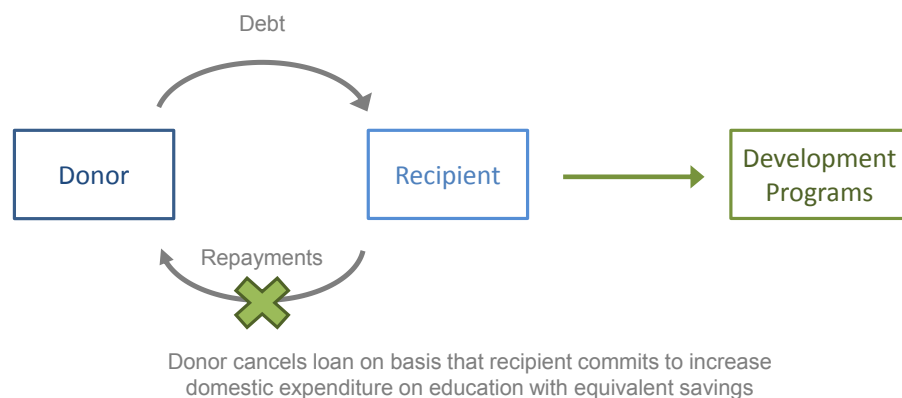
Bilateral Transfers are the simplest form of results-based finance: a donor government pays a recipient government for a specific achieved outcome. Cash on Delivery aid (COD Aid) is the current incarnation of this mechanisms and is being trialed in Ethiopia and Pakistan for education. In Ethiopia, DFID makes grant payments for each child that takes the grade 10 examinations above an agreed payment baseline and additional payments for each child that passes the exams. Higher incentives are paid for students in emerging regions and for girls who sit the exam. Payment will be made to the Ministry of Education once the results have been independently verified. A maximum of £10 million is available as payments from 2012 to 2014.



The Donor pays out to a recipient government for achieving a predetermined target, per unit of achievement.

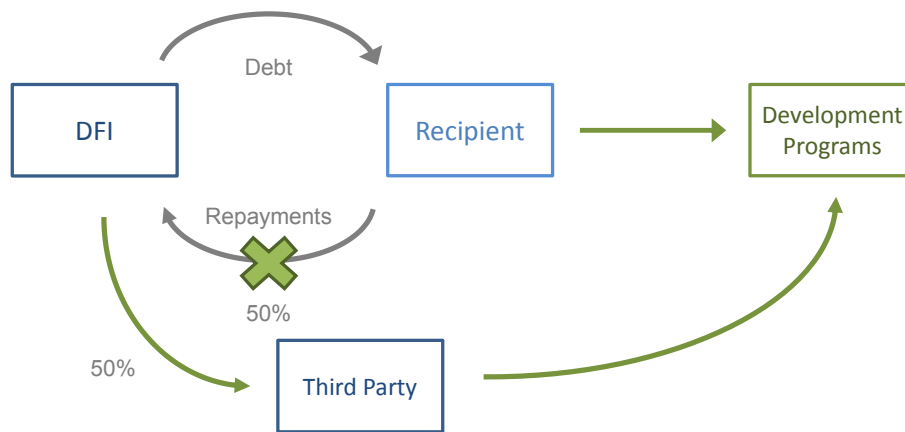
Figure 1: Bilateral Transfers

Debt swaps work with lenders and borrowers to reduce the cost of loans (up to buying back the full value of the loan) if the borrower uses the finance for a prescribed activity. This model was first proposed in 1984 with a “debt for nature” program developed at Conservation International. Under that model, NGOs and Donor Government bought the financial value of a debt from the creditor on the basis that the Debtor be able to invest the equivalent amount – now freed up - to nature and land conservation. An alternative was the refinance the debt in local currency rather than USD and channel the difference in the interest rate to a development activity. Since 1987, debt-for-nature swaps have generated \$1bn over numerous transactions; in the largest single transaction, France wrote off USD 66m for Poland to commit to nature conservation.



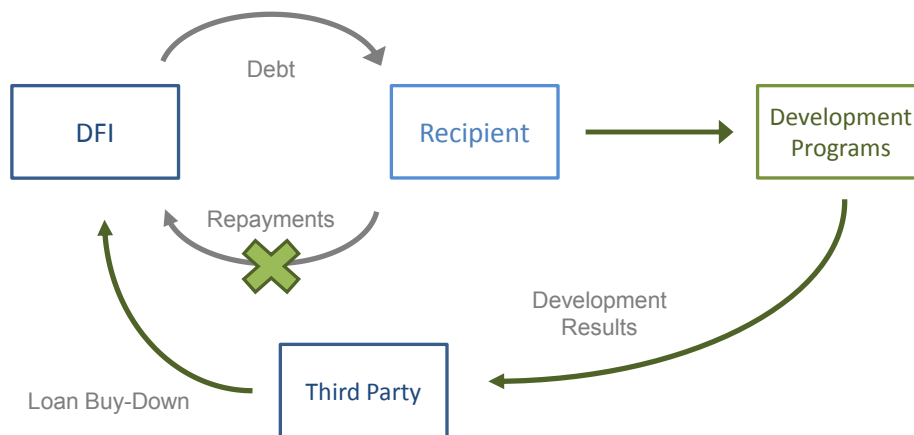
The debt-swap model has recently been revived and remodeled for Global Health through Germany’s **Debt to Health** program. Under this program the creditor writes off 50% of the loan and transfers the remaining 50% to the Global Fund to deploy in the borrower’s country; the borrower therefore has 100% of the debt written off. D2H has had 4 transactions:

- EUR 50m between Indonesia and Germany
- EUR 40m between Pakistan and Germany
- EUR 19m between Cote d’Ivoire and Germany
- AUS 75m between Indonesia and Australia



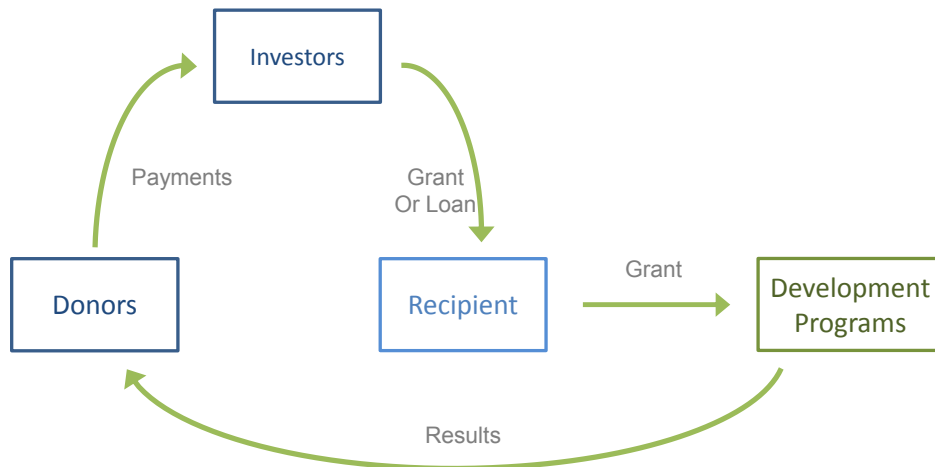
Donor writes off a portion of the debt and transfers equivalent of balance to a third party for programming in that country

- **Loan buy-downs** are a similar model but 1) can be predetermined before the loan is issued and 2) Notable examples have linked donors with IDA loans (BMGF, Japan and DFID in Nigeria and Pakistan for polio reduction) and IBRD loans (DfID in China for education and rural development) – the total commitment in these mechanisms has been approximately \$600m to leverage an additional \$1bn in funding.



