



CRDI
Centre de recherches pour le
développement international



AAU



MODULE 1 RESOURCE MOBILIZATION AND MANAGEMENT FOR RESEARCH



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MODULE OVERVIEW

a. Background

Research is one of the most important core businesses of every institution of higher education. It is through research that new knowledge is generated and applied to enhance the quality of the socio-economic and environmental conditions of society. However, research activities in institutions of higher education (universities) in Sub-Saharan Africa compared to their counterparts in the USA and Europe, have been limited. This has been attributed largely to inadequate resources for research. Continued reliance on traditional sources of funding for research and development in institutions of higher education in Africa is increasingly becoming precarious, hence the need for diversification of resource mobilization strategies.

In a context of scarce financial resources, competition for access to research grants is becoming increasingly fierce. Indeed, donor grants are less reliable and predictable given the new trends in donor funding, as well as their demands in terms of professionalism, co-financing, accountability and efficiency.

Resource mobilization is a profession that requires many skills, a structured approach and careful planning. Furthermore, the efficient management of the limited resources mobilized for research is also critical.

It is against this backdrop that this training module on “Resource Mobilization and Management “is being developed for capacity building of research and development managers of members of Association of African Universities

b. Module Objectives and Target Group

The main objective of the module is to equip middle level leadership and research managers (i.e., Deans, Directors of Research Centres and Heads of Departments) of member universities of the Association of African Universities (AAU) with the requisite knowledge and skills to be able to raise and manage adequate financial and non-financial resources for effective research and development.

Specifically, the objectives of the module are:

1. Getting participants to understand the conceptual framework of resource mobilization;
2. Encouraging participants to master the strategies for resource mobilization in general and writing proposals for funding research in particular;
3. Equipping participants with the necessary knowledge and skills to effectively manage research resources towards the desired ends.

c. The Learning Outcomes

It is expected that by the end of this module, participants would be able to:

- i. appreciate and explain the conceptual framework for resource mobilization;
- ii. plan resource mobilization in a strategic vision and mission driven manner; and,
- iii. manage research resources in an efficient and accountable manner

d. The content of the guide

The module on resource mobilization is not considered a blueprint that should be followed strictly. It is rather a guide to help its users plan and implement strategies for resource mobilization for research. It does not deal with all approaches to resource mobilization but those that are most prominent in the academic world.

The module is organized under five parts, apart from the overview focusing on the background and objectives of the guide, its targets and the methodology to be used for the running of training sessions,

The first part of the module shows the resource mobilization framework and deals with the definition of the concepts of resource mobilization, the types of resources and donors, and the reason why universities must engage in resource mobilization.

The second part deals with the organizational preparation for resource mobilization. It highlights the importance of posing as an organization and knowing about the opportunities and threats in the external environment. Finally, it focuses on the importance of knowing the donors. The preliminary conditions that a university must fulfill before any resource mobilization have been dealt with.

The different aspects of a resource mobilization plan were tackled in the third part of the guide: the plan's objectives, methodological approach and content elements of a resource mobilization plan without leaving out the comparison between the different strategies of resource mobilization.

The fourth section on the funding proposal writing deals in particular with the ideas prior to the writing of the grant application and the writing of the grant application itself.

The last part preceding the annexes emphasizes the management of financial resources, report writing and managing partnerships with donors.

SESSION 1: THE CONCEPTUAL FRAMEWORK FOR RESOURCE MOBILIZATION

1.1 Basic concepts of resource mobilization

1.1.1 Resource mobilization

Resource mobilization is the process by which an organization acquires and manages the financial, human and logistical resources it needs to fulfill its mission.

Resource mobilization can be defined as a management process of identifying people who share the values of your organization and take steps to manage this relationship (IDRC, 2010).

Resource mobilization is often wrongly considered as fundraising. In fact, fundraising is a component of the resource mobilization refers to a variety of resources.

Therefore, resource mobilization involves the development of capacity to "steal the donors' heart" by winning them over to the cause of the organization that is the university

1.1.2 Types of resources

The resources of a university can be internal (staff, teachers and researchers, volunteers, registration fees, tuition, equipment, etc...) or external (financial support from donors and foundations). These resources are divided into two broad categories, namely monetary resources and non-monetary resources.

There are two broad categories of resources:

- Cash resources: tuition, membership fees, grants, proceeds from the sale of products and services;
- Non-monetary resources: human resources (researchers from the University, the Board of Directors, volunteers, etc..), logistics (vehicles, computers, buildings, etc..), other resources (technical assistance, study training, support and counseling, mediation, study tours, coaching, transportation, publishing, etc..).

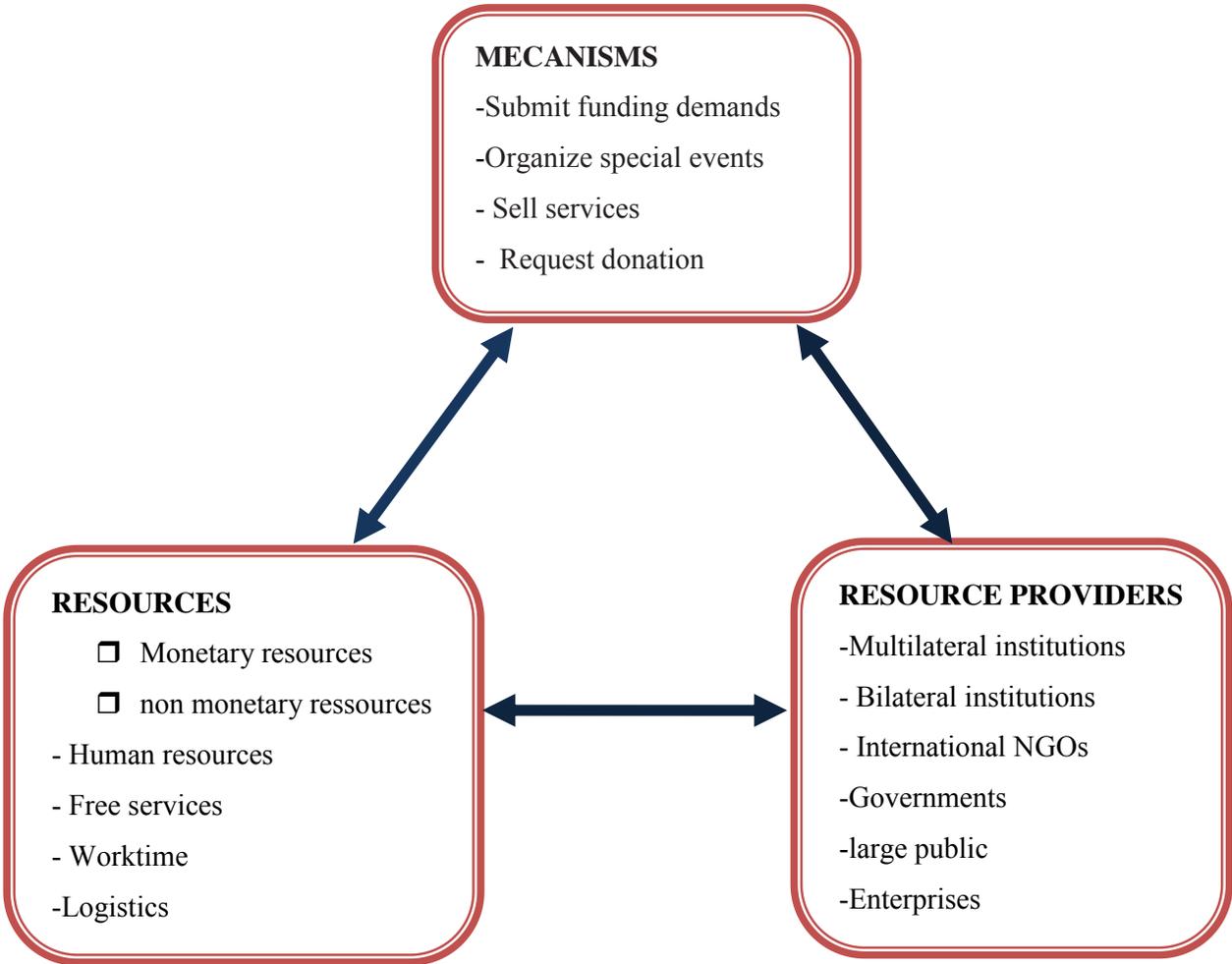
Money is one of the key resources that all organizations need to operate and carry out their activities. However, other resources may also be useful.

