



GLOBAL FUNDS AND PARTNERSHIPS (GFPs)

MAPPING EXERCISE REPORT

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i. ABBREVIATIONS AND ACRONYMS

AATF	African Agricultural Technology Foundation
AFRICAP	AfriCap Microfinance Fund
AMD	Alliance for Microbiocides development
APOC	African Programme for Onchocerciasis Control
BLCF	Business Link Challenge Fund
BPDWS	Building Partnerships for Development in Water and Sanitation
CAPE	Community Animal Health and Participatory Epidemiology
CDC	Commonwealth Development Co-operation
CEF	Commonwealth Education Fund
CGIAR	Consultative Group on International Agricultural Research
CLGGPS	Commonwealth Local Government Good Practice Scheme
CLIFF	Community-Led Infrastructure Finance Facility
CSCF	Civil Society Challenge Fund
DAF	Development Awareness Fund
DevCo	Infrastructure Project Development
DMWP	Making Environmental Services Work for the Poor
EAIF	Emerging Africa Infrastructure Fund
EAP	Engineers Against Poverty - The Role of Engineering in the elimination of World Poverty
EDIF	Enterprise Development Innovation Fund
EITI	Extractive Industries Transparency Initiative
ESMAP	Energy Sector Management Assistance Programme of World Bank Group
ETI	Ethical Trading Initiative
FDCF	Financial Depending Challenge Fund
FTI	Education Fast Track Initiative
GAELF	The Global Alliance to Eliminate Filariasis
GALV	Global Alliance on Livestock Vaccines
GAVI	Global Alliance for Vaccines and Immunisation
GCM	Global Campaign for Microbicides
GEF	Global Environment Facility
GFATM	Global Fund for to fight Aids, TB and Malaria
GPEI	Global Polio Eradication Initiative
GPOBA	Global Partnership for Output-Based Aid
GuarantCo	Local Currency Guarantee Facility for Infrastructure
GWP	Global Water Partnership
HEL	Higher Education Links Scheme
IAVI	International AIDS Vaccine Initiative
IPM	International Partnerships on Microbicides

IPPF	International Planned Parenthood Federation
IFRTD	International Forum for Rural Transport and Development
IPAS	Programme to Improve Access to Safe Abortion and Post Abortion Care
ITI	International Trachoma Initiative
JP	Just Pensions
LAPDAP	LAPDAP ®
MCF	Mini Challenge Fund
MRC	Microbicides Development Programme
MMV	Medicines for Malaria Ventures
PCP	Population Council Partnership in support of adolescent girls
PEI	Poverty and Environment Initiative
PIDG	Private Infrastructure Development Group
PPIAF	Public Private Infrastructure Advisory Facility
PPPUE	Public Private Partnership for the Urban Environment
PROFOR	UNDP Programme on Forests
PSWSS	Partnering for Sustainable Water Supply and Sanitation
RBM	Roll Back Malaria
RETF	Rural Enterprise Technology Facility
SGS	Small Grants Scheme
STOPTB	Stop TB Partnership
TAF	Local Capacity Building Technical Assistance Fund
UNICEF/WHO JMP	UNICEF/WHO Joint Monitoring Programme
UNCTAD's investment TA/CB	UNCTAD's investment in technical assistance and capacity building
UN SAM	UN Social Assessment Mainstreaming
WB	World Bank
WBI	World Bank Institute
WSP	World Bank Water and Sanitation Programme
WSSCC	Water Supply and Sanitation Collaborative Council

1. INTRODUCTION

This report presents the output from the mapping component of a workstream on the effectiveness of Global Funds and Partnerships in which DFID is engaging, led by the Aid Effectiveness Team of DFID's Policy Division. The overall purpose of this work is to assess the *impact* of the aid channelled through GFPs, notably in comparison with that of other aid instruments, to determine *criteria* for engagement and to identify *strategies*, in consultation with other donors, to increase the effectiveness of the GFPs. The Terms of reference are attached in Annex x.

The report provides:

- a working definition of “global funds and partnerships”,
- a typology for GFPs,
- a general description of the type and level of DFID engagement,
- a Fiche (a snapshot view) for four key GFPs which are representative of different types in Annexes 6-10.

The PARC consultant team contracted by DFID to complete the mapping exercise have also conducted a parallel literature review exercise¹ which considers the evidence on the impact of GFPs against their own objectives, and their effectiveness as an aid instrument. The literature review also provides a synopsis of the work of other donors, including work in progress on developing tools, criteria and guidelines for GFPs, and identifies knowledge gaps.

This work has been completed by the PARC over the period May – August 2004.

The consultant team have worked closely with, and are grateful for the guidance provided by, Laure Beaufils and Kate Dawson of the Aid Effectiveness Team and for the information and insights provided by other DFID staff contacted through this short study (see Annex 1 for details).

A master spreadsheet (in Excel) containing information on all GFPs gathered by the review team has been compiled. Information from this has been used to present the tables in this report and the spreadsheet has been passed to DFID to assist the organisation in continuing to track changes in the scope and nature of GFPs.

¹ Literature review on the effectiveness of GFPs, a report by the PARC for DFID, August 2004.

2. THE FIELD OF GFPS – DEFINITION

DFID is working with different aid instruments towards achieving the Millennium Development Goals (MDGs), one of these instruments is the use of Global Funds and Partnerships (GFPs). So, what are GFPs? In the literature, global funds, global partnerships, public private partnerships at a global level or global health partnerships are defined terms, but not the term Global Funds and Partnerships. This term has been developed by DFID to describe the particular group of global funds and partnerships it has chosen to fund.

The World Bank is using the term “Global programs” rather than GFP to reflect partnerships and related initiatives whose benefits cut across more than one region of the world and in which the partners:

- Reach explicit agreements on objectives
- Agree to establish a new formal or informal organisation
- Generate new products or services
- Contribute dedicated resources to the programme.

The European Commission is in the process of commissioning a study that will include the development of a pragmatic working definition of issues of global relevance for EC intervention amongst its outputs. It Currently it uses terms such as global funds/ initiatives and global partnerships and programmes to describe its activities in this area.

To guide their own work, the Global Health Partnerships Review team have framed a provisional working definition

of GHPs as “any partnership involving public and private participants active at one or more stages in the *access value chain* to deliver products with major public health benefits but weak market incentives”.

The access value chain refers to basic research or product discovery through to access or delivery (e.g. molecule to mouth).

As part of the preliminary work for the mapping exercise the review team, in consultation with DFID, agreed that the scope of partnerships to be considered would include both those that involved funding and those that did not, as well as funds which are not managed in partnership by different agencies but by one agency only²

For the purposes of this work we have adopted the following working definition:

- A Global Fund or Partnership - is an initiative which transcends national boundaries and involves a group of (public/ private) participants, working on a common set of activities, to further progress towards the achievement of a specific global development goal.

GFPs differ from open-ended institutional partnerships; e.g. DFID's Institutional Strategy Papers (ISPs) with UN agencies or country and/or regional programmes.

Given the above working definition, the mapping exercise identified a DFID en-

² Like World Bank trust funds

agement in 68 GFPs. This includes a limited number where no funding is involved. In addition, about 20 potentially eligible initiatives could not be identified clearly due to the lack of PRISM data and therefore a categorisation into a GFP was not possible.

The pool of GFPs, determined in this way, - encompasses “global” grant funds

and those relating to sectoral investment funds. The former group relates to externally financing public actors in service system provision (e.g. in the fields of health, education, water, agriculture, and environment). The second group relates to investment funds that commonly hold equity or debt in private enterprises (e.g. agricultural investment funds).

3. CLASSIFICATION OF GFPS

The typologies outlined below provide the means by which the sub-sets of the total GFP population can be usefully viewed in “clusters”. This is still difficult at the function level, given that the majority of GFPS are multi-faceted in terms of the activities they undertake.

3.1 TYPES OF CLASSIFICATION

There is a range of possible characteristics by which one can try to map the GFP pool in which DFID is engaged, e.g. by organisational setting, by sector, by function (activity areas) and by objective. These characteristics are explored below:

3.1.1. ORGANISATIONAL SETTING

The World Bank has adopted the following categories for its global programmes based on organisational parameters³

CATEGORY 1: INSTITUTIONAL COLLABORATION

- No shared funding; no trust fund; the partnership is based on knowledge exchange.

CATEGORY 2: GLOBAL PARTNERSHIPS⁴

- Category 2a: The WB is acting as trustee; the WB is responsible for su-

³ During our research we have seen the importance of finding common categories. DFID is investing its funds globally with partners and therefore useful categories applied by partners should be taken into account.

⁴ In the case of Model 2, Global programmes are not legal entities but so called “unincorporated joint enterprises” where partners are responsible for each other.

pervision of end product; in house management.

- Category 2b: The external entity is leading, e.g. WHO; the secretariat is not in house; WB is not responsible for supervision of the end product.

CATEGORY 3: WB SUPPORT TO LEGAL CORPORATE ENTITIES

- Grants to non-profit organisations that may engage in partnership with others.

Our work suggests that there is limited value in trying to classify GFPS according to organisational setting or type, – other than to distinguish between those that are public-private-partnerships (PPP) and those that are confined to public sector involvement. This recognises that private sector engagement in development processes is regarded as critical if the MDGs are to be achieved.

3.1.2. BY SECTOR

A classification by sector illustrates the wide range of areas in GFPS in which DFID is engaging:

- Agriculture
- Business
- Education
- Engineering
- Environment
- Governance
- Health
- Infrastructure
- Trade

This can be a useful distinction given that sectors often provide a useful “window”

through which to position the work of a GFP within a country's growth and development strategy.

3.1.3. BY FUNCTION

A classification by functional categories has been used in accordance with the Health Resource Centre study. It has proved particularly useful in terms of identifying the increasing trend towards GFPs which have different dimensions. In the beginning, GFP's had a very narrow approach e.g. to develop a vaccine or breed a new plant variety. Now the approach can be described as multi-faceted or multi-dimensional. The CGIAR for example, started off as a GFP with a strong focus on germplasm improvement research. This focus was widened over the past few decades and includes now natural resources management, strengthening national research capacities, related social sciences and policy research.

As the classification of Global Health Partnerships (GHP) is specific to the health sector, a modification of this classification is necessary. The GHP applied a functional classification as follows:

(1) International advocacy, co-ordination and fundraising, (2) Product discovery, (3) Product development, (4) Pre-Access, (5) Technical assistance and (6) Product access.

