



REPORT ON SIDA'S RESULTS ON DEMOCRACY,
HUMAN RIGHTS AND HUMAN RIGHTS BASED APPROACH

Results for Justice and Development

Published by: Sida, 2012

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Coverphoto: ©Johan Bergqvist 2006. The woman on the cover lives in Ethiopia's Amhara region. Sweden supported a major project in the Amhara region for some time. This programme helped poor farmers manage long-term sustainable production. By promoting self-determination locally, the project has improved small farmers' rights and economic possibilities.

Layout: Citat

Art.no.: SIDA61542en

ISBN: 978-91-586-4211-9

urn:nbn:se:sida-61542en

This publication can be downloaded/ordered from
www.sida.se/publications

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"The best with Ruka Juu is that it inspires young people to do something. They don't wait to be employed, they make something on their own to find an income. I think that is just what young Tanzanians need right now", says Amabilis Batamula. She is hosting the show "Ruka Juu" ("Get up and do something with your life" in kiswahili). In the show, young men and women compete in entrepreneurship and the purpose is to stimulate young people to start and develop companies. Evaluations show that the knowledge about how to start a company has increased among the viewers. The programme is one of the activities within the Femina HIP projects, which Sweden supports.

Photo: Goodluck Mushi

1. Introduction



1. PEOPLE FIRST

Democracy, human rights and gender equality is the largest sector in which Sida is active. The sector has increasingly expanded over the past ten years. These issues closely concern the everyday lives of women, men, boys and girls. They include the rights of people to move freely, speak freely, participate in elections or to decide over their own bodies.

The needs and rights are everyone's. That's why we put people first in our analysis.

By supporting drivers for democracy, human rights and gender equality, Sida contributes to making people's lives richer, not only in purely financial terms, but also in other dimensions.

The human rights based approach and the perspectives of the poor on development should pervade all Sida's entire development cooperation. This means both making people more aware of their rights and also creating better conditions for states to live up to their obligations towards their inhabitants. A part of this study is centered on this human rights based approach.

The study shows how Sida is working with a human rights based approach in our support to development. We give examples from specific contributions and a background discussion on how the approach is integrated in our overall work. We

conducted this study as part of an assignment by the government to write a Results Report as an appendix to the Annual Report (see box). However, we find the content useful for a broader target group and therefore decided to translate parts of the report into English since we think the content is valid for a long period of time.

The objective of Sweden's activities in the sector of democracy and human rights is to contribute to democratic development and greater respect for human rights in developing countries. This will provide people with a greater freedom and greater opportunities to participate in processes and to demand accountability for decisions that affect them. The governments with which Sweden cooperates must also respect, protect and fulfil human rights.

The review of Sida contributions indicates varying degrees of success in our dialogue work, in our targeted contributions and in entire country cooperations. The impact of the thematic priorities is significant both in scope and in terms of results, partly due to the fact that Sweden has a long tradition of supporting democracy and human rights.

The participation of women – both economically and politically – is a top priority for Swedish development cooperation. Sida clearly discerns this as a

THE RESULTS OF SWEDISH DEVELOPMENT COOPERATION MAKE A DIFFERENCE IN THE LIVES OF INDIVIDUALS.



prerequisite for sustainable development and the opportunity for people to lift themselves out of poverty. Sweden actively pursues issues concerning women's participation. The work takes place both in partner countries and on a global level within the UN, the EU, international bodies such as the World Bank and not least through actors in civil society.

One possible way of contributing to greater democracy and respect for equality in dignity and rights of people, is to support those who want to bring about change and exert influence. They can be found in the state, in the private sector, in politics or within civil society. With the right kind of support, they become stronger. Also, public institutions and the justice system often need to see change. Sida discusses several examples of this in this report.

Sida works with the issues both within the long-term development cooperation and through new, innovative forms of support, for example to activists, within the framework of the Strategy for Special Initiatives for Democratisation and Freedom of Expression (the Democracy Initiative).

A part of the development cooperation for democracy and human rights goes to government authorities in the partner countries. The purpose is to make them better equipped to provide that to which citizens

WHY DO THIS STUDY?

This is a shortened version of Sida's Results Appendix to our Annual Report 2011. It has been produced in accordance with an instruction in a Government decision. It stated that Sida should describe:

1. results of the activities that the agency supports, whose main focus is democratic development and greater respect for human rights and.
2. how the human rights based approach is applied within the agency's activities and examples of results.

The text also served as a basis for the Government's written communication to Parliament on the results of Sweden's development cooperation 2011.

are entitled. Several of the examples in chapter three look at precisely that.

Sida's development cooperation has helped to give people a better life, and the results of the dialogue have often been successful.



PEOPLE FIRST

Swedish development cooperation acts where there is a need and enables poor people to improve their conditions of life. It is about income, health and education, better environment or possibilities to influence decisions taken in a society.



The National Solidarity Program (NSP) in Afghanistan aims to improve the lives of millions in the rural areas. Through NSP thousands of small scale development projects are financed. They increase access to water and sanitation, electricity, irrigation and other types of infrastructure. Sweden is one of the donors to NSP.

Photo: Sandra Kalligaro

2. Background and statistics



2. INCREASED SUPPORT FOR DEMOCRACY AND HUMAN RIGHTS

In 2011, investments in democratic development and human rights accounted for 28 per cent of Sida's total disbursements. In the following, Sida presents and analyses results of activities and the lessons learnt.

2.1 Introduction and basis

Democracy and human rights is about people being treated equally and being able to influence their lives and the society in which they live. Amongst other things, this means that no one should be discriminated against on the basis of gender, sexual orientation, age, disability, ethnicity, religious belief or political affiliation.

Democracy and human rights also concern the fair distribution of power in society and government resources so that all citizens have the opportunity to both influence and take part in society's various functions and services. In this way, democratic development, increased gender equality and greater respect for human rights are of great significance in the fight against poverty.

2011 will go down in history as a year full of upheavals in a number of countries close to Europe, something which is likely to also affect Sida's work for a long time to come. Within both the EU and parts of the UN, an increased focus on strengthening the work within democracy and human rights is already clearly visible.¹

The proportion of authoritarian states has decreased significantly in the last 30 years, and a majority of the world's countries are governed today by largely democratically elected governments. However, for the sixth consecutive year, the number of countries where respect for various civil and political rights has declined exceeds the number of countries in which it has improved. These declines primarily concern freedom of expression – including social media; freedom of religion; freedom of association and assembly; academic independence and the

principles of the rule of law.² In several of Sweden's partner countries, there is a lack of respect for human rights and opportunity for political participation and accountability.

Many young democracies are poor and faced with, simultaneously building both governance and the state apparatus itself. It is therefore important that donors have realistic expectations about what such fragile political systems can handle, at least in the short term.³

The fight against terrorism means that certain types of human rights violations have increased.⁴ There is an increasingly clear tendency for governments that have previously advocated human rights and democratic values to be much quieter and less willing to fight for these fundamental values. This trend is, according to human rights organisations, due to geopolitical changes including new super-powers and increased competition for markets and access to natural resources.⁵

The room for manoeuvre for civil society organisations has decreased in several states in recent years. This may concern limitations on receiving development cooperation, high thresholds for being permitted to register or run an organisation or an almost total ban on advocacy. According to several organisations, authoritarian regimes do compare notes on such repressive laws and practices.⁶

¹ European Commission and High Representative of the European Union for Foreign Affairs and Security Policy, Joint Communication to the European Parliament and the Council, Human Rights and Democracy at the Heart of EU External Action – Towards a More Effective Approach, COM (2011) 866 final, p. 5.

² Freedom in the World 2012: The Arab Uprisings and their Global Repercussions: <http://www.freedomhouse.org/report/freedom-world/freedom-world.2012>, pp. 1, 2 and 4 as well as the tables Gains and Declines in Aggregate Scores, 2002–2011 and Electoral Democracies, 1989–2011, available via the same link.

³ Rocha Menocal, Alina. Analyzing the Relationship between Democracy and Development. Commonwealth Good Governance 2011/2012, pp. 24–25.

⁴ The UN's Special Rapporteur on human rights in the fight against terrorism, <http://www.ohchr.org/EN/NewsEvents/Pages/DisplayNews.aspx?NewsID=11430&LangID=E>.

⁵ Human Rights Watch World Report 2011, A Facade of Action, p. 2.

⁶ Sida, Memorandum, Hotet mot civilsamhället växer – men det finns motkrafter (The threat to civil society is growing – but there are opposing forces), 20-09-2011 and Sida Travel Report, 07-04-2010, p. 4.

Sida works in widely diverging settings – in stable states as well as in states that are affected by armed conflict or organised crime. Each context characterises the prospects for democratisation, greater respect for human rights and the development of public administration for the public good.¹

With Sweden's adoption of the Policy for Global Development (PGD) in 2003, the Parliament of Sweden established that development cooperation, as well as other policy areas, shall focus on people who are poor and that respect for human rights of individuals is both a goal in itself and a means to achieve sustainable development and peace. The integration of this human rights based approach is today an important component of Sida's work, and Sweden is one of the leading donors in the democracy and rights-based development cooperation. This applies not only to the activities whose main focus is democratic development and greater respect for human rights, but also, to the same extent, within the other main sectors.²

2.1.1 Description of Sida's work

Sida has in recent decades gradually developed its approach with direct support to contributions for democracy and human rights. The agency has for a long time worked to develop the links between democratic development, respect for human rights and the development cooperation, based on international conventions and declarations.³

Sida's work on democratic development and human rights is found primarily within one of Sida's main sectors: democracy, human rights and gender equality. Furthermore, the issues are integrated in Sida's work with the human rights based approach and by democracy and human rights constituting one of the Government's three thematic priorities for development cooperation.

Gender equality is a separate thematic priority, and the work was reported in Sida's Results Report for 2010. At the same time, gender equality is part of the main sector which is comprised of democracy, human rights and gender equality. The policy on democratic development and human rights is permeated by both non-discrimination and a particular focus on strengthening the rights of women and promoting their political participation. The real power and

influence of women in decision-making, legislation, control and conflict management are emphasised.⁴

In 2011, just under SEK 4.6 billion of the bilateral development cooperation through Sida was allocated to the democracy, human rights and gender equality sector. This trend has been steadily rising over the past decade.⁵

The sector is Sida's largest with 28 per cent of the total payments in 2011 and incorporates a broad range of contributions and cooperation partners. Cooperation partners can be anything from barefoot lawyers⁶, tax agencies, trade unions for journalists, to parliaments or global organisations that work for the rights of persons living with disabilities.

The work for democracy, human rights and gender equality faces similar opportunities and challenges as other subject areas, whilst it also differs in several ways. The sector is far more political than other sectors as it relates to sensitive issues regarding how political power is to be negotiated, allocated and exercised or how ingrained patterns of widespread impunity can be broken.

Another difference compared with other sectors is that contributions, precisely because of their politically sensitive nature, are often opposed by interests on a global, regional, central or local level – either openly or in secret.

Measures to strengthen democratic governance form part of the poverty reduction plans of most partner countries. Since the work is politically sensitive, multiple methods, channels and forms of support are often required, where Sida cooperates with many different actors. These include governments in the partner countries, the United Nations and other international organisations, the World Bank and other development banks, the European Union and civil society organisations.

In 2010, the Government decided on a policy for democratic development and human rights – *Change for Freedom* – that provides increased guidance for how Sida should prioritise its work with democracy and human rights and develop its work with the rights perspective. The policy is divided into three focus areas, with each one being divided into a number of prioritised areas for Sida's work with democracy and

1 <http://www.globalbarometer.net/GBSpartdemo.final.pdf>, p. 15.

2 Report, UU/2003/04: UU3 Sweden's Policy for Global Development: http://www.riksdagen.se/Webbnav/index.aspx?nid=3322&dok_id=GR01UU3.

3 OECD publishing, The Development Dimension, Integrating Human Rights into Development, Donor approaches, experiences and challenges, pp. 93–102.

4 OECD publishing, The Development Dimension, Integrating Human Rights into Development, Donor approaches, experiences and challenges, p. 94.

5 Swedish Government Offices, *Change for Freedom*, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, 2010.

6 "Barefoot lawyers" is a term referring to persons with a certain basic legal training to assist and orient people in simple legal matters.

human rights between 2010 and 2014. These are:

Focus Area 1: Civil and political rights

Priorities:

- Strengthen freedom of expression and the development of free and independent media.
- Exploit information and communications technology (ICT).
- Ensure universal suffrage and participation.

Focus Area 2: The institutions and procedures of democracy and rule of law

Priorities:

- Strengthen state protection of human rights.
- Support entire electoral processes.
- Strengthen parliaments.
- Encourage the development of democratic political party systems.
- Promote efficient and effective public administration at central, regional and local levels.
- Fight corruption.
- Develop a functioning justice system.

Focus Area 3: Actors for democratisation

Priorities:

- Contribute to the development of a vibrant and pluralistic civil society.
- Protect human rights defenders.
- Strengthen women's rights and encourage their participation in politics.

2.1.2 Assignment and basis of the Results Report

In the Government's decision (as of June 30 2011) to Sida, the agency was mandated to report and analyse the results of the activities whose main focus is democratic development and greater respect for human rights.

A selection of individual contributions shall illustrate the activities. Furthermore, Sida shall describe the application of the human rights based approach and give examples from different regions and sectors.¹

Reporting and analysis shall take place in the light of the priorities set out in the policy for democratic development and human rights 2010–2014.² The specific contributions reported are therefore not primarily related to the targets set in the cooperation

strategy, but above all to the relevance they have for the policy's three focus areas.

A random selection, supplemented in accordance with the Government commission by a few strategically selected contributions to ensure that relevant types of contributions and regions are covered, provides a description and analysis of 24 contributions out of the main sector total of 1,233.³ These contributions account for just under 2 per cent numerically and 2 per cent of the disbursement volume in 2011.

The contributions clearly demonstrate the breadth of issues, processes, methods and actors within the sector. They are concrete and illustrative examples of all the priorities stated for the focus areas. However, it is not possible to draw general conclusions on an aggregated level on the basis of this limited selection. Sida has therefore chosen not to compare the individual contributions in terms of relevance, goal fulfilment and sustainability. However, the contributions can be used to illustrate overall conclusions and lessons learned from Sida's collective knowledge in the area, as well as current strategic evaluations and studies.

Sida's Results Report has focused on the agency's experiences and lessons learned, supplemented with strategic evaluations.⁴

Sida has chosen to use the annual reporting that takes place in the form of strategy and operational reports.

2.1.3 Reporting results

In the area of democracy and human rights, Sida provides support to domestic processes where the financial and technical support through the development cooperation only constitutes a part. The cooperation partner has the primary responsibility for planning, implementing and monitoring the work. In most programmes or projects, Sida is involved as one of several donors, so it is rarely possible to distinguish and attribute results linked to specifically Swedish support from the total donor support.

In its written communication to the Parliament of Sweden regarding development cooperation results in 2009, the Government also states that in most cases it is not possible to indicate results specifically linked to the Swedish development cooperation.⁵

1 Government decision UF2011/39469/UD/STYR, Anvisningar för resultatbilagan till årsredovisningen för 2011 avseende Styrelsen för internationellt utvecklingssamarbete [Directions for the Results Appendix to the Annual Report for 2011 regarding the Swedish International Development Cooperation Agency(Sida)].

2 Swedish Government Offices, Change for Freedom, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, 2010.

3 Sida, Statistical basis for the thematic part of the 2011 Results Appendix.

4 The Swedish Agency for Development Evaluation (SADEV) has also been commissioned to carry out a separate evaluation of the results of the aid whose main focus is democratic development and greater respect for human rights.

5 Government Written Communication on aid results 2008/09:189, p. 14.

Since 1995, Sida has published more than 750 evaluations, of which more than 180 concern the main sector of democracy, human rights and gender equality.¹

Furthermore, there are evaluations conducted by Embassies of Sweden, as well as the 10 or so evaluations of the main sector by the Swedish Agency for Development Evaluation (SADEV) published since 2006.² Sida has also participated in several central joint-donor evaluations in recent years. These cover central sub-areas in the main sector such as anti-corruption, public financial management, public administration reform and general budget support.

It is generally more difficult to report results in this area compared with others, as support for democracy and human rights is largely a matter of changing attitudes and behaviours.³ Changes occur over a long period and are influenced by many different factors.

The Swedish Agency for Public Management demonstrates in its evaluation of the management of Swedish development cooperation policy that the objectives of the policy documents with respect to the area of democracy and human rights are perceived as very comprehensive.⁴ In order to work with a greater focus on results, the objectives should be formulated so that they are close to the activities and can be monitored.

Sida has decided to focus the conclusions of the thematic part of the Results Report on the approaches, forms of development cooperation and methods that seem to work and why. The Swedish Agency for Public Management establishes in its report that analyses of the types of contributions and cooperation that lead to long-term and lasting positive effects could provide a starting point for learning.⁵

A particular challenge for the results report is that the work at Embassies of Sweden takes place in an integrated manner and that it is seldom possible to distinguish Sida's results from those of the Government Offices. This is particularly evident in the advocacy work that takes place through dialogue.

2.1.4 Quality Assurance

The thematic part of the Results Report has been reviewed and quality assured by Sida's evaluation unit, statisticians and communications department, in addition to the formal managerial ranks in the line organisation. This has been carried out in line with the Swedish National Audit Office's earlier recommendations and Sida's own experience of management and control.⁶

2.2 Statistics

For Sida's extensive work with democracy, human rights and gender equality, there is a large and relevant statistical basis to present.⁷

At the same time, the statistics should be handled and analysed with caution. Sida is an agency with complex activities and a decentralised contribution classification system. Even with the guidance of Sida's statistics handbook⁸, there is room for subjective judgments and, therefore, differences in the classification.

The agency is well aware of this problem and conducts regular quality assurance, most recently in 2010 when all sector codes for ongoing contributions were checked and, where necessary, revised.

To provide an overview of longer trends and changes between Sida's twelve main sectors and within the main sector of democracy, human rights and gender equality, statistics from a period of ten years are presented. Since the coding has partly changed during this period – the currently applicable sector coding has been in use since 2005 – the information from the early years must be handled with caution. However, certain trends can be discerned and be given probable explanations. These trends and explanations have been discussed with Sida staff with long experience of working in the sector and with Sida statisticians.

1 <http://www.sida.se/Svenska/Om-oss/Publikationsdatabas>.

2 <http://www.sadev.se>.

3 Carothers, Thomas and de Gramont, Diane. *Aiding Governance in Developing Countries – Progress Amid Uncertainties*, Carnegie Endowment for International Peace, 2011, pp. 21–22.

4 The Swedish Agency for Public Management; *Management of Swedish aid policy: an evaluation*, 2011, p. 85.

5 The Swedish Agency for Public Management; *Management of Swedish aid policy: an evaluation*, 2011, p. 99.

6 The Swedish National Audit Office, *Audit Report of Sida's 2010 Annual Report and deficiencies in the internal management and control, 04-04-2011*, p. 7.

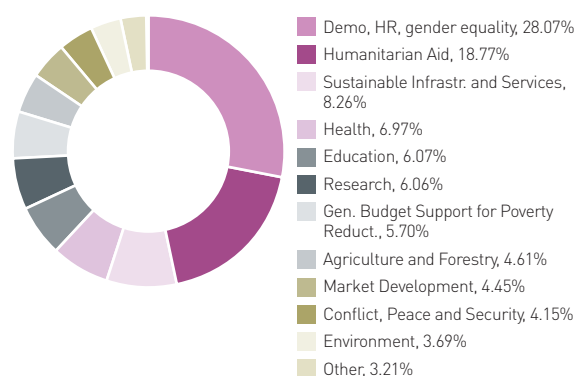
7 All statistics presented are from Sida's accounting and planning system. Sida, *Statistical basis for the thematic part of the 2011 Results Appendix*.

8 Sida's new statistics handbook 2010.

The main sector of democracy, human rights and gender equality

Sida divides the activities into 12 main sectors, which in turn consist of several sub-sectors. The main sector of democracy, human rights and gender equality is Sida's largest sector, accounting in 2011 for 28 per cent of the volume of development cooperation. The sector's share has increased steadily, from 19 per cent in 2002.

Figure 1. **Sida's disbursements per main sector 2011, %**



Also see tables 4 and 5 at the end of the chapter.

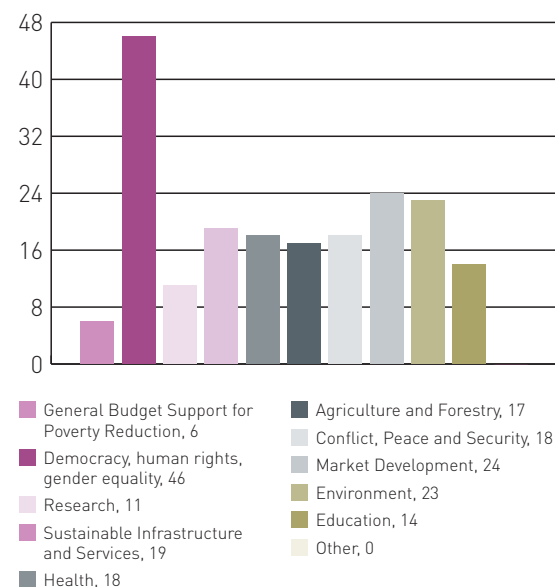
It is interesting to see the development over time, both in terms of the proportion of the whole and in actual amounts. In 2002, the sector accounted for 19 per cent of the total volume and was already Sida's largest sector. The development cooperation budget has increased, and the SEK 2.2 billion for which the sector accounted in 2002 had more than doubled by 2011, when payments of about SEK 4.6 billion were made for contributions within the sector.

The fact that the sector is a high priority was seen when the sharp increase of SEK 1.3 billion in the total development cooperation budget in 2009 resulted in an increase of support to contributions for democracy, human rights and gender equality of SEK 950 million. The following year, in 2010, there was once again a substantial change, when the development cooperation budget fell by SEK 1.5 billion, due to the deteriorated economic situation in Sweden. The sector for democracy, human rights and gender equality fell, but by only SEK 400 million.

Sectors in 48 country and regional strategies for 2011

Democracy, human rights and gender equality is included as one of typically three sectors or strategy areas in almost all current cooperation strategies for countries and regions.

Figure 2. **Sectors in country and regional strategies 2011, number of strategies where the sector is included**



This figure is based on a review, which was made as part of Sida's assignment on thematic focus 2011. Humanitarian aid lies outside the scope for thematic focus on three sectors and is therefore not accounted for here.

Within the main sector of democracy, human rights and gender equality

The main sector has 16 sub-sectors with codes, which are based on the classification of sectors by the OECD Development Assistance Committee (DAC). These sector codes are used by most other donor countries and, from 2005, by Sida.¹

- 15110 Public sector, policy and administrative management
- 15111 Public finance management
- 15112 Decentralisation and support to subnational government
- 15113 Anti-corruption organisations and institutions
- 15130 Legal and judicial development
- 15150 Democratic participation and civil society
- 15151 Elections
- 15152 Legislatures and political parties
- 15153 Media and free flow of information
- 15160 Human rights
- 15170 Women's equality organisations and institutions
- 16020 Employment policy and administrative management

¹ Sida's NEW statistics handbook 2010, p. 19.

16050	Multisector aid for basic social services
16061	Culture and recreation
16062	Statistical capacity building
22030	Radio/television/print media

This division develops over time, and some sectors have been added or renamed during the ten-year period that is presented. Since the sub-sectors still broadly match the previous classification, it is possible to make comparisons over time, but with a certain caution.

Changes for the various sub-sectors within the main sector

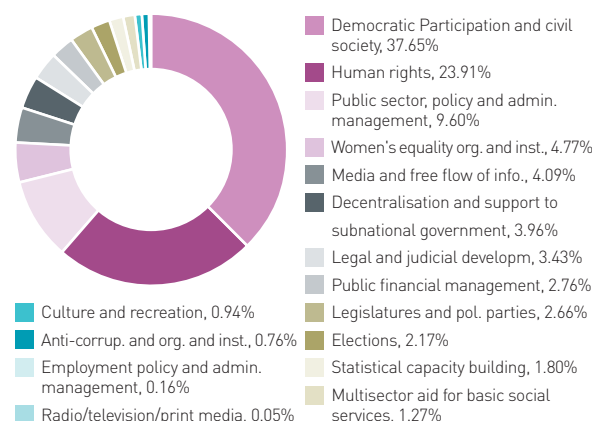
Certain differences over time are due to moves between sector codes and the creation of new codes. There are also overlaps between certain sub-sectors, which means that similar contributions may have been classified differently to some extent and that multi-year contributions may have been classified in different ways during different agreement periods.

The largest sub-sector of *democratic participation and civil society* also accommodates many organisations that work with human rights. A significant part of this sub-sector consists of contributions to the Swedish civil society organisations that have framework agreements with Sida. The large increase in recent years, both in volume and as a share of the entire sector, is partly due to increased framework grants to Swedish organisations, new support via the Swedish Government's Special Initiative for Democratisation and Freedom of Expression (Democracy Initiative) and major support to civil society and participation in countries such as Afghanistan.

Support to *human rights* has reduced its share of the sector, but there is some uncertainty here since human rights contributions may also have been classified as democratic participation and civil society or sometimes under legal and judicial development. The large increase in payments in 2009 was primarily due to three major instances of one-year support to Afghanistan. 2011 saw the launch of major new contributions in several countries or globally.

It is problematic that both this and the previous sub-sector are so comprehensive. It is difficult to identify how much support is allocated to work with certain specific rights or with the rights of certain groups in the statistics for human rights. Manual and laborious work is often required to give a true and fair picture. Since there are significant differences between the various main sectors, where some have many narrow and detailed sub-sectors, further discussion on

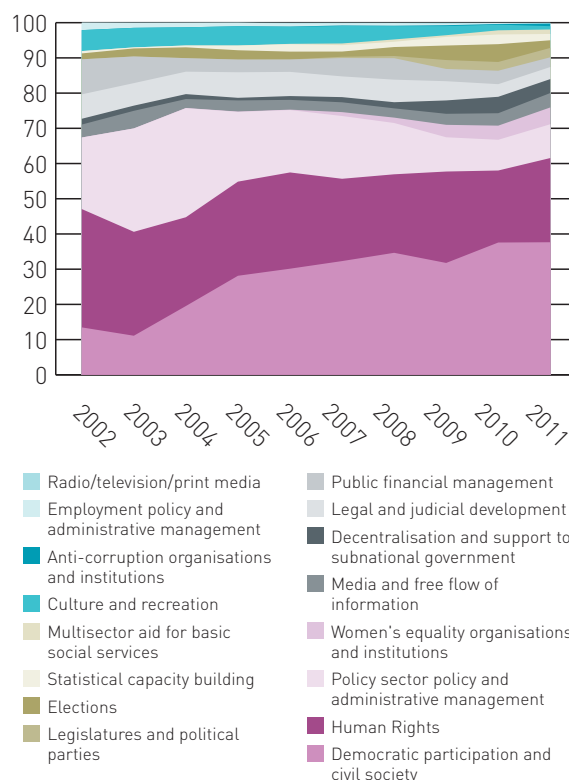
Figure 3. **Share of the Democracy, Human Rights and Gender Equality sector per 16 sub-sectors, %**



this issue should be conducted within the framework of the DAC cooperation for statistics.

The two largest sub-sectors may be affected by Sida seeking large and broad contributions and choosing a classification such as democratic partici-

Figure 4. **Share of the Democracy, Human Rights and Gender Equality sector per 16 sub-sectors, 2002–2011, %**



Also see Figure 6 and 7 at the end of this chapter.

pation and civil society that appears to be comprehensive. This is despite the fact that the contribution may refer to legislature and political parties and support to media.

Public sector policy and administrative management. The share of the sector has more than halved in ten years. Classification of contributions within the neighbouring areas of public administration, public finance management, decentralisation and anti-corruption has been quite vague. Sida supports four major reforms – administration, public finance management, legal and judicial development and decentralisation. If these four sub-sectors are considered as a whole, the source of error is unlikely to be as great over time. Here, the importance of seeing both volume and share is of particular significance. In 2011, these sub-sectors together accounted for almost exactly the same volume as in 2002, but during the ten-year period, their total share of the sector has halved.

The code for *women's equality organisations* was introduced relatively recently. The gradual increase is partly due to some new support and partly because organisations that work with women's rights have

been reclassified from the human rights or democratic participation and civil society sub-sectors.

The support for *media and free flow of information* has more than doubled over the ten-year period, and an increase in recent years is also seen when this area has become a more obvious political priority. Several new instances of support have been added within the framework of the investment in democracy.

The increase of *decentralisation contributions* in recent years can partly be explained by support to some major decentralisation reforms, and partly by some contributions, now recoded, that have previously been classified as public administration. The work of civil society organisations within the framework of decentralisation reforms can be found under the democratic participation sub-sector. Part of the support for decentralisation is also found under other main sectors.

