



# 2016 Annual Report

BUILDING A FOUNDATION





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Eden Social Welfare Foundation, Taiwan



SNEHA, India



Academy of Sharing, Indonesia

# OUR MISSION



TreePlanet, South Korea

**C**itizen engagement takes place on both the supply and demand side of social delivery activities. On the supply side, individuals and corporations are embracing the provision of resources like philanthropy and volunteerism. On the demand side, more and more people are providing their time and skills as evidenced by the rise of non-profit organizations throughout Asia and certainly in China. Increased citizen engagement is a very positive and constructive trend.

The Centre for Asian Philanthropy and Society (CAPS), a registered Hong Kong charity, is seeking to harness these trends

and through research, increased awareness, policy discourse and role modelling, act as force multiplier for constructive and accountable citizen engagement. By conducting our own practice and policy research and offering advisory services across Asia, CAPS seeks to understand and disseminate best practices for philanthropic investments, policy and regulations and, by extension, for social delivery organizations in Asia.

# CHAIRMAN'S LETTER



**T**he year 2016 has been a pivotal one in the short history of the Centre for Asian Philanthropy and Society. We began our efforts with a desire to map out and under-

stand the privately funded social investment ecosystem in Asia. By collaborating with philanthropists and partner organizations in eleven economies to carry out our case study project, we learned a great deal.

Our study shows that although philanthropy is on the rise in Asia, its impact is being hampered by a widespread “trust deficit” in place throughout the region. We see as one of our core objectives to work on knowledge, systems and practices which address this deficit. Relationships, harmony and trust are greatly valued in Asia. We need to deal with the impediments to building and maintaining that trust so that our collective good-will, good hearts and good intentions can best be realized.

We also learned that innovation and increased efforts are taking place both on the philanthropy side and among the organizations and enterprises which receive philanthropic support. More and more individuals and companies are engaged in

philanthropy. New types of social investment such as “impact investing”, “shared value” and “giving circles” are expanding.

Knowing what “works” when it comes to the charitable sector in Asia is the primary objective of CAPS. Shining a light on what works well is one way to address the trust deficit. CAPS will continue with our goal of researching effective models and strategies so that donors can achieve improved results with their philanthropic investments.

We entered 2017 with great momentum and ambitious goals. I am heartened by the progress we are making.



Ronnie C. Chan  
Chairman

## MESSAGE FROM OUR FOUNDER AND CHIEF EXECUTIVE



CAPS' mission to increase the quantity and quality of social investment in Asia is bold and timely. Asia continues to be the world's economic bright spot.

While economic growth continues, there are still many challenges. The heartening news is that unprecedented numbers of individuals and companies in Asia are stepping up to work with local governments to address these issues. CAPS is committed to being a trusted partner and advisor in this work.

The scale and breadth of our research means we must rely on, and work collaboratively with, our extensive network of local partners across more than 15 countries in Asia. They are comprised of highly reputable and experienced organizations in their local economies, and include large non-profits, universities and charitable foundations. We work with our partners to carry out regional, comparative and multi-faceted research projects which contribute to a deeper and broader understanding of the social investment sector at the local as well as the regional levels.

Our work enables philanthropists in Asia to be more strategic in, and impactful with, their philanthropic work. Our primary constituency is, and will continue to be, our own donors and those philanthropists who utilize our advisory services. We also envisage that our work will help governments to increase resources going to social goals by understanding and incenting local giving. We expect our partners across Asia to benefit from our work

as collaborators in our large-scale projects (two of which we have carried out to date). As our research content on the charitable sector in Asia increases and is disseminated widely, we hope universities and the public at large will benefit from this knowledge.

In 2016, we were able to increase our support and we thank our donors who have been invaluable with helping to shape our strategy and agenda and whose support have allowed us to build a strong team. Without our donors and their belief in us, we would not be where we are today. I would also like to thank our extraordinary team who have worked so hard to realize our ambitious agenda.

