

# GUIDELINES FOR EFFECTIVE PHILANTHROPIC ENGAGEMENT

*These voluntary and non-binding Guidelines for Effective Philanthropic Engagement have been developed to help foundations improve development outcomes through collaboration with governments and other stakeholders.*

*The Guidelines suggest the key pointers to optimise the impact of philanthropic contribution to development efforts, as well as the contours of how best to work together at the global, regional and national levels.*



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Resilient nations.*



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FOR GRANTMAKER SUPPORT



## BACKGROUND AND OBJECTIVES OF THE GUIDELINES

Over the last decade, many philanthropic organisations working for sustainable development have enhanced their development and poverty reduction commitments in a variety of roles: as designers and implementers of programmes; and as funders, conveners or contributors to the global development agenda. Simultaneously, a growing number of foundations have recognised that the goals they pursue often converge with those of development agencies, national governments and civil society, and have therefore also become more engaged in shaping public policy and participating in high-level development forums.

Despite shared goals, a wide communication and collaboration gap often exists between foundations and governments. For philanthropic actors, governments and development agencies to work more effectively together, a deepened mutual understanding is needed at the global, country and regional levels to allow dialogue, joint learning and action.

These voluntary and non-binding Guidelines for Effective Philanthropic Engagement ('the Guidelines') have been developed to help philanthropic organisations improve development outcomes through collaboration with governments and other stakeholders.

The Guidelines do so by fostering mutual recognition between philanthropic actors, governments and development agencies on the basis of their respective comparative advantages, as well as by drawing the contours of how best to work together on the global, country and regional levels.

The Guidelines contribute to the ongoing efforts to strengthen development effectiveness and mutual accountability in the spirit of the *Paris Declaration on Aid Effectiveness* and the *Busan Declaration for Effective Development Co-operation*. The Guidelines should be understood as a complementary, voluntary and non-binding effort of interested foundations to inform their work with insights from years of collaborative efforts among development organisations, on the basis of the commitments that governments have already pledged to.

While collaboration with all relevant development stakeholders – including civil society and the private sector – is an essential element of success, these Guidelines are designed primarily for the relationship between the philanthropic sector and governments. These can be donor governments or the governments of developing countries. Many of the Guidelines are nonetheless relevant to any type of collaboration. It should also be acknowledged that different political situations in countries of operation may entail very different approaches to partnership and that certain contexts and regimes may not actually be suited for the kind of partnerships envisaged by these Guidelines.

The Guidelines have been initiated by a significant number of philanthropic actors, which can be broadly defined as independent, non-state entities that associate private resources and deploy these through funding or by running own programmes to advance social, cultural, economic, environmental, scientific and other public good purposes at the local, regional and/or international levels under a defined legal status.

The OECD Global Network of Foundations Working for Development (netFWD) led the development of the Guidelines, in collaboration with the European Foundation Centre (EFC), the Stars Foundation, UNDP, the Worldwide Initiatives for Grantmaker Support (WINGS) and the Rockefeller Foundation.

# Guidelines for Effective Philanthropic Engagement

## DIALOGUE

1. Foundations engaging in partnerships or collaboration to create scale and impact in development, (hereafter “we”) acknowledge the importance of **multi-level dialogue** and coordination between foundations, governments, and other development stakeholders to strategize our work more purposefully within the context of global, national, and regional efforts already underway.
2. We recognise the value of **inclusive and systemic dialogue** between foundations, governments and other development stakeholders. This may entail participation in policy-setting processes, development of frameworks, community dialogues, public-private partnerships, or other approaches that carefully assess and engage the public, private, and civil society interests affected by an intervention. This also entails creating or improving spaces for innovation, and listening to, **involving and empowering local actors**, in recognition of the vital role they play in addressing development challenges.
3. We seek to complement and accelerate development efforts by focusing on where **the comparative advantages of philanthropy**- such as risk tolerance and responsiveness- are best targeted.

## DATA/ knowledge sharing

4. We acknowledge the importance of **using timely and accurate data to support better decision-making** in our own operations as well as the value that we derive from understanding our respective intentions and learning from successes and failures.
5. We will **share our knowledge and experience across sectors** in an effort to improve effective engagement among different types of organizations working to improve development outcomes. This also includes making data available for statistical collection purposes by national and global bodies to enhance data comparability, complementarity and capacity to improve research and analysis. We acknowledge that in some political contexts sharing data about our grantees may not be practical or wise and we will be sensitive to local contexts. We will also share data with new, emerging philanthropic actors interested in development.
6. We aim to amplify the effectiveness of our efforts by working together more closely with other foundations, governments, and development actors on a **broad range of data and knowledge sharing**. This could include the sharing of data on **spending and inputs as well as other types of knowledge such as due diligence assessments, impact evaluations**, problem analysis and context-specific evidence.

