



**SOS CHILDREN'S  
VILLAGES  
INTERNATIONAL**

**SOS Children's Villages International**

# ESAF IPD Strategy 2016-2018

2016-2018

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## Executive Summary

SOS CV International is a non-profit organization working globally in the areas of child care, education, health, child rights, research and emergency responses. Its activities and global operations are primarily supported through individual giving, sponsorships, government and other institutional donors. During its current strategic period, the funding landscape has continued to shift significantly both in terms of sources and types of funding and related support available to international non-profit organizations such as SOS. This strategy document seeks to give direction to SOS ESAF region in its approach to institutional funding in response to the current context. While SOS CV has recorded increases in global fundraising (6.9% increase from 2012-2013) due to strong campaigns, it has recognized this trend and has begun to build its institutional funding base through public and private institutions or foundations and currently aims to source a 10% target of its overall budget from institutional funding by 2016.

The strategy development process took place as part of the IPD Regional Network Forum in Maputo<sup>1</sup>. It allowed participants to discuss and critically review activities with potential for growth and results, foundational activities, new and innovative activities and activities that did not provide value and built on based on the current institutional funding context.

The vision of the IPD Strategy 2010-2016 will be actualized by 4 strategic pillars: Capacity development, Mobilizing untapped funding markets, Influencing organizational policies and strategy and Networking and new partnership development. The strategy will “contribute to the diversification of the funding portfolio needed to reach out to 1 million children” and commit to a mission to champion SOS as a professional social development and humanitarian actor trusted, respected and supported by institutional partners.

Over the past year, ESAF region has achieved a diversified donor portfolio through a combination of Regional Framework grants and large single country grants. The period was also characterized by an increase in submission of proposals to varied donors, proposals that subsequently received funding and those did not. As a result, SOS ESAF moves into the next period with well documented lessons learned: what has worked well and what has not.

Moving forward, the focus will be on 4 areas. Enhanced capacity for IPD work which leads to a conducive environment that ensures sound design and management of grants including more Awareness creation and training in DCM, financial management PCM RBM for staff, capacity in partnership, network analysis and Increased capacity in proposal writing and reporting for major Institutional donors. Increased capacity means improved adherence to donor requirements and donor compliance for better outcomes in institutional funding and an environment that supports the documentation of best practices, success stories, capture failure and lessons. Finally, leveraging SOS as an expert partner in social development and child rights and is a trusted partner in the implementation of institutionally funded projects for strong institutional fundraising for increased number of contracts and income from institutional partners for the ESAF Region.

The annex provides an internal and external contextual analysis of SOS specifically looking at Institutional Funding Trends, Private Donors, Philanthropic Foundations and Peer Agencies. In the last 5 years, the development sector has been characterized by most traditional bilateral donors cutting their budgets. Major international NGOs are also experiencing tighter budgets. However, new sources of funding are opening up. The implications, choices and possibilities for SOS will depend on its core purpose and mission and its focus countries specific contexts. Its institutional flexibility and resilience will also determine its long-term sustainability.

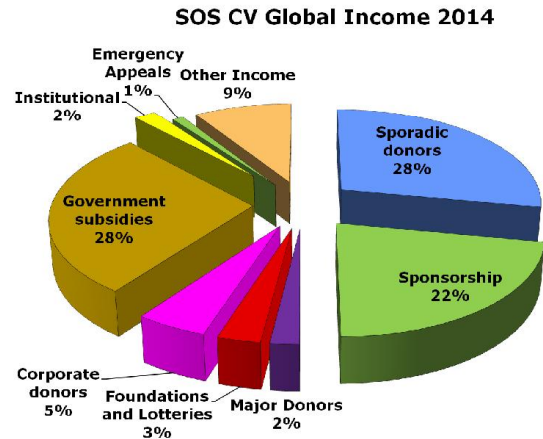
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<sup>1</sup> Refer to the ESAF Regional IPD Network Forum Summary Workshop Report

## SOS INTERNAL CONTEXT

### SOS IPD Current Funding Scenario

SOS CV International realized a 2014 global income of Euros 1,047m. While its largest source of income is from sporadic individual donors (28%), its most steady source remains sponsorship or committed giving by individuals at 22%. In 2014, SOS raised 28% of its income from governmental subsidies for domestic programmes. Other sources of funding include foundations and lotteries at 3%, Major donors at 2%. Only 2% of total income was received through institutional funding. Emergency appeals account for 1% of all income. The bulk of funding is raised from European sources at 85%. The Americas bring in 7%, Asia and Oceania 5% and Africa raised 3% of overall income in 2014.

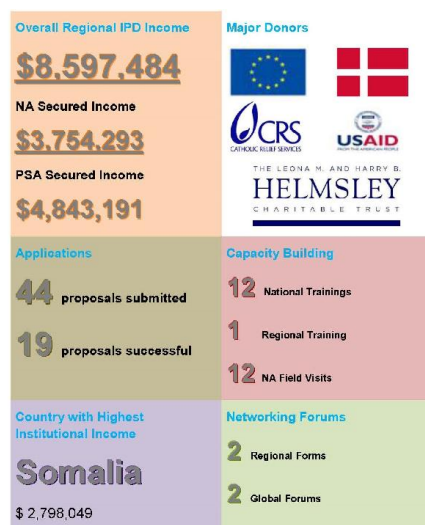


2014 sectoral spend focused primarily on Family based care (45%), followed by Information and fundraising work in PSAs (17%), Education (12%) and Family Strengthening Programmes (10%). The remaining 16% spend went into Health, emergency relief, construction and investment, Promoting and Supporting Associations, international coordination and programme support and other programmes.

The IPD Strategy 2010-2016 defined a vision where ‘we contribute to the diversification of the funding portfolio needed to reach out to 1 million children’ and commits to a mission to champion SOS as a professional social development and humanitarian actor trusted, respected and supported by institutional partners. Its strategic pillars were:

- ♣ **Capacity development**
- ♣ **Mobilizing untapped funding markets**
- ♣ **Influencing organizational policies and strategy**
- ♣ **Networking and new partnership development**

### Achievements so far



The figure provides a snapshot view of IPD Achievements in 2014.

During the same period, the ESAF Region attained a diversified donor portfolio with Regional Framework Grants (NORAD, MFSII, ADA); Large single country grants (DANIDA, BMZ/GIZ, DGD) and In-country Major Grants (USAID, EU, UKAID). Other funding sources included ECHO, Helmsley Foundation and Hempel Trust Foundation.

However, funding applications in the region were made to various donors including those mentioned above as well as the Australian High Commission, Conservation Food and Health, Children’s Prize 2015, Comic Relief, Japanese Embassy, NAC Malawi. Most applications were submitted for Ethiopia, Somalia and Kenya national offices.

The following presents a summary of areas within SOS ESAF that have worked well for institutional funding and those that worked less well or need to be

discontinued. This analysis forms the basis of the region's Key Result Areas for 2016-2018.

### ***What has worked Well***

- i. Developing a regional donor database
- ii. Increased submission and success rate of proposals
- iii. Sustained and focused technical support to NA
- iv. Increased individual and Organizational Capacity
- v. Strategic, targeted and sustained capacity building
- vi. Increased networking, partnership building and external engagement

### ***Challenges***

- i. Low grant burn rates
- ii. Weaknesses in Interdepartmental linkages – IPD with Finance, Programmes
- iii. Active use of internal systems e.g. Navision
- iv. Poor reporting
- v. Challenges with keeping within deadlines and agreed response times
- vi. Project Design issues including heavy focus on service delivery
- vii. Limitations in demonstrating value for money
- viii. Low innovation due to lack of learning and dedicated 'idea-generation'
- ix. Organizational readiness for IF;
- x. Leadership support
- xi. Staffing limitations
- xii. Lack of DCM policies;
- xiii. Integration of IPD findings in overall organisational strategy

Activities with potential for growth and results	New or innovative activities	Foundational or reliable activities	Activities that provide limited or no added value to IF
<ol style="list-style-type: none"> <li>1. Training and capacity development on IPD for staff across all functions</li> <li>2. Partnerships with CBOs, governments and Universities</li> <li>3. Awareness raising on the potential and added value of IPD</li> <li>4. Seeking institutional funds for youth empowerment programmes</li> <li>5. Scoping for calls for proposals</li> <li>6. Consortia building</li> <li>7. Writing quality innovative proposals</li> <li>8. Coordination and support from IPD regional and international office</li> <li>9. All IPD priority countries have IPD focal point persons</li> <li>10. Commitment and will from IPD focal point people</li> </ol>	<ol style="list-style-type: none"> <li>1. Submitting proposals to institutional foundations-</li> <li>2. Donor round tables</li> <li>3. Field visits for potential donors</li> <li>4. Monitoring and follow up of ongoing projects</li> <li>5. Multi- national (regional) projects to increase cross-country learning</li> <li>6. Writing innovative proposals</li> <li>7. Consortia building and building strategic alliances</li> <li>8. Write more proposals with focus on advocacy</li> <li>9. ICT 4D – need to integrate it more in our proposals as part of creativity and innovation</li> <li>10. Subscribing to funding sites online</li> <li>11. Reviewing the donor report to pick lessons</li> <li>12. Quarterly review of grants a as part of grant management</li> </ol>	<ol style="list-style-type: none"> <li>1. Applying for funds and implementing projects in consortia</li> <li>2. Working with and through PSAs</li> <li>3. IPD Forum attendance to bolster the regional network</li> <li>4. Donor landscape analysis</li> <li>5. Face to face meetings with donors</li> <li>6. Partner scoping and assessment</li> <li>7. Linking locations to potential partners at their level</li> <li>8. Participate in national networks and forums</li> <li>9. Monitoring burn rates for existing grants</li> <li>10. Developing program pool of ideas</li> <li>11. Reviewing calls for proposals</li> <li>12. Sharing communication material</li> <li>13. Sharing profiles of our programmes</li> <li>14. Developing donor tracking tools</li> <li>15. Training in PCM for staff</li> <li>16. Training locations on RBM</li> </ol>	<ol style="list-style-type: none"> <li>1. Applying for grants that are too small to justify the effort</li> <li>2. Content requests from PSAs for proposal writing</li> <li>3. Activities not related to IPD</li> </ol>

