The Baring Foundation

A Decade of the International Development Grants Programme

1). Introduction

The basic purpose and approach of this programme has remained the same since its inception in 2001. This report gives both a narrative account of its development over that period (including a Timeline as Appendix A) as well as looking at patterns of funding. This report concentrates on our funding for sub-Saharan Africa. The Foundation also supports international development work outside the Joint International Development Programme and this is not discussed here.[1]

2). Beginnings and Basic Structure

The Baring Foundation has funded international development since our creation in 1969. It was one of the few funders to give money to Latin America probably stemming from Baring Bros. Bank's strong connections there.

In 2001 it was decided to focus this programme on making larger grants in Latin America and sub-Saharan Africa, with a theme of long-term forced displacement. This was chosen as it was felt to be one of the most important issues facing humanity.

In common with other Baring Foundation programmes, it was agreed to make grants to strengthen voluntary organisations. Capacity building is a term more used in international development than in the domestic voluntary sector. It is usually understood as a technical means to make an organisation more efficient, such as funding improved financial and management systems rather than direct service delivery. The Committee has chosen to interpret this term quite broadly.

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[1] This includes convening ACF's specialist interest group, the *Going Global* publications, Wilton Park conferences, the Special Initiative on African Diaspora – African Development in partnership with Comic Relief, a Mission Connected Investment in Africa and a grant to the Charity Commission to work on regulation in South Africa.

Grants are given annually to partnerships between UK registered international NGOs and African NGOs or Community Based Organisations (CBOs). We have increasingly considered the strength and quality of these partnerships as crucial.

Grant giving has an open, annual, two stage process with clear, published guidelines. Expert, freelance advisers, Dr John Twigg and Dr Tina Wallace have supported this process throughout the decade. Usually around 40-50 first stage applications are shortlisted down to eight candidates for interview at the second stage. A field representative is strongly encouraged to attend the second stage and grants are given to unsuccessful applicants to cover their costs.

Grants are for up to five years and £250,000. Applicants need to have a turnover above £150,000 and under £15 million including for federated organisations. The total available is £1 million per year of which £334,000 comes from the John Ellerman Foundation.

3). Our Partnership with the John Ellerman Foundation

In 2003, Nicholas Baring, then Chair of both the Baring Foundation and its International Development Committee, initiated discussions with the Chair of the John Ellerman Foundation which also funds in sub-Saharan Africa. The argument used was that the Baring Foundation's model for giving grants had spare capacity which could use John Ellerman funds without incurring additional overheads which would continue to be borne by the Baring Foundation. With great modesty, the John Ellerman Foundation decided that our way of giving grants in this area was superior to their own approach at that time and joined forces with us.

In 2004 this arrangement took effect, with two John Ellerman trustees and its Director joining in all decisions made by the Committee, which was renamed the Joint International Development Committee. The exception was grants to Latin America which were not possible for the John Ellerman Foundation. In 2006, for a variety of reasons we ceased to fund in Latin America.

The partnership is governed by a Memorandum of Understanding which is annually agreed by both Foundations. Since 2004 the programme has been refined and evolved by mutual agreement.

The Baring Foundation organises and pays for the assessment of applications, administration and monitoring of grants.

4). Monitoring, Evaluation and Learning

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<u>Theory of Change Model for Programme</u>

<u>Long-term Goal</u>
To meet the needs of refugees and Internally Displaced People (IDPs) in sub-Saharan Africa

<u>Assumptions</u>
That forced migration in Africa is one of the most important needs in international development. That refugees in Africa have multiple needs many of which can be best met by an effective response by local civil society aided by UK based INGOs

<u>Intervention</u>
Grants to UK registered INGOs to capacity build African CBOs and NGOs to respond to the needs of refugees and IDPs.

<u>Success Indicators</u>
Achievement of goals set in individual grants.

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Inception meetings take place between an Adviser and each grantee to agree the evaluation process.

