

PD-ABQ-118



WORLD EDUCATION

Final Report

on

Phase I

of

PD&S Grant No. 690-G-00-97-00238-00

for three activities:

1. HIV/AIDS Knowledge, Attitude, and Practices Survey
2. Training of Trainers of HIV/AIDS Counselors
3. Feasibility Study of Setting up an Endowed Foundation for NGO Institutional Support

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October 27, 1997

INTRODUCTION

On August 4, the USAID Regional Center for South Africa, Botswana, approved PD&S Grant No. 690-G-00-97-00238-00 to World Education, Inc. (WEI) for activities associated with WEI's implementation of USAID Namibia's Reaching out with Education for Adults in Development (READ) Project in Namibia.

The grant is for three activities in Phase I, July 1, 1997 to September 30, 1997 and two activities in Phase II, October 1, 1997 to September 30, 1998. The estimated total for the two phases of the grant is \$393,632¹.

This is a Final Report on Phase I, as required in Attachment 1, page 4, paragraph 1E.2.(c) of the grant documents. This Report includes Final Phase I HIV/AIDS Counseling Training Report (Attachment I), a report on the Phase I KAP Survey activities (Attachment II), and a Final Endowed Foundation Study report (Attachment III).

This report is being submitted at this date as it had been hoped to include the financial data as required in 22 DFR 226.51 (d). However, not all the data has become available; therefore, rather than hold the narrative portions of the Report up further, it is being submitted without the data which will be submitted separately once it is complete.

ACTIVITY 1: HIV/AIDS Knowledge, Attitudes, and Practices (KAP) Survey

The purpose of this survey was to determine what changes have taken place since a similar survey was conducted two years ago in HIV/AIDS knowledge, attitudes, and practices. Secondly, the results of the survey will be used to refine the curriculum for the training of HIV/AIDS counselors and for home-based care providers.

During June and July, WEI had identified Social Impact Assessment and Policy Analysis Corporation (PTY) Ltd. (SIAPAC), a local consulting firm, to conduct the study. On October 6, 1997, SIAPAC delivered to World Education Progress Report 1 on their study (Attachment I). This report describes the work to date to recruit and train enumerators, describes the data collection processes, and comments on the overall progress to-date.

However, due to a crash in their research software, the need to order new software from abroad, and the need for time to install it, SIAPAC has not yet been able to analyze the data and write a final report. The date for delivery of this has now been moved to November 14, 1997.

In addition, assuming confirmation of funding of Phase II activities, we have entered into discussion with SIAPAC regarding the specific target group for this research activity during this phase. As of this writing, the target group which has priority interest is the commercial sex workers in Walvis Bay. In any case, the findings of the Phase II research will generate a report of its own plus be integrated into and thus partially comprise the final, comprehensive Final Report of the Phase I activities. This Final Report is due December 12, 1997.

ACTIVITY 2: Training of Trainers of HIV/AIDS Counselors

Following on the training of trainers of Community AIDS Educators that World Education had been doing for two years as part of its READ Project, WEI proposed a year-long effort to

¹ This amount was incorrectly stated to be \$244,238 in our last Progress Report dated August 29, 1997.

train trainers of HIV/AIDS counselors. The first phase of this effort, supported by the PD&S grant, was completed September 30, 1997.

Attachment II is a detailed report on this activity during Phase I. In addition to describing the activities undertaken during this time period, the report assesses some of the immediate, short-term impact on those trained and describes how these findings will be integrated into the Phase II activities.

ACTIVITY 3: Feasibility Study of Setting up an Endowed Foundation for NGO Institutional Support

As the focus of the READ Project has been to build the institutional capacities of Namibian NGOs, and as the READ Project is slated to be finished December, 1998, there is a concern about what might be a feasible way to support what are anticipated to be ongoing NGO capacity-building needs beyond that date. In its report last November, the READ Mid-term Review Team recommended that a study be conducted to determine the feasibility of setting up an endowed foundation for the purpose of providing this ongoing support. The PD&S grant provided funds for this study.

Ms. Jennifer Froistad, was identified to undertake the study. She began her work in the United States by reviewing available literature on the subject and by interviewing appropriate officials in Washington, New York, and Boston. On August 23, Ms. Froistad arrived in Namibia to continue the process of gathering information for this study. Further, as there is relevant experience in South Africa on this topic, she spent three days in Johannesburg to interview appropriate officials there.

Ms. Froistad completed her report on September 26, 1997. Please see Attachment III.

CONCLUSION

We are very pleased with the information generated and the developments promoted under all three activities of Phase I of the PD & S grant. We will have scientifically valid data upon which to assess the impact of our previous work training Community AIDS Educators; we have grounded information upon which to train the trainers of HIV/AIDS counselors; we have successfully launched, in cooperation with NGO partners, the Ministry of Health and Social Services, and the Ministry of Defense a program to train the trainers of HIV/AIDS counselors; and we have undertaken a study to assess one mode of providing institution-building support to Namibian NGOs.

The information generated and the developments promoted are all being integrated into the USAID-funded, World Education-implemented READ project and will have a significant impact on our ability to work with our partners to achieve the larger purpose of this Project and thus to have an impact on economic and social development in Namibia.

Attachment 1

**Progress Report 1 for the 1997
NANASO Follow-Up Study of
Youth Sexual KAP: Carried out
for NANASO and World Education**

Prepared by SIAPAC-Namibia

**Progress Report 1
for the 1997 NANASO
Follow-Up Study
of Youth Sexual KAP**

**Prepared by
SIAPAC**

P. O. Box 82, Windhoek, Namibia

**for
The Namibian Network of AIDS Service Organisations
(NANASO), World Education and USAID**

September, 1997

Table of Contents

Introduction	1
Aims of the Survey	1
Objectives of the Survey	1
Comments on the Objectives	1
Terms of Reference	2
Quantitative	3
Introduction	3
Start-Up	3
NANASO Counterparts	3
Field Effort	3
Quantitative Data Entry and Validation	4
Matching 1995 and 1997 Datafiles	5
Analysis	5
Qualitative Study	5
Introduction	5
Qualitative Instrument Design and Training	5
Qualitative Instrument Implementation and Initial Compilation	5
Qualitative Data Entry	6
Qualitative Data Analysis	6
Comments on the Process to Date	7
Issues Arising	7
Annex A: Checking-In Procedure: Quantitative	8
Annex B: Checking-In Procedure: Qualitative	10
Annex C: 1995 Commercial Sex Worker Proposal	13

Introduction

This Progress Report covers progress to date in the field completion, data entry/validation, and analysis start-up phases of the "Sexual KAP Survey for NANASO and World Education".

Aims of the Survey

The **study aim** is to provide NANASO, its affiliate NGOs, USAID, and READ with relevant data on sexual knowledge, attitudes (inc. beliefs), and practices, allowing comparisons with the 1995 survey findings, but also focusing on expected upcoming programmatic interventions (e.g. home-based care, populations with special needs, such as long-distance truck drivers, commercial sex workers, and spouses of migrant workers, etc.). A **secondary aim** is to counterpart train NANASO and NANASO-affiliated NGO personnel, supporting social survey skills development in the NGO community.

Objectives of the Study

The objectives of the study were indicated in a fax directed to SIAPAC dated 9 June, 1997:

1. To collect information on HIV/AIDS knowledge, awareness levels and attitudes towards people living with HIV/AIDS, of selected target groups. This data will be compared to available data from the 1995 KAP survey to make 'educated guesses' on the change in these three areas as compared to the period of the 1995 survey, and will be used as baseline data by NANASO/World Education/ Ministry of Health/NGOs in the design and implementation of the planned counseling training programme.
2. To collect data from specific targeted communities that will be useful in making inferential conclusions about the impact of the NANASO/World Education/NGOs community mobilisation and education initiative.
3. To ensure transfer of skills in the planning and implementation of quantitative and qualitative surveys from the implementing organisation to NANASO and World Education staff, as well as participating NGO trainers.

Comments on the Objectives

Regarding point 1, as will be noted below, because of additional financing provided by PSI, it was possible to retain the *four* strata used in 1995. However, due to budgetary limitations the overall sample size was smaller than in 1995.

Regarding point 3, SIAPAC will carry out a participatory performance appraisal of the counterparts, to be included in their personnel files. It should be noted that, while SIAPAC can guarantee that systems will be put in place which support the transfer of skills, the degree to which these skills are accommodated is equally based on the level of interest of the trainee.

Terms of Reference

The main elements of the consultancy were outlined in the Terms of Reference as follows:

1. Develop and conduct a follow-up survey which will focus on young people between the ages of 18 and 25 with specific emphasis on attitudes, as well as the attitudes related to living with and caring for people living with HIV and AIDS, for a target of over-35 year olds in identified populations.
2. Design KAP questionnaires, focus group discussion (FGD) topic outline and sampling strategies in co-operation with relevant NGOs.
3. Recruit and train interviewers and field [data collection officers] in KAP survey interviewing techniques.
4. Pre-test KAP survey questionnaires as part of the interviewer training.
5. Recruit and train moderators and rapporteurs in focus group discussion techniques.
6. Pre-test FGD topic outline guides as part of FGD techniques training.
7. Oversee KAP survey data collection.
8. Oversee implementation of focus group discussions.
9. Devise data entry screen and oversee double data entry of all survey questionnaires, reconcile data entry discrepancies and clean data files.
10. Have focus group discussions translated and typed into word processing programme.
11. Analyse and interpret survey data using the appropriate analyses.
12. Analyse and interpret focus group discussion data.
13. Write a comprehensive report on the survey, including an executive summary, brief programme description, description of the methodology used, results, conclusions and recommendations as appropriate.
14. Develop and implement a strategy for dissemination of the results of the survey.

