ASIA
PHILANTHROPY
CIRCLE

Going beyond Charity

How can Government and Philanthropy collaborate more effectively?

Green Paper on
Effective Public-Philanthropic Collaboration
in ASEAN

asiaphilanthropycircle.org

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Definitions and Acronyms

APC – Asia Philanthropy Circle

APD – ASEAN Philanthropy Dialogue

ASEAN – Association of Southeast Asian Nations

PPC – Public-Philanthropic Collaboration

PPP – Public-Private Partnership

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GREEN PAPER ON EFFECTIVE PPC IN ASEAN

Executive Summary

Social problems are becoming more complex. ASEAN Governments are trying their best to address them but would benefit from some support. With rising incomes across ASEAN, wealth holders are able to assist through sharing their abundance via philanthropy. More than just financial capital, these private funders can also use their human, intellectual and social capital to contribute to problem-solving. For these individuals and their organisations to contribute even more effectively to social outcomes, they can come together with the public sector organisations to align goals, recognise each other's unique strengths and leverage the collective intelligence and capacity. Yet public-philanthropic collaboration (PPC) is often too rare.

This Green Paper hence is a first attempt to draw attention to the benefits of governments and philanthropists working together for social good. It examines the current public-philanthropic landscape in the ASEAN region and suggests practical ways that governments and philanthropists can work together.

It is important to emphasise that there is no one right way of collaborating, and there are multiple levels of engagement between the private funders and government – from the informal to the formal, from low degrees to high degrees of alignment, and from mere coordination to joint implementation. Any type of collaboration should be regarded as a positive output and the appropriateness of each depends on the specific context. What is critical though is that time and effort is taken to engage and understand each other more deeply.

The respective public and philanthropic worlds face fundamentally different conditions, and this affects the way priorities are set, decisions are made, and attitudes towards risk and control. Appreciating the differences is an important step towards discovering opportunities and managing expectations of cooperative arrangements. This paper also features case studies on PPCs in diverse sectors and regions. These cases show that effective PPCs typically demonstrate some, if not all, of the following elements:

» a shift in mindset towards greater alignment of agenda and objectives,

» greater interaction between the government and the philanthropy sectors,

» policies and regulatory changes to encourage greater philanthropy,

» effective models of delivery and

» a supporting philanthropy infrastructure.

Finally, this paper hopes to stimulate dialogue and discussion between governments and philanthropists at the inaugural ASEAN Philanthropy Dialogue with a few suggested actionable ideas to advance PPCs in the near to long term.

These include:

Continue structured and participatory dialogue platforms

Explore opportunities to collaborate in various areas of philanthropic interests

Document and share learning points

Develop a conducive fiscal structure for philanthropy

Provide clear guides on cross-border giving

Appoint dedicated in-country liaison departments or office for matters relating to philanthropy

The immediate priority would simply be to continue communicating and sharing. This can only build trust and understanding, and over time surface new possibilities.

GREEN PAPER ON EFFECTIVE PPC IN ASEAN

Setting the Stage

Introduction to this Green Paper

This Green Paper provides an overview of the current public-philanthropic landscape and points out possible courses of action to advance greater and more effective public-philanthropic collaboration (PPC) in the ASEAN region. It serves to stimulate dialogue and discussion at the inaugural ASEAN Philanthropy Dialogue (APD) and provides a useful reference for governments and philanthropists as they explore ways to work together to achieve greater impact for the benefit of social good.

Desired outcomes of the Asean Philanthropy Dialogue

Through this Dialogue, APC hopes to:

» Showcase the role and benefits of philanthropy in helping government agencies address social challenges, with specific examples from APC projects and models, and APC member experiences

» Explore potential for philanthropy to partner government to initiate social impact projects.

» Consider having an annual ASEAN dialogue for ongoing discussions on philanthropy in ASEAN

General Overview of Public-Philanthropic Collaboration

What is public-philanthropic collaboration?

What is its relevance to achieve greater impact for society?

In the last few years, there has been a growing appreciation of the respective strengths of each sector in achieving greater outcomes, and a budding interest on the part of governments and philanthropic community to work together[1]. PPCs involve a broad range of stakeholders in solving multi-faceted social issues and are distinct from the more familiar public-private partnerships (PPPs), which are typically narrowly focused on initiatives between government and private organisations to deliver particular services or benefits. A greater clarity of the nature of the PPCs can strengthen the participation and implementation of PPCs to achieve greater societal impact.

One framework (***seen in Diagram 1***) shows how PPCs can be organised along a continuum based on the degree of engagement in the collaboration between governments and the philanthropy sector. In order of increasing engagement, the relationships range from one of basic general awareness to more complex, intertwined collaborations involving shared decision-making and consensus on common goals. The nature of the PPC can be further distinguished by the alignment of goals across the two sectors, the level of formality within the collaboration, the extent of resource pooling and the decision-making process, among other structural details.

While there is promise of wider and more sustained impact when PPCs are anchored by common goals, all types of collaborations along the continuum have value. Under different circumstances, lower degrees of engagement can be more relevant or appropriate than others, or may simply be a more realistic level to start.

1 Examples include: (i) the European Venture Philanthropy Association (EVPA), a community of organisations interested in or practising venture philanthropy and social investment across Europe, working closely with the European Commission to promote social enterprise finance. See: https://evpa.eu.com/about-us/european-commission-partnership, (ii) Network of Foundations Working for Development (netFWD), a global network of foundations committed to optimising the impact of philanthropy for development, launched by the OECD Development Centre in October 2012. netFWD spans five continents and brings together foundations and associate organisations from over 15 different countries. See: https://www.oecd.org/site/netfwd/whoweare.htm

With greater clarity on mutual expectations or better alignment of expectations across the stakeholders in a given PPC, the PPC would be better positioned to deliver its intended impact and minimise barriers that may inhibit progress.

Diagram 1: Continuum of degree of engagement in collaborations[2]

Activities / ***Nature of interaction***	***Awareness***	***Info sharing***	***Outsourced technical assistance***	***Facilitator / intermediary role***	***Co-implementation***
	Who is out there? What are they doing?	*This is what and how we are doing on this issue. What are you doing on this particular issue?*	*How can we leverage on each other's strengths and expertise to accomplish our individual goals?*	*Here are some ideas and resources we have on this issue. See if they help accomplish your goals?*	*How can we solve this issue together with our shared resources i.e. financial and human resources? What are our common goals?*
Alignment of goals *i.E. to what extent are the goals of the different parties in agreement*	Nil to low	Low to mid	Mid	Mid to high	High
Level of formality *i.e. to what extent are the roles in the partnership defined*	Low	Low	Varies: Low to mid	Varies: Mid to high	High
Resource pooling *i.e. to what extent are the resources shared for: Financial Human Resources*	Financial: Nil HR: Nil	Financial: Low HR: Low	FInancial: Mid HR: Low to mid	Financial: Mid HR: Mid	Financial: High HR: High
Decision making process	Independent	Independent	Consultative, taking in feedback from each other	Consultative and collaborative	Consensus

(Increasing) degree of engagement in collaborations

2 The Center on Philanthropy & Public Policy, University of Southern California. (2012). Philanthropy and Government Working Together: The Role of Offices of Strategic Partnerships in Public Problem Solving

APC's Hypothesis: Strategic and Collaborative Philanthropy

Intentional collaboration can generate significant benefits for both government and philanthropists. It harnesses the collective intelligence and capacity of the community to solve social problems.

