Funding the Watchdog Role

An exploratory Study of the current funding climate for civil society organizations in Africa: the case of National Education Coalitions supported by the Global Campaign for Education

By

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Declaration

I declare that "**Funding the Watchdog Role**

An exploratory Study of the current funding climate for civil society organizations in Africa: the case of National Education Coalitions supported by the Global Campaign for Education" is my own work and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.

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SIGNATURE   DATE: 9th May 2015

Mr. Geoffrey Odaga

DEDICATION

To my children Ean, Ethel, Elsa and Eileen; my wife Agnes and my Dad Mr. Raymond Ogwal (RIP) and
Mum Catherine Ogwal.
Thank you for making all this possible!

Abstract

Strengthening civil society participation in development is a prerequisite to enhance access to opportunities and political influence by the poor. An active civil society can improve development accountability. In fact, Africa cannot improve its governance without investing in the role of civil society. This study examines the problem of resource mobilization for NECs in four Africa countries; assessing factors and strategies, which influence their ability to mobilize resources. Utilizing qualitative and quantitative methods, the study found that effective NECs exist in all four countries. The success of these NECs depended on "being strategic" about resource mobilization. The lack of resources mobilization strategies was a key factor in all four NECs. This often meant lack of proactiveness in resource mobilization. In its recommendations, the study presents a model aimed to encourage CSOs to organize and manage resource mobilization in ways that generate income for today, tomorrow and the future in order to sustain their watchdog role in educational development process.

Key Terms

National Education Coalitions, Identity and Support Context, Factors that influence ability to mobilize resources, The Funding Climate, Resource Mobilization Strategy, Capacity for Resource Mobilization, Sustainable model for Resource Mobilization, Transparency, Donor Dependency, Autonomy, Globalization

Acronyms and abbreviations

GCE-The Global Campaign for Education

ANCEFA-The African Network Campaign on Education for All

EFA-Education for All

CSOs-Civil Society Organizations

SMOs-Social Movement Organizations

SMIs-Social Movement Industry

SMS-Social Movement Sector

NGOs-Non-Government organizations

IMF-International Monetary Fund

CSEF-Civil Society Education Fund

NCSEFs-National Civil Society Education Funds

NECs-National Civil Society Education Coalitions

ODA-Oversee Development Assistance

MCA-Millennium Challenge Account

GFATM- Global Fund to Fight AIDS, Tuberculosis and Malaria

ADB-Asian Development Bank

AfDB-African Development Bank

BUSAC-Business Sector Advocacy Challenge Fund

CBOs-Community Based Organizations

CIDA-Canadian International Development Agency

CSO-Civil Society Organization

CSEF-Civil Society Education Fund

CSR-Corporate Social Responsibility

DANIDA-Danish International Development Agency

DFID-Department for International Development

DPOD-Disabled People Organization of Denmark

DP-Development Partner

EC-European Commission

EDF   European Development Fund

EFA-Education for All

FAO-Food and Agriculture Organization

FM-Fund Manager

GAIT-Government Accountability Improves Trust

GDP- Gross Domestic Products

GETFund-Ghana Education Trust Fund

Star-Ghana-Ghana Accountability and Responsiveness Initiative

GNECC-Ghana National Education Coalition Campaign

GPAF-Global Poverty Action Fund

CSGFCivil Society Governance Fund

GTF   Governance and Transparency Fund

G-RAP-Ghana Research and Advocacy Programme

IDA-International Development Association

INGOs-International Non Governmental Organizations

MDBS-Multi Donor Budget Support

MoE-Ministry of Education

MTN-Mobile Telecommunication Network

NCSEF-National Civil Society Education Fund

NGOsNon-Governmental Organizations

NORAD-Norwegian Agency for Development Co-operation

ODA-Official Development Assistance

PPAs-Programme Partnership Arrangements

PMT-Project Management Team

PSDS-Private Sector Development Strategy

RAVI-Rights and Voice Initiative

SC-Steering Committee

SICDA-Swedish International Co-operation Development Agency

SNV-Netherlands Development Organization

UNESCO-United Nations Educational, Scientific and Cultural Organization

UNDP-United Nations Development Programme

UNICEF-United Nations Children's Fund

USAID-United States Agency for International Development

WB-World Bank

WHO-World Health Organization

WSGF-World Bank Social Governance Fund

Identity: This refers to the understanding by an organisation of its place in the world; What it is; its place in society; its belief that it can have an impact in society (theory of change); its right to and responsibility for mobilising resources through shared values and to use those resources to help others (impact) and its commitment to help others.

Vision: An organization's vision is the shared hopes, dreams and images of the future. Much more than a statement of identity, a vision is a proactive, public declaration of how the organization sees the ideal future in the area in which it works. It is unchanging, powerful and captures the organisation's image of the future so that members of the organization can relate to it and be motivated to achieve it, live the vision in their daily lives and passionately share this vision with others-with potential donors and with the community.

Mission: An organization's mission statement is a brief expression of why it exists - its reason for being. Mission states the organization's purpose, with and for whom it works, how it will go about fulfilling its vision, and the values the organization adheres to.

Values: Refer to what the organisation believes in. It is the underlying principles, norms and beliefs that guide the organisation on how it behaves and acts.

Culture: It is the way things are done in the organisation. This includes the organisation's style, feel, values (stated and hidden) and attitudes.

Goals: When the vision or dreams for the future have been defined, those who will benefit from that vision have been identified, and how to go about making that a reality has been fleshed out through a mission, the organization's goals shape the targets towards which plans and actions are directed.

Strategy: This refers to the best options to guide an organization's use of resources (both human and financial) to pursue its stated mission and the leverage points where the organization's activity will have the most impact.

Organization: This is used to refer to groups that collectively plan and strategize, hold meetings, organize and coordinate their activities, raise money to facilitate activities that are aimed to achieve specific objectives.

Mobilization: The term mobilization is used to refer to the process through which groups gain collective control over resources that make organization possible. Thus mobilization is a process of increasing the readiness to act collectively by building the loyalty of a constituency to an organization or to a group of leaders.

Collective action: Is the process through which groups undertake to pursue joint activities, to achieve collective outcomes.

Globalization: Refers to the free movement of capital, ideas, goods, services and people around the globe facilitated by advances in new digital technologies, new forms of flexible production, and the development of new forms of multilateralism; the ceding of crucial elements of nation/state sovereignty to the individual and to other scales of rule, and so on.

Transparency: Refers to the availability of information to the public, and the clarity about educational laws, regulations and policy decisions needed to enhance citizens' right to access to information generally as a means to ensure the lack of vital statistics from government departments does not inhibit information flow, accountability, planning and decision-making in the sector.

Organizational Resources: These include money, skills, human beings, equipment and materials that an organization draws upon to meet its needs.

Resources: Resources are the financial and non-financial supplies that help to fulfill organizational needs. They include money, the skills, time contributions and services of humans, and equipment and materials.

Resource Mobilization: Resource mobilization is the process of identifying and obtaining resources for the organization. NGOs need both financial and non-financial resources.

Resource mobilization strategies: Decisions made by organizations about where to invest their energies to mobilize resources, whether to focus on non-financial resources or not, when to seek financial resources, whether to generate funds themselves, or whether to seek funds from other organizations.

Donor dependence: Refers to a situation where an organization gets all its financing from a limited external pool of donors, making it vulnerable to external decisions and pressures and less likely to cope with changes in the funding climate.

Criticality: Refers to the ease with which alternative funding sources may be found to enable an organization to replace one funder with another. Funding sources that cannot be easily replaced are considered highly critical.

Autonomy: Refers to the extent to which the use of a particular resource affects the organization's ability to make independent decisions, to negotiate terms and to say no when necessary.

Compatibility: Refers to whether or not the funding being provided is compatible with the mission and vision of the organization. Lack of compatibility may force the organization to make compromises in some ways.

None financial resources: Refer to non-monetary contributions such as volunteer work from individuals or community based organizations and linkages with other organizations. Often, these options receive little attention in resource mobilization.

National Education Coalitions (NECs): This refers to an umbrella campaign coalition of international NGOs, teacher unions' organisations, national NGOs and grassroots organisations advocating for the right to free quality public education for all at national level.

1.0 INTRODUCTION

1.1 ORIENTATION AND BACKGROUND TO THE STUDY

1.1.1 The Good Governance Agenda

The Good Governance Agenda (GGA) of the 1990s was an attempt to address state failure. A central plank of this was the need to strengthen the participation of civil society in development. In its report, the World Bank (1997) states that strengthening the participation of civil society was necessary to enhance access not only to education and opportunities, but also to political influence and power. The bank argued that high levels of political inequality can lead to the design of economic institutions and social arrangements that favor the interests of those with more influence, exacerbating inequality. A strong civil society is therefore needed to balance equal social, political and economic relationships.

The focus on civil society in the last decade was both a result of the peaceful political environment and the emergence of democratic culture. This development led to the focus on rights-based approaches to development, aimed at empowerment and advocacy (Cardoso, 2003:19). As a result, Civil Society Organizations (CSOs) shifted resources from service delivery to pressing for more engagement in policy processes, development implementation and monitoring, a role increasingly viewed as vital in promoting good governance, accountability, transparency, rule of law and integrity in public administration and development (Feldman's. 2006: 429-444). Although developments in civil society has been significant, there are concerns that the relationship between CSOs, the United Nations and governments needs to be further reviewed in the light of bringing on board greater coherence and consistency in the rules of engagement. There is a need to revisit existing rules of engagement and explore new alternatives and opportunities to strengthen this role (Jones, P. W. & Coleman, D. 2005). According to Cardoso (2003:13), this review includes a definition of civil society, which recognizes its diversity and a more flexible rule of engagement, to strengthen the growing interaction between governments, the United Nations (UN) and civil society civil society. As the vast majority of CSOs in Africa are locally based and issue oriented, with few or very limited global outreach and resources to interact with the institutions of global governance and influence national development agenda, the real challenge remains the question of how to combine

the strengthening of civil society at local and national level with the promotion of citizen's involvement with global governance (Glenn, J. 2008; Banks, N. & David, H. 2002).

Because civil society deals with local, national and global spheres, which are both, interrelated and interconnected, their level of organization needs to go beyond territorial boundaries, to be able to make any meaningful influence on the governance processes (Mercer, C. 2002:5-22). With globalization, the governance process has become more global than national. This requires that civil society advocacy and political pressure must combine simultaneous levels of action from local to national and to global levels in order to be effective (Robertson, S. 2008: 472-96). Strengthening the role of civil society would therefore mean supporting them act at all levels of the system. It also requires building their capacity to do what they do- argue, propose alternative paradigms for development, experiment, denounce, and be exemplary. It is this contribution made by CSOs, not the power to decide which make them distinct from other development entities. Decentralization of power and resources to local levels also requires that local CSOs be strengthened as it presents unprecedented opportunities for more horizontal forms of interaction and collaboration between the citizens and the state. It calls for, among other things, the need to pay more attention on the question of how to combine support for civil society's role in governance with the preservation of national sovereignty and equity in international relations.

According to Robertson (2008: 472-96), because of their support base, Civil Society has the capacity to act on its own, without depending on any authorization or mandate. But given the intergovernmental character of the national and global governance examined above, the rules of their engagement depend on decisions taken by states involved. It is therefore important to contemplate the question of how to overcome existing prejudices and misconceptions so that governments do not associate greater civil society influence with the undermining of their sovereignty and the widening of the power imbalance between the North and South. Due to the concerns that civil society participation in governance could undermine the intergovernmental process, the question of supporting their role becomes important as a means to demonstrate the effectiveness of civil society collaboration with other development entities and build consensus on a more positive development agenda for the future (Cardoso's, 2003). A vibrant civil society working together with government would increase national resource investment on social development and strengthen the country's voice in global issues. The main objective of the study was to clarify the

identity, strategy and support context of National Education Coalitions supported by the Global Campaign For Education in 4 African countries, namely Ghana, Zambia, Tanzania and Malawi. The study identified factors, which influence the ability of NECs to mobilize resources for effective implementation of the watchdog role of Civil Society in development as well as strategies used by NECs to organize and manage successful resource mobilization programmes. Using the research findings, a sustainable model for resource mobilization was proposed to strengthen the role of CSOs in development (Jenkins, J. C. 1983).

1.1.2   The Global Campaign For Education (GCE) and the National Education Coalitions (NECs)

This research focused on the Civil Society National Education Coalitions (NECs) in four African countries; Ghana, Zambia, Malawi and Tanzania. Since 1990s, a key objective of the Global Campaign for Education (GCE) was to establish broad based, effective and democratically run national civil society coalitions. The aim of this was to strengthen civil society's role in meeting their commitment towards the Education for All goals (GCE. 2011). The GCE hoped to achieve this by supporting civil society engagement in tracking the progress of their national governments and donor groups in the delivery of Education for All Goals. Today, the GCE is a global civil society education movement, working in over 120 countries worldwide. It was founded in the late 1990s in response to the failure of governments to achieve the Education for All (EFA) goals. The EFA goals were agreed upon in the World Education Conference, held in Jomtien, Thailand in 1990 (Drexler, A. 2008). With the support of 17 international donors, the GCE initiated the Civil Society Education Fund (CSEF) to support the core work of National Education Coalitions and Civil Society organizations (CSOs) in monitoring implementation of national education sector plans. A key objective of the CSEF was to establish broad based, effective and democratically run national civil society funds in the countries endorsed by the Global Partnership for Education (GPE). In order to find ways through which successful resource mobilization can be organized and managed to support and strengthen the watchdog role of CSOs in development, it was important for this study to clarify the identity, strategy and support context of National Education Coalitions supported by the GCE in 4 African countries (Ghana, Zambia, Tanzania and Malawi.) and identify factors and strategies which influence the ability of NECs to mobilize resources.

The aim of the GCE was to work with local civil society groups to pressure national governments, international donors and international organizations such as the World Bank and the IMF to honor the financial and political agreements made to deliver high quality public education for all (EFA, 1990; Dakar Commitments, 2000, MDGs). The GCE's first major high profile campaign crystallized at the World Education Conference held in Dakar in 2000. Since then, the centerpiece of the GCE remains to pressure for the achievement of all six Education for all Dakar Goals; (a) expand early childhood care and education; (b) ensure that all children have access to and can complete free and compulsory primary education of good quality; (c) ensure that the learning needs of all young people and adults are met; (d) achieve a 50 % improvement in adult literacy; (e) eliminate gender disparities in primary and secondary education by 2005; (f) improve all aspects of the quality of education and ensure the excellence of all so that recognized and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills (GCE, 2001; Drexler, A.2008). In its messages, the GCE called on governments to; involve citizens' groups, teachers and communities in developing concrete plans of action for delivering free, good quality public education for all; abolish all fees and charges for public primary education, and increase their spending on adult, early childhood, primary and basic education, with priority investments in schools and teachers serving the most disadvantaged groups. It called on the World Bank and rich Northern countries, to increase aid and debt relief for basic education, and fund a Global Initiative to back national education plans with speedy, coordinated and predictable delivery of the additional resources needed. It called on civil society organizations, to hold their own governments and international institutions accountable for upholding the right to education, and delivering on the Education for All goals by 2015.

The foundation of the Global Campaign for Education (GCE) was based on the premise that governments and international financial institutions such as the World Bank needed to be held accountable for failure to deliver education for all goals. The GCE believed that education is key to development, to social and environmental justice, democracy, active citizenship, peace as well as more tolerant and equal societies; that education helps improve health, reduce the spread of HIV, empower girls and women, increases incomes and economic growth; that long-term investment in education is a pre-requisite for sustainable human development; and above all, that education is a fundamental human right recognized in numerous international treaties and conventions and enshrined in almost every national constitution since 1948 when the Universal Declaration of

Human Rights was enacted. The establishment of broad based and democratically run civil society national education coalitions (NECs) was to strengthen the monitoring role of civil society to defend the right to quality public education. To ensure that the work of these coalitions was supported, strengthened and sustained, the GCE sought to establish National Civil Society Education Funds (NCSEFs). The NCSEFs were envisioned as independent national funds that would be run by inter-agency civil society boards to channel multi-donor funding from in-country donors to civil society coalitions working to promote accountability in educational development. Through the establishment of National Civil Society Education Coalitions (NECs), the GCE contributed to enhancing the role of CSOs to demand accountability from national governments and international financial institutions like the World Bank (Fowler, A. 2000); Flack, R. 1967). The GCE stated in its website that there were over 65 national coalitions and 22 regional and international organizations affiliated to the Global Campaign for Education by 2012. Over the last decade, the GCE and its NECs gained significant legitimacy and the support as credible social actors in the field of international education. This study examined identify and strategy of NECs in relation to the current funding climate and the watchdog role of civil society organizations in the education sector in four African countries.

1.1.3   The Role of the World Bank in International Education

The World Bank remains the single largest source of development capital in the field of international education (Cassidy, 2007:14). Owing to the so-called demands for infrastructural development in post independent Africa in the early 1960s, developing countries were forced to over invest in vocational and technical education at the Bank's insistence. In the 1970s, investments in education were redirected towards reading materials and teacher salaries. Later at the Bank's insistence, investments in the sector were shifted to thousands of workshops and laboratories that, for the most part, became 'white elephants. In 990's countries had to shift public expenditures away from higher education. Today, the World Bank supports textbooks, school meals, new curriculum, and teacher training in thousands, perhaps hundreds of thousands of locations in over 100 countries around the world (Nordtveit, B. 2012:5-22).

In February 2011, the new 2020 World Bank Education Sector Strategy (*WBES*) was launched (World Bank, 2011a). The new strategy reaffirmed the World Bank's technical approach to educational development, where the Bank uses education to perpetuate restrictive and outdated policy reforms based on narrow, neo-liberal assumptions about the role of the state (Nordtveit, 2003:11). The approach of the World Bank turns local policy makers into passive recipients of the Bank's education agendas (Nordtveit, 2012:21-32). Because of the influence of the World Bank in the sector, African countries agreed to raise education fees in 90s, exacerbating inequality in the education system. Through the structural adjustment programme (SAP), public expenditure on education was significantly reduced and curtailed (Dia, M. 1994). With its new education strategy, the World Bank has reinvented itself as a knowledge producer and knowledge manager in the field of education. In this new role, the Bank determines what works and what does not work in educational development. The knowledge-based regulation of the Bank has in effect generated a fourth conditionality for recipient governments: programmatic conditionality), which in addition to the economic, social and political conditionality (structural adjustment, poverty alleviation, good governance), governments have to subscribe to a particular reform package ("best practices") that was first piloted in a few countries, analyzed in impact evaluations, and then disseminated to other recipient governments. In this position, the World Bank is the architect, implementer and enforcer of global education policy.

1.2   EDUCATION AS A HUMAN RIGHT: THE RATIONALE AND MOTIVATION FOR THE STUDY

Education was declared a fundamental human right in the Universal Declaration of Human Rights of 1948. Sixty-six (66) years later, more than 70 million children remain out of school (10% of the world's total). In Sub-Saharan Africa where there are 120 million primary age children, only 96 million are enrolled (Huebler, F, 2005; UNESCO, 2012). The majority of the out of school children were in a handful of African countries; the Democratic Republic of Congo, Ethiopia, Tanzania, Burkina Faso, Nigeria and Niger. Together, these six countries account for nearly 70% of the global total. These countries are also among the poorest in the world, with an average GDP per capita of $US 300. This is in spite of the fact that a country like the DRC is abound by some of the richest natural resources in mining and agriculture. According to recent estimate, 67 countries will not reach Universal Primary Education (UPE) by 2015. Moreover, some 30 countries earlier projected to be on track to achieve UPE by 2015 would not do so (UNESCO, 2012).

The GCE believed that the failure to achieve the EFA goals and MDG goal of UPE is based on the failure of governments to fulfill economic and political commitments made every decade since the 1960s. While there has been an overall improvement in the numbers living under $1.00 per day since 1990, Sub Saharan Africa (SSA) has shown dismal performance (Save the Children, 2007). The task of realizing the goal of UPE remains distant without significant international commitment being met and greater national investment being directed into the sector. Besides financing, conflicts and extreme poverty remain a primary issue for education. The shortfall in financing symbolizes the lack of policy priority for education (Jones, P. W. 2004). As statistics show, the EFA goals are today more of a symbol of inequality than a tool for the liberation of the minds and fostering development in poor countries. Millions of children, youth and adults continue to be denied opportunities to realize their potential. Of the 70 million out-of-school children around the world by 2012, 54% were girls (UNESCO, GMR 2010, 2011, 2012). The lion's share-56% was in sub Saharan Africa. According to UNESCO, globally, some 759 million adults or 16% of the world's adult population lacked basic literacy skills. 175 million children, the majority in Africa lack access to early childhood care. While developed regions of the world have nearly all youths in primary and secondary school and about two-thirds in tertiary level, Africa's gross enrolment in secondary school ranged from a mere 34% in sub-Saharan Africa to 65% in the Arab States. In Latin America nearly 90% are enrolled in secondary school. The global gaps in the quality of education also remain enormous. Evidence from learning achievements suggests that in many African countries students are performing at below minimum levels. Children in early grades are not mastering the basic reading skills needed for further learning as shortages of teachers continue to impose a significant barrier to quality education. This is in spite of the billions of dollars poured in aid commitment and the role played by institutions such as the World Bank in global education over the last three decades. In short, the world is still faced with a significant new upsurge in demand for education (Nordtveit, 2012:21-32).

1.3 PROBLEM STATEMENT

In the year 2000, world leaders from 184 countries reaffirmed a global commitment to two basic global development priorities; the six goals of Education for All, under the 1999 Dakar Framework of Action (DFA) and the primary education objective of the Millennium Development Goals of 2000

(Chan, J. 2006: 359-376). Despite all the promises made to deliver Education for all goals by 2015, more than 70 million children have remained out of school (UNESCO, 2013:124). It is estimated that $US10 billion would be needed globally per year to enable developing countries reach Universal Primary Education by 2015. By 2010,the international community had only managed to commit $3 out of the $10 billion (Gleww, P. & Zhao, M. 2006). The lack of commitment to walk the talk is attributed to the lack of policy priority. Aid for development is a policy choice (Klees, 2008:29). This means that the lack of accountability by the international community for all unmet political and financial commitments made to deliver education since 1960sis also a policy choice. This is why the lack of accountability towards education is a serious development issue particularly within the civil society circle (Bhanji, Z.2008: 55-73). Coupled with the lack of accountability is the absence of a global accountability mechanism to hold those who make empty promises accountable for failure to deliver development goals and for the consequences thereof. Therefore the study examines the problem of resource mobilization for NECs in four Africa countries; assessing the factors and strategies, which influence their ability to mobilize resources to strengthen the effectiveness of their watchdog role. An active and a sustainable role of civil society in the development process have the potential to improve accountability, predictability, transparency and performance of development efforts on the continent. Africa cannot improve its governance without investing in a sustainable watchdog role of a strong and independent civil society. This requires dedicated resource to nurture, coordinate and organize this role.

1.4 SIGNIFICANCE OF THE STUDY

The lack of global accountability therefore remains a major gap in the development process (Glenn, J. 2008: 217-238). There are no such global regulatory mechanisms capable of resolving development accountability issues, or advancing the interests of the developing countries in global governance debate (Cutler, C. 1999:59-81). In the views of Karl Polanyi (1943), some sort of a 'movement' was required to address this gap to ensure citizens are protected from an unfettered capitalist logic. However, sixty-six years since the Universal Declaration of Human Rights was first made, there is no evidence of such efforts (Mundy, K. 1998:448-478). Instead, access to basic human rights such as education has increasingly become a consumer good. This is due to the growing pressure from the profit-seeking logic, which has led to rapid of basic social services that

reached it heights in the 90s as a result of the structural adjustment programmes of the IMF and the World Bank. The 4 billion people who live on less than $2.00 a day are today more in need of protection through some kind of public accountability system, than they were sixty years ago Dixon, P. & Tooley, J. 2005). While there is recognition of the role of aid in development and the challenges of sustainability in the development, little focus has so far been placed on accountability and the role of Civil Society Organizations (CSOs) in addressing these challenges (Joaquin, L.1998; De Beer, F. & Swanepoel, 1998). The question therefore is, how can Africa work hand in hand with civil society organizations to ensure that the most excluded are those who have access to education as a right and not as a consumer good? And, how can the continent work towards policy choices that prioritize both accountability and sustainability in its development process? With many democratic and efficiency deficits, development accountability in Africa remains either too thin or Non-Existent. African states need to become more accountable to the public. CSOs also need to play a stronger and more sustainable role in demanding for greater transparency in holding to account those who make development promises and refuse to deliver. The CSOs need to be recognized as credible social actors and legitimately supported as equal players in the development processes.

Despite the plethora of research in the field of civil society and education, the contribution made by NECs in nurturing civil society empowerment, democratic processes and accountability has not yet been explored. This study therefore sought to explore the role, identity and support context of National Education Coalitions supported by the Global Campaign For Education (GCE) in Africa; assess factors, which influence their ability to mobilize resources to strengthen the effectiveness of their watchdog role; iidentify some of the strategies used to mobilize resources and propose a funding model to sustain the watchdog role of CSOs in educational development processes. The ultimate aim was that an active and a sustainable role of civil society and their participation in the development process have the potential to improve accountability, predictability, transparency and performance of development efforts on the continent. Africa cannot improve its governance without a sustainable watchdog role of a strong and independent civil society, and without an effective institution to nurture, coordinate and effectively organize this role.

1.5   RESEARCH OBJECTIVES

The objectives of this research were to:

1. Clarify the identity, strategy and support context of National Education Coalitions supported by the GCE in 4 African countries, namely Ghana, Zambia, Tanzania and Malawi.
2. Identify factors, which influence the ability of NECs to mobilize resources for effective watchdog role of Civil Society in development.
3. Identify strategies used by NECs to organize and manage successful resource mobilization programmes.
4. Propose a sustainable model for resource mobilization to strengthen the role of CSOs in development

1.6   RESEARCH QUESTIONS

The study is guided by the following research questions:

1. Which are the NECs supported by the GCE? What constitutes the support base of NECs? What value do NECs in Ghana, Tanzania, Zambia and Malawi seek to create?
2. Under what contexts have the NECs in Ghana, Tanzania, Zambia and Malawi sought to mobilize resources to implement their strategies? What organizational factors have influenced the success of their resource mobilization programmes?
3. What strategies have conditioned the success of the resource mobilization programmes implemented by NECs in Ghana, Tanzania, Zambia and Malawi? What systems are being used to support resource mobilization programme to achieve its potential?
4. What would a sustainable resource mobilization model for civil society entail? What risks would a successful resource mobilization model for civil society face? What operational capacity would be required to implement a sustainable resource mobilization model and avert these risks?

1.7   RESEARCH DESIGN AND METHODS

The overall design of the study was structured in two phases; a desk study in which quantitative and qualitative data was generated through a comprehensive desk review of project reports and a range of relevant literature to answer the research questions. Questionnaires and Focus group discussions were the qualitative methods used to bring together and balance qualitative and quantitative evidence from different sources. Data was collected from the representatives of participating NECs, CSOs, donor organizations, International NGOs, government officials, private sector and foundations, to make possible the comparability of data, distinguish evidence clearly from the factual findings and to take account of and feed the different perspectives into the research findings, conclusions and recommendations. The research engaged key stakeholders and worked closely with the NECs in the four countries to ensure reliability and validity of findings.

The research design was informed by theoretical and empirical literature on (a) the study of social movement organizations and (b) critical literature that looked at the major discursive and material trajectories in education that emerged in the wake of globalization in 1990s; namely, education as a human right under the Education for All/Millennium Development Goals; and education as an emerging market and new services sector (Cassidy, T. 2007). The trajectory on education as a human right under the Education for All/Millennium Development Goals helped to integrate the study into a new global governance agenda for education, spurred by the Neoliberal ideology and driven by a coalition of powerful global actors- influential nation states, multilateral institutions, foundations, transnational firms, and Non Governmental Organization (Cardoso, F.H. 2003; Chan, J. 2006:359-376). From the literature on the social movement organizations, advanced in the Social Movement field by theorists such as Marx (1974: 402-442) Turner (1964: 382-425); Gurr (1968: 1104-1124); Oberschall (1978:257-289); and Jenkins (1983: 527-553) were used to guide inquiries into primary and secondary research questions.

Summary of research methods

To triangulate information, opportunity was provided for 32 respondents to take part in individual interviews. Four focus group discussions were also held with 32 participants across the four countries. To contrast empirically the information provided by NECs, documentary review and

contra factual analysis was undertaken to compare documents produced by NECs with the documents such laws, polices, agreements, etc approved by the decision makers.

Sampling methods

The study population was made of 20 NECs in Africa, all established from 1990-2008. In the sampling process, two methods were applied; a cluster sampling technique to group NECs into two initial categories: NECs that had been in operation for more than six years (8) and NECS that were less than six years old (12). To take into account voices other than those of the civil society education coalitions, a second sample group which included 15 officials from the Ministry of Education offices were purposively sampled to make the triangulation of data and information obtained possible. A third group of 20 respondents were selected purposively from international NGOs, donor organizations, private sector and corporate foundation which support CSOs, to take account for the different perspectives into the research findings, conclusions and recommendations. The comparative method used provided a basis for a problem solving logic and attribution of causality at all stages of the research project (Brady, H.E. 2010: 237-242).

Data collection techniques

Primary literature study/sources

The main sources of data came from over 180 project reports obtained from the **Africa Network Campaign for Education for All** (ANCEFA). The use of the project database ensured the validity and reliability of information used for the study. Statistical information was generated from the project database for each NEC.

Pre-test of research instruments

Research instruments were pre-tested with a sample of 10 participants outside those selected to participate in the study and then modified, adjusted and finalized in readiness for the actual data collection exercise. The questionnaires were also given to experts to evaluate to ensure content validity and overall suitability of the themes.

Procedures for data capture

The procedure for data capture included a manual check for each questionnaire for completeness; transcription of tape recorded interviews; identification of emerging themes and sub themes and conceptualized and de-conceptualized for text to be organized into different themes and sub themes in readiness for analysis. Altogether 32 in-depth interviews and 4 focus group discussions involving 36 were captured.

Data entry, cleaning and presentation

Data collected was entered into statistical package for social scientists (SPSS) and exported into Excel spreadsheets for analysis with the help of an experienced data entry expert. The process for data entry involved coding of all the questionnaires with unique identity (ID) and creating a screen for data entry; data cleaning and verification; office editing and checking for mistakes and omissions (Oppenheim 1998:77). Based on emerging themes, patterns were identified and conclusions were drawn on the strength of empirical evidence to ensure validity of results (Mouton 1996:111).

Data analysis

The research came up with an analytical framework that merged in a coherent manner three relevant analytical frameworks-the Strategic triangular Framework (Moore, M. 2000); the political process model of Charles Tilly (2001:21-41) and the resource Mobilization Approaches of McCarthy and Zald (1977:1212-1241). Using the three framework of analysis, qualitative and quantitative data generated throughout the research process was conceptualized and de-conceptualized to create relevant themes and meanings (Mouton 1999:33-77). Sub themes that emerged were grouped under two main themes; systemic and relational factors, to analyze the political, social and economic issues and their influence on the operation, role and impact of NECs in the development process.

The Sources of Funds for National Education Coalitions

The strategic triangle framework of analysis was used to answers to the question of "what are the sources of income for the NECs? From the review of literature, the general trend of funding channeled to CSOs was established and the main sources of funding identified. Based on quantitative data collected from a sample of 12 NECs, the research established the main categories of the funding-sources for NECs over the last three years; their funding trends and the percentage of total funding generated from the different funding categories including disaggregation of funding from international NGOs, multilateral agencies, bilateral agencies, foundations and from their governments. Using data available from 5 NECs, the research compared the amount of funding generated from the CSEF versus other sources, demonstrating the importance of support base and network of a NEC in attacking funding.

The Added Value of National Education Coalitions

The research analyzed the role of NECs in enhancing public accountability. It examined how NECs have worked through their membership to address key educational concerns, and how they have mobilized and acted through interest groups, organizations and associations to access relevant policy institutions and decision makers at national level; what this participation has contributed to the performance and sustainability of educational programs and projects as well as impact on the capacity and skills of stakeholders involved. At grassroots level, the research sought to establish what NECs have accomplished to make government structures flexible enough to offer people the opportunity to improve the design and implementation of public programs and projects; the impact on increased ownership and results and in promoting the interface between civil society groups and public agencies. This analysis was based on the hypothesis that the effectiveness of public policies and public institutions improves with the broad participation and support of the civil society at all levels. It was therefore necessary for the research to examine in detail the activities of NECs, which offered an alternative means of identifying people's interest, mobilizing public opinion, and organizing joint and coordinated civil society led actions to address a number of education issues in these countries. Being close to their constituents, the research sought to understand how NECs have enhanced participation and fostered a bottom up approach to educational policy and development.

1.8 OUTLINE OF THE DISSERTATION

Chapter one (1) introduces the focus of this study. It provides a background to the role of civil society in education and development and the importance of the watchdog role of civil society organizations. It places this role in the context of the good governance agenda of the 90s and within the two trajectories of education as a human right on one hand, and as an emerging market services on the other. The chapter examines the role of the World Bank in international education since 1960s and how this has influenced educational development over the last four decades. It presents the research objectives, research questions, research design and research methods and clarification of terms.

Chapter two is a presentation of literature review. The chapter looks at Civil Society trends in the development agenda. It reviews the work done on previous research on the role of civil society in education. In particular, the impact of globalization, development aid, neoliberalism and the IMF and the World Bank's structural adjustment programme on education and on education civil society. The chapter expounds the role of civil society in education as a human right under Education for All/Millennium Development Goals; and, a defender of education against privatization and the forces of an emerging market and new services sector. In the chapter, theoretical issues on the funding trends to education civil society as well as the key aspects of major funding sources and the changing context in the funding climate for civil society is discussed.

Chapter three sets out the research methodology and the rationale for the research design for each of the four research objectives. It presents the qualitative research approach used in the study as necessitated by the research questions. The chapter provides details of data collection methods, sources, processes, data analysis, interpretation, validity and reliability.

Chapter four (4) is a presentation of the research results on objective one. The chapter uses data collected from secondary sources through documentary review and questionnaires to analyze and interpret the first objective of this study, to clarify the identity, support context and the added value

of National Education Coalitions in education. The findings for each theme are discussed and matched with evidence generated from 42 National Education Coalitions.

Chapter five (5) presents the research results on objective two (2). The chapter uses data collected through open-ended questionnaires, interviews and focus group discussions to analyze and interpret the organizational and contextual factors, which influence the ability of NECs to mobilize resources to strengthen the effectiveness of their watchdog role in educational development. The findings are discussed under two broad themes-context factors and organizational factors. For each of these themes, a number of sub themes are discussed to reflect the key findings and implications on National Educations and civil society organizations.

Chapter six (6) presents the research results on objective three (3). The chapter uses data collected through open-ended questionnaires, interviews and focus group discussions to analyze and interpret the strategies used by NECs to mobilize resources efficiently and sustainably to support the watchdog role of CSOs. The chapter draws from the experiences of NECs in Ghana, Tanzania, Malawi and Zambia, across different scales-local, national and international, to answer two questions: (a) what strategies condition the success of the resource mobilization programme implemented by NECs? (b) What systems are used by NECs to support a successful resource mobilization programme to achieve its potential?

Chapter seven (7) presents the research results on objective four (4). It draws from the experiences of NECs in Ghana, Tanzania, Malawi and Zambia to respond to three research questions (1) what would a sustainable resource mobilization model for civil society entail? (2) What operational capacity would be required to implement a sustainable resource mobilization model? (3) What risks would a successful resource mobilization model for civil society face and how can these be addressed? The chapter discusses how resources can be mobilized, organized and managed to develop the role of CSOs more sustainably. It employs the donor pyramid to envision a sustainable resource mobilization model for civil society organizations in support for educational development.

Chapter eight (8) is a summary of discussions, conclusions and recommendations to the research questions. The chapter is based on the literature review and is supported by the empirical findings

of the study. It address all research questions pertaining to identity, support base and added value of National Education Coalitions; the contexts in which the NECs in Ghana, Tanzania, Zambia and Malawi have sought to mobilize resources to implement their strategies as well as the systems being used to support resource mobilization programmes to achieve full potential. The chapter also covers discussions, conclusions and recommendations of the study.

CHAPTER TWO

LITERATURE REVIEW

2.0   INTRODUCTION

This chapter reviews theoretical and empirical writings on the subject of international education. It relied on the literature on social movement to locate the role of National Education Coalitions or civil society advocacy organizations and identified some of the unresolved theoretical problems used to determine the lines taken by this research. The chapter draws from a plethora of critical development literature on education that looks at the major discursive and material trajectories in international education and which emerged in the wake of globalization in 1990s. This includes trajectory on education as a human right under the Education for All/Millennium Development Goals; and, education as an emerging market and new services sector. The chapter examines the new global governance agenda on education, spurred by the Neoliberal ideology and driven by market forces led by a coalition of powerful global actors including influential nation states, multilateral institutions, foundations, transnational firms, and Non Governmental Organizations (Chan, 2006). From the major schools in the Social Movement field, the chapter reviews the conceptualization of modern Social Movement organizations embedded in Marx (1974: 402-442) Turner (1964: 382-425); Gurr (1968: 1104-1124); Oberschall (1978:257-289); and Jenkins (1983: 527-553).

2.1   OVERVIEW OF THE ROLE OF CIVIL SOCIETY IN DEVELOPMENT

By definition, civil society includes an array of actors: development NGOs, trade unions, community-based organizations, and thinktanks among others. The UN definition includes a wide range of non-state actors including Parliamentarians and the private sector (Agg, C. 2006). These organizations respond to very disparate levels of ambition, manage different quantities of human and economic resources and deploy a broad range of action and meaning repertoires. Civil society can also be more institutionalized, formalized, spontaneous and oriented to collective political action (Feldman, 2006:7-14). Through these, civil society coalitions have been able to articulate different organizations and rationales in a unique space, generating mutual learning processes and economies of scale in the public domain (Bhanji, Z. 2008: 55-73). This vibrancy witnessed in the public domain is attributed to the peaceful political environment and the emerging democratic

culture in developing countries; the shift in the focus of civil society organizations on rights-based approaches aimed at empowerment and advocacy and the move away from service delivery to advocacy-pressing for more engagement in policy-making, implementation and monitoring in promoting good governance, accountability, transparency, rule of law and integrity in public administration. Besides this defination, the development of civil society has been heavily perceived as a means to promote the ever-changing donor agenda rather than support for the growth of an independent civil society promoting its own agenda. This is mainly because of their high level of dependence on international donor programmes for resources (DANIDA, 2010).

The development of civil society has also been influenced by globalization. Globalization has significantly enhanced the capacity of civil society organizations to participate and to influence. This has been as a result of increased capacity for information flow and exchange made possible by available information technology in the global arena (Robertson, S. 2008:472-496). With information flow came the rise of citizens' action, inspired by civil society's influence in the management of global change, with many civil society groups being organized around the world to articulate new ideas and proposals, argue, negotiate, protest and exercise political pressure. According to Robertson, globalization has given rise to an unprecedented public space, a stronger focus on human rights agenda and the concept of the global citizenship, which has simultaneously reinforced the growth and influence of civil society-values that are universally applicable to all peoples everywhere and concern for the wellbeing of future generation embodied in the notion of 'common future' (Robertson, S. 2008:472-496). As a result, the last development decade witnessed a growing interaction between the United Nations (UN) and civil society, with concerns being raised on the need to review this interaction to ensure greater coherence and consistency in the rules of engagement, revisit policies and procedures and explore new alternatives and opportunities to strengthen this role.

A key question pertaining to civil society role is how to combine the strengthening of civil society at the local and national level with the promotion of citizen's involvement with global issues. According to Alesina, the vast majority of CSOs is nationally based and issue oriented (Alesina, A. & Dollar, D. 2000: 33-36). Owing to this diversity, the ways through which they interact with and influence global governance is also diversified, ranging from advocacy and public protest to consultation and partnerships with different agencies and programmes, making the goals, motivations and patterns

of interaction of civil society groups with governments quite diverse. It is therefore a complex process to contemplate circumstance in which it would be desirable to propose common guidelines or rules of engagement for civil society as a whole to elicit their fullest participation in development governance. For Robertson, the few CSOs that have a global outreach often interact with the institutions of global governance only when the issue on the agenda is of direct concern to them. This means that the democratic transition, which should have enhanced their meaningful engagement with institutions of global governance, has not done so at least in practice. In many developing countries the pattern of relationships between state and civil society also varied across countries, as the strengthening of democracy and citizenship is an ongoing process. In some countries, the question of civil society participation in governance is not yet on the national agenda. Because civil society deals with national and global spheres, which are both, interrelated and interconnected, their level of organization needs to be coordinated beyond territorial boundaries in order to have a meaningful level of influence on global governance processes. Civil Society advocacy and political pressure must combine simultaneous levels of action moving back and forth from local to global levels. In their engagement with global and national governance, CSOs have to derive their legitimacy from what they do, not from whom they represent. The power of Civil Society lies in their capacity to argue, to propose, to experiment, to denounce, and to be exemplary. It is not the power to decide. Strengthening civil society interaction therefore means acting from the highest to the lowest levels of the system.

The next element that requires attention is the question of how to combine support for civil society's role in global governance with the preservation of national sovereignty and equity in international relations. Decentralization of power and resources to local levels requires that local CSOs be strengthened as this presents civil society with unprecedented opportunities for more horizontal forms of interaction and collaboration with governments. According to Brett (1993: 269-304), Civil Society has the capacity to act on its own, without depending on any authorization or mandate. But given the intergovernmental character of the national and global politics, the rules of their engagement depend on decisions taken by states involved. The question therefore is how to overcome existing prejudices and misconceptions so that governments do not associate greater civil society influence with the undermining of their sovereignty and the widening of power imbalance between the North and South. There are concerns that civil society direct participation in decision-making process could undermine the intergovernmental process (Altember, T. 2005). To

address this, it becomes important to demonstrate the effectiveness of collaboration and build consensus on a positive agenda for the future. While a vibrant national civil society working together with government increases national resource investment on social development and strengthens the country's voice in global issues, too much emphasis on gaining power to influence issues may be counter- productive and could generate a backlash (Brett, E.1993: 269-304).

The last decade has also witnessed the growing role of civil society in the radicalization of the anti globalization movement; with more disruptive forms of public protest than ever seen before, questioning the very legitimacy of some multi lateral institutions-the International Monetary Fund (IMF) and the World Bank (Brown, L.D, et at,. 2000). Protests linked to the impact of Structural Adjustments programmes and the IMF and World Bank economic policies led to some governments reacting to the growing influence of civil society in decision-making process as a threat to their national interest and sovereignty. The threat to civil society's growing role was compounded by the fact that civil society is not only diverse and complex, but also deeply divided. Besides complicated internal dynamics, civil society may also advocate for causes that are deeply controversial and in some cases, incompatible with universally accepted norms and principles. This creates an environment in which political pressure and social demands are exerted on power holders without passing through the traditional structures of political representation.

According to Tandon (1996), civil society agenda are related to the broader issues of the state, society and development in the current global conditions (Tandon, Y. 1996:293-303). Because of this, many large INGOs that used to undertake development work in Africa have now shifted their resources to advocacy, driven by the concept of good governance, which came to prominence when donors decided that it was not enough to institute economic reforms in Africa without reforming the manner in which African governments carry out the business of governance. The role of CSOs is to understand the circumstance under which governance has became a donor issue and the manner in which the issue is used to further entrench donor control over Africa. To achieve this, there are four key areas in which democratic and patriotic NGOs can make a useful contribution to the continent; insisting on broadening the concept of good governance to include 'effective' as well as 'democratic' and human governance; continually remind the world that the people of Africa have been fighting for democracy for centuries. The West has just recently wakened up to this realization; explain that the west's recent conversion to democracy in Africa is

purely opportunistic (Tandon, Y. 1996:293-303). Tandon opined that the agenda for good governance continues to remain the agenda and responsibility of the people of Africa; explain that in the present conjuncture, governance is largely for the benefit of large foreign corporations that control the vast resources of Africa, a tiny clique of African elite that act as middlemen and the ruling groups who carry out the task of governance on their behalf. Given this circumstance, the role of CSOs is to emphasize the two sides of good governance-democratic and effective; which means regular, free and fair elections including the role of the opposition and the larger civic and political rights-the right to free and fair trial, the right to freedom of expression and organization; that CSOs must emphasize the link between democracy and accountability for example, the manner in which those who govern are held accountable to the governed; the issue of maintaining order without the demand for order taking priority over those of accountability and economic growth. According to Tandon, CSOs must reach out to the grassroots communities to identify and strengthen alternative development strategies and institutions of governance based on people's efforts and indigenous knowledge systems; launch major public education campaigns to expose bad policies for what they are-benefiting transnational corporations other than creating an environment for African entrepreneurial initiatives to develop; improve conditions for universities and research institutions as focal points for harnessing indigenous knowledge systems and strengthen indigenous democratic traditions of Africa, and help build forms of democracy and rules of accountability that are authentic to Africa and not mere imports from the Western World (Tandon, Y. 1996:293-303).

The contribution of NGOs was also in the area of developing alternative development paradigms, which clearly distinguished them from mainstream and conventional development actors (Tandon, Y. 1996:293-303). This paradigm meant local level development, which was seen to be in contrast to the agenda of national level development of newly, liberated postcolonial states after World War II. The local agenda of the alternative development paradigms had local priorities with individual village or slum as space for improving people's socio economic situation, with their small scale nature of development efforts, in contrast to large scale macro development programmes-large dams, hydroelectric power stations, roads, mines, industries, plantations which were launched with great vigor and pride but failed to deliver development; an integrated approach which implied looking at individual, her family and community as integrated whole and converging development inputs in an integrated fashion so that individuals, families and communities could all benefit-in

contrast with fragmented, sectoral development schemes run by national governments which addressed one aspect of human existence-water, education, health, electricity etc. According to Rajesh, it's the participatory nature of CSOs, their belief that development cannot be delivered from the outside, that people can develop themselves and that their own development, engagement and contribution are essential foundation for sustainable development, that people's participation could be enabled through drawing on local knowledge, local resources and enhanced through a series of interventions leading to their collective empowerment and which give meaning to the role of CSOs. It's this ideological and inspirational character, which puts the needs of groups in the context of social and economic transformation-inspired by the suffering and deprivation of marginalized section of society and committed to bringing about socioeconomic equality and justice in areas such as non formal education, community organizing and local leadership building which sharply contrasted with mainstream development paradigm focused on growth in GNP and macro economic development.

According to Tandon, civil society has played such a crucial role at the state's inability to improve welfare, particularly in postcolonial states in Africa, which were characterized by single party authoritarianism, solely determining development agendas, mobilizing development resources and delivering development. As a result, in many parts of the world, large-scale development projects were resulting into displacement and social evils. The contributions made by CSOs led to the development of alternative development paradigm to the practice of the state. This led to NGOs becoming critiques of failed development projects on the basis of who benefits from them and who bears the cost; hence the emergence of what became known as the rights based approach to development. These critiques gave birth to a new agenda in the development paradigm- the concern for the environment, ecology and sustainable development, the rights of women and gender equity, which is today a major part of the alternative development strategy. As a consequence, NGOs gained significant visibility between 1970s and 1995 in almost every country in the world. With this development in the civil society sector, new challenges cropped up-need to address the imbalance in resource allocation. A significant increase was seen in the flow of resources to NGOs from global institutions, national governments as well as from private foundations and other sources. Because of their influence on government bodies; INGOs gained enormous access and began to be invited to be part of various official governmental committees at national levels, the UN system and the Bretton Woods institutions. The period also witnessed an

enormous growth in the size and diversity of the NGO community operating in many more countries of the world ranging from those working in service delivery to welfare, to emergency operations, to policy advocacy, to networking, to researches and capability building. This led to their influence on democratization process. According to Rajesh, by the mid-1990s many countries had become democratic and the NGOs were seen to have played a significant role in energizing people's democratic aspirations and resulting democratic transition in countries such as the Philippines, Chile and South Africa. The CSOs have influenced national and international development policies, priorities and discourses in the direction of their own experience as the big players of development have incorporated the alternative principles espoused by NGOs more than two decades ago – participation. Mainstream developments now reflect that perspective. NGOs have influenced development discourse, but the practice needs much more improvement. The way forward is for civil society to strengthen their fronts to hold these macro players accountable to their own rhetoric not to take this for granted.

CSOs in Africa continue to face many challenges. CSOs have largely ignored the role of small-scale private entrepreneurship in driving both their role and economic development (Tandon, Y. 1996:293-303). This is despite the examples of China and India. CSOs continue to face challenges on the question of how to promote a more efficient, transparent, accountable apparatus of democratic governance in societies; how to deal with formal political system in the country; the growing government expenditure on militarization and defense, over staffed public agencies which remove money away from social development and poverty eradication. According to Rajesh, not many CSOs see this link or are willing to take stance on issues of militarization. Many NGOs neither understand the political process nor are in a position to deal with the politics of negotiation and consensus building across diversified groups and varied priorities, which is the basis of democratic governance in any society. NGOs from experience offered effective resistance against certain policies and programmes at the time when governments were unwilling to listen. As governments and international agencies have began to invite NGOs to work with them in shaping policies and programmes, NGOs often find themselves in a dilemma about what to propose as solutions, what to recommend as models, partly because NGO experience has generally been limited to micro level, small scale projects from which it is difficult to extrapolate to macro-level or international policies and programmes. Because of differences in issues and interest among NGOs, it is difficult for them to fit the democratic framework, which requires solutions to be

generated through political negotiations and contentious consensus building. Having taken a moral high ground on certain issues, many NGOs find it difficult to reconcile their issues with other and find a compromise.

In general, African CSOs have historically relied on externally generated resources-most of which have come from development aid. In recent years, a large proportion of this aid has been channeled through governments (Tandon, R.2000: 319-329). Contributions from development aid are stagnant and declining. Dependence on aid has forced many NGOs to resort to service delivery, depriving them of their ability to maintain autonomous, independent perspective and positions on a wide range of issues; leading to an orientation of NGO accountability away from the grassroots and questions on how CSOs can pursue their vision and priorities when they are accountable to external donors. According to Tandon, NGOs do not simply exist to spend money that they occasionally receive. They exist to pursue a particular vision and set of development priorities (Tandon, R. 2000:3 19-329). Their role includes; resistance of non-pro poor policies and development programmes; informed critique and advocates-challenging the social cost of development policies and programmes. It also includes introduction of alterative development paradigm; the rights based approach to development, with emphasis on a whole range of human rights. Further NGOs can influence development discourse and agenda of major development players such as the IMF, World Bank. They can have access to the UN system and governments as a means to influence development polices at all levels and carry out resource mobilization to channel development to grassroots levels and influence democratization process. CSOs have a crucial role in:

- Challenging the legitimacy and the direction which development programmes have taken;
- Contributing to social justice-their contribution to the World Social Summit and the creation of new alliance between northern and southern NGOs;
- Identifying, articulating and implementing programmes that address social and economic costs of structural adjustment for the poor; transfer of new agricultural technology and practices;
- Providing humanitarian aid and distribution of goods and services;
- Introduction of functional literacy, credit and extended family planning services for women;
- Enabling the earning capacity and sustainability of small scale agricultural and non- farm producers and providing sources of innovation and new thinking; the experimental context in

which to test development approaches that are focused on small-scale, decentralized, participatory projects (Feldman, S. 2006:429-444).

2.2   GLOBALISATION AND THE ROLE OF CIVIL SOCIETY IN DEVELOPMENT

Globalization is defined narrowly as the free movement of capital, ideas, goods, services and people around the globe, facilitated by recent advances in digital technology, new forms of flexible production and multilateralism, the ceding of crucial elements of nation/state sovereignty to the individual and to other scales of rule, and so on (Prabhakar 2003:303). Globalization has brought new challenges and opportunities to CSOs (Cutler, C. 1999: 59-81). According to Cutler, the key challenge for CSOs is how to tackle the ills of globalization, as the benefits of globalization remain unevenly distributed across the world. According to Porter (2003) the ambivalence of NGOs towards globalization and its forces is a main development challenge. This ambivalence continues to paralyze NGOs and undermines their ability to tackle the ills of globalization in development, while continuing to challenge, critique and resist others (Porter, G. 2003: 131-145). Globalization has opened up new political opportunities as well as challenges, for civil society organizations (Robertson, S. 2008: 427-496). There are concerns that CSOs have lagged behind in their effort to tackle these challenges and its effects on education. This inability is a result of the failure to build global civil society coalitions with the capacity to tackle these ills (Cutler, C. 1999:59-81). Because civil society is diverse and coalition building is a problematic process, the parts involved have to negotiate new identities, priorities, aims and political cultures in the context of a globalized world. This means that with globalization, civil society coalitions have to re-scale their activity and create more links at the international level, in parallel to the evolution of global politics (globalization). As a response to the constitution of a multi-level governance scenario brought about by globalization of politics and the economy, transnational advocacy coalitions and global social movements are emerging at a rapid rate (Borwn, L.D. 2000).

Over the last two decades, a strong body of research has evolved on the subject of social movement and globalization. However, the majority of these are in the field of 'social movement unionism' (Waterman, 1998; Moody, 1997; Munck, 2002; Novelli, 2002; 2007). However, few have explored the fields of civil society coalitions and alliances within the social movement conceptualization (Novelli, 2002, 2007). Most of the literature on this subject were located in the public sector and focused on trade unionism, considered more institutionalized, formalized,

spontaneous and/or oriented to collective political action. In their writing (Keck and Sikkink 1998; Mundy & Murphy 2001; Tarrow 1994), civil society coalitions are portrayed as going through a process of movementization; re-scaling their activity and creating more linkages at national and international levels, in parallel to the evolution of global politics and leading to the constitutionalization of a multi-level governance scenario for *transnational civil society* advocacy coalitions (Oslender 2004; Herod 2001, Waterman 1998; Waterman & Wills 2001).

Others studies on globalization has viewed this re-scaling factor either as a 'process without a subject' (Hay 2002) or as the transposition of power to the global scale away from nation states, some suggesting the decline of nation states or even local social movements (see Weiss, 1998; Scholte, 2004; Mittelman 2001; 2004 for critique). However, there is a growing view that the national state has not disappeared as an actor; rather there has been a process of 'rescaling' of power (up, down and out) and the 'relativization of scale' making the sub-national, local, regional and supranational scales increasingly important (Brenner, 2004). These processes assist in understanding why, for example, the World Bank and supranational organizations are increasingly influential at the same time, as processes of decentralization have increased local- decision-making power. Similarly, theories of NGO and Social Movement activity often polarize debates, transposing either a highly localized (Flainigan, W.H. 1970) or globalized (Fogelson, R. 1968) understanding of social movement strategy. Waterman (2001) makes assumptions about the need for social movements to 'mirror' capital's tendency to 'go global' by themselves globalizing.

The concept of globalization emerged on the realization that new global governance institutions were needed to reinvigorate and negotiate global trade interdependence (Linden, 2003:54). The economic impact of the two World Wars and the protectionist tariffs that followed, limited trade and capital flows across borders to an extent that from 1914-1950, world trade was on a serious decline. This affected access to education in developing countries. From 1950 to 1973, the World's GDP gained momentum, as the United Kingdom (UK) and the United States (US) succeeded in hammering out a self-regulatory deal, approved by the world economists in July 1944 in Bretton Woods. The Bretton Woods agreement led to the creation of the International Monetary Fund (IMF) and the World Bank. It was until the mid 1980s that global trade as percentage of world's GDP started to grow to a level prior to World War I. The growth in the World's GDP in the 1980s according to Linden reinforced the belief in globalization and the role of international institutions in

building a new global order. The Bretton Woods agreement essentially globalized the US Dollars by tying its exchange rate to gold, and those of the rest of the worlds' currencies to the US dollar, until President Richard Nixon broke the link with gold in 1971 to handle the rising US trade deficit. The US under Nixon's leadership issued new treasury bills so that the American people could go on consuming more of the world's wealth than they created. By 1970s, the reserves in the World's central bank (The World Bank) rose sevenfold, leading to massive international movements of capital and the export of cheaper credit to developing countries. In response, the OPEC states quadruped the price of oil in 1973 and 1974, exacerbating the problem of excess global liquidity and worsening its resultant inflationary impact on the global economy. The crisis continued until the early 1980s, when the US decided to hike interest rate.

2.3   THE MILLENNIUM DEVELOPMENT GOALS AND EDUCATION

Following the emergence of globalization in the 1990s, two major discursive and material trajectories on education has evolved. The first of the two trajectories is education as a human right under the Education for All and the Millennium Development Goals. The second is education as an emerging market and a new services sector (Chan, J. 2006: 359-376). The two trajectories are interwoven in a new global governance agenda of education, spurred by a powerful coalition of global actors that includes influential nation states, multilateral institutions, foundations, transnational firms, and Non Governmental Organizations (Dia, M. 1994: 29-54). This means that the contours of this new global agenda in education have been advanced by neoliberal policies through globalization.

