

AfricaRice Resource mobilization strategy and implementation plan

July 2015

(Approved by the AfricaRice Board of Trustees in September 2015 Board meeting)

The donor environment, the CGIAR and AfricaRice

AfricaRice is operating in an increasingly competitive resource mobilization (RM) environment. A recent study on resource mobilization practices in the CGIAR commissioned by the Fund Council (October 2014) indicates that donor governments are moving away from traditional aid in favor of major infrastructure and development projects. This will present challenges for the CGIAR. Multilateral support is projected to decline due to increasing pressure from legislative bodies and civil society to scrutinize and even limit multilateral aid. The same study provides evidence that organizations in the CGIAR's peer and aspirant group are making RM and communications a major priority and realizing significant gains from expanding and diversified funding sources. The authors also note that CGIAR revenue in general has increased over the last few years, but that this is increasingly through 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, replenishment conferences etc. that are driving growth elsewhere. Several of the CGIAR's traditionally largest donors are indicating potentially dramatic reductions in funding over the coming year, e.g. the World Bank will cut support to Window 1 by US\$50M over the next few years. 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.

According to a recent report by the newly revamped CGIAR RM Community of Practice (RM-CoP), the CGIAR system is experiencing a year-on-year decline in funding in Window 1, 2 and 3, which began in 2014 and may continue, with projections showing a decline of some \$40 million in Window 1 and 2 funding year-on-year expected for 2015. There is a similar trend in Window 3 funding, with a \$45 million decline year-on-year expected from 2014 to 2015. The Fund Council study also notes that a very small number of CGIAR centers are developing ambitious research projects and collaborating with others to approach public and private sector donor candidates. Most centers have very small dedicated RM teams and no official documented RM strategy.

The RM-CoP report states that faced with these challenges, the Fund Office (FO) has begun to consult widely with key stakeholders across CGIAR to develop an inclusive multi-annual Resource Mobilization (RM) plan, to be implemented in 2016. This mechanism however would not replace other funding streams that have helped CGIAR to reach the record levels of mobilized funding achieved in 2013. It is the opinion of the RM-CoP that Window 3 and bilateral funding will continue to remain an important element in the overall revenue portfolio of CGIAR. It should also be noted that it provides an alternative funding approach for those donors who cannot or are not interested in less tied forms of support as exemplified by Windows 1 and 2.

It is clear that donors are giving increasing importance to immediate results and impact and, therefore development-oriented projects, with funding for more fundamental research seemingly on the decline. Nutrition, health and food security are issues that are gaining more importance as are major new initiatives related to climate change. Emerging economics, including China, Brazil and India are expected to become important players in humanitarian relief efforts and are starting up research initiatives in Africa but they are not expected to become major supporters of international agricultural research. The private sector is a major source of funding that remains largely untapped by the CGIAR,

and would require much more delivery-oriented thinking, albeit basic research in the area of e.g. genetics and phenomics could also benefit from much greater private sector involvement.

AfricaRice is in principle well placed to face this increasingly complex and competitive RM environment. As an association of member states, the Center is 'African-owned' which should help raise funds from within the continent. Moreover, the importance to work on rice cannot be disputed given a 7% annual growth in consumption and imports hovering around 12M tons per year. It is now the fastest-growing food source as a result of rapid urbanization, rising income levels, rapid population growth and changes in consumer preferences. Developing the rice sector can become an engine for economic growth and an opportunity for employment for the large number of young people that enter the job market every year.

Current resource mobilization efforts at AfricaRice

AfricaRice' RM efforts are based on a set of 'key principles' documented below. The responsibility for fund raising at AfricaRice is at the level of the DG and DDG, supported by the Program Management Committee (PMC) and the Head of Marketing and Communications. RM teams are put in place depending on the RM opportunity at hand and involve selected staff from the Research for Development and Partnership and Capacity Strengthening Divisions. The Center does not employ a full time RM officer or team.

The Center has a good record with a relatively large number of donors, from e.g. the Bill & Melinda Gates Foundation funding strategic rice breeding initiatives to the African Development Bank focusing on delivery and impact. Annual center income grew from about US\$10M in 2008 to about US\$32M in 2014, in particular based on increased funding from Japan, USAID, African Development Bank, IFAD and Germany. Lately support from World Bank funded projects, in particular the West Africa Agricultural Productivity Program (WAAPP) are gaining increasing importance. About 25% of AfricaRice's funding is related to development-oriented efforts, mainly implemented by the Rice Sector Development Program.