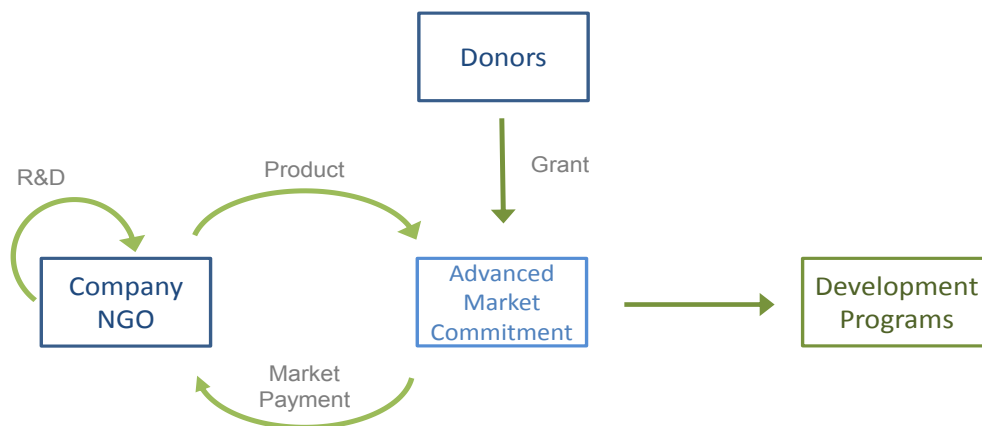
Third party pays all or some portion (e.g. interest) on a loan to reduce the debt burden on a recipient country.

- **Impact Bonds** apply this model where the payment is for an outcome rather than a product. Under a Development Impact Bond, (DIB) a donor makes payments to repay upfront invested capital if certain development outcomes are achieved. DIBs are new but build on the structure of Social Impact Bonds (SIBs). The first DIB in name was launched in June 2014, linking upfront financing from UBS Optimus of \$280,000 to the program efforts of Educate Girls, an Indian NGO. The Children's Investment Fund Foundation (based in the UK) will pay out against improved test performance and female attendance figures in Rajasthan, India.



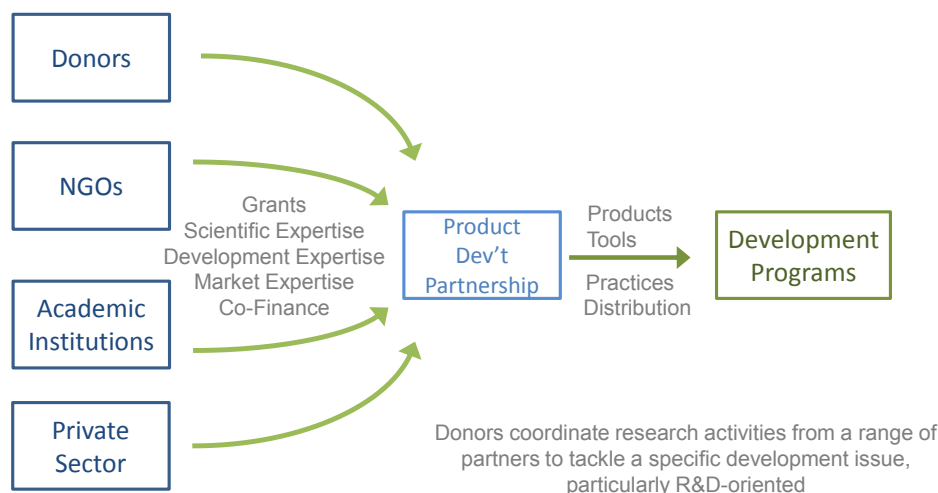
Investors lend to recipients to finance a specified activity with a substantial social (or environmental, or with DIBs, developmental) benefit. The government repays investors when predetermined quantitative results are achieved. .

- **Pull-based mechanisms** incentivize third parties to make upfront investments by creating a guaranteed market/payment for creating certain outputs/products. The most popular model is the **Advanced Market Commitment** – where donors and foundations pool funds and commit to buy drugs that target a specific disease and meet set criteria. The Advanced Market Commitment for pneumococcal vaccine, where a group of donors earmarked \$1.5bn to buy vaccine from private manufacturers, gives a clear signal of market demand at a specified price and therefore encourages private sector investment into the necessary production facilities.

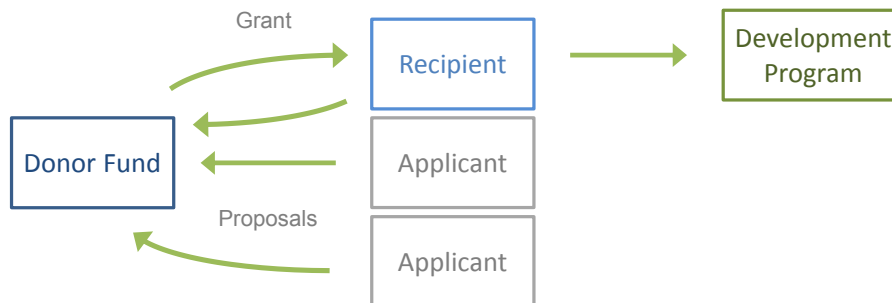


Donors capitalise a fund to purchase products that meet predetermined criteria. Private companies and other organisations invest in developing products that meet the criteria. The AMC then transfers the products to be distributed to development programs

- **Product Development Partnerships** are a more collaborative model, where donors co-finance activities via a separate entity that works with and coordinates academic institutions, NGOs and private sector companies to create and distribute/implement products/technologies that tackle defined development issues. GALVmed exemplifies the approach: the program deploys USD 51m in grant funding to co-fund R&D into drugs and livestock management strategies for specific animal health issues in Africa and Asia.



The AgResults program, housed at the World Bank, aims to replicate some of the AMC's success in the agriculture sector. AgResults grew out of discussion in the late 2000s and particularly in 2010 at the Toronto G20 meetings to incentivize 3rd party R&D and public-private partnerships. The program has raised USD 110m from the US, UK, Australia, Canada and BMGF. However, rather than committing to purchase specific technologies in bulk, the funds are awarded in grants to proposals that themselves implement technology delivery and deployment in target countries.



Donors pool capital to award grants to successful funding proposals; where CGIAR operates this system for agriculture R&D, AgResults focuses on delivery programs. Applicant can be NGOs, Academic Institutions, Private Companies (though the latter are often screened out due to profit motivation in implementation phase unless partnered with other organisations).

Flexible Funding

Flexible Funding instruments allow donors to more efficiently commit capital to development objectives. Most frequently, they allow donors to defray commitments over long time periods without reducing or limiting immediate investment. Flexible funding structures also allow donors to catalyze and recycle funds from capital markets. The principal mechanisms are development banks, other front loading multilateral structures and guarantees.