### ***Additional Opportunities & Issues to Consider***

- a. Consider the role of the SOS country offices and how to leverage decentralized funds as a national agency.
- b. Consider establishment of robust sub-granting mechanisms to tap into donor fund management and access to larger grants.
- c. Review approaches to consortia engagement e.g. seeking out non-traditional partners, fund management roles, multiple level partnerships for access to varied income, strategic positioning for competitive bidding
- b. Programming and proposal development: Less focus on service delivery – possible area for online engagement if no Institutional Funding.
- c. Innovation, innovation, innovation! Consider establishment of internal ‘think tanks’ and idea incubators
- d. Consider focus on social entrepreneurship, public-private sector partnerships
- e. Factor in shifting legal contexts for countries in Africa
- f. Need to link programme and fundraising elements of the organization.
- g. Ensure financial systems can meet the requirements of Results based funding
- h. Need to have robust donor mapping at country and regional level with specific, tangible, realistic leads.

## REGIONAL STRATEGIC RESULT AREAS

Based on the current institutional funding context within which we work, SOS ESAF region will focus on 4 Key Result Areas for the period 2016-2018. These are:

- ❖ **RA 1: CAPACITY:** Capacity for IPD is enhanced which leads to a conducive environment that ensures sound design and management of grants.
- ❖ **RA 2: ACQUISITION:** Strong institutional fundraising for increased number of contracts and income from institutional partners for the ESAF Region.
- ❖ **RA 3: IMPLEMENTATION:** Improved adherence to donor requirements and donor compliance for better outcomes in institutional funding.
- ❖ **RA 4: PARTNERSHIP:** SOS is perceived as an expert partner in social development and child rights and is a trusted partner in the implementation of institutionally funded projects.

For each Key Result Area, the following are the expected outcomes:

ACQUISITION	IMPLEMENTATION	CAPACITY BUILDING	PARTNERSHIP
<ul style="list-style-type: none"> <li>✓ -Increased number of quality proposals submitted</li> <li>✓ -Increased visibility to donors, foundations and international NGOs</li> <li>✓ -Conduct regular donor mapping</li> <li>✓ -Multi-country applications (NA-NA)</li> <li>✓ -Provide resources for research to support proposal writing</li> <li>✓ -Create project pool of ideas</li> </ul>	<ul style="list-style-type: none"> <li>✓ -Improved donor contract management (action plans, consistence of financial and narrative report, M&amp;E plan, tracking tools, donor communication, establish reporting frames/tools)</li> <li>✓ -Developing learning and communication materials (best practices, success stories, capture failure and lessons)</li> <li>✓ -Capture cross cutting issues during implementation and reporting i.e. Gender</li> </ul>	<ul style="list-style-type: none"> <li>✓ -Awareness creation and training in DCM, financial management PCM RBM for staff</li> <li>✓ -Building capacity of locations in tapping government subsidies and other regional donors</li> <li>✓ -Cross country peer reviews and learning platforms</li> <li>✓ -Capacity in partnership, network analysis</li> <li>✓ Capacity building in communication to institutional partners</li> <li>✓ -Building capacity in use of ICT for program development</li> <li>✓ -Increase capacity in proposal writing and reporting for major IPD donors</li> <li>✓ -Capacity building for board members in IPD</li> <li>✓ -Capacity building in donor scoping and engagement</li> </ul>	<ul style="list-style-type: none"> <li>✓ -Increased participation</li> <li>✓ -Identify and register with relevant networks</li> <li>✓ -Identify and participate in donor engagement platforms e.g. roundtables, coalitions</li> <li>✓ -Network with national level NGOs and lobby the government to fund activities</li> <li>✓ -Make joint applications with other NGOs</li> <li>✓ -Partnership with existing community structures (CBOs, private sector, NGOs, local authorities)</li> <li>✓ -Profiling our results</li> <li>✓ -Engaging in advocacy campaigns with other partners</li> <li>✓ -Partner capacity assessment</li> </ul>

### I. ESAF Regional Strategy Logframe/Results Framework:

The ESAF IPD Regional Strategy 2016-2018 Results Framework is provided below:

## East and Southern Africa Region IPD Strategy 2016-2018

### Strategy Log Frame including Key Performance Indicators

	Strategy	Key Performance Indicators: Outcomes	KPIs: Outputs	Targets	ACTIVITIES	Sources of Verification	Assumptions
<b>Overall Objective</b>	To champion SOS as a professional social development and humanitarian actor which is trusted, respected and supported by institutional partners						
<b>Specific Objective</b>	To increase the success of SOS Children's Villages in working with Institutional Funds and partners, in order to increase the amount of funding available for the organisation (A09 and A06)	The overall number of and success rate of applications for Institutional Funds increases; the number of institutional donors in our portfolio increases.		10% of annual overall net fundraising income by 2020		KDI annual income statement, annual financial performance report  Number of Donor contracts  Number of Memorandum of Understandings signed with institutions	The Institutional Partnership Development Strategy of SOS Children's Villages is endorsed and approved by the Management Team.
<b>Expected results</b>							
<b>RI. CAPACITY</b> Capacity for IPD is enhanced which leads to a conducive environment that ensures sound design and management of grants	1. SOS NA Staff has improved competencies in the areas of PCM & DCM	# of staff trainings conducted on PCM & DCM	I training either on PCM or DCM by NA per year	IOR: Conduct training of trainers on the Global IPD Curriculum  IOR: Support training on PCM and DCM  NA : Conduct the training on PCM and DCM	Training Report  Attendance Register	Availability of Resources	
	2. Increased awareness and buy-in by NA senior management teams and board members on IPD	# of sensitisation sessions on IPD held for senior management team and board members.	4 sessions per NA per year.	IOR: Support on need basis NAs in conducting sensitisation sessions to 7 NA SMTs  NA: Conduct sensitization sessions to SMT  IOR: Support NAs to conduct one sensitisation session to NA boards. NA: Conduct sensitization Session to Board members IOR : Conduct awareness sessions on IPD added value and potential at regional NDs meetings	Training Report,  Session Report	Boards will allocate time for the sensitization	



<b>R2. ACQUISITION</b> <b>Strong Institutional Fundraising for increased number of contracts and income from institutional partners for ESAF Region</b>	1. Increased number of contracts and income from institutional partners	2. Existence of Market Research per NA	1 Market Research	<b>IOR/NA:</b> Conduct donor mapping of public donors, foundations, and UN agencies  <b>IOR/NA:</b> Conduct weekly monitoring of funding opportunities.(+ IO subscribes to international funding platforms & IOR/NA to regional & in-country funding opportunities)  <b>IOR/NA:</b> Develop and maintain an NA and IOR donor database	Market research report  Donor database	
		3. Existence of project pool of ideas per NA (PRAG Tool 9)	5 concept notes per NA per year	<b>NA:</b> Populate the project pool of ideas with relevant concept notes	List of ideas and concept notes documented	
		4. # of proposals submitted to public donors, foundations and UN per NA  5. Amount of funding from institutional donors in ESAF  6. # of institutional contracts funding SOS	Minimum 10 per year per NA  \$5Million per year for IOR (new contacts)  3 new contracts per NA per year	<b>IOR:</b> Support application development and ensure quality of application as well as registration in the grant management system.  <b>NA:</b> Write and submit high quality proposals in liaison with programme and finance to public donors, foundations and UN agencies. (solicited & unsolicited): NA-NA; NA-PSA; NA-External	Proposals submitted, Monthly Quarter Reports	
<b>R3. IMPLEMENTATION</b> <b>Improved adherence to donor requirements and donor compliance for better outcomes in institutional funding.</b>	1. Effective and supportive grant management system (GMS) in place	% of grant application and management processes registered with and tracked via the grant management system  # of results-oriented reports submitted to donors within the required timeframe	100%  100%	<b>IOR:</b> co-develop and maintain the grant management system with IO and other regions  <b>IO/IOR:</b> conduct training(s) on the grant management system to NA IPD staff (and national directors)  <b>NA:</b> review donor narrative and financial reports before submission and register the reports in the GMS	Training report  Attendance List  GMS reports	A grant management system in place  System operational manual in place
	2. Improved donor compliance	% reduction of donor compliance failures /contract violation  Grant operational guidelines developed	30% reduction until end of 2018  1 guideline	<b>NA/Grant advisors:</b> Address donor compliance issues  <ul style="list-style-type: none"> <li>• IOR IPD develops (together with IO and other IORs) grant operational guidelines to all programme offices.</li> <li>• IOR IPD conduct training on the</li> </ul>	GMS reports  Guideline exists and is accessible to all NA staff (NO +	