The following categories were selected after a first analysis of the 68 GFPs DFID is engaged in and initial interviews with DFID staff. It serves the purpose of a functional multi-sector functional classification:

- Research and development
- Capacity building
- Advocacy
- Technical assistance
- Financing

These terms are defined in the following manner:

RESEARCH AND DEVELOPMENT

Research is the discovery of fundamental new knowledge. Development is the application of new knowledge to develop a potential new service or product. For example MMV

CAPACITY BUILDING

Increasing the ability and skills of individuals, groups, and organizations to plan, undertake, and manage initiatives. The approach also enhances the capacity of the individuals, groups, and organizations to deal with future issues or problems. For example HEL

ADVOCACY

The act of supporting or arguing in favour of a cause, policy or idea. It is undertaken to influence public opinion and societal attitudes or to bring about changes in government, community or institutional policies. (Kidney Foundation of Canada Advocacy Handbook, Adapted.) For example GEF (plus financing)

TECHNICAL ASSISTANCE

Operational or management assistance given to aid in financial planning, programme planning, legal advice, marketing, and other aids to management. Assistance may be offered directly by a staff member, or it may take the form of a grant to pay for the services of an outside consultant. (See also In-Kind Contributions.) For example CLGGPS

FINANCING

Raising revenue to pay for a good or service. For example BLCF

Please see annex 2 for a table using this classification to structure all the GFPs DFID is involved with.

56% of GFPs reviewed are multifunctional and 44% have only one function.

3.1.4. BY GOODS

In the WB's evaluation of its approach to Global Programmes (World Bank,

2002a), the World Bank also categorised Global Programmes by the different types of goods which they provide. This classification by public and merit goods comprises the following categories:

- **Global public goods** such as agriculture and health research, mitigation of climate change, conservation of global value, containment of certain communicable diseases, assurance of international stability, and the implementation of international trade rules.
- **National public goods with potential regional spillovers** such as water resources, management, biodiversity of national and regional value, containment of local communicable diseases, reduction of high human fertility, post-conflict reconstruction, and financial sector reform.
- **National public goods without significant spillovers** such as improving the climate for private sector investment, improving public sector governance in specific countries, enhancement of rural energy supplies, water supply and sanitation, and microfinance.
- **Merit goods**, generally private goods, the production or consumption of which is subsidised due to their high social value – increasing access of girls to primary education, focus on early child development, school health programmes.

We have included in this report a breakdown of GFPs against this WB classification (see Figures 1 & 3, and Annex 1). However, we do not find a major practical use for this type of classification as it is a very broad one. Whilst it has been possible to categorise a wide range of very different GFPs using this classification some value is lost due to the degree of generalisation. This is debate in the health sector on what constitutes a public good, and ambiguity on what constitutes a global public good.

As a result of working through the data from the mapping exercise and wider reading from the literature review, we have continued to look for a means of classifying GFPs based on their higher order objectives and expressed in terms that would “speak” more readily to those engaged in issues at the country level. The output from that thinking process – a typology - is presented below and illus-

trated through the classification within it of some of the key GFPs.

3.1.5 OBJECTIVES

This typology has been developed on the basis of the focus objective, or “core business” of the GFP, in terms of how it aims to add value to the country level development efforts towards achieving the MDGs (see annex 4).

At the global level, the most significant development affecting GFPs as a group has been the Monterrey pledge on increasing ODA and the growing pressure for demonstrated results linked to MDGs. Coupled with experience to date on developing and implementing Poverty Reduction Strategies, the Monterrey pledge suggests that sustained progress towards MDGs can only be met through supporting country led developments which in turn require:

- strong national processes & systems
- increased financial resources
- increased uptake of global knowledge and technology
- a step change involving new ideas on strategic thinking and renewed international energy.

This means that the primary objectives of GFPs should be to support these requirements as shown below. Although each GFP may have multiple objectives, this classification means that the primary objective is used to classify the individual GFP.

TABLE 1: THE PRIMARY OBJECTIVE OF THE GFP INSTRUMENT.

<p>To enhance the performance of national sector programmes in order to deliver national development goals</p> <ul style="list-style-type: none"> ■ EFA FTI ■ GEF and WSSCC 	<p>To attract, manage and disburse additional finance such as private sector funds to increase ODA in pursuit of MDGs</p> <ul style="list-style-type: none"> ■ UNAIDS/GFATM ■ BLCF
<p>To generate new strategic thinking and advocacy to achieve the MDGs</p> <ul style="list-style-type: none"> ■ Global Health Forum ■ GWP and CA 	<p>To develop new products and technology to deliver global & national public goods</p> <ul style="list-style-type: none"> ■ CGIAR ■ GAVI

3.1.6 HOW OPERATES

Another useful dimension to this typology is the level the GFP focuses its effort – is

the GFP focussing its effort at the country level or seeking influence at the global level primarily?

TABLE 2: THE PRINCIPAL FOCUS OF EFFORT OR LOCUS FOR ACTION

<p>Country level</p> <ul style="list-style-type: none"> ■ EFA FTI 	<p>Global/ Regional level</p> <ul style="list-style-type: none"> ■ CGIAR
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3.1.7 LEVEL OF ENGAGEMENT

A final method of classification proposed here involves characterising the nature, or level of intensity, of DFID's engagement with the GFP. The classification distinguishes between four different types of engagement which can be ranged across a spectrum, indicating the degree of intensity:

- Donor with no active involvement post funding
- Partner of trust simply using the GFP as a route for funding
- General Partner, acting as a passive, re-active contributor
- Lead Partner, acting as the prime mover and shaker

TABLE 3: THE LEVEL OF (DFID) ENGAGEMENT

<p>Partner of trust routing funding through another agency</p> <ul style="list-style-type: none"> ■ World Bank trust funds 	<p>Donor with no active involvement post funding</p> <ul style="list-style-type: none"> ■ CSFP
<p>General Partner acting as a passive, reactive contributor)</p> <ul style="list-style-type: none"> ■ CGIAR 	<p>Lead Partner acting as a prime mover & shaker, pro-active</p> <ul style="list-style-type: none"> ■ EFA FTI

3.1.8 WHAT CAN THIS TYPOLOGY OFFER?

The above typology may facilitate the plotting of individual GFPs against the two axis of primary objective and locus of action and through this invite consideration of the following questions:

- a) Does the combination of primary objective and locus for action look “best bet” for achieving impact within today’s global ODA landscape?
- b) Given its current shape (objective/ locus) what set of conditions at the

country level is likely to represent the “best fit” for the GFP to deliver its potential added value?

It may also be interesting to plot vis-à-vis objective and locus all GFPs that relate to one “sector” and see how – relative to each other - they position themselves thereby flagging up possible areas of a skewed approach, duplication and/ or complementarity.

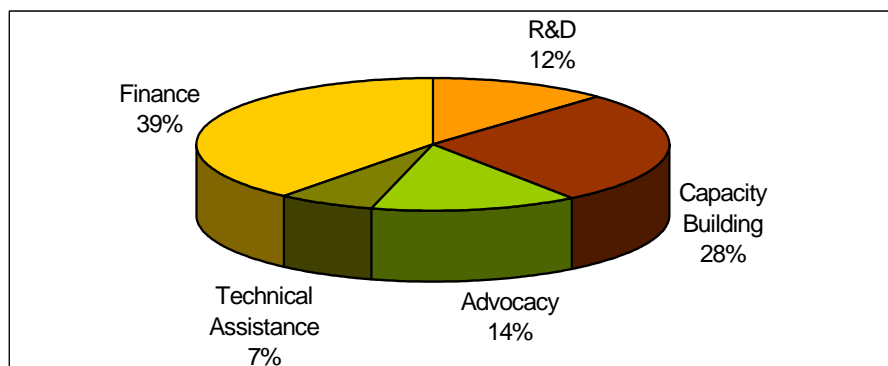
4. TYPE AND LEVEL OF DFID ENGAGEMENT

4.1 ON WHAT IS DFID INVESTING

DFID's total investment in the 65 GFPs is approximately £ 904 m⁵ as calculated back to 1988, although the first contributions were made in 1959. Figure 1 represents an overview of the GFP functions that DFID has supported in total. This is based on a classification of

GFPs by function and recognises that some GFPs are multi-functional. The value of DFID investment in GFPs that have more than one function was divided by the number of functions, with equal parts allocated as to the respective functions. On this basis, - nearly 2/3 of DFID's investment in GFP's focus on financing (39%) and capacity building (26%)

FIGURE 1: DFID SPENDING IN GFPs BY FUNCTION



⁵ Contributions to CGIAR which started in 1971 are calculated back to 1999/2000 and contributions to CSFP which started in 1959 are calculated back to 1988, For 11 out of 64 GFPs there is no financial data available on PRISM, exchange rate: 1 \$ = 0.77 £

Figure 2 classifies GFPs by objective using the WB classification and by sector. This classification shows a certain clustering: business, environment and infrastructure GFP's tend to have national public goods without potential regional spillovers as the objective.

Education GFPs focus on merit goods while Health GFPs have a primary focus on global public goods and a secondary focus on national public goods without potential regional spillovers.

FIGURE 2: NUMBER OF GFP'S BY OBJECTIVES AND SECTORS.

SECTOR	GLOBAL PUBLIC GOODS	NATIONAL PUBLIC GOODS +	NATIONAL PUBLIC GOODS -	MERIT GOODS
BUSINESS		1	6	6
AGRICULTURE	1	1	2	
EDUCATION				4
ENGINEERING	1			
ENVIRONMENT	1	1	5	2
GOVERNANCE		2		
HEALTH	13	6		2
INFRASTRUCTURE		1	10	1
TRADE	2			
OTHERS		1	3	
TOTAL	18	13	26	10

National Public Goods + = National Public Goods with potential regional spilloves

National Public Goods - = National Public Goods without potential regional spilloves

FIGURE 3: NUMBER OF GFPs BY FUNCTION⁶

SECTOR	R&D	CAPACITY BUILDING	PARTNERSHIP	ADVOCACY	TECHNICAL ASSISTANCE	FINANCE
BUSINESS	2	2	1	1	2	5
AGRICULTURE	3	1	1	1		
EDUCATION		4	2	1		1
ENGINEERING		1	1		1	
ENVIRON-	3	3	5	2	1	2
GOVERNANCE			1		1	
HEALTH	9	11	10	14	6	4
INFRASTRUC-	2	4	3	1	7	7
TRADE	1	1	1		1	
OTHERS		1			1	1
TOTAL	20	28	25	20	20	20

⁶ R&D = Research and Development; One GFP can have multiple functions

Figure 3 analyses GFPs by function and by sector. This shows that most GFPs work in a range of function areas. 20 GFPs are engaged in the area of research and development, 20 in advocacy, 20 in technical assistance and 20 in financing. The number of GFP's working in partnership is slightly higher (25) while the majority of GFPs are engaged in capacity building (28).

4.2 TIMELINE OF GFPs AND DFID ENGAGEMENT

Figure 4 shows that DFID made increasing use of GFP funding as an aid instrument towards the end of the 1990s and the beginning of the new millennium. In 2002 the number of new GFPs DFID was supporting peaked and thereafter the number of additions has decreased.