Each grantee gives an annual written report which is analysed by an Adviser and reported to trustees of both Foundations.

External, independent evaluations are required of all grantees and are published on the Baring Foundation website. Five per cent of the grant should be spent on this, so around £50,000 each year.

Trustees will visit the UK partner once in the lifetime of each grant and submit a written report.

Since 2007 an annual field trip is made to monitor work, by a combination of staff, advisers and trustees. It has not been possible to visit all grants in the field due to a combination of time, cost and security issues. Written reports of the trips are given to trustees of both Foundations.

In 2005, a London seminar for all grantees was organised by David Cutler and John Twigg. In 2010 a four day workshop for all grantees was organised in Entebbe by Tim Glass and Tina Wallace. A report of the workshop is on the Foundation's website.

The Baring Foundation hosts an annual afternoon seminar with all current grantees exploring areas of mutual interest.

Material from the London 2004 seminar was published as *Filling Gaps and Making Spaces* edited by John Twigg.

<u>Lessons from Grants Given 2001-3</u>

The London 2004 seminar was organised around three interlinked issues.

1). Building capacity where civil society has broken down

Civil society is very diverse and in a sense never breaks down even during prolonged conflict as people will always act collectively in pursuit of common aims. CBOs and NGOs largely wanted capacity building in quite basic skills. Education is a 'portable resource' when being forced to move is common, for instance support for literacy is highly valued. But the lack of adequate facilities and materials is a severe handicap for groups. Financial sustainability is easier said than done and donors need to be in it for the long haul.

2). The role of NGOs where government is weak

All the projects interacted with government to some extent, even if that was only a need to be tolerated in order to exist. In some areas, voluntary organisations have taken on what would be seen as the role of the state in Western countries, for instance teacher training. Civil society may have a special role to play when it comes to dealing with the psychological consequences of conflict. Governments often welcome these interventions and corruption was only mentioned a couple of times while weak capacity seemed more significant.

3). Advocacy or engagement at grassroots?

Both! Even the most local projects are in some way responding to more general needs. Agencies tend to be sophisticated and acutely aware of this. Boundaries between implementation and advocacy are fluid. The best organisations are very adept at this, though advocacy can create

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friction with government, even leading to physical threats. Indeed it can be an especially dangerous moment when the political space for civil society begins to expand. Regional advocacy can reduce this pressure. There are numerous roles for international NGOs in supporting this.

Source: *Filling Gaps and Making Spaces: Strengthening Civil Society in Unstable Situation*s, edited by John Twigg, Baring Foundation, 2005.

John Twigg also reviewed 12 completed grant evaluations in *Sitting On Chairs: Observations on Capacity Building in Developing Countries*. This was published in 2009 and its recommendations are appended at B. In 2011 Tina Wallace has been commissioned to write a publication on the principles and benefits of our grantmaking approach based on interviews.

5). Analysis

5.1). General

This is merely a top level analysis looking for broad patterns and with arguable interpretations of some categories. It has only looked at the grants that we have made rather than comparing this with the applications that we have received. It does not look at African partners or attempt an impact analysis.

For the purposes of this section I am concentrating on grants made to Africa, hence excluding the 4 grants made by the Baring Foundation alone for work in Latin America. I am also choosing to exclude the grant made to Education Action in 2001 which was mainly spent on developing the organisation in the UK rather than work overseas.

This leaves a total of 38 grants under analysis of which nine are still active. They are all listed at Appendix C. This amounts to a commitment of around £5million by the Baring Foundation with a total of around £7 million by both Foundations. (The Programme total is higher as there have been 4 grants to Latin America too).

5.2). Countries

There are 54 countries in sub-Saharan Africa. We have made grants for work in half of them – 27, a remarkably dispersed portfolio.

Out of the 38 grants for work in Africa, 31 were for work in a single country and seven were for multi - country projects. We have favoured single country applications in recent years.