		# of grant review meetings	4 review meetings per year	grant operational guideline for NA IPD staff <ul style="list-style-type: none"> <li>• NA IPD staff disseminates grant operational guidelines to all programme offices (PD and FIN).</li> <li>• <b>NA:</b> Conduct quarterly grant review meetings with Finance and Programmes</li> <li>• <b>IOR:</b> Conduct annual grants audit and risk assessments including compliance</li> </ul>	programmes) Training reports Review meeting reports and participants lists	
<b>R4. PARTNERSHIP</b> <b>SOS is perceived as an expert partner in social development and child rights and is a trusted partner in the implementation of institutionally-funded projects.</b>	1. Improved internal engagement sharing and communication	# of IPD network meetings conducted	13	<b>IOR:</b> Conduct IPD network meetings – Monthly virtual meetings, annual meeting  <b>NA:</b> Participate in IPD network meetings – monthly virtual, annual meeting.	Minutes and key highlights of IPD network meetings	Members will be available and have resources to attend
	2. Improved visibility of SOS as an expert, credible and trusted partner in social development and child rights	# of joint meetings with PD, FIN and Management	2 12 12	<b>IOR:</b> participate in PPPN meetings  <b>NA:</b> Hold regular coordination meetings with management, Finance and PD.  <b>IOR:</b> Hold monthly meetings with PD,FIN	Minutes, attendance list	
		# of consortia established / joined	3 (based on most relevant thematic areas)	<b>NA:</b> Identify existing consortia to join  Formalise consortia memberships	Consortia mapping reports  Database of identified Consortia's and Organizations  Signed teaming agreements/ MOUs	
		# of partnership forum meetings attended	12	<b>NA:</b> Identify partnership forums	Registration	

				<p><b>NA:</b> Attend partnership forums</p> <p><b>NA:</b> Hold meetings/roundtables</p> <p><b>NA:</b> Establish/initiate public-private partnerships.</p>	<p>documents</p> <p>Meeting minutes</p> <p>Signed MOUs</p>	
		# of donor meetings attended with UN DFID, EU, SIDA, USAID and foundations	12	<p><b>NA:</b> Identify existing relevant agencies and donors, foundations</p> <p>Schedule meetings with UN</p> <p>Establish and maintain constant communication with relevant UN agencies and foundations to enhance partnership</p> <p>Share capacity statements with relevant donors/UN agencies.</p>	Market research / donor mapping reports	
		# of forums, networks NAs and region belong to.	3	<p><b>NA:</b> Join relevant NGO networks</p> <p><b>IOR/NA:</b> Subscribe to NGO networks for membership</p> <p><b>NA:</b> Attend relevant NGO network meetings.</p>	Meeting minutes	
		# of key messages developed # of channels utilised # of communication materials developed	5 4	<p>NA's case studies and impact published and disseminated to institutional partners</p> <p>Establish relevant messages, audience, channels and materials for institutional funding</p>	<p>IEC materials</p> <p>Minutes</p> <p>Dispatch log</p>	

## ESAF IPD Medium Term Strategy – Consolidated Operational Plan – 2016

<b>Overall Objective: To champion SOS as a professional social development and humanitarian actor which is trusted, respected and supported by institutional partners</b>								
<b>Specific Objective: To increase the success of SOS Children's Villages in working with Institutional Funds and partners, in order to increase the amount of funding available for the organisation (A09 and A06)</b>								
<b>Expected Results:</b>								
❖ <b>RA 1: CAPACITY:</b> Capacity for IPD is enhanced which leads to a conducive environment that ensures sound design and management of grants.								
❖ <b>RA 2: ACQUISITION:</b> Strong institutional fundraising for increased number of contracts and income from institutional partners for the ESAF Region.								
❖ <b>RA 3: IMPLEMENTATION:</b> Improved adherence to donor requirements and donor compliance for better outcomes in institutional funding.								
❖ <b>RA 4: PARTNERSHIP:</b> SOS is perceived as an expert partner in social development and child rights and is a trusted partner in the implementation of institutionally funded projects.								
Result Area	CO	Targets	Key Actions	By Whom	Timeframe	Expected Outputs/Deliverables	Resources Required	Monitoring mechanism
Result 1 CAPACITY	Z A M		Hold 1 sensitization session per quarter for National Management Team on IPD	FDC Manager	12/2016	Number of sensitization sessions held with NMT on IPD		
			Conduct 1 sensitization session to SOS Zambia board on IPD	FDC Manager	10/2016	Number of sensitization sessions held with Board on IPD		
			Conduct 2 trainings in DCM and RBM for 10 programme co-workers	FDC Manager	12/2016	Number of trainings in DCM and RBM	Workshop costs K40,000	
			Conduct 1 training in donor report writing for 15 programme co-workers	FDC Manager	10/2016	Number of trainings in donor report writing	Workshop costs K30,000	
	M A L		Conduct training on PCM and DCM for LL, BT, NG and MZ	IPD officer	12/2016	Number of trainings held	Consultant, money	Training report, attendance register
			Conduct sensitization sessions to Management Team	IPD officer	12/2016	Number of sensitization sessions held with management team		Minutes
			Conduct sensitization session on IPD to board members	IPD officer/ND	2/2016	Number of sensitization sessions held with board members		Session report
			Conduct training on donor scoping, engagement and liaison for LL, BT, MZ and NG	IPD officer	3/2016	Number of trainings held	GSC support	Training report, attendance register
	T A Z	1 SMT training on PCM and DCM	Conduct 2 trainings in in PCM, DCM	IPD Officer & Trainer/Consultant	March and July 2016	# of training programme conducted Type of training programme conducted # of coworkers trained # of board members attended training	Finances for training materials, trainer, venues, logistics costs	Training reports Action plans Attendance list IPD monthly updates/reports IPD monthly reports
		1 DCM to project officers/coordinators/social workers						
		4 awareness creation to project staff, SMT and board on IPD	Conduct 1 awareness raising on IPD	IPD officer & facilitator	April, June, August, October 2016	# of project staff, SMT and board attended # type of IPD actions developed # of actions implemented	Finances for workshop, materials, facilitator, venues, cost training logistics	Training reports Action plans Attendance list IPD monthly updates/reports IPD monthly reports
	B U R	Senior Management Team	SMT sensitization on IPD	Jean	Jan-June	Number of sensitizations conducted	ND	Reports Attendance lists
Staff		Training on IPD tools for staff (PRAG)	Jean	Jan-Dec	Number of IPD tools being utilized by staff	ND, IOR-ESAF	Reports	
K	Senior	Training of SMT on DCM, RBM with actioned	Lydia, DND	February &	Number of trainings conducted	Consultant	Training reports	

	<b>E</b>	Management buy-in	on IPD integration		September, 2016	Type of trainings conducted	Budget for training	
		Capacity building with clear IPD linkages	Follow up actions with SMT progress on quarterly basis	ND	February-December, 2016	Number of staff implementing actions		Action plans
	<b>ZIM</b>	100% NMT membership	NMT IPD review/update sessions	ZZ	Quarterly	Mgt awareness and understanding of grant writing	-	Quarterly report
		100% Board membership	Board IPD review/update sessions	ZZ	Quarterly	Board awareness and understanding and support of grant writing	-	Quarterly report
		70% of FSP staff	Training of FSP and NMT in DCM, PCM, and RBM, Grant writing, and reporting.	ZZ	2016	Skills to support grant writing and DCM.	\$20,000	Training reports
<b>NI G</b>	Develop and improve the capacity of key PD and FIN staff on PCM & DCM to integrate IPD component in work result area.	Trainings on PCM & DCM at National and Location Level  Share IPD strategy with PD & FIN staff	Gladys PD Team lead	Oct 2016	1. PD and FIN staff have agreed knowledge of PCM & DCM 2. IPD strategy is adapted and componential in work development plan	Funds  IOR Support	List of participants  Report of training  Strategy align with NA's national plan	
	Enhanced proposal development among PD & FIN staffs to create pool of ideas, quality grant writing and proposal scoping for both external and internal funders	Training PD staff on grant writing at National and Location level  Conducting need assessments at programme locations  Sensitize Location PD staff on proposal scoping references for IF opportunities	Gladys PD Team lead	Oct 2016	PD staff have improved learning on grant writing  Assessment report developed  PD staffs have knowledge of scoping for IF proposal for programme thematic areas	Funds  IOR Support	Attendance and report  Assessment report  Database	
	<b>S A</b>	1	Conduct relevant training for NMT addressing capacity gaps	Kenton	Mid-2016	Increased understanding of NMT.	NA, IPD Materials	Training register
		2	Conduct IPD sensitization, training with NMT.	Kenton	Bi-Annually	Increased buy-in and understanding of NMT.	IPD materials	Training register
		Quarterly	Conversation with ND with clear goals, objectives, possibilities.	Kenton	Quarterly	Increased support from ND/NMT	NA	Report
	<b>R W</b>	Skills Development	Conducting 2 trainings for SMT on IPD	Franklin	June-Sept	All head of units trained	Need support from IOR	Quarterly Report
			Increased awareness and buy-in by NA senior management teams and board members on IPD	Franklin	Jan-Dec	Increased knowledge on IPD by staff	-	Monthly IPD updates
<b>U G</b>	Skills Development	Conduct capacity assessment of staffs in IPD  Training, mentorship of PD staffs in PCM, DCM	Jane	February to November	A number of PD staff aware and participating in IPD processes, key activities	Funds Region support	Action plans	