FIGURE 4: TIMELINE OF START OF DFID'S ENGAGEMENT IN GFPs

1959	1971	1974	1981	1992	1998	1999	2000	2001	2002	2003	2004
CSFP	CGIAR	APOC	HEL	ESMAP	CLGGPS FDCF RBM	LAPDAP PPPUE UN SAM	GAELF GAVI CITIES ALLIANCE CLIFF CAPE	RETF GFATM INT. HIV/AIDS ALLIANCE AFRICAP BLCF EDIF ANTICORRUPTION PCP IN SUP- PORT OF GIRLS	EITI JP IFRTD UNCTAD - TA/CB PSWSS STOP TB WSPB IPM ETI PROFOR GWP IPAS GPOBA CEF EAIF	BPDWS EAP UNICEF/WHO SUPPORT WSSCC WB-WSP PPIAF GEF IPPF PEI	IAVI GUAN- RANTCo

GFPs evaluated or reviewed (reports available June 2004)

5. CONCLUSION

This report shows the wide range and variety of GFPs in which DFID is engaged. It maps the GFPs according to different typologies. Mapping according to different typologies enables different insights to be gained about the overall portfolio of GFPs that DFID is supporting.

The mapping exercise may be most useful in prompting an analysis of the portfolio in terms of its range and comprehensiveness and the reasons for the choices that have been made to

support certain types of GFPs rather than others. In order to appraise the added value of this instrument more work needs to be done to assess the effectiveness of particular GFPs in particular contexts and perhaps to compare the impact of GFPs with similar functions operating in different sectors.

This report uncovers the complexity of GFPs as an aid instrument in terms of modalities of funding and as a development instrument in terms of where and how GFPs work.

ANNEX 1: MAPPING OF GFPS

The commitment level presented in Annex 1 is for the total period of DFID funding. The duration of funding is illustrated in the GFP excel master list⁷.

GFPS BY OBJECTIVE

Global Public Goods				
GFP Name	Index Heading	DFID Commitment Level	Start Date	GFP Name
JP	Trade	£280,368	2002	2005
UNCTAD's investment TA/CB	Trade	£393,500	2002	2004
EAP	Engineering	£600,000	2003	2006
IPM	Health	£1,200,000	2002	2006
GFATM	Health	£2,287,000	2001	2006
International HIV/AIDS Alliance	Health	£2,500,000	2001	2004
LAPDAP	Health	£2,560,000	1999	2004
GAELF	Health	£3,000,000	2000	2004
MMV	Health	£5,000,000	?	?
IAVI	Health	£14,000,000	2004	2004
GPEI	Health	£35,000,000	2000	2001
CGIAR	Agriculture	£90,000,000	1971*	2007
GEF	Environment	£102,830,000	2003	2006
ITI	Health	n/a		
MDP	Health	n/a		
3 by 5 initiative	Health	n/a		
GCM	Health	n/a		
AMD	Health	no funding		

*Funding for CGIAR calculated since 1999/2000

National Public Goods +				
GFP Name	Index Heading	DFID Commitment Level	Start Date	GFP Name
EITI	Business	275,000	2002	2003
IFRTD	Infrastructure	305,000	2002	2005
UNICEF/WHO Joint Monitoring	Others	600,000	2003	2005
CLGGPS	Governance	820,000	1998	1999
STOPTB	Health	988,000	2002	2004
WBI - Anti-Corruption Prog.	Governance	2,000,000	2001	-
GWP	Environment	2,730,000	2002	2004
GAVI	Health	3,900,000	2000	2005
IPAS	Health	5,000,000	2002	2005
CAPE	Agriculture	5,700,000	2000	2005
RBM	Health	19,592,000	1998	2008
APOC	Health	n/a	1974	2002

National Public Goods -				
GFP Name	Index Heading	DFID Commitment Level	Start Date	GFP Name
WSSCC	Environment	940,600	2003	2004
PCP in support of girls	Health	5,000,000	2001	2006
WB - WSP	Environment	7,242,000	2003	2006
CEF	Education	14,400,000	2002	2005
FDCF	Business	18,500,000	1998	2009
HEL	Education	23,800,000	1981	2006
IPPF	Health	37,000,000	2003	2005
CSFP	Education	160,471,692	1959*	2006
FTI	Education	12,000,000	2004	2007
TAF	Infrastructure	n/a		

⁷ This is a database provided by PARC; *Funding for CSFP calculated since 1988

Merit Goods				
GFP Name	Index Heading	DFID Commitment Level	Start Date	GFP Name
BPDWS	Environment	400,000	2003	2006
UN SAM	Others	686,000	1999	2004
PSWSS	Environment	796,840	2002	2004
PEI	Environment	900,000	2003	2006
WSPB	Environment	1,014,200	2002	2005
RETF	Agriculture	1,400,000	2001	2006
ETI	Business	1,615,000	2002	2006
PROFOR	Environment	1,750,000	2002	2007
DMWP	Business	2,148,000	2003	2006
PPPUE	Infrastructure	3,150,000	1999	2004
AFRICAP	Business	3,600,000	2001	2006
AATF	Agriculture	5,000,000	2004	2008
ESMAP	Infrastructure	5,966,106	1992	-
Cities Alliance	Infrastructure	6,010,000	2000	2008
CLIFF	Infrastructure	6,800,000	2000	2004
DevCo	Infrastructure	6,800,000	-	-
CDC	Business	7,836,000	-	-
GPOBA	Infrastructure	10,000,000	2002	2005
PPIAF	Infrastructure	15,300,000	2003	2006
BLCF	Business	17,000,000	2001	2005
GuaranctCo	Infrastructure	17,900,000	2004	2006
PIDG	Infrastructure	130,000,000	2000	2006
EDIF	Business	n/a	2001	2005
MCF	Others	n/a	-	-
CSCF	Others	n/a	-	-
EAIF	Infrastructure	129,870,129	2001	2006

ANNEX 2: GFPs BY FUNCTIONAL CATEGORY⁸

GFP Name	Index Heading	Approach Classification						
		R&D	CB	PS	ADV	TA	FIN	
RETF	Agriculture	R&D						
AATF	Agriculture	R&D						
Community Animal Health and Participatory Epidemiology - CAPE	Agriculture		CB	PS	ADV			
CGIAR	Agriculture	R&D						
EITI	Business				ADV		FIN	
AFRICAP	Business					TA	FIN	
CDC	Business						FIN	
Business Linkage Challenge Fund - BLCF	Business						FIN	
FDCF	Business						FIN	
EDIF	Business	R&D						
Ethical Trading Initiative - ETI	Business		CB	PS				
DMWP	Business	R&D	CB					
CEF	Education		CB	PS	ADV		FIN	
HEL	Education		CB					
CSFP	Education		CB					
FTI	Education		CB	PS				
Engineers Against Poverty (EAP)- The Role of Engineering	Engineering		CB	PS		TA		
Building Partnerships for Development in Water and Sanitation	Environment			PS				
Partnering for Sustainable Water Supply and Sanitation	Environment		CB	PS				
Poverty and Environment Initiative - PEI	Environment	R&D	CB					
WSSCC	Environment	R&D		PS				
Water and Sanitation performance benchmarking	Environment			PS				
Support to the World Bank Program on Forest - PROFOR	Environment		CB					
GWP	Environment	R&D		PS			FIN	
WB - Water and Sanitation Programme	Environment					TA		
Global Environment Facility (GEF)	Environment				ADV		FIN	
CLGGPS	Governance					TA		
Anti-Corruption Programmes Covering Africa, Asia and Eastern Europe	Governance			PS				
STOPTB	Health	R&D	CB	PS	ADV			
International Partnership for Microbicides - IPM	Health	R&D	CB	PS				
GFATM	Health						FIN	
International HIV/AIDS Alliance	Health	R&D	CB	PS	ADV			
LAPDAP	Health	R&D						
GAELF	Health			PS	ADV		FIN	
GAVI	Health			PS	ADV		FIN	
Population Council Partnership in support of adolescent girls	Health		CB			TA		
IPAS: Programme to Improve Access to Safe Abortion	Health		CB		ADV			
MMV	Health	R&D						
IAVI	Health		CB		ADV		FIN	
RBM	Health		CB	PS	ADV	TA		
GPEI	Health		CB		ADV	TA		
IPPF	Health			PS	ADV			
ITI	Health		CB	PS	ADV	TA		
MDP	Health	R&D	CB		ADV			
3 by 5 initiative	Health	R&D		PS	ADV	TA		
GCM	Health	R&D			ADV			
AMD	Health	R&D	CB	PS	ADV			
APOC	Health					TA		
IFRTD	Infrastructure	R&D			ADV			
PPPUE	Infrastructure		CB	PS		TA	FIN	
World Bank Group: Energy SMAP	Infrastructure					TA		
Cities Alliance	Infrastructure	R&D	CB	PS		TA	FIN	
CLIFF	Infrastructure					TA	FIN	
DevCo	Infrastructure					TA		
GPOBA	Infrastructure						FIN	
PPIAF	Infrastructure		CB	PS		TA		
GuaranctCo	Infrastructure						FIN	
PIDG	Infrastructure						FIN	
EAIIF	Infrastructure						FIN	
TAF	Infrastructure		CB			TA		
Support to the UNICEF/WHO Joint Monitoring Programme	Others					TA		
UN Social Assessment Mainstreaming: pro-poor policies	Others					TA		
MCF	Others						FIN	
CSCF	Others		CB					
JP	Trade	R&D		PS				
UNCTAD's investment TA/CB	Trade		CB			TA		

⁸ R&D: Research & Development; CB: Capacity building; PS: Partnership; ADV: Advocacy; TA: technical assistance; Fin: Financing

ANNEX 3: GFP BY SECTOR AND OBJECTIVE

AGRICULTURE	CGIAR	CAPE	RETF AATF	
BUSINESS		EITI	EITI DMWP AFRICAP CDC EDIF	FDCF
EDUCATION				CEF HEL CSFP FTI
ENGINEERING	EAP			
ENVIRONMENT	GEF	GWP	PROFOR WSPB PEI PSWSS BPDWS	WB-WSP WSSCC
GOVERNANCE		CLGGPS WBI-Anticorruption Programmes		
HEALTH	IPM GFATM Int. HIV/AIDS Alliance LAPDAP GAELF MMV IAVI GPEI ITI MCP 3 by 5 initiative GCM AMD	Stop TB GAVI IPAS RBM APOC		PCP in support of adolescent girls IPPF
INFRASTRUCTURE		IFRTD	PPPUE WBG-Energy SMA Cities Alliance CLIFF DevCo GPOBA PPIAF CuarantCo PIDG EAIF	
TRADE	JP UNCTAD's Investment TA/CB			
OTHERS		UNICEF/WHO Joint Monitoring Performance	UN Social Assessment Mainstreaming MCF CSCF	
	GLOBAL PUBLIC GOODS	NATIONAL PUBLIC GOODS +	NATIONAL PUBLIC GOODS -	MERIT GOODS