Single Country grants

Uganda – 6
South Sudan – 5 (slightly misleading, as Skills for Southern Sudan, in effect, got an extension to their first grant)
DRC - 3
Tanzania - 3
Ethiopia - 2
Kenya - 3
Angola - 1
Ghana - 1
Mauritania - 1
Mozambique - 1
Chad - 1
Somalia - 1
Somaliland - 1
Sudan - 1
Zimbabwe - 1

Although this count reduces our portfolio to work in 15 countries with six countries getting more than one grant, it still remains a very broad reach. A point that Tim Glass has made on many occasions with his maps! However, there is an obvious concentration of grants in East Africa/ Great Lakes. The recent cluster of grantees in Uganda is a phenomenon also noticed by Comic Relief.

When multi-country grants are added, a similar picture remains. However, a series of 12 countries only have very minor exposure to grants usually as members of networks: Guinea, Niger, Togo, Burkina Faso, Cameroon, Gabon, Congo, Rwanda, Ivory Coast, Liberia, Burundi, Rwanda.

Geography is obviously chiefly effected by changes in the distribution of displacement, such as the recent post election disturbances in Kenya and the crisis in the Ivory Coast. Former colonial ties are also important so we are mainly funding in Anglophone countries

5.3). Whom do we fund as the UK partner?

In 2007 we introduced income criteria for applicants of between £150k and £15 million turnover including for federated organisations. Most successful applicants are either diaspora groups or specialist small or medium sized organisations.

Diaspora: Akina Mama wa Afrika; Busoga; PENHA; Skills for Southern Sudan (two); South Sudan Women's Concern (2); Tigray Development Association UK; Trust for Africa's Orphans (UWESO). (Nine of the 38 grants).

Specialist: Africa Educational Trust; AfriKids; Anti Slavery International (2); Article 19; Camfed; Children in Crisis (2); Coalition to Stop the Use of Child Soldiers; Consortium for Street Children; Disability and Development Partners; Gorilla Organisation; Homelessness International; Homeless World Cup Foundation; Link Community Development; Minority Rights Group; Motivation Charitable Trust; Peace Direct; Rainforest Foundation; Send A Cow; St Matthew's Children's Fund; Transform Africa; Village AiD. (24 of the 38 grants).

5.4). Beneficiaries

Grants can be categorised thus:
- Children/youth – 13, including, three projects for girls, two for child soldiers, two for women and children, one for street children, one for 'youth';
- Women - nine, including two for women/children;
- Other people – 16, including three for indigenous people, one for disabled people and one for pastoralists.

5.5). Location

We do not have a standard classification, other by country.
- National or International - five
- Rural and urban - 17
- Rural - seven
- Urban - four
- Refugee camps - four.

5.6). Activity

This is the hardest category of all to categorise beyond that all the grants should be capacity building African partners. Grants will frequently be a variety of approaches. Refugees and Internally Displaced People have all the needs of any other part of humanity, but generally more intensely.

Here is simply my attempt to list some of them without quantification; educational improvement; advocacy and legislative change and challenge; rights including land rights and the rights of women, children and disabled people; community development and reintegration; livelihood development and micro-finance; sport; housing.

6). Conclusion

This has been a short piece of work to put on record the history of our approach and some of the more obvious patterns that have resulted. The overall conclusion is a simple one – we have funded a highly diverse portfolio. By and large we have not had favoured countries, applicant organisations or approaches, but we have tried to judge each application on its merits.

By retaining a theme and approach for a decade it is to be hoped that our judgement on what makes for an effective grant has matured and improved. Certainly we have sought to be an engaged funder while also being flexible with an appreciation that this work is taking place in some of the most difficult conditions in the world. Funding for capacity building remains scarce and this has meant that we have had a constant supply of high quality bids even while funding overall for international development has increased.

Finally, it has been a great privilege for everyone involved in both Foundations to be able to support through grants and other means such inspiring and vital work by our partners.

