A Plan for a Fund Drive for Predictable Multiyear Contributions to the CGIAR System for the 2017 – 19 Period

Executive Summary

i. In April 2015, in anticipation of the planned launch of the second round of CGIAR Research Programs in January 2017, the Fund Council asked the Fund Office (in consultation with the Trustee, the Consortium Office, and the Centers) to develop a detailed resource mobilization plan to ensure more predictable and sufficient funding to underwrite the new CGIAR Research Program portfolio. The resource mobilization objectives of the CGIAR reform that began in 2009 (including the establishment of the CGIAR Fund as a multi-donor trust fund) have only been partially met: persistent uncertainty and instability in funding patterns remain. This situation jeopardizes the return on the extensive time and resources invested in other areas of CGIAR reform during the past five years, which cannot be fully realized without more predictable and stable long-term financing.

ii. A successful resource mobilization initiative for the 2017 – 19 period will create greater system coherence by more fully aligning strategy, program, results, and finance. The initiative will contribute to better rationalization and harmonization of the complex resource mobilization components of the CGIAR system and, going forward, can help set the foundation for additional, longer-term resource mobilization strategies. It will also provide an opportunity to increase recognition of the unique capacity of the multi-disciplinary, multi-faceted CGIAR system to develop and deploy scientific and technological solutions to many of the complex development challenges that world leaders have committed -- with the adoption of the Sustainable Development Goals -- to solve by 2030.

iii. To better ensure sufficient and predictable resources for the 2017 – 2022 CGIAR Research Program portfolio, this paper outlines a plan for a formal, system-wide Fund Drive (Section V) to take place during 2016. The Fund Drive is a concerted, ten-month initiative of consultation, outreach, and engagement, to mobilize resources for the coming three-year program cycle. The primary focus of this initiative is on contributions from existing and prospective contributors, with an emphasis on increasing predictable multiyear commitments. While new approaches to innovative finance and resource mobilization within the CGIAR System are already being developed, these are expected to achieve results over the medium- to long-term. The Fund Drive reflects the need to establish an adequate and predictable resource envelope before the end of 2016. The components of the Fund Drive include i) enlisting and activating strong leadership, including a CGIAR Ambassadors Group, ii) defining measures of success, iii) developing system-wide funding scenarios that demonstrate a strong value for money proposition, iv) establishing a process and agenda for consultation and outreach, and v) creating a timeline for finalization of Fund Drive results. These components are described in Paragraph 28. A full Fund Drive timeline appears in Annex 1.

1 While the focus of the Fund Drive is resources needed to support the new CGIAR Research Program portfolio, the process is meant to create a more favorable environment for all CGIAR resource mobilization, including activities outside of the CGIAR Research Programs.
Factors that could undermine the success of this initiative include the organizational changes related to the transition to the new governance arrangement, the compressed timeframe that is driving the resource mobilization imperative, and the potential hesitancy or inability of key contributors to make multi-year commitments. Stresses within the system arising from the intense process of CRP preparations and the need to demonstrate results from the CGIAR reform while it is still ongoing could also dampen the success of the Fund Drive. These factors and mitigating actions are identified and outlined in Paragraph 30. Most important among the factors that could help ensure the success of this initiative are ensuring transparency in the implementation of the Fund Drive, adopting an efficient and resourceful approach that builds on ongoing System activities, engaging in regular and broad communication, and clearly defining roles and responsibilities. A description of roles and responsibilities is detailed in Paragraph 31. The supplementary budgetary needs for the Fund Drive amount to USD 672,000. Details regarding the cost of the Fund Drive are discussed in Paragraph 32.

The Fund Council is requested to review the plan, including finalization of the measures of success, and authorize the implementation of a Fund Drive in 2016.

I. INTRODUCTION

1. At its April 2015 meeting, the CGIAR Fund Council agreed that a multiyear resource mobilization process should be initiated with a view to providing more predictable and sufficient funding for the portfolio of CGIAR Research Programs to be approved in November 2016. To that end, the Fund Council asked the Fund Office (in consultation with the Trustee, the Consortium Office and the Centers) to develop a detailed resource mobilization plan for review and approval by the Fund Council at its meeting in November 2015, to be implemented during 2016.

2. This paper presents a delimited resource mobilization plan for a focused Fund Drive to improve the predictability and reliability of CGIAR funding for the 2017 – 19 period. It reviews the background and rationale for moving toward a new resource mobilization approach in the CGIAR system; considers current trends in development finance as the context for the CGIAR system’s current funding arrangements, mechanisms, and recent funding history; outlines a plan for a 2016 Fund Drive (see Section V) to mobilize the resources needed to support the next generation of CGIAR Research Programs; discusses the risks that could impede a successful Fund Drive and measures that could mitigate such risks; and finishes by outlining roles and responsibilities and resource requirements for the proposed Fund Drive.

2 Other efforts to sustain and strengthen resource mobilization throughout the CGIAR system are ongoing. Moving forward, the recent revitalization of the Resource Mobilization Community of Practice will facilitate greater communication and collaboration in this area. Work is well advanced in the development of a new Returnable Capital Fund. The more-encompassing resource mobilization strategy reviewed by the Fund Council in 2014 (Toward a Unified Resource Mobilization Approach and Strategy for the CGIAR) may serve as a useful reference for additional efforts to fortify CGIAR resource mobilization.

3 The paper and the plan it presents have benefitted from input from key individuals in the CGIAR system, including the Senior Steering Group (see Paragraph 31), the Joint Resource Group, center Directors General, and the Resource Mobilization Community of Practice.
II. BACKGROUND CONTEXT AND RATIONALE

3. The adoption by global leaders of the 2030 Agenda for Sustainable Development marks the start of a new era of collective action unprecedented in its ambition to “free the human race from the tyranny of poverty and want and to heal and secure our planet.” Its success will depend on the mobilization and alignment of actions, resources, and political will at all levels.

