

Kenya Red Cross Society



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College of Health Sciences
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Infectious Diseases**

RESOURCE MOBILIZATION

***A Practical Guide to Undertaking Resource mobilization for HIV/AIDS
Prevention & Control and other Programs at KRCS***

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Forward

The Kenya Red Cross Society (KRCS) has in the last five years made tremendous achievements including the regionalization process which focused on capacity building at all its regions and branches, and strengthening of KRCS presence and response countrywide. Significant progress was made in resource mobilization at the Head quarters, Regions and Branches following the establishment of a number of income generating activities (IGAs). Through IGAs, membership recruitment, youth projects, commercial ventures such as the BOMA, the Red Court Chain of hotels, Emergency Plus Medical Services and Short course in the training unit, KRCS has built a formidable resource mobilization base, with income being ploughed back to humanitarian work. In addition the organization has been involved in many consortiums with research institutions and other development partners. These achievements are proof that even though plans rarely work out perfectly in the world of humanitarian aid, it is possible to achieve set targets where there is proper planning and follow-up, and key learnings unveiled in due process are noted and mastered.

There is major concern with regard to funding flows for humanitarian work and the financial sustainability of its donor partners. Both remain a challenge for developing country partners, and dependence on project funding can undermine an organization's ability to pursue strategic priorities and weaken overall organizational capacities. For these reasons, this guide has encouraged the implementation of the capacity building in resource mobilization program at all branches of KRCS that will help partners and implementers plan strategically for the sustainability of various programs undertaken by the organization.

The objectives of the toolkit and the training program is to provide training and advisory services on resource mobilization based on the needs of KRCS, its partners and networks; to develop and test training tools; to link organizational strategic planning

to resource mobilization; and to promote the development of KRCS expertise in resource mobilization.

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Florence Nelima

Background

Overview

While the issue of resources in general, and the scope of resource mobilization in particular, is addressed from time to time in the Kenya Red Cross Society Strategy termed Tugure 2011-2015 of the organization, a module specifically on resource mobilization is needed to reinforce, to debate and clarify a number of widely held assumptions with regard to resource mobilization.

- Resources, and resource mobilization, are often seen as relating solely to funding; this guide defines and clarifies the broader scope of resources.
- Resource mobilization in the context of HIV/AIDS planning is still too often seen as a process or an activity that takes place exclusively after planning; this guide highlights that resource mobilization is an integral part of the process of strategic planning.
- Mobilization of resources is also seen as synonymous with securing new or additional resources; this guide emphasizes that it is also about making better use of, or maximizing, existing ones.

Introduction

The subject of resources, and their availability or non-availability, is – or should be – a major consideration for planners in all areas. Indeed being strategic means, among other things, being realistic not only about the situation one has to address but also about the resources needed to reach one's objectives.

Dependence on international funding is proving to be insufficient, and compromises financial sustainability. The viability or survival of humanitarian work depends on the KRCS' ability to adapt to changing donor trends, and the willingness to explore alternative sources of funding.

This situation is not unique to the world of humanitarian work. Nonprofits, non-governmental organizations, and foundations from all sectors that have long enjoyed

the patronage of a few benefactors now find themselves wondering where next year's budget is going to come from, or

a particular program is to be sustained over the long haul, or how staff development can be funded when grant monies are restricted to programmatic work. Increasingly, non-profits and

NGOs realize that they need to wean themselves away from once-reliable sources, and learn how to cast a wider net to draw in a bigger variety of donors.

'Resources' is therefore a key theme throughout the strategic planning process (SPP) for any HIV/AIDS programmes. The situation analysis has to deal with the identification of the most important factors that may influence the HIV/AIDS epidemic. These include the status of human, institutional, financial resources that may determine individuals', sectors' or general societal vulnerability to HIV. These resources also determine the scope and effectiveness of national responses.

Assessing the resources made available by the key players in the national response to HIV/AIDS is an essential aspect of the response analysis, as is an appraisal of the judicious use that is being or has been made of those resources.

The formulation of a strategic plan implies that the availability of adequate resources is taken into account for the implementation of the different strategies in all priority areas; it should also address ways of making better use of existing resources. Most importantly, the need to actively involve all key stakeholders in all phases of the SPP is underlined throughout as a key strategy for mobilizing resources.

Why a Guidebook?

The advantage, though, for organizations that provide direct services to communities is that there is a plethora of material and training on resource mobilization strategies and techniques, and these have been further customized for non-profits in developing

countries. But there is virtually no material for featuring customized methods to access funding for humanitarian organizations.

Thus the birth of this practical guidebook, with the distinct feature of addressing the resource mobilization needs of humanitarian organizations, contained within the KRCS context. The major concern for KRCS and true for other non-profits as well, is the over-reliance on restricted project funding from grant making organizations. While not undesirable in itself, restricted grants usually leave too little room for funding organizational core costs such as staff development and marketing expenses.

This guidebook shows that sustainable resource mobilization is a strategic process that is grounded in effective organizational management, brought to life by creative communication, and maintained through nurturing stakeholder relationships. This reinforces the assertion that resource mobilization should be considered a core institutional function, rather than just a string of ad-hoc activities. The guidebook provides a collection of information and activities that can help KRCS to:

- Plan resource mobilization in a strategic, mission-driven — as opposed to donor-driven — manner;
- Build skills in proposal writing, handling face-to-face meetings, and communicating key messages;
- Design, implement and monitor resource mobilization activities; and
- Learn how other organizations in the region have addressed resource mobilization challenges.

Partners in the Development of the Guidebook

The people and organizations that worked together on this guidebook are strong believers in the role played by KRCS in society.

The KRCS is the country's national society and largest humanitarian organization in Kenya tasked with response and management of disasters, emergencies and normal

programming. Given the Huge humanitarian situation arising from cross country, in-country and ethnic conflicts within Kenya, Somalia and Sudan, there are huge healthcare needs by both refugees and internally displaced persons that strain the organizations resources for normal national programming [16]. The Kenya humanitarian crises industry comprises many players competing for limited resources. As a result, the KRCS has now extended its financial engagements from traditional bilateral and multilateral donors to include the Kenya public contribution (Kenya for Kenyans Initiative) jointly coordinated by cooperate organizations and other philanthropic foundations to help support the health and social needs of vulnerable populations across Kenya [16, 23]

The Society has for a number of decades been involved in the implementation of the HIV prevention Care and support programs with greater emphasis on BCC, OVCs and MARPs. As much as the Society is the principal recipient of round 10 Global Fund to fight AIDS, Tuberculosis and Malaria, the funds will end up financing programs of other non-state actors meaning KRCS benefits only in terms of administrative aspects. Thus resource mobilization for the health sector programs of KRCS remains of paramount importance.

Although significant progress has been made in resource mobilization at the headquarters following the establishment of a number of income generating activities (IGAs) which includes commercial ventures such as the Red Court chain of hotels and the Emergency Plus Medical Services, not much resource mobilization initiatives have been done in regions and branches (that has the highest proportion -70% of PLHIV) and more so in HIV/AIDS programmes MARPs inclusive [16].