We started into 2017 with several large projects in hand and an ambitious agenda to carry out more. We look forward to continuing to partner with inspirational people and organizations throughout Asia and to doing our part to make growth in the region ever more green, healthy and equitable.

Ruth A. Shapiro  
Founder and Chief Executive

# THE YEAR IN REVIEW



Foundation for Slum Child Care, Thailand

## INFORMING PRACTICE

In 2016, we completed a major case study project. Partnering with 45 local organizations, the project produced 30 case studies of Asia-based social delivery organizations. In parallel, we interviewed more than 50 Asian philanthropists to understand both the supply and the demand of philanthropy in the region. We carried out these activities to see if there are distinct patterns of philanthropy and effective social delivery mechanisms in Asia, to develop and work to-

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30 case studies  
11 economies  
45 partners

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Pamulaan, Philippines

gether with our network of partners, and to connect with Asia-based donors. This exercise allowed us to map the charity eco-system and to ascertain where there are gaps.

The resulting 30 meticulously researched and detailed case studies are now freely available on our website. Our research shows that there are distinct trends as well as challenges in Asia which are explored in greater depth in a book called *Pragmatic Philanthropy: Asian Charity Explained* expected to be published in the fourth quarter of 2017.



### INFORMING POLICY

Based on our research, we know that unclear regulatory environments, lack of financial incentives, and poor reporting requirements have contributed to a trust deficit in Asia which has hindered increased philanthropic giving.

With that in mind, we have developed the Doing Good Index™ (DGI) study, a ground-breaking research project that looks at the enabling environment for philanthropy through indicators in four major areas in 15 Asian economies – regulatory, tax and fiscal policies, procurement and ecosystem. With support from the Tata Trusts, we were able to bring on the Indian Council for Research on International Economic Relations (ICRIER) as our analytical partner. We have partnered with 29 organizations to collect the data from 15 economies and held a 2-day

Yoon Joo Jahang and Aung San Tun



Tao Ze



Juree Vichit-Vadakan



## CASE STUDY RESEARCH PARTNERS

Case Study	Area	Donor
<b>China</b>		
Landwasher	Environment	Susan Zhu/Treasure Carbon
BN Vocational School	Education	Zhang Lei/Hillhouse Capital
HANDA Rehabilitation & Welfare Association	Health	CAPS Board
Children's Medical Foundation	Health	C.C. Tung
Society of Entrepreneurs and Ecology	Environment	Ronnie Chan
Lifeline Express	Health	Liu Chuanzhi/Legend Holdings
<b>Hong Kong</b>		
Haven of Hope	Health	Victor Fung
Hong Chi Association	Environment	CAPS Board
<b>India</b>		
Council on Energy, Environment and Water	Environment	Jamshyd Godrej
Society for Nutrition, Education and Health Action	Poverty alleviation	Rahul Bajaj
BAIF Development Research Foundation	Poverty alleviation	Mukesh Ambani/Reliance Foundation
Dilasa	Poverty alleviation	Axis Bank
Magic Bus	Education	Rahul Bajaj
<b>Indonesia</b>		
Telapak	Environment	Husodo Angkosubroto
Coral Triangle Center	Environment	George Tahija
Akademi Berbagi	Education	Anthoni Salim

Research Team	Brief Description
China Impact Fund	Environmental enterprise for waterless toilet solutions
Beijing Normal University – China Philanthropy Research Institute	Vocational education for children of migrant workers and ethnic minorities
Sun Yat-Sen University, Center for Philanthropy	Works with those afflicted with leprosy
CAPS	Helps train doctors and nurses in neonatal-care
Tsinghua University – Institute of Philanthropy	Coalition of business leaders working on environmental issues.
Centre for Civil Society Studies, Chinese University of Hong Kong	Trains local doctors to perform cataracts surgery
Hong Kong University ExCel3 (Excellence in Capacity Building in the Third Sector)	Provides elderly medical and hospice care
CAPS	Recycling program
Ananta Centre/ CAPS	Think tank focused on energy and water use
Dasra	Maternal and child health in slum areas
Tata Institute of Social Sciences	Sustainable livelihood programs in rural areas
Tata Institute of Social Sciences	Utilizing appropriate technology to create sustainable livelihoods for farmers
Dasra	Uses sports to teach life skills
Center for Entrepreneurship, Change and Third Sector, Trisakti University	Social enterprise works with local farmers and fisherfolk on sustainable livelihoods
The Samdhana Institute	Provides training and information on coral restoration and eco-tourism
CCPHI – Partnership for Sustainable Community	Uses social media and volunteer teachers to provide free career training