Outputs comprise the following:

1. A comprehensive survey design document highlighting the following: 1) the research methodology to be used; 2) NGO involvement strategy; and 3) survey implementation plan.
2. Two executive summaries, one integrating findings with themes and recommendations and the other detailing key findings.
3. An overall main report covering all the aspects of the research, and specifically highlighting the level to which NANASO and World Education staff and NGO trainers acquired skills in planning and implementation of quantitative and qualitative data gathering methods.

Quantitative

Introduction

This section of the progress report describes the start-up, implementation and analysis phases of the quantitative survey.

Start-Up

An initial eight day training session was held at the SIAPAC office to train the enumerators and finalise all instruments. Training was led by the Study Manager, Mr. Edwin Tjiramba, SIAPAC's Senior Research and Projects Manager, assisted by SIAPAC's three Senior Field Supervisors (Mr. Eric Afrikaner, Mr. Raymond Shivangulula, and Mr. Jerry Mameja). Technical input was provided by Mr. Martin Tjituka of the READ Project.

Topics covered during training included background information on HIV/AIDS, issues to be raised in the study, study methodology, and a general background on quantitative and qualitative research methods. Pre-testing was carried out in Dordabis (Afrikaans, Nama), Ovitoto (Otjiherero, Afrikaans), and the Five Rand squatter settlement (Afrikaans, Otjiherero, Oshiwambo, Nama) outside of Okahandja.

Out of the 32 potential enumerators who attended training, 20 were selected and hired to act as enumerators for the study, based on performance during training and pre-testing. Upon completion of training and pre-testing, the quantitative questionnaire was finalised as Version 22.

NANASO Counterparts

Three officers were identified by NANASO and READ for possible involvement in the project. One, Mr. Tommy Karereho, acted as an assistant trainer and field supervisor. Two other potential candidates who were to act as enumerators also attended training, Mr. Docc Tuneeko and Mr. David Nanub. The performance of both these candidates was judged to be very good by the field supervisors, therefore both were identified as Junior Supervisors.

Field Effort

The study went into the field on 30 July, 1997. A total of four teams conducted the fieldwork, each consisting of five enumerators, two junior supervisors, and a SIAPAC Senior Field Supervisor. A total of 1,560 interviews were conducted across 120 clusters in four strata (Caprivi/Okavango Trans Caprivi Highway, Urban, Peri-Urban and Rural). It was possible to include the fourth strata of Caprivi/Okavango Trans Caprivi Highway, based on additional financing provided by GTZ, working with Population Services International (Namibia).

All 120 clusters were reached during the field effort. Of these, two were substitutes, arising from access problems. Every effort was made to 'match' the replacement cluster with the original cluster. In the case of Oranjemund, Rosh Pinah was substituted after discussing the situation in the town with the AIDS officer for CDM¹. Her concern was that it was going to be very difficult to find the right age group, and therefore suggested that another location be found instead. Regarding Okatuuo, Otjimbingwe was substituted for Okatuuo because there were no people aged 18-25 in the community at the time of the survey.

One cluster was missed in the field effort, therefore a follow-up team was sent to the final location (a commercial farm near Grootfontein) immediately following arrival of the four field teams.

Quantitative Data Entry and Validation

All questionnaires were checked in the field by field supervisors. Questionnaires were sent or dropped at the SIAPAC office when possible, so that data entry could begin as soon as possible. A 'Completed Questionnaire Check-In' system was put into place to ensure that each of the teams did the requisite number of questionnaires. The Check-In Officer, Ms. Auala, ensured that each supervisor had checked and signed off on each set of questionnaires delivered. Once received, coding, data entry, validation and correction were the next steps carried out before the data could be made available for analysis.

In the field, once a questionnaire was completed and submitted to the field supervisor, the field supervisor checked and coded each question, entering the requisite codes into a right-hand column in red. These codes were used for data entry by the data entry officers. All open-ended responses were taken to the Study Manager for coding. A single Master codebook was used to keep track of these non-pre-coded responses.

Data entry was undertaken in Microsoft Excel by three data entry officers. Six data validation officers conducted a 100% validation of the datasets. This process was overseen by the Study Manager.

Once validation was completed, data corrections were carried out by one of the Senior Field Supervisors.

Coding of data entry and validation is registered on each questionnaire (see Annex A).

¹ The same substitution was made in 1995.

Matching 1995 and 1997 Datafiles

Following cleaning of the data files, the 1995 and 1997 Excel databases were modified to ensure that the columns were consistent across the two studies. This allows proper comparison of the two databases.

Analysis

Analysis is expected to begin in early October, using the Statistical Package for the Social Sciences (SPSS; the same package used for the 1995 study). A delay occurred due to the collapse of the SPSS Version 6.1.1 software. Despite repeated attempts to repair the software on multiple computers and to reload the programme using two versions, the software continued to fail. As a result, Version 7.0 was ordered on 29 September. The software is expected to arrive the first week of October.

Qualitative Study

Introduction

Three approaches were employed for the qualitative field data collection: Focus Group Discussions; Local Level Key Informant Interviews; and Story With A Gap.

Qualitative Instrument Design and Training

Design of the qualitative instruments took place at the same time as quantitative questionnaire design occurred. Training took place after hours and when quantitative pre-testing was being carried out. Because of the higher skills required to implement the qualitative instruments, those enumerators who performed best during training were selected to administer the qualitative instruments, acting as Junior Supervisors.

Qualitative Instrument Implementation and Initial Compilation

A total of 15 focus group discussions, 27 local level key informant interviews, and 7 story with a gap instruments were administered nationwide. Following administration of each instrument, the interviewer prepared the notes from the session by hand.

Qualitative Data Entry

Compiled findings were submitted to the Qualitative Data Supervisor for checking and preparation for entry. To facilitate the analysis of the qualitative data, each qualitative interview was transcribed into a Microsoft Word file on computer. 'Template' files were prepared by the Qualitative Entry Supervisor. The template consisted of a sample document header (including information such as the name of the community, category of participant, etc.), a copy of each question in the instrument, and appropriate sub-headers so that the document could be properly imported into the qualitative data analysis programmes.

Data entry was undertaken by two qualitative data entry officers. Several procedures were utilised to prevent errors. Each document, after being entered, was spell checked by the data entry officer and proofed by a data compilation supervisor. When the document was corrected by a supervisor, the supervisors name was signed on the hard copy and tracking sheets. At the end of each day, the data entry officers made back-up copies of their files on diskettes and took them home to ensure no loss of data.

As of 30 September, of the total of 49 documents, 33 have been entered and checked. It is anticipated that, by 8 October, the remaining documents will have been entered. Qualitative files tracking sheets are included in Annex B.

Qualitative Data Analysis

Once all documents have been transcribed onto the computer, they will be imported into a qualitative analysis software programme called NUD•IST (Non-Numerical Unstructured Data Indexing, Searching and Theory-Building). This software programme compiles a database of qualitative data and allows the researcher to connect particular documents or document sections to a 'tree', a hierarchical structure of themes and variables which are then used to analyse the qualitative data.

NUD•IST has the capacity to search text of any or all documents, to combine document sections attached to a particular theme, and to test hypotheses. SIAPAC in the process of constructing the conceptual tree, which will also be ready by 8 October. Once completed, the 49 files will be imported into NUD•IST and coded to this tree.

When the coding is complete, data which refer to specific themes (e.g., home-based care, home-based care discussed by people in Strata 1, home-based care discussed by church leaders in Strata 1, etc.), can be separated from the rest of the data and printed out as a data report. These data reports serve as the basis for the write-ups for inclusions in the full report.

Comments on the Process to Date

The field data collection effort went well, and co-operation was extremely high. Data entry and validation was carefully supervised. All activities have been completed on time, with the exception of analysis, due to the problems suffered with SPSS (see the above discussion).

Based on the arrival of SPSS 7.0 in early October, it is anticipated that data analysis will take place during the month of October. A draft report is expected to be ready for submission in November.

Issues Arising

SIAPAC is pleased to note that payment for invoices submitted to date have been extremely timely, and thank both USAID and READ for this timely payment. SIAPAC understands that the contract for payment via the 1997/98 funds (US\$20,000) is nearing completion, and looks forward to completing its responsibilities related to this second contract.

It should be noted that SIAPAC remains willing to assist NANASO and READ with Phase 2 studies. Having previously prepared a proposal for the Ministry of Youth and Sports for a participatory assessment involving commercial sex workers in Walvis Bay (the study was never carried out), SIAPAC would be most keen to support NANASO/READ in carrying out such a study. The draft proposal is included here as Annex C.

Finally, while SIAPAC has a contract for 1996/97 from READ, and while the 1997/98 contract is being finalised, no contract has yet been received from PSI/GTZ. SIAPAC has discussed this with PSI, has submitted correspondence to GTZ explaining what information from the survey would be most valuable to them, and has submitted an invoice covering 50% of total costs. No payment has, however, yet been received. SIAPAC urgently requests PSI/GTZ to resolve the outstanding contractual issues and issue payment as soon as possible.