2.4   EDUCATION AND NEOLIBERALISM

The oil crisis of 1974 raised the cost of production, forcing policy makers into contemplating a major restructuring of the global economic system. Led by President Ronald Reagan, Prime Minister Margaret Thatcher and Chancellor Helmut Kohl, the Keynesian Economic policy framework was rejected, in favor of a neoliberal ideology (Prabhakar, A.C: 2003:303). The new liberal policy inputs driven by the World Bank, the IMF and the World Trade Organization (WTO), working side by side with a network of the Wall Street and the US money lending agencies in the Euro currency markets and multilateral corporations such as Coca Cola, Disneyland, McDonalds, Exxon, and Microsoft, along with Sonny, Shell and others, were based on the neoliberal policy

agenda which emphasized; fiscal discipline; concentration of public expenditure on public goods; tax reforms; positive interest rates; competitive exchange rates; trade liberalization; openness to foreign investment; privatization of state enterprises; deregulation or abolishment of regulations that impede competition, except for those justified on safety, environmental, and consumer protection grounds, prudential oversight of financial institutions, and legal security for property rights (Hayami, 2003:69). As Prabhakar illustrates, the consequence (of globalization) from mid 1980s, was the rapid expansion of multinational firms (MNCs) in developing countries and the beginning of the globalization or internationalization of both services and manufacturing, with a fertile ground being set for the multilaterals to flourish. Consequently, there were well over 60,000 Multi lateral Corporations at the turn of the millennium, with over 820,000 foreign subsidiaries on the international landscape, with a total turnover of US $ 15.6 trillion (Linden, 2003:58). By the end of 1990s, 75% of the world lived in underdevelopment, and the number of people in extreme poverty had climbed to 1.2 billion (Prabhakar, 2003:318). The revenue of the richer countries that in 1960 was 32 times bigger than that of the poor countries amounted to 82 times bigger by 2002. Inequality between developed and developing nations became extreme. The assets of the 3 wealthiest persons in the world now equal the GDP of 48 countries combined and the most affluent 5% in the world earned 114 times more than the poorest 5%. The impact of this on education was negative. More than 140 million children remained out of school and little was done to support the role of local civil society organizations in development.

2.4.1   Education and the Structural Adjustment Programme

From 1973, the World Bank began to play an active role in poverty eradication, with McNamara's-the Bank's President, first term being dubbed as a period for the search for policy alternatives and strategies to reduce poverty in developing countries (Balls, S.J.2007). Smallholder agriculture, a strategy that became known as the Area Development Approach was promoted as the backbone for poverty reduction. The failure of the area development approach in Tanzania set the tone for the shift to privatization and liberalization in 1980s and 1990s. This became known as the Structural Adjustment Program (SAP) (Taylor 1997:147). Over the same period, there was convergence on what became known as the *World Bank and the IMF development-neoliberalism,* giving way to a full scale amalgamation of three neo liberal policy inputs; the IMF's financial stabilization policies; the World Bank's policies of market deregulation; and the Thatcherite policies

of privatization of public institutions. The three policy prescriptions formed a package of policy measures implemented through; devaluation of currencies, lowering of trade barriers and foreign exchange controls, liberalization of domestic financial and labor markets and privatization. Liberalization of the financial market and exchange controls were to allow the market to freely determine relative prices such as interest rates and exchange rates. By doing so, it was thought that rent seeking and corruption would be addressed; that liberalization of the financial market and state contraction would curb excessive power enjoyed by politicians and bureaucrats, to spur rapid and equitable economic growth.

Under the Structural Adjustment Program (SAP), credit to developing countries was allocated in tranches with conditionality becoming stricter with each tranche (Ferguson 1988:204). By 1978, tougher conditionality had been introduced by the IMF through the standby agreement facility, proceeding the period 1981 when structural adjustment became the dominant policy agenda for all foreign assistance to Africa. According to Ferguson, by 1981, African countries had taken nearly 59% of the total IMF loans and overall credit allocation to Africa had grown 10-folds from 1960s.To ensure that creditors were paid without default, the central focus of the IMF in Africa became macroeconomic stabilization to reduce trade deficits. This was achieved through a combination of fiscal and monetary policies, which included cuts in public spending and credit restraints for the public sector in order to cut down aggregate demands. Through 'Financial programming' the IMF experts set performance targets using developing country's balance of payments. These targets set limits on permissible growth of money supply and the proportion of the fiscal deficit to GDP acceptable to the IMF. The macroeconomic models used to determine these targets presupposed that reducing the fiscal deficit automatically would lead to a lower trade deficit with no effects on output. However, such assumption frequently turned out to be false (Ferguson 1988:204). By reducing aggregate demand, the IMF policies lowered GDP growth rates, hiked inflation and reduced imports.   Additional aid intended for social services such as education and health was instead diverted into building large stocks of foreign reserve to finance the deficit between import and export. This was referred to as 'aid absorption'.

The IMF favored "aid absorption", i.e., increasing the purchase of imports, over "aid spending", which would have meant increasing expenditures on domestic goods, services and human resources needed for functional domestic social sectors. If domestic expenditures were associated

with aid spending as a policy, aid would have had a trickledown effect on the economy (Ferguson 1988:204). It would have stimulated and enhanced domestic production, by increasing demand for domestically produced goods and services. By favoring "aid absorption" over "aid spending", the IMF policies limited government's ability to use aid to upgrade the socio economic systems such as education. This undermined national development. Under this scheme, no domestic borrowing was allowed even if a government demonstrated potential payback capacity or strategic gains to the economy in the future. Whereas this was the IMF lead policy in the south, developed countries including the USA continued to embark on expansionary monetary policy. This was recently demonstrated in the ongoing global financial crisis; where expansionary money policies became the order of the day in the implementation of the so-called economic stimuli packages. As developed countries were busy investing in infrastructure and social services to absorb the shock of the global financial crisis, the IMF was busy issuing warnings to developing countries not to follow this track.

2.4.2   The IMF and the World Bank on Education

In 1981, the World Bank converged with the IMF on development neoliberalism, to embrace structural adjustment as a key strategy for export promotion in developing countries (Boas, M.2007). Coupled with the oil shock and the rapid need for balance of payments support, the World Bank increased its loans portfolio and profile in developing countries significantly. Due to its growing dependence of multi lateral finance the structural adjustment programme had the greatest impact on Sub Saharan Africa (Taylor, 1997: 147). In its deregulation and liberalization role, the World Bank forced developing countries to let go the operational responsibility assigned to the public sector. It also called for much closer donor coordination where the Bank would take lead in assisting governments to undertake the changes indicated and to raise resources and strengthen donor coordination behind such programs. This gave birth to the idea of donor cartel pushing the structural adjustment agenda in Africa (Kapur et al 1997:716-17).

The World Bank Policies on market deregulation sidelined the role of the state in the market. It was argued that liberalization of the financial market and state contraction would curb excessive power enjoyed by politicians and bureaucrats, a process regarded as crucial for rapid and equitable economic growth (Onis & Senses, 2005:265). To spur economic growth, developing countries were

required to reduce import tariffs, end all export subsidies, lower or eliminate import quotas, and open all sectors of the economy to foreign trade and competition. Simultaneously or a bit latter, barriers to external capital flows such as controls on exchange rate transactions and profit remittances were to be cut back to make it easier for external suppliers of capital to invest in the local economy. The idea of market deregulation was based on the assumption that removing price distortions would produce visible output gains in the economy. Developing countries were told that if they liberalized and cut 'artificially high real wages', companies would be induced to hire more workers who will make more goods, create more jobs etc. Instead, liberalization stifled the local economy. It exposed local industries to the vulnerabilities of competition. In the era in which subsidies to local firms had been eliminated, many of these local industries had no choice but to close shop due to stiff competitions from larger more efficient firms (Das, D.K. 1998).

The second aspect of trade liberalization was deregulation of the home financial market to equalize rates of return to different financial assets. The dominant view was that stabilization of interest rate provides a subsidy to borrowers and stimulates saving. A positive real interest rate was assumed to lead to better resource allocation along standard neo classical lines (Taylor, 1997: 149). Liberalization of the capital market exposed developing economies to the vagaries of financial globalization leading to short term growth based on highly speculative inflows of capital. It led to heavy reliance on debt led growth without much attention to increasing domestic savings, improving long-term competitiveness and establishing an adequate regulatory framework. This undermined nationally, with a crisis in one country leading to contagion in other parts of the world by lowering investor perceptions and confidence (Onis & Senses 2005:268). The result of this has been speculative booms and crushes in developing countries economy with the Mexican Peso crisis in 1994 and the current global financial crisis being recent examples. Onis and Senses argue that simultaneous decontrolling of two volatile Market systems-external capital Market movements and internal financial instruments by the World Bank (WB) was an explosive policy mix most especially in an emerging stock market being expanded by public enterprise privatization campaign and the influx of portfolio investment from rich countries. The World Bank's policy on market deregulation also meant deregulation of labor market and business decisions making as well as rationalization of taxes, which meant taxes were raised, recruitment of teachers frozen and public service wage cups imposed to provide a financial base for badly needed civil service reforms.

Privatization of public enterprises that started in the late 1980s was the third pillar of the SAP. It was based on the idea that privately owned enterprises are more efficient than state owned ones. Selling of state owned firms was to help provide a fiscal stop-gap measure to close budget deficits opened by rapid tax reductions as seen in the stabilization policies. It presumed that countries that privatized would grow fastest. Consequently, the WB and the IMF imposed a host of privatization conditionality on loans, while keeping track of number and value of state assets privatized. Together with capital market liberalization, stabilization and privatization policies, the World Bank and the IMF have been blamed for excessive policy overkill that contributed to economic instability (Stiglitz, 2001:121). Since the mid-1970s, financial deregulation and the creation of new financial instruments, national economies have been linked much more closely to one another. These developments resulted in an increasingly market-oriented global economy and the rebirth of a new global governance system. The SAP excluded key stakeholders including local members of parliament and civil society from the policy processes. These groups did not contribute to the negotiations; design and implementation of policy packages. Even when opportunity arose, no genuine participation or involvement was sought. The IMF and the World Bank negotiated with governments behind closed doors, crippling the growth of participatory democracy and accountability in the development process for which they claim to champion and undermining development as policies put profits not people at the center. As a consequence, Ghana, Zambia, Tanzania and Malawi, like many other Africa countries have witnessed a human resource crisis caused by employment freezing under the structural adjustment era, and the lack of a coherent livelihoods/employment strategy in those economic reform packages. This has meant that; few graduates became trained and employed, with greater brain drain of Africa's scarce human resource. The lack of access to comprehensive HIV and related services especially in rural areas due to lack of substantive support for education and home-based care, user fees and other costs in education, health and water, led to deepening inequalities, with poor incentives to attract service workers including teachers, nurses and doctors in the rural areas especially as a result of the Wage Cup policy imposed on governments.

2.4.3 The modified approach to global governance and education

The failure of the Structural Adjustment program led to a modified approach to global governance, with the recognition of the role of the state in the market (Onis & Senses, 2005: 257-287). Due to SAP, the state had lost control over some of the most important aspects of economic policy (Linden 2003:59). The IMF, the World Bank (WB) and the World Trade Organization (WTO) became the instruments to negotiate international trade. They created new norms and new business practices, as well as new ways of thinking, new hopes and dreams to maintain the dominance of the neoliberal agenda. Towards the end of the 1990s, the Structural Adjustment Program was given a new outfit and renamed "Poverty Reduction Strategy Plans (PRSPs). The IMF claimed that it had largely succeeded in its policies and that a number of African countries were already on the path to economic recovery. These countries had recorded an annual average GDP growth of 6%, and a lower deficit spending, attained largely by cutting investments on social services including health and education. Secondly, the 'impressive' GDP was largely dependent on direct foreign investment rather than locally generated capital. According to the IMF, the majority of these countries had succeeded in accumulating adequate reserves (in $US), and therefore had achieved a sustainable external debt position. From this viewpoint, the IMF changed its strategy.

The Poverty Support Instrument (PSI) as opposed to the 'Poverty Reduction Strategy Plans' was deemed the appropriate form of engagement with this group of countries over the medium term (International Monetary Fund IMF, 2006). Because PSI carried no IMF financing and rather provided a framework for core macroeconomic and structural policies from which national economic policies were derived, it has since been used by the IMF to gauge how well the recipient country implements IMF policies and utilizes aid. In other words, the IMF gained a position of a master and gatekeeper to the Africa Economy. It signals to donors and private investors and determines whether or not a country's economic policy environment is sound enough for their investment. This political and economic hegemony, assumed by the IMF greatly limits the scope and freedom of expansionary policies in countries that need to invest in 'common good' such as education to advance the quality of life of their people in order to break the cycle of poverty.

2.4.4   The new global governance agenda on education

The development crises of the 1990s sent strong shock waves and signals that a much deeper crisis of development was in the offing. Terrorism became a major global concern; with attacks on the United State's interest both home and abroad becoming more frequent. This forced the United Nations to convene a series of development conferences in the early part of the 2000s in response to the looming crisis of development. The World Education Conference of April 2000, the UN Millennium Summit of September 2000 and the Monterrey Financing For Development Conference of 2002; all affirmed commitment to mutual responsibility for the achievement of development goals (Menocal and Rogerson 2006). In 2003, the Paris Declaration was adopted to simplify and improve the impact and the role of aid in development. The Dakar Framework of Action affirmed a global commitment to the achievement of six (6) Education For All Goals by 2015. The new development agenda now in the offing is the post-2015 development agenda. This is an initiative of the United Nations secretary-general to initiate thinking on efforts to accelerate the MDG progress. NGOs and civil society groups have issued a number of inputs and considerations for the post-2015 development agenda, offering recommendations, which include the need for greater accountability for implementation of global development agenda; more engagement by youth in monitoring development implementation, data collection, and upholding human rights. The new agenda also lays emphasis on gender equality, addressing the root causes of poverty, and emphasizing the need for human rights to be at the center of the next development agenda. The German Development Institute (DIE), in a commentary titled 'Post 2015: setting up a coherent accountability framework,' stresses that governments and other actors must be incentivized to participate in accountability, and recommends that incentives be reputational, financial, knowledge-based, and complemented by strong ownership at the national level.

Throughout much of the 1980s, the World Bank ignored poverty, believing that the poor would benefit from adjustments. It discouraged any work on the social cost of adjustment or debt, thereby discouraging alternative policy development both within the Bank and within the countries that benefitted from these programs (Academy for Education development, 2001). From 1989, the WB began to include issues of governance and capacity building, social capital, poverty reduction, sustainable development, decentralization, ownership etc. By 1990s, the IMF had also started using the same development lexicon (Ariel, B. 2002). The failure of structural adjustment led the

IMF and the WB to modify their approach to development. The WB broadened its policy scope to include greater emphasis on: promoting equality and growth at the same time; creating enterprises and institutions that help promote savings and efficient investment allocation over privatization and restructuring of existing enterprises. The Bank also moved away from the policy of loan-project conditionality and began to let individual countries take more responsibility for their own development programs (Thomas C, 2001:164-167). In 1990s, the Bank agreed to support civil service reform, legal reform, and greater participation, public spending accountability, and budgetary responsibility. These were justified on grounds of improving the stability and predictability of governments and enhancing the rule of law. In a 2006 report 'good governance' had became 'synonymous' with sound development management (World Bank, 2006).

In its 1997 report, the IMF started to focus on what it called the economic side of governance, which included the focus on transparency of governments' accounts, public resource management effectiveness and regulatory stability of the private sector (Bird, R.A.2004). This would be handled with monitoring, advice on policies and technical aid as the main policy tools. Corruption would be considered where there was a clear macroeconomic implication. Consequently, the IMF introduced governance related conditionality in five (5) general areas; fiscal and public sector reform, legal and judicial reforms, transparency and accountability in public management, banking and financial sector reforms and informational reforms (Weiss, 1998). The IMF began to pay more attention to regulatory reforms in the context of the banking and financial system and recognized the importance of an active role of the state in the market along with strong institutions and good governance in economic development. The recognition that states have an important role to play in the development process and the perception that the state and the market are complementary rather than substituting became an important guiding principle of the Fund (Onis & Senses 2005:259-264). This policy shift is what became known as the Post Washington Consensus.

The Post Washington Consensus was also a recognition that the international economy had failed to provide a sufficiently attractive environment for development. Private capital flows were heavily concentrated in a few countries; aid had drastically declined by the end of the 1990s, and continued restrictions by developed countries over market access in key areas like agriculture and labor intensive manufactured goods continued to constitute a major barrier to the exports of developing countries. Hence a recognition that developed countries could contribute to

development by increasing aid and market access to the products of the least developed countries with the initiative to roll over or forgive official debt, owed by the poorest economies. This became an important attribute of the Post Washington Consensus in the 1990s. By recognizing the role of the state, the Post Washington Consensus recognized that a change in institutions was an essential component of development strategies. Creating effective institutions became an essential part of development. In achieving fiscal discipline, attention is centered on where expenditure cuts are concentrated. If deficit reduction is achieved through cuts in government expenditures in education and health, then growth will be jeopardized. The development of strong state institutions also came with a growing recognition of democratic regimes. The World Bank began to equate good governance to development management and expanded its development lexicon to wider development issues of poverty; stating that poverty alleviation could not be accomplished without tackling the imbalances in wealth distribution; that the causes of unemployment and poverty were structural in nature and could not be dealt with through growth alone without taking into account ownership structures.

The Post Washington Consensus emphasized that the crisis of development would not be sufficiently addressed without tackling the necessary reforms underlying the structure of the power of the Bretton Woods institutions at the global level (Stiglitz, 2001:265). These arguments formed the convincing fundamentals of the Post Washington Consensus and constituted a point of departure from the 'foregone' development theories of the Washington Consensus. While approaches of the WC were narrowed down to stabilization, deregulation and privatization, the approaches of the PWC were more open to wider issues of governance and capacity building, social capital, poverty reduction, sustainable development, decentralization, ownership etc(Stiglitz,2001:114).The new approaches also focused on the economic side of governance. These include transparency of governments' accounts, public resource management effectiveness and regulatory stability of the private sector and tackling corruption. The rule of law is viewed as key to improve governance so that Africa can claim the 21st Century', to 'Empower citizens to hold governments accountable through participation and decentralization', and to Enable governments to respond to new demands by building capacity', and 'Enforce compliance with greater transparency (World Bank, 2000:24). It recognized governance crisis as being the center of development problems (World Bank, 1989:60). The solution according to these new approaches lies in the efficient and accountable public administration, protection of human rights and freedom

of the press, a reliable judicial system, political pluralism and protection of human rights (Kapur et al, 1997:733). Development was viewed as transformation of society and therefore cannot happen without an effective state. That development requires a more comprehensive approach where developing countries take the driver's seat. It calls for a move away from the policy of loan-project conditionality towards letting each individual country to take responsibility for its own development agenda. It also calls for a change in the relationship between institutions of global governance and recipient countries to ensure that participation in development programs are deployed to improve the impact of development policies.

The new approach recognizes the importance of education, and macroeconomic stability (Stiglitz, 2001:115). Attempts were made to demonstrate that it is possible to promote equality and growth at the same time; that support for trade is important; that it is most effective when it encourages exports rather than merely reducing trade barriers on imports; and that it is important to create enterprises and institutions that help promote savings and efficient investment allocation over and above the WC development theories of privatization and restructuring of existing enterprises. This meant less conditionality and a partial withdrawal by the WB from micro management of investment projects and price formation. Reverse conditionality in which developing countries would propose economic programs to the IMF and the WB rather than the other way round. The scope of macro conditionality could be restricted for instance to balance of payments while the country could pursue its own agenda regarding inflation, income distribution and growth. The IMF's and the WB's resources could be redeployed towards their original intent of supporting countries in difficulty with external account. Long term and cheaper financing could be directed to countries exporting raw materials and agricultural products in Africa and elsewhere. Financial and technical opportunities for export diversification could be provided-financial debts could be restructured. The new approach emphasized the link between 'Governance and development', where 'good governance' was seen as 'synonymous' with sound development management (World Bank, 2006). The new approach brought on board the idea of closer coordination of bilateral and multilateral aid. It led to international campaigns on aid, debt cancellation and fair trade. With the emergence of the Highly Indebted Poor Countries (HIPC) initiative, the incentive for agreeing to new forms of conditionality as a precondition to debt relief became even stronger in Africa (Onis & Senses 2005: 263-264). Poverty reduction, ownership, stakeholder participation and budget support become a part of the

new agenda since 1999 for both the IMF and the World Bank. At the heart of these were Poverty Reduction Strategy Plans, which became a prerequisite for debt relief under the HIPC initiatives.

2.5   THE WORLD BANK AND INTERNATIONAL EDUCATION

The World Bank's earlier efforts in the Structural Adjustment phase, to encourage families in low income countries to pay for education not only resulted in significant drops in the numbers of children (especially girls) in school, but there was widespread public condemnation. The Bank's reinvention of itself in the 1990s (as a Knowledge Bank), was aided by a new array of concepts, that included the idea of 'public private partnerships' (Linden, 2000). This was in part driven by the image problem that privatization faced. The idea of 'partnership' enabled neo-conservatives, neo-liberals and also progressives to commit themselves to this new governance agenda. Linden suggests that something more was also going on: that the sectors themselves (such as education, technology research and development) were being transformed; public sector managers had to take on new tasks – such as leveraging private capital for policy initiatives. The rebirth of the 'partnership' notion also reflected larger changes in the ideological and conceptual landscape of governance – such as Blair's modernizing government in the UK, the re-engineering of government in the US through management, and the collapse of the artificial binary of public and private that had, for so long, been naturalized. In combination, this opened up public discourse on the distinctive nature of institutional realms, stimulated new ideas about social orderings, and emphasized structural dimensions such as flexibility and innovation, reinforcing partnership ideals (Linden, 2000:39).

So, despite the widely held view that the World Bank had softened its hard-edged market-based policies, it is difficult to see that this is the case. The more recent iterations of World Bank policy, for instance its 2003 blueprint for the financing of primary and secondary education- *Lifelong Learning for the Global Knowledge Economy*, insists on public-private partnerships as the key mechanism for financing education, with families and the state financing access to education through a combination of personal loans and development aid. In *Development Driven Public Private Partnership in Basic Education, the World Economic Forum* argues that we can make services work for the poor by contracting these services out to the private sector – an argument that sits well with the WTO global trade negotiations around education (*World Economic Forum*, 2008). The World Bank also examines a range of contracts that it argues demonstrates that the

private sector can be mobilized to serve the poor, using its power to convince politicians to adopt policies with far-reaching consequences (Word Bank, 2006).

Like similar aid agencies, the World Bank pursues a limited set of educational reforms that it tests in a few countries and then disseminates, with a few adaptations here and there to reduce transfer cost across the globe, regardless of country context (Nordtveit, 2012: 21-32). The preferred mode for justifying aid portfolio has become a means for imposing programmatic conditionality on recipient governments, similar to the earlier, highly unpopular structural adjustment reforms imposed on recipients of grants and loans. Many of the pilot projects that make it into the World Bank portfolio of fundable projects aim at reducing public expenditures in education (by means of privatization, rationalization, etc.), increasing revenue for the national education budget (from tuition, fees, etc.), and by reducing inefficiencies and wastage. In teacher policy research, for example, the World Bank showed that underpaid contract teachers produce better student outcomes than regular teachers who are not accountable, do not fear losing their jobs, and therefore either do not show up regularly in school, or if they show up, do not teach, or if they teach, do not teach effectively (see Bruns et al., 2011; Duflo et al., 2010).

The World Bank evaluates its own education projects and selects a few projects as "best practices" which it subsequently disseminates to developing countries. It presents itself as a knowledge bank, a generator of new knowledge and a synthesizer of existing knowledge as a means to appeal to popular opinions and feelings to accept a conclusion or a course of action" (Nordtveit, 2012:3-32). By doing so, it uses its publications to guarantee the soundness of its policies. The new World Bank 2020 Education strategy emphasizes the importance of aligning governance arrangements, financing, incentives, accountability mechanisms, and management tools with national educational goals. It focuses on systemic changes, rarely mentioning problems such as low-quality teachers, teachers supplementing their income through private tutoring (and thereby exasperating inequality), lack of materials, or curricula without any relevance to the local needs. Hence, education is reduced to an investment in a service and a set of logistic issues (Nordtveit, 2012:3-32). In its 2020 Education strategy, the World Bank presents education as a management and governance process, promoting an overly technical and narrow view of management which fails to emphasize participation by civil society, teachers, parents and other direct stakeholders in such processes.

The activities of the World Bank (the Bank) in the field of education dates back to 1960s, when it began to extend loans to areas traditionally considered risky. These included agriculture, education and water supply (Bruns et al., 2011). During this period, the Bank's loans also focused on technical assistance due to weak technical capacities of newly independent African states. According to Oliver, from 1960 to 1967, African countries were receiving half of the Bank's technical assistance project. With millions of dollars a year in new loan commitments, the World Bank became the single largest source of development capital in the field of international education. Through this, the International Finance Corporation (IFC), the World Bank's investment wing assumed the role of spearheading the drive toward markets in education. The IFC is currently the largest multilateral agency funding private education in the world. Since the late 1990s, the IFC has taken a keen interest in the education sector. In 2001 it published its *Education Sector Strategy* (with advice from the Education Sector of the World Bank). According to the IFC, the role of the private sector lies in both the provision and financing of education. This role is expected to grow, with increased pressure for more education as a result of the Education for All initiatives, and as human capital formation is advanced as a result of knowledge economy policies. From 2000 to 2007, the IFC provided $237 million in financing to 37 private education projects in 20 developing countries. The projects had a total value of $839 million. Its current medium term investment strategy is to open up 'frontier markets' in Africa and the Middle East (Bruns et al., 2011). However, rating agency Standard and Poor's 2007 Annual Report on the IFC has suggested the most profitable and secure investments are likely to be in the higher education as opposed to the schooling sector.

Interest in private sector education is motivated by three major concerns. These are: the need to restrain public expenditure and to find alternative sources of funds for the provision of education; doubts about state intervention in the production of goods and services and the purported benefits of privatization applied to the education sector; and the perceived threat to equity, access and social justice by private education (Dixon, P &Tooley, 2000: 30). Tooley's argument, backed up by 'research evidence', is that there is currently a very significant percentage of education being delivered by private-un-aided and mostly unregistered schools in both Africa and Asia, that this education is paid for willingly by the poor, this education is of higher quality than in state-funded schools in similar locations, pupils are performing better, and that this education is cheaper as teachers' wages are significantly lower. This is despite the fact that in the case of India it is illegal to

run–for profit schools. Tooley's research is then used to make the case that private firms, especially those that have reputation and therefore customers loyalty to secure, will regulate their own behavior, including investing back into the school in order to ensure that they stay competitive. Tooley argues that the profits to the firms delivering education in India – of around 25% - made the sector one that was worth investing in over the longer haul (1999). He observes, "private companies can help solve the problems of inequity because the prospect of profit creates an incentive to replicate high quality educational provisions" (Tooley, 2000: 1). In response to Tooley, Keith Lewin (2007) has argued that in a rights-based approach to education, as we see with EFA, it is the nation state that is; ultimately, responsible for ensuring it acts as a provider of last resort. Lewin also argues that unsubsidized providers cannot serve the poor and the poorest if they must depend on the revenues from the communities they serve. A simple calculation shows that families might have to spend more than half of the family income on education. This would not only be untenable, it would also lead to practices that accompanied the World Bank's analysis; the prioritization of some children in the family over others accessing education. So, while there are clear constraints on public expenditure at present, the long-term game plan must be to look at ways in which states can fund education, or managing the coordination of education as a public sector and public service.

In its new 2020 education strategy launched in February 2012, the Bank repeatedly finds that "private entities are providing education to even the poorest communities, especially in areas that governments do not reach". The Bank states that "governments typically have to provide appropriate regulation and oversight to ensure the quality and relevance of privately provided services, as well as access for disadvantaged students" (World Bank, 2012:35). Private tutoring (also known as "shadow education"; (see Bray, 2007), a worldwide phenomenon that is currently skewing the education systems towards enhanced provision for the rich, is not seen as a problem but rather as a solution. In short, the World Bank 2020 education strategy represents a coherent strategy of privatization and system approaches, which, it is believed, will lead to better teacher training and improved curricula. The World Bank presents itself as an unquestionable authority on education, which brings the public and private sectors into equilibrium and harmony, as provider of educational services.

2.5.1 Education as an emerging market and a new Services Sector

As an emerging market and a new services sector, education was promoted as a solution. This meant moving away from a focus on government to that of governance, where the state would be the regulator other than a provider. Advanced by powerful interests in the United States, European Commission, Australia, New Zealand, Singapore etc using the World Bank, the IMF and the World Trade Organization, the new global governance agenda ties the two globalizing trajectories of education together (Robertson et al, 2009). It ties education as a human right on one hand to education as an emerging market services on another hand to expand the role for the private sector, particularly the for-profit, through what is packaged as innovations in the governance of education, including for-profit provision, the promotion of public-private, and multi-stakeholder partnerships. According to the UN 'Unleashing entrepreneurialism' will stimulate access to education (Cammack, P. 2006). The report argues that we should stop seeing the poor as victims, or as a burden, and start recognizing them as both resilient and creative entrepreneurs and value them as conscious consumers. In other words, there is a fortune to be made in the sector if the 4 billion living under $2.00 per day could pay. In Ghana, Zambia, Tanzania and Malawi, for profit provision of education will improve significant burden on the majority of the population who leave below $1.00 a day.

Education is also being conceptualized by agencies like the International Finance Corporation, the private investment arm of the World Bank Group, as a new emerging market. Whilst the private sector is 'the new untapped opportunity' for a myriad array of new I/NGOs such as the Academy for Educational Development, the United Nations Foundation (UNF), and Public Private Partnerships Foundation (Gregoratti, C. 2007). The World Bank argues that opening up education to the market and for-profit firms is the means of enhancing the supply as well as the quality of human capital (Patrinos and Sosale, 2007) where clearly the state has failed. As a result, for-profit/chains/transnational firms (e.g. Cisco Systems, Laureate International) and local entrepreneurs are being mobilized under the banners of 'education for all', public private partnerships, and 'global civil society' to advance this agenda.

2.5.2   Multilateral marketization of Education

Since the 1980s, public sectors such as education and health became potentially profitable spheres of economic activity especially for the developed economies facing the consequences of the movement of production of goods to the factories of Japan, Malaysia and more recently China, Indonesia and Brazil (KPMG, 2007). It is now estimated that education is a three trillion dollar business with a huge potential for growth (Lewin, K. 2007). However, for most of its history, education has been regarded as a deco-modified activity, strongly anchored in the view that education is a public good/ a public service/ a human right/ and the responsibility of modernizing states. At the global level, the radical restructuring of the UN itself, which began with Kofi Annan's appointment as Secretary General of the UN in 1997 created the conditions for multilateral marketization of public services to flourish (Balls, S. 2007). Under his stewardship, Annan launched the Millennium Development Goals that writer Paul Cammack has described as nothing short of 'a new imperialist project' aimed at exporting western style capitalism around the globe in the name of development (Cammack, 2007: 1). According to Cammack, these developments have had a profound effect on the UN institutions, including UNESCO. It brought the UN more closely into collaboration with those multilateral institutions, like the World Economic Forum, OECD, the World Bank, the IMF and World Trade Organization, who have collectively been advancing and constitutionalizing market liberalism for the most parts of the 1990s. It is the creation of this new global governance regime which is referred to as the 'multilateral marketization of education, referring to the way in which a coalition of global actors have advanced private sector (governance) solutions such as public-private partnerships/multi-stakeholder partnerships/emerging markets to a key public sector problem– access to education and access to quality education across the globe (Held and McGrew, 2002).

Multi-stakeholder partnerships is another kind of partnership tool being advanced by the United Nations, and within the education sector, through UNESCO and its affiliated institutions (IIPE) under the label of public private partnerships. It is this partnership model that Kofi Annan brought into the UN system during his tenure as UN Secretary General. Within a month of his appointment, Annan travelled to Davos to meet with the World Economic Forum, where he outlined his plan for restructuring the UN. The restructuring which took place over a two-year period brought in Mark Malloch Brown – World Bank Vice President and Director of External relations into the job of UNDP

administrator. Subsequently, Malloch Brown incorporated the agenda that he had promoted within the World Bank under Wolfensohn – a managed market economy into the UNDP. At Annan's helm, a flood of reports was issued (UN 1997; 1999; 2001; 2002; 2004a; 2004b; 2005; 2006). In 1999 the Global Compact was launched; in 2000 Millennium Development Goals were adopted; the Brussels Declaration and Programme of Action were agreed in 2001; in 2001 the *Road Map towards the implementation of the UN's Millennium Declaration* was outlined, while the Monterrey Conference on *Financing for Development* was held in 2002. By 2005 *Unleashing Entrepreneurship: Making Business Work for the Poor and Investing in Development* had been tabled. *Strengthening the United Nations*, therefore, meant making the UN not only a more effective multilateral organization, but its multilateralism increasingly embraced the market through closer collaboration with the other Bretton Woods's institutions, as well as partnerships with the private sector to realize the Millennium Development Goals (UN, 2002: 7). In Annan's words, we live in an international system in which influence is also increasingly wielded by non-State actors, such as civil society organizations, voluntary agencies, interest groups, private companies, philanthropic foundations, universities and think tanks and, of course, creative individuals. To bring change today, it is necessary to mobilize the diverse support, and cultivate the ideas, of a diverse network of non-State actors. Annan added that his own Global Compact initiative engaged hundreds of companies from around the world in the effort to promote corporate citizenship and universal values in respect of human rights, labor rights and the environment (p. 7). In short, over this period, Annan was able to advance a pro-capitalist project into the development arena to deliver the MDGs that was little different to the stance of the World Bank or the IFC. The transformation of the UN was also felt in the education sector of the UN. UNESCO thickened its relations with global firms and foundations. Cisco Systems and the Hewlett Foundation became major partners with UNESCO. In 2007, UNESCO announced that it would join forces with the WEF and launched a new programme *Partnerships for Education (PfE)*, a global coalition for multi- stakeholder partnerships for education (MSPE's), including the private sector, to advance progress toward the objectives of Education for All. In 2008 the International Institute for Educational Planning (IIEP), and under the stewardship of Mark Bray, launched an exploration of the tools that could be developed to help this along. The private sector, we are assured, "...can provide expertise, synergy, resources and response to needs" (Drexler: 2008, 15).

2.5.3 The Functional Integration of the Aid System

The Monterrey Financing for Development Conference of 2002 was called to address increasing concern that the practice of aid was unsupportive of country efforts and at times actively undermined development. The lack of institutional capacity in recipient countries, unpredictability of aid flows, insufficient delegation of authority in the field, mismatch between global initiatives and national development agendas, and corruption were among some of the challenges which the Paris Declaration that followed the conference tried to address (European Commission, 2006). The Paris Declaration gave rise to a new aid modality, in which donors began to place greater emphasis on partnership with recipient governments to implement agreed development plans. In the subsequent period, aid to developing countries increased to their highest point in 2004 and then stagnated at a level somewhat below the 2004. Through budget support, priority was given to Poverty Reduction Budget Support (PRBS) through the Sector Wide Approaches (SWAps). This was a mechanism considered most appropriate to support development processes (Porter 2003:3(2) 131-145). The shifts from project based aid to sector wide approach appeared to have consequences. It led to the concentration of donor funds at macro other than micro (project) level and altered the place of CSOs in the aid paradigm (Agg 2006: 21-24). CSOs began to act as intermediaries between governments and donors. The new modality required CSOs to prove that they contribute to broader development objectives before they can sign a donor contract. By implication, the shift meant that local CSOs receiving support have to work within the restrictions of the government contract, often negotiated without their involvement.

The new aid architecture reinforced the emergence of a new dependency syndrome, one that local CSOs depend on their northern counterparts-the INGO often with the capacity to win large government contracts and enter into partnership agreements with western donor agencies. To align their work with the principles of aid effectiveness, international NGOs began to move away from project based development work to a focus on civil society capacity building and a greater advocacy role. Through partnerships with community groups and other local organizations at national level and through coalitions and alliances building at national and international level, more NGO funding began to be channelled towards creating and expanding, not occupying, the space available to local CSOs. These developments have inspired this research, to explore how this role can be sustained in the long run.

Following the attacks on the United States of America on 11 September 2001, it is suggested that the world's biggest donors including the United States, Japan, France and the UK began to direct overseas aid towards security rather than poverty reduction. With this approach, distinct differences between the various aid agencies, including the World Bank, DFID, and USAID diminished. Previously, these agencies thrived from being different. They were defined on how they differed from one another. The three largest donors and others, now inhabit the same system, subscribe to the same international agreements (e.g., EFA, MDG) and adhere to the same standards of aid effectiveness (e.g., Paris Declaration 2005) that regulate the aid relationship (Nordtveit 2012). Thus, the standardization of aid witnessed in the last decade bears the marks of standards of the World Bank and with knowledge-based regulation tools used by commercial banks and businesses such as: ratings/rankings, performance assessments, targets, benchmarks, and progress reporting. The boundaries between the World Bank and major development actors, in particular the United States and the United Kingdom have become unrecognizable. The development strategies of the World Bank and USAID on which their funding priorities are based have nearly converged towards the knowledge-based approach for delivering aid (Nordtveit, B. 2012:21-32). Regardless of the aid agency, there is an obsession with identifying progress indicators, a preoccupation with measuring results, and an institutional pressure to demonstrate the impact of an aid intervention.

Impact on the Donor Community

As a result of this integration, the education sector strategies of the two largest donors have remarkable similarities to the World Bank's *Education Sector Strategy 2020,* which adopted a title that was already in use in the U.K. bilateral aid; *Learning for All: DFID's Education Strategy 2010-2015* (DFID, 2009). For DFID, the World Bank and USAID, skills development for youth is one of the strategic priorities (along with access and quality) for education development (DFID. 2009). The bilateral aid plan of the United States, released a few months before the World Bank's Education strategy 2020 highlights student learning and skills development, and is entitled *USAID Education Strategy: Improving Lives through Learning* (Lanham, M.D. 2011). Even though the World Bank has a tendency of seeing itself as the representative of all bilateral donors, there are many bilateral aid agencies that share neither its focus nor its technical approach to aid (Nordtveit, B. 2012:21-32). The Government of Denmark, for example, represents the largest donor in terms of per-capita

spending on aid. Its aid agency (Danish International Development Agency, DANIDA) follows to the letter the 2005 Paris Declaration on Aid Effectiveness, and implements, among other features, results-based aid (DANIDA, 2010). At the same time, it pursues a human rights approach to education that does not reduce the value of education to literacy and numeracy as the World Bank does. In the same vein, the Children and Youth Strategy of the Canadian International Development Agency (CIDA) is more holistic than the World Bank's Education Strategy *2020* and concentrates on three areas: child survival, access to quality education, and safe and secure futures for children and youth (CIDA, 2011). Similarly, Japan's Education Cooperation Policy 2011-2015 has also moved beyond narrowly defined strategic goals that coerce recipient governments into adopting donor-driven reform priorities (CIDA. 2011). In stark contrast to the aid strategies of Denmark, Canada, and Japan—which are sufficiently broadly defined to allow for national governments to set their own agendas—the recipients of a grant or loan from the World Bank have to adopt the narrowly defined (global) framework of education that is advanced by the World Bank but also to some extent by DFID and USAID. The recipient governments have to subscribe, at least rhetorically and at the stage when international funding is secured to the donor's focus on measurable student-outcomes, testing, impact evaluation, and a host of other priorities that match the aid strategy of the donor but not necessarily the need of their country Gita, S.K> 2012). But how can Africa ensure that the most excluded are those who have access to education as a right and not a consumer good? How can the African continent as a whole work towards policy choices that prioritize equity and sustainability?

Conclusion

The new global governance agenda on education offers little for education as a human right (EFA). With over 70 million school age children out of school, the global governance agenda has turned a blind eye to issues of redistribution and the limitations to progress imposed by the absence of spaces for representation and accountability. Clear 'democratic' deficits that require immediate attention exist, more so in the absence of a global mechanism for accountability to protect public interest on education. Research tells us that the so-called Public Private Partnerships will neither deliver more efficient/effective services (e.g. better classrooms for less) nor reduce the drain on the public purse, particularly in developing countries where robust governance regimes are non-existent. In other words, without a stronger watchdog role of civil society, it is difficult to see how

education can be governed in ways, which protect the rights of the poor, and their families. The lack of the interest of the masses in education structures creates a major vacuum, even if we see these rights in terms of the rights of the consumer. This is why the Good Governance Agenda (GGA) of the early 1990s still remains one such important step to address state failure. Central in this agenda must be the need to strengthen the participation of civil society movements to enhance access not only to education and opportunities, but also to political influence and power to address the high levels of political inequality and avoid the risk that economic institutions and social arrangements that favor the interests of those with more influence and power present to the world.

According Mundy, a weak civil society amounts to social fascism; an exploitation of the precarious circumstances of the poor, where the logic of capitalism prevails over the emancipatory possibilities of learning how to know our world in a different, more reflexive way. As the Harvard University Professor Tom Cassidy points out, the major issues are: the need for ongoing monitoring and evaluation (watchdog role), sustainability and scalability, the need for appropriate partnership with civil society organizations; acknowledging the value of local partners; and, moving from a 'tendering' to a 'partnering' mentality (Mundy, K., I.L. Murphy, 2001).

A strong civil society movement is therefore necessary to help rebalance unequal social, political and economic relationships (World Bank, 2006). Unfortunately, there is little evidence that strong civil society movements of this nature exists either at national or global scale – leading Mundy (1998) to observe that this sets up the conditions for world disorder. The main issue is access by the poor to education as a common good and a human right, not a consumer good. The 4 billion layering of those who live on less than $2.00 a day are no doubt very attractive to investors and traders in the search for new emerging markets (Mundy, K., I.L. Murphy, 2001).

CHAPTER THREE
RESEARCH METHODOLOGY

3.1.0 INTRODUCTION

This chapter describes and discusses the research design and methodology used in collecting, analyzing and interpreting the research data. The chapter describes the research process, the rationale for the choice of research design and the selection of participants.

3.2 .0 RESEARCH DESIGN

To address the research questions, qualitative research design was used. According to Collier (2010b), qualitative research design is used to explore a social or human phenomenon (Collier, D. et al., 2010:506-513). Qualitative design is concerned with understanding social phenomenon from the participant's point of view (Freedman, D.A 2010a: 221-236). Qualitative design requires data to be collected in a setting that is sensitive to people and places under study (Garfinkel, H. 1981). Based on this direction, data was collected from the natural setting of the national Education Coalitions, to provide detailed narratives and in-depth understanding on all four research objectives. This enabled the research to induce generalisations from synthesizing gathered information with a focus on participants understanding, descriptions and meanings. The design of the study evolved and changed as it took place over time and as the understanding of the NECs as a phenomenon became more complex, with multiple perspectives being generated (Freedman, D.A. 2010a).

3.3.0 RESEARCH METHODS

According to Yin (1984), research methods refer to the range of measures used to gather data. For inference, interpretation and explanation of the phenomenon (Collier, D, Henry E.B, & Jason, S. 2010a; Yin, R.K. 1984:44:327-341), a combination of methods were used to facilitate triangulation of data and bring together evidence from different sources. This made comparability of data possible and allowed the research to distinguish evidence from the factual findings (Zimmerman, E. 1980: 167-327). The use of different methods also made it possible for the research to feed different perspectives into its conclusions and recommendations to ensure reliability and validity.

To avoid the risk of getting a partial picture of the reality or exaggeration, several techniques were used to triangulate data. These included: (a) asking the *other.* Semi structured interviews were conducted with a range of stakeholders to better understand the effects of NECs and to avoid *intentionalist* analysis of the phenomena. (b) *Document equivalence.* Another way of contrasting empirically the information provided by NECs was to compare the documents they produced with the documents (government laws, policies, agreements, etc) that were approved by decision makers. Extensive document analysis was undertaken for this purpose. (c) *Process Tracing:* The process tracing technique was used to make causal inference possible (Brady, H.E. 2010; Bennett, A. 2010: 207-219). Detailed historical reconstruction of different struggles and processes in which NECs were involved were undertaken. This was done through an analysis of the chain of actions, causal processes and interactions of NECs with different actors (Brady, H.E. 2010: 237-242). (d) *Contra factual analysis.* Instead of answering the question "What added value has the NEC had on the policy process?" the research asked a contra factual question: "Would the outcome of the policy process be different if the NEC had not intervened?" (Ley, J.S. 2008: 627-644).

In the first phase of the research, a desk study and literature review was undertaken using project documents and information provided by NECs to address all four Research Questions. Relevant documentation used included quarterly reports, work plans; mission and workshop reports, baseline surveys, monitoring data, country data and other relevant information and data sources. The main source for quantitative and qualitative data was project reports (Primary literature sources) obtained from the Africa Network Campaign for Education for All (ANCEFA) and generated from the project Monitoring and Evaluation system developed with the support of international project management consultants and used by the organization for donor reporting and accountability purposes. Access to all primary data sources was granted with written permission from ANCEFA. In the second phase of the research, individual Interviews and Focus Group Discussions were conducted to consult with the members of NECs, beneficiaries and stakeholders (Terre & Durrheim & Painter, 2006) to draw on the experiences and stories and to ensure these were captured.

3.3.1   Obtaining permission for the study

Since the research was conducted within an organizational context, the first step was to obtain permission from African Network Campaign for Education for All (ANCEFA), an umbrella network coalition for NECs in Africa to conduct the research. Permission was sought and granted in writing. Prior to obtaining the written permission, the researcher held several online and telephone discussions with ANCEFA's regional staff in Nairobi Kenya to clarify the purpose and objectives of the research, get their buy in and negotiate a data collection schedule which was suitable to the work-plans and schedules of NECs. Discussions with ANCEFA led to an agreement on a data collection plan, which included a schedule of dates and timing for the different countries involved.

3.3.2: Study population and sampling procedures

The term population refers to all members of any well-defined class of people, events or objects in research. It is a group of elements or cases, whether individuals, objects or events that conform to specific criteria and to which the results of a research are to be generalized (Blumer, H. 1951:129-130). Four countries (Ghana, Tanzania, Zambia and Malawi) were selected to participate in the study. The four countries had either similar independent variables and different outcomes, or different independent variables but similar outcomes. This provided the research with a basis for a problem solving logic and attribution of causality at all stages (Blumer, H. 1951:129-130). In the research design, care was taken to ensure that the samples covered the range of stakeholder of NECs, and their geographical, economic, social and cultural context of operation. Experiences on the role of NECs were captured through field visits made to key project sites as demonstrated in the finding presented in chapters 4-7.

The research used two groups of NECs. The first group comprised of all NECs in Africa, Asia and Latin America (41 in number) and which had been in operation for the last 5 years. From this first group, their legitimacy-their legal status, membership base; governance structures and sources of funds were analyzed to compare trends.

The study population was made of 20 NECs in Africa, all established from 1990-2008. In the sampling process, two methods were applied; a cluster sampling technique to group NECs into two initial categories: NECs that had been in operation for more than six years (8) and NECS that were

less than six years old (12). From the cluster of those older than six years, a purposive sampling technique was used to identify four out of a total of 8 for the studies. A total of 32 respondents were purposively selected from the 4 (eight from each NEC), ensuring that only those individuals who had played an active role in the activities of NECs since formation were represented (Oppenheim 1992:78-112). To take into account voices other than those of the civil society education coalitions, a second sample group which included 15 officials from the Ministry of Education offices were purposively sampled to make the triangulation of data and information obtained possible.

A third group of 20 respondents were selected purposively from international NGOs, donor organizations, private sector and corporate foundation which support CSOs, to take account for the different perspectives into the research findings, conclusions and recommendations. From the cluster of NECs older than six years, the4out of 8 NECs selected for in depth study were: Tanzania, Ghana, Zambia and Malawi. These represented countries with the following characteristics: emerging democracies on the continent (Tanzania, Ghana), countries that are among those with the highest number of out of school children (Tanzania) and countries with some of the highest poverty indices on the continent (Zambia and Malawi). The four NECs were selected on purpose to provide a basis for comparison and to allow the research to explore conditions and circumstances of the realization (or non-realization) of the research variables (Giugniet al., 1999:21). A total of 32 respondents were selected from the 4 NECs for interviews and focus group discussions (eight from each of the four NEC). The purposive selection of respondents ensured that only those individuals with at least 5 years' experience in the field of education advocacy at national and regional levels were represented. The comparative method used provided a basis for a problem solving logic and attribution of causality at all stages of the research project (Brady, H.E. 2010: 237-242).

3.3.3 Pre-test of research instruments

A pilot study was conducted to validate the research instruments with a sample of 10 participants outside those selected to participate in the study. The pilot study led to the modifications, adjustments and finalization of the instruments in readiness for the actual data collection process. Along with the final instruments, the disclosure letter, informed consent form and questionnaire were sent electronically to 36 respondents, inviting them to express interest to participate in the

study by completing and returning the informed consent form and the enclosed questionnaire within 14 days.

Procedures for data capture

The procedure for data capture included a manual check for each questionnaire for completeness; transcription of tape recorded interviews; identification of emerging themes and sub themes and conceptualized and de-conceptualized for text to be organized into different themes and sub themes in readiness for analysis. Altogether 32 in-depth interviews and 4 focus group discussions involving 36 were captured.

Data entry, cleaning and presentation

Data collected was entered into statistical package for social scientists (SPSS) and exported into Excel spreadsheets for analysis with the help of an experienced data entry expert. The process for data entry involved coding of all the questionnaires with unique identity (ID) and creating a screen for data entry; data cleaning and verification; office editing and checking for mistakes and omissions (Blumer, H. 195:129-130). Based on emerging themes, patterns were identified and conclusions were drawn on the strength of empirical evidence to ensure validity of results (Mouton 1996:111).

Data analysis

There are different ways of analyzing social movement organizations and advocacy coalitions as established in the social sciences framework. Given that different analytical frameworks give importance to different elements based on their given explanatory factor, the research came up with an analytical framework that merged in a coherent manner relevant theoretical framework, to enable the research to give importance and meaning to the role of context factors in explaining; the political process model of Charles Tilly (2001:21-41) and the resource Mobilization Approaches of McCarthy and Zald (1977:1212-1241). Using the three framework of analysis, qualitative and quantitative data generated throughout the research process was conceptualized and de-conceptualized to create relevant themes and meanings (Mouton 1999:33-77). Sub themes that

emerged were grouped under two main themes; systemic and relational factors, to analyze the political, social and economic issues and their influence on the operation, role and impact of NECs in the development process.

Semi structured interviews and focus group discussions were conducted to provide the opportunity to reflect on; the composition of the membership of NECs to understand their support context, their legal status, governance structures and representation, staffing and funding sources, types and nature of donors funding their work; projects supported, number of years each donor has supported the NEC and size of funding provided by the donors in United States dollars (US$). From the analysis of project records, the number of legally registered NECs was established and the process of legal registration and challenges involved identified through interviews and focus group discussions. Through focus group discussions, internal governance and decision-making processes and structures were examined as well as mechanisms for broad based and democratic processes were identified. From the available data, disaggregation of data was possible on the number of women and men serving on the boards of 28 NECs; the frequency in which elections of board members were held and the changing trends in number of women elected to the board from 2009-2013. Through interviews and focus group discussions, the work of the NECs with the Local Education Groups (LEGs) was investigated; the number of NECs who are members of the LEG and the manner in which NECs engage with the LEG established. Through interviews, the study was able to trace the nature of inputs NECs provided in the national Education Sector Planning processes, sector budget tracking, budget analysis and translation of budget information for accountability and community use. These were used as a proxy to measure the contributions of NECs overtime. From the review of documentary evidence, the number of documents produced by NECs were established to signify the volume of civil society inputs to the LEGs and the increased credibility for the work of NECs in the Education Sector Planning process and in the joint annual sector review processes along with government and donor groups.

The Sources of Funds for National Education Coalitions

The strategic triangle framework of analysis was used to answers to the question of "what are the sources of income for the NECs? From the review of literature, the general trend of funding channeled to CSOs was established and the main sources of funding identified. Based on

quantitative data collected from a sample of 12 NECs, the research established the main categories of the funding-sources for NECs over the last three years; their funding trends and the percentage of total funding generated from the different funding categories including disaggregation of funding from international NGOs, multilateral agencies, bilateral agencies, foundations and from their governments. Using data available from 5 NECs, the research compared the amount of funding generated from the CSEF versus other sources, demonstrating the importance of support base and network of a NEC in attacking funding.

From quantitative data provided by 5 NECs, the research established the percentage of funding generated from; the membership; the international NGOs and other not-for profit organizations and their significance in the operations of NECs. From available quantitative date, the research established the level of financial support to NECs from government sources. Through interviews and focus group discussions, the research identified factors that explain the declining trends in funding from different sources. Using quantitative data provided by 15 NECs, the research established the significance of funding generated from corporate foundations. Interviews and focus group discussions were carried out to assess the emerging trend in foundation support as an important growing source of funding for civil society advocacy and to identify challenges involved and identify asset-holding foundations, which may be concerned with charitable or philanthropic causes in these countries. Using a SWOT analysis, a review of strengths, weaknesses, opportunities and threats was undertaken on strategies used to organize and mobilize resources; options for resource mobilization available within and outside current sources were identified including options being pursued; methods being used; additional methods that might be relevant in the future; areas that need strengthening and future opportunities for resource mobilization (Gauri, V. 2005).

The Added Value of National Education Coalitions

The research analyzed the role of NECs in enhancing public accountability. It examined how NECs have worked through their membership to address key educational concerns, and how they have mobilized and acted through interest groups, organizations and associations to access relevant policy institutions and decision makers at national level; what this participation has contributed to the performance and sustainability of educational programs and projects as well as impact on the

capacity and skills of stakeholders involved. At grassroots level, the research sought to establish what NECs have accomplished to make government structures flexible enough to offer people the opportunity to improve the design and implementation of public programs and projects; the impact on increased ownership and results and in promoting the interface between civil society groups and public agencies. This analysis was based on the hypothesis that the effectiveness of public policies and public institutions improves with the broad participation and support of the civil society at all levels. It was therefore necessary for the research to examine in detail the activities of NECs, which offered an alternative means of identifying people's interest, mobilizing public opinion, and organizing joint and coordinated civil society led actions to address a number of education issues in these countries. Being close to their constituents, the research sought to understand how NECs have enhanced participation and fostered a bottom up approach to educational policy and development.

The study interviewed a range of stakeholders from four (4) NECs. Participants from NECs included staff, management, beneficiaries and key stakeholders from national level and from the districts where NECs operate. Through interviews, the contributions of NECs to education policy processes and the effectiveness of its network and advocacy strategy were examined. Different strategies used by NECs in different countries to influence policy agenda were identified, as well as the key elements that cut across their activities such as research; evidence building, documentation and dissemination; annual Civil Society Education consultation, mobilisation, and consensus building activities; development and formulation of civil society position papers; participation of civil society in the Education Sector Annual Review. The research obtained quantitative data from 41 NECs and identified the number of NECs who were recognized as members of the Local Education Groups (LEGs). To ensure validity and reliability, the research used different techniques and sources to collect, compare and contrast information on the added value of NECs in the policy process in order to validate data.

3.3.4   Data collection methods

3.3.4.1 Desk study and literature Review

To address Research Questions 1-4 above, a desk study and literature review of secondary data was undertaken (Freedman, D.A.2010:221-236). The research reviewed relevant project documents and information provided by NECs; including project reports, baseline studies and data and relevant national documents. The purpose was to determine the identity of NECs including their mission, vision, values, strategies and activities; their support context; their sources of funding; their membership base and their added value in national educational development process. It was also to identify some of the contextual and organizational factors which have influenced their ability to mobilize resources to provide an effective watchdog role in their countries' national educational development process.

The main sources of data used in the desk study came from over 180 project reports obtained from the **Africa Network Campaign for Education for All** (ANCEFA) and generated from the NECs project Monitoring and Evaluation systems database developed and used for the last 5 years for major donor reporting and accountability purposes. The use of the project database ensured the validity and reliability of information used for the study with access to all primary data sources having been granted with the permission from the ANCEFA, the mother body of the NECs in Africa. Statistical information generated from the project database for each NEC included; year legally registered; name and number of member organizations at formation; number of member organizations in each year since formation; current number of member organizations by type; the composition of the NECs' national board by gender and number of years served by each member on the board; the representation of member organizations on the board (which types of organizations are represented on the board and which are not); number of staff by gender and years of experience; name and types of donors who have supported the NEC since formation; projects supported by timeframe, number of years each donor has supported the NEC and total amount of funding provided by the donors in United States dollars (US$).

