



The International Treaty

ON PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE

Draft Strategic Plan

for the Implementation of the Benefit-sharing Fund of the Funding Strategy



International Treaty on Plant Genetic Resources

for Food and Agriculture

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I. EXECUTIVE SUMMARY

It is an important time in the life of the International Treaty on Plant Genetic Resources for Food and Agriculture (Treaty). Established in 2004, the Treaty (http://www.planttreaty.org/texts_en.htm) has made early progress regarding resource mobilization, with a growing group of Contracting Parties providing a basic level of financial support to the Benefit-sharing Fund. These commitments have helped to establish the Benefit-sharing Fund, but are not sufficient to meet the considerable needs that exist in the developing world for investments in:

- Sustainable use of plant genetic resources;
- Information exchange, technology transfer and capacity building for the conservation and utilization of plant genetic resources for food and agriculture;
- On-farm management and conservation of plant genetic resources.

A. AN URGENT GLOBAL NEED

To meet this annual and growing need for investment, the Treaty seeks to raise additional funds from current and new sources. To do so, the Treaty will need to maximize all potential sources of funding available to it and apply strategies unique to each constituency. This Strategic Plan acknowledges the many and varied motivations that donors will have for contributing, including an interest in:

- Enhancing food security;
- Safeguarding biodiversity;
- Adaptation to climate change;
- Science and innovation;
- Sustainable livelihoods and income creation;
- Local projects reaching directly the poor and vulnerable;
- Making progress towards the Millennium Development Goals.

It is worth noting that the Benefit-sharing Fund's first call for proposals resulted in several hundred pre-proposals, totaling approximately USD 20 million and representing all seven regions of the Food and Agriculture Organization of the United Nations (FAO).

This Strategic Plan anticipates that Contracting Parties will continue to lead the way financially, with contributions from other contributors serving to broaden the Treaty's base of support and helping to communicate the importance of plant genetic resources for food and agriculture to new audiences. Prospects for voluntary contributions to the Benefit-sharing Fund include Contracting Parties - through their respective ministries of agriculture, foreign affairs, development assistance or other relevant ministries - and other contributors, including states which are not yet Contracting Parties of the Treaty, foundations that give on an international basis, the private-sector and individuals.

B. REQUIREMENTS FOR SUCCESS

Given the growth trajectory of resource mobilization at other multilateral organizations, and the depth and breadth of the various donor constituencies that would be available to the Treaty, it can increase its funding base significantly and establish the Benefit-sharing Fund as an important international reality. The requirements for success, however, are many, including:

Effective communication of the aims and achievements of the Treaty and the Benefit-sharing Fund. While the Treaty is well-known in certain circles, a successful resource mobilization effort will require effective communication of the aims and achievements of the Treaty and the Benefit-sharing Fund. Special attention will need to be given to Ministries of Agriculture, Foreign Affairs, development assistance and other relevant ministries, focusing on countries that are most likely to make a major contribution in the near term, thus raising the profile and setting a high standard for others. Similarly, the Treaty will need to reach leaders from other donor communities, including leaders from industry, trusts and foundations and some individuals. Better communications will require investments in the website, special events, donor reports and updates, press releases, promotional materials and a contacts database. Such communication efforts should be initiated systematically and as soon as possible by the Treaty, in order to prepare the ground for an effective resource mobilization effort and implementation of the Strategic Plan.

Develop a clear and compelling case for support. The Treaty will require a compelling case for support that clearly and concisely articulates a convincing argument for the need for funds towards the Benefit-sharing Fund. The document will need to strike a balance between a lucid explanation of finances and a passionate statement about the Treaty. A well developed and presented case for support is needed to communicate the urgency and importance of the Treaty's mission, assert the vision for the foreseeable future, and articulate how financial contributions will benefit the Treaty and the world it serves.

Engage effective leaders and support them at a high level. Engaging the best possible leaders to spearhead the various aspects of the Strategic Plan is vital, as support from the right people at an early stage will help build momentum and set a high standard. The success of the Funding Strategy will depend entirely on whether Contracting Parties are able to take leadership and responsibility for the

resource mobilization effort at a high level under the Strategic Plan. Leaders will need to be engaged from Contracting Parties and other contributors alike to create a diverse and wide appeal and reach. Peer-to-peer approaches, among other strategies, will enable the Treaty to secure larger contributions, with support by professional staff providing high quality briefings, proposals, and overall management of the effort.

Implement a prospect rating and management system. The Strategic Plan focuses on maximising support from Contracting Parties and other contributors, including the private sector, trusts and foundations, and individuals. Each of these constituencies will need to be researched, categorised and tracked over time to determine their financial ability to contribute, their strategic fit with the aims of the Treaty, and their likelihood of contributing. Some prospects will develop quickly, while others will take more time before they are ready to be approached. The Treaty will need to manage this work effectively, increasing the number of viable prospects each year. From this larger list of potential contributors, the Treaty would anticipate receiving a relatively small number of high level commitments.

Set an overall objective of USD 116 million over a five-year time frame, with progressively larger working targets over this period. The Strategic Plan will cover a five-and-a-half year period, that will commence in July 2009, and end in December 2014. Based on the size and financial capacity of the various constituencies highlighted above, but also the relative newness of the Benefit-sharing Fund and the considerable level of uncertainty that exists in the global economy, the Treaty's fund raising should scale up in a phased approach to meet the USD 116 million objective within the agreed timeframe, as soon as possible. This objective will be met by achieving a series of progressively larger working targets beginning with USD 50 million in a phased approach. Funds will be raised over a five-year period. Progress will be measured on a regular basis against the working target. The target should be adjusted based on the results of initial contributions and other factors. For example, if the Treaty is ahead of target going into the Fourth Session of the Governing Body and prospects are responding in a predictable way, the working target should be increased and activity accelerated to achieve the USD 116 million objective over the working period. A series of progressively larger working targets will enable the Treaty to raise significant funds and engage increasingly high profile leaders to champion the effort.

Secure large contributions based on objective criteria. The Treaty will need to secure contributions at the highest possible level at an early stage, in order to establish the importance and urgency of the Benefit-sharing Fund. Prospective donors will need to be given specific guidance regarding appropriate investment levels. The Strategic Plan organizes potential Contracting Party donors into one of three request levels (tiers), based on their capacity and relative support of other multi-lateral organizations. Approaches to other donors, such as companies and individuals, will be based on their size and alignment with the Treaty's mission, but also their historic commitments to other organizations.

Establish a robust and efficient grants management system for the Benefit-sharing Fund. The Treaty must establish a robust and transparent system for

implementing the Benefit-sharing Fund grant cycle. The system must operate in an efficient way, both in how it accepts contributions and makes disbursements. To this end, the Treaty will need to set up streamlined and customised administrative and management procedures for receipt and disbursements of funds. The Treaty might also consider partnering with other international organizations that have established and efficient grant-making operations.

Move towards awarding a small number of much larger grants. Given the size and scope of the urgent challenges the Benefit-sharing Fund will help address, the Treaty should move as quickly as possible to award much larger grants. The Benefit-sharing Fund will become more attractive to many as a funding priority, if the benefits of success are felt across whole regions.

Develop attractive and meaningful donor recognition opportunities. Donor recognition plays a central role in fund raising, especially for non-governmental contributors. How the Treaty acknowledges and involves its donors, will be vital to maximising opportunities and reaching new audiences. A formal programme will also help increase donor levels over time.

Resource the effort at an appropriate level. The Treaty has a relatively small staff in relation to the size and scale of its operations and targets. While some core functions can be outsourced initially, the Strategic Plan requires an investment in staff, systems and expertise. Specifically, the Plan prioritises strategic investments in communications to raise awareness, front-line fund raising staff to drive the initiative, and staff to run the operations of the Benefit-sharing Fund.

Commit to making the plan a success. The Strategic Plan requires leadership and the broad-based support of Contracting Parties. Only if they take an active role and responsibility for the fund raising effort can the necessary momentum be built to make the Strategic Plan a success. Their leadership embodies the political will and commitment of governments to the success of the Treaty - there is no stronger endorsement. Active participation by Contracting Parties in resource mobilization strategies will best position the Benefit-sharing Fund for success.

C. OVERVIEW OF THE STRATEGIC PLAN

The following sections of the Strategic Plan set out how these requirements for success can be matched.

Section II begins by providing a timeframe for the Strategic Plan. To lay the basis for the establishment of funding targets for the Strategic Plan, it continues with an assessment of successful resource mobilization efforts at other multi-lateral organizations, examines the need for support for the Benefit-sharing Fund and describes the types of potential donors for contributions to the Benefit-sharing Fund.

Based on these considerations, feasible and meaningful funding targets are established for the Strategic Plan. These targets would represent a realistic starting point for the Benefit-sharing Fund, while having real impact on addressing its three priorities. In continuation, the section outlines how these targets can be achieved through a steady and progressive growth trajectory, and details the timing, and the number and levels of contributions required.

Building on the target-setting and identification of potential donors, section III describes ten specific elements of the Strategic Plan and outlines the operational requirements and concrete activities needed for its implementation. Those activities include: the development of a compelling case statement and its customization for different audiences; the identification and management of prospects; the targeted engagement of donors through cultivation, recognition and stewardship programmes; focused communication to raise the Treaty's profile; the identification and recruitment of leadership for resource mobilization; the establishment of efficient, transparent and effective operations of the Benefit-sharing Fund; and the convening of a Committee on the Funding Strategy. The third section concludes with describing the resources and staffing implications of carrying out the activities under the Strategic Plan.

Lastly, section IV includes a step-by-step guide for the implementation of the Strategic Plan, providing an overview of how the activities described previously are implemented on an annual basis throughout the lifespan of the Strategic Plan.

II. FUNDING TARGETS AND RATIONALE

Full implementation of the Treaty requires substantial financial resources. Article 18 of Part VI of the Treaty is devoted to financial resources, and starts with noting that the Contracting Parties undertake to implement a funding strategy for the implementation of the Treaty in accordance with the provisions of Article 18. The article refers to voluntary contributions, which may be provided by Contracting Parties as well as other stakeholders, in addition to financial benefits arising from Article 13.2d on commercial benefit-sharing. (The Contracting Parties agree that the financial benefits arising from Article 13.2d are part of the funding strategy). Article 18 also states that the Contracting Parties agree that the Governing Body shall consider modalities of a strategy to promote such contributions.

Successful resource mobilization for the Benefit-sharing Fund requires: (i) identification of the critical role the Treaty plays in addressing major global issues such as global food security and climate change, through the conservation and use of the world's plant genetic resources; (ii) a thoughtful and appropriate target to help meet the needs of the three priorities; and (iii) a viable plan to achieve the target. This section of the Strategic Plan investigates each of these important areas in detail.

It begins with an assessment of successful resource mobilization efforts at other multi-lateral organizations that provide the Benefit-sharing Fund with appropriate models for growth. It examines the need for support for the Benefit-sharing Fund as indicated by the cost estimates prepared for the Global Plan of Action and the response to the initial call for proposals for the Benefit-sharing Fund. It also describes the types of prospects for contributions to the Benefit-sharing Fund, based on systematic research, and outlines the levels of support needed from various constituencies for a sound resource mobilization programme.

It is based on these considerations that a realistic and meaningful funding target for the Strategic Plan is established. In continuation, the section outlines how the set target can be reached through a steady and progressive growth trajectory, based on the experience of similar funds and mechanisms. It details the timing, and the number and levels of contributions needed to achieve success.

The Strategic Plan covers a five year period which will begin in July 2009 and conclude in December 2014. The first year of the Strategic Plan will refer to an 18 month period that starts in July 2009, and ends in December 2010. A five-year period is an appropriate duration of time for a "start-up" like the Benefit-sharing Fund to establish itself, set up proper systems, allow appropriate time for cultivation of prospects, and initiate a successful resource mobilization programme.

