
RESOURCE MOBILIZATION COURSE FOR AIDSPAN WATCHDOGS

CURRICULUM



Independent observer
of the Global Fund



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ACRONYMS

AIDS	Acquired immune-deficiency syndrome
FDC	Foundation for Community Development
FES	Foundation for Higher Education
GF	Global Fund
HIV	Human Immunodeficiency Virus
M&E	Monitoring and Evaluation
RFP	Request for Proposal
RM	Resource Mobilization
SWOT	Strength, Weaknesses, Opportunities and Threats
TB	Tuberculosis
ACA	Africa Capacity Alliance
USG	US Grant

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BACKGROUND

Aidspan is a New York (USA) registered 501(c) 3 not-for-profit Corporation established in 2002 as an independent watchdog of the Global Fund to Fight AIDS, Tuberculosis and Malaria. Aidspan has been based in Nairobi, Kenya since 2007 with the permission of the Kenya Government. Aidspan watches the Fund and its grant implementers and provides information, analysis and advice, facilitates critical debate and promotes greater transparency, accountability, effectiveness and impact.

In 2010, Aidspan started a Mentoring Watchdogs' Project that aims to identify and mentor people and organizations to do better grant analysis, local information sharing and promote critical debate about issues surrounding transparency, accountability and effectiveness in the implementation of Global Fund grants. The project seeks to enhance the efficacy & professionalism of organizations deducted to monitoring the Fund's effectiveness. The Mentoring Project was borne of the realization that:-

1. monitoring and reporting on the impact of Global Fund supported programs to fight AIDS, TB and malaria is a task that no single organization has the capacity to fulfil on its own;
2. many local organizations and people already monitor such activities in various ways around the world but they may lack resources, expertise and coordination channels to do it efficiently;
3. Aidspan has a recognized expertise in watchdogging the Fund at the global level but doesn't have the mandate and capacity to replicate what it does at the national level;
4. It is in the interest of local aid monitors, Aidspan and other transparency and accountability organizations to join forces and mutually support each other to make grant recipients accountable for their use of resources in order to maximize the impact of their work for people living with HIV/AIDS, TB or malaria.

As part of the project, Aidspan developed a watchdogs' training course in 2011 and begun professionalizing it throughout 2012-2013. The training aimed to support the establishment of vibrant, independent monitors who use evidence-based approaches to ensure money for health is used effectively and efficiently at the country level.

A Mid-term Evaluation of the Mentoring watchdogs' project was done (2013) and revealed that the project and its course were popular but findings also showed a low uptake of tangible and focused watchdog work among the participants at country level. A number of issues were noted as follows:

1. Aidspan has a wealth of data and information on the nature and needs of the organizations it has been in touch with. This can inform the direction of the project, and other similar work undertaken but focus is needed. Remedial strategy – work with a small number of countries with well-defined needs and mutually agreed objectives and deliverables.
2. Limited ownership by project partners is due to the reliance on their voluntary contribution with no funding to push a watchdog agenda. Remedial strategy – set up formal partnerships with incentives i.e. build financial and technical capacities to do better, more professional watchdog work.

3. New ways are needed of addressing the limited of knowledge on the complexity of the GF or how to update people on the latest developments in the Fund without being overwhelmed. This would allow Aidspan to focus more on mentoring and more in-depth skills. Remedial strategy – initiate better, more focused, phased training.
4. Aidspan can develop working relationships with different sectors that haven't previously been paid attention to e.g. media and parliamentarians. However, it is important to have a definitive group to begin work with.

To address some of these issues Aidspan approached Africa Capacity Alliance (ACA), an international NGO specializing in building the capacity of individuals and institutions across Africa to identify other areas of capacity needs for these watchdogs that would enhance uptake of the watchdogging role. ACA identified 3 key areas of capacity needs for the Aidspan watchdogs.

These included:

1. Accountability, Leadership & Partnerships Building
2. Fundraising and Resource Mobilization
3. Effective Monitoring, Evaluation and Reporting

A brief training was conducted to equip the participants with knowledge and skills identified as crucial for effective delivery of their watchdog role. However, it was also imperative to develop a training curriculum on resource mobilization including fundraising for continuation and standardization of these trainings towards enhancing uptake of the watchdogging role by the various institutions.

COURSE DESCRIPTION

This 5 day training is designed to equip the Aidspan watchdogs with essential resource mobilization skills and practical techniques that they need to know to become effective fundraisers.

COURSE GOAL

To equip the participants with the capacity to become effective fundraisers

COURSE OBJECTIVES

After completing this training, the participants will be able to:

1. Understand the resource mobilization concept
2. Design a resource mobilization strategy
3. Develop a resource mobilization implementation plan
4. Implement a resource mobilization monitoring and evaluation framework

TRAINING METHODOLOGY

Several methods are employed to facilitate learning during the conduct of the course. The facilitators should ensure that as many practical sessions as possible are carried out to ensure retention of newly acquired knowledge skills. The following methods are encouraged:

- Mini- lectures
- Brainstorming
- Group Discussions
- Case studies
- Gallery walk

TRAINING MATERIALS

- Trainer's Manual
- Printed Hand outs
- Notebooks and Pens
- Computers and projectors
- Felt pens
- Flip charts
- Flip chart stands
- Masking tapes

PARTICIPANTS' SELECTION CRITERIA

- Program managers/officers working in the Aidspan watchdog program

METHODS OF EVALUATION

Trainees should complete an end-of-course evaluation form.

ASSESSMENT

- Full attendance of sessions
- Pre- and post-course assessment

COURSE COMPOSITION

24 participants; 2 trainers

MODULE ONE: UNDERSTANDING RESOURCE MOBILIZATION

MODULE DESCRIPTION

This module describes the meaning, the importance and the role of resource mobilization in an organization's strategic and operational management.

MODULE OBJECTIVES

1. Describe resource mobilization terms and concepts

ADVANCE PREPARATIONS

- Flip charts needed:
- Terms and concepts:
 - Resources
 - Mobilization
 - Resource mobilization
 - Strategic fit in organization management
- Power point presentations:
 - Classes and forms of resource mobilization
 - Steps for resource mobilization
 - Organization resource mobilization situation analysis

UNIT ONE: DEFINITION OF TERMS (60 MINS)



Activity: Gallery walk

- Facilitator: Use 4 flip chart pages on different walls with the following terms or statements:
 - Resources
 - Mobilization
 - Resource mobilization
 - Strategic fit in organization management
- Provide felt pens and have participants fill in the flip charts what comes to mind as definitions (20 mins)
- Read the responses and discuss
- Fill in the gaps as per notes below



DEFINITIONS OF CONCEPTS

1. Resources

An economic or productive factor required to accomplish an activity. It's a service or other asset used to produce goods and services that help in driving the realization of an organization long term and short-term goals.

A resource is broadly seen as AN ENABLER.

Examples

- *An organization needs a mixture of financial and non-financial resources to ENABLE it drive the realization of the strategic plan and/or resource mobilization strategy*
- *Human and financial resources will be essential in implementing this business plan*
- *A computer is an essential resource for office and out of office work*

2. Mobilization

To assemble, or marshal or to make available. Mobilization can broadly be understood as the effort of making something or somebody available.

Examples

- *Organizations must mobilize resources from both local and international sources*
- *Community mobilization is important in getting enough people to participate in an advocacy campaign*
- *The activity never picked off due to inadequate stakeholder mobilization by the planning committee*
- *Representatives for all the main candidates are trying to mobilize voter support*

3. Resource mobilization

Resource mobilization refers to all activities involved in securing new and additional resources for an organization. The process of identifying and making available the organizational requirements for driving the realization of its long term and short term strategic goals. It broadly involves acquiring and making better use of, and maximizing, existing resources.

Resource mobilization is all the means that an organization should acquire to implement its action plan. Resource mobilization means expansion of relations with the resource providers, and the skills, knowledge and capacity for proper use of resources.

It denotes the process that achieves the mission of the organization through the mobilization of knowledge for human use of skills, equipment, services etc.

It includes seeking new sources of resource mobilization as well as correct and maximum use of the available resources

Resource Mobilization entails obtaining various resources from a multitude of partners, by different means. Thus resource mobilization could be seen as a combination between:

1. Resources: elements necessary for the running of an organization.
2. Mechanisms: means which make it possible to obtain resources directly.
3. Partners: persons and/or institutions providing resources.

Looking closely at this definition, one can see that resource mobilization is actually a process that involves three integrated concepts namely: organizational management and development, communicating and prospecting, and relationship building.

Each concept is guided by a number of principles which are further elaborated below:

a) Organizational Management and Development

Organizational management and development involves establishing and strengthening organizations for the resource mobilization process.

It involves identifying the organization's vision, mission, and goals, and putting in place internal systems and processes that enable the resource mobilization efforts, such as: identifying the roles of board and staff; effectively and efficiently managing human, material, and financial resources; creating and implementing a strategic plan that addresses the proper stewardship and use of existing funds on the one hand, and identifies and seeks out diversified sources of future funding on the other.

This concept is based on the following principles:

1. *Resource mobilization is just a means to the end, the end being the fulfillment of the organization's vision;*
2. *Resource mobilization is a team effort, and involves the institution's commitment to resource mobilization; acceptance for the need to raise resources; and institutionalizing resource mobilization priorities, policies and budget allocation;*
3. *The responsibility for the resource mobilization effort is shared by the board, the president or the executive director, and the resource mobilization unit;*
4. *An organization needs money in order to raise money;*
5. *There are no quick fixes in resource mobilization.*

b) Communicating and Prospecting

Once an organization has achieved a certain readiness for resource mobilization, it must then take on another challenge: ensuring its long-term sustainability by acquiring new donors and maintaining a sizeable constituency base.

The art of resource mobilization entails learning how to connect with prospective donors in a manner and language they understand, and finding common ground through shared values and interests. It also entails discerning the right prospect to approach, and matching the appropriate resource mobilization strategy to the prospect.

This concept is governed by two principles:

- 1) *Resource mobilization is really FRIEND raising. Financial support comes as a result of a relationship and not as the goal in and of itself.*
- 2) *People don't give money to causes; they give to PEOPLE with causes. People give to organizations to which they have personal affiliation, in some shape or form.*

c) Relationship Building

And thus the courtship begins: once you identify your donors, the objective then is to get closer to them, get to know them better, very much the same way as developing a casual acquaintance into a trusted friend and confidante. As the relationship deepens, this increases the chance of donors giving higher levels of support over time, intensifying commitment and enlarging investment.

As cultivation techniques become more targeted and personal, a donor may become more involved in the organization. Initiating new relationships, nurturing existing ones, and building an ever-expanding network of committed partners is an on-going activity, embedded as a core function of the organization.

This requires the dedication of board members, staff and volunteers, and in order to build enduring relationships, the following principles should be remembered:

Donor cultivation means bringing the prospect to a closer relationship with the organization, increasing interest and involvement

4. Strategic fit: Resource mobilization in organization management

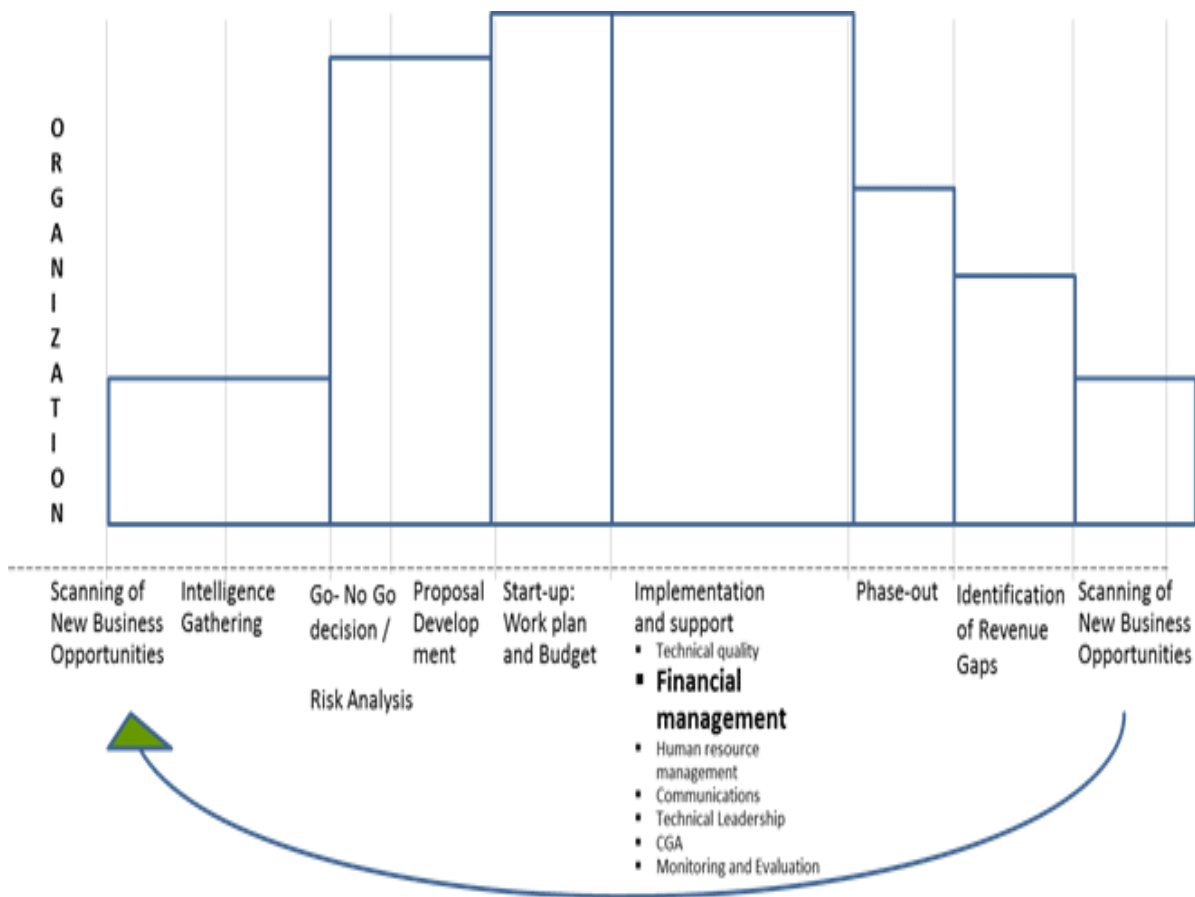
Resource mobilization strategy is aimed at providing resources necessary to meet organizations long-term and short term strategic plan resource need, it therefore MUST be in line with the broader organization strategic plan. Strategic fit is concerned with the resource mobilizations conformity to the strategic plan resource needs.

Examples

- *The donor failed to provide funds because resource mobilization strategy could not speak/was not in conformity to the overall strategic plan*
- *The donor demanded a copy of the organization strategic plan to assess the degree at which the resource mobilization strategy relates to the overall strategic plan*
- *The strategic plan is the basis within which an organization resource mobilization strategy can be/or is developed.*

The organization mandate as defined by the mission and vision provides the basis and direction within which long term and short goals are set. The realization of these goals is primarily determined by the degree at which the organization makes available its long-term and short term resources needs. Concerned with acquiring and making better use of, and maximizing, existing resources, resource mobilization is often referred to as 'New Business Development'. Because of this concept (business development), resource mobilization becomes an integral part in organization governance and management practices.

The figure below shows how New Business Opportunities, which are intended to mobilize resources form part of an organization's overall functioning.



Adapted from UNICEF 2000-2003 RM strategy

UNIT TWO: PURPOSE AND IMPORTANCE OF RESOURCE MOBILIZATION (30 MINS)



Activity two: Brainstorming exercise

- Participants to brainstorm on the purpose and importance of resource mobilization writing their responses on flip charts

- Facilitator to fill in the gaps with notes below during discussion.



Facilitator's notes

PURPOSE AND IMPORTANCE OF RESOURCE MOBILIZATION

The purpose

Identify and avail resources necessary to achieve long and short term strategic goals

The importance

Resource mobilization is critical to any organization for the following reasons:

1. Ensures the continuation of your organization's service provision to beneficiaries
2. Supports organizational sustainability
3. Allows for improvement and scale up of services the organization currently provides
4. Organizations, both in the public and private sector, must be in the business of generating new business to stay in business

What is meant by sustainability

Although sustainability is often identified with having sufficient funds to cover an organization's activities, it is actually a broader concept. There are three fundamental streams of sustainability: institutional, financial and programmatic. Each is vital to the survival of an organization.

Below are the definitions of these three areas of sustainability:

Examples

- *The donor failed to provide funds because resource mobilization strategy could not speak/was not in conformity to the overall strategic plan*
- *The donor demanded a copy of the organization strategic plan to assess the degree at which the resource mobilization strategy relates to the overall strategic plan*
- *The strategic plan is the basis within which an organization resource mobilization strategy can be/or is developed.*

Programmatic Sustainability: The organization delivers products and services that respond to the beneficiaries needs and anticipates new areas of need. Its success enables expansion of its operations scope.

Institutional Sustainability: The organization has a strong, yet flexible structure and accountable, transparent governance practices. Its structure and good governance allows it to respond to shifting supporters' priorities and to new responsibilities toward its beneficiaries, while creating a positive work climate for its staff.

Financial Sustainability: The organization draws on various sources of revenue, allowing it to support its on-going efforts and to undertake new initiatives.

UNIT THREE: CLASSES AND FORMS OF RESOURCE MOBILIZATION (30 MINS)



Activity three: Brainstorming exercise

- Brainstorm session on the classes and forms of resource mobilization writing their responses on flip charts
- Facilitator to fill in the gaps with notes below using a PowerPoint presentation



Power point presentation

Classes/form of organization resources

1. Human resources: These are voluntary members and/or beneficiaries.
2. Logistic resources: These are equipment, real estate and premises.
3. Technical resources: These could be in the form of assistance for the direction of a study or the implementation of a project.
4. Financial resources: These are funds, costs of membership, grants, and contributions from Friends and well-wishers.

It is important to note that having the sufficient financial resources is one of the key factors that determine the organization effectiveness. The success of a resource mobilization (form or model) adopted by an organization is among others determined by all or some of the following factors:

1. *Strong relationships with local communities and organizations*
2. *Capacity to relate to business and government*
3. *A focus on mobilizing resources more broadly than for themselves*
4. *Access to an endowment or some other form of secure financing*
5. *Cogent missions and objectives that can be widely shared*
6. *Accounting systems to ensure that resources get to where they are intended*

UNIT FOUR: STEPS FOR RESOURCE MOBILIZATION (30 MINS)



Activity four: Mini-lecture

- PowerPoint presentation – Steps for resource mobilization
- Provide an opportunity for participants to ask questions



STEPS FOR RESOURCE MOBILIZATION

The development and adoption of a resource mobilization strategy requires careful planning based on a set of different but complementary steps.

The order and importance of these steps may vary according to the type of organization, its partners and resource mobilization capacities.

The development of a resource mobilization strategy will among others address the following steps:

1. *Developing/Reviewing a Strategic Plan*
2. *Assessment of the current situation*
3. *Identifying required resources for the project*
4. *Comparing what is needed and what is available to determine the gaps*
5. *Identifying potential sources of needed resources and*
6. *Outlining best strategies for approaching stakeholders (donors and Partners)*
7. *Outlining monitoring and review mechanisms.*
8. *Documentation of all activities*

Step One: Developing a strategic plan

- In line with the mission and vision, and covering a period of between 3 and 5 years, a strategic plan provides an organization's long-term and short-term strategic goals and objectives and approaches within which these goals and objectives can be realized.
- A strategic plan provides the basis within which a resource mobilization strategy is or can be developed

Step Two: Assessing current situation

- Projects to push the vision;
- Reviewing existing resource mobilization efforts;
- Defining what activities to be carried out;
- Determining what it should take to carry out the activities?
- Clarifying expected deliverables.