APC, as a membership platform of Asian philanthropists, endeavours to catalyse and accelerate the public good in Asia by promoting and supporting leadership and collaboration for joint action.

With rising incomes across ASEAN, there is an even greater imperative amongst wealth holders to re-distribute this wealth through philanthropy and other social investments. While engagement takes time and effort, the long-term benefits of learning, discovery and mutual inspiration from involving one another in addressing increasingly complex social issues are invaluable.

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Public-Philanthropic Collaboration in ASEAN

Situation of Public-Philanthropic Collaboration in ASEAN

Philanthropy is not new in the ASEAN region. The region's philanthropic focus closely mirrors that of the broader Asia region, where the bulk of charitable giving is directed towards education, followed by poverty alleviation, health and disaster relief[3]. In the past decade, rapid economic growth in ASEAN, averaging at 5% real GDP growth per annum[4] since 2000, has resulted in the emergence of a new middle and affluent class, which has contributed to a steady growth in philanthropic giving.

The giving trends are also evolving. Traditionally in Asian philanthropy, private value is a key motivator in directing philanthropy. Private value drivers include affiliation with one's community, country of birth, ethnicity, religion and past experiences. Increasingly amongst newer philanthropists, the public value of philanthropy has emerged as a key motivator, with a greater focus on areas in genuine need and social impact. Philanthropists are recognising the need to be "more strategic in [their] focus, collaborative in orientation and more professional in [their] conduct"[5].

Yet despite the potential, the idea of governments and philanthropic organisations coming together to achieve significant social impact is still a nascent one. On each side, there is hesitation in engaging the other sector. This may be due to a general lack of understanding of each other's distinct strengths and modus operandi in addressing similar social issues, and a lack of positive examples.

Moving forward, philanthropists and governments alike in ASEAN can do more to build trust and experiment with ways to work together[6]. Successful examples can then be positively highlighted and, over time, more structured processes or platforms can be created to institutionalise collaboration.

In navigating towards a collaborative culture, it is important to recognise that there cannot be a one-size-fits-all approach to working together in a region as diverse as ASEAN. Philanthropists and governments alike will have to contextualise the broader development of trends across the region to their unique realities in designing and delivering solutions.

3 UBS (2011). "UBS-INSEAD Study on Family Philanthropy in Asia" Source: https://uhnw-greatwealth.ubs.com/media/7454/ubs-philanthropy-insead-study-2011.pdf

4 HV, V., Thompson, F, and Tonby, O. (2014)"Understanding ASEAN: Seven things you need to know" McKinsey & Company. Source: https://www.mckinsey.com/industries/public-sector/our-insights/understanding-asean-seven-things-you-need-to-know

5 UBS (2011). "UBS-INSEAD Study on Family Philanthropy in Asia"

6 A good example is the creation of the Malaysian Collective Impact Initiative (MCII) in 2015, an NGO aligned to the Malaysian national education initiative, MCII brings together the community and stakeholders across sectors to improve education outcomes in literacy development and career aspirations in Klang, Malaysia. See: https://mcii.org.my/

As a first step, it would be useful to understand some of the typical world views of governments and philanthropists, and their common perceptions of each other (*see Table 2*).

Table 2: Typical world views of philanthropy and governments[7]

Philanthropy's	World view on…	Government's
Autonomy in setting goals Relatively straightforward, in line with respective missions	**Agenda setting and priorities**	Limited autonomy Complex; has to consider a wide range of other issues, e.g. political agenda
Able to exercise a certain amount of flexibility	**Time frames for decision making and processes**	Annual budget cycles to adhere to; Shorter term timeframe
Freedom to experiment with new ideas and innovative solutions	**Responsiveness**	Prefer to focus on established interventions
Governments are complex and hierarchical; difficult to identify relevant department/right people to deal with issues	**Each other i.e. Philanthropy's view of government and vice versa**	Philanthropists are narrowly focused and do not have broader national interests at heart
Loss of reputation Failure to scale or exit	**Concerns**	Loss of control or failure to achieve mandate

7 Grantcraft (2010). "Working with Government – Guidance for Grantmakers". Framework is adapted for Asia.

Public-Philanthropic Collaboration: Your Reality, Theirs and Ours.

While containing elements of reality, these world views can reinforce stereotypes and discourage joint action. The better alternative is to empathise with each other's context and leverage on the special strengths of each. Acknowledging these differences in *raisons d'etres*, priorities and processes is important in initiating and sustaining the PPC, as it helps to align expectations about working together.

Agenda setting and priorities

Governments have multiple stakeholders to consider as they weigh multiple policy interests before deciding on whom to benefit and how to benefit them. There are statutory and other legal and political constraints faced by governments[8]. In contrast, philanthropists have greater autonomy in framing their scope and setting agendas, and hence can take a more ambitious, flexible and longer-term view, whereas governments often prefer to direct resources to more established interventions.

Once a government programme is adopted, it can be difficult to withdraw it without political cost. This awareness is helpful in recognising that even when there are common interests, there can be different levels of involvement between governments and philanthropy, at different stages of the policy cycle or with different levels of prior experience.

Timeframes for decision making and processes

Governments' work-plans tend to be sensitive to annual budget cycles as well as electoral cycles, whereas philanthropic organisations typically have greater flexibility, given the relatively fewer stakeholders these entities need to account to. It is important for philanthropists to be patient and take steps to be prepared. For example, philanthropists can factor in discussion on potential delays as part of their periodic timeline reviews and prepare their resources for deployment in the lead up to obtaining, where needed, the relevant regulatory go-ahead from the government.

Responsiveness

Governments work on high-level national agendas, which require multiple inputs and the necessary internal approval processes, before decisions are made and implemented. This is especially for new, innovative approaches that differ from established ones. Rather than imposing the respective strategies, processes and procedures on each other, there can be a complementary arrangement where philanthropy takes the lead in piloting new, innovative ideas, and then partner with governments to scale once the proof of concept is established.

Understanding of each other

Governments and philanthropists can do more to break through stereotypes and improve their understanding of how each other work. The reality is that there are often shared interests between the two sectors, and there exists diversity archetypes of philanthropic organisations as well as government departments. It can be helpful to be more proactive in engaging each other to understand their respective motivations and strategies. Regular dialogue, keeping an open mind and trust-building are critical for effective collaboration.