Annex A

Checking-In Procedure: Quantitative

# of Repeat Visits:	_____
Enumerator Self Check (field), print surname:	_____
SIAPAC Junior Field Supervisor Check (field), print surname:	_____
SIAPAC Field Supervisor Check (field), print surname:	_____
NANASO Check (field), print surname:	_____
NANASO Check (office), print surname:	_____
SIAPAC Field Supervisor Check (office), print surname:	_____
SIAPAC Junior Field Supervisor Check (office), print surname:	_____
SIAPAC Research Officer Check (office), print surname:	_____
Other Check (field), print surname:	_____
Other Check (office), print surname:	_____
Research Officer Coding of Open-Ended Responses:	_____
Date Questionnaire Entered _____ print surname:	_____
Date Questionnaire Validated _____ print surname:	_____

Annex B

Checking-In Procedure: Qualitative

NANASO QUALITATIVE FILES TRACKING SHEET

File Name	Received From	Entered By	Checked By
FGD 1 2 Katutura	Raymond	Angelinah	
FGD 1 2 Oshakati	Jerry		
FGD 1 2 Swakopmund	Leonard	Maria	
FGD 1 3 Grootfontein	Raymond	Maria	
FGD 1 4 Katutura	Raymond		
FGD 2 1 Rehoboth	Leonard	Maria	
FGD 3 1 Endadi	Jerry	Angelinah	
FGD 3 1 Okakarara	Raymond		
FGD 3 3 Ongenga	Jerry	Angelinah	
FGD 3 3 Schlip	Leonard	Maria	
FGD 3 4 Kalkoond	Leonard	Maria	
FGD 4 1 Rundu	Erich	Angelinah	
FGD 4 2 Katima Mulilo	Erich		
FGD 4 3 Bagani	Erich	Maria	
FGD 4 4 Malindi	Erich	Maria	

File Name	Received From	Entered By	Checked By
LLKII 1 1 2 Rundu	Erich		
LLKII 1 1 3 Ndama	Erich	Angelinah	
LLKII 1 2 2 Grootfontein	Leonard	Einny	
LLKII 1 2 4 Otjiwarongo	Leonard	Angelinah	
LLKII 1 2 10 Keetmanshoop	Leonard	Maria	Sarah
LLKII 1 3 2 Onandjokwe	Jerry	Angelinah	
LLKII 1 3 3 Rehoboth	Leonard	Angelinah	Sarah
LLKII 1 3 4 Okahandja	Jerry	Maria	
LLKII 1 3 8 Okakarara	Leonard	Angelinah	
LLKII 2 1 3 Kongola	Erich	Maria	
LLKII 2 2 9 Rosh Pinah	Raymond	.	
LLKII 2 3 4 Leonardville	Raymond	Angelinah	
LLKII 3 2 3 Katutura	Leonard	Angelinah	
LLKII 3 2 7 Katutura 1	Leonard	Loretta	
LLKII 3 2 7 Katutura 2	Leonard	Loretta	
LLKII 3 3 2 Ruacana	Raymond	Maria	Sarah
LLKII 3 3 10 Arandis	Erich	Angelinah	Sarah
LLKII 90 4 1 Okatuuo	Leonard	Angelinah	
LLKII 287 4 1 Onalushua	Jerry	Einny	
LLKII 308 1 4 Vungu Vungu	Erich	Angelinah	
LLKII 526 1 4 Shakwa	Erich	Maria	
LLKII 876 4 3 Omushimani	Jerry	Loretta	
LLKII 963 3 8 Onuno	Jerry	Angelinah	
LLKII 1290 1 1 Makasa	Erich	Angelinah	
LLKII 1342 1 7 Mutjiku	Erich	Angelinah	
LLKII XX 4 5 Engela	Jerry	Maria	
LLKII XX 3 7 Ontakele	Jerry	Einny	
SWAG 1 1 Otjiwarongo	Raymond		
SWAG 1 2 Oshakati	Jerry		
SWAG 1 2 Oshakati 2	Jerry	.	
SWAG 2 2 Outjo	Leonard		
SWAG 2 4 Mariental	Obedine	Maria	
SWAG 3 4 Onuno	Jerry		
SWAG 4 2 Kambinda	Erich	Maria	
SWAG 4 3 Rundu	Erich	Angelinah	

Note: These document titles reflect a titling system which has been set up to facilitate qualitative analysis. The document title is coded with certain information so that later on, one can read demographic information simply by looking at the title. The initial title code, e.g. "SWAG" is an abbreviation of the instrument type. For the Story With a Gap and Focus Group instruments, the second code, e.g. "4" is the strata code and the third code is for the participant category. For Local Level Key Informants, the second code, e.g. "1342" is the Location code, the third code is the strata, and the fourth code is the participant's position. The final name at the end is the name of the community or location where the interview took place.

For example, LLKII 1290 1 1 Makasa means that the document is a local level key informant interview in location code 1290, in the Caprivi strata, with position code 1 (a headman), from the Makasa community.

Attachment II

**REPORT OF THE COUNSELLING/
HOME-BASED CARE TRAINING
PROGRAMME**

For the period July 1, -
September 30, 1997

Submitted to the United States Agency for International Development
(USAID)

the Joint United Nations Programme on HIV/AIDS (UNAIDS)

the Ministry of Health and Social Services (MOHSS)

AIDS Care Trust (ACT) and

Ministry of Defense

**By Martin Tjituka,
with inputs from Rev. Sam Mulindwa-Sempungu,
Sepiso Slinger, Engelberth Mwanyangapo and
Ananias Nashilundu**

REPORT OF THE COUNSELLING/HOME-BASED CARE TRAINING PROGRAMME

INTRODUCTION

Since 1990, the number of new HIV infections had been doubling every 12 months and the cumulative figure for reported HIV and AIDS cases is currently close to 30 000, up from only 4 cases in 1986 when the first cases were identified in Namibia. Recent sentinel studies based on women who attend antenatal clinics, suggest that up to 11% of the sexually active Namibian population could be infected with the virus. That represents an estimated figure of 80 000 people being infected with the virus.

Behind these figures are people. Fathers, mothers, children, friends and colleagues. The tragic fact of AIDS is that it can never be romanticized. Like many social problems (unemployment, orphans), it can never be wished away. The only way Namibians will be able to cope with the problem, is by knowing more about it, and planning more against it. Well-calculated, well-orchestrated and concerted efforts, based on correct knowledge of the intricacies of human behaviour and attitudes, implemented by well-trained, committed and motivated individuals and groups, is the hope of this nation's future in the face of a merciless pandemic.

This report highlights the first phases in the implementation of a programme that is considered by the implementing and funding agencies to have the potential to do just that. Basic to the implementation approach of this HIV/AIDS counselling and home-based care training programme is the unwavering belief that "more hands can do much more." Because of this understanding, the implementors of this programme are fervently committed to expanding the response to HIV/AIDS prevention, and to care of those who are infected and affected by this dreadful epidemic.

The mathematics is simple: if each of the 19 trained trainers from the 13 regions train 15 trainers of counsellors and home-based care givers; and each of these 285 trainers manage to train 15 counsellors and home-based care givers in their respective communities; and each of these 4,275 counsellors and HBC givers manage to give basic information to (even) 10 households (with an average of 5 people each), then the multiplying effect can reach more than 200 000 Namibians within one year.

What is needed now is action, action, action.

BACKGROUND & CONTEXT

In 1995 World Education, in partnership with the Namibian Network of AIDS Service Organisations (NANASO), implemented a two-year AIDS education for prevention programme which was funded by the United States Agency for International Development (USAID).

A needs assessment was done before the implementation of the programme, and participants from the NGO- and public sectors identified training as the underlying need in Namibia in the field of HIV/AIDS. This group also identified three training

content areas which they felt could be addressed by the programme: AIDS education for prevention, counselling and home-based care.

In the implementation phase of that programme, 36 trainers from 9 different NGOs were trained during a 10 month training programme which used a participatory, community-based training approach. Because of this training, more than 30 communities were mobilised by the trainers, and more than 350 community AIDS educators from these communities volunteered their time to be trained by the NGO trainers.

Anecdotal indicators from an impact assessment which was done towards the end of the implementation of that programme, showed that one of the spin-offs of the programme was the increased need for counselling and home-based care activities. This was expressed by community members and NGO trainers alike, and was actually a repetition of the priorities identified during the needs assessment and planning phases of the programme.

Since the funding for the programme only catered for the AIDS education part only, the implementing agencies (World Ed and NANASO) decided to seek additional funding to enable them to implement the counselling and home-based care training parts of the programme and approached USAID once again with a request to this effect. At the same time, the Ministry of Health and Social Services approached UNAIDS for assistance to enable them to implement a similar programme catering for the public sector, but after realising that they did not have the expertise to implement such a training programme, they approached World Ed and NANASO to assist in terms of the human resources. On the other side, NANASO and World Ed realised that although the NGO identified the need at community level for counselling training, they did not have the capacity (in terms of human resources, supervision and support structures and financial capabilities) to participate viably in the counselling training programme.

A partnership was forged between the two implementing partners and the Ministry of Health and Social Services according to which USAID and UNAIDS would provide the financial resources, NANASO and World Education would provide the technical know-how and training expertise and the Ministry of Health would provide selected trainers from all 13 regions of the country. AIDS Cart Trust (ACT) also provided two trainers from its pool of counsellors, as well as the Ministry of Defense.

NEEDS ASSESSMENT

OBJECTIVES

A pre-implementation needs assessment exercise was undertaken with the following two objectives in mind:

1. To find out what is being done in the field of HIV/AIDS counselling and home-based care in the different regions of Namibia

2. To find out what are the specific needs of the different organisations, institutions and participants who will participate in the counselling training course with a view of incorporating these into the curriculum

The needs assessment was done in two phases:

1. A workshop on 29 -30 July 1997 with participants from 10 different regions
2. Field visits to the head offices of the 4 health regions, namely: Rundu, Oshakati, Otjiwarongo and Windhoek on 3 - 8 August 1997.