After a few years of an upward trend with increased volumes, the support for *legal and judicial development* is now back at the same level as at the beginning of the ten-year period. This is because some parliamentary support was placed here previously, but is now placed under its own sector code, and because some major legal support contributions have recently been concluded.

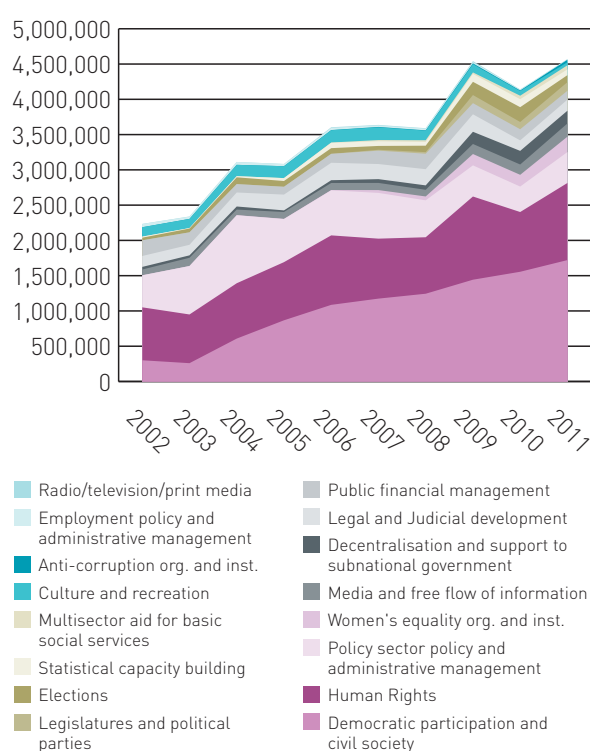
Public finance management. The work with public finance management is partly linked to the budget support form, and changes in scope may be due to the increased or decreased incidence of this form of development cooperation.

Legislatures and political parties. This sector code is relatively new. The support to Swedish party affiliated organisations (PAOs) has previously been classified as democratic participation and civil society, and has not been placed under this code until 2009, which is why a clear upturn is visible at that time. The support to PAOs, however, increased as far back as in 2006 from SEK 24 to 44 million and has since 2007 remained at SEK 75 million per year.

Elections is of course dependent on the electoral processes in Sida's partner countries. In 2009–2010, large amounts of support were development cooperation disbursed to elections, including those in Sudan, Liberia and Afghanistan.

Sida has long supported the building of institutions and systems for *statistics*. These contributions have sometimes previously been classified as public administration. The increase in 2009–2010 is due to reclassifications and some new or increasing instances of support. Reform cooperation in Europe encompasses several types of support, including those given to censuses.

Figure 5. Disbursements per sub-sector within the sector of democracy and human rights, thousand SEK



Also see table 6 and 7 at the end of this chapter.

Support to democracy, human rights and gender equality, 2011

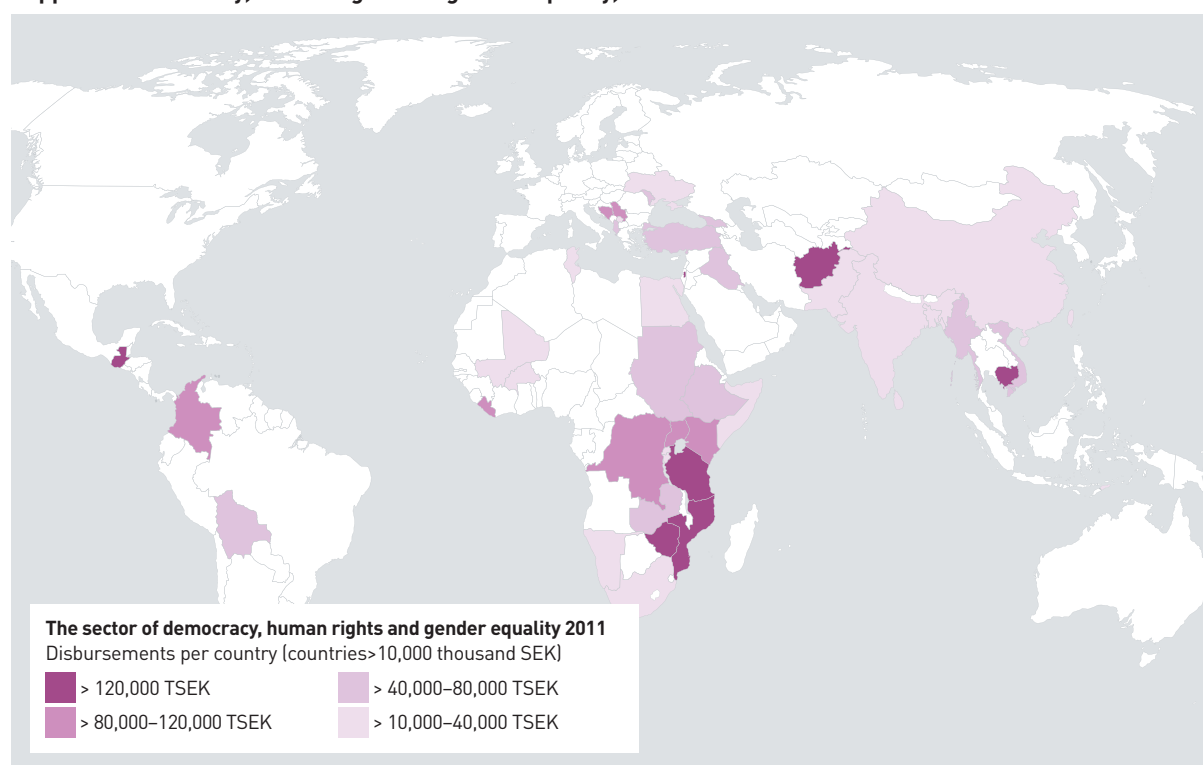
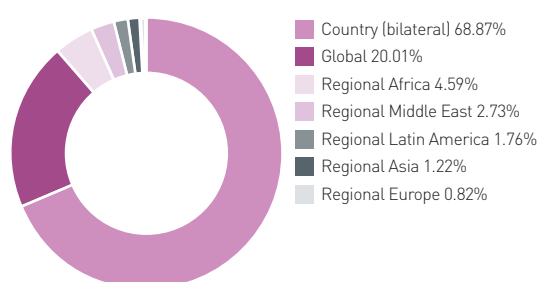


Figure 6. **Share of the democracy, human rights and gender equality sector per bilateral, regional and global, %**



Multisector aid for basic social services. This is a small but somewhat growing sub-sector. Currently, there is a discussion about moving it to another main sector. Within DAC, it is placed within a sector that deals with other social services and social infrastructure.

Culture and recreation displays a clear and marked decline, both in volume and share of the main sector. Sweden is phasing out development cooperation to several countries and regions where cultural cooperation has been included and it is not included in the new cooperation strategies that have been decided. The sector concentration and the work to have fewer and longer programme-based instances of support

Table 1. **Support to democracy, human rights and gender equality**
Total disbursement: 4,570,491 TSEK

Top 10 countries		thousand SEK
1	Afghanistan	295,587
2	West Bank and Gaza	162,254
3	Mozambique	153,230
4	Cambodia	145,271
5	Tanzania	144,083
6	Zimbabwe	141,484
7	Guatemala	122,948
8	Liberia	116,565
9	Uganda	106,480
10	Colombia	103,651

have influenced this, as much support within this sub-sector has been allocated to smaller projects. Certain parts of cultural cooperation that concern freedom of expression can be found under other sub-sectors.

Anti-corruption organisations. This only covers the support to organisations and institutions that work specifically with anti-corruption, which should not be seen as an indicator of the overall anti-corruption

Table 2. Disbursement per country category within the democracy, human rights and gender equality sector, thousand SEK

Country category	2008	2009	2010	2011
Conflict and post-conflict	697,218	976,960	1,043,129	1,095,041
Long-term development cooperation	699,429	1,031,036	918,666	932,885
Global	522,578	763,002	682,229	914,580
Reform Cooperation Eastern Europe	400,317	548,188	520,028	521,688
Regional	504,533	523,686	426,299	508,042
Demo/HR contributions under alternative forms	89,147	130,071	167,264	268,642
Selective Cooperation	206,454	160,605	126,921	144,280
Other countries	75,603	84,986	60,835	101,901
Phase-out countries	371,882	324,076	197,307	85,176
Unclassified	23,410	-626	-2,255	-1,743
Total	3,590,571	4,541,984	4,140,422	4,570,491

work. A significant part of the work against corruption is placed under public sector policy and administrative management, public finance management and legal and judicial development. Furthermore, research shows that participation and accountability from below are crucial for changes in a corrupt environment. Therefore, the support to media, legislatures, political parties, democratic participation and civil society are of great importance in the work against corruption.

Employment policy. A small and rapidly diminishing sub-sector, with few contributions. A discussion is ongoing as to whether this sub-sector should be moved to another main sector.

Radio/television/print media. This regards support to radio and television networks, equipment, newspapers, printing and publishing. The greatest and constantly increasing support to the media as an actor is placed under the sub-sector of media and free flow of information.

Country Categories

In 2008, the Government introduced a division of the development cooperation into country categories.

There is a clear increase in contributions for democracy, human rights and gender equality both in conflict/post-conflict countries and globally between 2008 and 2011. Volume and share are also increasing with regard to the long-term cooperation, although not as greatly. This reflects the changes between the country categories on an overall level.

Regional contributions account for a slightly decreasing share. Support to democracy and human rights contributions under alternative forms and to other countries increased significantly in 2011, partly due

Figure 7. Share of the democracy, human rights and gender equality sector per country category, 2011, %

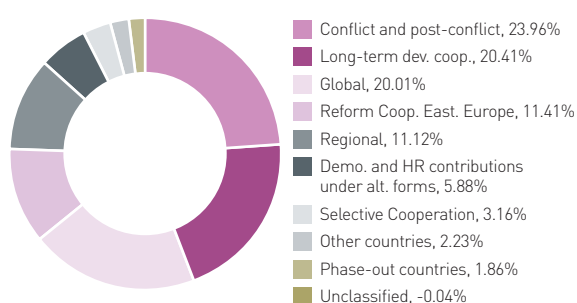


Table 3. Share of democracy, human rights and gender equality sector per country category 2008–2011, %

Country category	2008	2009	2010	2011
Conflict and post-conflict	18.37	21.50	25.16	23.96
Long-term development cooperation	19.76	22.80	22.19	20.41
Global	14.73	16.76	16.45	20.01
Reform Cooperation Eastern Europe	11.23	12.06	12.54	11.41
Regional	14.24	11.52	10.29	11.12
Demo/HR contributions under alternative forms	2.52	2.86	4.04	5.88
Selective Cooperation	5.91	3.53	3.10	3.16
Other countries	2.07	1.87	1.47	2.23
Phase-out countries	10.45	7.13	4.77	1.86
Unclassified	0.72	-0.01 ¹	-0.02 ¹	-0.04 ¹
Total	100	100	100	100

¹ Re-payments give negative values.

to the Democracy Initiative enabling support in new countries or countries that have been phased out.

The phasing out of support in certain countries is being carried out in accordance with the plan for increased country concentration.

Focus Areas

The policy for democratic development and human rights presents three focus areas:

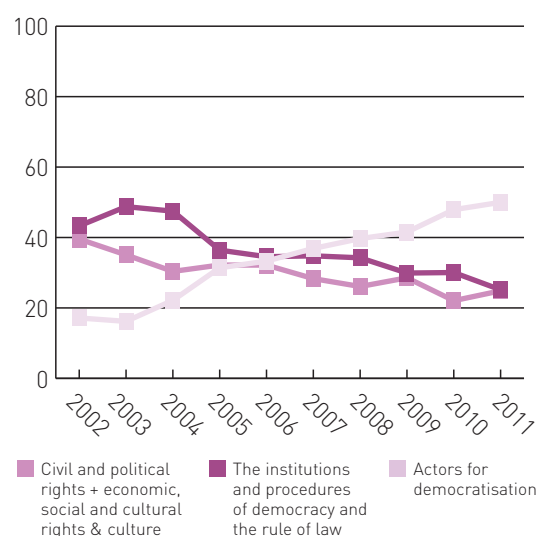
1. Civil and political rights (CPR)
2. The institutions and procedures of democracy and rule of law (DI)
3. The actors of democratisation (DA)

For the Results Report, the 16 sub-sectors were divided into these focus areas.

Note that in the statistics presented below, focus area 1 has been supplemented with contributions for economic, social and cultural rights and cultural co-operation in order to provide a comprehensive picture of the main sector. That is to say, the entire human rights sub-sector and the culture and recreation sub-sector are included.

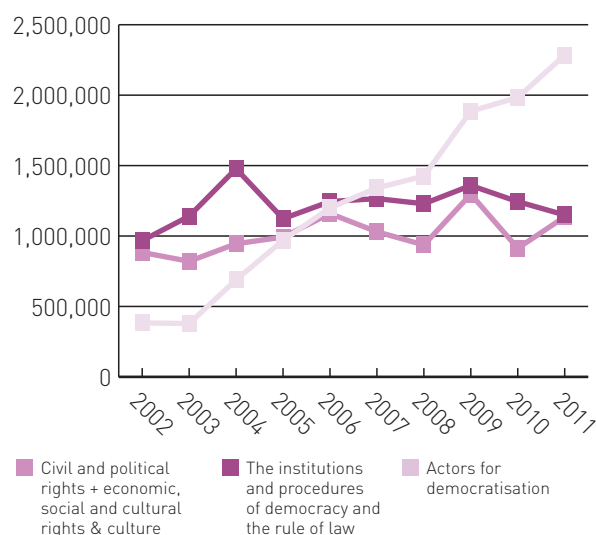
Focus area 2 encompasses the sub-sectors of public sector policy and administrative management; public finance management; decentralisation and support to subnational government; legal and judicial development; elections; employment policy; multisector social services and statistical capacity building.

Figure 8. **Share of demo/HR/gender sector per focus area, 2002–2011, %**



Also see table 8 and 9 at the end of this chapter.

Figure 9. **Disbursements per focus area in the demo/HR/gender sector, 2002–2011, thousand SEK**



Also see table 8 and 9 at the end of this chapter.

Finally, focus area 3 encompasses anti-corruption organisations and institutions; democratic participation and civil society, legislatures and political parties; media and free flow of information; women's equality organisations and radio/television/print media.

Based on the way the various sub-sectors have been allocated per focus area, the focus area of democratisation actors has shown a marked increase over the ten-year period, accounting in 2011 for just under half of all support to democracy, human rights and gender equality.

Support to the focus areas of democracy and the institutions and procedures of the constitutional state and human rights has decreased, accounting in 2011 for approximately one quarter of the sector each.

An important reason as to why the focus area of democratisation actors further increased in 2009–2011 in comparison with the other two is the additional new contributions that were implemented through the Democracy Initiative, which has a strong focus on and freedom of expression.

Implementation channel

Within the main sector of democracy, human rights and gender equality, support goes via multiple implementation channels, that is, the type of organisation that assists Sida's partner in the practical implementation of a programme or project.¹

¹ Definition according to Sida's NEW statistics handbook 2010, p. 51.

In 2011, a significant part of the support within the sector went through Swedish organisations, 40 per cent, compared with 26 per cent of the total volume of development cooperation.

The partner country's organisations were used as implementation channels for 22 per cent of the sector, which was close to Sida's average of 23.5 per cent. Support via multilateral organisations was at 19 per cent for the sector, which was significantly lower than the 30 per cent that Sida as a whole channels through these organisations.

Finally, the organisations of other countries and international organisations (including global human rights organisations) accounted for 10 and 8 per cent of the sector respectively, compared with 7.5 and 13 per cent of the entire volume of development cooperation.¹

Figure 10. **Implementing channel for support within the demo/HR/gender sector, thousand SEK**



Comparison with the OECD/DAC

Sida's and DAC's main sectors differ somewhat.

Sida's main sector of democracy, human rights and gender equality includes 16 sub-sectors, while DAC's main sector of government and civil society contains only 11 of these. The five that differ are employment policy and administrative management; development cooperation for basic social services; culture and recreation; statistical capacity development and radio/television/print media. However, in 2011, these five together only accounted for 4 per cent of Sida's sector for democracy, human rights and gender equality, SEK 165 million of a total SEK 4.6 billion.

In a comparison between Sida and other bilateral donors in 2010, based on the 11 sub-sectors included in DAC's sector of government and civil society, Sida gives the largest share of the total development cooperation to this area (24.4 per cent), followed closely by Australia (23.1 per cent) and Denmark (22.5 per cent). The average within DAC is 11.9 per cent. The lowest proportion was given by Greece at 0.2 per cent, France at 1.9 per cent and Japan at 3.0 per cent.²

¹ Sida, Statistical basis for the thematic part of the 2011 Results Appendix.

² OECD/DAC statistics, Table 19, Aid by Major Purposes in 2010. (Data for 2011 not yet available).

Table 4. Sida's disbursements per main sector 2002–2011, %

Main sector ¹	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
Demo/HR/Gender Equality	19.58	22.19	25.61	22.42	23.04	23.54	23.01	26.89	26.86	28.07
Humanitarian Aid	8.65	9.19	9.56	12.19	12.19	12.11	15.24	15.23	17.66	18.77
Sustainable Infra-structure and Services	14.93	16.43	14.14	12.87	12.27	9.87	10.28	9.71	8.22	8.26
Health	8.81	10.61	10.75	11.55	11.93	12.15	10.99	9.23	9.01	6.97
Education	6.24	7.67	7.58	6.19	5.91	4.22	6.14	4.71	5.66	6.07
Research	5.03	5.55	6.36	6.27	6.06	6.56	6.40	6.36	6.24	6.06
General Budget Support for Poverty Reduction	4.08	4.80	4.81	5.27	5.51	6.25	6.59	5.57	5.60	5.70
Agriculture and Forestry	7.07	6.69	4.99	5.75	5.87	6.41	5.59	4.88	5.04	4.61
Market Development	4.35	3.81	3.44	4.26	3.97	4.44	3.28	4.82	4.04	4.45
Conflict, Peace and Security	2.29	2.83	2.66	2.42	2.84	2.94	3.07	3.54	3.84	4.15
Environment	2.49	2.92	2.54	2.72	3.38	4.20	4.07	4.78	4.29	3.69
Other	16.48	7.30	7.57	8.10	7.04	7.31	5.36	4.29	3.54	3.21
Total	100	100	100	100	100	100	100	100	100	100

¹ Sida's main sectors have changed somewhat over time, but the codification has been back-dated in order to correspond to the present categorisation.

Table 5. Sida's disbursements per main sector 2002–2011, thousand SEK

Main sector ¹	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
Demo/HR/Gender Equality	2,233,620	2,339,303	3,111,860	3,083,799	3,603,921	3,637,237	3,590,571	4,541,984	4,140,422	4,570,491
Humanitarian Aid	986,870	969,132	1,161,901	1,676,220	1,907,246	1,871,095	2,378,580	2,571,958	2,721,921	3,056,069
Sustainable Infra-structure and Services	1,702,754	1,731,913	1,718,071	1,770,405	1,920,239	1,524,990	1,603,433	1,639,296	1,267,427	1,344,880
Health	1,005,380	1,118,331	1,306,158	1,588,543	1,866,147	1,876,634	1,714,199	1,558,806	1,388,235	1,135,106
Education	711,384	808,170	920,634	851,331	924,129	651,602	958,646	795,762	871,891	988,194
Research	573,881	585,233	772,997	862,017	947,746	1,013,864	998,571	1,073,482	961,980	986,376
General Budget Support for Poverty Reduction	465,053	506,053	585,087	725,000	862,000	966,250	1,027,600	940,000	863,000	929,000
Agriculture and Forestry	806,780	704,988	606,805	791,357	918,403	990,288	871,526	823,700	776,894	750,097
Market Development	495,947	401,650	418,528	586,295	621,023	685,690	511,322	813,755	622,544	724,193
Conflict, Peace and Security	261,171	297,874	323,341	332,554	444,418	454,700	478,501	597,749	592,632	675,380
Environment	284,137	308,263	308,099	373,495	528,068	648,878	634,312	807,262	660,649	601,576
Other	1,880,439	769,148	919,505	1,113,591	1,100,910	1,129,850	835,703	725,351	545,574	523,412
Total	11,407,418	10,540,057	12,152,986	13,754,605	15,644,250	15,451,077	15,602,964	16,889,104	15,413,167	16,284,774

¹ Sida's main sectors have changes somewhat over time, but the codification is back-dated in order to correspond to present categorisation.

Table 6. Share of the democracy, human rights and gender equality sector per 16 sub-sectors 2002–2011, %

Sub-sector	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
Democratic participation and civil society	13.47	11.10	19.54	28.13	30.14	32.30	34.65	31.77	37.57	37.65
Human rights ¹	33.60	29.51	25.21	26.73	27.33	23.37	22.29	25.96	20.45	23.91
Policy sector policy and administrative management ¹	20.32	29.36	30.97	19.82	17.72	17.83	14.58	9.73	8.73	9.60
Women's equality organisations and institutions ¹	0.00	0.00	0.06	0.08	0.12	1.10	1.52	3.53	4.01	4.77
Media and free flow of information ¹	3.68	5.00	2.53	3.16	2.77	2.79	2.63	3.13	3.53	4.09
Decentralisation and support to subnational government	1.64	1.47	1.40	0.74	1.08	1.47	1.74	3.80	4.66	3.96
Legal and judicial development	6.94	6.40	6.38	7.26	6.87	5.89	6.41	5.46	3.59	3.43
Public Financial Management ¹	9.95	7.57	3.84	3.61	3.52	5.21	6.10	3.48	3.82	2.76
Legislatures and political parties	0.00	0.00	0.00	0.00	0.00	0.36	0.62	2.53	2.48	2.66
Elections ¹	1.67	2.28	3.07	2.64	2.23	1.48	2.54	4.12	5.06	2.17
Statistical capacity building	0.66	0.29	0.52	1.33	2.10	1.82	1.50	2.46	2.75	1.80
Multisector aid for basic social services	0.00	0.00	0.00	0.02	0.11	0.48	0.66	0.47	1.18	1.27
Culture and recreation	5.95	5.55	5.16	5.46	4.84	4.96	3.79	2.59	1.61	0.94
Anti-corruption organisations and institutions	0.00	0.00	0.00	0.00	0.06	0.15	0.11	0.25	0.19	0.76
Employment policy and administrative management	2.12	1.40	1.30	1.01	0.90	0.60	0.70	0.39	0.24	0.16
Radio/television/print media	0.00	0.09	0.01	0.03	0.20	0.19	0.15	0.32	0.11	0.05
Total	100	100	100	100	100	100	100	100	100	100

¹ These sub-sectors include contributions with older sector codes, according to decision.

Table 7. Disbursements within the democracy, human rights and gender equality sector per 16 sub-sectors 2002–2011, thousand SEK

Sub-sector	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
Democratic participation and civil society	300,788	259,580	608,210	867,398	1,086,264	1,174,860	1,244,170	1,442,851	1,555,390	1,720,910
Human Rights ¹	750,476	690,381	784,385	824,280	984,855	849,870	800,470	1,179,294	846,721	1,093,028
Policy sector policy and administrative management ¹	453,863	686,790	963,769	611,117	638,729	648,536	523,502	441,783	361,390	438,568
Women's organisations and institutions ¹	0	0	2,000	2,548	4,240	40,056	54,741	160,507	166,122	217,937
Media and free flow of information ¹	82,216	116,910	78,632	97,371	99,952	101,533	94,360	142,369	146,306	187,040
Decentralisation and support to subnational government	36,709	34,298	43,669	22,692	39,092	53,505	62,547	172,817	193,119	180,912
Legal and judicial development	155,017	149,758	198,575	224,004	247,490	214,233	230,051	248,107	148,667	156,901
Public financial management ¹	222,322	177,047	119,440	111,178	126,687	189,573	219,183	157,941	158,245	126,186
Legislatures and political parties	0	0	0	0	0	13,000	22,223	114,998	102,770	121,777
Elections	37,200	53,348	95,549	81,412	80,462	53,951	91,255	187,308	209,698	99,273
Statistical capacity building	14,768	6,672	16,140	40,887	75,815	66,202	53,762	111,705	113,789	82,350
Multisector aid for basic social services	0	0	0	569	4,041	17,457	23,787	21,536	48,977	57,960
Culture and recreation	132,963	129,813	160,589	168,222	174,260	180,282	136,021	117,476	66,516	43,098
Anti-corruption organisations and institutions	0	0	78	41	2,262	5,330	4,070	11,290	7,918	34,899
Employment policy and administrative management	47,298	32,707	40,444	31,078	32,575	21,959	24,991	17,498	10,137	7,464
Radio/television/print media	0	2,000	380	1,000	7,196	6,890	5,440	14,505	4,655	2,187
Total	2,233,620	2,339,303	3,111,860	3,083,799	3,603,921	3,637,237	3,590,571	4,541,984	4,140,422	4,570,491

¹ These sub-sectors include contributions with older sector codes, according to decision.

Table 8. Share of the democracy, human rights and gender equality sector per focus area, 2002–2011, %

Focus area	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
Actors for democratisation	17.15	16.18	22.15	31.40	33.29	36.89	39.69	41.54	47.90	49.99
Institutions and procedures of democracy and the rule of law	43.30	48.76	47.48	36.41	34.54	34.79	34.23	29.91	30.05	25.15
Civil and political rights + economic, social and cultural rights & culture ¹	39.55	35.06	30.37	32.18	32.16	28.32	26.08	28.55	22.06	24.86
Total	100	100	100	100	100	100	100	100	100	100

¹ Here the focus area Civil and political rights is presented together with economic, social and cultural rights and cultural cooperation.

Table 9. Disbursements within the democracy, human rights and gender equality sector per focus area, 2002–2011, thousand SEK

Focus area	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
Actors for democratisation	383,004	378,490	689,299	968,359	1,199,914	1,341,669	1,425,004	1,886,519	1,983,161	2,284,751
Institutions and procedures of democracy and the rule of law	967,177	1,140,619	1,477,587	1,122,938	1,244,892	1,265,416	1,229,077	1,358,695	1,244,023	1,149,614
Civil and political rights + economic, social and cultural rights & culture	883,439	820,194	944,974	992,503	1,159,114	1,030,152	936,491	1,296,770	913,237	1,136,126
Total	2,233,620	2,339,303	3,111,860	3,083,799	3,603,921	3,637,237	3,590,571	4,541,984	4,140,422	4,570,491

¹ Here the focus area Civil and political rights is presented together with economic, social and cultural rights, and cultural cooperation.
There is no division of different rights within the sub-sector of human rights.



Guatemala has been criticized for illegal adoption for over two decades. During the worst years, 5 000 children were trafficked every year. Sweden has worked directly with the government and supported UNICEF to fight this development. Since 2008, a new law is in place which secures legal and safe adoptions. A national adoption bureau has opened. It is open for all families in Guatemala to use free of charge. Their perspective is always "in the best interest of the children". Thanks to the new law, five year old Ángel René has been adopted legally and has a new family.

Photo: Yva Sahlstrand

3. Results of contributions and specific initiatives



3. RESULTS OF CONTRIBUTIONS ON FOUR CONTINENTS

The reporting of Sida's support to democracy and human rights takes us on a round the world trip with a common denominator: the results of Swedish development cooperation.

The Government's directions for the Results Report to Sida's Annual Report for 2011¹ request information and analysis based on the three focus areas specified in the policy for democratic development and human rights in Swedish development cooperation 2010–2014 – “*Change for Freedom*”²:

- Civil and political rights.
- The institutions and procedures of democracy and rule of law.
- The actors of democratisation.

Random selection of contributions

Results shall be reported from a random selection of contributions within each focus area. In 2011, Sida had over 1,230 active contributions within the main sector of democracy, human rights and gender equality.

The selection was taken from a population of contributions commenced no later than 1 January 2009 and concluded no earlier than 1 January 2011, in order to provide a sufficiently long time horizon for the results to be achieved and for Sida to have received reporting from cooperation partners.

Sida statisticians performed a random selection of 20 contributions from a population of 286 contributions. This English translation of the Results Report contains selected examples from the Swedish version.

Sida's selection of supplementary contributions

The Government's directions mandate included a request to Sida to, where necessary, supplement the random selection with a few strategic contributions to ensure that “relevant types of contributions and regions” were covered, in order to illustrate the activities within the area.³

Since the random outcome gave a relatively good distribution between countries, regions and country categories, Sida chose only four additional contributions to supplement the selection on the basis of policy's focus on certain types of contribution. This was done partly by reconciling the random selection with the sub-areas specified for the three focus areas.

Description and assessment of the contributions

Responsible program officers and managers have completed a form with factual information and assessments of the contributions, which have then been summarised.

Sida describes analyses and assesses the contributions on the basis of the following four areas:

Overall objectives and relevance

Sida presents the objectives and relevance of the contribution in relation to the domestic development challenges, the Swedish policy for democratic development and human rights and any other steering and guiding documents.