4. The CGIAR’s Strategic Results Framework 2016 – 2030 provides the blueprint for the CGIAR System’s contribution to this new global effort. That contribution is far reaching and reflects the essential and varied role of agricultural research in reducing poverty, improving food and nutrition security for health, and improving natural resources systems and ecosystems services. The knowledge, innovations, technologies, and policies to be generated by the 2017 – 2022 CRP portfolio due to launch in January 2017 will contribute to as many as 13 of the 17 Sustainable Development Goals (SDGs). And CGIAR System research will have an especially vital role to play in achieving SDG 2, which aims to “end hunger, achieve food security and improve nutrition and promote sustainable agriculture.”

5. CGIAR reforms, begun in 2009, have positioned the system to be more responsive, coherent, capable, connected, and accountable and—most importantly -- better equipped it to provide some of the breakthrough, scalable solutions needed to achieve the SDGs. The 2014 independent Mid-Term Review Panel found progress in areas such as improved development impact, increased collaboration, and broadened partnerships, but also identified areas requiring further progress, such as improving efficiencies and communications. It found that the adoption of cross-cutting research programs (the CGIAR Research Programs) accounts for some of the most important improvements in the CGIAR system performance, including an improved focus on delivery of solutions and development impact and increased collaboration among Centers.

III. CGIAR Funding

6. The CGIAR reform and the establishment of the CGIAR Fund as a multi-donor trust fund were intended, in part, to better harmonize and scale up funding for priority research areas. This kind of prioritization and focus were viewed as essential for achieving the large-scale, breakthrough solutions that are needed to achieve global development goals. To this end, the establishment of the Fund was also intended to improve the predictability and quantity of funding and inject greater financial stability into the system. While there has been an overall funding increase, described below, this began to decline in 2014.

7. Contributors initially responded to the new CGIAR structure with a steady upsurge in contributions. Overall contributions – including both those to the Fund and those provided bilaterally -- saw a 51 percent increase from 2010 to 2014 (the last full year for which figures are available). While 47 percent higher than the 2010 total, projected contributions for 2015 represent a decrease from 2014, from USD 1,015 million to USD 986 million. This decline needs to be arrested and in its place, a trajectory must be reinstated for the 2017 – 19 period that reflects the value propositions being developed in the second round of the CGIAR Research Program and the priority imperative of the newly adopted SDGs. Simply
put, the return on the extensive time and resources invested in CGIAR reform during the past five years cannot be fully realized without more predictable and stable long-term financing.

8. The necessary predictability and reliability of resources depends not only on the total amount of resources, but also on the nature and allocation of those resources. This is especially true in the case of the complex CGIAR system, in which the Centers retain autonomy and close collaboration with the same donors that are contributing to core resources for the System. The structure of the CGIAR Fund reflects this complex reality with multiple windows that afford different options for contributors to designate contributions, provide varying degrees of discretion, and allow for different roles for the Fund Council in the management and allocation of contributions through the different Windows.4

9. In recognition of the complexity of the system, the Annex to the 2009 Joint Declaration establishing the new CGIAR spelled out norms regarding harmonization of funding.5 In them, CGIAR Fund contributors express their intention to provide adequate and predictable funding for the Strategy and Results Framework (SRF), primarily and increasingly with funds allocated by the Fund Council. The norms also spell out the intention to increasingly provide funding to Centers through the Fund and to decreasingly provide that funding directly to the Centers on a bilateral basis. The Annex also includes other measures to strengthen the stability and efficiency of CGIAR resource mobilization.

10. A review of allocations since 2011, the first year of the current structure, confirms that, up to 2014, there has been a shift of funding away from direct bilateral contributions to Centers in favor of contributions through the Fund. At the same time, the total value of bilateral contributions have held relatively stable, decreasing by some 8 percent from 2011 to the projected 2015 total. In 2011, 42 percent of USD 917 million contributions were channeled through the Fund, while 58 percent was provided directly to Centers on a bilateral basis. By 2014, contributions through the Fund accounted for 54.7 percent of the total USD1.015 million, while bilateral contributions totaled 45.3 percent.

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4 The Fund consists of three funding windows through which contributions may be directed. Contributions through Window 1 are allocated by the Fund Council to CRPs, systems costs, and other funding needed to achieve the CGIAR mission. Contributions to Window 2 are designated by the contributor for specific CRPs and contributions to Window 3 are designated for specific CGIAR Centers.

5 Annex, CGIAR Joint Declaration, December 2009
Table 1. Growth and Distribution of CGIAR Funding (USD million) by Year, pre- and post-CGIAR Fund

<table>
<thead>
<tr>
<th>Year</th>
<th>Unrestricted</th>
<th>Restricted</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2008</td>
<td>192</td>
<td>339</td>
<td>531</td>
</tr>
<tr>
<td>2009</td>
<td>205</td>
<td>401</td>
<td>606</td>
</tr>
<tr>
<td>2010</td>
<td>229</td>
<td>444</td>
<td>673</td>
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</tbody>
</table>

