



COMMUNICATION ON PROGRESS 2016

Dalberg Global Development Advisors (“Dalberg” or “we”) has been a member of the United Nations Global Compact (“UNGC” or “The Global Compact”) since 2007 and endorses the 10 universally accepted principles of the Global Compact in the areas of human rights, labor, environment and anti-corruption.

Our commitment to the Global Compact’s principles is exemplified most strongly through our client engagements, publications and internal initiatives including:

- **Partnership with United Nations Compact:** Dalberg has worked with the UNGC on a variety of engagements over the past 12 years. Our 2013 report, “Architects of a Better World,” laid out a framework for the UNGC to engage the private sector in supporting the post-2015 development agenda. Previously, Dalberg has supported the UNGC by helping it identify and establish transformational partnerships between the United Nations and businesses and identify best practices for such cooperation. We have also authored several reports for the UNGC.
- **Promotion of human rights:** We helped our clients – including large private foundations and governmental agencies – to mobilize humanitarian aid efforts, advocate for human rights and protect vulnerable populations.
- **Labor:** We offer social benefits at levels exceeding/comparable to other leading professional services firms in their respective countries of operation. Additionally, we conduct annual anti-harassment training for new hires and new Associate Partners.
- **Environmental sustainability:** We worked with a broad range of actors to develop environmentally friendly solutions, from emerging and frontier market country governments to international conservation groups.
- **Anti-corruption and promotion of good governance:** We fought corruption by strengthening good governance within United Nations agencies, corporate CSR efforts, and citizen engagement, providing all with robust frameworks that ensure transparency.

As a firm dedicated to addressing the world’s most pressing challenges, the principles mainstreamed by the Global Compact are the same guiding Dalberg’s development efforts and internal policies. Going forward, we will continue to promote the principles and the UNGC in our communications, but more importantly, through our international development activities.

Paul Callan, Global Operating Partner
26 May 2016

Firm Description

Dalberg Global Development Advisors is a strategy and policy advisory firm focused on global development. Dalberg was established in 2001 with the mission of bringing the best of private sector strategy to address global development challenges. We do so by combining rigorous analytical capabilities with deep knowledge and networks across emerging and frontier markets.

We offer our clients a broad set of service lines and expertise areas to serve their needs. Our service lines describe our functional skills (what we do best) – including Strategy, Evaluation, Human-Centered Design, Inclusive Business Growth, Inclusive Economic Development, Investing for Development, Organizational Effectiveness, Policy and Advocacy, and Talent and Leadership; and our expertise areas describe our content (what we know best) including:

- **Agriculture & Food Security** – Helping organizations identify, design and implement solutions that benefit agricultural market participants and increase food security
- **Cities and Urban Development** – Working with cities to set purposeful goals, diagnose obstacles, collaborate through global networks and partnerships, experiment with potential solutions, and continuously adapt to change
- **Education to Employment** – Expanding global access to high-quality employment and education at all levels by understanding market needs and effective approaches to learning, strengthening public systems and facilitating public-private partnerships
- **Energy Access** – Working with public and private sector organizations to transform markets, make sound supply-side choices, access financing, and enhance energy access
- **Environment** – Developing strategies for conservation groups, multilateral organizations and governments to address pressing environmental concerns
- **Financial Inclusion** – Increasing access to finance in underserved and emerging markets by empowering microfinance institutions
- **Gender Empowerment** – Developing strategies and designing programs that enable organizations to leverage resources toward greater gender equity
- **Health & Nutrition** – Identifying, designing and implementing solutions that improve health across the globe
- **Humanitarian Assistance** – Helping organizations to effectively address the unique development challenges faced by conflict-affected and post-conflict countries
- **ICT** – Harnessing the power of information and communication technologies to foster innovation, improve quality, expand access and drive accountability
- **Infrastructure** – Supporting governments, private investors and institutions to develop inclusive and sustainable infrastructure in emerging markets
- **Water & Sanitation** – Improving private sector-based and sustainable approaches in rural water supply, sanitation, and hygiene products

Dalberg brings global perspectives firmly rooted in local realities. We have 14 offices located in Abu Dhabi, Copenhagen, Dakar, Geneva, Johannesburg, Lagos, London, Mumbai, Nairobi, New Delhi, New York, San Francisco, Singapore and Washington, D.C. We have served clients in more than 90 countries across Africa, Asia, Europe, the Middle East, and North and South America.