It is important to distinguish between two types of resources: restricted and unrestricted resources. Unrestricted resources can be used to carry out various activities that are left to the discretion of the organization. Restricted resources are allocated in particular to specific and predefined activities.

1.1.3 Triangle of resource mobilization

Resource mobilization involves three key elements, namely resources, resource providers and resource mobilization mechanisms. Mechanisms for resource mobilization strategies are used by universities to obtain resources from resource providers.

Diagram 1: Triangle of resource mobilization



1.2 Why is it important for research institutions to mobilize resources?

Contrary to profit organizations that derive their income from the sale of goods and services, public universities provide services and goods to the community. As these goods and services are not "sold" at fair value, universities need grants and donations to bear their charges. A successful funding research contributes to the survival of the university, its development, viability and institutional sustainability.

SESSION 2: PREPARE FOR THE MOBILIZATION OF RESOURCES FOR RESEARCH

1.3 Analysis of the institutional situation

2.1.1 Analysis of the internal environment

A research institution must know its own identity, strengths and weaknesses, specificity and distinctive competence. A starting and growing up university can not behave in the same manner as any other that has already proved to be credible, with a good network of contacts. Similarly, all universities are not ready to cope with the changes required by the formulation and implementation of policies for resource mobilization.

It may be difficult for a university to "sell" a project if it can not prove that it is a credible potential partner and that "it is worth taking a risk".

2.1.2 Analysis of the external environment

As the university is located in a given environment, it is important for it to have a good knowledge of the external environment, that is to say, opportunities and threats of the environment. The strengths and weaknesses refer to internal factors in university while opportunities and threats refer to external factors. The Strengths, Weaknesses, Opportunities and Threats (SWOT) tool makes it possible to do such a diagnosis.

This SWOT analysis can be coupled with another analysis that focuses on the environment of the university in terms of Political, Economic, Social and Technological (PEST) trends. The university should not ignore a number of factors that directly or indirectly influence its work (the regulation framework and development policies of the Government, the evolving of donors' priorities, technological innovations, new priority needs of the society, etc...).

1.4 Prior to any resource mobilization

The following items or at least some elements should be combined:

2.2.1 Are plans, procedures, systems and resources are available?

If the university does not have a strategic plan, it will be difficult to succeed in mobilizing resources, mainly due to inability to articulate and convince the donor how the resources will be used to accomplish some programmatic research priorities and the intervention strategies to employ. Moreover, donors seldom trust a university that does not have any idea about its objectives and means.

Without a clear vision and an inspiring mission, it is difficult for a university to know which way to take to reach its objectives, and inspire its members in the accomplishment of its mission.

Resource mobilization requires effective internal and external communications, public relations and advertising. The communication strategy must specify the communication objectives, target audiences, key messages, communication channels, etc...

It is important for the university to develop a plan for the mobilization of resources in order to state its objectives and strategies the required resources, as well as provide practical guidance to stakeholders, and also show potential donors directions in which the university wants to go for resource mobilization.

All work for resource mobilization should be backed by good accounting systems, financial management and databases. Databases on potential donors must be available before making any efforts to mobilize resources.

Resource mobilization is at the core of disciplines such as marketing, communications, finance, management, psychology, etc... It is an activity that requires different skills in strategic planning, team management, monitoring and assessment, budgeting, financial management, network development and public relations. If the university does not have most of these skills, it may fail in mobilizing resources.

2.2.2 Have we really considered the values of the university in relation to ethics in resource mobilization?

Whatever the strategies used by the university to mobilize resources, success largely depends on its public image. A good image is the best way of promoting a university vis-à-vis its potential contributors.

The university needs a code of ethics that are consistent with its values. The latter refers to its core beliefs, principles of action, what it deems important, what it can accept or reject in the pursuit of its mission. Universities spend a lot of time mobilizing resources to survive and they sometimes forget why they exist or they abandon some of their values.

Fundraisers must act honestly, respectably and truthfully to protect the interest of the public and not mislead donors as well as beneficiaries. They must work and prove integrity, accountability, transparency and professionalism.

2.2.3 Are we aware that there is a need to change strategies?

All universities are not prepared in the same way to engage in processes of resource mobilization. Therefore, public universities, in particular, are likely to change their working methods or face a potential resistance of their staff who considers resource mobilization as a form of begging.

1.5 Knowing the donors and identifying potential funding sources.

2.3.1 The donors' motivations

Donors often have to make difficult choices, whether they are multilateral or bilateral funding agencies of foundations, governments or corporations. We must try to adapt to the high demand for resources with limited supply without forgetting that it is necessary to ensure good economic or social "returns" of investments.

Donors want to know if they are likely to see a useful return on investment, be it financial or non-financial. They want to be convinced that the activities they sustain are efficient and effective and that the partner university will work permanently with or without their technical and financial support.

When a university is committed to mobilizing resources from donors, it will come, inevitably, in competition with other universities and other organizations of the civil society.