3.3.4.2 Interviews

Semi-structured interviews were conducted using topics and questions designed to elicit participant's ideas and opinions, without leading them to preconceived choices. A wide range of stakeholders was interviewed, selected from 4 NECs in four countries and across programme staff; management, beneficiaries and relevant stakeholders from national and district levels where NECs operate. Interviews followed a predetermined plan, standards, formats and scripts and were strictly confidential. Semi structured interviews were conducted with 32 respondents across local and national scales to compare and contrast information from different sources.The researcher visited selected field sites to consult with the beneficiaries and stakeholders of NECs. During interviews, the research probed participants' responses to get in-depth information. The researcher created relaxed and comfortable conversation throughout the interviews, ensuring all answers to topics and questions were written down and arranged in the right flow. From the beginning, the purpose of the interviews and the intended uses for the interview data was explained. Participants were informed of steps taken to protect confidentiality and anonymity. The researcher took permission for note taking and started the interview process by asking background questions to get participants in the interviewing mood and to develop a rapport. During the interviews, the researcher took note of nonverbal communication such as smiles, seating position, open/closed body posture, and eye contact. Questions presented were broad, open-ended and allowed the respondents the freedom to construct their own answers. The researcher wanted to understand respondent's language and meanings by seeking for personal experiences and stories. Immediately after the interview, the researcher took time to check the interview notes to fill in the gaps and write down his impressions.

Questionnaires

Inform consent forms were sent to participants along with questionnaires. Both the forms and the questionnaires were completed and returned to the researcher. Questionnaires were used to facilitate in-depth individual interviews. All interviews followed the methodology, standards, formats and scripts laid out in the appendix. Interviews were confidential, and interview notes were consolidated based on the level of interviews and their breakdown among stakeholders.

Through questionnaires respondents identified various options for resource mobilization available within and outside current sources and options, which were being pursued at national and regional levels. Methods being used and additional methods that might be relevant in the future were explored. The interviews also looked into the role the market have played in resource mobilization, the strengths in the approaches used and areas that needed strengthening. It looked into opportunities available for resource mobilization and plans to attract and retain financial and non-financial resources in the future. The 4 NECs selected for in-depth study had been active in the field of education advocacy for at least 8 years. All 32 key informants from the four (4) NECs were individuals with at least 10 years' experience in civil society and resource mobilization.

Validity and reliability of instruments

To ensure validity and reliability, the research used different techniques and sources to collect, compare and contrast information in order to validate data. The following techniques were used to triangulate data: (a) asking the *other.* Semi structured interviews were conducted with district education officials to compare and contract information on the effects of NECs to avoid *intentionalist* analysis of the phenomena. (b) *Document equivalence-* Another way of contrasting empirically the information provided by NECs was to compare the documents they produced with the documents (laws, agreements, etc) that are approved by the decision makers. Hence, extensive document analysis was undertaken. (c) *Process Tracing-*The technique involved a detailed historical reconstruction of different struggles and policy processes through the chain of actions and interactions hosted by different actors. (d) *Contra factual analysis-* Instead of answering the question "What added value has Coalition X had on the policy process?" several authors suggest that the researcher asked a contra factual question: "Would the outcome of the policy process be different if coalition X had not intervened? (Brady, H.E. 2010: 237-242).

3.3.4.3 Focus Group Discussions

The research conducted four (4) Focus Group discussions to consult with the members, beneficiaries and stakeholders of NECs at national level. Semi structured interview questions were used to facilitate focus group discussions involving a range of stakeholders (Mahoney, J.2004:120-

147). The Focus Group Discussions followed the methodology; standards, formats and scripts laid out in the appendix and information were kept confidential. Thrity two (32) participants took part, 8 from Malawi, 9 from Ghana, 6 from Zambia and 9 from Tanzania. The idea was to ensure that the groups were consisted of 6-10 respondents each. The discussions were led through an open discussion by the researcher who is a skilled moderator. The number of participants in the groups was large enough to generate rich discussion, but not too large that some participants could be left out. The researcher nurtured disclosure in an open and spontaneous format, with the goal to optimize different ideas and opinions from as many different people in the 75-90 minutes time allotted for each group. Care was taken to conclude discussions within a maximum timeframe of 90 minutes to ensure most group members remained productive to avoid discussions becoming an imposition on participants' time.

Focus groups were structured around a set of 10 carefully predetermined questions and discussions were made free-flowing, with participants' comments stimulating and influencing the thinking and sharing by participants, often changing their thoughts and opinions in the course of the discussions. The groups had a homogeneous character to maximize disclosure among participants. Focus group participants' were key individuals nominated on the basis that they were familiar with the topic, known for their ability to respectfully share their opinions, and willing to volunteer about 2 hours of their time. All were members of the same group – the NEC, but from different parts of the country and had not known each other before. It took the research 4 focus groups to produce valid results. The researcher knew that enough focus groups had been conducted when no more new information was coming up and decided the process had reached a point of saturation. During the discussions, the researcher made sure questions were fully understood before participants attempted to answer them. The questions were short and to the point, focused on one dimension each, unambiguously worded, open-ended, non-threatening or embarrassing and worded in a way that could not be answered with a simple "yes" or "no" answer (why and how). There were three types of focus group questions: engagement questions, used to introduce participants to and make them comfortable with the topic of discussion; exploration questions, used to get to the core of the discussion; and the exit question, used to check to see if anything was missed in the discussion.

To address the question of how resource mobilization process is being organized and managed in ways that promote the sustainability of the role of CSOs, the study focused on what NECs and CSOs are doing to mobilize resources from both within and without their collectivity to build capacity for sustainable resources mobilization. It drew from the experiences of NECs to understand the role of strategic elements in resource mobilization across local, national and international scale to understand the funding climate and possibilities in the local funding environment (Koch, D.J. 2008c).

During discussions, steps taken by CSOs before embarking on a resource mobilization process were identified. This was to underscore the importance of understanding the changes, possibilities and the factors in the funding climate, which influence the choice of resource mobilization strategy.

The study also addressed steps taken by CSOs to plan long term for resource mobilization. This was to enable the research to clarify the vision, mission and goals, capacity, strengths, weaknesses, opportunities and threats for resource mobilization and to analyze steps taken to respond to the external environment and develop a targeted approach to seeking donors/investors over a sustained period of time. The interviews and focus group discussions were also used to understand the donor trends in order to target future efforts on strategies that can be communicated more effectively with supporters, foundations, companies and businesses. Factors that motivated donors to give and the need for CSOs to understand prospective funders, strategies to attract and maintain donor interest and areas where prospective donors were concerned with were identified. The research engaged representatives from foundations, donor agencies, and businesses to assess their interest in supporting CSOs. The research established the types of resource mobilization projects undertaken by CSOs. It assessed the processes followed to decide on how much funds or resources would be need, when, and from which types of sources. It identified the political, economic, social & technological trends as well as the need to be realistic about existing fundraising performance and current supporters.

The purpose of this method was to establish how CSOs deal with competition in the funding climate and what they do to better understand who their competitors are for the same funding sources. This was to examine strategies used by CSOs to position themselves in the competition based on their comparative advantage and the level of funds/investment required in the funding

environment. The methodology was also used to establish the mix of the approach and strategy used for resource mobilization and what is required to develop efficient and effective resource mobilization programme over time. It assessed how to choose what to focus on; evaluating options and matching strategy with goals accordingly. From the interviews, the research identified criteria used to assess the right strategy mix based on the choice of strategy and approach and the timeline devised for a resource mobilization programme. The tools used for resource mobilization and the role that the whole organization, board members, staff and volunteers play in resource mobilization were identified as well as how external communication in resource mobilization is organized and managed. The role of the media, how to define the need; compile the evidence and articulate why and how the organization is uniquely qualified to address this need and the benefits of its actions were assessed.

Matching funding gaps with income sources and developing relationship with potential donors

Through interviews and focus group discussions, the research established strategies used by CSOs to identify funding needs and to match funding gaps with funding sources, considering a variety of sources to minimize the risk of dependence on one or two major donors. Using a funding opportunity table, the research identified the pros and cons of each funding source and factors that donors look for in a funding relationship; the process followed to establish a productive relationship with donors; how to communicate with funders; what one needs to know about the prospective funder before beginning any communication; how to acquire, cultivate and nurture donor relationships; the life cycle which determines a donor's ability to give and the strategies used to maintain or upgrade existing donors to the next level depending on their life cycle.

Understanding support systems needed for a resource mobilization programme

To understand the support systems needed for resource mobilization, it was important to establish the nature of support services and systems needed to handle administration and keep control of a solid resource mobilization programme. It was also necessary to understand what was needed for successful resource mobilization and the tasks the resource mobilization team undertakes in

planning and managing the resource Mobilization Programme. Specifically, the research assessed the key elements of such a resource mobilization programme and the tools used.

Understanding the role of monitoring and evaluation in resource mobilization

To assess the role of monitoring and evacuation in the success of a resource mobilization programme, a number of questions were asked to assess if fewer or more funds were being secured than anticipated and to identify what strategies NECs had not tried and what else could be done. The focus of this assessment was to establish if the implemented strategies were creative enough and identify what improvements can be made in the future. By being critical and assessing all implemented resource mobilization activities, the research established how to improve the process in the future to ensure objectivity and development of strategy based on critical analysis. Steps followed to develop a Monitoring and Evaluation system for resource mobilization and fundraising programme were identified and discussed, types of indicators used for monitoring and the principles that guide monitoring and evaluation of resource mobilization programmes were assessed.

3.4.0   DATA COLLECTION PROCESS AND PROCEDURE:

3.4.1   Access to the study samples, Institutional coordination and support

The research demanded a great deal of coordination between the researcher, NECs and the ANCEFA. As a result, ANCEFA, the regional entity for NECs in Africa accepted to coordinate the communication process during the research process. One regional staff at the ANCEFA regional office for Africa was identified to help make the initial contacts with respondents in all 20 countries where NECs are operational. With permission from respondents, the ANCEFA staff provided the researcher with telephone numbers and email addresses for those selected to participate in the study. The staff played a key role in ensuring that all meetings took place as agreed in the data collection plan. The staff also provided access to all primary data sources needed from each of the 20 NECs as well as giving the researcher an unimpeded access to the project Management Information System (PMIS).

3.4.2 Data entry, cleaning and presentation

With the help of an experienced data entry expert, the data collected was entered into statistical package for social scientists (SPSS). This process involved coding all the questionnaires and giving each questionnaire a unique identity (ID) and creating a screen for data entry. The SPSS version 21 was used. All structured questions in the questionnaires were captured directly into the variable view of the statistical package. Data cleaning and verification was done to make sure there were no missing fields and duplication. After this, office editing which, involved running frequencies and checking for mistakes in the data was carried out. Questionnaires were retrieved and checked for errors and omissions to correct the mistakes that were identified. The use of descriptive statistical methods helped to illustrate trends over the last four years, to reduce and condense the volume of data into more manageable and meaningful categories. Graphs and matrices were used to illustrate mono and multi variables. Personal judgment and experiences was used to represent qualitative data as themes emerged overtime (Oppenheim 1998:77). Based on emerging themes, patterns were identified and conclusions were drawn on the strength of empirical evidence to ensure validity of results (Mouton 1996:111).

3.4.3 Data capturing, editing, contrasting and comparing

Each questionnaire was checked manually for completeness. Tape recorded interviews were transcribed before emerging themes and sub themes were identified, conceptualized and de-conceptualized for text to be organized into different themes and sub themes in readiness for analysis. Altogether 32 questionnaires, 45 in-depth interviews and 4 Focus Group discussions were captured.   In addition to questionnaires, interviews and focus groups discussions, the research used different techniques to compare and contrast information in order to validate data. These included: (a) asking the *other*- Semi structured interviews were conducted with 15 district education officials to compare and contrast information on NECs to avoid *intentionalist* analysis of the phenomena. (b) *Document equivalence*- Another way of contrasting empirically the information provided by NECs was to compare the documents they produce with the documents (laws, agreements, etc) that are approved by the decision makers. Hence, extensive document analysis was undertaken. (c) *Process Tracing*-The technique involved a detailed historical reconstruction of different struggles and policy processes through the chain of actions and interactions hosted by different actors (Bestill and Corell, 2001). (d) *Contra factual analysis*- Instead of answering the

question "What added value has Coalition X had on the policy process?" several authors suggest that the researcher asks a contra factual question: "Would the outcome of the policy process be different if coalition X had not intervened?" (Korzeniewicz and Smith, 2003, Blyth, 1997, Guzzini, 2005, Ekstrom and Danermark, 2002).

3.5. DATA ANALYSIS AND INTERPRETATION

Identity and support context, strategy and operational capacity, added value and the environmental factors are the independent variables of the phenomena this research sought to explain. The following figure shows the organic relation between the research variables. The figure also contains the main concepts of the research and reflects the form of the analysis contained in chapters 4,5,6, and 7.

Figure 1: The Strategic Triangular Framework
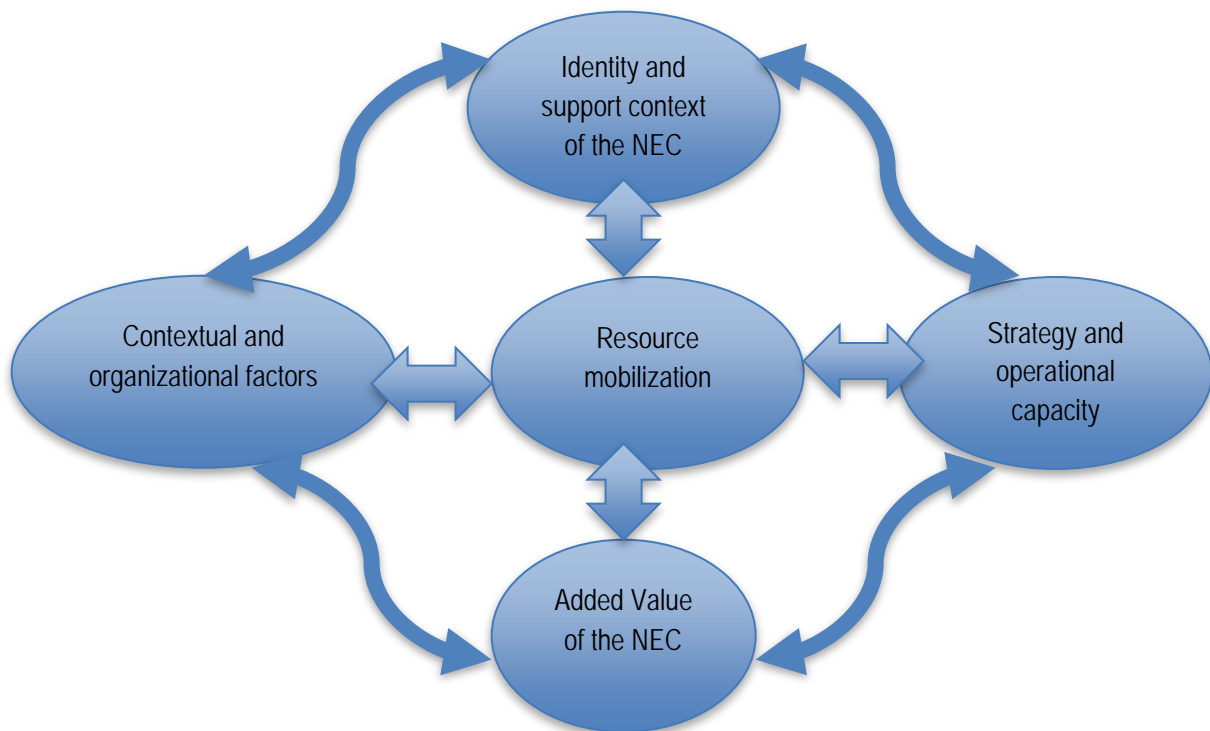
The study assumed that these variables don't interact autonomously with the dependent variable (the NEC's ability to mobilize resources). They are entwined. Their explanatory power depends on

their linkages. The research assumed that all the elements contained in the model of analysis matter. That they matter collectively in the success of the NECs resource mobilization.

To triangulate information, opportunity was provided for 32 respondents to take part in individual interviews. Eight (8) respondents from each of the four (4) NECs in each of the four (4) countries participated in the interviews to share their experiences and knowledge in the research. Four focus group discussions were also held with 32 participants across the four countries. The political, social, economic and the financial contexts under which NECs in these countries operate as well as factors which influenced their ability to mobilize resources were discussed. Interviews and focus group discussions held led to the development of a number of recommendations on strategies that may be useful in organizing and managing resources to sustain the role of CSOs in development in the long run. To contrast empirically the information provided by NECs, documentary review and contra factual analysis was undertaken. Documents produced were compared with the documents such laws, polices, agreements, etc approved by the decision makers. Document analysis involved detailed historical reconstruction of the activities undertaken by NECs through in-depth interviews with several actors (Bennet, A. 2010: 207-2019).Contra factual analysis was carried out by asking contra factual questions to establish how different outcomes of the policy process in which NECs were involved would be if the coalition had not intervened? (Brady, H.E. 2010: 237-242).

3.5.1   Methodology for objective 1: The strategic triangular Framework

The strategic triangular framework was developed and taught at the Harvard Kennedy School over the last two decades (Moore, M. 2000:183-204). The framework is a tool used to analyze the strategies of public and nonprofit organizations. There are four areas of analysis involved in this tool; the identity and support context of the NEC; the strategy and the operational capacity of the NEC, the added value the NEC seeks to create and the contextual and organizational factors which influence ability to mobilize resources.

Identity refers to the mission, purpose and core values of the organization. Strategy on the other hand refers to how the organization carries out its mission and expresses its identity. In the Strategic Triangle Framework, identity and strategy are central to the meaning attached to the organization. It is strategy that enables the organization to mobilize and allocate resources to

implement programs and create value. The strategic triangle framework therefore argues that an analysis of NECs must integrate answers to three questions: (1) what is the organization's identity, strategy and support context? (2) What are their sources of funding? (3) What public value does the organization seek to create through its strategy? These questions provided a framework of analysis, which allowed the research to look into how NECs carry out their mission and express their identity as well as to examine strategy used to mobilize, allocate resources and implement their programs. The research applied the Strategic Triangle Framework of analysis to analyze the identity, strategy and support context of NECs; their sources of funding; and the value they seek to create.

According to Moore (2000), identity is central to the meaning attached to the coalition by staff and external stakeholders. Strategy is a set of concepts that guide how NECs carry out their mission and express their identity. Strategy enables the coalition to allocate resources or choose and implement programs. The strategic triangle framework argues that effective nonprofit and public organization strategies must integrate answers to three questions: (1) what public value will be created by the strategy? (2) What legitimacy and support can the strategy generate? and (3) what operational capacity is required to implement the strategy? Effective strategies provide mutually supportive answers to those three questions. Coalition as a major strategy would be expected to raise questions in all three areas as well as about their interactions with each other (Moore, M. 2000).

Quantitative and qualitative methods were used to generate data to address these questions. The research sought to understand the objectives and the activities of NECs; what NECs consider to be their place (identity) in education; who they are; their membership and support base; their sources of income; the difference which they were making on education with the support being provided to them. The study examined the vision-that is the images that NECs have for education of the future; how NECs relate to this vision and the strategies used to achieve their objectives; with whom and for whom it worked; values, norms and beliefs that guided how it behaved and acted. This allowed for conclusive inferences to be made based on trends comparison (Oppenheim, 1994:44-99) across the four countries where the study was conducted.

From the Collective behavior and Mass Society Theories, the research analyzed NECs as a social movement organization; a collective entity, which draws legitimacy from the system which they are part, to achieve specific results in collaboration with a number of actors working together (Luhmann, 1990:112; Schriewer, 1990:76-78). The approach was used to understand the *identity of NECs; that is h*ow they differ from other civil society networks and other groups. To clarify who and what National Education Coalitions represent; it was important to assess their broader constituency and support context. It was also important to analyze how NECs have facilitated their constituencies to access relevant policy institutions and decision makers at local and national level and the impact of their participation on educational development. At grassroots level, the study asked questions and sought to understand how the activities of NECs have offered their beneficiaries the opportunity to improve education delivery and the interface between civil society groups and public agencies. The study was keen to assess opportunities provided by NECs to enhance participation of their members at community level to foster a bottom up approach to education development and accountability.

Informed by classical models of analysis, the study explored the role of NECs in enhancing public accountability in the delivery of national education goals. Data was collected through interviews to establish what NECs along with other CSOs have accomplished to influence educational laws, regulations and policies that regulate the provision of the right to education to society, and their fair and consistent application. The interview questions sought to establish what NECs have accomplished to influence the policy process. Policy defines what the right to education entails in implementation terms in each country and clarifies responsibilities of the state as well as establishes mechanisms for enforcement of these rights. The interview also sought to understand what NECs have done to ensure that the state and its agencies are accountable to the public on the implementation of these policies. It sought to identify the contributions of NECs in plugging gaps in the regulatory framework on education and the impact of their work on the prevailing policy environment for educational development. Interviews were conducted with civil society representatives to analyze how NECs use expenditure-monitoring instruments to promote equity in the allocation of resources to the sector and to ensure that governments provided adequate resources for essential educational services within the sector.

3.5.2   Process Tracing and causal inference

Through process tracing, the research applied *a* technique, which involved a detailed historical reconstruction of different policy processes in which NECs were involved to identify the added value of NECs (Brady, E 2010:237-42). To Brady, Process tracing is a tool of qualitative analysis, used for systematic examination of diagnostic evidence selected and analyzed in light of research questions and hypotheses. In the research, process tracing contributed significantly in describing the added value of NECs and evaluating causal claims. As an analytic tool, process tracing was used to draw descriptive and causal inferences from diagnostic pieces of evidence and temporal sequence of events, which NECs were involved and contributed to. An assessment of causal claims was done to gain insight into causal mechanisms and provide an alternative means of addressing research questions.

Based on process tracing methods, contra factual questions were ask to analyze whether the outcome or added value of NECs would be different if the coalition had not intervened. Through process tracing and contra factual analysis, the research identified the difference which NECs have made in the education sector with regard to budget tracking and public expenditure monitoring. The researcher established the extent to which NECs achieved the stated objectives of their advocacy agenda; and generated a number of case studies demonstrating the added value of NECs in the policy process. From interviews and focus group discussions, the advocacy process coordinated by NECS and the challenges involved were identified. Through documentary review, interviews and focus group discussions, the benefits of budget tracking and public expenditure monitoring were established. Evidence was gathered on what NECs have accomplished in education governance at national level and a number of case studies provided.

3.5.3   Document equivalence

To contrast empirically the information provided by NECs, the research compares the advocacy demands and policy positions of NECs on education with the documents that were approved by the decision makers (Bennet, A. 2010:207-219). Through an extensive document analysis the research was able to identify policy issues which the NECs were able to put on the policy agenda of government. Through this analysis, the research generated a matrix, which summarized the policy

process adopted by government on the basis of the policy demands promoted by civil society education coalitions. A number of examples to demonstrate what the NECs undertook to ensure the progression of some of the policy issues from civil society demands to government policy and the inputs provided by civil society in the process were provided. The research reviewed resource-tracking survey reports carried out by NECs to investigate inefficiencies in public expenditure to identify loopholes in the service delivery systems and what NECs did to ensure that actions were taken by public officials responsible.   Through interviews and focus group discussions, the research identified the process through which NECs were able to build broad consensus among civil society on policy issues; the result of this consensus process and how this was used to facilitate policy consultation, dialogue and consensus at national and sub-national levels. The research identified examples of activities for NECs to coordinate civil society inputs in the annual education sector review processes and the annual national Civil Society Education Congress. Through interviews and focus group discussions, examples or cases showing the benefits and contribution of NECs policy work to policy change and institutional reform were identified.

3.6.0   METHODOLOGY FOR OBJECTIVE 2:

3.6.1   The context approach

The Context Approach (Hay, 2002b) provides an analytical framework based on the principle that the external context in which NECs operate is selective for each context and that different contexts may favor different results, strategies, actors and discourses differently. In explaining factors which influence the ability of NECs to mobilize resources, not all the outcomes are possible for every strategy and in every moment (Tarrow, 1998).The approach was used to focus analysis and interpretation on the role of the context/systemic factors and underscore the point that different contexts favor different strategies, actors and discourses differently.

Through interviews and focus group discussions, contextual factors which the research examined include: shifting donor trends; the role of humanitarianism in resource mobilization; the impact of globalization, information and communication technology; the Role of Development Partnerships; and trends in the development policies and practices of major development agencies. The interviews and focus group discussions carried out enabled the research to analyze the conditions that influence civil society such as the peaceful political environment and the emerging democratic

culture and their influence on the development of civil society watchdog role including their funding and resource mobilization strategy and relationship with development partners and international donors.

3.7.0   METHODOLOGY FOR OBJECTIVE 3:

3.7.1   The Strategy Approach

The method focused on the need to identity strategies being used by NECs and CSOs to mobilize resources. Strategy referred to the way "resources" were mobilized (people participation, material resources and ideas) to fulfill specific objectives (Moore, M. 2000:183-). To be effective, the approach emphasized how *strategic ideas* about the context were used to determine the capabilities to act effectively in different contexts. Because the funding environment is competitive, the methodology brought emphasis on the fact that CSOs needed to design their discourses, actions and tactics competitively. One important strategic element for analysis using this framework was related to the *alliances* used to articulate the cause for which resources were mobilized with other non-state actors, with policy makers and with practitioners. The point that the research method took into account was how the power of the NEC to mobilize resources was contingent on the action of other actors. The question explored was whether the power of a NEC to mobilize resources would be bigger or smaller depending on their strategies and capabilities (Jones, P.W.1998: 143-155). The method helped the study to assess if the national education coalition would probably be more successful if there were strategies and capacities in place to generate resources needed more sustainably to advance the cause of civil society (Jones, P.W. 1998:151).

3.7.2   The Pareto Principle

To assess the role of internal organizational factors, the study applied the Parento principle to understand the role of internal strategies and factors associated with resource mobilization. The Pareto principle was also employed to understand the constituencies or donor segments for which those strategies are effective as well as the organizational systems and structures that must be in place to ensure efficient, effective and sustainable resource mobilization (Jones, 1998:151). According to the Pareto principle, 80% of the funding for an organization may come from 20% of

donors/contributors. The funding structure of a CSO according the Pareto principle is represented in a donor Pyramid below.
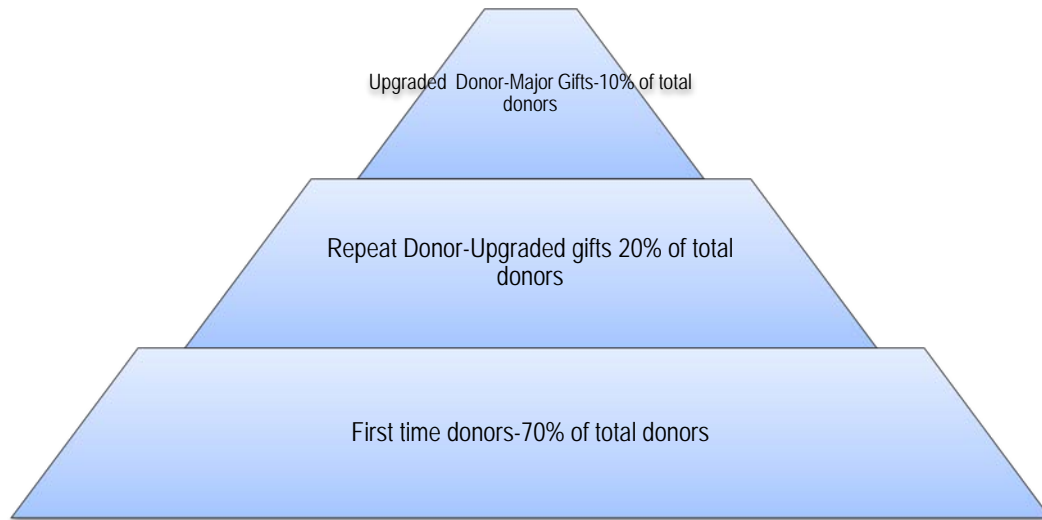
Figure 2: Donor Pyramid

At the base of this pyramid (first level) are first time donors/contributors, followed by the next level, which are repeated or renewed donors/contributors, and then the top level consisting of core funders. The pyramid reflects a concept called the Pareto Principle, also known as the 80-20 Rule, which states that a small number of causes (20%) are responsible for a large percentage of the effect (80%). In business, it can mean that 20% of the customers generate 80% of the sales, or that 80% of merchandise comes from 20% of the vendors. In the non-profit application of the Pareto Principle, it means that 20% of an organization's funding comes from 80% of its donors, forming the base of the pyramid. Majority of the supporters of the CSO are involved in a smaller capacity. Further up the pyramid, individuals with greater involvement become fewer. At the apex is the smallest group of supporters who contribute the most (80% of the funding).

The donor pyramid was used to assess through interviews and focus group discussions the resource mobilization strategies that are appropriate for each level. The study identified entry-level strategy and organizational factors that need to be in place to increase resource mobilization capacity over time. The study also identified growth strategies and factors to build the donor base. Through interviews, factors such as being aware of the changes and possibilities in the funding

environment; undertaking regular organizational situational analysis; aligning resource mobilization efforts with a long term strategic plan; dynamic, bold leadership, broad outreach, visibility, brand identification, cause-related marketing were identified as preconditions for successful resource mobilization.

3.7.3   The re-scaling and boomerang tactic

In the globalization age, it was important to analyze and contemplate the *re-scaling factor* as a strategic element for effective resource mobilization strategy. (Hay, C. 2002a) The re-scaling and boomerang effect required analyzing the different scales in which NECs operate or mobilize resources (global, regional, national and local). Questions were asked on two kinds of activities that influenced the ability of NECs to mobilize resources. These were activities, which were clearly subject to pluri-scalar scenario (Tarrow, 1998). The research focused on the *scalar interaction* as a factor of success to examine how the relation between the NEC and the GCE at regional and international level became a central element of resource mobilization. Through this method, the research examined how information and knowledge was circulated between global and domestic scales, how the activities were coordinated between local and international coalitions and the division of labor between scales in conditioning the results of the resources mobilization process.

One of the re-scaling tactics analyzed in the study was the boomerang effect. The study took interest in understanding NECs as domestic groups that can't access decision makers at the state level. The application of the method allowed the study to apply the boomerang effect in understanding how NECs inter-nationalize their demands through international networks such as the GCE that has connections with key foreign states or international organizations as a way of opening opportunities at the domestic level (Tarrow, 2001-29-32). Another version of the boomerang effect applied consisted of an understanding of how NECs based their demands in international agreements that have been signed by the state to force their government to comply (Tsutsui & Wotipka, 2004:9587-620). In any case, the use of the boomerang pattern as a methodology facilitated the analysis of the possibility that NECs can be successful at the state level through the projection of their activity to the global scale.

3.7.4   Meaning Frames/Cognitive approach

The third set of methods used to inform analysis and interpretation for objective 4 was the meaning frames/cognitive approach, which emphasizes the significance of constructing meaning frames in understanding activities of CSOs (Tarrow, 1998). Using the framework, the research applied three kinds of meaning frames that facilitate the development of strategies for resource mobilization: (a) the explanation of the problem, (b) the proposal of alternatives to the problems and (c) the motivation of people to contribute to solve them (Garfinkel, H. 1981). The meaning frame was crucial in understanding the process involved in resource mobilization. This approach assumes that the political system in which NECs operate is open to non-state actors' influence and doesn't give importance to contextual factors. Civil society organizations, through negotiation, bargaining, persuasion and pressure can influence policies and ensure that no single group controls all the policymakers and stages of policy making, but the outcomes depend on the correlation of forces and strategies between these groups in specific moments and in relation to specific issue areas.

3.8.0   METHODOLOGY FOR OBJECTIVE 4

3.8.1   The Pareto principle

The fourth objective of the research was to propose a sustainable resource mobilization model for CSOs. In the donor logic approach/Pareto principle, the study focused on the importance of understanding donor logic and the idiosyncrasies of the various aid agencies in education and in civil society resource mobilization. For this reason, it was important for the study to demonstrate for instance how NECs are distinct in their contribution from the foreign policy frameworks that fund them (Alesina & Dollar. 33-63) .The study deployed the donor logic approach to scrutinize the logic behind the different funding sources for NECs and how each source tended to influence the strategy and approach taken to respond to development issues (Jones, 1998:151). The methods used assessed the strategies and action repertoires dimension of NECs to understand their rationale and how this influenced resource mobilization.

The use of the model enabled the research to focus on processes that many CSOs go through to plan and strategize, organize, coordinate and raise money (Tilly 2001: 21-41). Using the framework, the research investigated (a) the processes used by CSOs to bargain for resources,

and co-opt support (b) the dynamics through which CSOs advance their interests and (c) combine these two perspectives into an analysis of what a sustainable resource mobilization model for CSO could entail. The research identified tactics and strategies and enabling conditions to pursue resources, including the requirements for *internal organization, governance and management structure* (Turner, R.L. 1981:1-24). The Approach was also used to explain the dynamics and the rationale behind the proposed strategies recommended in the proposed model. Using this method, resource mobilization was viewed as the consequence of rational choices made by individuals in pursuit of goals, which could not be achieved as efficiently through other means. The study applied this method to understand the utilitarian logic, strategy, and political considerations used to explain fund raising and resource mobilization (Aveni, A.F. 1978:185-202).

3.8.2   The Donor Pyramid

The data was collected and analyzed according to the Donor Pyramid explained above. The use of the donor pyramid provided three levels on analysis. At the base of the pyramid (first level), the research identified strategies used to engage first time donors/contributors, who make up the majority of the total number of contributors/supporters to the organization. The next level that follows in the pyramid represents repeat or renewed donors/contributors. These are supporters who have given to the organization more than once. Specific strategies were identified for this level. At the top level of the pyramid, relevant strategies were identified to target core funders.

3.8.3   The political process model

The application of the donor pyramid was also based on the political process model, proposed by writers such as (Tilly 2001: 21). The model focuses on the political process of resource mobilization or the internal organization factors that help the organization to plan and strategize, organize, coordinate and raise money (Turner, R.L. 1981:1-24).The political process model criticizes the term "resource mobilization" advanced by McCarthy and Zald for failing to capture some crucial aspects of the political process involved in resource mobilization (Interviews, 1983). According to Tilly (2001), resource mobilization models identify the amassing or spending of resources as the absolutely central phenomenon and to that extent distracts attention away from group organization. Tilly believed that group organization should be singled out in any study that involves resource mobilization. This means that though social movement groups possess organizational structures

and resources, they must be mobilized to gain collective control over recourses. By using this theorization, the research explored a number of internal organizational factors that support effective resource *mobilization process including role of existing structures and resource.*

3.8.4   Proposal for a balanced Resource Mobilization Model

To establish what a sustainable resource mobilization model would look like, the study looked into methods and mechanisms that can be used to secure income for CSOs and to develop a culture of resource mobilization in a way that is sustainable. The proposed model was envisioned in the context of globalization, to contemplate the role of external and internal resources and the international architecture in the model. Hence, the relationship between the different scales of interaction, local, national, regional and global became a central element in the analysis of the proposed model. The external support and structures needed to mobilize and provide money and manpower were identified. This included the infrastructure or power base to organize resource mobilization, the strategic choices that need to be made and the internal organization and the identity of the model. The selection of the support base of the model and the support of other established institutions, including the role of professional and informal networks were identified. Key success factors were identified for a sustainable resource mobilization model (McCartby, J.D & Mayer, N.Z. 1977:1212-1241).

The research analyzed what Tarrow called the *re-scaling factor* to examine the strategies that can be used at different levels and scales -global, regional, national and local to build this model (Tarrow, 2001). According to Tarrow, in the global age, *scalar interaction* as a factor of success means that the way information and knowledge is circulated between global and domestic scales, how activities are coordinated between local and international scales and the division of labor between scales helps to condition the results of resource mobilization process. One re-scaling tactic analyzed by the research for this purpose was the boomerang effect; that is, how NECs and CSOs were able to inter-nationalize their demands through international networks, key foreign donor agencies and international organizations to open up opportunities at different levels.

Chapter Four

The Identity, Support Context and Added Value of NECs

4.1   IDENTITY OF NATIONAL EDUCATION COALITIONS

Through the Civil Society Education Fund (CSEF), the Global Campaign for Education (GCE) has been supporting NECs in over 50 developing countries in Africa, Asia and Latin America. Today, the GCE claims that there are NECs in 65 developing countries around the word. The rationale for the Civil Society Education Fund (CSEF) was to ensure financial support to the core work of NECs so that they could fully engage in the development of national education sector programmes with governments and donors, and track the progress of national governments and local donor groups in working towards the realisation of Education For All (EFA) goals.From the data provided by NECs, the following timeline was developed to illustrate the year in which 34 out of 44 Coalitions on which data was available were formed.

Figure 3: Time line showing the countries and year of formation of national coalitions

From statistics generated, the identity of NECs has evolved over the last 10 years with implications for their strategy and the meaning their members and stakeholders attach to the work of the NECs. This evolution in identity has also had implications in the support context of NECs.

The analysis shows that the majority of the NECs were formed from 1999-2007, to strengthen civil society role and to coordinate civil society engagement in tracking the progress of their national governments and donor groups towards the Education for All goals. Through the Civil Society Education Fund (CSEF), broad-based and democratically run NECs that have membership across civil society organizations were formed at national level. The majority of NECs have broaden their membership from a handful of CSOs overtime to include teacher union organisations, women's groups, human rights organizations, grassroots community groups and media organizations, to strengthen coordination on education advocacy across civil society and with government and donors and to build capacity of civil society to monitor spending on education, both at local and national levels with respect to budget analysis and expenditure tracking; gender disaggregated budgeting and translating budgets into simple languages so that communities understand what it means for them politically. Since their formation, NECs have played a role in educating civil society advocates on major developments in education policy and country process; increasing civil society engagement in policy processes, particularly with their engagement in the Local Education Groups in countries such as Ghana and Zambia. Evidence that the CSEF has supported the NECs to design and implement education advocacy and campaigns strategies in over 54 developing countries since 2010 has been found.

The process for the formation of a NEC at national level was often preceded by several months of consensus building among founder civil society organizations, often resulting into the development of a number of foundation documents, which shaped and defined the composition of membership, governance structure, operational systems and guiding principles for the coalition. This occurred with one lead NGO often serving as the interim lead agency supporting and coordinating the establishment of a small secretariat and the subsequent legal registration of a NEC. The establishment process included recruitment of key staff, usually a full time national coordinator and an accountant. Following the founding of the secretariat, the team was assigned the important task of building the membership and setting up local branches or network of the coalition across the country. Analysis of data available on the membership of NECs clearly points out that there were at

least 12 Coalitions out of 41 with a membership size ranging from 55 to 425 member organizations. The majority of the NECs had members ranging mainly between 100-200 civil society organizations. Many of these coalitions had built a strong local support base and had become prominent players at national level. Five (5) of the largest NECs identified from the data on membership were found in Nigeria, India, Bangladesh, Pakistan and Niger- countries with the world's biggest Education deficit and a desperate need to provide quality education to their people. The largest coalitions by the size of their membership were not necessarily the most influential according to added value analysis. For example, coalitions in Nigeria and Ethiopia, which were very well established, were mainly functional organizations with less evidence of impact at policy level, compared to the NEC in Ghana for instance, which had a lot to show for its contribution in the national education sector of Ghana. The NEC in Nigeria was the largest of all, with over 400 civil society member organizations, but ranked 14th according to the performance indicators on policy influencing. The 12 most influential NECs in their order of significance included Bangladesh, India, Mozambique, Ghana, Malawi, The Gambia, Kenya, Niger, Cambodia, Uganda, Pakistan and the Dominican Republic.

A small increase in the number of new district branches or provincial networks of NECs was associated with a huge growth in the number of CSOs joining their national constituency and membership. Opening up of new district branches and networks to attract new members in the NEC was the main strategy behind the rapid growth and expansion in the support base of NECs. This is further illustrated in the following graph, which shows the relationship between growth in number of district branches and provincial networks on one hand, and increase in the number of CSOs joining as members of the NECs on another.

As presented in the graph below, the number of CSOs becoming members of the NECs in 40 countries increased from 761 in 2009 to 2,664 in 2010.With a rapid increase in the number of district branches and provincial networks of NECs over the last 7 years, 70% of NECs in CSEF supported countries were found to have branches or networks in most parts of the country. The above illustration shows that the number of NECs with branches in most part of the country more than doubled between 2009 and 2010 as a result of the support provided through the CSEF.

Through the strategy of establishing National Education Coalitions, the GCE anchored its support for the work of NECs to the Local Education Groups (LEGs). In its strategy of strengthening the role of civil society in the education policy process, the GCE encouraged the formation of NECs and supported them to become fully recognized as members of the LEGs. The LEGs, which forms the foundation of the Global Partnership For Education's (GPE) governance structure at the country level, consist of representatives of government and local donor groups working together to support the development, appraisal, implementation, monitoring and evaluation of national education sector plans. The LEG is the policy forum through which policy issues are discussed and adopted by stakeholders before they are translated into policy proposals and budget for implementation.
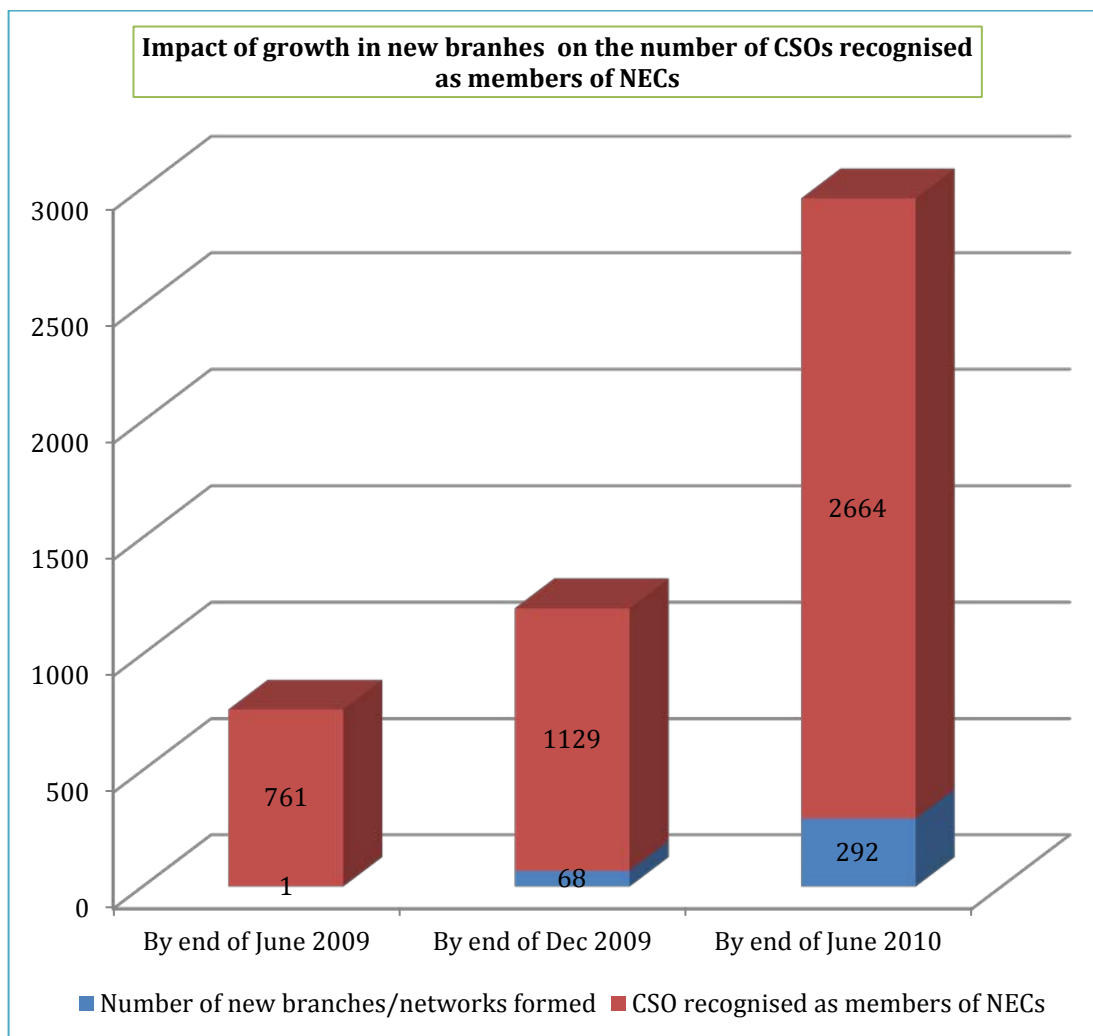
Figure 4: Growth in the membership base and support context of NECs

Table: 1

Support context of NECs illustrated by the number of CSOs that constituted their membership at country level

Country	Region	Number of member organizations of the NEC
Bangladesh	Asia	234
India	Asia	425
Mozambique	Africa	200
Ghana	Africa	270
Malawi	Africa	73
The Gambia	Africa	25
Kenya	Africa	169
Niger	Africa	55
Cambodia	Asia	101
Uganda	Africa	98
Pakistan	Asia	130
Dominican Republic	Latin America	
Nigeria	Africa	500
Benin	Africa	6
Zambia	Africa	51
Cape Verde	Africa	13
Mongolia	Asia	17
Angola	Africa	50
Togo	Africa	44
Papua New Guinea	Asia	7
Solomon Island	Asia	15
Sierra Leone	Africa	95
Rwanda	Africa	10
Djibouti	Africa	13
Nepal	Asia	48
Cameroon	Africa	55
Democratic Rep of Congo	Africa	26
Vietnam	Asia	33
Bolivia	Latin America	40
Burundi	Africa	11
Lesotho	Africa	50
Zimbabwe	Africa	9
Burkina Faso	Africa	22
Indonesia	Asia	20
Timor Leste	Asia	9
Vanuatu	Asia	43

Source: CSEF results framework

Through the CSEF, civil society organizations who were members of the NEC were expected to fully assume the roles that they are expected to play according to the Dakar Framework of Action, specifically in respect of the Global Partnership for Education's country level processes. According to interviews held with key national stakeholders, the CSEF came in to build capacity of CSOs in monitoring and evaluating education sector plans, tracking education budgets and spending, conducting policy oriented research, engaging in policy discussions and strengthening the consensus building process around education sector plans. This was done to increase the number of low-income countries with "sound and sustainable education sector plans" using a broad based participatory and consultative process that involves civil society.

Other than setting up NECs and getting them recognized as partners in the Local Education Group (LEG), the research identified that meaningful engagement with national governments and donor groups by NECs and CSOs was not complete without their active inputs and engagement in Education Sector Planning processes, sector budget tracking work, budget analysis and translation of budget information for accountability and community use. Figure 5 below shows the number of NECs taking part in different activities with the Local Education Group:
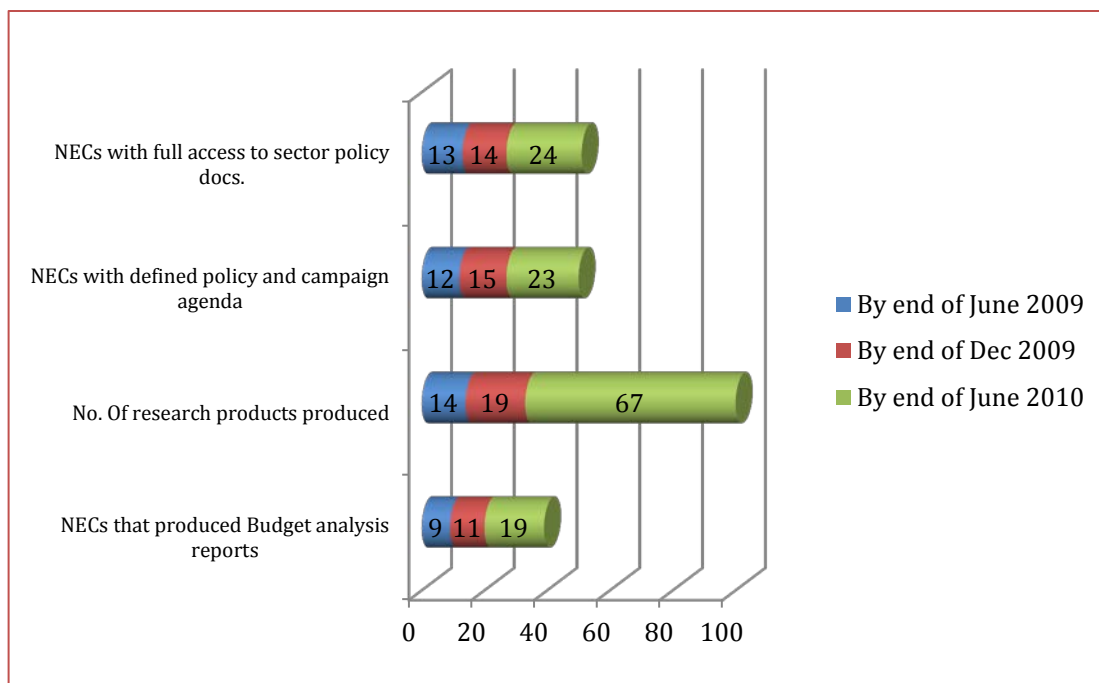
Figure 5: Number of NECs taking part in different activities with the Local Education Group

The NECs also undertook key policy studies, research and surveys. The purpose was to define and set their policy agenda, define policy positions and establish campaign plans, to be able to get involved and effectively represent their membership and CSOs in education policy processes. As a result, NECs undertook to build core competences in key policy areas such: Education Strategic Plans, Budget tracking and budget analysis, education policy research and designing campaign agendas and plans. From a review of records, the research found, as illustrated in the graph below, that access by NECs to the following key quality inputs increased significantly as a result of these strategies:

The research identified access to these five core areas of information; budget analysis and reports; research on education issues; policy positions and campaign plans; and education sector policy documents as the basic requirement for any meaningful civil society engagement in the national level sector process. If NECs were to be a genuine part of country education policy dialogue, their access to decision-making inputs needed to be enhanced. As illustrated in the above and below, the number of NECs which reported increasing levels of access to education sector key policy documents overtime increased from 13-24 over a year's time; hence their contributions in the national sector policy dialogue. Figure 6 below shows the number of NECs with access to Education Sector Plans.

NECs with full access to Education Sector Planning Documents

	Number of NECs
Year 2012	24
Year 2011	14
Year 2010	13
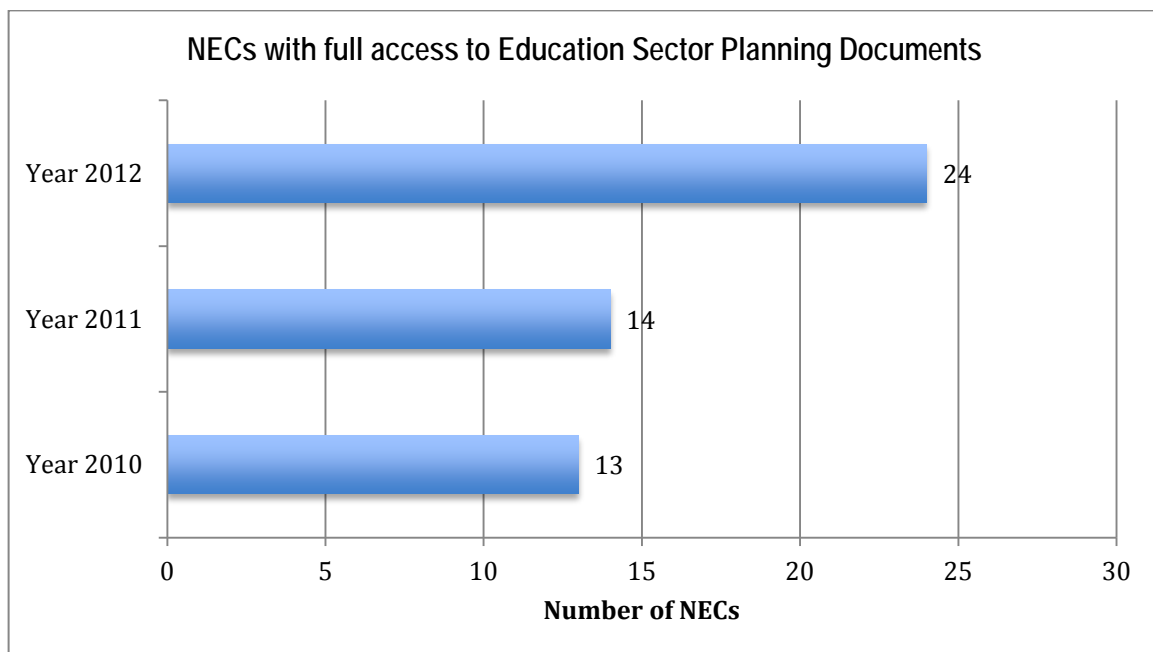
Figure 6: Number of NECs with access to National Education Sector Plans

From the review of documentary evidence, the number of policy research studies produced by NECs and CSOs were found to have increased from 19-67 from 2009-2013. This signifies a growth trend in the volume of civil society inputs in the LEGs. According to interviews and focus group discussions, building capacity of civil society in these areas increased credibility for the work of NECs at policy level. With this capacity, respondents reported that NECs could more meaningfully take part in the Education Sector Planning process and in the joint annual sector review processes along with government and donor representatives.

4.2   LEGITIMACY OF NECs

4.2.1   Legal registration

Legal registration was identified as key in the legitimacy and establishment of the NEC. For this reason, a critical stage in the history of NECs was found to be at the point which legal registration for the NEC was accomplished. From the analysis of project records, the number of legally registered NECs were found to have picked up steadily from December 2009-June 2010, increasing from 13-29. In just over a year, 17 NECs in 17 countries became legally registered. Interview findings show that legal registration for NGOs is a tedious process in many developing countries, as activities of civil society organizations get further curtailed as a result of restrictive legislation. In some countries, civil society spaces are increasingly being squeezed by the introduction of new NGO regulations, with CSOs being automatically deregistered after every three years before being vetoed for re- registration.

4.2.1   Leadership and governance

The leadership and Governance of National Education Coalitions were also identified as key elements for their legitimacy and support. Results obtained from the available records and from focus group discussions revealed that effective internal governance and decision-making structure was key in building a broad based and a democratic NEC at country level. As shown in the illustration below, the research found that most NECs hold annual Members' General Meetings (AGMs) once in every two years as outlined in the national constitution of many NECs. Compared to a base line of 10 NECs in 2009, the number of NECs that held AGM increased symbolically by 7, in 2010, indicating a growth in the culture of internal democracy and accountability within NECs.
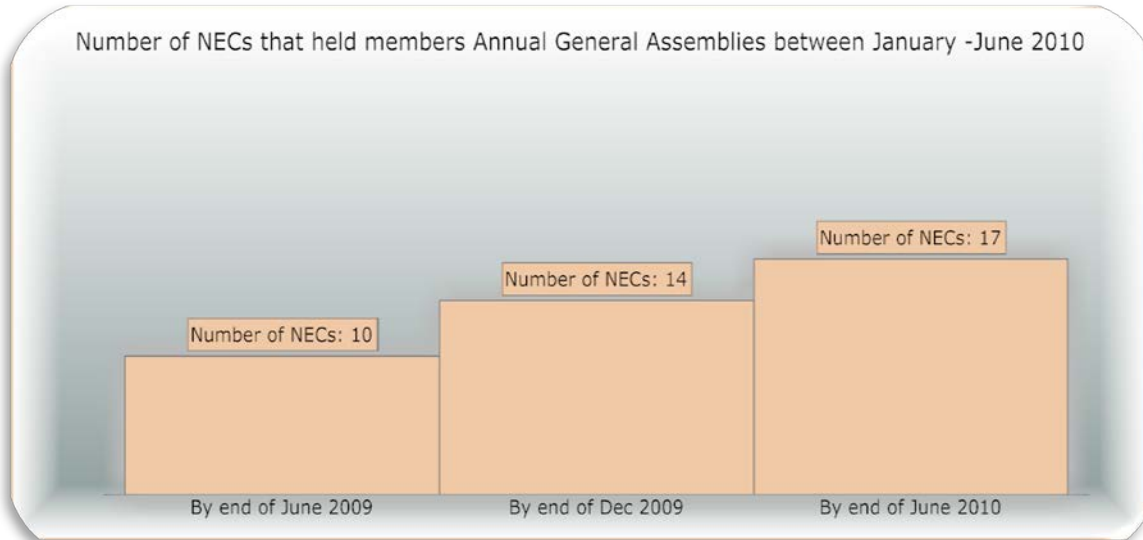
Figure 6: Number of NECs, which held Annual General Meeting

The following graph, derived from interview data, shows the number of NEC National Coordinators, who believed that their coalition had independent and credible governance structures, duly constituted by nationally elected board.
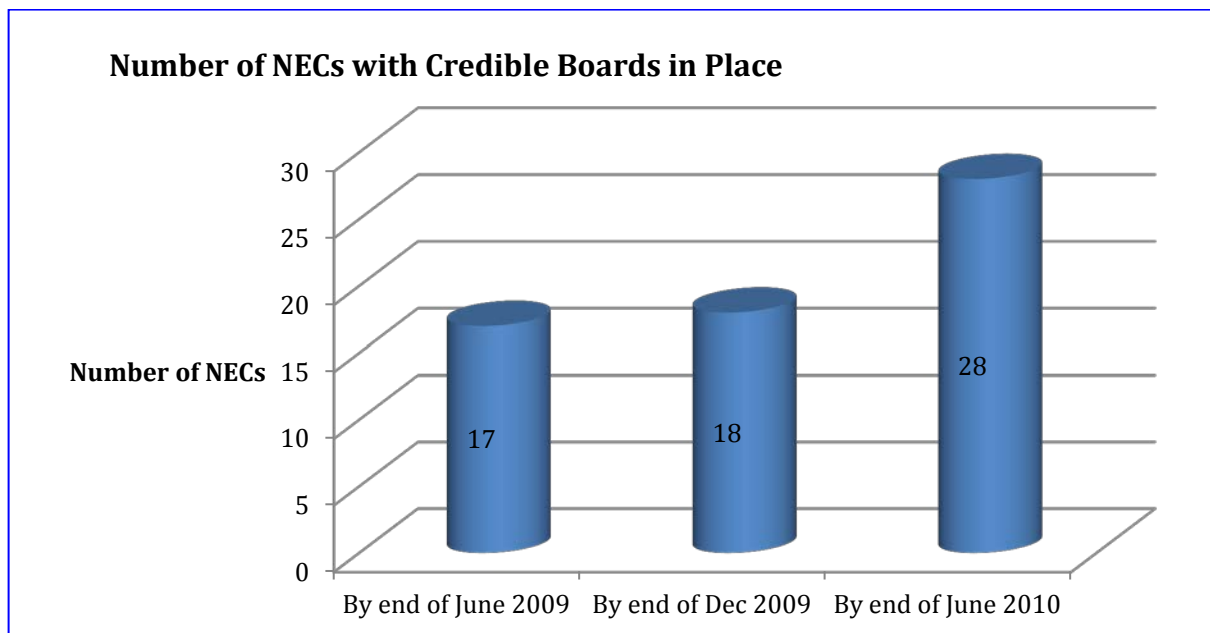
Figure 8: Number of NECs with credible boards in place

From the record available, there were a total of 190 men and women serving on the boards of 28 NECs. The representation of women and men on NECs' boards were found to be disproportionate. Women constituted 35.8%, with men being the majority of NECs' Board members. This imbalance is further illustrated in the diagram below.