8 Ibid.

Role of Philanthropy in Cross-Sector Interactions

With philanthropy on the rise, philanthropists can contribute to governments' efforts in meeting vast public sector needs and interests. In engaging each other, it is helpful to be aware of the different possible relationships ranging from cooperative to catalytic[9]. Broadly, there are three distinct roles[10] one can identify:

1 Supplement: Governments have the tendency of looking towards foundations or philanthropists as "gap-fillers" when there is a shortage of budget in implementing a government programme to address a social need. This leads to a situation where foundations or philanthropists are seen as purely providers of cash resources in PPCs.

2 Complement: Foundations and philanthropists can work either alongside or in concert with government to take on specific roles and perform specific functions that the government would like executed but, for various reasons, is not yet implementing. The possible functions include: (i) developing and investing in pilot programmes, with or without formal collaboration with government, (ii) providing expertise to help enhance proven concepts into scalable models (iii) supporting capacity building within government and government grantees (iv) convening government officials, experts, and various stakeholders to address and advance specific issues, (v) educating the public and the non-profit field, (vi) funding research and policy analysis, and (vii) evaluating policy implementation.

3 Change Agent: Some foundations undertake to develop alternatives to prevailing public policy thinking or to existing intervention models in the non-profit sector. Sometimes public education is also deployed to challenge prevailing public mindset that prevents progress in addressing a social challenge. This can involve taking on an activist role, advocating for certain programmes to be provided or in influencing the general public's mindset and behaviours towards desired social outcomes. In this change agent role, philanthropists do not necessarily have to form PPCs with governments in order to catalyse action.

The suitability of these roles depends on the specific context and their relevance in achieving the intended social impact. However, in order to uncover the full potential of PPC, it is helpful for both governments and even philanthropists themselves to appreciate that there is a wider range of appropriate roleplays than one would at first envisage.

9 Young. D (2006). "Complementary, supplementary or adversarial? Nonprofit-Government relations?"

10 Feiock, R.C. & Andrew, S.A (2006). "Introduction: Understanding the Relationships between Nonprofit Organizations and Local Governments"

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Case Studies & Learning Points

Case Studies & Learning Points

Whatever issue area that a PPC would cover – whether education, healthcare or something else – an effective PPC typically champions some, if not all of the following elements:

» A **shift in mindset** from working in silos towards greater alignment of agenda and objectives.

» Greater **interaction** between government and the philanthropic sectors, to foster mutual understanding and cooperation.

» **Policies** that will facilitate more philanthropy in the ASEAN region and encourage more funding channelled to the sector.

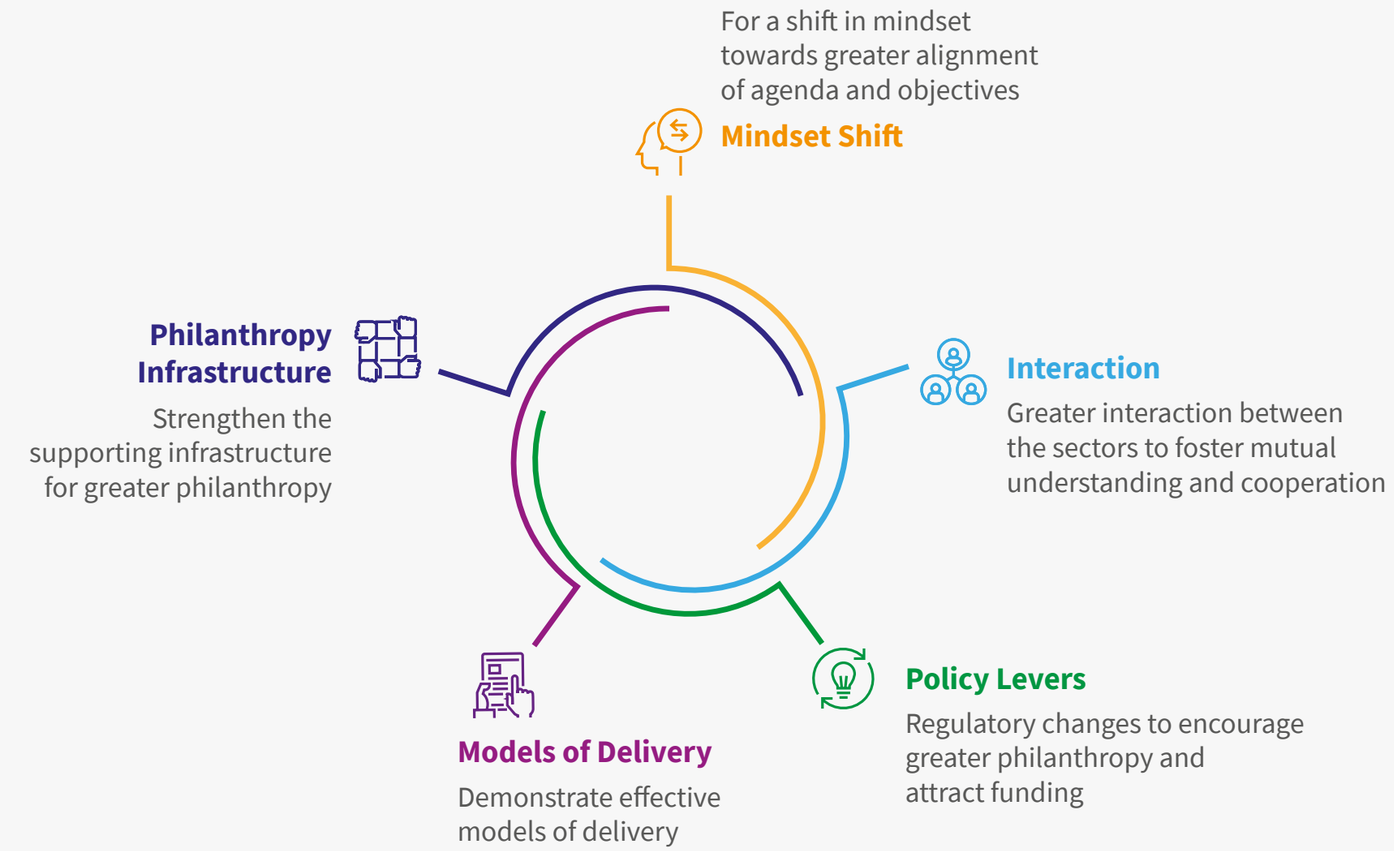
» Effective **models of delivery** with respect to solutions regarding national/regional problems.

» Stronger **philanthropy infrastructure** to support philanthropic organisations in accomplishing their missions.[11]

In the following section, this Green Paper profiles case studies of successful PPCs in the region and around the world. Within ASEAN, there is Indonesia, Malaysia and Singapore, tackling gaps in the education and health sectors. Elsewhere, the Social Innovation and Entrepreneurship Fund (SIE Fund) in Hong Kong and the Governor's Office of Foundation Liaison (OFL) in Michigan, the United States are case studies that showcase the role of PPCs in building the supporting infrastructure to encourage more philanthropic activities. In each case study, this paper maps out how each demonstrates some or all of the key elements of effective PPCs.