¹ Government decision UF2011/39469/UD/STYR, Anvisningar för resultatbilagan till årsredovisningen för 2011 avseende Styrelsen för internationellt utvecklingssamarbete [Directions for the Results Appendix to the Annual Report for 2011 regarding the Swedish International Development Cooperation Agency (Sida)].

² Swedish Government Offices, *Change for Freedom*, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, 2010.

³ Government decision UF2011/39469/UD/STYR, Anvisningar för resultatbilagan till årsredovisningen för 2011 avseende Styrelsen för internationellt utvecklingssamarbete [Directions for the Results Appendix to the Annual Report for 2011 regarding the Swedish International Development Cooperation Agency (Sida)].

Objectives and results to which the Sida support has contributed

The programme officers who have been responsible for reporting on each contribution have selected the objectives that have been deemed most important for the implementation of the programme. The objectives and results that Sida presents here are therefore not comprehensive. The data is based on the cooperation partner's reporting and, in several cases, also on external evaluations. The fact that the results information varies between the contributions is highly dependent on whether evaluations have been made recently and are thus able to form the basis of the assessment.

The emphasis is placed on outputs and related outcomes.

For a number of the contributions, there are deficiencies in the relationship between objectives and results, and sometimes in the relationship to the overall objective. It depends on how the contributions have been formulated when the support was prepared.

The objectives are listed in point form, followed by examples of results in the same order as the objectives.

Sustainability, risks and budgetary discipline

This concerns the sustainability and identified risks of the results and how Sida and the partner have handled them and whether the budget has been adhered to. With respect to cost-efficiency, that is, an assessment of the time and resources allocated in relation to the results achieved, Sida has commented on this only in cases where external evaluations exist as a basis for an objective and impartial assessment. In other cases, Sida has chosen to report only on whether the budget has been adhered to and properly accounted, here referred to as budgetary discipline.

Sida assesses budgetary discipline on a continuous basis, by means of the financial reports and audits that form part of the follow-up. When preparing support, an assessment of alternatives to the proposed support is made, that is, whether another contribution could achieve the same or better results. When Sida decides on a contribution, the budget is reviewed on the basis of an assessment of reasonable costs for achieving the objectives set.

Dialogue

If the project or programme has inspired or brought about dialogue, Sida reports both the dialogue work within the contribution and the general dialogue between Sida and Swedish embassies.

Below is a section where a selection of eight, out of the original 24 contributions, is presented.

3.1 Policy focus area civil and political rights

Within the first focus area of the policy, Sida's support should have a particular focus on support to freedom of expression and the emergence of free, independent media. Sweden is to promote the free use of information and communication technology. Moreover, Sweden is to help ensure universal suffrage and equal political participation. Below, Sida presents two contributions within this policy focus area.

3.1.1 Performing arts in the Middle East and North Africa

The overall objective of the contribution is to strengthen freedom of expression and cultural pluralism in the Middle East and North Africa through support to free theatre companies and independent scenes.¹

BACKGROUND INFORMATION

Total costs	42.6 million krona
Sida's contribution	100 per cent
Time period	2008–2013
Cooperation partner	Stockholm Academy of Dramatic Arts

The project is relevant on the basis of the cultural and political context of the Middle East and North Africa (MENA). It has a particular focus on access of children and young people to culture and aims to strengthen freedom of expression in the Middle East and North Africa.² Sida's contribution consists of financial and technical support to free theatre companies in the region that provide performances and cultural activities. The project builds interaction where the audience participates in the performance, particularly in those that target children and young people.³

The project is relevant to the policy's focus area of "civil and political rights" and the priority of freedom of expression since the contribution is designed to promote a strong and diverse environment of communication.⁴

1 Sida/DESO, "Assessment Memo: Cultural Cooperation in the Field of Performing Arts in the MENA Region 2008–2012 – Dramatiska Institutet", 16-05-2008, p. 1.

2 Sida/DESO, "Assessment Memo: Cultural Cooperation in the Field of Performing Arts in the MENA Region 2008–2012 – Dramatiska Institutet", 16-05-2008, pp. 3 and 4.

3 Sida, Assessment Memo, Cultural Cooperation in the Field of Performing Arts in the MENA Region 2008–2012 – Dramatiska Institutet, 16-05-2008, p. 9; Results analysis 2010, p. 6; Results analysis 2011, p. 6f; Dramatiska Institutet. 2010. "Tamasi Annual Report 2009: General Analysis of Changes Made (Annex pp. 6–7)"; Stockholms Dramatiska Högskola. 2011. "Tamasi Annual Report 2009 General Analysis of Changes Made (Annex p. 6)".

4 Swedish Government Offices, Change for Freedom, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, adopted in February 2010, p. 15.

Objectives and results

The project objectives¹ are to:

- Build and develop cultural participation through spreading the performing arts.
- Provide a broad and pluralistic range of stage performances.
- Create and develop permanent institutions for performing arts in the region.
- Provide performing arts, especially for children.

There are several quantitative results, including the following:

In 2009, more than 1,240 performances were given before a combined audience of 188,000. Of the audience, at least 35 per cent were from poor and marginalised areas. For children and young people, the equivalent figure was at least 65 per cent.²

In 2010, more than 1,450 performances were given with a combined audience of 322,000. Of these, the proportion from poor and marginalised areas was estimated to be at least 50 per cent, and 1,066 of these performances were given in poor or marginalised areas.³

With respect to the objective relating to range, just under 30 performances each year were produced in 2009⁴ and 2010⁵.

The work of creating and developing permanent institutions for the performing arts has contributed to several independent scenes, and cultural institutions have been able to expand and consolidate their operations – five in Egypt, one in Jordan, two in Lebanon and three in the West Bank and Gaza.

This has primarily come about through support to performances and other audience-oriented activities.

Finally, in terms of performing arts for children and young people, 13 performances were produced in 2009 and 18 in 2010.

A very large number of people have gained an insight into the issues that the performances were about. The project has helped to create scope for culture and expression in societies where these are often limited, and to strengthen independent cultural institutions in several countries.

The work to maintain and develop what is known as the Tamasi Network between independent cultural institutions has continued. For regional cooperation beyond this network, the results appear to be less strong. Several of the programme's members and stages, through appearances at protests, or through acting as focal points for the opposition, have participated in the Egyptian revolution.

Sida is currently in discussions with the network about its future development and how it can be used to achieve the sector objective of strengthening freedom of expression in the region. Ownership of the project is also being planned to be transferred from Sweden to its local members.

Sustainability, risks and budgetary discipline

The possibilities of maintaining the project's activities without external support are very limited at the present time. However, there is some potential for the participating theatre companies to bring in revenue through sponsorship or ticket sales, for example, but at the present time it seems unlikely that they would be able to fully sustain themselves on such revenue. Sida's assessment is that government funding for independent cultural groups and theatre companies is not a priority of any country in the region.

In its preparation, Sida identified the risk that competition between participating institutions and sociopolitical instability could lead to difficulties in implementing activities.⁶ However, these have not arisen to any great extent in terms of fulfilment of objectives. In individual cases, however, participating institutions have encountered threats or a negative attitude. This has so far been manageable, but it is a latent risk, according to Sida's assessment.

Not all of the funds allocated for the contribution have been used, but the budget has been adhered to in principle.

1 Sida/DESO, "Assessment Memo 2008–2010: Cultural Cooperation in the Field of Performing Arts in the MENA Region 2008–2012 – Dramatiska Institutet", 16-05-2008, p. 9; Sida, Strategy Report for Mena September 2010–August 2011, p. 2.

2 Dramatiska Institutet, 2010, "Tamasi Annual Report 2009: General Analysis of Changes Made (Annex)", pp. 5–6.

3 Stockholms Dramatiska Högskola, 2011, "Tamasi Annual Report 2009 [sic]! General analysis of Changes Made (Annex)", p. 5ff.

4 Dramatiska Institutet, 2010, "Tamasi Annual Report 2009: General analysis of Changes Made (Annex)", p. 5.

5 Stockholms Dramatiska Högskola, 2011, "Tamasi Annual Report 2009 General Analysis of Changes Made (Annex)", p. 5.

6 Dramatiska Institutet, 2010, The Tamasi Program – A Cultural Cooperation Program in the Field of Performing Arts in the MENA Region 2008–2012, Annual Report 2010, pp. 3, 5–6; Stockholms Dramatiska Högskola, The Tamasi Program – A Cultural Cooperation Program in the Field of Performing Arts in the MENA Region 2008–2012, Annual Report 2010, pp. 1, 5–7.

Dramatiska Institutet, 2010, "Tamasi Annual Report 2009: General analysis of Changes Made (Annex)", p. 5.

Stockholms Dramatiska Högskola, 2011, "Tamasi Annual Report 2009" General Analysis of Changes Made (Annex)", p. 5.

Dramatiska Institutet, 2010, Tamasi Annual Report 2009: General Analysis of Changes Made (Annex), p. 5; Stockholms Dramatiska Högskola, 2011, Tamasi Annual Report 2009, General Analysis of Changes Made (Annex), p. 5.

Sida, Memorandum, Annex 1: Strategy Report for Mena September 2010–August 2011, p. 3.

Sida, Memorandum, Annex 1: Strategy Report for Mena September 2010–August 2011, p. 3.

Dramatiska Institutet, 2010, The Tamasi Program – A Cultural Cooperation Program in the Field of Performing Arts in the MENA Region 2008–2013, Annual Report, p. 22.

Sida/DESO, "Assessment Memo: Cultural Cooperation in the Field of Performing Arts in the MENA region 2008–2012 – Dramatiska Institutet", 2008, p. 3.

Dialogue

Sida's dialogue within the programme has focused on the question of how a cultural project of this type can contribute to the freedom of expression. Sida has expressed the view that the project should have a more well thought-out strategy regarding how to highlight sensitive and taboo issues in order to enhance pluralism and broaden the scope of what may and can be said.¹ The other party has accepted this position, but at the same time wants to safeguard artistic freedom. Thanks to the dialogue, freedom of expression now appears to be central to the project's implementation and possible continuation, according to Sida's assessment.

In line with the regional cooperation strategy, Sida has specifically pointed out that performances should allow scope for describing and problematising the situation of women. Sida has also, as in other parts of its regional programme for democracy and human rights in MENA, emphasised that the performances must target groups that lack access to other forms of cultural expression. In this regard, the partners are in total agreement.²

3.1.2 Global Witness: natural resources, armed conflict and human rights in DR Congo

The project's overall objective has been to disseminate information and increase awareness of the links between the exploitation of natural resources, armed conflicts and violations of human rights, and thus create greater opportunities for demanding accountability.

BACKGROUND INFORMATION	
Total cost	20.1 million krona
Sida's contribution	68 per cent
Time period	2006–2011
Cooperation partner	Global Witness

The contribution was relevant in view of the challenges in the Democratic Republic of Congo (DRC), such as ongoing armed conflicts, extreme poverty, violations of human rights, widespread corruption, impunity and few opportunities for demanding accountability. These challenges constitute obstacles to the DRC's development.³

The project is relevant to two of the policy's three focus areas: firstly, "democracy and the institutions the institutions and procedures of democracy and the rule of law – mainly in the sub-areas of promoting effective administration, counteracting corruption and, to some extent, developing a functioning justice system; secondly, actors of democratisation – mainly in the sub-area of protecting human rights defenders. Indirectly, the project was also relevant to the focus area civil and political rights through its focus on increased access to information.⁴

The contribution was also relevant for a number of other policies: civil society organisations, gender equality and women's rights and roles, sustainable use of natural resources, conflict management (where impunity was central) as well as economic growth.⁵

Objectives and results

The project objectives⁶ were to:

- Increase openness and transparency of mining contracts.
- Expose and break the link between the exploitation of natural resources and armed conflicts.
- End impunity.

In support of greater openness and transparency, the global organisation Global Witness has so far contributed to the adoption of legislation in the United States⁷ which means that listed companies in the United States that trade in or use metals such as tin, tantalum, tungsten and gold must report the origin of the raw materials, for example, if they are so called conflict minerals.

Global Witness, which is part of the coalition "Publish What You Pay", was a significant donor to the work with reform in the United States and has received support from the British, German and French governments for similar legislation for companies registered in the EU.⁸

The government of the DRC has released certain information regarding its agreement with China on

1 Sida, In-Depth Assessment Memo, 12-04-2007, pp. 8–12.

2 Swedish Government Offices, Change for Freedom, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, pp. 11–20.

3 Sida, In-Depth Assessment Memo, 12-04-2007, pp. 8–12.

4 Swedish Government Offices, Change for Freedom, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, pp. 11–20.

5 Compares policies for support to the civil society in developing countries within the development cooperation; environmental and climate issues in Swedish development cooperation; gender equality and women's rights and roles, security and development in Swedish development cooperation; and economic growth in Swedish development cooperation: <http://www.sida.se/Svenska/0m-oss/Sa-styrs-vi/Policyer-och-strategier/>.

6 Global Witness, Breaking the Link Between Natural Resource Exploitation, Conflict and Corruption in the DRC, Final Narrative Report, 2006–2010, p. 6.

7 Dodd-Frank Wall Street Reform and Consumer Protection Act, section 1502.

8 Global Witness, Breaking the link between natural resource exploitation, conflict and corruption in the Democratic Republic of the Congo, Final Narrative Report, 2006–2010, pp. 8, 13 and Review of 2006–2009 programme funded by SIDA, Executive summary, p. iii.

mining contracts and infrastructure investments. But the whole agreement has not yet been released, despite commitments to do so.¹

Global Witness has worked with the link between the exploitation of natural resources and armed conflicts. The organisation has developed a framework for the OECD that formed the basis of new guidelines for companies that trade in minerals. The guidelines were adopted by the UN Security Council and the OECD.²

Furthermore, the UN Security Council has, under pressure from, inter alia, Global Witness, amended its framework for sanctions against companies that violate the guidelines and extended the mandate of the UN peacekeeping force in eastern DRC so that they can inspect the mineral trade.³

Certain companies have, for various reasons, stopped trading in minerals from DRC. This has had a negative impact since the opportunities for work and income, albeit under very difficult conditions, have disappeared for people living near the mines.⁴

The Congolese government has condemned military activities linked to mining and forbade temporary mining operations in eastern DRC during 2010–2011, which Global Witness sees as an increased willingness to address the trade in conflict minerals.⁵

Finally, with regards to impunity, Global Witness, along with a number of other organisations, has submitted a legal class action in Canada against the company Anvil Mining for alleged human rights violations in the Congolese province of Katanga. Anvil Mining appealed, but a Canadian court ruled that the case could be taken further in the Canadian legal system.⁶

Global Witness has contributed to the UN Office of the High Commissioner for Human Rights' (OHCHR) survey on human rights violations that was

published in October 2010.⁷ The organisation has filed a complaint against the British company Afrimex for violating OECD guidelines for companies that trade in minerals.⁸ Human rights committees in the British Parliament have followed up the complaint in the report "Any of our business?"⁹

In summary, it has been very difficult to assess the fulfilment of objectives since milestones, indicators and expected results were not included in the original project proposal. A further challenge was that the activities are based on processes, such as advocacy when legislation is written and debated, something which has made it difficult to identify cause and effect. According to Sida's assessment, the objectives have probably been difficult to achieve fully because the challenges are extremely complex and the opponents of the changes possess great resources to resist and undermine reforms.¹⁰

Global Witness has monitored a number of key processes throughout the agreement period and, therefore, it is still possible to link activities and performance to results. The project management, however, has been weak in part, which has manifested itself in delays in reporting, dialogue and the request for revisions.

Global Witness's strength has been its ability to work flexibly and respond to the changing Congolese context, both by being reactive and proactive.¹¹

Sustainability, risks and budgetary discipline

The results of the advocacy work appear to be sustainable, especially in the cases that have led to legislation. In order to become fully permanent, a long period of application of the laws is necessary, something that lies beyond what can reasonably be required of Global Witness. The formulations of the objectives have been ambitious, and Global Witness cannot fulfil them on its own.

During Sida's preparation, three main risks were identified. The activities could be affected by the security situation in DRC. The risk has not occurred since Global Witness has been able to adapt field visits and activities to the security situation and has

1 Global Witness, Breaking the link between natural resource exploitation, conflict and corruption in the Democratic Republic of the Congo, Final Narrative Report, 2006–2010, p. 8, <http://www.globalwitness.org/library/dr-congo-acts-transparency-pledges-more-disclosure-needed> [02-01-2012] and http://mines-rdc.cd/fr/index.php?option=com_content&view=article&id=92 [02-01-2012].

2 Global Witness, Breaking the link between natural resource exploitation, conflict and corruption in the Democratic Republic of the Congo, Final Narrative Report, 2006–2010, p. 13;

3 Global Witness, Breaking the link between natural resource exploitation, conflict and corruption in the Democratic Republic of the Congo, Final Narrative Report, 2006–2010, p. 13.

4 Global Witness, Breaking the link between natural resource exploitation, conflict and corruption in the Democratic Republic of the Congo, Final Narrative Report, 2006–2010, p. 13; supplementary e-mail in the matter received by Sida, 02-11-2011.

5 Global Witness, Breaking the link between natural resource exploitation, conflict and corruption in the Democratic Republic of the Congo, Final Narrative Report, 2006–2010, p. 14.

6 Global Witness, Breaking the link between natural resource exploitation, conflict and corruption in the Democratic Republic of the Congo, Final Narrative Report, p. 19.

7 Global Witness, Breaking the link between natural resource exploitation, conflict and corruption in the Democratic Republic of the Congo, Final Narrative Report, p. 20.

8 Global Witness, Breaking the link between natural resource exploitation, conflict and corruption in the Democratic Republic of the Congo, Final Narrative Report, p. 20 and Review of 2006–2009 programme funded by SIDA Executive summary, p. ii.

9 Global Witness, Breaking the link between natural resource exploitation, conflict and corruption in the Democratic Republic of the Congo, Final Narrative Report, p. 20 and Review of 2006–2009 programme funded by SIDA Executive summary, p. ii.

10 8 9.

11 11.

implemented a large part of the activities in capital cities in the Western world.¹

The risk that the activities could lead to difficulties for the local cooperation organisations has been realised, to some extent. Global Witness managed the problems through various forms of support to the local organisations, for example through public statements of condemnation and through only giving limited amounts to the organisations. As a preventive measure, Global Witness is adopting various precautionary measures in its cooperation with local organisations and activists. The third risk – that Global Witness would be exposed to threats – seems unlikely because the organisation does not have a permanent field presence.² The planned budget has been largely adhered to.³

Sida, however, decided on additional funds when the contract for 2006–2009 was extended by one year in 2010.⁴

Dialogue

There has been a lack of continuity in the dialogue due to changes in programme officers at Sida in combination with periodic gaps in the project management at Global Witness.⁵

In essence, Sida has urged Global Witness to develop its work with results management and results analysis⁶, to interact more with local civil society organisations and to find more donors.⁷

Knowledge from the project has been used in the dialogue with various actors on democratic development and respect for human rights in the DRC.

However, Sweden has no cooperation agreement with the DRC, which limits dialogue with the government.⁸

3.2 Policy focus area institutions and procedures of democracy and the rule of law

In the second focus area of the policy, emphasis is put on the importance of building properly functioning institutions, political processes and systems, which strengthen people's influence on politics in a country. Also part of this focus area are efforts in the justice system and on anti-corruption efforts. Sweden shall, through its development cooperation strengthen the the state protection and fulfilment of human rights. Below, Sida presents, three contributions within this focus area.

3.2.1 The UNDP fund for the International Commission against Impunity in Guatemala (CICIG)⁹

*The programme's main objective is to strengthen the Guatemalan institutions in the fight against the accelerating criminal violence by overcoming impunity.*¹⁰

BACKGROUND INFORMATION

Total cost	446.6 million krona
Sida's contribution	17 per cent
Time period	2008–2011
Cooperation partners	UNDP ¹ Guatemala and implementing partner was CICIG

1 United Nations Development Programme.

The programme is highly relevant for most of the development challenges facing Guatemala. The opportunities to implement the peace agreements of 1996, which are considered Guatemala's most established and comprehensive development agenda, are counteracted by the widespread impunity, organised crime and infiltration of central government institutions.

The International Commission against Impunity in Guatemala (CICIG) was formed in 2007 following a request from the Guatemalan government for emergency international support against criminal violence.¹¹

- 1 Compare Review of 2006–2009 programme funded by SIDA Executive summary, p. iii. Sida, Decision on Contribution, 03-03-2010, 2010-000885; Sida, Memo, 29-09-2011, Breaking the link between natural resources exploitation, conflict and corruption in the Democratic Republic of the Congo, p. 5. Desk Study Report for Sida: Final 20-11-09, p. 5 and Review of 2006–2009 programme funded by SIDA Executive summary, p. iv. Desk Study Report for Sida: Final 20-11-09 (sic), p. 5; Review of 2006–2009 programme funded by SIDA Executive summary, p. iv; Desk Study Report for Sida: Final 20-11-09 (sic), p. 5. Sida, Decision on Contribution, 23-04-2007, 2007-002213, Assessment Memo, p. 15; Global Witness, Breaking the link between natural resource exploitation, conflict and corruption in the Democratic Republic of the Congo, Final Narrative Report, 2006–2010, pp. 6 and 8.
- 2 Sida, Decision on Contribution, 23-04-2007, 2007-002213, Assessment Memo, p. 15; Global Witness, Breaking the link between natural resource exploitation, conflict and corruption in the Democratic Republic of the Congo, Final Narrative Report, 2006–2010, p. 21 and Funding Proposal Submitted to Sida: Improving the governance of the natural resources sector in the Democratic Republic of Congo, 2011–12, pp. 14–15.
- 3 Sida, Decision on Contribution, 23-04-2007, 2007-002213; Sida, Decision on Contribution, 13-12-2007, 2007-006228 and Decision on Contribution, 03-03-2010, 2010-000885.
- 4 Sida, Decision on Contribution, 03-03-2010, 2010-000885.
- 5 Sida, Decision on Contribution, 03-03-2010, 2010-000885.
- 6 One outcome is, inter alia, the report Global Witness' input to the Sida strategic objective Strengthened capacity for accountability in public administration and civil society, 04-2009–03-2011 and the new project proposal Funding Proposal Submitted to Sida: Improving the governance of the natural resources sector in the Democratic Republic of Congo, 2011–12.
- 7 See, inter alia, Global Witness' response to Sida's request in Funding Proposal Submitted to Sida: Improving the governance of the natural resources sector in the Democratic Republic of Congo, 2011–12.

8 Sida, Strategy Report for DRC, September 2010–August 2011, p. 17.

9 Comisión Internacional Contra la Impunidad en Guatemala; The International Commission against Impunity in Guatemala.

10 Embassy of Sweden, Guatemala, Assessment Memo, 02-12-2011, Reference number: Plus 640000080, Extension of Swedish support to the International Commission against Impunity in Guatemala, 2011–2012, p. 1.

11 Embassy of Sweden, Guatemala, Assessment Memo, 02-12-2011, Reference number: Plus 640000080, Extension of Swedish support to the International Commission against Impunity in Guatemala, 2011–2012, p. 1; Embassy of Sweden, Memo, 11-09-2007, Swedish Initial support for the establishment of the International Commission Against Impunity in Guatemala (CICIG), p. 2.

The programme is relevant to the policy's focus area of the institutions and procedures of democracy and the rule of law. This applies in particular to the priority of developing a functioning, independent and efficient justice system.¹

Objectives and results

The programme objectives are to:

- Contribute to disbanding illegal and/or secret security forces, their activities, methods and funding sources as well as their links with government officials.
- Support the Guatemalan institutions in dismantling these illegal networks and promoting effective legal proceedings and convictions for crimes.
- Provide recommendations to the state for a public policy aimed at removing the presence of illegal networks and secret security forces within the state apparatus, as well as the prevention of their re-emergence.

The investigations regarding illegal adoption have so far led to the plan to resume international adoption from Guatemala being temporarily suspended. Furthermore, it has become more difficult for organised crime to engage in the trafficking of children.

The support to the institutions has contributed to the CICIG conducting almost 300 preliminary investigations on corruption, human trafficking, drug-related crimes and murder linked to political and economic crimes during the period 2008–2011. More than 50 criminals have been detained and put on trial between September 2010 and August 2011.

In five of six criminal test cases in which CICIG has been involved, there have been convictions against a total of 35 persons – among them two police officers who had previously worked in the criminal investigation unit and a former serviceman who was an advisor to a former interior minister.

A reform process has begun within the Public Prosecutor's Office. So far, a new Public Prosecutor has been appointed, a person who has the necessary skills and commitment to human rights. The effect of these changes is that it has been possible to initiate a series of proceedings that are crucial to the fight against impunity.

In early 2011, a new unit at the Public Prosecutor's Office was set up that is dedicated to preliminary investigations and criminal cases involving human trafficking, murder and other forms of violence against women.²

The recommendations that CICIG has submitted to the state have resulted in a series of proposals for legislative changes and reforms. Most of them have been blocked by the Congress, which is infiltrated by organised crime. One success, however, is a law that allows confiscation of illegally acquired property.³

Changes in behaviour can be observed within the Public Prosecutor's Office. This is evidenced by more human rights violations being prosecuted and that reorganisations have been made to improve activities.⁴

Overall, it is clear that organised crime is trying to fight back against actors within the justice system in order to maintain its positions of power. This also affects CICIG. The situation indicates that CICIG is successfully threatening the positions of the parallel power structures.⁵ Sida's assessment is that there is a very long way to go before these objectives are fulfilled. Any further progress will depend on the government's willingness to cooperate and on political and economic room for manoeuvre.

Sustainability, risks and budgetary discipline

CICIG works in accordance with the objectives set within the Commission's mandate. CICIG has shown that the crimes can be solved purely with policing methods.⁶ The hope is that, during its mandate period until September 2013, the Commission will have helped to strengthen Guatemala's justice and security sector to the extent that it can work more independently. The difficulties of CICIG's work thus lie at the outcome – rather than output – level, according to Sida's assessment.

¹ 4 5 6 7 8 9.

Swedish Government Offices, Change for Freedom, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, adopted in February 2010, p. 18.
Embassy of Sweden in Guatemala, Telecommunication [A], Memo no Guat/2011025-1, 25-10-2011, UD-AME, Ref No 47, CICIG and the Public Prosecutor show progress in the fight against organized crime and corruption, p. 2; CICIG website: <http://cicig.org/index.php?page=mandate>.
Sida, Memorandum, 03-10-2011, Strategy Report for Guatemala, September 2010–August 2011, p. 3.
Sida, Memorandum, 03-10-2011, Strategy Report for Guatemala, September 2010–August 2011, p. 3.
CICIG, Informe de la Comisión Internacional contra la impunidad en Guatemala con ocasión de su cuarto año de labores, pp. 13–16. CICIG, Informe de la Comisión Internacional contra la impunidad en Guatemala con ocasión de su cuarto año de labores, p. 11.

² CICIG, Informe CICIG: cuarto año de labores, Guatemala 2011, p. 11.

³ CICIG, Informe de la Comisión Internacional contra la impunidad en Guatemala con ocasión de su cuarto año de labores, p. 27; Embassy of Sweden in Guatemala, Telecommunication [A], Memo no Guat/2011025-1, 25-10-2011, UD-AME, Ref No 47. CICIG and the Public Prosecutor show progress in the fight against organized crime and corruption, p. 6.

⁴ CICIG, Informe de la Comisión Internacional contra la impunidad en Guatemala con ocasión de su cuarto año de labores, p. 27.

⁵ Sida, Memorandum, Strategy Report for Guatemala, September 2010–August 2011, p. 3.

⁶ Sida, Memorandum, Strategy Report for Guatemala, September 2010–August 2011, p. 3.

The risks are mainly external. Some of the risks mentioned in the assessment of the contribution have occurred, but were handled according to the risk management plan. There are security threats both against CICIG's staff and against witnesses in legal proceedings, in addition to attempts at infiltration. CICIG has contributed to the setting up of a witness protection programme run jointly by the Public Prosecutor's Office and the Ministry of the Interior. Continuous security analyses, special security measures and confidentiality are an important part of risk management.¹

The most serious risk identified during Sida's preparation of the preparation was the Guatemalan state's lack of capacity to implement the changes needed within the justice and security sector. Whether or not these risks materialise depends on the priorities the government makes. A number of important proposals in the Congress have, as previously mentioned, already been stopped because of the existence of strong economic and political interests that profit from their impunity.²

In addition to the security problems affecting CICIG's staff, witnesses and other actors in the justice sector CICIG and other agents of change in the justice and security sector are also subjected to mass media campaigns aimed at undermining their activities. Even the reform-minded Public Prosecutor and the Public Prosecutor's Office are subjected to media campaigns that seem to be aimed at undermining the positive changes that have taken place, despite all that has happened. However, there is strong support for CICIG among civil society organisations.³

Sweden and other donors give CICIG programme support through a fund managed by the UN Development Programme (UNDP). The Commission has the freedom to operate within the framework of its mandate and to use the budget in accordance with what is required to fulfil this.