This guide is directed at managers and project officers working on HIV/AIDS programmes in the organization. It is intended to increase their awareness of the opportunities, and possible problems, associated with alternative resource mobilization strategies. It is hoped that the resource mobilization guide will motivate KRCS

management and program officers to determine and begin implementing the most appropriate resource-generating strategies to enable KRCS carry out its mandate sustainably.

The Institute of Tropical & Infectious Diseases (UNITID) Fellowship Program has the mandate to develop HIV/AIDS national program capacity through a training program in Management, Health Economics, and Monitoring and Evaluation/Informatics in the Republic of Kenya under the President's Emergency plan for AIDS Relief (PEPFAR).UNITID program aims to build capacity in management of programs, financial management, resource mobilization and monitoring and evaluation.

The practical guidebook itself evolved out of write-ups done by IDRC and USAID process in resource mobilization guides in general and specifically for HIV/AIDS programmes and has helped distil from the team's storehouse of knowledge the concepts, models, activities and case studies appropriate to the humanitarian sector.

Using this Guide

The major focus of this guide is on 'mobilization of resources' and it should primarily be read or used in conjunction with the Strategic plan for the organization. Those who will use it are the situation analysis and/or the response analysis team, and the team responsible for the formulation of the strategic plan.

However there will also from time to time be a need to secure resources after the formulation of the strategic plan, for instance to support the expansion of emerging successful strategies, or to supplement shortfall in funding for a priority strategy or a catalytic project. This guide will therefore also deal with relevant approaches, techniques and methods for that purpose.

Following an overview and definition of resources and resource partners, the guide:

- highlights the ways in which resources are effectively mobilized through a strategic planning process;

- describes specific approaches to mobilization of ‘additional’ resources in the course of the implementation of the strategic plan.

This practical guidebook supports and promotes new and creative thinking on resource mobilization for development research, and can be used by organizations with different levels of skills and experience.

Part A discusses the three major concepts that set up the framework for resource mobilization: organizational development and management, communicating and prospecting, and relationship building.

Part B is divided into several chapters, each chapter presenting at length a step in the resource mobilization process, with one step building upon the other. Throughout each chapter, the reader may find:

- Case studies of Asian development research organizations that have applied the concept or technique, which validates the practical application of the practical guidebook. Users of this publication will be able to draw on the successes and avoid the pitfalls of the featured cases;
- Key findings from various surveys on the giving trends of institutions and individuals across Asia;
- Articles or workshop presentations by resource persons that elaborate on particular topics;
- Tools and templates that can be freely used within an organization in order to apply the concepts discussed

Both Venture and IDRC firmly believe that although resource mobilization is a big challenge, various on-the-ground projects in capacity-building have shown that development research organizations can become adequately funded. This shared belief has made developing this practical guidebook such a gratifying learning experience.

Organizations are dynamic systems, and must adapt in order to continue on. The days of receiving funding from a single source are numbered. All non-profit organizations, including development research institutions, need to arm themselves with the tools, techniques and strategies to shift from dependence to independence, very much a maturing process. To face up to the challenge, an organization must never underestimate its capacity to change and transform.

This practical guidebook hopes to provide organizations not only with the information and tools, but also the confidence to make that transformation happen.

Chapter One: An Introduction to Resource Mobilization

1.0. Defining resources

The term 'resource' is all too often understood to mean only 'funds', especially in the context of resource mobilization. And yet, when for example programme or project failure is attributed to the lack of resources this has often to do as much with human or other resources as with funds. It is therefore useful at the outset to define what is understood by 'resources' and by 'resource partners'.

1.1. Resources

"Resources" includes not only money, but also people, goods and services. All types of resource or forms of support can be grouped under one of the following categories:

(i). Human resources

These are the people needed to design, implement and follow up activities and projects.

- They will need to cover a range of appropriate skills and know-how to carry out the diverse specific tasks required.
- They may be paid or voluntary.
- They may be part-time or full-time, on secondment from Ministries and other Government bodies, recruited by international agencies, or employed by national or international NGOs, the private sector, etc.

(ii).Financial resources

These may come from a wide variety of sources:

- Government budget (including World Bank credits)
- Grants from international development agencies (IDAs), AIDS Foundations etc.
- Humanitarian Organizations and NGO budgets
- Private sector.

(iii). Goods and services

These include:

- Vehicles and computer equipment
- Office space
- Advertising time or space
- Design and print facilities
- Financial, technical or medical advice
- Training services
- Meeting places and event venues.

These in turn may be provided at reduced cost or be freely donated.

Finally, an important resource that is often overlooked and is best included here is the time that people may contribute voluntarily to various important aspects of HIV/AIDS work – from high-level political advocacy to community services.

1.2. Resource partners

One can broadly categorize all current and potential “resource partners” at different levels using the following matrix:

Each group presents particular advantages and challenges which can be summarized as follows:

(i). Government

It is critical that there be government ownership and leadership of the national response. A National AIDS Programme with strong government management signifies:

- Consistent programme direction and a coherent national response
- Potentially substantial resources, including staff, offices, equipment and services
- Coordination of external support
- Access to the whole spectrum of activities, disciplines and interests in the public sector.

But despite the wide recognition that a multi-sectoral approach is necessary to tackle HIV/AIDS effectively, in many instances the only significant involvement from the public sector is from the health sector. Further, Government is occasionally plagued by

administrative regulations and procedures that can hamper the flow of resources – particularly financial, but also human resources – or example from central to county/provincial or district levels. Government may also sometimes find it sensitive or difficult to allocate resources to, or be directly associated with, certain HIV prevention activities, such as those targeting behaviors like drug use or commercial sex work that may be outside the law.

(ii) Kenya Red Cross Society (KRCS)

Kenya Red Cross Society (KRCS), as an auxiliary to the Government of Kenya has been working closely with the government and other stakeholders with the main objective of contributing to reduced HIV prevalence and impacts of AIDS on the Kenyan community. By mid 2007, KRCS was providing home based care (HBC) services to over 3,600 people living with HIV and AIDS (PLHIV), 1,600 orphans and vulnerable children (OVC), with over 463 PLHIV in support groups, 460 on anti retroviral therapy (ART) and 500 on opportunistic infections treatment. Over 600 volunteers and 600 family care givers have been trained and over 200,000 youth reached through peer education.

The Society has intervened and provided services across the whole range of prevention and care strategies and activities. It has played a vital role and made significant contributions to successful national responses. It presents some unique advantages, not least:

- The relevance and responsiveness to community and grassroots needs
- The committed and motivated human resources.
- The ability, unlike the government sector, to work with marginalized populations such as drug users or sex workers.

KRCS as a Humanitarian Organization is usually also more willing or can afford to take risks, such as allocating resources for untested strategies, or starting up pilot projects in

new geographical and thematic areas. In addition, the Society has also provided links to wide networks which are therefore sources of substantial technical and financial support.