Step Three: Resources Planning (Identifying Required Resources)

- List all resources needed for the project
- Review and list all resources available while ensuring that all resources are considered
- Compare needs with existing resources and note gaps

Step Four: Identifying Current and Potential Sources of needed Resources

- Identifying current donors and partners and their capacity in providing the required

resources

- Identify/explore potential donors and their capacity to meet the current resource gaps
- Match the donor's scope and interest with the requirements of the project considering ethical issues, seeking to understand the underlying principles of the donor versus values of the organization.

Examples

- *Due to the church teaching on the use of contraceptives, the catholic community participation on the condom distribution campaign was considered to be un ethical and therefore denied*
- *The community based organization refused financial offer from the donor because the donor's organization's principles were not in conformity with the community organization business mandate and values. Acceptance of this financial offer was considered unethical.*
- *Because of tobacco health effects, the WHO officials failed to honor invitation by the tobacco manufacturing companies*

Step Five: Strategies for Approaching Donors/Stakeholders

- Former/current donors, we have worked with them before; we need to build on existing relationships.
- New donors, we need to sell our organization to them; we need to create new relationships.

Step Six: Strategy Monitoring and Evaluation

- All stages and activities must be documented
- It is crucial to include metrics at each stage
- Expected deliverables should be indicated for each activity

UNIT FIVE: ORGANIZATION RESOURCE MOBILIZATION SITUATION ANALYSIS (90 MINS)



Activity five: Group work and discussion

- Divide the participants into four groups: Give each group the **SWOT analysis template**
 - Group 1: Analyze your organization's current strengths in relation to resource mobilization for watchdogging activities – use one of your organizations as an example
 - Group 2: Analyze your organization's current weaknesses in relation to resource mobilization for watchdogging activities – use one of your organizations as an example

- Group 3: Analyze your organization's current opportunities in relation to resource mobilization for watchdogging activities – use one of your organizations as an example
- Group 4: Analyze your organization's current threats in relation to resource mobilization for watchdogging activities – use one of your organizations as an example

- Each group presents their work in plenary followed by interactive discussions
- Facilitator gives a mini-lecture to fill in the gaps

(Facilitator to ensure the following aspects are considered; current gaps, funding history, drivers and restrains of resource mobilization etc.)



Facilitator's notes

ANALYSIS FRAMEWORK

The following analysis framework will help aligning resource mobilization efforts to the organization's short term and long-term strategic and operational resource needs

ORGANIZATIONAL/TEAM STRUCTURE

1. Do you have a team in place to carry out the work of the Campaign?
2. Are the teams members clear about their individual roles in the Campaign?
3. Is there someone appointed as the lead or focal point for the Campaign?

VISION, MISSION, GOALS

1. Are you and your team clear about the vision, mission, and goals of the campaign?
2. Are you and your team able to communicate these vision, mission, and goals briefly and quickly?
3. Are you able to prepare a 1-2 page summary to be handed out should you meet with a potential contributor/ donor to the campaign?

STRENGTHS, WEAKNESSES, OPPORTUNITIES, THREATS (SWOT)

Many organizations may already have done a SWOT analysis in the course of their organizational strategic planning. The purpose of this SWOT analysis is not to duplicate what you already have, but to think of your strengths, weaknesses, opportunities, and threats *from the specific angle of resource mobilizations*.

Remember that strengths and weaknesses are internal to your organization and can be managed and controlled by you, while threats and opportunities are external factors.

1. What are your strengths to help you mobilize resources for the campaign?
2. What are your weaknesses that may need strengthening in order for you to carry out resource mobilization for the campaign?
3. What are the opportunities for you to carry out resource mobilization activities?
4. What threatens your ability and will to mobilize resources?

SWOT ANALYSIS FOR RESOURCE MOBILIZATION

Why Do a SWOT Analysis?

A SWOT analysis is conducted for many different reasons, including assessing organizational performance, capacity in various skills and knowledge areas, motivation and environmental influences on its performance.

This process can likewise be utilized to assess the resource mobilization capacity of your organization. It is all very well to have high hopes and dreams for long, mid and even short-term programs, but if passion is not matched with the infrastructure to make dreams a reality, then at the end of the fiscal day, your organization will be staring at many unfunded proposals in the face.

The process involves the undertaking of a SWOT Analysis to determine your organization's strengths and weaknesses to your resource mobilization capacity, as well as opportunities and threats to your resource mobilization efforts.

Revisiting this process while using a resource mobilization lens presents a clearer, realistic view of what particular programs to generate resources for, the particular constituency groups you wish to target, what resource mobilization strategies will appeal to this targeted group, and what systems and structures must be present within your organization to be able to generate resources efficiently and effectively, and ultimately, fulfil your vision and mission.

What Information Can You Get From a SWOTSWOT Analysis?

A SWOT analysis report has the potential to determine what are the internal factors, or factors within the control of your organization that contribute or hinder resource mobilization efforts. In addition, a SWOT analysis report can also identify the responses of your organization to external factors, those that are beyond your control, that similarly contribute to or hinder your resource mobilization efforts.

For the following internal factors, a SWOT analysis may:

- *Affirm resource mobilization successes to date*
- *Provide a sense of history and present the organization's evolution in its responses to changes in the funding environment*
- *Present a "reality check" on where the organization is at currently vis-à-vis the achievement of its vision, mission and existing strategic plan goals*

- *Validate funding targets over a set period of time, identify available funding and resource gaps*
- *Indicate gaps in administrative systems such as Finance and Accounting*
- *Indicate gaps specific to resource mobilization skills and systems such as proposal writing, implementation of other strategies, donor acquisition and upgrade*
- *Establish ownership of resource mobilization functions*
- *Open new doors or widen perspectives on prospective resource providers*
- *Determine buy-in, or lack thereof, of various stakeholders to organization's funding priorities and resource mobilization strategies*
- *Establish resource mobilization policies and code of ethics anchored to the organization's core values*
- *Review the relevance of the organization's existing key messages*
- *Determine the organization's capacity to invest in a resource mobilization program*

A SWOT analysis may also reflect your organization's response to the following external factors:

- *Funders' priorities and changing trends*
- *Demand for your organization's services*
- *Technological innovations related to your area of work*
- *Legislative and regulatory changes*
- *Competing grantees*
- *Prevailing political, social and economic conditions*

The SWOT analysis therefore, is a powerful process that keeps you grounded in the current realities existing for your organization. When you are able to see things as they are, and have increased awareness about what is going on within and outside your organization, you are then able to set realistic resource mobilization targets. Knowing where you are in the present maps out a clearer direction for where you are going in the future.

SWOT ANALYSIS TEMPLATE

S.W.O.T. is an acronym that stands for Strengths, Weaknesses, Opportunities, and Threats. A SWOT analysis is an organized list of your business's greatest strengths, weaknesses, opportunities and threats. A SWOT analysis is typically conducted using a four-square SWOT analysis template, but you could also just make a list for each category. Use the method that makes it easiest for you to organize and understand the results.

The figure below provides a SWOT analysis template

1. Organization Name
2. Mission and Vision
3. Strategic Goals

<i>Internal RM Strengths</i>	<i>Internal RM Weaknesses</i>
[TEXT]	[TEXT]
<i>External RM Opportunities</i>	<i>External RM Threats</i>
[TEXT]	[TEXT]

Interpreting the SWOT Analysis

What does the above analysis tell you about?

1. *Your organization/team's readiness and capacity to mobilize resources?*
2. *The factors in your organization's internal and external environment that would have an impact on your ability to mobilize resources for the Campaign?*

Also consider:

1. *How would you act to harness your strengths to take advantage of the opportunities and to overcome the perceived threats?*
2. *How would you deal with the weaknesses identified through this SWOT*

Activity six: Ted talk: Doing things differently, think out of the box (30 mins)

- Facilitator to run the above **ted talk**: Melinda French Gates: What non-profits can learn from Coca-Cola <https://www.youtube.com/watch?v=GIUS6KE67Vs>
- After, lead the group into a discussion on what they have learnt and what they can adapt to their situation

MODULE TWO: DESIGN AND IMPLEMENTATION OF A RESOURCE MOBILIZATION STRATEGY

MODULE DESCRIPTION

This module describes the **HOW** of Resource Mobilization with emphasis on the road map for an organizational strategy, development and implementation

MODULE OBJECTIVES

1. Explore and benchmark organization resource needs
2. Explore and benchmark current and potential organization resource providers

ADVANCE PREPARATIONS

Prepare PowerPoint preparations

- Role and fit of RM strategy and plans
- Resource mobilization development road map
- Scope of organization resource planning
- Objective setting

UNIT ONE: ROLE AND FIT OF RM STRATEGY AND PLANS (30 MINS)



Activity one: Mini-lecture

- PowerPoint presentation – **Role and fit of RM strategy and plans**
- Provide an opportunity for participants to ask questions



Facilitator's notes

ROLE AND FIT OF RM STRATEGY AND PLANS

Resource mobilization strategy and plans provide a short term and long-term roadmap on an organization internal and external resource mobilization activity. A strategy is broader and covers duration of between two to three years whereas a plan is shorter covering duration of not more than one organization financial year.

Resource mobilization plans are derived or developed from the broader resource mobilization strategy. They are short term action plans developed to drive the realization of the broader resource mobilization strategy.

Such resource mobilization strategies and plans have the following benefits (among others):

1. Provides a mixture of an organizations internal and external resource mobilization activities
2. Provides long term and short term resource mobilization goals, objectives and targets that are in line with the organizations strategic plan resource needs
3. Provides a frame work within which the stakeholders can continuously monitor, evaluate and improve on the strategy's degree of efficiency and effectiveness
4. Communicates the organizations resource and resource mobilization needs and expectations to both the internal and external stakeholders
5. Promotes participation in resource mobilization among the organizations internal and external stakeholders
6. Acts as an accountability tool to the organizations resource providers, partners and beneficiaries
7. Provides the basis within which an organization can evaluate, explore and understand its capacity to self-sustainability and growth

UNIT TWO: RESOURCE MOBILIZATION DEVELOPMENT ROAD MAP (15 MINS)



Activity two: Mini-lecture

- PowerPoint presentation – **RM strategy development road map**
- Provide an opportunity for participants to ask questions



Facilitator's notes

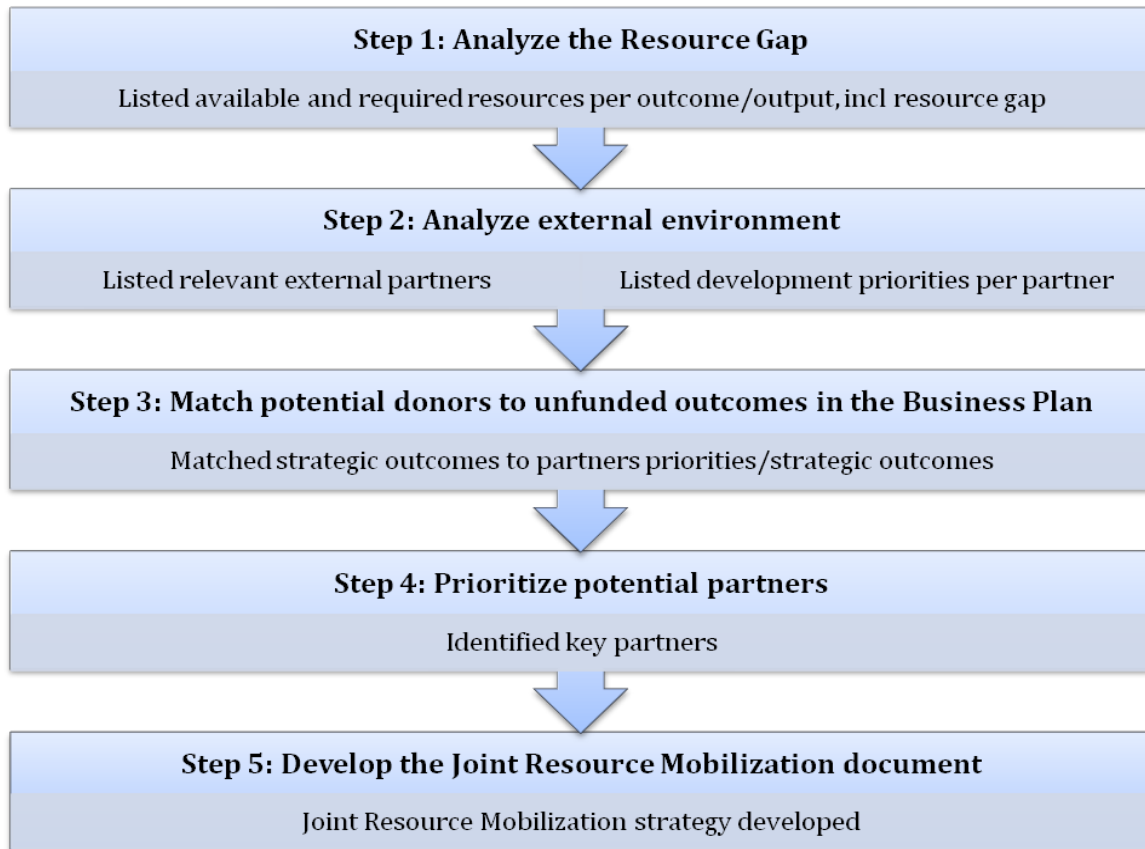
RM STRATEGY DEVELOPMENT ROAD MAP

The approach to resource mobilization covers five activities ultimately leading to a joint resource mobilization strategy, supported by a partner specific resource mobilization (work) plans tied to the funding gap of the UN IPOS:

1. Analyze the resource gap
2. Analyze external environment
3. Match potential donors with unfunded outcomes

4. Prioritize potential partners
5. Develop Resource Mobilization strategy document

The graph below summarizes resource mobilization roadmap activity mix



UNIT THREE: RESOURCE MOBILIZATION MODELS (180 MINS)



Activity three: Group work and discussion

- Facilitator divides the participants into groups of four and gives each group a model (**see annex 2 & 3**)
- Asks each group to discuss the model and find out how they (as an organization) can fit in as watchdogs; how they are currently addressing their RM needs and what they can borrow from the model
- Each group presents in plenary followed by an interactive discussion
- Facilitator gives a mini-lecture to fill in the discussions



RESOURCE MOBILIZATION MODELS

If an organization has only one source of income it is very vulnerable; being heavily dependent on one or two funding streams could be a detriment to the organization should these sources be withdrawn or dry up.

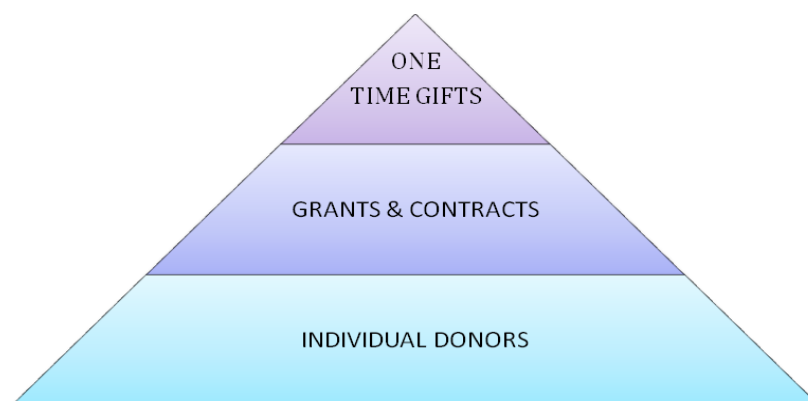
A funding mix including a variety of funding sources makes an organization less vulnerable however having too many different sources of income means having greater administrative costs involved in raising, receiving, and keeping track of the funds.

The “A” and “B” Models

Model “A” shows an organization relying on Individuals donors and Membership fees as the principle funding means, whereas Model “B” characterizes an organization relying substantially on Grants & Service Contracts. (see figure below)

- **Individual Donors:** Covers Annual membership fees collected from members and Donations from Individuals.
- **Grants & Contracts:** Covers Grants from International organizations and Service Contracts from Governmental organizations and others.
- **One time Gifts:** Covers funds raised from Corporate Giving and revenue secured from Events & Activities.

The figure shows an RM Model A



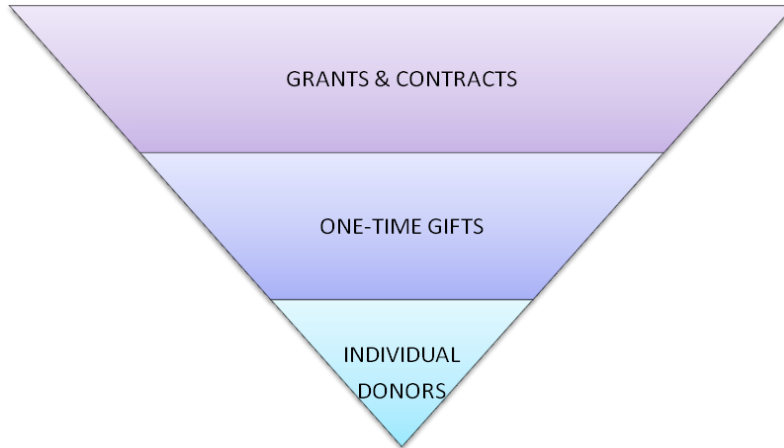
Adapted from USAID RM Facilitator guide

Model “B” is recommended as the base of the fundraising strategy as it allows maintaining the funds from the current donors, exploring one-time gifts and corporate giving, introducing membership fees and seeking individual donors while minimizing risks and ensuring

sustainable financial stability. However it is also very important to keep in mind:

- *The need for more staff to research, track donors and apply for grants.*
- *Lack of predictability and restricted nature of funding from Grants.*
- *Some fundraising sources will provide funds quickly but others may take longer to show results. It might therefore take a number of years to diversify a funding base.*

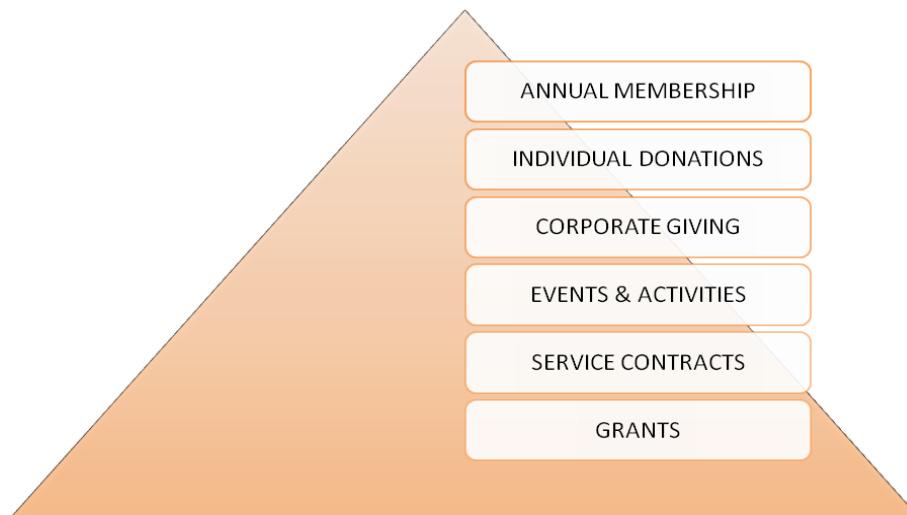
The figure below shows an RM Model B



Adapted from USAID RM Facilitator guide

An all-inclusive RM strategy must explore and suggest for a healthy mix of fundraising/resource mobilization including but not limited to the areas shown on the figure below:

The figure below shows the scope of an RM recommended model



Ensuring that an organization has a mix of funding from a number of these sources will avoid dependency on one or two specific income areas and ensures security in case one or more of these sources are no longer able to provide funds.



Activity four: Brainstorming exercise

- Brainstorm session on resource planning; responses written on a flipchart
- Facilitator fills in gaps using the notes below



Facilitator's notes

ORGANIZATION RESOURCE PLANNING

The objective of resource planning is to help in:

- Establishing the broader organization resource needs,
- Establish the available resources
- Understand the current resource gap

Organization resource planning process helps in answering three questions, namely,

1. what resources do we require and
2. how much of these resources do we have and
3. What is the current resource gap?