Post-CGIAR Fund

<table>
<thead>
<tr>
<th>Year</th>
<th>W1</th>
<th>W2</th>
<th>sub-total</th>
<th>W3</th>
<th>Bilateral</th>
<th>sub-total</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011</td>
<td>254</td>
<td>62</td>
<td>316</td>
<td>69</td>
<td>532</td>
<td>601</td>
<td>917</td>
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<tr>
<td>2012</td>
<td>184</td>
<td>132</td>
<td>316</td>
<td>198</td>
<td>525</td>
<td>723</td>
<td>1,039</td>
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<tr>
<td>2013</td>
<td>217</td>
<td>136</td>
<td>353</td>
<td>299</td>
<td>524</td>
<td>823</td>
<td>1,176</td>
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<td>2014</td>
<td>189</td>
<td>111</td>
<td>300</td>
<td>255</td>
<td>460</td>
<td>715</td>
<td>1,015</td>
</tr>
<tr>
<td>2015(projected)</td>
<td>108</td>
<td>132</td>
<td>240</td>
<td>242</td>
<td>504</td>
<td>746</td>
<td>986</td>
</tr>
</tbody>
</table>

Notes: W1, W2 and W3 are based on receipts while Bilateral is based on spending. 2015 - Projections include received, confirmed and unconfirmed amounts.

11. Both the Mid-Term Review Panel (MTR) and the Options Team\(^6\) reviewed the CGIAR funding model and resource mobilization approach. The MTR found the funding model to be fundamentally sound. It suggested that the different Windows served to leverage additional bilateral donor contributions and that “there is a mutually reinforcing relationship between W1/W2 and W3/bilateral funding.” The Panel made note of tensions within the system on the matter of W3/bilateral funding and acknowledged the strong view of the Centers that this funding stream should continue to be encouraged, but recommended that W1/W2 should comprise a larger share of the overall funding for CRPs than has been the case.

12. In its report, the Options Team emphasized a strong need for predictable multiyear funding, reporting that, “While the CGIAR Fund has succeeded in pooling significant resources for research priorities, without similar progress toward predictable multi-year funding, the full benefits of the CGIAR Fund may not be realized. It is proposed that an agreed, systematic resource mobilization process linked to the approval of a portfolio of CRPs be followed as one tool to facilitate more predictable funding for the system.”\(^7\)

13. In addition, the Options Team identified several other resource mobilization issues requiring timely consideration. These include problems arising from unpredictable and occasionally sporadic payment times during the year, reliance on informal communications regarding donor contributions for projecting resource flows, a lack of incentives for contributing to Windows 1 and 2, and, similarly, a lack of incentives to induce non-CGIAR Fund Council bilateral contributors to join CGIAR.

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\(^6\) The Options Team was established by the Fund Council in November 2014 to review and propose specific governance options for the CGIAR and present the strengths and weaknesses and broader implications of each option for consideration by the Fund Council.

Recent discussions of CGIAR System funding have also brought to the fore other issues that require attention and action: the capital needs of Centers, the need to diversify resources through innovative financing, the decline of reserves relative to increasing budgets, and the need to work with the Global Crop Diversity Trust to help build an endowment to underwrite the operating costs of CGIAR gene banks, while also working to reduce their operating costs. Work is underway to explore options for expanding and diversifying the CGIAR funding base through innovative finance and other options. The Fund Drive may also provide a useful opportunity for further deliberation on a course of action on these issues.

The unanticipated funding shortfalls of 2014 and 2015 have contributed to the urgent need to strengthen CGIAR resource mobilization. This is also an especially opportune moment to act because much of the strategic, policy, and program planning work required to justify a more systematic and predictable multiyear approach has been done or is in progress. This includes, most notably, the approval of a new Strategy and Results Framework for 2016 – 2030, early implementation of a transition plan for the new governance arrangement approved in May of this year, and a robust process for CRP preparations that will reflect clearer priorities and rigorous value-for-money assessment.

IV. RELEVANT TRENDS AND CHALLENGES IN OFFICIAL DEVELOPMENT ASSISTANCE

In any approach to mobilizing resources for the 2017 – 19 period, the CGIAR system will have to contend with other institutions and initiatives in an increasingly competitive and demanding funding environment. This section briefly reviews relevant trends and dynamics.

In recent years, the focus of development finance has broadened well beyond Official Development Assistance (ODA). At the same time, expectations about the allocation and use of ODA have sharpened. Recognizing that ODA accounts for less than one-third of official and private flows for development from OECD/DAC countries, attention has shifted to public-private partnerships, sovereign debt financing, mobilization of domestic revenues, and a range of innovative financing mechanisms, such as impact investment. OECD/DAC has described this as a “new era of opportunity in development finance.” At the same time, ODA is seen as an increasingly precious resource that should be targeted and leveraged to achieve greater impact and results, while maximizing its quality, efficiency, and cost-effectiveness. All of those relying on ODA for their program activities are being held to higher standards of accountability for the use of those resources.

The need for public finance and investment in research, especially through “genuine, effective, and durable multi-stakeholder partnerships” was affirmed by the global community at the recent Financing for Development conference in Addis Ababa. Recent analysis by the Center for Global Development contends that research and other activities generating public goods that benefit poor people in developing countries, with specific mention of CGIAR, are severely underfunded.

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19. Overall, OECD donors -- including leading contributors to the CGIAR -- are maintaining high levels of ODA. In fact, ODA resources reached an all-time high in 2013, remained close to that level in 2014,\textsuperscript{10} and are projected to remain stable to 2018.\textsuperscript{11} This is especially noteworthy in light of the economic stresses and budgetary constraints affecting many partner countries starting in 2007 – 08 and in light of competing demands for resources. ODA from non-traditional donors accounts for a growing portion of all ODA. Assistance programs in all countries have been subject to close scrutiny and political pressures in the face of competing demands for limited resources. There is a growing risk that investments in long-term, sustainable development are being crowded out by humanitarian emergencies. Like total ODA, official assistance to multilateral organizations also reached an all-time high of USD59 billion in 2013\textsuperscript{12}.