		Senior Management buy in	Sensitize SMT on IPD	Jane	Quarterly basis	SMT buy in of IPD processes	Reports	Actions and decisions taken in support of IPD	
	<b>S O M</b>	1 training	Conduct 1 training for SMT, programme and finance staff on PCM and DCM,	IPD Manager/PD Advisor	March 2016	# of staff trainings conducted on PCM & DCM	\$6,000	Training report, attendance list	
		4 sessions	Conduct sensitization sessions to SMT	IPD Manager	December 2016	# of sensitization sessions on IPD held for senior management team and board members.		Meeting minutes	
	<b>E T H</b>	1.SOS CVE has improved competencies in areas of PCM and DCM							
			Organize 2 training on DCM, RBM, PCM and grant writing to FS and M&E staff	Belete, Aschalew and Desalegn	April and Sep, 2016	Improved skills on the topics	6,000 \$	Training pre and posttest analysis, training report, feedback from the PDs	
			Conduct backstopping visits to at least 4 program locations	Belete, Desalegn and Aschalew	Jan-Dec, 2016	Improved learning and skills on IPD and the practice on DCM, RBM and	2,000\$	Field visit reports	
		2.Increased awareness and buy-in by SOS CVE senior Management team							
	Conduct 2 IPD updating sessions to the SMT	Belete	March and July, 2016	Improved recognition and support gained		Sessions report and feedback from members of the SMT			
<b>Result 2</b> <b>ACQUISITION</b>	<b>Z A M</b>		Establish a pool of at least 5 concept notes	FDC Manager	06/2016	Existence of project pool of ideas			
		10	Write and submit high quality proposals in liaison with programme and finance to public donors, foundations and UN agencies. (solicited & unsolicited): NA-NA; NA-PSA; NA-External	FDC Manager	12/2016	10 project proposals developed and submitted			
			Subscribe to alerts from at least 3 grant giving institutions	FDC Manager	03/2016	Number of grant giving institutions subscribed to			
	<b>M A L</b>		Hold at least 1 face to face meeting per month with institutional donors	FDC Manager	12/2016	Number of Face to face meeting with donors held			
		1 market research	Update donor mapping of public donors, foundation and UN agencies	IPD officer	3/2016	SOS Malawi Market research	Consultant, money		
			Develop and maintain a donor database	IPD officer	3/2016	Donor database			
		5 concept notes	Develop a project pool of ideas	IPD officer	12/2016	List of ideas and concept notes documented		List of idea and concept notes documented	
	10 proposals submitted	Write and submit high quality proposals in liaison with programme and finance to public donors, foundations and UN agencies	IPD officer	12/2016	Number of proposals submitted		Proposals submitted, monthly reports		

<b>T A Z</b>	1 market research	Conduct market research/mapping of donors for institutional donors, foundations and UN agencies in Tanzania	IPD Officer & Consultant	May 2016	# of donor database developed	Finances to undertake donor mapping/market survey	Monthly reports
	5 concept notes	Develop 5 concept notes	IPD Officer & Programme team, support from IPD region	Jan- Dec 2016	No. of concept note developed and submitted Type of concept notes submitted	Budget for concept ideas development sessions with location coworkers and PD team	Monthly IPD updates / reports
	10 proposals	Develop 10 proposals to UN, Foundations and public donors	IPD Officer & Programme team, support from IPD Region	Jan – Dec 2016	\$ of proposals submitted to UN, Foundations and other public donors	Budget for proposal ideas development sessions with location coworkers and PD Team	Monthly IPD updates/reports
	3 funding sites	Subscribe to 3 funding sites	IPD Officer	Jan - March 2016	No. of funding sites subscribed to No. of call for proposals	Budget for annual subscriptions	Monthly IPD updates/reports
<b>B U R</b>	Proposal development	Develop 10 proposals (NA-NA, NA-PSA, NA-External)	Jean	Jan-Dec	Number of proposals, Projects Ideas, concepts notes developed/submitted	ND, PD, Fin	Reports
<b>K E</b>	Development of 10 proposals	NA-PSA joint proposals	Lydiah, IOR,PSA, ND	January-December, 2016	Number of quality proposals developed and submitted Number of successful proposals	Technical support from RO, PSA, SMT teams	Development of 10 proposals
		NA Proposals	Lydiah, SMT team, ND	January-December, 2016		Technical support from RO, SMT teams	
		NA-NA joint proposals	Lydiah, IOR,PSA, ND	January-December, 2016		Technical support from RO, PSA, SMT teams	
	Development of 10 proposals	NA-PSA joint proposals	Lydiah, IOR,PSA, ND	January-December, 2016	Number of quality proposals developed and submitted Number of successful proposals	Technical support from RO, PSA, SMT teams	Development of 10 proposals
		NA Proposals	Lydiah, SMT team, ND	January-December, 2016		Technical support from RO, SMT teams	
		NA-NA joint proposals	Lydiah, IOR,PSA, ND	January-December, 2016		Technical support from RO, PSA, SMT teams	

ZIM	10 proposals	Develop institutional funding proposals (including joint proposals with other NAs and local consortia)	ZZ	2016	\$500,000	\$10,000	Proposal documents
	5 concept notes	Produce concept notes for the project pool of ideas	ZZ	2016	Concepts notes on standby for calls for proposals or unsolicited submissions	-	Concept note document
	Evidence to support 1 major proposal	Commission baseline research for 1 major proposal	ZZ	2016	Research will support proposal development for 1 major proposal	\$10,000	Consultant report
NIG	Quality grant concept note/proposal submitted for Calls For Proposal	Conduct donor mapping Develop donor/funders database for IF opportunities Develop pool of project ideas from programme locations Develop and submit 10 quality proposal for public funding	Gladys PD Team lead	Oct 2016	Mapping survey for public funding with internal and external funders Donor database developed Location submits project ideas Proposals submitted	PD support IOR technical support	Survey report Pool of ideas database Receipt acknowledgement
	20	Submit quality proposals to various	Kenton	All of 2016	Increased funds	NA Budget	Record of proposals
	12	Attend/hold meetings with prospective donors.	Kenton	All of 2016	Increased funds	NA Budget	List of meetings
RAW	Proposal Development	Develop 10 proposals	Franklin	Jan-Dec	10 proposals submitted	Support from IOR	Monthly updates
		Development of project ideas in all locations according to existing thematic areas	Franklin	Jan-Dec	20 Project ideas	Support from PD and Department heads	Monthly updates
UG	Develop Proposals	Write and submit high quality proposals with support from finance and programmes to public donors, foundations and UN agencies funding proposals	Jane /PD teams	January – December	10 quality funding proposals submitted to UN, foundations ,	Time, money. Personnel	Proposal tracking tools Monthly IPD reports
		Conduct donor mapping and market research surveys	Jane	Jan – March	Donor database developed Donor market survey	Money Personnel	Donor data base
		Develop project pool of ideas and populate ideas into 5 concept notes	Jane /PD team	Quarterly	5 concept notes developed	Personnel	
SOM	1 Market Research	Conduct donor mapping of public donors, foundations, and UN agencies	IPD Manager	December 2016	1. Existence of Market Research per NA		List of donors and concept notes
	1 Market Research	Develop and maintain an NA donor database	IPD Manager	December 2016	Donor database in place		Data base/list of donors
	5 concept notes per NA per year	Populate the project pool of ideas with relevant concept notes	IPD Manager/PD Advisor	June 2016	2. Existence of project pool of ideas per NA (PRAG Tool 9)		Concept notes and list of ideas