Resource mobilization efforts at AfricaRice are based on: (i) donor intelligence – reacting to calls listed on donor websites, in the Terra Viva Grants Directory or the DevelopmentAid facility; (ii) interaction with donors - reacting to non-competitive requests for new projects and pro-actively lobbying for extension of existing projects; (iii) lobbying for funding by approaching prospective donors; (iv) working with IRRI as the lead center to convince donors to contribute to the Global Rice Science Partnership (GRiSP) CRP through Window 2 (reducing reliance on Window 1); (v) reacting to calls from other CRPs; (vi) active lobbying for member states to pay their contribution; and (vii) generating income at the stations.

An overview of the importance of these different types of resource mobilization efforts for the AfricaRice 2015 budget is shown in Table 1. The most important RM effort for AfricaRice is 'lobbying for funding', followed by 'maintaining GRiSP Window 1 and 2 (W1+W2 funding' and 'reacting to requests by donors'. All other efforts contribute relatively little to the overall budget (combined less than 10%). Looking at the average budget obtained per RM effort (Table 2), the highest average amount is registered for RM4. This is somewhat artificial as it represents funds coming from W1+W2 for AfricaRice (at the time expected to be about US\$ 7.2M) and another US\$ 0.55M from the lead center for GRiSP coordination in Africa, also funds coming from W1+W2. RM efforts 2 and 3 result in the highest budgets per project per year. In general, average budgets per year for each type of RM effort are above US\$ 100,000.

It should be noted that membership contributions and station income are relatively small, but still important because they provide the only 'unrestricted' funding source that the Center still has. All

other funds are directly linked to objectives. GRISP W1+W2 provides funding to pay for research staff that are not on projects, salaries of support staff and operational funds for research and support services.

Table 1: Overview of importance of type of resource mobilization efforts for the 2015 AfricaRice budget

Type of RM effort	Resource mobilization effort – description	US\$	% of total
1	Reacting to calls	975,850	3
2	Reacting to requests by donors	6,130,602	20
3	Lobbying for funding by approaching donors with ideas	14,326,173	46
4	GRISP W1+W2 funding	7,775,323	25
5	Other CRPs	881,249	3
6	Membership contributions	500,000	2
7	Station income	350,000	1
	TOTAL	30,939,197	100

Table 2: Average budget for 2015 per type of resource mobilization effort

Type of RM effort	Sum of 2015 budget (US\$)	Average of 2015 budget (US\$)	Count of Type of RM effort
1	975,850	121,981	8
2	6,130,602	510,884	12
3	14,326,173	1,023,298	14
4	7,775,323	3,887,662	2
5	881,249	176,250	5
6	500,000	500,000	1
7	350,000	350,000	1
Total	30,939,197	719,516	43

Resource mobilization at AfricaRice is based on the following principles:

1. New projects must contribute to achieving the objectives of AfricaRice's 2011-2020 plan
2. Annual project budget levels should be at least US\$ 100,000 per year unless the project is considered highly strategic to avoid 'small projects' requiring a disproportionate amount of time.
3. The Communications and Marketing Unit takes care of donor intelligence – keeping track of calls listed on donor websites, the Terra Viva Grants Directory and the DevelopmentAid facility. It also serves as the contract and project administration office and is the official AfricaRice contact for donors.
4. PMC discuss resource mobilization opportunities in their monthly meeting or during special meetings convened by the DDG or program leader – PMC decides on project development team