It is important for an organization to assess the resources it has, so as to properly plan resource mobilization. Helps to identify resource gaps by comparing the resources that an organization has versus those it wishes to have both on the short and long-term. It provides understanding on the organizations shorter and long-term resource needs as per the strategic plan. It answers two questions, what resources do we require and how much of these resources do we have.

It is pragmatic to always go back to the organization's strategic plan to determine which programs or activities must be pursued that would make possible the realization of your organization's mission.

Financial management and strategic budgeting are of high importance in planning your resource mobilization program. These contribute to getting the most accurate and updated budgetary figures, as well as in helping determine the best strategy for closing the resource gaps.

UNIT FIVE: SCOPE OF ORGANIZATION RESOURCE PLANNING (15 MINS)



Activity two: Mini-lecture

- PowerPoint presentation – **Scope of organization resource planning**
- Provide an opportunity for participants to ask questions



Facilitator's notes

SCOPE OF ORGANIZATION RESOURCE PLANNING

Organization resource planning is guided by the following steps and their questions

1. Step One: In line with the strategic plan, What form of Resources and how much of these resources do we need both in the long term and short-term?
2. Step Two: How much of these resources do we have currently?
3. Step Three: In line with our long-term and short term resource needs, what is our current resource gap?
4. Step Four: How do we address the resource gap to effectively meet our long term and short-term resource needs?

UNIT SIX: RESOURCE PLANNING TECHNIQUES (90 MINS)

Activity six: Group work and discussion

- The facilitator divides the participants into four groups and asks each group to discuss the following question: *What resources do you need as watchdogs and to what degree?*
- Each group reports in plenary session followed by interactive discussion
- Facilitator consolidates the answers and fills in the gaps using the **Identifying resource needs table** (see annex 4)



Facilitator's notes

RESOURCE PLANNING TECHNIQUES

Identifying Resource Needs

The **resource needs analysis tool** is used to identify the existing resources, both financial and in-kind, that are currently available with your organization, as well as to project the

program requirements for the immediate future. This tool will help you identify the total amount of funds and resources that need to be mobilized in order to sustain the programs of your organization.

Essentially, information on funding targets and resource needs puts your resource mobilization program in a proper perspective as it guides you in determining which strategies will work best in filling resource gaps.

The Resource Needs Analysis Tool Objectives

- Review current resource situation
- Determine program areas in need of funding and resources throughout a three year period by using a resource timeline
- Identify the funding gaps or resource needs

See the table on the following page.

- In column 1, list down programs that your organization is implementing at present and the activities you intend to pursue over the next three years.
- In column 2.1 indicate all the form of resources that your organization need to accomplish all programs listed on column 1.1 above. The form or resources will include but not limited to of financial resources, human resources, technical resources etc.
- In column 2.2 indicate the sum, total of all the required resources
- In column 2.3 indicate the sum total of the current available resources
- In column 2.4 indicate the current resource gap. This will be done my **SUBTRACTING** the available resources from the Sum total of the required resources, *i.e. **Column 2.2 minus Column 2.3 equals Column 2.4***

Tool: **resource needs analysis tool**

1.0 Program/Activity	2.0 Resources			
	2.1 Form of Resources	2.2 Total Required	2.3 Total Available	2.4 Current Gap

Total Resources Current Gap

Points to Ponder

- *What is your organization going to raise money for in the next few years?*
- *What will the funds accomplish?*
- *What does the timeline say about your organization’s financial situation?*
- *Why is it important to distinguish between restricted and unrestricted funds?*
- *Why is it important to identify resource gaps?*
- *What will happen if the funds are not received?*

Activity seven: Group work and discussion

- Facilitator divides the participants into four groups
 - Group 1 and 3: How can you acquire resources internally?
 - Group 2 and 4: How can you acquire resources externally?
- Each group reports in plenary followed by interactive discussions
- Facilitator consolidates the answers and fills in the gaps



Facilitator's notes

INTERNAL AND EXTERNAL RESOURCE MOBILIZATION APPROACHES

Internal approaches can be defined as a mixture of an organizations long-term and short term internal and sustainable fundraising activities

Such approaches have the following benefits among others

1. They determine an organizations degree of sustainability with or without donor support
2. They reduce an organizations degree of dependency on donors and well wishers
3. The organization has the right to determine when and how such resources can be used

External approaches can be defined as a mixture of organizations resource providers mostly in the form of donations and grants. Such resources are provided as individual donations or from donor agencies and well wishers

External approaches have the following benefits among others

1. Help in meeting an organizations resource gaps
2. Provide a road map (support) for an organizations self-sustainability

Such approaches have the following handicaps among others

1. Are not sustainable, the donor may withdraw support.
2. Terms and conditions of such resources are decided by the donor or donor agency, hence an organization may or may fail to meet required conditions

In building an organization capacity to self-sustainability, a resource mobilization strategy **MUST** seek to explore and establish internal resource mobilization approaches that eventually reduce the organizations dependency on external resource providers.



Activity eight: Group work and discussion

- In the same groups formed in activity six, ask each group to discuss the following questions:
 - Who are your current local and international donors?
 - What do they provide?
 - What motivates them to provide?
 - Who can be your potential local and international donors?
 - What would you want from them?
 - What would motivate them to provide?
- Each group reports in turn followed by an interactive discussion
- Facilitator consolidates the answers and fills in the gaps



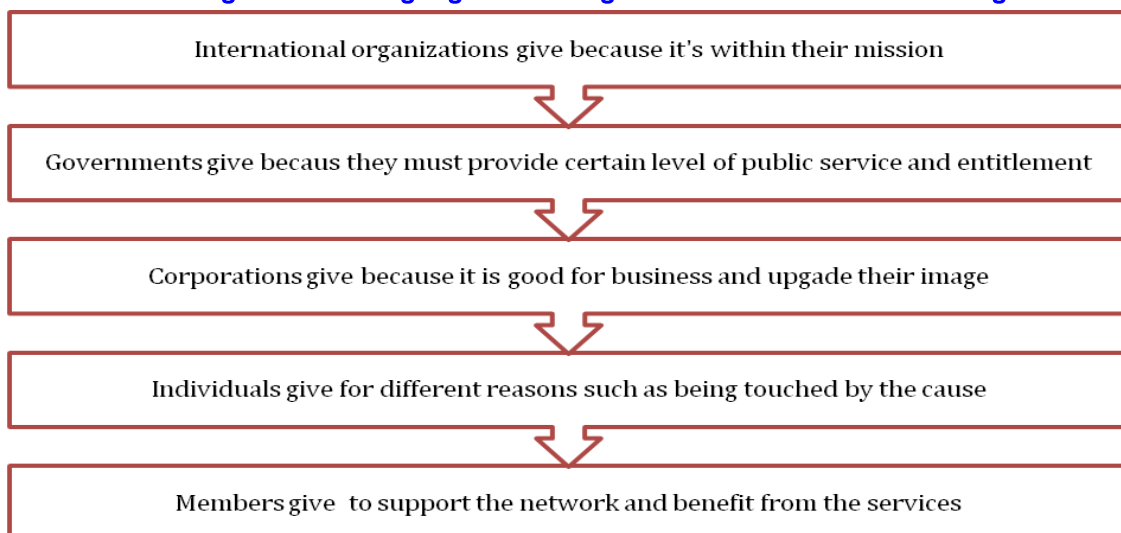
Facilitator's notes

ACTUAL AND POTENTIAL DONOR MAPPING

DONOR EXPLORATION AND MAPPING

In donor exploration and mapping, the first question that must be answered has to do with “why do donors give?”

The diagram below highlights Funding Bodies VS Reasons for Giving



Adopted from USAID RM Facilitator guide

IDENTIFYING AND BROADENING THE DONOR/STAKEHOLDER GROUP

Defining your “community”, also known as constituents or stakeholders, helps you determine whether what you are doing is relevant or not, and helps you identify possible linkages and partnerships beyond the obvious. It makes sense then to begin by identifying who are the individuals or groups that are directly served or influenced by your organization’s mission, and whose needs shape the strategies your organization undertakes.

These people have an intrinsic connection to your organization, and have a stake and interest in the continuing existence of your organization.

Stakeholders could consist of members of your general assembly, past and present consultants and contributors, past and present participants of trainings or seminars or other projects that you’ve run, institutional donors, corporate donors, local NGOs, cooperatives, community leaders, local government units, academic institutions, your staff, their families, beneficiaries, and volunteers as well as other similarly inclined people and institutions who have been involved with your work in various capacities.

The rationale behind focusing on these groups, as opposed to the more typical route of going after grant making foundations and large benefactors, is that if you’re able to inspire people that are closest to you to give or give of themselves, then it may become that much easier to get those remotely connected at least interested in knowing more about your organization.

Donors want to ensure that their grantees know how to raise resources after the donors have pulled out of a country or program. They need assurance that the organization they have funded will work to raise resources and not just be dependent on funds provided by them or by other funding institutions.

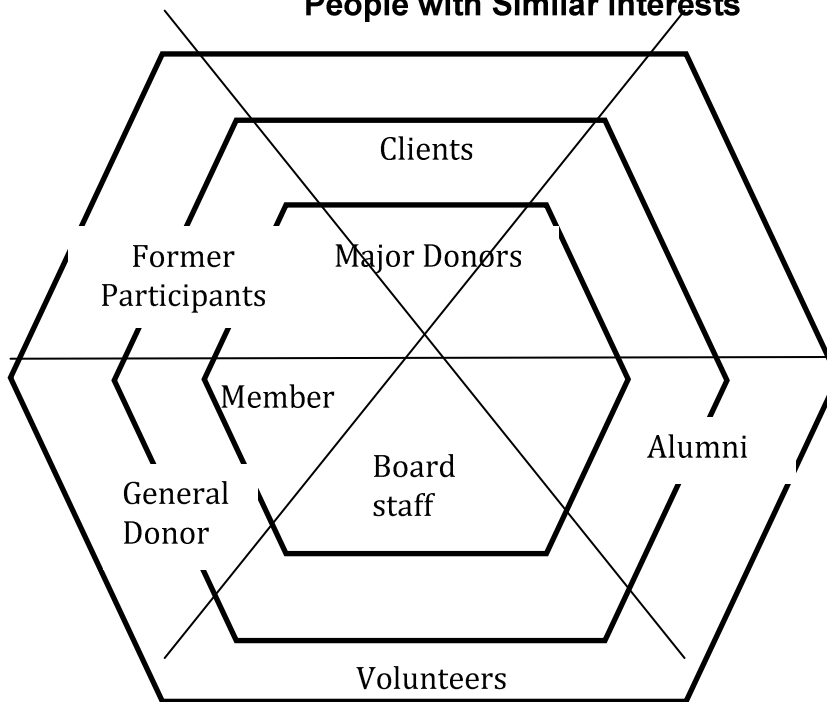
Golden Lessons on Broadening Donors/Stakeholders

- *The first golden rule then is that development research organizations need to move on from dependence on grants to diversifying funding sources.*
- *The second is that this can happen only when your organization seeks to build its own constituency by mobilizing local support through other strategies. Raising resources from a local base implies that an organization has the mandate from the community to continue its programs.*
- *Assuming that your organization has elected to work on a valid cause (whether it’s conducting research on local health traditions or providing alternative livelihood to underserved communities), what you do benefit more people than just the direct beneficiaries.*

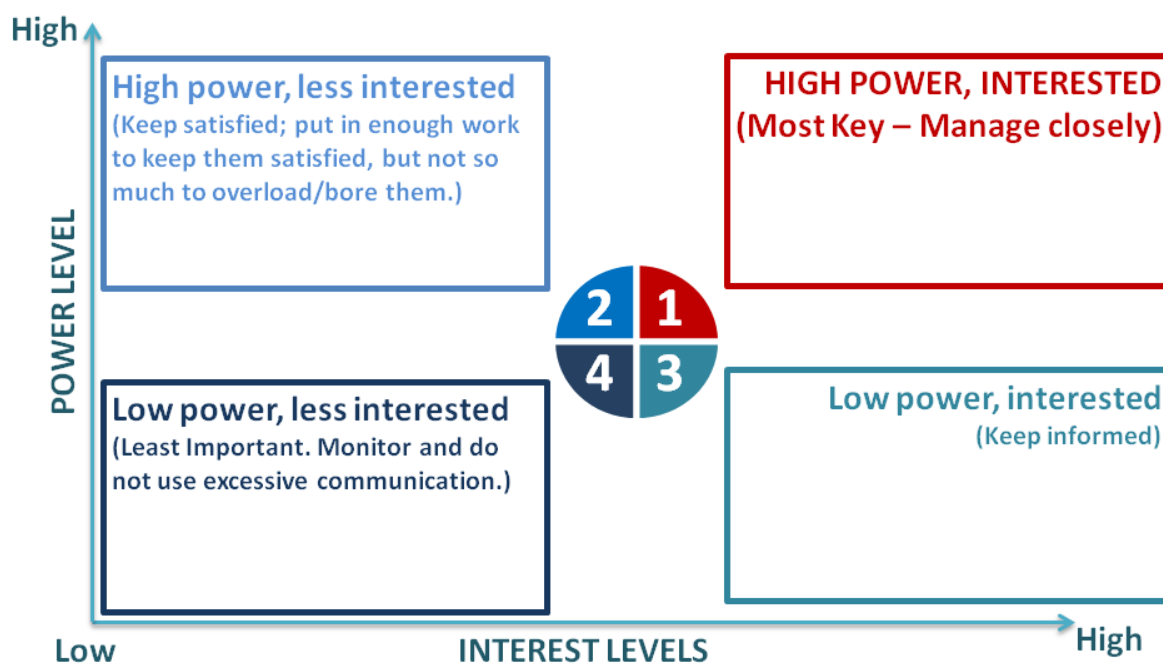
DEVELOPING A DONOR/STAKEHOLDER MAP

To visualize the environment your organization finds itself in, you can use a tool called a constituency or stakeholder map. The map is a simple diagram made up of a series of concentric hexagons containing the people most connected to your organization.

Stakeholder Map for a Non-profit Organization People with Similar Interests



Each level indicates their degree of participation, with those at the core having the most involvement, and those in the outer levels with the least. People with similar interests and general donors are placed on the outer layer, while major donors, the board, staff, and loyal supporters, regarded as key movers, are in the inner circle.



DONOR ASSESSMENT CRITERIA

The following questions may be useful for your organization in considering funding from a range of donors:

1. *What are the donor's priorities? If I need more information, how will I find it?*
2. *How will this donor support my organization's strategic priorities (why should my organization target this donor)?*
3. *What is the level or range of funding and for how long (e.g. one year; two years; five years)?*
4. *What is the level of effort required by my organization to submit a proposal and how will this affect or dilute other critical efforts or activities?*
5. *What is the process for submitting a proposal (concept paper submission; letter of interest; full proposal) and which staff person will be responsible for submission and follow up?*
6. *What does this donor expect in terms of programmatic and financial reporting requirements and does my organization have the capacity to fulfil donor requirements?*
7. *How my organization perceived or known by this donor and/or what is my organization's reputation with this donor?*
8. *How do my organization's strengths fit into the donor's goals and objectives; how will my organization 'add value' to the donor?*
9. *What is the donor's reputation in the NGO community (e.g. flexible; very strict; collaborative vs. top down; etc.)?*
10. *Who is my competition and what unique contributions and innovations does my organization have to differentiate itself?*

DONOR STRATEGIC NETWORKING GUIDELINES

1. **Begin with the end in mind.** If you set basic goals and objectives before any important meeting or event and ensure that the right people are attending the event and that they are adequately prepared, you are more likely to feel confident, motivated, and equipped to accomplish your goals.
2. **Know your audience.** Do your homework. Target individual people. Who will be at the event or meeting and what do you need to know about these individuals in advance? Is there anyone in your current professional, business, or personal network that may be able to make an introduction for you? Is there any way to reach out to the individuals you are targeting before the meeting to arrange a time to meet during or after the event?
3. **Keep the interests of the donor in mind.** Starting a conversation with someone you don't know can be intimidating. Equally, donors and other high profile people are constantly bombarded with requests for funding or other ways to help. Build rapport first; ask later. You might open your conversation by talking about the event itself, mentioning anything that you have in common (through your research), particular relationships, etc.
4. **Listen.** Be prepared to explain the critical elements of your organization to donor representatives, but also be prepared to ask that person questions that will give you more information about: 1) the donors' interests/challenges; and 2) the person his/herself. LISTEN to what s/he has to say and follow up with additional questions like: what are the biggest challenges you face working with NGOs? What could we do better to make your job easier? What kinds of information about programs, projects, and communities would be most useful to you?
5. **Prepare your talking points in advance.** How will you start the conversation? What do you want to communicate? What is most important that s/he understand about you and your organization?
6. **Leave critical information behind.** Individuals are inundated with information every day and are not interested in nor have the time to read through long descriptions of your work. Make sure that your organizational materials are clear, short, read well, grammatically correct, and include all organizational contact information.
7. **Follow up, follow up, and follow up.** Effective networking means continuously nourishing the cycle of communication between your organization and the donor you are cultivating. How will you follow up with this person following your meeting, event, etc.?
8. **THANK YOU.** Thanking the person you meet is a critical and is often an overlooked part of the strategic networking process. Quick, handwritten notes are most welcome—and remembered

Keys to success (*optimize your resource mobilization strategy*)

- Legitimacy, transparency, credibility are key components.
- Diversity of sources of funding is a guarantee for financial sustainability

- Maintain the relation and reassert the value of donors by various strategies.
- Partners support an organization whose mission and action plan are complementary to theirs
- Thank sponsors, partners and staff involved.
- There is no « miracle » solution in resource mobilization.
- Aptitude to give does not necessarily mean the willingness to do so.
- First and foremost, set up a resource mobilization committee.
- Conduct some preliminary research on the partner before meeting him.
- Try to determine what motivates.
- Persist in your efforts.
- Opt for a face to face meeting with the partner with ONE or TWO other members of the Committee.
- Participate regularly in various conferences.
- Do not take anything for granted.
- Organize regular meetings to take stock.
- Appeal to academics and other local personalities
- Bring into play prestigious relations and leading experts.
- Always have an amount at the tip of your lips.
- Display flexibility during the first stages.
- Establish links with beneficiary governments and make advertisement on this topic
- Appeal to policy makers when necessary.
- Do not let yourself to be influenced by refs.
- Publicly acknowledge the merit of those who assist you.

UNIT NINE: OBJECTIVE SETTING (30 MINS)



Activity nine: Mini-lecture

- PowerPoint presentation – **Define strategic RM goals and objectives. techniques of setting goals and objectives**



- Ask the participants to brainstorm on what needs to be done in the long term concerning objective setting within their current situation
- Write the responses on a flip chart and engage the participants in a discussion
- Fill in the gaps using the notes below using a PowerPoint presentation
- Provide an opportunity for participants to ask questions



STRATEGIC RM GOALS AND OBJECTIVES

The Goals

They are general statements that described the hoped result of a strategy. Goals are long-term and are achieved through a combined efforts of multiple programs

A goal can also be defined as general statements on the overall purpose of a project or program. A program goal should point towards some long-term effect or change. It's usually not written in quantified terms.

The Objectives

An objective is a specific and quantifiable statement of program achievement. It's a statement which can be used to determine program progress towards the program goal. Objectives are developed from the goals and are used to drive the achievement of the goals. They can be short term or long term

Driven from the goals, they are specific statements detailing the desired accomplishment of the program.

A properly stated objective is action oriented, starts with the word "to" and is followed by an action verb. Objectives address questions of 'what and when' but not "why or how". They are stated in terms of results to be achieved, not processes or activities to be performed.

Objectives must be SMART, meaning, specific, measurable, attainable, and realistic and time bound.