2011

David Cutler

TIMELINE

<u>2001</u>
Start of Programme

<u>2004</u>
Start of the collaboration with the John Ellerman Foundation

<u>2005</u>
London seminar for African partners
Filling Gaps – Making Spaces publication
Exclusion of Latin American applications

<u>2006</u>
Annual seminars for UK partners begun
Income criteria introduced for applications
Sierra Leone Field Trip

<u>2007</u>
Independent Review of the programme by Trish Silkin
South Sudan field trip
Joint pot increased to £1 million

<u>2008</u>
Inception meetings begun
Uganda field trip
Strategy Review of Theme

<u>2009</u>
Sitting on Chairs publication
Tanzania field trip

<u>2010</u>
Entebbe Workshop

Sitting on Chairs: Observations on Capacity Building in Developing Countries

Recommendations

The following recommendations are directed principally at International NGOs in their work of building the capacity of civil society organisations in developing counties. They may also help to guide funding decisions.

1. Commit to the long term (five years and more). Capacity building is ongoing and does not fit easily into fixed-term project cycles. One-off interventions are unlikely to have lasting benefits. Organisations need time and nurture to become fully independent, effective and resilient especially in challenging environments.

2. Be clear about a project's aims and emphasis. A focus on organisational capacity building is different from implementing a technical project with organisational development elements and it needs to be viewed differently. Technical assistance activities should not be allowed to dominate the core capacity-building needs of local partners.

3. Keep the big picture in sight. Over-emphasis on human capacity development can lead to overlooking institutional development issues.

4. Look for opportunities to stimulate change processes in local partner organisations rather than necessarily seeking to direct them. Even small developments may generate significant, and unplanned, multiplier effects.

5. Aim for greater autonomy of partners at all levels but be realistic about the challenges to achieving this and the likely sources of resistance within and beyond your organisation to shifts in the balance of power and control. Empowerment processes should be transparent and articulated clearly, at all levels.

6. Put the quality of relationships with local partners at the centre of capacity-building support. This includes staff making strong inter-personal connections as well as more formal mechanisms of accountability and transparency. Taking a consultative approach

makes local partners feel genuinely involved in project decisions, development and review.

7. Give local partners a stronger voice by helping them to make contacts with international agencies and forums.

8. Understand the scale of the difficulty faced by local CSOs in achieving financial sustainability in challenging funding contexts. A more strategic and co-ordinated approach is needed to this problem.

9. Ensure that skills training programmes target whole organisations. Where only a few individuals benefit, it is unlikely that skills will be shared widely and they may be lost to the organisation through staff turnover.

10. Approach training as a long-term educational process, not a one-off event. This is essential to make skills and understanding really stick.

11. Make full use of study or exchange visits to other organisations and groups. This is a highly effective means of peer-to-peer sharing of knowledge and experience in a range of practical matters.

12. Be aware that low literacy levels present a major barrier to creation and administration of groups and organisations. Functional literacy teaching may be essential to underpin a capacity-building initiative. Appropriate targeting and delivery of courses requires skill, planning and persistence.

13. Adopt a networking mentality, seeking opportunities for collective action. Whether formal or loosely structured, networking is effective in bringing different organisations and groups together to tackle common problems.

14. Consider more focused evaluations to provide real insights into the nature and processes of building organisational capacity, instead of conventional broad-brush reviews of projects' progress.

15. In project planning, be realistic about the operational difficulties likely to be encountered and their implications for delivering project targets.

16. Address your own strategic capacity-building and organisational development needs. Make full use of funding that is available for this.

17. Reflect seriously – and openly – on the 'added value' that your organisation brings to projects and local organisations in the South.