OUTCOME

Several observations and recommendations were made as an outcome of the needs assessment exercise, but overall, there was a confirmation of the following three assumptions of the implementing partners:

1. Counselling services that are provided, are insufficient because all the health workers who fulfill the role of counsellors, are not properly trained counsellors and are overloaded with other tasks, which result in counselling being neglected.
2. A properly monitored and -updated follow-up system of tested and/or counselled clients is lacking in all the centres where counselling is done. Also, referral of clients between different service providers like private doctors and health facilities is done haphazardly and many cases therefore fall between the cracks. Some participants felt that many cases of people who commit suicide after they find out that they are HIV positive, could be prevented if there was a functioning referral system in place.
3. Community involvement in home-based care activities is minimal if compared to the potential of communities to deal with disasters. A programme of sensitizing and educating community and family members in how to care for their loved ones who are living with HIV and AIDS, while taking all the necessary precautions for self-protection, was suggested as one of the ways how community participation could be increased.

The training team also got a sense of the discrepancies between the counselling training needs of different regions. Specifically, the visits were also used to meet, interview and verify the suitability of the selected government trainers and the sensitize their supervisors on their new role as trainers.

CURRICULUM DEVELOPMENT

Following the needs assessment exercise, and informed by the data that was collected during that process, the training team developed a curriculum for the first phase of the training of trainers course. This was done during a three-week workshop on 11 - 29 August 1997. Although the initial expectation was to develop a curriculum for the three training workshops of the TOT, the process turned out to be longer than anticipated because the exercise was used as a training opportunity in curriculum development for the three co-facilitators.

However, the result is an indigenous counselling curriculum for Namibia and the team scheduled the first two weeks of December to review the first phase's curriculum and develop the remaining phases'.

TRAINING WORKSHOP 1

The counselling and home-based care training programme is implemented over a 10-month period in four phases. Each of the first 3 phases consists of a 2-week TOT workshop and related field work. During the field work, the training team visits all the trainers to provide them with feedback and hand-on support.

Phase 4 will provide the trainers with an opportunity to present their case studies. Results of the continuous evaluation will be discussed and successful trainers certified as Trainers of Counsellors and Home-based care givers.

Official launching

As part of TOT workshop 1, an extra 3 days were added to the programme to orientate participants to the training programme and to give them a chance to express their commitment to the 10 months training programme.

On the third day, leaders from the different participating organisations as well as the two donor bodies, attended a launching ceremony where the Deputy Permanent Secretary of the Ministry of health, Mr. Onesmus Akwenye officiated launched the programme on behalf of the Permanent Secretary of the Ministry of health.

Content & Methodology

Topics covered during phase 1 included:

- Facts of HIV/AIDS
- Sex and sexuality
- An in-depth coverage of the topic and practice of counselling
- Reporting and recordkeeping
- Problem-solving techniques
- Sexually Transmitted Diseases (STDs)
- Women vulnerability.

Emphasize was placed on the application of different components of the counselling model. Also included in the programme, was a field trip to communities in and around Katutura. The field trip was used to give an opportunity for the participants to reflect on strategies of community involvement and to see first hand the quality and variety of counselling services provided at those sites that were selected. Also as part of the field trip, participants visited counselling centres as health centres as well as the Blood Transfusion Service.

In line with the basic training philosophy followed by the implementing organisations, the training methodology used was a participatory approach that stressed the previous experiences of the participants as adults and building upon those. Adult learning techniques were used to facilitate the learning process.

Objectives

The goal and objectives of the training programme are as follow:

GOAL:

To mitigate the impact of HIV/AIDS on communities through improved counselling/home-based care services and the establishment of an effective referral system

OBJECTIVES:

1. To equip at least 3 Namibian trainers with advanced skills in training other trainers for future counselling and home-based care training programmes
2. To equip at least another 12 counsellors and home-based care workers from selected NGOs and government ministries with skills to:
 - in the case of trained counsellors, to mobilize targeted communities to identify community educators who will be trained by these trainers to provide basic counselling to their respective communities; and
 - in the case of trained home-based care workers, to competently apply their skills in their different work settings to provide the necessary care for people living with AIDS and motivate and train relatives and friends how to care for AIDS patients in the home setup.
3. To plan, organise and execute training of trainers (TOT) counselling and home-based care workshops.
4. To do on-the-job progress assessment and provide feedback to both the co-facilitators and well as the workshop participants during field visits after the workshop
5. To develop an indigenous training curriculum for trainers of counsellors and home-based care workers that could be used in the future

Outputs

The scope of work for the Training consultant lists the following outputs by the end of September 1997:

1. A needs assessment report
2. A document outlining a strategy for skills transfer and provision of mentoring to master counselling and home-based care training of trainers
3. A curriculum detailing a 10 months training of counsellors and home-based care workers training course
4. A comprehensive report on the training course, highlighting the expected outcomes that were achieved as measured against baseline indicators, impact of the training programme and a summary of lessons learned that might be relevant for replication; as well as unintended results and problems, delays or adverse conditions that prevented the attainment of planned goals.

All the above-stated outputs were achieved, except number 3 which was achieved partially, in that only the curriculum of the first phase TOT could be completed, instead of the curricula for all 4 phases.

One major factor that contributed to this state of affairs is that the contract for the PD&S funds was not signed until August 4, 1997, while the programme was supposed to have started on July 1, 1997. As a result, the training team delayed the implementation of some activities, and that had a ripple effect on the timely delivery of this specific output. In addition, due to staff changes at NANASO, one of the major co-implementors of the training programme, the training consultant had to recruit two new inexperienced trainers as co-facilitators, with the consequence that the pace of the curriculum development process was slowed down significantly.

Evaluation

The bottom-line is that 4 trainers are being trained to be able to take over counselling and home-based care training activities in Namibia; and another 15 are being trained to be able to train other trainers and counsellors/home-based care givers from NGOs and the government in their respective regions. Through their one-on-one style of mobilising decision-makers of the participating organisations, the training team managed to rally support and commitment to the training programme. This will go a long way to address the shortage of skills, the attitude of apathy in many regions towards counselling and the establishment of counselling and home-based care as the launching pads for care to those living with HIV/AIDS and prevention for those who are not yet infected.

In that sense, the first few activities related to the counselling and home-based care programme proved to be successful, and laid a foundation for the remaining activities.

The training team spent a week after the training to do a thorough analysis of the participants' evaluation of the workshop, review the curriculum that was used and to develop a plan for the field support visits. This exercise proved very useful and several issues came up and these will be discussed in the next section.

Recommendations, Observations and lessons

1. One of the major points from the evaluation was that several participants rated sessions as "boring" towards the end of the workshop. This was a time when the Training consultant was in hospital for an operation and the only other training team member with co-facilitation experience left the training due to the death of her brother. This highlighted the need for the co-facilitators-in-training to get additional facilitation skills, in time before the next TOT workshop. **The evaluation team therefore recommended that an extra workshop should be organised towards this purpose.**
2. Since TOT 1 focused on the counselling model, and since the major Training consultant could not facilitate this section due to ill health, the evaluation team felt that the participants did not benefit optimally from the presentation of that section. **The team therefore recommended that section to be reviewed during the next TOT, and in this regard recommended that two extra days should be added to the two weeks.** This sentiment was echoed by the Training consultant.
3. There were many comments from participants that concerned the logistics of the workshop; like accommodation and food; transport of participants from and to their respective places of work, etc. The training team took cognizance of the fact the

training was disrupted by many factors beyond their control, but expressed the intention to improve on those areas which are within their control.

Further training workshops

The next training workshop will focus on home-based care and community mobilisation issues. Participants are also going to be exposed to deeper issues in counselling. That will be followed by field work. The training team will continue to provide hands-on support to the trainers.

TOT Workshop 3 will focus on the facilitation and training abilities of the participants, and during the workshop they will have to develop training plans for their respective regions and implement those during the subsequent field work.

The last workshop will only be one week long and will focus on evaluation of the skills and knowledge of the participants. Those that are found to be successful will be certified.

FIELD SUPPORT VISITS

At the time of writing this report, the training team have criss-crossed mostly the northern parts of Namibia on visits to most of the trainers. Initial indications from telephonic conversations is that the support visits are highly appreciated not only by the participants/trainers, but also by their supervisors who gained better insight and was motivated by the commitment of the training team.

A full report will be submitted upon completion of that activity and will be forwarded separately.

**COUNSELLING/HOMEBASED CARE TRAINING
PROGRAMME
PARTICIPANTS LIST**

Name	Partner organisation	Region
Facilitator/Consultant		
1. Rev. Sam Mulindwa	World Education	--
Co-Facilitators		
1. Sepiso Slinger	NANASO	Khomas
2. Engelberth Mwanyangapo	MOHSS	Oshana
3. Ananias Nashilundu	NDF	Erongo
4. Loide Shivute	MOHSS	Khomas
Trainers		
1. Monica Shikongo	ACT	Khomas
2. Maria Iipumbu	NDF	Otjozondjupa
3. Agnes Mwilima	MOHSS	Caprivi
4. Milka Shetekela	MOHSS	Kavango
5. Diana Shilongo	MOHSS	Oshana
6. Timothy Kaulinge	MOHSS	Ohangwena
7. Martin Imene	MOHSS	Oshikoto
8. Thusnelde Shiikwa	MOHSS	Omusati
9. Ateria Evard	MOHSS	Kunene
10. Christophine Katjitae	MOHSS	Erongo
11. V. Mogotsi	MOHSS	Omaheke
12. Gabriel Uirab	MOHSS	Khomas (Katutura Clinic)
13. Lucy Bock	MOHSS	Khomas (Central Hospital)
14. K. Ohlman	MOHSS	Karas
15. Julia Ilovu	MOHSS	Khomas (Social Services)

Attachment III

**On Establishing an Endowed Foundation to Support
NGO Capacity Building in Namibia**

A Feasibility Study commissioned by World Education
under a grant from USAID/Namibia