		Minimum 10 per year per NA 3 new contracts per NA per year	Write and submit high quality proposals in liaison with programme and finance to public donors, foundations and UN agencies. (solicited & unsolicited): NA-NA; NA-PSA; NA-External	IPD Manager, PD Advisor, Lawrence	December 2016	1. # of proposals submitted to public donors, foundations and UN per NA 2. 5. # of institutional contracts funding SOS	20,000(needs assessment)	Copy of proposals in place, submission communication
	<b>E T H</b>		Support at least 4 program location to develop IPD action plans	Belete and 4 PDs	Jan-Dec, 2016	Approved action plans	1,000\$	Field visit, continues conversation, progress update
			Write and Submit 10 high quality proposals in liaison with PD and FIN	Belete and 4 PDs	Jan-Dec, 2016	Proposals submitted to Institutional partners		
<b>Result 3 IMPLEMENTATION</b>	<b>Z A M</b>		Review donor narrative and financial reports before submission and register the reports in the GMS	FDC Manager	12/2016	Number of results-oriented reports submitted to donors within the required timeframe		
			Conduct quarterly grant review meetings with Finance and Programmes	FDC Manager	12/2016	Number of grant review meetings held		
	<b>T A Z</b>	All donor reports reviewed before submission	Participate in the review meetings of donor narrative and financial reports before submission.	IPD officer & Programme team	Jan – Dec 2016	No. of review meetings attended \$ of donor reports reviewed	Finances for meetings to review donor reports	Monthly IPD repots Review meeting reports
		2 trainings on grant operational guideline and grant management system	Attend trainings on the grant operational guideline and grant management system	IPD Officer	Jan – Dec 2016	No. of meetings attended Type of meetings attended No. of grants operational guideline disseminated.	Finances to attend trainings, to disseminate grants guidelines	Training reports Monthly IPD reports
	<b>B U R</b>	Contracts management	Quarterly meeting with finance and PD to monitor grant implementation	Jean	Jan-Dec	Number of monitor meeting	PD, Fin	Reports
			Project and financial review	Jean	July	Number of review conducted	PD, Fin	Reports
			Review reports	Jean	Jan-Dec	Number of reports reviewed and sent	PD, Fin	Reports
	<b>K E</b>	Quarterly review of project performance-narrative and budgets	Meeting with finance and project managers to discuss on donor project performance	Lydia and PDs	Q1-Q4, 2016	Quality reporting		
	<b>Z I M</b>	Increase NA institutional funding visibility	Develop key messages for institutional funding communications	ZZ	02/2016	Key messages will be used in communications targeting IPs to ensure consistent messaging and branding of SOS	-	Actual messages designed
		1 publication	Produce publication highlighting IF project work	ZZ/PD	11/2016	Publication to be disseminated to existing and potential IPs	\$3,000	Published document
		10 visits	Face to face meetings with potential IPs	ZZ	2016	Raise awareness of SOS as a potential partner for Institutional funding	-	Visit feedback reports
		3 networks	Participate in child focused NGO networks (ZNCWC, UNICEF Child protection working group, Heads of Agencies)	ZZ.PD	2016	Identify potential consortia partners amongst other NGOs Raise awareness of SOS amongst institutional funders	-	Minutes/ meeting feedback reports
1 consortium		Join/form consortium with like-minded organisations to develop proposal	ZZ	2016	Consortium will develop joint proposal	-	Signed MoU, Proposal	

								documents
	<b>NI G</b>	DCM system and structures in place to increase IPD Buy-In by SMTs	Share developed IOR DCM with SMTs  Facilitate quarterly grant review meetings with PD to assess progress of proposal development and project ideas.	Gladys	Nov 2016	DCM structures and systems adapted by SMTs  Review identify gaps/challenges in proposal development	IOR support ND support	Minutes and attendance
	<b>R W</b>	Contract Management	Monthly meetings with Finance to monitor grant implementation	Franklin	Jan-Dec	12 meetings held	Support from IOR	Monthly updates
			Participate in project reviews	Franklin	Jan-Dec	1 review per year	Support from IOR	Monthly updates
			Train staff on Finance and contract management for institutional funded projects	Franklin	June- Sep	Project managers and field coordinators trained	Support from IOR	Monthly updates
	<b>U G</b>	Grants Management	Review donor narrative and financial reports before submission and register in the GMS	Jane /PD team	Annual and semi annual	Good quality reports submitted	Time	Grant Management System
			Conduct quarterly grant review meetings	Jane	Quarterly	Improved burn rates and implementation  Improved donor compliance	Time	Grant tracking system
	<b>S O M</b>	100%	review donor narrative and financial reports before submission and register the reports in the GMS	IPD Manager, PD Advisor, Lawrence	December 2016	# of results-oriented reports submitted to donors within the required timeframe		Reports, feedback communication
		30% reduction until end of 2018	NA/FG grant advisors: Address donor compliance issues	IPD Manager	December 2016	% reduction of donor compliance failures /contract violation		GMS reports
		1 session	• NA IPD staff disseminates grant operational guidelines to all programme offices (PD and FIN).	IPD Manager	July 2016	# of dissemination sessions held		Dissemination reports, minutes, attendance list
		4 review meetings per year	• NA: Conduct quarterly grant review meetings with Finance and Programmes	IPD Manager, PD advisor, Lawrence	December 2016	# of grant review meetings		Minutes, reports
	<b>Result 4 PARTNERSHIP</b>	<b>Z A M</b>		Identify existing consortia to join	FDC Manager	04/2016	Number of consortia joined	
			Identify existing relevant agencies and donors, foundations	FDC Manager	04/2016	Existing relevant agencies and donor foundations identified		
			Establish and maintain constant communication with relevant UN agencies and foundations to enhance partnership	FDC Manager	12/2016	Number of donor meetings attended with UN DFID, EU, SIDA, USAID and others and foundations		
			Join relevant NGO networks	FDC Manager	12/2016	Number of networks joined	Membership fees K 10,000	
			Attend relevant NGO network meetings	FDC Manager	12/2016	Number of network meetings attended		
			Establish relevant messages, audience, channels and materials for institutional funding	FDC Manager	15/2016	Number of channels utilized Number of communication materials developed		
			Participate in IPD network meetings – monthly virtual, annual meeting	FDC Manager	12/2016	Number of IPD Network meeting participated in		
		Produce 1 publication on impact of programmes per grant	FDC Manager	12/2016	Number of publications produced per grant	Publication costs K8,000		
	<b>M</b>	13	Participate in IPD Network meetings, monthly	IPD officer	12/2016	Number of IPD network meetings		Meeting Minutes

<b>A L</b>		virtual, annual meeting			attended			
	1 network database	Conduct an audit for all networks that SOS Malawi is a member of at all levels.	IPD officer	1/2016	Database of SOS Malawi membership to Networks		Network database	
	2	Identify existing consortia to join	IPD officer	12/2016	Number of consortia joined		Consortia mapping report/ signed MOUs	
	6 meetings held	Hold face to face meetings with potential donors	IPD officer/ ND	12/2016	Number of meetings held		Report, monthly report	
	1 donor roundtable held	Hold a donor roundtable with potential donors	IPD officer/ PD's/ ND	8/2016	Number of donors present at roundtable		Attendance list, donor roundtable report	
	5	Establish and maintain constant communication with relevant UN Agencies and foundations to enhance partnership  NA's case studies & impact published and disseminated to institutional partners	IPD officer  IPD officer	12/2016  12/2016	Number of newsletters		IEC Materials, dispatch log	
	4	Attend relevant NGO network meetings	IPD officer	12/2016	Number of network meeting attended		Meeting minutes	
	5	NA's case studies & impact published and disseminated to institutional partners	IPD officer	12/2016	No of publications			
	<b>T A Z</b>	13 IPD Meetings	Participate in 1 annual IPD network meeting and 12 virtual monthly meetings	Dorosella	Jan- Dec 2016	\$ of virtual meetings attended \$ of actionable issues implemented.	Finances to participate in meetings (Annual IPD meeting)	Meeting reports Monthly IPD reports
		4 meetings with PD/FINANCE	Hold quarterly coordination /joint meetings with management, PD and Finance teams.	Dorosella, finance, management and PD team	Jan – Dec 2016	\$ of meetings held Type of issues discussed Type of actions taken	Finances for organizing meetings	Monthly reports Meeting reports
		1 thematic consortium established	Identify and, organized meetings and join one thematic consortium	Dorosella, partners, advocacy coordinator, IPD regional support	Jan - Dec 2016	\$ type of consortia meetings organized Type of members (thematic groups joined) \$ of MOU/consortia agreements signed	Finances to organize partnership meetings	Meetings./partnership forum reports Monthly IPD reports
		12 partnership meetings	Attend /organize monthly partnership meetings/round tables with NGO and donor forums, Government, and private sectors	Dorosella, advocacy coordinator, partners, IPD regional support	Jan - Dec 2016	\$ and type of partnership meetings /forums round tables organized and or attended	Finances to conductor attend meetings	Meetings./partnership forum reports Monthly IPD reports
		Communication materials in place	Analyze impact study reports and publish Develop and disseminate communication and learning materials for institutional funding	Dorosella, ND, IPD regional support	Jan – Dec 2016	Type of communication, and learning materials developed Type of communication channels used	Finances to produce/publish and disseminate information	Dispatch logs Printing/publishing invoices Communication clips
<b>B U R</b>		Visibility of the Organization	Participation in national networks and meetings	Jean	Jan-Dec	Number of networks and meetings attended	ND	Reports
		Donors contacts	Jean	Jan-Dec	Number of donors contacted	ND	Donor mapping	
		Conduct country profile	Jean	March	1 Country profile in place	Communicati	Country profile	