## PARTNERING

7. We acknowledge that **philanthropic collaboration happens at different levels** (specific local projects, multi-year programmes, policy, advocacy) and **through different approaches** (building the capacity of local partners, funding pilots, bringing initiatives with demonstrated impact to scale, supporting research, convening etc.) and that all these levels and approaches offer vast potential for increasing impact and supporting innovation through more effective partnering.
8. We seek to enhance our collective engagement in these different dimensions using the variety of tools at our disposal, including **grants, programme-related investments, training and convening in support of profit and non-for profit initiatives**. This also entails listening to and empowering local partners and contributing to developing a more **conducive enabling environment** for philanthropy in which our local partners can thrive and operate more effectively.
9. We aim to **initiate and consolidate partnerships across sectors** that enhance synergies and leverage the distinct **comparative advantages** of each partner (philanthropic, government and other development actors) towards advancing a shared vision for a more inclusive, and sustainable world.

The Guidelines are the product of a comprehensive consultation process at the global and local levels during the first semester of 2014 to ensure an inclusive drafting process as well as to gather feedback on their timeliness and relevance.

At the *First High-Level Meeting of the Global Partnership for Effective Development Co-operation (GPEDC)*, held in Mexico in April 2014, the Guidelines were presented in plenary and further discussed during a side event dedicated to the engagement of governments with the philanthropic sector. The final Communiqué explicitly cites them: *“We acknowledge the added value that philanthropic foundations bring to development co-operation. In particular, we welcome the voluntary Guidelines for Effective Philanthropic Engagement developed in conjunction with the OECD Network of Foundations Working for Development and encourage continuous multi-stakeholder dialogue and co-operation as appropriate to foster their implementation and follow-up”* (GPEDC Communiqué, 2014).

Building on the political acknowledgement by the Global Partnership at its High-Level Meeting, a field-oriented discussion is now warranted to take stock of how the Guidelines can help support enhanced philanthropic engagement at the country level.

The country pilots are based on the Guidelines’ objective of enhancing collaboration between foundations and government in support of more impactful development, applied to the country context. However, the pilots are also more ambitious as they allow to collect data and input on the relationship between foundations and governments while, on that basis, help local stakeholders identify concrete steps – in the form of an “action plan” – for more effective collaboration in the future.

Specifically, in Phase I, the pilots help assess the nature of engagement between foundations and government, as well as capture experiences, obstacles, good practice and expectations from both sides, through the use of a questionnaire (one for foundations, one for government). In Phase II, during one to two workshops, the participating actors co-develop a set of recommendations and possible targets to be jointly achieved (“action plan”), highlighting how engagement between foundations and the government can be made more effective.

The selection of pilot countries stems from demand from philanthropic actors themselves, in countries where there is both a vibrant philanthropic scene and where the government is willing to further engage with philanthropic actors. **Pilots are currently being implemented in India, Mexico and Myanmar, while discussions are ongoing in other countries, such as South Africa.**

For each pilot, actors involved have to identify up to two themes of interest to domestic foundations. While not directly be derived from the framework or the exact wording of the Sustainable Development Goals, the country-specific selected themes are likely to resonate with the SDGs, as well as with national development priorities. Themes could thus include youth empowerment, entrepreneurship, health or gender.