Proportion of male and female members of the NECs boards

Number of Board members: 190

Number of Board members: 122

Number of Board members: 68
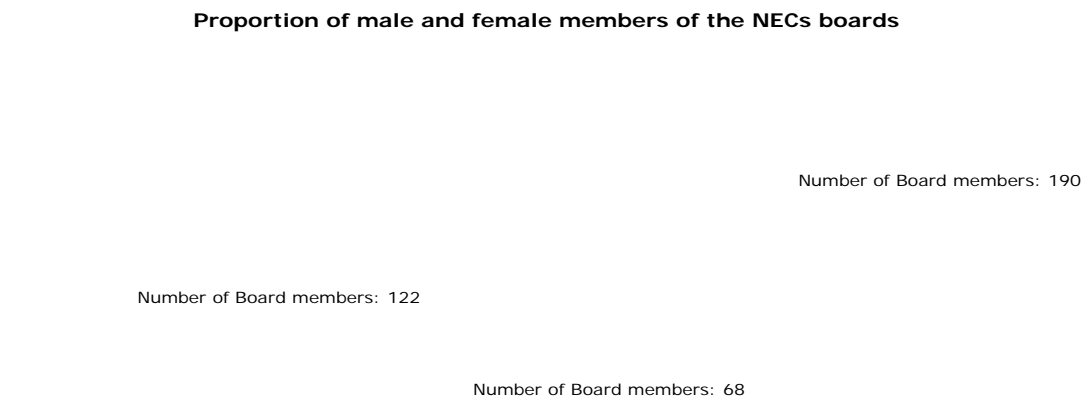
Figure 9: Power Distribution among men and women on NEC boards

With more elections of board members held in the last three years, many NECs saw more women entering the Boardrooms. The change in number of women elected to the board from 2009-2010 is illustrated below.

Figure 10: Number of women on the Boards of NECs

The study found that the position of women on the board of NECs was slightly elevated over time as figure 11 below shows.

Number of Women on the national boards of NECs

	Jun-09	Dec-09	Jun-10
Number of Women	14	20	89
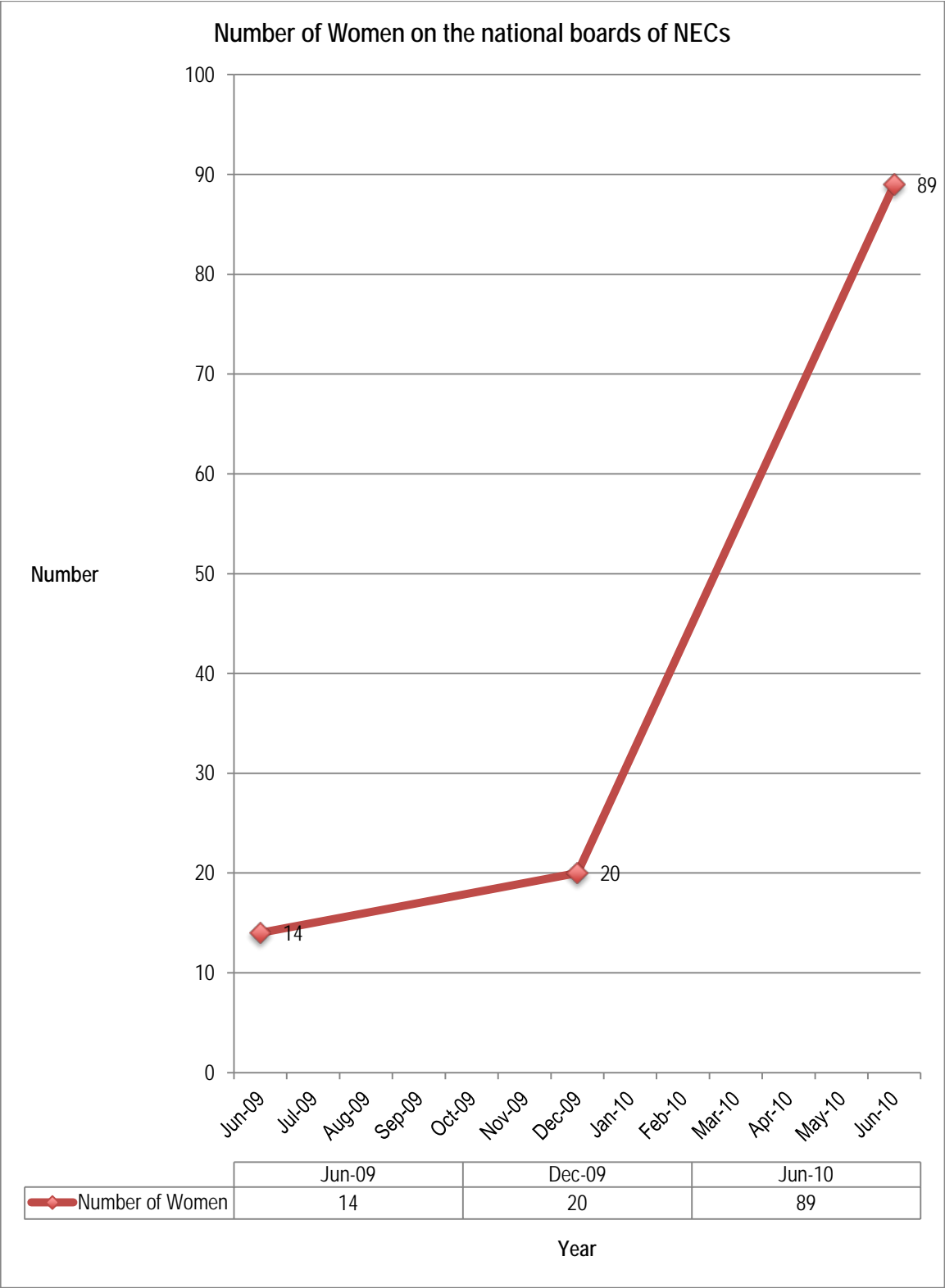
Figure 11: Growth in the number of women on NEC board

Table 2

Summary of statistics compiled on number of women/females on the board of National Education Coalitions by Country.

Country	Region	No. of Board members	No. Female Board members	%
Dominican Republic	Latin America	5	4	80
Mongolia	Asia	11	8	73
Mozambique	Africa	11	7	64
Rwanda	Africa	5	3	60
Burundi	Africa	5	3	60
Cape Verde	Africa	7	4	57
Kenya	Africa	12	6	50
Nigeria	Africa	8	4	50
Solomon Island	Asia	9	4	44
Uganda	Africa	7	3	43
Cameroon	Africa	7	3	43
Lesotho	Africa	5	2	40
Indonesia	Asia	5	2	40
Togo	Africa	11	4	36
Niger	Africa	18	6	33
The Gambia	Africa	15	5	33
Zambia	Africa	9	3	33
Timor Leste	Asia	9	3	33
Bolivia	Latin America	9	3	33
Papua New Guinea	Asia	6	2	33
Vietnam	Asia	7	2	29
Ghana	Africa	15	4	27
Burkina Faso	Africa	8	2	25
Zimbabwe	Africa	4	1	25
Angola	Africa	4	1	25
Pakistan	Asia	13	3	23
Malawi	Africa	9	2	22
Djibouti	Africa	9	2	22
India	Asia	9	2	22
Sierra Leone	Africa	6	1	17
Vanuatu	Asia	6	1	17
Bangladesh	Asia	21	2	10
Benin	Africa	11	1	9
Democratic Republic of Congo	Africa	11	1	9
Cambodia	Asia		2	
Summary				
Africa		155	60	39
Asia		96	30	31

4.3   FUNDING SOURCES FOR NATIONAL EDUCATION COALITIONS

The strategic triangle framework also argues that an analysis of CSOs must integrate answers to the question of what are the main funding sources and income for the organization. The task of building capacity of NECs to monitor national education sector plans, track education budgets and spending, conduct policy oriented research, would, according to the GCE, only be sustained with sustainable local funding streams being available at national level. This, according to interviews and focus group discussions would require credible and independent National Civil Society Education Funds (NCSEF) to be put in place along the same principles of the global CSEF.

NCSEF was perceived by many respondents as an independent national fund that channels multi-donor funding from in-country donors to the national education coalition and to its civil society member organizations (GCE, 2008).With this thinking, the research analyzed the main funding sources of NECs to identify funding trends and establish a better understanding of where NECs' income and funds came from. There were two board categories of income streams identified; CSEF and non-CSEF funds. The following graph was generated from the data collected from a sample of 12 NECs to illustrate the significance of these two broad categories of the funding sources for the 12 NECs over the last three years.

Figure 12: Categories of funding from 12 NECs

From the above graph, 6 (50%) of the 12 NECs derived most of their income from non-CSEF sources, with the amount of funds generated by 5 NECs from non-CSEF sources far exceeding those from CSEF sources. On the other extreme hand, NECs in Senegal, Burundi and Burkina Faso relied entirely on the CSEF funding stream. The following table provides a further summary to compare funding from the CSEF verses other Non CSEF Funding Sources in 5 NECs.

Table 3: Amount of CSEF verses other Non CSEF Funding Sources in 5 NECs

NEC	CSEF Funds	Non CSEF Funds
Malawi	$136,400	$300,000
Sierra Leone	$110,932	$49,728
Mozambique	$81,400	$296,625
Nigeria	$136,400	$350,000
The Gambia	$111,397	$20,000

A comparison of funding levels and support base found that the NECs with bigger membership base and capacity tended to attract more non-CSEF funds than the smaller ones. From interviews and focus group discussions, ability to attract funding was attributed to the wider support base and network as a result of their membership coverage. This finding was supported by the following evidence, which shows that the bigger the membership base, the greater was the total funding of the NEC.

Table 4: Total funding versus membership base of NECs

NEC	Total Funding	Number of members of the NECs
Malawi	$ 436,400	270 CSOs
Sierra Leone	$ 160,665	95 CSOs
Mozambique	$ 378,925	200CSOs
Nigeria	$ 486,400	500 CSOs
The Gambia	$ 131,397	25 CSOs

Source: CSEF Results Framework

As further illustrated below, in all cases, the biggest NECs attracted the biggest funding. Total funding increased in proportion to the membership, with the exception of Nigeria, where membership growth outstrips growth in the amount of funding. This suggests the need to balance growth strategy with fund raising and resource mobilization strategy to ensure the two are kept at par. Figure 13 below compares growth in the number of member organizations of the NECs with growth in funding:
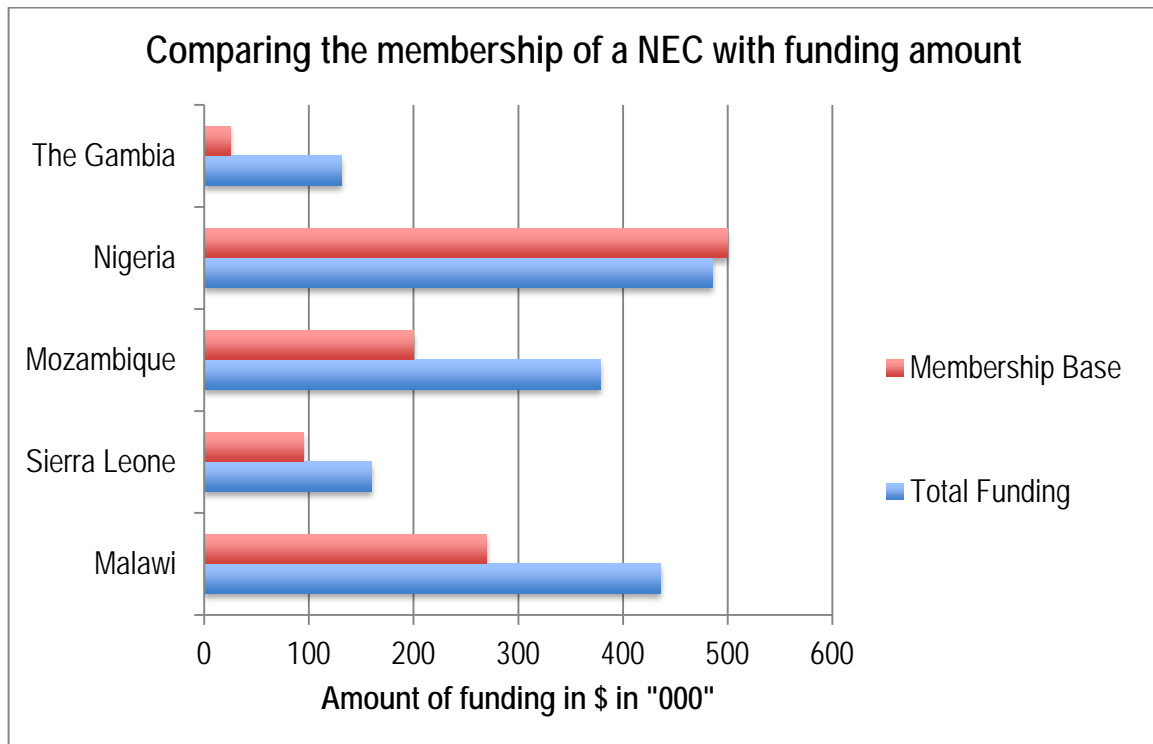
Figure 13: A comparison between growths in membership base verses funding

From the analysis of the funding trends of a sample of 12 NECs, the research found that most income came from international NGOs (68%), multilateral agencies (13%), bilateral agencies (11%), foundations (6%) and from their governments (2%). While the proportion of funds generated from country-level efforts was 63% of the total, the amounts raised from local sources were insignificant. Few NECs were able to generate funds on their own, with a significant number relying on the pooled funding (CSEF) generated by the GCE at international level. The main types of income for NECs were found to be as follows:

4.3.1   Membership fees and contributions

The research found that over 80% of the membership of the 15 NECs was constituted by national NGOs and grassroots organisations. However, the financial contribution from membership fees was less than 1% of total income. This is clearly an area where NECs need to develop better strategies for fund raising, as individuals are a major source of funding for CSOs. Studies suggest that the amount of funds provided by individuals to charitable causes surpasses that from government (Gatignon, 2007). Whether in cash or in kind, individual contributions are so important in the operations of CSOs. Since NECs are yet to maximize the potential for individual contributions in their operations, there is a need for strategies to integrate the role of individuals in supporting resource mobilization for NECs.

4.3.2   Funding from International NGOs and other not-for profit organizations

The research found that a larger part of NECs' funding was generated from international NGOs. From the data analyzed from 15 NECs, a total of 68% of their income was a contribution from international NGOs. Evidence from the general review of literature confirmed the significance of not-for profit sector as a key-funding source for NGOs. According to Phiney, the not-for profit sector as whole is worth over $ 1 trillion a year globally, ranking as the world's eighth largest economy (Phinery, 2002). Of this, the largest NGOs control budgets that surpass the aid budget of some official bi lateral donors, have incomes several times larger, are active in more countries and are certainly as influential in their ability to command public and political attention (DFID 200a). To emphasize the role that INGOs may play in supporting local civil society organizations such as NECs, it is for instance noted that the budget of the INGO-World Vision International exceeds the ODA of Italy. Plan International spends more than Greece and the Save the Children Alliance more than Finland. As was the case found in NECs, the Northern NGOs have acted as the main partners of the major international donors and local NGOs, subcontracting components of their projects to local civil society organizations. The research found that sub contracting, as a model for civil society funding remains both widespread and relevant.

The study found that following the shift from project based modality of aid to budget support and sector wide approaches, many INGOs moved away from project based development work to their

current focus on civil society capacity building and a greater advocacy role. As a result, more INGO resources were being used towards creating and expanding, not occupying, the space available to local CSOs for influencing and action. The research found that some major donor agencies are also interested in supporting INGOs to build capacity of local civil society to play a greater advocacy role. Existing funding models for civil society were found either to be sector specific - where support to CSOs was aligned with specific policy outcomes and capacity building needs, or sector wide, where civil society support was embedded within the sector wide approaches. In all five countries where interviews were conducted, several NGO-multi-donor civil-society funding models were found to exist. These in many cases build on existing bi lateral and multi lateral efforts aimed at strengthening the role of civil society in general.

4.3.3   Funding From Government Sources

An analysis of the trends in the donor environment revealed that most funding for civil society advocacy has come from governments, with the majority from a limited pool of big funders. The main causes funded by top donors were listed in general as health, environment and education. Among the biggest donors identified were the United States, France and the UK. The research noted that many respondents saw more overseas aid as going towards humanitarian relief work. More funds were reportedly channeled toward NGOs working with emergencies and relief. Among some of the bigger NGOs interviewed, there was evidence that humanitarian work accounted for a larger part of their expenditure. This finding shows the potential of work that education in emergency has for future fund raising strategy for NECs and CSOs.

Only 3 out of the 15 NECs analyzed received any kind of financial contribution from their country governments. Data from the CSEF results framework revealed a stark contrast in the donor base of NECs, with an unequal distribution of donor support across countries. The CSEF funding provided by a pool of international donors contributed a total of 37% of the total funding for the 15 NECs over the three years. From the interviews conducted, the CSEF funds reinforced the ability of some NECs to fund raise from other sources. In general, the research revealed that potential for country level resource mobilization exists. However, this remains to be researched and developed. While

NECs in countries such as India and Djibouti relied 100% on the CSEF, others such as Mozambique, Malawi and Ghana generated most of their funding from other sources.

From the general overview of funding trends in civil society funding, the research found that the amount of funding channelled by donors to NGOs rose significantly over the last 3 decades (Edwrads, M. & David H, 1997). While the state remains the main funding source for CSOs, most of its funding has been channelled through international NGOs. Regarded as catalysts for development, INGOs were perceived to be closer to the poor, with participatory methodologies seen to be more effective in influencing public policy and building capacity of local institutions to deliver services (Nicola B & David Hulme; 2012 (pp 1-15). In 2004, the official aid from governments was estimated at $87.7 billion worldwide (World Bank, 2006b). At the same time, the annual budget of the Organisation for Economic Cooperation and Development's (OECD) for NGOs reached $26.9 billion. In the United States, the budget available to US-based NGOs in 2005, $16.2 billion, was almost equivalent to that of US Official Development Assistance (ODA) of $19.6 billion.

After 1990, following the end of the cold war, an overview of literature shows a general decline in the levels of Official Development Assistance. With the collapse of communism, capitalism took on a firm footing. A number of developing countries, especially those in the East and South East Asia had begun to show remarkable signs of economic growth. Growth trends in Malaysia, China, South Korea, and Thailand were viewed as a sign of economic success for developing countries. However, towards the end of the 90s, it became apparent that this growth was limited to a handful of countries. The emerging market crisis, which broke out in 1997, sent signals of a much deeper crisis of development as the gap between the rich and the poor had grown beyond recognition. This forced the United Nations to convene a series of development conferences in the early part of the 2000s in response to the looming crisis of development. The World Education Conference of April 2000, the UN Millennium Summit of September 2000 and the Monterrey Financing For Development Conference of 2002; all affirmed commitment to mutual responsibility for the achievement of development goals.

In 2003, the Paris Declaration was adopted to simplify and improve the impact and the role of aid in development. In the subsequent period, aid to developing countries appeared to have increased to their highest point in 2004 and then stagnated at a level somewhat below the 2004 point thereafter. The Paris

declaration was meant to address increasing concern that the practice of aid was unsupportive of country efforts and at times actively undermined development. The lack of institutional capacity in recipient countries, unpredictability of aid flows, insufficient delegation of authority in the field, mismatch between global initiatives and national development agendas, and corruption were among some of the challenges which the declaration was meant to address. The Declaration gave rise to a new aid modality, in which donors began to place greater emphasis on partnership with recipient governments to implement agreed development plans. Through budget support, donors began to focus on Poverty Reduction Budget Support (PRBS) and Sector Wide Approaches (SWAps), considered the most appropriate aid instrument to support a relationship between donor and developing country partners (DFID 2004a).The purpose of the Civil Society Education Fund (CSEF)was to establish credible and independent National Civil Society Education Funds (NCSEF).

In absolute term, the top ten government contributors to civil society work include the United States, Japan, France, UK, Germany, Netherlands, Sweden, Canada, Italy and Spain. However, only a small fraction of the top donors have honored their G8 commitment of 0.7% of GDP in aid (Marcel, F. & Trudy, O. 2006). The actual level of commitment to GNI for the top ten donors are-the United States (0,20% of GNI), Japan (0.27% of GNI), France (0.47% of GNI), UK (0.49% of GNI), Germany (0.36% of GNI), Netherlands (0.81% of GNI), Sweden 0.99% of GNI), Canada (0.31 of GNI), Italy (0.24% of GNI) and Spain (0.29% of GNI). Irrespective of the amount of their contributions, respondents interviewed believed that major Aid agencies have earmarked funding for civil society in alignment with national development priorities.

In quantitative terms, the US government has provided the most aid to NGOs. In the US, the budget available to US-based NGOs exceeds $ 20 billion annually. The US is followed by the United Kingdom where the level of support to the five largest UK development NGOs rose from 18% to 52% in the last two decades. The UK is a major target for civil society fund raising. In Denmark, Norway, Sweden and the Netherlands as well as Canada, government grants constitute 50% to 90% of major NGOs budget (Degnbol, M.J. & Engberg, P. 2003). A significant number of those interviewed in this research looked to the Nordic donors particularly those working in education sector for their fundraising. In Japan, the study found that a smaller proportion of the Japanese aid has been channeled to NGOs. For instance, the Japanese NGOs received $0.5 billion, while Japanese ODA reached $8.1 billion in 2006. Civil Society funding from the DAC

member countries increased significantly over the years. In 2005, NGOs worldwide received $4,054.83 billion in official aid from DAC member countries, in comparison to $47.64 million in 1980.In 2007, it is estimated that the annual budget for international OECD-based development NGOs reached $26.9 billion.

Respondents from NECs reported that funding from international donor agencies from countries such the Netherlands and Canada to education sector has declined. Before the Global Financial crisis, Ireland provided up to25% of its total aid to NGOs and Norway, 21%, compared to Japan's 2.1% and France 0.5%. In Canada and the Netherlands, the NGO sector recently experienced some of the most drastic decline in government grants (Degnbol, M.J. & Engberg, P. 2003). In 1998 the NGO sector in Sweden received $365.46 million, which was halved to just $137.1 million in 2003 (Sida, 2002). The proportion allocated by the Swiss government to NGOs has been falling from a high of 30.1 per cent in 1988 to less than half at 13.6 per cent in 2002. In 1998, Swedish NGOs received 23.2 per cent of the ODA budget; this fell to 5.7 per cent in 2003. As revealed in the interviews, the policy shift from project based development aid to broader use of budget support, Sector Wide Approaches (SWAps) and country strategies led by the UK and Dutch governments partly explains this paradigm shift (Fowler, A. 2000). With budget support and sector wide approaches, donors have envisaged a more structured, harmonized aid environment, in which supporting NGOs to run service-delivery projects were viewed untenable. This for instance explains why in the United Kingdom, the number of NGOs on state funding was cut back from 229 in 1999–2000, down to 150 in 2000–2001 (Degnbol, M.J. & Engberg, P. 2003). The UK and other donor countries are keen to develop more strategic partnership agreements with a few selected NGOs (Rogerson et al. 2004). However, apart from ODA, governments were identified as a potential source for substantial contributions to NGOs through favorable tax regime, which can encourage the growth of corporate and foundation giving.

4.3.4   Funding From Corporate and Foundation Sources

The analysis found that foundations do not play a significant role as yet in the operations of any of the 15 NECs. 7 out of the 15 NECs received funding from the Open Society Institute for Southern Africa-OSISA, an organization funded by the Open Society Foundation. However, interview and focus group discussions revealed an emerging trend in foundation support as an important growing

source of funding for civil society education advocacy. The challenge identified was that more will need to be done for NECs to identify and grow the interest of the major foundations by understanding potential overlap between the corporate and foundation interests and the types of education issues NECs are working with.

A general analysis of the trends in corporate and foundation giving revealed that there are hundreds of asset-holding foundations around the world concerned with charitable or philanthropic causes, some so big and have become very significant players on the world stage. A key observation of the research was that most corporate donations tend to go towards Asia and Latin America where most Foreign Direct Investments (FDI) has been directed. This is aimed at the concern to attend to pressures of corporate social responsibility. The research found that the support of the private and corporate foundations to civil society organizations grew bigger with the growth in global wealth during the 1990s. With the rapid growth in global capital between 1994 and 1999, the US foundations' endowments nearly doubled to $ 385 billion. Following this, foundation giving in the US also doubled from $11.3 billion to $ 22.8 billion (Degnbol, M.J. & Engberg, P. 2003). Since then, corporate foundation giving has grown faster than any other kind of giving, making this one of the most important potential source of funding for CSOs. In the US for instance, international donation by all US foundations reached US $ 3.8 billion in 2005. Out of this, 12.2% went for health, 10.4% for environment, 10.2% for education, and 9% for art. 22% was for international development in general.

According to interview findings, the growth in foundation giving is closely linked to the growing interest of foundations in the globalization process. As capital and markets became global, so were the interests of foundations. Interviews with civil society experts revealed that foundations have a significant role in the activities of CSOs worldwide. From the literature, it was identified that the largest foundations today devote up to 14% of their giving to international projects, and that giving of funds to domestic NGOs for foreign projects has increased more than giving directly overseas- 56% versus 57%. The significant increase in funds directed to civil society by corporate and foundations are also explained by their greater willingness to partner with CSOs as intermediaries (Degnbol, M.J. & Engberg, P. 2003). In terms of strategy and approach, it was reveled that foundations may undertake development activities by themselves (direct implementation) or may make grants directly to civil society organizations. Since most foundation giving and corporate

donations go to home based CSOs, incorporating foundation support in any fund raising strategy would mean working with other CSOs in Europe and North America to ensure a stronger fund raising focus on institutions and organizations that have investments in countries where NECs are operational.

The research also found that joint funding by foundations is a new trend, which is leading to standardized procedures of decision-making, with major foundations often using similar grant processes. Foundations may transfer grants to one another, enter into partnerships and alliances and undertake joint funding to minimize risk. The research further noted that there is a high degree of overlap of good causes funded by some of the wealthiest foundations in the world and that many of the issues funded by foundations are global.

There are foundations that can effectively fund globally even if the organizations they fund are local. This includes the Bill and Melinda Gates Foundation with an endowment standing at $22 billion and with the potential to give hundreds of millions of dollars a years. An examination of the efforts made by NECs to mobilize non-financial resources revealed a high degree of reliance on local volunteers as a resource. Other than money, contributions from volunteers whether local or international were identified as an important resource. From this analysis, it is clear enough that foundations are an important growing source of funding for charitable causes (Edwards, M& David Hulme, 1997). As capital and market become more global, the interest of foundations in civil work is likely to increase. Due to paucity of data in this area, studies are needed to better understand the role that foundations currently play in funding the work of CSOs, the level of funding provided and the nature of partnerships and alliances that have been established.

4.4   ADDED VALUE OF NECs

According to the strategic triangle framework, the third element which an analysis of CSOs must attend to is the question of the public value that a not for profit organization seeks to create with its resources and strategy. The research found that the ability of the NEC to create public value was defined as their capacity to influence education policy. This depended on the quality of the network of the NECs and the effectiveness of its advocacy strategy. Although different strategies were used by NECs in different countries to create networks and influence policy agenda, the key elements

that cut across the activities of most NECs and which led to value creation included research; evidence building, documentation and dissemination; annual Civil Society Education consultation, mobilisation, and consensus building activities such as; development and formulation of civil society position papers; participation of civil society Education Sector Annual Review mechanisms and the development/review of Aide Memoire (Agenda setting and financial agreement between government and donors).

Being a member of the Local Education Group was identified as a critical factor for value creation. Of the 41 NECs from which data was obtained, 30 (thirty) were members of the Local Education Groups (LEGs). In the interviews and focus group discussions, lack of representation in the LEGs was explained in part by the difficulty of buying-in support for recognition from donors and governments at country level. The idea of being 'part' of the policy process from 'within' also influence value creation as the role of CSOs in the policy process continue to remain a contentious and a debatable issue among NECs. This is due to the fact that civil society has for a long time acted on its own with little cooperation from governments. From interviews and focus group discussions, some civil society activists argue strongly that CSOs should not be part of the policy process from the "inside". However with the CSEF, the research found that new forms of partnerships, dialogue and relations with national governments, donors, and civil society are being reconstructed. The position and place of NECs in national dialogue is also beginning to change as a result of these partnerships. As the nature of national politics on education changes and becomes more intergovernmental, the study found that many civil society organizations have taken advantage of 'invited' policy spaces such as the LEGs to be part of national policy processes and to create value. The intergovernmental character of policy processes at the national and global political level also means that the rules governing civil society engagement in such spaces is now more dependent on decisions taken by states involved than ever. Therefore the study found that it is harder for civil society to influence national governance purely from the periphery. The difference, which NECs through the CSEF are making in this regard, is to reposition civil society at the center in order to play a part in the LEG. This is good for the future of an effective education civil society.

To analyze the public value, which NECs have sought to create, the research undertook a process tracing methodology. This involved an application of *a* technique of historical reconstruction of

different policy processes in which NECs were involved to identify their role and their value added (Bestill and Corell, 2001).Contra factual analysis was used to assess whether the outcome of such policy process would be different if the coalition had not intervened (Korzeniewicz and Smith, 2003, Blyth, 1997, Guzzini, 2005, Ekstrom and Danermark, 2002) and to establish the extent to which NECs achieved the stated objectives of their advocacy agenda through capturing relevant case studies which demonstrate added value. Through documentary review, interviews and focus group discussions, the added value of NECs were established in the following areas of activity:

4.4.1   Contribution to Budget tracking and public expenditure monitoring

The research found that one of the areas the NECs have made a difference was in the education sector budget analytical work, meant to contribute towards agenda setting for policy change and reforms in the education sector. At the center of capacity building work for budget tracking and policy analysis, a total of 20 budget tracking survey reports were identified, assessed and reviewed by this research. The study found that the objectives of budget tracking research reports in general were for civil society to establish whether resources allocated to the sector were sufficient to achieve change in promoting equitable access, quality and relevance of basic education. The analysis of budgets and tracking of sector expenditures were also meant to hold government accountable, by investigating whether the national budget is being implemented in line with existing policy guidelines, and whether resources were reaching the intended beneficiaries as planned. The budge tracking reports analyzed by this study focused on tracking issues such as access to teaching and learning materials, salaries, enrolment rates, dropout rates, school inspection, gender and disability.

The research found that NECs collected data from various levels of the education system including from the Ministry of Education and Ministry of Finance, District Assemblies; Division Education Managers; District Education Managers; Schools (Head Teachers); Supplies Units (procurement of teaching and learning materials); Physical Facilities (responsible for buildings and rehabilitation) and Teacher training colleges. In Malawi, out of a total number of about 5000 primary schools, a sample of 500 schools were surveyed by NECs, representing almost 10% of schools in the country. The schools were categorized according to the education divisions as well as into rural or urban features. The member organizations of the coalition (DENs) collected data from the sampled

schools, districts and Teacher Training Colleges. Before data collection, training was provided on how to administer the questionnaires. The key issues which most budget studies looked at were whether there were any increases in resource allocations to the education sector; comparison of budget information between different levels (national/district); whether schools and colleges received allocated teaching and learning materials; whether teachers received their salaries in time; whether adequate numbers of teachers were trained and recruited according to budget projections; whether teachers were evenly distributed depending on geographical location (rural versus urban) and gender and enrolment of pupils and teachers (male and female); enrolment of children with special disabilities and supply of Teaching Learning Materials (TLMs) for such children.

From the results of interviews and focus groups discussion, NECS produced and circulated draft budget tracking reports to member organizations. This was often followed by special budget monitoring subcommittee meeting to validate and adopt the report. The final report was made public through meetings with Ministry Officials (Ministry of Education and Finance); relevant Parliamentary Committees, budget and finance committees; development partners; and the media. District level meetings were held with District Assembly Officials, District Education Officials, Civil Society Organizations, Parent Teacher Associations, School management Committees and head teachers where results are discussed and action plans were developed. Radio, TV programs and Press conferences are used to disseminate findings. The key challenge identified from focus group discussions and interviews for civil society were delays in submission of questionnaire by member organizations, the difficulty of government officials releasing budget and expenditure data, which made it more difficult to track expenditures and determine the extent to which government works to improve the educational system. In many instances respondents pointed out that government officials always provided incomplete information or refused altogether, claiming they were still compiling the information. Many coalition members had limited technical capacity to analyze education budget data. NECs because of limited capacity can only invest a limited amount of available resources to budget monitoring and expenditure tracking process. In some cases, this affected the quality of the reports submitted by those collecting information. In spite of the contribution and successes of expenditure tracking, national coalitions have faced significant challenges in convincing governments to change policy, practice and increase the national education budget.

4.4.2   Benefits of Budget tracking and analytical work to the public

The research identified several benefits linked to budget tracking and analytic work to policy processes and policy change. The evidence gathered showed that through their work, NECs played an important role in education governance at national level. In Malawi, years of pressure from civil society made government to place education as a 3rd priority in the revised Malawi Growth and Development Strategy (MGDS). Until 2010, the MGDS did not include education among the 7 top priorities of government. From 2007-2010, the NECs led a civil society campaign calling upon government to put education on the national political agenda by ensuring that it became a key priority in the MGDS. Education on the MGDS became a major campaign demand for the national coalition and for CSOs throughout the country.

Through budget tracking, evidence collected and reviewed by the research show that civil society has challenged the quantity and quality of public expenditure in the education sector and has contributed to influencing key priorities of governments in some cases. Interviews revealed that Budget tracking had been used to investigate whether the national budget was being implemented in line with existing policy guidelines. It had also been used to assess whether resources allocated to the sector did indeed reach the intended beneficiaries. At the national level, respondents identified sustained civil society pressure as a major force leading to increased national resource investment on education. There was evidence showing that the proportion of government expenditure on education had steadily grown in all five countries, civil society groups were also watching corruption and mismanagement in the sector.

Among some of the success stories, this research highlighted examples where increase in education sector budget had been closely linked to sustained civil society pressure in countries such as Malawi and Ghana in the financial year 2010/2011/2012/2013. The policy steps taken by government, which led to these positive gains, were linked to systematic ongoing budget campaign led by NECs in those countries. A further example of the impact of budget and policy work was demonstrated in the introduction of hardship allowance for rural teachers from 2010/11 financial year in Malawi. This was implemented with a new allocation in the national budget of Malawi of Kwacha 2.5 billion in 2010/2011 financial year. From 2005-2009, budget allocation to education sector in Malawi was just under 14% of national budget. During the 2009/2010 financial years, it

jumped from 12.5 to 15.7%. In 2010/11 financial years, 21% of the budget was allocated to education sector. In Malawi, the Chikwawa District Education Network conducted a community budget tracking exercise in 2010. Through the exercise, the network discovered that most schools in their district had a Pupil Teacher Ratio of 200:1. In one particular case involving the Khwangwala Primary School in Konzere Zone, the network discovered that in a standard 3 class, there was 1 teacher teaching 387 pupils. Following this discovery, a dialogue was initiated with the District Education Manager to find solutions to the problem. This resulted to an additional teacher being deployed to the school thus reducing the Pupil Teacher Ration by Half.

"It is such small steps that make a real difference in the life of an ordinary child in a village far away from the capital, Lilongwe, remarked Jerome (Not real name, from personal interviews).

In Zambia, the research found that there was a 5% increase in the national education budget in 2010/2011 financial year. In Mozambique, the national Coalition played a crucial role in influencing the development and priorities of the new ESP 2011-2013 approved by the FTI in December 2010, with a further support of $90m from the FTI catalytic fund to the country. A similar policy gain had been achieved in Ghana in 2009 as a result of three years of national Campaign led by the Ghana National Education Campaign coalition. A further effort in Malawi led the government to embrace district level consultations by adopting a policy of wider budget consultation process (Ministry of Education, Sports and Technology 2008). Learning from the efforts of the coalition, the government of Malawi adopted the Public Expenditure tracking model pioneered and implemented by the national coalition since 2002.

4.4.4   NECs' added value in national education policy process

The research found evidence that NECs have played a crucial role in putting education issues on the national agenda. The following matrix shows that the government of Ghana in subsequent years may have adopted a number of policy demands promoted by the Ghana National Education Campaign Coalition from 2008 to 2010. The issues include demands from civil society for government to expand the schools feeding Programme; increase the amount of capitation grant to

schools; ensure a more timely disbursement of capitation grants and construct more classrooms at basic level.

Table 5: Process tracing of government policy response versus Policy demand by NEC in Ghana by year

Year	Policy Demand	Government Policy/Program Response
2008, 2009	Expand the School Feeding Programme	Expansion of schools feeding Programme was achieved in 2010
2007,2008	Increase the per capita Capitation Grant	Increase in capitation grant from Cedes 3.0 to 4.5 in 2009
2008, 2009	Take steps to ensure timely disbursement of schools capitation grants	More timely disbursement of the capitation grant was realized in the academic year 2009/2010
2009	Improve School Infrastructure	Government committed in ESP 2010-2020 to construct 600 schools per annum at basic level (2010)
2010	Place Complementary education program under Basic Education sub sector in the ESP 2010-2020	Effected at 2010 National Education Sector Annual Review

As the matrix shows, the progression from civil society demands to government policy in the case of Ghana took at least two years. Examples of issues yet to progress from demand to policy include: the development of a comprehensive adult literacy policy in Malawi; enactment of a new Education Act in Kenya and Bolivia; further budgetary increase to the education sector in Mozambique, Malawi, Bangladesh, Zambia, Sierra Leone; a new National Policy Framework on School Based Management Committees in Nigeria and teacher training reforms in Mozambique. In Mozambique, the NEC launched a study on the curriculum for teacher training. This was to guide

civil society campaign on teacher training reform. Analytical work provided the main inputs for civil society policy positions and advocacy messages that guided their campaign on the issue.

4.4.5   Impact on teacher training, recruitment, deployment and motivation

In Ghana, an education resource tracking survey was carried out to investigate the Pupil teacher ratio in 160 schools in 2010. The study, which covered the poorest communities in 7 regions of the country, produced surprising results. It found out that on face value, the pupil-teacher ratio (PTRs) was 1:26, way better than the national target of 1:35. However, an analysis of teacher quality by the same study based on Pupil Trained Teacher Ratio (PTTR) revealed an alarmingly high teacher pupil ratio of 1:175 and 1:128 in the Bring Ahafo and the Volta regions respectively. The study revealed major loopholes in textbook distribution. 29% of English textbooks meant for public basic schools were found to have been lost in the distribution chain between the District Education Offices and the schools. The study also revealed a pupil-desk ratio of 1:7 and a significant delay in disbursement of capitation grants to schools.

The Ghana educational resource tracking study led to a civil society call to the Ministry of education, to: computerize the text book distribution system in the country and develop a policy framework to ensure an effective management of a school resource monitoring system. This, the coalition proposed should be manned by the planning, Monitoring and Evaluation units/Audit units of the district education offices; and should be facilitated to periodically check and physically verify textbook supplies, receipts and utilization by schools. In addition, the civil society called on the District Assemblies to commit more funds for construction of school desks in order to address the alarming pupil-desk ratio. The findings of this study formed the basis of the coalition's campaign over a 3-year period.

4.4.6   Contribution to consensus building on education issues:

Budget and analytical work was also used to generate consensus on key policy issues. The result of this consensus process was identified as the emergence of the annual NGO education report on education, which highlights the state of education in the country. In countries such Ghana, Kenya, Cambodia and Bangladesh, the annual NGO Education Reports has been the main source of

information for the ministry of education on NGO engagement in the education field. The report was also used to build capacity among civil society members on specific policy areas; and to facilitate policy consultation, dialogue and consensus at national and sub-national levels in preparation for civil society participation in the annual education sector review processes and the Joint Technical Working Groups of the ministry of education.

4.4.7   The establishment of National Civil Society Education Congress

To coordinate civil society inputs in the annual education sector review processes, the annual national Civil Society Education Congress also called annual CSO Education Sector Annual Review was held annually in Ghana. As a national mechanism for consultation and consensus building, the research found that the weeklong event, attended by a big section of civil society was used to receive presentations from member organizations and facilitate discussions on keys thematic policy issues. From the annual congress, an agreement was reached on the key policy issues that directed civil society advocacy towards government and donors through the annual sector review processes. The issues agreed in the annual congress also formed the basis for research and advocacy of the NECs and their members over the coming year. Following the annual congress, members of the coalition got assigned to relevant thematic working groups. Thematic groups were constituted by thematic experts from the member organizations based on policy priority agreed by the congress. These groups generated inputs and proposed a civil society position paper on each thematic issue. The position paper formed the basis for civil society participation and advocacy in the Annual National Education Sector Review processes.

4.4.8   Benefits to education policy change and institutional reform:

Budget tracking and education resource mapping methodology was used in Zambia to trace the distribution of quality inputs such as teacher distribution, teacher salary, teaching and learning materials, inspection as well as to identify key concerns on equity- including enrolment rates, dropout and retention rates, gender and disability issues in schools. Poor quality of learning outcomes was identified as a top challenge in the education system. The key factors that the study pinned down included the lack of a national framework for monitoring learning achievements; lack of an adequate teacher training, recruitment, deployment and motivation policy, limited pupil

teacher contact time and inadequacy of infrastructure provision including the provision of teaching and learning materials. As a result of this study, the Zambian National Education Coalition (GNEC) launched an advocacy effort in 2010, to get government to put in place a national framework to monitor learning achievements; enhance teacher training, teacher recruitment and motivation; raise the pupil teacher contact time, redefine and set up an appropriate pedagogical structures in order to enhance quality teaching and learning outcomes in all schools in the country. The different strategies, which have been used in different countries, have contributed to: enhanced public awareness and understanding of education rights. Respondents believed that, much more information was available to civil society groups on government budget policies and about the importance of transparency and accountability in public finance management than they were before. By increasing access to budget information in ways that were not accessible to such groups in the past, budget tracking had provided a bottom-up lever for the voices of groups, which would not normally have access to the political elite. In the long run, this could help increase the effectiveness of the Sector Wide Approach to Aid (SWAP) that requires greater commitment to impact monitoring and assessment. The role of civil society in this effort cannot and should not be underestimated.

Budget tracking, analytical work and policy advocacy and campaigns have evolved as a powerful tool for capacity building of civil society in its watchdog role. To enhance the dissemination of capacity building and empower grassroots communities, the research found that the expansion of civil society district education networks (DENs) helped to institutionalize budget tracking and monitoring in the context of decentralization. The role of the local networks has been central in supporting school based monitoring processes conducted by school and community-based groups, including the school boards and parent-teacher associations. To help these local networks to be more effective, training and technical assistance was provided by member organizations and the NEC secretariats through the support of the CSEF programme with the primary aim of strengthening capacity for grassroots monitoring of public accountability.

There were a number of cases where NECs made important contributions through these networks. The enactment of the right to Education Act in India in 2010; the passing of a new national education and training policy in Tanzania in 2010; the development of the Post Second Primary Education Development Program (PEDP II) in Bangladesh in 2009. Another example was a new

policy that allowed Local Council and District Budget Oversight Committees to be part of the parliamentary budgetary process in Sierra Leone in 2010. There were bolder policy measures taken on EFA including -elimination of user fees, introduction of Universal Secondary Education in Uganda and Kenya; adoption of various policy positions proposed by NECs by major political parties running for national elections. There were several government commitments made by political parties during election campaigns to implement specific policy demands on assumption of power in Ghana in 2009. These included increase in capitation grant from Ghanaian Cedes 3 to 4.5 per annum; a 20 percent increase in teachers allowance, introduction of pro-poor policies (free school uniform, exercise books policy, free education for persons with disability up to tertiary level), measures to purge payroll off Ghost names. The government in Ghana also committed in its Education Sector Plan 2010-2020 to construct 600 schools at basic level annually.

On the whole, budget and resource tracking exercises were a major input for CSOs and NECs in education Pioneered by the Campaign for Popular Education (CAMPE), the national coalition of Bangladesh in the 1990s; the methodology has been adopted in over 30 countries where NECs are operational. The rapid expansion in the adoption process emerged from the growing concern that in spite of the increase in government funding for education, the quality of education in the many developing countries was deteriorating. Funds meant for school construction were being lost either to corruption, mismanagement, rent seeking or poor quality and substandard work and procurement services. Worst still, not enough of the major culprits were being brought to book to account for their actions. Through the methodology, civil society was able to provide an early warning system to government. In circumstances where evidence was found, governments were pressured to take appropriate steps to encourage better public finance management and accountability.

Conclusions

In conclusion, broad based, effective and democratically run NECs exist in Ghana, Tanzania, Malawi and Zambia. Since their formation, the NECs in these countries have played an important role in the education sector. With a strong local support base, they have become prominent players at national level, with the support of the Global Campaign for Education (GCE) and their involvement in the Local Education Groups (LEGs).

The participation of NECs in education processes through the LEGs built the capacity of CSOs in monitoring and evaluating national education sector plans. It also strengthened civil society's role in tracking national education budgets and spending. This has led to the strengthening of the identity, support context and added value of NECs in educational development at local and national levels.

As the finding has shown, NECs have relied on a limited variety of funding sources, with almost 80% coming from 20% of donors/contributors. There is need for greater public awareness on the role of NECs and their cause, to nurture new prospects and cultivate existing supporters to maintain their commitments to the cause cherished by NECs. NECs also need to develop strategic partnerships and explore more creative ways to secure long-term donor interest in their work. Not only was establishing and maintaining relationship with potential donors a challenge to NECs, the lack of prior donor research indicated a clear lack of strategy in fund raising and resource mobilization.

There were two broad categories of income streams identified for NECs-the Civil Society Education Fund (CSEF) and non-CSEF funds. The NECs with bigger membership bases tended to attract more non-CSEF funds than the smaller ones. From the analysis of the funding trends, most income came from international NGOs (68%), multilateral agencies (13%), bilateral agencies (11%), foundations (6%) and from their governments (2%). While the proportion of funds generated from country-level efforts was 63% of the total, the amounts raised from local sources were insignificant.

Over 80% of the membership of NECs was constituted by national NGOs and grassroots organizations. Yet, the financial contribution from membership fees was less that 1% of total income. This was a clear indication of the dire need for NECs and CSOs to do more to develop better strategies to localize fundraising and step up local efforts for resource mobilization.

Funding opportunities for NECs and CSOs were in most cases sector specific. Donor support to CSOs was found aligned with specific policy outcomes and capacity building needs. Different civil-society funding mechanisms were being used. There was a stark contrast in the donor base of NECs, with an uneven distribution of donor support across countries. The CSEF funding contributed a total of 37% of the total funding for 15 NECs over the three years. While NECs in

countries such as India and Djibouti relied 100% on the CSEF, others such as Mozambique, Malawi and Ghana generated most of their funding from other sources.

The research revealed potential for country level resource mobilization. However, this needs further research and development. Comprehensive and reliable data on aid flow to CSOs was patchy and difficult to obtain. From data available, the main sources of funding for civil society were divided into six main categories; international private foundations/funds, development partners, UN agencies, local civil society funds/foundation, international NGOs and corporate sector/individuals.

Interview with CSO members revealed that on average, support from development partners constituted more than 70% of total funding. Similarly, support from the corporate sector was estimated at about 10% of total support. International financial institutions, private foundations and religious organizations provided little financial support to CSOs. This implies untapped opportunities, which can be optimized with clear fundraising strategies.

Foundations do not play a significant role as yet in the operations of any of the 15 NECs. A general analysis of the trends in corporate and foundation giving revealed that there are hundreds of asset-holding foundations around the world. As capital and market become more global, the interest of foundations in civil work is likely to increase. Studies are needed to better understand the role that foundations currently play in funding the work of CSOs, the level of funding that may be available and the nature of partnerships and alliances that have been established.

Of the 41 NECs from which data was obtained, 30 (thirty) were members of the Local Education Groups (LEGs). The LEG gave NECs and CSOs the opportunity to be 'part' of the national education policy process from 'within'. The difference, which NECs through the CSEF made in this regard, was to provide a platform for CSOs in the LEG. NECs contributed towards agenda setting in the education sector, particularly through public tracking and expenditure tracking. It facilitated consultation, dialogue and consensus at national and sub-national levels among CSOs. It strengthened the participation of CSOs in the Joint Technical Working Groups of the ministry of education and increased the levels of civil society participation in national education processes.

Factors Influencing the ability of NECs to Mobilize Resources

5.0 THE CONTEXT FOR RESOURCE MOBILIZATION

This chapter analyzes the organizational and contextual factors, which influence the ability of NECs to mobilize resources. The following figure provides a summary of eight (8) sub themes and categories derived from the data collected through interviews, focus groups discussions and literature to describe and explain the key context factors which influence the ability of CSOs to mobilize resources:
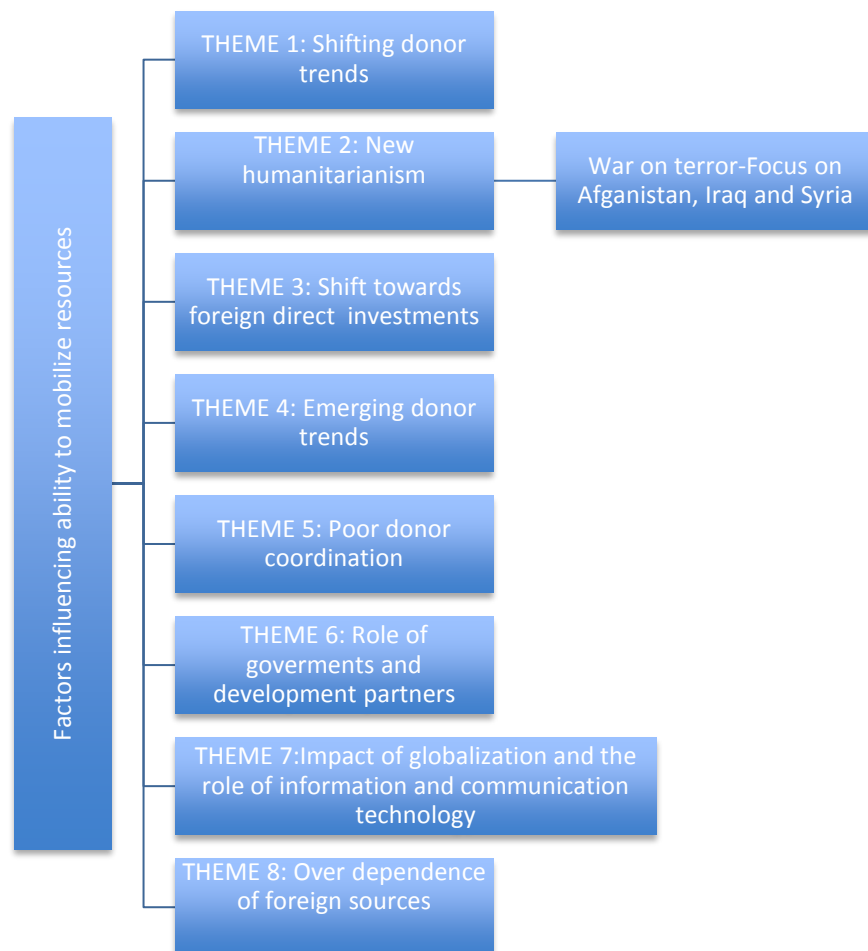
Figure 14: Themes and categories of context factors, which influenced ability of NECs to mobilize resources

In general, the context for resource mobilization for the civil society sector was described as "complex and rapidly changing" (Maliban, from personal interviews). The following table shows that the majority of respondents agreed with the perception that the funding climate has become more complex for CSOs.

Table 6: Summary of responses on factors influencing ability of CSOs to mobilize resources

Factors	Number of respondents	Percentage of respondents
Shifting donor trends	41	64
New humanitarianism	47	73
Shift to foreign direct investments	32	50
Dependence on foreign sources	59	92
Poor donor coordination	28	44
Emerging donor trends	14	22
Globalization, information and communication technology	12	19
Role of development partners	54	84

Out of 59 respondents, 92% were concerned with over dependence on foreign sources of funding by the NECs, while 84% identified reliance on support from development partners as the main concern. The above table shows that respondents were in general more positive about the influence of globalization, information and communication technology and emerging donor trends than they were with new humanitarianism and shifting donor trends (Joanna, M. 2002). The table shows that respondents were most likely to express concern on over dependence on foreign sources and the undue influence of development partners on resource mobilization than they would on globalization (Jones, P.W & Coleman, D. 2005). The pattern of qualitative findings that emerged from interviews and focus group discussions is consistent with the findings of the literature study which indicates there is growing interest among NECs and CSOs on some of the emerging donor trends and the role of globalization, information and communication technology as well as the impact of the shift towards direct foreign investments on resource mobilization. This emphasis can help to explain some of the challenges facing NECs as they seek to develop new approaches to resource mobilization in a complex environment. In the figure below, the research illustrates the

percentage of respondents on the significance of these factors to resource mobilization. The higher the number of respondents the bigger the concern raised on the negative influence of the factor on the ability of NECs to mobilize resources

Figure 15: Number of respondents expressing concern on factors influencing ability of CSOs to mobilize resources

Factor	Number of respondents
Role of geovernments and development partners	54
Globalization, information and communication technology	12
emerging donor trends	14
Poor donor coordination	28
Over dependence of foreign sources	59
Shift towards foreign direct investments	32
New humanitarianism	47
Shifting donor trends	41

Factors influencing ability to mobilize resources

Number of respondents

5.1   The shifting donor trends and priorities

Among the factors identified, shifting donor trends was perceived by 92% as the factor, which had the greatest influence on resource mobilization. As was observed, civil society support has in general, been perceived by donors as a vehicle means to promote the ever-changing donor agenda (Danida, 2009). For this reason, CSOs were seen to be,

"**Characterized by weak linkages to their constituencies, and by the tendency to focus on relatively short-term programmes driven by donor priorities rather than their own strategic agenda**" (**Mabi, from personal interviews**).

Due to competition for limited funding and the high level of dependency on international donor programmes, NECs and CSOs were often

"**faced with issues of the autonomy and authenticity in mission**" (**Carolyn, from personal interview**).

Findings from the study revealed that respondents felt their NECs were more accountable to their donors than they were to their intended beneficiaries. As a result, there was a low level of shared vision, and a subsequent difficulty in inspiring members to volunteer their time or donate to a particular cause.

"Because of the sector wide approach,
we haven't seen any improvement. Contributions from development aid to the work of NECs have been stagnant." (Jake, from personal interviews).

As shown earlier in chapter four, NECs have relied on externally generated resources, with most of their funding coming from development aid. With changing donor trends in recent years, a large proportion of development aid has been channeled through governments. The research found that dependence on foreign aid has forced some NECs to take on service delivery role. This has deprived some of the NECs of their ability to maintain autonomous, independent perspective and positions on a wide range of policy issues at the political level. The challenge therefore is to find an

appropriate mechanism or model of support for civil society which is sustainable and which does not disorient NECs accountability away from the grassroots.