							on Advisor	document
<b>KE</b>	Increased Visibility	Attend and participate in Fora	Lydia, ND, SMT	January-December, 2016	SOS CV KE participation and delivery	Travel logistics, registration fee, technical assistance	Network tracking tool	
	Fora Attendance	Joint consortiums to develop proposals and events	Lydia, ND		SOS working in consortiums			
	MOUs	Formalized working relationships with likeminded organizations	Lydia, ND, DND		Formalized continuous engagements			
<b>NI</b>	Enhanced network and partnerships with relevant organization to increase IF Opportunities, core area visibility and joint proposal submission	Develop Programme Country Profile  Develop and publish programme communication  Identify, establish and formalize networks and partnerships with relevant organization  Identify joint Call For Proposal to develop and submit with like organization	Gladys PD Advocacy	Dec 2016	2 pager Country profile on public funding  Strong programme communication tool produced  Joining consortium to improve IF  Quality joint proposal submitted with consortia or multilevel country	Funds  Communication inputs		
<b>SA</b>	6	-Attending networking meetings with embassies/high level representation.	Kenton, Mosa	All of 2016	Increased visibility/reputation	NA	List of meetings	
		-Aligning marketing communication strategy with IPD focus.	Kenton, Yvonne, Seithuto	Throughout 2016	Quality materials developed and distributed	NA Budget	Marketing plan/strategy	
		-Placing ourselves as child protection leaders through various channels.	Kenton, Mosa	All of 2016	Increased visibility/reputation	NA	List of meetings	
<b>RW</b>	Visibility of the organization	Participate in National Networks	Franklin	Jan-Dec	Increased organization visibility	Support from IOR	Monthly updates	
		Documentation through brochures, leaflets, media articles, etc	Franklin	Jan-Dec	Documentations disseminated	Support from IOR	Monthly updates	
	<b>UG</b>	Visibility and Partnerships	Participate in IPD network meetings – monthly virtual, annual meeting.	Jane	Monthly, quarterly annual	Increased knowledge and sharing through IPD		Lists of attendance
			Identify, join and formalise new and existing consortiums for joint applications	Jane /PD	Jan – Dec	Increased consortia applications	Regional technical support	MOUs and partnership agreement
			Identify and participate in partnership forums and networks	Jane	Jan – Dec	SOS Uganda visible and active in networks and forums	Funds	Subscription receipts Reports
			Develop and Share capacity statements, profiles with relevant UN agencies, foundations and partners	Jane /PD teams	Jan – Dec	Capacity statements and profiles developed	Regional technical support	
	Document and publish and share case studies and impact stories to institutional partners	Jane /PD Team	Quarterly	Impact stories shared with institutional partners	Money,			

			Establish relevant messages, audience, channels and materials for institutional funding					
SOM	13	Participate in IPD network meetings – monthly virtual, annual meeting	IPD Manager	December 2016	# of IPD network meetings conducted		Minutes, reports, attendance list	
	12	Hold regular coordination meetings with management, Finance and PD	IPD Manager	December 2016	# of joint meetings with PD, FIN and Management		Minutes, reports, attendance list	
	3 (based on most relevant thematic areas)	Identify existing consortia to join and formalize	IPD Manager, Ahmed Mohamed	August 2016	# of consortia established / joined		Subscription/registration documents	
	12	Identify and attend partnership forums	IPD Manager, Ahmed Mohamed	August 2016	# of partnership forum meetings attended		Minutes, reports	
	12	Establish and maintain constant communication with relevant UN agencies and foundations to enhance partnership	IPD Manager, Ahmed Mohamed,	December 2016	# of donor meetings attended with UN DFID, EU, SIDA, USAID and others and foundations		Emails, minutes, reports	
	3	Join/subscribe to relevant NGO networks and attend meetings	IPD Manager, Ahmed Mohamed	June 2016	# of forums, networks NAs and region belong to.		Registration documents, minutes, reports	
ETH		Sit in three government led national child focused platforms, networks	Belete, Desalegn, Abeba and workineh	March, 2016	SOSCVI recognition improved as a child focused development organizations   Ethiopia	2,500\$	Meeting minutes reports	
		Sit in 2 UN led child focused platforms/working groups		March, 2016		2,500\$	Meeting minutes reports	

# ANNEX I: SOS in the Region: External and Internal Contextual Analysis

## Global Context for Institutional Funding

Institutional Funding largely refers to resources from governments or other bilateral and multilateral institutions for development and humanitarian needs. In the last 5 years, the development sector has found that most traditional bilateral donors are cutting their budgets. In many cases a higher share of their foreign aid funding is being directed towards the private sector, infrastructure, and growth, which tend not to be the preserve of NGOs. Foreign funding continues to support knowledge sharing, rights-based work, and advocacy, but there may be some decline in funding for social programmes (although this varies widely). Major international NGOs are also experiencing tighter budgets. However, new sources of funding are opening up – individuals who make up the growing affluent classes of the 'South', wealthier governments, growing numbers of charities and philanthropic organisations, and increasing technology-enabled giving from individuals (including diasporas) across the world. The implications, choices and possibilities for NGOs depend in large part on their funding and country context, on their core purpose and mission, and on their institutional flexibility and resilience. As funding types and levels shift, coupled with changes in national income categorization, civil society organizations find themselves needing to re-evaluate their focus, form and function.

In 2014 and now extending into 2015, the donor environment has experienced gradual as well as sharp shifts. Some highlights are presented below:

- ❖ The Official Development Assistance (ODA), commonly referred to as Global Aid, witnessed a 10% real increase in 2013 to reach US\$135.1 billion and remaining steady into 2014. Sub-Saharan Africa continued to receive the greatest proportion of ODA. Funding for fragile states (countries marked by conflict, instability and poor governance), continued; with Egypt receiving the highest disbursements per country (US\$5.5 billion) and in Sub-Saharan Africa, the highest recipient was Ethiopia receiving US\$3.8 billion.
- ❖ The largest providers of ODA in 2013 were the United States (18%); EU Institutions (10%); United Kingdom (7%); Germany (6%); Japan (6%); IDA (5%); France (5%); Saudi Arabia (4%); United Arab Emirates (4%); Norway (3%).

The data here highlights development aid outflows to Africa for 2013. Of the top aid recipients for 2013, 5 of the top 10 recipients are part of the ESAF region.

- ❖ Amongst major donors, there is recognition of the importance of funding civil society as part of a balanced country aid programme, both to promote innovation and to strengthen national civil society's capacity to hold their government to account.
- ❖ Broadly, major donors continued to favor basket funding, competitive tendering as well as consortium and joint partnerships funding, to infuse efficiency in the grant making processes. USAID, UKAID, and EU commonly applied these three approaches.
- ❖ Philanthropic foundations played a strategic role in development cooperation rather than just as financiers. They have greater operating freedom, capacity for innovation and risk-taking, and ability to leverage additional funding. Development experts however advise on use of joint initiatives to help the ODA community and foundations become well acquainted.
- ❖ Further onto Post 2015 Agenda, discussions in various platforms are underway and child advocates including SOS CVI are championing the call for most at risk children, young people and families to be included in the next 20-year global development agenda. Already, the need for universal health care as well as universal primary and secondary educations are an advocacy agenda for many development organizations. Still on post-2015, institutional donors expect to channel more funding directly to

### 2.1. ODA TO AFRICA - SUMMARY

2.1.1. Top 10 ODA receipts by recipient  
USD million, net disbursements in 2013

1	Egypt	5,495	4%
2	Ethiopia	3,815	3%
3	Kenya	2,423	2%
4	Kenya	2,423	2%
5	Democratic Republic of Congo	2,272	2%
6	Rwanda	2,129	2%
7	Mozambique	2,114	2%
8	Algeria	1,962	1%
9	Senegal	1,895	1%
10	Kenya	1,447	1%
	Others (14)	27,272	20%
	<b>Total</b>	<b>85,793</b>	<b>100%</b>

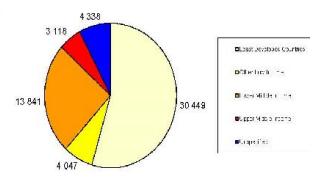
2.1.3. Trends in ODA

	2012	2013	% change
ODA net disbursements (2012 USD million)	51,343	55,940	7.8%
ODA commitments (2012 USD million)	64,989	65,944	1.4%
Population (thousands)	1,081,735	1,109,118	2.5%
Net ODA per capita (USD)	47.5	50.5	—

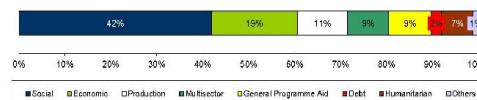
2.1.4. Top 10 ODA donors  
USD million, net disbursements in 2013

1	United States	22,219	26%
2	EU	8,072	10%
3	EJ (Africa)	5,973	7%
4	International Finance	4,714	6%
5	United Kingdom	4,907	6%
6	France	4,310	5%
7	EU (Africa)	3,712	4%
8	Germany	2,299	3%
9	AFRICAN DEVELOPMENT BANK	2,224	3%
10	Japan	2,192	3%
	Others (14)	13,968	16%
	<b>Total</b>	<b>85,793</b>	<b>100%</b>

2.1.4. ODA by income group  
USD million, 2013, net disbursements



2.1.5. Sectors in 2013 commitments



government institutions and agencies. Civil society Organizations (CSO) would need to increasingly partner with governments to tap into these funding baskets.