ANNEX 4: MAPPING GFPS FUNDED BY DFID AGAINST MILLENNIUM DEVELOPMENT GOALS

MDG	TARGETS	GFP
1. Eradicate Extreme Poverty and Hunger	1. Reduce by half the proportion of people living on less than a dollar a day Total Investment: £590,012,798.00	IFRTD, EAP - The Role of Engineering in the Elimination of Poverty, UN SAM, DevCo, CDC, GPOBA, PPIAF, BLCF, GuaractCo, CGIAR, CSCF, DMWP, CAPE, ESMAP, FDCF, HEL, PIDG, CSFP, GALV, MCF, EAIF, TAF
	2. Reduce by half the proportion of people who suffer from hunger	
2. Achieve Universal Primary Education	3. Ensure that all boys and girls complete a full course of primary schooling Total Investment: £26,400,000.00	CEF FTI
3. Promote Gender Equality and Empower Women	4. Eliminate gender disparity in primary and secondary education preferably by 2005, and at all levels by 2015 Total Investment: £5,000,000.00	PCP
4. Reduce Child Mortality	5. Reduce by two thirds the mortality rate among children under five	
5. Improve Maternal Health	6. Reduce by three quarters the maternal mortality ratio Total Investment: £5,000,000.00	IPAS: Programme to Improve Access to Safe Abortion and Post Abortion Care
6. Combat HIV/AIDS, Malaria and other Diseases	7. Halt and begin to reverse the spread of HIV/AIDS Total Investment: £55,900,000.00	IPM, IAVI, IPPF, MRC, 3 by 5 Initiative, GCM, AMD, GFATM
	8. Halt and begin to reverse the incidence of malaria and other major diseases Total Investment: £66,140,000.00	STOP TB, MMV, RBM, GPEI, ITI, APOC, GFATM
7. Ensure Environmental Sustainability	9. Integrate the principles of sustainable development into country policies and programmes; reverse loss of environmental resources Total Investment: £108,210,000.00	PEI PROFOR GWP GEF
	10. Reduce by half the proportion of people without sustainable access to safe drinking water Total Investment: £10,993,640.00	BPDWS, UNICEF/WHO JMP, PSWSS, WSSCC, WSPB, WB WSP
	11. Achieve significant improvement in lives of at least 100 million slum dwellers by 2020 Total Investment: £6,010,000.00	Cities Alliance

8. Develop a global partnership for development	12. Develop further an open trading and financial system that is rule-based, predictable and non-discriminatory. Includes a commitment to good governance, development and poverty reduction - nationally and internationally	EITI JP UNCTAD's Investment TA/CB CLGGPS Anti-corruption Programmes AFRICAP
	Total Investment: £8,428,500.00	
	13. Address the least developed countries special needs. This includes tariff- and quota-free access for their exports; enhanced debt relief for heavily indebted poor countries; cancellation of official bilateral debt; and more generous official development assistance for countries committed to poverty reduction	
	14. Address the special needs of landlocked and small island developing States	
	15. Deal comprehensively with developing countries' debt problems through national and international measures to make debt sustainable in the long term	
	16. In cooperation with the developing countries, develop decent and productive work for youth	
	17. In cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries	GAVI
	Total Investment: £3,900,000.00	
18. In cooperation with the private sector, make available the benefits of new technologies - especially information and communications technologies	RETF PPPUE AATF CLIFF EDIF	
Total Investment: £16,350,000.00		

The above table enables an overview of DFID's GFP portfolio and allows questions to be asked about the shape and contents of this portfolio

MAPPING AND CONTRASTING THE ACTIVITIES OF TWO MULTI-FACETED GFPs.

These matrices map the nature of two multi-facted GFPs and how they are changing in order to achieve their organisational objectives. The tables below map the current areas of operation of different GFPs using arrows to show organisational trends in terms of the type

of activities and changing level of focus for activities.

The comparison shows that GWP has initially been developing research products and advocating integrated water resource management at the global and regional level. It is now moving to make global learning and advocacy more accessible through regional structures to country and area water partnerships, where practical decision-making in the water sector is located.

LEVEL AND FOCUS OF EFFORT/INVESTMENT OF A GFP (e.g. Global Water Partnership)					LEVELS OF ACTION
High		High	High		Global
Growing	High	High	High		Region
	Growing	Growing	Growing		Country
	Growing	Growing	Growing		Sector/Area
					Programme
					Project
R&D	Capacity Building	Advocacy	Technical Assistance	Finance	ACTIVITY FOCUS

The Cities Alliance is funding projects to generate energy and new ideas in slum upgrading and city development strate-

gies by joining together the experience of cities and speeding up the sharing of lessons through its global netwo

LEVEL AND FOCUS OF EFFORT/INVESTMENT OF A GFP (e.g. Cities Alliance)					LEVELS FOR ACTION
		High	High	High	Global
					Region
	Growing	Growing	Growing		Country
Growing	High	High			Sector/Area
					Programme
					Project
R&D	Capacity Building	Advocacy	Technical Assistance	Finance	ACTIVITY FOCUS

ANNEX 5: PEOPLE CONSULTED

Name	Title/Unit	Organisation
Alaister Robb	Policy Division	DFID
Angelina Eichhorst*	DG Development	EC
Anju Sharma	Development Grant Facility	World Bank
Anna MacQueen	Policy Division	DFID
Billy Stewart	Policy Division	DFID
Bob Carlisle	Policy Division/Central Research Department	DFID
Charles Edkins	Programmeme Management Unit/Policy Division	DFID
Derrek Longley	Programmeme Management Unit/Policy Division	DFID
Desmond Bermengham	Policy Division	DFID
Harry Hagen	Former TFI	DFID
Henrietta Wells	Health Specialist	DFID Health RC
Jane Haycock	Policy Division	DFID
Janet Nassim	Human Development Network	World Bank
Jessica Troni	Policy Division	DFID
John Hodges	Policy Division	DFID
John Moye	Programme Management Unit Policy Division	DFID
Karen Caines	Health Specialist	DFID Health RC
Kate Dawson	Policy Division Aid Effectiveness Team	DFID
Laure Beaufile	Adviser Policy Division	DFID
Lieve Fransen*	DG Development	EC
Malaika Culverwell	Policy Division	DFID
Milla McLachlan	Nutrition Adviser	World Bank
Rosemary Bellew	Education Programme Manager	World Bank
Sarah Holden	Policy Division Central Research Department Service Delivery Team & Aid Effectiveness Team	DFID
Sophia Drewnowski	Bank's Global Programmes and Partnerships	World Bank
Steve Arthur	Programme Management Unit/Policy Division	DFID
Steve Bass	Policy Division	DFID
Sukhwinder Arora	Policy Division	DFID
Suzanne Parkin	Policy Division	DFID

*Telephone interview not conducted yet

ANNEX 6: LITERATURE REVIEWED

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Furthermore the consultants searched and analysed PRISM Data and internal files in the DFID Headquarters

ANNEX 7: TORs

TORS Aid Effectiveness Team Global Funds and Partnerships Terms of Reference : Mapping

1. Objective

The objective of this piece is to provide an overall view of the different types of Global Funds and Partnerships (GFPs) DFID is engaged with and the type and level of DFID engagement with them.

This work will also serve as a basis to gain consensus on definitions of GFPs in DFID and with other agencies.

2. Background

The Aid Effectiveness Team of DFID's Policy Division is concerned with maximising the effectiveness of Overseas Development Aid. To this end, it is undertaking work on Global Funds and Partnerships (GFPs) which will endeavour to:

1. assess the impact of the aid channelled through GFPs – notably in comparison with that of other aid instruments.
2. determine criteria for engagement with GFPs.
3. identify strategies to increase the effectiveness of the GFPs with which it is engaged (and then roll out these strategies within DFID and share with other donors)

This, we have developed a workplan which includes the following steps:

1. Provide an overall view of all the different (and different types) of GFPs that DFID is engaged with
 - a. Develop a typology of GFPs in order to map them according to:
 - i. types of partnerships
 - ii. level of engagement;
 - b. Develop a working definition of GFPs in DFID
 - c. Develop a fiche (see annex 1) on key GFPs
2. Undertake a literature review of the effectiveness of GFPs.
3. Identify which development agencies have been working on these issues and which have developed criteria, tools and guidelines for working with GFPs.
4. Identify key gaps in the knowledge on the effectiveness of GFPs and suggest areas for further work.
5. Undertake impact assessments at country level – possibly with other development agencies – and in particular case studies demonstrating evidence of the impact (positive and negative) of GFPs at country level. These should include best practice examples of GFP programmes. The countries to be chosen and the methodology for gaining this information will be agreed in consultation with DFID.
6. Determine criteria for engagement with GFPs.
7. Develop guidelines for DFID advisers/programme managers on how to maximise the effectiveness of GFPs and ensure that they align themselves with national frameworks.

This current piece of work address step 1.

3. Task

The consultant will:

1. Provide a comprehensive list of all the partnerships that DFID is engaging with.

2. Develop a typology of GFPs in order to map them according to:
 - a. types of partnerships (advocacy, product development, financing, access)
 - b. level of engagement;
3. Map global partnerships within this framework.
4. Develop a working definition of GFPs in DFID
5. Develop a fiche (see annex 1) on key GFPs (to be determined with AE team) (with who is responsible for them, level of engagement, financial contribution, goal, M&E methods, etc.)

4. Scope

This exercise will encompass initiatives which are global in nature, involve multiple organisational entities, and address problems of significance of the poor in low and middle-income countries – including public-private partnerships.

5. Methods

The assignment will involve liaising with DFID people and undertaking a desk-based review of information on these partnerships. It may also involve using PRISM (DFID's performance management system).

6. Timing

The assignment is 15 working days. The report is due on xxx.

7. Key Contacts in DFID

- Aid Effectiveness Team: Laure Beaufils, Kate Dawson
 - HIV/AIDS team: Billy Stewart
 - GHP team: Billy Stewart, Melissa Harrold,
 - Access to Medicine team: Jane Haycock
 - Business PPPs: Malaika Culverwell, Ben Mellor
 - Challenge Funds: Sukhwinder Arora and Tony Polatajko
 - AfriCap – Suzanne Parkin
 - CDC + Actis: Gavin McGillivray, Gary Jenkins
 - Agriculture: Sarah Holden, Tim Foy, Jim Harvey, Dougie Brew
 - Infrastructure PPPs: Gavin McGillivray, Mike Edwards
 - PMU: John Moye
 - CRT - Bob Carlisle, Jonathan Wadsworth
 - EFA team: Yusuf Sayed
6. Environment: Steve Bass

8. Possible Sources of Information:

- HRC, Mapping Health Partnerships, Feb 2004
- Indicative List of DFID's Engagement with Global Funds and Partnerships (Annex 2)
- PRISM

ANNEX 8: CONSULTATIVE GROUP ON INTERNATIONAL AGRICULTURAL RESEARCH (CGIAR)

BASIC INFORMATION

GFP OBJECTIVE:

The CGIAR is a global partnership of about 60 industrialised and developing countries, foundations, international and regional organisations. It oversees the work of 15 international research centres.

MDG/TARGET AREA:

CGIAR's mission is to contribute to food security and poverty eradication in developing countries and promoting sustainable agricultural development based on environmentally sound management of natural resources.

OVERALL ADDED VALUE AIM:

CGIAR is adding value by focusing on the following areas:

- Increasing productivity
- Strengthening national systems
- Protecting the environment
- Saving biodiversity
- Improving policies

ORIGIN & HISTORY:

The 1950s, 60s, and early years of the '70s were a period of widespread international concern that many developing countries would inevitably succumb to famine. These dire predictions were defeated by the reorientation of domestic policies, sharply focus research by developing country scientists, a massive effort by farmers, and the impact of international agricultural research on tropical agriculture.