Noted with concern has been the proliferation of HIV/AIDS-specific Non-Governmental Organizations (NGOs) has sometimes taken place at the expense of quality and accountability, with ill-designed or inappropriate projects absorbing scarce resources and failing to have any significant impact. Other areas of concern have included:

- Mutual Government/NGO distrust
- Weak management structures
- Specific priorities of some NGOs may not always match those of national programmes.

The KRCS Integrated HIV and AIDS Program is part of the Eastern Africa zone HIV programme which is a component of the Red Cross and Red Crescent Global Alliance on HIV.

The purpose of our programme is to reduce vulnerability to HIV and its impact in Kenya through achieving the following outputs:

- Preventing further HIV infection.
- Expanding HIV care, treatment, and support.
- Reducing HIV stigma and discrimination.
- Strengthening National Red Cross and Red Crescent Society capacities to deliver and sustain scaled-up HIV programme.

The Society works according to the established principles of the International Red Cross and Red Crescent Movement to support our country's national HIV policies and programmes. The specific scope of the activities in this programme has been developed in coordination with the National AIDS Control Council (NACC) and harmonized with tasks agreed under international assistance arrangements in Kenya including the Joint

United Nations Programme on HIV and AIDS (UNAIDS) and other United Nations (UN) agencies, non-governmental organizations (NGOs), civil society groups and donors.

In view of achieving the MDGs, the KRCS through its network of volunteers across the country in 64 branches has potential for greater mobilization of communities in the fight against HIV. As such its comparative advantage shall enhance the linkage between the households, the community and the health facility level to mobilize collective impact in achieving better health for vulnerable people.

The National Society has been contributing to the national response by working with the government and other partners to increase knowledge on HIV transmission and prevention; improve coping mechanisms and improve the quality of life of PLHIV. Though a lot has been achieved in these areas, the Society has faced a lot of challenges which includes among others;

- Sustainable volunteer motivation and management.
- Economic empowerment of vulnerable clients and volunteers.
- Increasing needs and number of OVC.

Recommendations towards the above challenges include;

- Improved mechanism for volunteer motivation and management.
- Economic empowerment of vulnerable clients and volunteers

(iii). Donors/international development agencies

In the early years of the HIV/AIDS epidemic, multi- and bilateral development agencies were the major source of resources – especially financial – for national HIV/AIDS programmes. Although the overall financial support to AIDS programmes has declined in recent years, development aid from bilateral donors remains an important, if not the most important, source of financial and human resources, goods and services for many resource-poor countries.

The relationship and dynamics between donors and national governments can in some cases be influenced by the following factors:

- Where support from bilateral donors is channeled to or through NGOs this can aggravate the tensions that may exist between NGOs and Government.
- Particularly when national mechanisms for coordination are not strong, coordination among donors may also be less than optimal.
- Some donors may only be prepared to support specific strategies and seek to influence national programme priorities accordingly.

(iv). The UN system

Multilateral support has generally diminished and is now focused more on catalytic action, technical assistance and advocacy, including efforts to leverage additional resources.

Concurrently, the establishment of UNAIDS is meant to maximize the resources and ensure greater coherence of the efforts of different UN system agencies in support of country responses.

With the establishment of UNAIDS and the increasing effectiveness of UN Theme Groups on

HIV/AIDS in countries, it is anticipated that there will be stronger and better coordination not only of the UN system's support but also that of overall external aid in general.

Through UNAIDS and its cosponsors a number of common goods besides a stronger and more coherent UN system response are becoming increasingly available to all countries, including:

- Improved access to and exchange of best practices
- Improved access to technical resources (e.g. through technical resource networks)
- Better access to goods and services, including condoms and drugs.

(v). Private sector

With growing evidence of the negative impact of the HIV/AIDS epidemic on certain sectors and on productivity, many more members of the private sector are now willing to support prevention programmes which they see as an investment. Of the many partnerships that HIV/AIDS concerns are generating, that between the private and public sectors in countries has unique potential. At the same time it poses a few challenges.

The potential of the private sector resides not just in the financial resources that can be tapped but also in the considerable human resources that it represents and the social leadership that it can provide. Other strengths include:

- Its involvement in AIDS prevention may take in both its own workforce and its clients
- Specific skills that are very relevant in AIDS prevention, for example in communication
- Business-like, professional approaches
- A culture of efficiency, cost-effectiveness and accountability.

On the other hand, the grasp of HIV/AIDS-related issues by the different elements of the private sector is variable and often incomplete. Given these differences and the diverse interests that are represented, coordination and avoiding conflicting messages may be an issue.

(vi). Communities

Potentially the greatest resource capacity is to be found within the communities who are or can be mobilized around the issue of HIV/AIDS.

The community or communities here are defined not just in terms of geographical proximity – although this will often be the case – but in the broad, inclusive sense, of groups of people who may be bound by culture, religion, beliefs, practices and, above all, by a common concern with an interest in HIV/AIDS prevention and care. These different types can also be regrouped under the following categories:

- Communities of interest – groups of people with a common purpose, such as health professionals working together on HIV.
- Communities of circumstance – people with different backgrounds altogether but who are brought together by a common event, for example people with hemophilia who have been infected through contaminated blood products.
- Structured communities – people with a common identity or history, and sharing common values or attitudes that unite them and identify them as a distinctive community.

They may be church groups or youth or women's organizations, trade unions, professional associations and socio-cultural clubs and, not least, associations of people living with HIV/AIDS. Each of these brings different resources, capacities and preparedness to respond to HIV/AIDS.

Notwithstanding these differences, the capacity of such communities, once mobilized around the issue of HIV/AIDS, cannot be over-emphasized.

The strengths of a mobilized community include:

- Awareness of their individual and collective vulnerability to HIV
- Motivation to address their vulnerability
- Knowledge of the options that they can take to reduce such vulnerability
- The time, skills, and other resources that they are prepared to invest.

Chapter Two: Understanding Resource Mobilization

2.0. Introduction

This chapter contains two parts. The first one, Looking beyond Just Raising Funds, discusses resource mobilization and fund raising, and the three major concepts that set up the framework for resource mobilization: organizational development and management, communicating and prospecting, and relationship building. It also talks about the Pareto Principle as applied to non profits and the three major characteristics that donors look for in organization they wish to support.

The second chapter, a case story entitled Rallying Support, the KRCS way, features the inspiring efforts of the KRCS as they learned to engage their various stakeholders in the Kenyans for Kenyans initiative to meet their goal of raising over Sh500 million in one month to finance a blend of short, medium and long term measures to ease the humanitarian crisis in northern Kenya.

2.1. Looking beyond Just Raising Funds

Most development research organizations have had, up until recently, a comfortable, sheltered life. In order to access funding for an applied research project, a board member, executive director, program officer or some other staff member would write up a grant application addressed to one, two, or a handful of institutional donors. They would get part or all of the funding required; implement the research; then submit midterm and final reports to the donor, documenting results, and meeting financial reporting requirements. Projects would have to meet donor requirements, and their successful implementation could mean more money for another project cycle. In some cases, the grant application is just a token gesture because funds are assured anyway.