The diversity and gender balance of Dalberg staff reflects our ethos of equality and inclusion. Our people are unified only by their commitment to the Dalberg mission, their top-tier education and professional experience, and their first-hand experience living and working in frontier and emerging markets. In all other respects, they reflect the diversity of the countries in which we work and the clients we serve:

- 60% women and 40% men global workforce
- More than 30 nationalities
- More than 50 languages

Dalberg has an extensive track record of success and innovation across public, nonprofit and corporate sectors. During the last 15 years, Dalberg has successfully completed more than 1,300 engagements for more than 500 leading multilateral institutions, international agencies, foundations, NGOs, governments and global corporations operating or investing in frontier and emerging markets. We act at the forefront of development innovation, working extensively with leading social innovators, such as the Bill & Melinda Gates Foundation, Rockefeller Foundation and MasterCard Foundation, and a broad range of international organizations, including the Global Fund, Human Rights Watch, and the World Wildlife Fund. We advise a broad range of private sector clients, including 10 Fortune 200 Global companies, and have partnered with dozens more. We have advised emerging and frontier market country governments and regional and international development finance institutions, including the World Bank, International Finance Corporation (IFC), African Development Bank (AfDB), Asian Development Bank (ADB) and Inter-American Development Bank (IADB), as well as numerous UN agencies at headquarter and field levels.

Dalberg's Global Compact COP will be available on the UNGC website and will be referenced on our own website, www.dalberg.com. For any questions or comments, please contact:

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Human Rights

- **Principle 1:** Business should support and respect the protection of internationally proclaimed human rights
 - **Principle 2:** Business should ensure that they are not complicit in human rights abuses
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ASSESSMENT, POLICY AND GOALS

Dalberg supports staff members in developing social impact initiatives both locally and globally, including initiatives that support and respect the protection of internationally proclaimed human rights. In order to support personal commitments to being good citizens, Dalberg has a sabbatical policy that enables staff members to work on social impact projects unrelated to client work in an emerging and frontier market country for two weeks to four months, depending on their tenure.

Additionally, Dalberg's work in the international development sector requires us to be highly conscious in our choice of clients, subcontractors and partners. Dalberg seeks to work only with clients of the utmost integrity, who are globally respected, and are seeking outcomes that improve the condition of people in emerging and frontier market countries. As such, every partner overseeing business development and project implementation activities takes personal responsibility to ensure our clients are not involved in any human rights abuses.

IMPLEMENTATION

In the last year, Dalberg engaged with a variety of actors under our dedicated Humanitarian Assistance practice. For example:

- **Dalberg helped mobilize humanitarian aid efforts and share best practices.** We supported the International Federation of the Red Cross and Red Crescent Societies (IFRC) to launch the 'One Billion Coalition for Resilience Campaign,' a campaign seeking to increase community resilience to adversity, for example through increased preparedness for natural disasters. In a second project, Dalberg also supported the IFRC by conducting a global study on smart practices in providing assistance, support and awareness raising interventions for migration related issues.
- **Dalberg defined an advocacy team for a humanitarian aid organization.** We worked with the International Rescue Committee to identify where its advocacy team could deliver highest impact in support of the organization's broader mission to assist refugees and displaced people.
- **Dalberg worked to enrich future humanitarian leaders.** We supported the Humanitarian Leadership Academy, a planned network of ten learning centers providing training to the humanitarian sector, by devising a strategy and developing a theory of change for the organization.

MEASURE OF OUTCOMES

In the past year, Dalberg has not been involved in any investigations, legal cases or incidents involving Human Rights violations.

In addition, we have written articles in prominent development publications and authored reports reinforcing our support for universal human rights:

- **Dalberg proposed ways to increase access to safe surgery.** In *NextBillion*, Dalberg team members share how clinic leadership and context-appropriate solutions can accelerate access to safe surgery and anaesthesia.
- **Dalberg analysed the overlap between security and economic opportunity.** In *Business Day*, our Dalberg Nigeria Office Director presents five ways to think about development in Northern Nigeria, demonstrating how the threat of violent extremism is linked to lack of economic opportunity.
- **Dalberg provided a first-hand account from a refugee camp in France.** A Dalberg team member visited the Calais Refugee Camp in France and reported on *Dalberg D. Blog* about camp conditions, refugees and volunteers and her hopes for the future.

Labor

- **Principle 3:** Business should uphold the freedom of association and the effective recognition of the right to collective bargaining
 - **Principle 4:** Business should support the elimination of all forms of forced and compulsory labor
 - **Principle 5:** Business should support the effective abolition of child labor
 - **Principle 6:** Business should support the elimination of discrimination in respect of employment and occupation
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ASSESSMENT, POLICY AND GOALS

While the nature of Dalberg's professional services work does not necessitate staff union membership, our Corporate Policies provide for a system whereby employee concerns and grievances can be addressed via elected staff representatives.