Jennifer Froistad
September, 1997

TABLE OF CONTENTS

EXECUTIVE SUMMARY	3
INTRODUCTION AND CONTEXT	5
OBJECTIVES AND APPROACH.....	6
FOUNDATIONS AND ENDOWMENTS.....	7
FOUNDATION MODELS	7
FINANCING MECHANISMS	9
THE NAMIBIAN CONTEXT	11
NURTURING CIVIL SOCIETY	11
<i>NGOs in Namibia.....</i>	<i>11</i>
<i>Institution building.....</i>	<i>12</i>
CONSTRAINTS AND OPPORTUNITIES	13
<i>Wealth and the Private Sector</i>	<i>13</i>
<i>Philanthropy.....</i>	<i>13</i>
<i>Legal and Tax Context.....</i>	<i>14</i>
<i>The Government.....</i>	<i>14</i>
<i>The Vanishing Donors</i>	<i>15</i>
<i>Exemplars of Civil Society Leadership.....</i>	<i>15</i>
A NAMIBIAN CIVIL SOCIETY RESOURCE ORGANIZATION	16
RATIONALE	16
CHARACTERISTICS OF A VIABLE CSRO	17
DEVELOPING A CSRO	18
INTERIM SUPPORT FOR NGO INSTITUTION BUILDING	19
IN CONCLUSION.....	19
APPENDIXES.....	21
APPENDIX A: SOURCE MATERIALS.....	21
APPENDIX B: PERSONS INTERVIEWED.....	27
APPENDIX C: ROUGH OUTLINE OF PHASES IN CREATING A CSRO.....	29
APPENDIX D: TERMS OF REFERENCE	30

Executive Summary

Namibia is at a point in the development of its multi-racial, multi-ethnic democracy when the strengthening of its non-governmental organization (NGO) sector is of critical importance. NGOs are the prototypical civil society institutions. They are the expression of a free people, joining together to solve problems. They are pluralistic by nature, representing the expression of diverse interests and needs and are often advocates for society's unmet needs. Independent of government, they work in partnership with government both as implementers of programs and as a 'loyal opposition' to both government and the marketplace.

NGOs provide a training ground for democratic participation as has recently been evidenced in Eastern and Central Europe and Latin America, as well as South Africa. As self-governing, nonprofit, private organizations, pursuing public purposes outside the formal structures of government, they are a fundamental base on which democracies can be built and sustained. Indeed, the strength of a country's NGO sector may be one of the better indicators of the strength of its democracy.

The NGO sector in Namibia is young. NGOs suffer from a lack of institutional history and the experiences which forge leadership. Yet they show great promise. They will play a key role in the development of the new Namibia. How well they are able to play their role will depend greatly on how quickly and how well they are able to build the capacity of mature NGOs. The role they are being asked to perform requires no less sophistication than that performed by highly experienced international NGOs with decades of experience.

In the past decade, a community foundation model has been successfully adapted outside the United States to support NGOs.¹ This approach holds much promise for developing countries. Often termed a community foundation-like organization, its essence may best be captured in the phrase 'Civil Society Resource Organization.' A CSRO would be an excellent mechanism to support NGOs in Namibia.

A Namibian CSRO would provide multiple benefits. Not only would it provide resources and other services for NGOs, but, in its governance and organization, it would also serve as a model of multi-racial cooperation and private-public partnership. A successful institution of this kind would demonstrate the effectiveness of building the bridges that are so critical if Namibia is to flourish as a just and peaceful society.

¹ See Appendix A: Kenya Community Development Foundation

The creation of a Namibian CSRO will not be simple or easy. It will take several years, but its development ought not be rushed. Its ultimate success requires that it possess characteristics that take time to form and coalesce -- characteristics such as a core of deeply committed leaders, representative of key stakeholders, and a source of sustained funding, such as an endowment. Considering that this institution is meant to last in perpetuity, the effort and time to build it are worthy investments.

During the period it will take to establish this CSRO, it is critical that support for NGO institution building and leadership development continue. This is necessary for two reasons: first, NGOs have important services to provide in meeting Namibia's development needs and they need help to do this; secondly, NGOs must be strong if they are to be viable civil society partners. Namibian NGOs are in various stages of their evolution; what they have in common is the desire and need to build their own capacities. To postpone assistance to them until a CSRO is in place would put all but the most established NGOs at risk. This could have serious implications for service delivery to beneficiaries. And, it would undercut the good work and significant investments of the past few years.

NGO participation in USAID's recently announced human resource development program will be important. It is a necessary, but not a sufficient, strategy to meet the broader institutional and leadership development needs. Given the enormous experience gap that exists in the NGO sector, initiatives which stress technical assistance and mentoring, consultation *in situ*, are extremely important and prove very cost effective. Extension of at minimum the technical assistance aspects of the READ project is therefore highly advisable.

The best strategy is one which continues to strengthen the capacity of Namibian NGOs to take their place as leading civil society actors **and** helps put in place a mechanism to sustain them into the future. It is hard to think of a more apt parting gift from USAID and the people of the United States than the creation of an endowed, independent institution dedicated to ensuring the strength of Namibia's civil society.

Introduction and Context

This report represents the results and recommendations of a study commissioned by World Education under a grant from USAID/Namibia. Since 1993, World Education has been implementing the USAID funded READ (Reaching out with Education to Adults in Development) Project. The impetus for this study grew out of a recommendation in the Project Mid-term Review that consideration be given to establishing an endowed foundation to carry on the work of NGO capacity building after the READ Project ends in December, 1998.

The study was conducted over a five week period from 8 August to 26 September 1997. The first two week phase involving literature review and interviews with experts in the field of endowments and foundation building took place in the United States (primarily New York and Washington, DC). The second, longer, phase involved an assessment of the needs and opportunities in Namibia.

Certain basic assumptions underlie the context and, hence, conclusions of this study: first, that NGOs are a critical building block of the pluralistic civil society desired in Namibia; and second, that the need to nurture and sustain NGOs is, as the need to preserve the environment, both urgent and continuous.

Objectives and Approach

The Terms of Reference² state the purpose of the study: "to gather and organize information which can be used to make an informed assessment" of the option of endowing a foundation to continue the NGO capacity building work of the READ project. The end point is the notion of creating an endowed foundation. To do that required understanding the nature of both endowments and foundations -- the former being a financing mechanism, the latter being an organizational model. It was especially important to understand the array of options and lessons learned in applying an originally US inspired approach to non Western settings to be able to assess a potential fit in the Namibian context.

Through literature review and interviews³ it was possible to categorize funding mechanisms and organizational models to determine their appropriateness in different circumstances. This proved very helpful when considering options within the particular opportunities and constraints of the Namibian social, economic, political, legal and development context.

The assessment of the Namibian environment and the potential for an endowed foundation to take root there is perforce preliminary. Given the limitations of time, it was possible only to touch the surface of this complex society, but from this a picture of the landscape emerged. Review of the extensive studies on Namibian NGOs as well as one-on-one interviews and group meetings were very informative regarding both NGO needs and capacities, and donor attitudes and intentions. Through general discussions, as well as meetings with NGO executives, donors and business representatives, it was possible to get a sense of private sector interests and inclinations. Interviews with government officials, and accountant and legal counsel, enabled an informed understanding of the legal and tax environment.

² See Appendix D

³ See Appendix A for a list of source materials reviewed and B for persons interviewed

Foundations and Endowments

While there is considerable literature on foundation formation, organization, and financing, until recently most was limited to the US experience. In the last few years, however, this has changed as lessons are being learned from a variety of new initiatives⁴. Endowments have been used by USAID, for example, to fund the establishment of environmental and agricultural research entities in Latin America, Asia, and Africa; and community foundations, in particular, have proved to be an adaptable model to advance philanthropy in new settings. Much of this work has been spurred on by increasing concern that decades of development assistance, and millions of dollars of aid, seldom result in the desired sustained benefits for the majority of disadvantaged populations.

Foundations represent a particular kind of non-governmental organization, focused on resources. They are distinguished, traditionally, by three main characteristics: purposes which extend over time, the intention to exist in perpetuity, and an emphasis on being a sustained financial resource. The attractiveness of these organizations as mechanism for sustainability is hence apparent.

Foundation Models⁵

Foundations are private, independent institutions, governed by boards of trustees composed of individuals who have access to the resources of importance to the particular foundation: financial resources, expertise in the foundations' areas of interest, and financial acumen.

There are three fundamental types of foundations: private grantmaking, operating, and community. Private, grantmaking foundations are most commonly found in the United States, where tax laws encourage individuals to place the wealth in service to society. Most private grantmaking foundations use the interest from their endowments to fund their operations and make grants. There are thousands of private grantmaking foundations in the US which make their grants from earnings on assets. Only a handful have assets in the billions and are able to give millions of dollars of grants annually. Assuming a 10% return on investments a more typical foundation with a \$2 million endowment will be able to give out \$100,00 in grants a year, after covering operating

⁴See Appendix A: the Synergos Institute's case studies and findings on foundation-like institutions in the Philippines, Ecuador, Colombia, Mexico, Puerto Rico and South Africa.

⁵The foundation terminology referenced throughout is that commonly accepted in the United States. This is important to note since the terms foundation, trust, fund, etc. are used far more loosely elsewhere and could create confusion to the reader.

costs. In the US, private grantmaking foundations are required by law to make grants equal to a percentage of their investments.