Dialogue

The four principles of the human rights based approach are always present in the dialogue conducted between the Embassy of Sweden and partners in Guatemala, including CICIG. CICIG's improved reporting to

donors, as well as the improved communications strategy⁴ can be seen as a result of the dialogue with donors, including Sweden.

In total, 16 donors support CICIG. Sweden is the second-largest donor after the United States.⁵ The major support it provides to CICIG helps make Sweden a respected voice in Guatemala on issues relating to democracy and human rights.

3.2.2 Increased revenue from property taxes in Kosovo

*The overall objective of the contribution is to develop systems for taxation in Kosovo. The intention is to increase municipal revenues from property taxes, create an effective administration of property taxation in each municipality and to bring about the fair and equal treatment of property tax payers throughout Kosovo.*⁶

BACKGROUND INFORMATION

Total cost	37 million krona
Sida's contribution	80 per cent
Time period	2008–2012
Cooperation partners	Ministry of Economy and Finance and the Swedish Tax Agency as implementing partner.

The contribution is relevant to development at municipal level in Kosovo. The project, implemented by the Swedish Tax Agency together with the Ministry of Economy and Finance in Kosovo, will help to strengthen the Kosovan public administration by building a new IT platform, developing the property tax system, improving the quality of information in the property register and informing taxpayers of their obligations and of the significance of the property tax for municipalities.⁷

The project is relevant in relation to the policy's focus area of the institutions and procedures of democracy and the rule of law and in particular the section on promoting effective public administration.⁸

1 Sida, Memorandum, 03-10-2011, Strategy Report for Guatemala, September 2010–August 2011, p. 3; Embassy of Sweden, Guatemala, Assessment Memo, 02-12-2011, Reference number: Plus 640000080, Extension of Swedish support to the International Commission against Impunity in Guatemala, 2011–2012, p. 8.

2 Embassy of Sweden, Guatemala, Assessment Memo, 02-12-2011, Reference number: Plus 640000080, Extension of Swedish support to the International Commission against Impunity in Guatemala, 2011–2012, p. 3.

3 Articles in the newspapers Siglo 21, 02-03-2011, and El Periodico, 03-03-2011.

4 Embassy of Sweden, Guatemala, Assessment Memo, 02-12-2011, Reference number: Plus 640000080, Extension of Swedish support to the International Commission against Impunity in Guatemala, 2011–2012, p. 8; Sida Memo, 29-09-2011, UNDP Open Trust Fund for CICIG, p. 7.

5 International Commission Against Impunity in Guatemala, Summary of Contributions & Expenditure, as of 31 October 2011.

6 Sida, Assessment Memo, Improved property tax collection in Kosovo 2008–2011, 2008, pp. 1 and 5.

7 Sida, Assessment Memo, Improved property tax collection in Kosovo 2008–2011, 2008, pp. 1 and 5.

8 Swedish Government Offices, Change for Freedom, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, adopted in February 2010, pp. 16–17.



It is now time to pay property tax. The citizens of Gracanice are reminded by commercials and a website they can also access information about how the municipality spends the tax revenues. Gracanice is a municipality with a Serbian majority and the sign is therefore in Serbian.

Objectives and results

The project objectives¹ are to:

- Significantly increase municipal revenues from property taxes.
- Build an effective administration of property taxes in all municipalities.
- Develop systems for fair and equal treatment of taxpayers throughout Kosovo.

The project has contributed to the increase of property tax revenue in Kosovo from approximately EUR 8 million to approximately EUR 13 million (an increase of 61 per cent) since the start of the project, which is higher than the original target.²

This work has meant that the revenues from tax are now available to Kosovo's municipalities for use on public services such as the right to schools, roads and infrastructure investments.³

Furthermore, there is a new computerised system for the administration of property tax, training for administrative staff and information material for taxpayers.⁴

The results of the contribution are fully in line with the three main objectives that have been set, and the programme has helped to strengthen the systems for the administration of tax revenues at local level in Kosovo.⁵

Sustainability, risks and budgetary discipline

Property tax is a very important source of revenue for the municipalities, which have a strong interest in the maintenance of that which has been built up, including the IT system. For this to happen, it is important that the newly trained staff continue to work within the system. The Ministry of Finance has taken measures to ensuring this.⁶ Sida therefore assesses the sustainability to be good.

One of the identified risks was that trained people change jobs due to low wages in the public sector. The Ministry of Finance attempts to counteract this for example by hiring certain key people within IT through so called outsourcing contracts.⁷

The project has sought to ensure transparency in the system in order to reduce the risk of corruption in the property owner's register, for example when some people receive inappropriate tax relief. Risks that have arisen have been dealt with for instance through good communication and flexibility on the part of project managers. Revised project plans have been adopted when new needs or risks have been discovered.⁸

The budget has been largely adhered to. The contribution was extended by one year at the end of 2010, and new funds have been supplied on two occasions, in 2010 and 2011.⁹ The timetable has been kept and money expended largely in accordance with the budget. It may seem that revenues from property taxes are low in relation to the contribution that Sida finances. However, the property tax system that has now been built shall be used for the coming ten years and is expected to increase revenues by a planned EUR six million each year.¹⁰ This means that revenues will exceed the costs of the Swedish contribution by about 20 times, which must be regarded as very satisfactory, according to Sida's assessment.

Dialogue

The project has invested a great deal in dialogue with regards to transparency and citizen rights in relation to all local partners, including the Ministry of Finance. This has led, inter alia, to the Ministry setting up a website for property tax assessment and that considerable resources have been used to disseminate information through the media.¹¹

1 Sida, Assessment Memo, Improved property tax collection in Kosovo 2008–2011, p. 5.

2 Morina&Mathiasson, Property Tax in Kosovo Semi Annual Report, August 2011, p. 2.

3 Sida, Strategy Report for Kosovo, September 2010–August 2011, p. 11.

4 Sida, Strategy Report for Kosovo, September 2010–August 2011, p. 11.

5 Sida, Strategy Report for Kosovo, September 2010–August 2011, p. 11.

6 Ministry of Finances, Steering Committee Meeting, 22 September 2011, p. 2.

7 Morina&Mathiasson, Property Tax in Kosovo Semi Annual Report, August 2011, p. 5.

8 Sida, Strategy Report for Kosovo, September 2010–August 2011, p. 11.

9 Sida decision 30-11-2010, Additional funds and extended time frame for support to the Ministry of Finance in Kosovo, 2010; Sida decision 14-07-2011, Expansion of support to the Ministry of Finance in Kosovo, 2011.

10 Morina&Mathiasson, Property Tax in Kosovo Semi Annual Report, August 2011, p. 2.

11 Sida, Memo, 29-09-2011, Support to the Ministry of Economy and Finance, p. 5.

3.2.3 Regional anti-corruption work in the Asia-Pacific region

The overall objective is to assist participating states in the Asia-Pacific region in their work to implement the United Nations Convention against Corruption (UNCAC)¹ and the OECD's anti-corruption instruments, thereby reducing corruption and promoting sustainable development.²

BACKGROUND INFORMATION	
Total cost	15.2 million krona
Sida's contribution	20 per cent
Time period	2008–2012
Cooperation partners	OECD ¹ and implementing partner is ADB ²

- 1 Organisation for Economic Co-operation and Development.
- 2 Asian Development Bank.

The development challenges in the region are extensive with major national differences. At the same time, the region has the highest economic growth in the world and there is a risk of corruption at all levels. The programme is implemented primarily at regional level where regional cooperation facilitates the ability of member states to live up to the UN Convention against Corruption. The contribution is shared between the Asian Development Bank (ADB) and the Organisation for Economic Co-operation and Development (OECD).³

The contribution now includes 29 Member States⁴, all of which have varying degrees of problems with corruption and thus different precondition for combating it. In certain states, there are very active civil society organisations, the media can operate freely and accountability is effective. In other states, freedom of expression is not respected or there are no independent auditors. Corruption takes different forms in different countries, and the purpose of the contribution is to increase knowledge about the negative effects of corruption and to support countries in their implementation of anti-corruption measures.⁵



The private sector, civil society and member states of this initiative met in New Dehli in September 2011 in order to debate and exchange experience on how to fight and prevent corruption

The contribution is highly relevant to the policy's focus area of the institutions and procedures of democracy and the rule of law, the sub-area of counteracting corruption. Counteracting corruption is one way to reduce the vulnerability of individuals and to increase their opportunity to assert their human rights. The contribution is also indirectly relevant to other policies, because it pays regard to a more sustainable planning of natural resources and society for people living in poverty and to greater regional integration.⁶

Objectives and results

The contribution objectives are to:⁷

- Strengthen the understanding of member countries for international anti-corruption regulations through regional policy dialogue.
- Provide forums for dialogue on policy and the implementation of policies.
- Deepen and enhance the cooperation against corruption.

The cooperation partners have implemented a regional thematic seminar on “the criminalisation of the taking and giving of bribes”, with broad participation from the member countries. A report on the legisla-

1 United Nations Convention against Corruption.

- 2 Supporting the fight against corruption in Asia-Pacific through the ADB/OECD Anti-Corruption Initiative, Proposal to the Swedish International Development Cooperation Agency to support the OECD in implementing the ADB/OECD Anti-Corruption Initiative for Asia-Pacific in 2009–2011, p. 3.

- 3 Supporting the fight against corruption in Asia-Pacific through the ADB/OECD Anti-Corruption Initiative, Proposal to the Swedish International Development Cooperation Agency to support the OECD in implementing the ADB/OECD Anti-Corruption Initiative for Asia-Pacific in 2009–2011, p. 2.

4 http://www.oecd.org/pages/0,3417,en_34982156_34982385_1_1_1_1_1,00.html; supplementary information in e-mail received by Sida 17-01-2012.

- 5 Supporting the fight against corruption in Asia-Pacific through the ADB/OECD Anti-Corruption Initiative, Proposal to the Swedish International Development Cooperation Agency to support the OECD in implementing the ADB/OECD Anti-Corruption Initiative for Asia-Pacific in 2009–2011, p. 2.

6 Swedish Government Offices, *Change for Freedom, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014*, p. 18. See also policies for support to the civil society in developing countries within the development cooperation; environmental and climate issues in Swedish development cooperation; security and development in Swedish development cooperation; and economic growth in Swedish development cooperation: <http://www.sida.se/Svenska/0m-oss/Sa-stvrs-vi/Policer-och-strategier/>.

7 Supporting the fight against corruption in Asia-Pacific through the ADB/OECD Anti-Corruption Initiative, Proposal to the Swedish International Development Cooperation Agency to support the OECD in implementing the ADB/OECD Anti-Corruption Initiative for Asia-Pacific in 2009–2011, p. 3.

tion on bribery in the member countries has been produced and published.¹

Exchange of experience has taken place and country reports have been presented at annual steering committee meetings. Furthermore, a regional conference on “Building multi-disciplinary frameworks to combat corruption” was held in September 2011.²

The programme has contributed to an increase in the number of member states participating in the regional cooperation on anti-corruption and to more countries ratifying the UN Convention against Corruption, including India and Thailand.³

Membership in the contribution also influences anti-corruption work at national level through membership being given to states in the Asia-Pacific region that recognise the need to act against corruption, implement anti-corruption measures, commit to the introduction of reforms and participate in the contribution’s review mechanism.⁴

The results so far largely adhere to the plan.⁵

Sustainability, risks and budgetary discipline

Results obtained in the form of legislation, ratification of the UN Convention against Corruption, the establishment of anti-corruption bodies as well as knowledge transfer have good potential to be sustainable. So far, high-level politicians have participated in meetings and conferences within the framework of the contribution.⁶ This helps to legitimise the anti-corruption work and guarantees a sustainable commitment, according to Sida’s assessment.

The media, civil society organisations and the public are becoming increasingly knowledgeable about the negative effects of corruption, and their advocacy work keeps the issue alive. There has been no survey of opinions or attitudes in the region within the framework of the contribution, but each country has surveyed the criminalisation of the taking and giving of bribes.⁷

The risk of corruption not reducing in the region and of the contribution not obtaining the desired effects is linked to political priorities and opportunities in the member states.⁸ National reporting, mutual auditing, civil society and media scrutiny as well as the follow-up of the UN Convention against Corruption contribute to transparency on the corruption situation in each country and reduce the risk, although not eliminating it.⁹ The member states subject each other to indirect pressure by, for example, ratification of the UN Convention against Corruption.¹⁰

The risk of duplicated reporting on anti-corruption measures has decreased through the partner utilising UNCAC reporting instead of having a separate reporting system.¹¹

The partner has not fully utilised the planned budget due to the second steering group meeting being postponed and to the decision to no longer write separate country reports. Discussions are being conducted with the OECD on extending the agreement’s period of activity. Sida’s contribution to the contribution is considered reasonable given its regional character, where the costs of meetings represent a significant part of the budget. The high costs associated with high-level meetings remain, but the respective host country contributes to these by covering a large part of the local costs.¹²

Dialogue

Sida maintains dialogue with the contribution’s secretariat on, inter alia, results reporting, which has led to improved annual reports.¹³

1 http://www.oecd.org/document/35/0,3746,en_34982156_35315367_35029667_1_1_1_1,00.html.

2 <http://www.oecd.org/dataoecd/47/18/49312017.pdf>.

3 <http://www.unodc.org/unodc/en/treaties/CAC/signatories.html>, pp. 1, 4 and 6.

4 Supporting the fight against corruption in Asia-Pacific through the ADB/OECD Anti-Corruption Initiative, Proposal to the Swedish International Development Cooperation Agency to support the OECD in implementing the ADB/OECD Anti-Corruption Initiative for Asia-Pacific in 2009–2011, p. 10.

5 Financial support of the ADB/OECD Anti-corruption Initiative for Asia and the Pacific, 2010 Annual Report and Financial Statement, p. 6.

6 Refers to the programme www.oecd.org/corruption/asiapacific, newsletter; Sida, e-mail in the matter, 17-01-2012.

7 Supporting the fight against corruption in Asia-Pacific through the ADB/OECD Anti-Corruption Initiative, Proposal to the Swedish International Development Cooperation Agency to support the OECD in implementing the ADB/OECD Anti-Corruption Initiative for Asia-Pacific in 2009–2011, p. 2; ADB/OECD Anti-Corruption Initiative for Asia and the Pacific, Anti-Corruption Action Plan for Asia and the Pacific, Tokyo, 30-11-2001, pp. 3–6; Sida, Memo, 29-09-2011, OECD/ADB Anti-Corruption, contr. id. 72601016.

8 Sida, Assessment memorandum 30-09-2008, Reference number: 2007-002109, Support to ADB/OECD’s Anti-Corruption Initiative 2009–2011, p. 13.

9 Sida has requested more analysis in the reporting on how the Initiative helps to reduce corruption – Letters to the OECD from Sida, 21-04-2010, 28-06-2011.

10 Sida, Travel Report 27-10-2011 Lundberg, p. 3.

11 Financial support of the ADB/OECD Anti-corruption Initiative for Asia and the Pacific, 2010 Annual Report and Financial Statement, pp. 6–7.

12 Financial support of the ADB/OECD Anti-corruption Initiative for Asia and the Pacific, 2010 Annual Report and Financial Statement, pp. 6–9.

13 Sida, e-mail in the matter, Hildeman-Loo, 13-06-2011.

3.3 Policy focus area actors of democratisation

It is not enough for a country to have democratic political institutions. It is equally important to develop a democratic political culture among individual citizens. Sweden should therefore prioritise support to change agents engaged in democracy and human rights, human rights defenders, strengthen women's rights and their political participation. Sweden should also contribute to a pluralistic civil society. The following is an example of such a contribution.

3.3.1 Democracy at local level in Mali

The overall objective of the programme is to strengthen grass-roots organisations and civil society organisations in order for them to contribute, using a human rights based approach, to democratic governance in the everyday lives of people.¹

BACKGROUND INFORMATION	
Total cost	48.1 million krona
Sida's contribution	56 per cent
Time period	2008–2012
Cooperation partners	Helvetas ¹ , Norwegian Church Aid, SNV ² , Diakonia which cooperates with local civil society organisations in Mali

¹ Swiss Association for International Cooperation.

² Netherlands Development Organization.

The programme is relevant in relation to Mali's poverty strategy, especially its prioritisation of decentralisation, public administration and the role of civil society organisations. It is also relevant in view of the need to strengthen civil society organisations in their role as a counterweight to and scrutineer of the power of the government, especially at local level.²

The programme is being implemented in 68 municipalities in Mali and at a regional and national level.³

The contribution concerns all three focus areas of the policy and is relevant to several of its sub-areas, such as anti-corruption, political participation of women, public administration and freedom of expression.⁴



A working group is having a meeting to discuss how conflicts over use of land should be handled in the district of Gogui in Mali, on the border of Mauritania.

Furthermore, the contribution is relevant as it helps to strengthen people's economic, social and cultural rights. It is also relevant to other policies since it concerns support to civil society organisations, sustainable use of natural resources, conflict management and rural development.⁵

Objectives and results

The programme objectives⁶ are to:

- Develop the visibility, legitimacy and capacity of Malian civil society organisations to conduct dialogue and negotiate with government, parliament, elected leaders and donors.
- Strengthen the capacity of civil society organisations to audit policies and programmes.
- Facilitate access to and control over natural resources, especially for women.
- Support cooperation between local popular movements, civil society organisations, media and donors.
- Use and build on the lessons learned from civil society organisations.

The positions of the Malian organisations have so far influenced Mali's fund for agricultural support, the policy for seed issues and plans for measures on food security. The participation of civil society organisations has been encouraged by the government.⁷

¹ The programme document "Appui à la Gouvernance Locale Démocratique au Mali – Proposition 2008–2009, Partenariat AEN, SNV, Diakonia, Helvetas soutenu par Asdi, Mai 2008" p. 15.

² Sida, 20-10-2011, Strategy Report for Mali, September 2010–August 2011, p. 12; 2010:16, Sida Review, Evaluation du Programme d'Appui à la Gouvernance Locale Démocratique au Mali: Rapport final, p. 7

³ Programme GLD, Gouvernance Locale Démocratique au Mali, Rapport annuel 2009, Avril 2010, p. 9.

⁴ Swedish Government Offices, Change for Freedom, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, adopted in February 2010, pp. 15, 17, 18 and 21.

⁵ Compare policies for support to the civil society in developing countries within the development cooperation; environmental and climate issues in Swedish development cooperation; security and development in Swedish development cooperation; and economic growth in Swedish development cooperation: <http://www.sida.se/Svenska/0m-oss/Sa-styrs-vi/Policyer-och-strategier/>.

⁶ The programme document "Appui à la Gouvernance Locale Démocratique au Mali – Proposition 2008–2009, Partenariat AEN, SNV, Diakonia, Helvetas soutenu par Asdi, Mai 2008" p. 15.

⁷ SNV: Programme Gouvernance Locale et Démocratique Rapport Annuel 2010, Mai 2011, p. 3.

The organisations have succeeded in influencing local authorities in their preparation of local development plans, priorities and mobilisation of financial resources. It has thereby been possible to promote local democracy and accountability.¹

One example is that just over one third of the specific needs raised by women in the cities of Gao and Timbuktu were, after long negotiations, included in the municipal development plans. These concerned support, for example, to microcredits and the transportation of women with high-risk pregnancies to hospitals with better resources than are offered where they live.²

Another example is that elected female politicians have succeeded in raising tax revenues in one of the municipalities due to residents appearing to have greater confidence in political and economic priorities advanced by women.³ Out of more than 700 municipalities in the country, 68 municipalities are covered by the programme. In these, the number of female politicians in the equivalent of municipal executive boards has increased by three quarters, from 74 women in 2004 to 129 women in 2009.⁴

The programme has contributed to decisions at local level regarding the use of natural resources being made through locally agreed regulations where consensus and equality play a major role.⁵ The organisations participate, thanks to the programme, in networks on conflict management, the climate crisis, and democratic governance both in the country and on a pan-African level. They have been invited to official meetings where national plans, policies and follow-ups are discussed. The media has also highlighted the positions of civil society organisations.⁶

The four international organisations have so far documented lessons learned about access to foodstuffs and about advocacy.⁷

The programme has contributed to the achievement of a greater organisational capacity, such as improved internal management and control in the partner organisations, and to women's groups working with their own mobilisation of financial resources.⁸

The activities within the programme have indirectly contributed to the decentralisation of power and to the improvement of public finance management.⁹ Furthermore, long-term changes can be discerned in knowledge, attitudes and behaviours regarding both harmful traditional customs, such as female genital mutilation, and the sustainable and equitable use of natural resources as well as conflict management between farmers and partly nomadic cattle farmers.¹⁰

Sustainability, risks and budgetary discipline

The results are such that they have the potential to be sustainable. The driving force that the four international organisations have gained through close cooperation with each other and with local partners, as well as their involvement in the issues, has contributed to the positive results.¹¹

Most of the actors in the country are positive to the programme's purpose and results. This contributes to the sustainability of the results. However, there is some resistance within the central government administration with regard to the decentralisation of power over the use of natural resources on a local level.¹²

In some sub-projects, work with conflict management and literacy has proved difficult. Some of the risks foreseen by Sida during the contribution management process have occurred. These mainly concern the delays in the implementation of the decentralisation reforms and continued instability in northern Mali. They have been dealt with by the Embassy of Sweden raising this in the dialogue with the government and by local cooperation partners being involved in the peace process.

The budget has been used as planned. According to an external evaluation, the costs are assessed to be reasonable in relation to that which has been achieved.

Dialogue

In its dialogue with its partners, Sida has stressed the importance of conflict sensitivity and the importance of girls and women having access to power, security and resources, including the fight against female genital mutilation. Sida has also, as a preventive measure, raised the recommendations from the Malian national auditor's annual report regarding the public sector.

1 SNV: Programme Gouvernance Locale et Démocratique Rapport Annuel 2010, Mai 2011, p. 12.

2 Aide de l'Eglise Norvegienne (AEN), Rapport annuel 2010, AEN-GLD, Version du 31-05-2011, p. 4.

3 Aide de l'Eglise Norvegienne (AEN), Rapport annuel 2010, AEN-GLD, Version du 31-05-2011, pp. 2, 10 and 25.

4 Programme GLD, Gouvernance Locale Démocratique au Mali, Rapport annuel 2009, Avril 2010, p. 9.

5 Aide de l'Eglise Norvegienne (AEN), Rapport annuel 2010, AEN-GLD, Version du 31-05-2011, p. 16.

6 Programme GLD, Gouvernance Locale Démocratique au Mali, Rapport annuel 2010, pp. 6, 8, 9, 10, 12, 18 and 28.

7 Programme GLD, Gouvernance Locale Démocratique au Mali, Rapport annuel 2010, p. 25.

8 SNV: Programme Gouvernance Locale et Démocratique Rapport Annuel 2010, Mai 2011, pp. 4, 5 and 6.

9 Programme GLD, Gouvernance Locale Démocratique au Mali, Rapport annuel 2010, p. 14.

10 2010:16, Sida Review, Evaluation du Programme d'Appui à la Gouvernance Locale Démocratique au Mali: Rapport Final, p. 11; Sida, Strategy Report for Mali, September 2010–August 2011, p. 14.

11 Programme GLD, Gouvernance Locale Démocratique au Mali, Rapport annuel 2010, p. 29; 2010:16, Sida Review, Evaluation du Programme d'Appui à la Gouvernance Locale Démocratique au Mali: Rapport Final, pp. 7–8.

12 2010:16, Sida Review, Evaluation du Programme d'Appui à la Gouvernance Locale Démocratique au Mali: Rapport Final, p. 19.

Thanks to the dialogue, Sida has gained a deeper understanding of civil society organisations at different levels in Mali. This knowledge has been able to be used, inter alia, in the design of a common fund for donor support to civil society organisations in the country and in the dialogue with the government on the fight against corruption.

3.4 Complementary contributions

Sida has selected four contributions to complement the random selection. These complementary selected contributions report on policy areas not fully covered by the random selection.

3.4.1 Democracy development in Cambodia

The overall objective of the programme is to build an effective decentralised administration with the capacity to increase welfare and to strengthen the human rights of poor women and men in Cambodia.¹

BACKGROUND INFORMATION	
Total cost	104.3 million krona
Sida's contribution	77 per cent
Time period	2010–2011
Cooperation partners	UNDP and implementing partner ¹

¹ The Secretariat for the National Committee for Sub-National Democratic Development.

The programme is relevant since there is a need to strengthen democracy at local level in Cambodia, close to people's everyday lives. This can be done through decentralisation and the delegation of power and resources.² Sweden has supported the reforms since 2001.³

The contribution is relevant to all three focus areas of the policy through the emphasis on the sub-areas of the right to vote and participation at local level, an effective public administration, in which individuals have greater opportunities to claim their rights, and the dialogue of civil society organisations with the local administrations.⁴

The programme is also relevant to parts of other policies since the responsibility and resources for a series of policy areas are being decentralised and delegated. This mainly concerns support to civil society organisations, sustainable use of natural resources, conflict management and rural development.⁵

Objectives and results

The programme objectives⁶ are to:

- Strengthen opportunities for accountability and influence at local level.
- Develop and integrate the necessary systems to facilitate decentralisation.
- Make investment funds available at local level in ways that contribute to debate and accountability.

A law on a new provincial and district administration adopted in 2008 is on its way to make an impact. The programme has contributed to the process of reform becoming more harmonised and to the forming of a committee, consisting of members from several ministries, with responsibility for the reform process.⁷

There are now regulations, guidelines and handbooks for the local administrations with respect to planning, budgeting, follow-up, evaluation, maintenance and environmental impact assessment. The staff at the local administrations have received training in these methods.⁸

The funds available at local level have risen from USD 49 million in 2007 to USD 77 million in 2010. The proportion of households below the poverty line has decreased from 35 per cent in 2005 to 26 per cent in 2010.⁹

Openness and transparency in local administrations have been strengthened through databases containing information on the use of the budget at local level having been made publicly available.¹⁰

¹ Letter of agreement; Extension of the Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD), p. 1.
² Sida; Decision "A Core Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD) in Cambodia", decision number: 2007-001728, p. 13, in attached assessment memorandum.
³ Sida; Decision "A Core Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD) in Cambodia", decision number: 2007-001728, Assessment memorandum p. 6.
⁴ Swedish Government Offices, Change for Freedom, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, pp. 15, 17 and 20, <http://www.regeringen.se/sb/d/108/a/155101>.

⁵ Compare policies for support to the civil society in developing countries within the development cooperation; environmental and climate issues in Swedish development cooperation; security and development in Swedish development cooperation; and economic growth in Swedish development cooperation: <http://www.sida.se/Svenska/Om-oss/Sa-styrs-vi/Policyer-och-strategier/>.

⁶ Royal Government of Cambodia, National Programme for Sub-national Democratic Development, 2010–2019, pp. 11–21.

⁷ UNDP, Final Evaluation of "Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD)", 11–11–2010, p. 35; Sida, Memo, PSDD, 29-09-2011, contr. id. 5110000501, p. 3.

⁸ UNDP, Final Evaluation of "Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD)", 11–11–2010, pp. 44–45.

⁹ UNDP, Final Evaluation of "Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD)", Final Report 11–11–2010, pp. vi and 40.

¹⁰ UNDP, Final Evaluation of "Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD)", Final Report 11–11–2010, pp. v–vi.

In all Cambodia's provinces, groups have been formed that work for openness and transparency and accountability in the use of public funds.¹

Local elected assemblies, civil society organisations and citizens participate in the groups. There are now women's and children's committees with representatives of healthcare, schools, public administration and civil society organisations in all municipalities. This has improved the level of equality between women and men, albeit from a very low level. Work to strengthen the integration of gender equality aspects in the reform has been deemed necessary.²

The results achieved so far are largely based on earlier phases of the contribution.³ The latest agreement period runs for just over a year.

The support has contributed to higher capacity, competence, effectiveness and a greater sensitivity in the regional and local administrations to the human rights and the interests of the citizens. These improvements, together with public funds at the local level, have had several effects, inter alia, that:

- The proportion of the population with access to clean drinking water has increased from 38 per cent in 2003 to 50 per cent in 2009.
- New roads and maintenance of old roads make it easier to get to schools, markets and health and medical care, even from more remote locations.
- The proportion of vaccinated children under the age of one has increased from 60 per cent in 2005 to 90 per cent in 2009.
- The proportion of children starting school has increased.
- The proportion of people who believe that their expressed needs and priorities govern the decisions of local elected assemblies has increased from 62 per cent in 2008 to 85 per cent in 2009.⁴

Sustainability, risks and budgetary discipline

Although progress has been made, a number of steps remain before the sustainability of the reforms can be viewed as satisfactory. Further laws and regulations remain to be drafted, adopted and complied with. Furthermore, some systems, regulations and procedures

already in place have proved to be so complex and time-consuming that the local administrations will need technical assistance in the form of national and international consultants for a long time ahead. However, that function should gradually be able to be assumed by Cambodian authorities.⁵

During Sida's preparation of the contribution, four risks were identified which have been dealt with in various ways. The difficulty of moving from a system of contract staff to permanent employees within public administrations has been managed and the transition is considered to have been successful, though some work still remains with regard to mission statements, handbooks, etc. The incentive structure for employees within the programme was anticipated to be a risk. However, an extension of the current system has postponed that risk.⁶ The predicted financial risks (including corruption, lack of regulations and procedures for procurement) have, according to external audits, been managed satisfactorily.⁷

The lack of harmonisation among donors is still a risk, although the forming of a comprehensive programme for support to the decentralisation reforms has created the conditions for improvement.⁸ Sida assesses that an additional element of risk is that decentralisation may contribute to consolidating the dominance of the ruling party even further.