5. Project proposals are checked by the program leader and the planning and budget unit and by the DDG before submission by the Head of the Communications and Marketing Unit. Care is taken that the budget is prepared on a full cost recovery basis.
6. Scientists are encouraged to interact with a donor in case of non-competitive requests for new projects. Project content and budget are checked by the program leader and the planning and budget unit and by the DDG before official submission by the Head of the Communications and Marketing Unit.
7. The Center does not pay staff a compensation fee if proposals are selected for funding. However staff successful in fund raising are likely to receive a bonus at the end of the year.
8. Center management (EMC and PMC) or scientists may be asked to lobby for funding by approaching donors with specific concept notes or project ideas.
9. As member of the Program Planning and Management Team of the Global Rice Science Partnership (GRiSP), the DDG works in a diligent and transparent manner with the program director of GRiSP to ensure AfricaRice fulfills all obligations that come with being a Member Center – maintaining the reputation of GRiSP as a quality CRP, enabling at least continued or even enhanced contributions from Fund Council Windows 1 and 2.
10. The Center (DG, board chair, DDG) are active in the CGIAR reform and the development of the second phase of GRiSP to secure Fund Council funding through Windows 1 and 2.
11. The Center (DG, DPC) lobbies for increased contributions from member states (including raising the fees), involving regional representatives and other staff where and when needed.
12. The Center (DDG, PLs) explores generating income from seed production and other activities where appropriate and when not in competition with the private sector.
13. The Center (DDG, PLs, Project Coordinators, Finance, regional representatives, Head of Marketing and Communications) strives to establish a climate of confidence and trust with donors through the delivery of timely and quality output and clear and transparent communication channels.
14. The Center (Head of marketing and communications) will seek outside editorial assistance to improve proposals if this is judged essential.
15. The Center (DPC, DDG, regional representatives) is stepping-up fundraising efforts for geographic areas that have received relatively little support (East and Southern Africa and Central Africa) by approaching regional economic communities and development banks and other potential donors.
16. The Center (DDG) has at any time a 3-year vision on resources available for R&D activities, enabling the development of 3-5 year project proposals in a pro-active manner to replace projects that are ending and to cover research currently funded from GRiSP, such as plant pathology research etc.
17. The Center (DPC and regional representatives) is approaching regional economic communities and development banks with project concept notes and ideas to capture regional funds, especially for development-oriented activities in the Rice Sector Development Hubs and possibly to fund Task Force work.
18. For development-oriented projects, the Center (DDG) strives to include a budget line for research activities in development-oriented project proposals (minimum of 10%)
19. The Center (DG, DDG, DPC) encourages greater involvement of the regional research centers in resource mobilization, with proposals checked by and submitted from HQ following standard procedures.

The strategy

This strategy follows as much as possible elements of the draft CGIAR RM strategy (October 2014). It aims to raise the resources needed to realize AfricaRice's ambitious agenda as documented in the Center's 2011-2020 Strategic Plan and the Center's 2014-2020 Center Development Plan.

Financial target

AfricaRice's ambition is to grow to a US\$ 40M center by 2017 and a US\$50-60M center by 2020 as per the Center's 2014-2020 Center Development Plan. The Center is expected to profit from more stable funding through its participation in the CGIAR Research Programs, most notably the Global Rice Science Partnership (GRiSP) and strict enforcement of full cost recovery principles following CGIAR guidelines. For restricted bilateral grants, the Center will focus on medium- and long-duration projects (3–5 years) with budgets of at least US\$0.5–1 million per year and phase out smaller projects. With the expected expansion of member states (from the current 25 to about 30) and increased membership fees, the Center should be receiving commensurate increased income through members' subventions.

To achieve these ambitions, AfricaRice will:

- (i) Establish a permanent RM team at AfricaRice HQ, consisting of the DDG (chair), DPC, Head of Marketing and Communications, Special Advisor to the DG & Board Secretary and Contracts and grants Office Coordinator (secretary to the RM team)¹. The Head of Marketing and Communications will transfer all remaining activities related to contracts and grants to the Contracts and Grants Office Coordinator. She will focus for 100% on all types of communication (written, radio, video, internet etc.) needed to market the Center. Highly qualified support staff will handle timely technical and financial reporting to donors for ongoing grants. The RM team will pro-actively identify RM opportunities and select writing teams from within the Center. The RM team may also bring in expertise and writing skills on a consultancy basis. The DG will oversee the activities of the RM team.
- (ii) Ensure that the RM team provides full support to the Director General, who is the face of the Institute, in his/her advocacy efforts during planned annual visits to traditional and potential donors.
- (iii) Play an active role in the CGIAR RM community that is being put in place through the Contracts and Grants Office Coordinator. The Fund Office is expected to provide Centers with accurate and timely donor intelligence and analysis of RM trends, particularly within the private sector.
- (iv) Develop a rolling yearly and 3-year RM plan with annual performance goals for RM staff and financial targets and prospective donors contributing to the overall objective of Center growth to US\$40M in 2017 and US\$50-60M in 2020.
- (v) Provide a half-year report to the Board on progress made towards achieving the RM goals for the year.

Developing a case for increased support

The case for support for rice R&D in Africa is in principle easy to make and some documents already exist elaborating the importance to invest in rice. At the global scale, the GRiSP 2012 flyer claims that 'a US\$20 investment in GRiSP will lift one person out of poverty'. However, the case for investing in Africa

¹ Since early 2015, Mazen El-Solh works with the head of Marketing and Communications (Savitri Mohapatra) to gradually take over all functions related to contracts and grants at AfricaRice. By September he will become entirely responsible for these tasks as AfricaRice's Contracts and Grants Office Coordinator.

is not made convincingly enough by AfricaRice and there is a need to develop a stronger case for increased support to rice R&D in Africa.