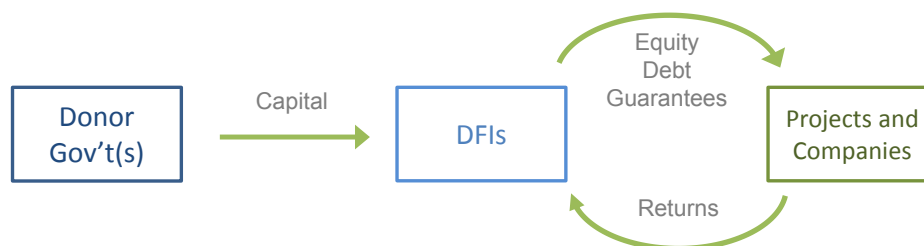
- **Multilateral Development Banks (MDBs)** are the archetype of flexible funding models. MDBs such as the World Bank are capitalized by governments, who have shares in the bank and make regular capital commitments. These commitments are in part upfront but more usually drawn down over time. MDBs issue bonds to borrow money from institutional investors. This capital is lent to governments to finance projects and programs with development impact. As loans are repaid, the capital is recycled.
- **The International Finance Facility for Immunization (IFFIm)** applies this model for a specific development strategy, to support vaccination programs in developing countries. IFFIm raises money from international capital markets today against donor commitments in the future. Donors made USD 6bn commitments to IFFIm over up to 30 years. Investors lend money to IFFIm today to be repaid with interest as those commitments are realized. The funds raised are transferred to GAVI to pay recipient countries for vaccine implementation programs. Donors are protected through a clause that allows them to withdraw commitments if recipient countries are in arrears to the IMF. By channeling funding to a portfolio of 72 recipient countries, GAVI diversified away the risk to investors that the funding would be unsuccessful. As a result, it was able to leverage IFFIm up to 70% (over USD 4bn) and still retain a AAA rating (i.e. pay a low interest rate to those investors) as statistically it is exceptionally unlikely that more than 30% of GAVI countries would ever be in arrears to the IMF at one time (currently only 3 countries are in arrears representing 2.5% of IFFIm's portfolio).⁹⁹

Creating a Financial Asset

The final theme focuses on changing the instrument used in deploying capital. Grants give no option to return capital to donors – allowing them to keep them on the balance sheet. This is appropriate for projects and programs that lie outside market activities. However, some instruments and development activities intersect with opportunities to generate returns – or at least protect invested capital. Existing donors, particularly governments, are trialing mechanisms that allow them to own a financial asset – and therefore reduce pressure on the fiscus.

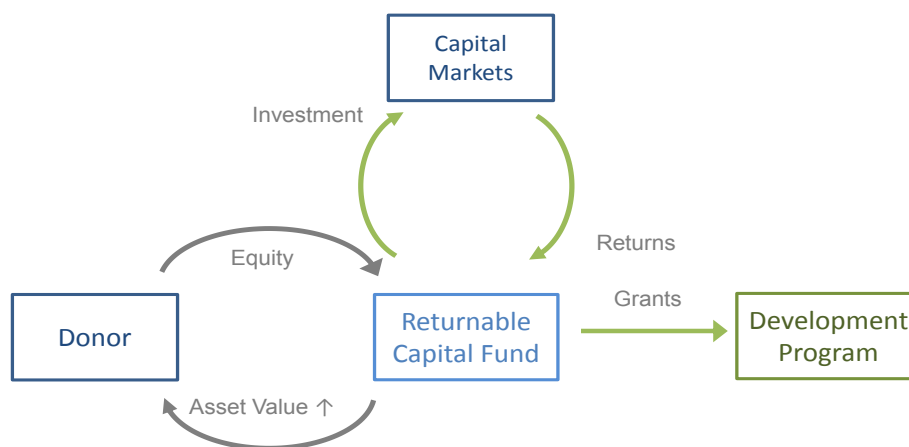
⁹⁹ For all that IFFIm was designed to meet the challenge of paying for projects today against long term donor commitments, in retrospect, arguably the greatest value to GAVI of IFFIm was not the ability to front load funds, but rather the visibility of a long term capital base. Much like the AMC, this serves as a clear signal to vaccine manufacturers to scale up production, confident in the knowledge that GAVI would be in a position to purchase vaccine in the future. IFFIm also enables GAVI to more efficiently procure vaccines today, due to the balance sheet effect of having a long-dated, visible donor commitment.

- **Development Finance Institutions** are single- or multi-donor investment organizations that deploy debt, equity and other financial investments to projects and companies with a development angle. Strategies are defined by instrument, sector and geographic focus and development impact objectives. The Overseas Private Investment Corporation (OPIC) is one US DFI, providing debt and insurance products for projects and funds. OPIC has a loan portfolio of over USD 1.5bn and an insurance exposure of USD 2bn. Interest and premium payments are recycled into future financing.



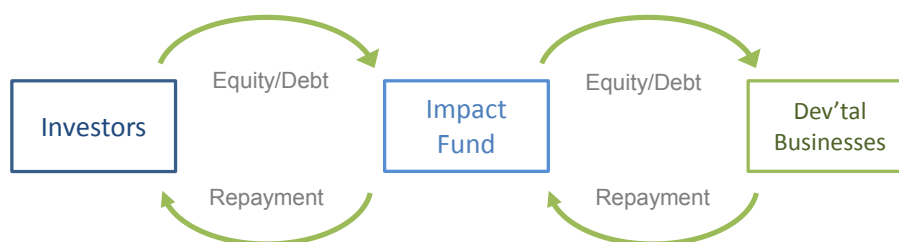
Donors capitalise an asset management entity – typically as the sole shareholder, but sometimes in conjunction with other donors (IFC). This entity then invests in projects and companies meeting set geographic and sector criteria. Returns are passed back to the DFI. Donors retain shareholding as an asset.

- **Returnable Capital Funds** – extensions of an Endowment model - are the most common mechanism to allow organizations to retain rights to capital while contributing to development objectives. Under this model, donors grant or invest capital in a fund structure. This fund structure is invested, and the income generated from those investments are used as grants for non-income generating activities. The Wellcome Trust is a good example of a multi-owner fund that generates income for R&D. The Trust was initially capitalized through family and corporate donations. Over time, this capital base has been supplemented by royalty payments from products (famously Zovirax, but now from outputs of Wellcome Trust-funded research) and by raising equity and debt in public capital markets. The funds raised are invested in a portfolio of debt and equity holdings. The returns generated fund pioneering R&D for health issues that are not being adequately met by private sector investment.



Donors, Foundations and Sovereign Wealth Funds capitalise a vehicle and retain ownership rights over the underlying assets. The vehicle invests in capital markets; the income generated by those investments is in part channelled to grants programs, and in part re-invested to maintain and grow future funding capacity.

A newer **Impact investment fund** model shifts the focus away from how returns are used to what investments are made. The Global Health Investment Fund (GHIF) is a \$108mm fund that was structured to augment the grant capital provided to the Global Health PDPs with a tranche of investment capital. Although concerns were initially raised that global health programs could not make a financial return and therefore were not suited to any form of investment other than grants, this has proved not to be the case. The GHIF invests in a portfolio of companies and joint ventures to fund late stage trials and commercialization of products targeted to neglected diseases. The fund's investors span governments, DFIs, corporates, institutional investors and private individuals. These investors are willing to accept a lower target investment return, due to the presence of a partial capital guarantee provided by BMGF and the Swedish International Development and Cooperation Agency (SIDA).