The budgetary discipline and cost-effectiveness in the programme are assessed to be good, according to an external evaluation.⁹

Dialogue

Sida has, together with the EU, pursued the importance of democratic accountability. There are no specific dialogue objectives, but the dialogue has still produced some results. For example, the gender equality aspects of the programme have been strengthened.¹⁰ By virtue of the support, Sweden has, through the Embassy, gained an opening for conducting a comprehensive dialogue on democracy and human rights in Cambodia. Clear results are difficult to estimate in the absence of measurable goal formulations in the cooperation strategy, according to Sida's assessment.

1 UNDP, Final Evaluation of "Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD)", 11-11-2010, pp. 43-44.

2 Kingdom of Cambodia, Sub-National Democratic Development (SNDD) – Joint Preparation Mission, 2011, Draft Aide Memoire, p. 8; Sida, Memo, PSDD, 29-09-2011, contr. id. 5110000501, p. 3.

3 Embassy of Sweden in Cambodia, Decision on initiative (Emb B2/2011): Extension of Support to Project to Support Democratic Development through Decentralisation and Deconcentration reforms in Cambodia (PSDD) 2010.

4 All the examples come from UNDP, Final Evaluation of "Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD)", 11-11-2010, pp. 40-41 and Öjendal & Sedara, 2011: Real democratisation? An Empirical Review of the Potential of a Decentralisation Reform, 2", pp. 6-7.

5 UNDP, Final Evaluation of "Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD)", 11-11-2010, pp. 47-48.

6 Embassy of Sweden, Cambodia, Assessment Memo, 23-04-2010, p. 7; UNDP, PSDD Annual Progress Report 2010, p. 3.

7 KPMG PSDD Audit Report for the period 01-01-2010-21-12-2010, pp. 2-3.

8 UNDP, Final Evaluation of "Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD)", Final Report 11-11-2010, pp. 23-24.

9 UNDP, Final Evaluation of "Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD)", 11-11-2010, p. 50.

10 UNDP, Final Evaluation of "Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD)", 11-11-2010, pp. 46-47.

3.4.2 Institutional development of Mozambique's Court of Auditors – Tribunal Administrativo (TA)

The objective of Sida's contribution to the programme is to strengthen the capacity of the Court of Auditors to carry out external audits of the Mozambican state and thereby promote transparency and accountability as well as to counteract corruption.¹

BACKGROUND INFORMATION	
Total cost	136 million krona
Sida's contribution	50 per cent
Time period	2009–2014
Cooperation partners	Foreign ministry of Mozambique and implementing TA ¹

1 Tribunal Administrativo.

Support to the development of an efficient and effective independent Court of Auditors² is relevant in view of the ever increasing pressure on the Mozambican financial system for the handling of public funds. This pressure originates from an expected influx of revenues from the extraction of natural resources, a further decentralisation of resources to municipalities and districts, where the capacity is often lower than the national level, and a growing use of new and complex means of financing infrastructure, such as non-concessional loans from lenders, for example China and public-private partnerships.³

The programme is relevant in relation to the policy's focus area of the institutions and procedures of democracy and rule of law, in particular the sub-areas of promoting efficient and effective public administration and fighting corruption.⁴

The programme is also relevant as a supplement to the general budget support to Mozambique from Sweden, the use of which is audited by the Court of Auditors as part of the state budget.⁵

Objectives and results⁶

The programme objectives are to:

- Increase the scope of audits by the Court of Auditors so that a larger share of the state budget can be audited.
- Contribute to public debate and accountability with regard to the state's annual accounts and the improvement of these.
- Develop the capacity of the Court of Auditors with regard to its organisation, methods and staff.

The programme has contributed to the auditing of 37 per cent of state spending (2010) compared with only 10 per cent in the past (2006) and to the improvement of audit quality.⁷

The Court of Auditors submits its annual audit of the state's overall accounts to Parliament on time. The report's depth, scope and quality have improved and it is the subject of intensive debate in the media and civil society organisations.⁸

There has been a marked increase in the competence of the Court's staff.⁹

The implementation is carried out in line with the plan. The results are tangible, according to an external evaluation. Without doubt, the Court of Auditors has improved both the scope and the quality of its activities. Previously, the auditors limited their work to inspecting documents. The auditors now conduct field visits in order to indirectly inspect the quality of construction work and other investments on site.¹⁰

It is, however, doubtful if the Court of Auditors will achieve the objective of reaching conclusion for 30 per cent of the 2011 audits, Sida assesses.

Despite protracted processes, the Court of Auditors is perceived as very active and can therefore counteract corruption and promote accountability, according to the evaluation.¹¹

1 Embassy of Sweden, Mozambique, Assessment Memo, 28-08-2009, Strengthening Public Financial Accountability, pp. 1 and 10.

2 The Court of Auditors serves both as an authority for external audit and as a court of auditors that concludes audits by court order. The Court of Auditors also determines administrative law cases, such as, primarily, tax and customs matters.

3 Sida, Strategy Report for Mozambique, 09-2010–08-2011, p. 25.

4 Swedish Government Offices, Change for Freedom, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, pp. 17–18.

5 Tribunal Administrativo, 26-11-2010, Relatório e Parecer sobre a Conta Geral do Estado 2009, pp. 1–4 and Public Sector Governance Reform in Mozambique, 2001–2010. What has been learnt? Oxford Policy Management, 08-2011, p. 30.

6 Embassy of Sweden, Mozambique, Assessment Memo, 28-08-2009, Strengthening Public Financial Accountability, pp. 1–2.

7 Tribunal Administrativo, 28-02-2011, Relatório de Progresso e Financeiro Referente ao ano de 2010, p. 11.

8 See, for example, the report from the civil society organisation Centro de Integridade Pública, 2010, O Destino dos Nossos Impostos – A Conta Geral do Estado de 2009 e o Parecer do Tribunal Administrativo.

9 MB Consulting in collaboration with CIPFA, Final Assessment Report 201, Public Expenditure and Financial Accountability (PEFA), Assessment in Mozambique, 2010, pp. 79–80.

10 Public Sector Governance Reform in Mozambique, 2001–2010. What has been learnt? Oxford Policy Management, 08-2011, pp. 30–31.

11 Public Sector Governance Reform in Mozambique, 2001–2010. What has been learnt? Oxford Policy Management, 08-2011, pp. 30–31.

The successes have several causes according to the external evaluation. One of the most important is that the donors' general budget support has given both politicians and the Court of Auditors strong incentives for improving the state audit. Other causes are the use of participatory methods in the development of the Court's strategic plans, the transition from project to programme support (which has strengthened ownership and pride in its own work), a strong and clear leadership and cooperation with regional and international cooperation organisations for national audits. Finally, reforms of systems for public finance management have constituted an important complement to the development of the Court of Auditors.¹

Sustainability, risks and budgetary discipline

Sustainability can be assessed with respect to the effects of the audits carried out and to the Court's independence, resource allocation and ability to retain staff. The public administration and officials perceive the Court of Auditors as a "credible threat of sanctions," according to the external evaluation. However, there is a long way to go until the proposals for action from the Court of Auditors are systematically converted to improvements in the internal management and control systems of the audited authorities.²

There are, however, certain question marks in terms of the sustainability of the development of the Court of Auditors. The Court President is appointed directly by the president of the country, which could undermine the independence of the institution. The Court's current budget is considered by Sida to be sufficient to enable the institution to fulfil its mandate, but is to a large extent dependent on donor funds (the total budget amounts to approximately SEK 103 million, of which approximately 40 per cent is donor-funded).³

During Sida's preparation of the contribution, three main risks were identified. The first concerned a lack of coordination between the Court of Auditors and the Government's internal audit authority. An increased exchange of information and a clearer mandate for the internal audit authority have reduced this risk, partly as a result of intensive dialogue on the part of Sweden.⁴

The second risk concerned a lack of openness and transparency in the work of the Court of Auditors, which has reduced its impact in the public sphere. This risk remains, but a large step forward has been taken through the commitment to publish concluded audit reports.⁵

The third risk concerned weak political accountability and deficiencies in the legal system as well as the politicisation of the audits. This risk largely remains, even though the government has strengthened its fight against corruption through a review of laws and regulations. The donor group, including Sweden, has discussed the importance of democratic governance with the government. As a result, the government has adopted and is following a concrete action plan for improved democratic governance.⁶

During the implementation, a fourth type of risk has arisen: the capacity of the Court of Auditors itself, particularly regarding its ability to conclude each audit with a court order. Only ten per cent of the audits in recent years have been concluded in this manner.⁷

Sida estimates that the number of unconcluded audits can be reduced by a planned introduction of assistant judges and a transition to auditing on the basis of a risk assessment instead of automatically auditing every authority. A short-term solution may be for the audited authorities and donors to accept audit reports and their recommendations on financial management and control before the formal court order is issued, according to Sida's assessment.

1 Public Sector Governance Reform in Mozambique, 2001–2010. What has been learnt? Oxford Policy Management, 08-2011, pp. 31–32.

2 Embassy of Sweden in Mozambique, 27-05-2011, Memo: Commitment of General Budget Support to Mozambique 2012, p. 11; Public Sector Governance Reform in Mozambique, 2001–2010. What has been learnt? Oxford Policy Management, 08-2011, p. 32.

3 Tribunal Administrativo, 28-02-2011, Relatório de Progresso e Financeiro Referente ao ano de 2010, p. 25; Public Sector Governance Reform in Mozambique, 2001–2010. What has been learnt? Oxford Policy Management, 08-2011, p. 32; Constituição da República de Moçambique, Article 229, p. 57.

4 Belgian Development Agency, September 2011, Risk assessment of using national execution for PFM and Procurement in projects in Mozambique, p. 77.

5 República de Moçambique e G19, 29 October 2011, Aide Memoire RP 2011-ANEXO I: QAD do Governo 2012–2014 – versão aprovada no PAF CoG 07/10/2011, indicator number: 32, p. 5.

6 Embassy of Sweden in Mozambique, 27-05-2011, Memo: Commitment of General Budget Support to Mozambique 2012, pp. 21–22.

7 Public Expenditure and Financial Accountability (PEFA) Assessment in Mozambique in 2010, Maputo, March 2011, pp. 77–78.

The programme is being implemented according to the agreed budget. The audit of the Court of Auditors in 2009 indicated a lack of bank reconciliations and a lack of control of the institution's assets. Since then, monthly bank reconciliations have been introduced and the Court of Auditors is developing an inventory of its assets.¹

Dialogue

Within the programme, the dialogue has concerned such topics as the relation between the Court of Auditors and the Ministry of Finance Directorate of Internal Audit as well as the importance of actually implementing measures proposed in the audits.² The importance of openness and transparency has been emphasised by donors. One tangible result of this dialogue is that the Court of Auditors has undertaken to publish its audit reports. The commitment is included as an indicator in the results framework for the general budget support to which Sida contributes.³

Thanks to the support to the programme, Sweden has gained insights and access to arenas for discussion where talks could be held about openness and transparency regarding the use of public funds. The dialogue has, inter alia, led to the Ministry of Finance committing to improve the scope and quality of the state's overall accounts in accordance with recommendations by the Court of Auditors. The commitment is being followed up through an indicator in the results framework for budget support.⁴

In the dialogue, Sweden worked for audits, together with measures within the justice sector, to be part of a broad approach for increased transparency and the fighting of corruption in the design of Mozambique's plan for national development, PARP. The approach was unfortunately divided, according to Sida's assessment. This was mainly due to deficiencies in the coordination between various government agencies.

3.5 Specific initiatives and high-profile issues

The Swedish government has in recent years made targeted increase in ambition in the democracy, human rights and gender equality sector through specific investments for certain issues, groups and/or forms of support. These have been controlled by government decisions or by assignments in letters of appropriation.

In the appropriation directions for 2006, Sida was mandated to submit an action plan for how the work with issues regarding sexual orientation and issues related to lesbian, gay, bisexual and transgender (LGBT) persons should be embodied in the development cooperation.⁵ In the letters of appropriation for 2007 and 2009, there were similar mandates to develop action plans for the work with gender-based violence⁶ and the work with human rights for persons living with disabilities.⁷

The Government decided in 2009 to adopt a strategy for specific democratisation initiative including freedom of expression in 2009–2011.⁸

In the letter of appropriation for 2010,⁹ Sida was mandated to report how the agency works with information and communications technology (ICT4D) within development cooperation.

1 Deloitte, Tribunal Administrativo – Carta de Recomendações para o exercício findo em 31 de Dezembro de 2010, 11-05-2011, p. 3 (ref.: 1.5) and 5–6 (reference: 1.10, 3.1).

2 This is reflected in the indicators that have been designed for internal and external control within the framework of the budget support. Source: Indicadores da Matriz Estratégica do PARP 2010–2014, Fiche Técnica.

3 República de Moçambique e G19, 29-10-2011, Aide Memoire RP 2011-ANEXO I: QAD do Governo 2012–2014 – versão aprovada no PAF CoG 07/10/2011, indicator number: 32, p. 5.

4 República de Moçambique e G19, 29-10-2011, Aide Memoire RP 2011-ANEXO I: QAD do Governo 2012–2014 – versão aprovada no PAF CoG 07/10/2011, indicator number 29, p. 5.

5 Government decision (UD2005/67876/GU), Appropriation directions for the financial year 2006 regarding the Swedish International Development Cooperation Agency, p. 18.

6 Government decision (UD2006/61719/USTYR), Appropriation directions for the financial year 2007 regarding the Swedish International Development Cooperation Agency, p. 21. The work with this action plan is not reported here because the work with gender-based violence was part of last year's Results Appendix on gender equality as a thematic priority in aid.

7 Government decision (UD2008/14589/USTYR), Appropriation directions for the financial year 2009 regarding the Swedish International Development Cooperation Agency, p. 6.

8 Government decision (UF2009/27888/UP).

9 Government decision (UF2009/83257/USTYR), Appropriation directions for the financial year 2010.

In South Africa, many workplaces offer free testing for HIV. Johannes Phetoe is HIV positive and participates in a health programme at his work. He is open with his condition and works actively to inform others about risks and rights. Sweden supports a programme (Swedish Workplace HIV/AIDS Programme) to develop health care at workplaces and reduce HIV prevalence. The programme was started in South Africa by the trade union IF Metall and the International Council of Swedish Industry and has now spread to Swedish companies in Botswana, Kenya, Namibia, Nigeria, Tanzania, Uganda, Zambia and Zimbabwe.

Photo: Yva Sahlstrand

4. Advocacy through dialogue



4. PRIORITISED ISSUES HAVE AN IMPACT IN THE DIALOGUE

Democracy, human rights and gender equality have a prominent role in Sweden's dialogue within development cooperation. In many countries, the work on dialogue has an impact on policy and in projects. Sweden often has a close to unique role in gender equality issues. Issues such as anti-corruption and non-discrimination also have a high priority.

According to the policy for democratic development and human rights in Swedish development cooperation 2010–2014, Sweden shall – within the framework of the three focus areas – prioritise dialogue on issues where Sweden has an added value through specific skills, previous involvement or the ability and ambition to exert a global political leadership. Sweden is to engage in dialogue within the framework of existing forums and together with other states and development actors.¹

The Government's guidelines for cooperation strategies for bilateral development cooperation have given dialogue an enhanced role, with two main purposes: to achieve greater impact for Swedish policy and, with the instrument of dialogue, to increase the opportunities of achieving the strategy objectives, thereby strengthening the implementation of national development plans. The guidelines prescribe that the bilateral dialogue on an overall level and at sector level shall be strategic, focused and possible to follow-up. Sweden is to be an active dialogue partner with a clear set of values, not least in terms of human rights and anti-corruption.

The guidelines stress that dialogue enables long-term work with the perspectives of the poor, a human rights based approach and with thematic priorities and cross-cutting issues, such as democracy and human rights, gender equality and the role of women in development, and the environment and climate change. Dialogue is to be used especially to highlight issues related to the identification, assessment and handling of corruption.²

For Sida, the dialogue is a complement to the financial support, and the agency takes part in the

Swedish dialogue with governments, other donors and civil society organisations.

4.1 Prioritised dialogue issues

Political dialogue and dialogue within development cooperation are closely interrelated and it is rarely possible to distinguish what is done by Sida staff and by colleagues at the Ministry for Foreign Affairs at the integrated Swedish embassies. For this reason, Sweden, often through the Embassy of Sweden is used to denote the actor in the descriptions below.

In the absence of comprehensive evaluations of Swedish and Sida dialogue on democracy, human rights and gender equality, the section on dialogue was examined in all 57 strategy and activity reports for 2011 in order to get an idea of results and focus. Based on this examination, some specifically prioritised dialogue issues and some methods are presented.

Engaging in dialogue about the need for democratic processes of change, increased civic participation, accountability and respect for human rights can challenge, both existing power structures and attitudes as well as values. Sweden and Sida have, over the years, chosen to pursue advocacy on partially controversial or marginalised issues, including those of gender equality and women's rights (including sexual and reproductive health and rights), anti-corruption, media freedom, children's rights and the rights of LGBT persons.

There are clear challenges in reporting and appraising results of advocacy and dialogue. This involves both formulating goals that are realistic, well defined and possible to follow-up as well as assessing the methods that can be used to follow up and evaluate changes in attitudes and behaviours that take place over a longer period of time. It can also be challenging to analyse the interaction between various influencing factors.

¹ Swedish Government Offices, Change for Freedom, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, 2010, p. 31.

² Swedish Government Offices, Guidelines for Cooperation Strategies, 2010, pp. 24–25.

4.1.1 Gender equality and women's rights

The extensive work on dialogue being conducted on gender equality and women's rights has a central role in the work on democracy and human rights. In the reporting of the embassies, dialogue on gender equality and women's rights is the single most mentioned dialogue issue.¹

In several countries, Sweden and Sida are relatively unique in pursuing gender equality issues. In Georgia, Sweden is one of few donors actively pursuing gender equality issues and specifically highlighting the importance of gender equality for growth and stability.² In the Democratic Republic of Congo (DRC), Sweden has been relatively unique in pursuing a broader perspective on gender equality. Results have been seen through a stronger gender equality perspective in programmes, while the results have been limited with regard to dialogue with the DRC government.³

Also in Mali, Sweden especially pursues the rights of women and girls, and Sweden, compared with most other EU countries, is noticeably active in the area of gender equality.⁴

The report on Afghanistan indicates that the interest of other donors in gender equality dialogue is diminishing and that Sweden needs to look more actively for allies. Meanwhile, it is precisely in gender equality work that dialogue and development cooperation in Afghanistan have had an impact, with the issue now being gradually integrated into all National Priority Programmes.⁵

For the cooperation with Ukraine, it is stated that gender equality is part of the European set of values that Ukraine is expected to share as its integration with the EU progresses. Although gender equality has been integrated into the support, the results can be considered to be mixed. The central budget reform is an example of an area where the results have so far failed to materialise due to insufficient prioritisation of the objective of gender equality.⁶

In Albania, there are examples of a strategic and successful dialogue on gender equality. Sweden combines dialogue with financial support to targeted contributions and to the integration of gender equality in all contributions, something which sends

a clear message. One example is the statistical authority's time analysis, which was produced with support from Sida. The analysis demonstrates the difference between development cooperation and undevelopment cooperation working hours for women and men. It represents both a result of dialogue and a future tool for the same. The analysis has already had an impact in the Albanian media.⁷

In Bangladesh, Sida actively participates in dialogue between donors and government, mainly on the human rights based approach and the perspectives of the poor, with an emphasis on women's rights. The overall dialogue on women's rights and democratic governance is conducted together with other development partners, including the EU and is held at various levels. Parallel to this, dialogue on gender equality within the two sector programmes for health and education is conducted. Sida, through a longterm commitment in the education sector, has played an important role in raising the quality of primary education and in ensuring that girls are included.⁸ Sweden has also been a driving force in Cambodia, where its work with education for all has contributed to an equal number of girls and boys attending school.⁹

In many conflict or post-conflict countries, it has been particularly important to highlight women's rights, women as actors in peace building and gender-based violence. The Embassy of Sweden in Colombia has, in dialogue with the president's advisor on gender equality and civil society organisations, emphasised the importance of seeing women as actors for peace, which has contributed to the role of women in peace-building now being one out of nine proposed prioritised policy areas.¹⁰

Sida's activities in Liberia are under development, but results of dialogue and advocacy in the area of gender equality are already being seen. Sweden has contributed to an increased awareness of gender equality in, inter alia, the EU's assessment prior to decisions. Sweden has raised the issue of the rights of women and girls in discussions with government, UN agencies, the EU and civil society. The Government of Liberia has introduced an action plan against gender-based violence.¹¹

1 Of the 50 strategy reports dealing with countries or regions, approximately 70 per cent have gender equality and/or the rights of women and girls as a specific focus of the dialogue. See Sida, Summary of dialogue in the 2011 strategy reports, 2011.

2 Sida, Strategy Report for Georgia, September 2010–August 2011, p. 14.

3 Sida, Strategy Report for the Democratic Republic of Congo (DRC), September 2010–August 2011, p. 17.

4 Sida, Strategy Report for Mali, September 2010–August 2011, pp. 21–22.

5 Sida, Strategy Report for Afghanistan, September 2010–August 2011, p. 15.

6 Sida, Strategy Report for Ukraine, September 2010–August 2011, p. 14.

7 Sida, Strategy Report for Albania, September 2010–August 2011, pp. 13–14.

8 Sida, Strategy Report for Bangladesh, September 2010–August 2011, pp. 1 and 16.

9 Sida, Strategy Report for Cambodia, September 2010–August 2011, p. 19.

10 Sida, Strategy Report for Colombia, September 2010–August 2011, p. 15.

11 Sida, Strategy Report for Liberia, September 2010–August 2011, p. 15.

Sweden has also played a leading role in Sudan, with regard to the rights of women and girls, particularly on the basis of the United Nations Security Council Resolution 1325 on women, peace and security. The issue is not a priority of the Sudanese authorities and has received relatively little attention from the international community. By highlighting gender issues, Sweden adds a clear added value to the dialogue of the donor collective.¹

In Iraq, the issue of women's rights has been discussed at several meetings with, for instance government representatives, UN agencies and the World Bank. The Embassy of Sweden has also convened Iraqi women's organisations in joint discussions, something which has received attention in the Iraqi media. This meeting was the starting signal for a Sida supported project aimed at strengthening women's organisations as independent actors in Iraq's civil society. The Iraqi Ministry of Human Rights has taken note of the focus that Sweden places on the rights of women and children, and has contacted the embassy for cooperation in these areas.²

4.1.2 Anti-corruption

Anti-corruption is another dialogue issue that stands out in the strategy reports. Dialogues are ongoing with various partners, both in individual projects and programmes, and in connection with budget support dialogues.

In Afghanistan, dialogue on anti-corruption is high on the agenda, since the country is ranked by Transparency International as one of the three most corrupt countries in the world. Dialogue takes place with the government, within the donor group and with cooperation partners. Within the National Priority Programmes, there is a working group for greater openness and transparency in public administration.³

In Vietnam, Sweden represented the donor group in the work with anti-corruption until July 2011. As a result of the work of Sida and Sweden, anti-corruption has been increasingly discussed amongst donors and with government representatives. The Embassy of Sweden has organised press conferences in connection with the dialogue on anti-corruption, which have yielded extensive media coverage. So far it is difficult to identify concrete results of the dialogue in the form of an improved situation in terms of human rights or corruption.⁴

General budget support is sometimes viewed as a platform for dialogue, especially in relation to fighting corruption. In Mali, for example, the Swedish general budget support has constituted a platform for influence in the fight against corruption and improved donor coordination.⁵

Within the framework of the budget support in Mozambique, the dialogue is focused around the four principles of the human rights based approach. Sweden has actively participated in the design of the new poverty strategy's results framework and results matrix for the budget support. An example of results is that the dialogue on the government's plan for governance, in which Sweden and other donors have engaged, has contributed to the government submitting proposals for new anti-corruption legislation to parliament.

Openness and transparency as well as the fight against corruption are priorities of the Swedish dialogue strategy.⁶

Sweden's role in Zambia has partially changed in 2011. Sweden is no longer actively involved in the dialogue on budget support and the involvement in several of the joint sector groups is being toned down. The Embassy of Sweden has replaced these lost opportunities for dialogue with a more active bilateral dialogue at various levels in order to influence the common dialogue. Sweden's strong involvement and leadership in terms of anti-corruption work, transparency and accountability have resulted in more donors taking up the issues and in deeper dialogue with the government. An example of this is that the corruption issue is high on the agenda for the joint donor dialogue at both sector and policy levels.⁷

The dialogue with the African Union (AU) and the Regional Commissions (REC) in Sub-Saharan Africa stresses, inter alia, openness and transparency in all decision-making processes and financial management and effective anti-corruption work.⁸

5 Sida, Strategy Report for Mali, September 2010–August 2011, p. 22.

6 Sida, Strategy Report for Mozambique, September 2010–August 2011, pp. 23 and 25.

7 Sida, Strategy Report for Zambia, September 2010–August 2011, p. 17.

8 Sida, Strategy Report for Regional Development Cooperation with Sub-Saharan Africa, September 2010–August 2011, p. 26.

1 Sida, Strategy Report for Sudan, September 2010–August 2011, p. 17.

2 Sida, Strategy Report for Iraq, September 2010–August 2011, pp. 10–12.

3 Sida, Strategy Report for Afghanistan, September 2010–August 2011, p. 16.

4 Sida, Strategy Report for Vietnam, September 2010–August 2011, p. 14.

4.2 Methods – some examples

Dialogue takes place at various levels and in various forms: in connection with contributions or as part of sector or budget support, at diplomatic level or in donor coordination groups, in targeted support to local actors or in the public domain.

In dialogue, Sida and Sweden strive to work with both the state and the civil society. In several countries, Sida has an active brokerage role between the two in order to increase the scope for dialogue and to contribute to constructive dialogue.

In Colombia, Sweden participates, together with Spain and the UN Office of the High Commissioner for Human Rights, OHCHR, as observers in the round table discussions conducted between the government and human rights defenders and their organisations. With time, these discussions have become more respectful and constructive, but the human rights movement has asked Sweden to remain as an observer in order to aid adherence to agreements. Sweden has, where necessary, urged human rights organisations to be more strategic and better coordinated, in order to have a greater impact in the dialogue with the government.¹

Sweden has helped to create arenas for dialogue in Cambodia, but the hardening tone between the government and civil society organisations complicates opportunities for cooperation at present. The donors have conducted dialogue with both government and civil society organisations on the proposed NGO law that would limit the ability of the organisations to work freely. Partly as a result of this, the adoption of the law has been postponed until further notice, and revisions are being discussed.²

In Mali, Mozambique and Bangladesh, the Embassies of Sweden are working with qualitative methods, known as Reality Checks, in order to provide a basis for knowledge-based dialogue. In Mali, the results of this method are expected to provide a better opportunity to understand the relevance of the Swedish support based on the perspectives of the poor on development.³ In Mozambique, the purpose of Reality Checks is to contribute to a better understanding of various aspects of poverty. The work is thus expected to provide a greater impact for the application of the human rights based approach and the perspectives of the poor.⁴

In Bangladesh, an evaluation of the work with Reality Checks will be carried out in order to further assess the usability of this tool as a basis for political dialogue.⁵

The Embassies of Sweden, including those in Kenya, Tanzania and Vietnam, have used blogs and written articles in local newspapers in their advocacy work, which has received considerable attention and contributed to the dialogue process receiving greater scope.⁶

In order to conduct constructive and informed dialogue, support for and understanding of the issues are necessary. Therefore in 2010/11, Sida produced practical toll for conducting dialogue on various human rights issues. The support consists of short dialogue briefs on the rights of children and young people, the rights of persons with disabilities, rights of LGBT persons and on freedom of expression.⁷ This material has also been disseminated to other donors and has been appreciated internally and externally.

4.3 Experience and results from global and national dialogue

Sida has chosen two examples to more fully present global and national advocacy. The United Nations Development Programme (UNDP) is a key multi-lateral actor for democracy and human rights. In Tanzania, Sida has had a close dialogue with its partners, based on an ambitious dialogue strategy.