A. ASSESSMENT OF RESOURCE MOBILIZATION EFFORTS OF OTHER MULTILATERAL ORGANIZATIONS

An assessment of resource mobilization efforts at other multi-lateral organizations demonstrates that rapid and progressive growth is possible. Four organizations were considered as especially useful models for the Treaty. Two were relatively new organizations that have recently instituted resource mobilization plans: (i) The Global Crop Diversity Trust (the Trust) and (ii) the Global Fund to Fight AIDS, Tuberculosis, and Malaria. The other two organizations have mature fund raising programmes, and have sustained steady and progressive growth over their most recent five-year period: (iii) UNICEF and (iv) the International Rescue Committee. All organizations have a mix of government and non-government funding. (Tables and charts outlining resource mobilization efforts for these four organizations are included in section A of the Annex).

The Global Crop Diversity Trust began a major resource mobilization effort in 2002. In its first year of fund raising, the Trust raised USD 3.4 million for its endowment. In the fifth year, it secured over USD 34 million. The Treaty could serve a wider purpose and potentially larger remit.

The Global Fund to Fight AIDS, Tuberculosis, and Malaria, established in 2002, saw a 300-fold increase in contributions over the five year-period of 2003 – 2007, from USD 779 million to more than USD 2.8 billion. It initially received contributions only from governments, but in 2007 began to also raise funds from other contributors as well. While the Treaty could target a similar growth trajectory, it would do so at a much lower funding level, as the scale of financial support to the Global Fund would not be applicable to the Treaty.

UNICEF and the International Rescue Committee continue to grow at steady and progressive rates. UNICEF nearly doubled its contributions, from USD 1.6 billion in 2003, to USD 3.0 billion in 2007. The International Rescue Committee increased contributions from USD 153 million in 2003 to USD 268 million in 2008, an increase of 58 percent.

These resource mobilization efforts were spurred, in part, by the existence of objective, measurable and definable needs that served to focus and drive the fund raising effort as part of a strategic plan on resource mobilization. These conditions also exist for the Benefit-sharing Fund.

B. ASSESSING THE NEED FOR THE BENEFIT-SHARING FUND

The need for the Benefit-sharing Fund is determined by the global need for support in the following three priority areas:

- Information exchange, technology transfer and capacity building;
- Managing and conserving plant genetic resources on farm;

- Sustainable use of plant genetic resources.

There are two reference points for the assessment of needs for the Benefit-sharing Fund: The cost estimates prepared for the implementation of the Global Plan of Action for the Conservation and Sustainable Utilization of Plant Genetic Resources for Food and Agriculture (Global Plan of Action), and the response to the initial call for proposals for the Benefit-sharing Fund.

a) Cost estimates for the implementation of the Global Plan of Action

The Global Plan of Action was adopted at the FAO International Technical Conference on Plant Genetic Resources held in Leipzig, Germany, in 1996, and consists of twenty priority activity areas addressing the conservation and sustainable utilization of plant genetic resources for food and agriculture. These priority activity areas are grouped into four main clusters, tackling *in situ* conservation and development, *ex situ* conservation, utilization of plant genetic resources, and institutions and capacity building.

Following the adoption of the Plan in 1996, the average annual cost over a ten-year period for implementing each of those priority activity areas was estimated. These estimates are only indicative and represent merely order-of-magnitude estimates. Estimates have been prepared for the following three options:

- Option A represents a basic approach. It assumes the least costly of reasonable possibilities, and the number of countries, institutes and communities covered is lower than in other options;
- Option B represents a moderate approach based on intermediate assumptions regarding needs; and
- Option C represents an ideal and more comprehensive approach to the implementation of the Plan. Its coverage is generally higher and less fiscally constrained than other options.

The priorities of the Benefit-sharing Fund were derived from the 20 priority activity areas of the Global Plan of Action. With the aim of using the funds in the Benefit-sharing Fund strategically and playing a catalytic role in international cooperation in the area of plant genetic resources for food and agriculture, those priority activity areas of the Global Plan of Action were selected, that best fitted the benefit-sharing objectives of the Treaty and that were not adequately funded elsewhere and would therefore best complement other ongoing efforts.

The three priorities of the Benefit-sharing Fund reflect six out of the twenty priority activity areas of the Global Plan of Action. The estimated cost for the implementation of those six priority activity areas ranges between USD 66 and 231 Million, depending on the level of implementation.

As these figures were estimated in 1996, they do not reflect the developments since then, regarding the costs of carrying out certain activities and regarding the evolving character of needs and gaps.

Table 1 reflects the relationship between the priorities of the Benefit-sharing Fund and the priority activity areas of the Global Plan of Action, and the cost estimates for the relevant priority activity areas for the three options.

Table 1: Global Plan of Action Estimates

Priorities of the Benefit-sharing Fund	Priority Activities of the Global Plan of Action	Option A	Option B	Option C
		In million USD		
1. Information exchange, technology transfer and capacity-building	15. Building strong national programmes	5.6	12.9	29.9
	19. Expanding and improving education and training	16.6	30.6	63.3
2. Managing and conserving plant genetic resources on farm	2. Supporting on farm management and improvement of plant genetic resources	7.5	17.2	37.0
3. The sustainable use of plant genetic resources	9. Expanding the characterisation, evaluation and number of core collections to facilitate use	9.4	16.4	31.4
	10. Increased genetic enhancement and base-broadening efforts	21.2	30.7	51.2
	11. Promoting sustainable agriculture through diversification of crop production and broader diversity in crops	5.3	9.0	18.5
	Total	65.6	116.8	231.3

When the Global Plan of Action was adopted, it was envisaged that it would be implemented, in part, through bilateral channels and, in part, through multilateral channels. Various activities foreseen in the six relevant priority activity areas are already being carried out, and funding is provided by multiple bilateral and multilateral organizations, *inter alia* by the Consultative Group on International Agricultural Research (CGIAR) and the Food and Agriculture Organisation of the United Nations.

However, precise and up to date information on bilateral and multilateral funding and on activities being carried out is currently not available. It would be of high importance to gain a better insight in the distribution of funding made available through the different channels and efforts undertaken at the national, regional and global level. The preparation of the Second Report on the State of the World's Plant Genetic Resources, which will be finalized at the end of 2009, and the next iteration of the rolling Global Plan of Action within the next two years, will be an important source of information for the assessment of already ongoing activities and their thematic and geographical distribution, and for the identification of needs and remaining gaps. This would enable a more targeted priority setting for the Benefit-sharing Fund.

Therefore, while the Benefit-sharing Fund would not have to address the total global need, it should make a substantial and meaningful contribution to the overall effort.

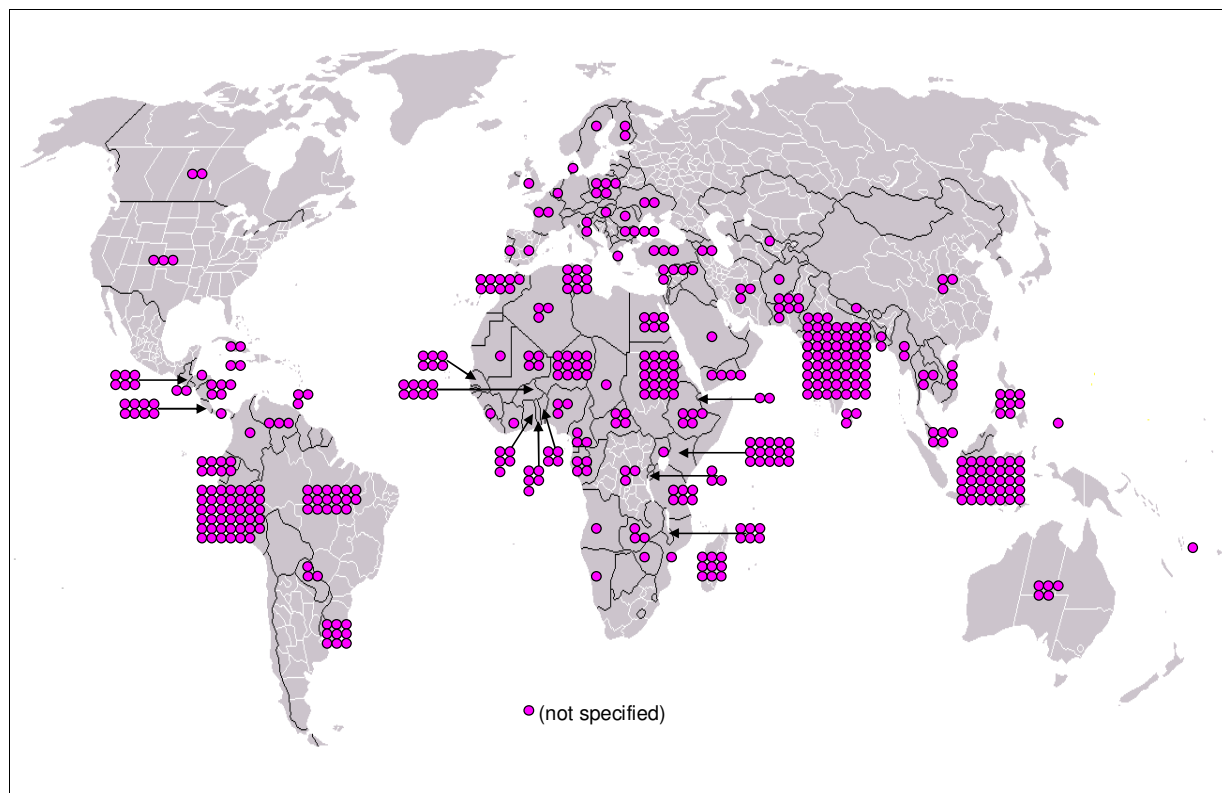
b) Initial call for proposals for the Benefit-sharing Fund

The initial call for proposals for small-scale projects under the Benefit-sharing Fund was issued in December 2008 with a deadline of 15 January 2009 (a total of 30 working days). With little promotion or advance notice, the Treaty received several hundred pre-proposals, representing all seven FAO regions (see Table 2 and Figure 1). Funding requests from all pre-proposals received, without taking into consideration the quality of the proposals, represented approximately USD 20 million and addressed all three priorities of the Benefit-Sharing Fund.

Table 2: Pre-proposals submitted to the Treaty by region

Region	Percent
Africa	31.7
Asia	28.3
Europe	6.2
Latin-American and the Caribbean	23.6
North America	1.1
Near East	7.5
South West Pacific	1.5
Not specified	0.2
Total	100

Figure 1: Pre-Proposals submitted to the Treaty by country



Pre-proposals were submitted by government institutions, genebanks, universities, NGOs, Consultative Group on International Agricultural Research (CGIAR) Centres, farmers' organizations and indigenous organizations, and requested funding for a broad range of activities relating to on-farm conservation, sustainable use, technology transfer and capacity building for plant genetic resources.

This initial activity demonstrates a significant demand for resources to adequately attend to the expressed needs. Currently, the Treaty is in a position to fund approximately 5-10 small-scale projects accounting only for a small proportion of the number of proposals submitted. Based on the experience of other similar funds, as the Benefit-sharing Fund matures and there is greater awareness about its goals, it is likely that the quantity and quality of proposals will increase, as will the overall request levels.

C. PROSPECTS FOR THE BENEFIT-SHARING FUND

Achieving any meaningful resource mobilization targets will require the Treaty to maximise all funding opportunities. This section provides an overview of the various constituencies that are viable prospects for the Benefit-sharing Fund and a rationale for focusing initially on securing Contracting Party contributions, while simultaneously taking steps to engage potential non-governmental sources. In addition, it provides

a framework for setting targets and providing indications to Contracting Parties and other contributors regarding the appropriate levels of voluntary support.