11 Philanthropy infrastructure refers to the conducive legal framework, friendly tax structure, resources (hard factors) as well as a healthy culture of giving (soft factors) that provide a facilitating environment for philanthropic organisations to be more effective in achieving their goals. Specifically, examples of philanthropy infrastructure organisations include membership associations, informal networks, academic institutions as well as other professional support organizations. [Source: Worldwide Initiatives for Grantmaker Support, Inc. (WINGS)]

Elements of an Effective PPC



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Case Study, Region 1: ASEAN

Indonesia

Tanoto Foundation's Pelita Guru Mandiri[12] *programme aims to improve the quality of education in rural Indonesia.*



Focus area(s):

To improve the quality of teaching qualifications and competencies of teachers in rural schools in three provinces: North Sumatra, Riau and Jambi.

How it works:

The programme has evolved over three distinct phases since 2010:

Phase 1:

Direct training of teachers in rural schools

Phase 2:

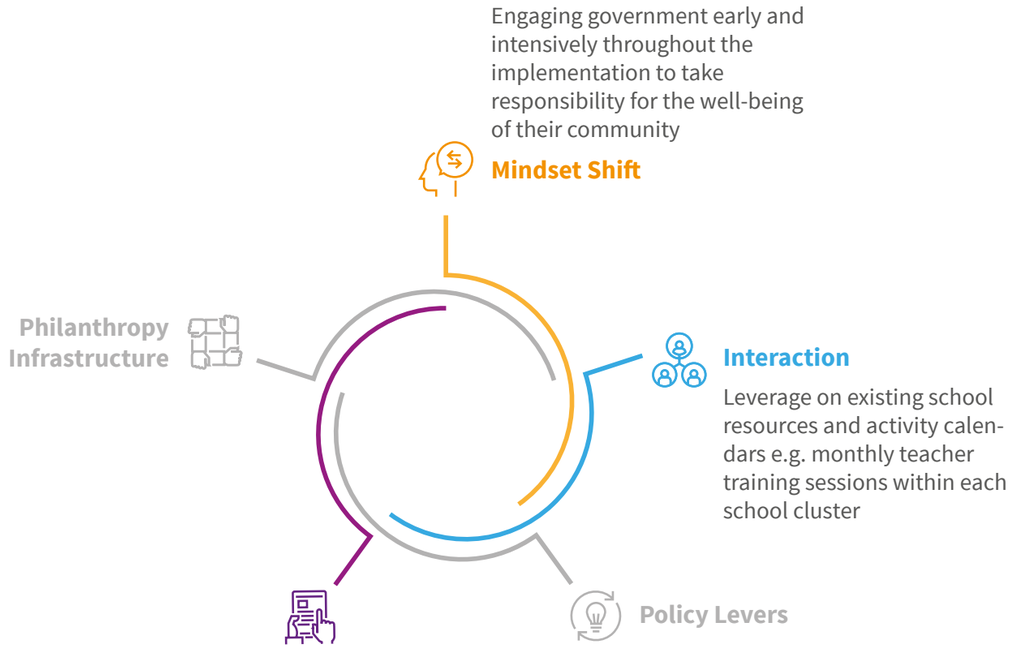
Introduction of a train-the-trainer model. Recognising that direct training will take time to achieve scale, this model involved identifying good teachers and training them to facilitate the training of their peers.

Phase 3:

Introduction of more substantive discussions on capacity and competency building amongst teachers at regular monthly working groups within each school cluster. In each district, five to six schools in close proximity form a cluster. This expands the programme within the existing government infrastructure while keeping costs low.

Outcome:

In the seven years since programme inception, local school supervisors can attest to improved educational outcomes at rural schools from their inspection visits. Its success has also led to interest from the local government of the Batubara district of North Sumatra to implement the model in rural schools there.



Key takeaways:

Philanthropy can play a complementary role to government in piloting new ideas. In the process, it is important to:

1 Engage government early and more intensively: This helps to ensure alignment with broader national policies and garner support to bring successful pilot programmes to scale. In this case, Tanoto Foundation is investing in the recruitment of dedicated staff to engage the local government proactively and to build relationships.

2 Focus on replicability, in terms of cost and capacity building: This demonstrates both cost-effective and social outcomes to justify scaling to achieve a broader reach. Rather than a showcase model that only a private philanthropic organisation can afford, it is worthwhile to assess long-term affordability and sustainability.

3 Be flexible: Be open to pivoting one's approach to adapt to different circumstances in the various localities.

12 This is one of four programmes under the flagship umbrella programme, Pelita Pendidikan.

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Case Study, Region 1: ASEAN

Malaysia

Global School Leaders Malaysia *is a two-year pilot programme aimed at providing continuous professional development for school administrators. It is supported and funded by YTL Foundation, Hap Seng Consolidated Berhad and Tan Chin Tuan Foundation.*



Focus area(s):

A school leadership development programme for 25 schools in and around Kuala Lumpur.

How it works:

The programme emulates the successful programme at the India School Leadership Institute (ISLI)[13], but tailored to suit the local Malaysian context. It focuses on four domains of school leadership:

» Leading Learning

» Leading for Equity

» Leading People

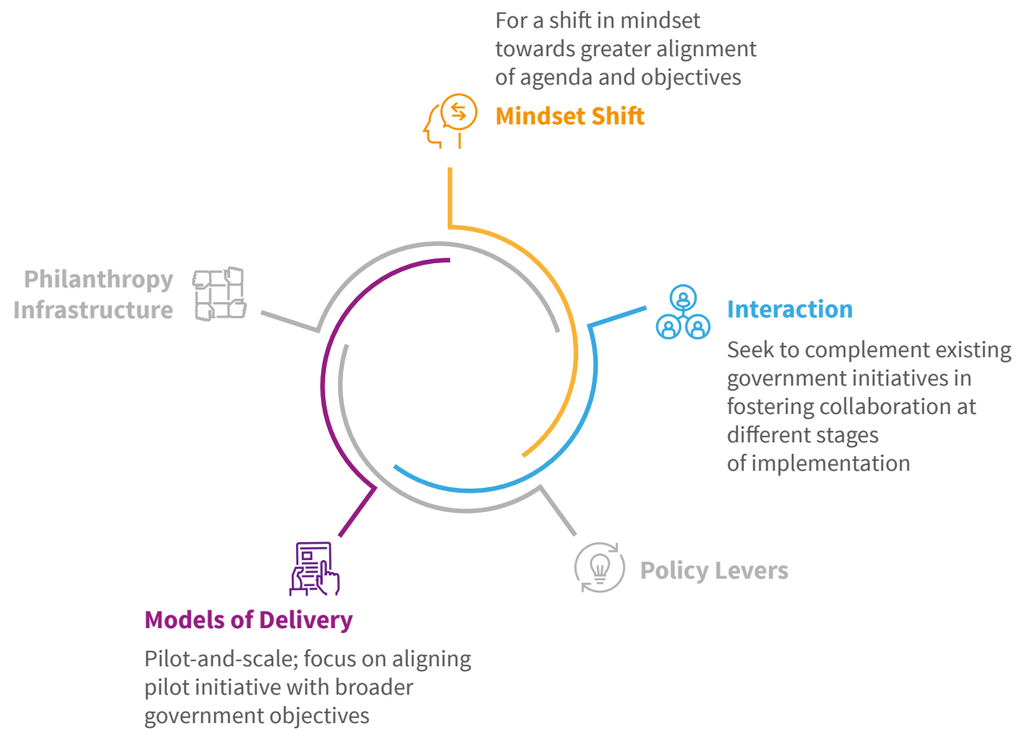
» Leading for School Improvement

School leaders will attend monthly workshops, followed by monthly coaching sessions during school visits on different modules carefully prepared to ensure the programme guides a school leader towards success.