Unprecedented harvests, particularly in Asia, from new varieties of rice and wheat based on international research raised hopes and optimism that the scope of agricultural transformation could be extended worldwide. As a result, after a series of high-level consultations Participants in these meetings invited the World Bank, which had already established "consultative groups" for individual countries, to create a consultative group for international agricultural research. The World Bank agreed, and led the effort to create the Consultative Group on International Agricultural Research (CGIAR). FAO and UNDP worked with the World Bank as co-sponsors.

GEOGRAPHICAL AREAS:

The CGIAR is operating worldwide. Its research centres are located in Kenya, Nigeria, Ivory Coast, Syria, Italy, Sri Lanka, India, Malaysia, The Philippines, Indonesia, USA, Mexico, Colombia and Peru.

FOUNDERS:

The CGIAR is financed by members' contributions. Members of the CGIAR include industrial and developing countries, foundations, and international and regional organisations. In 2002, contributions to the CGIAR amounted to \$357 million. Industrial countries, specifically the members of the Development Assistance Committee of the Organisation for Economic Co-operation and Development, account for more than two-thirds of CGIAR financing. \$ 55 m are provided by the US, \$ 50 m by the World Bank and £ 20 m by the UK.

FUNCTIONAL CLASSIFICATION:

Functions: Research, capacity building

Typology: Develop new products and technology (to deliver global & national public goods).

OPERATING PRINCIPLES:

The CGIAR has no constitution, no statutes, no regulations, and no membership laws. It reaches decisions by consensus, not by voting. Each part of the CGIAR system performs a distinct set of mutually supportive and complementary functions. These include strategic and medium-term planning, financing and resource allocation, and monitoring and evaluation.

The CGIAR Chairman, a Vice President of the World Bank, provides the system with intellectual and managerial leadership. He helps to harmonise policies and programmes among multiple actors within the system, and fosters linkages between the system and its partners.

RELATIONSHIP TO OTHER INSTRUMENTS:

Within its natural resources strategy, DFID also support ten centrally funded programmes managed under contract by UK universities and private sector organisations. There is a considerable collaboration between these programmes and the CGIAR centres.

PERFORMANCE – EVIDENCE OF EFFECTIVENESS

CONTRIBUTION TO COUNTRY DRIVEN DEVELOPMENT

The CGIAR has been operating since 1971 and was one of the first GFP's DFID invested in. In over 3 decades the CGIAR has achieved a huge impact in the developing world. As other aid instruments in the areas of research like DFID's centrally funded research programmes are much smaller in size and ongoing for just about a decade, it is difficult to judge how effective aid has been spend in the CGIAR and whether there are even more

effective ways. Nevertheless the impact of the CGIAR to date is impressive.

DFID ENGAGEMENT AND OPPORTUNITIES

UK POLITICAL COMMITMENT:

N/A

DFID ENGAGEMENT:

DFID has been supporting the CGIAR since its foundation in 1971. In December 2003 the Secretary of State announced an additional commitment of £ 30 m to the CGIAR over the next three years, effectively doubling annual disbursements from £ 10 m to £ 20 m. In the past some of these funds have been used to increase support to CGIAR centres. From 2004 this funding is being provided as unrestricted contributions to the core budget of the centres, as recommended by a DFID internal audit report.

COMPARISON OF SCALE OF DFID SUPPORT THROUGH GFP TO ITS BILATERAL ENGAGEMENT:

N/A

DFID LEVERAGE POINT (S):

The UK is a funding member of the CGIAR and is actively engaged in its governance, organisation and management. This role includes:

- Contributing to CGIAR's reform process
- Supporting tighter poverty reduction focus
- Contributing to a better understanding of the livelihoods of the poor
- Supporting the use of regional processes
- Supporting efforts to build capacity in national agricultural research systems

WHO IS DFID LEAD:

Bob Carlisle, Central Research Department

OPERATIONS AND GOVERNANCE

ELIGIBILITY:

Membership in the Group is open to any government or agency that:

- supports the CGIAR mission;
- is willing to participate in shaping a research agenda based on that mission;
- provides financial support for the centres to implement the research agenda.

GOVERNANCE STRUCTURE:

The CGIAR system is a network that consists of the Consultative Group (the Chairman, Cosponsors, and other members), CGIAR committees, international agricultural research centres and centre committees, and a virtual System Office with the CGIAR Secretariat serving as its hub.

MONITORING ARRANGEMENTS:

The CGIAR has a tradition of self-assessment through external programme and management reviews (EPMRs), inter-centre reviews and system-wide, issue specific reviews. The CGIAR’s Technical Advisory Committee and the CGIAR Secretariat have managed them.

POSITIVE FEATURES AND OPERATIONAL CHALLENGES

KEY FEATURES – LESSONS LEARNED:

- IN CGIAR expenditure on productivity-enhancing agricultural research has declined while those on improving policies and protecting the environment have increased. CGIAR moved away from the traditional focus on “the

pile of rice of food-short consumers” to work at the same time on an enabling political environment, issues of environmental sustainability and livelihoods. This move is in line with DFID’s policy and that of like-minded donors.

- This amplification of CGIAR’s focus is openly criticised, e.g. in the World Bank’s OED meta-evaluation of the CGIAR. The critique is targeted on the fact that the current mix of activities does not reflect CGIAR’s comparative advantages. DFID is not fully sharing this critique and widening CGIAR’s focus seems to be needed in order to maintain the sustainability of CGIAR’s achievements environmentally and at a policy level.
- The meta-evaluation is critiquing that there is no evidence of the impact of CGIAR’s workstream on natural resources management, policy and social science research. While it is understandable that traditional plan breeding research is not welcoming budget cuts, plan breeding research funded by DFID is integrating elements of natural resources management, policy and social science research successfully. DFID’s Plant Science research programme has shown considerable impact with very limited resources. CGIAR should be able to demonstrate impact in these areas, too.

FUTURE OPERATIONAL CHALLENGES:

The key features listed above are areas which constitute technical challenges for the future. From an operational point of view the OED meta-evaluation stresses that the percentage of restricted funding of the CGIAR has increased while the unrestricted funding decreased.

DFID’s Internal Audit Department outlined that restricted funding imposes a heavy management burden on CGIAR centres and DFID changed its practice subsequently.

In order to save transaction costs and the management burden, it is hoped that also other donors will provide unrestricted funding for the CGIAR.

Furthermore further reforms of the cumbersome CGIAR system which has no constitution, no statutes, no regulations, and no membership laws. CGIAR should adopt a written character that outlines roles, responsibilities and accountabilities of the offices and bodies that govern the system.

KEY REFERENCES AND WEBSITE LINK:

World Bank, OED: The CGIAR at 31: A meta-evaluation of the consultative group on international agricultural research. Washington, 2003

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DFID Internal Audit Department: Review of DFID's relationship with the consultative group on international agricultural research (CGIAR). London, 2003

DFID Central Research Team: Natural Resources Research by CGIAR and other international centres/programmes supported by DFID. London, 2003

CGIAR: Research for sustainable development: From Words to action. Annual report 2002. Washington, 2003

<http://www.cgiar.org>

FICHE MANAGED BY:

LAST UPDATED ON:

Version 1.0 produced by the PARC for DFID August 2004

ANNEX 9: BUSINESS LINK CHALLENGE FUND (BLCF)

BASIC INFORMATION

GFP OBJECTIVES:

The BLCF is a private sector challenge fund to improve business competitiveness and ability to access markets of enterprises, enabling benefits of globalisation to be secured for and by the poor.

DFID is currently applying 4 different challenge funds as a means of operating a cost-sharing grants scheme in order to mobilise private sector or NGO investment in developing countries. Apart from the BLCF, these challenge funds include the Financial Deepening Challenge Fund (FDCF) which is another private sector fund, Mini Challenge Fund and Civil Society Challenge Fund (CSCF).

MDG/TARGET AREA:

The BLCF target area is a broad one and can be described as a “recognition of the role of the private sector to achieve the Millennium Development Goals (MDGs) and supports partnerships - “business linkages” – that are of commercial interest to the companies involved and contribute to DFID’s poverty reduction objectives”.

In detail, projects supported through the BLCF aim to target the following areas:

- Increased sales
- Penetration of new markets
- Higher profitability
- Enhanced efficiency
- Compliance with quality standards
- Employment generated for poor individuals
- Purchase of micro-enterprise products

- Production of products or services consumed by the poor

OVERALL ADDED VALUE AIM:

Through cost-sharing grants within the private sector BLCF aim to add value by overcoming initial risks that would otherwise stop or slow down private sector investment in developing countries and especially sectors which are relevant for the poor.

ORIGIN & HISTORY:

DFID had been exploring new ways of engaging with the private sector for several years before the implementation of the BLCF, including commissioning a design study in 1998 to investigate alternative risk sharing mechanisms to support private sector initiatives. At one stage four separate private sector challenge funds were envisaged, the Tourism Challenge Fund (TCF), Financial Deepening Challenge Fund (FDCF), Trade Challenge Fund and Linkages Challenge Fund. Ultimately three funds were rolled out; the TCF, the FDCF, and BLCF. The BLCF combined the trade and linkages objectives in a single challenge fund. In 2001 TCF projects which initially were managed internally by DFID got incorporated into the BLCF portfolio.

GEOGRAPHICAL AREAS:

Through links to the UK or other BLCF countries, the fund is currently also sup-

porting projects in India, Pakistan, Tanzania and the Gambia.

Region	Europe	Southern Africa	Central Africa	The Caribbean
Country	UK	Botswana Lesotho South Africa Swaziland Namibia	Malawi Mozambique Zambia Zimbabwe Rwanda	Belize Dominica Dominican Rep. Grenada Guyana Haiti Jamaica St.Lucia St. Vincent

FOUNDERS:

DFID invest £17 million. The BLCF offers grants of between £50,000 to £1,000,000 (larger grants may be considered in some cases if they will make a special contribution to achieving the BLCF’s objectives). While the BLCF is providing a grant, the private sector investor will co-fund BLCF projects.

FUNCTIONAL CLASSIFICATION:

Functional Classification: Financing

Typology: Attract, manage and disburse additional finance

OPERATING PRINCIPLES:

The BLCF approach has been to minimise the transaction costs for the private sector of engaging with the BLCF, keeping the application process simple and accessible, while seeking to limit the amount of time spent by the private sector on uncompetitive applications.

RELATIONSHIPS TO OTHER INSTRUMENTS:

As outlined in the section “Origin & History” DFID started planning the BLCF together with other private sector challenge funds. The TCF was incorporated into the BLCF and there was a joint

FDCF – BLCF review to learn common lessons.

PERFORMANCE – EVIDENCE OF EFFECTIVENESS

The diverse portfolio of projects supported to date leverages £24.2 million in private sector resources against the £11.5 million in grants committed, a ratio of 2.1:1. In comparison with other DFID funded GFP’s in private sector development, the FDCF has achieved a ratio of 3.7:1 and the Commonwealth Development Co-operation 0.19:1.

More than 90% of projects in the BLCF portfolio bring new private sector partners to DFID and the development community, and more than 60% of projects involve linkages where all key partners are new to DFID and the development community.