20. With respect to \textit{agricultural development}, after years of declining resources, ODA to the food and agriculture sector began to turn upward in the mid-2000’s,\textsuperscript{13} reaching a level modestly higher than that of 1990 by 2010.\textsuperscript{14} Funding for \textit{agricultural research} has increased along with the overall growth in the level of resources for the food and agriculture sector. Agriculture and agricultural research have maintained a foothold on the global agenda. For example, when world leaders met in July 2015 for the Third International Conference on Financing for Development they emphasized the need “to revitalize the agricultural sector, promote rural development, and ensure food security, notably in developing countries, in a sustainable manner, which will lead to rich payoffs across the sustainable development goals.” They also declared a commitment to “increasing public investment, which plays a strategic role in financing research, infrastructure and pro-poor initiatives.”\textsuperscript{15}

21. The outcomes of recent replenishment exercises conducted by a number of vertical funds and international financial institutions provide a useful benchmark for calibrating expectations. Those funds whose missions are sharply focused on health and education goals achieved highly successful outcomes, ranging from a 74 percent increase in donor pledges for the second replenishment of the Vaccine Alliance (GAVI) in 2015, to a 40 percent increase in donor partner pledges to the second replenishment of the Global Partnership for Education in 2014, to a 30 percent increase in pledges to the further replenishment of the Global Fund to Fight AIDS, Tuberculosis and Malaria, concluded in 2013.

22. By contrast, more recent replenishment exercises for other vertical funds and international financial institutions resulted largely in maintaining current funding levels. The replenishment target for the International Development Association (IDA17), concluded in 2014, increased by some 5.5 percent. The increase includes concessional partner loans that compensate for other reductions, including a slight decrease in donor grant contributions. The target for donor contributions to the African Development Fund (ADF13), completed in 2013, was USD5.8 billion, a slight increase from ADF12, though the overall replenishment level fell by 12 percent. The replenishment of the International Fund for Agricultural Development (IFAD10) concluded in 2014 with a target of USD1.44 billion in undesignated

\textsuperscript{10} OECD/DAC, 2015 Global Outlook on Aid,
\textsuperscript{11} ibid.
\textsuperscript{12} OECD, Multilateral Aid 2015: Better Partnerships for a Post-2015 World, July 14, 2015
\textsuperscript{13} OECD/DAC, Measuring Aid to Agriculture, April 2010
\textsuperscript{14} FAO, The State of Food and Agriculture 2012, Rome, 2012
\textsuperscript{15} Addis Ababa Action Agenda: Conference Outcome Document, July 2015
contributions, compared with USD1.02 billion in IFAD9. 16 And the Global Environment Facility (GEF6) finished its replenishment in 2014 with a very slight increase over GEF5.

23. The global drive for development effectiveness and the proliferation of vertical funds, has created a highly competitive environment for resource mobilization. Those institutions that are most successfully navigating these competitive currents are those that can best demonstrate relevance, impact, and value for money as the basis for multi-year resource mobilization. Following its far-reaching reforms, the CGIAR System is fit for this approach and the Fund Drive outlined below can help the system to move toward a systematic and predictable multiyear approach to resource mobilization that is fully aligned with an established research program cycle. Such alignment will facilitate system-wide efforts to demonstrate the impact of the work of the CGIAR System. This will help to reinforce its status as the premiere global agricultural research network, a preeminent generator of global public goods, and a major contributor to the achievement of the 2030 Sustainable Development Goals.

V. PROPOSED 2016 FUND DRIVE FOR PREDICTABLE MULTIYEAR CONTRIBUTIONS TO CGIAR

24. This section outlines a plan for a formal, system-wide Fund Drive in 2016 as an initial effort to align a predictable envelope of system-wide contributions and other revenue streams with the first three-year period of the 2017 – 2022 CRP portfolio, while providing funding for system entities17. The primary focus of this initiative is on traditional contributions from existing and prospective contributors. While new approaches to innovative finance and resource mobilization within the CGIAR System are already being developed, these are expected to achieve results over the medium- to long-term. The Fund Drive reflects the need to establish an adequate and predictable resource envelope before the end of 2016. The plan outlines a process of outreach, consultation, and deliberation leading to an agreed funding target for the three-year period, an increase in the number of predictable multi-year commitments, and an increase in the number of donors to the CGIAR System.

25. A sharply focused Fund Drive, rather than a more extensive and elaborate replenishment process, is the appropriate approach for effective resource mobilization within the CGIAR at present. Replenishment processes typically provide an opportunity for high-level dialogue that addresses, in an interlinked fashion, proposed institutional policies and strategic priorities, accountability for results, and resource mobilization. Dialogue within the CGIAR on strategic priorities, policies, and results has already taken place via the mid-term review on CGIAR reform, the approval of the new Strategy and Results Framework (SRF), 2016 – 2030, the work currently underway to develop a CRP portfolio that further elaborates the SRF, and the decision to reform CGIAR governance.

26. The success of the SRF and the transition to and consolidation of new governance arrangements cannot be assured, however, without more predictable and stable financing. Similarly, the long-term research to be undertaken in the new CRP portfolio needs to count on adequate and reliable financing. The

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16 Plus USD 350 million in complementary contributions for ASAP resulting in an overall replenishment total of USD 1.5 billion.
17 System entities during the 2017 – 2019 period will include the System Office, the Independent Science and Partnership Council, and the Independent Evaluation Arrangement.
justification for predictable multi-year commitments to the CGIAR from contributors has never been stronger nor more compelling.