Activity 10: Ted talk: RM action planning (45 mins)

- Facilitator to run the Ted talk: *RM Action Planning - What are the key ingredients of a resource mobilization action plan?* <https://www.youtube.com/watch?v=4DhjF5GpgVg>
- Lead the group into a discussion on what they have learnt and what they can adapt to their situation

MODULE THREE: RESOURCE MOBILIZATION IMPLEMENTATION PLAN

MODULE DESCRIPTION

This module describes the techniques of developing a long-term and short-term Resource mobilization plan

MODULE OBJECTIVES

1. Understand resource mobilization action planning techniques
2. Understand the role and fit of donor relationship management on the broader resource mobilization activities

ADVANCE PREPARATIONS

- Prepare power point presentations
 - Target setting
 - Resource mobilization approaches
 - Resource activity, inputs and outputs planning
 - Donor relationship management

UNIT TWO: TARGET SETTING (90 MINS)



Activity one: Brainstorming exercise

- Brainstorm session on the differences between a strategy and an action plan? What are the requirements of an action plan? Techniques of developing an action plan (target setting) –**See annex 5: target setting template**
- Write the responses on a flip chart and engage the participants in a discussion
- Fill in the gaps using the notes below using a PowerPoint presentation



Facilitator's notes

DEFINING TARGET SETTING

A strategy

A method chosen to bring about a desired future, such as achievement of goal or solution to

a problem. The art and science of planning and marshaling resources for their most efficient and effective use.

Definition of an action plan

An action plan is a document that lists what steps must be taken in order to achieve a specific goal. The purpose of an **action plan** is to clarify what resources are required to reach the goal, formulate a timeline for when specific tasks need to be completed and determine what resources are required.

Its concerned with specific action or actions aimed at accomplishing a clear business objective, with details on what work is to be done, by whom, when, and what means or resources will be used.

RM Target setting

This section focuses on the importance of Setting Realistic Targets as a part of a well-grounded resource mobilization plan.

It starts off with key considerations in determining targets. The section ends with a Resource Timeline tool, a grid that can be used to identify current resources, gaps, prospective funding sources, and projections.

Differences between Strategy and Action plan

A strategy is broader and does not have the specific actions or activities that must be undertaken. An Action plan is specific and concerned with number, measurements and targets.

Strategy	Action Plan
<ul style="list-style-type: none"> • A strategy describes a global path to pursue a formal goal. 	<ul style="list-style-type: none"> • A plan, on the other hand, allocates in detail resources that are necessary to accomplish the strategy,
<ul style="list-style-type: none"> • Strategy is the mental part of reaching a goal 	<ul style="list-style-type: none"> • Action plan is the physical part of reaching a goal.
<ul style="list-style-type: none"> • A strategy is a course of action to achieve long-range goals, generally up to five years. 	<ul style="list-style-type: none"> • A tactical plan is a course of action to achieve short-term goals, generally within a year or less.
<ul style="list-style-type: none"> • Strategy is broader 	<ul style="list-style-type: none"> • Action plan is specific
<ul style="list-style-type: none"> • Strategy is the goal 	<ul style="list-style-type: none"> • Action plan is a means to get to that goal.

Finding Out How Much You Really Need

After assessing your organization’s capabilities and peripheral factors affecting performance, it is time to find out how much money you really need to raise and what are the resources you need to mobilize in order to continue the work you do. Setting goals is one of the most essential factors in the success of your resource mobilization undertaking. It cannot be

overemphasized how crucial this step is as it requires that you:

Make an inventory of your current resources, both financial and in kind; and project the needs that your activities may still require to achieve fundamental results.

Determining resource mobilization targets does not only allow you to plan for the future of your programs, i.e., where you want to be and what you want to accomplish given a specific timeframe, but it also gives you a clearer picture of what you can do here and now.

Advantages of Setting Resource Mobilization Targets

There are some scenarios common to development research non-profits. In some cases, an organization may seek resources only when the need arises, or when the end of the grant period draws nearer. In this scenario, there's a tendency to fall into the trap of being fund driven, a program exists only when there's funding.

It often is the case that funding targets are set without consideration to real needs. For example, a non-profit may set a target of US\$50,000 just because it is their 50th anniversary. They dream of building a training center to have a space of their own, without considering the costs of building maintenance.

By determining realistic resource mobilization targets, you are able to check if the goals are actually linked with or rooted in your organization's strategic plan and your current programs, and see if the time and effort you exert are well worth it.

A Resource Timeline becomes a very important tool in determining targets as it provides you with sufficient lead time to ensure the sustainability of your programs. If carefully laid out, it helps you visualize what your current resource situation is and enables you to see how long your resources can sustain your programs.

UNIT ONE: RESOURCE MOBILIZATION APPROACHES (30 MINS)



Activity one: Brainstorming exercise

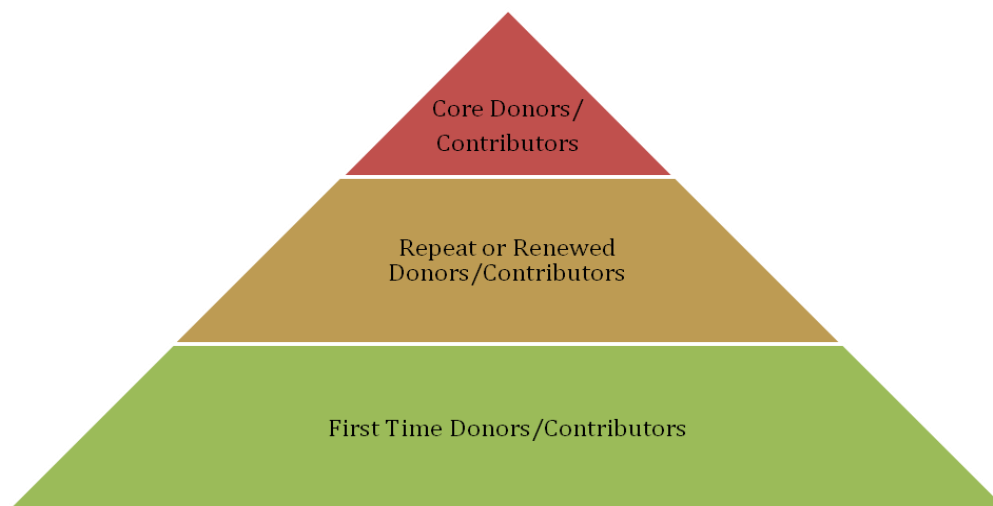
- Brainstorm session on what determines the effectiveness of a fundraising plan writing responses on a flip chart
- Facilitator, uses the notes below to fill in the gaps – on PowerPoint



RESOURCE MOBILIZATION APPROACHES

Most organizations are likely to be funded by a variety of sources, but generally, the Pareto Principle may apply, that is, 80% of the funding may come from 20% of your donors/contributors.

Therefore, in the Resource Mobilization Pyramid of Donors (shown below), the base of the pyramid (first level) is made up of first time donors/ contributors, followed by the next level, which are repeat or renewed donors/contributors, and then the top level, consisting of your core funders/donors



Adopted from UNRWA 2012-2015 RM Strategy

In their publication, *Venture for Fundraising*, advocates that there are two major resource strategies needed to be applied to the Donors Pyramid.

These are:

1. Acquisition strategies: To bring in first-time donors/contributors by raising awareness about your organization and cause;
2. Nurturing or cultivating strategies: To maintain “upgrade” existing donors/contributors to the next level in the Donors’ Pyramid or to contribute more.

ACQUISITION STRATEGIES

Acquisition strategies may include direct mailing of your brochures or materials to those in the outer rings of your Donors’ Map, inviting them to attend your events, or simply going to see

them.

These are generally people with whom you have had little or no contact but whom you have identified in your Donors' Map as potentially interested parties. Also in this category are your clients who come to avail of your services and contribute to your earned income. At the same, they may also include first time volunteers or supporters. **Remember, resource mobilization is not only fundraising but friend-raising as well.**

NURTURING STRATEGIES (RELATIONSHIP BUILDING)

In order to upgrade your existing donors to the next level of the Pyramid, or to increase their level of contribution, you need to have nurturing or cultivating strategies.

The objective is to keep engaging them by developing partnerships with them, or exploring new ways to secure their long-term interest in contributing to your cause.

Examples of those in this category include international granting agencies, government agencies, private foundations, or individual philanthropists. The key to this is to find out what they are looking for in the relationship and what you can offer them to satisfy their needs.

Fund raising and friend-raising is a two-way process. You are merely working out a common ground in which both parties can achieve their own goals.

Some of the key activities for this strategy include participation in grants competitions, visiting donors or inviting them to your organization or events and keeping them informed of your progress through online and print media.

Being able to select the right mix of strategies and relevant activities to engage with your new and existing donors/ contributors comes with from your resource mobilization planning process.

DEVELOPING YOUR CASE STATEMENT

After you have determined your target audiences to approach, you need to have a simple and effective way of communicating your cause to them in the form of a case statement.

The case statement should be simply worded, devoid of jargon, and appeal to a wide range of your stakeholders. It should be understood and used by all levels of staff in your organization and in all your communications with your donors/contributors.

It should tell them these five key elements:

1. What is the need? Try to make this need manageable and quantifiable so that potential

donors feel they can make a difference. For example, one of the needs of your Campaign might be to train 2000 women in a year in your community to achieve basic computing literacy. This seems manageable.

2. Where is the evidence that this is a pressing need? Include results of surveys or statements of people in authority to emphasize why it is important to address this need.
3. Why and how your organization is uniquely qualified to address this need? You need to show the potential donor/contributor what is special about your organization or approach. In other words, why should they fund you and not others?
4. What are the benefits of your action? What can you quantify as tangible results of your cause, and what are the possible other benefits? For example, 2,000 women who have gained computer literacy would be able to find employment more easily. In turn, their employment would bring about increased household income and improved livelihoods. Children would also benefit from mothers who have computer literacy.
5. What are the negative impacts if you fail to address the need? Sometimes this may be the strongest motivation for the potential donor/contributor, to see the negative impacts if you don't take action. The case statement should be consistently articulated in all your communication material and your staff should be able to verbalize it when they meet with potential donors/contributors.

DONOR FACE TO FACE MEETING

After much hard work in contacting donors, you are finally invited by a prospective donor to meet. How should you prepare for the meeting so that you can maximize the opportunity and gain positive results from it?

Before the Meeting:

1. Do prior research on the name, position, and area of responsibility of the person/team you are going to meet;
2. Pack supporting materials that are directly relevant to your meeting, especially your business card;
3. Have an extra copy of latest correspondence between you, including the proposal document that you may have already sent (do not assume the prospective donor will have everything in front of him/her or at his/her fingertips);
4. If you are going to the meeting as a team, first determine who will be the spokesperson, and the rest of the team should ensure he/she is allowed to lead the conversation without being interrupted or contradicted by other team members;
5. Practice your pitch (case statement) beforehand so that you are all on the same page.

During the Meeting:

1. Give the card, Present your business card immediately after the introduction, to help the prospective donor remember your affiliation (as they usually see too many people in a given day);

2. State the purpose of your visit clearly at the outset;
3. Introduce your team members with a very brief mention of the role each member plays in your cause;
4. Build rapport early on by mentioning any previous meetings or links to the prospective donor's organization;
5. Propose how you think the prospective donor's organization can contribute to your cause;
6. Listen actively to the donor even though he/she may not share your same passion or interest in the subject and may talk about something else; in the course of his/her meanderings the prospective donor may be offering useful referrals to colleagues/people who do share your interest;
7. If the prospective donor asks if you can do something he/she is interested in but it is not within your area of interest, do not say no immediately, but ask for time to consider it (this would give you opportunity to stay in touch);
8. When the meeting is about to close, walk the prospective donor quickly through the material you have brought, pointing out any highlights, so that he/she would at least have some familiarity with it and be more inclined to look through it afterwards;
9. At the close of the meeting, if the prospective donor does not mention next steps, please summarize what you have discussed and the follow-up action required;
10. Lastly, if the prospective donor offers you refreshments, do not refuse it, thinking that you should be economical with time and get down to business quickly. By offering you refreshments, the prospective donor is indicating he/she has a bit of time to carry on a social conversation with you. Remember, fund-raising is friend-raising!

After the Meeting:

1. Send an email the next day, thanking the donor and mentioning any follow up action;
2. Follow up after a week or at an appropriate time based on the follow up action agreed upon;
3. Do not immediately put the donor onto your mailing list to bombard him/her with e-newsletters; send a personal note first with your e-newsletter, linking any information in it to your area of discussions or proposal if applicable. Do not assume that everyone will have the same level of interest as you in your work. If there is no link or area of interest for him/her, he/she will just treat the e-newsletter as spam and discard all future mailings. Worse still, it may cause the prospective donor to form a poor impression of you and your organization.

DONOR RETENTION

It would seem then that advocating for a good cause is not enough to attract local funding.

Case study: In a seminal study by the Asia Pacific Philanthropy Consortium, Investing in Ourselves: Giving and Resource mobilization in Asia, which covered case studies of how various non-profits and NGOs mobilized funds for financial sustainability, it was observed that in rallying for support, the nurturing of personal and community relationships was more critical than the espoused cause itself.

It further stated that these relationships were based on three major characteristics that an organization needed to have in order to attract support: *legitimacy, transparency, and accountability.*

- Legitimacy

Different countries have different terms and requirements for recognizing the legal existence of organizations. But however diverse these requirements are across the region, each state still exercises a degree of control over the incorporation of nonprofit organizations.

Only those that have been established according to their country's civil laws and traditions are considered to be legitimate. Such organizations are more likely to gain donor support because they have achieved some level of compliance with government standards, and are less likely to be suspected of being fronts for underground political movements or "fly by night" operations.

- Transparency

This refers to open communication with internal and external stakeholders regarding an organization's financial and management health, and is a characteristic of organizations that disclose information about their programs, activities, and even financial transactions and investments to stakeholders and anyone who wishes to know more about the organization. It is a criterion that is highly regarded by prospective donors and partners, as transparency assures them of an organization's trustworthiness and commitment to its constituents.

- Accountability

This refers to an organization's ability to stand up for its mission, and to be guided by sound management and financial principles. An accountable organization is one that responsibly services its community, properly manages its resources, and is able to report back to donors regarding the use of donated funds. Such organizations are also likely to gain public support, as quite a number of donors now expect to be updated on how their funds have been used by their beneficiary organizations. Moreover, it is not uncommon for donors to request visits to project sites to be sure that their monies are being used in the best way possible.

In building a base of donors, the focus is less on resource mobilization, more on friend rising. The funds come as a by-product of the relationship, and not so much as an end in itself.

FUNDRAISING PROPOSAL WRITING

Adapted from workshop materials prepared by Katherine Hay and Liz Fajber of the International Development Research Center

The following tips and ideas on proposal writing are based on experiences of IDRC's Liz Fajber and Katherine Hay. They suggest that the grant proposal writing process begin even before anything is written down, and discuss how thinking through the proposal as the very first phase.

Then they give practical tips on the actual writing of a proposal, defining each of the components that can be found in more generic ones, and points to consider when creating content. The writers do not claim to be writing experts but have substantial experiences to share from reviewing proposals.

Overall Strategy and Your Proposal

Proposal development is part of an overall resource mobilization strategy, and is linked with all the other elements of financial sustainability planning.

As such, remember to:

- 1) Know your organization (SWOT, track record, accountability)
- 2) Engage in strategic planning (mission and vision)
- 3) Develop a resource mobilization strategy
- 4) If your organization's strategy includes targeting donors: understand your donors (what kind of agency? what person? goals?)
- 5) Develop a proposal
- 6) Sell your proposal to donors
- 7) Follow up with donors

Phase One

- Before Writing, Plan Your Project Proposal

It is very important to take the time to think out ideas BEFORE writing out the whole proposal.

This could entail discussing the overall objective of the proposal with relevant team members, then developing an outline. The important part is you think through the following elements first:

- Define Your Project Goal and Objectives

Ask yourself the following questions:

- 1) *What do you want to achieve (your ends)?*

2) *How do you want to achieve it (your means)?*

3) *Who are the main beneficiaries?*

Projects need two kinds of objectives: a general objective, and a specific objective.

A general objective is usually not measurable. Organizations or projects cannot achieve general objectives, only contribute towards it. A general objective should be compatible with your organization's mission, and that of the donor, and is usually longer to achieve than specific objectives.

A specific objective is more operational on what you will accomplish. The more specific the objectives are, the easier it is to design a process for achieving them. Specific objectives are measurable, and can be the basis for evaluation; are comprehensive; need to be feasible in time frame and scope of project; and should contribute to the general objective.

- **Developing Your Arguments**

The next stage is to start developing your 'arguments' or case. Consider these questions, and back up your points. Use evidence, and cite sources and previous studies (including your own). Questions to consider:

1) *What is the main need this project is trying to address?*

2) *What is the potential impact of this research? Who will benefit and how?*

3) *What does this research bring or add to the scientific and development communities?*

4) *What is new, innovative, and creative about this project?*

5) *What do your organization and researchers bring to the project?*

- **Think About the Process**

Think about the process: the why, for whom, what, where, when, how, and who questions.

These questions draw out more details on the project.

1) *What will you do? (activities)*

2) *Where? (general and specific)*

3) *How? (methods)*

4) *Who will be involved?*

5) *What outputs will there be?*

6) *When will activities and outputs happen?*

7) *How will progress be monitored and evaluated?*

8) *What resources are needed? (financial, human)*

The clearer you are on who you are, who you are writing for, and what you want to achieve, the better the proposal will be more coherent, logical, appropriate, and successful.

Remember, thinking through is the hardest part, and the most demanding. Commit time to it.

Writing it down is actually the easier part if your ideas are clear!

Phase Two

Writing a Winning Proposal

Writing a proposal depends on the format of donor. Generally, a proposal contains the following elements:

- Cover Letter

Introduces the proposal and establishes rapport between the grant applicant and the funding agency staff. The cover letter should:

- 1) *State why you are approaching this funder*
- 2) *Mention any prior discussion of the proposal*
- 3) *Describe the contents of the proposal package*
- 4) *Briefly explain the project*
- 5) *Offer opportunity to set up a meeting and to provide additional information*
- 6) *Provide the name of the specific contact person within your organization responsible for the grant application, and contact information of your organization*

- Executive Summary

This one page designed to be quickly read sums up the key points in your proposal and sets the tone for what the proposal reviewer can expect to find in the body of the proposal.

It covers the short version of:

- 1) *What the key problem is and its context*
- 2) *What your organization plans to do to address problem; this can include objectives*
- 3) *Why this is important*
- 4) *Who will benefit, and how*
- 5) *Project duration*

- Background/Rationale

This section should answer the following questions:

- 1) *What is the problem/need/research issue you are trying to address?*
- 2) *What is the nature of the problem confronting the target or service community area?*
- 3) *How will your project build on work previously done or address the research gap and add value?*
- 4) *How does this project fit into the grant making agency priorities as well as your own organization? Make these linkages here.*

Do not focus only on the problem, but point to the potential opportunities and possibilities (solution) to address the problem that will lay the foundation for your objectives.

Most donors now request multidisciplinary projects; try to consider the problem through an

integrated and interdisciplinary lens. Do not assume that the reader is familiar with the issues or the geographical area.

Be clear and concise, this cannot be emphasized enough.

- Objectives

Well written objectives should clarify for the donor what your main strategy is:

- 1) *State what you expect the project to achieve*
- 2) *Describe the beneficiaries or recipients of the proposal*
- 3) *Describe potential impact*

- Process Description: Activities and Methods

This section should detail how you will accomplish the objectives and should be presented in sequential form with a clear link of activities with objectives. This details the nuts and bolts of the project proposal. It should have six subsections:

- 1) *Methods*
- 2) *Activities*
- 3) *Staffing/administration*
- 4) *Monitoring and Evaluation (M&E) procedures*
- 5) *Impact and output*
- 6) *Research use and uptake*

This section should discuss dissemination strategies (target groups, multiple audiences at multiple levels and the different strategies and methods to reach these groups).