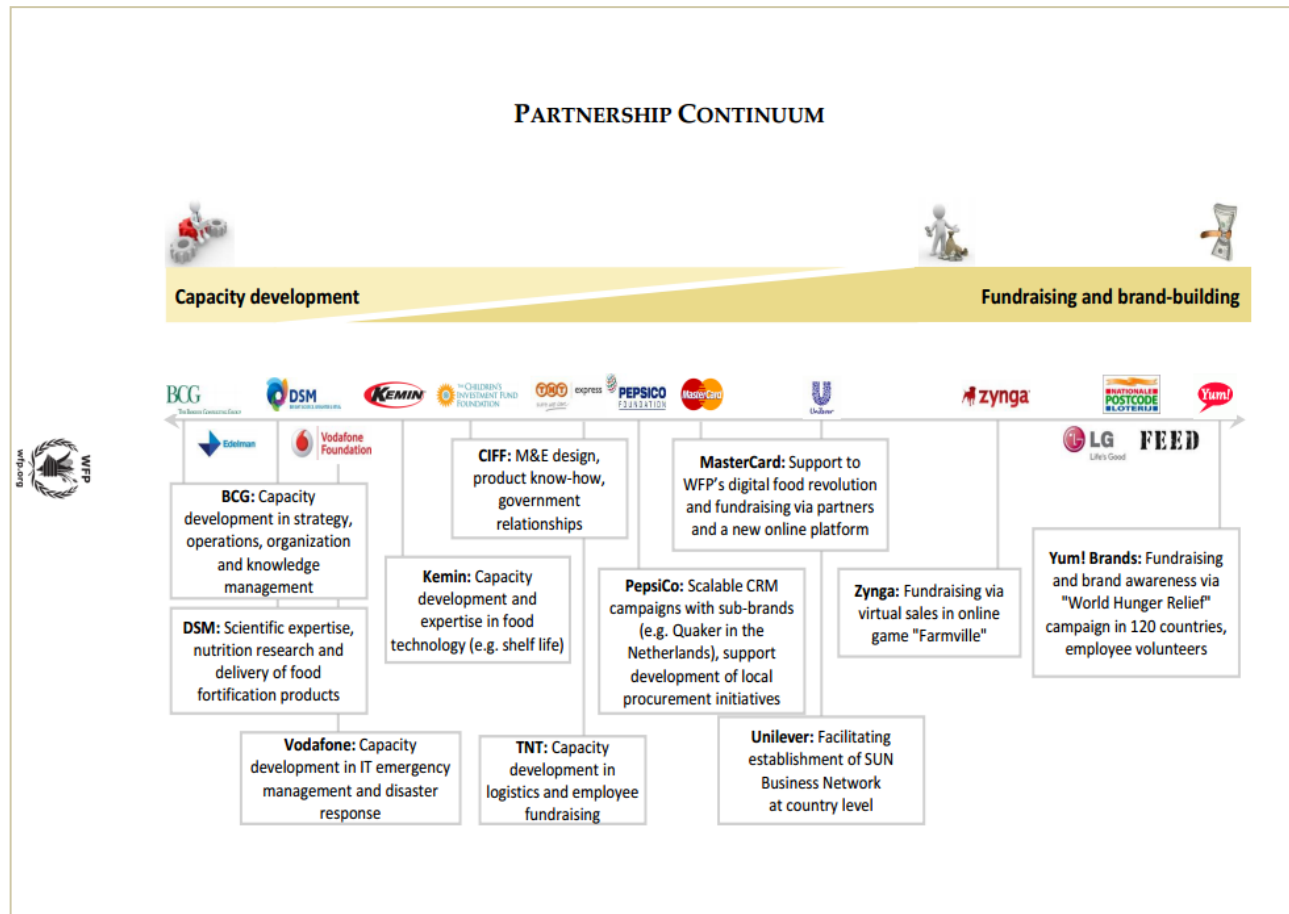
Investors – Donors, DFIs, Foundations, Corporates and High Net Worth Individuals – invest in a fund vehicle. That vehicle has a development investment mandate, targeting investments in businesses that meet specific geographic, sector and impact criteria. Returns can be re-invested or paid out to investors. Funds typically generate below market returns – but may have downside risk protection.

These four overarching themes are not mutually exclusive; in fact, most mechanisms align with more than one theme. For simplicity, the examples of innovative financing mechanisms have been described according to the principal motivation behind the structuring.

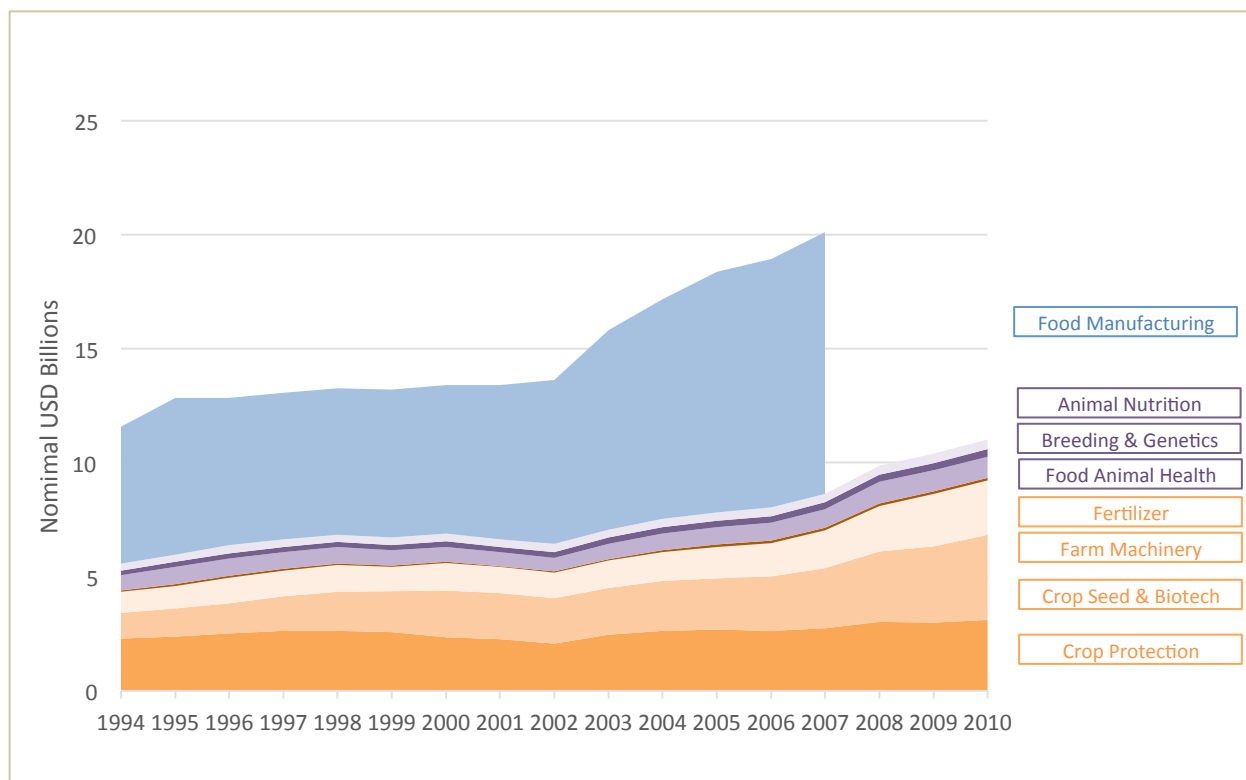
Appendix 16. Innovative Finance Strategies Reviewed for Application to the CGIAR.