Prospects for voluntary contributions to the Benefit-sharing Fund include:

- Contracting Parties and their respective ministries of agriculture, foreign affairs, development assistance and other relevant ministries;
- Other contributors including:
 - States which are not yet Contracting Parties of the Treaty;
 - Foundations that give on an international basis;
 - The private-sector;
 - Individuals.

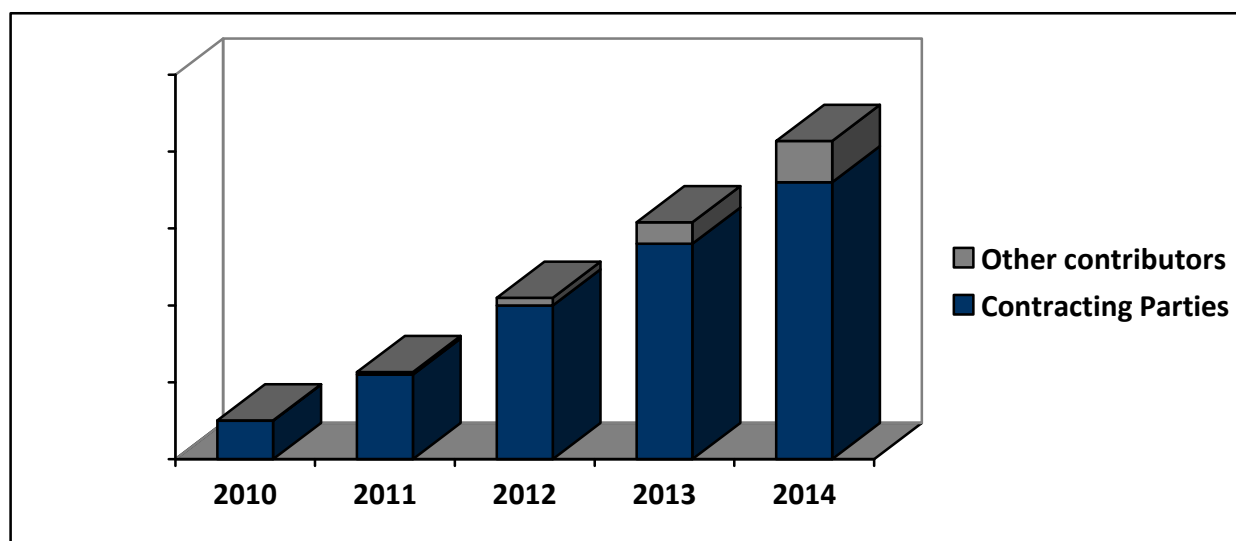
Initial focus should be on securing government contributions, for four primary reasons:

- Contributions from Contracting Parties underscore the spirit of international cooperation and multilateralism under which the Treaty was enacted; furthermore, support for the Benefit-sharing Fund reinforces the very existence and relevance of the Treaty itself;
- The effective allocation of resources, particularly by developed country Contracting Parties, will enable Contracting Parties that are developing countries and Contracting Parties with economies in transition to effectively implement their commitments under the Treaty (Article 18.4 b of the Treaty);
- Government funds account for the largest portion of available support for agricultural projects;
- Broad and early support from Contracting Parties makes it easier to secure funds from other contributors, as financial support from “insiders”, their participation and level of giving, are clear and direct indicators of the strength of an institution;
- Contracting Parties that have contributed can and should play a valuable role in securing contributions from other Contracting Parties, as well as from other contributors.

Though initial focus is on Contracting Parties, it should not preclude educating, cultivating, and securing support from other contributors. The Treaty and the Benefit-sharing Fund are in the start-up phase, and those actors not already close to the Treaty will have to be made aware of its aims and activities as quickly as possible. Broad support from Contracting Parties will help facilitate and accelerate contributions from other contributors. These efforts are mutually reinforcing.

Funding from other contributors will complement and build upon contributions secured from Contracting Parties, as illustrated in Figure 2 below.

Figure 2: Mix of contributions from Contracting Parties and other contributors



A summary of the Treaty's primary constituencies and their relative share of contributions towards the target is detailed in Table 3.

Table 3: Summary Table of Prospects for the Benefit-sharing Fund

Sector	Treaty Constituencies Rationale for Support	Relative Share of the Total Targets (%)
Contracting Parties	<ul style="list-style-type: none"> Should constitute the base of support for the Treaty and its aims. Direct over USD 2 billion a year in ODA to agricultural projects. The Benefit-sharing Fund should be recipient of some proportion of these funds. Their support is essential if the Treaty is to be successful in raising funds from other contributors. 	75 – 85
States which are not yet Contracting Parties	<ul style="list-style-type: none"> While the primary base of support comes from the Contracting Parties, as the Treaty specifies, nothing prevents states who are not (yet) Contracting Parties from also making voluntary contributions to the Fund. 	0 – 1
Private Sector	<ul style="list-style-type: none"> Food security is an issue of concern around the world. Prospects for support would include philanthropic private sector companies around the world. 	7 – 11
Foundations / Donor Advised Funds	<ul style="list-style-type: none"> Foundations are a growing source of funds for international donations. Foundations have the capacity to make seven -and eight-figure commitments over a multi-year period. 	7 – 11
Individuals	<ul style="list-style-type: none"> Significant potential to cultivate donors with interest in themes of global food security, biodiversity, sustainability, and international cooperation who can make six- and seven-figure personal commitments. 	1 – 2

a) Contracting Parties

Contracting Parties are the core prospects for the Benefit-sharing Fund; those that have already donated to the Benefit-sharing Fund provide an important foundation and will need to be stewarded and cultivated to encourage increased participation. In addition, it will be vital to grow the number of contributions from Contracting Parties and encourage support for the overall success of the resource mobilization plan. As new countries join the Treaty, the number of potential donors will grow.

It is important to note that, when Contracting Parties are approached for contributions, it should be with a strategic and rational framework. The Benefit-sharing Fund will request support based on their capacity and relative support to other multi-lateral organizations. It is to be stressed that all contributions to the Fund are voluntary and thus entirely at the discretion of the relevant contributor. This concept will be made operational through a three-tiered system of requests for contributions:

- Tier I Contracting Parties will be invited to consider voluntary contributions of up to 15 percent of the total target. This will be an important leadership group for the Benefit-sharing Fund, as contributions at these levels will be instrumental to the success of the Strategic Plan.
- Tier II Contracting Parties will be invited to consider contributions of up to five percent of the target. Tier II contributions will likely make up a significant portion of all commitments made.
- Tier III Contracting Parties will be invited to consider contributions of up to two percent of the target. Contributions at these levels will broaden support for the Benefit-sharing Fund.

For illustrative purposes and to demonstrate how the tiered approach would function in practice, Table 4 models a five-year USD 116 million objective and an initial USD 50 million working target.

Table 4: Contracting Party Tier Levels

Level	% of Target	Estimated # of Contracting Parties	Estimated Total Contribution for USD 116 Million Objective	Estimated Total Contribution for USD 50 Million Working Target
Tier I	Up to 15	3	Up to USD 52.2 Million	Up to USD 22.5 Million
Tier II	Up to 5	7	Up to USD 40.6 Million	Up to USD 17.5 Million
Tier III	Up to 2	10	Up to USD 23.2 Million	Up to USD 10 Million

Securing contributions from Contracting Parties will require coordinated and strategic efforts with their respective Ministries of Agriculture, Ministries of Foreign Affairs, and other relevant ministries. In 2007, Contracting Parties' official development assistance (ODA) levels reached USD 2 billion for agriculture projects. If the Benefit-sharing Fund were funded solely by Contracting Party ODA over the first five years with an objective of USD 116 million, it would need to secure between 0.02 percent and 1.0 percent of available agriculture funding. (A Table with 2007 ODA flows can be found in section B of the Annex).

Once Contracting Parties become donors to the Benefit-sharing Fund, they can and should also become key players in promoting the Benefit-sharing Fund to other Contracting Parties, as well as other contributors. Their support is an endorsement of the Benefit-sharing Fund and of the Treaty, and is very meaningful when seeking contributions from others.

b) Other contributors

Assuming that a strong measure of support can be secured from Contracting Parties, the Treaty should pursue funds from other contributors. The rationale for determining appropriate request levels for other contributions will differ from that of Contracting Parties. Requests for support from foundations, private sector entities, and individuals will be based on:

- Size and capacity: a prospect's assets, profits and/or other wealth indicators;
- Alignment with the aims of the Treaty: an interest in biodiversity, sustainable agriculture, or international cooperation;
- Demonstration of philanthropy: a history of commitments to other organizations or a record of substantial philanthropic support for relevant and/or similar causes.

Donations from other contributors will account for a smaller, but still significant portion of commitments to the Benefit-sharing Fund.

Private Sector

The private sector represents a significant prospect pool for the Treaty. In 2007, the largest private sector donors in the United States of America contributed nearly USD 11 billion in cash and in-kind contributions. Companies are increasingly interested in philanthropic investments in regions where they operate, have a significant work force, or align with their stated mission.

Some examples of significant funding for international development and agriculture include:

- USD 100 million to the Clinton Global Initiative for third world poverty reduction;

- USD 4.5 million to programmes to enhance agricultural sustainability in cocoa farms in West Africa;
- USD 80 million committed over five years through Clinton Global Initiative to help the World Food Programme provide meals to hungry school children in developing countries;
- USD 5 million to the World Food Prize Foundation to ensure the continuation of an annual symposium on global food security;
- USD 48 million foundation grant that leverages an additional USD 43 million from industry to support cocoa and cashew farming in Africa, leading to higher education and nutrition levels in children.

The Treaty can align itself with a number of leading private sector companies. While the seed and food processing industry are natural partners of the Treaty, other industries such as energy, general consumer products, machinery and farm equipment should also be approached. The strategy to secure contributions may differ for different business sectors.

Foundations and Donor Advised Funds

Foundations offer great potential for contributions to the Benefit-sharing Fund. In 2006, the top ten United States-based foundations had assets of more than USD 100 billion and made approximately USD 3.7 billion in grants. (Table outlining rapid growth of United States-based foundations can be found in section C of the Annex.)

Foundations in the European Union also experienced dramatic growth from 1990 to 2005. In that period, 18 000 new foundations were established in nine European countries – representing 43 percent of all foundations created worldwide. In 2005, foundations in 15 European countries held assets of more than Euro 237 billion, and foundation expenditures were estimated to be Euro 43 billion.

Increasingly, food security, biodiversity, and sustainability are emerging as important funding areas to foundations. In 2006, the largest United States-based philanthropic foundations directed 21 percent of all funds (or USD 879 million) to international organizations. Of that, more than 34 percent (or USD 302 million) was awarded to agricultural development projects. (Tables on international giving of United States-based foundations can be found in section C of the Annex.)

Some examples of significant grants made by US and European foundations in 2008 include:

- A USD 25 million grant to Cornell University for an initiative that will contribute to advances in nutrition and agriculture in India;
- A 82 million pound sterling grant to fund the building of a new international plant sciences research centre in the United Kingdom;
- Grants of USD 306 million for an agricultural project designed to boost the yields and incomes of millions of small farmers in developing countries;

Donor Advised Funds (DAF) are the fastest growing charitable giving in the United States. A donor-advised fund is a way for individual donors to pool money into a charitable giving vehicle administered by a third party. A donor-advised fund offers the opportunity to create an easy-to-establish, low cost, flexible vehicle for charitable giving.

According to the Council on Foundations, DAFs held an estimated USD 31 billion in assets in 2007. The funds are managed by a range of different kinds of institutions, 53 percent of which was estimated to be community foundations. Further, an estimated USD 5.36 billion (approximately 17 percent of the total funds) were paid out for philanthropic purposes.