A few organizations may have other, smaller sources of income: training and consulting services, sale of organic products and traditional medicines produced by local

communities, a random rummage sale or participation in a bazaar. But the income generated from such activities is rarely substantial. The bulk of the organization's funding would still be from one or two funders.

Now that funding from aid agencies has become less reliable due to shifting donor trends and preferences, many research organizations are left with unfunded programs, and may even begin to wonder about their survival. More grant making institutions require counterpart funding and token grant proposals just to meet paper trail requirements don't work anymore. Non-profits actually have to earn their keep! As the non-profit sector comes face-to-face with the reality of declining funds from the international donor community, non-profit leaders are left with two options: close shop, or aggressively and creatively look for alternative funding sources to fill the gap.

The latter poses as a challenge for non-profits that have been used to writing up grant proposals to secure funding. Board members, executive directors and non-profit managers must now learn to diversify funding sources and come up with creative resource mobilization strategies to ensure survival.

2.1.1. Resource Mobilization and Fund Raising

Very often, we equate the term "resource mobilization" with fund raising. Raising funds or money is only a part of resource mobilization; in fact, it can be a target or an outcome of resource mobilization efforts. Resource mobilization goes beyond just dollars and cents. It includes building valuable contacts and networks, and garnering the interest, support and in-kind contributions of people important to your organization. As important as raising funds is the effort to building relationships. People don't give money to causes; they give to *people* with causes. So resource mobilization goes beyond fund raising; it is *friend* raising as well.

Fundraising is not just about writing proposals or collecting money. It is about winning hearts and minds. It is about building a constituency of supporters for a cause. It is

about learning to communicate effectively with the public and developing a network of enthusiastic and committed supporters.

2.1.1.1. What is Fundraising?

Fundraising is best defined as the art of getting people to give us what we want, when we want it and for an identified charitable/development purpose. Fundraising in itself is not a charitable activity but organizations invest time and resources to raise finances to expand and strengthen their activities. Our ability to raise resources is a tangible manifestation of the strength of our relationship with our natural community of support. It is a management process of identifying those people who share the same values as your organization and building strong, long-term relationships with them.

To unpack the above, fundraising is:

- Understanding, defining and communicating all dimensions of the need
- Informing, motivating, and facilitating giving
- Engaging and involving donors as stakeholders and investors
- Maintaining donor relationships based on shared values

Most importantly fund raising is also the art of working with people to help them achieve their most cherished hopes for a better life for humankind by making available to them opportunities to invest in the excellent work we do.

2.1.1.2. Framework for Resource Mobilization

Resource mobilization may be defined as a management process that involves identifying people who share the same values as your organization, and taking steps to manage that relationship.

Looking closely at this definition, one can see that resource mobilization is actually a process that involves three integrated concepts:

(i). Organizational Development and Management

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

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

This concept covers the following principles, elaborated throughout the practical guidebook:

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

(ii). Communicating and Prospecting

Once an organization has achieved a certain readiness for resource mobilization, it must then take on another challenge: ensuring its long-term sustainability by acquiring new donors and maintaining a sizeable constituency base. The art of resource mobilization entails learning how to connect with prospective donors in a manner and language they understand, and finding common ground through shared values and interests. It also entails discerning the right prospect to approach, and matching the appropriate resource mobilization strategy to the prospect.

This concept is governed by two principles:

1. Resource mobilization is really FRIEND raising. Financial support comes as a result of a relationship and not as the goal in and of itself.

2. People don't give money to causes; they give to PEOPLE with causes.

People give to organizations to which they have personal affiliation, in some shape or form.

(iii). Relationship Building

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

Initiating new relationships, nurturing existing ones, and building an ever-expanding network of committed partners is an ongoing activity, embedded as a core function of the organization. This requires the dedication of board members, staff and volunteers, and in order to build enduring relationships, the following principles should be remembered:

1. Donor cultivation means bringing the prospect to a closer relationship with the organization, increasing interest and involvement
2. Start at the bottom of the resource mobilization pyramid to get to the top

2.2.3. Pareto Principle

The Resource Mobilization Pyramid and the 80–20 Rule

The resource mobilization pyramid is a graphic depiction of the proportion of an organization's supporters vis-a-vis their level of involvement in its activities:

- Major Donors make up only 10% of an organization's support base, but contribute 70% of total donations received.
- Repeat Donors make up 20% of an organization's support base, and contribute 20% of total donations received.

- First-time Donors make up 70% of an organization's support base, but contribute only 10% of total donations received.

The pyramid reflects a concept called the Pareto Principle, also known as the 80-20 Rule, which states that a small number of causes (20%) are responsible for a large percentage of the effect (80%). In one business application, it can mean that 20% of the customers generate 80% of the sales, or that 80% of merchandise comes from 20% of the vendors.

In the non-profit application of the Pareto Principle, it can mean that 20% of an organization's funding comes from 80% of its donors, forming the base of the pyramid. Majority of the supporters are involved in a smaller capacity. Further up the pyramid, individuals with greater involvement become fewer, and the apex is the smallest group of supporters who contribute the most (80% of the funding coming from 20% of its donors).

The percentages per se are not as important as understanding that the higher the gift or donation, the smaller the number of donors who have the capacity or interest to give it.

The donor pyramid serves as a model to envision the resource mobilization strategies that are appropriate for each level. An entry-level strategy such as a special event or a direct mail campaign can be used to draw in donors to an organization (the base of the pyramid). As a donor's capacity to give increases over time, other strategies, such as face-to-face solicitation, are then implemented to draw them up the pyramid, providing them with successive giving opportunities that may cultivate a deeper commitment and interest in the organization. Generally, only a few from the larger pool of donors move up into the next level. There are of course exceptions, and a major donor can surface at any level.

2.2.4. Organizational Characteristics for Donor support

What Donors Look for

It would seem then that advocating for a good cause is not enough to attract local funding. In a seminal study conducted by the Asia Pacific Philanthropy Consortium, *Investing in Ourselves: Giving and Resource mobilization in Asia*, which covered case studies of how various nonprofits and NGOs mobilized funds for financial sustainability, it was observed that in rallying for support, the nurturing of personal and community relationships was more critical than the espoused cause itself. It further stated that these relationships were based on three major characteristics that an organization needed to have in order to attract support: legitimacy, transparency, and accountability.

Legitimacy

Different countries have different terms and requirements for recognizing the legal existence of organizations. But however diverse these requirements are across the region, each state still exercises a degree of control over the incorporation of non-profit organizations. Only those that have been established according to their country's civil laws and traditions are considered to be legitimate. Such organizations are more likely to gain donor support because they have achieved some level of compliance with government standards, and are less likely to be suspected of being fronts for underground political movements or "fly-by-night" operations.

Transparency

This refers to open communication with internal and external stakeholders regarding an organization's financial and management health, and is a characteristic of organizations that disclose information about their programs, activities, and even financial transactions and investments to stakeholders and anyone who wishes to know more about the organization.

It is a criterion that is highly regarded by prospective donors and partners, as transparency assures them of an organization's trustworthiness and commitment to its constituents.