Fundraising	Fundraising & Fund Deployment	Fund Deployment
<ul style="list-style-type: none"> • Levies/Taxes • Retail Programs • Consumer Programs • Front Loading Bond Issuer • Debt Swaps • Returnable Capital Funds 	<ul style="list-style-type: none"> • Product Development Partnerships • Pull Mechanisms • Guarantees • Impact Bonds • Sector (e.g. Green) Bonds • Development Bank Model • Impact Investment Funds • Private Equity Funds <p>Debt Funds</p>	<ul style="list-style-type: none"> • Cash on Delivery • Concessional Loans • Loan Buy Downs • Development Finance Institutions • Grant Challenge Funds

Appendix 17. World Food Programme Private Sector Partnership Continuum



Appendix 18. Private Sector Agriculture R&D 1994-2010 by Activity



Appendix 19. Innovative Finance Design Considerations

	Returnable Capital Fund	PDP	Pull Mechanism	Impact Bond	Impact Investment Fund	Debt Leverage Mechanism
Design Time	6 months	6-10 months	10-12 months	10-12 months	12 months	8-12 months
Expertise Required	Financial Legal	Legal Technical	Financial Legal Technical	Financial Legal Technical	Financial Legal Technical	Financial Legal Technical
Financial Design	Investment strategy Term Sheet Selection of manager Raising funds Board requirements	(Donor fund raising can be done by Fund Office)	Raising funds Analysis on pricing	Financial Analysis Term sheet Raising Funds Negotiation	Market scoping Investment strategy Term Sheet Raising Funds Selection of manager Board requirements	Financial Analysis Term Sheet Negotiation
Legal Design	Fund documentation Tax structuring Management contract	Legal status of funding window: - W4 in CGIAR Fund - Independent	Legal status of funding window: - W4 in CGIAR Fund - Independent	Set up SPV Contracts between: - Investors	Fund documentation Tax structuring Management contract	Transaction contracts: - Borrower - Lender - [LBD/Swap Donor] - [Guarantor]

	Returnable Capital Fund	PDP	Pull Mechanism	Impact Bond	Impact Investment Fund	Debt Leverage Mechanism
	Governance contract	Management contract Governance contract	Management contract Governance contract	- Outcome payors - Implementing agent - Impact Evaluator	Governance contract	Negotiation
Technical Design	N/A – Grant to W1	Shortlist products/sectors Define partnerships Define coordination role of CGIAR		Shortlist CRP/Centre Select program Impact targets	Investment criteria: Scientific Impact	Review CGIAR gov't relationships Review use of funds Define milestones

Appendix 20. Governance Structures & Management Requirements for CGIAR Shortlist of Innovative Finance Mechanisms

Innovative finance would significantly augment the existing basic grant composition of the CGIAR's RM strategy. Six mechanisms, detailed above, are most applicable to the CGIAR. Innovative finance options have structural and governance implications for the CGIAR. Governance structures correlate to different management requirements.

- 1) Independent Funds:** the Returnable Capital Fund and Impact Investment Fund cannot be structured within the CGIAR Fund. The Returnable Capital Fund could be a parallel fund in the World Bank, and the Impact Investment Fund is more likely to attract private investment if it is independently registered in the UK, for example. Each fund would require its own Board of Directors, Investment Committee and fund documentation. The Impact Investment Fund could have additional Impact and Scientific Advisory committees to provide specialist input. CGIAR stakeholders can have a role on these boards.

These mechanisms require external expertise and SEC (US), FCA (UK) or equivalent authorization. The initial fund management team would be 3-10 investment professionals. The investment management team can be hired to exclusively run the fund(s), or can be part of a larger firm contracted to manage the funds. The World Bank can manage a returnable capital fund paid through a management fee.

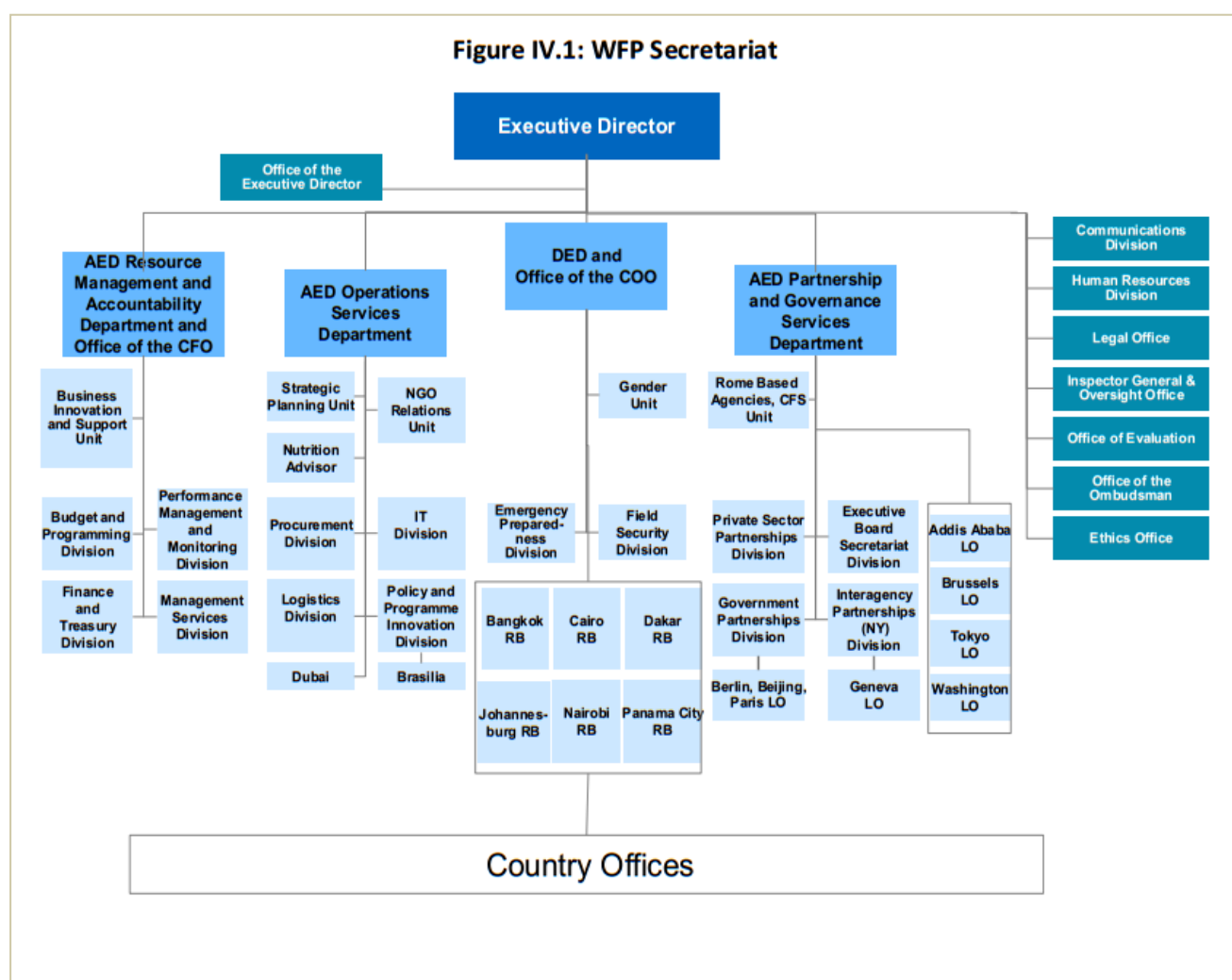
- 2) Integrated within the CGIAR:** the PDP and AMC – as structures that receive and make grants – can be housed within the CGIAR Fund as a fourth window or similar. The Fund Council would have responsibility for disbursing funds while the Consortium Board would oversee for how funds are used. Creating new windows would require policies governing how funds are used and addenda to CGIAR Fund legal documents, contribution agreements and disbursement policies. These mechanisms could also be independent entities outside the CGIAR Fund, similar to the Centers, requiring their own operating policies and procedures.