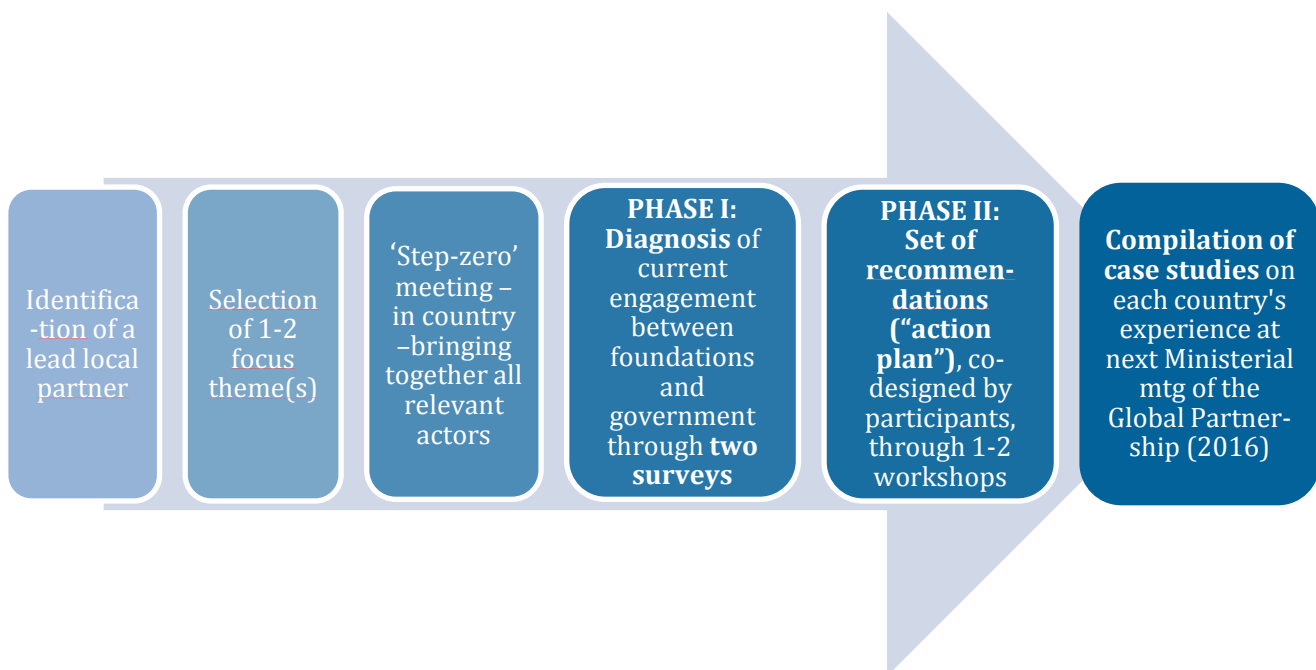
### Pilot Methodology

The country pilots are sequenced as follows:

1. Identification of **lead actors** to be involved, i.e. the local partners
2. Identification of other actors to take part in the pilot:
  - Domestic and international foundations
  - Relevant government actors to be involved at national level
  - Bilateral donor governments (e.g. DFID, USAID, GIZ) as well as multilaterals (World Bank, UN)
  - *Optional*: Selected implementing partners (social entrepreneurs, NGOs, etc.)
3. Preliminary discussion with lead philanthropic partners to determine the **1-2 themes of focus** of the pilot, preferable related to the SDGs and the national development strategy.

4. The dialogue is launched in country with a **kick-off or ‘step zero’ meeting** which will consist of a **locally held discussion** (1/2 day) bringing all relevant actors (foundations, government representatives and other lead institution) around the table, with support from OECD netFWD. This initial meeting aims to give a general introduction of the pilot to ensure all participating actors are on the same page regarding the objectives, the methodology, what is expected from them, next steps, etc.
5. **PHASE I: A diagnostic assessment of the nature of engagement between foundations and government is conducted to capture past experiences, current collaboration practices, obstacles and expectations for the future.** This assessment is carried out through two questionnaires – one for foundations, one for government officials – and sent by a local consultant. The questionnaires entail a mix of questions addressing both general issues related to the Guidelines that will allow comparisons between countries, and more country-specific ones. A few additional questions may be added to identify the foundations and governments actors working on the theme(s) of focus, in order to engage them more deeply in Phase II. The questionnaire will be shared with as many foundations as possible, even if a smaller number of them might eventually participate in the whole pilot.
6. **PHASE II:** Once the consultant has analysed the data collected through the questionnaires, participating actors will meet for the second time. One or two **workshops will be organised around the identified focus theme(s)**, bringing together foundations, relevant government actors as well as other development stakeholders as relevant. During these workshops, the consultant will share the findings of the diagnostic assessment and kick start discussions on how challenges could be overcome and how existing opportunities strengthened for enhanced collaboration. They **will lead to the development of recommendations and possible targets (“action plan”)**, co-designed by the participating actors (see next paragraph).
7. The final output of each pilot will be a **case study** consisting of: 1) a diagnostic assessment of the nature of engagement between foundations and government based on the results of the questionnaire, including challenges and opportunities identified during workshop discussions; 2) a country-specific set of recommendations and possible targets (“action plan”) highlighting how engagement between foundations and the government can be made more effective.

*For further information on the Guidelines country pilots and their methodology, please contact the OECD netFWD Secretariat.*



### Glossary of Terms

**Philanthropic actors :** Philanthropic actors can be defined as independent, non-state entities that associate private resources and deploy these through funding or by running own programmes to advance social, cultural, economic, environmental, scientific and other public good purposes at the local, regional and/or international levels under a defined legal status.

**Philanthropic engagement:** Philanthropic engagement describes the targeted interventions of philanthropic actors that seek to contribute to a greater social good. Engagement can take place in many different ways, and can encompass funding, operations, policy dialogue and advocacy, as well as in-kind assistance, and can be take place at the global, regional, national and local levels.