Giving to international organizations, NGO's and non-profits constituted only a small part of DAF giving, with an estimated USD 40 million in grants in 2007. It is anticipated, however, that this amount will grow in line with the growth of DAFs. A partnership with one or more DAFs could result in significant funding for the Treaty.

Individuals

High net-worth individuals will represent an important constituency for the Treaty's resource mobilization efforts. In 2008, the most generous 50 individuals in the United States committed more than USD 15 billion to philanthropic causes. There has also been increasing interest in global issues. In 2007, two USD 100 million contributions were directed towards international poverty eradication projects through the Clinton Global Initiative.

D. SETTING THE TARGETS

Having examined two reference points that indicate the need for the Benefit-sharing Fund, reviewed viable prospects for the Benefit-sharing Fund, as well as considered models of successful resource mobilization at other multilateral organizations, the Strategic Plan establishes a USD 116 million objective, to be raised over five years. This will be met through achieving a series of progressively larger working targets in a phased approach beginning with the first USD 50 million. The target is not a reflection of the total global need for the Benefit-sharing Fund, but a reasonable, appropriate and meaningful starting point. The target should remain flexible; if initial levels of funding indicate that a higher target is possible, a higher target should be quickly instituted. For planning purposes the Treaty will base its resources and staffing on the initial working target of USD 50 million. Once the Treaty is on target to reach the USD 116 million objective, investments in resources and staffing should be increased accordingly.

The resource mobilization efforts will begin in July 2009 and end in December 2014. A five-year period will enable the Benefit-sharing Fund to establish the necessary systems and provide sufficient time to properly cultivate potential contributions, secure commitments, and build momentum.

It is important to reiterate that the target should be adjusted according to progress made. If the commitments for the Benefit-sharing Fund are ahead of target going into the Fourth Session of the Governing Body, and prospects are responding in a predictable way, the working target should be increased to meet the USD 116 million objective as soon as possible.

The Benefit-sharing Fund is in a “start-up” phase, and must begin with a lower target in the first year, and progressively raise more funds in subsequent years, with the highest levels being committed in the fifth year. Therefore, a USD 116 million objective aims at arriving at USD 45-55 million by the third year and USD 116 million by year five. These levels of funding would cover approximately 30 percent of the cost estimates for the implementation of the relevant priority activity areas of the Global Plan of Action, according to Option B, by the fifth year. Achieving the USD 116 million objective would enable the Treaty to disburse funds for large-scale projects in each of the five FAO regions encompassing developing country Contracting Parties.

Therefore, success in initially raising USD 50 million towards the USD 116 million objective would represent a reasonable starting point for the Benefit-sharing Fund, while having real impact on addressing the three priorities of the Funding Strategy.

E. ACHIEVING THE BENEFIT-SHARING FUND TARGETS

This section outlines how the working funding target of USD 116 million for the Benefit-sharing Fund can be achieved over a five-year period. It is modelled on a steady progressive growth trajectory, with the highest levels of funding achieved in the fifth year. It assumes that commitments by Contracting Parties, foundations and the private sector will be paid over a three-year period. For example, a pledge of three million dollars will be paid in three equal instalments of USD 1 million per year for three years. If the USD 3 million pledge were made in 2014, payments would occur in 2014, 2015, and 2016. A significant portion of contributions received in any given biennium will be spent in that biennium. Funds will be replenished on an annual basis as payments on previous commitments are paid out, and new commitments secured. The Benefit-sharing Fund will need a sustainable contribution inflow, which will continue after the initial five-year period.

Consistent with established norms, individuals will have the option of making commitments payable over a five year period. This will help ensure a steady and predictable cash flow. (Indicative cash flows for a USD 50 million initial working target and a USD 116 million objective are in section D of the Annex).

Raising USD 116 million over five years would involve securing commitments as detailed in Table 5.

Table 5: Plan to secure the USD 116 million objective in commitments over a 5-year period

	Year 1 (18 months)	Year 2	Year 3	Year 4	Year 5
Cumulative Target (USD million)	10	27	50	80	116
Annual Target (USD million)	10	17	23	30	36
# Contracting Party contributions	5-7	6-8	6-8	10-14	10-14
% Contributed by Contracting Party	98- 100%	90-95%	90-93%	80-85%	75-85%
# other contributors	0 – 3	2-4	4-6	6-10	8-12

For planning and resourcing purposes a plan to secure the first working target of USD 50 million is contained in section E of the Annex.

F. TARGET CONTRIBUTION LEVELS

Having established annual targets and the relative and likely impact of aggregate contributions from Contracting Parties and other contributors, it is useful to also model the size and number of contributions over the five year period. Table 6 models the USD 116 million objective. A table for the USD 50 million working target for planning and resourcing purposes is included in section E of the Annex.

It is to be noted that this table provides a guideline, and that the Treaty should not be precluded from securing either a greater number of contributions than specified in a given year, or contributions at a higher level than those outlined in the table. Larger contributions could also be complemented by a greater number of smaller contributions. A greater number of commitments at higher levels are funded in later years as more prospects are cultivated.

Table 6: Commitments needed to raise the USD 116 million objective over five years

Commitment Level (USD)	Year 1		Year 2		Year 3		Year 4		Year 5		Total All Years	
	# Contributions	Total for Commitment Level (USD)	# Contributions	Total for Commitment Level (USD)	# Contributions	Total for Commitment Level (USD)	# Contributions	Total for Commitment Level (USD)	# Contributions	Total for Commitment Level (USD)	Total # Contributions	Total (USD)
10 000 000									1	10 000 000	1	10 000 000
7 500 000							1	7 500 000	1	7 500 000	1	15 000 000
5 000 000			1	5 000 000	1	5 000 000	1	5 000 000	1	5 000 000	4	20 000 000
3 000 000	1	3 000 000	1	3 000 000	2	6 000 000	2	6 000 000	2	6 000 000	8	24 000 000
2 000 000	1	2 000 000	3	6 000 000	3	6 000 000	4	8 000 000	2	4 000 000	14	28 000 000
1 000 000	2	3 000 000	2	2 000 000	5	5 000 000	3	2 000 000	3	3 000 000	15	15 000 000
500 000	2	1 000 000	2	1 000 000	2	1 000 000	1	500 000	1	500 000	8	4 000 000
	6	10 000 000	9	17 000 000	13	23 000 000	12	30 000 000	11	36 000 000	51	116 000 000

III. ELEMENTS OF THE PLAN

This section outlines the specific activities and operational requirements needed to implement the Strategic Plan. Each of these elements plays a vital role in resource mobilization.

A. IDENTIFYING LEADERSHIP

Identifying leaders for resource mobilization is absolutely essential and can be harnessed through a Special Task Force convened as soon as possible. The Special Task Force will be responsible for helping raise awareness about the Treaty and the Benefit-sharing Fund within Contracting Parties, as well as among other potential contributors. They will act as ambassadors for the Treaty and should be willing to make contacts within their spheres of influence on behalf of the Benefit-sharing Fund. They will help identify prospects, make appropriate introductions, share their ideas and energetically assist in helping secure contributions for the Benefit-sharing Fund.

The Task Force should be comprised of six to ten members who represent a cross-section of Treaty constituents. Some members might include:

- Former and current ministers of agriculture and foreign affairs;
- Current and former representatives of Contracting Parties;
- Former heads of development agencies;
- Leaders in philanthropy;
- Private sector business leaders;
- Professors, scientists and other experts in the field of plant genetic resources, biodiversity, climate change, development and sustainability.

The Task Force will meet two to three times a year to review progress with regards to securing contributions and to identify new prospects. Task Force members serve at will. It is likely that members of the Task Force will change every one or two years, in order to continuously explore new networks and contacts.

The Role of Contracting Parties

It is also important to note that leadership in implementing the resource mobilization plan is not limited to members of the Task Force. The Treaty has many advocates among its Contracting Parties, and their active participation in initiating and supporting resource mobilization efforts will be vital. The Committee on the Funding Strategy (described later in this section), in particular, should be active in helping secure commitments from Contracting Parties and others. Whenever possible, and if appropriate, the members of the Committee should be involved in identifying and cultivating prospects, and recognising and stewarding donors.

B. DEVELOPING THE CASE STATEMENT

Every resource mobilization plan should start with the creation of a document called the case statement (case). The case statement identifies the critical needs for the Benefit-sharing Fund, and a compelling reason to make contributions to it.

The case will highlight the Treaty's uniqueness as a legally binding instrument with an international mandate in addressing the three priorities of the Funding Strategy. It will demonstrate how the Treaty is well positioned through the Benefit-sharing Fund to advance: technology transfer, information exchange and capacity building; on-farm conservation and management of plant genetic resources; and sustainable use of plant genetic resources. In doing so, it addresses the most pressing global issues of food security, climate change, loss of biodiversity, and the need for agricultural development.

The case statement is:

- An educational document about the International Treaty;
- A tool for engaging leaders and for donor solicitation;
- A logical argument for eliciting support for its needs.

It will include:

- A brief description of the Benefit-sharing Fund and the reasons it was created;
- How the Benefit-sharing Fund fits in with the Treaty's overall strategic direction;
- Achievements to date and vision for its future;
- Special opportunities and challenges unique to the Treaty and the Benefit-sharing Fund.

The case will serve as a reference point throughout the campaign, and will be the primary resource for all subsequent fund raising materials, including one-page Q&As, brochures, newsletters, and others. At later stages, it may be appropriate to fine-tune the case for different prospects and constituencies. For example, private sector prospects may have different priorities than Contracting Parties, just as companies may have different priorities than foundations. Companies may be more interested in the work of the Benefit-sharing Fund as it relates to their work force in specific countries. Foundations may be more interested in addressing larger themes like global food security, or the Millennium Development Goals.

C. DEVELOPING A PROSPECT MANAGEMENT SYSTEM

A prospect management system is a critical tool for fund raising. A thorough prospect management system tracks all activity associated with potential donors, beginning with their initial identification, cultivation, and contribution request and donor stewardship.

Many tools are available to manage the prospect system. A prospect tracking chart (in Excel, Access or specific fund-raising software, for example Raisers Edge, or E-Tapestry) should be constantly monitored and updated with relevant information. This detail would assist the Secretariat and the resource mobilization team in planning and managing strategies. For the selection and establishment of a customized prospect management system, the Secretariat could draw upon the existing experience of other funds and mechanisms, including the Global Crop Diversity Trust.

Key features of prospect management include:

- Entering every prospect into the system. It would also track every contact, including personal meetings, phone calls and correspondence related to securing a contribution;
- Conducting a regular review of prospects and progress made within the Secretariat and the resource mobilization team, but also with the Special Task Force and perhaps with key donor Contracting Parties;
- Earmarking prospects for the initial level of research of wealth indicators, philanthropic giving history, special interests, relationship with the Treaty, or with organizations dedicated to biodiversity and sustainable development;
- Establishing performance measurements that highlight the number of contributions and prospects required to reach the target.

Once identified, prospects should be rated for the timing and level of contribution to be requested and prioritized accordingly. Some prospects will be ready for a request in the short term, while others will require a fair amount of cultivation before it is reasonable to make a contribution request. Other important considerations when formulating a strategic approach to prospects include:

- Reviewing prospect relationships (who knows whom, who might be more successful when making a request);
- Planning appropriate initiatives (e.g. cultivation and donor recognition activities communications calendar);
- Developing written strategies for each prospect;
- Coordinating initiatives with Secretariat staff, the Special Task Force, Contracting Party representatives and other Treaty advocates;
- Evaluating each initiative (is it the right time for a request? when is the right timing? is it a priority now or should it be considered later?);

- Reporting and recording the results of meetings and other cultivation activities;
- Reviewing and revising the written strategy as more information is uncovered.