In a scenario where the PDP or AMC are a fourth window in the CGIAR Fund, building partnerships, preparing funding proposals and managing disbursed funds could mirror the existing CRP management structure. The Fund Office may need one/two staff members to manage coordination and monitoring at the Fund level, and the Consortium Office similarly to manage proposals. Centers and partners can allocate directors to a Program Management and Monitoring Team (PMMT) and incorporate a small program management unit (PMU) into the proposal budget. If the PDP or AMC is structured as an independent entity, the operations team could be 30-60 professionals – paid for from allocated funding.

- 3) CGIAR as Broker:** for the Impact Bond and Debt Leverage mechanisms, the CGIAR would coordinate transactions and be an implementation partner. Transactions are governed by contract agreements that link partners, including donors, governments, implementing agents and impact evaluators. These mechanisms would have little effect on the CGIAR's governance structure. The CGIAR would need to allocate a small number of staff (1-5) from the Fund and Consortium Offices to design the loan/bond and manage relationships between the stakeholders. The implementation role for CGIAR would be filled by center staff in the same way that CRPs are currently run.

Appendix 21. World Food Programme Secretariat Organizational Structure, 2013

The Assistant Executive Director for the Partnership and Governance Services Department oversees partnerships with private-sector organizations, United Nations agencies and governments. The Government Partnership Division includes the liaison offices in Beijing, Berlin and Paris; the liaison offices in Addis Ababa, Brussels, Tokyo and Washington will report directly to the AED.



Appendix 22. UNICEF Private Fundraising and Partnerships Staff Plan 2013

Annex I Summary of post changes proposed for 2013

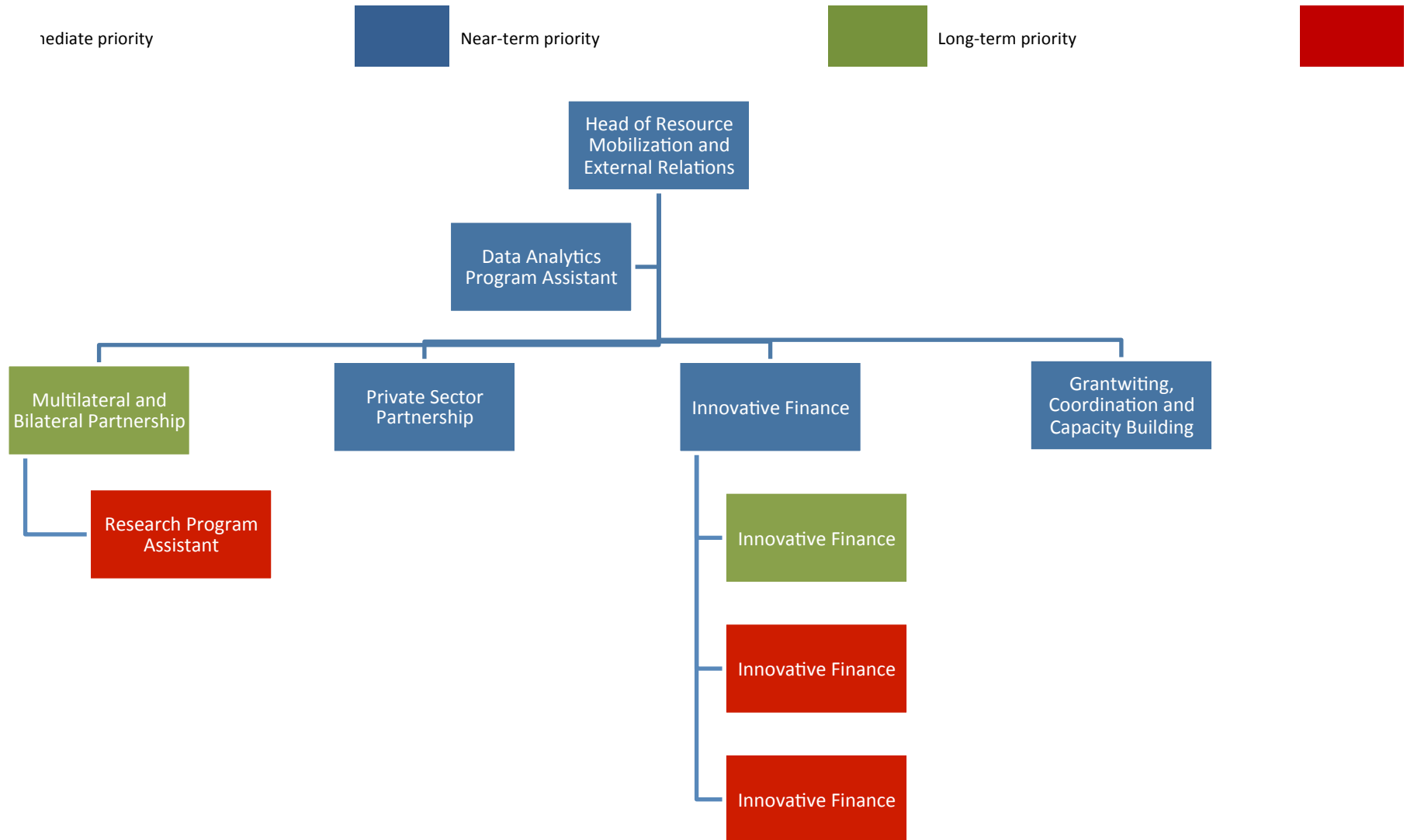
Detail	Post levels							Total IP	NO	GS	Grand total
	D2	D1	P5	P4	P3	P2	P1				
Base PAT 2012 approved	1	4	23	48	50	10	0	136	15	69	220
PFP headquarters											
Approved 2012	1	4	20	41	48	10	0	124	0	53	177
Establish, abolish and upgrade in 2013:											
<i>Marketing and Fundraising:</i>											
Fundraising			-1	1	1	0		1		-1	0
Country Offices PFP unit			1	2				3			3
Cards and Products			-1	-2				-3			-3
<i>National Committee Relations</i>											
National Committee Relations			1	-1	1			1		1	2
Child Rights Advocacy and Education								0			0
<i>Finance and Administration:</i>											
Operations and Finance, including Governance			0		-2			-2		-1	-3
<i>Director's Office, Communication, Corporate</i>											
<i>Social Responsibility:</i>											
Director's Office			1	-1				0			0
Corporate Social Responsibility					1			1			1
<i>Operations and Support:</i>											
Procurement			-1	1				0			0
Proposed 2013	1	4	20	41	49	10	0	125	0	52	177
Change vs. 2012 approved	0	0	0	0	1	0	0	1	0	-1	0
Regional support centres and UNICEF country offices											
Approved 2012	0	0	3	7	2	0	0	12	15	16	43
Establish and abolish in 2013	0	0	1	0	1	0	0	2	-6	-2	-6
*Proposed 2013	0	0	4	7	3	0	0	14	9	14	37
Change vs. 2012 approved	0	0	1	0	1	0	0	2	-6	-2	-6
TOTAL PFP											
Approved 2012	1	4	23	48	50	10	0	136	15	69	220
Proposed 2013	1	4	24	48	52	10	0	139	9	66	214
Change vs. 2012 approved	0	0	1	0	2	0	0	3	-6	-3	-6