It should describe the monitoring and evaluation (M&E) strategies; define the meaning of evaluation (external, participatory); and detail how the monitoring process will be conducted.

- Management Description

This is comprised of three elements:

- 1) *Organization: information on your organization, brief history, relevance of proposal to priorities/mission, technical expertise to show capacity to manage project, programs and services offered to audiences or communities served.*
- 2) *Project team: who they are; their roles and responsibilities, and why this team is appropriate for the project.*
- 3) *Managing risk: institutional risks include organizational capacity to manage project, technical competency, and fiscal skills; other risks that can be addressed in the description of the organization are political, security and social risks.*

Be honest even though it can be a challenge to be transparent and identify risks. It generally is better to identify the risk, but emphasize how your project is addressing (and will overcome)

them, or what alternative arrangements will be made if you cannot adequately address the risks.

- Impact

Consider what impact the project could have:

- 1) *Think at multiple levels*
- 2) *Direct and indirect impact*
- 3) *Potential to influence policy*
- 4) *How will results be scaled up and out*

- Budget

Be realistic and upfront. Make sure the size of the request is possible for the donor. Show other contributions from your own organization and other donors. Essentially, this section should contain:

- 1) *Budget categories*
- 2) *Detailed budget notes*
- 3) *Organization contribution*
- 4) *Other donors' contributions*

Present the financial blueprint of the entire project. The budget should cover all operational and administrative expenses (personnel and no personnel items) associated with the implementation of the project.

- Conclusion

The conclusion should answer the following questions:

- 1) *Why the project is necessary and important*
- 2) *Why your organization is the right one to implement the project*
- 3) *Why the donor should consider the proposal*
- 4) *What could be achieved*

This section summarizes the proposal's main points, reiterates what your organization wants to do and why it is important, and underscores why the organization needs funding to accomplish it. Draw arguments together, but do not be repetitive.

- Appendices

Additional information like the following can go in appendices:

- 1) *Bibliography, references*
- 2) *Detailed explanations on points from earlier sections*
- 3) *Use of planning tools such as the Logical Framework Approach or other formats specific to donors*
- 4) *Organization reports and information*

Dos and Don'ts in Proposal Writing

- 1) DON'T expect to write and get a proposal funded in one week.
- 2) DO give time for planning, feedback and revision of the proposal.
- 3) DON'T be over ambitious: "Global Warming will be eradicated by the end of this one year project!"
- 4) DO be realistic. What is achievable in the timeframe?
- 5) DON'T Send so much documentation that 'your reader gives up.
- 6) DO be concise and easy to read. Keep it simple and as short as appropriate.
- 7) DON'T PAD your budgets or try to hide information.
- 8) DON'T be vague: This project will help women get on the internet.
- 9) DO be specific, show detail, and show that you know who else is working in the field.
- 10) DON'T go overboard on emotion.
- 11) DO Show that you care about the work but use arguments to substantiate statements (pitch the tone correctly).
- 12) DON'T be shy to show your proposal to others.
- 13) DO Send drafts to colleagues, get feedback from peers.
- 14) DON'T Take a one-size fits all approach.
- 15) DO Tailor and target your proposals according to donor's

UNIT THREE: RM ACTIVITY, INPUT AND OUTPUT ANALYSIS (150 MINS)

Activity three: Group work and discussion

- Facilitator divides the participants into groups of four
- Asks each group to develop a short term action plan based on the broader resource mobilization strategy (input versus output analysis). Make emphasis using the following questions: *What needs to be achieved and for what purpose? By when? What are the requirements for it to be achieved (required inputs and required outcomes)?*
- Provide the participants with the resource mobilization strategy and implementation plan development template (**see Annex 7**)
- Each group reports in plenary followed by an interactive discussion
- Facilitator consolidates the answers and fills in the gaps



RM ACTIVITY, INPUT AND OUTPUT PLANNING

Having understood the current resource gap by way of organization resource planning, and having explored a mix of resource providers by way of donor mapping, and having established resource requirements from each of resource providers by way of target setting, the next critical step is to develop an activity, input and output plan.

1. Activity Planning (what needs/must be done)

An activity points at “what needs to be done” to realize or to achieve each of the resource mobilization targets. It’s a “to do list” that helps in getting the resource providers avail to resources needed from them by way of the resource targets. Activities can be on the short term or long term.

2. Input Planning (what are the resource requirements)

Input planning is points at “what will be required to implement the activities above” It’s concerned with exploring the resources required in implementing the resource mobilization activities. These resources can be in the form of (but not limited to) time, financial resources, human resources etc.

Note that failure to avail these inputs/resources, the resource mobilization activities will not be implemented and hence the resource targets will not be realized.

3. Outputs Planning (what needs to be achieved/deliverables)

Output planning points at the “degree at which the resource mobilization targets are getting or have gotten realized. It determines the degree at which the inputs get transformed into the required resource mobilization targets.

Outputs help in understanding the degree of achievement or failure in realizing the resource mobilization targets

RESOURCE MOBILIZATION STRATEGY DOCUMENT

Having explored all the resource mobilization steps/road map, The following guideline will help in putting together the final resource mobilization strategy document

Part One: Components of an RM Strategy

1. What do you want your organization to be remembered for?
2. What are your organizations' strategic priorities?

3. What are your resource development objectives to support your strategic priorities?

Examples:

- *Increase support from at least XX non-USG donors in the next 12 months*
- *Secure support from USG donors by winning at least XX projects as a sub or a prime*
- *Develop all support documents for proposals and keep them in a location accessible to all RM team members*
- *Develop at least XX documents that highlight the benefit of your work on vulnerable households and share/disseminate at XX events or with XX donors*

4. Which donors will your organization target, both current and potential?

Provide specific examples of donors and how you will get the information you need to determine whether and how these donors will help you achieve your objectives.

5. In what specific ways will these donors support your resource development objectives?

6. For donors that invite solicitations through RFPs, how will your organization routinely identify RFP opportunities in a timely manner?

7. Who in your organization will undertake the overall resource mobilization effort?

8. Who else will be a part of the resource mobilization team?

9. What specific roles will each team member play?

10. What is the time frame for implementing this plan?

Part Two: Fundraising Documents & Systems to Support the RM Strategy

1. Which templates and necessary documents will your organization maintain to support resource mobilization and proposal development?

Examples:

- *Corporate capabilities statement, updated staff CVs, budget templates with budget notes, past performance references, statement describing the context in which you are working, monitoring and evaluation plan, management plan etc.*

2. Where will these templates be located?

3. Who will be responsible for updating the templates?

4. What kinds of templates will be developed to track and update donor contacts and research information?

- *List of current donor prospects, contact and background information, and notes*
- *List of resources for donor research*
- *List of contacts who can introduce you to donors*
- *List of current donors, donor contact information, communications with donors, and notes*

5. Where will this donor information be located?
6. What kinds of supporting documentation will be developed to present to potential donors and who will be responsible for developing?

Examples

- *Basic brochure,*
- *Success stories,*
- *Description of organization's activities and results,*
- *Case study, Evaluation reports,*
- *Other*

UNIT FOUR: DONOR RELATIONSHIP MANAGEMENT (150 MINS)



Activity four: Brainstorming exercise

- Brainstorm session on participant's understanding of donor relationship
- Write the responses on a flip chart and engage the participants in a discussion
- Fill in the gaps using the notes below using a PowerPoint presentation.



Facilitator's notes

DEFINITION OF DONOR RELATIONSHIP

Donor relationship management is the process of thoughtfully and proactively cultivating relationships with new donors and stewarding current donors in order to maximize donor retention, engagement and investment.

It typically requires clear segmentation and prioritization of donors and leads to the formulation of clear goals and action plans for how the non-profit will interact with a given donor segment to achieve desired results.

Maintaining good relationships with your donors is critical to the survival of your organization. An organization secures sufficient resources to achieve your goals and fulfill your mission. This is an on-going need that will likely be met by a number of donors over time.

It is through your relationship with donors that your organization becomes connected with potential funding. The deeper the relationship, the stronger that connection, and the more likely that donor will support your organization and its mission.

However, just because a donor supported a program once, does not mean it will do so forever. Donor loyalty and trust must be earned again and again

Activity five: Group discussion

- Facilitator to engage the group in a discussion on how one can build donor relationships at their own capacities
- Write the responses in a flip chart and summarize the discussions



Facilitator's notes

DONOR RELATIONSHIP MANAGEMENT TOOLS AND TECHNIQUES

Most non-profits have a range of donors, from large foundations or corporations to government agencies, individual philanthropists, and smaller individual donors. While all donors are important, their significance to the work of the non-profit organization can vary greatly, as can their motivations and needs.

Effective relationship management takes account of these factors and enables the non-profit to determine what level and type of action and staff investment relating to each will best enable the organization to effectively achieve its funding model.

By developing and implementing effective practices and systems that yield strong relationships with donors, non-profits can generate more sustainable and dependable revenue, strengthen grant effectiveness, and, ultimately, achieve better results.

Methodology

Specific donor relations strategies will depend on the organization's funding model and priorities; however, non-profits that seek to employ donor relationship management can follow the following general guidelines:

Segment donors: Non-profits should pursue different strategies and level of engagement for donors depending on grant size and other funder characteristics. As a result, segmenting donors into relevant categories based on such factors as level of giving (or potential giving), donor type and key needs is the first step in donor relationship management.

Encourage involvement: For each donor group, non-profits should determine the level of engagement necessary to effectively manage the relationship and seek to involve donors accordingly. For larger donors (e.g., foundations, high net worth individuals), this may mean pursuing a relationship that goes beyond the provision of capital to become a partnership to achieve shared goals. For smaller donors (e.g., online donors), this may mean finding opportunities for more informal engagement (e.g., through fundraisers, volunteering or social media).

Establish goals and frequent channels of communication: It is important to establish

goals for donations and maintain frequent communication with donors of all sizes. For larger donors, this may mean providing frequent updates on program progress to gather input, while for smaller donors it may mean monthly newsletters or annual reports.

Gather and incorporate feedback: Throughout donor engagement efforts, non-profits should seek to gain feedback from donors about their satisfaction with the relationship. For example, organizations might ask smaller donors how often they would like to receive emails. For larger donors, non-profits can establish written and in person reporting and updates on a cycle mutually amenable, always encouraging open channels of communication to enable donors to provide feedback

Other Relationship building techniques

Every organization hopes to acquire long-term support from a range of donors. Strong relationships based upon mutual respect and trust with the people working for donor institutions whose influence, confidence in your organization, and connections to other donors and people of influence (government, business leaders, and prime organizations) can help an organization achieve its resource mobilization goals.

Below are simple ways that organizations can strengthen relationships with priority donors.

1. **Find out what matters to your donors.** Whether you have already received funding or you are just starting to build a relationship with a donor, find out what matters to the donor and assess how your organization can address their priorities.
2. **Find out what the donor wants.** Look at the donor's website. What topic areas matter to the donor? Talk to your NGO colleagues. What do they know about a particular donor and what it does? At face-to-face meetings or other networking opportunities, ask the donor what kind of information would be most useful.
3. **Donors generally want information that:**
 - Builds their confidence an organization's ability to deliver and manage funds well.
 - Increases their understanding about how their support is making a difference in the real lives of individuals, families, and communities.
 - Explains how an organization is leveraging their funding (i.e. attracting other funding sources, including community contributions).
4. **Invite your donors to visit your programs and organizational events.** Community events or open houses hosted by your organization are great opportunities to recognize and strengthen your relationships with your key donors. Use these opportunities to demonstrate *how* your organization is making a difference in the lives of the people that you serve.
5. **Give your donors proper visibility.** What are some ways that your organization can highlight the contributions of your donor? If your organization is holding an event, you may ask your donors to speak; you may want to credit your donors during a media interview; you may want to thank your donors at a community event; etc.

6. **Write a handwritten note to thank your donors.** In the age of technology, we are all overwhelmed with electronic information. Donors remember handwritten notes. Notes are particularly effective when they are written by an organizational leader, or an individual impacted by your program.

Managing Donor Expectations

Donors vary in their expectations and interest, but all donors generally want the funding and resources they provide to your organization to reflect well on them and appeal to their constituency.

All donors expect organizations to:

1. **Understand donor needs and interests.** Investing adequate time to research the interests of your donor is a critical step in donor research and cultivation. Donors expect you to know their programmatic priorities and be able to tell them how your organization will help them meet their objectives.
2. **Do what you say you will do.** Use the support provided efficiently and effectively. Donors look for organizations with a track record that demonstrates an ability to marshal the technical and operational expertise needed to deliver high-quality services efficiently.
3. **Address shared programmatic objectives.** Adopt approaches and produce outcomes that are compatible with their values, objectives, and interests and with those of their constituency. The organization they support is, in effect, their agent and they want to be confident that their support to your organization will help them achieve their goals and objectives.
4. **Demonstrate that your approach works.** Government donors commonly prefer to fund programs with proof or evidence that their approach works. Donors funding new programs also expect organizations to demonstrate why they want to try the new approach proposed (evidenced from other programs, a literature search, etc.).
5. **Bring community credibility.** Donors may fund your organization, in part, because of your organization's unique relationships with the communities that you support. Local and traditional leaders, local and district government officials, or other credible voices and leaders in the community you serve can help increase your visibility and strengthen the credibility necessary to attract donors.
6. **Demonstrate willingness to collaborate and partner with other institutions or organizations.** Donors usually prefer to fund organizations that are willing to and/or have a history of partnerships with a variety of institutions. Demonstrating your history or collaboration and partnership will enhance your attractiveness to donors.
7. **Be responsive and accessible.** Donors expect organizations to be responsive and accessible from proposal development, start up, contract negotiations, reporting agreements, to the end of the project.

Acknowledge support. Donors expect to be acknowledged. Use multiple, creative ways to acknowledge donors' support such as reports, success stories, community or other public events

What donors need

Whether the donor is a national or local government agency, a foundation or a business, donors are "investors" who help you achieve your mission. Like you, donors are held accountable and must show results to their funding sources.

Therefore, when you get results, donors do, too; when you succeed, they succeed.

When communicating with donors, keep in mind three main concerns because they shape a donor's perceptions and willingness to continue supporting your program. Donors want reassurance that your organization is:

- 1. Using its funds effectively and efficiently for the purpose originally intended;*
- 2. Effecting positive change on the lives of the individuals or communities the donor aims to serve; and*
- 3. Reflecting positively on the donor through a good image and reputation.*

Establish a Positive Relationship with Donors from the Start

Your relationship with a donor likely began with the development of a proposal. During that process, you demonstrated that you understood the issues and needs to be addressed, and showed that you had feasible, cost effective solutions and systems in place for managing financial resources. When you won that support, your relationship took on new meaning. There are a few basic steps that will help the relationship get off to a smooth start.

Conduct a Launch Meeting

It is good practice to hold a "launch meeting" with a donor as soon as possible to review the terms of your agreement; establish key contacts; discuss roles, responsibilities, and program activities; and share expectations.

During this meeting, clarify terms of the agreement you find confusing. Ask questions. Learn how the donor wants to hear from you and how often, monthly, quarterly, semi-annually. Build this regular communication into your work plan. Present this information to your team to create mutual understanding and expectations about the donor.

Where possible, share the timeframe for start-up activities, your initial program objectives and solicit your donor's feedback and questions. If both organizations have a clear initial understanding of each other's expectations for the program, this will set a strong foundation for open communication and collaboration and may reduce the likelihood of future Misunderstandings.

Develop a Donor Communication Protocol

As part of your Communication, develop a set of rules (a protocol) stating what information is shared with donors, how it is shared and who at the organization manages the interaction with donors.

Create a list of the staff within your organization (finance, program, technical, etc.) that may be called upon to communicate with a donor because you may wish to refer the donor to different people on your team to address specific issues; or you may decide that one person should be the gatekeeper for all donor communications.

Note what form of communication the donor prefers (email, phone, etc.) and what issues/results are of greatest interest. Once decided, create written guidelines to discuss and share with your staff.

Ten Tips for Maintaining a Strong Relationship with Donors

As with any mutually beneficial relationship, it is easier to nurture and build on an established connection than to start from zero. Below are a few tips to reinforce your rapport with major donors.

1. **Communicate effectively.** Be as clear, direct and honest in your communication as you can, verbally and in writing.
2. **Follow up after donor meetings.** After key meetings or conversations between the leadership of your organization and the donor, send a written summary of key issues discussed and follow-up actions. This creates a record of the meeting and clarifies decisions and actions that will be taken in the future.
3. **Be responsive to donor requests.** When a donor requests information, respond quickly. Ask questions to ensure you understand what is being requested and when it is due. If a request is unrealistic, be honest and explain why. If it will take you some time to compile the information requested, be clear about when you can submit it.
4. **Make realistic promises and deliver on them.** Be careful not to compromise the quality of your work for the sake of speed. Thus, when facing a deadline, ensure you can deliver what you promise with a worthwhile product. If this is not possible, be honest about it.
5. **Use donor funds as expected.** Implement your program as described in your proposal; that is what your donor “bought.” Notify the donor of any needed alterations (for example, changes in scope, location of work, target audience) to your work right away in order to get guidance on how the donor would like you to proceed. Reports and other deliverables document your program accomplishments and successes. Therefore, it is critical that deliverables are clear, well-written and without errors so that they reflect well on your organization and may be shared with other funders and stakeholders. Emphasize quality over quantity. Meet the deadlines set by your donor as this demonstrates your professionalism, reliability and responsiveness. Know your donors well enough to link their

- support with your organization's activities, progress and results they find most meaningful.
6. **Do not surprise donors.** Be open and truthful about challenges and barriers in your program as well as successes throughout the period of performance. Setbacks and missteps are normal and most donors understand the challenging environment in which you work. If you maintain an open and collaborative relationship, there should be no surprises when your donor receives your deliverables.
 7. **Share your achievements. Recognize and give credit to donors.** Tell your organization's story and disseminate program results broadly and through a variety of media newspapers, radio, Web sites, social media, conferences, meetings, special events. Make sure your donor's support is always acknowledged in accordance with your marking and branding plan as necessary and thank the donor for their support. In addition, you may wish to invite your donor to participate in events, conferences or meetings where you present program findings and results.
 8. **Take solutions a step further.** Suggest ways in which you can eliminate a problem and articulate how you can share new knowledge with other stakeholders to support lasting solutions. Identify gaps in your present program or interventions, and recommend a new direction or strategy for greater effectiveness. Also, take time to reflect on the approaches that did not have the intended result and note them along with other "lessons learned" that you can compile at the end of the program. These types of proactive approaches may influence donor priorities in future years.
 9. **Prepare for visitors and opportunities to showcase your program.** Your local and global reputation and image can be affected by the impressions made in known and spontaneous interactions with high level officials, international and local visitors in addition to new staff. A well-organized and informative introduction and site visit with program stakeholders is an important way to communicate your successes and needs. Always plan ahead and have strong spoke persons available to showcase your work to visitors, potential donors and advocates. By communicating effectively, a donor will see you as a reliable and trusted partner and may become both an important advocate for your organization and instrumental in sustaining its long-term financial health. Building a strong relationship through open, two-way communication is key to making this a reality. The confidence people have in an organization has a great deal to do with their loyalty to it and their willingness to support it.

MODULE FOUR: RESOURCE MOBILIZATION MONITORING AND EVALUATION

MODULE DESCRIPTION

This module describes the design and implementation of a framework for assessing the RM strategy's degree of efficiency and effectiveness

MODULE OBJECTIVES

1. Understand and apply the techniques of designing and implementing a resource mobilization monitoring and evaluation frameworks

ADVANCE PREPARATIONS

- Print case studies
 - Case study 1: Foundation for community development (Mozambique); Foundation for higher education (Colombia); Dana Mitra Lingkungan (Indonesia)
 - Case study 2: Success story on Chaitanya's resource mobilization
 - Case study 3: ANSAB story
 - Case study 4: IPP Media in Tanzania
- Prepare power point presentations
 - Financial and non-financial indicators of successful resource mobilization
 - Monitoring and evaluation tools and techniques
 - Reporting and process improvement (change management)

UNIT ONE: MONITORING AND EVALUATION FRAMEWORKS (30 MINS)

Frameworks are key elements of M&E plans that depict the components of a project and the sequence of steps needed to achieve the desired outcomes. They help increase understanding of the program's goals and objectives, define the relationships between factors key to implementation, and delineate the internal and external elements that could affect its success. They are crucial for understanding and analyzing how a program is supposed to work.