Prospect management activities will be continuous – over the five years and beyond – as new prospects are identified, rated, cultivated, asked for a contribution and stewarded. The system itself (database and rating structure) will need to be developed in the first six months of the first year.

The successful implementation of a prospect management system will result in enhanced relationships with current and prospective contributors and in more prospects becoming donors.

D. DONOR CULTIVATION

Subsections D through F review activities that fall under the umbrella of donor relations. Each activity is interrelated and reflects an appropriate sequence of establishing and maintaining donor relations.

Cultivation activities educate prospects about the Benefit-sharing Fund and the need for contributions, and are designed to make prospects feel like a part of the effort. Contracting Parties need to be cultivated, just like other prospects. All prospects must understand clearly why their support is needed, how it will be used, and the appropriate contribution level to make the needed impact.

For a number of prospects, initial cultivation steps would be necessary to introduce them to the Treaty and familiarize them with the objectives of the Benefit-sharing Fund. The cultivation period is very important, as it develops personal relationships with the prospects. Cultivation activities might also create good opportunities to present eligible projects, which could not be funded under the Benefit-sharing Fund in previous rounds of the grant cycle, to donors for possible funding.

Cultivation opportunities could include:

- Exclusive events, for example a reception hosted by a Contracting Party, donor, or prominent business leaders, or other well-known personalities to coincide with Treaty meetings;
- Small reception or breakfast meeting for leaders that coincides with other major international conferences where representatives of Contracting Parties and other donors and prospects might attend;
- High-level events at major Treaty meetings, such as the sessions of the Governing Body or meetings of the Committee on the Funding Strategy;
- Access to philanthropic or business leaders by a small select group;
- Lectures by/meetings with pre-eminent experts in biodiversity and sustainability;
- One-on-one meetings with Ministers or other government officials.

Cultivation events should be carefully organised and orchestrated occasions. To ensure success, consideration should be given to:

- Host;
- Duration venue programme;
- Speakers;
- Audience;
- Messages.

Cultivation efforts and events will take place and be carefully planned in each of the five years of the Strategic Plan. The experiences of the Global Crop Diversity Trust may be drawn upon.

E. DONOR RECOGNITION AND ACKNOWLEDGEMENT

Donor recognition is an opportunity to maximise donor involvement and help attract new audiences. It makes donors feel appreciated and that they are part of an important effort.

There should be clear procedures regarding how to acknowledge commitments as they are confirmed. These policies are of particular importance to donors who are not Contracting Parties.

A donor recognition programme will specify the types of recognition a donor receives according to the contribution level. Elements of a recognition system include:

- Inclusion of an honour roll on the Treaty web site, or a link to a special Web site for Treaty donors;
- Acknowledgement on printed materials for Treaty meetings, on brochures annual reports and other publications;
- A press release to the international community and targeted media;
- Participation in award ceremony or other commemorative opportunity;
- Invitation to serve as a leader on the Task Force.

Contributions can also be recognized with invitations to exclusive events or meetings that would provide access to world leaders, policy makers, respected scientists, and others. In addition, a special event, or luncheon exclusively for donors can be developed. These could take place around Treaty meetings and be hosted by a Contracting Party or other stakeholder, making best use of time and resources.

Acknowledging and recognizing donors begins as soon as a contribution is secured, and is already under way since the first contributions have been received and donors are to be recognized. The systems and procedures to make donor

recognition policies more effective should be in place in the first year, and should be updated on an annual basis.

F. DONOR STEWARDSHIP

Once a contribution is secured, and properly acknowledged and recognized, it is vital that the Treaty continue to communicate and share important information about the impact of the donation. Focused, relevant and timely contacts will help maintain a strong relationship and improve opportunities for repeat and increased giving.

Donor stewardship should be an element of the overall communications plan of the Treaty. Methods of communicating with donors (and prospects) include:

- Electronic newsletter about the Treaty's activities and the Benefit-sharing Fund's progress;
- Annual Report and Financial Statement;
- Annual Letter that can accompany the Annual Report that includes a summary of fund raising successes and accomplishments of the Benefit-sharing Fund;
- Regular updates on projects that have received disbursements from the Benefit-sharing Fund;
- Detailed progress reports. Some contributors will require detailed updates, and the Treaty will need to develop its capacity to produce these reports as the volume of activity increases.

As mentioned in the Donor Recognition section, an annual event can be coordinated in conjunction with Sessions of the Governing Body, or other intersessional Treaty meetings.

G. COMMUNICATIONS

Building awareness about the Treaty will be a determining factor in the Strategic Plan's success. The Treaty needs to significantly raise its profile in the international community, including among its own Contracting Parties, international organizations, and in the private sector. Communications will encompass a wide range of activities, including participation in meetings, holding of press conferences, announcing major contributions, sending publications such as newsletters and annual reports, and enhancing other communication tools, such as the website.

Activities should include to:

- Participate in international conferences and events: Develop a list of key international conferences addressing issues of food security, biodiversity, and sustainable development where it would be appropriate for the Secretariat or representatives of Contracting Parties to participate and help raise awareness about the Treaty.
- Organize high-level awareness raising events at major Treaty meetings: Make use of major Treaty meetings for high-level awareness raising, which is likely to translate into prospect identification and donor cultivation opportunities.
- Align the Treaty more directly with advancing the Millennium Development Goals: The Treaty directly addresses three of the eight Millennium Development Goals (MDG): (i) ending poverty and hunger; (ii) ensuring environmental sustainability; and (iii) developing a global partnership for development. Many Contracting Party funding agencies base their priorities on the MDGs, and it would be beneficial to create documents that clearly outline how the Treaty addresses these goals.
- Communicate to the broadest possible audience: Develop more promotional and fundraising pieces (e.g. brochures, white papers, digital media) that are designed for readers who know little about the Treaty or the Benefit-sharing Fund. Documents written for a non-technical audience will serve many constituencies and will prove useful when communicating with Contracting Parties and other contributors alike. This should also include outreach to mainstream media since public awareness is critical to the success of such funds.
- Involve National Focal Points of the Treaty in the communication effort: Make use of the important role National Focal Points can play for the information flow between their countries and the Treaty and vice versa.
- Create a special site within the Treaty's web site for the Benefit-sharing Fund: Once the Benefit-sharing Fund has been fully implemented, the web site should provide detailed information about the projects funded and report on their impact and sustainability. It should also list eligible and worthy projects that lack sufficient funding.
- Create standard talking points about the Treaty and the Benefit-sharing Fund for Contracting Parties, and friends of the Treaty: Contracting Party representatives and other Treaty advocates would benefit from standard talking points (that can be customised as needed) that highlight the most important aspects of the Treaty and the Benefit-sharing Fund that can be used for meetings.

H. OPERATION OF THE BENEFIT-SHARING FUND

It is vital for the Treaty to establish an efficient, transparent and effective system to manage financial and operational aspects of the Benefit-sharing Fund. The systems will have to account for each step of the Benefit-sharing Fund's project cycle:

- Opening call for proposals;
- Receipt and processing of pre-proposals;
- Screening and responding to pre-proposals;
- Receiving and processing full proposals;
- Appraisal of full proposals;
- Approval of projects for funding;
- Concluding project agreements with recipients;
- Oversight and reporting on projects;
- Evaluation of the operation of the Benefit-Sharing Fund and of projects funded.

Systems should include:

- A project management and information system: The system must be able to track, compile, and report on all activities that relate to the project cycle. It will contain benchmark data, contact information, correspondence, and basic reports;
- Administrative policies and procedures: To guide the practical operation of the Benefit-sharing Fund, clear and transparent administrative policies and procedures for the day-to-day management of the project cycle and for the receipt, management, and disbursement of funds have to be set up. They will need to ensure some flexibility for the management of funds and their timely spending;
- A review process: a regular schedule for the panel of experts to review proposals submitted for project funding;
- Evaluation: regular assessments and evaluation of (i) the operation of the Benefit-sharing Fund; and (ii) the impact and sustainability of projects receiving funding.

I. A COMMITTEE ON THE FUNDING STRATEGY

A Committee on the Funding Strategy should be convened and hold regular meetings in the intersessional periods to guide and support the implementation of the Strategic Plan. The Funding Strategy is in a fully operational phase, but is still establishing and consolidating many of its procedures and working routines. It is of high importance that this specialised subsidiary body of the Governing Body provides ongoing advice to ensure smooth and transparent implementation of the Funding Strategy.

As Contracting Parties are best placed to emphasize the strong political support the Funding Strategy enjoys, they need to be directly involved in mobilizing the required resources under the Strategic Plan. Therefore, Members of the Committee will need to be actively engaged in carrying out the resource mobilization activities foreseen in the Strategic Plan. The Committee will also provide advice on operational aspects of the Benefit-sharing Fund.

J. RESOURCE AND STAFFING IMPLICATIONS

Resources should be allocated in the budget to implement and staff the resource mobilization effort. Consistent with other similar organizations during the start-up phase, initial investments can total 10-15 percent of the target. These levels will decrease over time to a sustainable level of 5-10 percent. For planning purposes the Treaty will base its resources and staffing on the initial working target of USD 50 million.

During the start-up phase, some functions could be outsourced to put adequate operational systems in place quickly, while not incurring long-term costs. After a specified time period (approximately 3-6 months), responsibility would be transferred to a fulltime Treaty staff person. Key core capacities needed in a resource mobilization initiative are:

- Experience soliciting major contributions;
- Prospect management and prospect research skills;
- Proposal writing;
- Strong vision and leadership to meet specified targets.

At least one full-time senior professional dedicated to resource mobilization should be recruited for the first year. Professionals should be added as fund raising targets and activity benchmarks are met.

If, after the first eighteen months, the Benefit-sharing Fund is achieving its financial goals and additional prospects are moving through the process, the Treaty should be in a position to add a second professional officer to expand fund raising efforts.

Similarly, if, by the third year, the Treaty is on target to reach the USD 116 million objective, investments in resources and staffing should be increased accordingly.

Table 7 below, provides an example of how staff might be added for the resource mobilization effort based on the initial working target of USD 50 million over five years. This is a guide, and the Treaty should be flexible and responsive to evolving needs.