Beyond the attraction of "charity" for a given case, a donor needs assurance of benefits to be generated from the donated resources that can bolster the recognition and relevance of the donor. By making an offer to the donor, the university establishes its relationship with its future partner and demonstrates that it also cares about the interests of the latter.

Donors are many but each donor is unique in terms of his priorities, his operating methods and experience. Each donor must be treated as such; do not try and develop a common approach for all donors.

2.3.2 What are the 4 Ps of donors? (Policies, Priorities, Procedures and Psychology of donors)?

Even if donors are different in their priorities, areas of interest and approaches, they share certain characteristics. Indeed, all donors have Policies, Priorities, Procedures and Psychology (4Ps).

- Policies: set of rules governing the donor's intervention;
- Priorities: The priority areas for action;
- Procedures: ways to follow to apply for funding;
- Psychology: beliefs and values that the donor puts forward in its interventions;

2.3.3 What do donors expect from their potential partners?

Even if donor expectations vis-à-vis potential partners vary, some key factors motivate the decisions of donor funding. It is important for universities seeking to mobilize financial resources to have some major features:

- **Legitimacy:** In addition to elements relating to the legal recognition of the university in accordance with government standards, it is also useful for it to demonstrate its legitimacy. The latter refers to the ability of the university to fulfill its mission and to prove its social utility.

- **Transparency:** by transparency of the University we assume there is an open and ongoing communication with internal and external stakeholders on its managerial system, its activities and results. A transparent organization disseminates information about its programs and financial transactions. Transparent universities are perceived by donors and potential as credible and trustworthy partners, which is a major advantage in resource mobilization.

- **Accountability:** the university is accountable professionally to its stakeholders including donors of the use of the financial resources at its disposal. To this end, it must have sound and effective financial management systems.

- **Other features:** In addition to these major features, others are sought by donors, including the professionalism of the university, and professional references.

Exercise 1: SWOT Analysis / SWOT of your university in terms of mobilization of financial resources for research

Fill the matrix SWOT / SWOT of your university in relation to its capacity for resource mobilization. These guiding questions can help you think about some of the challenges and successes of your organization.

Table 1 : Matrix for SWOT Analysis

Internal Environment	Strengths	Opportunities	External Environment
	1.	1.	
	2.	2.	
	3.	3.	
	4.	4.	
	5.	5.	
	Weaknesses	Threats	
	1.	1.	
	2.	2.	
	3.	3.	
4.	4.		

Guiding questions :

- What are the strengths and weaknesses of your university in terms of resource mobilization?
- Who are your current donors?
- Is there a growing demand for services provided by your university?
- Does your university have resource mobilization opportunities?
- Is there any staff within your university that takes charge of resource mobilization?
- Is there any budget to mobilize resources?
- What are the strategies used by your university to mobilize resources?
- Does your university plan activities for resource mobilization?
- Do the Members of the Board of Directors participate in networking, strategy direction, and research funding for the university?
- How can you position your university to meet the requirements of your potential donors?

SESSION 3: DEVELOP AND IMPLEMENT A PLAN FOR THE MOBILIZATION OF RESOURCES FOR RESEARCH

1.6 Objective of a plan for resource mobilization

A plan for resource mobilization can play several roles for a university, namely:

- ✓ Conduct internal and deeper reflection on the financial situation of the university, its resource requirements and ways to get there;
- ✓ Serve as a "roadmap" or guidance to prevent the university from working aimlessly.
- ✓ Identify obstacles that the university may encounter in the implementation of its strategy for resource mobilization;
- ✓ Allow the university to set achievable goals based on their strengths, weaknesses and opportunities and threats in its environment;
- ✓ Allow the University to plan its interventions in resource mobilization in a strict and consistent manner;
- ✓ Communicate with employees of the university, the Board of Directors, backers and other stakeholders;
- ✓ Negotiate with technical and financial partners on a clear basis and according to specific objectives;
- ✓ Facilitate the monitoring and assessment of efforts made to mobilize resources;

1.7 Approach to the development of a plan for resource mobilization

The process of developing a plan for the mobilization of resources can vary from one university to another. However, there is a number of key steps, namely:

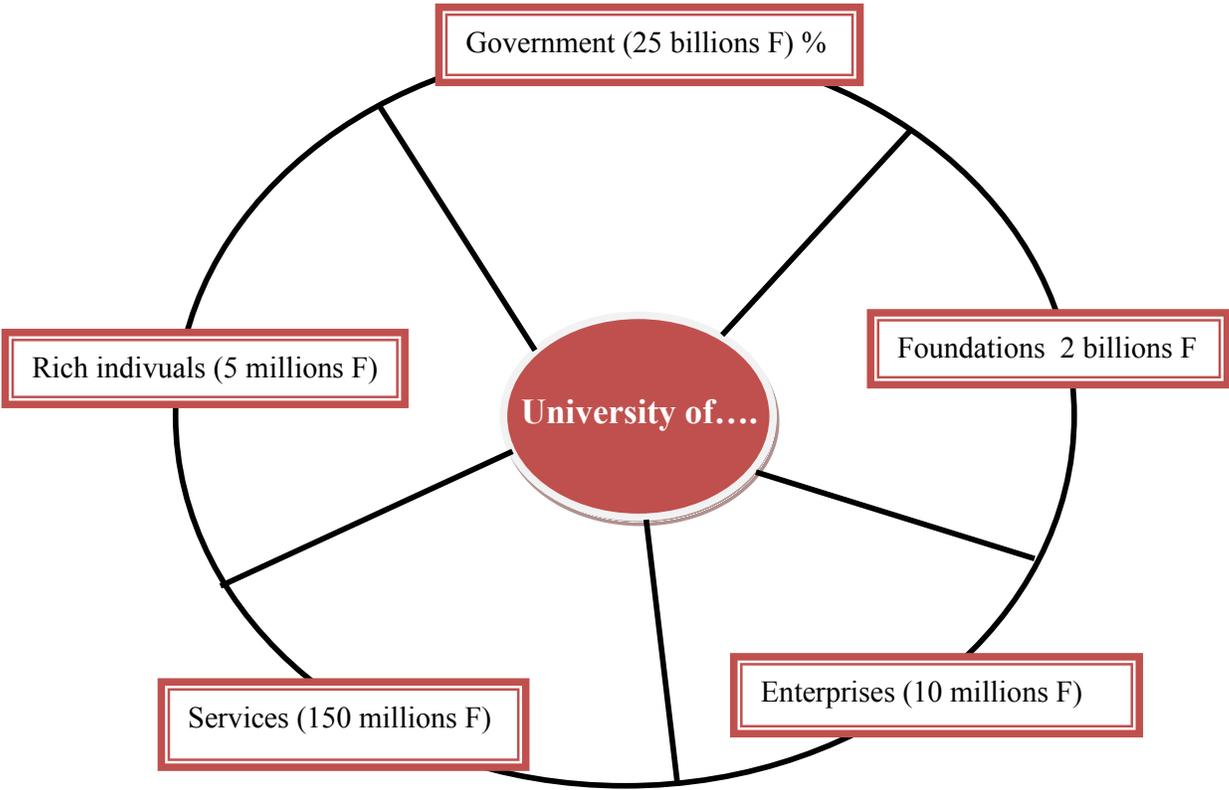
Phase 1: Linking strategic research planning and resource mobilization

The plan for resource mobilization should be linked with the strategic plan of the university which states its vision, mission, main objectives, programmatic areas, its intervention strategy and budget. This can help to avoid difference between the strategic plan and the mobilization of resources. It is important for universities to mobilize resources based on priorities identified in their strategy plans, not just opportunities that exist in their environment.