Collaboration with FrogAsia, an edutech company affiliated with YTL Foundation, will include training school leaders in the areas of technology in classrooms and technology management.

(Intended) Outcomes:

Recognising that school leadership is key in transforming the education system, the GSL programme hopes, by the end of 2019, to show significant impact and gain continued Ministry of Education support (and eventual adoption) for the programme in alignment with the needs of the local government schools.



Key takeaways:

Partnership with the government is key in enabling the launch of this programme in Malaysia and its implementation. On working with the government:

1 Recognise that government has good intentions: Very often, government has the right intent but lacks support in implementation. This is because government is a large organisation and is challenged in delivering new initiatives over a large base e.g. across more than 10,000 schools with some five million students.

2 Complement government's initiatives: Identify niche areas aligned with government's overarching big picture vision to test new models that have the potential to be implemented at scale.

3 Harness respective strengths at different stages of programme implementation: Philanthropic organisations can carry out pilots in these areas and pivot accordingly given that they are nimbler and can make faster decisions, while government can play a bigger role in bringing successful pilots to scale at a later stage.

13 India School Leadership Institute (ISLO) (n.d.). Available at: http://www.indiaschoolleaders.org/

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Case Study, Region 1: ASEAN

Singapore / Regional

***Lien Collaborative for Palliative Care**, co-developed by the Lien Foundation and the Asia Pacific Hospice Palliative Care Network (APHN)*[14]



Focus area(s):

To develop palliative care services for countries with vast demand-supply imbalance in palliative care in their existing healthcare systems.

How it works:

The Collaborative works with major government training hospitals and cancer institutes in each country to build up a cadre of doctors, nurses and allied health professionals to manage palliative care services and act as champions/trainers in the field. This involves working with policymakers to introduce palliative care services within the existing healthcare system and make essential medicine e.g. oral morphine, available for effective pain and symptom control.

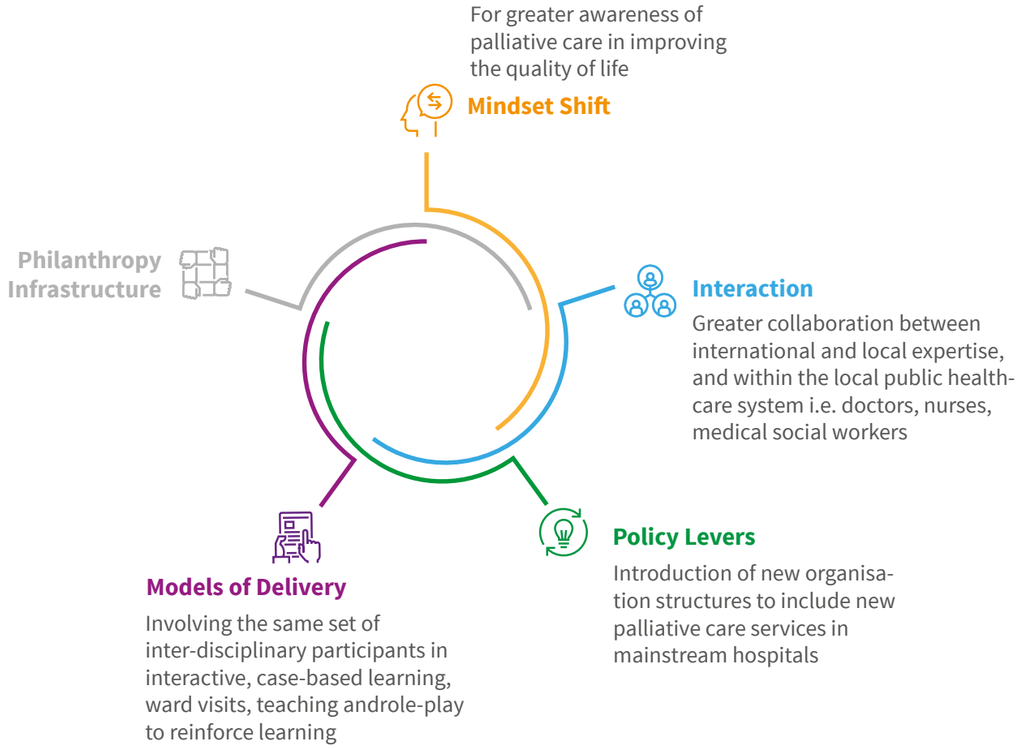
It has three key components:

- in-country training of trainers' programme delivered in six teaching weeks over three years,
- essential pain medications programme and
- overseas clinical fellowship.

Outcome:

Since 2013, the four-year programme has been launched (and is currently active) in four countries: Myanmar, Bangladesh, Sri Lanka and India. This has led to policy development for the establishment of new palliative care services in each country, provision of essential medicine, improved awareness and the development of education programmes (as part of undergraduate and post-graduate curriculums in Sri Lanka and Bangladesh) on palliative care.

14 APHN is a regional charity registered in Singapore in 2001, which supports the development of palliative care in the Asia Pacific region. Since inception, APHN members include some 240 organisations that support or provide palliative care services, and over 15,000 individuals working in the field.



Key takeaways:

The key elements for the success of the initiative is in its ground-up approach to capacity building and stakeholder engagement. This involves:

1 Identify local champions: Their experience, reputation and resources within the local public healthcare system are important in bringing together the relevant stakeholders i.e. doctors, nurses and medical social workers towards a common goal.

2 Build fellowship amongst the stakeholders: This helps to foster a sense of community and strengthen trust amongst the stakeholders within the local healthcare system as well as between international and local expertise.

3 Role models and mentors: Expert members i.e. doctors, nurses and social workers to provide guidance through positive behaviours and encourage sustainability with regular sharing of knowledge and feedback.