### **Donor Priorities and Policies**

Bilateral and Multilateral development assistance has enhanced and shifted funding priorities over the past few years. Currently ODA and other public institution funding in sub-Saharan Africa is being channeled through governments, civil society and other non-state actors primarily to social and economic infrastructure with a significant spend on humanitarian aid. Some of the specific sectors that have received new or additional funding include:

- i. Governance – with a focus on good governance, justice, law and order, security
- ii. Support for and rebuilding of Fragile countries – through humanitarian aid, conflict management, security, economic stability, new governance structures
- iii. Climate change, resilience, environmental sustainability
- iv. Linking relief and rehabilitation Development (LRRD)
- v. Education – with a focus on vulnerable groups, children in states in conflict
- vi. Disabilities – for people, especially children, with disabilities.
- vii. Business and Social entrepreneurship for economic growth and poverty eradication.

Institutional funding agencies have established robust funding strategies and plans at global, regional and local levels to guide their engagement with all stakeholders. Both bilateral and multilateral institutions have developed national level strategies for assistance with governments as the main partner. Some have extended these frameworks to address non-state actors, including private sector. Several agencies have defined specific CSO engagement strategies. For instance, the European Commission, being the largest development funding agency, in 2012 adopted country-level CSO Roadmaps intended to clearly outline engagement and funding at country level and provide the basis for joint analysis, programming and funding mechanisms. The EU has also heavily decentralized its funding mechanisms and is setting local level funding priorities.

## **Institutional Funding Trends**

- A. **OECD countries overall aid trends shifting**, as emerging donors like BRICS (Brazil, Russia, India, China and South Africa) expand their aid programmes for developing countries. There was an overall reduction in net Overseas Development Aid (ODA) to sub-Saharan Africa by 2.6% since 2011/12, with 2013 and 2014 seeing slight movement upwards, although with an emphasis on humanitarian funds. More funding is also being channeled through and not to NGOs with a preference for those based in the donor country.
- B. **Harmonised funding Mechanisms or Pooled funding**: As a direct effect of the Paris-initiated Harmonisation and Coordination (HAC) mechanism, donor agencies established sectoral working that led to pooled funding approaches. Pooled funding is seen both in support to governments as well as for funding civil society initiatives, depending on the country scenario. The move towards pooled funding is of particular advantage to donor agencies in reducing transactional and administrative costs. Multi-donor pooled funds for civil society programmes; usually have a lead donor and may be managed through consortia, INGOs, private sector units e.g. KPMG, PWC, programme management units, multi-laterals e.g. UNDP Fund management opportunities are, however, considerably dependent on long-standing or strong relationship building.
- C. **Consortia working**: As a follow-on from the Harmonization and Coordination approach adopted by key bilateral and multilateral funding agencies, several large funding mechanisms encourage or require applicants to work in consortia either formally or loosely structured. This aims to increase effectiveness, better coordination, overall impact, as well as administrative costs. In most countries in the ESAF region, this approach has taken root with all major funders and most INGOs and large national or local CSOs have begun to join like-minded groups through which they may access funding and implement joint programmes. Some agencies have established more structured networks or alliances while others are building on existing alliances to seek to leverage increased funding as well as manage their own limited funding through better coordination and cooperation.
- D. **Public and private sector Partnerships**: The development model of provision of aid to communities in various forms has been undergoing a significant shift with the entry of the business model of development. Governments, development practitioners and business thinkers have begun to reconsider ways in which to address basic needs, the standards and quality of life of citizens through new approaches to long-standing challenges. Public and Private sector Partnerships (PPP) have emerged across the globe to bring together policy makers and business strategists to design long term, economically viable,

- structural options for national development at various levels for growth and poverty reduction. Non-state actors or 'on ground' development agencies, continue to seek effective ways of being part of the discourse and contributing to the agenda – a challenge for most whose strategic direction is yet to recognize and adjust to this shift.
- E. **Focus on southern civil society:** There is greater focus on engaging with southern civil society from all donors, and several bilateral donors are now stating an express purpose to strengthen southern civil society rather than just use northern NGOs and their partners to deliver development outcomes. The multilateral donors, which do not have national ties with northern NGOs (with the exception of the EC) have always focused on working through country offices in the south, and are now moving towards greater emphasis on an agenda setting role for southern civil society. One of the earliest donors to insist on the need to include southern civil society groups in policy development is the European Commission (EC), which has been committed to including a specific role for NSAs in policy development in the Africa, Caribbean, Pacific (ACP) countries since the introduction of the Cotonou agreement in 2000<sup>12</sup>. It has since extended this requirement to all regions<sup>13</sup> and is the furthest in attempting to mainstream the involvement of civil society in development of policy.
- F. **Payment by Results or Cash for Results or Value for Money:** Donor agencies have begun to revisit the way in which they define progress or achievements in development work. Evaluation mechanisms now emphasize the need to demonstrate clear and tangible or measurable results with a focus on impact and outcomes and less on activities. Donor agencies have initiated funding mechanisms that require grant recipients to demonstrate the achievement of pre-agreed results or milestones in order to receive grant payments. The primary proponents of these approaches have been the UK through DFID/UKAID as well as the US through USAID, with other donors following suit. According to DFID, payment by results is defined as a new form of financing that makes payments contingent on the independent verification of results. PBR has three key elements: disbursements tied to the achievement of clearly specified results; recipient discretion where the recipient has space to decide how results are achieved; and robust verification of results as the trigger for disbursement. PBR requires high technical, financial and procurement capacities for design, management and negotiation, in both funders and recipients/ implementers'. Engagement with PBR/CFR funders will, in most cases, require pre-financing or co-financing of projects internally, coupled with a higher risk appetite due to payments being dependent on achievement of results. Planning and risk management must therefore become a strong suit of the organization.
- G. **Business for Development (B4D):** Agencies focusing on the development sector are increasingly making strategic shifts that support a business approach to development issues. Corporations and business thinkers are also taking greater lead in the design and development of innovations that link poverty reduction and service delivery to business models. The calls for 'trade not aid' that have been heard across several global economic and development fora over the last 15 years have been echoed in new business for development programmes. There is an increase in funding opportunities for business development open to entrepreneurs and local companies. Where development projects link with economic approaches, funds for entrepreneurial innovation are becoming more widely available particularly in the areas of agriculture, energy, technology and communication.
- H. **Constant shifts in strategic focus** – Donor agencies have regularly reviewed their funding strategies and focus areas based on changing scenarios, government priorities, domestic policies or global trends. In recent past, we have noted the emergence of 'new priority' sectors such as security and anti-terrorism, climate change, resilience, LGBT rights, among many others. Engaging with donors therefore requires regular contact in order to understand and influence the development and funding agenda.
- I. **Changes in fundraising approaches.** In a powerfully technology-facing world, new modes of fundraising are quickly emerging and metamorphosing to capture the minds and pockets of a largely youthful society. Through the use of digital engagement, social media, agencies and individuals are raising funds for specific causes or organizational initiatives on platforms such as Facebook, Twitter or web-based fund channeling sites like Razoo, Giving Well, Gofundme, Kickstarter etc. Crowdfunding has also spread fast and wide as a means of generating funding for ideas, communities, individuals and other causes. Crowdfunding, or the collection of funds from several individuals 'the crowd' for a particular initiative is particularly popular among techno-savvy youth who are keen to engage via the Web by both sharing ideas or thoughts and making financial contributions.
- J. **M-Development** - the agenda and actions for change are now moving to mobile platforms with agencies adopting innovative ways of engaging and acting using mobile technology e.g. m-health, m-governance, m-education, m-agriculture, etc. In the region, this has already taken off. With these and other trends taking root, funders are keen to support creative use of technology for the delivery of development programmes.
- K. **New interest from the East:** While African civil society and development agencies have typically looked to the West for funding support for development and humanitarian needs, there is significant, growing interest in the continent by Middle East and Far Eastern countries such as Turkey, Qatar, United Arab Emirates, China, among others. The most common entry point



has been seen in providing humanitarian support for emergency relief; however, greater interest is being developed in the way of providing technical support, economic opportunities and new business partnerships for development. Government aid agencies or national foundations from these nations present high funding potential, however, the mechanisms for partnership are notably distinct from the traditional Western approach and require African CSOs as well as government agencies to consider new ways of working in order to benefit from these opportunities.