Operating foundations represent a much smaller segment of the foundation world and function much more like a well endowed NGO. They do not give grants but rather provide services and run programs which further their broad mission and purpose as designated by founders and/or funders. They are usually governed by self perpetuating boards of trustees or a combination of that and appointed trustees. While possessing an endowment, operations are funded off a combination of earnings from assets, annual corporate profits -- if connected with a corporation -- and/or fees for services. Rössing Foundation is an example of such a foundation in Namibia, although it is not an endowed foundation *per se* since its core funding comes from a percentage of the Rössing Corporation's annual profits.⁶ Operating foundations make up a small percentage of foundations.

Community foundations are a special kind of foundation for they represent and call upon the wealth of the community beyond financial assets. They are an expression of a community's -- defined as a town, county, region, or even country -- philanthropic impulse to better itself. The typical community foundation will have on its board business and civic leaders, bankers, academics, and people who represent the needs of the community. The community foundation in its organization and structure is both a supporter and an exemplar of a civil society institution. Although community foundations were first created in urban areas where people of wealth were clustered, they have proved to be the ideal model in places without large pockets of wealth⁷, for they draw creatively on multiple funding sources. Typically, a community foundation's endowment comes from the contributed wealth of more than one or two individuals and represents only one portion of its resource base.⁸

In the past decade the community foundation model has been successfully adapted outside the United States to support NGOs.⁹ -- a trend which holds much promise for developing countries. Sometimes termed a community foundation-like organization, its essence may best be captured in the phrase 'Civil Society Resource Organization,' (CSRO) for it is designed to provide resources to other non profit, non-governmental civil society organizations. These resources would typically include some or all of the following: technical assistance, grants, training programs, and even support

⁶ It is my understanding that a new arrangement between Rössing Foundation and Corporation protects the Foundation against unprofitable years.

⁷ See Appendix A: Eastern Tennessee Community Foundation

⁸ In the US community foundations are required to raise money annually to demonstrate their community worthiness for preferred tax status.

⁹ See Appendix A: The Kenya Community Development Foundation.

services. In touch with the 'community'¹⁰ they are designed to serve, they are able to adapt the resources offered to the needs of the organizations. CSROs combine the strengths of the different models to use their finite resources most effectively -- providing more services than a typical community foundation while also giving grants.

Financing Mechanisms

While an endowment is the ideal financing base for a foundation¹¹, it need not be the only one. Private grantmaking institutions with assets in the millions, or in some cases billions, need no other source of revenue and adjust their giving to reflect changes in the stock market. This is not the case for many operating foundations and never the case for community foundations. Even with large endowments, total reliance on the swings of the market would put their ongoing programs in jeopardy. There is also some evidence that both CSROs and NGOs which are too well endowed at the start have difficulty developing the will and capacity to develop the other revenue sources critical to their growth and survival.

In the case of the community foundation, multiple funding sources add value in many ways -- they engage more people in philanthropy and they diversify, and hence protect, the funding base. One of the many positive attributes of the community foundation model is the combining of many small endowments or other gifts to create significant assets which in the aggregate obtain far better return than disaggregated. Also, the necessity to raise funds from multiple sources keeps the foundation in touch with its stakeholders.

The need to create a sustainable flow of funds forces creative consideration of multiple financing strategies, particularly in environments with limited financial wealth. In some instances, there may be opportunities to draw on 'dedicated taxes' or other public revenues or to gain check-offs from industries with interests related to those of the foundation. The caveat with regard to the former, being the likely desire of government to play a controlling role. The limitation of the latter is that corporations are notoriously fickle with regard to their giving.

In some instances it may be possible to create revenue generating enterprises for which the nonprofit entity is the primary beneficiary. While such sources of revenue are worth considering, they are often more seductive than real. Despite the current infatuation with money making enterprises, this will not be the primary source of revenue for Namibian

¹⁰ A CSRO might define its community by type of organization or need rather than geography, for example.

¹¹ The value of an endowment is of course not limited to foundation-like institutions. Much if not most of the USAID experience in endowments has been in the realm of endowing existing NGOs performing work that USAID would like to support in the areas of environment and agriculture in particular.

NGOs any more than it is for US or European NGOs. While NGOs supporting micro enterprise will ultimately be able to sustain themselves through loan repayments and modest fees for service, this is not the case for most NGOs. By definition, many of these organizations are serving beneficiaries who are unable to pay for the services they need: for example, legal assistance, AIDS counseling, literacy, maternal and child health care.

Thus, while other avenues of financing must be pursued, it is difficult to overstate the value of an endowment, for it provides a guaranteed source of revenue and security for hard times. It would be very difficult for a CSRO in a developing country, in particular, to get off the ground without an endowment. On the one hand, it takes time to establish the credibility and bona fides that will attract new sources of funds; on the other hand, a CSRO overly preoccupied with its survival will not be able to focus on the equally important matters of mission, purpose and grantmaking programs.

The Namibian Context

Nurturing Civil Society

Namibia is at a point in the development of its multi-racial democracy when the strengthening of its NGO sector is critically important. These organizations represent the prototypical civil society institutions. They are the expression of a free people, joining together to solve problems. As self-governing private organizations, not dedicated to distributing profits, they pursue public purposes outside the formal structures of government. Independent of government, they ideally work in partnership with government both as implementers of programs and as honest brokers and advocates for unmet needs. The strength of a country's NGO sector is one of the better indicators of the strength of its democracy.

By their very nature, NGOs are pluralistic -- representing the diverse needs of communities and allowing for the expression of diverse interest. As such, they provide 'space' for people to practice expressing their ideas and putting them into action. Participating in decision making and policy development within an NGO is excellent preparation for broader political expression. Thus, NGOs are both in themselves key civil society actors, and the classrooms in which individuals hone the skills of citizenship.

NGOs in Namibia

If one accepts the proposition that strong and vibrant NGOs are critical elements of a strong civil society, then the need to ensure continued attention to the strengthening of the sector needs to be high on the development agenda. Even by African standards, the Namibian NGO sector is very young. The decades of apartheid and the liberation struggle made it difficult to establish development oriented NGOs. The few that existed were perforce white led and managed. The majority of NGOs were born after liberation. Much of the experienced NGO leadership resided in the Council of Churches of Namibia (CCN) which served as a conduit and mechanism to provide needed social, legal and welfare services during the liberation struggle. After liberation, many of the people and the functions they performed came into the government. As a result, the NGO sector had to rebuild from the ground up, particularly with regard to non-white leadership.

The installation of a democratically elected government more representative of the racial and ethnic make up of the Namibian people also meant that the bulk of the bilateral support which had been channeled through the CCN by the largely European donors began to flow directly to government. Support remained for NGOs as they were understood to be important actors in the new Namibia, but donors began to impose new standards of reporting and management and have shown some impatience with the pace at which institutions have been able to create stable leadership and management. With

the actual and imminent departure of some of the most generous Scandinavian donors, Namibian NGOs fear that they lack the capacity to enhance the quality and reach of their programs. This concern regarding capacity is one shared by remaining international NGOs and donors.

Institution building

Attempts to pinpoint the exact nature of the capacities needed to be built have been frustrating, because they seem to range broadly from basic computer and accounting skills to strategic planning, fund raising and organizational development. Most critical, in fact, may be leadership development itself -- a capacity difficult to be trained for. Donors, in their attempts to 'fix' the capacity problem through one time interventions, are often dismayed when the fixes fail to take or the individuals in whom they have invested move on in their career paths.

The capacity building conundrum facing Namibian NGOs stems essentially from this lack of experience both within organizations and among their leaders. There is no quick fix for this problem. One cannot fill the gap created by decades of no experience with *ad hoc* interventions or training courses alone. The single most effective way to bridge this experience gap is through mentoring -- working with people *in situ* to help them identify their needs and then provide guidance to the right resources to meet them -- e.g., workshops, advanced training, regional exchanges. It is an iterative process, a participatory approach based on principles of adult education.

The great strength of the READ project has been this integrated approach which identified needs and provided resources of training, technical assistance and grants based on a process of joint assessment. The problem, if you will, is that its timeline was overly ambitious. Quite aside from the delays caused by the inevitable course corrections required when putting a theoretical project into action on the ground, it simply takes longer than the time allotted for this kind of experience transfer to take root. There is no quick fix for sustainable development.

Namibian institutional capacity and leadership is thin yet NGOs are expected to perform, and indeed need to perform, functions of sophisticated, mature organizations. Institution building and leadership development in the NGO sector ought to be at the top of both the development assistance and the strengthening civil society agendas, for strong NGOs will enhance the capacities and accomplishments of both. The desirability of establishing a mechanism which will support the development of NGOs as civil society organizations is apparent. The challenge is to identify and nurture the leadership for such a CSRO, tap the sources of wealth within and outside the country to support it, and create legal structures and incentives to support NGOs and philanthropy.

Constraints and Opportunities

From the perspective of wealth, philanthropic culture, and government support, Namibia is not an obvious candidate for creating an endowed Civil Society Resource Organization. However, as the Chinese ideogram for change suggests, there is real opportunity to be found in the barriers.

Wealth and the Private Sector

Unlike in its neighbor, South Africa, with which it shares a history of apartheid and a terribly skewed distribution of resources, the minority white population in Namibia does not have significant accumulations of personal wealth. Namibia is a land populated by a majority of very poor people, a small lower middle class and a predominately white middle and upper middle class. There are few obvious pockets of wealth to tap, but there are individual families who have prospered here and presumably are committed to the development of their country, even if they might not have been in favor of the multi-racial democracy they now inhabit. In the first instance, what Namibian wealth there is to be tapped will have to come from this group.¹²

The nature of Namibia's economic base also poses interesting challenges. The primary industries are large scale: mining, commercial agriculture, and fisheries. Control lies in a few hands, including the government and South African business interests.