Phase 2: Review the current status of resources and identify resource needs for research

To assess the current state of resources means updating the financial resources available at the time when the plan for resource mobilization is being worked out. You can use a map of contributors that can also measure the degree of financial vulnerability of the university, the type of resources and strategies used for mobilizing resources that can be developed.

Diagram 2: map of contributors for research funding



Exercise 2: Your University's map of contributors

Taking inspiration from the map above, you will be asked to develop your university's diagram of contributors

Guidelines:

- i.** Complete the map by specifying the origin of the resource and its absolute amount or relative value on the basis of the financial resources mobilized by your university in the last fiscal year, (group sources by category and adapt the map if necessary).
- ii.** Comment and appreciate your university's map of contributors.
- iii.** What are the main strengths and weaknesses of your university in terms of resource mobilization?
- iv.** What can you do to improve the financial resources of your university?
- v.** Which solutions do you suggest? Why?

Once the financial resources are identified and quantified, it will be necessary to examine their sustainability and the conditions attached thereto. In other words, what is the period for these resources? Are there restricted or unrestricted resources?

Regarding the fiscal deficit, we can compare the financial resources available to those the university needs to implement its strategy plan. These resource requirements are the basis for the development of a strategy action plan for resource mobilization.

To identify the financial deficit, we can use a visualization tool as the chart below which can identify university programs (vertical axis) and update the resource gap by referring to the resource needs and available resources (horizontal axis).

For example, for the first program of its strategy plan, a university needs funding of 3,000,000,000 FCFA but has only half. It must then mobilize the rest while this strategy plan is being implemented.

Char t2: Assessing the needs for financial resources

Programmatic axes of the strategy plan	Resources		
	Total needs (1)	Total available (2)	Total deficit (1-2)
Research program 1	3 000 000 000	1 500 000 000	1 500 000 000
Research program 2			
Research program 3			
Research program 4			
Total			

It is important to ensure the sustainability of the resources available to the university by using a visualization tool as the chart below which will list the current resource providers (vertical axis) and the scale time which allows you to specify the period for which the supplier is committed (horizontal axis) to providing the resources.

Stage 3: Identify and examine different strategies for resource mobilization.

The university has the choice between different strategies for resource mobilization. Each strategy has its own requirements, its own strengths and constraints. Depending on the objectives of mobilizing resources, values, skills and available resources, risks inherent in each strategy, the university can compare the different strategies and select those that seem most relevant. The university had better consider carefully its choice its choice of resource mobilization strategies in order to minimize the risk of errors.

Chart 3: Strengths and weaknesses of the main resource mobilization strategies for research

Strategies	Strengths /assets	Weaknesses / limitations
1. Writing research proposals	<ul style="list-style-type: none"> - Possibility of generating important resources - Expansion of the network of relationships 	<ul style="list-style-type: none"> - Strong competition -Donors set research agendas -Project approach
2. Partnership between industry and research	<ul style="list-style-type: none"> - Bridging the gap between industry and research - Guarantee the use of research results -Contribution to African development 	<ul style="list-style-type: none"> - Industry is at a low stage of development -Weak private sector
3. Developing consultancy services	<ul style="list-style-type: none"> - Variety of service demands (government, civil society, etc.) - generated financial resources which are unrestricted 	<ul style="list-style-type: none"> - A risk to neglect research at the benefit of consultancy (workload of the personnel)
4. Establishment of an endowment fund /foundation	<ul style="list-style-type: none"> - Sustainable funding mechanism - Flexibility in the use of funds -Mobilization of people showing willing (former graduate, general public, etc.). 	<ul style="list-style-type: none"> - difficulties in the mobilization of the initial invest

It is not always advantageous to target only major donors, hence the importance of having a mix of strategies and reduce the risk "rather than focus all energies on getting considerable subsidies from large donors, it may be better to constitute a whole of donors, companies and groups with varying degrees of affinity for the organization's programs "(IDRC resource mobilization guide).

Favor a mix of funding

"We need to analyze our position in the market, focus on donors whose interests are more likely to match ours and develop our research funding to provide to each group of donors the satisfaction they need. » P. Kotler, A. Andreasen (Marketing Strategy of non-profit universities)

Stage 4: Identify and inform potential donors

Identifying potential resource providers means searching for information in a systematic and continuous way on them. The information collected on potential donors is very important and should be carefully recorded to support the university in developing its policy of resource mobilization and to make it operational. The ideal would be to have a database. If there is not any, one can refer to a summary chart of the data.

Chart 4: Data base draft on resource providers

Categories of resource providers	Priority areas for intervention	Programmatic priorities	Level and type of potential support		Funding Cycle	Contact persons and contact details
			Resources	Type d'usage		
Foundation X	West Africa	Agriculture and climate changes	Monetary	Restricted	All year	
Foundation						
IDRC						
Enterprise XYZ						
Government						

Phase 5: Work out a plan for resource mobilization

Judging from what has been said so far, one can consider that the university is willing to develop its plan for resource mobilization because it has all the necessary elements. Indeed, it has identified the deficit in resources in relation to its programs, aims in terms of resource mobilization, suppliers that can potentially meet its needs and strategies to implement, etc...