We uphold the elimination of all forms of forced, compulsory or child labor and observe and support the ILO conventions outlawing such. In addition, as a matter of principle and reputation, we seek to ensure that these practices do not take place in our client, partner and sub-contractor organizations.

Finally, as an international consulting firm, Dalberg actively seeks to recruit a team that reflects the gender and ethnic diversity of our clients and their beneficiaries. Our Corporate Policies ensure staff members are recruited based on their ability to do the job; no distinction, exclusion or preference is given on any other grounds.

IMPLEMENTATION

Dalberg's Corporate Policies are posted prominently on our internal knowledge management system and are accessible by all staff. In 2014 we refreshed the anti-harassment section of our Corporate Policies. Our policies are accompanied by an open discussion forum that communicates directly with Dalberg's Global Managing Partner, Global Operating Partner, and the Chairman of the People and Values Committee. We conduct anti-harassment training for new hires and new Associate Partners each year, and plan to do a global anti-harassment refresher in 2016.

For confidential employee grievances and concerns, we have an established Ombudsperson system. The Ombudspersons are nominated by staff globally and retain the position for a period of at least one year. These representatives have direct access to Dalberg senior management and the responsibility to bring up issues of concern to staff.

In addition, Dalberg seeks to be a leading employer by recognizing the importance of maintaining an enjoyable and supportive working environment and providing social benefits. Each of our offices aims to provide benefits like health, dental, pension, maternity and paternity leave, etc. at levels exceeding/comparable to other leading professional services firms in their respective countries of operation. We promote team work and individual professional development through regular office-level retreats, a global retreat every 16-24 months, regular global and office-level skills training sessions, quarterly staff Pulse surveys, 360-degree feedback reviews and individual staff professional development plans.

Moreover, in the past year Dalberg has worked with a number of clients regarding labor and employment practices. For example:

- **Dalberg worked to improve conditions in Vietnam's textile and apparel industry.** Dalberg, in collaboration with Dalberg's Design Impact Group and MCG, was engaged to support the "Race to the Top," a multi-stakeholder initiative aimed at improving working conditions and environmental standards in Vietnam's textile and apparel industries.
- **Dalberg helped spur youth employment in several African countries.** Dalberg supported UNCDF in mapping economic opportunities for youth in Benin, Mozambique, Rwanda, Zambia, Tanzania, DRC and Cambodia as part of its YouthStart Global Programme. The goal of this mapping was to identify consortiums of partners that were best placed to develop and run programs that address challenges to youth employment.
- **Dalberg studied demand-side constraints to employment in Rwanda.** Dalberg supported the MasterCard Foundation to develop a landscape analysis that identified demand-side constraints to employment in 10 focus districts in Rwanda, in order to serve as the baseline evidence for an initiative that seeks to equip young people with skills that foster employment and entrepreneurship.

MEASURE OF OUTCOMES

In the past year, Dalberg has not been involved in any investigations, legal cases or incidents involving contravention of ILO conventions or the Global Compact labor principles.

Additionally, Dalberg's efforts to build and maintain a diverse staff and a supportive, non-discriminative corporate environment are apparent in our staff statistics:

- 60% women and 40% men global workforce
- 47% women and 53% men partner group
- More than 30 nationalities represented
- More than 50 languages spoken

In addition, we have written articles in prominent development publications reinforcing our commitment to fair labor practices:

- **Dalberg worked to stimulate job creation in emerging markets.** We produced a report containing a Strategic Framework and Implementation Plan for Job Creation and Youth Employment in Nigeria for the Office of the Vice President of the Federal Republic of Nigeria.
- **Dalberg developed innovative ways get youth access to jobs.** Dalberg team members published "Youth Jobs 2.0", an article outlining five powerful ways we can harness digital technology to curb youth unemployment. It was nominated for *NextBillion's* most influential article of 2015.

Environment

- **Principle 7:** Business should support a precautionary approach to environmental challenges
 - **Principle 8:** Business should undertake initiatives to promote greater environmental responsibility
 - **Principle 9:** Business should encourage the development and diffusion of environmentally friendly technologies
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ASSESSMENT, POLICY AND GOALS

Dalberg is committed to fostering and promoting a clean environment and meeting environmental challenges through a wide range of efforts to monitor and reduce the carbon footprint of our individual staff and the firm as a whole.