### Additional Resources<sup>1</sup>

#### *Dialogue*

Several national, regional and global organisations provide opportunities for dialogue and learning among actors interested in development issues. Among them are:

- **African Grantmakers Network:** continent-wide network of philanthropic organisations  
[www.africangrantmakersnetwork.org](http://www.africangrantmakersnetwork.org)
- **Association of Charitable Foundations:** association for Trusts and Foundations in the UK  
[www.acf.org.uk](http://www.acf.org.uk)
- **Avina:** foundation that supports collaborative process of different development actors  
[www.avina.net](http://www.avina.net)
- **CIVICUS** (World Alliance for Citizen's participation): alliance and network of members on local and international levels  
[www.civicus.org](http://www.civicus.org)
- **DAPHNE** (European Funding Network): programme of European Funding Network that is aimed at protecting vulnerable citizens from violence and protecting children's rights  
[www.europeanfundingnetwork.eu](http://www.europeanfundingnetwork.eu)
- **DFID:** Department for International Development, Government of the UK  
[www.gov.uk/government/organisations/departement-for-international-development](http://www.gov.uk/government/organisations/departement-for-international-development)
- **ECOSOC:** Economic and Social Council of the UN  
[www.un.org/fr/ecosoc/](http://www.un.org/fr/ecosoc/)
- **EFC:** European Foundation Centre  
[www.efc.be](http://www.efc.be)
- **EVPA:** European Venture Philanthropy Association  
<http://evpa.eu.com>
- **GPEDC:** Global Partnership for Effective Development Co-operation  
[www.effectivecooperation.org](http://www.effectivecooperation.org)
- **RedEAmerica:** a thematic network of philanthropic actors founded by the Inter-American Foundation  
[www.redeamerica.org](http://www.redeamerica.org)
- **Institute for Philanthropy UK:** organisation that provides education and thought leadership in strategic philanthropy  
[www.instituteforphilanthropy.org](http://www.instituteforphilanthropy.org)

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<sup>1</sup> This list of resources is non-exhaustive. We seek to expand it up as we move through the consultation and piloting phase, and highly encourage foundations or other actors to approach the netFWD Secretariat ([dev.foundations@oecd.org](mailto:dev.foundations@oecd.org)) with suggestions for additional resources.

- **netFWD:** OECD Global Network of Foundations Working for Development  
[www.oecd.org/site/netfwd/](http://www.oecd.org/site/netfwd/)
- **Oak Foundation:** group of Foundations based in a number of countries  
[www.oakfnd.org](http://www.oakfnd.org)
- **OCDE:** Organisation for Economic Co-operation and Development  
[www.oecd.org](http://www.oecd.org)
- **OECD Development Centre**  
[www.oecd.org/dev/](http://www.oecd.org/dev/)
- **Post-2015 development framework and Sustainable Development Goals:** reference to the post RIO-20 Conference discussion with the focus on sustainable development  
[www.un.org/fr/ecosoc/about/mdg.shtml](http://www.un.org/fr/ecosoc/about/mdg.shtml)
- **Stars Foundation:** foundation that invests in already effective initiatives that support children  
[www.starsfoundation.org.uk](http://www.starsfoundation.org.uk)
- **UNDP:** United Nations Development Programme  
[www.undp.org/content/undp/en/home.html](http://www.undp.org/content/undp/en/home.html)
- **WINGS:** -Worldwide Initiatives for Grantmaker Support  
[www.wingsweb.org](http://www.wingsweb.org)

## Data

- **International Aid Transparency Initiative (IATI)**  
[www.aidtransparency.net](http://www.aidtransparency.net)
- **Foundation Center**  
[www.foundationcenter.org](http://www.foundationcenter.org)
- **Data Charter of the Worldwide Initiatives for Grantmaker Support**  
[www.wingsweb.org/?page=data\\_charter](http://www.wingsweb.org/?page=data_charter)

## Partnerships

- ***From Blueprint to Scale, a study of the comparative advantage of philanthropy in impact investing,***  
<http://acumen.org/idea/from-blueprint-to-scale/>
- **Paris Declaration on Aid Effectiveness – agreement on Aid Effectiveness collaboration based on 5 core principles.**  
[www.oecd.org/dac/effectiveness/parisdeclarationandaccraagendaforaction.htm#Paris](http://www.oecd.org/dac/effectiveness/parisdeclarationandaccraagendaforaction.htm#Paris)
- ***Philanthropists and aid donors must join forces in these straitened times*** : The Guardian  
[www.theguardian.com/global-development/poverty-matters/2013/aug/30/philanthropists-official-donors-aid-effectiveness](http://www.theguardian.com/global-development/poverty-matters/2013/aug/30/philanthropists-official-donors-aid-effectiveness)

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Organisation for Economic Co-operation and Development | Development Centre  
[www.oecd.org/site/netfwd](http://www.oecd.org/site/netfwd) | [dev.foundations@oecd.org](mailto:dev.foundations@oecd.org)