The shift from project based aid to sector wide approach was identified to have had consequences for CSOs. "It has led to the concentration of donor funds at macro other than micro (project) level and altered the place of civil society organisations in the aid relationships" (Nensy, from personal interviews). Through the sector wide approach modality of aid, CSOs are acting as intermediaries. The new modality requires CSOs to prove that they will contribute to government's own development targets and priorities in order to receive a government contract. This means that local CSOs receiving support must work within the restrictions of government contracts, often negotiated without their involvement. The challenge for resource mobilization is that the new aid architecture has therefore reinforced the emergence of a new dependency syndrome, one which, local CSOs have to depend on International NGOs, often with the capacity to win large government contracts and enter into partnership agreements with western donor agencies. To align with the principle of the Paris Declaration on aid effectiveness,

"international NGOs

are also moving away from the project based development work to a focus on civil society capacity building and a greater advocacy role" (Archer, from personal interviews).

Through partnerships with community groups and other local organizations at national level, and through coalition building and alliances at international level, more INGO funding were reported to be going towards creating and expanding, not occupying, the space available to local CSOs.

5.1.2   New humanitarianism

In what was referred to as the new humanitarianism, respondents were concerned that development aid has been redirected towards Afghanistan, Pakistan and Iraq. Following the attacks on the United States on 11 September 2001 and more recently the rise of Islamic extremists, studies suggest that the world's biggest donors including the United States, Japan, France and the UK are directing more overseas aid towards a new kind of humanitarianism. The new shift defines humanitarianism as security other than poverty reduction (Johanna, M. 20020).

This has led to a new paradigm in development aid. For the last four decades, humanitarianism has played a major role in civil society development.

> "Education in emergency accounts for a larger part of the traditional expenditure of most education CSOs" (*Beak, from personal interviews*).

The perception was that NGOs that engaged in humanitarian work tended to attract more funding in the short run than those that did long term development work. The Global Humanitarian Assistance report (2003) suggests that the amount of ODA allocated to humanitarian work has been on the increase since 1960s. The report shows that in 1980, only 1.35 per cent of total ODA went to humanitarian relief work, compared to 8.5 percent in 2003. In one example, the INGOs such as Oxfam and Care United States spend almost half of their total budget on humanitarian work. The paradox is that most of these are being channeled to the hot spots of terrorism, which include countries such as Afghanistan, Syria and Iraq.

5.1.3   The shift towards foreign direct investment in services

A new shift in trends, which CSOs must tune to, was identified as "the shift towards direct investment in services. From interviews and focus group discussions, there has been a significant growth in foreign direct investment in services. This followed the recent discovery of oil in Ghana and Gas in Tanzania. "There is therefore a need for CSOs to increase their focus in seeking more funding from market-based sources" (Calib, from personal interviews). In the current economic situation, a market approach to resource mobilization would yield better long-term results for the sector, provided that civil society organizations adjust their focus to the unfamiliar market dynamics. However, the development of a market approach to resource mobilization remains an area that needs to be further developed. CSOs are neither fully aware of the market potentials that may be available nor have the acumens to exploit existing market opportunities. This was true for all four NECs as their membership base was made of smaller local civil society organizations. NECs and CSOs need to invest in market-based research, to find and take advantage of these alternative and emerging market sources of funding.

5.1.4 Over Dependence on International Sources of funding

Comprehensive and reliable data on aid flow to CSOs was patchy and difficult to obtain. From interviews, the main sources of funding for civil society were divided into six main categories; international NGOs, foundations and individual, development partners/individuals. These sources provided support to CSOs either directly or through intermediary agencies like international NGOs. The lack of data on funding was attributed in part to the intense competition for funding among NGOs, which made them unwilling to disclose their funding sources. Interview with CSO members revealed that on average, support from development partners constituted more than 70% of total funding. Similarly, support from the corporate sector was estimated at about 10% of total support. International financial institutions, private foundations and religious organizations provided little financial support to CSOs. This implied that there were many untapped opportunities, which could be optimized with clear fundraising strategies. The following figure provides a summary of the main sources of funding for 12 NECs:

Figure 16: Major Sources of Funding for National Education Coalitions
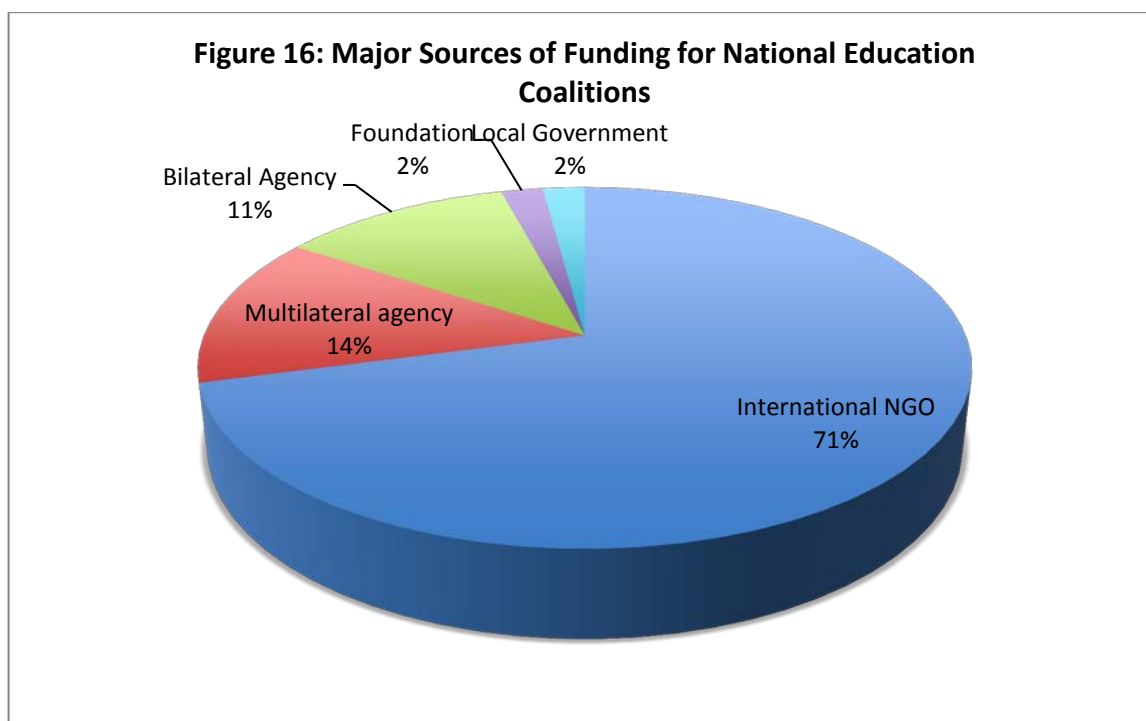
The above shows that NECs depended heavily on support from development partners with 71% of funding provided by and through INGOs and little from the corporate sector (2%) and local government (2%).

"For CSO's role to be sustainable, contributions from the corporate sector/businesses needed to increase significantly. This would require a well-thought out model or approach to resource mobilization" (Mavin, from personal interviews).

A further analysis of funding flow from development partners showed that, for the past five years, development partners provided different pooled funding mechanisms towards civil society strengthening. These funding mechanisms/models were delivered either directly to individual or umbrella organizations or via other intermediaries, largely Northern NGOs and through different modes namely, core funding, basket funding, umbrella funds (Brown, L.D.2000). It was observed that NGOs/CSOs have not been successful in building other ways of resource mobilization and fundraising. Very few NGOs had conducted creative fundraising initiatives, to raise funds.

5.1.5   Poor Donor Coordination

Generally, donor coordination at country level was found to be a main challenge.

"At country level,
donor coordination for support to civil society organizations remains weak" (Christophe,
from personal interviews).

The above statement was in contrast to support to country governments (Fletcher & Adrian, 2007:12). For instance, the level of donor coordination in the case of Multi Donor Budget Support (MDBS) in the four countries was perceived to be stronger compared to that for civil society organizations. While donor harmonization with country governments has been achieved at the backdrop of the Paris Declaration (PD) on Aid Effectiveness, the same declaration has not dealt with aid harmonization to CSOs (Brett, E. 1993: 269-304). However, it was reported that the "Paris Declaration has brought to the fore the recognition by development partners of the need for civil society involvement in building country's ownership of aid policies and hold government to account" (Cecilia, from personal interviews). The PD has, therefore, increased the interest of development partners in supporting the activities of CSOs. One example of the emerging patterns with respect to donor strategy for better coordination for civil society support was the case with the multi donor

budget support mechanism arrangement between donors and the government of Ghana. Between 2005-date, about five pool funding mechanism were established by development partners in Ghana in support of civil society activism in diverse sectors with a total portfolio of about USD$ 50 million.

A number of factors explained increased pattern of harmonized support to CSOs. First, there was a growing recognition among development partners about the pivotal role of civil society in national development (Brett, E. 1993: 269-304). Second, the need to reduce transaction costs has motivated donors to adopt strategies such as pool funding mechanisms to deliver aid to CSOs. Thus, the setting up of basket funding mechanisms has been seen as;

"one of the key strategies of relieving donor agencies from cumbersome administrative work and monitoring associated with support to individual CSOs" (Gregory, from personal interviews).

Third, civil society support funds have been found to create a transparent process, which is less vulnerable to criticism and avoids the risk of being over politicized. This is in contrast with a process where CSOs apply for funding directly to donor agencies. On donor's current and future priorities, desk review and interview with key stakeholders suggested that development partners' support to CSOs was targeted at strengthening citizens' voice and accountability. This was informed by the fact that countries like Ghana and Tanzania had struck oil and gas in commercial quantities and there was need to ensure that the resources would be transparently managed for the benefit of their people.

"For civil society, increased donor commitment to multi-donor budget support was triggered by growing donor interest and focus in budget analysis, demand-side accountability and promoting citizen engagement in the donor community". (Ivan, from personal interviews)

Activities that promote civil participation in budget analysis, demand-side accountability and citizen engagement were identified as areas where donors were most likely to focus on as part of their broader engagement with civil society organizations in the coming years. The establishment of Star-Ghana, a civil society funding mechanism established by development partners with a focus

on promoting accountability was one such example.

5.1.6   Influence of Emerging Donor Trends and priorities

Another key factor identified was the emerging donor trends, strategies and future plans, which seemed to suggest that donor agencies could merge existing and emerging civil society funds in the future to provide a more comprehensive resource base for civil society organizations. In this regard, development partners were reported to be considering merging formations like the Star Ghana with BUSAC II, having already integrated RAVI and G-RAP into Star Ghana (EDF, 2010). Thus, the merger of G-RAP and RAVI into Star-Ghana - a larger fund- is seen as first pilot on a more inclusive funding mechanism. The two funding mechanisms (BUSAC II and Star-Ghana) were largely supported by the same donors. This strategic focus could imply reduced prospect for single donor funding model in the medium to long-term as donors move towards comprehensive harmonization in their funding mechanisms for CSOs.

There were some recent trends that had emerged on the funding scene and which was perceived to be positive for civil society organisations. This included the rise of alternative aid models such as the United Nations Millennium Challenge Account (MCA), the Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM) and the Global Partnership for Education (GPE). In contrast to budget support, these mechanisms were perceived to have greater tendency for channeling large amounts of funds through CSOs. Some respondents however, cautioned that while pooled funding for Education civil society may support aid alignment and harmonization, it has the inherent risk of stifling diversity and plurality of local civil society activism. The study found that in the case of Star Ghana, CSOs in response to this emerging focus brought by the availability of new funding would re-align their programmes and activities to the funding priorities of multiple donors. There were also concerns that pool-funding mechanisms could reduce the number and scope of donor funding sources within the education sector.

5.1.7   Limited interaction with institutions of national and global governance

The research found thatthe vast majority of NECs were locally based and issue oriented. In the last five years however, the level of NECs engagement with national education issues increased significantly. But like many CSOs, NECs interacted with the institutions of governance only when

the issue on the agenda was of direct concern to education. In many of the countries where NECs were operational, freedom of association remained work in progress. As a result, the pattern of relationships between the state and civil society varied from country to country, with different strategies being employed to relate with governments in different contexts. The research found that because education issues belong to national and global spheres and are interrelated as well as interconnected, the success of NECs in one country tended to influence that of another. This interconnection also had impact on their ability to mobilize resources.

An example was that when Uganda declared Universal Primary Education in 1996, NECs in neighboring countries such as Tanzania, Kenya, and Rwanda picked up the campaign, intensifying pressures on their governments to follow suit.

From interviews and focus group discussions,

"for civil society advocacy pressure to work,
it must combine simultaneous levels of action which moves back and forth from local to
sub regional, national, regional and global levels to make consequential impact possible"
(Ben, from personal interviews).

Although the GCE made considerable effort to create stronger synergy and coordination between country levels, many respondents noted that it was important to emphasize that strengthening civil society interaction and resource mobilization efforts does not mean acting only at the highest levels of the system. Decentralization of power and resources to local levels in many countries do present NECs and civil society with unprecedented opportunities for more horizontal forms of interaction with governments. The challenge that remained for civil society advocacy was for resources to move beyond the capital cities and embrace the countryside within the context of fiscal and political decentralization.

The research found evidence where NECs were offering effective resistance against government policies on education. In taking advantage of the spaces provided for dialogue by government, many NECs were faced with a challenge on what to propose as solutions and what to recommend as models. This was partly so because the experiences of many grassroots organizations that

constitute the membership of NECs were limited to micro levels. The Annual Sector Review processes and the joint technical working committees where NECs were expected to be represented, required that solutions be generated through political negotiations and contentious consensus building processes. Because of the diversity in membership of NECs, there were differences in interests among members of NECs. Hence, it was often difficult to fit the interest of all members within a framework for dialogue. Hence difficulties for members of NECs to reconcile their issues with others and in finding a compromise solution always tended to crop up from time to time. The membership of NECs includes a wide range of non-state actors including Parliamentarians, Teachers' Unions, and religious organizations, youth, women and human rights organizations. The diversity in membership also implies diversity in culture and practice from one country to another. This means that the way through which NECs interact with and influence national governance is diversified, with strategies ranging from advocacy and public protest to consultation and partnerships (Gamson, W. 1983). The diversity in the goals and motivations as well as the patterns of interaction of NECs is therefore quite distinctive. This is not in itself a problem. However, it calls for the need for NECs to consider circumstances in which it would be possible or desirable to propose a common framework of operation to elicit the fullest participation in intergovernmental processes.

From interviews and focus group discussions, it was found thatNECs faced challenges on how to deal with formal political systems. This was mainly attributed to the limited understanding of the political process by the membership and the inability to deal effectively with the politics of negotiation and consensus building across diversified groups and varied priorities, which is today the basis of democratic governance in any society. This challenge was compounded by what some respondents referred to as the connection between education and broader issues by NECs.

As earlier observed, NECs were found to be purely functional, with little evidence that they were reflecting enough on the connection between their work and broader issues related to the state, society and development in the present international conditions. As a result, important issues such as growing government expenditure on militarization and defense and a bloated civil service sector, which remove money away from education etc, were dealt with by NECs in their campaign and advocacy work. For NECs who sought to make this link, not many were willing to take a critical stance on such issues for fear of state intimidation.

5.1.8   Impact of globalization, information and communication technology

In Ghana, findings demonstrated that information and communication technology (ICT) has made access to information cheaper and faster. This was the case in Tanzania. Through ICT, it was reported that resources could be mobilized from any part of the world. Access to ICT also facilitated civil society groups to market their work better, to create networks and to link up with one another more efficiently. According to literature, globalization has created leverage and improved access to information, skills and resources, which were not available to smaller CSOs before (Brown, L.D., 2000). The role of ICT in resource mobilization is therefore an important one. More studies are needed to shed light on how this development has impacted on the potential for local resource mobilization among CSOs. This is needed in order to help CSOs develop a better understanding of what can be done with the help of ICT to strengthen local capacity for resource mobilization.

In all four countries, the rapidly changing context has raised concerns on sustainability of the role of CSOs as a whole. As was observed,

"CSOs must understand what this shift means and the types of opportunities that may be available at country level to adapt to the changing trends" (Baker, from personal interviews).

It is true that more than ever, the environment through which CSOs raises and mobilizes funds has increasingly become more dynamic, complex and multidimensional. It is no longer enough to rely on the state for funding. CSOs must adjust to the new range of the political, economic, market and financial dynamics in order to be competitive and sustainable in the future. This requires among other things mastering the array of organizational and contextual factors in order to engage in more sustainable resource mobilization. Besides the state, alternative sources of funding need to be researched to back civil society's efforts in adjusting their focus and developing appropriate strategies to engage non-traditional and market based sources. Hence, the need for studies which help to build capacity for local resource generation.

Depending of the legal circumstance of the CSO in the country, there were other factors that were considered critical from the external environment where NECs operated. There were legal

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requirements that needed to be fulfilled as the NEC began to strategies for resource mobilization. These included consideration for special permission that was required for some fundraising activities; tax consequences which could affect how the NEC had to report the income and which should be a consideration for selecting the appropriate strategy and activity. There were also other considerations for tax relief for individual or corporate donations, which could be an incentive for giving. The NECs also took into account successful fundraising efforts of other civil society organizations (CSOs), which could be replicated, and the local cultural and religious practices and traditions that could help to attract a certain audience to support the resource mobilization strategy.

5.2   ORGANIZATIONAL FACTORS INFLUENCING RESOURCE MOBILIZATION

The research identified a number of organizational factors that influence capacity for resource mobilization. The following table provides a summary of seven (7) sub themes generated from qualitative data to show the perception of respondents on each of the seven sub themes below:

Table 6: Number of responses on key organizational factors, which influence resource mobilization

Factors	Number of respondents	Percentage of respondents
Strategic Plan	32	50
Resource mobilization strategy	43	67
Understanding support trends	21	33
Resource mobilization systems	13	20
Good reputation	56	88
Stewardship	45	70
Environmental Scan	34	53

The four top priorities were good reputation, stewardship of funding, strategy and capacity to scan and understand the funding environment. The following figure further illustrates the perception of respondents from all four countries on the significance of each of these factors in influencing resource mobilization:

Figure 17: Perception of respondents on the significance of organisation factors which influence resource mobilization

Environmental Scan 14%

Strategic Plan 13%

Resource mobilization strategy 18%

Stewardship 18%

Good reputation 23%

Understanding support trends 9%

Resource mobilization systems
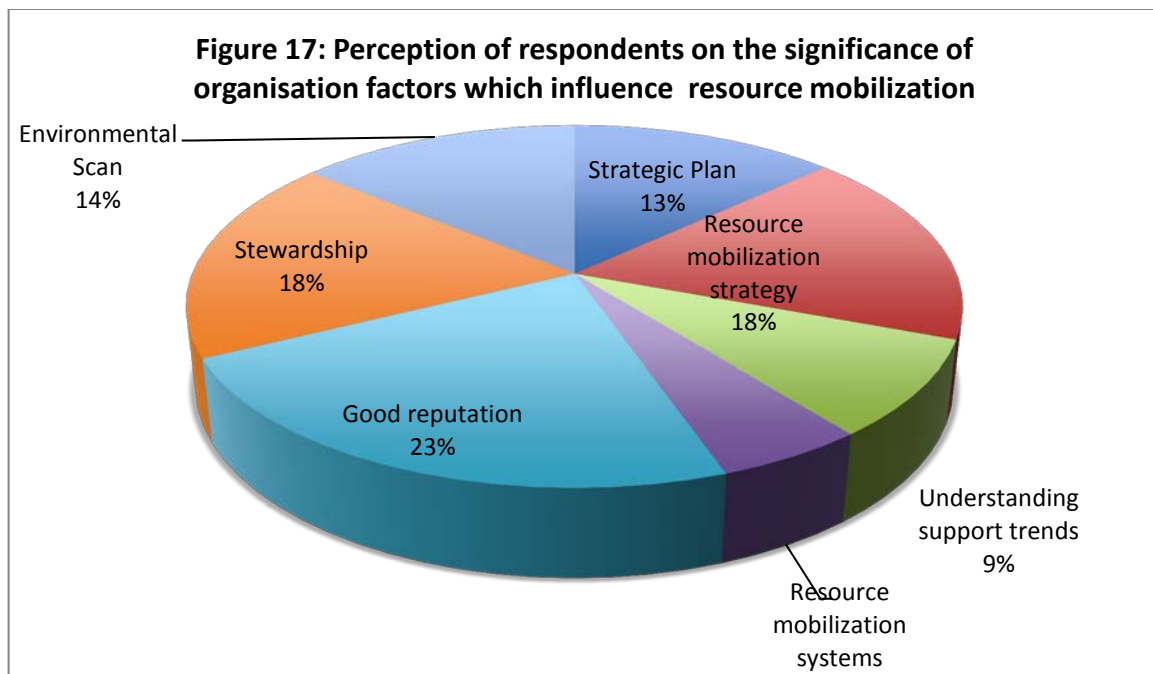
From the above figure, respondents were less likely, perhaps surprisingly to express concern on the need for systems to support resource mobilization programmes to reach their full potential. The need for a better understanding of donor support trend was also not commonly cited as a key factor for successful resource mobilization. The following figure provides a summary of how these factors were prioritized with respect to the number of respondents:

Figure 18: Number of respondents by theme

Organisational factors	Number of Respondents
Environmental Scan	34
Stewardship	45
Good reputation	56
Resource mobilization systems	13
Understanding trends for support	21
Resource mobilization strategy	43
Strategic Plan	32
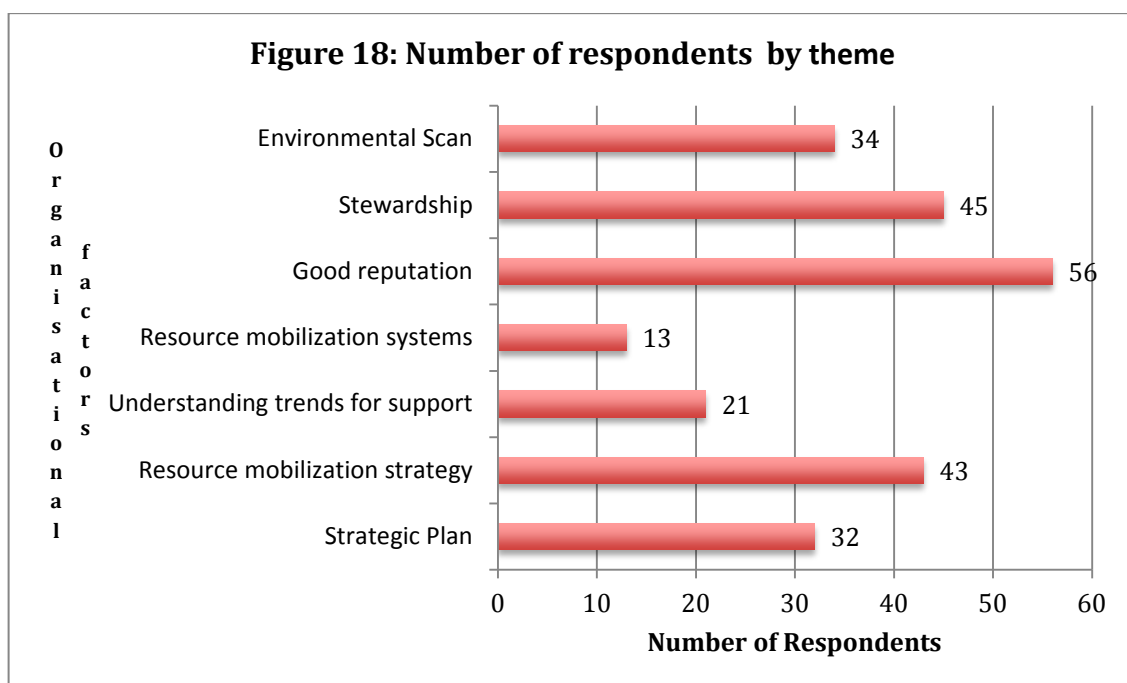
The following figure shows the significance of each of these factors or themes illustrated by number of respondents expressing concern by country.

Figure 19: Percentage of respondents and their perception on factor which influence ability of NECs to mobilize resources

	Strategic Plan	Resource mobilization strategy	Understanding trends for support	Resource mobilization systems	Good reputation	Stewardship	Environmental Scan
Malawi	33	38	32	15	56	47	32
Zambia	36	41	42	13	53	46	29
Tanzania	29	38	18	15	51	48	30
Ghana	32	43	21	13	56	45	34

■ Malawi ■ Zambia ■ Tanzania ■ Ghana

The pattern of the qualitative findings emerging from interviews on these seven sub themes is also consistent with the findings of the quantitative study-which indicates that NECs have not employed systematic and planned approach to resource mobilization. The similarity in emphasis on key organizational factors above also helps to explain some of the challenges faced by NECs in resource mobilization. While different groups interviewed responded along similar trends, they also responded differently on a number of factors. While 88% agree on good reputation as key in successful resource mobilization, only a small percentage (20%) considered the importance of sound systems to support a successful resource mobilization programme. The majority of respondents (67%) did not appreciate the significance of understanding the donor support trend as a means to ensure more effective strategies and approach.

5.2.1   Alignment of resource mobilization effort with the strategic plan

Being strategic about resource mobilisation was considered key to the success of an organisation in resource mobilization.

"Being strategic means being aware of the changes and possibilities in the funding environment, and being ready to take advantage of opportunities" (Grace, from personal interviews).

To be strategic with resource mobilization, a number of steps were identified. The first was the need for regular organizational situational analysis; a step pointed out in interviews as key in aligning resource mobilization efforts with the long-term needs and strategic plan of the organisation (Goldstone, J. 1980). This was seen to be important to ensure the organisation identifies areas for future growth that would meet its long-term organisational needs. Hence, the need for a strategic plan; organisational systems; a compelling reason for donors to give and a good reputation. These organisational factors were viewed collectively as preconditions for successful resource mobilization.

Other organisational issues identified included good research on the current funding situation, availability of resources dedicated to resource mobilization and awell defined leadership system; strategy and a marketing plan. Other factors identified also included existence of a wide network of

contacts and existing relationships with stakeholders, communities and donors. These were some of the basic preconditions for successful resource mobilization that came across from all four countries. Other factors identified were the opportunities to carry out resource mobilization activities; including a general level of awareness and support for the work of the organisation from government.

In Tanzania, the study identified the main components of the basic organisational systems needed to include: ownership of Vision and Mission; experienced and trained staff; organisational ethics and communication. Among the highlights, the NEC must have a board and a broad base of membership. Its members should be able to devote time, talent, treasure and trust to the organization. The members should be able to represent various sectors in society, understand the NEC's programs, get involved in its activities and share the responsibility of networking, researching prospects and raising money for the organization.

Respondents from all four countries reported lack of preparedness and pro-activeness to embark on a planned resource mobilization as a major issue. This was attributed to the lack of strategic planning, which meant inability to define programmatic and beneficiary needs of the funding climate in order to decide how much resources are needed and how the funding gaps would be filled. Being too dependent on international funding and focusing too little on local fundraising was also identified in all four countries as a major challenge for NECs. Respondents expressed the need for an approach that aims to localize fundraising and strengthen relationships with existing (international) donors. The strategic plan, according to interviews builds a strong base from which to begin the localization of any resource mobilization activities. It was reported that NECs require a strategic plan to begin its marketing process and that resource mobilization cannot function without the strategic direction from the organization. A strategic plan therefore is the document or the blue print in which the NEC set out how it intended to meet a need or solve a problem. At the very least, respondents believed that donors would always want to know the identity; values and culture; vision, mission, goals and strategy of the organization, how the organization will use its resources (both human and financial) to pursue its stated mission and the leverage points where the organization's activity will have the most impact. Because of the link between resource mobilization and the mission and goals of the organization, respondents identified that it is crucial for adequate

preparations to be made to ensure all opportunities are maximized. To achieve this, the resource mobilization strategy and plans should be integrated and aligned with both the strategic plan and the communication strategy. This alignment also ensures that everyone involved is clear about the vision, mission and goals of the NEC, hence able to communicate these briefly and quickly to supporters and potential contributors/donors.

5.2.2   Developing a resource mobilization department or team responsible

The research found that having a strategy in place was just only one factor that contributed to the successful fundraising and financial sustainability of NECs. Being strategic about fund raising also meant developing a resource mobilization department or team that is responsible for Resource Mobilization Strategy. The following figures show the number of staff employed by NECs in 42 countries visa-avi the number involved in resource mobilization activities:

Table 7: Number staff employed by NECs in 42 countries and number involved in resource mobilization activities

Job Title of NEC Staff involved	Total Staff Number	Number involved in fund raising activities	Percentage involved
National Coordinator	42	42	100
Campaigns Officer	76	0	0
Programme Manager	54	27	50
Accountant	42	23	55
Officer Manager	42	0	0
Account Assistance	42	0	0
Overall Total	298	92	31

Figure 20 below shows that the majority of the staff portfolios were education campaign officers (26% of the total).

Figure 20: Percentage of key staff of NECs
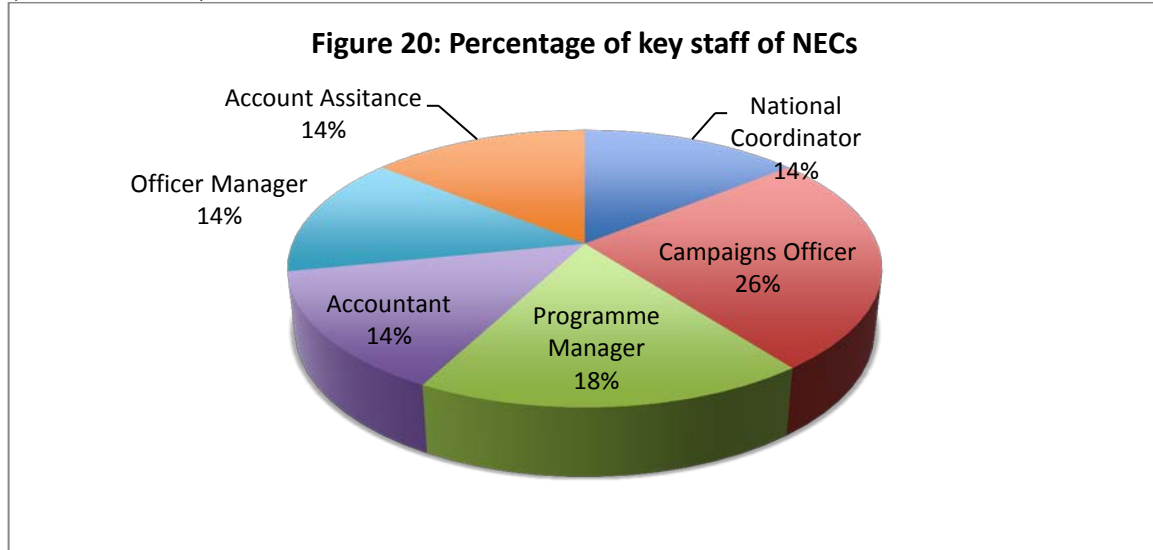
For each category of staff, the following figure illustrates the comparison between the number of staff who were involved (red) and those not involved (blue) in resource mobilization activities.

Figure 21: Number of staff participating in resource mobilization activities in 42 NECs
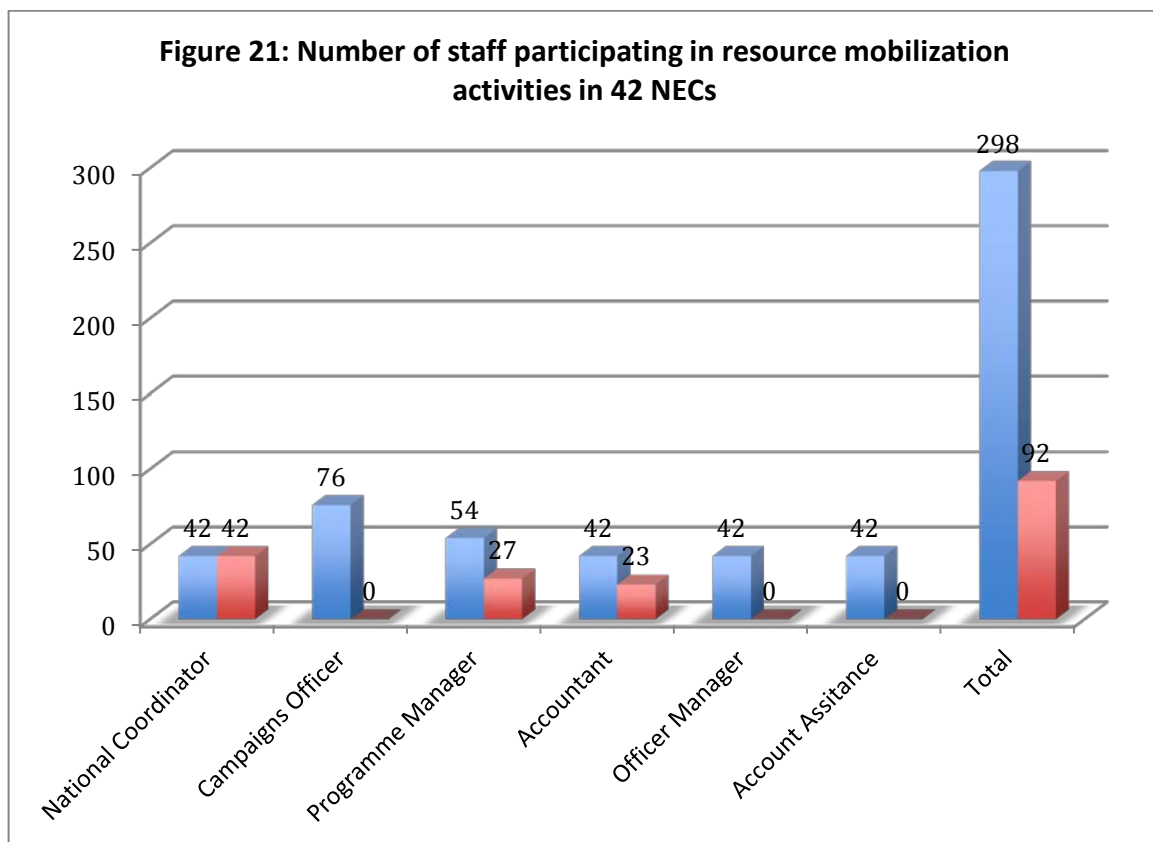
As figure 22 below shows, the leading staff category involved in resource mobilization efforts were the national Coordinators, who represented 46% of the task, assisted by programme managers and Accountants. Only 31% of staff employed by NECs was involved in some form of resource mobilization activities.

Figure 22: Percentage of total staff involved in some form of fund raising activities
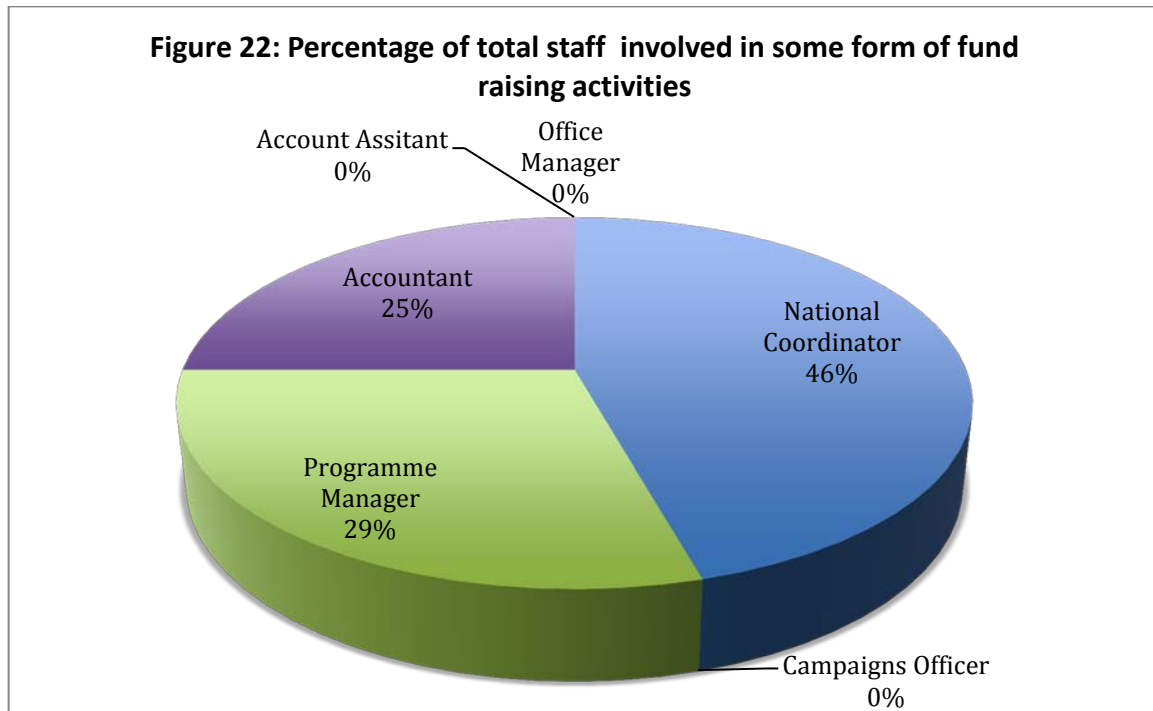
According to McCarthy & Mayer (1977:1212-1241), successful resource mobilization depends on a small professional entrepreneur cadre who provides leadership and accomplishes tasks through small teams. In their effort to mobilize resources, the NECs directed resource appeals to outside money sources. These included elite groups such as foundations, churches and foreign government agencies. In these appeals or funding proposals, NECs defined, created, and sometimes manipulated the grievances associated with oppressed or marginalized groups in order to attract available discretionary funds. These sources provided NECs with the resources to pursue their mission. The study also found that NECs possessed resources even if they represented groups with few discretionary resources needed to keep the NEC in business. It was evident that the member organizations of NECs were less likely to participate actively in resource mobilization for the NEC. Unlike classical social movement groups that depend on the membership for money, manpower, and leadership, NECs have increasingly found these resources outside their

membership or even countries. That is, over 90% of financial resources were drawn mainly from outside entities. The financial support of NECs is therefore totally separate from its membership and beneficiaries. This was a reflection of how advocacy groups organize resources and money and pursue their interests in all four countries. It found that it was often the role of the outside organizations and individuals, which make NECs' resource mobilization possible. Without this, NECs would be confronted with the problems of aggregating resources for collective purpose and building minimal forms of organizations to sustain their work. Hence, the emphasis of the study on the fact that NECs must solve the resource mobilization problem by developing more sustainable strategies to pursue their collective interests from both within and without their collectivity.

5.2.3   Identifying factors in the environment that affects ability to mobilize resources

Being strategic with resource mobilization also meant being able to determine if the organization has the capacity to mobilize resource to achieve its goals. From interviews, respondents identified the need for an organization to assess its strengths and weaknesses, as well as the opportunities and threats that have impact for resource mobilization. By doing so, the NEC would be able to identify factors in its internal and external environments that affect its ability to mobilize resources. This approach would increase its level of awareness about what is going on within and outside and devise more appropriate responses and strategies to mitigate forces that are beyond control. The factors or challenges that need to be well understood were cited in the four countries as: funders' priorities and changing trends; demand for NEC services; innovations related to education as an area of work; legislative and regulatory changes; competing grantees and prevailing political, social and economic conditions.

Challenges of resource mobilization

Limited understanding of the types and motivations of donors who would support the work of NECs was identified by 89% of respondents as a major challenge. This was attributed to the lack of resource mobilization environment research in general. Respondents reported that NECs were more likely to be opportunistic in meeting the right donor at the right time, than adopt a systematic, targeted approach to seeking donors or social investors. Respondents believed that by adopting a planned approach, NECs would yield more results over a more sustained period of time and better

assess which strategies work better and where to concentrate efforts more appropriately. To achieve this, respondents believed that NECs would need to spend time to scan their funding environment, to understand the current donor trends, including where donors are concentrated and where they should continue their existing and future efforts.

5.2.4   Ability to understand trends for support

As a key strategy, the research found that understanding trends for support would help NECs prepare a better approach to resource mobilization. 84% of respondents believed that their NECs would do better in resource mobilization if there was a better understanding or more thorough knowledge of what issues may no longer be high on the donor's agenda and whether support is increasing, or declining as well as which specific areas could be of concern for donors and why.

Due to limited strategic planning, none of the NECs in the four countries had established resource mobilization targets on how much was needed and when. This meant that the NECs were not ready to approach donors or contributors as they did not have any clear targets in mind of how much they would need to raise, when, and from which types of sources. The lack of planning led the research to the conclusion that NECs were approaching donors in an ad hoc manner and could not reach their optimum funding goals. Most fund raising and resource mobilization activities often occurred when project funding were discovered to be running out. In many cases, there were no activities or programme developed to raise funds based on a clear funding needs statement and resource timeline, showing what they were intending to pursue over the next three years, and the resources that already existed to carry out those activities. Besides the lack of a clear expression of need, there was little evidence generated from NECs in the four countries to emphasize why it was important to fund the work of NECs, why and how the NEC was uniquely positioned, to show the potential donor what it was special about NECs' approach, the benefits of their work and tangible results of what has been achieved on education.

5.2.5   Developing systems to establish and sustain donor relationships

Building relationships with donors was identified by respondents as one of the most critical components for successful resource mobilization. The research found that 76% of respondents

from NECs had difficulties understanding what it takes to develop relationships with potential donors. The following table provides a summary that shows the perception of respondents on the most important factors that influence relationships with potential donors:

Table 8: Percentage of respondents showing perceptions on factors that influence relationship with donors

Establishing relationship with donors	Ghana	Tanzania	Zambia	Overall Average
Know what the donor cares about,	41	39	31	37
Know the geographic areas of funding,	47	25	19	30
Know where the donor fund projects,	32	31	34	32
Know the funding levels	59	56	58	58

As shown in the figure above, there were similarities in perception across all four countries. The lack of knowledge on the funding levels and the maximum amount of money an organization can seek to ask for was what respondents were most concerned about in the four countries.

Fugure 23: Percentage of respondents and their perception on factors that influence relationship with donors

	Ghana	Tanzania	Zambia	Malawi
▪ Know the funding levels	59	56	58	58
▪ Know where the donor fund projects,	32	31	34	32
▪ Know the geographic areas of funding,	47	25	19	30
▪ Know what the donor cares about,	41	39	31	37
Percentage of respondents				
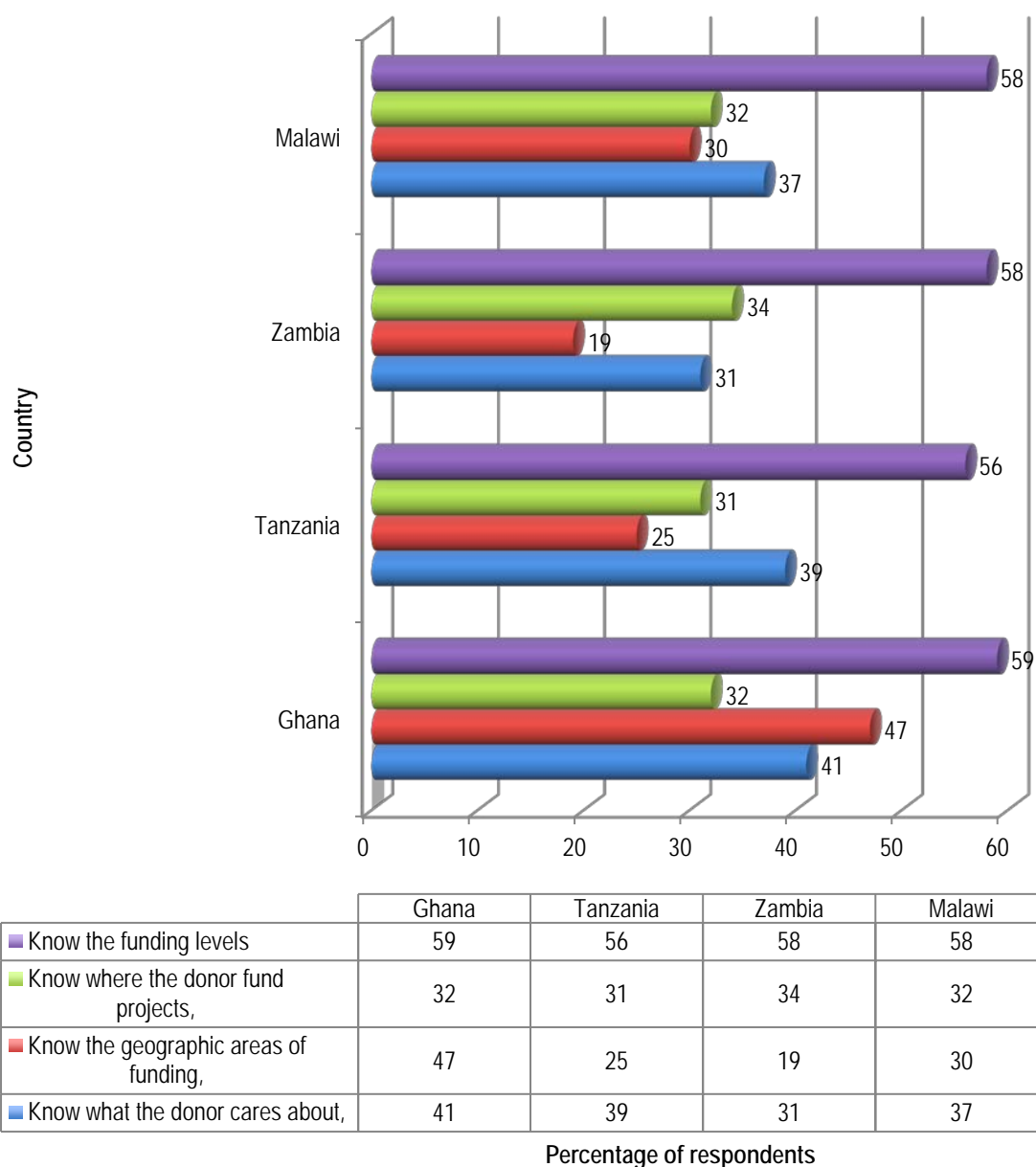
Although all four factors above were considered critical and important, there was a tendency to pay less attention on the importance of understanding the geographical areas of funding and where the donor may already be funding such projects. More attention was paid to understanding the funding levels and the interest of the donor. These were the two factors identified as the most significant.

Figure 24 below shows the perception of respondents on the significance of each of the four sub themes above in building relationship with potential donors.
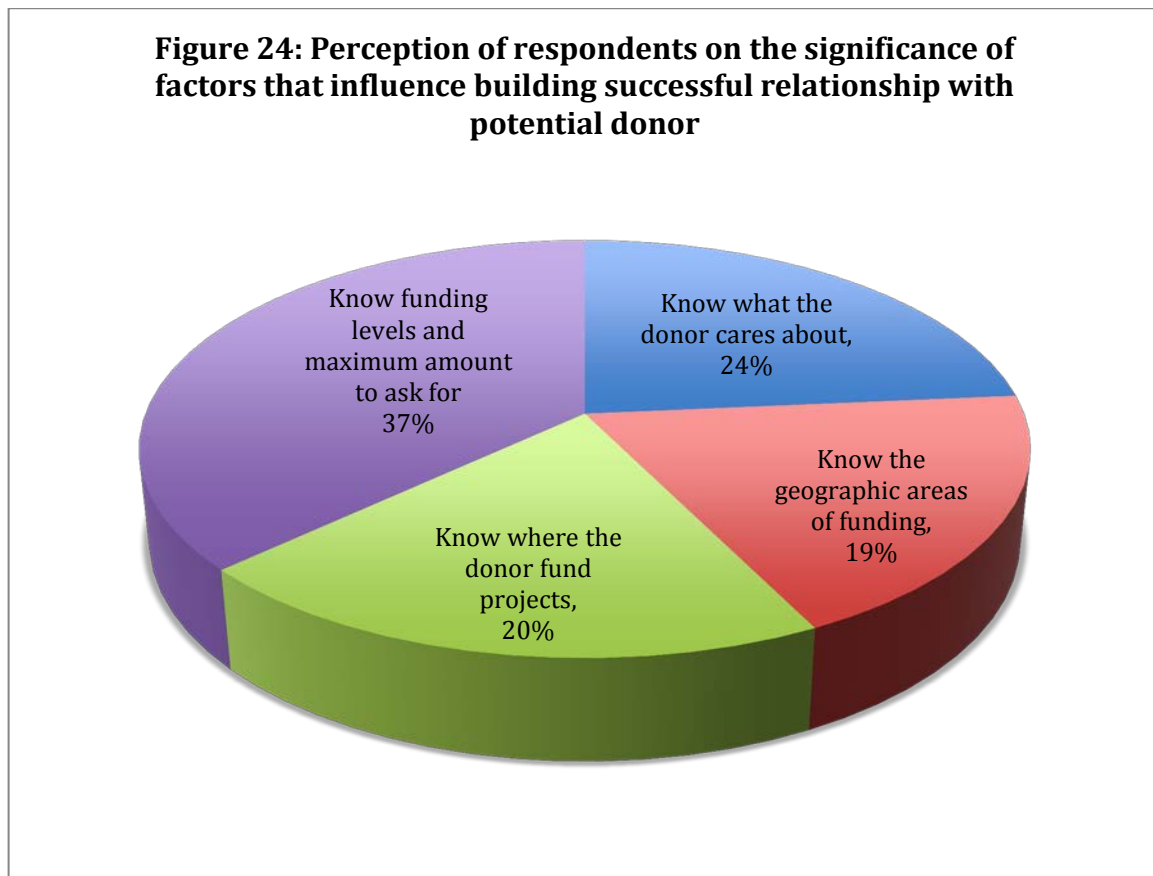
Figure 24: Perception of respondents on the significance of factors that influence building successful relationship with potential donor

- Know funding levels and maximum amount to ask for 37%
- Know what the donor cares about, 24%
- Know the geographic areas of funding, 19%
- Know where the donor fund projects, 20%

The results showed that the art of building relationships with donors distinguished one NEC from another. The challenge for most NECs was the lack of knowledge on donor funding priorities and mandate. This meant that the NEC could not approach a donor successfully if it did not know what the donor cares about, the geographic areas of funding, where the donor fund projects, funding levels and the minimum and maximum amount of money an organization can seek to ask for. The NEC could not approach a donor successfully without knowing the donor's application criteria including how an organization becomes eligible for funding. It also needed background information about the reviewers of the proposal or individuals in the donor agency, including what those individuals may know or think about the NEC and what they may want out of the relationship. Limited personal contacts and networks also compounded the limited understanding of donor's priorities, and the fact that very few board members of the NECs were involved in cultivating donor

relationships and resource mobilization for the NEC in general.

The NECs were funded from a limited variety of sources, with almost 80% of the funding coming from 20% of donors/contributors. The challenge for most NECs were to develop the right strategies to acquire new donors by raising awareness about the coalition and its cause and nurturing or cultivating existing supporters to maintain or upgrade existing commitments. None of the NECs in the four countries undertook simple activities such as direct mailing of brochures or communication materials. For instance none of the NEC had invited potential contributors to attend special events to keep them informed of progress of their work. In order to upgrade existing donors to the next level, or to increase their level of contribution, NECs need to develop nurturing or cultivating strategies to keep donors engaged and interested. They also need to develop partnerships and explore new ways to secure long-term donor interest in contributing to their cause.

Respondents reported that it was common to find NECs soliciting funding from donors with whom a relationship has not yet been established. Not only was establishing relationship with potential donors a challenge to NECs, writing good funding proposals was noted by 89% of respondents as vital to accessing funding. Many respondents observed that it is this, coupled with lack of prior attempt to establish relationship with potential donors that often break the partnership before it started. For example, the NEC in Tanzania did not have contact information on the donor landscape in their own country and were therefore not fully prepared to maximize the opportunity that may be available and gain positive results from it. The research found the lack of prior donor research; supporting materials that are directly relevant to the cause of the NECs; past correspondences between NECs and donors, including the lack of past proposal documents as evidence of lack of strategy in fund raising and resource mobilization.

5.2.6 Building a good reputation in the communities

Besides these factors, the study found that legitimacy and credibility is key in resource mobilization. When basic organizational systems and philosophies are in place, the NEC must build a good reputation in the communities where it operates.

"Community stakeholders are the biggest supporters of NECs"(Everlyn, from personal interviews).

The reasons given were that communities have first-hand experience of the benefits of the NEC. During the interviews, donor representatives reported they would often want to speak to community leaders/stakeholders to understand these benefits, as this is the ultimate reason why money is given to an organization. Therefore, building a good reputation with district and national level stakeholders was identified in all four countries as an important factor. The stakeholders interviewed at national level confirmed that more donors seek the guidance of national and district structures to identify potential organizations to fund, as they are responsible for the coordination of various activities and structures at their respective levels. According to findings, building a good reputation starts with the NEC developing respect for and sharing information with stakeholders, including beneficiaries of services. Additionally, 73% of respondents noted that strong, consistent performance of programmes run by the NECs need to be achieved before the NEC can consider fundraising and marketing itself. This helps to show that the NEC has a proven track record of good, consistent performance and can be trusted.