There is no one perfect framework and no single framework is appropriate for all situations, but three common types will be discussed here:

- a. conceptual framework
- b. results framework
- c. logic model

A **conceptual framework**, sometimes called a “research framework,” is a theoretical structure of assumptions, principles, and rules that holds together the ideas comprising a broad concept. It is useful for identifying and illustrating the factors and relationships that influence the outcome of a program or intervention.

Results frameworks, sometimes called “strategic frameworks,” are a graphic representation of a strategy to achieve a specific objective that is grounded in cause-and-effect logic.

A **logic model**, sometimes called an “M&E framework,” also known as a logical framework, theory of change, or program matrix is a tool used by funders, managers, and evaluators of programs to evaluate the effectiveness of a program. It provides a streamlined linear interpretation of a project’s planned use of resources and its desired ends.

Logic models have five essential components:

- **inputs** – the resources invested in a program, for example, technical assistance, computers, condoms or training;
- **processes** – the activities carried out to achieve the program’s objectives;
- **outputs** – the immediate results achieved at the program level through the execution of activities;
- **outcomes** – the set of short-term or intermediate results at the population level achieved by the program through the execution of activities; and **impacts** – the long-term effects, or end results, of the program, for example, changes in health status (in this context, the term “impact” refers to the health status or conditions that the program is intended ultimately to influence [mortality, morbidity, fertility, etc.], as measured by appropriate **indicators**; measuring “impact”

UNIT TWO: ROLE AND FIT OF M&E IN RESOURCE MOBILIZATION STRATEGY (30 MINS)



Activity one: Brainstorming exercise

- Ask the participants to brainstorm:
 - Monitoring and evaluation
 - Importance of M&E
 - Role and fit of M&E in resource mobilizations
- Write the responses on a flip chart and engage the participants in a discussion
- Fill in the gaps using the notes below



DEFINITION OF MONITORING AND EVALUATION (M&E)

Monitoring and Evaluation is the process of establishing the system's degree of success or failure. Monitoring is the systematic collection and analysis of information as the strategy implementation progresses aimed at improving the efficiency and effectiveness of a project or organization. Monitoring provides the information needed to analyze the current situation, identify challenges and find solutions, discover trends and patterns, keep project activities on schedule, measure progress towards objectives, formulate and revise future goals and objectives.

Monitoring is concerned with the strategy degree of efficiency whereas evaluation is concerned with Effectiveness.

IMPORTANCE OF M&E IN RESOURCE MOBILIZATION

There are many benefits to monitoring in resource mobilization:

- Current performance data obtained from monitoring efforts can alert you to problem areas such as overspending, so you decide how to adjust or modify your strategies
- Demonstrates your organization's commitment to accountability
- Continuous learning and flexibility contributes to improvement in results
- Help you identify challenges and their causes while enabling you to suggest possible solutions to the challenges
- Enables you to reflect on where you are going and how you are getting there;
- Increase the likelihood that you will achieve the RM strategy goals. It helps meet organizational reporting and other requirements, and convince donors that their investments have been worthwhile or that alternative approaches should be considered.

ROLE AND FIT OF M&E IN RESOURCE MOBILIZATION

In line with the strategy implementation plan, Monitoring helps in establishing the degree at which the planned activities are getting implemented or have been implemented as per the broader strategy implementation plan.

Evaluation measures how well the program activities have met expected objectives and/or the extent to which changes in outcomes can be attributed to the program or intervention. The difference in the outcome of interest between having or not having the program or intervention is known as its "impact," and measuring this difference and is commonly referred to as "**impact evaluation**."

Monitoring is concerned with ACTIVITIES whereas evaluation is concerned with RESULTS.

Similarities between monitoring and evaluation

What monitoring and evaluation have in common is that they are geared towards learning from what you are doing and how you are doing it, by focusing on:

Efficiency, Effectiveness and Impact

Efficiency: Efficiency tells you that the input into the work is appropriate in terms of the output. This could be input in terms of money, time, staff, equipment and so on.

Effectiveness: Effectiveness is a measure of the extent to which the strategy achieves the specific outputs and outcomes as set

Impact: Impact tells you whether or not what you did made a difference to the problem situation you were trying to address. In other words, was your strategy useful? Enables to understand whether or not the strategy makes sense in terms of the impact you want to achieve.

Differences between monitoring and evaluation

Parameter	Monitoring	Evaluation
Objective	To determine if the project is going according to plan	To determine if the desired results are getting achieved as expected
Frequency	Ideally a continuous activity	On specific points of the strategy implementation duration
Focus of Attention	On specific aspects of the project	On the total strategy in relation to the objectives
Possible Action	Correct deviation from plan to get the strategy back in control	Many involve a change or even the strategy termination
Data	On continuing basis as the strategy implementation progresses. Data capture is essential	Many use information supplied through the monitoring process

UNIT THREE: FINANCIAL AND NON-FINANCIAL INDICATORS OF SUCCESSFUL RESOURCE MOBILIZATION (15 MINS)



Activity two: Mini-lecture

- PowerPoint presentation – **Financial and non-financial indicators of successful resource mobilization**
- Provide an opportunity for participants to ask questions



FINANCIAL AND NON-FINANCIAL INDICATORS OF SUCCESSFUL RESOURCE MOBILIZATION

But raising funds is not just about raising funds. Other questions need to be asked. Some are questions that measure financial performance:

How much did it take to raise that amount? How much did it take to acquire donors and volunteers? Was the amount enough to cover the costs involved? What is the average donation per donor? Did we stay within budget?

Financial Measurements can tell you:

- *How much money was actually raised as income (gross revenues less expenses), and whether there was any profit at all (gross revenues over expenses, or Return on Investment)*
- *How well the budget was managed (analyzing the variance between budgeted and actual expenses, planned and unplanned activities)*
- *How much it cost to mobilize resources (acquisition cost, or cost per dollar raised in a specific activity, or cost per donor acquired)*
- *What is the amount level that donors can be expected to support your work (average gift, which is the total number of gifts received over the total number of donors)*

Other questions are non-financial:

How many new donors or volunteers were acquired? Are we acquiring many donors who just give once and whom we never hear from again, or are we successful at getting repeat donors? How many donors are we losing per year? From the time we submit a proposal to a grantor to the time we get a response, how long does it take?

Such questions measure performance in building the Stakeholder base:

- *Number of volunteers recruited (joining rate)*
- *Number of donors acquired over number of solicitations (response rate)*
- *Upgrade from volunteer to donor, or from one time donor to repeat donor (conversion rate)*
- *Percentage of donors who do not renew gifts per year (attrition rate)*
- *Lag from proposal submission to donor response (turn around or response time)*

Performance Indicators

Because resource mobilization is not only about fund raising but also friend raising, you would need to measure your performance in both financial and non-financial factors.

Some of these factors are listed below.

1. **Return on Investment:** How much money was actually raised as income for any given activity in proportion to your expenses (see sample monitoring tool below);
2. **Acquisition Cost:** How much money was spent on acquiring a new donor or the cost per dollar raised from the donor;
3. **Response Rate:** What percentage of your mail out or outreach responded? This would provide feedback on the quality of your database;
4. **Average Donation:** This may provide a guide as to how much your donors are generally willing to give to support your work and whether your current level of donors will be able to sustain your needs;
5. **Attrition Rate:** This assessment would apply to both volunteers (your valuable in kind resources) as well as donors (your valuable cash resources). You should regularly assess the joining and attrition rate of your volunteers so that if the rate becomes too high, you may wish to look at your organization's overall performance, and not just the resource mobilization part.

Similarly, in the case of donors, you should monitor their response rate and turnaround response time, their conversion rate (as a renewed or repeat donor) and attrition rate (obviously, if too many donors are falling off your list, you need to take note!).

UNIT FOUR: MONITORING AND EVALUATION TOOLS AND TECHNIQUES (15 MINS)



Activity three: Mini-lecture

- PowerPoint presentation – **Monitoring and evaluation tools and techniques**
- Provide an opportunity for participants to ask questions



Facilitator's notes

MONITORING AND EVALUATION TOOLS AND TECHNIQUES

Monitoring and evaluation tools and techniques help to answer the broader question on HOW TO MONITOR the RM systems degree of efficiency and effectiveness.

It specifically identifies WHAT IS GOING TO BE USED (tools) and HOW IT WILL BE USED (approaches/techniques) in ensuring an objective process monitoring and evaluation

Monitoring and evaluation tools

Monitoring and evaluation should be part of your planning process. It is very difficult to go back and set up monitoring and evaluation systems once things have begun to happen. You need to begin gathering information about performance and in relation to targets from the word go.

The first information gathering should, in fact, take place when you do your needs assessment. This will give the information against which to assess improvements over time.

When you do your planning process, you will set goals, objectives and indicators. These will provide the framework for monitoring and evaluation system. They tell you what you want to know and the kinds of information it will be useful to collect.

Goals, Objectives and Indicators

The core of any monitoring and evaluation system is the goals, objectives and indicators of the strategy to be monitored or evaluated. The strategy goals and objectives are written in such a way that they can be easily distinguished from one another and measured.

The Goals

They are general statements that described the hoped result of a strategy. Goals are long-term and are achieved through a combined efforts of multiple programs

A goal can also be defined as general statements on the overall purpose of a project or program. A program goal should point towards some long-term effect or change. It's usually not written in quantified terms.

The Objectives

An objective is a specific and quantifiable statement of program achievement. It's a statement which can be used to determine program progress towards the program goal.

Objectives are developed from the goals and are used to drive the achievement of the goals. They can be short term or long term.

Driven from the goals, they are specific statements detailing the desired accomplishment of the program.

A properly stated objective is action oriented, starts with the word "to" and is followed by an action verb. Objectives address questions of 'what and when' but not "why or how". They are stated in terms of results to be achieved, not processes or activities to be performed.

Objectives must be SMART, meaning, specific, measurable, attainable, and realistic and time

bound.

Indicators (What Do We Want to Know)

Indicators are measurable or tangible signs that something has been done or that something has been achieved.

An example of an indicator could be increased number of donors, partners, financial resources etc.

Indicators are an essential part of a monitoring and evaluation system because they are what you measure and/or monitor. Through the indicators you can ask and answer questions such as: who? How many? How often? Or How much?

One needs to decide early on what your indicators are going to be so that you can begin collecting the information immediately. It is also important to note that, if nothing is changing, if there is no improvement in the measurement of the key indicators identified, then your strategy is not working and needs to be rethought.

With this framework in place, you are in a position to monitor and evaluate efficiency, effectiveness and impact.

Monitoring and Evaluation Plan (ONE)

The development and implementation of a monitoring and evaluation framework becomes an essential activity in the broader Resource Mobilization process

The following provide a guide on the development of a monitoring and evaluation plan

What to monitor:

- Identify your indicators. Indicators are qualitative and quantitative measures that show to what extent you are achieving your goals.
- There are short-term and long-term indicators as well as process and results indicators.
- The indicators you choose should be relevant to the goals set. If the goal is to get funding to do a Phase 2 of a current successful project, monitor donor response to funding proposals, NOT publicity for your good results.

Determine when you will monitor

- The timing depends largely on the indicator you set, and the result or process you are checking on. For example, when would it be realistic to expect responses to a direct mail pack?

Determine how you will monitor and who will do it

- What will be your sources of information? Who will provide it?
- What tools or methods will you use to obtain the information?, Consider interviews, visits, finance reports.
- Who will put together the monitoring report? What framework will be used?

Make sure monitoring is done

- Communicate the benefits to users. Many people find it a challenge to both implement and monitor. It does mean additional work but will be well worth it because what you learn from monitoring information is invaluable for future projects.
- Do not always think you need to reinvent the wheel; use staff meetings or other already existing processes to report on progress.

Activity four: Group work and discussion

- Facilitator to divide the participants into groups of four
- Provide each group with a case study (**See annex 6**)
- Ask each group to read the case study and discuss the questions
- Each group reports in turn to the plenary followed by an interactive discussion
- Facilitator to summarize and fill in the gaps

UNIT FIVE: REPORTING AND PROCESS IMPROVEMENT (CHANGE MANAGEMENT) (180 MINS)



Activity five: Mini-lecture

- PowerPoint presentation – **Use of M&E findings in reporting and process improvement**
- Provide an opportunity for participants to ask questions



Facilitator's notes

REPORTING AND PROCESS IMPROVEMENT

Producing reports is one way of communicating the monitoring and evaluation findings with the project stakeholders. The report should include those aspects of the strategy monitoring and evaluation that are based on one's knowledge and general importance to the readers. The report should encourage them to use the information and recommendations.

Reporting Techniques

- Identify potential readers of the report
- Choose clear understandable language depending on the readers
- Prioritize the evaluation questions that you want the report to answer
- Structure the information in a way that leads readers from the key findings to the details of the project
- Gather enough information to explain the details
- In writing a formative or process evaluation report, provide enough details about the operational aspects of the strategy e.g. what was done and how it was done
- If writing a summarize or outcome evaluation report, provide enough details about how you interpreted results and drew conclusions
- Use graphs, charts, tables, diagrams and other visual techniques to display the information as simply as possible
- Always prepare an executive summary.

The Report Contents

1. **Executive Summary:** A summary of the evaluation process findings with a summary of the results i.e. the objectives achieved, lessons learnt, questions answered, the needs fulfilled and recommendations on the way forward
2. **Introduction:** Present the background and the activities of the project and the purpose of evaluation
3. **Evaluation Methods and Tools:** Explain the evaluation plan, approach and tools used to gather information. Provide some supporting materials such as copies of the evaluation plan and the tools that were developed.
4. **Summary of the Findings:** Whether qualitative or quantitative, present the findings
5. **Interpretation of the Results:** Explain the interpretation of the findings including impact, effectiveness of the strategy, sustainability of the activities, strengths and weaknesses of the strategy and lessons learnt.
6. **Connection to the Project Objectives:** Highlight the value and achievements of the strategy and needs or gaps that the strategy is addressing or has addressed.
7. **Process Improvement:** Outline and explain areas that must be addressed to improve on the strategy's degree of efficiency and effectiveness on this particular strategy or other related strategies in the future
8. **Conclusion:** Describe overall
 - a. *How the strategy objectives were met or are getting met*
 - b. *How the purpose of the monitoring or evaluation was achieved or is getting achieved*
9. **Recommendations:** Summarize the key points, make suggestions for the strategy future and create an action plan for moving forward.

IMPLEMENTATION PROCESS IMPROVEMENT

The monitoring and evaluation findings can be used to improve the implementation process of this strategy or other related strategies in the future. If there are goals or objectives you have not yet met, or if you've not got as far as you had hoped, you need to think about why, and what you can learn from that. There could be a variety of explanations, here are some possible ones.

Problems arising from external circumstances

The environment in which you are working has changed or is against you, hence you have problems carrying out your plans

- *You have departed from your original aims.*
- *You don't allow enough time or resources.*
- *Changes in your organization have meant that you have not been able to do what you said you would do.*
- *The quality of performance of your organization has been lower than expected*
- *The strategy design was not understood by those implementing it.*

Problems arising from the ideas behind what you want to achieve.

- *The plans you came up with initially to make things happen (action plan) have been unsuccessful.*
- *Your original aims (problems identification) were inappropriate (perhaps they turned out to be not what people wanted).*
- *Different people involved in the project implementation were working against each other and towards different goals.*

Make Use of the Findings

Sharing your monitoring and evaluation findings with others is important because it can help other people in the project, or associated with it, to organize any problems or issues that are preventing the project from making progress. It can help everyone learn from any mistakes that have been made or pick up on any successful ideas that have been put into action.

In addition, sharing findings can provide any opportunity to celebrate success as well as to learn from project experience.

Findings from a monitoring and evaluation activity should be shared with both the internal and external project stakeholders

Activity six: Group work and discussion

- Facilitator divides the participants into groups of six
- Asks each group to design a resource mobilization M&E framework
- Guides the participants as they discuss and develop their frameworks
- Provides the participants an opportunity to present and discuss their frameworks in plenary
- Facilitator summarizes session filling in the gaps

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TOOLBOX

TOOL 1: COURSE SCHEDULE

TIME	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
8.00-10.30am	Welcome & introduction Course expectations Course goals & objectives Course schedule Group norms	Recap Module 2: Design and implementation of a RM strategy <ul style="list-style-type: none"> • Role and fit of RM strategy and plans • RM strategy development road map • Resource mobilization models 	Recap <ul style="list-style-type: none"> • Internal and external resource mobilization approaches • Actual and potential donor mapping 	Recap <ul style="list-style-type: none"> • Target setting • RM activity, input and output analysis 	Recap <ul style="list-style-type: none"> • Actual development of an M&E framework (<i>practical</i>)
10.30-11.00am	Tea Break	Tea Break	Tea Break	Tea Break	Tea Break
11.00-1.00pm	Module 1: Understanding resource mobilization <ul style="list-style-type: none"> • Definition of terms and concepts • Purpose and importance of resource mobilization • Classes and forms of RM 	<ul style="list-style-type: none"> • Resource mobilization models • Resource planning 	<ul style="list-style-type: none"> • Actual and potential donor mapping • Objective setting <p><i>Ted talk</i></p>	<ul style="list-style-type: none"> • RM activity, input and output analysis • Donor relationship management 	<ul style="list-style-type: none"> • Use of M&E findings on process improvement • Action planning
1.00-2.00pm	Lunch Break	Lunch Break	Lunch Break	Lunch Break	Lunch Break
2.00-4.30pm	<ul style="list-style-type: none"> • Steps for resource mobilization • Organization resource mobilization situation analysis <p><i>Ted talk</i></p>	<ul style="list-style-type: none"> • Scope and techniques of organization resource planning • Resource planning techniques 	Module 3: Resource mobilization action planning <ul style="list-style-type: none"> • Resource mobilization approaches • Target setting 	<ul style="list-style-type: none"> • Donor relationship management tools and techniques <p>Module 4: M&E Definition of terms, importance, role and fit</p> <ul style="list-style-type: none"> • Financial and non-financial indicators of successful RM • M&E tools and techniques 	<ul style="list-style-type: none"> • Action planning • Evaluations • Closure

TOOL 2: CLIMATE SETTING INSTRUCTIONS

This session is intended to ensure that participants familiarize themselves with their surroundings and as a relationship builder

Objectives

1. Create a conducive learning experience that enhances bonding among the participants
2. Understand the learning objectives, the agenda, and formulate ground rules

Suggested Methods:-

Welcome and introductions

- Participant's registration form either placed at the entrance where all participants register before they enter or circulates the registration forms as the participants introduce themselves
- Trainers introduce themselves and ask the participants to introduce themselves
 - Names and /or preferred name
 - Facility and/or organization
 - Professional training (optional)
 - One unique thing about themselves (optional)
 - Animal they could identify with (optional)
 - Undertake an exercise (brainteasers) (optional)

Expectations

- Participants to write one course expectation on post-it stickers & stick on flip chart paper at the front of the class; or
- Participants to pair up. Each pair to discuss and write down their expectations on post-it stickers and have them read aloud

Course goal and objectives

- Pre-write the course goal, objectives and outline in a flip-chart
- Take participants through the course goals, objectives and outline

Negotiating group norms

- Ask participants to brainstorm on ground rules that will aid in ensuring that the environment is conducive for learning.
- Capture the suggestions on flip chart once consensus is reached.
- Once all the ground rules have been captured on a flip chart paper, hang the flip chart on a wall where everyone can easily see them

Here are some important issues for which it is good to agree rules:

- Dealing with negative comments
- Respecting a person's right not to speak
- Sticking to the topic
- Confidentiality and trust
- Encourage respect in the group

TOOL 3: SWOT ANALYSIS TEMPLATE

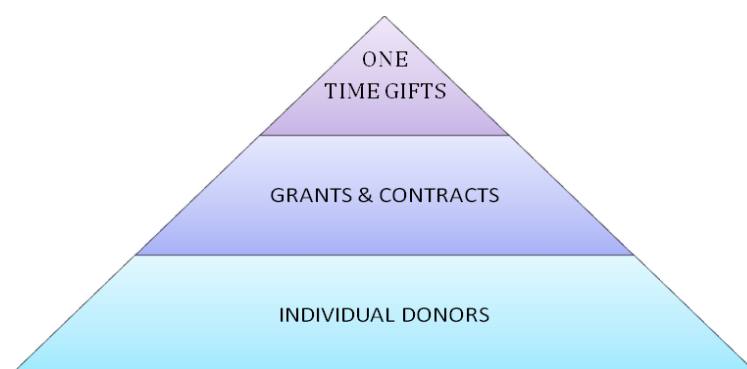
Internal RM Strengths	Internal RM Weaknesses
External RM Opportunities	External RM Threats

TOOL 4: RESOURCE MOBILIZATION MODEL A

Model “A” shows an organization relying on Individuals donors and Membership fees as the principle funding means, whereas Model “B” characterizes an organization relying substantially on Grants & Service Contracts. (See figure below)

- **Individual Donors:** Covers Annual membership fees collected from members and Donations from Individuals.
- **Grants & Contracts:** Covers Grants from International organizations and Service Contracts from Governmental organizations and others.
- **One time Gifts:** Covers funds raised from Corporate Giving and revenue secured from Events & Activities.