Table 7: Resource and staff investments over five year period based on the initial working target of USD 50 million

Year	Staffing and Implementation
<p>Year 1</p> <p>18 months: July 2009 – December 2010</p>	<p><i>Staff:</i></p> <ul style="list-style-type: none"> • Interim Senior Officer for Resource Mobilization (6 months). • Senior Officer for Resource Development (appointment in 2010). Plans and implements all fund raising initiatives oversees cultivation events. <p><i>Annual Activities:</i></p> <ul style="list-style-type: none"> • Begin cultivation of top 10 prospects from Contracting Parties and other contributors. • Set up fund raising systems - prospect tracking grants management; develop cultivation event calendar; develop case statement, prospect solicitation plans, briefing materials and other written materials.
<p>Year 2</p> <p>2011</p>	<p><i>Staff:</i></p> <ul style="list-style-type: none"> • Senior Officer 2 for Resource Mobilization: oversees portfolio of foundation and private sector prospects, develops individualised cultivation and solicitation plans, assist with cultivation events. • Administrative Support: Prepare correspondence, track acknowledgements, assist with events. <p><i>Annual Activities:</i></p> <ul style="list-style-type: none"> • Cultivation and stewardship events, newsletters, participation in key global meetings.
<p>Year 3</p> <p>2012</p>	<p><i>Staff</i></p> <ul style="list-style-type: none"> • Senior Officer 3 for Resource Mobilization: Oversees portfolio of foundation and donor advised funds, conducts prospect research. <p><i>Annual Activities:</i></p> <ul style="list-style-type: none"> • Cultivation events solicitation events, newsletters and other communications, participation in key global meetings.
<p>Year 4</p> <p>2013</p>	<p><i>Staff:</i></p> <ul style="list-style-type: none"> • Professional Officer 1: conduct prospect research to uncover new prospects for cultivation, assist with cultivation and recognition events. <p><i>Annual Activities:</i></p> <ul style="list-style-type: none"> • Cultivation events, solicitation events, newsletters and other communications, participation in key global meetings.
<p>Year 5</p> <p>2014</p>	<p><i>Staff:</i></p> <ul style="list-style-type: none"> • Professional Officer 2: oversees portfolio of individual prospects. <p><i>Annual Activities:</i></p> <ul style="list-style-type: none"> • Cultivation events, solicitation events, newsletters and other communications, participation in key global meetings.
<p>Total Investments in Resource Mobilization Needed</p>	<p>USD 4 million - USD 5 million over five years</p>

Resources will also need to be allocated toward the operation of the Benefit-sharing Fund. As the Benefit-sharing Fund grows and the number of proposals, grants awarded, and grant amounts increase, a more robust grants administration programme will be needed. This work would involve: (i) financial oversight of funds raised and disbursed; (ii) enforcing and follow-up on reporting from grantees; (iii) annual reporting to donors and funders; and (iv) data entry and other administrative functions. Overall, this will amount to about USD five million over the entire 5 year period of implementation of the Strategic Plan. The cost of administering the Benefit-sharing Fund in the start-up phase is approximately 12 percent of the funds disbursed. This rate might decrease as the programme matures.

Alternatively, these functions could be outsourced to companies that provide grant and contract administration, secure payment distribution, and also oversee critical reporting functions. This might keep costs for staff and overhead slightly lower, and allow the Treaty to expend more funds on implementing grants.

An additional and attractive alternative includes partnering with other international organizations that disburse grants, which would allow the Benefit-sharing Fund to avoid creating a new infrastructure to support the grant cycle process.

IV. IMPLEMENTING THE PLAN

This section provides a brief overview of how the Elements of the Strategic Plan described in Section III are implemented on an annual basis. Activities will vary slightly from year to year. Year one is particularly important as the systems, procedures, databases, calendars and initial communication and outreach efforts will need to be set up for the first time. Once they are established, they will remain in place for activities in subsequent years. It is vital that the Treaty makes an investment in human resources as well as systems in order to effectively implement the Strategic plan. Progress on implementation will be reported to the Governing Body on a regular basis.

It has to be noted that this section provides general guidance for the implementation of the Strategic Plan and should not be interpreted as prescriptive.

Table 8 below summarises the implementation plan.

Table 8: Summary of Implementation Activities by year

	Resource Mobilization Activities	Year 16/2009 – 2010					Year 2 -2011				Year 3 - 2012				Beyond Year 3	
		Q1	Q2	Q3	Q4	Q5	Q6	Q1	Q2	Q3	Q4	Q1	Q2	Q3		Q4
Case for Support	1. Leadership contribution prospectus															
	2. Leadership and contribution request proposals															
	3. Q&A guide for the case for support															
	4. Private-sector version of the case for support															
	5. Determine comprehensive recognition strategies for contributions															
Systems & Support	6. Contribution receipt procedures															
	7. Build database and research systems															
	8. Assign staff, hire resource mobilization staff															
	9. Prospect tracking charts															
	10. Process for receiving and acknowledging contributions															
	11. Design management reports															
	12. Overall meeting schedule															
	13. Operational budget															
Prospects & Requests	14. Contribution crediting policy															
	15. Source vendors															
	16. Lists of prospective contributors															
	17. Prospect research (individuals)															
	18. Prospect research (private sector)															
	19. Prospect research (foundations)															
	20. Develop contribution request strategies															
Engage & Train	21. Scheduling contribution request meetings															
	22. Contribution request briefings for leadership															
	23. Coordinating follow-up to contribution requests, documenting contributions															
	24. Q&A guide for the Benefit-sharing Fund															
	25. Training manuals for leaders															
	26. Job descriptions for leaders															
	27. Engaging and training of leaders															
Communications	28. Benefit-sharing Fund newsletter															
	29. Recognise contributors on the website															
	30. Agenda, briefings, and follow-up for leadership and cultivation meetings															
	31. Teleconferences with key leadership															
	32. Targeted communications to private sector prospects															
	33. Benefit-sharing Fund web-page developed															
Cultivation	34. Cultivation plan – purpose, format, proposed events															
	35. Cultivation events															
	36. Speaking points for cultivation events															
	37. Thank you letters															
Stewardship	38. Commemorative recognition for contributors															
	39. Pledge statements and pledge reminder letters (template)															
	40. Grant reports to foundation donors															

Year One – 18 months beginning July 2009 ending December 2010

- Develop a compelling case for support.
- Identify leadership for the Task Force and convene two to three meetings over the year.
- Identify the top ten immediate prospects for the Benefit-sharing Fund.
- Begin the cultivation process of top prospects. Whenever appropriate and feasible, members of the Task Force and from the Committee on the Funding Strategy should be involved.
- Prepare key communication pieces, media and outreach efforts.
- Establish operational procedures for processing and accepting contributions and sending acknowledgments and other correspondence.
- Create a prospect management tracking system and database.
- Have a robust and transparent grants administration system in place.
- Set up a project management and information system for the Benefit-sharing Fund.
- Continue the first round of the project cycle and initiate the second round of the project cycle.
- Invest in appropriate staff to oversee the implementation over the first year.
- Meet the annual fund raising target for the year.

Year Two – 2011

By the second year, the basic systems to run a resource development operation will be in place. Focus should be on broadening the prospect pool through continued cultivation and research. The Benefit-sharing Fund has secured donations, so stewardship activities should commence. The Fourth Session of the Governing Body which might take place during the second year would be an opportunity to report results, determine whether to increase the five-year target, create high-level awareness of the Treaty, and conduct donor recognition and stewardship events.

- Begin stewarding donors. Send donors e-newsletters about the Benefit-sharing Fund, as well as formal reports on how contributions were expended, outline progress as well as any unforeseen setbacks and the overall impact of the funds disbursed through the Benefit-sharing Fund.
- Continue cultivation of existing prospects.
- Coordinate meetings of the Task Force.
- Broaden the prospect pool with targeted research on key foundations, companies and individuals, rate and enter into the prospect management system. Continue to record contacts with prospects.
- Fine tune the case for support for different constituencies.
- Plan a donor recognition event that acknowledges donor participation in the Benefit-sharing Fund to coincide with the Fourth Session of the Governing Body.
- Continue to manage the Benefit-sharing Fund project cycle.

- Evaluate and assess the overall programme and operation of the Benefit-sharing Fund.
- Hire additional professional staff for resource mobilization and operation of the Benefit-sharing Fund.
- Meet the annual fund raising target.

Year Three – 2012

Year three will continue the initiatives established over the first two years. The results of proper donor stewardship will become apparent this year. Some of the grants made in the first year will be fulfilled, and it will be time to request continued, and ideally, increased funding. During the third year, the Treaty should also weigh its options for staffing the Benefit-sharing Fund and the resource mobilization process. It would be an appropriate time to weigh outsourcing administrative or other functions.

Because the Fund has already secured broad support from Contacting Parties, and been cultivating relationships with other contributors, a major private sector grant can be secured this year. Stewardship activities will continue. The Fund will have completed its first grant cycles, so there will be an established history of success, and many stories to share with prospects and donors. This should be done with regular email communications and newsletters, web site updates, and donor reports.

- The Task Force should continue to meet. Some members may end their tenure, while some new members may be added.
- Solicit and secure repeat contributions from established donors.
- Continue cultivation activities.
- Continue identifying rating and assessing new prospects.
- Continue donor recognition and stewardship activities. Celebrate the successes of the Benefit-sharing Fund.
- Continue to manage the Benefit-sharing Fund project cycle.
- Meet the annual fund raising target.

Year Four – 2013

The cycle continues, and activities in the fourth year will not differ from those in the third. The scale of activities will grow, as there are more donors, and prospects to oversee. This year might coincide with the Fifth Session of the Governing Body and would be a time to evaluate the success, and assess targets for the next five years, evaluate the overall operation of the Benefit-sharing Fund, and raise high-level awareness of the Treaty.

Year Five – 2014

By year five, the Treaty's resource mobilization effort should be fully-established, with a regular and predictable inflow of funds from its major constituencies.

Continued and ongoing investment in core activities will enable the Treaty to fund larger projects and programmes via the Benefit-sharing Fund to strengthen and deepen its impact.

V. ANNEX

A. RESOURCE MOBILIZATION RESULTS OF SELECTED MULTILATERAL ORGANIZATIONS

Table 9: Global Crop Diversity Trust Funding 2003 – 2007

	2003	2004	2005	2006	2007	Five Year Total
Endowment Fund (USD)	3 455 672	6 626 691	21 174 847	9 763 713	34 341 250	75 362 173

Table 10: Global Fund for AIDS, Tuberculosis, and Malaria Funding 2003 vs. 2007

	2003	% of Total	2007	% of Total	Change USD / %
Government	779 374 000	100%	2 816 433 000	98	2 037 059 000 361 %
Private Sector	2 442 000	0%	49 224 000	2	46 782 000 2 016 %
Other	0	0%	47 224	0	47 224
Total	781 818 002	100%	2 865 706 231	100	2 083 888 224 367%

Table 11: UNICEF Funding 2003 vs. 2007

	2003	% of Total	2007	% of Total	Change USD / %
Government	1 136 000 000	67	1 747 535 609	58	611 535 609 154%
Private Sector & NGOs	492 062 767	29	873 767 804	29	381 705 037 178%
UN Agencies	22 937 233	1	225 974 432	8	203 037 199 985%
Other	37 000 000	2	165 714 584	6	128 714 584 448%
Total	1 688 000 000	100	3 012 992 429	100	1 324 992 429 178%

Figure 3: International Rescue Committee Funding 2004 – 2008

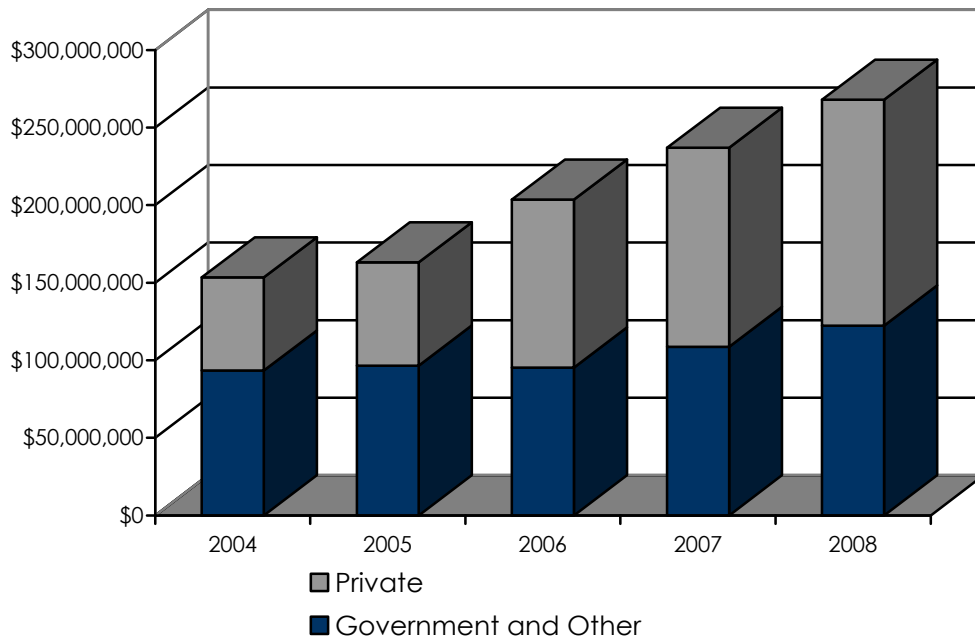


Table 12: International Rescue Committee Funding 2004 - 2007

	2004	2005	2006	2007	2008
Non-Government Funding (USD thousand)	60 043	66 503	108 219	128 336	145 532
Non Government Funding as % of Total	39	41	53	54	54
Government and Other Funding (USD thousand)	93 361	96 569	95 353	108 639	122 347
Government and Other Funding as % of Total	61	59	47	46	46
TOTAL (USD thousand)	153 404	163 072	203 573	236 976	267 879