The mainstreaming of BLCF can be demonstrated by the fact that BLCF is diversifying its portfolio from traditional private sector ethical trading organisations to companies like Vodaphone.

Analysing the project portfolio, it strikes that less than 20% of the value of projects is going to Low Income Economies like Malawi, Mozambique or Haiti. BLCF’s initiative to focus stronger on the poorest of the poor lead to the Ghana BLCF. Nevertheless is proofed to be

more difficult than anticipated to mobilise suitable project proposals for BLCF grants in Ghana. While 6 projects were planned to be ongoing at this stage of the Ghana BLCF, only 2 could be launched.

CONTRIBUTION TO COUNTRY DRIVEN DEVELOPMENT:

The reviews to date have not focused on BLCF's contribution to country driven development. In discussions with the DFID project officer responsible for the BLCF it became clear that BLCF is not designed to respond to a country or business sector driven development but it is driven by applications of individual enterprises.

DFID ENGAGEMENT AND OPPORTUNITIES

UK POLITICAL COMMITMENT:

n/a

DFID ENGAGEMENT:

DFID is investing £ 17,000,000 in the BLCF between July 2000 and July 2008.

The BLCF is a central Policy Division programme that supports projects that are implemented in countries that are the responsibility of DFID country or regional programmes. As such the BLCF application process needs to link with DFID country offices and policy advisers, and suitable mechanisms applied to keep DFID locally aware of project implementation and lessons learnt.

The involvement of local DFID advisors in the application process is handled by formally passing all competitive concept notes through the local DFID office on a no-objections basis, to make sure, as a minimum, that the BLCF does not support projects that the relevant DFID advisers object to. Levels of engagement beyond this vary, with, for example, a very close working relationship between the BLCF regional manager in Southern

Africa, and the DFID private sector development advisor for South Africa, who also has an Africa-wide remit. Particularly with enabling environment applications, 'front-end' co-ordination to agree marketing strategies and specific targets has been strong.

Wider DFID engagement in private sector development:

BLCF and FDCF are one pillar of DFID's engagement in private sector development through GFPs. The second pillar constitutes public private partnerships in the area of infrastructure development. DFID aims to improve existing infrastructure services and generating investment in new facilities through a higher level of private sector involvement together with like minded donors. PIDG, EAIF, GuarantCo, DevCo, GPOBA, CLIFF and TAF are Infrastructure development GFPs.

COMPARISON OF SCALE OF DFID SUPPORT THROUGH GFP TO ITS BILATERAL ENGAGEMENT:

n/a

DFID LEVERAGE POINTS:

DFID is the only public funder of the BLCF cost-sharing grants scheme. Therefore there is a strong leverage at a financial level. Furthermore DFID is present at the independent Assessment Panel which decides about the funding of projects.

WHO IS DFID LEAD:

Tony Polatajko, lead adviser, Policy Division

OPERATIONS AND GOVERNANCE

ELIGIBILITY:

The BLCF seeks to support private sector led initiatives, and applications to the BLCF must be led by a for-profit private sector enterprise. Bids must involve two

or more private sector entities, although it is the lead entity that completes the application materials and becomes the contracting party when projects are funded.

The target countries are outlined in the section “Geographical area” and the focus is Southern Africa, Central Africa, The Caribbean and the UK.

BLCF funded projects should fulfil the following criteria:

- involve or facilitate links between two or more enterprises,
- increase the competitiveness and viability of participating enterprises so as to enhance employment opportunities and increase exports or domestic sales,
- contribute to creating improved livelihoods and opportunities for poor people,
- share the linkage costs between the BLCF and the participating entities, with bidder contribution being at least equal to the BLCF grant,
- be sustainable after the BLCF grant has been utilised,
- be innovative,
- avoid negative impact on non-participating local businesses and avoid social or environmental damage,
- be compatible with DFID policy in the country in question, and
- have a maximum three year duration.

The project proposals are judged by the independent advisor panel according to the following criteria:

- likely sustainability of project,
- enhancement of the competitiveness and viability of participating enterprises so as to improve employment opportunities and increase exports of domestic sales,

- improvement of the incomes and livelihoods of poor people,
- extend of new private sector resources mobilised,
- potential replicability of project, and
- degree of innovation in the project approach.

Process:

The BLCF grant application process operates on a six monthly cycle, with two funding rounds each year. This competitive process is two-stage, where applicants initially submit a short concept note with an outline of their project idea, with those applicants whose concepts are approved asked to complete a full application or business plan. As the programme has developed there has been increasing emphasis on greater front end engagement with applicants in order to encourage quality applications.

The BLCF seeks to support private sector led initiatives, and as such applications to the BLCF must be led by a for-profit private sector enterprise. Bids must involve two or more private sector entities, although the lead entity that completes the application materials and becomes the contracting party when projects are funded.

GOVERNANCE STRUCTURE:

The management of the BLCF has been outsourced by DFID. It is led by Deloitte Emerging Markets, with support from Deloitte offices in BLCF target countries, Enterplan and Project North East.

Decisions about grants are made by an independent Assessment Panel. A member of DFID and distinct personalities from the private sector, another donor agency, NGOs and academia, constitute the assessment panel. Decisions are taken by consensus, not by vote.

This separation of duties between the fund managers, who promote the BLCF and provide support to bidders, and de-

cision makers, has proved important, and enables the Fund Managers to engage effectively with applicants without an actual or perceived conflict of interest.

MONITORING ARRANGEMENTS:

One year after awarding the BLCF contract, in November 2001, there was a review in order to put in place some refinements of policies and procedures. A desk based OPR was undertaken in mid 2003.

Towards the end of 2004, a mid-term review has been scheduled.

POSITIVE FEATURES AND OPERATIONAL CHALLENGES

KEY FEATURES – LESSONS LEARNED:

The DFID project officer responsible for the BLCF stated that neither the fund managers nor the independent Advisory Panel have control about what proposal BLCF gets and about the origin of the target country. As a result, the BLCF had to develop from the original “laissez faire” conception of a classic challenge fund approach to proactive management in order to be an effective tool for DFID to influence and support private sector initiatives. This more pro-active role led to the creation of the Ghana BLCF in February 2002 which also can be interpreted as a tighter poverty focus of the BLCF.

FUTURE OPERATIONAL CHALLENGES:

The evolution of the BLCF to date, from the ‘laissez faire’ towards more proactive engagement, already suggests different approaches to working with the private sector. Moving to the next stage and looking for ways to further increase leverage for DFID will require new approaches and further evolution. DFID

and other donors are at the early stages of significant partnering with the private sector, and the BLCF and sister programme the FDCF can be seen as early steps in a long road of partnership with the private sector. Some initial thoughts on the how such engagement might evolve or be applied to achieve specific objectives are set out in the box 1.

It will also be important to reflect on the type of capacity within the private sector that DFID and the donor community are seeking to engage. While there are many similarities between the BLCF and term, bring profits to the private sector. These two uses of private sector capacity are not mutually exclusive, but are worthy of reflection when considering mechanisms for working with the private sector.

Box 1: Evolution of the Challenge Fund Approach

<i>Activity</i>	<i>Impact</i>
Simple competition	Modest
More use of targeted marketing and intensive up front engagement	Better targeting of management resources and funding on quality projects
Marketing focus to achieve specific outcomes and clustering of projects	Broader impact with synergies between activities and greater leverage
Building on success and engagement from key project clusters	Potential for systemic changes to sectors and advocate for policy change

KEY REFERENCES AND WEBSITE LINK:

Discussion document: BLCF – assessing achievements and future directions, May 2004

www.businesslinkageschallengefund.org

FICHE MANAGED BY:

LAST UPDATED ON:

Version 1.0 produced by the PARC for DFID August 2004

ANNEX 10: GLOBAL WATER PARTNERSHIP

BASIC INFORMATION

GFP OBJECTIVES:

The mission of the Global Water Partnership is to "support countries in the sustainable management of their water resources."

The programme purpose is to help countries to apply integrated water resources management in a participatory manner as a means to provide equitable, efficient and sustainable management and use of water.

MDG/ TARGET AREA:

The overall development goal is to achieve global water security as a contribution to eliminating poverty, improving well-being and protecting natural resources.

By 2015, reduce by half the proportion of people without access to safe drinking water measured by the proportion of population with sustainable access to an improved water source. (MDG 7, Target 10).

OVERALL ADDED VALUE AIM:

- clearly establish the principles of sustainable water resource management;
- support action at local, national, regional and river-basin level that follow principles of sustainable water resource management;
- identify gaps and stimulate partners to meet critical needs within their available human and financial resources;
- help match needs to available resources.
- Four programmatic objectives (further detailed in Box 3.2 below) are:

- establishing partnerships and mobilising political will;
- building strategic alliances for action;
- promoting good practice in IWRM,
- developing and implementing regional actions.

ORIGIN & HISTORY:

GWP was established in 1996 as a donor initiative to take forward the Dublin-Rio Principles for Water (1992). The Partnership was designed to act as an international 'network of networks' to encourage learning and sharing of global experience, in order to promote an integrated approach to water resources management.

GWP is based in Stockholm and for its first six years, it functioned as a unit of SIDA. From 1 July 2002, GWP became an independent inter-governmental organisation, known as the Global Water Partnership Organisation (GWPO).

GWP is actively engaged in, or building, eleven regional water partnerships, with country partnerships within these regions and around thirty strategic alliances with relevant multilateral, bilateral and international organisations to support strategic actions on IWRM.

GEOGRAPHICAL AREAS:

The GWP has built up a network of Regional Partnerships in Central America, Central and Eastern Europe, Central Asia and Caucasus, China, Eastern Africa, Mediterranean, Pacific, South America, South Asia, Southeast Asia, Southern Africa and West Africa. These Regional Partnerships bring various sectors and interest groups together to identify and discuss their common water problems and to develop action plans based on IWRM.

FOUNDERS:

External support agencies interested in water resources management are brought together twice a year by the Global Water Partnership to provide a forum for information exchange and debate on the water priorities that need to be addressed and the criteria for providing financial assistance to various initiatives focused around integrated water resources management. To extend the forum, GWP has teamed up with the Third World Water Forum and the Dialogue on Water, Food and the Environment. The current donors to GWP are the governments of: Canada,

Denmark, France, Germany, The Netherlands, Norway, Spain, Sweden, Switzerland, United Kingdom, and The European Union and The International American Development Bank

GWP is financed entirely by grants from donor organisations. From its inception, 80-90% of GWP's funding has come from four principal donors: the Netherlands, Sweden, the United Kingdom and the World Bank. See table 2.