4.3.1 Global dialogue with the UN Development Programme

The UNDP is a particularly important partner for Sida within democracy, human rights and public administration development cooperation. About half of the Swedish non-earmarked support to the UNDP goes to activities within democratic governance, including the justice system, human rights, parliamentary support, party systems, elections and public administration at central and local levels. In 2010, Sida's support for these activities amounted to SEK 483 million.⁸

For a number of years, Sweden (represented by the Ministry of Foreign Affairs and Sida) and the UNDP have conducted annual bilateral high-level dialogues. This complements the advocacy work that takes place within the framework of the UNDP Board.

1 Sida, Strategy Report for Colombia, September 2010–August 2011, p. 16.

2 Sida, Strategy Report for Cambodia, September 2010–August 2011, p. 20.

3 Sida, Strategy Report for Mali, September 2010–August 2011, p. 23.

4 Sida, Strategy Report for Mozambique, September 2010–August 2011, pp. 2 and 25.

5 Sida, Strategy Report for Bangladesh, September 2010–August 2011, p. 18.

6 Sida, Memorandum, Experience of Dialogue, August 2011.

7 Sida, Human Rights Dialogue kit, 2010.

8 Sida, Sida's support to UNDP 2010, Portfolio overview.

Prior to the high-level dialogue, Sida produces information based on telephone or video interviews with around twenty field offices, so that the dialogue can pose concrete and fact-based questions.¹

At the annual dialogue meeting in September 2011, the UNDP received praise for its key role in the work with democracy and state-building. Sweden did however repeatedly stress the importance of the UNDP using its central role vis-à-vis the host government to promote human rights. The UNDP responded that this does indeed take place, however not in public.²

In general, the UNDP has a much weaker tradition of working with the human rights based approach than with issues within democratic governance. In the UNDP Board and vis-à-vis UNDP's management, Sweden has continually pointed out the need for a human rights based approach.³ When this was discussed during the deliberations, the UNDP explained that they had now conducted training on how human rights should be integrated into the UNDAF (United Nations Development Assistance Framework, the UN joint framework at country level) for, up to now, 42 of 140 UN country teams.⁴ An internal meeting for professional development, known as a "community of practice", was held in Costa Rica at the end of November 2011 and gathered around eighty UNDP colleagues who work directly with the integration of a human rights based approach. Sida and the UNDP's joint work with the human rights based approach in Moldova was presented by a representative of the Moldovan government.⁵

When specific country programmes are up for decision in the UNDP Board, Sida and Sweden often stress the importance of a human rights based approach to programming and the significance of UNDP's work in the area of democratic governance. The latter is an important issue of principle that is not supported by all member states. Several countries within what is known as the G77 group of developing countries are openly critical of the UNDP being active in these areas.

The bilateral dialogue with the UNDP provides the opportunity to discuss difficult questions in an open and constructive way. The discussion can be kept on a concrete and practical level, since Sida and Sweden have well founded arguments and views based on experiences conveyed from the field.

The advocacy work that takes place at board meetings, bilateral deliberations and follow-ups of individual contributions have contributed to the strong commitment of Sweden and Sida to results within democracy, human rights, public administration and the human rights based approach. This is all very clear to the UNDP and brings continuity to the discussion. Sweden's organisational strategy for the UNDP provides clear guidelines for these issues to be raised in the dialogue and for the necessity of close cooperation between Sida and the Ministry of Foreign Affairs in Stockholm and New York on this matter.⁶

Opportunities for dialogue are supplemented by a collegial exchange of experience in working in these areas, something which has contributed to professional development in both partners.

4.3.2 National dialogue with Tanzania

An important prerequisite for Sweden's dialogue in Tanzania was that the cooperation strategy from 2006 established that there were clear political dimensions of poverty and poverty reduction. The Embassy of Sweden was mandated to develop a dialogue strategy with a clear focus on the human rights based approach.⁷

The following all-embracing dialogue issues were identified in the embassy's dialogue strategy:

- The right to information and freedom of the press.
- Gender equality in all areas.
- Focus on vulnerable groups in society.
- Violations of human rights and development in Zanzibar.

Important dialogue issues in 2010 and 2011 were the right to information and freedom of the press, the right of girls to continue education even if they become pregnant and the strengthening of children's rights. The promotion of free, fair and peaceful elections was also in focus ahead of the autumn 2010 elections.

1 Sida, Summary and Analysis of UNDP-experiences from 20 Swedish Embassies, In preparation of the Annual bilateral dialogue UNDP-Sweden in NY, Sept 2011.

2 Sida, Travel Report Swe-UNDP consultations and meetings with UN Women, UNFPA and UNICEF in New York, Sept 2011, Reg nr 2011-000103, p. 3.

3 Ministry for Foreign Affairs, Memorandum, Report from UNDP/UNFPA's board meeting in New York on 10–14 September 2007.

4 Sida, Travel Report Swe-UNDP consultations and meetings with UN Women, UNFPA and UNICEF in New York, Sept 2011, Reg nr 2011-000103, p. 3.

5 UNDP, Report from the second Global Human Rights Community of Practice, 28 November–2 December 2011 in Costa Rica.

6 Government decision (UF2009/86903/MU), Organisational Strategy for the United Nations Development Programme (UNDP) 2010–2013, pp. 10–11.

7 Sida, Memorandum, Experience of Dialogue, August 2011, p. 3, <http://blip.tv/sidainternal/interview-with-staffan-herrström-part-1-5505567>, <http://blip.tv/sidainternal/interview-with-staffan-herrström-part-2-5505593>, <http://blip.tv/sidainternal/interview-with-staffan-herrström-part-3-5508668>.

The embassy has also conducted a systematic dialogue on the subject of anti-corruption, both in relation to the budget support and at sector level. A starting point in the dialogue strategy is to combine dialogue with targeted support to strategic individual organisations that engage in advocacy work.¹ Linking political dialogue and development dialogue was also an objective.²

From the experience of dialogue in Tanzania, it becomes clear that it is important to have a consistent message, if the dialogue is to achieve the intended results.³ The embassy can provide important support to local actors to help them be seen and heard in the areas where they are working. That kind of moral support can be absolutely crucial. Sweden can support domestic accountability by making it easier for local civil society organisations to gain a hearing for the issues they pursue.⁴

The right to information and freedom of press

The embassy has conducted dialogue on freedom of press in collaboration with other donors. During its time as joint chair of the donor coordination group for good governance, the embassy actively pursued these issues, which has contributed to the government including media freedom and the right to information as a prioritised area in the draft of the new strategy for poverty reduction.⁵

The general elections in 2010 and the media coverage of the elections were generally considered free. The process to legislate for the right to information is however an obstacle and a new law on Media Service have not yet been adopted. In collaboration with a coalition of civil society organisations, the donor group, which Sweden is part of, is continuing its dialogue on the two legislative proposals with its respective parliamentary committees, despite scepticism from authorities and a lack of political support.⁶

Gender equality in all areas

A high-priority issue for Sweden is the right of girls to continue with their education even if they become pregnant.⁷ Sida is active in gender equality work, particularly within contributions for sexual and repro-

ductive health and rights, and strives to integrate gender equality aspects in all sectors. Through the donor coordination group for gender equality, the embassy has pursued gender-based violence as a dialogue issue.⁸

Focus on groups in vulnerable situations

The situation of groups in vulnerable has been raised ad hoc in the sector-related dialogue, and financial support has been given to civil society organisations working with children in vulnerable situations, with specific focus on violence against children. Children's rights in Zanzibar were specifically highlighted by the ambassador in close collaboration with the United Nations Children's Fund (UNICEF), a Swedish and a local civil society organisation. This dialogue contributed strongly to the adoption of the Zanzibar Children's Act in August 2011.⁹

Violations of human rights and development in Zanzibar

The human rights situation in Zanzibar has improved, and Sweden participated in the joint-donor dialogue to promote a referendum on power-sharing ahead of the general elections in October 2010.¹⁰

Sweden played an important role in the human rights dialogue within the education sector. Among other things, the dialogue led to the Ministry of Education developing and approving a new policy on human rights and education.¹¹

1 Sida, Strategy Report for Tanzania, September 2010–August 2011, p. 20.

2 Sida, Memorandum, Experience of Dialogue, August 2011, p. 4, see also links to blip tv in footnote 4.

3 Sida, Memorandum, Experience of Dialogue, August 2011, p. 1, see also links to blip tv in footnote 4.

4 Sida, Memorandum, Experience of Dialogue, August 2011, p. 1, see also links to blip tv in footnote 4.

5 Sida, Strategy Report for Tanzania 2010, p. 15.

6 Sida, Strategy Report for Tanzania, September 2010–August 2011, p. 20.

7 Sida, Strategy Report for Tanzania 2010, p. 20.

8 Sida, Strategy Report for Tanzania, September 2010–August 2011, p. 21.

9 Sida, Strategy Report for Tanzania, September 2010–August 2011, p. 21.

10 Sida, Strategy Report for Tanzania, September 2010–August 2011, pp. 20–21.

11 Joint Country Evaluation of the Strategy for Swedish development cooperation with Tanzania 2006–2010, Final Report, December 2010, ITAD & DEGE Consult, p. 28.

4.4 Important factors for achieving results for democracy, human rights and gender equality through dialogue

Much of the dialogue that Sida conducts within the development cooperation concerns democracy, human rights and gender equality. Dialogue takes place both at an overall level and also specifically within sectors. The experiences and lessons that can be learned for successful dialogue within this area in many cases also apply to other subject areas.

Dialogue requires a good knowledge of commitments by central government and authorities. In order to be effective and constructive in the advocacy work, special expertise regarding democracy and human rights is necessary.

Based in part on a recent evaluation¹ and the examples above, a number of factors emerge as particularly important for achieving results through advocacy and dialogue.

Understand the context

The prerequisites for conducting dialogues are very different in different countries. Sida's experience is that it is important to plan and act for the long term. It is critical to understand the local environment – and, if necessary, modify the analysis along the way.

Strengthen the interaction between political dialogue and development dialogue

The dialogue will be more effective if Sweden advances a clear and consistent message in various forums. There are major advantages in an integrated work where the same issues are raised both within the framework of the development cooperation and on the political level.

Take advantage of presence and availability as platforms for dialogue

Every conceivable platform, and the links between them, should be used. The EU dialogues in their various forms provide an opportunity. It is effective to utilise the platform provided by budget support and other forms of programme support.

Combine (innovative) methods

Take advantage of existing opportunities for dialogue. Think innovatively. Work with the same dialogue issue vis-à-vis all partners, and use multiple methods and approaches. These are all important elements for a successful dialogue.

Prioritise

When an Embassy is small, the resources and like-minded donors few, it becomes even more important to prioritise. Try to choose the priority issues within an area in order to have a greater impact.

Understand the issues and ground them in experience

Gather your own expertise and that of others in order to be able to engage in dialogue based on facts, experiences and understanding of the processes and structures. Dialogue has greater impact if it is directly related to experience from programmes and projects.

Build long-term relationships with cooperation partners

Sweden and Sida often have a long history as a partner, which yields a great added value. Promote domestic accountability through support to, for example, parliaments, political parties, media and local civil society organisations.

Identify and cooperate with allies

Significant allies can be found within government, parliament, political parties, authorities, other donors and civil society. It is strategic to cooperate with others in order to create a critical mass for the advocacy work.

Formulate realistic goals that can be followed up

It is important to formulate what Sweden and Sida want the advocacy work to achieve and how its impact is to be followed up and analysed.

¹ Sida, Sida Evaluation 2010:1, Byron, Gabriela and Örnemark, Charlotte, Gender Equality in Swedish Development Cooperation, p. 83 and Sida, Memorandum, Experience of Dialogue, August 2011.



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Photo: Birgitta Silén

5. The human rights based approach in Swedish development cooperation



5. WITH HUMAN RIGHTS AS THE STARTING POINT

Swedish development cooperation shall put the rights and freedoms of the individual first. This human rights based approach has had a clear impact on the contributions that Sida supports. By strengthening individual empowerment, Sida has contributed to a better life for people around the world.

Sweden's development cooperation shall be characterised by a human rights based approach. This was established by the Parliament of Sweden in Sweden's Policy for Global Development (PGD) adopted in 2003.¹ The human rights based approach encompasses the central elements of democracy, good governance and human rights, equality between women and men and rights of the child.

In combination with the human rights based approach, development cooperation shall be pervaded by the perspectives of the poor. In the PGD, four principles were chosen for the practical transformation of democracy and the normative value system constituted by human rights²:

- non-discrimination/equality in dignity and rights
- participation
- openness and transparency
- accountability

Sida has chosen to work with these principles as a starting point for both the human rights based approach and the perspectives of the poor. The principles constitute a basis for analysis and assessment and a common basis for dialogue, cooperation and follow-up.³ The human rights based approach shall strengthen individual empowerment, that is, the human right of individuals to influence their own situation and development.⁴

Internationally, the development agenda and the human rights agenda have steadily converged since the mid-1990s. Today, the United Nations system, as

well as many bilateral donors and civil society organisations, has a human rights based approach to development and poverty reduction.⁵ It is clearly visible in various international processes, such as in the final document from the Millennium Declaration meeting in New York in 2000, where several human rights issues were highlighted and integrated as being important for achieving the objectives.

Sweden and Sida are at the forefront in issues concerning the human rights based approach. Other donors and international organisations frequently consult Sida on methods and on results of work with the human rights based approach. Today, the human rights based approach, together with the perspectives of the poor, forms a clear starting point in the Swedish development cooperation through policies and cooperation strategies.

Sida strives to continuously improve the guidelines for how the human rights based approach and its principles should be applied. A web-based support for the integration of the human rights based approach has been developed for Sida's programme officers and cooperation partners. In order to provide effective assistance to the agency's staff, the support is sector and country specific for those sectors and countries where Sida works. The web support has been gradually developed for Sida's partner countries in Africa and in 2012 will be extended to Southeast Asia.

When the policy for democratic development and human rights was adopted in 2010, it was the first time that the Government had highlighted the

1 Report, UU/2003/04: UU3 Sweden's Policy for Global Development: http://www.riksdagen.se/Webbnav/index.aspx?nid=3322&dok_id=GR01UU3.

2 Report, UU/2003/04: UU3 Sweden's Policy for Global Development: http://www.riksdagen.se/Webbnav/index.aspx?nid=3322&dok_id=GR01UU3.

3 Sida, POM Working Paper 2006:4, Aide-mémoire on the two perspectives, pp. 4 and 8–10.

4 Swedish Government Offices, Change for Freedom, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, 2010, pp. 11–13.

5 <http://msc.st/HRBATheoryCSO.html>. United Nations Human Rights Office of the High Commissioner, OHCHR Report 2010, pp. 41–42. OECD, OECD Publishing, The Development Dimension, Integrating human rights into Development, Donor approaches, experiences and challenges, 2006, pp. 94–102. Sida, Summary of the rights perspective in the 2011 strategy reports. <http://msc.st/HRBATheoryCSO.html>. Swedish Government Offices, Change for Freedom, Policy for democratic development and human rights in Swedish development cooperation, 2010–2014, 2010 pp. 11–13 and 28–29.

human rights based approach and the application of its principles by means of a policy.

In the absence of comprehensive evaluations of Sida's overall work with the human rights based approach, all the strategy and activity reports for 2011 were reviewed in order to get an idea of the extent to which the human rights based approach had been integrated in Sida's work. In a few partner countries, Sida's work with the approach has been evaluated and the results and lessons learned from it are also presented. Based on this examination, examples are presented of how a human rights based approach has contributed to the results of contributions and to lessons learned about prioritised issues and methods.

5.1 The human rights based approach as a foundation

The human rights based approach puts people who are poor first and helps development cooperation to better take into account the views of men, women, children and young people living in poverty. These approaches provide a clearer picture and better knowledge of local power structures in the provinces and sectors where Sida works. The human rights based approach is primarily a method of working, a "how".¹

Most Embassies of Sweden can testify that the human rights based approach permeates development cooperation and that the overall contributions in, first and foremost, the democracy, human rights and gender equality sector are based on the four principles. In several cases, Sida supports reforms within the public administration in order to strengthen democratic governance in combination with the work of civil society organisations for human rights and accountability.

Sida's experience shows that the method constituted by the approach paves the way for discussions concerning how various cross-cutting issues of development cooperation are to be integrated.²

A review of Sida's strategy and activity reports for 2011 demonstrates a clear impact for the human rights based approach as a starting point for the overall analysis and understanding of the development challenges in a country and for the choice of contributions.³

5.1.1 The human rights based approach in various sectors

There are concrete examples of when the human rights based approach has been integrated in various sectors or areas. Here are some examples:

Forestry and agriculture

One contribution in the Democratic Republic of Congo aims to improve the knowledge of local and indigenous populations about their rights from a REDD perspective.⁴ This is to ensure that the preservation of the forest for climate reasons is not to the detriment of the rural poor. The contribution places demands for greater transparency on both forest users and on actors working to protect the forest. The contribution emphasises the need of people living in poverty to have financial options if and when they cannot continue to use the forests, and their right to be involved in identifying those options. Marginalised people have participated to a large degree in the implementation of pilot projects ahead of the bigger contribution. Information technology will be used for greater openness and monitoring of results as a basis for accountability.⁵

One contribution in Burkina Faso is applying a human rights based approach in relation to how people use the forest at local level. This partly concerns increasing the opportunities for farming populations to participate in connection with the ongoing decentralisation reform and reducing discrimination of marginalised groups with regard to managing and benefiting from the forest.⁶

Health and education

Within the sector programmes for health and education in Bangladesh, the Embassy of Sweden participates in Gender, Equity and Voice, the joint working group of the government and donors. The information collected within the framework of Reality Checks⁷ has been used in contacts with the health and education ministries as a way to drawing attention to the perspectives of people living in poverty.

A support to the national Transparency International (TI) helps to increase openness and transparency, and accountability. TI Bangladesh conducts regular

1 Sida, Memorandum, Reporting from the rights perspective work in Kenya, 02-09-2011, p. 4.

2 Sida, Memorandum, Reporting from the rights perspective work in Kenya, 12-09-2011, p. 3.

3 Sida, Summary of the rights perspective in the 2011 strategy reports.

4 Reduced Emissions from Deforestation and Forest Degradation is an international scheme which aims to reduce deforestation and maintain the ability of the forest to sequester carbon and thus counteract the negative climatic impact of emissions.

5 Sida, Strategy Report for the Democratic Republic of Congo (DRC), September 2010–August 2011, pp. 18–19.

6 Sida, Strategy Report for Burkina Faso, September 2010–August 2011, p. 19.

7 A qualitative method for gathering knowledge and following up the perceptions of poor men and women on social services.

surveys of the perceptions of people living in poverty with regard to public services and thereby provides a basis for holding the government accountable for a transparent and non-discriminatory service within health and education. These contributions have been relatively successful in improving the quality of the reports, but there are still challenges if there is to be an impact that leads to change in people's lives.

The work with sexual and reproductive health and rights has improved women's lives significantly. As an example, it can be mentioned that maternal mortality has dropped by 40 per cent over the past decade.¹

In Sierra Leone, Sida only works within the education sector, where the right to education has been the focus of its work. Some priority has been given to groups that are often otherwise excluded, such as children with disabilities. A major problem is that the access to information on developments in the sector is limited due to the lack of data collection systems. This makes it difficult for donors, but above all for the country's own citizens, to gain openness and transparency, participation and accountability. There is also a lack of transparency about the fact that only a limited proportion of development cooperation funds made available to the sector has been used in practice. During 2012, the Swedish development cooperation with Sierra Leone is being phased out.²

Sida works in several countries to strengthen the rights of people living with HIV and AIDS. In Botswana, South Africa and regionally in southern and eastern Africa, Sida has worked to engage and mobilise civil society actors in this work. In Botswana, this has not only led to better work in the fight against HIV and AIDS, but it is also judged to have contributed to strengthened democracy.³ In South Africa, organisations that have an scrutinising function in relation to the government's work are supported.⁴ The regional HIV & AIDS team at the Embassy of Sweden in Lusaka supports, inter alia, organisations working against the discrimination of people living with HIV and/or LGBT persons.⁵ The HIV & AIDS team also works to promote greater participation and supports civil society organisations in their accountability role vis-à-vis governments in the region and the regional economic communities.

Water

In the Middle East and North Africa (MENA), Sida supports a regional water management programme under the auspices of the United Nations Development Programme (UNDP). One component of the programme aims to increase information about the fair distribution of water resources. The issue of water from a human rights based approach is closely related to the shortcomings of governments that protesters criticised during the Arab Spring and the need for reforms.⁶

Market and trade

Swedish support to the World Customs Organisation (WCO) is an example of the link between regional economic integration in Sub-Saharan Africa and the human rights based approach. The programme develops the regional cooperation of national customs authorities, which contributes to more efficient trade and increased customs revenues, while improved openness and transparency counteract corruption and the improper exercise of power at borders.

Local democracy and rural development

A large part of the Swedish development cooperation budget in Rwanda has been allocated to a social insurance programme at local level that targets the poorest of the poor. The programme encourages civic participation, and one of the objectives is to counteract the effects of exclusion and discrimination. All people, regardless of gender, ethnicity and disability are entitled to the same support.

The main purpose of a contribution in Vietnam, Chia Se (1 and 2), is to promote a rights based method of supporting local democracy, transparency, accountability and participation in development issues. Chia Se 2 aims to integrate these aspects into regular planning and budgeting in Vietnam, increase prosperity in rural areas and promote fair income distribution and a decentralised administration. Openness and continuous control over the budget, implementation and evaluation form part of the work that is carried out by the local population, including the poorest villagers. The programme has been evaluated and was found to be effective, both in terms of empowerment and poverty reduction. One clear

1 Sida, Strategy Report for Bangladesh, September 2010–August 2011, p. 18.

2 Sida, Strategy Report for Sierra Leone, September 2010–August 2011, pp. 7–8.

3 Sida, Strategy Report for Botswana, September 2010–August 2011, pp. 13 and 15.

4 Sida, Strategy Report for South Africa 2011, p. 9.

5 Sida, Strategy Report for Regional HIV and AIDS development cooperation in Sub-Saharan Africa, September 2010–August 2011, p. 21.

6 Sida, Strategy Report for MENA, September 2010–August 2011, pp. 17–18.

Sida, Strategy Report for Regional Development Cooperation with Sub-Saharan Africa, September 2010–August 2011, p. 29.

Sida, Strategy Report for Rwanda, September 2010–August 2011, p. 17.

Sida, Strategy Report for Vietnam, September 2010–August 2011, pp. 7 and 15. Ministry of Planning and Investment of Vietnam, Results Analysis (Completion) Report, Chia se Poverty Alleviation Program, Phase 2, November 2009–October 2011.

result is that the experience from the programme has led to the production of national guidelines for increased democracy at local level. This can lead to increased openness and transparency and the opportunity for influence and accountability for potentially 50–60 million people.¹

The judicial area

Via Swedish civil society organisations, Sida provides support to civil society organisations in Cambodia, in order to enhance the participation and influence of the local population and increase the capacity and participation of local organisations in national and local democratic processes. With, inter alia, Swedish support, civil society organisations have influenced the government to develop important laws, such as the anti-trafficking law, the family and marriage law, as well as the anti-corruption law that has been approved. The organisations have gained an increased capacity to support citizens in legal issues, raise awareness about human rights and democracy and encourage greater participation in democratic processes.²

5.2 The human rights based approach in different countries

Sida has chosen three examples to display both similarities and differences in results and lessons learned, depending on which countries and sectors Sida has worked in. Kenya, Tanzania and Moldova are countries where Sida has come a long way in integrating and working strategically with a human rights based approach.

In Kenya, the work with the human rights based approach has been evaluated thoroughly by the Swedish Agency for Development Evaluation (SADEV).³ It is the only evaluation that has made an analysis of Sida's work with the rights perspective in a country. In Tanzania, an evaluation was performed of Sweden's cooperation strategy, which included Sweden's commitment to the two perspectives.⁴ In the case of Moldova, the work has just started and no evaluation has yet been conducted.

5.2.1 Kenya – "Mainstreaming in Action" (Mainiac)

The pilot initiative Mainstreaming in Action (Mainiac) intended to transform the four principles of the human rights based approach into practice. The overall purpose of the initiative was to ensure that programmes with Swedish support promoted the development, democracy and human rights of people living in poverty (including those of women and children), sustainable development, peace and the fight against HIV and AIDS.

The work with the approach in Kenya has since 2003 mainly concerned the introduction of the four principles within the sectors where Sida was involved: agriculture, health, justice sector support, water, roads, urban development, reform of public administration and public finance management. Sida has sought to institutionalise procedures and methods in order to integrate the principles both in the internal work and in the various sectors.

Staff at the Embassy of Sweden and representatives of the Kenyan government and civil society organisations have shared their experience and participated in training, networking and conferences on the implementation of the human rights based approach that Sida arranged with the Kenya National Commission on Human Rights.⁵

Process

The method of the actors involved was to increase the knowledge and capacity among staff at the Swedish Embassy in Nairobi and of Kenyan government officials at all levels within a number of sectors. The purpose was to increase the knowledge and understanding of all those involved in order to integrate the four principles in the programmes and to follow them up.

It was also important to strengthen the ties between Kenyan human rights organisations and the authorities and institutions responsible for various development programmes. Human rights organisations served as experts and resources for the work of the institutions, and the state human rights commission directed the work.

A number of factors provided good opportunities to integrate a human rights based approach in the development cooperation with Kenya. One factor was that the Swedish cooperation strategy with Kenya (2004–2008) gave a clear mandate through its overall objective to work for poverty reduction through democratic governance. The mandate was

1 Sida, Strategy Report for Vietnam, September 2010–August 2011, p. 16.

2 Sida, Strategy Report for Cambodia, September 2010–August 2011, pp. 12–13 and 22.

3 SADEV Report, 2008:2, Integrating the Rights Perspective in Programming.

4 Joint Country Evaluation of the Strategy for Swedish development cooperation with Tanzania 2006–2010, Final report, ITAD & DEGE Consult, December 2010.

5 Sida, Strategy Report for Kenya 2010, pp. 19–20.

further strengthened in the strategy for the period 2009–2013.¹

Another factor was that there was political and democratic scope in Kenya for focusing on these issues, and there were also a number of Kenyan actors within the state and civil society that worked actively for increased democracy and a state that respects human rights. These actors saw the need for a new constitution that could provide the legitimacy for such a state.²

Results

Here are some results from two of the sectors in which Sida has been active: the road sector programme “Roads 2000” and the programme of agricultural consultancy in small-scale agriculture, NALEP.³

“Roads 2000 made my life”

Roads 2000 was carried out in one of Kenya’s poorest provinces where Sida, as the only donor, provided support to the development of rural roads. The programme provided children with better roads to school and the rural population better roads to markets to sell their products. The investment was a result of the sector being analysed from a human rights based approach.⁴

Within the framework of the contribution, interest groups were created that provided advice and support to the Ministry of Roads at local level to ensure that the interests of the population were taken into account. By participating in the planning of road committees, people in the area had a sense of responsibility, increasing their desire to maintain the road.⁵ This is an example of how the principle of participation has been applied in practice.

The principle of openness and transparency was also prominent in the programme. Among other things, notices were posted at the municipal offices with information about how much money the road project had been awarded and which routes would be built and maintained during the year. Openness and transparency meant that the engineers were empowered and could be firm on what was to be done when they came under local pressure from influential per-

sons to build routes other than those decided.⁶ The principles of non-discrimination and participation resulted in Sweden and Kenya agreeing that 30 per cent of those who were contracted by the Ministry to build roads would be women, an objective that was also achieved.⁷ According to several of the engineers, the women were among the more reliable contractors for maintenance and repair and delivered on time and with quality.

The women gained a stronger position, an income and a place in society. “Roads 2000 made my life”, was the reaction of one of the women.⁸

NALEP

The National Agriculture and Livestock Extension Programme (NALEP) concerned agricultural consultancy in small-scale agriculture and the development of sector policy and legislation.

By using the principles of the human rights based approach, several innovative approaches were developed. Among other things, the farmers formed local interest groups with the purpose to look into their various needs and interests, instead of having consultants coming in and offering advice, which had been the case previously. The farmers received support to become organised and got access to a consultancy service, giving advice on the specific matters the farmers themselves requested.⁹

In order to continue putting pressure for reforms and accountability, a fund for non-state actors was established. It provided support to organising, advocacy and policy debate on, e.g., agriculture, including land issues, which were considered to be a sensitive issue.

6 Sida, Memorandum, Reporting from the rights perspective work in Kenya, 02-09-2011, p. 2.

7 Sida, Strategy Report for Kenya 2010, p. 18.

8 Sida, Memorandum, Reporting from the rights perspective work in Kenya, 02-09-2011, p. 2.

9 Sida, Memorandum, Reporting from the rights perspective work in Kenya, 02-09-2011, p. 1.
Sida, Strategy Report for Kenya 2010, p. 11 and Sida, Memorandum, Reporting from the rights perspective work in Kenya, 12-09-2011, p. 4. Sida, Strategy Report for Kenya, September 2010–August 2011, p. 3 and Strategy Report for Kenya 2010, p. 9.
SADEV Report, 2008:2, Integrating the Rights Perspective in Programming, p. 152.