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Case Study, Region 2: Asia

Hong Kong

Collective Impact Hong Kong (CIHK) *by the Chen Yet-Sen Family Foundation, Credit Suisse (Hong Kong), The Peter Bennett Foundation, The Sprouts Foundation and the Social Innovation and Entrepreneurship Development Fund (SIE Fund), a HK$500 mil fund launched by the Hong Kong government in 2013. The SIE Fund acts as a catalyst for social innovation in Hong Kong, connecting the community with different sectors, including businesses, non-governmental organisations (NGOs), academics and philanthropies to create social impact through innovative solutions that address poverty and social exclusion.*

Focus area(s):

To develop replicable parent and child educare programme(s) targeted at children aged 0-6 through a whole-of-family approach, which addresses specific barriers to individual development, societal cohesion as well as financial security.

How it works:

CIHK is an inclusive platform that brings together a group of like-minded family and corporate foundations as well as the public sector (represented by the SIE Fund) to discuss social issues of common interest, in early childhood education for underprivileged children as well as families facing barriers to access equitable learning opportunities and social integration. They pool together their respective capacities, experience and networks to achieve sustainable and scalable solutions.

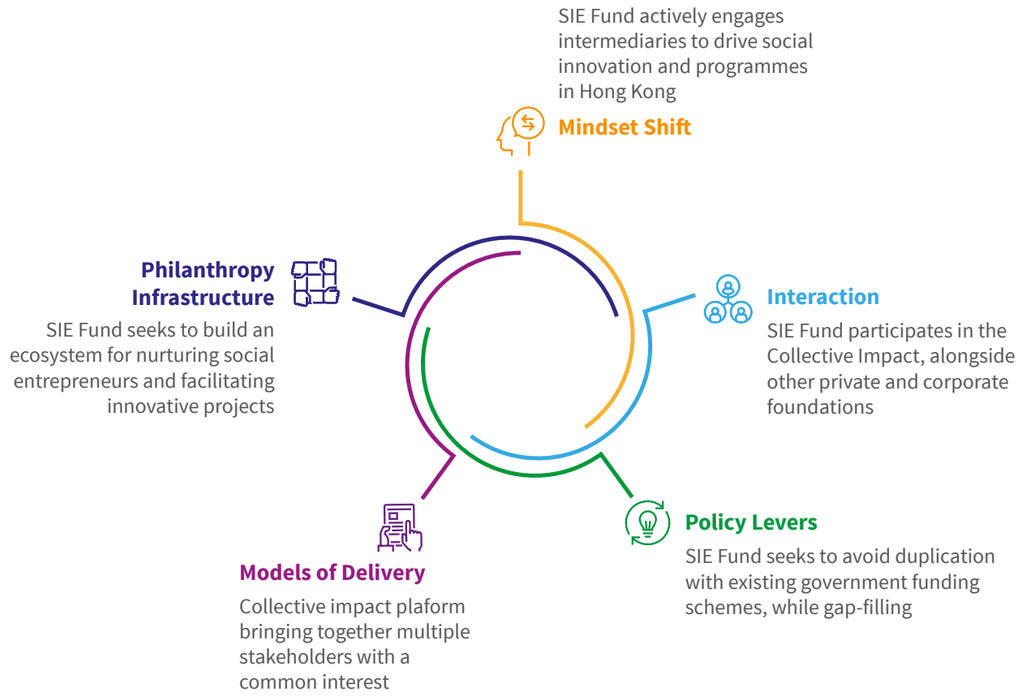
Outcome:

CIHK has received and reviewed over ten proposals, of which three have been granted funding support. They are:

1. "Starting from the beginning – Chinese Supporting Scheme for Non-Chinese Speaking ('NCS') Students in Kindergarten ('KG') (2017-2019)" by Oxfam Hong Kong, in collaboration with the University of Hong Kong and Education University of Hong Kong. This action-research project to provide intensive Chinese language supplementary classes for NCS KG students, is a successful pilot demonstrating effective cross-sector collaboration in delivering innovative policy solutions.

2. "From Cradle to Classroom", by Social Venture Hong Kong. This aims to develop and test a new model of early childhood development intervention for children aged 0-6 years from underprivileged families in Sham Shui Po.

3. "Securing a Good Start for Students' of Chinese as an Additional Language ('CAL') in Chinese Medium of Instruction ('CMI') Kindergartens", by the Zubin Foundation. This is a research project to identify the challenges faced by ethnic minority (EM) children in learning Chinese and to recommend interventions to address existing policy/implementation gaps.



Key takeaways:

To facilitate multi-stakeholder interactions around key social issues, the CIHK adopts the following best practices:

1 A common agenda: This is key in aligning expectations and building a shared understanding of the issue(s) to tackle. To ensure that implementation efforts continue to be aligned, developing and documenting a shared measurement of outcomes is key. This increases accountability and enables learning from the success/failure of implementation.

2 Regular communication: This helps to build trust and a common vocabulary amongst partner organisations with different backgrounds and perspectives. This is key in leveraging one another's networks, resources and experiences to add value to the collective impact.

3 Backbone organisation: Creating and managing a collective impact requires coordination and coordination takes time. In CIHK, PricewaterhouseCoopers (PwC) performs the role of the aggregator/coordinator in driving discussions, soliciting proposals and managing deliverables towards the common agenda.

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Case Study, Region 3: Global

United States of America

Governor's Office of Foundation Liaison (OFL) in Michigan, created in 2003

Focus area(s):

To identify and broker innovative funding partnerships and strategic collaborations between philanthropic organisations and the government "to create better outcomes for all Michigan citizens within a commonly defined set of agendas"[15] in three key issue areas:

» P-20 Education (Prenatal – Postsecondary)
» Workforce Development, and
» Health.

How it works:

The Governor's OFL in Michigan was established in 2003 at the suggestion of Michigan philanthropic leaders. It is the first cabinet-level position in the nation to receive funding from philanthropy, viz. the Council of Michigan Foundations (CMF), a community of philanthropists committed to improving outcomes for Michigan[16], while the State supplies office space and related resources. The Governor's OFL is governed by an Advisory Committee, which includes multi-stakeholder representatives.

Outcomes:

Since its inception in 2003, the Governor's OFL has brokered more than US$150 million in foundation investments in joint initiatives increasing Michigan's economic competitiveness through reforms in education, economic and workforce development and health. Notable projects and programmes include:

» ***The Michigan Office of Great Start (OGS),*** which consolidates and streamlines the State's early childhood education programmes and services within the Michigan Department of Education (MDE)