US \$000s	1998	1999	2000	2001	2002
Denmark	123	175	91	100	250
Finland		101	47		
France	54	79	111	112	107
Germany			24	120	299
Netherlands	328	716	556	1,111	2,990
Norway	66	64	78	111	608
Sweden	982	1,149	855	1,026	2,197
Switzerland	196	200	137	135	140
United Kingdom	221	2,229	3,363	3,001	2,722
World Bank	946	1,425	731	840	
Others (UNDP)		131	430	4	
Regional Partners				599	
GWP TOTAL	2,841	6,076	6,425	7,160	9,313

1) France: includes secondment of one Secretariat Staff member from 1997
 2) Netherlands: includes one JPO from 1999
 3) Sweden :includes core support to SATAC from 1998

FUNCTIONAL CLASSIFICATION:

Functions: Research and Development, Partnership and Finance

OPERATING PRINCIPLES:

While the Meeting of the Sponsoring Partners is the ultimate decision-making body of GWP, the Partners' Meeting has

an important consultative role on all matters of significance for the governance, as well as the overall operations, of the network.

The Steering Committee has the powers to establish and accredit Committees,

Regional Water Partnerships (RWPs), Regional Technical Advisory Committees (RTACs) and Country Water Partnerships (CWPs). - Partnerships are collectives of Partners operating in agreement with the GWP Conditions of Engagement. The GWPO Secretariat has three distinct functions: administration and finance, networks and communication. Administration and Finance has a small staff headed by a Chief Administration Officer and there is a Head of Communications. The Secretariat has five Network Officers responsible for internal communication and liaison with the nine regional partnerships.

RELATIONSHIP TO OTHER INSTRUMENTS:

TABLE 2. ORGANISATIONS WITH WHICH GWP IS COLLABORATING IN STRATEGIC ALLIANCES

Organisation	Activity
World Bank	Water and Sanitation Programme
	Urban environmental sanitation Network (UESNET)
	Ground Water Management (GW-MATE) GWP Associated Programme
FAO, (&ICID)	International Programme for Technology and Research in Irrigation and Drainage-GWP AP from onset
	Information Services on Water Conservation and Use in Agriculture (INFONET)
UNDP	Water Governance Dialogue in collaboration with ICLE
UNDP (and IHE)	CAPNET – a GWP Associated programme on capacity building for IWRM
	Water and sanitation
WHO (& many regional Partners)	Participatory Hygiene and Sanitation PHAST (East and Southern Africa)
WMO	SADC HYCOS – a GWP Associated programme on water resource monitoring and assessment for SA.
IAHR	Floods Management – A GWP Associated Programme
DFID	Ground water management (GW-MATE) – a GWP Associated Programme
IRC	Gender and Water Alliance - (GWALLIANCE) – a GWP Associated programme
GTZ	Information network (GLOBWINET) – GWP Associated programme
IUCN	Water and Nature Initiative (WANI)
	Water and Governance
WSSCC	Water and Sanitation in CEE, South Asia
WUP	Building Capacity of Water Utilities Partnerships in South Asia, WA, SA
ICLEI	Providing local authorities with framework to address water management issues
	Water governance dialogue in collaboration with UNDP
INBO	Development, strengthening and management of river basins
ICID	Food dialogue in CEE
ICPDR	CEE- observer status
	Public participation issue paper in collaboration with WWF (pp)
WWF	Food dialogue and public participation (pp) issues in CEE
SIWI	Stockholm Water Symposium
WWC	(a) Information management and exchange (b) Seating on each other's Steering Committees (c) Programme Co-operation in Dialogues on Effective Water Governance, Water Food and the Environment, Water and Climate, and the Financing panel for water infrastructure (d) Presentations and displays at future international events

PERFORMANCE – EVIDENCE OF EFFECTIVENESS

There is clear evidence of significant achievements:

- a network of eleven regions has been established around the world
- there is greater awareness of IWRM at global and regional levels. There is clear evidence in the regions of GWP's influence on government policy and activity. There have been notable achievements in policy change in a number of key countries: GWP's role in this respect is readily acknowledged in China, Thailand and Malaysia.
- GWP as a 'neutral platform' is recognised, valued and being used successfully in the regions. GWP is recognised as a strong brand name ad-

vocating IWRM at global and regional levels, supported by a range of technical materials and website

- GWP had a major role in the 2nd and 3rd World Water Forum and in WSSD and its involvement resulted in a significant increase in regional engagement. The recognition of and commitment to IWRM has also spread as a result of this engagement
- The "Framework for Action" has been a significant influence upon the GWP network and has been mentioned favourably by many parties at regional and national level.

CONTRIBUTION TO COUNTRY DRIVEN DEVELOPMENT

Very few Country Water Partnership - CWP have a membership structure with well-defined rights and obligations for members, but comprise loosely related parties that show interest in IWRM issues.

In South Asia, a number of AWP have been established. The role and place of

these partnerships in GWP is not clear. Concerns regarding the reasons for setting up partnerships in this additional level and their control have been raised above in section 4.3.

An assessment of the CWP organisations as perceived from the field visits is given in Table below.

Table 3 Assessment of the Organisation of Country Water Partnerships

	Bangladesh	China	Hungary	Malaysia	Nepal	Philippines	South Africa	Sri Lanka	Thailand	Zimbabwe	Poland
Organisational issues											
• Formalised	****	*	****	****	***	****	**	***	*	*	***
• Robust	***	*	**	****	**	****	**	**	****	*	***
• Effective	**	n.r.	***	****	**	***	*	**	****	*	**
• All stakeholder actively involved	***	***	**	****	***	****	**	***	**	*	***
• Government involvement	****	****	****	****	**	****	**	**	****	*	**
• University involvement	****	***	****	****	**	****	***	***	****	*	****
• NGO involvement	****	**	**	****	****	****	***	****	**	*	*
• Private sector involvement	**	**	**	****	***	****	**	**	**	*	**

Note:

**** = high; *** = average; * = low; nr

= not relevant; nk = not known

The assessment in Table 3 is supported by the following specific findings: Most CWPs are in the process of some kind of formalisation. The Philippine WP is the only fully formalised CWP with a relative balanced involvement of all possible stakeholders, including the private sector. Private sector involvement in CWPs remains very limited in most cases.

- The Malaysian WP (MyWP) is an outstanding organisation with a clear vision, strategy and strong membership from most stakeholders. GWP at various levels does not make sufficient use of the experience gathered in Malaysia.
- Progress in developing both the South Africa and Zimbabwe CWPs is currently stalled. Care is needed to ensure that new country partnerships are not launched and then not fully delivered. There is very significant threat

to the global brand and regional reputation of GWP from this. One of the common problems encountered is the difficulty in setting up and registering the partnership as a legal entity. While the legal systems of countries do vary, there are many common features regarding this issue and some urgent effort should be applied to overcoming this problem overall before much of the goodwill both within the embryonic partnership group and the other stakeholders is lost. More control should be applied over the launching of Country Partnerships to stay within the resource limitations of the organisation locally and as a whole.

DFID ENGAGEMENT AND OPPORTUNITIES

UK POLITICAL COMMITMENT

n/a

DFID ENGAGEMENT

The GWP Action Plan describes how DFID will take forward its commitments in water and sanitation and continue to contribute to achieving the Millennium Development Goals (MDGs) in a way that recognises that such efforts are most effective when they support developing country governments' own plans. The main elements are:

- i) Making sure water issues figure prominently in policy discussions with our main partner countries.
- ii) Providing evidence of the links between improved water supply and achieving all the MDGs, and ensuring that we are making use of this evidence in our policy dialogue.
- iii) Improving the way the international system works.

DFID will focus our support on a smaller number of key international partnerships and networks, particularly those that can improve co-ordination in the water sector.

DFID has contributed some 18% of the total core funding of the Global Water Partnership (GWP); and is a significant contributor to the regional programmes. DFID is currently contributing some £1.8 m a year to the GWP.

COMPARISON OF SCALE OF DFID SUPPORT THROUGH GFP TO ITS BILATERAL ENGAGEMENT:

n/a

DFID LEVERAGE POINT:

DFID founded and managed the external evaluation of GWP.

WHO IS DFID LEAD

Martin Walshe, Policy Division

OPERATIONS AND GOVERNANCE**ELEGIBILITY:**

It is possible to apply by filling in an on-line membership application.

Conditions of entry

- sharing knowledge and experience on integrated water resources management freely with other GWP partners by actively participating in your respective regional Partnership
- providing advice and professional inputs to the GWP partners
- helping coordinate integrated water resources management activities with other organizations.
- In turn, the GWP is committed to assisting Members with:
- identifying critical needs, assessing demands, and arranging strategic assistance
- mounting programmes and partnerships to address critical global and regional needs in integrated water resources management.
- To be considered for Membership, complete online the electronic application form and submit to your respective regional partnership.

GOVERNANCE STRUCTURE

The governance structure of GWP comprises:

- The Meeting of the Sponsoring Partners – representatives of the Governments and International Organisations who are the signatories of the Memorandum of Understanding on the Establishment of the Global Water Partnership Organisation;
- The Steering Committee and the appointed Chair;
- the Nomination Committee is a sub-committee of the Steering Committee and is responsible for appointments to the Steering Committee, the Technical

Committee and the Executive Secretary,

- The Partners' Meeting – representing all the enrolled Partners. "Partners" are any organisations subscribing to the principles of GWP and accepted as a "Partner" by the Executive Secretary.

MONITORING ARRANGEMENTS

There are internal systems which have been put in place to monitor progress against the Strategy, the Programmatic Objectives and the annual plans. These provide considerable detail. The quarterly reports track progress within the regions and all other initiatives within GWP. However, the links between the system of reporting to centre and the evaluation of their own direction and achievement is not clear to all in the regions. There is a need to provide a simple link between regionally owned monitoring and evaluation of regional activities and reporting to the whole organisation. It is proposed that this approach could form the basis for an ongoing performance measurement system.

POSITIVE FEATURES AND OPERATIONAL CHALLENGES

KEY FEATURES

In just 6 years GWP, as a donor instigated initiative has set up a global network that has already made an effective and significant contribution to the global recognition of Integrated Water Resource Management. GWP has influenced policy and brought about change in legislation in the governance and management of water. A strong global network and brand has been established. There is broad recognition of the value of the 'neutral multi-stakeholder platform' that it enables internationally and at the local level.

It has done this in a cost-effective way with very limited resources and repre-

sents very good value delivered for the investment made.

FUTURE OPERATIONAL CHALLENGES:

- There is a perception in some regions and countries that there is too much emphasis on general awareness-raising of IWRM and not yet enough emphasis on local engagement and capacity building at regional and country level to implement IWRM.
- Although GWP was conceived as a network of networks, there are still weaknesses in communication between the various parts, and confusion as to roles and interactions. More attention is needed at regional and country level to ensure consistency and resilience, to remove confusion between RWPs and Regional TECs, and to ensure good regional management and responsiveness.
- There is a lack of clarity about membership or partnership within GWP. As a result the brand name may be vulnerable to casual or improper use.

Links with international funding institutions and other relevant international bodies is not consistent across the whole network. There are instances where greater engagement is needed. GWP needs to strengthen and broaden its links in this area at both global and regional levels.