Accountability

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

If there is only one message to take home from this chapter it is this: In building a base of donors, the focus is less on resource mobilization, more on friend raising. The funds come as a by-product of the relationship, and not so much as an end in itself.

2.2. Case Study: Rallying Support, the KRCS Way

Kenyans for Kenya Initiative

"From those to whom much is given, much is expected"

This quote, which is attributed to John F. Kennedy, aptly describes the overwhelming response by the Kenyan people when television images brought home the reality of hunger and deprivation in 13 districts across Kenya.

Conservative estimates indicate that by July 2011, 3.75 million Kenyans were on the verge of death by starvation. The government's move to declare the hunger situation a national disaster, underscored the seriousness of the situation. According to the United Nations, this was the worst drought to hit the Horn of Africa in over 60 years. More than

12 million people including 2 million children in Kenya, Somalia, Ethiopia and Djibouti were facing a grave humanitarian crisis with lactating and expectant mothers, school going children and the elderly being the most affected.

When the images of a people robbed of their dignity emerged, many Kenyans similarly felt robbed of their own dignity. Many at home and in the Diaspora wanted to help but they had no ready and credible platform to channel their contributions.

The first steps

A coalition of companies in the country, including the Media Owners Association, launched a rapid response initiative to raise funds to provide emergency assistance to vulnerable people, particularly children, the elderly, lactating mothers and the sick. The initiative was driven, on behalf of Kenyans, by a steering committee comprising representatives from Safaricom Limited, Kenya Red Cross Society (KRCS), Kenya Commercial Bank (KCB) Limited, Gina Din Corporate Communication (GDCC) and the Media owners Association.

Its initial target was to raise Kshs500 million for emergency food and medical intervention. The steering committee also committed to invest a portion of the funds raised in medium to long term livelihood programmes to empower people in arid and semi-arid districts to produce their own food and consequently, end reliance on food aid.

But Kenyans, in their true caring fashion, surprised everyone, including the international community. Kshs300 million was raised during the first week of the campaign, with the bulk of the donations coming from individual Kenyans donors both at home and in the Diaspora. Majority of the donations came in through mobile money transfers such as M-PESA, Zap, Orange Money and Yu-Cash. A significant portion also came in through a dedicated KCB account. The record breaking donations inspired the Kenyans for Kenyans Steering Committee to raise the target from Kshs500 million to Kshs1 billion.

The Kenya Red Cross Society (KRCS), the leading humanitarian relief organization in Kenya, brought into the campaign credibility, competence and experience in managing humanitarian operations. The organization led massive efforts to alleviate the suffering of people in arid and semi-arid districts, with some 1.8 million most vulnerable people receiving direct aid.

Fundraising Initiatives

Several fundraising initiatives targeting different segments of the private sector were held. The first fundraising event was held at the Serena Hotel, Nairobi. It targeted mostly major companies, with majority of the corporate being represented by their own CEOs. This was the clearest indication that the famine crisis had moved to the top of the national agenda. Other fundraisers were held for Small and Medium Enterprises (SMEs) and Savings Credit Cooperative Societies (SACCOs).

The methods used to raise the funds were as varied as they were creative. Some employees chose to skip their meals and benefits, some contributed a portion of their salaries, while others organized concerts and sold items to get that much needed coin. Indeed, every coin mattered at this stage.

The Alcatel-Lucent Foundation, the philanthropic arm of Alcatel-Lucent, went for a Global Matching Gift Program for its employees. The program provided a way for employees to contribute to efforts to alleviate the crisis and to enable them to make a difference to the lives of the children and their families impacted by the drought. The initiative resulted in Kshs15 million, which was donated to the Kenya Red Cross to help combat the humanitarian crisis.

The Winning Continent and Public Vote

GE Healthcare challenged Twitter users around the world to tweet what they were doing to stay healthy and keep fit, while representing their country and continent. The Get Fit competition prompted a broad international response, from calorie-conscious dieters to

marathon-running exercise fans, but ultimately the highest number of tweets originated from the Middle East and Africa. With the winning continent decided, the final stage of the competition involved a vote by visitors to the GE Healthcare Newsroom to determine which country's Red Cross or Red Crescent Society would receive the \$20,000 donation. A late surge in votes tipped the scales in favor of Kenya.

Artistes on board

Kenyan artistes and celebrities played a major role in rallying people to the Kenyans for Kenya cause. They were present at the numerous flag offs in Uhuru Park, travelled with the Kenyans for Kenya Steering Committee to drought areas and staged their own concerts to raise funds.

Achievements

During its latest review meeting, the Kenyans for Kenya steering committee announced that malnutrition rates in Turkana have dropped to 13.7 per cent up from 37.4 per cent as a result of direct intervention by the Kenyans for Kenya Initiative as well as other partners. This is a phenomenal improvement against the threshold of 15 per cent.

The committee also reported that 2,057 metric tonnes of Unimix had so far been distributed to 285,729 school going children in 2,381 schools in the affected areas. An additional 1900 metric tonnes, was currently being distributed to schools in ASALs under the school feeding programme. These are truly encouraging signs considering that by July 2011; more than 3.75 million people in arid and semi-arid districts were in dire need of food assistance. Malnutrition rates were at emergency level, and more than 385,000 children below 5 years in 13 districts were suffering from acute malnutrition. The Government consequently declared the drought a National Disaster.

Since the launch of the Kenyans for Kenya Initiative, some 326 metric tonnes of certified drought resistant seeds have been distributed to over 200,000 farmers while 3100 families in the greater Yatta region benefitted from 1,000 cassava cuttings each,

through a collaborative venture between the Kenya Red Cross and Kenya Agricultural Research Institute (KARI) - Katumani. More than 500 greenhouses were also distributed to schools and community groups across Kenya. To support school feeding and hygiene promotion, emergency water trucking interventions were also carried out. The purpose, the Committee said, is to empower communities to produce their own food as one of the ways of preventing future drought emergency.

Some 32,901 beneficiaries also benefitted from curative and nutritional screening services and a polio campaign was carried out in 149 districts with the Kenya Red Cross being involved directly in 35 districts, as part of the Initiative's health intervention.

Overall, the Initiative has been a huge success and has set standards as one of the best audited programmes in recent times. The Steering Committee acknowledges that there were challenges around the initiative but notes that lessons have been learnt, which would ensure similar programmes in the future are better managed for the benefit of the beneficiaries.

The Kenyans for Kenya Initiative has won wide acclaim worldwide. It was even cited at the African Union (AU) as a foundation to build on for a possible Africans for Africa to encourage African people to take responsibility for the development of their own countries and not look to the West for aid. Locally, the Kenyans for Kenya Initiative won the 2011 Millennium Development Goals Award for championing the realization of some of the MDGs. It also won the overall PR Campaign of the Year Award as well as the Not for Profit Campaign of the year.

Chapter Three: Resource mobilization through the strategic planning process

3.0. Introduction

Resource mobilization is an integral part of strategic planning processes.

The following section analyses further some of the ways in which mobilization of resources de facto takes place through the strategic planning process (SPP).