27. From an institutional perspective, a Fund Drive for the 2017 – 19 period will create greater system coherence by aligning strategy, program, results, and finance. It will also provide an opportunity to make a strong case with current and prospective contributors for the value of the multi-disciplinary, multi-faceted character of the CGIAR system. That distinctive character gives the system a unique capacity to develop scientific and technological solutions to some of the complex development challenges reflected in the SDGs. It will serve to better rationalize and harmonize the complex resource mobilization components of the CGIAR system and can help set the foundation for additional, longer-term resource mobilization strategies, going forward.

28. The components of the Fund Drive include i) enlisting and activating strong leadership, including a CGIAR Ambassadors Group; ii) defining measures of success; iii) developing system-wide funding scenarios that demonstrate a strong value for money proposition; iv) establishing a process and agenda for consultation and outreach; and v) creating a timeline for finalization of Fund Drive results. Each of these components is discussed below.

a. Enlisting and Activating Strong Leadership. Two external Co-Chairs will be appointed to help lead the Fund Drive, with a view to enlisting one Co-Chair from a developing country constituency and the other from an OECD member country. The engagement of Co-Chairs will lend additional credibility, inspiration, and strategic guidance to the Fund Drive, while helping to influence decisions and ensure an effective process. Broadly speaking, the role of the Co-Chairs will be to work with the Fund Council Chair and other relevant entities to: (i) elaborate the agenda for Consultation session (see below); (ii) chair Consultation sessions; (iii) undertake direct consultation with current and prospective donors; (iv) facilitate negotiations among donors and between donors and CGIAR leadership, as necessary and appropriate; and (v) provide counsel and guidance on donor outreach and engagement and strategic communications. The Co-Chairs will be recruited by the Fund Council Chair, with the advice and concurrence of the Consortium Board Chair and the Head of the Transition Team. The Fund Council Chair will submit his nominations for Co-Chairs for approval by the Fund Council.

In addition to the Co-Chairs, the Fund Office\textsuperscript{18}, (in collaboration with the Consortium Office and Center Directors General), will establish and support a CGIAR Ambassadors Group. The Group will be a cadre of influential individuals who agree to serve as champions of CGIAR. By regularly speaking out in support of CGIAR, these individuals will help increase recognition and support among diverse audiences of the System’s role in achieving the SDGs. These Ambassadors may also be asked to advocate directly on behalf of CGIAR with key contributors, in concert with the outreach and engagement strategies described below in Paragraph 30.d.

b. Defining measures of success. The success of the Fund Drive can be better ensured by establishing common understandings regarding the scope of the initiative. This can be accomplished by agreeing to specific measures of success relative to the overall goal of aligning an adequate and predictable resource

\textsuperscript{18} The Ambassadors Group will be supported and managed by the System Office, once it is established.
envelope with the new CRP portfolio and system funding needs. These measures should be assessed for adequacy, ambition and realism, particularly in light of the compressed timeframe necessitated by the scheduled launch of the new CRPs in January 2017. To that end, the Fund Drive suggests four key measures of success:\(^{19}\):

I. A system-wide funding target\(^{20}\) for 2017 – 19;

II. An [50 percent] increase in the number of donors making predictable multiyear commitments from the 2014 – 16 baseline period of 14 contributors and a [100 percent] increase in the value of predictable multiyear commitments (over the 2014 – 16 baseline of USD 325.7 million);

III. An expansion of the CGIAR funding base through the addition of [6] new contributors to the CGIAR Fund by 2019; and

IV. The establishment of a CGIAR Ambassadors Group.

c. Developing System-wide Financing Scenarios. To facilitate deliberations leading to agreement on a funding target that is both ambitious and realistic, the Fund Office and Consortium Office will jointly prepare three system-wide financing scenarios. Building on the SRF, CRP proposal development, and the analysis of their value-for-money, the scenarios will present solid and credible CGIAR value propositions for the 2017 – 19 period. Modest-, uplift-, and aspirational three-year scenarios will be presented -- starting with a steady state option of USD 3 billion at the modest end, stretching to an aspirational scenario of USD 3.75 billion, with an uplift middle scenario range of USD 3.4 billion. Each scenario will describe the detailed programming scope, activities, and other expenditures that would be supported by the varying levels of funding and the corresponding results that each would achieve during the period. Each will also identify the projected funding streams needed to achieve the target amount, including prospective revenue from resource mobilization beyond donor contributions, such as innovative financing options, parallel financing, and certain in-kind contributions. The scenarios will be comprehensive in scope, including projected resources from Windows 1, 2, and 3, and bilateral contributions.

d. Establishing a Process and Agenda for Consultation and Outreach. The Fund Drive will also provide an opportunity to engage new individuals and prospective new\(^{21}\) and diverse contributors in helping to mobilize resources to underwrite a portfolio of strategic, high-impact research. Outreach will build on careful analysis of the current opportunities and constraints relative to existing and current contributors.

The Consultation process will be accomplished through a series of three formal consultation sessions, direct outreach and engagement with selected current and prospective contributors, and opportunistic engagement with contributors through participation in key global, regional, and national events. The system-wide focus and contributor outreach and dialogue are intended to help create an enabling

\(^{19}\) The numeric targets shown here are subject to discussion and finalization by the Fund Council.

\(^{20}\) A system-wide target includes Windows 1, 2, and 3, and bilateral funding. It will be determined on the basis of an agreed upon financing scenario (see paragraph 28.c).

\(^{21}\) The target number of new contributors will be agreed by the Fund Council.
environment at the global level that will create a more conducive environment for ongoing resources mobilization at all levels of the CGIAR System.