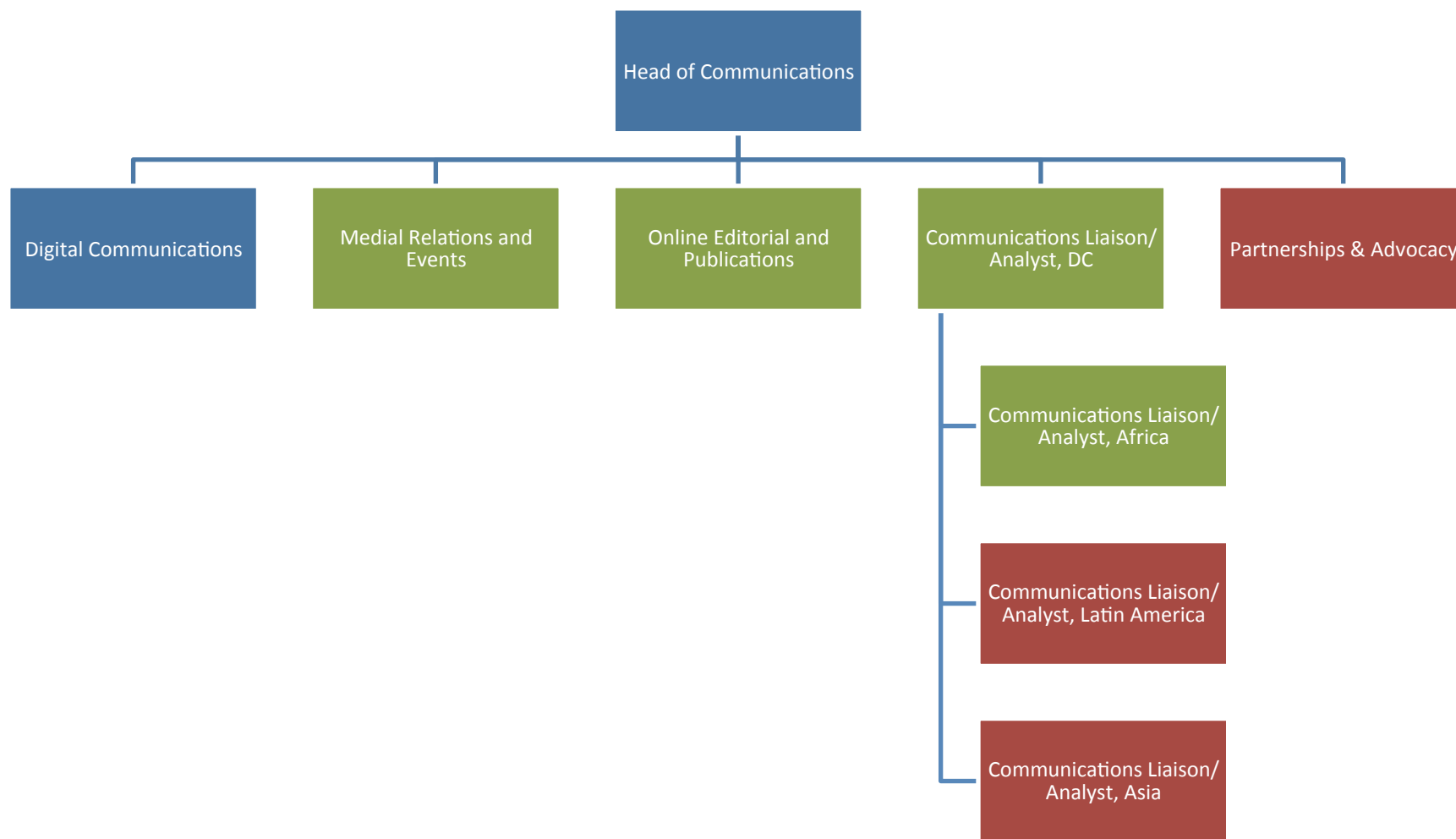
IP = International Professional; NO = National Officer; GS = General Service;

PAT = Post authorization table.

* The table does not include fundraising posts charged to other resources budget of country offices.

Appendix 23. Possible CGIAR System-Level Organizational Charts





Appendix. 24 Capacities for Year 1 and Year 2 of RMS Implementation

Year	Priorities	Option I.	Option II.
2015	<ul style="list-style-type: none"> RM funding proposal development Communications and digital strategy design Recruitment and support of GIC and Innovative Finance Working Group Innovative finance design and initial funding approaches Center-system collaboration including data sharing and analytics Development dialogue 	<p>implementation utilizing external expertise:</p> <p>\$600,000</p> <p>Estimated operating costs*: \$750,000</p> <p>Total: \$1,350,000</p>	<p>implementation via additional in-house staff (6 senior FTEs):</p> <p>\$1,100,000</p> <p>Estimated operating costs*: \$750,000</p> <p>Total: \$1,850,000</p>
2016	<ul style="list-style-type: none"> Ongoing RM proposal development and approaches Media relations and new events Online editorial and publications Center-system collaborations re: communications Implementation of next group of innovative financial funding mechanisms 	<p>utilizing external expertise:</p> <p>\$600,000</p> <p>Estimated operating costs*: \$750,000</p> <p>Total: \$1,350,000</p>	<p>via ongoing and additional in-house staff (6 senior FTEs plus 6 mid-level FTEs):</p> <p>\$1,900,000</p> <p>Estimated operating costs*: \$750,000</p> <p>Total: \$2,650,000</p>

* includes travel, special events, graphic design, training and supporting practice networks, incentivizing participation of Centers, printing, research, promotion, administrative assistance and other normally accepted operating expenditures.