## Private Donors and Philanthropic Foundations

Within the changing landscape of official donor funding, private philanthropic donors are playing an increasingly important role, working on international development issues through a range of mechanisms: as direct operators, in partnership with governments, and with international NGOs and civil society organisations as grant-givers and partners. This trend is likely to expand, with NGOs and civil society organisations finding themselves working more and more with private philanthropic foundations and trusts. **Private philanthropic donors** include an increasingly diverse range of family foundations and social investment initiatives, including established foundations (Ford or Rockefeller Foundations) or new philanthropic ventures such as those run by Absolute Return for Kids (ARK), Atlantic Philanthropies or the Children's Investment Fund Foundation (CIFF).

Many private foundations have their own long-established presence in the international development field, e.g. the Ford Foundation or the Wellcome Trust; whilst some are more recent, e.g. the Bill and Melinda Gates Foundation or the Sigrid Rausing Trust. However, most foundations and private philanthropic donors focus on giving at a local or national level, and only a limited proportion of total philanthropic giving goes to international development. Research suggests that much of the money from such private philanthropic donors is channeled through NGOs rather than government or multilateral agencies.

### *US Foundations*

US foundations dominate the global foundations' stage, financially, with foundations such as the Gates, Ford, and Rockefeller Foundations possessing the largest assets. In the USA, there were over 76,500 grant-making foundations in 2009; 90% of these are categorised as independent. Nearly two-thirds of the active larger foundations have been established in the past two decades. The top ten foundations in the USA by giving include family foundations like the Bill and Melinda Gates Foundation, the Susan Thompson Buffett Foundation, the Walton Family Foundation, and the Gordon and Betty Moore Foundation. Others in the top ten are corporate foundations like the AstraZeneca Foundation, the Ford Foundation, the GlaxoSmithKline Patient Access Programs Foundation, and the Johnson and Johnson Patient Assistance Foundation. The proportion of giving from US foundations to international development has increased compared to the late 1990s. This is partly due to the growth in international giving from the Gates Foundation, and an increase in the assets of the Gordon and Betty Moore Foundation, as well as a general rise in giving from foundations for international humanitarian disasters. US foundations invest about 20–25% of their spending directly with partners in developing countries. Recent evidence suggests they struggle to find suitable partners in least developed countries, therefore around 45% of US grant giving goes to emerging developing countries like China, India, South Africa or Brazil. Another 20% goes to global programmes like the Global Fund. As a consequence remaining funds are spread unevenly around the world in programmes in least developed countries. It is estimated that two-thirds of the international giving by US-based foundations goes through other US-based organizations, rather than overseas or locally-based organizations. Of the funds that go to non-US organizations, most of this funding goes to Western European organizations or their regional programmes.

### *UK Foundations*

Private foundations in the UK are more diverse, in size and type, than foundations in the USA. There are an estimated 8,800 trusts and foundations in the UK, the top 500 of which spent approximately £3.1 billion in grant-making in 2009–10, up from £2.73 billion in 2004–05. In the UK, foundations currently spend an estimated £292 million on international development (just under half of what the Department for International Development (DFID) spends through NGOs), but they appear to focus a higher proportion of their funding on NGOs and civil society organizations generally than government aid funding does. It is estimated that 5% of total foundation funding from the UK is spent internationally. There is some evidence that those foundations whose funding is on a relatively smaller scale, between £50,000–£1 million annually, may spend up to 100% of their total giving internationally, and are less likely to work in collaboration with other donors; and that most UK foundations focus on their role as grantors, with only a few being directly operational.

The UK's top grant-making foundations for international development, in order of international development grants, are: The Wellcome Trust; Comic Relief; The Children's Investment Fund Foundation UK; The Big Lottery Fund; Absolute Return for Kids; Sigrid Rausing Trust; Sainsbury Family Charitable Trusts; Khodorkovsky Foundation; Shell Foundation; Elton John AIDS Foundation UK.

The most popular sectoral areas for funding were health care and education, while children and youth were the most popular targeted beneficiary groups, followed by women and families, and people with health, disability and special needs.

### ***European Foundations***

Foundations in Europe have been slower in growth and smaller in size than those in the USA, primarily due to the economic disruption caused by the World Wars. The different legal status and types makes it difficult to compare private foundations across Europe, however their main areas of focus are social services, education, and health. Philanthropy in Europe has grown significantly in the last two decades, and the new European Foundation Statute has made it easier for foundations to work more effectively across EU member states. Major European foundations include: Wellcome Trust (UK); Atlantic Philanthropies (Ireland); La Caixa Foundation (Spain); Aga Khan Development Network (Switzerland); Fondazione Monte dei Paschi di Siena (Italy); Fundacion Caja Madrid and Obra Social Caja Madrid (Spain); Fundacion Jimenez Diaz (Spain); Compagnia di San Paolo (Italy); Volkswagen Stiftung (Germany); Fundacao Calouste Gulbenkian (Portugal).

The great majority of European foundations focus on funding local or national projects or organisations, with limited interest in funding international development work. An OECD survey identified some of the following foundations as being active internationally, although they gave little clear definition of what this meant in practice: Fundacion La Caixa; Comagnia di San Paolo; VolkswagenStiftung; Knut och Alice Wallenbergs Stiftelse; GlaxoSmithKline Foundation; Deutsche Bank Foundation; Robert Bosch Stiftung GmbH. EFC data suggest that there is some growing interest by European foundations in international giving. Among the reasons cited for the limited involvement in overseas work were the difficulties in identifying local partners and qualifying beneficiaries, problems of assessing impact or monitoring and evaluating work, as well as difficulties in changing their own mandate.

### ***Private philanthropic donors: characteristics, opportunities and challenges for NGOs***

Private philanthropic donors appear to have a growing presence in international development. Understanding the unique characteristics of private donors is crucial for NGOs to work effectively with them. These donors are extremely diverse, however there are particular characteristics and approaches which are relatively common amongst private donors and which make them different to NGOs in international development. Many philanthropic foundations bring a 'business-like approach' to development, and encourage the use of management techniques and principles imported from the for-profit sector. This approach has been referred to as 'philanthrocapitalism', and to some represents a novel way of addressing international development, intended to bring efficiency, effectiveness, performance goals, and returns on investments (including social returns). There is certainly optimism in some quarters that where traditional aid assistance has seen frustratingly slow progress, new and greater, less restricted financial flows from private actors and public-private partnerships may push development forward. However, these same aspects of foundations that carry positive potential have also given rise to criticism and concerns within the 'traditional' international development community.

Some of the considerations NGOs would need to make in interaction with foundations include:

1. Innovation and Risk Taking
2. Problem solving approaches vs holistic development
3. Overt and inadvertent agenda setting
4. Diversified resources and novel approaches
5. Measuring results and managing resources
6. Accountability and transparency

## Peer Agencies

SOS CV International's operating context features the work and activity of other international NGOs. With regard to focus on institutional funding, four (4) peer agencies were considered in terms of IF income and key activities with the comparison presented below:

Organization	Programme Focus	Annual Income 2014	Institutional donor income 2014	% of funding from public and private sources	Remarks
<b>Oxfam International</b>	<ul style="list-style-type: none"> <li>Active Citizens</li> <li>Advancing gender justice</li> <li>Saving lives, now and in the future</li> <li>Sustainable Food</li> <li>Fair sharing of natural resources</li> <li>Financing for Development &amp; universal essential services</li> </ul>	Stg 389.1 million	Stg 183.6m	46%	DFID PPA – 3%  Primary IF sources – DFID, EU, UN Agencies  Initiated online campaign for donations which less successful than anticipated.
<b>Plan International</b>	<ul style="list-style-type: none"> <li>Early childhood care and development</li> <li>Disaster risk management</li> <li>Education</li> <li>Child participation</li> <li>Economic security</li> <li>Water and Sanitation</li> <li>Child Protection</li> <li>Sexual and Reproductive Health</li> </ul>	Euros 722m	Euros 232m	32%	Some grant sources – USAID, DFID, Global Fund etc.  Established I am a Girl Campaign which has generated both institutional and corporate funding.
<b>ActionAid International</b>	<ul style="list-style-type: none"> <li>Right to Agriculture and natural resources</li> <li>Holding those with power to account</li> <li>Strengthening rights and education of children and young people</li> <li>Protecting rights during conflict and emergencies</li> <li>Securing rights of women and girls</li> </ul>	Euros 229 m	Euros 77.5 m	34%	IF sources included EU, Finland, Australia NORAD, UNDEF
<b>World Vision International</b>	<ul style="list-style-type: none"> <li>VisionFund</li> <li>Humanitarian and Emergency Affairs</li> <li>Sustainable Health – Health and Nutrition, WASH, Food Assistance</li> </ul>	US 2,805 million	US 394m + 566m	34%	Child sponsorship largest income source  Primary grant source – WFP, USAID, Global Fund, Australia, DFID
<b>SOS Children's Villages International</b>	<ul style="list-style-type: none"> <li>Family Based Care</li> <li>Family Strengthening Programmes</li> <li>Education</li> <li>Health</li> <li>Emergency relief</li> </ul>	Euros 1047m	Euros 21m	2%	--

SOS CV remains the lowest recipient of institutional income vis a vis overall income, compared to these peers.