The Baring Foundation

International Development Grants 2001 to 2010

Organisation Name	Grant Amount	Year Grant Approved	Area	Description
Pastoral and Environmental Network in the Horn of Africa (PENHA)	238,948	2001	Somaliland	The project will establish non-governmental organisations and community-based organisations that will support pastoralists, give them training in organisational and project management, and build their capacity and confidence to take part in policy discussions. It will give training to some 200 pastoralists, help them to set up and register organisations (including a pastoralist women's organisation), equip a resource centre and support small-scale development projects.
South Sudan Women Concern	239,850	2001	Southern Sudan	This three-year project will provide grants, training resources and materials to enable 20 groups of displaced women in Southern Sudan to build their organisational capacity. It will also improve the capacity of South Sudan Women Concern and other local partners to support this process.

ICA UK	138,565	2002	Tanzania	Towards building the capacity of ICA Tanzania to expand its involvement with displaced people and migrant communities. It will also develop the capacity of 20 local groups from amongst the (predominantly) Maasai and Waarusha peoples in Kisongo and Manyara Divisions, Monduli District, Tanzania.
Tigray Development Association UK	221,000	2002	Ethiopia.	To promote conflict resolution as an essential strand running through development initiatives with displaced people in the region through the establishment of a Conflict Resolution Unit within TDA International.
Anti-Slavery International	164,358	2003	Ghana Guinea Niger Togo Burkina Faso Gabon	To establish a permanent network of NGOs in West Africa working on the issue of child trafficking.
Disability and Development Partners	156,000	2003	Angola	To strengthen the capacity of a local partner in Angola and enhance its capacity to respond to the needs of internally displaced people with disabilities, and their families.
Rainforest Foundation UK	185,000	2003	Cameroon Congo Democratic Republic of Congo	To increase the capacity of organisations in Cameroon, Congo and the Democratic Republic of Congo to address the problems of displaced forest people through policy and advocacy work.

Gorilla Organization	57,143	2004	Rwanda The Democratic Republic of Congo	Capacity-building of indigenous peoples' organisations in Rwanda and the Democratic Republic of Congo to enhance their socio-economic conditions and assert their rights.
Practical Action	135,187	2004	Mozambique	Building the capacity of NGOs and CBOs to implement decentralised infrastructure interventions to improve the lives of flood-displaced communities in Mozambique.
UNICEF UK	115,367	2004	Southern Sudan	A comprehensive support programme for the reintegration into the community of child soldiers in Southern Sudan.
Coalition to Stop the Use of Child Soldiers	148,128	2005	Guinée Cote d'Ivoire	To establish and support a network of organisations in Guinée and Cote d'Ivoire seeking to stop the use of child soldiers and support regeneration of former child soldiers into society.
Oxfam GB	30,938	2005	Sudan.	Towards providing livelihood and educational opportunities to displaced women in shanty towns around Port Sudan.
South Sudan Women Concern	71,425	2005	Southern Sudan	Towards capacity building of 30 groups of displaced women in Southern Sudan and provision of support to former child soldiers.
Transform Africa	30,938	2005	Sierra Leone	Towards assistance to build the capacities of NGOs and CBOs in Sierra Leone to support the long-term integration of former refugees and displaced people.
Village AiD	92,143	2005	Sierra Leone Ghana	To support partner organisations in Ghana and Sierra Leone working with displaced and excluded young people.

Africa Educational Trust	176,711	2006	Somalia	To reduce illiteracy and poverty amongst displaced women, children and young people living in camps for internally displaced people in Somalia by building their communities' capacity to identify and address their education and training needs.
Children in Crisis	169,377	2006	Democratic Republic of Congo	The project will train 300 primary school teachers and support local NGOs and community groups in delivering educational services in an isolated part of the Democratic Republic of Congo.
Consortium for Street Children (CSC)	56,000	2006	Tanzania Zimbabwe	Working with NGO, government and CBO partners in Tanzania and Zimbabwe. The project seeks to prevent children from moving onto the streets and reintegrate those who are already there into society.
Skills for Southern Sudan	121,512	2006	Southern Sudan	The project will train local consultants in Southern Sudan who will go on to train CBOs in a range of skills needed to establish themselves as organisations.
Motivation Charitable Trust	175,000	2007	Uganda	The project will promote the inclusion of disabled people in programmes designed by mainstream NGOs and CBOs in Uganda.
One World Action	150,500	2007	Tanzania	The project seeks to strengthen the capacity of refugee communities in Tanzania to respond to sexual and gender-based violence.