3.1. Involving key partners in the planning process

It is critical to ensure the participation of key stakeholders and resource partners at all stages of the SPP. It is imperative that a diversity of skills and expertise be brought together for a thorough situation and response analysis while, for the strategic plan formulation, it is important that as many of the actual and potential partners in the response be involved.

These include;

- Different Government sectors,
- Community organizations
- Associations of PWHA
- Academia and Research institutions
- The private sector
- International donors.

Such breadth of participation in the situation and response analysis enriches the reflection. Importantly, it also ensures 'ownership' of the process and of the output. By the same token, involvement of the key stakeholders in the strategic plan formulation is a major first step towards mobilizing the financial and human resources of the different partners towards implementation.

3.1.1. Ensuring government leadership

It is increasingly evident that HIV/AIDS will impact on many countries' long-term plans and on their agenda for social and economic development in particular. It is therefore all the more critical that Government, which is responsible for establishing such agendas, assume the leadership of the entire planning process. And it is not just about technical leadership. High-level political leadership is crucial. The viability and sustainability of programmes will depend on the extent to which the response to HIV is built into the national development framework – something which only governments can effect.

3.1.2. Community participation

While materials and funds are undoubtedly required to implement activities, it is even more critical to have motivated and skilled human resources. The participation of the concerned communities at relevant stages of the planning process is as important as government leadership in the planning process.

They represent the single most important resource for a country's response. Individually and collectively – be they members of affected populations, associations of PLWA, HIV/AIDS service providers, national or international NGOs, small local organizations, research institutions, epidemiologists or behavioural scientists – they make valuable contributions to the national response, the more so when they are involved in the planning process.

Community participation – challenging though it may be – is the one way to ensure the relevance and realism of strategies and to mobilize the inherent resources of communities.

3.1.3. Involving major international development agencies

Most national programmes to some extent rely upon external support. It is therefore desirable to encourage major donors to participate in a strategic planning process, especially at the stage of formulation of a strategic plan. This implies 'involving all key stakeholders is an early but essential step towards mobilizing resources, human as well as financial'. Such involvement is also to be encouraged since many donors may have specific concerns or priorities that do not always match national priorities.

Their active participation in the strategic planning process for the Society will ensure coherence and maximize the benefits to the country of resource allocation to priority areas. Besides the various 'communities' mentioned above, the 'key stakeholders' at this stage will include not only international donors but also, hopefully, some new or potential resource partners as identified through the situation and response analysis.

3.2. Maximizing available resources

A widely held assumption concerning resource mobilization is that it is solely about securing additional or new resources. However, within the context of strategic approaches to planning, it is particularly important to emphasize that mobilizing resources is as much about making judicious or better use of available resources as it is about mobilizing additional ones.

The following are key questions in this regard:

- (i). Is the current response still relevant?
- (ii). Are current responses effective and, in particular, are they cost-effective?
- (iii). Are there opportunities and/or imperatives for reallocation and reprogramming of resources? Where are the priorities now?

3.2.1. Is the current response still relevant?

The first key question is about the relevance of the current response. One of the reasons why it is critical to adopt strategic approaches to HIV/AIDS planning is that we are dealing with situations that are not static. The situations change – sometimes rapidly

– over time and place, which means that strategies and activities that are perfectly relevant now may be less so, or even not at all, in the future.

Hence the importance of a situation analysis and then a response analysis which inform the strategic planning team about the relevance of specific strategies and activities at a particular moment in time. In all cases, but especially in situations where human and financial resources are scarce and limited, it is a waste if these continue to be channeled to areas where they are no longer relevant or which are of lesser importance than others. Reprogramming these same resources for areas that are now more relevant is as effective a way of mobilizing resources as any.

3.2.2. Are current responses effective? And are they cost-effective?

The second set of questions addresses the issue of whether current strategies and activities, especially in those areas that would have been identified as priority areas through the situation analysis, are effective and in particular whether they are cost-effective.

Looking at, and comparing, the effectiveness of specific AIDS prevention and/or impact mitigation interventions or strategies is not straightforward. Issues such as the diversity of epidemiological and social contexts within which interventions take place, the choice and appropriateness of the outcome measures that could be used as proxy indicators of effectiveness, or the complex interaction between the different programmes and strategies that are ongoing at the same time, all complicate attempts at the estimation of effectiveness.

Nonetheless, it is possible and desirable to look critically at some factors that may account for success or failure. These include, among others:

- Adequacy of resources
- Technical soundness
- Cost-effectiveness

(i). Adequacy of resources

Assessing the adequacy of inputs – technical, financial, but also goods and services and, not least, human resources – into specific strategies is part and parcel of a critical analysis of the reasons for their success or failure. It also provides the information required for eventual cost effectiveness analysis and assists planners and other stakeholders in setting priorities for mobilizing resources for potentially effective strategies that may otherwise get discarded.

The importance of adequate human resources for the success and effectiveness of an activity cannot be stressed enough. While most people will find it easy to attribute failure to lack of material resources, goods or funding, there is often a reluctance to acknowledge that it can be due to lack of specific expertise, inappropriate skills, or even motivation and commitment.

(ii). Technical soundness and best practices

Much has been learnt in the last decade about what can work or does not work in HIV/AIDS prevention and care. Nonetheless there are many instances where programmes are still learning about what might work best in their particular contexts. Many a response analysis will point to the failure of activities due to lack of technical soundness resulting in significant resources being absorbed by ineffective or inefficient activities. Such situations underscore the importance and significance of a strategy of documenting and sharing 'best practices' and lessons learnt as a way of accelerating the 'learning curve' of programmes and minimizing the needless waste of time and resources on less-than-effective interventions.

At all stages of a strategic planning process, but especially the formulation of strategies in priority areas, the teams will be able to pinpoint opportunities for national programmes to take advantage of lessons learnt and international best practices.

(iii). Cost-effectiveness

Cost-effectiveness is a measure of the comparative efficiency of discrete strategies and methods for achieving the same objective (in this case HIV/AIDS prevention and care). As competing programme needs grow or as resources become scarce, cost-effectiveness is an issue that assumes even greater significance and importance. It is the responsibility of strategic planners to advise decision-makers on making best use of scarce resources. In this regard, cost-effectiveness analysis is the tool of choice that enables programme managers and planners to make informed choices about resource allocation. It identifies the relative efficiency of alternative activities by comparing costs and results or outputs.

Focusing on the cost-effectiveness or efficiency of the response involves continuously asking questions such as:

- What are the costs involved in a specific activity or group of activities in the programme?
- What are the returns on that activity, i.e. what are the benefits we get out of it?
- What is the opportunity cost of such an activity? In other words, are we making optimal use of our resources or will we achieve more by spending resources on other activities?

3.2.3. Are there opportunities and/or imperatives for reallocation and reprogramming of resources? Where are the priorities now?

The third set of questions merely underlines the importance of strategic approaches in a context as dynamic as the one of HIV/AIDS. Being strategic means, among others, being relevant to the current situation and realistic about the resources required to implement planned strategies. Put another way, being strategic is about being responsive to change and about being able to set priorities.