*Consultation membership and leadership.* The Co-Chairs will invite participation in the Consultation by those contributors usually invited to the Funders Forum, with the intention of stimulating participation that is as broadly inclusive as possible. A special effort will be made to attract the participation of prospective new contributors and engaging more senior representatives in the process. The Center Directors General will be called upon as resource people in Consultation presentations and discussions and for interaction and engagement with Consultation participants. The Fund Drive Co-Chairs will chair the Consultation sessions and will be responsible for submitting a report on the conclusions and recommendations of the Consultation, along with an account of the pledges received through the June pledging session, described below.

*Consultation sessions and agenda.* The Consultation will provide an opportunity to present the urgent, compelling, and unique case for investing in agricultural research for development through CGIAR. It will also provide a forum for assessing funding requirements and options and a platform for renewing commitments to the CGIAR partnership and its mission. There will be three sessions, as outlined below (a more complete RM Plan timeline can be found in Annex I.).

<table>
<thead>
<tr>
<th>SESSION</th>
<th>AGENDA</th>
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| Session 1  
February 2016 | • High-level session on the new CGIAR’s agricultural research agenda for a world free of poverty, hunger and environmental degradation.  
• Leading authorities from within and outside the CGIAR system will lead the discussion, showcase relevant research and highlight actions on:  
  • Best bets for breakthrough solutions;  
  • Capacity to deliver;  
  • Partnerships and alliances; and  
  • Investment needs. |
| Session 2  
April 2016  
(at the time of Fund Council15) | • CGIAR funding requirements for 2017 – 19, as reflected in modest-, uplift- and aspirational- pledging target scenarios;  
• Review and assessment of CGIAR “funding market” – revenue types and streams, expenditure channels and uses, available contribution options for donors;  
• Incentives for undesignated and multi-year contributions  
• Projected resources beyond donor contributions; and  
• Consideration of any other measures for strengthening the effectiveness of resource mobilization in the CGIAR system. |
| Session 3  
June 2016 | • Review of results relative to measures of success and finalization of findings and recommendations for submission to System Council; and  
• Announcement of donor contributions for 2017 – 19 period |
Contributor outreach and engagement. In collaboration with the Joint Resource Group\textsuperscript{22}, Consortium Office, Center Directors General, and CGIAR Resource Mobilization Community of Practice, the Fund Office will identify those current and prospective contributors whose participation is most likely to ensure the achievement of the Fund Drive objectives. It will mobilize and coordinate with CGIAR leadership, including Center Directors General, Fund Drive Co-Chairs, and CGIAR Ambassadors to proactively consult with senior donor representatives and identify opportunities to deepen awareness, understanding, and support for the mission and work of the CGIAR System.

Participation in global and regional events. The Fund Office and Consortium Office, in consultation with others in the CGIAR System, will identify selected global, regional, and national events during the Fund Drive period that will provide an opportunity for showcasing the CGIAR and engaging in dialogue with current and prospective contributors. They will coordinate the CGIAR’s participation in such events to maximize their resource mobilization potential.

29. Creating a Timeline for Finalization of Fund Drive Results. The Fund Drive Co-Chairs will forward to the new System Council the Consultation’s findings, conclusions, and recommendations, including the agreed-upon system-wide funding target and the account of pledges received. While a formal pledging session will be held in June, 2016, pledges will be encouraged and accepted at any time during the Fund Drive. Pledges will also be sought and received after the June pledge drive, until November 2016. At that time, based on pledges received to date, the System Council will finalize the agreed-upon Fund Drive target level. This will then serve as the reference funding level for the new CRP portfolio. The System Council will also approve any other recommendations arising from the Consultation.

VI. RISK ASSESSMENT AND MITIGATION

30. In light of both the need to secure adequate funding to launch the new CRPs and the limited success of previous efforts to improve the predictability and stability of CGIAR resources, it is prudent to highlight those factors that may stand in the way of achieving the measures of success. They are: a) organizational changes related to the transition to the new governance arrangement; b) compressed timeframe and limited resources; c) inability or hesitancy of donors to make multiyear commitments; d) stresses within the system related to the preparation of the new CRP portfolio; and e) ongoing and incomplete reforms. These factors are listed below, along with measures that can serve to mitigate the risk.

a. Organizational changes related to the transition to the new governance arrangement. The transition to the new governance arrangement requires significant change that affects, in particular, CGIAR contributors and staff of the Fund Office and the Consortium Office. This may strain relationships and morale, which are important ingredients for a successful Fund Drive. Actions to mitigate this risk include: i) scaling the Fund Drive to focus on establishing a predictable resource

\textsuperscript{22} Joint Resource Group (JRG) membership includes donor officials (currently Australia, Canada, the Netherlands, Norway, UK and Sweden) as well as select Fund Office, Consortium Office, Consortium Board and Center representatives. The JRG coordinates RM initiatives and policies across the CGIAR system.
envelope by the end of 2016, ii) defining a strong leadership role for the Fund Council and Consortium Board Chairs, iii) the establishment of a Fund Drive Senior Steering Group, iv) the recruitment of Fund Drive Co-Chairs, and v) continued support for a productive, well-functioning Resource Mobilization Community of Practice. The close collaboration among the FO, CO, JRG, SSG, and RM CoP that has characterized the development of the Fund Drive plan has already served to mitigate some of the risk posed by the transition and this will continue throughout 2016. Close liaison and regular communication from the Transition Team, along with a clear definition of roles and responsibilities (see below) will also help to mitigate the effect of the change inherent in the transition process.