Appendix 25. Key Fundraising Performance Metrics

Fundraising Key Performance Metrics			
Prospecting	Year 1	Year 2	Year 3
Number of Prospects Under Management*			
Increase/decrease in Size of Prospect Pool			
Average Time (months)			
Discovery to Cultivation (Months)			
Cultivation to Solicitation (Months)			
Solicitation to Stewardship (Months)			
New and Recaptured Donors	Year 1	Year 2	Year 3
Number of New and Recaptured Donors			
Number of Prospects Solicited			
Dollars Raised from New and Recaptured Donors			
Average Gift Size from New and Recaptured Donors			
New Donor Renewals (renewing after first gift)	Year 1	Year 2	Year 3
Number of New Donor Renewals			
Percent of New Donor Renewals			
Number of First Time Donors Solicited			
Dollars Raised from First Time Donors			
Average Gift Size from First Time Donors			
Repeat Donors	Year 1	Year 2	Year 3
Number of Repeat Donors			
Percent of Repeat Donors			
Number of Repeat Donors Solicited			
Dollars Raised from Repeat Donors			
Average Gift Size from Repeat Donors			
Upgraded/Regraded/Downgraded Donors	Year 1	Year 2	Year 3
Number of Donors Upgrading Gifts			
Percent of Donors Upgrading Gifts			
Dollars Raised from Upgraded Donors			
Average Gift Size from Upgraded Donors			
Number of Donors Maintaining Gifts (Regraded)			
Percent of Donors Maintaining Gifts (Regraded)			
Number of Donors Downgrading Gifts			
Percent of Donors Downgrading Gifts			

Appendix 26. Excerpt from Rahim Kanani Communications Report: How can the CGIAR Better Support Centers

Pulling from nearly two dozen interviews with communications, board and DG leadership across CGIAR, a wide variety of needs surfaced with respect to how CGIAR can better support its member Centers and CRPs. They range from simple tasks to complex engagements, but what ties them all together is the fact that CGIAR should be much more responsive to member requests—much of which are tied to internal and external communications, and donor relations. The only way CGIAR will be able to follow-through on much of what is requested below is if the Fund Office or Consortium office seriously address their lack of communications and engagement capacity.

1. Look for brand new donors

Many interviewees expressed a strong desire that the role of CGIAR at this stage is to bring in new, high-level donors in a way that exposes them to the wide variety of Center work based on their own priorities and interests. “Just as Bill Gates goes around visiting wealthy individuals and tries to convince them to fund like he does, we should be doing the same,” said one Center communications head. “CGIAR leadership should be active in those circles.”

2. Facilitate engagement with potential corporate partners

IITA, for example, is approached regularly for agricultural advice and insight in Africa, but they are unknown, they said, to corporates like Coca-Cola, mobile operators or others in the region. “We need to develop our name within the private sector, but we haven’t explored the idea of corporate partnerships too much beyond the traditional players of Monsanto and Syngenta,” explained Andrea Gros of IITA. “For example, as we integrate more and more technology solutions into our work, there are opportunities we would love to explore with mobile phone companies in Africa.”

IWMI, as another example, wondered if the FO could help with corporate introductions in South Asia or India. “We’ve done a lot of work on flood mapping and are looking at the insurance industry in South Asia for potential partners. At the same time, we’re also looking at multinationals because water security has become a major corporate concern,” stated James Clarke of IWMI.

3. Provide the collective with donor intelligence

In the past, interviewees said, the Fund Office was very helpful in providing feedback to the collective about donors and their strategic priorities. It was incredibly useful to many, but the problem was this kind of information flowed sporadically, not systematically. Institutionalizing such a process would also cut down on individual Centers hitting up donors multiple times to learn more about their priorities and interests moving forward. Therefore, one key area in which the Fund Office could take the lead on is looking at information put out by governments on their priorities, strategic interests and where they’re headed on specific themes—gathering donor intelligence—and disseminating that in some regular fashion to Centers and CRPs.

4. Internally Advocate to CGIAR Leadership on the Importance of Communications

Many communication heads interviewed for this report expressed concern that their leadership, board, and others in key decision-making roles did not quite understand or accept the value of communications to accelerating impact. “We have true communications professionals working in the CGIAR system, and they should serve as senior advisors to their leadership and be both privy to and a part of all top-level decision-making,” stated one communications head. “They need to be given the runway and resources to institute systems that can pull stories from the field and integrate that with on-going research on a regular basis.”

Another interviewee said, “Scientists think in terms of products—2 press releases, 3 posters, 1 video—not in terms of strategy, so we need to shift that mind-set and elevate our roles as communicators to be part of the program proposal process, and not as an afterthought 3 years after a project is complete.” These communications leads need to be involved in the beginning, and are eager to co-create with the scientists, but they must be taken seriously.

CGIAR can serve as an internal advocate on these issues as it begins to build internal communications capacity.

5. Create Trust with Donors through Evidence and Impact

“We need to create trust in the donor community by communicating to them evidence-based results achieved,” stated one communications chief. “To do this, we need to link communications with measurement and evaluation, going beyond stories of change to more rigorous analyses of impact that links our work to improvement in quality of life. And all of this must be backed up by hard data.” Not only will this build trust with the donor community, such communication can serve as a magnet to attract additional sources of finance.

“A lot of money comes directly to the scientists because they’re held in high regard and are very much trusted. Scientific credibility is directly tied to fundraising,” stated another communications chief. “At the same time, those very donors want to see and understand the value for money, so we need scientists working side-by-side with communicators to analyse the data sets, not afraid to talk science, focused on co-creation and interpretation for different audiences.”

CGIAR needs to take a significant lead on this and commission a renewed study to evaluate value for money when invested into the system. The current data set (and thus communication material) relies on research done in 2003, using even older data. CGIAR needs updated facts and figures to share across the enterprise given the goal is to raise another \$1B in the next 5 years. Such a study needs to go further than before, as it’s not enough to say how many hectares of land were improved. Evaluation must be deeper and try to surface exactly how many people were lifted out of poverty, how much did their income levels rise from greater yields, and where did they spend that extra income. Did they send their children to school, pay for healthcare, buy a solar lamp, or something else? These need to be aggregate indicators to show that across the system, conditions are improving and impact is being felt on the ground. Only a full-circle impact picture will explicitly tie CGIAR’s work to a wide variety of global development challenges, and by extension, open new doors to additional sources of funding.

6. Help break through the noise to reach Western media

There are only a handful of people at IITA working on communications, and they're caught between Ebola and Boko Haram as it relates to the news cycle. "We're the Center of all the tension and it's hard to break through. We could definitely use some support getting into Western outlets," explained Andrea Gros of IITA.

Similarly, a number of communications leads from smaller offices explained that they were strapped for resources, and that any kind of communications support—particularly some help from the FO/CO to be placed in Western media—would go a long way.

Because this kind of request is coming from a wide variety of Centers, CGIAR should explore the idea of retaining a top-tier media firm through its head offices that would service the entire CGIAR system. The firm would help promote stories, research and events that touch across the system, perhaps even the Development Dialogues. "We need to align our wishes and intentions with the reality of the resources. If we want to be a household name in both the scientific space and the development space, we need to invest in that outcome, plain and simple," explained one center communications chief.

7. Increase the cap on overhead and reclaiming the definition of 'overhead'

There was a widespread consensus amongst interviewees that if CGIAR communications was a discreet, fundable expense that donors could explicitly put their money into, that that would unlock a lot of new resources and allow for much greater communications capacity. However, if we disaggregate communications from overhead costs, that means less money for scientific reviews, impact assessment, shared services and the like. In other words, it's legitimate overhead that needs to be reframed as not simply admin costs to keep the machine running. "We need to raise those figures and explain to donors exactly what overhead means in practice, and why our communications ambitions, amongst other activities, are not at all being fully realized," explained one senior CGIAR official.

8. Facilitate an exchange of lessons learned on influencing policy change

"We need to be smarter about how we track influence in the policy arena. How do we prove that influential papers we've written over the past two decades have actually made a difference?" stated one center communications head. "We need to develop a community of practice around policy change, and a policy story bank so that not all of our examples are technology-focused. I'm sure there are others in our member network that are doing some great work, and we should learn from them."