KEY REFERENCES AND WEBSITE LINK:

- Hoare, Van Woersem, Bruszt and Pierce 2003: External Review of Global Water Partnership – Final Report. PARC. Birmingham, UK
- Global Water Partnership - GWP, 2003: GWP in Action. UK
- Global Water Partnership - GWP, 2001: Comprehensive work programme and follow up to the Framework for Action. Stockholm, Sweden

<http://www.gwpforum.org/servlet/PSP>

FICHE MANAGED BY:

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ANNEX 11: EDUCATION FOR ALL (EFA) FAST TRACK INITIATIVE (FTI)

BASIC INFORMATION

GFP OBJECTIVES:

Expected outcomes (“goals”) of FTI at the country level are;

- More efficient aid for primary education
- Sustained increases in aid for primary education
- Sound sector policies in education
- Adequate and sustainable domestic financing for education
- Increased accountability for sector results

Globally the FTI also aims to promote:

- Mutual learning on what works to improve primary education outcomes and advance EFA goals.

MDG/ TARGET AREA:

To achieve universal primary education – To ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling (goal 2, target 3)

OVERALL ADDED VALUE AIM:

To accelerate (“fast track”) progress on the core Education for All global goal of *universal primary school completion (UPC) for boys and girls alike by 2015*.

ORIGIN & HISTORY:

EFA FTI is a response to the recognition that the global challenge of UPC requires a step change in the development approach: quadrupling current funding levels and finding new modalities of financing and assistance modalities that will increase effectiveness, speed up delivery and improve efficiency of aid for primary education.

Two key areas are; developing operational strategies for tackling the issue of the availability of a sufficient number of qualified teachers in a sustainable manner, and finding ways of accelerating the closure of the gender gap in primary education particularly for girls in other wise marginalised population groups.

The FTI was launched in 2002 as a financing framework. In 2003 there was a shift in design from a global vertical fund (generating resources at the global level) to a partnership model (with the bulk of the resources to be mobilized at the country level, and with additional funding being mostly channeled through existing channels). This reflected a prevailing view amongst the FTI partners that in terms of accelerating progress on UPC “The fastest track is the in-country track”. Most significantly it meant that:

- Whilst previously countries were invited to join now all were eligible to apply
- Applicants were to submit their own sector plan rather than formulate anything distinct for the FTI
- Decision point switched from Washington to the country level team

GEOGRAPHICAL AREAS:

Low-income countries – potential eligibility 40 countries (including 22 sub-Saharan Africa and 7 Asia) spanning all regions and covering 40m out of school children. Strong overlap with PSA coverage.

FOUNDERS:

Initiated by (22) bilateral donors, development banks and international agencies.

FUNCTIONAL CLASSIFICATION:

Typology – Purpose level: (stronger) national processes and systems.

Functions: Capacity building, Financing and Technical Assistance

OPERATING PRINCIPLES:

The guiding principles of the Fast Track Initiative are:

COUNTRY-OWNERSHIP: The FTI is a country-driven process, with the primary locus of activity and decision-making at the country level. It fosters a long term development partnership at the country level between the government and other partners, in support of the country’s effort to accelerate progress towards EFA goals, focusing on UPC.

Benchmarking: The FTI encourages the use of indicative benchmarks (the FTI Indicative Framework) locally adapted to enlighten debate, in-country reporting on policies and performance, and mutual learning on what works to improve primary education outcomes which can provide lessons learned across countries for the acceleration of UPC.

Support linked to performance: The FTI links increased funding to country performance. It is the first global initiative to operationalize the Monterrey Consensus as a partnership between developing countries and the donor community, at the international and country level. The FTI is intended to provide more sustained, predictable and flexible financial support to countries.

Lower transaction costs: The FTI encourages donor actions to provide resources to developing countries in a manner which minimizes the transaction costs for recipient countries.

Transparency: The FTI encourages the open sharing of information on the policies and practices of participating countries, and donors alike, through indicative

benchmarking, systematic cross-country monitoring, strengthened donor collaboration and harmonization, and making best efforts to provide resources in a predictable and sustained manner.

RELATIONSHIP TO OTHER INSTRUMENTS:

No other major GFP within the education sector.

PERFORMANCE - EVIDENCE OF EFFECTIVENESS

CONTRIBUTION TO COUNTRY DRIVEN DEVELOPMENT

No independent evaluations of FTI contribution to date. Progress report (April 04) by the WB claims some early effects of the FTI in terms of

National Processes and Systems

- Reduced transaction costs – e.g. French shifting their support from a project mode towards a SWAP.
- Better co-ordinated TA to service delivery – e.g. India case where more harmonised approach emerging
- Effective nesting within country sector plans linked to PRS
- Supporting hard to reach countries – e.g. catalytic support to Niger a country without well established donor infrastructure.

Finance

- Most of the work has been preparatory, and it has yet to lever the requisite significant increase in external funding (primarily for recurrent costs) for primary education.

Knowledge & Technology

- View that the creation of a global framework, grounded at the country level for highlighting and resolving issues, as countries move towards UPC has been useful (WB Progress Report)

International lesson learning

- The “virtual fund” model⁹ piloted by FTI presents difficulties in producing stable medium term commitments and therefore enabling countries to undertake new recurrent cost obligations.

DFID ENGAGEMENT AND OPPORTUNITIES

UK POLITICAL COMMITMENT:

The UK resisted the initial narrow global fund concept for three reasons; meeting the UPC target was not just about money, global funds did not have a good record of disbursement and, global funds were in danger of undermining host country systems and creating a whole independent infrastructure. There were also concerns on the absence from the FTI of the ‘big five’ countries¹⁰ with the largest number of children out of school.

The SoS and the Chancellor made statements in the November 2003 and April 2004 Annual Meetings of the WB and the IMF that the UK Government was committed to making the revised FTI work. This is seen as a clear demonstration of the UK government’s commitment to supporting the global effort to accelerate progress towards the education MDG.

DFID ENGAGEMENT:

Proposed DFID support to FTI Catalytic Fund of £12m over 3 years: 04-07: £9.5m direct contribution to the Catalytic Fund, £1m support to the operating costs of the FTI Secretariat, and £1.3m support to the Programme Preparation Facility.

The Catalytic Fund is a facility providing transitional period funding to enable those countries who have developed an

⁹ “Virtual Fund” - parallel financing by donor partners through the existing channels in lieu of up-front contributions to a global fund.

¹⁰ Nigeria, India, Pakistan, Bangladesh and the Democratic Republic of the Congo.

education sector plan but do not have sufficient in-country donor support or who are facing a delay before additional financing comes on stream, to establish a track record of performance to attract longer term support from new donors.

Former provision through a medium term posting of a Technical Adviser to the FTI Secretariat in the World Bank.

COMPARISON OF SCALE OF DFID SUPPORT THROUGH GFP TO ITS BILATERAL ENGAGEMENT.

DFID support to the FTI is insignificant compared to bilateral support for education which is set to raise to over £1BN over the next four years. This is likely to include substantial sector programmes in South Asia, as well as increased support for education in sub-Saharan Africa through post-conflict, sector-wide and budget support programmes.

DFID LEVERAGE POINT (S)

- UK to take over as co-chair of the FTI in January 2005
- DFIDs contribution to the Catalytic Fund (will make UK the second largest funder after Holland)

WHO IS DFID LEAD

Desmond Bermingham, Head of Profession, Education and (acting) E&S Team leader.

OPERATIONS AND GOVERNANCE

ELIGIBILITY

Open to all interested funding agencies, and low income countries.

Countries with a PRS or equivalent and within this an education component sector plan - providing an indication of how the country proposes to achieve the MDG and EFA goal of a complete primary education of good quality for all children by 2015 - may apply to the FTI. The sector plan is

reviewed by a country level team, the result of which determines the entry point for incremental financial support through the FTI process with triggers relating to PRS, sector wide programme and benchmark performance indicators.

The support process can be tailored to “fit” with different country context (income level and donor landscape) moving sequentially from a country PRS (or equivalent) analysis, a review of the primary education component and sector financing arrangements with the parameters of the FTI indicative framework, formalisation of the (FTI) Implementation Partnership and agreement on performance indicators for; education sector, aid flows and donor harmonisation, and implementation and joint monitoring by country/ local donor group.

There are three main sources of finance available through the FTI

- i) Pooled donor funds to support the National Programme for Universal Elementary Education (or its equivalent) through a Sector Wide Approach (SWAp).
- ii) FTI Catalytic Fund (transitional period funding to start to establish a track record)
- iii) (new) Global Facility for Programme Preparation (assisting in the preparation of education sector plans)

GOVERNANCE STRUCTURE

The FTI is co-chaired on a rotating basis by one G-8 and one non-G-8 donor, supported by a Steering Committee, and a Secretariat that is housed and managed by the World Bank.

The FTI Secretariat for the Global level Partnership plays a supporting role on country level processes, and a co-ordination role on reporting and cross country lesson learning.

Add in on Dev Co engagement in decision structures

Incl – whether an independent legal entity (in its own right) – and operationally independent - or housed in an existing int org like WB or WHO

MONITORING ARRANGEMENTS

FTI framework provides – at the country level - for gender disaggregated analysis and includes gender specific monitoring indicators.

DFID has earmarked £200k within the FTI Catalytic Fund draft memorandum to cover programme preparation and monitoring costs.

Performance indicators for the Initiative itself Performance based mechanism(s):

Benchmarking of country progress through the “Indicative Framework”.

Proposal for use of a “donor indicative framework” to transparently monitor each agency’s harmonisation progress (i.e. extent to which not funding activities outside of agreed sector plans or not providing sufficient flexible funding; recurrent expenditure)

POSITIVE FEATURES AND OPERATIONAL CHALLENGES

Add in how through influencing DFID got design shift it wanted.

KEY FEATURES – LESSONS LEARNED

- Responsibility for resource mobilisation is locally led at the country level underpinned by the global dialogue among FTI partners to ensure that needed levels of financing are available.
- All major donors are represented (including US, France & Japan) at a sen-

ior level i.e. heads of profession, director or director general and communicate about education in HQs and at the country level.

- Leading donors in education (at country level) play a pro-active in-country role includes co-ordination by the in-country lead donor of agreement on procedures for the transfer of resources to support a particular countries FTI programme (as requires country specific knowledge).
- Commitment by all donors to support national sector programmes of host countries, including those who are still restricted to tied aid project level activity.
- FTI process involves a rigorous assessment of the primary education component of education sector plans. Includes a process and set of criteria to screen country plans for their medium and long term fiscal implications (projecting beyond 3 yr MTEFs horizon).
- A Catalytic Fund (CF) will help to ensure that credible plans do not languish for lack of funding, and are able to provide a crucial source of learning by doing.
- Explicit in required changes within donors vis a vis; increased financing and particularly increased disbursement, and increased flexibility in funding modalities and increased predictability.

Lesson – that it is an indicative results framework

- Developing and implementing Guidelines for the roles and responsibilities of the in-country lead donor
- M&E – tracking and reporting donor support in a timely, comprehensive and accurate manner (so increasingly confident to contribute through the FTI).
- M&E – timely availability of quality data to support expeditious decision making by government agencies.

KEY REFERENCES AND WEBSITE LINK:

Framework Paper, March 2004

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FUTURE OPERATIONAL CHALLENGES:

- Volatility of Direct Budget Support flows as compared with more earmarked support.
- Capacity constraints (absorptive and “diffusive”) impacting on rates of disbursement