b. **Compressed timeframe and limited resources.** The 2017 launch date for the new CRP portfolio is the determining factor in defining the timeframe by which funding for the 2017 – 19 period needs to be secured. This leaves only 12 months to generate pledges in a first-ever system-wide drive for multiyear commitments and other measures to improve the predictability and reliability of CGIAR funding. Securing robust pledges and multiyear commitments depends heavily on processes of engagement and persuasion and these can be very time and labor intensive. Mitigating actions include: i) relying on a focused, light, and cost-effective formal consultation process, ii) recruiting and deploying influential CGIAR Ambassadors to advocate for strong support to the system, iii) adoption of a clear and pragmatic approach to those current and prospective contributors whose pledges are most likely to contribute to the achievement of the Fund Drive’s objectives and iv) optimizing available resources by ensuring close communication and collaboration with resource mobilization staff throughout the system.

c. **Inability or hesitancy of donors to make predictable multi-year commitments.** Some contributors may face political or administrative difficulties in making multi-year commitments and may therefore be reluctant to take part in a Fund Drive that includes an increase in predictable multiyear commitments as one of the measures of success. Many donors are also experiencing austere budgets as a result of competing resource needs related to current humanitarian emergencies. Mitigating actions in the first instance include adopting an approach that underscores the voluntary nature of CGIAR contributions and that -- while striving for predictable multiyear commitments -- welcomes any and all contributions. Those donors who are able to pledge only for 2017 will be encouraged to announce indicative, non-binding pledges for 2018 and 2019. Efforts will be made to explore options for accepting qualified contributions that are subject to appropriation by the relevant administrative or legislative body. Contributors who favor efforts to increase multiyear commitments will be encouraged to be outspoken. To mitigate the difficulties related to competing priorities in a climate of budget austerity, a compelling case for investment in the CGIAR will be prepared, which will rally evidence about the impact of CGIAR research to date and highlight the relevance and anticipated results of a new CRP portfolio. Key messages will be developed to effectively and persuasively inform and communicate with key decision makers.

d. **Stresses within the system related to the preparation of the new CRP portfolio.** The CRP process generates both collaboration and competition among Centers, which can sometimes result in conflicts and tense relations. The recent funding shortfall has served to intensify some of these issues. To counter and mitigate these dynamics, an internal communications strategy will be developed and implemented for the Fund Drive. This, along with a well-articulated and transparent system-wide
process with clearly defined roles and responsibilities, can help to ensure greater trust and mutual accountability.

e. **Ongoing and incomplete reform.** The risk is that, due to the timing, the System may not be in a position to demonstrate sufficiently to contributor decision-makers the improved impact and efficiency of the ongoing reforms. This risk is being mitigated in part by ensuring opportunities for consultation with contributors on the preparation of the new CRP proposals. Such consultation will provide a clear understanding of the measurable results for which the System will be held accountable over the six-year period. In addition, efforts will be made to demonstrate continuing reform efforts and to highlight the strong System accountability and results measurements and improved governance arrangements that are being put in place. Those CGIAR members that have conducted their own recent assessment of the CGIAR reforms will be encouraged to make these available to other members. A benchmarking of the organizational reform processes of other institutions may be instructive in demonstrating the effectiveness of rewarding progress as a means to ensuring a successful outcome. At the same time, it is judicious to candidly acknowledge areas requiring further attention and action.

VII. ROLES AND RESPONSIBILITIES

31. A successful Fund Drive requires the alignment and involvement of all parts of the CGIAR System. A clear definition of roles and responsibilities will help ensure a smooth and efficient process. An opportunistic approach that builds on and creates synergies with ongoing activities will help to optimize available resources and avoid additional work overload during an already demanding period within the System. The various roles and responsibilities are outlined below:

a. **Fund Council/Consortium Board/System Council.** These governance bodies will provide strategic guidance and leadership throughout the Fund Drive initiative. The Fund Council will approve the Fund Drive plan and appoint the Fund Drive Co-Chairs. The Consortium Board will review scenarios and the value-for-money assessments of the CRP pre-proposals together with a recommended fund allocation for supported CRPs. The new System Council will approve the final Fund Drive target and any other recommendations that emerge from the consultations. Both the Fund Council and Consortium Board Chairs will serve on the Senior Steering Group (see below), which will be led by the Fund Council Chair. Both leaders will also be engaged in targeted donor outreach and will participate in high-visibility global and regional events. Members of the FC and CB will play a critical role as interlocutors with their governments or organizations, providing guidance to the CGIAR System while sharing the case for investment in the CGIAR System and advocating for multiyear commitments. The Joint Resource Group (JRG) will provide ongoing oversight and guidance for the implementation of the Fund Drive plan.

b. **Senior Steering Group (SSG).** The purpose of the group is to provide strategic guidance and timely decisions in the implementation of the Fund Drive plan. The group is comprised of the Fund Council and Consortium Board Chairs, the Head of the Transition Team, the Communications Member of the Transition Team, the Trustee, the Executive Secretary of the Fund Council, the Fund Office’s short-term resource mobilization consultant, and the Fund Office’s Senior Partnership Specialist, who serves as secretary to the SSG. The Head of the Transition Team has worked closely with the FO in the development of the proposed resource mobilization plan, with particular attention to the necessary
synergies and interactions between the new governance arrangements and resource mobilization for the 2017 – 19 period. The TT and its Head coordinate with the Fund Council and CB Chairs and FO in outreach and engagement with current and prospective contributors.

c. **Fund Office (FO)/Consortium Office (CO)/System Office** The FO serves as the secretariat for the Fund Drive. In consultation and collaboration with relevant others, it is responsible for establishing contributor outreach priorities, identifying potential new contributors, and implementing contributor-specific engagement strategies. It is also responsible for establishing and managing the Ambassadors Group. With the CO, it plans and organizes the Fund Drive consultation sessions, including preparation of background papers, as needed. The CO leads the development of the proposed scenarios and prepares an assessment of the value-for-money proposition of the new CRP portfolio. Together, the FO and CO identify opportunities for participation in high-visibility global, regional, and national events and work with these others to plan such participation. Also in collaboration, they develop strategic communications, including a compelling case for investment in CGIAR, and messages that help to strategically position the CGIAR System among international organizations.

d. **Centers.** The Centers will continue to lead on mobilization of bilateral contributions and will participate in other aspects of the Fund Drive, as outlined below.