Case Study Research Partners (continued)

Case Study	Area	Donor
<b>Japan</b>		
Sawayaka Well-being Foundation	Health	Yoshihiko Miyauchi/Orix
<b>Malaysia</b>		
Mercy Malaysia	Health	Yayasan Hasanah, a foundation of Khazanah Nasional
Squash Rackets Association of Malaysia	Education	Nazir Razak/CIMB
<b>Philippines</b>		
CARD – Mutually Reinforcing Institutions	Poverty alleviation	Tessie Sy-Coson/BDO Foundation
Caritas Manila	Poverty alleviation	Manny Pangilinan/PLDT Foundation
Pamulaan Center for Indigenous Peoples' Education	Poverty alleviation	Jaime Zobel de Ayala/Ayala Foundation
<b>Singapore</b>		
Lien AID	Health	Mary Ann Tsao
<b>South Korea</b>		
World Without Worries about Shadow Education	Education	Shin Dong Bin/Lotte
TreePlanet	Environment	SK Corporation
<b>Taiwan</b>		
New Homeland Foundation	Poverty alleviation	Daniel Tsai/Fubon Life
Eden Social Welfare Foundation	Education/Health	Stan Shih
Taiwan Taxi Academy Association	Poverty alleviation	Stan Shih
<b>Thailand</b>		
Songkhla Forum	Poverty alleviation	Siam Commercial Bank Foundation
The Foundation for Slum Child Care	Poverty alleviation	Thapana Sirivadhanabhakdi

Research Team	Brief Description
Japan Association of Charitable Organizations	Strengthens community efforts focused on the elderly
Yayasan Hasanah, a foundation of Khazanah Nasional / CAPS	Disaster relief in health care
MyHarapan	Teaches squash to poor youth
Ateneo De LaSalle University – Institute of Social Entrepreneurship in Asia	Multifaceted micro-finance organization
Philippine Business for Social Progress (PBSP)	Economic development for Manila's poor
Ramon Magsaysay Transformative Leadership Institute	Economic development and education for indigenous peoples throughout the country
National University of Singapore – Asia Centre for Social Entrepreneurship and Philanthropy	Health and sanitation programs
Lotte Strategy and Insight Center	Advocates for alternative tertiary education
SK Center on Social Entrepreneurship	Social enterprise combining gaming, pop culture with tree planting
Graduate Institute of Non-Profit Management, Nanhua University	Social enterprise has created eco-tourism site
National Chengchi University	Multifaceted programs for the disabled
Feng Chia University	Training for poor taxi drivers
Siam Commercial Bank Foundation	Life skills for poor, rural youth
National Institute of Development Association	Daycare for slum children in Bangkok

CAPS DGI Workshop – November, 2016



workshop organized in Delhi, India, from 15-16 November 2016. Senior members of our partner organizations attended the workshop which kicked-off the DGI Study in earnest. The DGI Study will be completed and published by the end of 2017.

#### **DONORS' CONFERENCE**

In April 2016, CAPS held its inaugural invitation-only conference for its donors at the

Asia Society in Hong Kong. It was an opportunity for donors to hear from each other and world-renowned experts on successful strategies to mitigate challenges facing Asian societies. The donor conference sought to affirm and strengthen commitment to giving by creating a sense of shared excitement and group buy-in, and created a platform for donors to share their vision and to inspire others. It also allowed those new to philan-

Jaime Zobel de Ayala, Ruth Shapiro, Azman Mokhtar



Ronnie Chan





Thapana Sirivadhanabhakdi,  
Azman Mokhtar, Jamshyd Godrej



Daniel Tsai



Ronnie Chan, Francis Yuen

thropy to learn from those they considered peers and last, but not least, created an opportunity to explore working together toward a shared goal.