B. OFFICIAL DEVELOPMENT ASSISTANCE FLOWS 2007

Table 13: ODA Flows 2007

Country	ODA for Agriculture 2007 (in USD million)	Total ODA Flows 2007 (in USD million)
Australia	82.48	2 268.06
Austria	12.3	1 381.51
Belgium	38.88	1 319.16
Canada	73.25	3 715.08
Denmark	75.44	1 481.45
Finland	14.91	650.5
France	664.93	8 463.53
Germany	186.3	9 644.36
Greece	3.89	249.19
Ireland	35.59	824.06
Italy	50.79	1 464.88
Japan	588.32	12 867.63
Luxembourg	11.3	253.45
Netherlands	57.59	4 800
New Zealand	3.04	247.08
Norway	75.08	2 882.72
Portugal	1.98	276.51
Spain	88.05	3 640.68
Sweden	100.57	2 932.22
Switzerland	56.19	1 280.43
United Kingdom	95.6	7 379.27
United States	1 214.06	24 724.5
EC	378.36	13 437.4
Czech Republic	2.2	80.95
Korea	94.02	1 056.21
Turkey	1.87	544.96
All Development Assistance Committee Countries	4 006.99	107 867.79
CONTRACTING PARTIES TOTAL	2 201.57	70 026.58

Note: Shading indicates Contracting Parties as of March 2009

Source: OECD Statistics: <http://stats.oecd.org/wbos>

C. FOUNDATION GRANTS

Table 14: Large US Foundations – 1980, 1993, 2006

Rank	Foundation	1980		Foundation	1993		Foundation	2006	
		Assets	Giving		Assets	Giving		Assets	Giving
		(USD billion)	(USD billion)		(USD billion)	(USD billion)		(USD billion)	(USD billion)
1	Ford	2.8	0.1	Ford	6.9	0.29	Gates	33	1.54
2	Pew	1.1	0.05	Kellogg	5	0.24	Ford	12.3	0.53
3	RW Johnson	1	0.04	Pew	3.5	0.15	R.W. Johnson	9.8	0.33
4	Rockefeller	1	0.04	R.W. Johnson	2.3	0.09	Hewlett	8.5	0.21
5	Mellon	0.88	0.06	MacArthur	3.1	0.09	Kellogg	7.8	0.26
6	Lilly	0.86	0.03	Lilly	2.8	0.13	Lilly	7.3	N/A
7	Kellogg	0.77	0.05	Rockefeller	2.3	0.13	Packard	6.4	0.24
8	Kresge	0.66	0.03	Mellon	2.3	0.09	MacArthur	6.1	0.22
9	Mott	0.42	0.03	Annenberg	1.6	0.14	Mellon	5.8	0.17
10	Duke	0.38	0.03	Woodruff	1.6	0.05	Moore	5.7	0.23

Source: Foundation Centre

Table 15: Top U.S Foundations Awarding Grants Outside the United States

Top 50 U.S. Foundations Awarding Grants Outside the U.S., circa 2006

Foundation Name	Foundation		Dollar Amount	No. of Grants
	State	Type ¹		
1. Bill & Melinda Gates Foundation	WA	IN	\$1,075,418,392	78
2. The Ford Foundation	NY	IN	179,572,062	864
3. The Rockefeller Foundation	NY	IN	92,662,451	110
4. W. K. Kellogg Foundation	MI	IN	54,212,703	170
5. The William and Flora Hewlett Foundation	CA	IN	38,799,368	70
6. John D. and Catherine T. MacArthur Foundation	IL	IN	33,547,181	146
7. Hansjoerg Wyss Foundation	PA	IN	22,558,144	7
8. The Andrew W. Mellon Foundation	NY	IN	21,623,600	85
9. The Susan Thompson Buffett Foundation	NE	IN	20,143,115	17
10. Charles Stewart Mott Foundation	MI	IN	18,126,122	155
11. Carnegie Corporation of New York	NY	IN	15,267,489	31
12. Gordon and Betty Moore Foundation	CA	IN	15,249,246	34
13. International Federation of Red Cross and Red Crescent Societies	NY	IN	14,697,348	48
14. The David and Lucile Packard Foundation	CA	IN	12,893,025	60
15. The AVI CHAI Foundation	NY	IN	11,118,094	5
16. Arthur S. DeMoss Foundation	FL	IN	10,666,409	5
17. Alcoa Foundation	PA	CS	9,038,156	224
18. The McKnight Foundation	MN	IN	8,601,000	41
19. World Children's Fund	CA	IN	8,509,865	4
20. The Bristol-Myers Squibb Foundation, Inc.	NY	CS	8,411,950	96
21. Legacy Heritage Fund Limited	NY	IN	7,248,130	23
22. BP Foundation, Inc.	IL	CS	5,665,942	15
23. Rockefeller Brothers Fund, Inc.	NY	IN	5,492,001	65
24. Open Doors International, Inc.	CA	OP	5,385,990	3
25. The Annenberg Foundation	PA	IN	5,213,428	12
26. The Packard Humanities Institute	CA	OP	5,155,382	13
27. A Glimmer of Hope Foundation	TX	IN	5,105,247	2
28. Koch Foundation, Inc.	FL	IN	5,061,120	366
29. Energy Foundation	CA	IN	4,790,000	76
30. Ted Arison Charitable Trust	FL	IN	4,772,000	14
31. The Harry and Jeanette Weinberg Foundation, Inc.	MD	IN	4,661,000	10
32. Christian A. Johnson Endeavor Foundation	NY	IN	4,609,832	6
33. Richard and Rhoda Goldman Fund	CA	IN	4,454,000	58
34. Intel Foundation	OR	CS	4,362,256	67
35. The Starr Foundation	NY	IN	4,310,000	11
36. Edward C. Johnson Fund	MA	IN	3,993,579	9
37. J. Paul Getty Trust	CA	OP	3,826,446	37
38. Ted Arison Family Foundation USA, Inc.	FL	IN	3,805,702	75
39. The Christensen Fund	CA	IN	3,641,558	50
40. The JPMorgan Chase Foundation	NY	CS	3,512,756	90
41. Community Foundation Silicon Valley	CA	CM	3,397,558	41
42. GE Foundation	CT	CS	3,392,552	40
43. Alfred P. Sloan Foundation	NY	IN	3,332,015	22
44. Open Society Institute	NY	OP	3,259,964	25
45. Banyan Tree Foundation	DC	IN	3,216,440	43
46. The Kresge Foundation	MI	IN	3,187,060	6
47. The UPS Foundation	GA	CS	3,117,088	73
48. James S. McDonnell Foundation	MO	IN	2,571,741	18
49. Western Union Foundation	CO	OP	2,502,125	53
50. Ochylski Family Foundation	IA	IN	2,500,000	5
Total			\$1,796,658,632	3,578

Source: The Foundation Center, 2008. Due to rounding, figures may not add up. Based on grants of \$10,000 or more awarded by a national sample of 1,263 larger U.S. foundations (including 800 of the 1,000 largest ranked by total giving). For community foundations, only discretionary grants are included. Grants to individuals are not included in the file.

¹IN = Independent Foundation; CM = Community Foundation; CS = Corporate Foundation; OP = Operating Foundation.

Source: Foundation Centre

Table 16: Top Non-U.S. Recipients of U.S. Foundation Grants

Top 50 Non-U.S. Recipients of U.S. Foundation Grants, circa 2006

Recipient Name	Country	Dollar Amount	No. of Grants
1. Global Fund to Fight AIDS, Tuberculosis and Malaria	Switzerland	\$501,460,350	4
2. World Health Organization	Switzerland	155,372,449	37
3. Programs for a Green Revolution in Africa	Kenya	150,000,000	6
4. Bangladesh Rural Advance Commission (BRAC)	Bangladesh	40,167,972	2
5. Liverpool School of Tropical Medicine	England	27,935,210	2
6. University College London	England	25,334,158	1
7. International Vaccine Institute	South Korea	21,618,528	2
8. International Federation of Red Cross and Red Crescent Societies	Switzerland	20,016,065	25
9. Fondation Beyeler	Switzerland	19,445,000	1
10. Imperial College of Science, Technology and Medicine	England	19,256,621	3
11. INDEPTH Network	Ghana	17,606,474	3
12. Ministry of Culture of the Republic of Latvia	Latvia	16,231,000	1
13. Marie Stopes International	England	15,737,657	22
14. Centre Hospitalier Universitaire Vaudois	Switzerland	15,708,281	2
15. Public Health Foundation of India	India	15,000,000	1
16. University of York	England	13,605,037	1
17. Asian Vegetable Research and Development Center	Taiwan	12,083,990	1
18. Avi Chai	Israel	10,176,800	2
19. United Nations High Commissioner for Refugees	Switzerland	10,050,875	2
20. Foundation for Innovative New Diagnostics	Switzerland	9,804,500	1
21. Fundacio Clinic per a la Recerca Biomedica	Spain	9,053,061	5
22. European and Developing Countries Clinical Trials Partnership	Netherlands	8,500,000	1
23. Planned Parenthood Federation, International	England	8,225,000	8
24. Fraunhofer-Gesellschaft	Germany	7,493,155	1
25. Confederation of Independent States Ministries	Russia	7,424,924	1
26. International Maize and Wheat Improvement Center	Mexico	6,949,110	3
27. Swiss Tropical Institute	Switzerland	6,865,420	2
28. Kings College London	England	6,858,952	6
29. University of Cape Town	South Africa	6,710,435	26
30. BBC World Service Trust	England	6,387,422	2
31. MicroSave India	India	6,322,709	1
32. United Nations Programme on HIV/AIDS	Switzerland	5,436,074	3
33. Open Doors Philippines	Philippines	5,033,533	1
34. Trust for Civil Society in Central and Eastern Europe	Bulgaria	5,000,000	1
35. Stefan Batory Foundation	Poland	5,000,000	2
36. Medical Research Council	England	4,785,723	4
37. A Glimmer of Hope-Ethiopia	Ethiopia	4,531,837	1
38. Open University	England	4,500,000	2
39. Charities Aid Foundation (UK)	England	4,491,043	8
40. Vancouver Aquarium Marine Science Center	Canada	4,391,219	4
41. African Malaria Network Trust (AMANET)	Tanzania	4,182,729	2
42. Rostros y Voces	Mexico	4,174,614	4
43. University of the Witwatersrand	South Africa	4,067,000	13
44. Cambridge University	England	4,053,023	7
45. Missionaries of the Poor, Sisters	Philippines	4,018,871	1
46. Secretaria Obras Sociales Esposa Presidente	Guatemala	3,971,220	1
47. University of KwaZulu-Natal	South Africa	3,900,260	12
48. European College of Liberal Arts	Germany	3,896,584	2
49. Willows Foundation	Turkey	3,871,934	2
50. Makerere University	Uganda	3,854,875	7
Total		\$1,280,561,694	252

Source: The Foundation Center, 2008. Due to rounding, figures may not add up. Based on grants of \$10,000 or more awarded by a national sample of 1,263 larger U.S. foundations (including 800 of the 1,000 largest ranked by total giving). For community foundations, only discretionary grants are included. Grants to individuals are not included in the file.

