



GARDP Fundraising Policy

July 2024

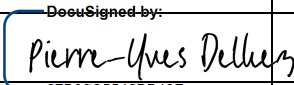

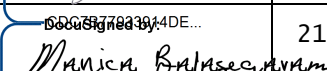
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Version 1.2	Addition of Risk Assessment and Mitigation section related to private sector contributions	July 2024

Approvers

Name	Position	Signature	Date
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I. Introduction

The Global Antibiotic Research and Development Partnership (GARDP) is a not-for-profit research and development (R&D) organization that addresses global public health needs by developing and delivering new or improved antibiotic treatments, while endeavoring to ensure their sustainable access.

GARDP aims to stimulate increased involvement of public and private sectors in R&D for antimicrobial resistance. To ensure public health-needs driven research and development that ensures equitable and sustainable access to affordable treatments, GARDP, at maturity, aims to have approximately half of its investment from public funds.

GARDP is committed to achieving its mission through diverse funding sources while upholding organizational integrity, independence, and its public health mandate.

II. Statement

- 1.** To develop its activities and achieve its objectives, GARDP seeks different sources of funding – cash contributions, in kind contributions, grants, sponsorships and legacies - from individuals, governments, public institutions, companies, foundations and NGOs who share a commitment to the GARDP vision and mission.
- 2.** GARDP's independence is a cornerstone of its development, so diversified sources of funding are necessary in order to prevent dependence upon contributions from a specific donor.
- 3.** The contributions will support the initiative, specific projects for research and development, access and all activities pursued to achieve GARDP's mission.
- 4.** GARDP will transparently provide activity and financial information on the use of donor contributions. An annual financial audit will be done on GARDP accounts, which will be made publicly available.
- 5.** GARDP reserves the independence to pursue its mission, research and development and access projects based upon patient needs and scientific merit.
- 6.** According to the goals of GARDP, to address global public health needs by developing and delivering new or improved antibiotic treatments, while endeavoring to ensure their sustainable access, GARDP will not accept contributions from:
 - Corporations (which includes companies and corporate foundations) that derive their income from the production and/or sales of tobacco, alcohol, and arms manufacturing industries
 - Groups and individuals who encourage racism and intolerance

7. GARDP will provide appropriate recognition of donor support except when the donor would prefer to remain anonymous.
8. Before accepting an anonymous contribution, the Board of Directors will seek the advice of lawyers or national authorities in certain cases.
9. The Board of Directors may refuse a contribution if the proposed support could negatively affect the image or the social mission of GARDP.
10. Concerning certain gifts which could affect the image, the vision and credibility of GARDP, a specific Board of Directors' committee will make decisions on their acceptability.
11. The terms for use of GARDP's logo and brand by the donor and the use of the donor's logo and brand by GARDP will be agreed by mutual consent at the time of the contract.

III. Risk Assessment and Mitigation Provision for Private Sector Contributions

This section sets forth funding limits for private sector donations (either cash or in kind) to ensure balanced and ethical support for GARDP and to ensure that the organisation:

- maintains the independence of its programmes, and;
- mitigates potential reputational risks associated with private sector contributions.

It addresses situations where a private contribution, while compliant with the Fundraising Policy, may pose reputational or operational risks to the organization's independence. This section will be reviewed and updated, as needed, by the Management & Board.

The "private sector" encompasses businesses and commercial entities operated for profit. Contributions from the private sector include both financial donations and in-kind support. It does not include philanthropic foundations that are linked to companies as for example the IKEA Foundation, the Optimus Foundation (UBS) or the Novartis Foundation nor does it pertain to financial contributions made by individuals. As GARDP expands its private fundraising strategy, this policy will be updated to encompass these groups. In the meantime, the principles outlined below under section III. 1 regarding risk mitigation and funding limits can also be applied to these categories.

III.1 Contractual risk mitigation and funding limits

GARDP will favour core or portfolio funding from private sector funders. Specific earmarking for individual programmes will be an exception and will only be accepted by a private sector funder if the contribution is in line with the below principles and based on a positive outcome of the risk assessment.

Principles:

- That Management and Board do not identify an unacceptable reputational risk to the organization
- That Management and Board do not identify an unacceptable operational risk to GARDP's portfolios and projects.
- Maximum from a Single Funder: contributions from any single private sector entity shall not exceed 10% of GARDP's total funding over a five-year period.
- Overall Private Sector Cap: private sector contributions shall not exceed 25% of GARDP's total funding over a five-year period.

III.2 Risk assessment process

All potential private sector contributions will be evaluated for potential risk following this process:

III.2.a Step 1: Initial screening

GARDP's External Relations team (ER) will screen the potential private sector donor to verify compliance with GARDP's ethical standards as per the GARDP Donation Policy. This screening process will be carried out in accordance with GARDP's "FIN13 Sanction Screening Procedure," which is intended to help GARDP staff understand where breaches of Sanctions laws might arise and to support them in taking the appropriate decisions to prevent sanctions issues and mitigate the risk of breaching Sanctions laws.

III.2.b Step 2: Detailed assessment

For a potential contribution that meets GARDP's donation criteria but is considered potentially risky to GARDP's reputation or operations, ER will undertake a thorough assessment to examine the prospective donor's core business activities, reputation, and public perception. This assessment will include media reports, public records, and input from stakeholders, including existing GARDP funders.

The assessment will identify potential risks such as, but not restricted to:

- Conflict of interest
- Potential influence on GARDP's policy and strategic direction
- Impact on organizational integrity, independence, credibility, and public health mandate

Each potential contribution will still be examined on a case by case basis, and additional assessment criteria will be adapted, as needed.

External Relations will produce a detailed report summarizing the assessment findings, estimating the likelihood and impact of identified risks on GARDP's objectives and operations, as well as potential implications for public image, which will be presented to the Executive Director.

III.2.c Step 3: Executive review

The Executive Director will then review the assessment report and take a decision on whether the contribution can be accepted or rejected. For a potential contribution up to Euro 500'000, the Executive Director has discretion to accept on behalf of the Organization and informs the Board.

III.2.d. Step 4: Board decision

For a potential private sector contribution over Euro 500'000 that the Executive Director wishes to accept, a recommendation will be provided to the GARDP Board for decision. The Board holds final authority to accept the contribution based on the ER team's & Executive Director's recommendations. This will be done via a Board Resolution. All decisions will be documented in GARDP's donor database.

III.3 Risk Mitigation

Once approved by the Board, External Relations will undertake the following steps regarding the new private sector contribution:

III.3.a Step 1: Develop risk mitigation plan

An individual plan will be developed to manage risks associated with the donor partnership, including:

- Documented findings, identified risks, and recommendations
- Specific tactics for mitigating each identified risk
- Regular monitoring and evaluation
- Criteria for disclosure and reporting when necessary
- Guidelines for donor engagement shared with stakeholders

III.3.b Step 2: Integration into corporate risk register

Monitoring and reporting of engagement with the donor will be integrated into GARDP's corporate risk register and due diligence processes and will, therefore, be regularly reported on to the management team and board. This will inform future engagement decisions with donors and similar funders.

III.4 Conclusion

This policy provide guidelines for GARDP in accepting new donations and principles and a structured approach to assessing and mitigating risks associated with potential private sector contributions, ensuring alignment with GARDP's mission and values. By adhering to these guidelines, GARDP will safeguard its integrity, uphold public trust, and responsibly pursue its goals.