3.3. Adapting and responding to change – Monitoring and Evaluation

The module so far has drawn attention to the critical importance of remaining relevant within the changing contexts of HIV/AIDS epidemics. An iterative process of reflection and analysis is important to allow the various partners in a national response to remain alert to new situations as they evolve, alert to opportunities so as to maximize the benefits of timely reprogramming and resource allocation. Alternatively, it can also be seen as being alert to the obstacles that have to be overcome, and minimizing the losses that may accrue through, for example, the continued channeling of resources to areas that may be less critical now than others or may have ceased to be priorities altogether.

Being strategic is being able to deal with change. This means flexibility on the part of management with, for example, a management structure that combines decentralized decision-making with effective delegation of authority. Above all though, there needs to be a good monitoring and evaluation system. This will serve to provide programme managers and implementers with timely information not just on the status of implementation of programme activities but also, importantly, on the key issues of their effectiveness, efficiency and continued relevance. What is needed for such a system to operate well is a plan that sets out at a minimum:

- Clear objectives, outputs and outcomes
- Realistic targets
- Clear and meaningful indicators.

3.4. Setting priorities

Setting priorities is a key and essential feature of strategic planning and, by the same token, one of the many facets of resource allocation and mobilization. At the best of times there are always choices to be made about what must be done and what can realistically be done. This is even truer in resource-constrained settings. The whole

strategic planning process is geared to guiding decision-makers in making the choices that will result in the best possible use of valuable human and financial resources.

Too often in the past, planning for HIV/AIDS has resulted in unrealistic plans that have sought to cover all possibilities, plans that did not give due consideration to the relative importance and relevance of specific strategies on the one hand, and to their feasibility, relative effectiveness and affordability on the other.

All the preceding questions – about relevance and cost-effectiveness, about adequacy of resources, about the major determinants of the epidemic and hence the priorities for action, about what is working and is not working, and why – ultimately serve to inform planners and donors about how and where to allocate resources in a way that maximizes the returns on the investment.

Chapter Four: Mobilizing additional resources

4.0. Introduction

The guide has stressed several ways in which mobilization of resources is an integral part– indeed a major outcome – of strategic approaches to planning responses to HIV/AIDS.

Specifically it has outlined the extent to which ‘mobilization’ of resources is effectively taking place through:

- Involving all major stakeholders in the strategic planning process;
- Identifying the major determinants of the epidemic at a specific time and place;
- Setting priorities accordingly;
- Ensuring that scarce resources are channeled to the highest priorities and to the most cost-effective strategies and approaches for a determined objective.

The guide has also emphasized the importance and relevance of applying and adapting international ‘best practices’ and the many ‘lessons learnt’ about HIV/AIDS prevention and care in order to gain valuable time and minimize the losses that would otherwise result from committing resources to less effective or less appropriate strategies.

Notwithstanding these aspects of resource mobilization inherent in strategic planning, it is evident that the dynamics of HIV/AIDS situations and responses are such that there will from time to time be a need for additional resources to address changing situations, to support emerging strategies and allow an expansion of the response.

This section deals with different strategies and methods for securing ‘additional’ resources and underlines once more that resources include not just funds but also goods and services and human resources. The following are addressed:

- a) Identifying and mobilizing new partnerships
- b) Developing technical resource networks

c) Fund-raising

d) Reaching out to the academia and research organizations

4.1. Identifying and mobilizing new partnerships

Strategic planning is about looking into obstacles to and opportunities for a stronger and more effective expanded response. In the course of the situation analysis the team will be considering the major determinants and consequences of HIV/AIDS and, hence, the priority areas for action as well as the changes that may be required for moving from the present situation to the desired one. Subsequently it will look both at what stands in the way of changes needed in priority areas and at the factors that can promote such changes.

The team can thus contribute a great deal to mobilizing additional resources not only for the immediate short-term needs but also for those opportunities that may arise in the medium to longer term:

- By identifying opportunities for involving new actors and new resource partnerships to bring these changes about;
- By exploring the different specific reasons which may appeal to these potential new partners to get involved or to commit resources for current strategies and HIV/AIDS programmes;
- By paving the way for mobilizing resources for future interventions and emerging strategies.

Understandably, the focus in terms of mobilization of additional resources will often be on international development agencies. But it is also worth looking beyond the obvious traditional donor governments and agencies. For example, there are now a number of Foundations established by private companies, the entertainment industry or churches, which have resources that can be tapped for specific HIV/AIDS or AIDS-related projects.

While external donors will likely represent a major component, there are equally important 'national' resource partners who could be a significant source of technical and financial resources.

The box on page 16 highlights examples of potential new partnerships that may be brought to light in the process of strategic planning, particularly during the course of a situation assessment and analysis.(To insert the box)

4.2. Developing technical resource networks

As national responses evolve and new strategies emerge, what is increasingly required by countries is technical know-how or expertise. The demand for such expertise in a wide range of programme areas or on specific prevention and care issues is growing as more and more countries seek to pre-empt the epidemic's threat and expand their response to HIV/AIDS. As has already been pointed out the sharing of lessons learnt and experience on best practices can assist countries in shortening the learning curve, thus gaining time and, in the process, saving much-needed resources.

In this regard, identifying and mobilizing new partnerships also encompasses the idea or strategy of development of networks in general and, specifically, of technical resource networks, as a way of broadening a country's or region's resource base and making specific technical expertise more readily accessible to countries. (UNAIDS and its cosponsors are promoting and supporting the development and strengthening of technical resource networks in a number of key areas at national as well as regional levels.

4.3. Raising funds from donors/IDAs

4.3.1. Involving the development agencies in planning

The Strategic Planning Guides stress the benefits of securing the participation in the planning process of all key stakeholders, including major donors. As with all potential

resource partners their participation should ensure 'ownership' of the resulting strategic plan and plan of action and a greater willingness to contribute resources – and particularly funding– for the implementation of activities.

Furthermore, it will also make the same donors more receptive to requests for future additional funding, should such funding be required to expand the response or seize opportunities to initiate new projects. Increasingly, too, as national responses have become more multi-sectoral and multidimensional, donors are seeking some reassurance that new projects or initiatives are more or less guided by a national strategic framework. This is also where consistent high-level advocacy and demonstration of commitment can often help to sway the donors.

4.3.2. General/mainstream development partners and agencies

Development partners or bilateral and multilateral agencies responsible for general development projects may not always be aware of the extent to which the epidemic could impact on the outcome of a particular project, on the intended beneficiaries, or even on the project's workforce. The situation analysis may serve to identify mainstream development partners or agencies that could be potentially involved, try to answer questions concerning for example a project's 'vulnerability' to HIV (e.g. because of extensive use of migrant labour force), and reinforce the rationale and benefits of integrating HIV/AIDS prevention into the project's activities, for example by including HIV/AIDS awareness programmes in the workforce training package.