5.2.7 Stewardship of the donations and stewardship of ongoing relationships with donors

The research found the lack of strategy for stewardship of the donation and stewardship of ongoing relationships with donors was a concern to 72% of respondents. The most critical components of good stewardship identified included successful management of funding provided, achievement of intended results of proposed activities, and timely reporting and accountability to the funder. The following table summarizes the number of respondents expressing views on factors, which influence successful stewardship in resource mobilization:

Table 9: Perception of respondents on factors, which influence successful stewardship in resource mobilization:

Factors explaining good Stewardship	Number of Respondents	Percentage
Successful management of funding provided,	37	58
Achievement of intended results of proposed activities,	42	66
Timely reporting and accountability to the funder	46	72

In the following figure, the research summarizes the perception of respondents on the significance of each of these three factors:

Figure 25: Showing the perception of respondents in Ghana, Kenya and Tanzania on the significance of factors that explain success stewardship of resource mobilization
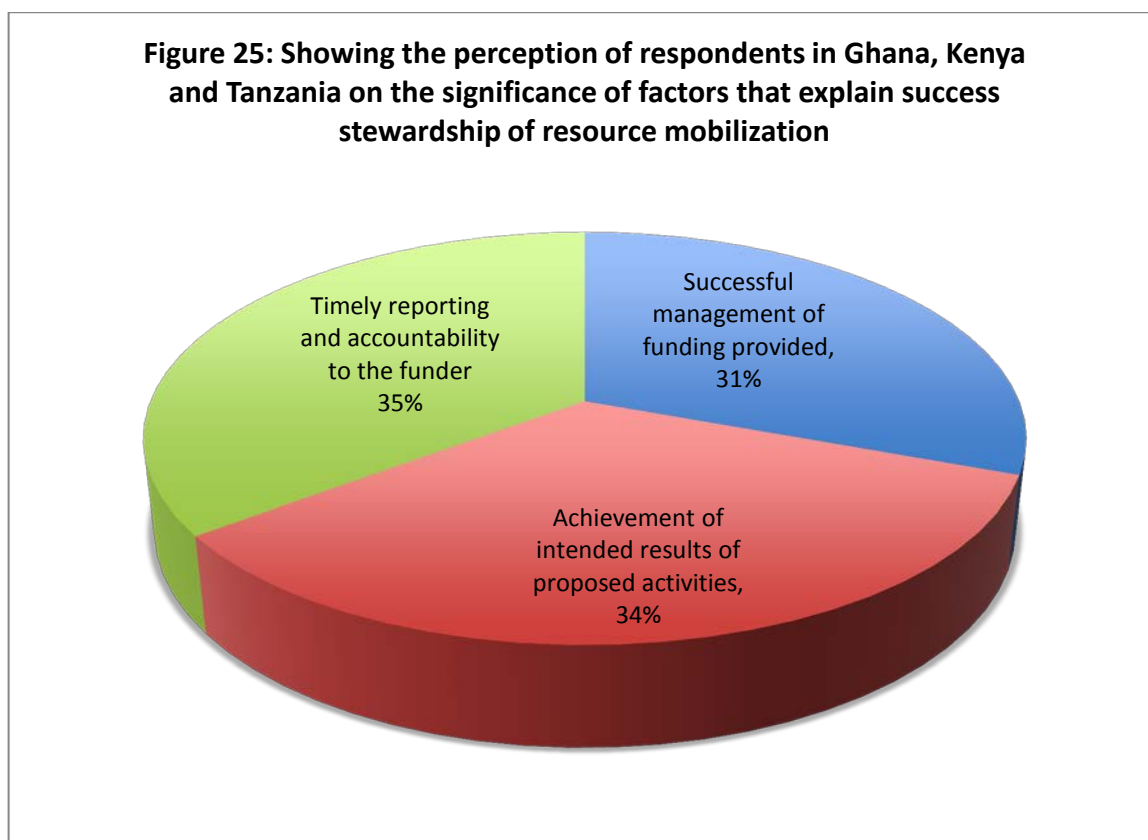
As illustrated, respondents from all four countries agreed on the significance of these three factors in the stewardship for resource mobilization, though they leaned more towards the importance of timely reporting and accountability to the funder than to successful management of funding provided. The following table summarizes the number of respondents expressing views on the importance of these three factors in the stewardship of resource mobilization:

Table 10: Number of respondents expressing their views on the importance of these three factors in the stewardship of resource mobilization in each country

Factors	Ghana	Tanzania	Zambia	Malawi
Successful management of funding provided,	53	49	51	49
Achievement of intended results	59	52	56	52
Timely reporting and accountability to the funder	61	56	61	59

Although respondents agreed that these factors were all very important (given the equal distribution of perception for each factor), they were a little less concerned with the management of the funding provided. Figure 26 below shows the perception of respondents by country on the significance of each of the three factors:

Figure 26: Percentage of respondents and their perception on key factors which influence stewardship of resource mobilization

	Ghana	Tanzania	Zambia	Malawi
Timely reporting and accountability to the funder	61	56	61	59
Achievement of intended results	59	52	56	52
Successful management of funding provided,	53	49	51	49

Percentage of respondents
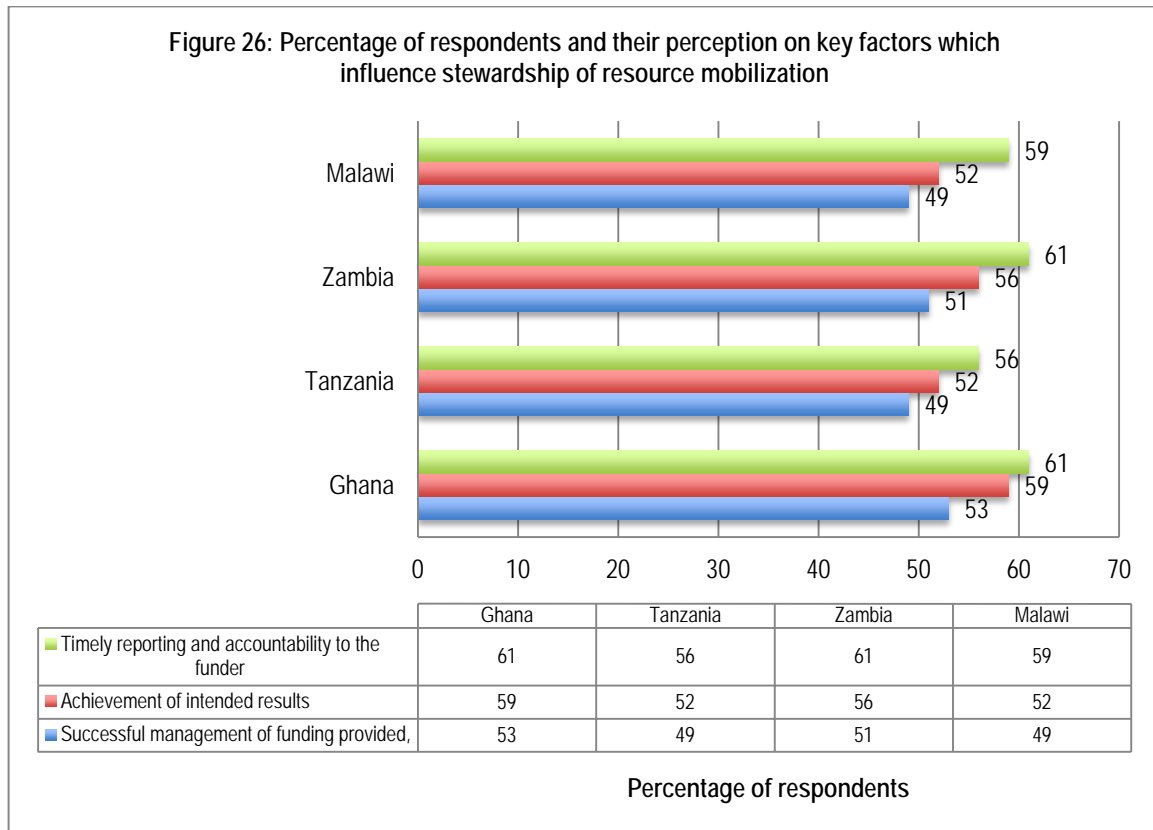
The study found that board members and donor representatives were most likely to cite timely reporting and accountability and the achievement of results of proposed activity. Staff of NECs and CSOs were more likely to cite successful management of funding provided and timely reporting and accountability to the funder. Similarly, the study found that the pattern of qualitative findings that emerged from interviews was consistent with the findings of the quantitative study-which reinforced the fact that there is stronger focus on upward accountability-more accountability towards the donors and less to the beneficiaries and membership of NECs. This emphasis on what the most important factors are for each category also helps to explain some of the challenges which NECs and CSOs face. However, the research acknowledges that advances on accountability towards the donors may be preconditions to advances on accountability to the beneficiaries and the membership.

In circumstances where these critical components were not adhered to, respondents agreed that the development of relationship with a donor and opportunities for future funding were dismal. Lack of stewardship of donations was, in fact, the main reason why some donors did not continue to fund some of the activities of NECs. Most respondents from NECs were aware of a few simple things that an organization could do to improve relationship with the donor and show responsibility and integrity with funding. Some of the areas identified as key in motivating donors to continue support and increase levels of funding were: prompt acknowledgment of contributions; confirmation that the NEC has put their contributions to work as intended; measurable results on the outputs and outcomes of their contribution. It was found that the ability of the NEC to communicate results of its work was vital in the resource mobilization process. Stewardship of the funding and the relationship with the donor also meant meeting deadlines, reporting proactively, sticking to donor requirements and having open communication.

"A track record of clean audit helps to attract and retain donors. Strategic thinking on fundraising, accountability, and impressive performance lead to a steady increase in support over the years" (Frank, from personal interviews).

5.2.8   Need for a balanced and an explicit resource mobilization strategy and approach

None of the four NECs had a fund raising strategy in place with a well-defined fundraising cycle. As a result, it was difficult to assess what strategies were being applied, what was successful and why.98% of respondents reported that their NECs were securing less funds than they would hope for and that not much effort were being made to try new strategies and do something else. A number of respondents believed that their fund raising "strategies" were not creative enough and were specific in their response on what improvements can be done in the future. A key observation by respondents was to have an external expert review how fundraising has been carried out to identify the strengths and areas for future improvement. This would allow for objectivity and ensure development of fundraising strategies based on current challenges and logic. In general, the research found that many NECs lacked the readiness and the capacity to mobilize resources due to factors from within the organizations' internal and external environment and the lack of capacity

to harness their strengths to take advantage of the opportunities and to overcome threats in the funding climate. NECs lacked the organization and the team needed. In most cases fund raising teams were not in place, team members were not clear about their individual roles and there wasn't someone appointed as the lead or focal point person. Some of the inhibiting factors identified include the un-conducive economic, political and social environments for NGO activities; decline in donor enthusiasm and in the funding trends as well as intense competition within donor or private sector funding environment.

5.2.9 Balancing growth with funding needs

As the chapter concludes, other internal organization factors, identified were the need to balance growth and expansion in the membership of NECs with capacity to mobilize resources to ensure regular flow of funds to meet the needs and expectations of CSOs. 68% of respondents emphasized that unless a robust fundraising strategy and mechanism was put in place to secure funding from both local and international sources; funding for NECs would dry up quickly due to high demand from CSOs. 59% of respondents believed that ensuring sustainability means raising a larger proportion of funds locally. Against the backdrop of high competition for funding in the NGO sector, it was noted that the managers of NECs have to work extra hard and come up with innovative strategies to stay above the competition. Considering the varying level of capacity of CSOs who are members of the NEC in each country, and the need to ensure equity in fund allocation, there is an urgent need to build the capacity in areas such as resource mobilization as well as financial management. It was noted that most often, funds might not be available for such capacity building purposes. This was due to donor-increased demand for thin management cost while demanding high standards of accountability.

The rapid expansion in the grassroots membership of NEC also has raised questions on the need for more qualitative support to NECs in the long run. The expansion strategy supported through the CSEF would not have any long-term impact if international funding provided by the GCE to the NECs through the CSEF were not sustained. Conversely, the GCE's work could be affected in many countries with damaging consequences for the entire movement. Many civil society organisations that presently constitute NEC membership are heavily constrained by the political

context in which they operate-including the limited levels of civil liberties-freedom of expression, assembly and association. The challenge for the GCE in such countries is to go beyond capacity building to a much broader agenda which involves creating a whole new culture of civil society and opening up new spaces and political opportunities for civil society to make a difference. This will take time and shall require a much longer-term commitment for change.

Finally, NECs and CSOs also need to demonstrate the effectiveness of civil society collaboration with governments and donors. Given the intergovernmental character of the national and global politics, the rules of engagement of civil society in the national political processes is dependent on decisions taken by government and the donors representing the states involved. From focus group discussions, it was reported that governments do fear that civil society's direct engagement in policy making could undermine intergovernmental processes. This could be due to the lack of effort from civil society to build consensus with governments and donors on a positive agenda for collaboration; demonstrate the effectiveness of this kind of collaboration and, avoid too much emphasis on gaining power to influence policy, as this may be counterproductive.

Chapter Six

Strategies and Systems For Successful Resource Mobilization

6.0   INTRODUCTION

This chapter draws from the experiences of NECs across different scale-local, national and international, to answer two questions: (a) what strategies condition the success of the resource mobilization programmes implemented by NECs? (b) What systems are used by NECs to support a resource mobilization programme to achieve its potential? Table 11 below provides a summary of the significance of some of the key themes identified by the research to explain some of the strategies used by NECs and CSOs to organize and manage successful resource mobilization programmes:

6.1   STRATEGIES USED TO ORGANIZE A SUCCESSFUL RESOURCE MOBILIZATION PROGRAMMES

Table 11: Key themes on and perception of respondents on strategies used to organize and manage successful resource mobilization programmes:

Theme/Strategies	Ghana	Tanzania	Zambia	Malawi	Overall Average
Donor prospecting and mapping	23	27	14	13	19
Setting resource mobilization targets	34	25	19	18	24
Undertaking competitor analysis	11	18	21	17	17
Consideration for Fund raising efficiency	12	13	23	21	17
Developing case for support	5o	52	51	49	51
Matching funding gaps with income sources	52	53	49	47	50
Communicating with prospective donors	46	41	46	41	44

Seven (7) sub themes were identified to summarize the key strategies used by NECs to mobilize resources. The themes were used to explain strategies used to organize and manage successful resource mobilization programmes by NECs. The general perceptions of respondents on these themes were similar across all four countries. All seven strategies were considered collectively important. However, the extent of their significance varied from strategy to strategy. Figure 27 below provides a summary of the general perceptions of respondents on the significance of these strategies:

Figure 27: Perception of respondents on strategies used to organise and manage resource mobilization programmes
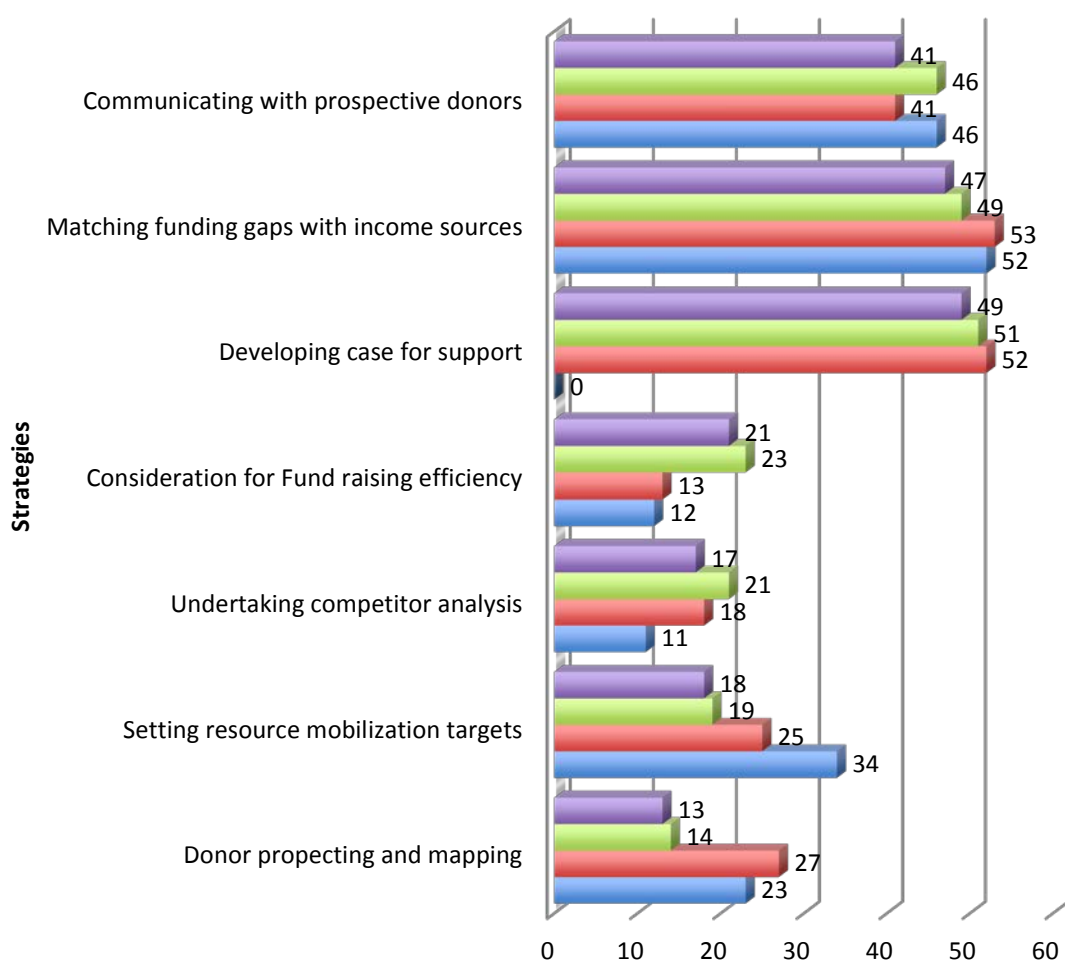
	Donor propecting and mapping	Setting resource mobilization targets	Undertaking competitor analysis	Consideration for Fund raising efficiency	Developing case for support	Matching funding gaps with income sources	Communicating with prospective donors
Malawi	13	18	17	21	49	47	41
Zambia	14	19	21	23	51	49	46
Tanzania	27	25	18	13	52	53	41
Ghana	23	34	11	12	0	52	46

Percentage of respondents

Writing good proposals or developing case for support and matching funding gaps with income sources were considered the most significant strategies across all four countries. This was followed by communicating with prospective donors and setting resource mobilization targets.

Figure 28: Perception of respondents on the significance of strategies for organizing and managing successful resource mobilization programme
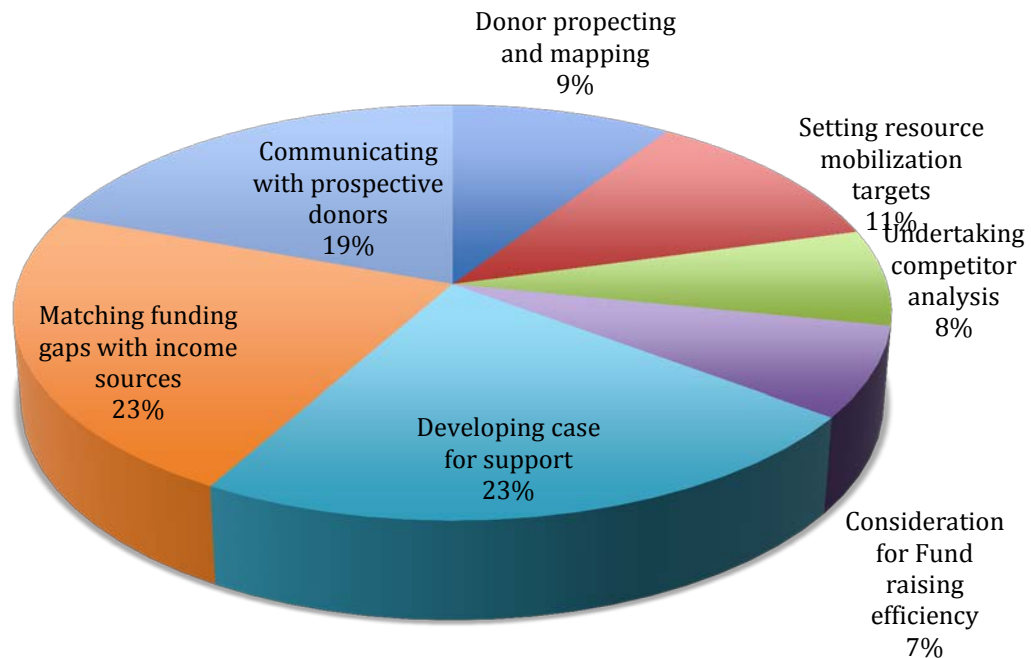
As figure 28 above shows, respondents were most likely to cite these two areas than they were likely to mention any other themes such as the need to understand donor prospects and potential competitors. From this analysis, it is clear that the pattern of qualitative findings that emerged from interviews was consistent in all four countries. The similarities in the trend helps to explain some of the challenges that NECs and CSOs face with regard to resource mobilization.

6.1.0   Donor Prospecting and Mapping

"The process of donor mapping heightens our understanding on the current donor trends. It also helps us to construct a realistic donor map to identify where donors are concentrated. This allows us to be more strategic in targeting current and future efforts for resource mobilization in a more calculated manner" (Leslie, from focus group discussions).

As the finding shows, to carry out resource mobilization, efforts were made by NECs to respond to the external environment where resource mobilization targets are found. To achieve this, donor prospecting and mapping were conducted to guide the NECs in thinking critically in the process of adopting a systematic, targeted approach to seeking donors/investors. By doing so, this approach was expected to yield desirable results over a more sustained period of time. In addition, the organization would be able to assess the strategies that work best and determine more accurately where to concentrate efforts.

"The process of donor mapping heightens our understanding on the current donor trends. It also helps us to construct a realistic donor map to identify where donors are concentrated. This allows us to be more strategic in targeting current and future efforts for resource mobilization in a more calculated manner" (Leslie, from focus group discussions).

In Ghana, donor mapping was identified as the first important step to determine who the donors/partners are for the CSO concerned. The importance of this exercise was to analyze those prospects whom the CSO may already have had some contact with, but might not yet have a strong relationship. Donor mapping was also noted to help the NEC isolate funding prospects that may be out of the CSO's scope at the moment but need to be brought on the map for further exploration. From interviews and focus group discussions, prospect mapping in Ghana involved a process which provided the CSO with vital information on where the majority of current donors, contributors and partners were situated; what the CSO needed to know about the prospect to be able to attract and maintain their interest in their work. It was also seen as a process through which specific categories of donor relationships could be identified and strengthened for future purposes of resource mobilization. The research found that the process of donor mapping in Ghana helped the CSO to identify which part of the donor landscape needed to be further explored and to find ways and plans to fill gaps in the donor map in the future. The research found that donor mapping promoted strategic thinking in the resource mobilization process in Ghana in a manner which allows a CSO to adopt a more systematic, targeted approach to seek the support of each donor or investor in a strategic manner. Figure 29 illustrates the key themes involved in the process of donor prospecting and mapping as was undertaken by NECs:

Figure 29: The key themes involved in the process of donor prospecting and mapping

Step 1: Identification of prospects

Step 2: Establishing potential links with the prospects

Step 3: Establishing interets of the prospects

Step 4: Establishing ability to give

Identifying a strategy that speaks to the prospect's segment
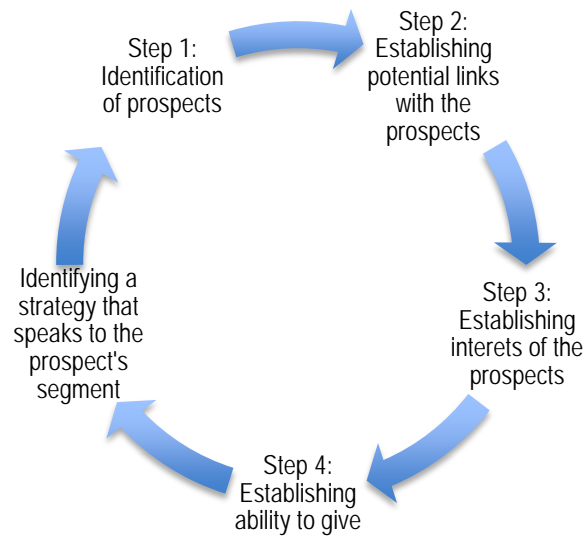
"The process of donor mapping begins with gathering as much information about current and prospect donors as possible. It also involves gathering more information on the donors who may already be on our prospect list" (Patricia, from personal interviews).

As illustrated, the process involved a number of steps. These included identification of prospects, based on factors such as the linkage to the organization, interest in the organization's work, and ability to give. It was reported that developing an effective strategy that speaks to a particular segment, was key in attracting those prospects into partnership with the organization. The strategic linkage with a prospect could be due to direct connections with the NGO, either because they were their current donors, or because the prospect may know someone attached to the organization. More often, it was because of their geographical closeness and interest in the community needs the NGO addresses, or in the type of organization the NGO is, or the way in which it goes about its work. Respondents also observed that it is important for the organization to assess the prospect's ability such as what resources they have and can give, for how long. The significance of prospecting in Ghana was to enable the organization to strategize and communicate more effectively with its supporters. It also allowed the organization to constantly search for prospects, to expand its support base and replace those funding cycles, coming to termination.

The prospect list was generated to include a list of the major donors, the members or subscribers and the general supporters of the organization. Respondents emphasized the importance of

looking beyond the well-known prospects, as there might be other volunteers or major donors with similar interests, who could be the main source for the future. Attention was also drawn for NECs to focus on people interested in the kind of needs being addressed or the work being done, but who might not have supported the organization. Once this information had been gathered, those on the prospect list were clustered and analyzed according to the main categories. From the research finding, a handful of development partners have been the main sponsors of NECs activities. The following illustrations relate the prospect mapping exercise to the main sources of funding for NECs in Malawi, Ghana, Zambia and Tanzania.

Figure 30: Main Sources of Funding for National Education Coalitions
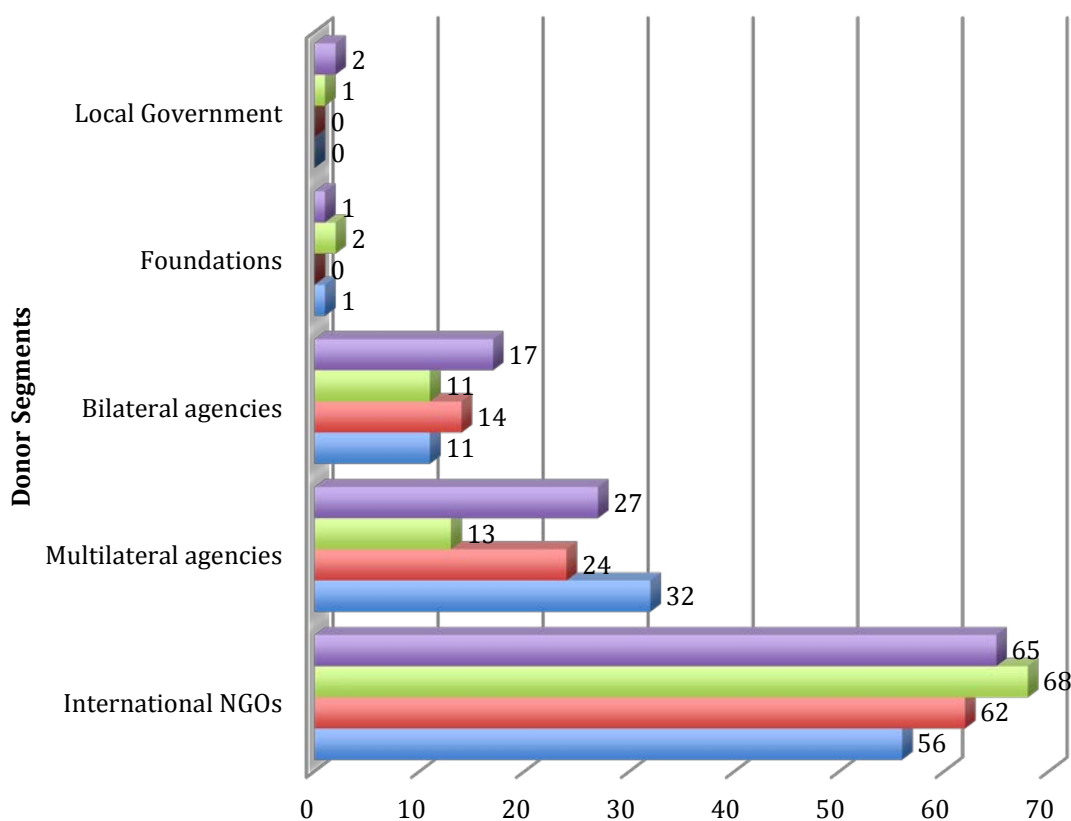
	International NGOs	Multilateral agencies	Bilateral agencies	Foundations	Local Government
Malawi	65	27	17	1	2
Zambia	68	13	11	2	1
Ghana	62	24	14	0	0
Tanzania	56	32	11	1	0

Percentage of respondents

In general, the most common types of donor segments on the NECs prospect list were international NGOs (including the GCE through the CSEF), multilateral agencies and bilateral agencies. As the figure above shows these were the segments that accounted for the majority of the NECs funding sources over the last decade. Specific examples of the proportion of funding provided by the GCE through the CSEF in relation/comparison to other non-CSEF funding sources are illustrated below. The examples illustrated below include NECs that attracted significant additional donor support other than what they received from the CSEF for their activities.

Figure 31: Malawi-Proportion of GCE-CSEF funding versus additional donor support sources

Figure32: Sierra Leone-Proportion of GCE-CSEF funding versus additional donor support

Figure 33: Mozambique-Proportion of GCE-CSEF funding versus additional donor support

Figure 34: Nigeria-proportions of GCE-CSEF funding versus additional donor support

Figure 35: The Gambia-Proportion of GCE-CSEF funding versus additional donor support

6.1.1 Main Donor Segments/prospects for NECs/CSOs

6.1.1.1 The European Union and JICA

In Ghana, the European Union (EU) was one of the key multi lateral agencies that support education civil society. It was found that while the EU directly provided support to CSOs, it did not have education as a priority area in its Country Strategy for Ghana. The EU indirectly supported CSOs in education through its contribution to other basket funds such as Star-Ghana.

6.1.1.2 The Japanese Agency for International Cooperation (JICA)

Similarly, the Japanese Agency for International Cooperation (JICA) channeled its support to education sector through the government of Ghana, focusing primarily on technical assistance. The EU (which is contributing to Star-Ghana) opined that the funding mechanism would have different thematic areas and funding widows identified with CSOs.

6.1.1.3 The UK's Department for International Development (DfID)

The DFID did not have any official policy for its engagement with civil society. Its worked with CSOs, being guided by the UK government White Paper titled, 'Eliminating Poverty, Building our Common Future' and the 2006 Practice paper. In its business plan 2011-2015; DFiD directed its aid budget to supporting the development of local democratic institutions. In this regard, it intended to spend 5% of its entire aid budget on institutions focusing on accountability. In addition, DFID intended to support actions to help achieve the Millennium Development Goals (MDGs) including education, which is of interest to this research. Since the strategic plan was for its global operations, it was yet to translate into country specific programmes. It sufficed to mention that DFID was one of the driving forces behind the idea of basket funds for civil society and had supported a number of funds in developing countries including RAVI, G-RAP, BUSAC I and Star-Ghana with other donors. The DFID opined that it did not want to crowd out good ideas that are organic/Ghanaian origin and which seeks to explore funding from the public and private sector which development partners could not do by themselves. It thus welcomed the idea of such funding models and indicated its preparedness to support it with expertise (if needed). The DFID also

hinted that opportunities within existing models are limited in scope and hence CSOs may still need to consider other areas for support.

6.1.1.4 Danish International Development (DANIDA)

In all the four study countries, the key pillars of the Danish International Development Agency's (DANIDA) development policy were good governance and respect for human rights (Danida, 2009). In fulfillment of this objective, DANIDA's strategic support to CSOs in (2009- 2013) focuses inter-alia, on citizen-driven governance and watchdog and transparency support. In this regard, an amount of DKK68.4 million (about US$12.06 million) was earmarked for civil society and the media in Ghana for the period 2009-2013. With this funding, three basket funds were proposed in the country strategy namely, G-RAP, Civil Society Governance Fund (CSGF) and Media Foundation for West Africa (MFWA). While it was unclear whether the fund for civil society had been exhausted, the thematic area of support in the programme was clearly explained. This perhaps explains why DANIDA is the lead donor for BUSAC II and the key-supporting donor for Star-Ghana. DANIDA deeply shared the idea of basket funding as a strategic approach towards support to CSOs and was contemplating similar approach for the justice institution in the coming years. However, the challenge remains how governments can work to develop a more sustainable funding model.

6.1.1.5 The United States Agency for International Development (USAID)

The United States Agency for International Development's (USAID) assistance to CSOs was encapsulated in its Strategic plan (2006-2010). In this plan, support to civil society was captured under democratic governance where USAID sought to improve advocacy capacity of various sector interest groups working on democratic governance, health, education, and economic growth issues at the district level. Therefore, the focus of the NECs and CSO in general fitted into USAID strategic areas.

6.1.1.6 Government

Analysis of the views from the Ministry of Education in Ghana showed that the mandate of the Ghana Education Trust Fund (GET) as detailed in the GET Fund Act 581 did not allow the fund to

spread its resources to CSO programmes. The law governing the fund required annual parliamentary approval of allocations. To be able to receive support from the GET Fund, a CSO should channel its advocacy effort to the Executive and Parliament for the necessary legislative changes. Further, the Education Service created a monitoring and evaluation department, which carried out this task. This implied that funds such as GET Fund and the Ministry of Education could not be immediate sources of funds for CSOs in the short term while long-term prospects largely depended on the advocacy effort of CSOs.

GET was established by an Act of Parliament, 581 on August 25, 2000, to generate additional income to support the nation's educational system at all levels. Specifically the GET Fund Act 581 2000 outlined that money generated from the fund was anticipated for the following expenditures: to provide financial resources to support all institutions in developing their infrastructural and academic facilities; to provide additional sources of funds for needy but gifted students through the Ghana Scholarship secretariat in the form of scholarships and grants; to generate monies to support the student loan scheme for nationally accredited institutions, and; to offer grants to higher education through the National Council for Tertiary Education.

6.1.1.7 Corporate Sector

Results show that corporate institutions in all four countries were familiar with sponsoring CSOs activities. However, the majority would contribute funds to specific projects (61%) than general funds (39%). This suggests that CSOs would face challenges in convincing corporate entities that are accustomed to providing project support to contribute to a basket fund. The key challenge as identified was that the majority of corporate entities need recognition from CSOs that they support to help improve their brand/image. Respondents from CSOs were concerned that NECs could face the challenge of managing the multiple demands and expectations of the corporate world in a pool funding mechanism. For example some corporate sector organizations have their own Foundations through which they support education. It was also found that funding strategies of companies were largely informed by their Corporate Social Responsibility (CSR) policy. Thus, CSOs were supported if their proposals fall within the broader CSR policies of corporate entities. There were also many instances where applications were decided on case-by-case basis. That is, on the strength of

individual applications and how the organization intended to benefit in terms of projecting their image/brand. It was difficult to obtain data on the donation provided by corporate organizations.

As reported, there were many smaller foundations that might not have very high profile, but which could deserve to be explored. As local businesses thrive, their owners were beginning to give more back to society through their Corporate Social Responsibility (CSR) programmes. The task for an NGO looking for funders is to carry out research on these types of foundations and businesses and match their goals with that of the organization. In the four countries, the study found that education, environment and health are popular areas, which tended to draw philanthropists as they consider themselves as investing in the future, hence the need for organizations looking for potential funders to pitch themselves as catalysts for improving the future generation through these services. It was found that the business community in these countries was closely linked with the private foundations and philanthropic organizations, as they might be the ones that set up those private foundations.

Apart from their philanthropic arms, corporations, especially those with global outreach, very often had projects, which could provide good potential for funding. There were a number of examples in the four countries where multi-national companies have donated to community projects in cash and in-kind. Interviews with business representatives found that most foundations increased their international giving as the businesses to which they were linked expanded their markets overseas. Respondents reported that very often, the business community would choose to give back to the communities where such overseas bases were set up. For this reason, the study found that companies that are actively engaged in corporate social responsibility might also be good potential partners or contributors to civil society. It was not just companies or foundations, but it was also important to include individuals on the prospect list. Individuals with the capacity as well as care and concern for a cause were considered to be great allies. The task, which was found to be vital, was for the organization seeking funds to identify community or business leaders who could be spokespersons or champions for the cause of the organization. The research found that as the non-profit sector comes face-to-face with the reality of declining funding trends from the international donor community; its leaders must creatively look for alternative funding sources to fill the gap. Board members, executive directors and non-profit managers must now learn to diversify funding sources and come up with creative resource mobilization strategies. Other individuals from

the community may also work for the organization as long as they understand and share its vision and mission.

6.1.2   Understanding what motivate donors to give

"The heart of effective resource mobilization is capturing people's attention and persuading them to give over and over again" (Florence, from personal interviews).

The study found that it is important for NECs to understand the motivation and incentives behind giving. That is, the reason why a particular donor or prospect may or may not choose to give. This finding explained the reasons why NECs and CSOs carried out an analysis of the donor support trends. The analysis of support trends was mainly concerned with understanding project areas or focus where prospects may be concerned with, and assessing whether the trends in their support was increasing or declining and why. Table 12 below provides a summary of the perception of respondents on analysis of the trends of support, of the major bilateral agencies in the four countries. The reasons explaining this trend were cited as shifting donor trends, new humanitarianism, shift towards foreign direct investments, poor donor coordination etc, as was analyzed in Chapter five of this dissertation.

Table 12: Perception of respondents on the trends for support of the major bi lateral agencies in education sector

Bilateral Agency	Support Trends in Education Sector			
	Malawi	Ghana	Tanzania	Zambia
CIDA	Declining	Declining	Declining	Declining
SIDA	Declining	Declining	Declining	Declining
NORAD	Stagnant	Stagnant	Stagnant	Stagnant
DGIS	Stagnant	Stagnant	Stagnant	Stagnant
USAID	Increasing	Increasing	Increasing	Increasing
DANIDA	Stagnant	Stagnant	Stagnant	Stagnant
DFiD	Stagnant	Stagnant	Stagnant	Stagnant

"The heart of effective resource mobilization is capturing people's attention and persuading them to give over and over again" (Florence, from personal interviews).

Figure 36 below is depicting a summary of the main reasons or themes identified for giving in the four countries:
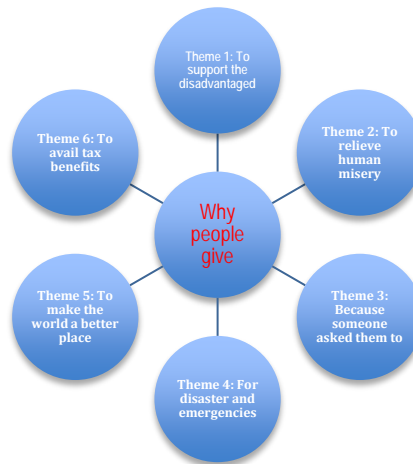
Figure 36: the main reasons or themes why donors give

Effective resource mobilization therefore calls for a good understanding of what motivates and incentivize prospects to give. A number of reasons were therefore identified through interviews and focus group discussions to explain why particular donors give what they did to support community organizations.

In the research, the reasons for giving varied from one funding source to another, but included: to provide others an opportunity to support the disadvantaged and to relieve human misery thereby making the communities a better place to live. Most respondents reported that people give to credible organizations that are known to be doing good work. People also give to organizations because of the feeling that they can contribute through the work of these organizations to make the world a better place.

Organizations that work with causes or issues that the potential donor has been associated with or has witnessed at close quarters were found to be most likely to receive support from them. People donate for religious reasons; for availing of tax benefits by giving to those organizations that have this facility; for the abject reason of giving back to the society by supporting and encouraging

excellence. Most importantly, respondents believed that people give because they are asked. Finally, it was found that people give spontaneously for disasters through their heart. Giving for purposes of disasters were usually in small amounts. To give major gifts, most donor representatives noted that donors think through several options and considerations. These include considerations such as tax exemptions and other benefits. For leaving a legacy, the funder needs to believe in the cause and in the organization.

It was found that individuals sometimes give on behalf of a corporation, or a foundation or the country they represent. For most individuals however, what they gave was a personal gift from their own resources. Interviews with some individual donors showed that individuals also give because giving makes them feel good – they feel more blessed to give than receive. Some individuals reported that they give because they want something in return; others give due to peer pressure often resulting from what their friends and family are giving, and feel they must give. Some respondents reported people give because they like someone in that organization and what the organization is doing in the community. Others were reported to give because they feel they are helping someone who has a need they can identify with. There were respondents from donor organizations that said they gave because someone who wanted them to help asked them.

For corporate and foundation giving, the research found that businesses give out of self-interest- they only give when they make a profit, and that most giving by companies was linked to their image or their future profitability. Respondents from business entities reported that their companies give to; improve the company's image as the community feels that the company cares for them. They give to promote the company's interest as some companies may support job creation because working people are customers and for publicity as companies may want to tell their customers that they support the community. Companies also gave to avoid paying tax as companies that make donations may receive a tax rebate. In some cases they gave to stimulate sales as happier customers means more people buying from the company. Some reported that they gave because they liked the proposal presented to them and that the project proposal submitted met their criteria and interests.

For giving from Foundations or Trusts, the research found that the area that a foundation gives money to is usually described in its Trust Deed. This reflects the desire and interests of the original

donors to the charitable Trust. The institution is usually required to dispose of a certain percentage of its annual revenue from investment. These donations often came from; sympathy or empathy arising out of concern for education for instance and which may have inspired the original owner to set up a Trust. A review of several Trust Deeds revealed that foundation giving is based on a belief; to bring about change-that the money available can make a difference; to match giving to the foundation's interest that is what the founding group wanted to make sure it is supported (human rights). Foundations felt they were compelled to give as directed in their Foundation Constitution and give for a cause they believed in and which they see as being in the national interest to support.

For a foreign government or development agency, the research found that governments in the first world are urged to support the developing world. Often the decision to do so is a political one, as part of foreign policy. Most governments use independent agencies (such as USAID - America or EU -European Union) to manage their grants to community organizations. Giving was often made for recognition - to build a standing among global nations; as part of a bilateral trade agreement to build a relationship; to promote peace and justice and contribute towards building world peace, by supporting the development of poor communities; to build partnerships and to be part of a group of participating countries. Government agencies also reported that they give because it is their foreign policy and a political agenda that takes their home government beyond the borders of their country to improve the economy by investing in the growth of communities as these impacts the future health of the nation.

6.1.3   Setting clear long term Resource Mobilization Targets

It was considered vital for NECs and CSOs to decide on the type of resource mobilization projects to pursue. This included taking decisions in advance on what activities, what resources need to be mobilized, how much would be needed for what project, when, and from which types of sources and providers. Table 13 illustrates the key themes on the types of activities and projects, which attracted the most funding and support for NECs:

Table 13: key themes on the types of activities and projects, which attracted the most funding and support for NECs:

ACTIVITIES	ASSUMPTIONS
1. Participation as partners in the Local Education Group	1. Donors at headquarter level actively support Civil Society to claim this space
2. Education Sector Planning development, endorsement, appraisal process and implementation and monitoring	2. The rules of engagement are defined with CS inputs and allow an equal partnership in the ESP process
3. Annual education joint sector reviews	3. National governments extend formal recognition to NECs
4. Establishment of new district/provincial networks/branches of NECs	4. The current CSEF interventions are sustained
5. Recruitment of CSOs in NEC membership	5. Democratic space allows civil society organizations to freely assemble and associate
6. Building credible NEC and CSOs Boards and governance structure	
7. Support for members annual assembly and meetings	6. Greater transparency in regards to access to key government and donor information on budgets, reports, key sector policy documents and decision making points
8. Education sector Budget analysis and expenditure tracking	
9. Civil Society Education studies, policy-research, and surveys	7. Access to internet and internet connectively for most NECs improves
10. Networking and collaboration	

As seen from the list above, the projects funded were mainly advocacy related. Other types of projects included emergency appeals: that is, a project where money was needed instantly to meet an immediate need. These ranged from relief activities such as the need to repair a school building; capital projects to buy assets for the NEC to do its work. This could also include a building, transport or equipment to cover core costs needed to sustain existing operations, for instance to pay salaries, general running expenses or to fund new projects. New projects were defined, as projects the NEC would like to run if it had the funding. It was also found that NECs run on extremely limited budgets and could fall into deficit, which could threaten their existence.

Before setting up to approach donors or contributors, respondents identified the need to decide on how much funds or resources would need to be raised, by when, and from which types of sources. This was a desirable step for every CSO to avoid seeking resources only when it is discovered funds are running out. The first step identified to achieve this was to develop a statement of funding needs and resource timeline, which included list of programme or activities being implemented at present or to be pursued over the next three-five years. The list also contained the total amounts of funding and resource needs for activities/programs based on a realistic budgets for these activities and a clear expression of resource gaps/funding needs. The purpose of this list was to help determine how much the NEC would need to mobilize and when. Based on this, targets could be set by looking back three years for performance trends and three years ahead for goal setting, to determine how much money/resources the NEC needed to achieve its objectives and how it would achieve it. From interviews, resource Mobilizers needed to determine where the financial resources being sought would come from. This involved matching the funding needs with the names of potential resource providers from the donor map to help guide resource mobilization efforts. For each funding source, respondents identified the need to assess the external environment, the **p**olitical, economic, social & technological trends and competitors. The need to be realistic about any internal analysis on existing fundraising performance was also pointed to be important. This included an analysis of current supporters, frequency of giving and value; their financial position and the organisational strengths and weaknesses, including the amount of funds or in-kind resources that already exist within the organization to carry out the activities listed. Respondents observed that it is advisable to consult finance or accounting colleagues to help with figures.

6.1.4 Undertaking Competitor Analysis

It was found to be important for NECs and CSOs to undertake a competitor analysis to better understand whom their competitors are for the same funding sources. The key issues identified from interviews and which a CSO needed to know were; which organization they are in competition with and for which types of funders. This would help the NEC to understand better how to position itself in the competition and to determine whether its place in the competition was strong, medium or weak. In the process of competitor analysis, respondents identified several questions, which needed to be answered: Are the competitors operating at the same level? Who are the main

competitors? How distinct are they from the CSO? What is the CSO's comparative advantage over them? It was found that the CSO needed to think about the way it competes, the level at which it competes and which organization it could and would compete with. Competition was identified at brand level, product level and budget level. Analysis of the donor funding cycle was identified as a necessary process as every funding type and source has its own time frame, that is, the time a given type or source of funding takes to mature; the level of funds/investment required; the rate of returns from the investment of funds.

6.1.5   Fundraising efficiency

Planning for efficient resource mobilization required the NECs and CSO to display the percentage of present funding sources and the changes it wished to make in the future in relation to its effort and priorities in fundraising. Respondents reported that it wasn't so often that NECs and local CSOs related the importance of income generated to the amount of effort put in, not just in securing it, but also ensuring that it continues.

The issue of being cost effective and trying to aim at a cost ratio between 10% and no more than 25% of the amount raised was an important factor. Ideas to achieve this ratio included the need to gradually reduce investment in areas where Return on Investment (RoI) was declining; increasing investment in programs where the RoI was on the rise and investing heavily in a source with potential to grow or a growing source with potential to grow further. Other ideas included doing more test on sources, which may have potential to grow, including testing one or two programs or sources of donors each year and tacking trends over time to ensure investment is working. While a CSO was found to make its decision on the right approach and strategy mix, attention was not always given to assessing how many sources of new incomes were tested and how many rising stars could be fed to make sure that the NEC or the CSO had at least one cash cow and was doing something to move investment from donors whose support were declining to those whose level of support were on the rise. From an analysis of strategy mix used, the study found that it was important for the CSO to choose what to focus on, evaluating options and matching the strategy and the goals accordingly. Figure 37 below provides a summary of the themes listed as the main criteria and process followed to determine the right strategy mix:

Is the funding source fit for mission of the NECs?

What would the return on investment be?

Does the NEC have capacity to implement the programme?

What is the sacle of the funding?

What is the timescale?

What is the level of risk to the NEC?
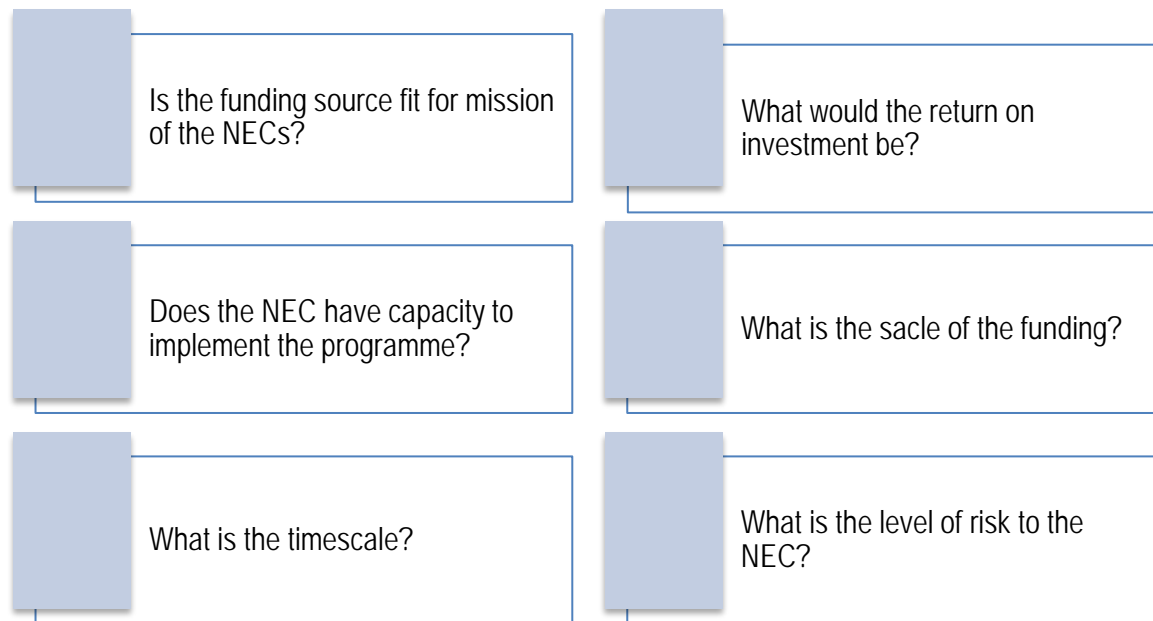
Figure 37: summary of the themes listed as the main criteria and process followed to determine the right strategy mix

Beside the fit for the mission; return on investment; scale of opportunity; timescale and capacity to implement, others identified included risk level; impact on the rest of the organization; costs; sustainability; synergy with other fundraising; cash flow; diversity of sources; level of restriction on use of funds and future growth potential. Once this analysis was done, and based on the choice of strategy and approach, the CSO was able to devise a timeline for a resource mobilization plan, plotting its funding needs according to a time schedule, to show what amounts of funding were required and by when, taking note of how some of the funds were to be classified and expended; for example, some donors would restrict certain funds to be tied to certain activities only. The level of analysis to assess the efficiency of strategies described above was not commonly used by NECs. It was most common among international NGOs, with fully-fledged development departments that were highly specialized and dedicated to the function of fundraising and resource mobilization. As a result, there was no data for this research to assess in specific terms, which of the NECs applied this strategy, with what results and what implications for resource mobilization. This could be an interesting gap for further research in this area.

6.1.6   Developing a case for support

One of the most important tools for resource mobilization was a case statement, a communication tool used to make a good case for support. The case for support was understood as a statement that explains in detail why a donor should give to a certain organization.   It stated clearly the organizations aim, mission and vision, presenting the case for its current programmes while at the same time showing how the new programmes would enrich and benefit the lives of communities. From interviews, respondents observed that a case statement should demonstrate dramatically the organization's impact on the community both in the present and future. Most case statement reviewed included success stories and achievements used to tailor public relations document meant for external communication purposes. Respondents described a case statement as; an expression of the cause, or a clear, compelling statement of all the reasons why anyone should consider making a contribution in support of advancing an NGO's vision to meet a need. All NECs used such statements to compel their supporters to say, "Yes" in response to a call for help. The study found that while the NECs' mission statements set the purpose and direction for the organization, the "case statement" was found to be the document or file of documents that captures the information in which the NECs' objectives and programme needs were presented in a readable and convincing way. The statement was written with donors in mind, drawing out all the information, highlights, forward vision and programmes of the organization that would excite donors and persuade them to invest. The statement also presented a positive but realistic picture of the successes of the organization, recognizing both the strengths and weaknesses, because it is no use promising to undertake work that the organization does not have the skill or people to fulfill.

Most of the case statements assessed covered areas such as progress made in addressing particular areas of needs or problems in the education sector. It showed how existing funding support was already addressing the issues and solving problems that were of concern to the community. It highlighted the distinctive positioning of the organization, the vital importance of its work, and the unique way in which it tackles problems different from other groups working in the community. It invited investment from all, whether prospective donors or not, with a convincing argument as to why the organization is offering a wise investment in the community. The case for support was understood to be an opportunity for the whole organization, board members, staff and volunteers, to agree on what to do to build for the future, based on the organization's potential. The

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case offered a vision of the optimum benefits the organization could provide, and showed how it would go about finding the resources to unlock this potential and turn its vision into reality. The case for support was found to be a powerful internal document and tool, or file of documents, that acted as a resource for information from which external communication documents and literature were produced. It served as a back-up document, where necessary, to other shorter written communication pieces often used for media events, special presentations, and foundation proposals and fundraising. The study found this to be a major working tool for prospect cultivation and solicitation in selected cases.

The elements of information it contained included: mission, long-term goals, next 12-months objectives, programme, projects and services, staffing, governance, facilities, finances, planning, statement of needs, evaluation methods, and history. The analysis of the samples showed that the case statement covered five key elements in general: (a) what is the need? From interviews, it was pointed out that it was important to make this need manageable and quantifiable so that potential donors feel they can make a difference. For example, one of the needs was to train 2000 children in a year to achieve basic reading and writing skills. (b) Where is the evidence that this is a pressing need? Most case statements included results of surveys, or statements of people in authority to emphasize why it was important to address this need. (c) Why and how the organization is uniquely qualified to address this need? The statements demonstrated to the potential donor/contributor what was special about the NEC or its approach. In other words, why should anyone fund the organization and not others? (d) What are the benefits of the action? The statements reviewed quantified tangible results of the cause, and possible other benefits. For example, 2,000 women who have gained literacy skills would be able to find employment more easily. In turn, their employment would bring about increased household income and improved livelihoods. Children would also benefit from mothers who have basic literacy skills; (e) what are the negative impacts if you fail to address the need? The study found that sometimes this provided the strongest motivation for the potential donor/contributor, to see the negative impacts if the organization does not take action.

The case statements were consistently articulated in all the communications material, for staff to be able to verbalize it when they met with potential donors/contributors. To be effective, the study found that the case must be realistic and inspiring, create enthusiasm, emphasize what the

proposed fundraising would accomplish and prove the argument that the donor needs to give so that the programme could be achieved. Respondents also noted that the statement should reflect the interests and concerns of potential supporters and answer the initial questions that any potential supporters might ask. In general, the case for support was an effective internal document that built confidence, motivated and bound not just the staff but also the Board. It defined direction and gave clarity to the organization thereby creating new opportunities. It also conveyed a case for support for every opportunity that occurred.

6.1.7 Matching funding gaps with income sources

With a case statement and a donor map in place, the study found that the funding gaps identified have to be matched with identified funding sources. While seeking to match funding gaps with income sources, respondents noted that it was important to consider a variety of sources to minimize the risk of dependence on one or two major donors, a problem identified by respondents as one of the major challenges faced by CSOs. A funding opportunity table was identified as a tool that could be used to solidify the decision on which donor to approach after an analysis of the pros and cons of each funding source. Once strategic thinking about how to diversify income sources occurred, the next stage for NECs was to start thinking about developing relationships with potential donors identified through the Gap Analysis. Building relationship with donors was one of the most critical components to successful resource mobilization and fundraising. A number of factors were identified to explain how NECs undertook donor relationship building. In most cases, this was best done through personal contacts and networks, using board members and other individuals with access to donors to cultivate the initial relationship. It was reported that when CSOs were represented or associated with people who are trusted, it was much easier to build an initial relationship with a potential donor or strengthen existing ones.

The general perception of respondents was that donors look for a number of things in a funding relationship. It was a common perception among respondents that advocating for a good cause is never enough to attract funding.

"In rallying for support, the nurturing of personal and community relationships is often as critical as the cause itself. Good standing in communities must be based on legitimacy,

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transparency, and accountability of the CSO for it to be used as an asset to build critical relationships and attract funders to the organization" (From personal interviews with staff of the NEC).

On legitimacy, it was revealed that NECs and CSO seeking to mobilize resources must be legally recognized as a credible social actor to be considered legitimate. The four study countries had different requirements for recognizing the legal existence of CSOs. But however diverse these requirements were, each state still exercised a degree of control over the incorporation of non-profit organizations in the country. Only CSOs that had been established according to their country's civil laws and traditions were considered to be legitimate and could seek external funding. Such organizations were more likely to gain donor support because they had achieved some level of compliance with government standards.

Transparency refers to "open communication with internal and external stakeholders regarding an organization's financial and management health" (Brenda, from personal interviews).

Other than legitimacy, transparency was considered a key factor for successful resource mobilization. Transparency was used to mean ability by the CSO to fully disclose information about their programs, activities, and even financial transactions and investments to stakeholders and anyone who wishes to know more about the organization. It was noted during interviews that transparency was a criterion that was highly regarded by prospective donors and partners, as it assures them of an organization's trustworthiness and commitment to its constituents.

Accountability was the other element that donors were reported to care much about. This was used to refer to an organization's ability to stand up for its mission, and to be guided by sound management and financial principles. According to interview findings, an accountable organization was one that responsibly serviced its community, properly managed its resources, and was able to report back to donors regarding the use of donated funds. Such organizations were also likely to gain public support, as donors expect to be updated on how their funds have been used by their beneficiary organizations. Moreover, it was noted it was not uncommon for donors to request visits to project sites to be sure that their monies were being used in the best way possible. The

conclusion was that in building a base of donors, the focus should be less on resource mobilization but more on accountability and transparency as funds or resources come as a by-product of the relationship.

6.1.8   Communicating with prospective donors/contributors

Resource mobilization was a process in which a NEC actively sought and engaged with funders. As already noted, the first step in this process was to establish a productive relationship with the potential donor. It was only after a relationship had been initiated that support was requested- money, expertise, services or in-kind contributions. From interview findings, meeting a prospective funder face-face was a major step forward in establishing this relationship. Respondents revealed that contacting a prospective funder to ask for an appointment was the first thing they would do if potential for funding was identified. Once invited by a prospective funder to meet face-to-face, the next step was to prepare adequately for the meeting to maximize the opportunity and gain positive results from it.

The research identified a number of factors that made engagement with prospects meaningful and successful. Before the meeting respondents would carry out research on the name, position and area of responsibility of the person/team to be met. The majority of respondents would carry along to the meeting relevant supporting materials that were directly relevant to the meeting- business card; an extra copy of latest correspondence, proposal document. Respondents would also determine whom the spokesperson, to lead the conversation without being interrupted or contradicted would be. They would practice the case statement; the purpose of the visit and build rapport early on by mentioning any previous meetings or links to the donor organization. One of the key points mentioned was the importance to propose clearly how the funder's organization could contribute to their cause; listen actively to the donor even though he or she would not share the same passion or interest in the subject. When the meeting was about to close, most respondents would walk the funder quickly through the material they had brought, pointing out any highlights, so that s/he would at least have some familiarity with it and be more inclined to look through it afterwards. At the close of the meeting, if the donor did not mention next steps, respondents would summarize what was discussed and the follow-up action required. If the funder offered

refreshments, they would gladly accept it as this might indicate he or she had interest to carry on a social conversation to build a relationship in the future.

The research found that respondents would after the meeting, send an email by the next day, thanking the funder and mentioning any follow up action discussed. In a few moments, they would make further follow up at an appropriate time based on the follow up action agreed upon. It was recommended to not immediately put the donor onto emailing list to bombard him or her with e-newsletters; but to send a personal note first with an e-newsletter, linking any information in it to the area of discussions or proposal if applicable. The reason was that one should not assume that the funder would have the same level of interest in the work. If there was no link or area of interest, the funder might just treat the e-newsletter as spam and discard all future mailings. Worst still, it might cause him or her to form a poor impression of the organization.

6.1.9   Project proposal writing for prospective donors/contributors

"In most cases a funder would ask for a proposal that outlines the needs of our organization's and project ideas" (Martin, from personal interviews).