To achieve this, AfricaRice will:

- (i) Clearly set out the Organization's mission, purpose and aspirations until 2020 based on the 2011-2020 Strategic Plan and the 2014-2020 Center Development Plan in a highly marketable document (e.g. 'Rice Matters in Africa'). This 'Rice Matters in Africa' document will identify high impact funding opportunities for existing and new donors, including the private sector.
- (ii) Ensure that the 'Rice Matters in Africa' document is communicated widely and tailored to different audiences (regional organizations, development banks, private sector, foundations etc.) and will be updated regularly to reflect major political, economic and scientific developments, latest assessment of funding needs and RM successes and progress made.
- (iii) Continue to communicate frequently about R&D successes obtained by AfricaRice and partners through the various media.
- (iv) Ensure that AfricaRice opinions and position statements are heard with respect to recent political, economic, scientific or other developments related to rice in Africa.
- (v) Ensure that the research activities and successes are translated and communicated to the donors and the public in terms of SLOs and SDGs, especially relating to health and nutrition.
- (vi) Build AfricaRice's image as more than a "commodity-focused" center, emphasizing its relevance for addressing climate change related issues to attract donors who are funding climate change activities.

Soliciting volunteers to help with RM

The AfricaRice board is supportive, but not pro-active in terms of RM. No RM Committee exists at board level to assist the Center with fund raising. Moreover, AfricaRice has not enlisted prominent volunteers to make the case for maintained and increased support. To ensure board members and other volunteer leader become involved in RM at AfricaRice the Center will:

- (i) Establish a RM committee at Board level with clear tasks and performance objectives and working budget, allowing board members to travel and work for the Center for a certain number of days per year; the RM committee will report on progress made twice a year, during the AfricaRice board meetings. Such board members should be provided with an AfricaRice diplomatic passport to facilitate travel within Africa.
- (ii) Enlist eminent personalities as volunteers to make the case for AfricaRice. In particular former AfricaRice staff in positions of influence could be named "Ambassadors of Rice in Africa", providing them with all necessary information to make the case for support for AfricaRice. The possibility to provide these volunteers with an AfricaRice diplomatic passport could be considered.
- (iii) Showcase successful fund raising by volunteers, e.g. on the AfricaRice website, the annual report etc.
- (iv) Make the case for increased membership fees and regular yearly payment at the AfricaRice Council of Ministers and solicit ministers to prompt fellow-ministers of non-member countries to become member of AfricaRice.

Informing and engaging donors

AfricaRice is informing donors with technical and financial reports as per agreements signed, but does not specifically provide donors with targeted information of particular interest to them, except for the section on "Donor profiles" in the AfricaRice annual report. It is important to inform and engage donors more in the work of AfricaRice. To realize this AfricaRice will:

- (i) Produce tailor-made and very informative annual reports for key donors.
- (ii) Ensure donors are informed through appropriate media about key developments related to rice in Africa and Center activities and successes.

Expanding and diversifying funding sources

AfricaRice's donor base has not changed much over the last five to ten years. There is an urgent need to expand and diversify funding sources. To realize this AfricaRice will:

- (i) Seek increased support from regional economic communities and development banks, in particular for the Task Force and Hub mechanisms
- (ii) Seek increased collaboration with the private sector, especially in the area of seed systems, mechanization, and value addition and nutrition
- (iii) Make the case for increased support for countries that come out of a crisis period and are heavily dependent on rice, such as the Mano River countries and Madagascar
- (iv) Build a functional alliance with the World-Bank funded Agricultural Productivity Programs in West, East and Central Africa (i.e. WAAPP, EAAPP and CAAPP) to ensure that research programs with NARS partners are co-planned, co-owned and co-funded.
- (v) Seek bilateral funding for regional projects in and around the Hubs and 'steered' from the regional centers, in particular in East Africa (including Madagascar) and Central Africa
- (vi) Organize a targeted donor pledging conference in connection with the AfricaRice Congress.

Managing RM

AfricaRice is documenting all aspects of RM but this is not easily accessible. The effective implementation of the One Common System (OCS) will enable AfricaRice to:

- (i) Manage key information about donors and donor prospects
- (ii) Match project ideas with prospective donors
- (iii) Track correspondence related to project development
- (iv) Develop a realistic and rolling 5-year and annual RM plan

Communication

AfricaRice is doing a laudable job in terms of communication, given that this is steered entirely by the head of marketing and communication who can only spend part of her time on this very important task. She is supported by outside expertise for certain key documents, such as the annual report. There is positive awareness about AfricaRice and its value among its stakeholders. The Center has also gained widespread recognition for its successes in research and partnership. However, far more support is needed for this area, communication being a vital element of RM. AfricaRice must send out compelling messages and profit from the recognition of the NERICA and now ARICA varieties and the ASI thresher, well-known 'brands' in Africa.