SADEV Report, 2008:2, Integrating the Rights Perspective in Programming, executive summary.

OECD, OECD Publishing, The Development Dimension, Integrating human rights into Development, Donor approaches, experiences and challenges, 2006, p. 102. Sida, Memorandum, Reporting from the rights perspective work in Kenya, 12-09-2011, p. 2.

Sida, Memorandum, Reporting from the rights perspective work in Kenya, 12-09-2011, p. 2.

1 SADEV Report, 2008:2, Integrating the Rights Perspective in Programming, p. 20.

2 Sida, Memorandum, Reporting from the rights perspective work in Kenya, 02-09-2011, p. 2.

3 National Agriculture and Livestock Extension Programme.

4 Sida, Memorandum, Reporting from the rights perspective work in Kenya, 02-09-2011, pp. 2–3.

5 Sida, Memorandum, Reporting from the rights perspective work in Kenya, 02-09-2011, p. 2.

The work to promote non-discrimination has led to an increase in the proportion of women in the approximately 20,000 interest groups from 7 per cent in 2007 to 35 per cent in 2011.

Experience and lessons learned from the work in Kenya

The human rights based approach has had a positive impact on the planning and implementation of the programmes supported by Sida in Kenya within all sectors. This is indicated by, for example, a SADEV evaluation. This evaluation agency further stated that increased knowledge of the principles of the human rights based approach was crucial for such integration.

The human rights based approach paves the way for discussing which cross-cutting issues are to be integrated and how this is to take place. Discussing the implementation of the principles in practice has proved to be an effective way of approaching the issues of democracy, human rights and gender equality, something that ministers and government officials have not otherwise been interested in discussing or integrating into projects and programmes. Reformists within the state and civil society have been able to cooperate in planning and follow-up and learn from each other.

Civil society organisations are today a natural part of all sectors in which Sida provides support. The active role of the organisations in various programmes is a result of a focus on the human rights based approach.¹ The organisations help to increase accountability, ensure participation and reduce the discrimination of women, children and especially vulnerable groups.² The formation of interest groups has proved to be an effective way of making it easier for people who are poor to participate in planning and the work for change.³

Human rights based work demands staff resources, especially in the initial stages. It is also long-term work as it concerns the changing of attitudes and ingrained work patterns and structures. It is important to conduct this in cooperation with national, committed and knowledgeable actors that are well informed about the human rights based approach.⁴

An important lesson is to be able to see when there are openings and opportunities for working with issues of democracy and human rights. In Kenya,

these issues have been pursued since the early 1990s by civil society organisations and the media. Sweden's contribution was to lay hold of the fact that there was willingness and knowledge about democracy and human rights, both within civil society and the state, and to provide forums for representatives from all the partners to discuss how to promote increased democratisation and respect for human rights.⁵

In 2011, the principles of the human rights based approach is a natural part of the entire Swedish development cooperation with Kenya. It is integrated within all the sectors where Sida is active: it is present in the dialogue with Kenya and influences strategic choices in planning processes and the follow-up of contributions. There is energy and capacity, both on the part of Kenya and Sweden, for taking this work forward, according to Sida's assessment.

5.2.2 Tanzania – "Taking Rights Seriously"

Sida launched the project "Taking Rights Seriously" in Tanzania in 2006, which was geared towards a practical transformation of the principles of the human rights based approach based on the goals of Sweden's cooperation strategy.⁶ Formulated goals for the project were to promote the two approaches by using the four principles in the work with cross-cutting issues, direct support, contributions for raising awareness and dialogue on all levels.⁷

Process

In the case of Tanzania, a project document was drafted for the "Taking Rights Seriously" project (TRS), including an action plan. The project included activities for capacity development through seminars for Embassy of Sweden personnel and partners. The seminars dealt with how the two approaches could be integrated in the energy, market development and education sectors, first and foremost.⁸ The seminars were also intended to identify possible openings for high level dialogue concerning human rights issues.⁹

Within the education programme, Sida conducted a study of Zanzibar's development plan for education based on a human rights based approach, in order to see whether it promoted the four principles. The study arrived at the conclusion that they were

1 Sida, Memorandum, Reporting from the rights perspective work in Kenya, 02-09-2011, p. 3.

2 Sida, Strategy Report for Kenya, September 2010–August 2011, p. 20.

3 Sida, Strategy Report for Kenya 2010, p. 11.

4 Sida, Memorandum, Reporting from the rights perspective work in Kenya, 02-09-2011, pp. 2–3.

5 Sida, Memorandum, Reporting from the rights perspective work in Kenya, 12-09-2011, pp. 1–2.

6 <http://www.regeringen.se/content/1/c6/01/15/58/fccce0ac.pdf>.

7 Joint Country Evaluation of the Strategy for Swedish development cooperation with Tanzania 2006–2010, Final report, ITAD & DEGE Consult, December 2010, p. 28.

8 Sida, Strategy Report for Tanzania, September 2010–August 2011, p. 22.

9 Joint Country Evaluation of the Strategy for Swedish development cooperation with Tanzania 2006–2010, Final report, ITAD & DEGE Consult, December 2010, pp. 28–31.

accounted for in the plan, where much importance was placed on non-discriminatory behaviour and significantly less on accountability. In the study it was established that, despite the integration of all four principles, the phrase “human rights” is barely used in the plan.¹

Results

An evaluation of the implementation of Sweden’s cooperation strategy with Tanzania established that “Taking Rights Seriously” has largely resulted in an increase in knowledge among the Embassy’s own personnel and other donors and cooperation partners.²

The investment has also contributed to increased efficiency in civil society in terms of auditing how the state lives up to its responsibilities and how a democratic culture is promoted. The investments have helped to strengthen the role of the media in society and to improve the legal framework for democracy and human rights. The Swedish support has thereby contributed to progress by means of a more active civil society, not least in terms of advocacy for human rights and increased participation on a local level.³

Focus on the accountability principle led to demands from donors that corruption cases would be subject to a correct judicial process and that legal proceedings would be taken. This has resulted in several corruption trials and, in a couple of cases, convictions. The general change in attitude and the harder line on corruption in Tanzania are however predominantly down to other factors, such as public pressure, the media and the strengthened role of the National Audit Office. Nevertheless, Sida and other donors are considered to have contributed by holding a common line and consistently raising anti-corruption issues.⁴

A power analysis on a local level conducted in 2011 emphasised the importance of continued support for local democracy, including both the decentralisation reform and support for the work of civil society in rural areas. The report has contributed to discussions on accountability and power, both within authorities and civil society.⁵

The work in the energy sector has revealed both positive results and challenges. In the dialogue, the Embassy of Sweden has focused on openness and transparency as well as accountability. It is assessed that some improvements have taken place on a project level, where procurements have become more transparent. Consultations with affected local inhabitants have increased, as part of the planning process of rural electrification projects, but the implementation is moving slowly. It has not yet been possible to report any results from these consultations.⁶

The work with the human rights based approach and the perspectives of the poor has been linked to the dialogue with other donors and the Tanzanian government concerning, for example, the right to information, responsibility structures and justice in the provision of services. The embassy organised an open day, in order to advocate the right to information, with over 250 visitors and extensive media coverage.⁷

The tasks of consultants procured for the purpose of implementing and evaluating projects shall integrate an analysis of how the principles of the human rights based approach are applied⁸

Experience and learning from the work in Tanzania

Sida finds that a proactive dialogue concerning human rights and anti-corruption, in combination with financial support for strategic NGOs, is effective, and that this approach should be developed.⁹

To facilitate integration of the principles of the human rights based approach, it is important to come in at an early stage of a process, in order to develop projects and programmes¹⁰

Despite the fact that there are existing indicators for the work of integrating the approach, the work is difficult to monitor. This is because important results for the “Taking Rights Seriously” project are linked to knowledge and capacity development, areas for which it can be difficult to report results.

1 An assessment from a Human Rights Perspective of Proposed Programs and Activities for The Zanzibar Education and Development Plan (ZEDP) 2008–2015, A report to Sida, Tanzania, International Human rights Consultant, November 2007, pp. 22–24.

2 Joint Country Evaluation of the Strategy for Swedish development cooperation with Tanzania 2006–2010, Final report, ITAD & DEGE Consultant December 2010, p. 28.

3 Strategy Report for Tanzania, September 2010–August 2011, p. 7. Results appendix to annual report 2011.

4 Sida, Strategy Report for Tanzania, September 2010–August 2011, p. 19.

5 Sida, Strategy Report for Tanzania, September 2010–August 2011, p. 22.

6 Sida, Strategy Report for Tanzania, September 2010–August 2011, p. 21.

7 Strategy Report for Tanzania 2010, p. 21.

8 Embassy of Sweden in Tanzania, Memorandum, Work on the rights perspective and the perspectives of poor people on development at the Embassy in Dar es Salaam 2009/2010, p. 3.

9 Strategy Report for Tanzania, September 2010–August 2011, p. 7.

10 Embassy of Sweden in Tanzania, Memorandum, 26/05/2010, Work on the rights perspective and the perspectives of poor people on development at the Embassy in Dar es Salaam 2009/2010, p. 3.

Embassy of Sweden in Tanzania, Memorandum, 26/05/2010, Work on the rights perspective and the perspectives of poor people on development at the Embassy in Dar es Salaam 2009/2010, p. 4.

Joint Integrated Local Development Project (JILDP); Inception Phase Progress Report, May 2011, UNDP and Chancellery of State, pp. 4–6.

Sida, Strategy Report for Moldova, September 2010–August 2011, p. 3.

Sida, Memorandum, Lessons learnt from the initial phase of the Sida/UNDP Human Rights Based Approach pilot initiative in Moldova 2009–2011, 2011, pp. 4–7.

5.2.3 Moldova – Decentralisation reform

Sida and the UN Development Programme (UNDP) have developed a new innovative partnership in order to integrate the human rights based approach in an ongoing decentralisation reform together with the Moldovan government.

Sida has supported the UNDP's internal work to integrate a human rights based approach in its operations since 1999. Within the scope of the support, Sida and the UNDP have discussed the possibility of developing a closer cooperation in certain countries. In 2009, Moldova was chosen as the first pilot country.

The focus of the cooperation is the decentralisation reform that the Moldovan government is implementing with the support of the UNDP and the UN Women, Joint Integrated Local Development Program (JILDLP). The reform is aimed at reaching a regional and municipal capacity to handle development needs, thereby increasing local autonomy.

Via Sida, Sweden is the largest donor and contributes with over 80 per cent of the project budget. To date, the project is the single largest Sida-financed support to Moldova.

Process

The project's point of departure was that all parts of the reform were to have elements of the human rights based approach's four principles of non-discrimination, participation, openness and transparency, and accountability, as well as gender equality, applied in practise.

Sida reinforced the work by recruiting a bilateral associate expert, who together with the UN's human rights advisor in Moldova and expertise from UN Women was to function as an advisor to the already established working group appointed by the UNDP and the Moldovan government, in order to work with the reform.

Results

The work is in its initial phase, which is why the results attained are so far mostly seen in the form of activities, performance and the process itself.¹

A strategy and action plan for the implementation of the reform has been drawn up by the government with support from the UNDP. Non-discrimination, participation, openness and transparency, accountability and gender equality constitute fundamental principles. Three special appendices to the decentralisation strategy elaborate on how the work with a

human rights based approach, gender equality and vulnerable groups shall be carried out.² It is the first government strategy in Moldova that so clearly integrates these approaches, which Sida sees as a great success for the project. The challenge now lies in pushing the work through to the implementation phase.

One of the project's most important products thus far is a study that identifies which groups are especially vulnerable and how they could be affected by the reform. The groups include Roma, children whose parents have emigrated, women who have been subjected to domestic violence and people subjected to trafficking.³

The study, which is the first of its kind in Moldova, has been an important point of departure in the planning of the upcoming decentralisation. Sometimes, special targeted contributions might need to be introduced, in order to make sure that the effects of the reforms will not discriminate against groups that are already vulnerable.

The team has developed methods, manuals⁴ and tools⁵ for the collection of data and monitoring of the work to integrate the human rights based approach and gender equality in local projects within the scope of the reform. There is a special focus on documenting and analysing how vulnerable and marginalised groups have been given the opportunity to participate in local processes.⁶

Even if the decentralisation process is still in its infancy, the Swedish support has made it possible to provide officials on central, regional and local levels with comprehensive education in how the human rights based approach is to be applied. This has resulted in nationwide consultations and public debates being held, where NGOs representing women's issues, ethnic or religious minorities, persons living with disabilities, etc., have been given the opportunity to express their views on the reform.⁷

Most of UNDP's experiences of the work with the human rights based approach relate to the national and central level, but there are few examples of such

1 Joint Integrated Local Development Project (JILDLP); Inception Phase Progress Report, May 2011, UNDP and Chancellery of State, pp. 4–6.

2 Government of Moldova, "National Decentralisation Strategy", Annex 2 – CONCEPT on Human Rights Based Approach within the Decentralisation Policies and Annex 3 – CONCEPT on Promotion of Gender Equality within Decentralisation Policies, Draft approved by the National Parity Committee, May 2011.

3 JILDLP, Vulnerability Study, Taxonomy and possible decentralisation policy implications for vulnerable groups in Moldova, 2011.

4 JILDLP, Guide on Human Rights and Gender Equality in Decentralisation and Local Development, 2011.

5 JILDLP, Methodology for data collection and monitoring of the project initiatives from HRBA & GE Perspectives, Rights Based Approach to Project Management, 2011.

6 JILDLP, Report of the analysis of the vulnerable groups engagement within the local development initiative – Dorotcaia, 2011.

7 Sida, Strategy Report for Moldova, September 2010–August 2011, p. 15.

initiatives on a local level. This makes JILDP a leading example, even for the UN. The work was presented at the internal meeting organised by the UNDP in November 2011 in Costa Rica for some eighty colleagues who work with democratic governance and with the human rights based approach at the UNDP's offices around the world.¹

Changes in attitudes are crucial, but difficult to affect and assess. In a meeting in Moldova's capital city of Chisinau in May 2011, a senior official in the Moldovan government explained that:

*"Working with decentralisation reforms based on a human rights based approach, including gender equality, has been a revolutionary experience. I am simply not the same person I was six months ago."*²

Experience and lessons learnt from the work in Moldova

For Sida, this cooperation was a constructive way to follow up the criticism that Sweden directed at the UNDP's Board, that the human rights based approach was poorly represented in UNDP's activities. Through a closer, normative cooperation, a new way for Sida and UNDP to cooperate was developed.

This partnership involved partly new roles, which was unfamiliar and took longer than expected to establish. A formal agreement at a high level within both organisations was discussed but never came about. This could have facilitated the relationship and the grounding of the work. Sida's double role as donor and active participant in the practical work gave rise to a number of questions from partners.³

In practice, working with a human rights based approach involves developing methods and indicators and leading the process. This in turn includes training and motivating, which means a large but necessary investment which should be made together with local partners. This investment was made in Moldova.

There was a potential conflict between those appointed to assist in the implementation of the reform and those who were to ensure the integration of cross-cutting issues. As the task to integrate human rights and gender equality was introduced some years into the programme of the decentralisation reform, it caused at times a heated debate within the working group. This demonstrates the importance of entering processes of this nature at as early a stage as possible.⁴

Sometimes, non-discrimination is seen as one of the easier principles to gain acceptance for, but this was not the case in Moldova. Prejudices, stereotypes and direct aggression toward certain groups, i.e. Roma persons with mental disabilities and LGBT persons, can be found in abundance there. This was initially expressed in the form of an opposition to focusing on vulnerable and marginalised groups and the need for positive discrimination.⁵

Initially, the principles on non-discrimination and participation in particular were emphasised, whereas openness and transparency, and accountability received less attention. It may be interesting to note that there is no equivalent term for "accountability" in Moldovan, there is only a more limiting word for responsibility.⁶

Support from colleagues and management is even more important in new, partly untested processes and methods. There may be a need for specially recruited expertise in order to strengthen a process like this, at least at an initial stage. The forms of the continued work in this initiative are now being discussed, as Sida's extra reinforcement for the initiative is complete.

The political context was essential. Of particular importance were Moldova's rapprochement with the EU and the country's great challenges, not least in terms of discrimination against certain groups. For example, the work with marginalised groups became an important issue to work with within the framework for the decentralisation reform when the proposal for legislation against discrimination was at the centre of the national debate.

1 UNDP, Report from the second Global Human Rights Community of Practice, 28 November–2 December 2011 in Costa Rica.

2 Sida, Travel Report, Moldova, May 2011, Dept for Policy Support/JMDS, Reg.no 2011-00103.

3 Sida, Memorandum, Lessons learnt from the initial phase of the Sida/UNDP Human Rights Based Approach pilot initiative in Moldova 2009–2011, 2011, pp. 14–16 and 20.

4 Sida, Memorandum, Lessons learnt from the initial phase of the Sida/UNDP Human Rights Based Approach pilot initiative in Moldova 2009–2011, 2011, pp. 25–26.

5 Sida, Memorandum, Lessons learnt from the initial phase of the Sida/UNDP Human Rights Based Approach pilot initiative in Moldova 2009–2011, 2011, pp. 14–16.

6 Sida, Memorandum, Lessons learnt from the initial phase of the Sida/UNDP Human Rights Based Approach pilot initiative in Moldova 2009–2011, 2011, p. 6.

5.3 Important factors for the integration of a human rights based approach

Sida is well advanced in terms of the integration of a human rights based approach in the development cooperation. Sida's annual strategy reports show a clear development in recent years, in that programme officers have better knowledge of the principles of the human rights based approach and use them extensively.

Based on evaluations¹, documented learning from Sida's involvement in the development of web-based support in Africa, and the examples above, a number of factors stand out as being particularly important to the successful integration of a human rights based approach.

Start by looking at the context

It is clear that opportunities and openings for work with the various principles vary greatly from one country to another. In Kenya, for example, it was difficult to work with accountability as this could upset the power structures of institutions and sectors of society. In Moldova, however, non-discrimination was a major challenge.

Experience has shown that different national interests can end up on a collision course in the work with the human rights based approach, where the human rights based approach and perspectives of the poor have collided with strong political and economic interests such as large-scale agriculture, the extraction of natural resources and an increase in tourism. In cooperation with various actors and other donors, Sida needs to analyse and follow these types of challenges, with the intention of finding solutions that balance different interests and benefit the development and rights of poor men and women in the long-term.

Finding possible entry points

Experience has shown that a successful approach has been to start on a small scale and to search for possible openings for work with a human rights based approach. It is also good to start work with a sector or issue where Sida has an advantage in terms of its influence, allies, committed personnel and knowledge. It has proven successful to identify and cooperate with persons within the state, parliament, NGOs and

sometimes also political parties who have a good knowledge of and interest in democracy and human rights.

Sweden's role and position in a partner country is significant. In Kenya, the national agricultural programme "NALEP" and the "Roads 2000" programme were particularly successful, thanks to the fact that Sida, as the only donor, had the opportunity to directly influence the design of the programmes.

In Tanzania, where Sida worked via donor coordination in most sectors, the focus was instead on applying a human rights based approach through dialogue. The right to information and the right of girls to education were picked out as important issues for the dialogue in consultation with local partners. Continuous efforts, in cooperation with national and international partners, have contributed to changes in Tanzanian politics.

It is important to introduce the principles of the human rights based approach at an early stage of a contribution, as there is a risk that the principles will be met with resistance if they are to be applied to projects and programmes that are already under way. This is clear from experiences gained in both Moldova and Tanzania.

Once again, we see the importance of being able to contribute as a donor to the creation of structures for interplay between authorities and civil society in partner countries. Kenya was a clear example, where Sweden was able to play just such a role, which was somewhat new for Sida's cooperation partner.²

Knowledge of the human rights based approach is the key to success

Sida's experience shows that training is a primary component in establishing work with the human rights based approach. Training needs to be tailored in order for it to be relevant. This applies to the training of the managers and personnel of Sida and the cooperation partners. The training must be linked to the sector in question, the roles and responsibilities of the persons involved in that sector, the country context and the status of the donor coordination.

In addition, local resource persons and role models have proved to be effective resources in the education and communication of the human rights based approach, as they can use local languages and refer to locally tested methods to explain.

¹ Sadev Report 2008:2, Integrating the Rights Perspective in Programming; Joint Country Evaluation of the Strategy for Swedish development cooperation with Tanzania 2006–2010, Final report, ITAD & DEGE Consult, December 2010; An assessment from a Human Rights Perspective of Proposed Programs and Activities for The Zanzibar Education and Development Plan (ZEDP) 2008–2015, A report to Sida, Tanzania, International Human Rights Consultant, November 2007. Sida, Lessons learnt on HRBA in Sub-Saharan Africa, April 2010. Sida, Strategy Report for Cambodia, September 2010–August 2011, pp. 22–23.

² Sida, Promemoria, Debriefing from the rights perspective work in Kenya, 12-09-2011, pp. 1–2.

As with a number of other countries, donors and NGOs, Sida has managed to create thoroughly planned and detailed theoretical frameworks, guides and so on for what the human rights based approach is and its significance in the development cooperation. It has however proven more difficult to make the transition from theory to practical application. Sida therefore endeavours to document experiences and lessons learnt and develop tailored method support.

Analyse which principles can be used

Working with all four principles to an equal extent has proved challenging. It seems it is more difficult to work with accountability, openness and transparency than with participation and non-discrimination.¹

Work with participation has often been a matter of guaranteeing representation of and dialogue with NGOs in various governmental processes. The greatest challenge has been to make this participation meaningful by making information easily accessible at the right time.

Working with non-discrimination can be a challenge as the definition of discrimination varies. A prerequisite for success has been the recognition of discrimination by certain local actors, as well as their willingness to be a driving force for change.

Experience shows that accountability has been the principle that Sida has worked with the least. Accountability is political, administrative and financial, and requires a number of different measures. Most people are ill at ease with those in power and other influential groups. Responsibility to donors is often seen as more important than responsibility to the people or the constituency in question. It is therefore important to strengthen domestic accountability by means of support for e.g. electoral processes, party systems and free and independent media.

The road project in Kenya saw successful work with openness and transparency, where plans were openly published and questioning was organised. Both governments and NGOs often saw the act of keeping financial and strategic information confidential as their right to integrity and autonomy. Lack of trust and common values between donor and partner led to a lack of transparency. Sida's work helped to change this attitude.

Methods and tools

Sida's experience shows that the human rights based approach has been used for different parts of the development cooperation. Sometimes it has been used for analysis and planning, sometimes in a specific sector or programme, and at other times the focus has been on integrating the approach in the dialogue.

In the work with the specific contributions, which is reported on in chapter 3, it appears that the approach and principles are used to a greater extent when Sida prepares and analyses contributions than when it handles implementation, follow-up and evaluation. Sida reports how the principles are to be integrated into contributions, but then this is not included in the follow-up.

Process indicators are a central tool in the application of the human rights based approach. They can follow *how* a contribution is implemented, for example if it promotes openness and transparency or counteracts discrimination, rather than just *what* has been achieved. Reports reveal that process indicators have not been used to any great extent, i.e. how the approach has been integrated in the actual implementation of contributions.

Whilst it has proven successful to test the principles on a small scale, it is important to be able to apply the human rights based approach in all four cases: analysis and preparation, implementation, dialogue, and follow-up and evaluation.

Using conclusions, reports and comments from the UN's and the African Union's (AU)² normative and political frameworks as tools in the democracy and human rights work has been effective. This has also proven effective in Sida's work with opinion building, dialogue and negotiations with cooperation partners and other donors. "Shadow reports" from NGOs have also been useful.

¹ Sadev Report, 2008:2, Integrating the Rights Perspective in Programming, p. 150.

² This also applies to other regional international organisations, but here the AU is specified as it is there Sida primarily has experience, through the web-based support it has developed.



Support to education is one of the main sectors in Sweden's cooperation with Afghanistan. The support to model schools with annexes for girls has increased access to education among both boys and girls.

Photo: Sandra Kalligaro

6. Overall conclusions



6. SEVEN CONCLUSIONS FOR SUCCESS

The analysis of Sida's work with democratic development and increased respect for human rights is split into seven overall conclusions. They deal with the approach, forms of development cooperation and methods that are strategic in all of Sida's contributions, as well as in the dialogue.

Above all, Sida can explain how the course of events and development provide guidance for the agency's choice of contributions and approach, rather than it being a matter of how the Swedish development cooperation in particular is influencing democracy and human rights on a global, regional or national level.

Sida can, for example, maintain that it was strategic to collaborate with other donors in promoting the work to get more popularly elected women into politics on a municipal level in a country dominated by men, but not that it was specifically Swedish development cooperation that influenced equality between men and women in all civil relationships throughout the country.

Sida therefore chooses to report on conclusions concerning ways of working, forms of development cooperation and methods that stand out as the most strategic in a given situation.

The overall conclusions are based on the agency's own experiences and lessons learnt and relevant thematic evaluations published by Sida and the Swedish Agency for Development Evaluation (SADEV) in the last five years, including joint-donor evaluations. The twenty randomly chosen and four strategically chosen contributions, which constitute less than two per cent of the total number of contributions in the main sector, have been used as examples to illustrate the overall conclusions.

This combined base of gathered information shows that development cooperation within the area of democracy and human rights can achieve the best results when Sida bases its work on solid knowledge of the local conditions and with issues where Sweden has much to offer in terms of expertise and long-term commitment. In contributions to development cooperation within the area of democracy and human rights, it is important to be persistent and flexible in the choice of contributions and cooperation partners.

Sida must be able to analyse and handle risks.

Furthermore, the agency must be able to handle the particular challenges and opportunities associated with results based management. An examination of the data thereby confirms the recommendations in the evaluations and internal analyses.

The conclusions affect all focus areas of the policy. In certain sections, Sida refers to the relevance of the policy's sub-areas. Point by point, Sida reports on how to successfully conduct work for democracy and human rights.

1. Context is everything – analysis is a precondition

When Sida is familiar with the local conditions, the agency can better assess what kinds of contributions, ways of working and dialogue issues are most relevant and effective for the policy's sub-areas.

In Sida's experience, working with existing actors, processes, organisations and formal and informal institutions has proven successful. Models and solutions that are not embedded in local conditions, structures and processes seldom work. This lesson is also supported by external studies.¹

Sida's experience is that the context should dictate the form and content of projects and programmes. This applies to all of the focus areas within the policy. To achieve this, donors must further develop their analytical work, in accordance with various joint-donor evaluations. There is a need, not least, for

¹ Citizen's Voice and Accountability: Synthesis Report, Joint Evaluation of Citizens' Voice and Accountability, November 2008, p. xiii and Carothers, Tom, and de Gramont, Diane, The Carnegie Papers, Aiding Governance in Developing Countries – Progress Amid Uncertainties, Democracy and Rule of Law, November 2011, p. 11.

sharper political analyses.¹ Another possibility is to make use of independent academic research.² Sida has a number of tools that help to better understand the circumstances, context and overall situations in, for example, a country or a region. Two of the tools are the carrying out of power analyses³ and Reality Checks – the latter is a qualitative method for gathering knowledge and monitoring the perceptions of people living in poverty on social services.⁴

It is important that the results of the analyses – regardless of the method used – are of use to the people concerned. In several cases, such as in Mozambique, Sida has facilitated communication of conclusions from the power analysis via meetings in districts where men and women have had the courage to stand up and openly criticise abuse of power.⁵ In Bangladesh, the conclusions from Reality Checks have influenced Swedish dialogue concerning policy issues, and methods have been adopted by other donors.⁶ The analyses have been beneficial to the work with all three focus areas of the policy by means of e.g., ensuring participation and reinforcing the state's defence and fulfilment of human rights.

In the regional context, cross-border cooperation and memberships can be driving forces for development. A state that is a member of a regional organisation can be influenced by the other member states. An authority that is a member of regional and international professional associations with standards developed for their area seems to gain a special

driving force via the demands that are part and parcel of the membership.⁷

The regional anti-corruption programme in Asia is one example of the influence of neighbouring countries and other member states. The support to Mozambique's Court of Auditors shows how an authority's capacity development is strengthened through membership in regional and international organisations for auditing bodies. EISA's⁸ membership in an international network for learning about electoral processes performs the same function.

A dream of rapprochement with the EU seems to be a very significant driving factor. Dialogue on democracy and human rights is a prerequisite element of the negotiations with the EU. The contributions in Moldova, Bosnia and Herzegovina and the western Balkans are examples of the role that rapprochement with the EU can play and therefore of how strategic the support of Sida' has been.

2. Broad approaches and various tools add value to Sida

Based on openings identified by Sida, the agency can make well-planned and strategic choices concerning the role that it will play.

Sida's experience is that a broad approach across political and sectoral boundaries is an effective and relevant way of supporting contributions within democracy and human rights, even in difficult environments. This is evident in, for example, the evaluation of the previous cooperations with Laos, Sri Lanka and Vietnam.⁹ Such a broad approach stands out as particularly relevant in e.g. decentralisation reforms, which often affect many policy areas.