Several informants with extensive contacts in the business community noted the relatively large amounts of money spent on sports sponsorship. Clearly the motivation for such sponsorship is not altruism, but self interest -- a desire to be associated in the minds of consumers with a popular activity. For the most part, NGOs and their good works are not well known to the corporate world. The right kind of relationship between the business leaders and a CSRO could well develop into a reliable funding source.

Philanthropy

There is some tradition of charitable giving in Namibia as is evidenced by the success of the Michelle McLean Trust and Red Nose Day. Both seem to cut across race and class lines to attract donations from a broad spectrum of society. Similarly, the strong Christian traditions in the country underscore the notion of tithing to support good works. Finally, there is the deep rooted tradition of mutual support within the extended family cultures of the Herrero, Nama Damara, Owambo, and San peoples of Namibian.

While this type of grassroots charitable giving is a far cry from formal philanthropy it does show that the practice of giving is not entirely foreign to Namibians. Thus, while

¹² It also not unthinkable that money can be raised outside of the country. At least two Namibian NGOs have established themselves as 501 (c) 3 organizations in the United States, thus giving them access to donations from US citizens and residents.

philanthropic foundations as such may not be a familiar element of society, the roots for potential philanthropy may not lie so far below the surface.

Legal and Tax Context

There are currently no significant benefits to making donations to nonprofit and other non-governmental organizations. There are three routes to registration as an NGO: a trust, a company '21' not-for-gain, or a welfare organization. Only the latter qualifies an organization for tax deductible contributions¹³. To be registered as a welfare organization requires the performance of traditionally charitable actions such as food hand-outs, provisions for street children, etc. Development NGOs seldom meet this test even if some of their activities would qualify them. The difference between Trusts and Companies not-for-gain relate essentially to the authorities under which they are registered and the reporting required -- trusts being a bit more cumbersome in the first instance, companies not-for-gain a bit more onerous in their reporting requirements. In either case, it is not difficult to register as an NGO; there are simply few benefits in being one.

Thus far, the government has shown little interest in legislation to change or improve the 'space' for NGOs or expand tax incentives for charitable giving. Given the limited financial resources of the government and the enormous development agenda it faces, this is understandable. While the scant 120,000 tax payers¹⁴ in Namibia (half of whom work for the government) provide only a small portion of government funds, creating opportunities for tax deductions raises not only the prospect of losing revenue but the challenge of 'policing' those who receive and give the donations. From the government's perspective, this amounts to less money and more work -- on balance, not a good bargain.

In South Africa, the NGOs and emerging philanthropic community have joined together to create legislation that will significantly improve the 'space' for NGOs and open the door for tax deductibility of gifts to a broad range of nonprofit organizations which adhere to certain voluntary registration requirements. NANGOF is monitoring this situation closely and working with the people who have designed and shepherded the initiative there. This may be one instance where the South African experience can indeed be translated with little change to the Namibian context.

The Government

With its roots in SWAPO, the Namibian government's initial posture vis-a-vis NGOs was somewhat hostile. Non-governmental organizations were seen as vestiges of the colonial, apartheid, capitalist supported regime. As NGOs demonstrate their ability to work in

¹³ Contributions to UNAM and some of its affiliated institutions are also tax deductible by special provision.

¹⁴ According to an informed government source

partnership with government to address important societal needs in the areas of health, education, housing, food distribution and adult literacy outside the current resources and priorities of the government, this attitude is changing. Senior officials in both the Ministry of Basic Education and Culture and the National Planning Commission indicated a genuine interest in doing more with NGOs. What seems to have been lacking in the past is a clear voice from the NGOs, a role that NANGOF with leadership stability and support for core functions is now committed to fulfilling.

If the government sees the positive role NGOs can play in meeting its ambitious development goals, it will be more likely to look favorably on initiatives to ease regulations and creative incentives for charitable giving. As NGOs become ever more effective in the delivery of services, and more professional in their management, they will be taken more seriously. Experience in most other countries indicates that the stronger the NGO sector, the better its relationship with government.

The Vanishing Donors

In the years immediately following liberation, European and Canadian donors continued to provide significant support to Namibian development through bilateral government aid as well as aid to international and Namibian NGOs. They were joined by the United States and, more recently, Asian donors.

Many of the most generous donors are now departing the scene. Representing relatively small countries, they have had to set priorities on where they will give aid. By and large their commitment to Namibia was to see the establishment of a democratic government and the creation of organizations to ensure civil and human rights. Ironically, in part because Namibia has thus far demonstrated the desire to transform itself peacefully from the double burdens of colonialism and apartheid, donors are re-channeling their resources to more volatile situations in other parts of Africa in order to reduce or stem violence.

Developing internal donors and accessing external ones requires a level of sophistication and contacts not yet widespread in Namibia. This is a capacity that Namibian NGOs are anxious to develop. And it is a capacity they must develop for the country cannot continue on the positive path of development without the continued infusion of external resources.

Exemplars of Civil Society Leadership

Namibia is fortunate to have a cadre of individual leaders who have demonstrated their commitment to building a more just society in Namibia. They are to be found among those who fought for liberation within and outside the country, among those who gained valuable experience in the student movement, and among those who challenged fellow members of a privileged minority. They represent the core from which a Civil Society

Resource Organization can be created. Some already sit on the boards of NGOs, others lead them; some lecture at the University; others serve in government. Still others are yet to be called upon.

A handful of these people -- representing the racial and ethnic diversity of the country, its civic, business, and political leaders -- can bring the notion of a CSRO in Namibia to life. Indeed, only they can do it. But it must not stop there, for it is in widening the circle of community leaders that the promise lies.

A Namibian Civil Society Resource Organization

Creating a Namibian Civil Society Resource Organization seems the only viable option for Namibia. Fortunately, it happens to be an excellent one. Despite the obvious challenges, but because of the great need to strengthen Namibia's civil society and its primary building blocks, NGOs, the development of a CSRO ought to be pursued.

Rationale

There are a number of reasons why this is the best options. Firstly, there is no source for an endowment large enough to support a private grantmaking foundation that could operate off its earnings.

Secondly, regarding an operating foundation, lessons learned from the extensive USAID experience indicates the need for an existing national entity which has the management capacity, the programmatic expertise, governance mechanism, and the track record that would justify such an investment. No such institution exists in Namibia today. The READ project has the management capacity, programmatic expertise, and the right purpose, but it is not a Namibian NGO, nor is it likely to become one in the short term. No Namibian NGO has all these attributes. The Rössing Foundation possesses the expertise and the management and is Namibian but is ultimately the expression of the Rössing company's philanthropic impulse. It has its own valid and important agenda. As a membership organization representing the interests of its NGO members, NANGOF has a very important networking and advocacy role that should not be compromised.

Were there a Namibian institution with the potential capacity, interest, and bona fides to focus on NGO capacity building, this could have been a viable option. However, given the diverse needs and audiences of NGOs, and the desire to strengthen the sector as whole, the creation of a more inclusive, community-based resource mechanism is far more appropriate.

Creating a Namibian CSRO will not be easy but it would provide multiple benefits:

- It would be a mechanism for channeling resources (funding and technical assistance) for NGO capacity building
- In its governance and organizational structure, it would be a model for multi-racial and private-public partnership, building the bridges that are so critical if Namibia is to flourish as a multi-racial democracy
- The very process of creating such an institution would demonstrate, and provide valuable lessons on, how to find common ground and build community from diversity.

CSROs offer a powerful rationale around which to organize people and institutions to identify resources, pursue them, acquire them, and, once they are obtained, put them to use for grantmaking and other capacity building services.¹⁵ Namibia needs such a vehicle.

Characteristics of a viable CSRO

What makes a CSRO a powerful instrument for development is found in its organizational composition and structure, its clarity of mission and its emphasis on resource development for the benefit of other civil society organizations. In contrast to an endowed NGO or even an operating foundation, it is by definition not self serving. This confers upon it a special status which can be extremely beneficial in developing funds.

Lessons learned from the experiences of the emerging CSROs in developing countries, indicate the importance of the following characteristics:¹⁶

- Indigenously owned, governed and operated -- regardless of the source of the funding, the control of the funds must be clearly in the hands of an indigenous board.
- Private, nonprofit, and non-governmental -- although some CSROs do have government representatives on their boards, the organization must have integrity as an independent entity.
- Mobilizer of resources which are channeled to other civil society organizations -- its purpose in raising funds is not to develop its institutional capacity but to enhance and support the capacity of other NGOs.
- Provider of grants and other forms of assistance -- the CSRO must immediately demonstrate its purpose by providing resources to others.

¹⁵ See Appendix A: Bruce Shearer, from a draft chapter of as yet unpublished document

¹⁶ *ibid.*

- Sustainable because they possess dependable stream of income, from endowment and/or other sources -- without such a resource stream the CSRO risks competing for funds with the very NGOs it is created to support

From experience elsewhere and the starting point here in Namibia, it will probably take from five to eight years to bring a Namibian Civil Society Resource Organization into being. In the meantime, it will be essential to continue to strengthen the NGO sector, not only so that it can take its place alongside government and the private market sector as a key civil society actors, but so that NGOs can continue to fill the gap between services provided by government and the needs of the people.

Developing a CSRO

The fundamental strategy for building a CSRO is to use the rationale for its creation as the means for mobilizing the people and finances required. To effect this strategy seems to require some basic ingredients:

- Deeply committed and talented leaders who genuinely want to bring the CSRO into being and are prepared to give real time and energy to the endeavor.
- A compelling vision and mission which finds its roots in the local context and has meaning for the stakeholders.
- Good access to a wide range of these stakeholders representing financial sources, business leaders, policy makers, opinion leaders, etc.
- Familiarity with similar experiences elsewhere
- Knowledge of what funding sources might be tapped

The first two are absolutely essential as the starting point and driving forces that will move the initiative forward. These ingredients exist in Namibia and simply need to be identified and drawn out. Access of the range of stakeholders is an outgrowth of putting the right people together with a compelling vision. Familiarity with similar experiences and knowledge of funding sources can both be acquired over time -- both are accessible.