Therefore, writing good proposals was identified as vital to accessing funding. Once proposals have been written, with clear objectives and budget needs, a CSO is ready to make contact with funders from the list of well-researched prospective funders. For the selected funder, respondents would establish name of contact person, department name, postal and physical address and then make contact with the representative by telephone to try to arrange a meeting. Irrespective of the nature of response, respondents would if at all possible, try to set up an information gathering meeting of not more than 20 minutes, at the prospect's office, to probe for the representative's personal interests and the interest of the funder, while sharing a short outline/concept of the project and the work of the organization. The individual and/or funder in the project often did this to establish if there were any linkages or vested interests. It was also done to establish their interests in the work of the organization as a whole and what they were and weren't prepared to fund. It was also done to establish approximately how much money was available, what particular information was required in the written proposal, how funding commitment could be made - in terms of the method of funding and the timing of the process from submission of the proposal to approval.

A detailed project proposal was one of the good practices identified, in case that the funder asks for a document on the spot. In any case, one can leave behind a short summary for them to look at. In terms of the next steps, respondents would seek to, submit a written proposal styled according to the information obtained from the initial contact; rewriting some parts of the proposal to highlight the areas of most interest to this donor. For example,

"submitting a proposal to a foundation that has a special interest in gender issues requires one to include more details about how the planned project would benefit women" (Joseph, from personal interviews).

Once a proposal was submitted, respondents would make necessary follow-up either by letter, if the initial enquiry was done by letter or by meeting or telephone contact respectively until a decision was made.

6.1.10 Donor Round table

One of the most effective ways of tapping international donors was to participate in donor roundtables organized for NGOs at country or international level. In this fora NECs and other CSO would listen to donors speak about their own funding interests and interact with them personally. Respondents observed the need to be prepared ahead of a donor round table to present the cause clearly. Other than donor round tables, relatively smaller funding were noted to be available out of the development counselor's budgets in the respective Embassies. These are usually easier to tap for straightforward funding such as training courses, conferences or seminars.

The research found examples where the Internet was increasingly of interest to fundraisers as a means of reaching new audiences and potentially, new donors. Experts in this area advise that significant up-front investment was required including creating a web site that had content describing the issues the organization sought to address and its strategies for change. The challenge which respondents identified with regard to the use of the Internet was on maintaining the website. Maintaining a web site was required in order to remain up to date and to keep visitors informed of progress. Internet fundraising advocates interviewed suggested that while economic

results were not immediate, web sites could help educate and cultivate potential donors over time. While many CSOs continue to receive support from external funders, a CSO's future ultimately depends on the value the local community places on its work.

6.1.11   Building relationship with prospective donors/contributors

An effective fundraising,

"entails building relations; communicating the need and making the case larger than the institution. It also involved showing how the organization has already contributed towards building an achievable and worthwhile future for all and connecting people to give to people to help create a better world" (Janet, from personal interviews).

By illustrating the impact of its work, an organization must impress on the donor how his or her money was helping to make a difference. It was identified that an organization's best prospects are its existing donors. This demonstrates the power of peer group pressure. It means that an organization could bank on an existing donor to introduce itself to other donors as the donor could help to talk about his or her own contribution towards the cause. According to respondents, this was the best measure of credibility for the organization. All the effort to find a donor and persuade them to give would only bear fruit if they gave over a period of time and increased their level over time.

Effective resource mobilization means getting donors involved with and committed to the work of the organization. It involves clearly asking for exactly what is needed, after considering the donors' ability and willingness to give. As the findings show, the general rule was that the more personal the approach the more effective. Asking face to face, making a presentation, writing a letter and sending a circular would have a larger impact on donors. It was about 'selling' an idea, that the donor could make a difference. As demonstrated in the research, the success of a resource mobilization programme depends upon the ability to get people to do something to help provide a solution to an existing problem. The more creative and innovative the approach was, the more likely was the possibility to attract donors.

Based on the foregoing analysis, it takes a lot of effort to acquire, cultivate and nurture donor relations. Understanding the potential to give requires an understanding of the life cycle, which determines a donor's ability to give. A younger person with the responsibilities of a family would have less disposable income than a slightly senior person with fewer responsibilities. A company in the midst of expansion would have less disposable income for philanthropic giving than an established company at its peak. Similarly the organizations a person supports and the quantum of support was also identified by his or her life style. Based on this, there were two main strategies identified to build a successful resource mobilization programme: Acquisition strategies, which aim to bring in first-time donors/contributors by raising awareness about the organization and its cause and nurturing or cultivating strategies, which aim to maintain or upgrade existing donors/contributors to the next level. From interviews, acquisition strategies could include direct mailing of brochures or materials to potential funders, inviting them to attend events, or simply going to see them. These were generally people with whom there had been little or no contact, but identified as potentially interested parties. Also in this category were clients who came to avail themselves to the organization's services and contributed to its income. At the same, they would also include first time volunteers or supporters.

The strategies used to maintain or upgrade existing donors to the next level were referred to as nurturing or cultivating strategies. From interviews, it was noted that the goal of a fund raising strategy was to move donors up to higher levels of giving. From interviews, most organizations were reported to start donor engagement from a random enquirer at the organization to becoming a committed donor and then to one so believing in the cause and work that they provided for the organization even after death. The study found that the art of fundraising was to motivate donors so they move up through the levels of commitment and investment. This technique was called donor cultivation and became increasingly targeted and personal as the donor moved up the pyramid.

In order to upgrade existing donors to the next level, or to increase their level of contribution, NECs were able to engage through partnerships, or exploring new ways to secure their long-term interest in contributing to the cause. The key to success was revealed as finding out what donors look for in the relationship and what the NEC could offer to satisfy their needs. Some of the key activities identified for this strategy included participation in grants competitions, visiting donors or inviting them to the organization or events and keeping them informed of progress through online and print media.

6.2 SYSTEMS FOR SUCCESSFUL RESOURCE MOBILIZATION

The two main systems used to support successful resource mobilization programmes were identified and described under two main themes:

Theme 1: Administrative system

Theme 2: The monitoring and evaluation system
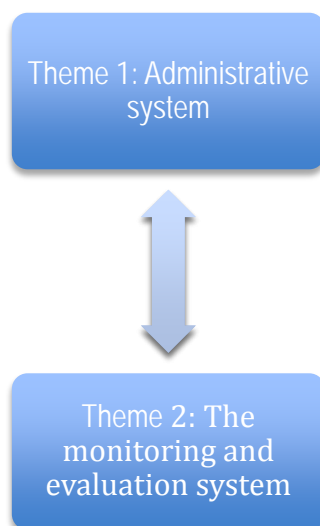
6.2.1 Administrative Systems

"No resource mobilization or fundraising programme would achieve its full potential unless adequate support services are developed and put in place to handle administration, keep control of expenditure and income and establish accurate records for transparency and accountability". (Sive, from personal interviews).

The main components of an effective administrative system for a successful resource mobilization programme were identified to include; master record cards or master records on computer. The master record was used to store vital information on: prospects and donors' names (addresses and other personal details), and how their names were obtained; history of donor giving - what they gave and what they gave for (and information on the solicitation progress). Other information identified included donor codes and identification codes for individuals, corporations, foundations, trusts, institutions etc; pledge cards. In the case of a capital campaign-master lists for major donors or capital campaigns, showing which prospects have been assigned to which solicitors; master file on all volunteers associated with the fundraising programme; a fundraising plan-of-action, calendar

and timetable for the year or for each campaign; progress reports including weekly or monthly depending on the intensity of the programme and an adequate stock of printed and visual materials, such as letterheads, envelopes, leaflets and videos.

No resource mobilization or fundraising programme could achieve its potential unless adequate support services were developed and put in place to handle administration, keep control of expenditure and income and establish accurate records. The list of physical requirements identified to back any fundraising programme included space and equipment-sufficient office space, furniture and storage for staff; working room for volunteers and committee meeting, and training sessions; telephone and a fax service; photocopier; word processor and data capturing equipment, and software-manual or computerized depending on the size of the programme.

Interviews with respondents revealed the need for a sound system that would assure donors of the quality of stewardship of the fund and resources to be generated. For a resource mobilization programme that uses Mail Strategy, respondents preferred that staff be available full time to prepare mails for daily batching and banking. An adequate accounting system should be in place to record the gift against the designated fund, updating the donor records, and issuing a receipt promptly. It was always noted that a thank-you letter should accompany receipts. Monthly income and expenditure reports must be prepared accurately and in a timely manner, to help fundraising staff keeps track of progress in income and cost. Most NGOs reportedly used auditors to draw up their annual accounts and to provide guidelines as to how the organization should handle its donations and financial records.

The need for a team was identified as crucial in any successful resource mobilization efforts. The resource mobilization team was often identified to compose of the Executive Director, Resource Mobilization Director or Officer and the Resource Mobilization Committee at the Board level. The Executive Director was seen as the team leader, as the team effort requires a captain who directs and encourages all team members to do their part. Although everyone in an organization should participate in the resource mobilization process to some degree, it was inevitable for the Executive Director of the organization to uphold certain responsibilities, to make the system operational and implement policies, recommendations and mandates formulated at the board level. Most often, the Executive Director was the external face of the organization, and the lead person in representing

the NECs in meetings with major donors and funding agencies or individuals. The organization's Resource Mobilization Officer ideally led the resource mobilization or development team. Having this position in the organizational chart was seen as an indication that the organization was committed to institutionalizing its resource mobilization functions. The tasks of the resource mobilization team were identified to include: planning for resource mobilization; managing the resource mobilization process; reviewing donors' histories; reflecting ideas and vision of the board members; assisting in major gift solicitation; leading staff and volunteers; serving as contacts; suggesting prospects and developing strategies.

From the interviews, the resource mobilization team could be composed of staff dedicated to resource mobilization functions, or could be made up of special ad-hoc committee members composed of members of the organization, volunteers, and other involved persons. The team's duties could or couldn't include doing the actual asking, but provided technical support. The team was primarily responsible for tasks such as managing a direct mail campaign, sending donor recognition materials, preparing presentation kits to be used by board members when meeting with prospective donors, and other tasks that lay the groundwork for donor communication. The development team oversaw the donor management process, moving in tandem with the Executive Director, the board, and other staff not directly involved in raising funds. The study also found that volunteers could be excellent ambassadors of the organization's mission and values. They lent credibility to the organization and were more likely to "raise friends" for the organization out of sheer faith and passion for the cause. Volunteers also provided much needed help to augment overworked staff and came at little or no expense to the organization, but were a priceless addition to its human resources.

The study found that resource mobilization also required a Resource Mobilization Programme as part of the overall strategy. The key elements of such a programme identified include a system for tracking costs. This entailed a process of properly recording all expenses as they are incurred, and not just at the conclusion of a resource mobilization campaign. Thus at any given time, the organization could be alerted if it was overspending on a particular campaign; receiving contributions, having official receipts available, making arrangements with banks for efficient processing of deposit slips and recording contributions. At any given time, updated, accurate and

timely reports could be generated. It was noted some NECs had a standard operating procedure for sending a card or letter, and an official receipt to a donor within 7-14 working days.

A donor database was identified as an important part of the system needed for effective resource mobilization. Respondents referred to a database as a collection of data that supports the requirements and requests for information of a specific group of users. A donor database is a collection of names, addresses, contact information, giving history, contact history, and possibly other personal information relating to a donor. It tells one how the donor was acquired, their average gift size, frequency of giving, and total gifts. A well-managed donor database was not merely a mailing list of names and contact information for direct mail campaign or special events participants. Depending on the organization's needs, a donor database could be designed to help meet, in a strategic manner, the resource mobilization goals. It was used as a cost-effective and accountable marketing tool, with the ability to target prospects. It equipped the NEC in sending the right message to the right person at the right time, helped identify donors ready to move up the Resource Mobilization Pyramid, or prospective donors or volunteers ready to be converted to actual donors. It also helped retain donors by nurturing relationships based on relevant information that was available.

The level of sophistication required from a donor database system depended on information needs of the organization. For instance, if there were 6 donors, the amount of work to update the list would not require high-level software applications. A simple Excel or spreadsheet format would do. Other factors considered were levels of security for those given permission to access the database, and current hardware and software set up. As the NEC sought to build or upgrade its database, it needed to determine how its system would function. For example define the primary use of the database in supporting mailing requirements, track and update information beyond addresses and phone numbers or separate the donor database from other institutional databases, such as those set up for members, volunteers or suppliers. It also needed to decide on who would be allowed access to the database. Consideration was to be made according to interviews when starting a donor database including a review of resource requirements for instance whether there was enough knowledge to create a system in-house, train staff to maintain and trouble-shoot, or hire a consultant; upgrade computer systems, among others.

In the design of the system, a decision would be made on what each record would contain, what fields or the kind of source data being handled and how data would be searched – last names, organizations, birthdays etc. Once designed, the database would be tested- trial runs to ensure its functionality- sorting and grouping data according to specific information, for example, all male donors that have donated $500 or more at least once. It was reported that a donor database would require appropriate hardware (computer, memory, printer), software (donor management software), data (information about donors), staff (who encode the information), and processes (rules and procedures followed so that entries are recorded accordingly). The rationale behind database management was to understand and respond to the explicit and implicit needs of the organization's donors and broad constituents. It was an intensive and deliberate process of collecting, organizing and using the information to reach the vision. There were no shortcuts.

CSOs also developed a resource mobilization policy. From the interviews, an organization embarking on instituting resource mobilization programs first discussed and decided on resource mobilization policies and restrictions at the board level. The elements of the policy as identified included a definition of the organization and its partners and those who the organization would not partner with. A decision was also made regarding what would be done on receiving financial or in-kind contribution; what the funds raised would be used for; how the organization would acknowledge its stakeholders and whose responsibility it was to formulate the organization's resource mobilization policy.

A key aspect of a resource mobilization strategy of CSOs was stewardship and what it entailed in the fundraising process. At this stage, CSO respondents were primarily concerned with stewardship of the donation and stewardship of an organization's relationship with a donor. According to interview results, stewardship began after successful solicitation of funds and implementation of proposed activities began. A critical component of good stewardship identified included successful management of funding provided, achievement of intended purpose of proposed activities, and timely reporting. If these critical components were not adhered to, development of a strong relationship with a donor and opportunities for future funding was compromised. From the interviews, there were a few simple things that an organization could do to improve its relationship with the donor and show responsibility and integrity with funding like prompt, personalized acknowledgment of contributions; confirmation that an organization had put

donor contributions to work as intended and ensuring measurable results on the outputs and outcomes of the contribution. If things did not go according to plan, donors would expect the organization to be honest about it and immediately communicate any obstacles or challenges encountered. From the interviews, donors were, in most cases, willing to help find a solution to problems; hence it was important to be as transparent and honest with donors as they always spoke to each other and often ask for references before funding an organization. Therefore, transparency and accountability was found to be the cornerstone of stewardship of funding.

6.2.2   The Monitoring and Evaluation System for Resource Mobilization Programme

The final step in resource mobilization and the fundraising cycle was often an evaluation of the strategy used. At this stage an organization,

"primarily asks itself questions about what was successful and why" (Joseph, from personal interviews).

According to interviews, if an organization was securing less funds than anticipated, several questions needed to be asked; the list of questions identified included; what strategies had not been tried? What else could be done? Were the implemented strategies creative and unique enough? What improvements could be made in the future? By being critical and assessing all implemented fundraising activities; an organization would learn how to improve the process in the future. This information should then be incorporated into the fundraising strategy for the next financial year. As with any kind of evaluation it was recommended to have an external expert review the implemented fundraising strategy to identify the strengths and areas for future improvement. This would allow for objectivity and ensure development of a new fundraising strategy based on critical analysis.

When planning a resource mobilization strategy, respondent's recommended the use of different methods, such as grant proposal writing, special events or product sales, as these have different capacities to provide a number of donors and income streams. Some vehicles or methods brought in large amounts of money from only a handful of people (major gifts), while other acquisition

techniques such as concerts or direct mail campaigns brought in less money, but more first time donors. It was important to keep this in mind when determining whether a particular strategy was successful or not. The success of a resource mobilization strategy was measured against the goal that was set out in the beginning, relative to a particular resource mobilization vehicle. The goals were not just financial, though for many CSOs, success in resource mobilization was measured in very broad sweeps, often answering only one question, "Do we have enough money to survive?" Indeed, for CSOs struggling to meet monthly cash requirements, that question was likely to be the only one they would care to answer, and understandably so. Short-term financial uncertainty did tend to eclipse other concerns.

This research found that it was crucial to get the evaluation questions right from the beginning. Raising funds was not just about raising funds. Other questions needed to be asked to measure the full financial performance of the programme: How much did it take to raise that amount? How much did it take to acquire donors and volunteers? Was the amount enough to cover the costs involved? What was the average donation per donor? Did the programme stay within budget? From interviews, financial measurements would indicate how much money was actually raised as income (gross revenues less expenses), and whether there was any profit at all (gross revenues over expenses, or Return on Investment). It also helped to know how well the budget was managed (analyzing the variance between budgeted and actual expenses, planned and unplanned activities); the amount donors could be expected to contribute to the project (average gift, which is the total number of gifts received over the total number of donors).

Other non-financial questions that needed to be answered included: How many new donors or volunteers were acquired; is the NEC or CSO acquiring many donors who just give once and never come back, or is it being successful at getting repeat donors? How many donors is the NEC losing per year? From the time a proposal was submitted to a grantor to the time a response is received, how long did it take? Such questions were used to measure performance in building the stakeholder base. Other areas that the monitoring and evaluation system focused on included: number of volunteers recruited (joining rate); number of donors acquired over number of solicitations (response rate); upgrade from volunteer to donor, or from one-time donor to repeat donor (conversion rate); percentage of donors who did not renew gifts per year (attrition rate) and lag from proposal submission to donor response (turn around or response time).

Controlling fund raising and resource mobilization effectively required two pieces of information: First a realistic plan and sticking to it, and knowing that costs were being incurred as budgeted and that predictions were made right (or as close to reality as possible and realistic). Annual budgets were broken down into monthly budgets/quarterly (for smaller organizations). Respondents were keen to note that the organization needed to keep an eye on Return on Investment (ROI), which allowed it find out whether a specific resource mobilization campaign made or lost money. A positive ROI meant resource mobilization budget had been invested well. A negative ROI meant overspending; acquisition cost, which helps the organization use its resources efficiently. A Response Rate, provided feedback on the quality of database as well as campaign materials and skills. The Average Donation provided the mean figure at which current donors were willing to support the work, giving a starting point to draw up a realistic gift chart and provided an indication of if the current giving level of active donors would be able to sustain needs. The Attrition Rate used gave an idea of the number of new donors acquired per year to compensate for losses. Fund Raising Ratio was the ratio between the income raised and the cost of raising it. The Net income raised was the actual amount raised after all costs in fundraising – this is what was left to spend. Recruitment cost was the cost of recruiting a new supporter and this was compared with the expected stream of income from the donor whilst they continued to support the organization.

The fundraising ratio was the most important measure. Costs, which were taken into account, included any direct expenditure on fundraising, but also the cost of organizing time, management time and overheads. This was thought to give the best indication of the costs needed to raise a given amount of money. The higher the ratio, the better was the method. The study found that many organizations used a guide ratio of 5:1. This meant that 20% was the cost of fundraising and 80% made available for the project/program. Respondents noted that it was not always possible to achieve this ratio with new initiatives. Also simply concentrating on achieving a high ratio might produce very little income. The alternative approach was to use the net income measure. This was defined as the actual amount raised from the fundraising initiative. In general, the study found that a fundraising plan should contain milestones. How these milestones, or performance indicators, are measured and verified was important. It is therefore important to think about measure for response to a direct mail appeal – response rate, total income, or the ratio of cost to income.

The study identified benefits to monitoring resource mobilization: current performance data obtained from monitoring efforts were being used to alert the organization to problem areas such as overspending. The information was then used to decide how to adjust or modify strategies. Such information from the monitoring system also helped demonstrate the organization's commitment to accountability, continuous learning and flexibility and contributed to improvement in results.

A number of steps were identified to develop a Monitoring and Evaluation system for resource mobilization programme. As a first step, qualitative and quantitative indicators were identified as measures to show the extent to which the organization was achieving its goals. Both short-term and long-term indicators as well as process and results indicators were used. The indicators selected were relevant to the goals set. The timing depended largely on the indicator set, and the result or process. For example, setting realistic expectations on responses to direct mail packs. The NECs factored in the efficiency of the local postal system which determined how this would be monitored and who was to do it as well as the sources of information tools and methods to obtain the information.

Considering the interviews, the question of who put together the monitoring report and the framework used was vital. Communicating the benefits to users was critical. The study found that many respondents found it a challenge to both implement and monitor a resource mobilization programme as it entails additional work but it was often worth it because the learning from monitoring information was invaluable for future projects. It was usually unnecessary to reinvent the wheel, the idea to use staff meetings or other already existing processes to report on progress.

The study identified principles that guide monitoring and evaluation of resource mobilization programmes.

"In resource mobilization, everything can go wrong unless it is planned for" (Matildah, from personal interviews).

By identifying the critical factors and the performance indicators at the planning stage, monitoring was made to be fairly straightforward. Fund raising targets and objectives could be assessed against actual performance. Periodic review of actual performance against plan became possible.

This enabled NECs to make appropriate adjustments to their fundraising plans. Targets could be revised – up or down – and resources moved into activities with the best performance. More investment could be directed into activities showing potential, and/or rethinking activities showing poor performance. It was considered best practice that reviews were undertaken at a minimum of every three months. At the end of the fundraising cycle, usually an annual process, the fundraising strategy would be evaluated. Evaluation had two purposes: for accountability and for learning and improvement. Evaluating for accountability focused on efficiency – the rate and cost at which fundraising activities resulted in income; effectiveness – performance in relation to targets as set in the original plan. Evaluating for learning and improvement focused on developing staff – identifying training needs; learning from legitimate error – lessons from unexpected circumstances as a source of knowledge for the future and reframing strategy - open learning through an exploration of different viewpoints, including stakeholders (donors). Evaluating the organizational strategy was run in parallel with the fundraising evaluation. This was used to highlight where the NEC or the NGO was succeeding or failing to deliver its stated goals and objectives, the lessons learned and actions for improvement.

Conclusion

The key to successful resource mobilization is to be strategic. This means being aware of the challenges and possibilities in the funding climate, and being ready to take advantage of opportunities. Lack of strategy for resource mobilization was a key organisational factor identified for many NECs. The research found NECs to be too dependent on international funding and focusing too little on local fundraising and resource mobilization. It identified the need for a resource mobilization strategy aim to localize fundraising. To achieve this, the research recommends for NECs to put in place resource mobilization strategies and plans that are integrated and aligned with their strategic plan and the communication strategy. This alignment would ensure that everyone involved is clear about the vision, mission and goals for resource mobilization by the NEC.

Chapter Seven

A Model For Sustainable Resource Mobilization (MSRM)

7.0   INTRODUCTION AND RATIONALE

In the 2000 Dakar Framework for Action, governments pledged to "ensure the engagement and participation of civil society in the formulation, implementation and monitoring of strategies for educational development. A sustainable funding model can facilitate CSOs to fulfil this role in ways that promote good governance and strengthens the consensus building process around education sector plans in developing countries. The rationale for this model is therefore in line with 2 of the 5 development objectives of the Global Partnership for Education (GPE) to: *(a) "Strengthen capacity of country level entities to develop, implement and/or monitor sustainable national education sector programmes" (b) "Strengthen South-South networks and partnerships"* in education using broad based participatory and consultative processes.

The GPE already supports national education coalitions (NECs) in over 50 GPE partner countries across Asia, Africa and Latin America. These broad-based alliances of civil society coalitions have played a crucial role in the last education decade to monitor progress of governments in the implementation of education sector plans, tracking budgets and promoting transparency and accountability in government spending on education. The model would build on what has already been achieved, to facilitate existing government efforts to widen the range of civil society stakeholder's engagement in development. It would promote a stronger, more active, effective and accountable civil society. The model would mobilize and promote support for education at the regional, national and local levels, contributing to improved access to education especially for the most vulnerable and marginalized including women, children, people with disabilities, ethnic minorities and refugees. Above all, it would strengthen participation of civil society in national and international development, promoting transparency, accountability and responsiveness of governments to the poor and extending donor outreach and complementarity with government and development assistance for education. It would strengthen the effectiveness of development partnership in general.

Although the responsibility of guaranteeing education for all belongs to government, the government cannot hold itself accountable for unmet promises to deliver Education since the 1948 (The Declaration of Human Rights). Second, a government can only prioritise education sustainably if there is public support and wider national consensus on the importance of investing in education. It is in this area that CSOs play a crucial role, in making the case for education and in monitoring implementation policies and accountability of practice at the local level. To maintain this focus, governments and development partners have the opportunity to collaborate to develop a joint model of financial support for CSOs, incorporated in the good practice established from existing models and drawing on lessons learnt from the experience of CSOs in the last decade. Support to civil society is critical to the sustainability of government investments across all Development Objectives. What is needed is more commitment to the importance of a strong and vibrant civil society. In many countries in the world, governments already support non‑ government and community organizations. More recently, governments committed to reforming the aid architecture to make it more effective; this includes ensuring that CSOs are meaningfully involved and are key players at global and at partner country level through local education groups.

In this chapter, the research responded to three research questions (1) what would a sustainable resource mobilization model for civil society entail? (2) What risks would a sustainable resource mobilization model for civil society face? (3) What operational capacity would be required to implement a sustainable resource mobilization model? There are two basic parts of the proposed model (a) the system (b) the strategy. While, the system is comprised of the governance and management structures of the model, the strategy entails how resources would be mobilized for the model to achieve its full potential. These elements are represented in figure 38 below:

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                        ┌──────────────────────┐
                        │ The Governing Body   │
                        │      (Board)         │
                        └──────────┬───────────┘
                 ┌─────────────────┴─────────────────┐
        ┌────────────────┐                 ┌──────────────────────┐
        │  Secretariat   │                 │ Financeial Management│
        │                │                 │        Agency        │
        └────────┬───────┘                 └──────────────────────┘
        ┌────────────────┐
        │ National Coalitions and │
        │       CSOs       │
        └──────────────────┘
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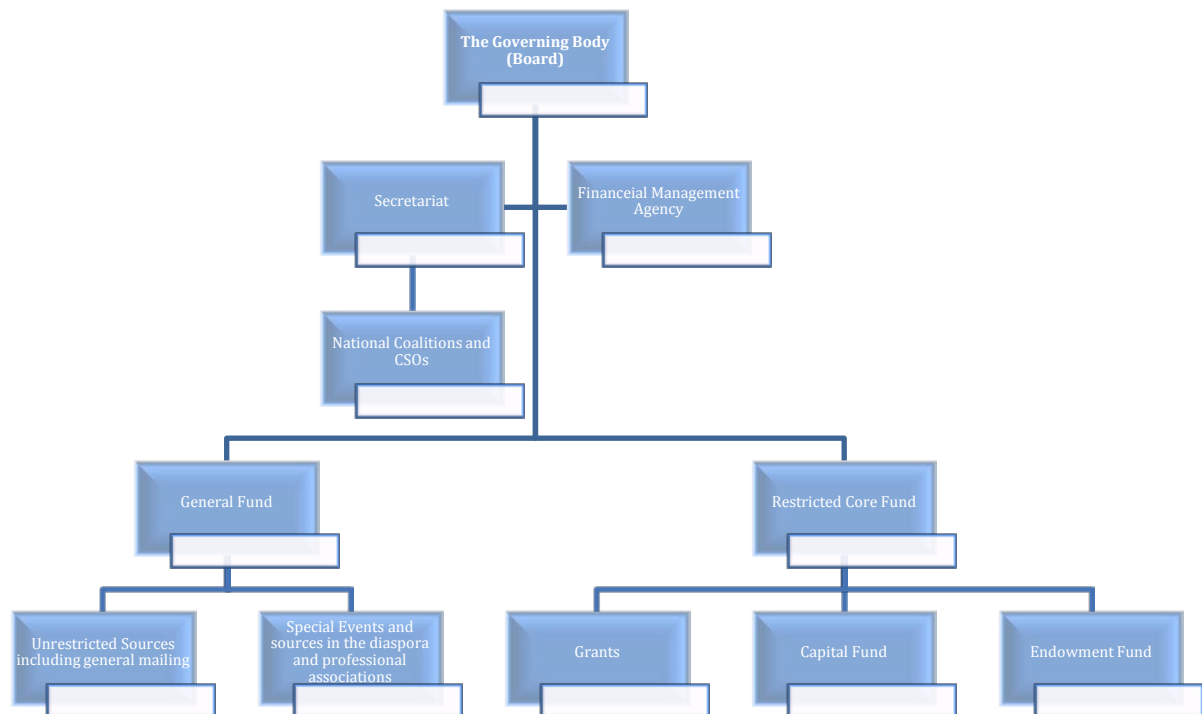Figure 38: Model for Sustainable Resource Mobilization

The purpose of the proposed model is to strengthen the civil society role in education development.

7.1   STRATEGY AND SYSTEM FOR THE PROPOSED SUSTAINABLE RESOURCE MOBILIZATION MODEL

The strategy of the proposed model is based on the Pareto Principle and is illustrated below using the concept of the donor pyramid embedded within this Principle.
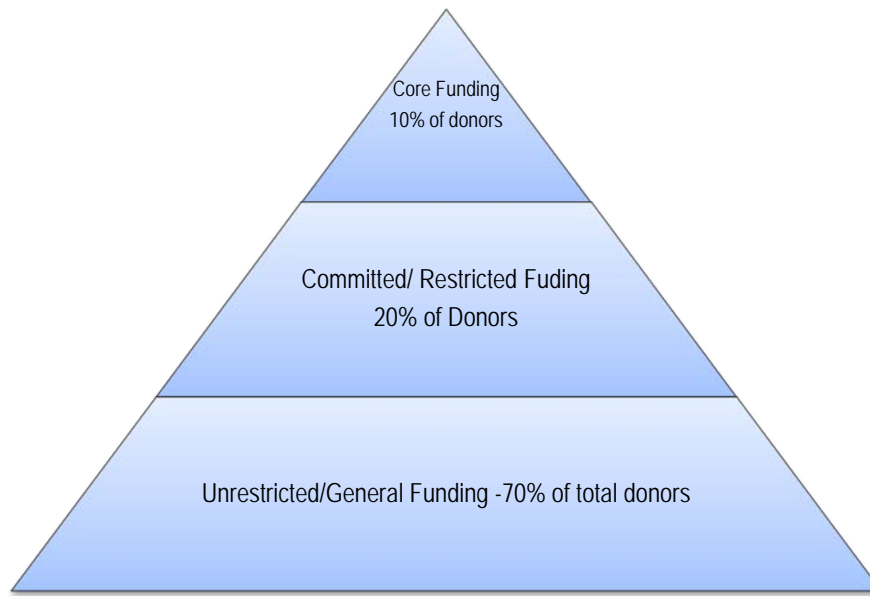
Figure 39: The donor Pyramid

As shown in figure 39, the proposed model assumes that 80% of the total funding would be "core funding", generated from 20% of contributors/donors. This is represented by the middle and the apex sections of the pyramid. At the base of the pyramid is the unrestricted/general fund. The unrestricted/general fund would constitute approximately 20% of the total funding. Unrestricted or general fund would be a type of funding or resources set-aside for local CSOs who are not able to generate resources to meet the basic cost of operations, for which funding is not usually readily available.

The majority of the funding (restricted core fund) would be a type of funding made available as grants, capital funds and endowment resources to build capacity of NECs and CSOs to mobilize their own resources, build their own independent funding base, grants, capital resources and endowment funds for the future.

For the proposed model to work effectively the majority of the funding would have to come from committed and core funding at levels 2 and 3 of the pyramid. This section of the funding must be raised from a few numbers of supporters. These supporters must be significantly committed and involved in the programme to contribute the most to the model, that is, take responsibility to contribute about 80% of the funding, to make the model predictable and sustainable. Predictability

of this funding model would only come with longer-term commitment, ownership and planning supported initially by the commitment of individuals, foundations and governments, willing to put money in a pool that can be circulated to build capacity for locally for CSOs to sustain their operations.

The model is also proposed on the assumption that for it to work, it must utilize different methods and funding sources to build a broad funding base and curtail reliance on dominant funding sources and foreign donor influence. That is, it must strike a right balance between localization and internationalization of its funding sources. From the lessons and experiences of NECs, sustainable planning for the model would require the development of methods of raising income for today's needs to support running cost (general mailing), overheads or administration referred in this model as grants. Secondly, there is need to raise money and income for tomorrow's projects or equipment needed for the CSOs (Capital campaign) and finally, the need for raising money and income for the financial security of CSOs (endowment core funding) to provide reliable income streams in future years. By planning for civil society funding in this way and along three different levels in the pyramid, CSOs could develop a balanced and sustained approach to securing income, raising income for today, tomorrow and the future. This would be achieved by utilizing methods that focus adequately on generating regular income by targeting individuals who are employed, or drawing a pension or benefit, as well as by developing long term partnerships with businesses that have monthly turnover, but might not have developed a culture of giving any money away even if they were making a profit; and governments, working together with CSOs to find ways of tapping into these resources to meet current and future CSOs funding needs.

A balanced and sustained approach to securing income would also mean using methods, which focus on generating regular income to acquire assets needed for CSOs for tomorrow. Sustainability means that over a period of time, this model, like individuals, companies and foundations would be able to build up savings or assets, which could be tied in investments or property. At the same time, the model would make some amount available to make the timing of the donations for CSOs always predictable. Finally, a balanced and sustained approach to securing income for CSOs would mean the use of methods, which focus on building an endowment fund for the future. The largest contribution, which any African government is ever likely to make for CSOs, is what they could leave behind many years after. Governments can learn from the pension schemes, provident

funds, insurance policies, trusts and retirement annuities set for individuals as ways to save large sums of money for the long term sustainability of CSOs. Governments, which are planning long term for CSOs, should be keen to secure sources of future funding for them. One way of doing this is to build up an endowment or trust fund. Large foreign donors who have had long term relationships with NGOs have been known to hand over a parting gift for investment use, before terminating their support. By setting up a Trust and investing the money wisely, regular income to support future operating costs can be achieved from the interest.

7.1.1   General Fund/Unrestricted Fund

The General or Un restricted Fund in this model is the type of funding needed to meet annual or current income needs, and which may come from loyal supporters or first time donors. It is the smallest ratio –about 20% of the total funding expected and represented at the base of the pyramid. It is a type of fund, which may be generated through direct appeals strategy. This means that the organization and management of the model would need to devise a cost-efficient means of communicating its programs through funding appeals, membership renewals, and special appeals, allowing it the ease to solicit from previous donors, and the potential to provide a constant stream of unrestricted funds. A major strategy for sustaining general fund was through direct mail appeals program, in which the model could systematically identify people capable of making smaller gifts, on which much of the future success of the model might depend.

The research identified that Resource mobilization letters, or solicitation letters would be a vital source of information in direct mail strategy. By describing the social problems and urgent realities CSOs are trying to address, people throughout the continent could be given the opportunity to share in the cause of civil society and to make it theirs. Direct mail appeal has the potential to allow for communication with millions of donors with whom CSO can't meet through personal contact. Experiences from respondents showed that many of the prospects might not give outright but could become aware about the cause for civil society. This would encourage citizen participation and action that could lead to creating stronger public support and political voices for the cause. It would be a valuable means to create the right public image for the model.

Experiences from interviews indicate that it would be vital to start with an attractive newsletter published four to six times a year. Delivering the mails on a schedule would help sustain relationships with the public. Respondents identified the need to enclose a return envelope to readers either physically on electronically to provide the ease of sending a cheque or pledge in response to mail appeals and thank you letters to those who would respond with contributions. In a mailing to donors, a report can be sent on their contributions during the previous year. The study found that many donors who receive reports on their donations, along with letter of thanks and appreciation, might give again compared to those who don't. A portion of the funds generated from this modest initial direct mail program could then be set aside to launch a more systematic direct mail resource mobilization program.

There were four basic items in a direct mail package: the letter, the outside (or carrier) envelope, the response device and the reply envelope. Personalize letters through mail merge and laser printing technology would be recommended, written with strong feelings and emotions backed with facts. As emphasized in Chapter six (6), people give not because the organization needs money, but because they are touched or angered or saddened or made hopeful and want to do something to help. If the story were interesting, compelling, well constructed, the model would capture and maintain reader's attention. Once the prospect is committed to reading regularly from the letter, the model would increase dramatically its chances of receiving a contribution. According to interviews, there needs to be a system to ask for a contribution for this model. This would require asking for specific amounts of the desired gift and explaining what it would do. For this strategy to be effective, the model has to acquire credible name recognition and a demonstrable track record. There needs to be enough staff and resources to handle the back-end work of putting together direct mail packages, processing contributions (cashiering and accounting), ensuring the security of receipts and mailing lists, and keeping list accurate and up-to-date. There is also need to work with enough staff or volunteers to serve the demands of the donors acquired through the mailing campaign.

7.1.2 Committed/ Restricted Core Fund

Through cultivation of direct mail donors, there could be supporters who would become a little more involved, and who can be identified. These may include those might have become volunteers and

board members, and those who would make major financial commitments. Mail appeal is the first step in a strategy to pull or push donors up the resource mobilization pyramid. It builds the broad base of support required, from which committed funders could be cultivated, and upgraded to help raise more resources from individuals, foundations, governments and corporations.

However, building a sustainable resource mobilization model requires building a focus on mobilizing major gifts. According to interviews, major gifts or committed funds are donations given to an organization that are significantly higher than its average recorded gift. Major gifts take time to mature and may be given as a once-off donation or a periodic, regular gift by individuals, corporations, and informal groups of people with common interests, or foundations. Major gifts usually come from happy and satisfied donors, and will require time and effort to cultivate and nurture. It may come in the form of cash; capital such as land, a structure or vehicles; in-kind donations such as audit services from accounting firms, or legal services from a law group. Unlike grants, which are restricted, major gifts are unrestricted. Many CSOs seek these gifts to fund regular programs and services, upgrade existing programs, purchase office equipment, pay for staff training and development and fund recurring operation costs. Many of these items, particularly related to administrative and operational expenses, are not often funded by grant making institutions. Major gifts provide the organization with substantial funding from among its base of donors. These gifts provide a way for donors to move from mere awareness of the organization to that of commitment to, and investment in the organization. While it may be easy for donors to give small contributions without considering the use of the funds, it takes more thought and dedication for a donor to allocate a substantial amount for an organization that is seeking donations. It implies a vote of trust and confidence in the long-term relevance of an organization.

7.1.3   Grants

From interview experiences, one of the ways in which these resources come in is in the form of grants, which is a financial donation given to a person, organization, project or program. Grants are usually given by the government, or by an entity that comes in many forms and names: funding, donor, aid or development agency; benefactor, philanthropist, or grantor; grant giving or grant making foundation or institution. The receiver of the fund, or grantee, is not expected to return the money received, but is expected to use the resources in the manner for which the donor had

intended. In that sense, these funds are restricted. The first step in a major gift solicitation involves reviewing CSOs' donation history to find out if there are donors who have already been giving repeatedly, and to qualify if these donors are ready to move up to the new system by giving larger amounts. This step also entails scoping prospective donors according to their Connection, Capability, and Concern, as discussed earlier to understand the different motivations of individual givers, what their personal advocacies are, and what their financial capacities are.

While developing a strategy for major gifts mobilization, it's important to figure out how much in monetary terms the model needs to raise through major gift solicitation. Once the prospects have been identified, the use of the Gift Range Chart was found to be relevant to strategically determine the right amount to ask, taking into consideration their giving history. Depending on amounts being asked, accordingly the appropriate board or staff is called upon to take specific responsibilities. The donor targeted to make the lead gift will take a high level of nurturing and cultivation. CSOs use sources provided by interested philanthropic stakeholders to fund projects and services that meet a social need within a sector, a community, or a geographical area. Those who directly benefit from these services, or beneficiaries, are not expected to pay the non-profit organization for those services. To cultivate such donors, staff and board must work towards developing services, which includes fulfilling requests for information and assistance, keeping donors abreast with the organization's work, and helping them achieve their own philanthropic missions by supporting the organization. Developing an individualized plan for each major donor helps in making the donor feel that they are truly contributing to solving the problem at hand. Donors also set the pace of the relationship, and the organization, as the recipient of the donation is obligated to honor their choice of gifts.

The research identified solicitation, follow-up, acknowledgement and renewal of major gifts as the steps followed in major gifts resource mobilization process. The solicitation step is the culmination of the major gift strategy where the organization formally asks for the donation from the prospect. The key to soliciting major gifts was found to be in the right person cultivating the right prospect, for the right purpose, for the right gift, at the right time. While there may be disagreements in resource mobilization circles on the indispensability of face-to-face solicitation, personal contact is regarded as the most appropriate way of asking for major gifts. In determining the right gift size from a particular donor, respondents considered: ability to give, perception of the organization's mission

importance, resource mobilization goals, what others have given, who will do the asking and the prospective donor's opportunity for recognition. It's also important to know why people choose not to give at all. From the interviews, a number of reasons were identified: when the wrong person asked; when the case was not strong enough; when no one suggested an amount; when no one suggested alternative ways of giving (e.g. installments, stocks, in-kind donations, consulting services, etc.) and when no one followed up the pledge. It was found that a gratitude system and a donor recognition protocol should be part of an organization's operations system. In fact, the act of thanking is viewed as an opportunity to ask again, priming donors for the next ask. Some may find it uncomfortable to follow up or renew gifts but there are certain considerations, which can help one do follow ups, such as when is it the right time; the right approach; who should follow-up and the offer of alternatives.

The Gift Range Chart was identified as an important tool to determine the appropriate resource mobilization vehicle and strategies for obtaining target amounts and attracting donors of various giving levels. The gift range chart is a tool used to give a projection of the number of gifts, arranged by size or amount in descending order (major gifts, upgraded gifts, general gifts) so as to achieve a particular resource mobilization goal. The chart is based on total resource mobilization target and the constituency from which resources will be mobilized. The objectives of the chart are to determine the number of prospects and the respective gift levels to which they are willing and able to give, in order to reach a resource mobilization goal. The chart is also used to assess if the CSOs' constituency map is realistic and if prospects and current donors will be able to support the resource mobilization campaign at the levels to which they may be asked to give. The chart provides an indication of the gift levels, the number of gifts needed per gift level, and the number of prospects the organization should seek for each gift level. For example, an organization sets out to raise a total of $300,000. In order to reach that target, the organization should seek at least one major gift of $45,000 often estimated at 10-15% of the total target. And in order to land that one lead gift, the organization should have at least three to five prospects for this level of gift, as it is certain that not all three to five prospects would agree to give at this level. The chart then proceeds to identify lower level gifts, the number of gifts needed at that level, and the corresponding number of prospects in order to land the right number of gifts. The chart reveals the total number of prospects needed in order for the organization to raise a total of $300,000 above, with each gift level having its own target amount and target number of prospects. Each gift level also determines

the appropriate resource mobilization strategy to use in order to successfully obtain the targeted amount. In this example, a gift level of $100 from 275 donors may be obtained through a special event or direct mail strategy. But a donation of $45,000 can only be cultivated through high level nurturing, and personal, one-on-one attention through Major Gift Solicitation. The Gift Range Chart is a more specific method of reflecting the Pareto Principle at work in the proposed model, where 20% of donors would account for 80% of funds, and vice versa. The Gift Range Chart is dynamic, and is adjustable based on the target amount as well as the giving history of an organization's donors. An organization that has never successfully solicited a lead gift of $45,000 may not see the numbers listed on the table as realistic. The lead gift should then be adjusted and lowered, to the succeeding gift levels in accordance to what is appropriate to the organization. Depending on the objectives of resource mobilization campaign and the audience to reach, the organization can choose a mix of strategies to achieve overall targets.

Building a sustainable resource mobilization programme would require a solid understanding of how to secure a grant. This research found that some grants are solicited; meaning a grant making institution may issue a "Call for Proposals" for the implementation of a specific project or program. The "Call for Proposals" invites prospective grantees to submit an application following strict guidelines for content and presentation. Solicited proposals may be competitive or non-competitive, and a grantor may then select the best from among the applicants, choose several depending on monies available and quality of proposals received, or not make any selection at all. Other grants are unsolicited, and the prospective grantee, or proponent, proactively approaches a grant making institution with an idea. In either scenario, in order to secure the grant, the proponent seeking resources for this model must explain particular strategies for accomplishing the task. They must simultaneously develop and demonstrate how the proposed program presents innovative solutions to particular problems, as well as how methods are designed to achieve those objectives in reasonable time and at reasonable cost. This is all typically communicated to a grantor through the grant proposal. For many development research organizations that have established long-standing relationships with their institutional donors, applying for grants has sometimes become just a token procedure. The funds are guaranteed, and the proposal, which may not be very comprehensive or well written, merely fulfills paper trail requirements. But as grant awards become more competitive, organizations are forced to go beyond their comfort zones and look to other donors. As these organizations are not automatically entitled to funding from new donors, their chances of being

noticed and being awarded the grant increases with the submission of well-thought out, thorough, and organized proposals. Such a proposal stands out from among the myriads received. But even before an organization sends in a grant proposal, it's important to do a little research on the kinds of donor agencies to approach.

The research identified a number of steps that would be needed to mobilize resources. It would require an agreement on the resource mobilization goal. It is suggested that consultation would be needed to find out the amounts of donations to CSOs, to present reasonable gift levels, project the number of prospects that can be tapped and identify prospects who can possibly give particular amounts to the programme. For the model to be successful, skills of asking and negotiating for large gifts would need. The study found that many CSOs that perform well in resource mobilization have mastered the skills and the art of major fund raising. From the interviews, this success depended on the ability to discover the grant and the quality of the grant, that is, finding new and newly qualified prospects; The success of the model would require planning, i.e. gathering and analyzing relevant information on prospects, formulating a plan for contact including first meeting, cultivation, solicitation and sending letters. It would involve planning for an approach that would address any immediate objections and issues. It required a process for NECs and CSOs to establish bonds with the core prospects and their interests. It would require a negotiation process that would lead the prospect to commitment by removing any objections and laying the groundwork for future involvement.

The model will always have to encounter and deal with objections at all stages of the process. To address the risk of objection, misunderstanding of the model must be avoided. Objection referred to anything that could lead to discrepancies in the prospect's perceptions of the facts about the proposed model. The best way to deal with this is to clarify the case statement, with the facts as gently as possible, identify indifference and the unperceived need. An indifferent prospect would show no particular feeling about the model in one-way or another, and would give very little to work with as a next step. As suggested from interviews, a good strategy for dealing with indifference is to clarify the understanding of the model and ask questions, which can draw attention to the perceived need. Expert witnesses could be drawn in to share the facts, observations, and opinions with objective credibility. Objections must be acknowledged and sensitively worked through. According to interviews, the strategy is to "meet" the objection, not "beat" the objector. To minimize

objections, the recommendations from interviews were to; establish a bond between the prospect and organization; educate the prospect to the point where they are convinced.

7.1.4   Core/Endowment Fund

A well-balanced resource mobilization programme should include planned or deferred giving. Building a sustainable resource mobilization model requires thinking about the future financial security of beneficiary organizations. In doing so, the research identified endowment funding as one of the long-term solutions to financial sustainability for CSOs. Interviews suggested that an endowment must be studied in the light of the unchanging values of the model. Unchanging values and long-term planning justify the need for a large amount of money to be set aside and used only as principal. This must be balanced with the preference of some donors who would like to see immediate results from the programs they fund. From interviews, once sources have been identified, the CSO must assess the potential for soliciting planned gifts; establish the potential and prepare to explain the benefits of planned giving. Building a sustainable resource mobilization programme would mean developing a successful legacy programme that secures long-term future financial security.   This would require having a focus on a group that works with identified supporters of CSOs (not necessarily those who have given money already) to seek their input in such a programme; appointing a counselor or Donor Liaison Officer to do face-to-face counseling as this style of fundraising is personal and intimate. In starting a legacy programme, steps identified include the need for a list of prospects from the faithful donors and nurturing the prospects.

The planned giving was noted to have the potential to succeed when a relationship has been nurtured between a representative of the model and a loyal supporter, who believes in the mission and good works of the organization to such an extent that they are prepared to include a legacy within their last wishes – a will. The main task for the model is to identify such generosity. This would require meticulous record keeping and regular monitoring of "giving" patterns. In some countries like Australia, legacy fundraising is the number one income generator for nonprofits. A small measure of success has been achieved in African countries, but it is still an untapped potential, as many die intestate- without a will. The study identified several ways of finding these funds for future investment: wills and bequests; major donor endowments; unit trust investments; income from insurance policies and excess income over expenditure.

7.1.5 Capital Fund

As the model matures, consideration would be made for larger resource mobilization targets for long-term, enduring projects. In the model, capital campaign was identified as the most suited for financing big expenditures. A capital campaign is a carefully organized, highly structured campaign meant for specific needs (e.g., a training center, an endowment fund). Focused on a large goal set against a deadline, it is the ultimate test of an institution's resource mobilization skills and capacity. According to interviews, a Capital Campaign has a carefully planned goal, with its corresponding rationale, theme, structure, plan, budget and name, with a defined, intensive time period, usually two to seven years. It is well organized and focuses on the quality of gifts as opposed to the quantity.

Three types of capital campaigns were identified: Bricks and Mortar-which refers to the object of the capital campaign being on the construction of tangible assets such as buildings, renovations and equipment. The second type is endowments, with the objective of raising resources to enhance future funding for programs and general operations. Endowment is used to increase the principal revenue base of assets to be invested. The organization can draw interest earnings from the investment to fund its future operations. The third type of capital campaign is comprehensive, with the objective of the campaign being both bricks and mortar and the endowment fund. The study found that as part of a long-term strategy, CSOs must know when it is the right time to launch a Capital Campaign. The organization must first determine the feasibility of the intended campaign as well as its ability to implement such a campaign.

The research found that developing a capital campaign takes several steps: The first step is ensuring organizational readiness and testing for readiness. This takes two to three years before a campaign is publicly launched. According to interviews, this step involves trainings and getting resources necessary in place to ensure institutional preparedness. A business plan is created, and the closest constituents approached to get their commitment to the campaign. The next stage in the process is pre-campaign activity, which requires one or two years before public launch. This involves preparation of materials and prospectus for the capital campaign. It also includes researching on possible donors from among those in the database of the organization. The third stage is the in-house phase, which takes six months to one year before public launch. This phase

identifies potential lead gift donors to get their reactions to the campaign. The commitment of potential lead gift donors is crucial to establish the momentum of the campaign. Once this has been achieved, the next is the advanced gift phase, which take place during the year of the launch. By this time, commitments and gifts received should be around 40% of target. The public phase involves the commonly seen "Ground Breaking Ceremonies" or the launch of the "Endowment Fund". The purpose of the public phase is to inform and solicit from the broad group of donors about the special campaign being implemented. The final phase is referred to as the wrapped up stage. This is often the most difficult stage since this terminates the entire capital campaign. Very often, the list of potential donors would have already been exhausted by this stage even though the final amount may not have been raised. Once the total amount is committed, the campaign is formally brought to a close and reports audited and shared with stakeholders.

7.1.6   Use of special events

Among other ways of raising funds and resources, the study identified special Events as a common strategy to raise funds among CSOs. Special events were a popular fundraising activity among respondents. Here, the organization sells tickets to a social event, such as concert, dance, or sports tournament and ads a margin of profit. It may also sell crafts, T-shirts with a logo, or food at the event to make more money. The organization can have a "work party" where it brings the community together for a day to help renovate houses or a community school and make appeals to companies and businesses for sponsorship. Special events provide a graceful way to ask for funding. In exchange for money, you sell tickets to an event. A special event is also an effective strategy to acquire the names and contact information of new donors. It provides the opportunity to build an organization's list, or database of individuals that may later be used as the basis for a direct mail campaign. Some examples of special events identified were: Art/music festivals, auctions, bazaars; Charity or gala dinners, balls, pageants, fashion shows, street parties; Concerts, musicals, plays; Conferences, exhibitions, trade fairs; Book launches; Bingo socials, raffles, garage sales; Sports tournaments/ exhibitions, walkathons, marathons/fun runs. Some organizations have what is called a "signature event". The event is done regularly, and is a recognizable brand and uniquely associated with the organization. Special events can be a fun way to publicize a cause, raise awareness of a specific issue, introduce a new program, create a positive image of the organization, outreach to community about a CSO services, mobilize it constituency, and celebrate

accomplishments. From interviews, to be effective; tie the event to the mission or cause; choose an event that people want to attend; choose a date that does not conflict with seasonal duties; repeat the event annually if successful; set an appropriate price; recruit a local celebrity or dignitary to serve as an honorary chair; nominate a volunteer to serve as the manager of the event and enlist other volunteers. This could be a way to test new leadership skills and build a team and find a local business sponsor to donate cash or goods in exchange for free advertising.

Besides traditional fundraising opportunities, there are other trends in fundraising such as reserve funds that CSOs can explore. Money that a CSO does not use for operational costs could be put in a reserve fund. From interviews, this money could be generated through: fee-for-service structure – charging for services delivered; consultancies – for example 'selling' expertise to a government project and general public fundraising – for example through membership fees. A CSO may have members who form, own and operate the organization. The organization can generate cash from membership dues or subscriptions. The amount should be spelled out in the original constitution and may be done on a sliding scale. Members are also a good source of volunteers and spokespeople for the CSO's cause. In return, the organization will be accountable to the membership base and provide benefits to them. From the interviews, strategies to enroll new members may include consideration for conducting a house-to-house membership drive where volunteers recruit new people to join the organization; giving new members an incentive to join, a social gathering to orient new members, a membership card to show their affiliation, or a reduced or a no fee for the first month.

7.1.7   Role of foundations, trusts, professional organizations

The research found that foundations, trusts, and other grant making entities that make grants could be sources for building a Civil Society funding model. From interviews and discussions, the first step would be to identify those foundations that operate in Africa and may already be supporting development projects. Then there would need to understand their priorities, guidelines, and requirements detailing what they support and developing a framework which demonstrates that the idea embedded in this model is a good investment for communities. In building this partnership, many obstacles would be met and many requests would be declined as most foundations received many such proposals than they could support. Some foundations will terminate their support at short notice due to lack of prompt response to the foundation's request for reports and the inability

of the new system to stick to funders own guidelines, requirements, and application procedures. This is why it was emphasized that the proposed model would not be sustained without cultivating the support of individual donors. With the support of governments, the model can raise funds from individuals. From interviews and focus group discussions, individual solicitations require unique approaches depending on the person's interests, motivations, and ability to give. For example, professionals can give regular, moderate amounts and may consider membership fees. The general public may want to give loose change at public collection boxes or buy a ticket for a special event. Developing a list of potential individual donors who can give substantial sums (also called "prospect list") starts with understanding what motivates them to give. It is important to recognize the motivations and incentives of the prospects to tailor how to ask for a contribution. For this type of model to work, contributors have to keep giving. To ensure this happens, it is critical to ensure that the programme continues to meet their expectations and continue to educate and inspire them about the difference being made. Depending on the donor, this may be a report with photos describing achievements and how the funds were used; treating individual donors with the same respect and honoring their commitment by using their donations appropriately as these are the strongest supporters who have already been convinced to give and who may continue to do so.

The research found that soliciting business contributions could be a key strategy to building a sustainable civil society-funding model. From interviews, corporations or local businesses may be interested in contributing more than just funds, but their expertise, volunteers, products, or services as well. Small businesses located in the community's neighborhood may have personal interests in civil society's work and may sponsor events or provide prizes for raffles. From interviews, businesses may want to be associated with civil society because of their; organization's reputation; expertise on a specific issue or services they offer; opportunities to offer advertising for the company's product or services to a new market segment and ability to provide an avenue to improve the company's brand/image in the community or country. To build this model, accessibility to the decision makers and business leaders is the biggest challenge the CSOs face and which governments may be able to help with. As with individual donor solicitation, building relationships with businesses will require time and effort. Use of well known civil society board members and network of friends can be used to open doors. The use of the best marketing tactics to convince them that forming an alliance with CSOs will be beneficial to them should be prioritized. A wider network would be needed as corporations may provide grants to those organizations their

employees are affiliated with. Alliances with businesses may also come with risks as companies' values have to be aligned with those of CSO's, otherwise funding may distract some CSOs away from their mission.

In building this model, consideration should also be given to soliciting other sources of donations. Professional associations, such as the Rotary or Lions Clubs, can provide excellent opportunities to network and connect to international sources of funding. Local associations or community clubs may also provide donations or be partners to organize charity events. Expatriate associations or international schools may also be interested in donating goods, such as books, toys, or furniture. Intermediary CSOs that may be funded by bilateral governments or individual donors could be a source of grant funding or fee for service. They frequently subcontract with smaller organizations, paying them to help implement part of a broader development program or initiative, utilizing the unique skills of the particular group. For example, community organizations may be able to provide popular education programming, mobilize the community, organize volunteers, administer micro-credit programs, and offer other critical services. Faith based organizations could be another source of support depending on your locale. Religious leaders may be approached for their support, usually through a member of their congregation. They may be able to provide a venue for meetings, workshops, or even an event such as a theatrical performance, talent show, or art exhibition on their property. Local authorities, government agencies, multilateral or bilateral agencies, and foreign embassies could be sources of direct grants, fees for service, technical assistance, or in kind contributions. These sources may require discussion regarding missions, values, and development priorities. Access for smaller, rural organizations to these agencies may be difficult, but building a strong reputation for their work, networking with diverse groups, and people serving in leadership positions representing their constituency can help these types of organizations be recognized.