#### **OTHER NOTABLE ACHIEVEMENTS**

CAPS is bringing world class research and evidence based strategies to the philanthropic

sector in Asia. Fortunately, a number of donors in the region understand why this work is timely and important. Although there are few independent research institutions in Asia, we have been able to secure the assistance of a number of visionary leaders. Our funders, listed below, have allowed us to bring on a team with excellent credentials and backgrounds. Although small, our team is high powered. For more information, please see the About Us section of our website.



CAPS Donors' Conference – April 2016

# THE ROAD AHEAD

**W**e expect 2017 will be a watershed year for us. We will release the Doing Good Index™. *Pragmatic Philanthropy: Asian Charity Explained* will be published and our report on scholarships in Asia will come out. These publications will be

a testament to the hard work and collaboration between CAPS and its partners over the last few years, and will set the stage for further research and collaboration in this space.

We believe that with our committed leadership and dedicated staff, CAPS is well placed to achieve its goals in 2017 and beyond.

# FINANCIAL HIGHLIGHTS

## REVENUES

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General donations	\$5,190,909
Other income	\$78,000
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	\$5,268,909

## EXPENDITURES

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Project expenses	\$2,730,429
Administration and other expenses	\$2,054,174
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	\$4,784,603

## BALANCE SHEET

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Current assets (cash)	\$3,202,353
Current liabilities	\$85,111
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Net current assets	\$3,117,242
Non-current assets	\$8,812
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Retained surplus	\$3,126,054

*From the audited financial statements for the year ended 31 December 2016. All amounts are in Hong Kong Dollars.*

# OUR TEAM

## BOARD OF TRUSTEES

Ronnie C. Chan (Chairman)  
*Chairman*  
*Hang Lung Group*

Elizabeth Eder Zobel de Ayala  
*Chairman*  
*Teach for the Philippines*

Daniel Tsai  
*Chairman*  
*The Fubon Group*

Jamshyd Godrej  
*Managing Director and Chairman*  
*Godrej and Boyce*

## ADVISORY BOARD

Shin Dong Bin  
*Chairman*  
*Lotte Group*

Nazir Razak  
*Group Chairman*  
*CIMB Group*

Vichit Suraphongchai  
*Executive Chairman*  
*Siam Commercial Bank*

Ratan Tata  
*Chairman*  
*Tata Trusts*

## STAFF

Ruth A. Shapiro  
*Founder and Chief Executive*

Mehvesh M. Ahmed  
*Director of Research*

Maureen S. Y. Tai  
*Director of Administration*

Heesu Jang  
*Research Associate*

Alexandrina (Sandy) Collaco  
*Office Manager*

# ACKNOWLEDGEMENTS

## Funding Honor Roll (Cash, In-kind contributions)

### Founding Donors (\$400,000+)

Hang Lung Properties  
Daniel Tsai and Fubon Group

### \$100,000+

Lotte Group  
Anthony Salim  
Tata Trusts  
Thai Beverage PCL

### \$50,000+

CIMB  
Victor and William Fung Foundation  
Godrej Trust  
C.C. Tung

### \$25,000+

Husodo Angkosubroto and Pt.  
Gunung Sewa Kencana  
Fang Fang  
Hillhouse Capital Management Ltd.  
Khazanah Nasional Berhad  
SK Telecom  
George Tahija and PT Austindo  
Nusantara Jaya  
Susan Zhu and China Treasure Carbon

### \$10,000+

The Ayala Foundation  
Siam Commercial Bank  
Stans Foundation

*“Deep down, I feel that the day I die I will die feeling very satisfied that at least in this lifetime I have done something worthwhile for others.” Nellie Fong, Founder and CEO, Lifeline Express*

Lifeline Express, China



**Centre for Asian Philanthropy and Society**

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[www.caps.org](http://www.caps.org)