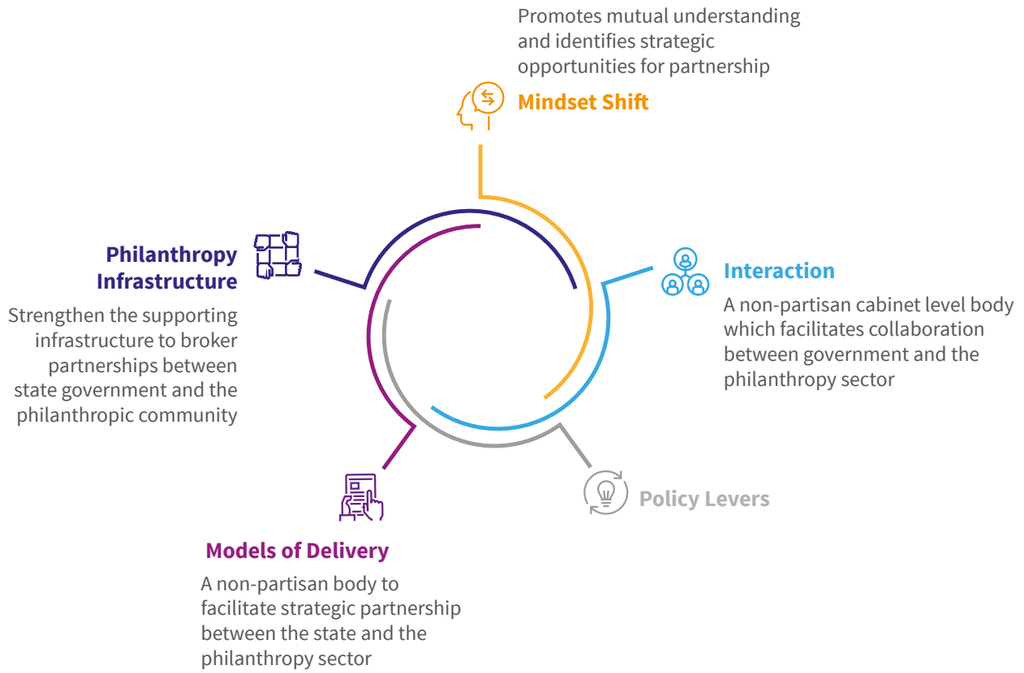
» ***The Michigan Benefits Access Initiative (MBAI)***, a technology and community outreach strategy for connecting Michigan's most vulnerable families to government benefits, of which an estimated US$930 million a year goes unclaimed in Michigan alone.

» ***The Michigan College Access Network (MCAN),*** which coordinates college access resources, programmes and services to increase Michigan's college readiness, participation and completion rates, particularly among low-income students, first-generation college-going students, and students of colour.

The creation of Governor's OFL in Michigan has also led to the growth of similar non-partisan offices across the United States.

15 Council of Michigan Foundations.

16 Ibid.



Key takeaways:

The sources of funding, decision-making structure and processes, and governance can vary from case to case, but it is imperative that both government and foundations are involved in the creation process. As a non-partisan body, it is intended to sustain and be independent of changes in political administrations.

The success of the OFL in brokering joint initiatives can be attributed to three overarching levers of change:

1 **Convening** state agencies, foundations, and other key resources to share knowledge.

2 **Sharing** information on foundation strategies and priorities through issue papers and briefs

3 **Connecting** people and organisations to work together on issues and emerging opportunities.

Recommendations

From preliminary consultations with the various stakeholders in the sector, the broad consensus is that philanthropists can complement public policies by the government in achieving greater impact for society. To facilitate greater and more effective collaboration between governments and philanthropic organisations, this Green Paper proposes the following recommendations for the respective governments and for ASEAN collectively:

Ease of Implementation / Recommendations	Easy / Short-term	Moderate / Mid-term	Complex / Long-term
Dialogue platforms			
Explore opportunities to collaborate			
Document learning points			
Develop conducive fiscal structure			
Clear guides for cross-border giving			
Dedicated liaison department or office			

1 Continue structured and participatory dialogue platforms, involving relevant government officials and philanthropists in ASEAN, together with other stakeholders like businesses and NGOs. This facilitates on-going and regular communications between key decision makers on PPCs and can be at several levels:

ASEAN: The APD could continue, and in future might involve dialogue with government leaders in charge of different ministries, like education and health. Over time, philanthropists and foundation executives could be included in ASEAN level policy dialogue mechanisms.

National: Individual countries could create country-level dialogue opportunities[17].

Issue-specific: Platforms could be formed to tackle specific social issues[18].

These platforms must be run in a manner that generates trust, sharing and ultimately, an impetus to strategise and coordinate PPCs more purposefully within the context of regional and national efforts already underway.

PURPOSE: This improves the flow of information and expands participation in policy making. It helps to strengthen existing collaborations while also providing an avenue to explore new areas and ways of working together for social impact.

2 Encourage governments and philanthropists to explore opportunities to collaborate in various areas of philanthropic interest. This may range from agreement to broad goals (e.g. education, elderly, environment, health, etc.) or specific initiatives of common interest (e.g. 0-3 early childhood development programmes, assisted living facility, etc.) However, for a start, philanthropic organisations could develop voluntary and non-binding guidelines for collaboration[19]. One area that is particularly useful is an agreement to cooperate on data sharing. The use of timely, accurate and comparable data can support better decision making for all parties.

PURPOSE: This raises consciousness and reinforces the respective commitment to action, and hence promotes greater PPCs.

3 Document and share learning points and highlight best practices for PPCs. This can include a showcase of the various successful PPCs in ASEAN to provide guidance for new or continued collaboration. Philanthropic organisations can be encouraged to document their initiatives that involve partnerships with government and share their experiences in an effort to improve effective engagement among different types of organisations. The sharing could include impact evaluation, partnership roles, and implementation issues. APC could be the depository of these case studies.

PURPOSE: This accelerates the learning process within the community. It helps to catalyse new PPCs, while promoting replication and scaling up of successful pilot initiatives.

4 Develop philanthropy-friendly tax and fiscal policies, and regulations. The Doing Good Index 2018[20], which studies the regulatory and institutional infrastructure enabling or impeding giving, shows that tax and fiscal incentives exert strong direct and signalling effects, while regulations can help facilitate more giving. Some of the ASEAN countries could consider increasing tax incentives for giving. In

17 A good example of this is the dialogue of Mexican government with foundations representations to outline a coordinated action plan for the government's engagement with its philanthropic sector.

18 A good example of this is the Bali Process on People Smuggling, Trafficking in Persons and Related Transnational Crime (Bali Process). The Bali Process is co-chaired by Indonesia and Australia, was launched in 2002 and is a forum for policy dialogue, information sharing and practical cooperation. All 10 ASEAN Countries are part of this 48-member platform.

19 An example is what Organisation for Economic Co-operation and Development (OECD) netFWD has done with their "Guidelines for Effective Philanthropic Engagement". Pilots based on these guidelines are being implemented in Myanmar. OECD Global Network of Foundations Working for Development (netFWD, 2014). Available at: https://www.oecd.org/site/netfwd/ENG%20-%20Guidelines%20for%20Effective%20Philanthropic%20Engagement%20country%20pilots.pdf

20 Centre for Asia Philanthropy & Society (2018). "Doing Good Index 2018". Download from http://caps.org/our-research/doing-good-index-2018/. Seven of the ASEAN countries were covered in the report. This was the overall clustering for the Doing Good Index for the seven countries: (1) Doing Well: Singapore; (2) Doing Better: Malaysia, Philippines, Thailand, Vietnam; (3) Doing Okay: None; (4) Not Doing Enough: Indonesia, Myanmar.

exchange, this can be coupled with stricter governance for philanthropic organisations to adhere to, including increasing accountability, transparency and professionalism. There are two phases in this development for the relevant regulatory agency in each country to consider, where applicable:

Phase 1: Provide a clear guide to the existing tax and fiscal policy for donations.