7.2   RISKS ASSOCIATED WITH THE MODEL

At the center of each of the components of the model are the risks of disenfranchisements, predictability, and sustainability, autonomy, and corruption, disruption of the voice of civil society, duplication, politicization and fear of lack of value for money. Figure 40 below provides a summary of risks associated by respondents with the model:

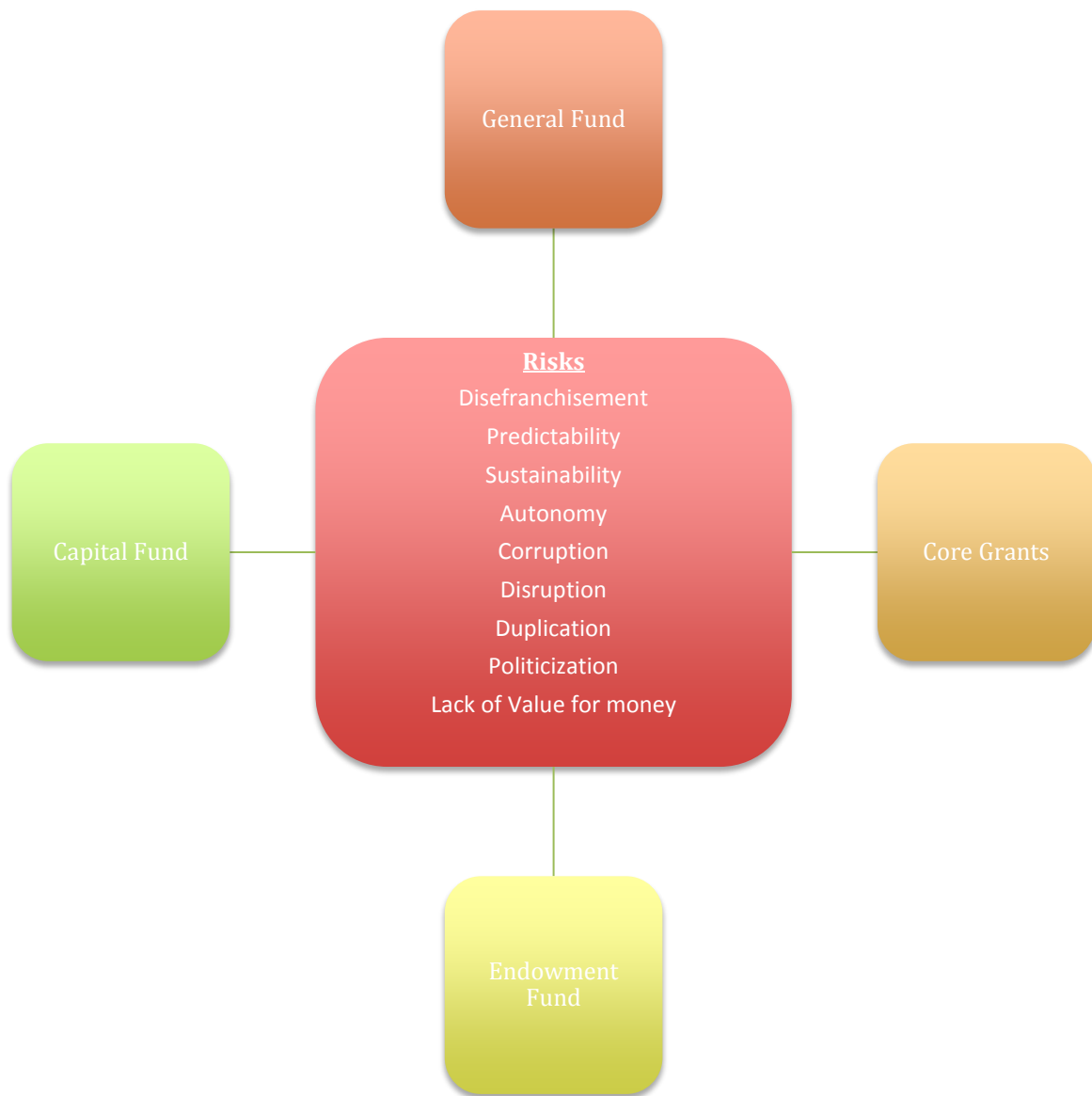**Figure 40: Summary of risks associated with the model for sustainable resource mobilization**

7.2.1. Disenfranchisement

From interview results, "money is a contentious subject" among CSOs. It can disrupt the voices of civil society other than strengthen its unity (John Maghreb, from personal interviews). The concept of a funding model was seen to be disenfranchising. It can streamline coordination as well as

fairness in the distribution of resources among CSOs. At the same, it can also encourage unhealthy competition, divisions, disenfranchisement and further fragmentation among CSOs.

7.2.2 Predictability

Respondents stressed concern for sustainability and lack of predictability in the flow of funds. The need for a long-term funding and resource mobilization plan (10-15 years) "developed and agreed through a board process of consensus involving relevant stakeholders including civil society, governments, aid agencies and foundations would be critical" (Mary Danby, from personal interviews in Zambia). A long-term resource mobilization plan was viewed as vital in guaranteeing predictability in the role of CSOs and addressing the underlying concern for sustainability. Along-term plan for CSO resourcing "must allow time for a smooth transition from current individually donor based funding mechanisms to a new arrangement. The plan must be segregated into 3 year planning cycles, and should encompass currently funded projects within CSOs" (Ivan Kwela from personal in Tanzania). It should specify both currently funded and non-funded activities and be presented to the funders through an agreed annual mechanism.

7.2.3 Autonomy

There was fear that a funding model could compromise the autonomy of CSOs. To address this, a sustainable funding model for CSOs "should be governed and managed independently from government, to earn the confidence and the support that it needs to be successful. It needs to attract the required competence, skills and experience to manage the level of funding and activity which may be involved and should be an institution in the eyes of the public, donors, the private sector and civil society respondents" (Johanna Tomkins, from personal interview). From the research findings, the roles and responsibilities of the different structures and units to be involved should be made clearly distinct.

7.2.4   Corruption or mis-use of funds

Corruption is rampant, even in civil society. Separating responsibilities for decision making and financial management, and assigning it to a credible agency accustomed to managing large scale funding was viewed as a risk aversion measure. Well-established financial systems with adequate checks and balances will have to be applied, and "*must be demonstrated by the recipient CSO before any disbursement can be effected"* (Sarah Mongali, from personal interviews in Tanzania). Additionally, the transfer of funds from donors to CSOs involved should depend on submission and approval of financial reporting and audited accounts. There should be an independent audit at the end of the duration of the fund/specific projects for which funding has been approved. In instances where "*mismanagement is suspected the Financial Management Agency should alert the secretariat and the board",* and a collective action should be taken within a prescribed number of days, including "*the necessary investigation and suspension of funds if warranted"* (Charles, from personal interviews in Zambia).

7.2.5   Disruption of collective voice of CSOs

There were fears of disruption of the collective voice of civil society or creating tension between different civil groups. Tensions could be minimised by ensuring that its board and members approve funding applications from national CSOs where applicable. This would mean *"broad ownership for the plans submitted and that as far as possible they are collectively supported by members and the community"* (Grace Yale, from personal interviews in Zambia). It is unfortunately true that funding can create tensions and damage the development of a unified civil society group. In some countries especially those under authoritarian regimes, civil society organizations have a limited context in which to operate, and the building of stronger CSOs may be seen to challenge the authority of the state, creating an oppositional or a confrontational mode of operation and leading to further tension between CSOs and the state. The intention of a funding model for CSOs should be to promote constructive EFA-related dialogue with such governments. This research recognised that there will be such moments when a more confrontational line is needed and that it is for CSOs in each country to decide together through working in a united way. The breadth of the CSOs supported through this model may militate against the dangers of

extreme positions being taken either within the civil society movement or the government. In countries where the lack of democratic space for CSOs remained a concern, in-country donors who may be supportive of civil society often find it difficult to support CSO positions openly. A funding model of this nature should provide donors a means to offer support to CSOs - in places where open support by individual donors would have been political in the eyes of an autocratic government. The involvement of the independent entities that run the model itself also helps to resolve situations where problems arise, through constructive discussion with development partners as appropriate. To ensure a model, which adapts to all diverse country contexts and actors, the criteria for the use of the funds need to be flexible enough to adapt to the diverse circumstances and be nationally driven.

7.2.6 Duplication of existing donor funding and crowding out other funding sources.

Funding for civil society advocacy work has been very scarce. Conventional funding sources – from the public or trusts or official donors have tended to prioritise service delivery projects not advocacy related work. An important focus would be on building fundraising capacity to increase alternative funding sources and diversify funding bases for this kind of work. Far from crowding out investment, a more coordinated funding model would increase and strengthen capacity to get donors engaged and more coordinated. There should be mechanisms in place to ensure that CSOs being targeted have democratic structures and strong financial management systems in place.

7.2.7 Model becoming highly politicised and not working in different country context

Some CSOs have members who are party affiliated and politicized. Some of these people see their membership and affiliation to CSOs as a means for them to focus on their concerns to improve the quality of public education. It is clear that any serious reform in public education cannot be effective without the active involvement of local representatives and so it is important to work with local politicians including members of parliament. The fact that politicians may be supporters of CSOs does not mean that the CSO endorses their actions or positions. It was clear that there are differences between countries but the need for a sustainable funding model for CSOs is common in all cases. This model would facilitate CSOs to engage directly in existing sector policy processes and act as catalysts to encourage government to work together with CSOs. It is worth noting that

CSOs have often played an important role in encouraging governments to engage more with its citizens. Support to the role of CSOs would amplify the process of active citizenship, spreading knowledge and awareness of how to overcome obstacles.

7.2.8 Failure to ensure value for money and funds not reaching local level

As with the current funding mechanisms for CSOs, the model should have strong accountability mechanisms in place, which ensures that money reaches its purposes. There needs to be a comprehensive Monitoring & Evaluation system in place to keep track of spending and implementation on the ground, and to demonstrate how resources are utilised. The monitoring system should help trace and assess impact, as is other research and shared-learning mechanisms. It is important to keep in mind that impact from policy advocacy takes time; it will not be evident immediately. However, there is numerous evidence to demonstrate that this type of work, does indeed lead to sustainable impact.

7.2.9 Undermining existing democratic structures, creating some form of parallel accountability

On the contrary, investment in civil society strengthens the role of parliament and existing democratic structures where they are available. It is always important to make the democratic structures work effectively and CSOs play an important role in this. Already, many CSOs have worked with parliamentary caucuses and cross-party committees; they have worked with journalist groups and with provincial and local governance structures to raise awareness on Education for All agenda (EFA). There is a scope for independent budget tracking in any democratic country and a lot has been done through CSOs, as the government is not always best positioned to monitor itself.

7.3 OPERATIONAL CAPACITY AND SYSTEMS REQUIRED TO IMPLEMENT THE MODEL

The third and the last section of chapter seven addresses the question of the level of operational capacity needed to operationalize and implement the model. The research offers an assessment of capacity required to operate the model on the basis of the risks identified above and experiences generated from NECs and CSOs.

7.3.1 Governance and Management of the Model

The research made an analysis of the governance and management structure of existing funding models, to assist in the discussions on the governance and management system that would be needed to promote transparency, accountability and ownership. Lessons were drawn from funding models such as BUSAC I, KASA, G-RAP and Star-Ghana, which all used a three-tier governance and management system, defined by, governing boards, steering committees and project management teams. On the other hand Civil Society Funds such as BUSAC II and RAVI employed a two-tier system. An analysis of the results indicates some strengths and weaknesses in some of the governance structures. For instance, the three-tier system has been criticized to cause delays in the grant making process. In addition, there is an overlap of functions within the governance structure. For instance, the respective roles of the two main governing structures of G-RAP (i.e. Funders' Committee and Advisory Board) were described as overlapping and sometimes confusing. Participation in the Steering Committee of these funds was also criticized *as;*

"not broad-based and dominated by donors" (Levy, from personal interviews in Ghana).

It is in this regard that respondents recommended a single governance authority (a 'Steering Committee or Board'), with grant awarding being handled by a Grants Sub-Committee. This recommendation was adopted by this research and incorporated in the model, to conform to best practice in fund management.

The Steering Committee in BUSAC II was responsible for all funding decisions and acted as the guardian of the programme's integrity. In the proposed model, this role would be assumed by an independent and competent Financial Management agency. The Grants Sub-Committee acting as grant-awarding institution can be established in the case of the proposed model to support the board in its work. Also, there were two observed trends with respect to the Fund management system or grant making process of these Civil Society funds. In the first instance, call for concept notes were made after which shortlisted applicants were requested to submit full/detailed applications for review (e.g. G-RAP, RAVI and BUSAC II). This practice ensured that only eligible applicants submitted full applications and reduced delays in the grant making process. The second instance involved the request for full applications without any initial Concept Notes (e.g. BUSAC I

and KASA). Respondents opined that, decision to use one-tier or two-tier application process should depend on "the volume of application" (Cooper, from personal interviews in Tanzania). KASA, for example, focused only on CSOs in the Natural Resource and Environment sector, which was limited in scope, compared to G-RAP (two-tiers), which had many windows. In light of the foregoing, the proposed model considered one tier application process as it would share similar features with KASA (i.e. limited in scope and by number).

The research concluded that in the structure of the model, the functions of oversight, grant making, financial management and administration should remain distinct and shared between different independent entities. The entities may include a board, Secretariat, the Financial Management Agency and the Funding Committee, working together to strengthen accountability and transparency in funding mobilization, decisions and management. The role of the Board should be to integrate the role of CSOs within the overall structure and development strategies of governments to ensure stronger linkages between civil society and national development processes. Supported by a technical committee, the board would provide the credibility to attract and build confidence both within the internal and external environment and take overall responsibility for oversight and accountability. Constituted by representatives from all key stakeholder groups, the board would have the responsibility to: meet face to face at least once a year; eestablish eligibility criteria for the fund; review all funding proposals; approve or decline proposals based on the parameters it establishes; make decisions on grants; review progress and report to governments. Board members would not gain financially, though their travel costs to board meetings could be covered. Board members who accept their nomination act as individuals, and use their personal knowledge and experience in making board decisions. Strong controls need to be in place to ensure that organizations that are represented on the board do not benefit unfairly and that conflicts of interest are minimized based on the profile of those who qualify to be on the Board.

7.3.2   The Secretariat

In the model, the secretariat is the executing /implementing body, accountable directly to the board, with responsibility to ensure delivery of agreed outcomes within the board's set parameters. Its specific roles could include; performance monitoring and quality assurance; aligning plans to

overall strategy; supporting the functions of financial management and accountability; overall coordination of civil society activities; harmonization of planning, budgeting, monitoring, evaluation, reporting and learning; ensuring ownership and sustainability; ensuring priorities identified by CSOs for action are respected within funding decisions and in the implementation of plans and budgets; compliance to standard terms and conditions; supporting programme evaluation and learning; overall reporting to, communication and liaison with funders; promoting cross fertilization of experiences and south-south collaboration and mmanaging the communication plan and strategy.The Secretariat would promote the fund, build capacity of national CSOs, prepare strategic documents and oversee implementation. To ensure the sustainability of the fund a robust strategic plan developed with the support of CSOs would be needed. The secretariat could provide demand-led support to CSOs, receive and process the s funding proposals, prepare board meetings, communicate and implement board decisions. The secretariat would compile impact evaluations, support documentation, and provide linkages to national, regional and international funding opportunities, coordinating annual planning, budgets and work plan development. The secretariat would take all necessary corrective measures to keep the fund on track; approve budgetary adjustments within the allocation made by the Fund Board; resolve management and governance issues arising in the course of implementation and protect the integrity of the funding model.

7.3.3   Financial Management Agency

From interviews, the model must have a Finance Management Agency (FMA), an independent body that is contracted by the Board to manage all the financial resources committed to the fund. The selection of the FMA must be done through a transparent process where the bid for FMA is widely advertised and a transparent process implemented in the selection and recruitment of a credible FMA. The FMA should be a strong, experienced, astute financial management body without questionable credentials in fund management of huge capital based projects. More importantly the FMA should command the trust and respect of the Donors and the public, who are the owners of the funds. The Financial Management Agency should have the responsibility to manage contracts/agreements with the donors and the civil society. It would be the organ that signs Memorandum of Understanding and any other legal agreements while taking full responsibility for all financial matters involved. For its payment and remuneration, the board would

commit a percentage of the total basket of funds for the services of the Financial Management Agency. The FMA would also manage all the financial matters of the implementing CSOs.

To cement donor confidence, a Bank Guarantee from the FMA to the donors would be a key confidence measure in case of mismanagement and/or loss. Donors would be more confident if all the risks involved, including wrongful spending and ineligible expenditure done by implementing CSOs are borne by the Financial Management Agency. In case of fraud, it is the FMA that should take responsibility and reimburse the fund. It should also be the duty of the FMA to trace and track all funds that have been used in an un-procedural manner. The FMA should provide the bulk of the staff that mans the fund's Finance Department with provision for a few who will be trained to take over the overall finance functions for the Fund. The financial management structure can vary but in general, it can constitute a Project Director, Project/Risk Manager, the Fund Supervisor, Grant Management Accountants and Procurement Officer. The main roles of the Financial Management Agency summarized from the interviews were: overall oversight of the programme and financial control; approval of budgets for the implementing agencies; compile financial reports to the board; ensure accountability in the disbursements of funds; undertake capacity assessments for implementing CSOs; develop financial Management Guidelines/Procedures for the CSOs; approve project proposals; undertake capacity building and skills transfer for CSOs; financial reporting and monitoring; implement procurement procedures and procurement of goods and services. CSOs must hand over control of financial transactions – receiving and dispensing funds, monitoring the use of funds and accounting for all income and expenses – to the Financial Management Agency responsible. The FMA receives and manages national grants; transfers funds to CSOs on the instructions of the board and within the norms and procedures established; maintains all financial records; prepares periodic fund utilization reports as required; organizes the accounts audit and can withhold transfer if financial reporting is insufficient.

7.3.4   Reporting and Accountability

This research found that reporting and accountability would be vital to the success of a sustainable funding model and should be sought at all levels. To ensure proper use of funds and accountability for results, there must be separation of financial management, from administration and grant approval functions. According to interviews, separate accounts would be used to receive the funds

from the donors and to channel these funds on request directly to the CSOs concerned. Respondents preferred a financially transparent agency to serve as the financial management body overseeing the distribution of funds. The funders would release the funds through the agency, on request from the Board after the appropriate audited accounts and reports. Once proposals are approved, money could be disbursed to civil society partners each quarter, on approval of financial activity reports. The study identified the requirement to report each quarter as an important element to ensure accountability in the fund. While time-consuming, regular reporting on activities, which are funding from the model, has its benefits. It is a built-in mechanism to track fraud or abuse of resources. Respondents believed that groups that would receive funding must establish a clear, auditable system in which every transaction is recorded. If additional staffing is needed to manage this process, groups applying for funding should build that cost into their proposed budget. Activity reports should be reviewed and approved by accountants and submitted to the Board. In addition to financial monitoring through activity reports, CSOs receiving funds should submit bi-annual project reports and audited accounts annually.

The board to determine whether or not to renew funding to a CSO should use evaluation and financial activity reports. All financial activity reports and project evaluations should be published online and made available upon request. In order to guarantee the accomplishment of the objectives and accountability in the use of funds, an Oversight Committee can be established by the board to keep the funders and the public informed at all times through the secretariat. The committee could be responsible for: appointment of auditors; approval of overall annual accounts and audit reports; approval of major changes in overall grants allocation; receiving and over viewing updates from the Secretariat from time to time, based on a performance monitoring system that should be in place to track tangible, measurable progress toward agreed results and the strategic objectives. Data collection tools, baseline data and annual targets linked to planned activities, outcomes and impact should be established, to ensure reporting requirements are met and compliance with standard terms and conditions. There needs to be a separate independent process to evaluate the model to inform its future and ongoing development to fully contribute to the development of a robust support mechanism for a sustainable civil society role.

Building a successful and sustainable model for the future will require building a reputation for the model. The reputation or the way others view the model and how it works can be built over years

using the credibility, results and relationships that CSOs have achieved and the difference which they have made in many communities and by processes that are transparent to the public and accountable to all stakeholders. A positive image will help funders feel confident about supporting the initiatives. Such image will be based on the effectiveness of the programs, the organizational technical expertise, staff and board credibility, and relationships with the community and other stakeholders. In addition to being a solid programme, it will require effective communication tools to share results and strategies and educate the public about the issues it cares about; demonstrate the value added to society and target messages towards its audience and clarify its distinct niche. The programme will need to tailor its method of Resource Mobilization communication to specific country situations and budget using communication tools such as websites, blogs, social media, annual reports, brochures, newsletters, public bulletins, media coverage, and advertising on community radio stations, and public or special events launching new programs.

Conclusion

The proposed model for sustainable resource mobilization (MSRM) draws its legitimacy from the 2000 Dakar Framework for Action for Education For All, in which governments pledged to "ensure the engagement and participation of civil society in the formulation, implementation and monitoring of strategies for educational development. The model is therefore aimed to facilitate CSOs watchdog role in ways that promote good governance and strengthens accountability. The proposed model relies on different methods and funding sources to curtail reliance on foreign donor influence. It is aimed at striking a balance between localization and internationalization of funding sources for CSOs. The model encourages CSOs to plan for funding and develop a balanced and sustained approach to securing income for today, tomorrow and the future. In the model, the functions of oversight, grant making, financial management and administration should remain distinct and shared between different independent entities for purposes of accountability and transparency in the use of funds. The proposed model also aims to direct investment to civil society. This could strengthen the role of existing democratic structures and make them work effectively. The model provides scope for adaptation in the long run in any democratic country, where CSOs and NECs support the development processes.

Chapter Eight

Summary of Discussions, Conclusions and Recommendations

8.1 INTRODUCTION

This chapter provides a summary of discussions, conclusions and recommendations to the research. It is based on the literature review and supported by the empirical findings of the study. The summary follows four main themes, representing each of the four research objectives:

- The identification of NECs, strategy and added value of National Education Coalitions
- Factors influencing the ability of NECs to mobilize resources
- Strategies used to organize and manage successful resource mobilization programs
- Proposed model for sustainable resource mobilization

8.1 IDENTITY OF NATIONAL EDUCATION COALITIONS

There were 40 NECs from which data was available for the study. Since their formation, National Education Coalitions (NECs) have played an important role in education sector. Many have managed to build a strong local support base and have become prominent players at national level. Results obtained from the available records revealed that broad-based, effective and democratically run NECs exist in over 50 developing countries.

The identity of these NECs has evolved over the last 10 years; with the support and coordination of the Global Campaign For Education (GCE). By supporting and coordinating the establishment of NECs, the Global Camapign For Education (GCE) helped to anchor the development of education civil society in Africa to the Local Education Groups (LEG). The affiliation of NECs to LEGs at national level strengthened the role of civil society in education sector in general.

Through the Civil Society Education Fund (CSEF), civil society organizations also began to assume the roles that they are expected to play according to the Dakar Framework of Action, specifically in respect of the Global Partnership for Education's country level education processes. The participation of NECs in education processes built capacity of CSOs in monitoring and evaluating education sector plans. It also strengthened the role of civil society in tracking education budgets

and spending. All these developments have had important implications for education civil society, particularly on the identity of NECs as well as their support context and added value in education at local, national and international levels.

The research found that NECs were funded from a limited variety of sources, with almost 80% of funding coming from 20% of donors/contributors. It recommends that NECs must begin to focus on developing the right strategy mix to mobilize and acquire resource. There is need for more public awareness on the role of a NEC and its cause. This is critical in nurturing new prospects or cultivating existing supporters to maintain or upgrade their commitments to the cause cherished by NECs. To sustain this cause, NECs also need to develop new partnerships and explore new ways to secure long-term donor interest in their work.

Not only was establishing relationships with potential donors a challenge to NECs, writing good funding proposals was noted by 89% of respondents as a vital skill to accessing funding. The research found the lack of; prior donor research and supporting materials that are directly relevant to the cause of the NECs including past correspondences between NECs and donors and the lack of past proposal documents as evidence of lack of strategy in fund raising and resource mobilization.

Two board categories of income streams for NECs were identified; the Civil Society Education Fund (CSEF) and non-CSEF funds. A comparison of funding levels across NECs found that the NECs with bigger membership bases and capacity to organize tended to attract more non-CSEF funds than the smaller ones.

From the analysis of the funding trends of a sample of 12 NECs, most of the income came from international NGOs (68%), multilateral agencies (13%), bilateral agencies (11%), foundations (6%) and from their governments (2%). While the proportion of funds generated from country-level efforts was 63% of the total, the amounts raised from local sources were insignificant.

Although the research observed significant progress in the evolution of the identity of NECs over the last ten years, it noted that this evolution was influenced by foreign funding sources. It found that over 80% of the membership of NECs were constituted by national NGOs and grassroots

organizations. Yet, the financial contribution from membership fees was less that 1% of total income. This is clear indication of the dire need for NECs and CSOs to do more to develop better strategies to localize for fund raising and step up local efforts for resource mobilization.

The study found that NECs were moving away from the focus on project-based fund raising to civil society capacity building and a greater advocacy role. This shift was being influenced mainly by the recent donor trends and changing priorities. As a result, most of the NECs resource mobilization efforts were being focused towards creating and expanding spaces available in Local Education groups (LEGs) for influencing and action. The research found that the GCE was interested in supporting NECs. The motive of this support was to build capacity of local civil society through the NECs to play a greater advocacy role.

Funding opportunities for NECs and CSOs were found to be sector specific. In most cases, donor support to CSOs was aligned with specific policy outcomes and capacity building needs. In all four-core research countries, different civil-society funding sources were being used. The research found that in general, donor coordination for civil society at country level was wanting, in contrast to support to country governments. For instance, the level of donor coordination in the case of Multi Donor Budget Support (MDBS) in the four countries was expressed to be stronger compared to that of civil society organizations. While this level of harmonization by donors with country governments has been achieved at the backdrop of the Paris Declaration (PD) on Aid Effectiveness, the same declaration has not dealt with aid harmonization to CSOs.

Data from the CSEF revealed a stark contrast in the donor base of NECs, with an uneven distribution of donor support across countries. The CSEF funding contributed a total of 37% of the total funding for 15 NECs over the three years. While NECs in countries such as India and Djibouti relied 100% on the CSEF, others such as Mozambique, Malawi and Ghana generated most of their funding from other sources.

The research revealed that potential for country level resource mobilization exists. However, this needs further research and development. The main causes funded by top donors were health, environment and education. Among the biggest donors were the United States, France and the UK. Many respondents saw more overseas aid as going towards humanitarian relief and more funds

were reportedly channeled toward NGOs working with emergencies and relief.

Comprehensive and reliable data on aid flows to CSOs was patchy and difficult to obtain. From data available, the main sources of funding for civil society were divided into six main categories; international private foundations/funds, development partners, UN agencies, local civil society funds/foundations, international NGOs and corporate sector/individuals. The lack of data on funding was attributed in part to the intense competition for funding among NGOs, which made them unwilling to disclose their funding sources. Interview with CSO members revealed that on average, support from development partners constituted more than 70% of total funding. Similarly, support from the corporate sector was estimated at about 10% of total support. International financial institutions, private foundations and religious organizations provided little financial support to CSOs.

This implies that there were untapped opportunities, which can be optimized with clear fundraising strategies. The findings also imply that CSOs depend heavily on support from development partners with little from the corporate sector. A further analysis of funding flows from development partners showed that, for the past five years, development partners supported a number of pooled funding mechanisms for civil society strengthening. These funding mechanisms/models were delivered either directly to individuals or umbrella organizations or via other intermediaries, largely Northern NGOs. The research observed that NGOs/CSOs have not been successful in building other ways of resource mobilization and fundraising. Very few NGOs conduct creative fundraising initiatives, hence, substantial dependency on international donations.

The research found that foundations do not play a significant role as yet in the operations of any of the 15 NECs. However, interview and focus group discussions revealed an emerging trend in foundation support as an important growing source of funding for education civil society. More research is needed on this front to help NECs and CSOs to identify and grow the interest of the major foundations by understanding potential overlap between the corporate and foundation interests and the types of education issues CSOs and NECs are working with. A general analysis of the trends in corporate and foundation giving revealed that there are hundreds of asset-holding foundations around the world. The research concluded that as capital and market become more global, the interest of foundations in civil work is likely to increase. Due to paucity of data in this

area, studies are needed to better understand the role that foundations currently play in funding the work of CSOs, the level of funding that may be available and the nature of partnerships and alliances that have been established.

Of the 40 NECs from which data was obtained, 30 (thirty) were members of the Local Education Groups (LEGs). The ability of the NEC to create public value was closely linked to their membership in the Local Education Group. The LEG gave NECs and CSOs the opportunity to be 'part' of the national education policy process from 'within'. For years, civil society has acted on its own with little cooperation from governments. However with the CSEF, new forms of partnerships, dialogue and relations with national governments, donors, and civil society were constructed. As the nature of national politics on education changes and becomes more intergovernmental, the study found that many civil society organizations took advantage of 'invited' policy spaces such as the LEGs to be part of national policy processes. The intergovernmental character of education policy processes at the national and global level also meant that the rules governing civil society engagement in education spaces is dependent more and more on decisions taken by states involved. It is harder for civil society to influence national governance purely from the periphery. The difference, which NECs through the CSEF have made in this regard, has been to reposition civil society at the center in order to play a part in the LEG.

The research found that NECs contributed towards agenda setting in the education sector. One area, in which NECs made a difference, was in public budget tracking and expenditure analysis, contributing to the culture of accountability in the education sector. Through budget tracking, CSOs challenged the quantity and quality of public expenditure in the education sector and contributed to influencing key priorities of governments. At the national level, sustained civil society pressure was cited as the reason, which led to, increased national resource investment on education. There was evidence showing that the proportion of government expenditure on education has steadily grown in all four countries. Civil society groups were watching out for corruption and mismanagement in the sector. The NECs played a crucial role in putting education issues on the national agenda. For instance, the Ghana education resource tracking study in 2012 led to a civil society campaign which led the Ministry of education to computerize the text book distribution system in the country and to develop a policy framework to ensure effective management of a school resource monitoring system. Budget tracking also helped to generate consensus on key education policy

issues. It facilitated consultation, dialogue and consensus at national and sub-national levels. It strengthened the participation of CSOs in the Joint Technical Working Groups of the ministry of education.

8.2   FACTORS INFLUENCING THE ABILITY OF NECs TO MOBILIZE RESOURCES

Among the factors influencing the ability of NECs to mobilize resources, the research identified shifting donor trends. The shifting donor trends led to weak linkages between NECs and their constituencies, and to the tendency by NECs and CSOs to focus on relatively short-term programmes, which were driven by donor priorities rather than their own strategic agenda.

Owing to high levels of dependency by NECs on international donor programmes for funding, the research found that NECs were often faced with issues of autonomy and authenticity in mission. Interviews with CSO stakeholders revealed that the majority of respondents felt that the NECs were more accountable to their donors than to their intended beneficiaries. As a result, there was a sense of lack of shared vision, and subsequent difficulty in inspiring their local constituents to volunteer their time or donate to a particular cause. Notwithstanding, some NECs and CSOs managed to reflect the needs of their constituencies.

Due to competition in the funding environment for civil society, the study found that NECs have historically relied on externally generated resources, with most of their funding coming from development aid. The dependence on foreign aid has forced some NECs to take on service delivery roles, depriving them of their ability to maintain autonomous, independent perspective and positions on a wide range of education issues at national level. The challenge this raises is the need for CSOs to find an appropriate mechanism or model of support, which is both sustainable and does not disorient their focus from accountability. The study found that NECs and CSOs do not simply exist to spend money, but to pursue a particular vision and set of policy priorities for education development.

The shift from project based aid to sector wide approach also led to the concentration of donor funds at macro other than micro (project) level. This has altered the place of civil society organisations in the aid relationships. As a result, some NECs and CSOs are acting as

intermediaries between governments and donors. They are preoccupied with wanting to prove that they are contributing to government's development targets and priorities in order to receive a government contract. The new aid architecture has reinforced a dependency syndrome, in which local CSOs have to depend on the INGOs, often with the capacity to win large government contracts and enter into partnership agreements with western donor agencies.

A new shift in the funding trend, which NECs need to tune themselves to was identified as the shift towards direct investment in services. Respondents reported that there was need for NECs to increase their focus in seeking more funding from market-based sources. It was suggested that in the current economic situation, a market approach to resource mobilization would yield better long-term results, provided that NECs adjusted their focus to the unfamiliar market dynamics.

However, this research cautions that the development of a market approach to resource mobilization remains challenging to most NECs and requires further research. NECs and CSOs are neither fully aware of the market potentials that may be available nor have the business acumens to exploit existing market opportunities. This was true for NECs whose memberships were made of smaller local civil society organizations. NECs and CSOs need to invest in market-based change, to find and take advantage of alternative and emerging market sources of funding.

The research found that the vast majority of NECs were nationally based and issue oriented. Like many CSOs, NECs interacted with resource mobilization only when funding was seen to be running out. The pattern of their network and contacts, which is crucial for resource mobilization, was limited. From interviews and focus group discussions, NECs faced challenges on how to deal with formal resource mobilization process. This was mainly attributed to the limited understanding of the processes to deal effectively with the politics of negotiation and consensus building across diversified groups and varied priorities.

This challenge was compounded by what some respondents referred to as the inability by NECs to make the connection between education and broader issues of society related to the state, society and development. As a result, important issues such as growing government expenditure on militarization and defense and a bloated civil service sector, which remove money away from education, have not been dealt with by NECs in their campaign and advocacy work. For NECs

who seek to make this link, not many are willing to take a critical stance on such issues for fear of state intimidation.

There were other legal requirements that were identified and which influenced ability to raise and mobilize resources. This included the legal circumstance of the CSO in the country and the need for consideration to be made on special permission that might be required for some fundraising activities; tax consequences which might affect how the organization reports the income and which should be a consideration for selecting the appropriate strategy and activity. There were also considerations for tax relief for individual or corporate donations, which could be an incentive for giving. Other considerations include the need to consider successful fundraising efforts of other civil society organizations (CSOs), which could be replicated, and the local cultural and religious practices and traditions that would help to attract certain audiences to support the resource mobilization strategy.

Organizational factors influencing the ability of NECs to mobilize resources

The key to successful resource mobilization was to be strategic. Being strategic was used to mean being aware of the challenges and possibilities in the funding climate, and being ready to take advantage of opportunities as they come.

Lack of strategy for resource mobilization was a key organisational factor identified for many NECs. This meant lack of preparedness and pro-activeness to embark on a planned and sustained resource mobilization drive. This was mainly attributed to the lack of strategic planning to define what is needed and review the funding climate and commitments to decide how much money will be need raised and how the funding gaps would be filled.

The research criticized NECs for being too dependent on international funding and focusing too little on local fundraising and resource mobilization. Respondents expressed the need for a new approach that would mean a new resource mobilization focus that aim to localize fundraising and strengthen relationships with existing (international) donors.

To achieve this, the recommendation is for NECs to put in place resource mobilization strategies and plans that are integrated and aligned with both the strategic plan and the communication strategy of NECs. This alignment would ensure that everyone involved is clear about the vision, mission and goals for resource mobilization by the NEC.

Respondents identified the need for developing a resource mobilization department or team that is responsible for Resource Mobilization Strategy. Successful resource mobilization was thought to be dependent on a small professional entrepreneur cadre who provides leadership and accomplishes tasks needed to raise resources.

The study found that the NECs often directed most of their resource appeals to outside money sources-to the elite groups including foundations, churches and foreign government agencies. Over 90% of financial resources were drawn mainly from outside entities. It was evident that the member organizations of NECs were less likely to participate actively in resource mobilization for the NEC. The study found that the financial support of NECs was totally separate from its membership and beneficiaries. Hence, the recommendation that NECs must solve the resource mobilization problem by developing more sustainable strategies to pursue their collective interests from both within and outside their collectivity.

The first step as recommended is for NECs to identify factors in the environment that affect their ability to mobilize resources. From interviews, respondents identified the need for an organization to assess its strengths and weaknesses, as well as the opportunities and threats that have implications for resource mobilization. Among other things, funders' priorities and changing trends; nature of demand for NEC services and innovations related to area of work needs to be well understood.

The lack of resource mobilization environment research was a main concern among civil society actors. The study found that NECs were more likely to be opportunistic in meeting the right donor at the right time, than adopt a systematic, targeted approach to seeking donors or social investors.

The study recommends the need for NECs to adopt a planned approach to resource mobilization

that would yield more results over a more sustained period of time. This would require a better understanding of strategies that work better in the different context and where to concentrate efforts more appropriately. More research would be needed to guide NECs and CSOs to scan their funding environment, to understand the current donor trends, including where donors are concentrated and where to concentrate existing and future efforts.

The study identified inability to understand trends for support as a key challenge. Understanding trends for support would help NECs prepare a better approach to resource mobilization. NECs would do better in resource mobilization with better understanding or more thorough knowledge of what issues may no longer be high on the donor's agenda. The research found that due to limited strategic planning, none of the NECs in the four countries had resource mobilization targets. This meant that the NECs were not ready to approach donors or contributors. Fund raising and resource mobilization activities often occurred when project funding were discovered to be running out. This finding led to the recommendations for NECs to develop systems to establish and sustain donor relationships.

The key challenge for most NECs was the lack of knowledge on donor funding priorities. The study found that NECs could not approach donors successfully if they did not know what the donors cared about, the geographic areas of funding, where the donors fund projects, funding levels and the minimum and maximum amount of money an organization can seek to ask for.

Building stronger and more strategic relationship with donors was therefore identified has one of the most critical areas for NECs to be more successful in resource mobilization. The results showed that the art of building relationships with donors distinguished one NEC from another. Limited personal contacts and networks also compounded the difficulty in building relationships. Very few board members of the NECs were involved in cultivating donor relationships and resource mobilization for the NEC in general.

It is recommended that NECs continue to build their reputation in the communities. As the study found, legitimacy and credibility is key in resource mobilization. A NEC must build a good reputation in the communities where it operates, as community stakeholders are its biggest supporters and beneficiaries. Building a good reputation with district and national level

stakeholders should also be a key priority in addition to demonstrating a proven track record of good, consistent performance of its work for it to be accepted as a trusted national partner in the national education sector.

Transparency was considered a key factor for successful resource mobilization. This should include more open communication with internal and external stakeholders regarding the NECs' financial health and full disclose of information on programs, activities, financial transactions and investments to stakeholders and anyone who wishes to know more about the organization.

Accountability was the other element that donors were reported to care much about. This is the ability for the NEC to stand up for its mission, and to be guided by sound management and financial principles. According to interview findings, an accountable NEC is one that responsibly services its community, properly manages its resources, and is able to report back to beneficiaries regarding the use of donated funds. In building a donor base, the focus should be both on resource mobilization, accountability and transparency as funds or resource come as a by-product of the relationship.

A key challenge identified by the study was stewardship of the donations and stewardship of ongoing relationships with donors. Lack of strategy for stewardship was a concern to respondents. This was often cited as the main reason why some donors did not continue to fund some of the activities of NECs.

It is recommended that NECs should master simple things that an organization can do to improve relationships with donors and show responsibility, accountability and integrity with funding. These include prompt acknowledgment of contributions; confirmation that the NEC has put funding to work as intended; and measurable results on the outputs and outcomes of their contribution.

The ability of the NEC to communicate results of its work also needs to be improved, as this would be in the resource mobilization process. Stewardship of the funding and the relationship with the donor also means meeting deadlines, reporting proactively, sticking to donor requirements and having open communication at all times.

There was consensus that all NECs need to develop balanced and explicit resource mobilization strategies and approach. Respondents reported overwhelmingly that their NECs were securing fewer funds than they would hope for. This was attributed to lack of a comprehensive resource mobilization strategy and the concern that existing fund raising "strategies" were not creative. The NECs also need to have resource mobilization teams in place. This study concludes that the majority of NECs lacked the organization and the team needed. In most cases, either fund raising teams were not in place, or team members were not clear about their individual roles. There wasn't someone appointed as the lead or focal point person for resource mobilization.

In general, the rapidly changing context has had implications on sustainability of the role of CSOs. As a result, CSOs must understand the types of opportunities that may be available at country level to adapt to the changing trends. The environment through which CSOs raise and mobilize funds has increasingly become more dynamic, complex and multidimensional. It is no longer enough to rely on foreign aid for funding. CSOs must adjust to the new range of the political, economic, market and financial dynamics in order to be competitive and sustainable in the future. This requires among other things mastering the array of organizational and contextual factors in order to engage in more sustainable resource mobilization. Alternative sources of funding need to be further researched to back civil society's efforts in adjusting their focus and developing appropriate strategies to engage non-traditional and market based sources of resource mobilization.

8.3   STRATEGIES USED FOR SUCCESSFUL RESOURCE MOBILIZATION PROGRAMMES

To carry out effective resource mobilization, NECs need to conduct donor-mapping exercises to respond to the external environment where resource mobilization targets are found. The practice of donor mapping was found to be critical in guiding NECs in thinking critically while seeking for donors or investors. It heightens the understanding of current donors' trends and helps the NEC to construct a realistic donor map to identify where current donor are, in order to target current and future efforts appropriately.

The importance of donor mapping was identified to help NECs analyze the donor support trends, including project areas where prospects may be concerned. The study found that organizations that work with causes or issues that the potential donor has been associated with or has witnessed

at close quarters are most likely to receive support from them. This research recommends NECs to adopt the donor mapping exercise as a best practice to diversify funding sources and develop more creative resource mobilization strategies.

One of the key challenges identified by the research was the competitive nature of the funding climate. The research found that it is important for CSOs to undertake competitor analyses to better understand who their competitors are for the same funding sources. NECs need to know which organizations they are in competition with and for which types of funders. This would help them determine their place in the competition and strategize accordingly.

To thrive in a competitive environment, NECs must also be efficient in their fund raising and resource mobilization drive. This means adopting the right mix of approach and strategy for resource mobilization. Resource mobilization requires NECs and CSOs to be efficient, that is relate the importance of income raised to the amount of effort put in, not just in securing it, but also ensuring that it continues.

NECs also need to develop strong cases for support. This research found that one of the most important tools for resource mobilization being used was the case statement, a communication tool used to build a good case for support. The case for support was used to explain in detail why a donor should give to a certain organization. It also invited investment, with a convincing argument of why the NEC was offering a wise investment in the community.

The study found that funding gaps exist in all NECs. As part of the process to develop fund raising strategies, the study recommends the need for NECs to match these gaps with potential income sources. While seeking to match funding gaps with income sources, respondents noted that it is important to consider a variety of sources to minimize the risk of dependence on one or two major donors. A funding opportunity table was identified as a tool that can be used by the NECs to solidify the decision on which donor to prioritize following an analysis of the pros and cons of each funding source.

NECs need to develop strong systems for resource mobilization. As the study found, no resource mobilization or fundraising programme can achieve its potential unless an adequate support

system is developed and put in place to handle administration, keep control of expenditure and income and establish accurate records. From study findings, physical requirements are lacking in most NECs to back any fundraising programme. This includes the lack of space and equipment.

There is need for a sound system that can assure donors of the quality of stewardship of the funds and resources to be generated. Absence of donor database was identified as part of the system challenges in most NECs. The research found no resource mobilization policy in all NECs. Before NECs can embark on instituting resource mobilization programs, they need first to discuss and decide on resource mobilization policies and restrictions at the board level.

The final step in the resource mobilization and the fundraising cycle was an evaluation of the strategy used. At this stage CSOs and NECs sought to find out what was successful and why. According to interviews, NECs were securing fewer funds than anticipated. A monitoring and evaluation system is therefore an important tool that needs to be developed to determine whether a particular strategy was successful or not.

The study found that the success of a resource mobilization strategy was measured against the goal that was set out in the beginning, relative to a particular resource mobilization vehicle. Controlling fund raising and resource mobilization effectively would require NECs to develop and stick to a realistic monitoring and evaluation plan for resource mobilization to obtain current performance data from monitoring efforts to decide how to adjust or modify strategies. Information from the monitoring system would also help demonstrate the NEC's commitment to accountability, and continuous learning to contribute to improvement in resource mobilization results.

8.4   PROPOSED MODEL FOR SUSTAINABLE RESOURCE MOBILIZATION

The proposed model for sustainable resource mobilization is based on the Pareto Principle. Its rationale was derived from the 2000 Dakar Framework for Action for Education For All, in which governments pledged to "ensure the engagement and participation of civil society in the formulation, implementation and monitoring of strategies for educational development. The model is therefore proposed to facilitate CSOs to fulfil this role in ways that promote good governance and strengthens accountability.

In the application of the Pareto principle to the model, 80% of the total funding would come from 20% of contributors/donors, that is, the majority of the funding for the model must be raised from a small number of supporters significantly committed and involved in the initial investment. The model is to rely on different methods and funding sources to curtail reliance on foreign influence. It is aimed at striking a balance between localization and internationalization of funding sources.

By adopting the model, NECs and CSOs would be encouraged to plan for funding along three different levels, by developing a balanced and sustained approach to securing income for today, tomorrow and the future.

The research concludes that in the structure of the model, the functions of oversight, grant making, financial management and administration should remain distinct and shared between different independent entities.

The governance and management entities represented in the model may include a board, Secretariat, a Financial Management Agency and the Funding Committee, working together to strengthen accountability and transparency in fund mobilization, decision-making and management.

Reporting and accountability would also be vital elements to the success of a sustainable funding model and should be sought at all levels. Building a successful and sustainable model will also require building a good reputation, based on credibility and results as well as the effectiveness of the programs supported and the organizational technical expertise and relationships to mobilize support for the implementation of the model.

From interview results, there are risk associated with implementation of this model including the risk of increasing unhealthy competition, divisions, disenfranchisement and fragmentation among CSOs. Other concerns or risks expressed were corruption and misuse of funds, disruption of collective voice of CSOs, duplication of existing donor funding and crowding out of local funding sources. It was also feared that the model could become highly politicized, not work well in different

country contexts, fail to ensure value for money and undermine existing democratic structures, creating some form of parallel accountability.

On the contrary, the proposed model would direct investment to civil society. This could strengthen the role of existing democratic structures and make them work effectively. The model provides scope for adaptation in the long run in any democratic country, where CSOs and NECs have already done a lot to support development processes.

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Appendices

APPENDIX 1: RESEARCH OBJECTIVES AND QUESTIONS

Research objectives:

1. To clarify the identity, strategy and support context of National Education Coalitions (NECs) supported by the Global Campaign for Education (GCE)
2. To identify factors which influence the ability of NECs to mobilize resources
3. To identify strategies used by NECs to organize and managed successful resource mobilization programmes
4. To propose a model for resource mobilization to strengthen the role of CSOs in development

Research Questions

Identity, strategy and support context of NECs

1. Who are the NECs, what are their identity, strategy and support context?
2. Where do NECs draw legitimacy and funding from?
3. What public value do NECs seek to create with their resources and strategies?

Factors, which influence the ability of NECs to mobilize resources

4. Under what specific contexts do NECs mobilize resources for implement their strategies?
5. What organizational factors influence the success of NECs in resource mobilization?

Strategies used by NECs to organize and manage resource mobilization programmes

6. What strategies condition the success of the resource mobilization programme implemented by NECs?
7. What systems are used by NECs to support a resource mobilization programme to achieve its potential?

A resource mobilization model to strengthen the role of CSOs in development

8.   What would a sustainable resource mobilization model for civil society entail?

9.   What operational capacity would be required to implement a sustainable resource mobilization model?

10. What risks would a successful resource mobilization model for civil society face and how can these be addressed?

Contact Address

Geoffrey Odaga,

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South Africa

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Cell: +27836556256

Landline: 0027116151622

Dear participant,

I would like to invite you to participate in a study, as part of my Master Degree at UNISA entitled, "**Funding the Watchdog Role**": *An exploration of the current funding climate for Civil Society Organizations in Africa: The case of National Education Coalition supported by the Global Campaign for Educations*". The study has been approved by the **African Network Campaign on Education for All** (ANCEFA), a continent network of civil society organizations to which your National Coalition is a member.

Four (4) National Educations (NECs) will participate in the study, to provide information on the current funding climate surrounding their work, with the aim to identify factors that could influence NECs' ability to mobilise funding in the current volatile economic climate. The study will propose strategies to complement your effort in undertaking sustainable funding raising and resource mobilization in the long run. As a key player in the civil society campaign Network on Education for All, I would like to invite you to participate in the study. Your opinion and participation is highly valued.

If you would like to participate in this study, feel free to complete and return the consent form and the questionnaire enclosed by **25th of April 2014. Please send the completed questionnaire to** geoffrey.odaga@gmail.com.

Thanking you in advance for your assistance!

Please be assured of complete confidentiality as a result of your participation in this study. The information

you provide in the questionnaire below will not be attributed to you in person. Should you choose to participate, you will be free to withdraw from the study at any time without any obligation on your part. For any questions, do not hesitate to contact Mr. Geoffrey Odaga (Researcher) on telephone +27 79 620 7957.

I have read and understood the above information and I hereby grant my informed consent to participate in this study.

Signature: _____Name: _____Date: _____

Instruction

Please indicate your answer to each of the following. Double click the relevant text box provided and select "checked" in order to mark your choice of response accordingly.

1.   Your age

☐ 25-30 year☐ 30-35 years ☐ 35-40 years ☐above 40

2.   Your gender

☐Male ☐ Female

3.   Your academic qualification

☐Certificate ☐Diploma ☐ Degree ☐Ph.D. ☐ Other:

4.   Number of years of experience in NGO work

☐ 1-3 years☐ 3-5 years ☐ 5-8 years ☐above 8 years

5.   Number of years of experience with the national coalition

☐ 1-3 years☐ 3-5 years ☐ 5-8 years ☐above 8 years

6.   Your position in the coalition

☐National Coordinator ☐Staff ☐member ☐ Board member

7.   Number of years of experience in working with donors

☐ 1-3 years☐ 3-5 years ☐ 5-8 years ☐above 8 years

8. In your opinion, which of these factors has had the greatest impact on the ability of your NECs to undertake successful fund raising in the last 3-5 year (select 1)

☐ Shrinking international resources

☐ Increased competition

☐ Lack of funding diversity

☐ Others_____

9. Which of the following sources of funding has been the most important for your coalition in the last three years (select 1)

☐ International donors

☐ National/local government

☐ Private Foundations/Philanthropic organizations

☐ Business community

☐ Individuals

☐ Others_____

Explain...

10. In your opinion, which of the following type of sources is the most important for your NECs currently? (Select the top 5)

☐ Money

☐ Time and expertise

☐ Goods or in kind donations

☐ Voice, especially in advocacy initiatives

☐ Influence

☐ Information

☐ Assets

☐ Equipment

☐ Seconded staff

☐ Sponsorships

☐ Joint promotions/cause related marketing

☐ Others_____

Briefly explain...

11.   In your opinion, which of the following type of resources would be the most important for your NECs in the next 3-5 years (select the top 5)

☐ Money

☐ Time and expertise

☐ Goods or in kind donations

☐ Voice, especially in advocacy initiatives

☐ Influence

☐ Information

☐ Assets

☐ Equipment

☐ Seconded staff

☐ Sponsorships

☐ Joint promotions/cause related marketing

☐ Others_____

Briefly explain.................

12.   Which two of the following goals would you like to see your coalition achieving with its fund raising efforts over the next 3-5 years (select 2)

☐ Focus on raising more of annual income

☐ Build more long-term major gift partnerships

☐ Develop an endowment funding strategy

☐ Launch a capital campaign

☐ Others_____

The End: Thank you!

Purpose: To clarify the identity, strategy and support context of National Education; identify factors, and strategies which influence the ability of NECs to mobilize resources and explore the potential for a sustainable resource mobilization model to support the role of CSOs in development.

Questions

- Age
- Gender
- Academic qualification
- Number of years of experience in NGO work
- Number of years of experience with the national coalition
- Position in the coalition
- Number of years of experience in working with donors

Identity, strategy and support context of National Education

1. Who are the member organisations of the NEC?
2. What are the strategies used by the NEC and its members to achieve their objectives?
3. What are funding sources of the NEC?
4. What value does the NEC seek to create with the funding and the support it receives?

Factors influencing the ability of NECs to mobilize resources.

5. In which specific contexts has the NEC succeeded in resource mobilization?
6. What organizational factors have influenced this success?

Strategies used to organize and manage a successful resource mobilization programme

7. What strategies/approaches have conditioned the success/failure of the NEC's resource mobilization programme?

8. What systems are necessary for a resource mobilization programme to achieve its potential?

Potential for a sustainable resource mobilization model for the role of civil society in development

9. What would a sustainable resource mobilization model for civil society entail?
10. What operational capacity would be required to implement a sustainable resource mobilization model?
11. What risks would a successful resource mobilization model for civil society face and how can these be addressed?

<u>The End: Thank you!</u>

Purpose: To clarify the identity, strategy and support context of National Education; identify factors, and strategies which influence the ability of NECs to mobilize resources and explore the potential for a sustainable resource mobilization model to support the role of CSOs in development.

Questions

Identity, strategy and support context of NECs

1. What is the role of your organization as a member of the NEC?
2. What strategies do the members of the NEC use to achieve their objectives?
3. What value does your organization seek to create by being a member of the NEC?
4. What role does your organization play in the resource mobilization programme of the NEC?

Factors influencing the ability of NECs to mobilize resources

5. In which specific contexts has your organization succeeded in resource mobilization?
6. What organizational factors have influenced the success of your organization in resource mobilization?

Strategies used to organize and manage successful resource mobilization programme

7. What strategies have your organization used successfully in its resource mobilization programme?
8. What systems must be in place for a resource mobilization programme to achieve its potential?

Potential for a sustainable resource mobilization model for the role of civil society in development

9. What would a successful and a sustainable resource mobilization model for civil society entail?

10. What operational capacity could be required to undertake sustainable resource mobilization?

11. What risks would a successful resource mobilization model for civil society face and what could be done to address these risks?

The end: Thank You!

APPENDIX VI: REQUEST FOR PERMISSION TO CONDUCT A STUDY IN YOUR ORGANIZATION

Date: 10th October 2012

RE: Request for Permission to conduct a study on National Education Coalitions in Africa
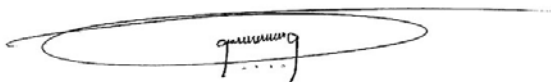
Dear Boaz,

Following earlier discussions with you, I am writing to formally request permission from the **African Network Campaign on Education For All** (ANCEFA) to conduct a study entitled, "*An exploration of the current funding climate of civil society organizations in Africa: The case of National Education Coalitions supported by the Global Campaign*", as part of my PhD study at the University of South Africa (UNISA).

I am proposing to conduct a study of 36 National Education Coalitions (NECs) in Africa, to explore funding climate surrounding civil society work in Africa, identify possible factors that could influence NECs' ability to mobilize funding for their work in the current volatile economic climate. The study will propose recommendations on strategies for sustainable fund raising and resource mobilization.

As you are aware, fieldwork for data collection has been scheduled to commence on November 20th 2012. I would appreciate your informed approval of this request. If you have any questions or concerns, please contact me at (+27) 796-207-857.

Thanking you in advance

Geoffrey Odaga
Student

Africa Network Campaign on Education For All

■ **Regional Coordination Secretariat**

B.P 3007 Dakar Yoff, Sénégal

Tél : (221) 33 824 22 44

Fax : (221) 33 824 13 63

E-mail: ancefa@orange.sn

Date: 20th October 2012

Subject: Letter of Permission for Your Research Project

Dear Geoffrey,

We received your request for the study entitled: Funding the Watchdog Role: "*An exploration of the current funding climate of civil society organizations in Africa: The case of National Education Coalitions supported by the Global Campaign for Education in Africa*".

I am writing to let you know that ANCEFA, the umbrella organization for National Education Coalitions in Africa has approved your request and hereby grant you permission to proceed with the study as scheduled.

As discussed with you, ANCEFA will take steps to inform the coalitions involved given the value of your research project to our mission to ensure quality education for all in Africa. The subject of your research offers valuable information to our campaign and we look forward to interacting with you during your fieldwork. I wish to thank you for putting our work at center of your studies. We wish you every success in this important project. If you need any assistance, please do not hesitate to contact me on telephone (+254) 722-663-290.

Thank you.

Boaz WARUKU

Africa Regional Program Coordinator,

The African Network Campaign for Education for All (ANCEFA)