4.3.3. The private sector

The impact of the HIV/AIDS epidemic on the private business sector has been growing steadily over the last years, and has become quite visible in some places. Still, many business leaders need to be persuaded that AIDS prevention programmes for their own employees are in their own rational self-interest. In economic terms, such prevention programmes can be marketed as "minimizing costs" or "profit-loss prevention" and

protection of valuable fixed investment in “human capital”. The advantage of developing new partnerships with private businesses is that they have substantial resources available. At the same time, their workplaces provide excellent opportunities to reach the labour force in large numbers and with high impact.

The situation analysis should briefly describe and prioritize the most relevant sectors of business in terms of HIV prevention in a way that will allow the response analysis team to better focus their investigations into ongoing responses, and the strategic plan formulation team to identify and mobilize or generate partnerships for an expanded response.

The following information may be of interest in that perspective:

- Total number of staff
- Annual financial turnover
- Main sources of income and the particular risk situations related to specific businesses, such as the extensive reliance on migrant labour force, interests in entertainment or tourist industry, etc.
- Segmentation of a company’s customer base: are vulnerable populations (youth, for example) major parts of that base?

4.3.4. The military

The armed forces represent a discrete and important group, both in terms of risk of HIV infection¹ and of potential resources to change that situation. Briefly highlighting their vulnerability emphasizes the benefits that may be gained from making the best use of their resources:

- Military recruits are often posted far away from their communities and families for relatively long periods
- They are in the age group most sexually active and most inclined to risk taking
- Risk taking tends to be part of the military ethos

- They often have more money than local populations

On the other hand, the army disposes of “resources” that may be harnessed for prevention efforts:

- Financial (although often not available for *social* services)
- Human: educated and skilled staff
- A disciplined and highly organized environment
- A high concentration of easily reachable high-risk behavior individuals.

This combination of high susceptibility and non-negligible resources means that the armed forces represent a unique opportunity for effective preventive education.

Gathering information on uniformed forces is a sensitive issue in many countries, and the situation analysis team may have difficulties in doing so. The same objective may however be reached in the long run by actively involving a high-ranking officer from the army’s social services in the situation analysis team, so that this person himself can organize an appropriate response “in house”.

4.3.5. Academic and research institutions

These represent yet another different potential resource in that they house a wealth of scientific data, studies and of course people whose expertise may not have been tapped and who may be helpful in subsequent information gathering and follow-up for comparison with benchmark data.

Once informed and solicited, they represent a major resource among others for epidemiological and behavioral data collection and analysis, and for planning, monitoring and programme evaluation, not to mention the capacity for clinical or operational research or socioeconomic impact studies.

To achieve its mandate, KRCS has created an International Centre for Humanitarian Affairs (ICHA) with a research and publication unit. ICHA strives to create an

appropriate and effective knowledge management framework that synthesizes multiple information technologies to collect, analyze, and, manage information and knowledge for supporting decision making in humanitarian action, disaster relief and improving community resilience. The framework so developed is intended to help identify, specify and quantify information needs, track status of disaster scenarios and provide policy makers and practitioners with efficient and sustainable recommendations based on past experience and research based evidence.

ICHA is a knowledge hub which focuses on generating data and information through action based research that is relevant to communities dealing with situations that call for humanitarian, resilience building and development action. ICHA's core function that places great emphasis on data driven analysis and evaluative research shall engage with, inter alia, any programme to refine, distil and synthesize knowledge gained in a manner that permits learning, dissemination and symbiotic partnership.

4.4. Packaging proposals

In any event, when it comes to raising funds from prospective donors for programmes or new projects there are a few 'musts' that can help to swing the balance. These include:

- Having a strong rationale for a project that drives home its relevance to the situation or to national priorities; in the case of a programme, having a coherent set of priority strategies and activities and an equally sound goal and overall strategy
- Having clear and realistic objectives
- Spelling out the expected outcome and concrete outputs
- Building in a strong monitoring and evaluation component
- Having a detailed and realistic budget, including counterpart resources
- Paying due attention to ensuring accountability
- Addressing the issue of sustainability.

These all add up to the submission of a marketable product, one that can serve to convince potential funders that they are dealing with project management that is focused, transparent, accountable, and backing activities that are seen to contribute to a meaningful response. At the end of the day all donors like to know what the costs are (what are we paying for?) and what the outcome is likely to be (what are we getting for our money?).

4.5. Knowing your donors

As critical as the quality and content of the project submission is some knowledge of the specific donor whose support is being sought. In this respect the old saying that you must 'raise friends before raising funds' assumes special significance. International development agencies will always be more likely to entrust resources to known partners and friends with proven track records of delivering what they set out to do and – this may be more important for some donors than others – what donors require in terms, for example, of reporting and evaluation.

Indeed, donors are not a uniform group and it is crucial to understand and take into consideration the different and specific factors that motivate donors and dictate their decision to allocate resources or not.

These are some of the questions and issues that may usefully be addressed:

- What are the favourite areas or strategies, if any, of specific agencies?
- Do they have known sensitivities to particular issues or partnerships? For example, are they likely to respond more or less favourably if there is involvement of NGOs or of a UN partner, or if the project takes into account gender issues?
- What mechanisms do they have for allocation of budgets? Who within their administrative structure is likely to provide the most attentive ear?
- What criteria do they have for the selection of projects to be funded?
- Is there an especially 'good' time to submit a proposal? Perhaps towards the end of agency's fiscal year?

4.6. Sustaining interest and commitment of new resource partners

Finally, the focus may too often be on short-term fund-raising and on one-off partnerships with one-time resource benefits. But sustaining the interest and long-term commitment of one's resource partners is an investment strategy of great relevance to HIV/AIDS programmes that are clearly long-term and dynamic. This is particularly true

when dealing with international donor agencies and with the private or business sector and suitable attention should be paid to ensuring the durability of partnerships.

The following are a few useful hints:

- Involve them in the planning and development of programmes or projects
- Tailor the design of projects to the donors' and sector's interests and mandate (this is especially applicable to the private sector)
- Review progress regularly together with resource partners
- Recognize and mark a partnership's achievements from time to time.

Conclusion

This guide draws attention to the broad scope of resources and of resource mobilization. It highlights in particular the different ways in which mobilization of resources effectively takes place through the strategic planning process.

With HIV/AIDS continuing to present an ever-growing challenge both in terms of prevention and of impact mitigation measures, resources will continue to be at a premium. In the resource-constrained settings within which national programmes are operating, additional or new resources will always be required and beneficial. However, it is also important to underscore the significance of making judicious use of existing resources. This is what this module does through emphasizing the resource mobilization aspects of the strategic planning process.

Further reading

- UNAIDS. Guides to the strategic planning process for a national response to HIV/AIDS,
- UNAIDS Best Practice Collection. Geneva, 1998.
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- Guinness L, Watts C, Mills A. Technical Brief on Cost-Effectiveness of HIV/AIDS Prevention Strategies. Background Paper for UNAIDS, 1997.
- Barnett T, Blas E, Whiteside T. AIDS Briefs. Integrating HIV/AIDS into Sectoral Planning, document WHO/SARA/HHRAA/USAID Africa, 1995.