Its continuing priorities for communication are:

- Strong support to AfricaRice's online resources (AfricaRice.org website, Rice eHub, social media, etc.).
- Strong coordination of strategic publications, including the AfricaRice annual report and promotional materials.
- A systematic approach towards media relations with a capacity for rapid media response and engagement, including clear AfricaRice statements (and spokespeople).
- Coordination and participation at strategic events and conferences.

To achieve these priorities, AfricaRice will:

- (i) Develop high-quality publications that address key issues and reach out to key audiences, such as the 'Rice means Life in Africa' case
- (ii) Revamp the AfricaRice website to make it much more compelling, featuring real-life stories of impact achieved by AfricaRice and partners, connecting where possible with the CGIAR website
- (iii) Continue to use multi-media to communicate in the most efficient and effective manner
- (iv) Continue to explore ways to reach high-impact audiences, such as African TV channels, international popular magazines etc. with key stories
- (v) Engage with IFPRI to develop policy briefs and messages for consideration by key policy and decision makers on a regular basis, including communication at the Council of Ministers
- (vi) Continue to collaborate and share experiences with fellow CGIAR communication experts through the CGIAR Communication Heads Community of Practice (CoP),
- (vii) Continue to improve communication between the Center and its stakeholders
- (viii) Dedicate sufficient funding and capacity to substantially strengthen the capacity of the Center to communicate on its work, its messages and its ambitions
- (ix) Provide a half-year report to the Board on progress made towards achieving the Communication goals for the year

Implementing the strategy

Implementation of the strategy will require a change in organization at AfricaRice. The current head of Marketing and Communications must focus entirely on her primary task and abandon all other activities related to following up on routine technical and financial reporting. A RM team will be established, consisting of the DDG (chair), DPC, Head Marketing and Communications, Special Advisor to the DG & Board Secretary and a Contracts and Grants Office Coordinator (secretary), reporting to the DG. A first draft workplan of the RM team and expected outcomes for six major activity clusters are given in Table 3 below. Progress made by the RM team will be reported in each board meeting.

Table 3: Draft 2015-2016 workplan and budget of the AfricaRice RM team

Activity cluster	Outcome	Lead	Time line	Budget
I Establish the AfricaRice RM team (DDG - chair, DPC, special advisor to the DG & board secretary, Head marketing and communications, Contracts and grants office coordinator) at the AfricaRice Abidjan office and conduct weekly meetings to set targets, divide tasks and follow progress with respect to RM	Rolling yearly and three-year RM plan with annual performance goals and clear division of tasks per donor opportunity (writing teams, lobbying visits, participation in key events etc.)	Entire RM team chaired by DDG	Operational by October 2015	Full-time salaries of Head Marketing and Communications, Contracts and Grants Office Coordinator and support staff; part-time salaries of other RM team members
II Document all RM efforts and donor correspondence systematically in OCS,	RM efforts and resulting project implementation	Contracts and Grants Office	Operational by October 2015	To be determined (part of remaining)

starting with 'project ideas' until project elaboration and implementation	(financial and technical reporting) archived in OCS	Coordinator		modules in OCS)
III Develop and maintain a highly credible case for increased support to AfricaRice through quality marketing material such as a 'Rice matters in Africa' document; donor-specific reports; participation in key high-profile events; use of multi-media etc.	Greater visibility for AfricaRice and enhanced and diversified donor support	Head marketing and communications	Continuous	Current GRISP W1+W2 budget for communication: US\$ 45k per year
IV Establish an RM committee at AfricaRice board level with clear tasks and objectives and a working budget	Greater involvement of board members in RM efforts leading to enhanced and diversified donor support	Board secretary & special advisor to the DG	For approval at March 2016 board meeting	To be determined
V Ensure active involvement of AfricaRice in the CGIAR RM community	Greater involvement of AfricaRice in RM efforts at CGIAR level	Contracts and Grants Office coordinator	Immediate	To be determined
VI Make the case for increased membership fees and regular yearly payment	Greater income from member states contributions	DPC	Continuous	To be determined

Substantial budget resources must be made available to RM efforts. In 2015 the team will work with existing budgets. For 2016 a detailed budget will be elaborated. RM efforts (including marketing and communication) should ideally be budgeted at the level of at least 3% of Center income as of 2016. This may require the Center to allocate some funds from its reserves for the first 2-3 years to 'get going' as RM efforts are necessarily an investment, guaranteed to pay back over time.

(END)