Trust for Africa's Orphans	147,000	2007	Uganda	This project aims to assist widows and orphans in Uganda in securing their rights to their husbands' and fathers' land. It comprises paralegal and advocacy training, awareness raising and information dissemination.
World Association of Girl Guides and Girl Scouts	52,500	2007	Republic of Chad	The project will develop and deliver training programmes in life skills, 'non-formal education' and entrepreneurship to refugees and displaced girls and young women in one refugee camp in the Republic of Chad. To recruit and train volunteer guide leaders, and increase girls' access to guiding and scouting services and activities.
Akina Mama Wa Afrika	152,330	2008	Guinea, Sierra Leone, Liberia, Democratic Republic of Congo, Rwanda, Burundi, Kenya, Uganda, Tanzania	To raise awareness and to build the capacity of women led organisations to enhance services for displaced people in Guinea, Sierra Leone, Liberia, Democratic Republic of Congo, Rwanda, Burundi, Kenya, Uganda and Tanzania. To promote networking between them to encourage lesson-learning and information sharing.
Camfed International	155,410	2008	Zimbabwe	To promote the ability of people in Zimbabwe displaced by long-term forced migration to access education for girls and participate in its provision and to provide support for school leavers to transition to safe livelihoods.

Minority Rights Group International	166,675	2008	Kenya	To develop appropriate remedies to address the forced migration of Endorois community in Kenya, including building local capacity to represent their interests and to enable them to engage with Kenya government over the African Charter on Human Rights.
Peace Direct	115,247	2008	Democratic Republic of Congo	To work with a local partner to find ways to provide security for IDPs, assist them to return home, minimise the risk of further conflict through the demobilisation of militia and work with communities in the Democratic Republic of Congo.
Send a Cow UK	39,374	2008	Uganda	To develop management information systems piloted in Uganda.
AfriKids	166,050	2009	Ghana	Capacity building of AfriKids Ghana and local partners to prevent north-south migration in Ghana, including direct resettlement and rehabilitation of displaced children.
Anti-Slavery International	166,675	2009	Mauritania	To enable local partners in Mauritania to bring together different groups of displaced migrants in constructive problem solving dialogue, while also advocating for their rights.
Link Community Development	165,784	2009	Uganda	To improve the standard of education for children affected by conflict and support the resettlement of displaced communities in Katakwi, Uganda.
St Matthew's Children's Fund Ethiopia	118,096	2009	Ethiopia	To develop the capacity of the displaced Negede Woitto community in Ethiopia to develop social

				and economic programmes and advocate for their rights.
Skills for Southern Sudan	36,274	2009	Southern Sudan	To extend the work of strengthening the community based organisations in Lakes States to take positive action in improving girls' access and attainment in basic education.
ARTICLE 19: Global Campaign for Free Expression	163,912	2010	Kenya	Empowering IDPs in 4 Provinces in Kenyato claim their 'right to know' with a view to ensure their social protection and achieve crucial rights.
Busoga Association UK	126,513	2010	Uganda	Tackling systemic issues such as lack of access to education, healthcare, changing societal and women's vulnerability to poverty in Uganda.
Homeless International	166,078	2010	Tanzania	The strengthening of Tanzanian organisations to develop a relocation project for evicted slum dwellers and set a precedent.
Children in Crisis	165,571	2010	Democratic Republic of Congo	Training teachers in South Kivu, Democratic Republic of Congo and developing the capacity of Eben Ezer Ministries.
Homeless World Cup Foundation	39,926	2010	Uganda	Creating sustainable futures through sport and social enterprise for displaced women whose lives have been destroyed by Uganda's civil war.