Source: Foundation Centre

Table 17: U.S. Foundation International Grants by Category

International Grants by Subject Category, 2006*									
Subject	Dollar Value of Grants		No. of Grants		Subject	Dollar Value of Grants		No. of Grants	
	Amount	%	No.	%		Amount	%	No.	%
International Affairs					Environment and Animals				
Peace and Security	\$113,882	2.7	490	3.7	Environment	\$274,585	6.5	1,065	8.1
Foreign Policy	30,850	0.7	162	1.2	Animals and Wildlife	45,724	1.1	239	1.8
Promoting International Understanding	61,768	1.5	375	2.9	Total Environment and Animals	\$331,859	7.9	1,432	10.9
International Affairs, Research/Policy	11,985	0.3	28	0.2	Arts and Culture				
International Terrorism	3,862	0.1	26	0.2	Arts--Multipurpose	\$57,149	1.4	264	2.0
International Affairs/Other	25,246	0.6	165	1.3	Media and Communications	24,567	0.6	170	1.3
Total International Affairs	247,593	5.9	1,246	9.5	Visual Arts/Museums	22,000	0.5	128	1.0
International Development, Relief					Performing Arts	25,788	0.6	144	1.1
Community/Economic Development	\$162,196	3.9	728	5.6	Humanities	13,187	0.3	124	0.9
Agricultural Development	301,777	7.2	302	2.3	Historic Preservation	10,784	0.3	71	0.5
Relief/Humanitarian Aid	136,745	3.2	756	5.8	Other	3,578	0.1	97	0.7
Development/Relief/General	212,527	5.0	832	6.3	Total Arts and Culture	\$157,054	3.7	998	7.6
Human Services	66,464	1.6	778	5.9	Science and Technology				
Total International Development, Relief	\$879,709	20.9	3,396	25.9	General Science	\$10,513	0.2	48	0.4
Health					Life Science	13,098	0.3	59	0.5
General and Rehabilitative					Other	12,816	0.3	116	0.9
Public Health	\$178,161	4.2	321	2.4	Total Science and Technology	\$36,427	0.9	223	1.7
Hospitals and Medical Care	675,039	16.0	183	1.4	Human Rights, Civil Liberties				
Reproductive Health Care	83,476	2.0	451	3.4	Human Rights	\$73,851	1.8	466	3.6
General and Rehabilitative Subtotal	936,676	22.2	955	7.2	Migration, Refugee Issues	24,565	0.6	99	0.8
Specific Diseases	488,110	11.6	154	1.2	Civil Liberties/Legal Services	43,683	1.0	334	2.5
Medical Research	366,656	8.7	411	3.1	Total Human Rights, Civil Liberties	\$142,100	3.4	899	6.9
Mental Health	2,938	0.1	52	0.4	Public Affairs/Society Benefit¹	\$163,189	3.9	699	5.3
Total Health	\$1,794,380	42.6	1,572	12.0	Religion	\$59,564	1.4	659	5.0
Social Sciences					Other	\$838	0.0	18	0.1
Economics	\$8,936	0.2	36	0.3	Total Grants	\$4,205,385	100.0	13,029	100.0
Population Studies	19,603	0.5	52	0.4					
International Law	9,510	0.2	32	0.2					
Social Sciences/Other	8,084	0.2	59	0.5					
International Area Studies	88,398	2.1	228	1.7					
Women's Studies	2,909	0.1	15	0.1					
Interdisciplinary/Other	10,037	0.2	80	0.6					
Total Social Sciences	\$147,476	3.5	502	3.8					
Education									
Elementary and Secondary	\$98,860	2.3	408	3.1					
Higher Education	46,430	1.1	235	1.8					
Graduate and Professional	32,777	0.8	374	2.9					
Adult and Continuing	810	0.0	13	0.1					
Library Science/Libraries	25,857	0.6	59	0.5					
Other	40,463	1.0	296	2.3					
Total Education	\$245,197	5.8	1,385	10.6					

Source: The Foundation Center, 2008.

*All dollar figures expressed in thousands; due to rounding, figures may not add up. Based on grants of \$10,000 or more awarded by a national sample of 1,263 larger U.S. foundations (including 800 of the 1,000 largest ranked by total giving). For community foundations, only discretionary grants are included. Grants to individuals are not included in the file. International grants include: 1) cross-border grants and 2) grants to U.S.-based international programs.

¹The Public Affairs/Society Benefit category includes grants for public affairs, philanthropy, and general grants to promote civil society. Some civil society grants are captured in other categories, such as human rights and international development.

Source: Foundation Centre

Table 18: U.S. Foundation International Grants – Development and Relief

International Development, Relief				
Community/Economic Development	\$162,196	3.9	728	5.6
Agricultural Development	301,777	7.2	302	2.3
Relief/Humanitarian Aid	136,745	3.2	756	5.8
Development/Relief/General	212,527	5.0	832	6.3
Human Services	66,464	1.6	778	5.9
Total International Development, Relief	\$879,709	20.9	3,396	25.9

Source: Foundation Centre

D. INDICATIVE CASH FLOWS FOR THE BENEFIT-SHARING FUND

Table 19: Indicative Cash Flows for USD 116 Million Objective 2010 -2016

	Indicative Pledges		Indicative Cash Flow on Three-Year Pledges (USD)							
	Number	Level (USD)	2010	2011	2012	2013	2014	2015	2016	
Year 1	1	3 000 000	1 000 000	1 000 000	1 000 000					
	2	2 000 000	1 333 333	1 333 333	1 333 333					
	1	1 000 000	333 333	333 333	333 333					
	4	500 000	666 667	666 667	666 667					
	Target	10 000 000	3 333 333	3 333 333	3 333 333					
Year 2	1	5 000 000		1 666 667	1 666 667	1 666 667				
	1	3 000 000		1 000 000	1 000 000	1 000 000				
	3	2 000 000		2 000 000	2 000 000	2 000 000				
	2	1 000 000		666 667	666 667	666 667				
	2	500 000		333 333	333 333	333 333				
	Target	17 000 000		5 666 667	5 666 667	5 666 667				
Year 3	1	5 000 000			1 666 667	1 666 667	1 666 667			
	2	3 000 000			2 000 000	2 000 000	2 000 000			
	3	2 000 000			2 000 000	2 000 000	2 000 000			
	5	1 000 000			1 666 667	1 666 667	1 666 667			
	2	500 000			333 333	333 333	333 333			
	Target	23 000 000			7 666 667	7 666 667	7 666 667			
Year 4	1	7 500 000				2 500 000	2 500 000	2 500 000		
	1	5 000 000				1 666 667	1 666 667	1 666 667		
	2	3 000 000				2 000 000	2 000 000	2 000 000		
	4	2 000 000				2 666 667	2 666 667	2 666 667		
	2	1 000 000				666 667	666 667	666 667		
	1	500 000				166 667	166 667	166 667		
	Target	30 000 000				9 666 667	9 666 667	9 666 667		

Table 19: Indicative Cash Flows for USD 116 Million Objective 2010 -2016

	Indicative Pledges		Indicative Cash Flow on Three-Year Pledges (USD)							
	Number	Level (USD)	2010	2011	2012	2013	2014	2015	2016	
Year 5	1	10 000 000					3 333 333	3 333 333	3 333 333	
	1	7 500 000					2 500 000	2 500 000	2 500 000	
	1	5 000 000					1 666 667	1 666 667	1 666 667	
	2	3 000 000					2 000 000	2 000 000	2 000 000	
	2	2 000 000					1 333 333	1 333 333	1 333 333	
	4	1 000 000					1 333 333	1 333 333	1 333 333	
	1	500 000					166 667	166 667	166 667	
	Target	36 000 000					12 333 333	12 333 333	12 333 333	
			Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Total Cash
40-50	Grand Total		3 333 333	9 000 000	16 666 667	23 000 000	29 666 667	22 000 000	12 333 333	116 000 000

Table 20: Indicative Cash Flows for USD 50 million working target 2010-2016, for resourcing and staffing purposes for internal use and guidance of the Secretariat

	Indicative Pledges		Indicative Cash Flow on Three-Year Pledges (USD)							
	Number	Level (USD)	2010	2011	2012	2013	2014	2015	2016	
Year 1	2	1 000 000	666 667	666 667	666 667					
	1	500 000	166 667	166 667	166 667					
	Target	2 500 000	833 333	833 333	833 333					
	1	2 000 000		666 667	666 667	666 667				
	3	1 000 000		1 000 000	1 000 000	1 000 000				
	1	500 000		166 667	166 667	166 667				
	Target	5 500 000		1 833 333	1 833 333	1 833 333				
Year 3	1	3 000 000			1 000 000	1 000 000	1 000 000			
	2	2 000 000			1 333 333	1 333 333	1 333 333			
	3	1 000 000			1 000 000	1 000 000	1 000 000			
	0	500 000								
	Target	10 000 000			3 333 333	3 333 333	3 333 333			
Year 4	1	3 000 000				1 000 000	1 000 000	1 000 000		
	3	2 000 000				2 000 000	2 000 000	2 000 000		
	4	1 000 000				1 333 333	1 333 333	1 333 333		
	2	500 000				333 333	333 333	333 333		
	Target	14 000 000				4 666 667	4 666 667	4 666 667		
Year 5	1	5 000 000					1 666 667	1 666 667	1 666 667	
	1	3 000 000					1 000 000	1 000 000	1 000 000	
	3	2 000 000					2 000 000	2 000 000	2 000 000	
	3	1 000 000					1 000 000	1 000 000	1 000 000	
	2	500 000					333 333	333 333	333 333	
	Target	18 000 000					6 000 000	6 000 000	6 000 000	
			Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Total Cash
30 - 40	Grand Total		833 333	2 666 667	6 000 000	9 833 333	14 000 000	10 666 667	6 000 000	50 000 000

E. SECURING THE WORKING TARGET

Table 21: Plan to secure a working target of USD 50 million in commitments over a 5-year period, for resourcing and staffing purposes, for internal use and guidance of the Secretariat

	Year 1 (18 months)	Year 2	Year 3	Year 4	Year 5
Cumulative Target (USD)	2.5 million	8 million	18 million	32 million	50 million
Annual Target	2.5 million	5.5 million	10 million	14 million	18 million
# Contracting Party Contributions	3-5	4-6	4-6	8-12	8-12
% Contributed by Contracting Party	99- 100	95-98	90-95	88-93	85-90
# other contributors	0 – 1	1-3	2-4	3-5	4-8

Table 22: Commitments needed to raise the USD 50 million working target over 5 years, for resourcing and staffing purposes, for internal use and guidance of the Secretariat

Commitment Level (USD)	Year 1		Year 2		Year 3		Year 4		Year 5		Total All Years	
	# Contributions	Total for Commitment Level (USD)	# Contributions	Total for Commitment Level (USD)	# Contributions	Total for Commitment Level (USD)	# Contributions	Total for Commitment Level (USD)	# Contributions	Total for Commitment Level (USD)	# Contributions	Total (USD)
5 000 000									1	5 000 000	1	5 000 000
3 000 000					1	3 000 000	1	3 000 000	1	3 000 000	3	9 000 000
2 000 000			1	2 000 000	2	4 000 000	3	6 000 000	3	6 000 000	9	18 000 000
1 000 000	2	2 000 000	3	3 000 000	3	3 000 000	4	4 000 000	3	3 000 000	15	15 000 000
500 000	1	500 000	1	500 000			2	1 000 000	2	1 000 000	6	3 000 000
	3	2 500 000	5	5 500 000	6	10 000 000	10	14 000 000	10	18 000 000	34	50 000 000