The figure shows an RM Model A



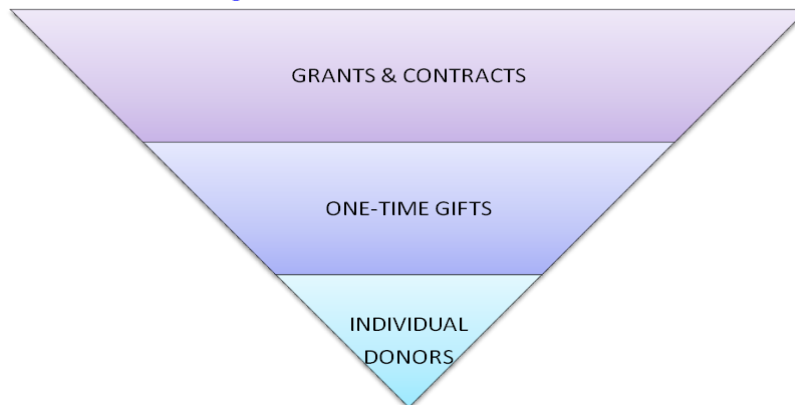
Adapted from USAID RM Facilitator guide

TOOL 5: RESOURCE MOBILIZATION MODEL B

Model “B” is recommended as the base of the fundraising strategy as it allows maintaining the funds from the current donors, exploring one-time gifts and corporate giving, introducing membership fees and seeking individual donors while minimizing risks and ensuring sustainable financial stability. However it is also very important to keep in mind:

- The need for more staff to research, track donors and apply for grants.
- Lack of predictability and restricted nature of funding from Grants.
- Some fundraising sources will provide funds quickly but others may take longer to show results. It might therefore take a number of years to diversify a funding base.

The figure below shows an RM Model B



Adapted from USAID RM Facilitator guide

TOOL 6: IDENTIFYING RESOURCE NEEDS

1.0 Program/Activity	2.0 Resources			
	2.1 Form of Resources	2.2 Total Required	2.3 Total Available	2.4 Current Gap

TOOL 7: RESOURCE PLANNING AND TARGET SETTING TEMPLATE

1.0 Program/Project		2.0 Resources			3.0 Resource Mobilization		4.0 Timing		
1.1 Key Program/ Projects	1.2 Program/ Project Activities	2.1 Required Form of Resource	2.2 Total Required Resources	2.3 Current Resource Gap	3.1 Target Resource Provider/ Donor	3.2 Sum Resource Target	4.1 Year One Target	4.2 Year Two Target	4.3 Year Three Target
1)									
2)									
3)									
4)									
5)									

Key

- 1.1 *Indicate the key programs/projects that the organization is undertaking within the strategic plan duration*
- 1.2 *Indicate the specific program implementation activities*

- 2.1 *Indicate all forms of resources that the organization needs to accomplish all the programs within the timelines indicated on the strategic plan*
- 2.2 *Indicate the sum of all resources required*
- 2.3 *Indicate the current resource gap*

- 3.1 *Indicate the target donor/approach of raising the resource gaps*
- 3.2 *Indicate the total target resource expected from each donor within the strategy duration*
- 3.3 *Indicate target for every year (to be determined by the resource mobilization strategy duration)*

RESOURCE MOBILIZATION CASE STUDY ONE

FORMULATING STRATEGIES TO MOBILIZE RESOURCES

• How Are Strategies to Mobilize Resources Developed?

The foundations provided on this case study share a common objective to mobilize resources in support of communities and organizations within their societies. Beyond a fundraising activity, they conceive of resource mobilization as one of the fundamental roles they play.

The choice between different strategies is quite often the result of experimentation and consultation on the part of a committed individual or group.

Strategies are often relatively straight forward and flexible enough to allow for evolution and new approaches over time. They are often shared quite openly and explicitly. The agreement and involvement of various constituents of the foundation, i.e. the board, staff, partners and donors is often a component of successful strategies.

As examples, this case study targets three foundations in Mozambique, Colombia and Indonesia

- 1) *Example One: Raising Support to Strengthen Local Action and Philanthropy Foundation for Community Development (Mozambique)*
- 2) *Example Two: Creating New Assets for NGOs through a Market Approach Foundation for Higher Education (Colombia)*
- 3) *Example Three: Building a Bridge between Businesses and Environmental Groups Dana Mitra Lingkungan (Indonesia)*

• What should be assessed?

Having a clear notion of where to focus effort depends on an assessment of the operating environment. To a large extent, the cases described here have started by asking these questions among others:

- 1) *What resources are needed?*
- 2) *What resources are already committed to the foundation?*
- 3) *How much money and time can the foundation invest in mobilizing resources?*
- 4) *What are the local philanthropic traditions (individuals and businesses)?*
- 5) *What are the trends in international assistance (official development assistance, private foundations and NGOs)?*
- 6) *In many countries, fundraising is a relatively new activity. Where can the foundation find fundraising skills and experience?*
- 7) *How will the larger environment, for example, laws and regulations affecting the non-profit sector affect its efforts?*

• What are the Strengths of the Foundation?

The foundations discussed below have attempted to formulate strategies that will build upon their comparative advantages. These foundations carved out niches for themselves that take advantage of their unique missions and their relationships with individuals and organizations.

Some advantages of foundations emerging from the cases are:

1. *Strong relationships with local communities and organizations*
2. *Capacity to relate to business and government*
3. *A focus on mobilizing resources more broadly than for themselves*
4. *Access to an endowment or some other form of secure financing*
5. *Cogent missions and objectives that can be widely shared*
6. *Accounting systems to ensure that resources get to where they are intended*

• What are Some Resource Mobilization Strategies?

The strategies presented in this case study have been effective in the particular context in which they arose.

The list is by no means comprehensive.

- a) **Develop contributions and involvement of businesses** as a way for them to improve their image and be a part of the solution to environmental problems (*Dana Mitra Lingkungan DML*)
- b) **Use the foundation's skill and experience in financial management** to create a profit-making credit institution (*Foundation for Higher Education FES*)
- c) **Partner with international donors** to raise support for strengthening civil society and building local philanthropic traditions (*Foundation for Community Development, FDC*)
- d) **Build an endowment** from corporate and individual contributions (all three organizations), a debt for development swap (*FDC*) and/or earned income (*FES*).

Summary Points

It takes resources to raise resources. It is easy to underestimate the time, resources and skills involved not only in fundraising but in maintaining good communications and relations with donors.

The FDC, for example, learned that it needed good strategies to reduce this cost and increase its communications capacity.

Having a diversified resource base can help prevent problems caused by the loss of any single source. The saying warns not to put all eggs in one basket. Likewise, a single source of funding may produce significant income for a time but its loss could cripple the foundation. The DML began to shift more of its efforts into endowment building and raising funds from overseas development agencies, when its primary source of funding, corporate philanthropy, was endangered.

How resources are mobilized is linked to the success of the foundation's programs in more ways than the monies rose. The resources a foundation raises represent a growing commitment on the part of society to take action. Thus, having a track record, strong partners and a good communications program has been essential for the foundations in this case study.

In the case of FES, the financial services it offered to NGOs both increased its capacity to earn income and assisted its partners to manage and grow their own resources.

Foundations raise resources for three functional purposes:

- 1) **Programs**
- 2) **Operations**
- 3) **Endowment**

Foundations raise funds to use toward the social impact they plan to make. As grant makers, they intend and promise to get this funding to a target community or to solve a problem.

They must cover their expenses and invest in raising new resources if they are to effectively play this role. Over the long-term an endowment will ensure the sustainability of their efforts.

Example One: Foundation for Community Development(Mozambique)

Purpose: Raising Support to Strengthen Local Action and Philanthropy

• Formulating an RM Strategy

Mozambique, in the beginning of the 1990s, was the poorest country in the world.

It had been devastated by war. Because its internal infrastructure had been so damaged a large part of the relief work was carried out under the aegis of international non-governmental organizations like Save the Children. The country also had a socialist government that was considering a move towards more market-based approaches.

The Foundation for Community Development (FDC) wanted to facilitate self-reliant development in the country. FDC was particularly concerned to rebuild the capacity of civil society, which it felt was a critical step towards social and economic progress. Because Mozambique was so poor, FDC knew it would need to be able to raise financial resources from outside the country. Nevertheless, as its primary objective was to rebuild local capacity, including a sustainable philanthropy, the founders felt that it was also crucial to raise funds locally from the beginning.

The founders of the FDC decided to raise funding from foreign donors to strengthen local capacity for development and to foster the growth of local philanthropy. The Foundation pursued this strategy by raising its first program and operating funds from US foundations, and starting an endowment with contributions from Mozambicans and participation in a debt swap.

This excerpt from a 1993 proposal to the John D. and Catherine T. MacArthur Foundation discusses how FDC planned to stimulate the growth of local philanthropy:

Even more important, in terms of the foundation being Mozambican, although not in terms of total amount, will be attracting contributions from the Mozambican people and businesses.

Even though Mozambique is now the poorest country in the world, there are groups and individuals with capital, and everyone knows that the improvement of the Mozambican economy depends on the country's ability to solve its enormous poverty problem.

The Minister of Finance has proposed a tax exemption for contributions to the foundation, which should provide even greater incentives. Nevertheless, there will be a

considerable amount of work to approach and convince all the relevant groups to participate.

• **Pursuing the Strategy**

FDC's efforts to reach out to local businesses paid off over two years with over US\$100,000 in endowment contributions. These contributions were an important leverage for its participation in a debt swap that raised about US\$3 million. Beyond one time endowment contributions, FDC received over US\$500,000 for its grant making program from three local businesses.

By 1998, FDC had raised funding from roughly 15 foundations and international NGOs. In addition, it raised funds and worked together with United Nation's agencies, the World Bank and five major bilateral agencies. It realized as it began to manage funding from a diverse number of sources that it needed to devote more energy to its fundraising program.

Communicating and responding to its donors in a timely and accountable manner, required a proficient staff and good systems.

Carlos Fumo, FDC's executive director, notes:

Fundraising is a part of our annual program. We attempt to factor in time and resources spent in fundraising. Ad hoc fundraising strengthening and building relationships through travel and participation in local and international conferences is hard to plan for but is an important supplement to our program.

We believe many things should happen before we start negotiating with a potential donor. We need a strong communications capacity.

We must market ourselves and be clear about our products, markets and marketing strategy.

• **Evaluating the Strategy**

In 1996, FDC began evaluating its fundraising efforts. By this point it had some experience in fundraising and saw it both from the perspective of a donor (in its grant making program) and a beneficiary (as a recipient of funds from other donors).

It saw that how funds were raised had an impact on the outcome of the development processes it was working to put in place.

Fumo explains:

Development oriented organizations based in civil society are a relatively new phenomenon in Mozambique, few have much experience with the art of fundraising.

Often the culture is to beg for money, not to negotiate as equal partners. By begging you do not make a positive case, you focus on a problem and then wait for the benevolence of the donor.

The first step is to see that you have something valuable to offer.

A donor, in essence, is buying something from you. What you offer needs to meet your own ends and attract sufficient funding. At FDC, we are beginning to think in this way. We have moved closer to negotiating with donors who want us to deliver high quality services, for example, as effective grant makers, conveners of civil society and advocates for social and economic development. That is how we seek to present ourselves.

FDC staff found that it can be a difficult task to manage an effective fundraising effort with a group of often distant international donors.

To consolidate efforts and become more responsive to its donor's needs, FDC began to ask how it could raise fewer but larger grants aimed at its grant making agenda, identifying and supporting proposals towards effecting the social or economic changes that are its objectives and not at single project grants (for example, an isolated grant that may not fit within its broader agenda).

Fumo explains:

Central to our new strategy is to partner with donors around our grant making agenda rather than to raise smaller project by project grants.

Our advantage is that we are a Mozambican foundation that will support organizations in this country for the long run. Our success can leverage additional resources (both at the community and other levels).

Example Two: Foundation for Higher Education (Colombia)

Purpose: Creating Financing for Civil Society through a Market Approach

• Formulating a Strategy

The Foundation for Higher Education (FES) was originally set up as a way of generating support for the University del Valle in Cali, Colombia, but by the mid-1970s it had begun to support education, health and social development processes more broadly.

Given its roots in higher education, it had good access to knowledge and specialized expertise. It had also built a track record in the management of financial resources. With the active participation of bankers and business people on the board and a staff with strong financial management skills, FES began to think through a new profit based strategy in the early 1970s. It wanted to become more self-supporting.

Many of the trustees were enthusiastic about adopting entrepreneurial approaches in the service of economic and social development. This discussion sprang from an MBA program at University del Valle based on the organizational management philosophy of Professor Peter F. Drucker. Several of the trustees had embraced an idea from the course that entrepreneurial success and social responsibility can work hand in hand.

Board members felt that FES' assets grant funding it was managing and investing could leverage additional funds. FES had been investing (with the approval of its donors, primarily US

foundations) grant money that did not need to be immediately disbursed in secure loans at prevailing market rates.

It split returns on the basis of 75% for the recipient and 25% for FES, with which it had built a small fund. Building on this experience, FES decided to launch a financial company that would manage and grow civil society financing.

• Pursuing the Strategy

FES sought and, in 1975, was authorized by Colombia's Superintendent of Banks to operate as a "commercial financing company," giving it the right to seek monetary resources in the capital market and make loans.

Deposits and loans in these operations were linked to capital accumulation and, as such, they increased FES's earning capacity. FES's professional financial expertise began to evolve rapidly. It soon established a Financial Committee and a new Finance Division (which later became the Vice Presidency for Finance). FES received deposits, primarily, from other NGOs.

This was a role that facilitated interaction with them and later led to the creation of an important network of NGOs under its leadership. FES maintained its grant making programs but the addition of its financial services allowed it to generate funding from grant making and strengthen partner NGOs from several approaches.

In the late 1970s, the staff and Board debated whether they should reinvest endowment income so they would have the financial capacity to fund more programs later on, or whether they should scale up their grant making with the increased income. They resolved this issue by creating with their partner NGOs permanent endowment funds that FES would manage.

The strategy was to constitute endowment funds with resources donated for a specific objective which FES would match with a 50% contribution, guaranteeing revenues equivalent to the market rate for fixed term deposits plus one percent.

These endowment funds would be managed and owned by FES on behalf of an NGO that would receive an annual income from the profits. In this way FES would be able to both increase its endowment funds and its support for partner NGOs at the same time.

• Evaluating the Strategy

From 1982 to 1987, Colombia's commercial banking sector underwent a period of crisis, during which several banks were placed under central government control.

This crisis reinforced the public's trust in institutions such as FES that had remained untainted, thus deposits continued to grow. The value of permanent endowment funds grew from US \$2 million in 1980 to US\$ 11 million in 1990 and its financial deposits grew from US\$ 27million in 1980 to US\$ 88.2 million in 1990.

The creation of permanent matching funds during this period sparked the rapid growth of FES' endowment and increased financial capacity.

NGOs embraced the concept of what amounted to an institutional endowment managed by FES that returned yearly unrestricted income for their programs.

By 1995, FES managed over US\$20 million dollars in over 389 permanent endowment funds, representing 53% of its total net capital endowment. FES is now the center of a group of companies that provide financial services. Its head office is the largest commercial financing company in Colombia.

The Foundation carries out all kinds of operations as a credit establishment: it receives public savings through Fixed Term Deposits and savings accounts, negotiates securities, issues bank acceptances and bonds and has its own credit card in association with Visa.

The success of FES' strategy can be traced to an entrepreneurial CEO and staff who were able to take advantage of business opportunities when they arose and to a conducive legal environment in which it could register as a financing company. As a financial services company, FES has proven to be successful and profitable. As an NGO, it has also developed strong credibility; however, FES staff saw that these two sides were a potential source of tension.

To ensure that it maintains a good balance between profit and non-profit goals, FES continues to emphasize leadership, dialogue and consensus and self-examination processes, especially those inspired by theorist Drucker.

In 1999, the government of Colombia began to threaten to nationalize FES' financial deposits. The move came very unexpectedly and the situation has not been resolved as of the time that this case was written.

Example Three: Dana Mitra Lingkungan (Indonesia)

Purpose: Building a Bridge between Businesses and Environmental Groups

• Formulating a Strategy

Dana Mitra Lingkungan (DML meaning "Friends of the Environment Fund") was established in 1983 as a mediator between business and NGO communities in

Indonesia. DML fulfills this role by providing grants to environment related activities of NGOs on the basis of funds accumulated through the contributions of the business community.

By 1983, an increasing awareness of environmental problems in the country and the perception that business was at the heart of these problems had polarized relations between environmental organizations and the business sector. At the time, some Indonesian businesses were receptive to improving their public image by using some of their profits to fund environmental conservation. They wanted to be seen as part of the solution and believed that DML would bridge the gap between business and environmental organizations.

DML's founding members and first Board were primarily highly respected businessmen with good access to their peers within other companies. Because of this and the need they saw to build a bridge between business and environmental groups, they adopted a strategy of mobilizing funds from business for the purpose of helping to conserve the environment.

DML channels these funds to assist NGOs and activities related to environmental conservation, including research by universities. The organization is unique in the Indonesian context as a local foundation that raises funds domestically.

Through regular contributions, businesses became members. DML somewhat later received the agreement of its members to set up an endowment, its second strategy for building a resource base.

• Pursuing the Strategy

Strong support came from PT Aqua Golden Mississippi, a water bottling company founded in 1973. Because it wanted its product to be identified with a clean environment, Aqua saw clear benefits from establishing a relationship with DML and by 1997 had contributed over 1.5 billion Indonesian Rupees (worth nearly US\$650,000 at 1997 exchange rates).

Aqua's public commitment to DML is stated on their website:

In addition, we have formed close ties with Yayasan Dana Mitra Lingkungan (Friends of the Environment Fund) to select and distribute the excess funds generated from the PEDULI AQUA program for environmental preservation and care.

As at March 31, 1997, the cumulative donation has reached 1,550,000,000 rupiahs.

Over 300 corporations and individuals became members of DML by paying annual subscription dues thus obtaining the title "Friend of the Environment.