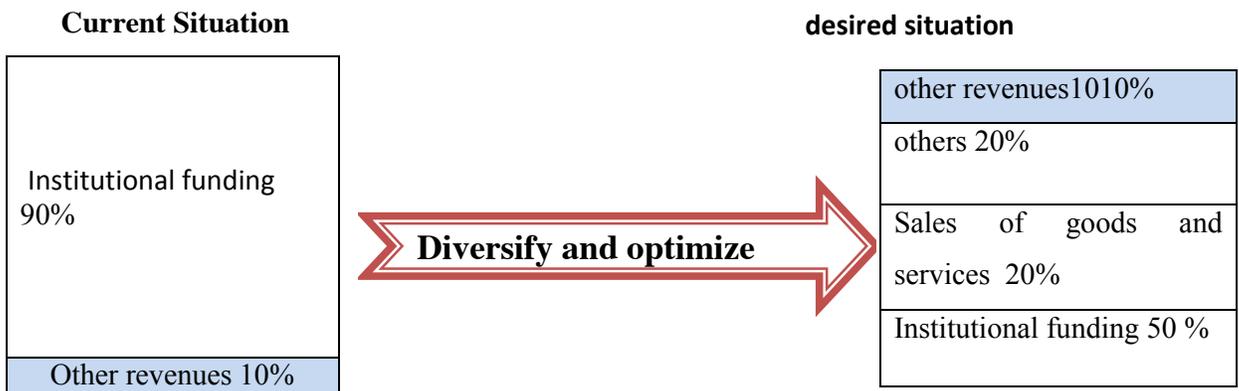
The goals of resource mobilization

A university that decides to start any resource mobilization can pursue different objectives, namely:

- i. Increase its visibility**, reputation and brand image. Thus, the university will focus on strategies such as special events, direct mail, marketing related to the cause of the organization, direct marketing, etc...
- ii. Expand and diversify the portfolio of partners** by recruiting new donors. The high number of new partners does not forcibly result in donations (this is not the objective).
- iii. To retain donors:** this means having regular donors to make more substantial donations that will ensure a long-term institutional funding by mobilizing large donations, fundraising and programmed legacies.

The goals of resource mobilization depend not only on the needs and experience of each university, but also the nature and the richness of their donors' billfold.

Chart 3 : Resource mobilization perspectives



1.8 Content of a resource mobilization plan

Chart 5: Basic elements of a plan for resource mobilization

The seven basic elements of a plan for resource mobilization
1. Summary of the internal and external environment of the university
2. Vision, purpose and objectives for resource mobilization
3. Strategies for resource mobilization
4. action plans
5. Roles and responsibilities of members of resource mobilization team
6. Budget
7. Monitoring and assessment

After writing a first version of a resource mobilization plan, it is important to share this document at the internal and external level. The objective is to collect as many comments, criticisms and recommendations that aim to improve the provisional version of the document.

1.9 Implementing a plan for resource mobilization.

There are two challenges to meet when making a plan for resource mobilization.

3.4.1 Resource mobilization: a team work

Fundraising is a team work for all stakeholders of the university. Resource mobilization is primarily a matter of men and women who develop a strategy and implement it. Whatever the quality of a resource mobilization strategy, it is unlikely to be successful if the university does not have a good quality staff.

Resource mobilization involves the participation of various actors at different levels and at different stages of resource mobilization. The problem is not to involve all stakeholders at the same time but this must be done in an organized manner by working together. Actors who may be involved are:

- The members of the governing body: the leaders' commitment at the highest level of the university is important to get some findings that require a relational network;
- The executive management of the research organization;
- The partners, volunteers and networks that will provide an opening to the outside level;
- Resource mobilization and communication teams are at the heart of the relationship with donors;
- Support teams (accounting, human relations, law service, etc. ..) that will bring their technical contributions;

In general, the roles of a team in charge of resource mobilization are the following ones:

Chart 6: The roles of a resource mobilization team

The key roles of a resource mobilization team
<ol style="list-style-type: none"> 1. Planning for resource mobilization 2. Managing the process of resource mobilization 3. Examining the history of donations 4. Replicating the vision of the members of the governing body 5. Take part in the search for major gifts 6. Managing staff and volunteers 7. Serving as points of contact 8. Suggesting potential donors 9. Developing strategies

Chart 7: A few roles and responsibilities of stakeholders in the process of resource mobilization

Actors	Roles et responsibilities
Board of directors	<ul style="list-style-type: none"> ✓ Replicating the vision of the members of the governing body ✓ Participating in seeking large donations ✓ "Open Doors" ✓ Being grateful to donors ✓ Serving as points contacts ✓ Suggesting potential donors
Executive Director of the institution	<ul style="list-style-type: none"> ✓ Planning for resource mobilization ✓ Managing the process of resource mobilization ✓ Managing staff and volunteers ✓ Motivating the resource mobilization team
Team in charge of resource mobilization	<ul style="list-style-type: none"> ✓ Developing strategies for resource mobilization ✓ Implementing strategies for resource mobilization ✓ Monitoring and assessing resource mobilization activities
Helping staff	<ul style="list-style-type: none"> ✓ Reviewing the donation history ✓ Providing information on accountancy and finance ✓ bookkeeping ✓ Developing key messages

Chart 8: The qualities of a good resource mobilization agent

The qualities of a good resource mobilization agent (from "Born to Raise" G. Planas)
1. Flawless integrity
2. Ability to listen
3. Ability to motivate
4. Interest for people
5. high expectations
6. Love for work
7. Perseverance
8. Presence

Finally, it is not obvious that the majority of the university staff will commit themselves to launching any program of resource mobilization. There may be some resistance in different ways:

"It's not my problem; it is the problem of managers."

"If we spend all our time worrying about how to generate income, what will be the real work of the university?"

To manage these risks, it is recommended to:

- Be open and honest about the situation of the finances of the university to bring stakeholders to understand the need to engage in resource mobilization;
- Know the vision and mission of the university and its values. It is important to recall the code of ethics of the university and make it clear that it will not accept everything. This may encourage members of the university when they understand that it is looking for resources to fulfill its mandate in accordance with its values;
- Involve staff in various phases of resource mobilization process
- Motivate the staff, highlight their successes and encourage them when they fail.

i. Resource mobilization: a work based on communication

Resource mobilization has an important work of communication at all phases of the process. Mobilizing donors also means mobilizing friends and partners who support the cause of the university. The funds raised are the fruit of this relationship.

A resource mobilization implies a lot of communication efforts based on effective communication strategies. The basic elements of a communication strategy are:

- Specific communication clear, realistic and time-bound objectives;

- A well-identified public and not any kind of public;

- **Well worked out and coherent key messages:** messages must be pleasing and persuasive.

- **Appropriate communication support:** broadcasting, print media, Internet, face-to-face meetings, telephone calls, etc..

- **Appropriate resources:** human resources, finance, logistics etc.:

ii. Meeting with potential resource providers

Taking advantage of meetings with resource providers effectively means planning them with potential donors and preparing some key questions that latter will inevitably rise. Questions we ask donors must also be identified.