Wherever possible, Dalberg raises awareness among our staff and guides them to the most environmentally friendly choices. Our travel policies, posted on our internal knowledge management system and available to all staff, advise use of the most environmentally sound methods of travel. In addition, members of our dedicated Energy Access and Environment practices foster internal and external dialogue on environmental challenges through monthly calls and email updates, blog posts and articles.

IMPLEMENTATION

In the last year, Dalberg worked with a wide range of clients to develop environmentally-conscious strategies, build knowledge around environmental markets, and promote the development and diffusion of environmentally friendly technologies. For example:

- **Dalberg supported the Senegal's Ministry of Environment in clarifying its climate change strategy in terms of pro-activeness and mitigation actions.** We assisted the National Committee against Climate Change (COMNACC) to (i) write Senegal's Intended Nationally Determined Contribution (INDC), (ii) facilitate a consultation workshop on the INDC and (iii) prepare Senegal's participation in the 2015 United Nations Climate Change Conference, COP 21.
- **Dalberg helped convene a summit on flood management.** Given the unprecedented floods in Chennai in 2015, the Rockefeller Foundation asked Dalberg to support 100 Resilient Cities and the Greater Chennai Corporation in hosting a three-day Summit on Urban Flooding in Chennai, India. The Summit brought together local and international experts on flood management and Dalberg helped organize site visits of flood affected areas, a plenary session and a working session for ideation of resilience opportunities.
- **Dalberg identified effective distribution channels for solar products in India.** Dalberg supported IFC Lighting Asia associates in creating a comprehensive database of 150-200 distributors across Patna and five other districts in Bihar who can reliably and effectively carry solar products. These distributors have been selected based on satisfaction of certain parameters that Dalberg identified.

MEASURE OF OUTCOMES

In the past year, Dalberg authored or contributed to the following reports:

- **Dalberg stressed the importance of India's contribution to climate change reform.** In *Scroll.in*, a Dalberg Partner explained why India must take an active role to position itself as an agenda setter for climate change.
- **Dalberg strengthened the efforts of an environmental conservation group.** We were engaged by WWF International to produce an independent evidence-based report in support of their global "Natural World Heritage Sites and Sustainable Development" campaign, which is aiming to halt the continued destruction of World Heritage sites and other protected areas from harmful industrial activities.
- **Dalberg examined the link between human health and the environment.** In *The Guardian*, Dalberg Partners explore how deforestation and climate change contribute to public health issues such as the Zika and Ebola epidemics. They discussed the emergence of the field of planetary health and how different actors in the space are working to combat the spread of infectious disease.

Anti-Corruption

- **Principle 10:** Business should work against corruption in all its forms, including extortion and bribery
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ASSESSMENT, POLICY AND GOALS

Dalberg observes and supports the United Nations Convention against Corruption. We seek to support governments, UN agencies and civil society to realize a more transparent global economy.

As a firm, we have strict Corporate Policies to avoid bribery, extortion and other forms of corruption both in home office countries and in the field. Where there are concerns, Dalberg includes specific provisions in our contractual arrangements with clients prohibiting any such behaviour.

IMPLEMENTATION

Our primary contribution to a transparent global economy comes in the form of our client work. In the last one to two years, we worked with a wide range of clients on governance issues. For example:

- **Dalberg helped develop a roadmap for transforming WHO AFRO.** Dalberg worked with the regional office for Africa of the World Health Organization (WHO AFRO) to improve its efficacy, accountability and responsiveness in dealing with health situations in the continent. The recommendations focused on improving key business processes and realigning the organizational structure with strategic priorities.
- **Dalberg helped design governance structures for a new agricultural insurance alliance.** We advised Grameen Crédit Agricole Microfinance Foundation and partners in building an alliance to transform the market for agricultural insurance for smallholders. Dalberg's analysis supported decisions on the alliance's proposed governance structure, scope membership, and work plan ahead of its formal launch.
- **Dalberg conducted a review of the organizational structure of a cross ministry health and social development program.** Dalberg wrote a new manual of procedures for PRODESS (Programme de Développement Sanitaire et Social), a five-year health and social development program involving three ministries (Health; Social Welfare; and Gender & Child Protection) on behalf of WHO Mali. As part of this review, Dalberg analyzed the governance structure and responsibilities of different actors involved in the implementation of the program at the national and decentralized levels.

MEASURE OF OUTCOMES

In the past year, Dalberg has not been involved in any investigations, legal cases or incidents involving corruption or bribery.

In addition, we maintain transparent financial records via an annual audit with accredited accounting firms in each of our countries of operation.