The work against corruption is also an example of where a broad approach is effective and where all of the focus areas of a policy are relevant. An contribution in this area may need to include a number of actors such as political parties, parliament, authorities, the justice system, civil society organisations, media, private companies and, not least, strategic alliances between these.¹⁰ Dialogue through different channels is also essential. This is evident in Sida's support of anti-corruption work in Asia.

1 Carothers, Tom, and de Gramont, Diane, The Carnegie Papers, Aiding Governance in Developing Countries, Progress Amid Uncertainties, Democracy and Rule of Law, November 2011, p. 11; Fiscus Public Finance Consultants and Mokor Limited, Evaluation of Public Financial Management Reform in Burkina Faso, Ghana and Malawi, Draft Synthesis Report, October 2011, p. 2; Citizen's Voice and Accountability: Synthesis Report, Joint Evaluation of Citizens' Voice and Accountability, November 2008, pp. xiii and xiv; Sida Evaluations 2008:2, Swedish Democracy Promotion through NGOs in Bolivia, Guatemala, Nicaragua and Peru, Outcome-Oriented Evaluation of Diakonia's Latin American Programme, p. 16; Sida Evaluation 2008:29, Experiences and Lessons Learnt from Sida's Work with Human Rights and Democratic Governance, Final Report, Department for Democracy and Social Development, p. 3; Sida Studies in Evaluations 2007:02, Changing Rules, Developing Institutions, A Synthesis of Findings, pp. xviii and xx; Sida UTV/Working Paper 2007:3, Assessment of Sida's Support for Human Rights and Democracy, Department for Evaluation and Internal Audit, p. 6.

2 Carothers, Tom, and de Gramont, Diane, The Carnegie Papers, Aiding Governance in Developing Countries, Progress Amid Uncertainties, Democracy and Rule of Law, November 2011, p. 7.

3 Sida has conducted around 15 power analyses over the last ten years. Most of these are available at www.sida.se.

4 The method has so far been used in Bangladesh and Mozambique and is soon to be used in Mali. See <http://www.reality-check-approach.com/reality-checks/bangladesh>.

5 Sida, Memorandum from exchange of experiences on democracy/human rights cooperation within Sida, 19-12-2011, p. 6.

6 <http://www.reality-check-approach.com/reality-checks/bangladesh>; Daily Star, Bangladesh, Quality of Public Health Services Declining, 21-05-2010, Edn policy to be placed in next JS session likely, 27-04-2010 and Bringing policy-makers closer to the people, 23-08-2011; Bangladesh Reality Check, Notes Reference Group Meetings, 11 and 17 November 2010; Ministry of Foreign Affairs of the Netherlands, IOB Evaluation, The two-pronged approach: Evaluation of Netherlands support to primary education in Bangladesh.

7 OECD/DAC Evaluation Insights, A Global Partnership to Support More Effective States, What Does the Evidence Say?, Number 5, November 2011, p. 6.

8 Electoral Institute for Sustainable Democracy in Southern Africa.

9 Sida UTV Working Paper 2010:10, Long Term Development Cooperation between Laos and Sweden, Part One: Documentation, p. 45.

10 Norad, Joint Evaluation of Support to Anti-Corruption Efforts 2002-2009, Report 6/2011 – Synthesis, p. xv.

The combination of different tools is more effective and relevant if it is brought about through an interplay between development cooperation and diplomacy in accordance with Sweden's policy for global development.¹ The importance of this interplay is also at the centre of the EU human rights cooperation, a fact that is emphasised in a recently published evaluation of EU support.²

Another way to work with a broad approach is to provide support to collaboration between cooperation partners on different levels. This may be a matter of contributions based on synergies between global, regional and national processes.³ The support to the Democratic Republic of the Congo is the clearest example of an contribution that affects both a local reality and the global arenas in which power over the extraction of minerals can be regulated. The work spans several policy areas and is therefore a good example of the implementation of the policy for global development.

On a national level, Sida's experience is that synergies can be promoted between state and civil society organisations, partly by supporting each body and partly by supporting the cooperation between them. Such synergies make it easier to achieve the goals of an contribution. This is evidenced in several joint-donor evaluations, as well as two of Sida's own evaluations.⁴ An approach of this nature is especially relevant for the focus areas of the institutions and procedures of democracy and the rule of law and actors for democratisation.

The local level stands out as important for collaboration between state and civil society organisations. Access to information, and the capacity to use it, can facilitate the development of synergies. There is a tendency amongst donors to provide support to civil society organisations without providing support to equivalent development of the state's capacity to

respond to people's rightful claims for their human rights.⁵ Sida's appraisal of the situation is therefore that there is a need for continued support for the development of a public administration that is responsive to citizens, where such cooperation is possible.

The contributions in Colombia, Cambodia and Mali are examples of how collaboration between politicians and officials from state and municipality and civil society organisations can transform the situation for poor men and women.

Sida's broad approach and tool kit are reinforced by the human rights based approach and the perspectives of people living in poverty on development. Sida is one of the donors that is quite consistently integrating a human rights based approach⁶ in contributions and dialogue.

Sida's experience shows that the human rights based approach can pave the way for discussions on how the various cross-cutting issues of development cooperation are to be integrated.

Sida's experience is also that a locally adapted tool, and learning methods are required for its own personnel as well as for its cooperation partners. Process indicators are a central tool in the application of the human rights based approach. They can follow *how* an contribution is implemented, for example if it promotes openness and transparency or counteracts discrimination, rather than just *what* has been achieved.

It is important to test the water and start small-scale, to then gradually expand the work with the human rights based approach and the perspective of the poor on development and to attempt to influence projects and programmes as early on as possible when they are being planned.

1 Report, UU/2003/04: UU3 Sweden's policy for global development: http://www.riksdagen.se/Webbnav/index.aspx?nid=3322&dok_id=GR01UU3.

2 http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/reports_by_year_en.htm, Thematic Evaluation of the European Commission Support to Respect of Human Rights and Fundamental Freedoms – 12/2011, Ref. 1298, executive summary, pp. viii–xiii.

3 Sida Evaluation 07/01, Regional Democracy and Human Rights Cooperation in Greater Eastern Africa—Lessons Learnt and the Road Ahead, Part I: Evaluation of the Overall Framework for Democracy and Human Rights, Part II: Evaluation of the Projects/Programmes Supported under Sida's Regional Democracy and Human Rights Programme, p. 7.

4 Citizen's Voice and Accountability: Synthesis Report, Joint Evaluation of Citizens' Voice and Accountability, November 2008, pp. ix, x, and xiv; Sida Evaluation 2008:52 Lessons Learnt and the Way Forward – The Collaboration between East Africa Legislative Assembly (EALA) and the European Parliamentarians for Africa (AWEPA) March 2005–April 2008, p. 8; 2008:02 Sida Evaluations, Swedish Democracy Promotion through NGOs in Bolivia, Guatemala, Nicaragua and Peru, Outcome-Oriented Evaluation of Diakonia's Latin American Programme, p. 15; and Carothers, Tom, and de Gramont, Diane, The Carnegie Papers, Aiding Governance in Developing Countries – Progress Amid Uncertainties, Democracy and Rule of Law, November 2011, p. 9.

5 Citizen's Voice and Accountability: Synthesis Report, Joint Evaluation of Citizens' Voice and Accountability, November 2008, p. ix, x, and xiv; Sida Evaluation 2008:52 Lessons Learnt and the Way Forward – The Collaboration between East Africa Legislative Assembly (EALA) and the European Parliamentarians for Africa (AWEPA) March 2005–April 2008, p. 8; Sida Evaluations 2008:2, Swedish Democracy Promotion through NGOs in Bolivia, Guatemala, Nicaragua and Peru, Outcome-Oriented Evaluation of Diakonia's Latin American Programme, p. 17; Carothers, Tom, and de Gramont, Diane, The Carnegie Papers, Aiding Governance in Developing Countries, Progress Amid Uncertainties, Democracy and Rule of Law, November 2011, p. 9.

6 Report, UU/2003/04: UU3 Sweden's policy for global development: http://www.riksdagen.se/Webbnav/index.aspx?nid=3322&dok_id=GR01UU3; Sida, Summary of the rights perspective in the 2011 strategy reports, 2011. Citizen's Voice and Accountability: Synthesis Report, Joint Evaluation of Citizens' Voice and Accountability, November 2008, p. xv; 2008:02 Sida Evaluations, Swedish Democracy Promotion through NGOs in Bolivia, Guatemala, Nicaragua and Peru, Outcome-Oriented Evaluation of Diakonia's Latin American Programme, p. 17; Oxford Policy Management, Multi-Stakeholder Evaluation of Public Sector Governance Reform (PSGR): P05379, Synthesis Report, Volume 1: Main Report, p. ii. World Association of Newspapers and News Publishers and Sida, "Addressing the Capitalisation Gap for Independent News Media", 2011. Southern Africa Media Development Fund.

3. Flexibility, sustainability and perseverance lead to success

Innovative methods and flexible solutions must be combined with persistent work if the objectives for the cooperation are to be achieved.

In Sida's experience, cooperation must be flexible. This applies to development cooperation in general, and to support to democratisation process and human rights in particular. It is therefore important that programmes can be easily adapted when conditions change. This implies trust between the cooperation partners.

Media development and freedom of speech are good examples of when Sida's work has been flexible and innovative. In recent years, Sida has played a crucial role in organising expert meetings on a global level and setting in motion its own activities involving loans and guarantees, as an innovative instrument for long-term and sustainable media development. The support to performing arts in the Middle East and Northern Africa is another innovative example of how freedom of speech can be underpinned.

Above all, the work is relevant for the focus area of civil and political rights, which encompasses freedom of speech and the rise of free and independent media.

Perseverance and sustainability stand out as central factors in contributions that have worked well. This is evidenced in six joint-donor evaluations to which Sida has contributed.¹ Continuity in the contacts allows for the forming of a reciprocal trust and respect between Sida and the cooperation partner and between the cooperation partner and the people affected by the contribution. Long-standing agreements are a prerequisite for building such a continuity. It is worth noting that an actor such as Statistics Sweden (SCB) generally executes its planning based on a 10–15 year horizon, when it cooperates with national statistics authorities as it did in Burkina Faso.

Professional and peer solidarity is often a good foundation for dialogue and learning. It stands out as particularly important for the focus area of the institutions and procedures of democracy and the rule of law. Several Swedish authorities have cooperation partners in reforming and developing countries.

Cooperation between authorities also presents a number of challenges. These become particularly clear in difficult environments. In Sida's experience, it takes time to build up sufficient knowledge of development cooperation methodology and development.

Sustainability in reforms can be stronger if contributions are supplemented with capacity development of actors that are making the push for change in the fight against poverty; for example, the development of free and independent media, party systems (including opposition), national audit, prosecution offices, academics or civil society organisations, as well as bar associations.²

Such support can also be combined with dialogue. If local actors push an issue and receive support from the international community, a pressure for change can be built up. The programmes in Mozambique, Tanzania and Guatemala are examples of this way of working.

In Sida's experience, lasting changes are often effected through the changing and development of people's knowledge, values, attitudes and behaviour.³ This applies specifically to the focus areas of civil and political rights and actors for democratisation.

According to research, investments in access to education, as well as the quality of the education have, on various levels, a clear connection with the attitude of people to democracy.

This is especially applicable if the investments are supplemented with support to non-formal education, e.g., for adults who only attended school for a few years. This also applies where the school system's planning and learning are based on democratic and human rights based methods.⁴

The opportunity for real influence beyond a symbolic participation seems to be an opening and an opportunity that could encourage people to take the time to contribute to local debates.⁵ The contributions in Cambodia and Mali are examples of how participation and influence can be invigorated through public discussions on matters of direct relevance to people's daily lives. However, poverty can be an obstacle; if much of a person's time and effort goes into providing for themselves, it can also be difficult to have the time to get involved in politics.⁶

1 OECD/DAC Evaluation Insights, A Global Partnership to Support More Effective States, What Does the Evidence Say?, 2011, pp. 5–8; Oxford Policy Management, Multi-Stakeholder Evaluation of Public Sector Governance Reform (PSGR): P05379, Synthesis Report, Volume 1: Main Report, p. ii; Citizen's Voice and Accountability: Synthesis Report, Joint Evaluation of Citizens' Voice and Accountability, November 2008, pp. xv and xii; Sida Evaluation 2007:1, Evaluation of General Budget Support – Note on Approach and Methods. Joint Evaluation of General Budget Support 1994–2004, p. 10; Norad, Joint Evaluation of Support to Anti-Corruption Efforts 2002–2009, Report 6/2011, Sida Brief, p. 3 and p. 7; Sida UTV Working Paper 2010:10, Long Term, Development Cooperation between Laos and Sweden, Part One: Documentation, p. 44.

2 OECD/DAC Evaluation Insights, Effective Institutions and Good Governance for Development, 2011, p. 2.

3 <http://www.globalbarometer.net/GBSpartdemo.final.pdf>, p. 15.

4 Sida, Educational Investment and Democratic Development, 2010, pp. i and iii; Sida Position Paper, Education, Democracy and Human Rights, 2005, pp. 13–14 and 22.

5 Sida Evaluations 2008:2, Swedish Democracy Promotion through NGOs in Bolivia, Guatemala, Nicaragua and Peru, Outcome-Oriented Evaluation of Diakonia's Latin American Programme, p. 11 and 15.

6 Sida Evaluations 2008:2, Swedish Democracy Promotion through NGOs in Bolivia, Guatemala, Nicaragua and Peru, Outcome-Oriented Evaluation of Diakonia's Latin American Programme, p. 16.

Leaders of civil society organisations can play a very important part in the changing of values and behaviours by disseminating knowledge on human rights. This is evidenced by many years of experience in Latin America¹, the contribution in Colombia being one example.

In Sida's experience, advocacy work through dialogue in individual issues and with cooperation partners has the greatest chance of success when this can take place in many different arenas. It may be a matter of EU dialogue, donor groups for different forms of programme support such as budget support or sector programmes, joint-donor funds for support to civil society organisations, annual meetings with the cooperation partner or joint field trips.

Financial sustainability is a great challenge, especially for the areas that are not prioritised in the budgets of developing countries, such as performing arts, or for those areas that are seen as controversial. Strategies for financial sustainability are seldom discussed and cooperation partners therefore run the risk of becoming dependent on development cooperation contributions.² This applies to all focus areas of the policy. One example of a financially sustainable contribution is the property tax in Kosovo.

4. Domestic accountability – support to the entire chain

In Sida's experience, working with the entire chain of institutions and actors involved in accountability is effective.³ Another effective measure is to provide support in ways that strengthen broad local ownership.

Contributions that encompass parliament, national audits, justice systems, media, party systems (including opposition parties) and “whistle-blower” functions often seem more effective than support to individual authorities or institutions. As a rule, they each have their own limited room for manoeuvre.⁴ Together, they form the links of a chain that can promote internal accountability.

Furthermore, the cycles of domestic policy of partner countries, such as periods of electoral mandates, should be respected by the donors to the

highest possible degree.⁵ Local formulation of goals, indicators and results are essential in the strengthening of accountability and ownership.⁶

In Sida's experience, donor development cooperation for a reform often brings with it broad opportunities for participation and ownership. Groups that would otherwise be excluded gain access to new arenas for debate. Several joint-donor evaluations highlight the importance of a broad view of ownership.⁷

It is important not to equate a government's ownership with a nation's ownership. Parliament has a central function in terms of ownership. However, in Sida's cooperation countries, they often play a subordinate role. Political parties also have a key role in representation and decision-making. Despite this, they are, in Sida's experience, often weak due to oppression, few members, overly dominating party leadership or the interests of their funders.

Sweden's choice of the form of development cooperation affects the degree of ownership of the cooperation partner. This applies to all focus areas. Un-earmarked programme support instead of earmarked project support contributes to ownership and thereby a greater driving force in the work. This is evidenced in five concordant, joint-donor evaluations to which Sida has contributed.⁸ The programme support to Mozambique's Court of Auditors has strengthened the professional pride and self-esteem of the employees, which contributes to improving the work of the institution.

Sida has been good at finding cooperation partners that have similar prioritisations around democracy and human rights issues. This facilitates the cooperation and provides a mutual benefit. In the long-term

5 OECD/DAC Evaluation Insights, A Global Partnership to Support More Effective States, What Does the Evidence Say?, 2011, pp. 4 and 5.

6 OECD/DAC Evaluation Insights, Results and Good Governance, Evidence on measuring and managing for results, Number 6, November 2011, p. 4.

7 Citizen's Voice and Accountability: Synthesis Report, Joint Evaluation of Citizens' Voice and Accountability, November 2008, pp. xiv, xv; OECD/DAC Evaluation Insights, Effective Institutions for Good Governance and Development, 2011, pp. 2–3; Betts, Julia, and Wedgwood, Helen, From More Effective Aid to More Effective States, Common Findings from a series of recent international evaluations of Aid Effectiveness and Governance, p. 12.

8 Sida Evaluation 2007:1, Evaluation of General Budget Support–Note on Approach and Methods. Joint Evaluation of General Budget Support 1994–2004, pp. 5, 9, 10 and 14; Fiscus Public Finance Consultants and Mokor Limited, Evaluation of Public Financial Management Reform in Burkina Faso, Ghana and Malawi, Draft Synthesis Report, October 2011, p. 1; OECD/DAC Evaluation Insights, Results and Good Governance, Evidence on Measuring and Managing for Results, 2011, pp. 3, 5 and 7f; Oxford Policy Management, Multi-Stakeholder Evaluation of Public Sector Governance Reform (PSGR): P05379, Synthesis Report, Volume 1: Main Report, pp. i–iii; OECD/DAC Evaluation Insights, A Global Partnership to Support More Effective States, What Does the Evidence Say?, 2011, pp. 4–5. Oxford Policy Management, Public Sector Governance Reform in Mozambique, 2001–2010. What has been learnt?, 2011–08, pp. 31–32. Sida Evaluations 2008:2, Swedish Democracy Promotion through NGOs in Bolivia, Guatemala, Nicaragua and Peru, Outcome-Oriented Evaluation of Diakonia's Latin American Programme. p. 14; SIPU, Outcome Analysis: A Study of Results in Sida's Regional Development Cooperation in Latin America, January 2011, pp. 68 and 69, section 8, Lessons Learnt, points 1 and 6.

1 Sida Evaluations 2008:2, Swedish Democracy Promotion through NGOs in Bolivia, Guatemala, Nicaragua and Peru, Outcome-Oriented Evaluation of Diakonia's Latin American Programme, pp. 14–15.

2 Sida Evaluation 2008:25, Supporting Civil Society Organisations for Empowerment and Economics Progress of Small Farmers and People Living in Poverty, p. 9, and Citizen's Voice and Accountability: Synthesis Report, Joint Evaluation of Citizens' Voice & Accountability, p. xii.

3 Sida, Four Reports on Democratic Governance in International Development Cooperation, Summary – Digging Deeper, August 2003, p. 6.

4 Norad, Joint Evaluation of Support to Anti-Corruption Efforts 2002–2009, Report 6/11 Synthesis, p. xvii; Citizen's Voice and Accountability: Synthesis Report, Joint Evaluation of Citizens' Voice and Accountability, November 2008, pp. xi–xiv.

cooperation in Latin America, there were several examples of how this kind of reciprocal respect strengthened local ownership.

5. Politically sensitive issues entail special requirements

Sida's experience is that perseverance, sustainability and knowledge of the context are especially important factors for success in the work with politically sensitive issues.

Cooperation partners can work with very sensitive issues, such as ending impunity or investigative journalism focused on connections between organised crime and people in power. It takes time to build trust among the affected groups. It takes courage to commit to such issues and to adhere to them for a long period of time – both for a cooperation partner and for Sida as funder. This includes taking calculated risks, such as providing pilot support to new contributions that other donors have not ventured to invest in.

Sometimes, Sida is the sole donor (or one of few) that pushes a controversial issue, such as the rights of women to make decisions concerning their own body, including the right to safe abortion, or the rights of LGBT people. Good knowledge of local conditions is therefore crucial to success.

One way of working with controversial issues could be to support neutral meeting places for dialogue and networking between and within groups of experts. Another possibility is to contribute to the dissemination of knowledge on how strategic alliances and non-violent movements can lead to success, despite difficult circumstances.¹ A joint-donor evaluation shows that sensitivity and close dialogue facilitate this work. A constant presence can strengthen local actors that are working with sensitive issues.² This applies to all focus areas.

In Sida's experience, the work with controversial issues may be more feasible on global and regional levels. Debates, decision-making and influencing public opinion in the partner countries are often more polarised. It may therefore be simpler to push sensitive issues through, for example, regional international integration projects, preferably in combination with regional advocacy work.³

The human rights based approach can also work as a potential opening, when dialogue on specific human rights or democratic issues are too politically sensitive. According to Sida's experience, the four principles can be an accessible and effective route when cooperation partners are unwilling to discuss democracy and human rights.

Broad human rights and democratic development programmes are highly political by nature. If a UN body is to coordinate such a programme, there must be willingness, competence and the capacity to conduct a dialogue on political issues as well. The contribution "Deepening Democracy in Tanzania Program" was a relevant example of such challenges.

6. Risk analysis and risk management produce sustainable results

It is not possible to avoid risks in the complicated environments in which Sida works. It is therefore crucial to continue to develop methods in order to analyse and manage risks.

Sida develops methods to assess the risk that the goals for democracy and human rights issues will not be achieved. Such risks are especially relevant as democratisation processes are hard to predict and are often met with a great deal of resistance. Sida's role is first and foremost to assess the capacity of the cooperation partner to manage the risks.

Sida is careful to avoid subjecting the cooperation partner to risks, especially if the activity is sensitive. It is important for the entire chain to be equally protected – from Sida's first contact with the cooperation partner to the preparation of support, decisions, payments, audits, annual meetings and any visits. The forces opposed to democratisation and increased respect for human rights often have plentiful resources.

Other risks may arise more unexpectedly and have different consequences, despite careful risk analyses and risk management carried out by Sida in the form of organisational reviews and annual audits. The cooperation with ECOVIC⁴ was broken off when the organisation breached the terms of the agreement and the management was clearly not interested in remedying the problem. On the other hand, the cooperation with the East African Law Society continued. They also breached the terms of the agreement, but they were very efficient in investigating their own internal crisis. This shows that sometimes supporting a partner through problematic periods

1 SIPU, Outcome Analysis: A Study of Results in Sida's Regional Development Cooperation in Latin America, January 2011, pp. 68 and 69, section 8, Lessons Learnt, point 4; Sida Travel Report, 2011-06-11, case number 2011-00102, p. 2.

2 Oxford Policy Management, Multi-Stakeholder Evaluation of Public Sector Governance Reform (PSGR): PO 5379, Synthesis Report, Volume 1: Main Report, p. ii.

3 Sida Evaluation 07/01, Regional Democracy and Human Rights Cooperation in Greater Eastern Africa—Lessons Learnt and the Road Ahead, Part I: Evaluation of the Overall Framework for Democracy and Human Rights, Part II: Evaluation of the Projects/Programmes Supported under Sida's Regional Democracy and Human Rights Programme, p. 7.

4 East African Communities Organisation for Management of Lake Victoria Resources.

can be worthwhile, rather than merely just ending the cooperation. Risk management presupposes that there are sufficient resources for advice and support and that these can be deployed at the right time, both for the cooperation partner and for Sida internally.

7. Results management presents challenges and opportunities

Realistic goal formulations and the use of process indicators and "baselines" improve results management.

Evaluating the effects of democracy and human rights development cooperation by means of useful, relevant and generally accepted indicators is complicated, especially if several donors and cooperation partners are involved. This is because democracy is a contested concept that can be defined and analysed in many different ways, as can democratisation processes.¹ The causal relationship between democracy and development is also contested, as is the connection between authoritarian governance and development.²

However, democratisation involves a great degree of transparency for free media, freedom of speech, the possibility for people to make their voices heard and a more even distribution of the country's resources. This in itself creates better conditions for economic growth and thereby also poverty reduction.³ Furthermore, according to opinion polls conducted around the world⁴, the majority of people prefer democracy as a form of government, if they have the opportunity to choose themselves. Democracy and human rights can therefore be have an intrinsic value, regardless of their significance to development.

Apart from difficulties in establishing causal relationships, there are challenges in terms of making relevant assessments using reliable methods. In Sida's experience, there should be an open approach to such challenges; it is important to take the time to reflect and be open to using research findings and relevant evaluation methods.⁵ There are examples of evalua-

tion methods that combine qualitative and quantitative methods and that can provide a basis to provide answers to the questions concerning what is happening and why it is happening.

Sida's assessment is that evaluations should be designed as learning processes⁶, where the people who are going to use the results participate from beginning to end. This method is in line with the principles of the human rights based approach and the perspectives of the poor.

In its written communication to the Parliament of Sweden concerning the development cooperation results for 2009, the Government explained that in most cases it is not possible to represent results connected specifically to the Swedish development cooperation.⁷ In the same way, the UN's Office for the High Commissioner on Human Rights bases its work on the assumption that their work contributes to the development of human rights, whether positively or negatively, rather than claiming that a given contribution may lead to a direct influence on society (known as attribution).⁸

The 24 contributions reviewed illustrate some of the challenges presented by results monitoring and management. What several of them have in common is that the threshold constituted by the programme goals is way above planned performance levels. Furthermore, most of them lack "baselines" – data pertaining to the starting point of the contribution, and it is therefore difficult to make comparisons over time.

Baselines must be done close to the activity so that they can be used for follow-up, learning and results management. One way to do a baseline is to conduct public opinion polls or in-depth interviews before and after a programme. The contribution in Cambodia is the only one that can be based on such data.⁹ Such extensive studies are however costly in terms of time and resources and are as a rule beyond the means of the cooperation partner. This is something that Sida needs to take into consideration when preparing support. A possible alternative is to implement Reality Checks, which are social analyses on a local level. Such qualitative methods can above all help to

1 Sida and IDEA: Evaluating Democracy, Methods and Experiences, 2006, pp. 27–28.

2 Rocha Menocal, Alina. Analyzing the Relationship between Democracy and Development. Commonwealth Good Governance 2011/2012, pp. 24–25.

3 Sida, A development cooperation in change, Sida's results and prioritisations, 2010, p. 17.

4 <http://www.globalbarometer.net/GBSpartdemo.final.pdf>, p. 7.

5 Oxford Policy Management, Multi-Stakeholder Evaluation of Public Sector Governance Reform (PSGR): P05379, Synthesis Report, Volume 1: Main Report, pp. i–iii; Citizen's Voice and Accountability: Synthesis Report, Joint Evaluation of Citizens' Voice and Accountability, November 2008, pp. xii and xv; OECD/DAC Evaluation Insights, Results and Good Governance, Evidence on Measuring and Managing for Results, 2011, pp. 4 and 5; a summary of current research is provided in Vähämäki, Janet; Schmidt, Martin and Molander, Joakim, Review: Results Based Management in Development Cooperation, 30 November, 2011, p. 51; see also Molander, Joakim, Resultatstyrning som världsbild [Results management as a world picture], Kristen Humanism, 2011, pp. 65–72.

6 Curman, Lisa, Uppföljning och utvärdering av resultat i komplexa situationer, Göteborgs Universitet [Follow-up and evaluation of results in complex situations, the University of Gothenburg], 2012, pp. 48–49.

7 Government written communication on aid results 2008/09:189, p. 14.

8 The OHCHR's statement of operations system has provided attribution and is now reporting on drawn up "expected accomplishments", which are formulated in the OHCHR's High Commissioner's Strategic Management Plan 2010–2011, <http://www.ohchr.org/Documents/Press/SMP2010-2011.pdf>, and are reported in the OHCHR's annual report 2010, OHCHR Report 2010, http://www2.ohchr.org/english/ohchrreport2010/web_version/ohchr_report2010_web/index.html.

9 UNDP, Final Evaluation of "Project to Support Democratic Development through Decentralisation and Deconcentration (PSDD)", 2010, pp. 40–41. [2010].

engage the poor people affected by providing them with the opportunity to put forward their views on social services over a long period of time. Reality Checks are therefore able to follow changes and contribute to the analysis of how an contribution is implemented and whether or not the goals are achieved. Power analyses are another conceivable alternative.

It is also evident that more needs to be done in order to include process indicators in results management. Process indicators are also a way of applying the human rights based approach. Sida's experience of the current situation is that the approach and its principles are used to a greater extent when Sida prepares and analyses contributions than when it implements, follows up and evaluates. The agency is working with the management of these challenges. Follow-up, evaluation and, above all, results analysis and learning can contribute to democracy and human rights issues becoming even more effective and relevant for the opportunity of poor people to improve their living conditions.

Sida works according to directives of the Swedish Parliament and Government to reduce poverty in the world, a task that requires cooperation and sustainability. Through development cooperation, Sweden assists countries in Africa, Asia, Europe and Latin America. Each country is responsible for its own development. Sida provides resources and develops knowledge, skills and expertise. This makes the world richer.



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