Phase 2: Consider improvements to tax and fiscal incentives to encourage philanthropic giving, while being careful not to undermine efforts to combat money laundering and tax evasion, and at the same time requiring stricter governance for philanthropic organisations.

PURPOSE: This lowers the barriers to giving, whilst sufficiently addressing concerns of tax evasion and money laundering.

5 Put in place clear policies and processes for cross-border giving. As social issues become more complex and span across borders (e.g. the environment, and racial and religious harmony), a clear policy framework for cross-border giving becomes increasingly valuable. These policies should adhere to best practices to minimise risk of fraud, money laundering, terrorist financing and ensure compliance with applicable laws in host countries, while at the same time help to reduce the rules and bureaucracy (e.g. allowing foreign doctors to practice temporarily in the receiving country). Where the policies already exist, they could be reviewed to streamline for clarity and ease of application.

PURPOSE: This lowers the barriers to cross-border giving and could facilitate increased flows of philanthropic funds to one's respective country.

6 Appoint dedicated "go-to" departments in each country to coordinate issues related to philanthropy. This can initially take the form of an additional role under an existing department. The role can then evolve into a dedicated inter-agency group focused on public-philanthropy engagement and could sit in the Prime Minister's or President's Office or an appropriate agency. The roles and responsibilities can include: coordination, advocacy, research, repository of resources – legal, tax, experts/consultants, etc. In terms of scope, the oversight can include cross-border PPCs in addition to partnerships within domestic boundaries.

PURPOSE: This raises awareness of social issues, promotes dialogue and facilitates collaboration between governments and philanthropic organisations.

Proposed Next Steps

This Green Paper recommends that the APD attendees consider adopting the next steps outlined below. The priority would be to improve the communication between the government and the philanthropy sector.



Continue from the inaugural APD in Singapore, to convene annually to discuss new collaboration opportunities between governments and the philanthropy sector.



Set up in-country liaison groups for philanthropy related issues.



Disseminate the Green Paper recommendations to relevant ministry/agency stakeholders.

GREEN PAPER ON EFFECTIVE PPC IN ASEAN

ANNEX

About Asia Philanthropy Circle

We believe that change agents are needed from all sectors of society to address Asia's social challenges. We believe that strategic and engaged philanthropists can be those change agents. For them to be those, philanthropists need more exchange, coordination and collaboration as social challenges become more complex. They need a respected, forward-thinking and innovative central body to continuously identify, recruit and harness their collective intelligence and efforts for collaborative and catalytic action in Asia.

Hence, in 2015, a few Asian philanthropists established the Asia Philanthropy Circle (APC), a membership platform for Asian philanthropists to jointly grow the impact of their philanthropy and to catalyse an Asian philanthropy. APC is a registered charity headquartered in Singapore.

The APC is different from other intermediaries, as it is action-biased, and driven by experienced philanthropists themselves. The founding board members are Singaporean philanthropists Stanley Tan and Laurence Lien, who is also our Chief Executive Officer (CEO), and Indonesian philanthropist, Cherie Nursalim.The APC, through its offering, will take the following roles:

Catalyst for Action: The APC's unique value proposition is its focus on action and impact, which may originate from existing projects or be initiated jointly from within the APC by a group of members around specific topics or regions.

Advocate: The APC advocates for the long-term interests of Asian philanthropy to secure its role in the societies it operates in, through research putting a spotlight on what interventions work and do not work, and demonstrating the positive societal impact of philanthropy.

Capability builder: The APC educates, develops and works with philanthropists and social leaders to achieve breakthroughs in the social sector. They learn to diagnose, intervene, and mobilise key stakeholders to confront the needs and problems, and work together to improve the human condition, through workshops, seminars, exchange and field trips.

Convener: The APC conducts peer-learning roundtables and field trips on specific regions and issues. Cross–sector dialogue will shape the societal agenda for action. Its annual meeting is a safe space to discuss sector-wide topics and set the APC's agenda.

Today, APC has 32 members, who are philanthropists from Singapore, Indonesia, the Philippines, Malaysia, Thailand and China. Membership is by invitation and member suggestion only. The APC aims to recruit members who are progressive and experienced philanthropists, but wishing to achieve a new breakthrough in their philanthropy through more strategic and collective impact. For more information on our projects and activities, please visit www.asiaphilanthropycircle.org



GREEN PAPER ON EFFECTIVE PPC IN ASEAN

About ASEAN Philanthropy Dialogue

The ASEAN Philanthropy Dialogue (APD) brings together government leaders and leading philanthropists in ASEAN to harness the collective intelligence and resources of strategic philanthropists and explore collaborations to grow social impact in their respective countries. Using the United Nations' Sustainable Development Goals (SDGs) as the common language in defining our goals, both country representatives and private philanthropists can seek alignment and synergy in their project outcomes.

In the lead-up to this inaugural Dialogue session, APC has convened several roundtables and interviews with members and their organisation to put together this Green Paper on "Effective Public-Philanthropic Collaboration in ASEAN".

The APD will discuss this Green Paper and explore how governments and philanthropists can work together more effectively for the benefit of social good. APC believes that philanthropists can do more, with the support of government leaders.References

ASEAN
PHILANTHROPY
DIALOGUE

Box: Models of Civil Society Engagement in Europe[21]

Models	Relationship between civil society organizations (CSOs) and government	Characteristics of interaction	Country examples
Anglo-Saxon	Adversarial: Civil society acts as a counterweight to government	Fosters pluralism Strong culture of volunteerism Enabling legal and fiscal infrastructure that encourages gifts and donations.	United States of America United Kingdom
Rhine	Supplementary: CSOs are an extension of government (akin to a subcontractor), with strong, institution-like CSOs receiving contracts from the state	Interdependence CSOs are independent from the state, but predominantly publicly funded Legal and fiscal climate does not strongly favour gifts and donations.	Belgium Germany The Netherlands
Latin / Mediterranean	State exerts strong control over civil society, either through representation on boards or by legal measures.	CSOs face a challenge in being accepted as independent and autonomous Volunteerism is viewed as a threat to the job market Gifts and donations are not encouraged by the fiscal system	Italy
Scandinavian	Complementary i.e. civil society often identifies a need, later filled by government	Strong relationship between foundations and government Strong volunteerism Gifts and donations are not strongly encouraged by the fiscal system	Denmark Norway Sweden

Source: *Philanthropy in Europe: A rich past, a promising future.*

21 MacDonald, N & Tayart de Borms, L. (200). "Philanthropy in Europe: A rich past, a promising future."

GREEN PAPER ON EFFECTIVE PPC IN ASEAN

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