Chart 9: Taking advantage of meetings with resource providers

1. Schedule meetings with potential resource providers	2. Get ready to answer donors' questions
✓ Prepare a proposal document	✓ Motivations of the choice of resource providers
✓ Describe well the organization, its successes, achievements and challenges	✓ Results of the applicant organization
✓ Be informed as much as possible about people working with the donor	✓ technical capacity, human and financial resources of the University
✓ Learn about the donor agency	✓ Professional references
✓ Prepare team	✓ Other donors of the university
✓ Be prepared to answer the donor's tough questions	✓ Project originality
✓ Provide information to potential donors	✓ benefits provided by the project to the donor
3. Questions for potential resource providers	✓ Visibility strategy of the donor
✓ Resource provider Expertise	✓ Sustainability strategy of the project
✓ Decision process	
✓ Type of resources provided	
✓ Specific requirements	

Monitoring and assessing activities and resource mobilization results

Monitoring and assessing are two important activities in the mobilization of resources. To facilitate the monitoring of resource mobilization activities, we can use a monitoring matrix that focuses on sources of income distribution and resource mobilization strategies implemented by the university as well as unplanned and available amounts and their differences. It is also interesting to see the resources used to mobilize resources. A gap is the difference between the expected amount and the actual one, expressed as a percentage of the amount. A positive number indicates that the difference is greater than the amount expected; a negative number indicates that it is lower than the amount expected.

A monitoring matrix must have the following elements:

- i. Quantitative and qualitative indicators related to the objectives of resource mobilization;
- ii. The follow up schedule that is based on the nature of resource mobilization;
- iii. The methods of data collection to inform monitoring indicators;
- iv. Human and financial resources for monitoring;
- v. Sharing methods with stakeholders registered in resource mobilization.

Chart 10: Follow-up matrix of resource mobilization actions

Sources of revenues	Planned amount	Mobilized amount	Difference (%)	Planned expenses	Carried out expenses	Difference(%)
answering proposal calls						
consultancy activities						
Marketing linked with a cause						
Endowment fund						
Other						
Total			%			%

Good monitoring requires from the resource mobilization team a sense of creativity, tact and interpersonal skills. There are different ways of monitoring the actions of resource mobilization. Here are a few examples:

- Call the contact person
- Send a letter as a reminder
- Send an email
- Meet the contact person
- Ask informally through casual meetings
- Have a friend in the organization to follow up with the contact person
- Have an influential colleague from another organization to do the follow- up
- Send further information
- Send a greeting card to special events
- Ask other organizations if they have received a reply (“if the resource provider follows a specific funding cycle. »

The fact of evaluating resource mobilization strategies and using the experiences in subsequent resource mobilization can help:

- Know the winning and non-winning strategies;
- Find out the cost of each option for resource mobilization;
- Calculate the cost / income ratio
- Identify hidden costs (staff time);
- Identify the hidden benefits (raising the profile of staff);
- Be on the lookout for early warning and take corrective action if necessary (excessive costs, poor response rates) signals;
- Follow the achievement of targets on a monthly or quarterly basis;
- Use charts and graphs to show trends (planned and realized monthly achievements over a year);
- Follow the achievement of targets on a monthly or quarterly basis;
- Use charts and graphs to show trends (planned and realized monthly achievements over a year);
- Develop the achievements that are not financial (new relationships, new networks, more visibility, lessons learned, etc.).
- Prepare reports for management and the Board of Directors;
- Learn continuously on the job of mobilizing resources;
- Use the information collected to reach conclusions and make decisions it takes.

Exercise 3: Choice of funding strategies

On the basis of the strategies discussed in Session 3, choose two strategies that seem most relevant to fund your research.

1. Which strategies are you going to select?
2. What are the strengths and weaknesses of each of these strategies?
3. How these strategies meet your goals they resource mobilization?
4. Why are these strategies most relevant to your university?
5. How will you make these strategies operational?
6. What kind of resources do you need to make these strategies operational?

SESSION 4: WRITING A RESEARCH FUNDING PROPOSAL:

Most universities make use of funding proposals to mobilize financial resources from donors. This is one of the most used strategies due to its many benefits. The funding proposal is of paramount importance and is the basis for the future relationship with donors. Therefore, it must be written professionally.

There are two main phases in the drafting of a proposal for funding

1.10 Preparatory Phase.

We have already stressed the importance of a university to know before launching any resource mobilization to know the donor and its own environment.

4.1.1 Why write a funding proposal?

One should not write a request for funding only to get financial resources or take advantage of a funding opportunity. The funding proposal is written to persuade a potential donor to support the research project of the university or its cause. The main purpose of a funding proposal is not simply to inform the potential donor or give a description of the cause for which we seek support but also to persuade him to support this cause. The matter is to write to persuade and attract the attention of donors and funding.

The project proposal must be conceived as a document to "sell" the research project to donors. And for that, it must be presented in a coherent and logical way. More than a simple application, the proposal must demonstrate that the project should be funded because many organizations are competing for funding.

4.1.2 Whom is the funding request intended for?

The question « Whom is the funding request intended for?» refers to both potential donors and people who may operate and sanction the funding request. As we have already seen, the donors' priorities, requirements and abilities vary.

In general, the proposal is considered by a technical expert or a scientific evaluation committee projects whose report is submitted to the judgment of policymakers. The expert has no power of decision. It is important to bear in mind these two levels of decisions, each with its importance. If the expert is not convinced of the technical quality of the proposal, he will not recommend it for funding. In turn, if decision makers cannot see the relevance of the proposal to the organization, they are not going to fund whatever the technical quality.

Again, we focus on the importance of knowing the backer, of targeting a specific donor and follow the instructions and his format of presentation. The more we think about who will read the proposal, the greater the chance of being understood.

4.1.3 Consider your argument

Planning the project helps to facilitate its drafting. Before any preparation of the application for funding, a quantitative and qualitative analysis should be made, the results of which will be the basis of the proposal.

The analysis of the intervention context and the research problem

A good analysis of the context identifies the problem of research, its local, regional and even international context. It is important to set the context so that we can help readers to define the research problem which is the subject of the request.

Thanks to a good literature review, the context allows the applicant to highlight the previous work in the area covered, the link with the planned research activities in the project, the link with national research priorities and opportunities for synergy with other projects.

The research problem should highlight the nature of the constraint and demonstrate the relevance of the project and its ability to meet the demand of users.

Analysis of objectives

The project objectives must be defined clearly and precisely so that we know what the applicant wants to do. Besides the general objective (sometimes some general objectives for research programs), you could have a number of specific objectives.

The overall objective of the research project is a cumulative long-term goal. It helps along with other objectives to solve the identified problem to justify the search. The specific objectives are more precise, targeted and accompanied by indicators as possible.