  - **Directors General.** DGs provide input and feedback in the development of the plan for resource mobilization for 2017 – 19. They serve as System envoys in targeted engagement with current and prospective contributors and as leading System representatives in high-visibility global, regional, and national events and outreach activities. Building on the Centers’ extensive partnership relations, they will help to mobilize influential individuals to serve as Ambassadors for the CGIAR System.

  - **Resource mobilization staff.** Working with the FO, CO, and RM CoP, RM staff within CGIAR have advised on the preparation of the plan and, with the agreement and support of their DGs, will find opportunities to integrate efforts to encourage sufficient, predictable multi-year contributions to underwrite the new CRP portfolio into their ongoing work. Working with their Center colleagues, they will help mobilize influential individuals as champions of the CGIAR System and support CGIAR participation in strategic high-visibility global, regional, and national events.

  - **Communications staff.** In collaboration with the FO, CO, and Comms CoP, staff will contribute to the development of a resource mobilization case statement and organization of CGIAR participation in high-visibility events. They will collaborate in preparing other outreach materials as necessary and feasible.

VIII. **Resources**

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23 The Fund Drive responsibilities carried out by the Fund and Consortium Offices will be assumed by the System Office, once it is established.
32. The Fund Drive will require modest but adequate supplementary resources, including stipends and travel expenses for co-chairs, travel expenses for donor outreach and engagement, costs for preparation and participation in strategic global, regional, and national events, and preparation of discussion papers and communications tools. The budget total for the Fund Drive is USD 672,000 and is included in Annex 2.

IX. Approval

33. The Fund Council is requested to review the plan, including finalization of the measures of success, and authorize the implementation of a Fund Drive in 2016.
## ANNEX I: Resource Mobilization Plan Calendar of Events 2015-2016

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<tbody>
<tr>
<td>Fund Drive preparations and follow up</td>
<td>Confirm participation of Members of the Consultation; dispatch of Session 1 agenda and supporting documents;</td>
<td></td>
<td>March - dispatch of Session 2 agenda and supporting materials</td>
<td>May - dispatch of Session 3 agenda and supporting materials</td>
<td>July - Submit Fund Drive Consultation findings and recommendations to new System Council; July - November - Confirm pledges from additional; November - System Council finalizes 2017 - 19 funding targets</td>
<td>TBC - Deadline for payment of first tranche of multi-year and 2017 contributions</td>
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<tr>
<td>Fund Drive Consultation sessions</td>
<td>Awareness raising session organized in collaboration with GCDT during FUND COUNCIL 14</td>
<td>Session 1</td>
<td>April – Session 2</td>
<td>June – Session 3</td>
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<td>Transition Milestones</td>
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<td>April – FUND COUNCIL15</td>
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<td>July – first meeting of the new CGIAR System Council; FO and CO wind-down; System Office establishment</td>
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<tr>
<td>CRP Preparation</td>
<td>Fund Council approval of CRP pre-proposals and related follow-up actions; Centers being</td>
<td></td>
<td>31 March - Centers submit full CRP proposals; 1 April - ISPC begins pre-</td>
<td>17 June - ISPC- Consortium – Centers-donors meeting to discuss ISPC review; 17 June - 31 July</td>
<td>1 August - 30 September - ISPC (Re-) Review of CRP full proposals; 10 November - CGIAR Council</td>
<td>1 January – new CRP portfolio launches</td>
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<tr>
<td>preparation of full CRP proposals</td>
<td>review of CRP full proposals</td>
<td>- Centers revise proposals (and shared with new CGIAR System Council)</td>
<td>decisions on CRP proposals</td>
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<td>Donor outreach and consultation</td>
<td>Targeted bilateral consultations regarding transition, Fund Drive, and CRP preparations; joint event with GCDT at the World Bank; identify and confirm countries for possible outreach meetings and events</td>
<td>Continuing consultation, including follow up to Session 1 donor outreach meetings and events</td>
<td>Consultation on draft Scenarios and follow up to Session 2; donor outreach meetings and events</td>
<td>Further consultation on scenarios and confirmation of likely pledge announcements; donor outreach meetings and events</td>
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## ANNEX 2

### BUDGET FOR CGIAR FUND DRIVE (USD)

<table>
<thead>
<tr>
<th>Description</th>
<th>Cost</th>
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</thead>
<tbody>
<tr>
<td>Fund Co-Chairs fee</td>
<td>150,000</td>
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<tr>
<td>Fund Co-Chairs travel</td>
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<tr>
<td>Fund Drive short-term consultant</td>
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<tr>
<td>Fund Drive short-term consultant travel</td>
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<tr>
<td>Consultation meetings (including travel assistance)</td>
<td>100,000</td>
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<tr>
<td>Participation in high-visibility events</td>
<td>75,000</td>
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<tr>
<td>Strategic communications</td>
<td>100,000</td>
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<tr>
<td><strong>TOTAL</strong></td>
<td><strong>672,000</strong></td>
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</tbody>
</table>