DML solicits three types of support from corporations:

- 1) *Endowment contributions*
- 2) *Dues and*
- 3) *Donations for program-related activities*

DML maintains an Executive Board that, among other functions, assists staff to develop its membership.

In 1996, four out of 18 Executive Board members were responsible for membership accreditation.

DML built an endowment from member subscriptions and the contributions of member companies. The founders endowed DML with a little less than 2 million rupiahs (about US\$1800 in 1985). By 1997, this fund had grown to more than 2.1 billion rupiahs (about US\$900,000). The addition of an endowment building effort added a new way in which corporations could give to environmental causes through DML; the foundation continued to also raise corporate contributions for its programs and operating costs.

• Evaluating the Strategy

DML had proven that it had the capacity to act as a bridge between corporate funding and the environment by the late 1990s.

It was, however, not fully prepared for the tumultuous events that were to follow. The Asian economic crisis in 1997 rocked the Indonesian economy and translated into significantly reduced business contributions to DML.

Luckily, before the crisis DML had begun to raise endowment funds and consider new ways to supplement its business-centered strategy.

DML's Executive Director at that time had felt that contribution levels were not reflective of the business sector's growth in wealth and influence and he thus began to look for additional sources of funding.

He believed that business executives had tended to become more pragmatic about how they approach philanthropy, even though they had more money to contribute in the (pre-economic crisis) mid-1990s than they did in the mid-1980s.

While its endowment was able to sustain it at reduced levels after the crash, DML began to approach international donor organizations, an option it had previously been exploring. As of 1998, DML was negotiating assistance from the United States-Asia Environment Partnership; the United Nations Industrial Development Organization, and the Toyota Foundation

The Board also felt that DML was not raising the level of contributions that it could from the corporate sector. To improve DML's approach to the business sectors, the Board hired a new executive director with extensive experience in business and public relations.

RESOURCE MOBILIZATION CASE STUDY TWO

SUCCESS STORY ON CHAITANYA'S RESOURCE MOBILIZATION

The Organization

Chaitanya is an organization in India that aims to mobilize the backward and underprivileged in society, especially women, and assist in the overall social development through formation of self-help groups (SHGs), clusters and federations.

Chaitanya facilitated the formation of the first SHG federation in Maharashtra, the Grameen Mahila Swayamsiddha Sangha with the objectives of creating a habit of savings and credit among group members, generate external resources and provide a forum for exchange of information and experience to large groups of women.

The Resource Mobilization Context

In 1995, Chaitanya became a lead training agency of NABARD, India's apex bank for rural development in a project funded by the International Fund for Agricultural Development (IFAD).

The project aimed to promote SHGs and ensure availability of mainstream financial services to the poor through SHGs.

Towards the end of the project, it was agreed to continue the capacity building program after the withdrawal of IFAD from the State, through construction of a Women's Training and Resource Center. IFAD and NABARD supported the proposal and sanctioned Rs.2,800,000 (US\$65,116 at US\$1 = Rs.43) towards infrastructure.

The design proposed was low-cost in keeping with the rural ambience within which it was situated. It included a training hall, library and residential facilities for 30 persons with a total built up area of 6000 sq ft.

Though the land was acquired in 2001 through a donation from one of its trustees, there were legal problems involved in the land-use conversion that ultimately led to government authorities confiscating the land for the training center.

An alternative site was found six months before the closure of the IFAD project: an entire floor of 6000 sq ft, fully constructed and ready for sale.

However, the cost was almost double the grant amount. The floor itself was Rs.3,500,000 (US\$81,395) and with interiors and all sundry expenses the cost shot up to a little more than Rs.5,000,000 (US\$116,279).

Within the grant amount, only half the floor space i.e., 3000 sq ft. was available which was not in accordance with the original plan.

With this situation, Chaitanya was left with two choices, t the grant amount lapse or take up the challenge of raising the remaining funds for the building.

• Chaitanya's Resource Mobilization Capabilities

Chaitanya had no prior experience of raising such large amounts of funds and never even wrote a single proposal with the aim of actively seeking funding from organizations or individuals.

NABARD therefore stated that the grant funds would only be released after a resolution from the Board was drafted taking full responsibility for raising the remaining funds. With Chaitanya committed to set up the center, the Board decided to take on the massive responsibility of raising nearly Rs.2,500,000 (US\$58,140). The builder agreed to receive only a partial payment and wait for one year for the balance of funds, interest-free.

But after one year the builder would charge an interest of 16% on the outstanding amount. In effect Chaitanya had only one year to raise the requisite amount to avoid the additional burden of paying interest.

In early 2003, the International Development Research Center (IDRC) organized a resource mobilization training which was attended by the program coordinator of Chaitanya. The training could not have come at a better time.

It gave the organization a new perspective as well as confidence to look beyond the usual donors. Since there were very few funding organizations that provided support for infrastructure development there was a need to devise innovative strategies for raising money.

• Resource Mobilization Strategies

The challenge that the organization faced was shared among the staff as well as the office bearers of the federation.

Everyone knew what the available amount was from IFAD, and the amount needed to be raised.

Suggestions were invited to decide the best course of action. Each area where the programs of Chaitanya were being implemented took up the responsibility of raising some amount locally.

- 1) A pamphlet in Marathi on the contributions of Chaitanya, and receipt books in the denominations of Rs.50/100/and 500/were printed and distributed to the staff and few of the SHG leaders. The older SHGs decided to contribute some money from their own funds and the others decided to approach the village leaders for contributions. So far Chaitanya had not seen the need to reach out to other people beyond the development sector to talk about its programs. However, the center provided this opportunity.
- 2) In the absence of materials for publicity purposes, a five minute film was prepared in English as well as in Marathi, highlighting the achievements of Chaitanya. Brochures were also prepared and revised (at least five times within 2001–2004) to make its design and layout more attractive.

- 3) A local oil company Chakan Oil Mills as well as the multinational company EATON Corporation agreed to support the training center.
- 4) Chaitanya was governed by a Board of Trustees appointed for a lifetime (unless they resigned). However, two members with time commitment and innovative ideas on raising funds were included in the Board as advisors. Their involvement greatly enhanced the resource mobilization efforts.
- 5) An organization experienced in raising funds through cultural events was approached for assistance in resource mobilization. A cultural night was organized in which a leading Indian classical artist Shubha Mudgal was invited to perform. The management of the program was conducted by WISE and it gave Chaitanya a platform to talk about its activities and impact on the rural communities.
- 6) Chaitanya also decided to develop comprehensive grant proposals on the programs of the Center. This marked a first in Chaitanya's history because in the past, proposals were written only when there already was assurance that the funds would come in.

This time, Chaitanya had to actually apply for grants. IFAD decided to provide partial support to meet the core costs, and Small Industries Development Bank of India (SIDBI) gave support for documentation.

- 7) The status of resource mobilization became a regular agenda in staff meetings.

These strategies made Chaitanya reach its target of raising Rs. 2,500,000 (US\$58,140) for the training center, and in addition, Chaitanya received a grant from SIDBI for documentation and IFAD for conducting training programs and preparing training material at the center.

RESOURCE MOBILIZATION CASE STUDY THREE

RESOURCE MOBILIZATION FOR A CLEAR PURPOSE

THE ANSAB STORY

• The Organization

The Asia Network for Sustainable Agriculture and Bioresources (ANSAB) was founded in 1992 by Enterprise Works (previously known as appropriate Technology International), the Government of Nepal Ministry of Agriculture and Asian country representatives to help improve peoples' livelihoods.

According to Bishma Subedi, Executive Director, ANSAB is committed to enterprise oriented solutions to biodiversity conservation and economic development.

ANSAB has a vision of rich and productive biodiversity for prosperous communities. Rich, healthy, and productive ecosystems are actively managed and used by local communities who are capable of addressing threats to biodiversity and advancing sustainable resource management.

Focusing its services at the grassroots, national, and regional levels and collaborating with key stakeholders and clients, ANSAB integrates and builds on local and scientific knowledge systems, innovations, perspectives, and opportunities for ground level tangible impacts and wider replications.

The organization started with a US\$200,000 project budget with three staff members, and now has grown to over 60 staff members and 200 partner organizations implementing seven to eight projects per year.

• Resource Mobilization Strengths

Dr. Subedi cites the following strengths of ANSAB — the capacity to design projects well, credibility, having unique tools, and persistence, which he further explained to mean not always following what the donor wants.

“We always want to stay in the practical level, and what [donors] want us to do may not always be in the general direction.” He adds, “ANSAB has various types of donors, those who support environmental conservation and those interested in livelihood improvements and community development.

This twin focus helps to increase the pool of interested donors. However, it is still a challenge to find donors who are interested in both.”

In ANSAB, the Executive Director leads the resource mobilization. Board members, a loose committee and program managers are also involved in identifying project opportunities and proposal writing.

When asked about what others can learn from ANSAB's experience, Dr. Subedi says, "My tips to other organizations are:

(1) To choose a focus and to stay focused

(2) To choose good programs first before looking for funding opportunities.

RESOURCE MOBILIZATION CASE STUDY FOUR

CASE STUDY OF IPP MEDIA IN TANZANIA

Local Resource Mobilization through the Media

• Background

The social and economic impact of HIV/AIDS extends beyond the loss of labor force and productivity, and leads to an ever escalating cost for the families affected, and the government for providing treatment to infected individuals.

HIV/AIDS and related diseases remain a huge burden on health care systems.

In Tanzania, more than 30% of the resources are spent on diseases related to HIV/AIDS, but there is still insufficient funding to combat the HIV/AIDS problem. The 2003 Public Expenditure Review revealed spending to be at US \$6 per capita, leaving a gap of US \$3 per capita from the target set by the Ministry of Health of US \$9 per capita.

Considerable strain has been placed on available health resources and facilities, as medical wards flood with patients. The demand for equipment and drugs outstrips budgets, leading to chronic shortages. HIV/AIDS is considered to be the single greatest threat to the country's security and socio-economic development, as well as to its citizens' survival and wellbeing.

Despite widespread knowledge of HIV and some successful local initiatives in its prevention and control, there have been steady increases in HIV prevalence since 1996, and there are no significant signs to show that the infection and prevalence trends have been halted and/or reversed. Prevalence is higher in women than in men and the gap between male and female infection rates has increased.

However, it is not just adults who are affected, but their children also, leading to the alarming problem of AIDS orphans. The 1999 Tanzania Reproductive Health Survey (TRHS) shows that about 9% of all Tanzanian children under the age of 15 are orphans mostly due to AIDS. ESAURP has estimated the total number of HIV/AIDS orphans at 2,549,885¹ and the number is projected to reach 4 million by 2010.

These orphans face a shortage of basic needs²; run the risk of not being enrolled in school, of being withdrawn from class, of becoming working children, of living on the streets, and of being sexually abused.

• The Project

Little attention is paid to the rural areas engaged in agriculture, a fact true for both government agencies and non-governmental organizations. Victims far away from the center live in desperate situations. Most of these victims are tired of research conducted in their respective areas which subsequently provides them with little assistance after the researchers have collected the required information regarding this killer disease.

In response to this, the IPP Media launched **UKIMWI NI HUU** Project aiming to:

- 1) Create awareness among government authorities at various levels, NGOs and the society as a whole of the gravity of HIV/AIDS problem
- 2) Make/sensitize Tanzanians to feel obligated to provide necessary care and support to the unfortunate and disadvantaged fellow citizens
- 3) Arouse and stimulate positive public response (in terms of financial and non-financial support) to reduce the sufferings of the HIV/AIDS victims

• Resource Mobilization Campaign

The Independent Television company (ITV), a member of the IPP Media Group, visited some regions in the country, collecting and documenting information on the HIV/AIDS situation and its effects on the affected population. The program targeted all HIV/AIDS victims including the infected, AIDS orphans and orphan caretakers (in most cases, either very old or very young).

The results of the study were made into a series of TV programs that have been shown on ITV. The program showed the real living conditions of the victims including poor housing and sanitation, scarcity of health services, poor nutrition and many others. The pictures they showed demonstrated the real poverty situation in which the people live.

The program producer, Mrs. Betty Mkwasa, appealed to the government, NGOs and the public at large to do something about the situation facing the HIV/AIDS victims and especially orphaned children.

“Seeing is believing” so the saying goes. The TV program touched the hearts of most viewers and created sympathy for the victims and more so for the orphans. This resulted in a considerable public response.

People donated food, clothes and other items to the TV Company

“I did not understand the seriousness of AIDS until I saw it on the ITV, I feel I have an obligation to assist these disadvantaged children”, one person responded when asked what made him provide support.

The distribution of aid materials to the victims and beneficiaries was also shown on the TV. Viewers witnessed the relief and happiness of the intended beneficiaries as they received assistance, which motivated others to provide assistance themselves.

Significant achievements of the campaign

- 1) *The message was able to reach a large number of people including the main target groups, the government; the AIDS commission (TACAIDS), NGOs and the Tanzanian society as a whole.*
- 2) *Individuals, corporate organizations and training institutions have responded by providing material support in terms of clothing, food items, medicines, mattresses and other domestic utensils.*
- 3) *Through the program producers, materials valued at 5.2 million shillings were handed over to the victims in Makete District.*
- 4) *Public and private organizations, training and faith-based institutions have come up with various strategies of addressing the issue of orphaned children. A few examples include: The Young Women Christian Association (YWCA) organized a fundraising event that fetched 24.4 million shillings towards the establishment of a center for orphans and other*

vulnerable children (OVC). A football match between the Members of Parliament and CRDB Bank was held, and the gate collections were earmarked for orphans and other children in need of special protection measures. The African Inland Church in Dodoma has raised 10.3 million shillings for the same cause, while students of the Dar es Salaam based Institute of Finance Management have visited an orphan center and provided assistance in the form of some basic items.

- 5) People have been sensitized and are now committing themselves to assist the needy children, especially the orphans. "We should help them", one of the CEOs of the private media company was heard saying at one of the fundraising campaigns, "We should not wait for foreigners. That's our primary responsibility".

• Challenges

The project was not without challenges. Some people thought that there was a political agenda behind this program particularly given that the 2005 General Elections were around the corner. Also, as mentioned above, many people living in the rural areas had not received significant assistance from various groups who had all visited the area before.

The TV crews also had their own challenge of convincing victims of their role in the project, i.e. mobilizing Tanzanians, TACAIDS and the government to fully understand their living conditions to take positive action.

Valuable lessons learned

- 1) People living in urban environments tend to be ignorant of the gravity of the sufferings rural people face.
- 2) People are ready to respond positively if well informed about certain issues or areas of concern.
- 3) A television program is the best way to deliver messages effectively "seeing believes".
- 4) A TV program can be a powerful way of promoting one's cause or raising resources – but can be expensive. It can be extremely successful in raising resources at the time of disaster or when an issue has hit the headlines. The information will reach people at a time when you know that something needs to be done – and you are offering them a way of helping.
- 5) Assistance, however small, gives a big relief to the one in a desperate situation.
- 6) There are untapped local sources that can contribute to the improvement of people's living conditions.

Future Local Resource Mobilization

The future of the media's role in resource mobilization is bright. More NGOs are seeing the important role the media can play in educating society on various issues and thus motivate people to give.

A quick survey on resource mobilization methods has revealed that the media fundraising method is yet to be exploited although it is estimated that its use is to increase. It should be noted that the media is willing and ready to give a helping hand provided they are asked.

Financial sustainability is probably the biggest challenge that many NGOs face in Eastern Africa. Every indication is that this will remain the case unless NGOs and their stakeholders begin to define new resource mobilization strategies and start exploring creative alternatives to traditional sources of funding.

With traditional sources of funding for NGOs becoming ever more scarce and unpredictable, the civil society sector needs to continue thinking of coping strategies to have in place for financial sustainability, bearing in mind that almost 70% of its budget comes from foreign (and in most cases very limited) donors. Mobilizing resources from local sources is an alternative means.

Local resource mobilization will not only reduce the level of dependency of Tanzanian organizations but also strengthen “local ownership” of projects. Finally, we have to contribute to the welfare of the disadvantaged fellow citizens.

Figure One: Strategy Development Template

Strategic Goal:

Objectives	Outputs/indicators	Desired Outcomes
1.		
2.		
3.		
4.		
5.		
6.		
7.		

Figure Two: Annual Implementation Plan Development Template

Strategic Goal.....

Objectives	RM Targets/Results/ KRAs (measurable results/targets)	Activities (what must be done)	Responsibility and Timeline (who and when)	Indicators (means of verification)

TOOL 10: PRE AND POST ASSESSMENT

INDIVIDUAL TRAINING NEEDS ASSESSMENT/PRE COURSE ASSESSMENT

We are pleased that you have accepted our invitation to attend the Aidspan watchdog Fundraising and Resource Mobilization training to be held xxxxx. In order to ensure the most effective training, we ask that you complete the following short questionnaire. This is informal and the data will not be disclosed; it is meant for us to evaluate your skills and needs in order to make best use of the training. Please return this form to [xxxxxxx](#) by xxxx Date

Organization: _____ Current Position: _____

Country: _____ City: _____

Name/title of last Watchdog training you attended: _____ When was this? _Month and Year (mm/yyyy): _____

1. Please read the following statements, made in regard to skills useful for effective watchdog work. Circle the number that best represents your knowledge, skill, and experience where “1 = basic” and “5 = advanced”

KNOWLEDGE AND SKILLS ON CONCEPTS	SELF ASSESSMENT	Explain your answer
a. Experience in doing resource mobilization situation analysis and resource planning for effective watchdog work. Name one tool/technique/model you've used	1 2 3 4 5	
b. Implementation of internal and external resource mobilization approaches including donor mapping. Name your top 2 donors or funding source (if not by donor)	1 2 3 4 5	
c. Utilization of M&E tools and techniques for successful financial and non-financial Resource Mobilization. Give 2 tools you used		
d. Use of M&E results/outcomes and findings to improve Resource Mobilization. Explain how you did this.	1 2 3 4 5	

2. Of the skills above, which would you most prefer to focus on? Please explain below.

3. Now that you have assessed your knowledge and skills in Fundraising & Resource Mobilization please identify the topics for which you would like specific training for. Place a mark (√) or (x) in the column to the left.

√ Tick	EDUCATION AND TRAINING TOPICS
	Understanding Resource Mobilization concepts, classes and forms
	Steps for resource mobilization
	Organization resource mobilization situation analysis
	Design and implementation of an RM strategy
	Resource Mobilization Models
	Internal and External resource mobilization approaches
	Donor Mapping
	Resource mobilization action planning
	Donor relationship management tools & techniques
	Financial & non-financial indicators of successful RM
	Monitoring and evaluation tools & Techniques the degree of success, efficiency and effectiveness of own watchdog work done

TOOL 11: EVALUATION FORM

INSTRUCTIONS:

You have been provided with this form to help us get your feedback as to whether this course was worth undertaking or not. The form examines the various sections of the overall training course and we request that you circle the appropriate response based on the item presented. After filling in the form, give it to the facilitator.

Course Name:	Course Dates: Start ___/___/___ End ___/___/___
Sex : Male ♦ Female ♦ Name (Optional):	

Please rate the **following list of statements** on a scale of 1 to 5 by circling the appropriate number accordingly

1. Have the course objectives met your training needs?

1	2	3	4	5
Fully met	Met	Fairly met	Somehow met	Not met

2. The training course methodology, range, sequencing, duration and training materials enabled you to improve your understanding of the subject matter.

1	2	3	4	5
Strongly agree	Agree	Neutral	Disagree	Strongly disagree

3. Facilitator(s) were involving, responsive, knowledgeable and provided clear explanations

1	2	3	4	5
Strongly agree	Agree	Neutral	Disagree	Strongly disagree

4. Overall training facilities, accommodation & meals were satisfactory

1	2	3	4	5
Strongly agree	Agree	Neutral	Disagree	Strongly disagree

5. What do you consider as the two **key strengths** of this training course?

A.	
B.	

6. What do you consider as the two **key weaknesses** of this training course?

A.	
B.	

7. Indicate any other comments you would like to make?