The analysis of the intervention strategy

Once goals are set, we analyze the strategy to use to achieve these goals. The main issues raised are:

- How does the project fit into the national priorities?
- How does the project fit into the priorities of the donor?
- Is the project justified?
- Who are the main beneficiaries of the project?
- What is the methodological approach to follow?
- What are the activities to be implemented to achieve the objectives of the project?
- What are the expected results?
- How to achieve results?
- Who will take part in it?
- How will the project be managed?
- What is the schedule to follow?
- What is the added value of the project?
- What is the potential impact of the project?
- How to measure and monitor progress?
- What are the success factors of the project?
- What are the resources needed to implement the project?
- What are the risks of the project and reducing measures?
- How to share the results of research?

1.11 Proposal writing phase

If all the preliminary work described above is carried out strictly, the preparation of the proposal will become easier. The project document is quite important for three reasons. First, the donor refers to this document to make his decision to fund or not fund the project. Then the project document is an important element for contracting with the donor because it clarifies the contractual obligations of the applicant. Finally, the evaluation of results, success and failure of the project will be based on the project document.

Even though the presentation formats of research projects vary from donors, the most essential points of a research proposal can be summarized as follows. Sometimes the researcher is expected to use its own format, in case the donor does not propose any.

4.2.1 Format of a research proposal

Chart 11: Format of a research project

Parts	Content elements
Cover Page	Title of proposal, name of the applicant organization, details of the contact person, name of the donor to whom the proposal is submitted, date of submission
Table of Contents	List of major titles and page numbers
Summary	Summary of the proposal in 300 words
Introduction	Talk about the interest of research briefly and announce the plan proposal
Research problem	Constraints to overcome, nature of constraints to overcome, causes and consequences of these constraints
Objectives and expected outcomes	- General objective and at most four specific objectives. There should be links between specific objectives and expected results (knowledge to develop, technologies to adopt, institutional capacity to strengthen, etc...).
Research Methodology	- Divide activities into coherent components and propose a strict and well structured methodology. - Make a clear description; - Be persuasive
Research team	- Profile of team members, key references, roles and responsibilities, team coordination.
Monitoring and Evaluation	Monitoring and Evaluation Plan with relevant indicators
Dissemination and enhancing the value of research	Plan of research result dissemination
Budget	Investment, the running, indirect cost Budget,
Conclusions	The main strengths of the proposal
Appendices	List of members of the Board of Directors, the logical project framework, recent audit report

4.2.2 Calculation of Direct and Indirect Costs and Budgeting

Generally, eligible expenses include:

- The basic equipment of the project (hardware, small laboratory equipment, etc.).
- Salaries and benefits specifically allocated to the project staff;
- The per diem paid to researchers when traveling, training workshops, etc... ;
- The stationery and other office supplies;
- The cost of documentation;
- The cost of communication;
- Publishing costs;
- Indirect costs of the project.

Besides these eligible expenses, there are also ineligible expenses that should be read before any budgeting.

The calculation of direct and indirect cost

It is rare for a donor to provide a university with all the financial resources it needs to conduct its research. In addition to direct costs due to the research project itself, there are other indirect costs chargeable to the university.

Indirect costs are interrelated with other research costs. It would be a mistake to ignore or minimize them. Indeed, if the university does not get back those indirect costs, it will not be easy to ensure its financial stability. One could even say that it is working "at a loss" without realizing it.

Many technical and financial partners refuse to bear the indirect costs of research projects even if these costs are legitimate and reasonable. The fact of accepting their funding makes it compulsory for universities to seek other means to bear these costs, which sometimes urges them to have recourse to any kinds of crafty ways.

For the few donors who are willing to fund the indirect costs, there are no set general standards to determine these costs. Some donors have their own rates, others set them arbitrarily.

Universities need to identify their indirect costs and integrate into the preparation of their research budgets. They must make an effort to retrieve these costs. To do this, they can negotiate with their donors and, if necessary, abandon the project if failure to take charge of these costs is likely to prevent them from achieving the project objectives.

Set a indirect cost rate

Rather than using a complicated system of several indirect costs, we may decide to use a single indirect cost rate. There are several measures used to determine the proportion of indirect costs to apply to each program. The following example illustrates an indirect cost rate based on the ratio of the total direct costs and the total indirect costs. For example, in 2011, a research organization that led two programs had revenues of \$ 75 million FCFA.

The direct costs of the first program were estimated at 35 million FCFA;

The direct costs of the second program were estimated at 25 million FCFA;

The indirect costs of the institution were estimated at 12 million FCFA /

To calculate the indirect cost rate, divide overhead costs by program, 12 million CFA francs divided by 60 million FCFA, or an indirect cost rate of 20%.

Drawing up the budget

Each university has its own budget requirements.

Chart12: Example of budget canvas (FNRAA model)

Description	BUDGET DISTRIBUTION			Total (F CFA)
	UNIVERSITY	PARTNER 1	PARTNER 2	
I – INVESTMENTS				
<ul style="list-style-type: none"> ▪ equipment and agricultural machinery ▪ Computer Hardware ▪ Laboratory Equipment <ul style="list-style-type: none"> ▪ Office furniture and equipment ▪ Vehicles ▪ Animal and agricultural capital 				
SUBTOTAL 1				
II OPERATION				
<ul style="list-style-type: none"> ▪ Purchases and changes in inventories ▪ small laboratory or agricultural equipment <ul style="list-style-type: none"> ▪ chemicals ▪ food and veterinary care ▪ office supplies ▪ carburant et lubrifiant fuel and lubricant ▪ Purchasing other supplies and equipment ▪ Transport ▪ Shipping 				
Other outside services A: <ul style="list-style-type: none"> ▪ Documentation and Science Information ▪ Education and Research fees Seminar fees, workshop, advertising, Publications and Public Relations <ul style="list-style-type: none"> ▪ Maintenance and repair costs 				
Other External Services B: <ul style="list-style-type: none"> ▪ Bank charges ▪ Mission expenses ▪ Honorary and Services ▪ Training and training period fees ▪ Other miscellaneous expenses 	r			
Staff costs <ul style="list-style-type: none"> ▪ Salaries ▪ Staff salary charges 				
Subtotal 2				
Indirect Costs (%) of budget allocated				
TOTAL				

T4.2.3 Tips for writing winning proposals

Some mistakes must be avoided when writing research proposals. It is strongly recommended to:

1. Use the framework of the donor and follow its instructions for the preparation and submission of proposals;
2. Constitute annexes to avoid overloading the body of the proposal;
3. Distinguish between "pre-proposal" and the proposal itself;
4. Know the funder before sending any proposal;
5. Ensure that each proposal is for a specific donor, do not use the same proposal for several donors (carry-all proposal);
6. Identify the person you are talking to from each funding agency;
7. Write in a form and language accessible avoiding jargon;
8. Avoid evasive justifications of research proposals and especially have figures to illustrate what you write about;
9. Show the relevance of the proposal by linking the priorities of donors and government;
10. To support aspects of the dissemination of research results;
11. Avoid writing the proposal in isolation (teamwork).