The phases outlined in Appendix C follow the strategy above. They are intended to give a rudimentary sense of the work necessary to create the conditions precedent to the establishment of a Namibian CSRO. Fortunately, there is experience in the region that can provide guidance and enable Namibia to learn from the lessons of others. It is not possible to predict the actual timeline as this will depend on the intermediate steps, nor is it possible to ensure success. Of greatest importance is the care given in the initial steps,

for creating the core of committed leadership and developing a clear vision is essential to a successful outcome.

Interim support for NGO institution building

Concurrent with the development of a CSRO, attention to NGO institution building and leadership development must continue so that the NGO sector can take its legitimate place along side government and the market in strengthening Namibian civil society and democracy.

NGOs in Namibia are suffering as much, if not more, from lack of experience as from lack of knowledge, skills and funds. Grants and training programs will be resources poorly applied if not accompanied by an ongoing effort to fill the enormous experience gap that exists in the country -- an experience gap created by years of apartheid and the consequent terrible skewing of resources and education. The problems Namibians face are not less complex and sophisticated than those faced by more mature democracies: The most cost-effective way to gain experience quickly is by making those with experience available to those who lack experience -- in short, through mentoring.

This is what World Education, through the READ Project, has done so effectively in the last few years. In speaking with READ partner organizations, the most frequently cited value ascribed to World Education was the impact of the relationship with staff -- the power of the joint assessment process, the accessibility to expertise, the availability of advice and counsel. The existence of a very strong core of trainers is the result of the application of this methodology to the training of trainers. This valued assistance needs to continue over the short to mid term. Through appropriate mentoring, more than skills are transferred -- people learn on the job with immediate feedback in the real situations that they have to address -- not abstract cases or theoretical models. Support of this kind needs to be provided from outside until a core group of NGOs exhibit the characteristics of institutional maturity.

In Conclusion

I strongly recommend a course of action aimed at both the short to mid term and the long term:

- Focus World Education/READ activities through the life of the current grant on building core NGO leadership (individual and institutional) in a limited number of organizations to serve as sustainable civil society organizations.

- Extend at the minimum the mentoring (technical assistance) functions performed by World Education/READ for another 3 to 5 years
- Start now to create a Namibian CSRO capable of providing sustainable support on behalf of development NGOs and other civil society actors.

A strong NGO sector in Namibia would be one in which there are lead NGOs which possess the characteristics of sustainability. They will be providing quality services, addressing significant development needs. They will be supported by their relevant stakeholders and capable of accessing the financial and human resources needed to accomplish their missions. Finally, the administrative and board leadership of these NGOs will be representative of the diverse racial and cultural peoples of Namibia.

World Education/READ seems to be on the right track in building this kind of institutional capacity. Its work needs to continue in tandem with the development of a CSRO. The realization of a Namibian Civil Society Resource Organization will ensure that NGOs flourish in the future, providing needed services and playing their critical role in a free and democratic society.

Appendixes

Appendix A: Source materials

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Appendix B: Persons Interviewed/Consulted

In the United States

Belding, Barbara. USAID, Africa Region, Washington, DC
Campbell, Betsy. Ford Foundation, New York, NY
DuPree, Scott. Synergos Institute, New York, NY
Harding, Deborah. Soros Foundation, New York, NY
Hill, Jeff. USAID, Sustainable Resources, Washington, DC
Malombe, Joyce. Kenya Community Development Foundation, Washington, DC
Pauling, Sharon. USAID, Africa Region, Washington, DC
Peasley, Carol. USAID, Africa Region, Washington, DC
Seltzer, Michael. Ford Foundation, New York, NY
Windner, David. Synergos Institute, New York, NY

In South Africa

Brice, Kim. Open Society Initiative for Southern Africa
Dangor, Zane. Development Resources Centre
Gerhart, John. Ford Foundation
Mogano, Reuben. PACT, now Sedibeng
Mosheoeshoe, Mokhethi. Southern Africa Grant Makers Association
Smith, Lucy. Kagiso Trust

In Namibia

Areseb, Nathanael. COSEDA
Blackie, Rob. Ministry of Environment and Tourism
Botes, Danie. Michelle McLean Trust
Bothile, Clara. Ministry of Basic Education and Culture
Chiel, David. Ford Foundation
Daniels, Clement. Legal Assistance Centre
Dempers, Uhuru. NANGOF
Dix, Tove. Norwegian Embassy
Ellis, Justin. Ministry of Basic Education and Culture
Geiseb, Sam. Namibian National Chamber of Commerce
Hansen, Bruce, World Education/READ
Joas, Santos. Urban Trust
Kavendji, Vikurupa. NANANSO

Kazombaue, Lindi. Consultant, formerly NDT
Kendenge, Veripi. Okutumbatumba Hawkers Association
Knoetz, Ronel. U Do Trust
LeRoux, Len. Rossing Foundation
Lindstrom, Ylva. Swedish Embassy
McGann, Joe. Ministry of Environment and Tourism (consultant on endowments)
Mwatile, Peter. National Planning Commission
Roland, Mette. European Union
Swartbooi, Steve. NDT
Tjituka Martin, World Education/READ
Truebody, Charles. Private Sector Foundation
Tyldesley, Peter. Consultant (formerly head of Namibian Nature Foundation)
Uirab, Naftali. BRICKS
Urap, Imbu. !Nara
Vleermuis, Paul. RISE
Wermhorner, Arnold. Friedrich Ebert Stiftung

Appendix C: Rough Outline of Phases in Creating a CSRO

The actual timeline will depend on several factors: How long it takes to identify the core leadership group, how long it takes to develop clear sense of mission and purpose, the applicability of other experiences to the conditions in Namibia, the attitude of government and political leadership and, finally, the availability of endowment funds.

In any case, the sooner the process is started, the sooner all this will become clear.

Phase 1:

- Advisory group formed representing core committed leadership and stakeholders
- Core group articulates and owns initial vision statement

Phase 2:

- USAID endowment intentions confirmed
- Other funding partners identified and intention clear
- Start up funding secured for facilitation: meetings, travel, exchange, coordination

Phase 3:

- Draft charter with Mission and Purpose, governance approach
- CSRO model selected
- Minimum maximum scope of activities and consequent funding needs agreed upon

Phase 4:

- Endowment funding sources identified
- Initial Board identified
- Enabling legislation in process

Phase 5:

- Launch

Appendix D: Terms of Reference

WORLD EDUCATION/NAMIBIA ENDOWMENT STUDY AUGUST-SEPTEMBER 1997

The Consultancy

Purpose: World Education, as the implementing organization for the USAID-funded READ Project in Namibia, has been providing institutional capacity-building technical assistance to Namibian NGOs since 1994. The READ Project is scheduled to be completed on December 31, 1998. It is anticipated that the NGO community will continue to have institution-building needs beyond that date; therefore, World Education, USAID/Namibia, and NANGOF (the Namibian NGO Forum) is gathering information, in a variety of ways, to develop some options so as to inform a decision as to the manner in which further technical assistance might be made available.

One option which has been given some discussion by USAID/Namibia and the READ Project Mid-term Review Team is that of endowing a foundation which would then, in turn, provide the guidance for and funds for further technical assistance to the NGO community. The purpose of this consultancy is to gather and organize the information which can be used to make an informed assessment of this option.

Specific Objectives:

The consultant will:

1. Identify and describe the range of options for an endowed foundation which supports NGO institution-building efforts. Identify the pros and cons of each option in terms of its ability to provide institution-building technical support to NGOs. Propose what goals or objectives an endowed foundation might be set up to achieve.
2. Identify the critical factors which lead to the success of such foundations, and the factors which can lead to their lack of success.
3. Scan the environment (legal, social, political, philanthropic, human resource availability, etc.) for the establishment of an endowed foundation in Namibia. Identify what elements of the environment would contribute to the success of such a foundation and those which would inhibit its success.

4. Identify and highlight relevant USAID regulations, experiences, best practices, etc. for the establishment of endowed foundations to support NGO capacity-building.
5. Identify what considerations would need to be taken into account and what steps would need to be gone through to establish an endowed foundation in Namibia. What types and level of support would be needed? What management capacities would be needed? What level of capitalization would be needed? What is a timeline for start-up? And so on.

Activities: The activities of this consultancy will be conducted in three phases:

Phase 1: Research and Information-Gathering Prior to Arrival in Namibia

There has been considerable literature generated by USAID and other organizations in the US that is relevant to this consultancy. The consultant will review this literature prior to departure from the US.

In addition, the consultant will interview appropriate resource people (e.g. USAID officials, US foundation officials, US NGO officials who've been involved in setting up and/or working with endowed foundations) in the US prior to departure. To undertake these interviews, the consultant will be authorized to travel to Boston, Washington, and Minneapolis, MN as it is anticipated that appropriate resource people will be located there.

Phase 2: Research and Information-Gathering in Namibia

The consultant will interview appropriate individuals and organizations in Namibia to gather information relevant to the objectives of the consultancy. Those individuals and organization interviewed will include members of the NGO community, the private sector, the government, USAID, and, potentially, other donor organizations.

During this time, the consultant may also travel from Namibia to South Africa to interview officials at the Kagiso Trust and at other relevant organizations to be identified.

Phase 3: Report Writing and Presentation

The consultant will write a preliminary report to be presented to World Education/Namibia, to the Namibian NGO community, and to USAID for initial comment. The consultant will then write a final report to be submitted to World Education/Namibia by September 26, 1997.