4.2.4 Criteria for Assessing grant applications for research

It is important to know the criteria that donors use to evaluate research projects submitted to them. The more these criteria are known, the more the drafting team of the research project is likely to propose a project that meets the policies and priorities of the donor. The criteria can be classified into three categories, namely in the form of general criteria, technical and financial.

Chart 13: Criteria for assessing of a research project

Grading Criteria	
General Criteria	Notation 25
Consistency with the donor's priorities the proposal is in accordance with the guidelines of the call for proposals Relevance of the research project Commitment of partners; Promotion of gender issues.	
2. Technical Criteria	50
Scientific and technical quality of the research proposal Quality of the research team Institutional capacity of the university / research team Added value of the research project Involvement of other technical partners Social, economic and financial impact expected from the project Development strategy of search results Strategy for disseminating research results	
3. Financial criteria	25
Clarity of the budget Appropriate budget Justification of proposed headings and costs Balance of budget between research and other costs.	
Total	100

SESSION 5 MANAGING RESEARCH GRANTS EFFECTIVELY

1.12 The accounting and financial management of the resources mobilized

It is not enough to mobilize financial resources. Whether resource subsidies or income generated by the university itself, one must manage these resources in a professional manner, which requires the establishment of an appropriate system for accounting and financial management.

Experience with grant projects highlights the need of the organization to handle the administrative and financial aspects of the grant project due to the number of receipts and disbursements to do audits, and controls to operate as well as technical and financial reports to produce.

For reasons of transparency and accountability, it is important for the university to open a specific bank account and have a separate accounting to manage the financial resources mobilized through a research grant.

A system of grant book keeping is essential for:

- Planning inputs and outflows, which avoids cash problems;
- Understanding accurately the financial position in which the research project is;
- Following the income and expenditure in relation the budget of the project;
- Demonstrating accountability and transparency vis-à-vis the project stakeholders;
- Securing the available resources to avoid wasting money because of mismanagement, corruption or theft;
- Being able to submit regular reports to the project stakeholders;
- Taking good decisions with respect to your budget and your expenses.
- Having a document of receipts and payments.

1.13 Accounting for the use of financial resources (financial reports drafting)

In addition to the recruitment of new donors, financial reporting and accountability is a key to retain donors already recruited and get them to increase the frequency or the amount of their donations.

Prepare technical and financial reports

The loan agreement specifies the types of technical and financial reports to be produced as well as their frequency. In general, the length of time is quarterly for monitoring reports and annual for other types of reports. Report writing is a contractual obligation to which coordinators of research projects are subjected. They can take advantage of the assisting staff to perform such work as they have most of the technical and financial project data.

The report is structured around the following topics: (i) the title of the project, (ii) recall the context, objectives and expected outcomes of the project, (iii) the methodology used, (iv) the results obtained (v) conclusions, (vi) the main difficulties and (vii) recommendations, perspectives and directions for future research.

The information contained in the financial monitoring report indicates (i) the financial status of the project during the period (ii) the total days for the relevant period, and (iii) the cumulative total days since the launch of the project. The financial monitoring report must also indicate for each item, the budgeted and actual expenditure, by highlighting the difference between actual and estimated estimates. Explanations of differences identified must accompany the financial monitoring report for the orientation of the management and monitoring of the project.

Finally, the research organization shall ensure that all funds deposited in the bank account are used for the project activities, that their use is justified by the closing date of the contract.

After this date, the beneficiary must pay back the donor all advances which are baseless or still kept in the bank account.

1.14 Manage the partnership relations with donors

Once potential donors are identified, the goal is to get to know them better before you meet. It is simple to convert knowledge into a lasting relationship; in other words, the donor must be taken as a partner.

Fundraising never ends. Its aim is to create a lasting relationship between the university and the donor. People in charge of fundraising must guarantee this relationship by listening carefully to donors and by involving them as much as possible beyond the gift for several reasons:

-Continue deserving the confidence of the donor and get him to provide other resources;

- Report on the use made of the available resources;
- Share the results and problems;
- Increase the visibility of the university;

Various methods can be used by the university to maintain its relationship with donors, including:

- Invite donors officially on the occasion of the university major events;
- Send official reports on progress and new publications;
- Invite donors during field visits organized by the university

Finally, it is crucial to manage relationships with donors. It is a job that requires sustained efforts and some communication skills. For IDRC, « donors must be regarded as friends. Employees and the board should strive to develop a reliable service, with adequate response to requests for information and assistance to keep donors informed of the actions taken by your organization, by helping them achieve their philanthropic missions while sustaining your organization. Developing an individualized plan for each major donor allows donors to feel they really contribute to solving problems. Donors also set the tone for the relationship, and your body, as a grant recipient, is required to honor their choice of gifts "(IDRC guide on resource mobilization).

Exercise 4: Case Study on the mobilization of financial resources

The University of Sahel (UOS) is a public university founded in 1980. The number of students increased from 4 000 to 22 000 and the number of teachers from 150 to 450. So far, the UOS has managed to regularly mobilize significant funding through state grants and technical and financial partners. Thus, these funds which represent more than 95% of mobilized resources have enabled the university to have human resources and infrastructure that are compulsory for achieving its educational mission. In fact, nearly 13 billions are spent each year on payment of salaries and social security contributions.

Since the beginning of 2010, most grant projects of the university have come to an end and the Government is unable to grant an annual subsidy of more than 15 billion francs. The university did not have any sustainable financial resources. The staff faces financial insecurity. After a few months without wages, some agents eventually left. Still others remain hopeful and believe that the situation will return to normal soon.

The board of directors of 55 members, including UOS mainly representatives of the central administration, teachers, students and service staff, is aware of the seriousness of the situation of CASE. But they meet occasionally to discuss academic and social issues as most members are very busy and think that the rector has a good profile to properly manage the university. That is why he has been empowered by the governing body.

Governments and their development partners encourage policy-making and implementation of performance contracts. The survival of the UOS largely depends on their ability to provide practical and urgent solutions to actual problems. There is rumor going around that the rector is entertaining the idea of submitting his letter of resignation to the board.

T.A.F

1. What accounts for the difficult situation in which the UOS is?
2. What are the possible solutions to overcome the problems identified?

Guiding Questions:

1. How has the UOS' financial situation evolved?
2. What are the main sources of the UOS' income generation?
3. Is there a niche of resource mobilization that the UOS has not explored?

4. What is the SWOT of the UOS?
5. What are the strategies for resource mobilization that can be used by UOS?

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